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Technical Reference for

# Recipient Financial Management System (RFMS)

2001-2002

U.S. Department of Education



261 H

# RFMS Technical Reference

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# Overview

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## Preface

Postsecondary schools and third-party servicers who participate in the U.S. Department of Education (ED) Federal Pell Grant Program must report Pell disbursements through the Recipient Financial Management System (RFMS).

This reference contains technical system information that allows you to:

- Build your own system
- Use a system provided by another organization (for example, a vendor or third-party servicer)
- Use EDExpress for Windows, the software package provided by the U.S. Department of Education, in combination with your own system or vendor-provided software

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## Organization

The *RFMS Technical Reference for 2001-2002* is organized as follows:

- Overview
- Custom Layouts
- Implementation Guide
- Combination Systems Layouts
- Appendices

The Implementation Guide is a reference to assist schools that participate in the Federal Pell Grant Program, their third-party servicers, and their software vendors with implementing the system changes for the 2001–2002 RFMS Program.

All schools and financial aid administrators should read the Overview and Implementation Guide. These sections contain important phone numbers to call for assistance, as well as information to help you choose how you want to participate electronically and how to get started in the program.

**Note:** All schools are required to transmit electronically since the 2000–2001 Award Year.

If you use a custom system, read the Custom Layouts chapter and Implementation Guide because it provides you with the essential record layouts pertinent to building your own system.

If you choose to use a combination of systems, read the Combination Systems chapter and Implementation Guide because it provides you with essential record layouts pertinent to using a combination of systems.

See “Sources of Assistance” later in this overview for additional resources.

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## What's New for 2001-2002

Listed below are the deletions, additions, and modifications for 2001-2002.

### **Deleted:**

- Special disbursement record. RFMS now has only one disbursement record layout.
- All special disbursement record Edit Codes (500s) because special disbursements will not be used in 2001-2002.
- Disbursement Edits 418, 419, 420, and 421 so that a school's funding is not affected by records reported with a Verification status of "W."
- Edit 216 for the current cycle, since "Grantee DUNS Number" and "Financial Servicer DUNS Number" fields are deleted from the Grant Batch Header record.
- Edit 234 as it does the same processing for an invalid destination mailbox ID as Edit 233.
- "Verification Status is "W" and student is not selected for Verification" condition from Edit 309. This was deleted so that schools who want to use Verification "W" for internal purposes can keep that code on the origination record.
- Last condition from Origination Edit 322 and "Accepted PM=4" from the second condition of Edit 322.
- Edit 409 because it was never triggered due to a batch edit.

**Added:**

- A Reconciliation File is available as a new Data Request type. It provides one record of data for each student on the RFMS. A reconciliation file can be requested for an individual student or a school's entire Pell population.
- OPE ID field to the Grant Batch Header record.
- Batch Number field to the record layout for the YTD disbursement record for 2001-2002 data only. The disbursement batch ID is in positions 104-129 of the record layout.
- Student's Name, Attended Pell ID, Blocker Amount and Percentage to the Multiple Reporting Record (MRR) file.
- "Payment Period Start Date" in positions 56 to 63 for both the disbursement and disbursement acknowledgement records. This field is required only for ineligible schools. Also, the YTD disbursement record makes all of the special disbursement fields unused and should be blank-filled.
- A 3-position field for "Sequence Number" to the database and to the origination and origination acknowledgement records in positions 229-231. This field allows schools to track the update version of the origination record RFMS has on file.
- Descriptions for Edit Messages for batch edits 201, 202, and 209.
- Action Code "D" for duplicate origination records for Edit Code 302.
- Separate Edit Code for duplicate reference numbers. The duplicate reference part of the edit remains in Edit 403 with the invalid value components becoming the new edit.
- New Edit Codes 440 to 445 that notify schools of records rejected by the Case Management Office because of inadequate or missing information.

- Action Code “D” for duplicate disbursement records to Edit Code 403.
- Edit Code 430 that rejects a record if the disbursement reference number is already used at RFMS.
- Edit Code 431 that rejects a record if the disbursement reference number is invalid.

**Modified:**

- Year-to-Date (YTD) Requests for an individual attended campus or for all attended campuses to be made under one reporting campus.
- Edit 406 to indicate that the reported disbursement amount has been adjusted.
- Edit 414 to not reject when a disbursement amount is sent in for \$0 and the Debit/Credit Indicator is “N.”
- All record layouts as a result of discontinuing the special disbursement process. The “Number of Payment Periods” field are no longer used on the origination record or origination acknowledgement record.
- Origination Edit 303 and split it into two separate edits: one for the SSN and the other for the Name Code. This was done to assist schools in knowing which invalid data caused the edit to occur.
- Origination Edit 315 to include Academic Calendar =5 and Payment Method =5 as an invalid condition.
- Each part of the Origination ID to be evaluated as separate edits. Edits 301 and 401 are affected.
- Tables for the 2001-2002 Federal Pell Grant Program Regular and Alternate Payment Schedules. The schedules are posted on ED’s student financial assistance Web site, [www.ifap@ed.gov](http://www.ifap@ed.gov).

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## Introduction to the Recipient Financial Management System (RFMS)

Schools report Pell disbursements to ED through RFMS. As in previous years, most schools receive an initial Pell authorization.

The reporting process starts with origination records. Origination records can be sent well in advance of any disbursements, as early as a school chooses to submit them. A school should submit origination records for any student that it might pay a Pell award to. When RFMS receives an origination record, it checks the record to make sure there are no errors and returns an acknowledgement to the school.

When a school makes a disbursement, or anticipates making a disbursement, it must send a disbursement record to RFMS. The disbursement record reports the actual disbursement date and the amount of the disbursement. RFMS returns an acknowledgement for the disbursement record, which lets the school know if there were any problems with the submission. In addition, RFMS sends information from disbursement records to the Education Central Automated Processing System/Grants Administration and Payments System (EDCAPS/GAPS, or GAPS), and the school's authorization is adjusted once the initial authorization is exceeded.

**Note:** All schools are required to transmit electronically.

## **RFMS Software**

ED provides a Pell Payment module as part of the EDEExpress for Windows software. However, schools aren't required to use this software. Schools using this software can refer to the desk reference for the Pell Payment software or the online Help in EDEExpress for help.

A school that develops its own software can refer to the record layouts for the various RFMS records found in this reference. The records must be formatted correctly to be accepted by RFMS. See the Implementation Guide for more information.

## **Pell Authorization**

At the beginning of each award year, most schools are given an initial authorization based on an estimate of the Pell funds the school needs in order to cover its first Pell Grant disbursements. As the award year progresses, the authorization for the school is adjusted based upon the actual disbursements the school reports to RFMS. RFMS sends information on the school's initial authorization to GAPS. It also sends an Electronic Statement of Account (ESOA) to schools to notify them of their initial authorization. The ESOA is sent through SAIG with the message class PGAS02OP; this is called Advance Funding.

ED has placed some schools on Reimbursement or Cash Monitoring. These schools do not receive an initial authorization but instead receive funding as the disbursement batches that they submit are accepted.

In 2000-2001, RFMS expanded the Just-in-Time (JIT) pilot program. The schools participating in this pilot also do not receive an initial authorization; instead, they submit disbursement batches. When the batches are accepted, the funds are deposited directly into the school's bank account.

As the school reports disbursements to RFMS, RFMS makes any necessary adjustments to the authorization and notifies GAPS so those funds are available to the school. RFMS enables ED to track a school's need for funds as the award year progresses and adjusts the school's authorization on that basis.

The Pell funds that the school reports as expenditures must equal the total payments to eligible Pell recipients at the school. The system provides a method for a school to reconcile its records of expenditures with ED's records. This documentation is the Year-to-Date data.

## **Origination Records**

The origination record establishes a student's eligibility and the Pell award the student can receive for the award year. A school must submit an origination record for every Pell recipient.

Included on the origination record are the estimated dates the school expects to pay the student. These estimated disbursement dates differ from the disbursement dates submitted on the disbursement record which are the actual dates the disbursement was made or is expected to be made.

Also included on the origination record are the payment methodology, academic calendar, enrollment status or hours attended, and award amount for the whole year. RFMS calculates the scheduled award for the student based on the information provided on the origination record. If the award calculated by RFMS is the same as the amount that is on the submitted origination record, the record is accepted. If it differs and the amount calculated by RFMS is lower, the record is accepted with corrections. RFMS never increases an award amount.

A school submits an origination record for every student it might pay during the award year; however, the school does not have to disburse funds for each origination record. Also, more than one school can submit an origination record for a student. RFMS accepts only one origination record from each school for each student; if a school submits another origination record with different data for a student, RFMS treats the new record as an update to the original record.

A school can submit an origination record as early in the year as it chooses, once the system starts up. It is to the school's benefit to submit origination records well in advance of the time of disbursement. This will allow the school enough time to correct any problems with the student's eligibility that might otherwise delay disbursements. Also, RFMS has to

accept an origination record for a student before a disbursement record can be processed and a disbursement is made. Submitting the origination records early ensures that disbursement records are not rejected because there is no acceptable origination record.

If a school does submit an origination record and disbursement record for a student in the same batch, the origination record gets processed first. However, if there is a problem with that origination record and it is rejected, the disbursement record is also rejected.

The software should help schools enter data in the correct origination record format. Some fields of the origination record are required and others are optional. The school should still make sure the information is correct and included for all fields of the origination record for that student. The EDEExpress software does not let the school submit invalid data, and schools should make sure that any programs they use do the same.

### ***Origination Record Acknowledgement***

When RFMS receives origination records, it edits them to make sure there are no errors. Then it sends an acknowledgement back to the school. RFMS sends one acknowledgement record back for each origination record it received. RFMS accepts the origination record without corrections, make corrections to some of the items, or reject the record. RFMS only rejects the record if there are errors that can't be corrected.

The acknowledgement record has an action code that shows whether the origination record is accepted (A), corrected (C), duplicated (D), or rejected due to errors (E). The record also has Edit/Comment Codes that explain why a particular record was corrected or rejected.

When an origination record is accepted or corrected, the acknowledgement record reports the values on file within RFMS for each data element on the origination record. RFMS keeps each data element's accepted or corrected value. If an origination record was rejected, the acknowledgement record reports the values reported by the school for each data element. RFMS does not keep any data for an origination record that was rejected due to errors.

Schools should check records rejected because the SSN was invalid or didn't match (edit code 303); in many cases, this means that the student isn't in the Pell database. The school must correct (or have the student correct) these errors on the SAR/ISIR before it can receive any payment for the student from ED.

## **Disbursement Records**

A school must report each payment made to each eligible student. RFMS has one record for reporting disbursements: the disbursement record. Schools use the disbursement record, which has only 5 items the school needs to report.

**Note:** One item, Payment Period Start Date, is filled out only when a school becomes ineligible. This item helps RFMS to decide whether the school will receive Pell award funds again.

### ***Timing of Submissions***

Before RFMS accepts a disbursement record, it must have an accepted origination record for the student. Although a school can submit both records in the same batch, if there is a problem with the origination record and it is rejected, the disbursement record is not accepted.

Under Advance Funding, a disbursement record can be submitted as early as 30 days before the actual disbursement date. However, a school may want to wait until closer to or after the disbursement date, because if a reported disbursement isn't made, the school must submit another disbursement record reducing the payment amount. Schools using Just-In-Time Funding can submit records up to five days before the disbursement date.

In all cases, a record that is submitted too early is rejected. A disbursement record should be submitted no later than 30 days after the disbursement is made. A school is required to report disbursements within 30 days of making the payment (see "Reporting Deadline," *2000-2001 Student Financial Aid Handbook*, Pell Reference).

### ***Disbursement Acknowledgement Record Items***

The disbursement record must have an Origination ID, which must match an origination record in the RFMS database. If there is no match, the disbursement record is rejected. It must also have a disbursement reference number. Some software programs, including EDEExpress, assign a disbursement reference number automatically when the disbursement is entered in the software. If the school assigns these numbers, the number must be from 01 to 90 and must be different for each of the student's disbursements. Schools may find it convenient to number each student's first disbursement 01 and use consecutive numbers for the following disbursements.

There are two parts to reporting the disbursement amount. If the Accepted Debit/Credit Indicator field on the disbursement record is set to P (positive), it means the school is reporting a positive disbursement (money paid to the student). If it is set to "N" (negative), the school is reporting a negative disbursement (money taken from the student or an award reduction). On the first disbursement record the school submits for a student, the Accepted Debit/Credit Indicator field must be "P" (positive).

The school reports the disbursement amount separately from the indicator. The disbursement amount is reported as seven numbers, with no other characters.

When RFMS receives disbursement records, it edits them to make sure there are no errors. RFMS sends one acknowledgement record for each disbursement record back to the school.

RFMS accepts the record without corrections, makes corrections to some of the items, or rejects the record. RFMS rejects the record only if there are errors that cannot be corrected. The acknowledgement record includes an action code that indicates whether the record is accepted (A), corrected (C), duplicate (D), or rejected due to errors (E).

The record also has Edit/Comment Codes that explain why a particular record is corrected or rejected. When a disbursement record is accepted or corrected, the acknowledgement record reports back the values on file within RFMS for each data element on the disbursement record. RFMS keeps each data element's accepted or corrected value. If a disbursement record is rejected, the acknowledgement record reports back the values reported by the school for each data element. RFMS does not keep any data for a record that was rejected due to errors.

The acknowledgement record has a year-to-date (YTD) disbursement amount when a disbursement record is accepted or corrected. The school can use this to help reconcile its records for a student with ED's records of what the student received for the year. If the disbursement record was rejected, the YTD disbursement amount is blank.

### **Multiple Reporting Record**

In order to reduce potential overpayments, RFMS has a record called a multiple reporting record (MRR). This record informs schools when another school submitted an origination record or disbursement record on a student for whom it submitted records. Schools are permitted to request these records, but they may be sent automatically in some situations.

The processes for origination, disbursement, and multiple reporting records are located in the Implementation Guide and in the January 2000 Action Letter on the IFAP Web site ([www.ifap.ed.gov](http://www.ifap.ed.gov)). Information on making corrections and changes to origination and disbursement records are also located in the Implementation Guide.

## **Reconciliation File Record**

A new data request type record, the reconciliation file record, is included in the RFMS record layouts. This type of request can be for an individual student or an entire school. It provides one record of data for each student.

The reconciliation file is a one-record summary of the data RFMS has for the student. This record is similar to the old Student Payment Summary (SPS) record produced by PGRFMS. A school can use this record to reconcile the total disbursement amount per student with RFMS. If the amounts do not match, there is information on the reconciliation record that should help to determine where the discrepancy is located.

## **Year-to-Date Records**

RFMS has year-to-date (YTD) records. The YTD file includes origination and disbursement information for each student, as well as summary information for everything the school submitted. However, the YTD data includes information only from those records that are accepted or corrected. RFMS doesn't keep any information from rejected records. YTD records aren't automatically sent to schools; schools must request them.

The year-to-date records are copies of all of the data for a student in RFMS. The YTD can be used to rebuild a database.

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## System Options

The U.S. Department of Education gives you maximum flexibility in fashioning a system solution that best meets your school's needs. There are three system options:

### **Custom System**

You have the option of developing a system to support all the necessary tasks required to participate in the Federal Pell Grant Program, purchasing a software package from a third-party servicer, or contracting a third-party servicer.

### **EDEExpress for Windows**

EDEExpress for Windows is a comprehensive financial aid management system provided at no cost by the U.S. Department of Education. It is a student-based system that allows you to perform functions, such as processing federal application data, including loading and printing Institutional Student Information Records (ISIRs) received electronically from the Central Processing System (CPS). It also computes student award packages; maintains funds; tracks file documents; generates reports; establishes loan origination records; prints promissory notes; manages disbursement data; reconciles funds; and reports Federal Pell Grant payment data.

### **Combination EDEExpress/Custom System**

You can choose to use a portion of the functions provided by EDEExpress in conjunction with external systems or software from another vendor. EDEExpress allows you to import data captured in other on-campus systems (for example, a financial aid packaging system). You can export data needed by other on-campus systems (such as the school's business office) from the EDEExpress database.

## Items to Consider in Choosing a System Option

The following section addresses questions that may help you decide which system design option is best for your school.

Grant Volume	How large is the grant volume at your school?
Available Resources	How much of the following resources are available: staff, data processing resources, equipment, and money?
Existing Systems	What existing systems are in place and how easy is it to integrate?
Time Constraints	Is there enough time available for a system to be developed?
Campus Communications	Are there existing means of communication between offices involved in the Federal Pell Grant Program? (These offices could include financial aid and bursars.)

The remainder of this section describes the hardware and interface requirements for using the EDExpress Combination System option.

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## PC Requirements

If you are planning an equipment purchase to participate in the Federal Pell Grant Program, the following list describes the minimum required configuration. These requirements are subject to change in 2002. Look for a notice in the Federal Register and a Dear Partner Letter, which was published on December 22, 2000 (Vol. 65, No. 247 pages 80841-80844).

- IBM or fully IBM-compatible PC with a Pentium 200 MHz processor or better.
- 64 MB total memory or more.
- 300 MB of available hard disk space (depending on the functions you use and how many records you store in your database).
- 56 K analog modem K flex or X2 technology.
- Dedicated phone line.
- 3.5"/1.44 MB high-density floppy disk drive, including 3.5" high-density double-sided diskettes.
- Windows 95 keyboard (for example, IBM Enhanced 101 or 102 Keyboard).
- Microsoft compatible mouse.
- Laser printer capable of printing on standard paper (8 ½" x 11").
- 32-bit operating system (Microsoft Windows 95, Microsoft Windows 98, or Microsoft Windows NT 4.0).
- Monitor and video card capable of Super Video Graphics Adapter (SVGA) (800 x 600) resolution (small fonts only). EDEExpress is designed in SVGA. You may use a higher resolution than SVGA at your own discretion.
- Internet Service Provider (ISP) or connection to the Internet. A connection to the Internet is necessary to access the "Info for Financial Aid Professionals" Web site ([www.ifap.ed.gov](http://www.ifap.ed.gov)). It is also necessary for submission of the Application for Approval to Participate in Federal Student Aid Programs (recertification, reinstatement, and changes), and required in order to download the software from the Internet.

## Optional Items to Consider

The following items are recommended as additional tools to assist you in managing your financial aid data:

- 12X CD-ROM drive with sound board for other future software distributions.
- Backup system (for example, a tape backup system) to store your data.
- Power supply backup or surge protectors.
- Phone line surge protector.
- Virus scan software.

**Note:** A backup of EDEExpress should be performed on a regular basis. Make sure your backup can be restored.

If you are running EDEExpress on a local area network (LAN), refer to the LAN Hardware and Software recommendations in the *EDEExpress Installation Guide*, located on the IFAP Web site ([www.ifap.ed.gov](http://www.ifap.ed.gov)).

## Interface Requirements

EDEExpress interfaces with other ED-provided software modules and systems resident on the same PC, with other systems at the school, and via the Student Aid Internet Gateway (SAIG).

## Interface with other ED-provided Software Systems on PC

EDEExpress includes modules for Application Processing, Packaging, Direct Loan, and Pell. You can import ISIRs from the Application Processing module to create Pell Grant records. However, each record requires manual entry (or import change) before the record can be originated. Alternatively, you can import packaged student records from the Packaging module of EDEExpress to create Pell origination records. EDEExpress uses the award amounts calculated in the Packaging module to establish the grant records in the Pell module.

The Student Aid Internet Gateway (SAIG) communications software, EDconn32, can coexist on the same PC with EDEExpress. EDconn32 is a Window's-based software package that participants use to transmit data across the network to the RFMS systems. EDconn32 is compatible with the LAN; however, care should be taken when using EDconn32 in a LAN environment because of its lack of file and record-locking capabilities.

## **Interface with Other Software Systems on Campus**

Your other school computer systems, used for registration or accounting, are potential providers of data to the EDEExpress Pell Grant module. EDEExpress is designed to import data captured in other systems and is reformatted according to specifications provided in this technical reference.

Likewise, data in EDEExpress can be exported for use in other on-campus systems. 2001-2002 Record Layouts for the export files are provided so your school systems can be modified.

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## Sources of Assistance

If you have problems or questions, listed below are sources of assistance.

**Note:** Telephone numbers are subject to change.

**~~CPS Customer Service~~ CPS/WAN Technical Support** **800/330-5947**

**Telecommunications Device for the Deaf (TDD/TTY)** **800/511-5806**

*E-mail: ~~eps@nes.com~~ cpswan@ncs.com*

*SFA Technical Support:*

*<http://www.ed.gov/offices/OSFAP/sfatech/listserv.html>*

*Fax: 319/358-4260*

*Working hours are 7 a.m. - 7 p.m. (CT), Monday through Friday*

- CPS Batch Status
- Custom/Combo/Mainframe Support for Direct Loans
- Software
  - EDE Express Software—App Express, Packaging, Direct Loan, and Pell
  - FISAP Software
  - QA Tools Software
  - SSCR-32 Software
- Technical References
  - Direct Loan Technical Reference
  - EDE Technical Reference
  - FISAP Technical Reference
  - Packaging Technical Reference
  - SSCR Technical Reference
- Rejected EDE Records and Batches
- Renewal Application Processing
- Use of CPS On-line Query

- *Billing and Invoices*
- *Campus-Based Award Letter*
- *EDconn32*
- *EDE Enrollment and Participation*
- *Network Password Changes and Resets*
- *Software and User Manual Distribution*
- *Transmission Errors*

**Customer Service Call Center (CSCC)**

**800/4ED-SFAP  
or 800/433-7327**

*E-mail: SFA\_Customer\_Support@ed.gov*

*Fax: 202/260-4199*

*Working hours are 9 a.m. - 5 p.m. (ET), Monday through Friday*

- Application Processing Questions
- Help with Contacting Other Staff in the U.S. Department of Education
- Title IV Policy Questions

**Direct Loan Client Account Managers**

Region I (CT, MA, ME, NH, RI, VT)	617/565-6911
Region II (NJ, NY, PR, VI)	212/264-8012
Region III (DC, DE, MD, PA, VA, WV)	215/656-5929
Region IV (AL, FL, GA, KY, MS, NC, SC, TN)	404/562-6259
Region V (IL, IN, MI, OH, WI)	312/886-8766
Region VI (AR, LA, NM, OK, TX)	214/880-2405
Region VII (IA, KS, MO, NE)	816/880-4090
Region VIII (CO, MN, MT, ND, SD, UT, WY)	303/844-3677, EXT 121
Region IX (AZ, CA, HI, NV)	415/556-4201
Region X (AK, ID, OR, WA)	206/287-9840

**Direct Loan Consolidation**

**800/557-7392**

*E-mail: loan\_consolidation@mail.eds.com*

*Web site address: <http://www.ed.gov/DirectLoan/consolid.html>*

*Working hours are 7 a.m. - 7 p.m. (CT), Monday through Friday*

**Direct Loan Operations Staff**

**202/708-9951**

*E-mail: [direct\\_loans@ed.gov](mailto:direct_loans@ed.gov)*

Direct Loan Procedures and Operations

*Web site address: <http://www.ed.gov/DirectLoan>*

*Working hours are 7:30 a.m. – 4:30 p.m. (ET), Monday through Friday*

**Direct Loan Origination Center**

**800/848-0978**

*E-mail: [loan\\_origination@mail.ed.gov](mailto:loan_origination@mail.ed.gov)*

*Fax: 800/557-7396*

*Working hours are 8 a.m. - 8 p.m. (ET), Monday through Friday*

- Acknowledgements
- Batch Integrity Errors
- Check Sum Errors
- Direct Loan Batch Status
- Implementation Guide Questions
- Interface Issues
- Promissory Notes
- Rejected Direct Loan Batches

**Direct Loan Servicing Center**

**800/848-0979**

*(Borrower Referral Only)*

**Telecommunications Device for the Deaf  
(TDD/TTY)**

**800/848-0983**

*Working hours are 8 a.m. - 8:30 p.m. (ET), AVR Available 24 Hours a Day, Monday through Friday*

*Web site address: <http://www.dlServicer.ed.gov>*

*Fax: 800/848-0984*

**School Services****888/877-7658**

*Working hours are 8 a.m. - 5:30 p.m. (ET)*

- Delinquency Issues
- Interface Issues

**FAFSA on the Web and FAFSA Express  
Customer Service****800/801-0576**

*E-mail: FAFSAWeb@ncs.com*

*FAFSA on the Web site address: <http://www.fafsa.ed.gov>*

*FAFSA Express Web site address:  
<http://www.ed.gov/offices/OPE/express.html>*

*PIN Web site address: <http://www.pin.ed.gov>*

*Working hours are 7 a.m. - 10 p.m. (CT), Monday through Friday*

- Application Status
- FAFSA Express Software Assistance
- FAFSA on the Web, Renewal App on the Web, and Correction on the Web Assistance
- General Questions on Electronic Filing
- Help Accessing the Web Page

## **Federal Pell Grant Program**

**800/4PGRANT  
or 800/474-7268**

*E-mail: ~~pell\_systems@ed.gov~~ **pell.systems@ed.gov***

Fax: 301/548-2396

Web site: <http://www.pellgrantsonline.ed.gov>

*Working hours are 8 a.m. - 8 p.m. (ET) Monday through Friday*

### **Customer Service**

- Batch Processing Status and Rejected Batches
- Current Authorization Level
- General Inquiries concerning RFMS
- Information and Data Request Regarding Award Years Prior to 1999-2000
- Pell Grant Web Page Questions

### **Web Site**

- Authorization Level for 1999 – the present
- Batch Status for 1999 – the present
- Links to Pell Grant resources

**CMO Offices**

Boston Team (CT, ME, MA, NH, RI, VT)	(617) 223-9338
New York Team (NJ, NY, PR, Virgin Islands)	(212) 264-4022
Philadelphia Team (DC, DE, MD, PA, VA, WV)	(212) 656-6442
Atlanta Team (AL, FL, GA, MS, NC, SC)	(404) 562-6315
Chicago Team (IL, MN, OH, WI)	(312) 886-8767
Dallas Team (AR, LA, NM, OK, TX)	(214) 880-3044
Kansas City Team (IA, KS, KY, MO, NE, TN)	(816) 880-4053
Denver Team (CO, MI, MT, ND, SD, UT, WY)	(303) 844-3677
San Francisco Team (AZ, CA, HI, NV, American Samoa, Guam, States of Micronesia, Palau, Marshall Islands, N. Marianas)	(415) 556-4295
Seattle Team (AK, ID, IN, OR, WA)	(206) 287-1770

**Federal Student Aid Information Center**

**800/4FED AID  
or 800/433-3243**

**Telecommunications Device for the Deaf  
(TDD/TTY) 800/848-0983**

**800/730-8913**

*Working hours are 8 a.m. - 8 p.m. (ET), Monday through Friday*

- Application Status
  - Distribution of Selected Publications
  - NSLDS Borrower Tracking Questions
  - Student Financial Aid Program Questions
  - Duplicate SARs or Address and School Changes
- (Student only): 319/337-5665

**Grant Administration and Payment System  
(GAPS)**

**888/336-8930**

*Web site address: <http://gapsweb.ed.gov>*

*Working hours are 8 a.m. – 8 p.m. (ET), Monday through Friday*

**National Student Loan Data System (NSLDS)**

**800/999-8219**

*Working hours are 7 a.m. - 7 p.m. (CT), Monday through Friday*

- NSLDS Batch Status
- Online NSLDS
- Perkins Data
- Rejected NSLDS Records
- SSCR Assistance

**Program Development Division**

**202/708-8242**

*Working hours are 8 a.m. to 4:30 p.m. (ET), Monday through Friday*

- Policies
- Regulations

**~~Title IV WAN Customer Service~~**

**800/615-1189**

*E-mail: ~~t4wan@ncs.com~~*

*Fax: ~~319/339-6983~~*

*Working hours are ~~7 a.m. - 10 p.m. (CT), Monday through Friday~~*

- ~~Billing and Invoices~~
- ~~Campus-Based Award Letter~~
- ~~EDconn32~~
- ~~EDE Enrollment and Participation~~
- ~~Network Password Changes and Resets~~
- ~~Software and User Manual Distribution~~
- ~~Transmission Errors~~

**~~Universal Automation Labs (UAL)~~**

**877/801-7168**

***FISAP Technical Support***

*Fax: ~~301/565-0613~~*

*Working hours are ~~8 a.m. - 5:30 p.m. (ET), Monday through Friday~~*

- FISAP Edit File
- FISAP Replacement Year-to-Date File

# Custom Layouts

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## Processing Pell Grant Data – Processing Cycles

Pell Grant processing relies on Electronic Data Exchange (EDE). Schools exchange data with the RFMS routinely. Schools should develop data production and transmission schedules around the various Pell Grant processing cycles. The major processing cycles are:

- Origination Record
- Disbursement Record

The Federal Pell Grant Program affords schools maximum flexibility in the timing and content of their transmissions. However, certain rules apply. The RFMS processes school data via the Student Aid Internet Gateway (SAIG, formerly Title IV WAN) daily, in the following order:

- Origination Records
- Disbursement Records

Generally, the RFMS retrieves data from the Student Aid Internet Gateway (SAIG, formerly Title IV WAN) four times each day at approximately 6:05 a.m., 11:05 a.m., 1:05 p.m., and 5:05 p.m. (ET). The times RFMS returns data to the SAIG depend on the volume of data retrieved. For the majority of the time, the acknowledgements are returned to SAIG within 5 hours.

## **Pell Authorization**

RFMS sends an Electronic Statement of Account (ESOA) to schools to notify them of their initial authorization. As the school reports disbursements to RFMS, RFMS makes any necessary adjustments to the authorization and notifies GAPS so that funds will be available to the school. RFMS enables the Department to track a school's need for funds as the award year progresses and adjust the school's authorization on that basis.

The Electronic Statement of Account is a 200-byte fixed-length record. ESOAs are transmitted by the RFMS to the SAIG on the same day they are processed by the Department. There are no paper SOAs for 2001-2002; instead, the file is sent in the PGAS message class. ESOAs can be retrieved by your school at any time for a six-month period following their placement on the network. If they are not retrieved within this six-month period, they are deleted.

ESOA's are transmitted in batches containing a batch header record, one or multiple ESOAs, and a batch trailer record. Descriptions of the contents of these records follow later in this section.

Under SAIG, records are no longer broken into 80-byte segments; therefore, reformatting to recombine transmission segments back into 200-byte ESOA records is no longer necessary.

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## Origination Records

The origination record establishes a student's eligibility and amount of annual Pell Grant award in the RFMS.

- Origination records are prepared and submitted by schools to RFMS.
- Origination record data is received and edited by RFMS to ensure that the student is eligible to receive the reported amount of Federal Pell Grant funds and to establish the student account in the RFMS.

After RFMS edits the origination data, it returns the accepted, corrected, duplicate, or rejected values for each origination record in an origination acknowledgement record. The origination acknowledgement record contains:

- Acceptance status of the record.
- Accepted or corrected value for each data item.
- Comment codes for corrections or rejections.

In a rejected record, all data is sent back as reported by the school. For accepted records, the origination acknowledgement record also contains an RFMS calculated student scheduled award.

Origination records can be updated if needed when the origination acknowledgement record is received by the school. Changes to the origination record which result in a reduction of the award amount may result in RFMS generating negative disbursements. Origination award amounts are used to verify disbursement requests. For more details, see the Implementation Guide.

No changes should be made to any record that has not been acknowledged.

## Academic Calendar

The Academic Calendar is an academic term that is used by schools to describe student's credit hours. It is also a field of the Origination Record (field position 207). The Academic Calendar must be valid or system-accepted for the Origination Record to be processed. The Academic Calendar dictates which Payment Methodology can be accepted. The Academic Calendar has the following values:

- 1 = Credit Hours (nonstandard terms)
- 2 = Credit Hours – Standard Terms of Quarters
- 3 = Credit Hours – Standard Terms of Semesters
- 4 = Credit Hours – Standard Terms of Trimesters
- 5 = Clock Hours
- 6 = Credit Hours Without Terms

## Submitting Origination Records

### *Headers and Trailers*

An RFMS submission can include one type of data, such as Origination or multiple types of data such as Origination and Disbursement. To keep the data in order, there is a system of Headers and Trailers.

An example is provided below:

Transmission Header

Transmission batch Header "PGOR00IN"

Grant Batch Header "#O"

Origination Record

Grant Batch Trailer

Transmission Batch Trailer

Transmission Batch Header "PGDR00IN"

Grant Batch Header "#D"

Disbursement Record

Grant Batch Trailer

Transmission Batch Trailer

Transmission Trailer

Schools using EDEExpress for creating batches and EDconnect to send them simply batch and export their data as the instructions indicate and all the Headers and Trailers will automatically be applied when the data is sent to Pell.

Schools using a third party software or a mainframe to process their data can use EDconnect to send the data. EDconnect will apply the Transmission Header and Trailer and the Transmission Batch Header(s) and Trailer(s) to the batches. The third party software or mainframe must create the Grant Batch Header(s) and Trailer(s).

The software the school uses to prepare origination records should help it enter data in the correct origination record format. Some fields that can be entered in the origination record are required, and others are optional. The school will need to make sure the information is correct in both types of fields of the origination record for that student.

**Tip:** When a Grant Batch Header fails batch level edits, the entire origination record batch is returned to the school/servicer. The Grant Batch Header returned provides the Batch Reject Reasons.

### ***Construction***

Schools must be operational for EDE Electronic Payments Service in order to submit Federal Pell Grant origination and disbursement data via the SAIG. (The school/servicer point initiates an origination record batch by transmitting the following):

- **Grant Batch Header Record:** The grant batch header record reports the school's identifying code numbers, output media type, and processing dates.
- **Origination Record:** An origination record is included for each student reported in the origination batch. All fields applicable to the recipient must be completed. No fields may be left blank unless noted in the record layout.

- **Grant Batch Trailer Record:** The grant batch trailer record reports the number of student records included in the transmission; amount reported on this transmission; and the total number of records in this transmission.
- **Grant Batch Editing:** The RFMS receives each origination batch from the SAIG and performs specific batch-level edits. If the submission passes all of these edits, the batch is submitted for Federal Pell Grant program processing. If a grant batch fails any of the batch-level edits, the header record is updated to indicate the reason for rejection and the header and trailer are returned to the submitting school/servicer for corrective action. None of the transaction data in the rejected batch are forwarded to the program for processing.

The grant batch reject reasons field, positions 77 - 100 of the grant batch header record, indicates the specific reject reason(s). Grant Batch Reject Reasons are listed in Appendix D.

Each batch number may only be submitted once to RFMS for processing. If the same batch number is submitted twice, it will be rejected at the second submission. If a batch is sent twice in error at the same time, both batches will be rejected. The batch number in the Grant Header and the Grant Trailer must both be changed with each new batch.

All other fields contain blanks. When the RFMS finds a missing grant batch trailer, the RFMS constructs a grant batch trailer record for the returned batch.

During the edit process, batches are either approved or rejected. For rejected batches, the grant header and trailer are returned immediately to the school without the detail records. The rejected grant header shall have the comment codes to notify the school why the batch was rejected. Schools must resubmit the detail records in new batches with new batch numbers after the errors are corrected. If the Pell Reporting Campus ID number in the grant header record is missing or incorrect, the batch acknowledgement cannot be returned to the school.

The grant batch reject reasons are specific to electronic processing and are different from the edit/comment codes produced in Federal Pell Grant Program processing. Grant batch reject reasons indicate errors related to the transmission of origination and disbursement data between the school/servicer and the RFMS. The edit/comment codes, on the other hand, apply to all Federal Pell Grant origination and disbursement processing. The text associated with each edit/comment code is provided at the end of this technical reference as Appendix D.

## Origination Record Batch Processing

Federal Pell Grant processing creates an origination acknowledgement for every record sent, minus those transactions that are skipped due to rejected batches. An origination acknowledgement is returned to the school/servicer for each student record in origination record batches received and processed by the Federal Pell Grant Program. (Origination record batches received and processed **exclude** rejected origination record batches.) All questions regarding these reports should be directed to Pell Customer Service at 800/4PGRANT.

RFMS transmits origination acknowledgement batches to the network for pick-up by the school/servicer. The school/servicer should receive back an origination acknowledgement batch for each accepted origination record batch it transmits. Batch integrity is maintained during processing.

RFMS transmits origination acknowledgement batches to the network the same day they are processed by the Federal Pell Grant Program. The school/servicer retrieves the origination acknowledgement batches following their placement on the network.

## Origination Acknowledgement Records

Origination acknowledgement records contain the data reported by the school/servicer on the origination records, edit/comment codes, and any corrections or reject reasons applied during Federal Pell Grant processing of the origination records.

The school/servicer must review each origination acknowledgement batch for corrections applied and for rejects; then correct the data as required. The school/servicer corrects origination acknowledgements by transmitting a new origination record for each student whose data requires changes.

Duplicates are not rejected records, but should be reviewed by schools/servicers for any problems or software issues.

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## Disbursement Records

Disbursement records are used to report student Pell Grant disbursement data to ED. They also determine and commit the amount of Federal Pell Grant funding available to each school.

As in prior award years, each school under the advance payment method receives an initial authorization as start-up funding. For example, if the initial authorization amount established by the Department is \$100,000 and the school reports disbursements totaling \$101,000, that school's authorization will increase by \$1,000. Schools receive Electronic Statements of Account (ESOA) for each adjustment to their authorization, after the disbursements exceed the initial authorization.

Schools prepare and submit disbursement records to RFMS for each disbursement made to a recipient, using EDEExpress or their own software. Each student disbursement record must have a unique reference number. In assigning these numbers, it is recommended that schools start with number one (01) for a student and use consecutive numbers for each additional disbursement transaction submitted to the Department for that student. (Note that 91-99 are reserved for ED use.)

RFMS receives and edits the disbursement record against accepted origination records. If an origination record match is not found, RFMS rejects the disbursement record. If a disbursement exceeds the accepted origination record annual award or 100% of the student's eligibility across all schools, RFMS corrects the record by adjusting it downwards.

## Disbursement Acknowledgement Records

After RFMS processes disbursement records for a school, it sends the school a disbursement acknowledgement. These acknowledgements provide schools with an accurate and timely status of their accepted Federal Pell Grant disbursements. With this information, schools can reconcile their disbursement records with the Department.

If disbursement records are submitted with origination records, RFMS processes the origination records before the disbursement records. If RFMS rejects the origination record, it will also reject the disbursement record. It is recommended that schools send origination records to RFMS early so that records can be edited and problems resolved before schools make disbursements to students.

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## Printing the ESOA

The Department of Education specified format for printing ESOAs is provided in the ESOA Print Format and Specifications found in the Custom Layouts Section 1.

EDEExpress checks the ESOA record to ensure that an ESOA for the correct award year is printed by the correct software. If you develop your own software, you need to implement the same check.

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## Data Request Records

The Data Request record is submitted by the school to request information files from RFMS. These files are Multiple Reporting, Statement of Account, Year-to-Date, and Reconciliation data. The Multiple Reporting Record and Statement of Account are sent throughout the Award Year by RFMS automatically as they are generated. By using the data request, schools can also obtain this information on demand. The Year-to-Date file must always be requested by the school.

A Data Request may be sent electronically, as a file, or may be submitted through the RFMS Web page ([www.pellgrantsonline.ed.gov](http://www.pellgrantsonline.ed.gov)). If a school submits a Year-to-Date or Reconciliation request with all zeroes (0) in the attended campus field, the file is generated for the reporting campus as well as all attended campuses under the reporting campus. If a school submits a request and leaves the attended campus field blank, the request will be rejected. If a school enters a valid attended campus ID associated with the reporting campus, a Year-to-Date or a Reconciliation file will be generated for that campus.

### Data Request Acknowledgement Records

After RFMS processes the Data Request records, a Data Request Acknowledgement record is sent back to the institution for all data requests received.

### *Institution Data Records*

The Institution data record contains changes to the school's data.

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## Multiple Reporting Records

The Multiple Reporting Record (MRR) process provides information to a school about a student's origination and disbursement status at other schools and the amount of the scheduled award disbursed. This new function allows schools to identify the two primary types of multiple reporting conditions: concurrent enrollment and eligibility overaward. MRRs may be requested at any time by submitting a data request record.

An MRR can be system generated automatically by RFMS or requested if a disbursement record is submitted and the system detects a Potential Overaward Project (POP) condition. POP is a process that prohibits an eligible student from receiving more than the maximum Federal Pell Grant scheduled award amount when two or more schools report disbursements for the same student.

### Multiple Reporting Record Process

Schools prepare and submit origination records for eligible students to RFMS using EDEExpress or their own software. After a school receives an Origination Acknowledgement, it may submit a data request record with a type code of "M" (for multiple). RFMS receives and edits the MRR data request to verify that the student has been originated at that school and that the physical layout of the record is accurate. If the record passes these edits, RFMS will search the database to identify all other originations and disbursements submitted by other schools for the students requested on the MRR. RFMS returns the data requested or rejects the request. If the request is rejected, RFMS acknowledges the receipt of the request and identifies the reason for its rejection.

For example:

- If a data request record containing correct data is submitted after the school has processed origination records, RFMS will accept the record and return an MRR for every student the school has originated that has been originated by another school.
- If a school submits a data request record but RFMS cannot find originations or disbursements to return on the MRR, RFMS will produce a rejection indicating there was no data.

- If a school specifies an MRR type code 2 of “S” (for student) and leaves the student identifier blank, RFMS will reject the record and produce an acknowledgement telling the school the request was incomplete.

Schools are encouraged to request MRRs prior to requesting disbursements to reduce the number of problems with POP.

A copy of the edits that RFMS uses to process data request records is included at the end of this section in Appendix D.

To provide additional assistance in submitting data requests records and the most effort-free process as possible, many of the RFMS edits have been incorporated into the EDEExpress software.

## Requesting Multiple Reporting Records

There are several options available to you when requesting a MRR. A school can submit a data request created in either EDEExpress, their own software, or on the RFMS Web page ([www.pellgrantsonline.ed.gov](http://www.pellgrantsonline.ed.gov)).

The requesting school must submit their data request in any of these platforms with the following information:

- Attended campus
- Multiple Reporting Request Code 1 = indicates the school is requesting data about Originations or Disbursements
  - O = Send Origination information
  - D = Send Disbursement information
- Multiple Reporting Request Code 2 = indicates the school is requesting data for a selected student, a selected school or all students
  - S = Send other schools for selected student
  - I = Send students for selected schools
  - A = Send all students
- MRR Student ID = The Student SSN and Name code is required if a selected student was indicated in Multiple Reporting Record Code 2, otherwise leave blank.
- MRR Institution Pell ID = The Pell ID for the selected school that was indicated in Multiple Reporting Record Code 2, otherwise leave blank.

In order to ensure that you receive the data that you are requesting caution should be used when building your request.

Most schools will be requesting the Multiple Reporting Request Code 1–D and Multiple Reporting Request Code 2–A. This will provide a listing of all of the school’s students who have received funding from any other school in the current award year.

A request for Multiple Reporting Request Code 1–O and Multiple Reporting Request Code 2–A will result in a tremendous amount of data and is not recommended. This request will provide a listing of all of the school’s students who were originated at any other school in the current year. A student may send their FAFSA to as many as six schools and all six schools may send an origination record and this would be multiplied by the number of students at the requesting school.

The following are the guidelines for which combination of Multiple Reporting Request Code 1 and Multiple Reporting Request Code 2 to use:

- O + A Originated students for all schools
- O + S Selected originated students
- O + I Originated students for selected schools
- D + A Disbursed students for all schools
- D + S Selected disbursed students
- D + I Disbursed students for selected schools

## **Types of Multiple Reporting Records Produced by RFMS**

The two primary types of multiple reporting conditions that RFMS will identify are concurrent enrollment and eligibility overaward. In the case of concurrent enrollment, RFMS automatically generates and sends each school an MRR with a type code of “CE.” In the case of eligibility overaward, RFMS sends the blocking school an MRR with a type code of “PB” and the blocked school an MRR with a type code of “PR.” Because concurrent enrollment and eligibility overaward can occur simultaneously, RFMS produces combination codes of “RC” to the blocked school and “BC” to the blocking school.

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## Reconciliation File Record

For 2001-2002, a new Data Request type record, the Reconciliation File record, has been added to the RFMS record layouts. This type of request can be a request for an individual student or an entire school.

The Reconciliation file is a one record summary of the data RFMS has for the student. This record is similar to the old Student Payment Summary (SPS) record that was produced from PGRFMS. This record can be used to reconcile the total disbursement amount per student with RFMS. If the amounts do not match then there is information on the Reconciliation record that should help to determine where the discrepancy is located.

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## Potential Overaward Project (POP)

When schools submit a disbursement request, RFMS searches the database to determine if another school has submitted a disbursement for the same student. If RFMS finds another disbursement, the system checks the enrollment date reported by that school and calculates the total amount of the scheduled award disbursed. If the enrollment date at the other school is within 30 days of the enrollment date the requesting school has reported, or if the total Pell Grant award disbursed plus the disbursement being requested exceeds the student's scheduled award, RFMS produces an MRR for both schools and, if necessary, reduces the amount of disbursement.

Using the new RFMS, schools submit disbursement records only when they disburse funds to students and POP conditions are reported daily. Schools now have the capability to identify possible POP problems before they disburse funds by requesting an MRR. If schools do not identify POP situations before disbursing funds to students, RFMS automatically sends MRRs to the disbursing school and the other school(s) when it processes overaward disbursement records.

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## Electronic Requests for RFMS Data Batches

To assist schools in maintaining their student information within the EDEExpress software databases, the Department makes available:

1. Reposting individual acknowledgement batches within six months of posting in Student Aid Internet Gateway (SAIG, formerly Title IV WAN), and
2. A complete file of origination and disbursement data records processed year-to-date by the RFMS.

To have an acknowledgement batch reposted, contact SAIG.

You may send a request for the YTD electronically, via a feature in the EDEExpress software. The request is built and sent to SAIG by the software. The screens showing this feature will lead you through the process. The RFMS picks up the request, validates the request, then builds and sends the requested data back to the requesting school/servicer through the SAIG.

**Note:** You may continue to use current methods of calling the Pell Customer Service, or submitting a letter to request the data.

To help schools reconcile their databases with the RFMS master files, Year-to-Date (YTD) data is available electronically. The EDEExpress software compares each student's RFMS record against the corresponding record in your database and alerts you of any differences. The Department discontinued sending SPS' on paper and/or tape to schools automatically with the beginning of the 1998-99 processing year. Instead, YTDs are provided in the media that the school requests when they submit their requests.

The Year-to-Date records are copies of all of the data for a student in RFMS. The YTD can be used to rebuild a database.

**Note:** All schools are required to transmit electronically.

You can use the RFMS Web page at [www.pellgrantsonline.ed.gov](http://www.pellgrantsonline.ed.gov) or refer to the RFMS Record Layouts to populate the data request record for submission to SAIG.

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## 2001-2002 RFMS Record Layouts

The remainder of this section includes the following: 2001-2002 RFMS Record Layouts:

### ***TIVWAN (SAIG) Transmission***

- TIVWAN (SAIG) Transmission Header Record Description
- TIVWAN (SAIG) Transmission Batch Header Record Description
- TIVWAN (SAIG) Transmission Batch Trailer Record
- TIVWAN (SAIG) Transmission Trailer Record

### ***Creating an Origination Record and Receiving Acknowledgement***

- Grant Batch Header Record Description
- Grant Batch Trailer Record Description
- Origination Record Description
- Origination Acknowledgement Record Description

### ***Batch Reject Reasons***

- Origination and Disbursement Record Batch Reject Reasons
- Disbursement Record Batch Reject Reasons
- Data Request Record Batch Reject Reasons

### ***Creating a Disbursement Record and Receiving Acknowledgement***

- Disbursement Record Description
- Disbursement Acknowledgement Record Description

### ***Receiving and Processing ESOAs***

- ESOA Record Description (Summary)
- ESOA Record Description (Detail)

### ***Printing the ESOA***

- 2001-2002 ESOA Print Format
- ESOA Printing Guidelines
- Institution Data Records and Acknowledgements
- Institution Data Record Description
- Institution Data Acknowledgement Record Description

### ***Electronic Data Requests***

- Data Requests: Multiple Reporting, Reconciliation, SOA, YTD Record Description
- Data Request Acknowledgements Record Description
- Multiple Reporting Record Description
- Reconciliation File Record Description
- Year-to-Date Record (Origination) Description
- Year-to-Date Record (Disbursement) Description
- Year-to-Date Record (Summary) Description

### ***Importing Data to Populate Databases***

- External Origination Add/Change Record Description
- External Disbursement Add/Change Record Description

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# TIVWAN Transmission Records

What's included:

- TIVWAN Transmission Header Record Description
- TIVWAN Transmission Batch Header Record Description
- TIVWAN Transmission Batch Trailer Record
- TIVWAN Transmission Trailer Record

**Note:** The Title IV Wide Area Network (TIVWAN) has been renamed to the Student Aid Internet Gateway (SAIG). For the purposes of this technical reference, we have used the name TIVWAN to refer to the various related record layouts.

## TIVWAN Transmission Header Record

Field Positions		Length (# of Bytes)	Type	Field Name	Description	Valid Values	Processing Notes/Edits
First	Last						
1	5	5	A/N	TIVWAN Transmission Header ID	Literal value for Header ID	Constant: "O*N01"	Missing Transmission Header - Reject Transmission
6	53	48	A	Unused	Reserved for future use	Constant spaces	
54	55	2	A/N	Header Indicator	TIVWAN Transmission Header Indicator	Constant: "73"	
		XX	A	Unused	Length extended to make the transmission records match the Message Class record length.	Constant spaces	
		≥80		Total Record Length			

Type = A (Alphanumeric)  
 = N (Numeric)  
 = D (Date)

## TIVWAN Transmission Batch Header Record

Field Positions		Length (# of Bytes)	Type	Field Name	Description	Valid Values	Processing Notes/Edits
First	Last						
1	5	5	A/N	TIVWAN Batch Header Identification Number	<i>TIVWAN Batch Header ID</i>	Constant: "O*N05"	Missing Transmission Header -Reject Transmission
6	12	7	A/N	Header Destination Number	TIVWAN Destination Mailbox ID	'TGXXXXX' where 'XXXXX' is a five-digit number assigned to Destination	
13	19	7	A	Unused	Reserved for future use	Constant spaces	
20	24	5	A/N	Header Class Label	Text used to identify that the next field is a Message Class	Constant: ",CLS = "	
25	32	8	A/N	Header Message Class	Valid Message Class	Format = XXXXY[IN/OP] where: XXXX = Literal for rec type YY = last year in cycle = '02' for 2001-2002 IN = for records IN to RFMS OP = for records OUT of RFMS	
33	36	4	A/N	Header XXX Label		Constant: ",XXX"	
37	41	5	A/N	Header Batch label	Text used to identify the next field is a Batch ID	Constant: ",BAT = "	
42	58	17	A/N	Header Batch ID	17-digit character batch ID. If not used, set to all zeros.	Batch ID: "00000000000000000"	

## TIVWAN Transmission Batch Header Record (Continued)

Field Positions		Length (# of Bytes)	Type	Field Name	Description	Valid Values	Processing Notes/Edits
First	Last						
59	64	6	A/N	Header NCNT Label	Text used to identify the next field is the number of records included in this batch.	Constant: ",NCT = "	
65	70	6	N	Header NCNT	Number of records included in this batch	"000000"	
		XX	A	Unused	Length extended to make the transmission records match the Message Class record length.	Constant spaces	
		≥80		<b>Total Record Length</b>			

## TIVWAN Transmission Batch Trailer Record

Field Positions		Length (# of Bytes)	Type	Field Name	Description	Valid Values	Processing Notes/Edits
First	Last						
1	5	5	A/N	TIVWAN Batch Trailer Identification Number	Record Identifier	Constant: "O*N95"	Missing Transmission Trailer- Reject transmission No detail records - Reject transmission
6	12	7	A/N	Trailer Destination Number	TIVWAN Destination Mailbox ID	'TGXXXXX' where 'XXXXX' is a five-digit number assigned to Destination	
13	19	7	A	Unused	Reserved for future use	Constant spaces	
20	24	5	A/N	Trailer Class Label	Text used to identify that the next field is a Message Class	Constant: ",CLS = "	
25	32	8	A/N	Trailer Message Class	Valid Message Class	Format = XXXXYY[IN/OP] where: XXXX = Literal for rec type YY = last year in cycle = '02' for 2001-2002 IN = for records IN to RFMS OP = for records OUT of RFMS	
33	36	4	A/N	Trailer XXX Label		Constant: ",XXX"	
37	41	5	A/N	Trailer Batch Label	Text Used to identify the next field is a Batch ID	Constant: ",BAT = "	
42	58	17	A/N	Trailer Batch ID	17-digit character batch ID. If not used set to all zeros	Batch ID = "000000000000000000"	
59	64	6	A/N	Trailer NCNT Label	Text used to identify the next field is the number of records included in this batch.	Constant: ",NCT = "	
65	70	6	N	Trailer NCNT	Number of records included in this batch	"000000"	

## TIVWAN Transmission Batch Trailer Record (Continued)

Field Positions		Length (# of Bytes)	Type	Field Name	Description	Valid Values	Processing Notes/Edits
First	Last						
		XX	A	Unused	Length extended to make the transmission records match the Message Class record length.	Constant spaces	
		≥80		<b>Total Record Length</b>			

## TIVWAN Transmission Trailer Record

Field Positions		Length (# of Bytes)	Type	Field Name	Description	Valid Values	Processing Notes/Edits
First	Last						
1	5	5	A/N	TIVWAN Transmission Trailer ID	Literal value for Trailer ID	Constant: "O*N99"	Missing Transmission Trailer- Reject transmission No detail records - Reject transmission
6	53	48	A	Unused	Reserved for future use	Constant spaces	
54	55	2	A/N	Header Indicator	WAN Transmission Trailer Indicator	Constant: "73"	
		XX	A	Unused	Length extended to make the transmission records match the Message Class record length.	Constant spaces	
		<b>80</b>		<b>Total Record Length</b>			

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# Creating an Origination Record and Receiving Acknowledgement

What's included:

- Grant Batch Header Record Description
- Grant Batch Trailer Record Description
- Origination Record Description
- Origination Acknowledgement Record

## Grant Batch Header Record

Field Positions		Length (# of Bytes)	Type	Field Name	Description	Valid Values	Processing Notes/Edits
First	Last						
1	10	10	A	Header Identifier	Identify Header record in file. Left Justified	<b>This field is required.</b> Constant: 'GRANT HDR'	Missing Batch Header - Reject Batch
11	14	4	N	Data Record Length	Length of data records included in this batch	<b>This field is required.</b> Must be numeric: 0001 to 9999	If not equal to length for Message Class, then Reject Batch.
15	40	26	A	Batch ID	Number generated by the institution to uniquely identify a specific batch of records.	<b>This field is required.</b> Format = XXCCYY999999C CYMMDDHHM MSS Where: XX = batch type code (alpha) CCYY = last year in cycle: '2002' 999999 = Reporting PELL ID CCYYMMDD = date batch created HHMMSS = time batch created.	Valid Batch Type codes: #A = Statement of Account #C = Reconciliation #D = Disbursements #E = Batch Errors #G = System Generated #I = Institution Data #M = Multiple Reporting #O = Originations #P = Origination acknowledgement from the web #R = Data Request #T = ASCII Text #W = Disbursement Acknowledgements from the web #Y = Year-to-Date If duplicate Batch ID, then Reject Batch. If batch type does not agree with Message Class type, then reject batch. If #O, #R, or #I batch and received before system startup, then reject batch. If #D received more than N days prior to Award Year Start, then reject batch. If Batch Award Year does not agree with Message Class award year, then reject. If Reporting Pell ID is ineligible, then send warning message. If Reporting Pell ID is a branch campus or has Central Funding, then reject batch. If date batch created is > system date, then reject batch.

## Grant Batch Header Record (Continued)

Field Positions		Length (# of Bytes)	Type	Field Name	Description	Valid Values	Processing Notes/Edits
First	Last						
41	48	8	A/N	OPE ID	The OPE ID number assigned to the reporting institution	Valid OPE ID number or blank.	If not blank and not equal to OPE ID associated with Pell ID, then warn the batch.
49	58	10	A/N	Software Provider	For non-Express software provide an identifier to indicate the software provider and version number if applicable.	Software provider defined or blank	No edits will be performed on this field. The value will be stored in RFMS for customer service uses.
59	62	4	A	Unused	Reserved for future expansion	Constant spaces	
63	63	1	A	ED Use	ED Use Only – do not use	Constant Spaces	Media Type = Y for Year-to-Date.
64	68	5	A/N	ED Use	ED Use Only - do not use	Constant spaces	ED Express PC software version number.
69	76	8	N	RFMS Process Date	Date RFMS processed the corresponding batch	Format = CCYYMMDD	Completed by RFMS as a result of processing the batch.

## Grant Batch Header Record (Continued)

Field Positions		Length (# of Bytes)	Type	Field Name	Description	Valid Values	Processing Notes/Edits
First	Last						
77	100	24	N	Batch Reject Reasons	List of up to eight 3-digit batch reject reason codes which occurred during initial editing of the batch. Only reject reason codes hit will display in this field. Otherwise, this space will be zero filled.	Reject Reasons format = 000 to 999 Position 77 to 79 = 1st reject reason code Position 80 to 82 = 2nd reject reason code Position 83 to 85 = 3rd reject reason code Position 86 to 88 = 4th reject reason code Position 89 to 91 = 5th reject reason code Position 92 to 94 = 6th reject reason code Position 95 to 97 = 7th reject reason code Position 98 to 100 = 8th reject reason code	Completed by RFMS as a result of Batch editing. These are the 200 series of edits that can be found in the Technical Reference Guide.
		XX	A	Unused	Length extended to make the header record the same length as the detail records which follow.	Constant spaces	
		80		<b>Total Record Length</b>			

## Grant Batch Trailer Record

Field Positions		Length (# of Bytes)	Type	Field Name	Description	Valid Values	Processing Notes/Edits
First	Last						
1	10	10	A	Trailer Identifier	Identify Trailer record in file.	<b>This field is required.</b> Constant: 'GRANT TLR'	Missing Batch Trailer - reject batch. No detail records - reject batch.
11	14	4	N	Data Record Length	Length of data records included in this batch	<b>This field is required.</b> Must be numeric: 0001 to 9999	If not equal to Data Record Length on Header, then reject Batch.
15	40	26	A	Batch ID	Number generated by the institution to uniquely identify a specific batch of records.	<b>This field is required.</b> Format = XXCCYY999999C CCYYMMDDHHMSS Where: XX = batch type code (alpha) CCYY = last year in cycle = '2002' 999999 = Reporting PELL ID CCYYMMDD = date batch created HHMMSS = time batch created	If not equal to Batch ID on Header, then reject Batch.
41	46	6	N	Reported Number of Records	Number of data records included in the batch.	<b>This field is required.</b> Must be numeric: 000000 to 999999	If not equal to count of detail records in input batch, then return warning message.
47	57	11	N	Reported Total of Batch	Total Origination Award Amount or Disbursement amount reported on Origination or Disbursement batches. For all other types of batches this amount will be constant 0.	<b>This field is required.</b> Dollars and cents. Use leading zeros; do not include the \$ sign or decimal point. For ESOA is constant 0. 00000000000 to 99999999999	If not equal to total of detail records in batch, then return warning message.

## Grant Batch Trailer Record (Continued)

Field Positions		Length (# of Bytes)	Type	Field Name	Description	Valid Values	Processing Notes/Edits
First	Last						
58	58	1	A	Reported Total Sign Indicator	Positive or negative sign for total amount reported.	<b><i>This field is required.</i></b> P = Positive N = Negative For ESOA is constant P.	
59	64	6	N	Accepted and Corrected Number of Records	RFMS USE ONLY - Number of data records accepted and corrected by RFMS.	000000 to 999999	
65	75	11	N	Accepted and Corrected Total of Batch	RFMS USE ONLY - Total Award or Disbursement amount accepted and corrected on batch.	Dollars and cents. Use leading zeros, do not include the \$ sign or decimal point. 0000000000 to 9999999999	
76	76	1	A	Accepted and Corrected Total Sign Indicator	RFMS USE ONLY - Positive or negative sign for total amount accepted.	P = Positive N = Negative	
77	100	24	A	Unused	Reserved for future expansion	Constant spaces	
		XX	A	Unused	Length extended to make the trailer record the same length as the detail records.	Constant spaces	
		≥100		<b>Total Record Length</b>			

## Origination Record

Field Positions		Length (# of Bytes)	Type	Field Name	Description	Valid Values	Processing Notes/Edits
First	Last						
1	23	23	A/N	Origination ID	Unique number used to identify an origination.	<b><i>This field is required.</i></b> Format = 999999999XX20029999900 Where: SSN = 001010001 to 999999999 Name Code = XX Year Indicator = 2002 Valid Attended PELL ID = 999999 Orig Sequence Number = 00	Identifier If Origination ID matches on RFMS Database, Then Compare all fields. If all the fields match, then the record is returned as a duplicate otherwise it is a change. If the Origination ID does not match then the Origination is new.
24	32	9	N	Original SSN	Student's SSN from original FAFSA.	<b><i>This field is required.</i></b> 001010001 to 999999999	Identifier
33	34	2	A	Original Name Code	Student's name code from original FAFSA.	<b><i>This field is required.</i></b> Uppercase A to Z; , (period); ' (apostrophe); - (dash); Blank = no last name	Identifier If SSN & Name Code do not match value in Origination ID, then reject record.
35	40	6	N	Attended Campus PELL-ID	PELL-ID of attended campus. Change creates new origination record. Institution must change award amounts for student at original attended campus as necessary.	<b><i>This field is required.</i></b> Valid PELL-ID	Identifier Change creates new origination record. If Attended Pell ID does not match value in Origination ID, then reject record If Attended Campus is not equal to Reporting Campus, then If Attended Pell ID is not a branch of the Reporting Pell ID or Central Funded, then reject.
41	45	5	A/N	Unused	Reserved for expansion.	Constant spaces	
46	58	13	A/N	Institution Cross-Reference	This field can contain any cross-reference information useful to the institution to identify student records internally.	Institution defined	No editing by RFMS will be done on this field.
59	59	1	A	Action Code	Code to indicate action to be taken.	Will always be BLANK	No editing
60	60	1	A	Unused	Reserved for expansion	Constant spaces	

## Origination Record (Continued)

Field Positions		Length (# of Bytes)	Type	Field Name	Description	Valid Values	Processing Notes/Edits
First	Last						
61	67	7	N	Award Amount for Entire School Year	Must equal the award amount calculated by the institution to be disbursed to this student for attendance for this entire Pell Grant award year.	<b><i>This field is required.</i></b> Dollars and cents. Use leading zeros and report cents as '00'; do not include the \$ sign or decimal point. Range = 0000000 to AWARD AMOUNT MAXIMUM	Cannot exceed Total Payment Ceiling - award validation performed. Increases are required to be submitted to RFMS. Any change to origination data requires the Award Amount to be validated.
68	75	8	N	Estimated Disbursement Date #1	Date 1st disbursement to student is estimated to be made.	<b><i>This field is required.</i></b> CCYYMMDD = Range = N days prior to DISBURSEMENT START DATE (20010701) to DISBURSEMENT END DATE ( 20070930).	If Date not within range, then set approved value to system date
76	83	8	N	Estimated Disbursement Date #2	Date 2nd disbursement to student is estimated to be made.	CCYYMMDD = Range = [see field position 68 in this record] or BLANK	If Date not within range, then set approved value to spaces.
84	91	8	N	Estimated Disbursement Date #3	Date 3rd disbursement to student is estimated to be made.	CCYYMMDD = Range = [see field position 68 in this record] or BLANK	See Estimated Disbursement Date #2
92	99	8	N	Estimated Disbursement Date #4	Date 4th disbursement to student is estimated to be made.	CCYYMMDD = Range = [see field position 68 in this record] or BLANK	See Estimated Disbursement Date #2
100	107	8	N	Estimated Disbursement Date #5	Date 5th disbursement to student is estimated to be made.	CCYYMMDD = Range = [see field position 68 in this record] or BLANK	See Estimated Disbursement Date #2
108	115	8	N	Estimated Disbursement Date #6	Date 6th disbursement to student is estimated to be made.	CCYYMMDD = Range = [see field position 68 in this record] or BLANK	See Estimated Disbursement Date #2

## Origination Record (Continued)

Field Positions		Length (# of Bytes)	Type	Field Name	Description	Valid Values	Processing Notes/Edits
First	Last						
116	123	8	N	Estimated Disbursement Date #7	Date 7th disbursement to student is estimated to be made.	CCYYMMDD = Range = [see field position 68 in this record] or BLANK	See Estimated Disbursement Date #2
124	131	8	N	Estimated Disbursement Date #8	Date 8th disbursement to student is estimated to be made.	CCYYMMDD = Range = [see field position 68 in this record] or BLANK	See Estimated Disbursement Date #2
132	139	8	N	Estimated Disbursement Date #9	Date 9th disbursement to student is estimated to be made.	CCYYMMDD = Range = [see field position 68 in this record] or BLANK	See Estimated Disbursement Date #2
140	147	8	N	Estimated Disbursement Date #10	Date 10th disbursement to student is estimated to be made.	CCYYMMDD = Range = [see field position 68 in this record] or BLANK	See Estimated Disbursement Date #2
148	155	8	N	Estimated Disbursement Date #11	Date 11th disbursement to student is estimated to be made.	CCYYMMDD = Range = [see field position 68 in this record] or BLANK	See Estimated Disbursement Date #2
156	163	8	N	Estimated Disbursement Date #12	Date 12th disbursement to student is estimated to be made.	CCYYMMDD = Range = [see field position 68 in this record] or BLANK	See Estimated Disbursement Date #2
164	171	8	N	Estimated Disbursement Date #13	Date 13th disbursement to student is estimated to be made.	CCYYMMDD = Range = [see field position 68 in this record] or BLANK	See Estimated Disbursement Date #2
172	179	8	N	Estimated Disbursement Date #14	Date 14th disbursement to student is estimated to be made.	CCYYMMDD = Range = [see field position 68 in this record] or BLANK	See Estimated Disbursement Date #2
180	187	8	N	Estimated Disbursement Date #15	Date 15th disbursement to student is estimated to be made.	CCYYMMDD = Range = [see field position 68 in this record] or BLANK	See Estimated Disbursement Date #2

## Origination Record (Continued)

Field Positions		Length (# of Bytes)	Type	Field Name	Description	Valid Values	Processing Notes/Edits
First	Last						
188	195	8	D	Enrollment Date	First date that the student was enrolled in an eligible program for the designated award year. If the student enrolled in a crossover payment period before the first day of the Pell award year (July 1), but which will be paid from 2001-2002 funds, report the actual start date of the student's classes for that payment period.	<b><i>This field is required.</i></b> CCYYMMDD = Range = 20010101 to 20020630	If blank or invalid, then set approved value to previous value or date reported Batch ID in Grant Header record.
196	196	1	A/N	Low Tuition & Fees Code	Flag to identify tuition ranges when the annual tuition is less than or equal to minimum defined by low tuition and fees table.	<u>Value Tuition Range</u> 1 = <del>TBD0</del> 2 = <del>TBD1-262</del> 3 = <del>TBD236-524</del> or <i>BLANK</i> = <i>low tuition does not apply</i>	If invalid, then set approved value to previous value or BLANK.
197	197	1	A	Verification Status Code	Status of verification of applicant data by the school.	<b><i>This field is required.</i></b> A = Accurate C = Calculated N = SAR Transaction Not Selected by CPS for Verification Process R = Reprocessed S = SAR Transaction Selected by CPS for Verification Process but 30% Requirement met or Institution is a Quality Assurance Program Participant T = Tolerance W = Without Documentation	If blank or invalid, then If selected by CPS, then set approved value to previous value or "W" ELSE set approved value to "N".

## Origination Record (Continued)

Field Positions		Length (# of Bytes)	Type	Field Name	Description	Valid Values	Processing Notes/Edits
First	Last						
198	198	1	A	Incarcerated Federal Pell Recipient Code	Code to indicate the student's incarcerated status for students incarcerated in local penal institutions, but are otherwise eligible to receive Federal Pell Grants.	BLANK = Not incarcerated Y = Yes, the student is incarcerated in a local institution, but is otherwise eligible. N = No, if student previously reported as incarcerated, but is not or is no longer. Incarcerated	If invalid, then set approved value to previous value or BLANK.
199	200	2	N	Transaction Number	Transaction number from eligible SAR used to calculate award	<b><i>This field is required.</i></b> Must be numeric = 01 to 99	If BLANK or NO Match with eligible app data, then reject record. Return last value reported on acknowledgement.
201	205	5	N	Expected Family Contribution (EFC)	Must equal the student's Expected Family Contribution from the ISIR or SAR.	<b><i>This field is required.</i></b> Range = 00000 to EFC MAXIMUM.	If BLANK or NO Match with eligible app data, then reject record. Return last value reported on acknowledgement.
206	206	1	A	Secondary Expected Family Contribution Code	Code indicating which EFC value is used to determine award amount	O = Federal Pell Grant award previously based on the secondary EFC and reported to the Federal Pell Grant program; student's award now based on the original EFC. S = Federal Pell Grant award based on the secondary EFC, as a calculated by the CPS. Or BLANK if Secondary EFC not used	If invalid, then set approved value to previous value or BLANK. If NO Match with eligible app data, then reject record. Return last value reported on acknowledgement.

## Origination Record (Continued)

Field Positions		Length (# of Bytes)	Type	Field Name	Description	Valid Values	Processing Notes/Edits										
First	Last																
207	207	1	N	Academic Calendar	Calendar which applies to this student's educational program. Must be valid or system accepted to process record.	<p><b><i>This field is required.</i></b></p> <p>1 = Credit Hours – non-standard terms;            2 = Credit Hours – standard terms of quarters;            3 = Credit Hours – standard terms of semesters;            4 = Credit Hours – standard terms of trimesters;            5 = Clock hours;            6 = Credit Hours without terms</p>	<p>The academic calendar dictates which Payment Methodology can be accepted. Used in award amount validation. The following changes in Academic Calendar indicate need to change Payment Methodology.</p> <table border="0"> <tr> <td><b>From AC</b></td> <td><b>To AC</b></td> </tr> <tr> <td>1</td> <td>to 2, 3, 4, or 5</td> </tr> <tr> <td>2, 3, or 4</td> <td>to 1 or 5</td> </tr> <tr> <td>5</td> <td>to 2, 3, 4, or 6</td> </tr> <tr> <td>6</td> <td>to 1 or 5</td> </tr> </table> <p>If AC invalid or BLANK, then set accepted value to previous value or            If Attended Pell ID default AC populated, then set accepted value to default.            ELSE If Reporting Pell ID default AC populated, then set accepted value to default.            ELSE If Payment Methodology = 4, then set accepted value to "5".            ELSE set accepted value to "3".</p>	<b>From AC</b>	<b>To AC</b>	1	to 2, 3, 4, or 5	2, 3, or 4	to 1 or 5	5	to 2, 3, 4, or 6	6	to 1 or 5
<b>From AC</b>	<b>To AC</b>																
1	to 2, 3, 4, or 5																
2, 3, or 4	to 1 or 5																
5	to 2, 3, 4, or 6																
6	to 1 or 5																

## Origination Record (Continued)

Field Positions		Length (# of Bytes)	Type	Field Name	Description	Valid Values	Processing Notes/Edits												
First	Last																		
208	208	1	N	Payment Methodology	Formula used to calculate the student's Federal Pell Grant Award.	<p><b><i>This field is required.</i></b></p> <p>1 = (a)Credit hour with standard terms in which total weeks of instructional time Fall through Spring terms equal or exceed 30 weeks, or have been granted waiver; or (b) School offers a summer term in addition to fall through spring terms, could calculate awards using Formula 1 or 2 and chooses to perform alternate calculation (AC = 2,3, or 4)</p> <p>2 = Credit hour with standard terms in which total weeks of instructional time Fall through Spring terms are less than 30 weeks, has not been granted waiver.</p> <p>Institution does not use alternate calculation (AC = 2,3, or 4)</p> <p>3 = Credit hour with standard or non-standard terms (AC = 1,2,3, or 4)</p> <p>4 = Clock hour or Credit hour without terms (AC = 5 or 6)</p> <p>5 = Programs of study by correspondence (AC = 1,2,3, or 4 denotes Formula 5B AC = 6 denotes Formula 5A</p>	<p>The Payment Methodology dictates the data required for Enrollment status, Weeks of instructional time, Weeks of instructional time in academic year, Credit/Clock Hours expected to complete, Credit/Clock Hours in academic year.</p> <p>Used in award amount validation. Academic Calendar and Payment Methodology must be logically consistent.</p> <table border="0"> <tr> <td><u>PM</u></td> <td><u>AC</u></td> </tr> <tr> <td>1</td> <td>2, 3, or 4</td> </tr> <tr> <td>2</td> <td>2, 3, or 4</td> </tr> <tr> <td>3</td> <td>1, 2, 3, or 4</td> </tr> <tr> <td>4</td> <td>5 or 6</td> </tr> <tr> <td>5</td> <td>1, 2, 3, 4, or 6</td> </tr> </table> <p>If invalid or BLANK, then set accepted value to previous value or "3."</p>	<u>PM</u>	<u>AC</u>	1	2, 3, or 4	2	2, 3, or 4	3	1, 2, 3, or 4	4	5 or 6	5	1, 2, 3, 4, or 6
<u>PM</u>	<u>AC</u>																		
1	2, 3, or 4																		
2	2, 3, or 4																		
3	1, 2, 3, or 4																		
4	5 or 6																		
5	1, 2, 3, 4, or 6																		

## Origination Record (Continued)

Field Positions		Length (# of Bytes)	Type	Field Name	Description	Valid Values	Processing Notes/Edits
First	Last						
209	215	7	N	Cost of Attendance	Must equal COA calculated by the institution following the Federal Pell Grant Payment regulations.	<b><i>This field is required.</i></b> Dollars and cents. Use leading zeros; do not include the \$ sign or decimal point. Range = 0000000 to 9999999.	Used in award amount validation. If invalid or BLANK, then set accepted value to previous value or "9999999".
216	216	1	A	Enrollment Status	This student's expected enrollment status for the entire award year. The Enrollment Status 5 "Other" is used when the student's enrollment is "mixed" or student attends more than number of terms in a full academic year. Valid Values depend upon Academic Calendar and Payment Methodology fields.	Blank (AC = 5 or 6) 1 = Full-time (AC = 1, 2, 3, or 4 and Payment Methodology not equal to 5) 2 = 3/4 time (AC = 1, 2, 3, or 4 and Payment Methodology not equal to 5) 3 = 1/2 time (AC = 1, 2, 3, or 4) 4 = Less than 1/2 time (AC = 1, 2, 3, or 4) 5 = Other (AC = 1, 2, 3, or 4 and Payment Methodology not equal to 5)	Used in award amount validation. BLANK only if Payment Methodology is either Formula 4 or if Payment Methodology is Formula 5 and Academic Calendar is 6.  If PM does not equal 4; or if PM does not equal 5 and AC equal 6 and invalid or BLANK, then set accepted value to previous value or "1". ELSE if invalid, set accepted value to BLANK.  If AC = 1, 2, 3, or 4 and Payment Methodology is 5 and Enrollment Status is reported as either Blank or a value other than 3 or 4, we must set the value equal to 3 and we must have a warning comment (W) go to the institution that says: Enrollment Status may never exceed half time when using Payment Methodology 5.

## Origination Record (Continued)

Field Positions		Length (# of Bytes)	Type	Field Name	Description	Valid Values	Processing Notes/Edits
First	Last						
217	218	2	A	Weeks of Instructional Time used to Calculate Payment	Total Number of weeks on instructional time provided by this student's Program of Study during a full academic year. Valid Values depend upon Payment Meth. and Academic Calendar fields. Must be completed when Payment Meth. 2, 3, 4, or 5 are used.  PM1 = Blank  PM2 = Total no. of weeks of instructional time in student's program of study's academic year (fall through spring terms).  PM3 & PM5B = Total no. of weeks of instructional time in all terms in student's program of study's academic year.  PM4 & PM5A = The lesser of either (a) total no. of weeks of instructional time for a full-time student to complete hours in student's program of study, or (b) total number of weeks of instructional time for a full-time student to complete hours in student's program of study's academic year. Institution determines this based on the time required for the majority of its full-time students to complete the program of study or the program of study's academic year, not student by student.	Blank (Payment Methodology 1) 00 to 78 (Payment Methodology 2, 3, 4, or 5)  IF PM = 2 Must be < 30  IF PM = 3 Must be valid range  IF PM = 4 Must be valid range  IF PM = 5 Must be valid range	Must be BLANK when using Payment Methodology 1.  If invalid, out of range or greater than Weeks of instructional time in program's definition of academic year, then accepted value equal to previous value or equal to Weeks for Academic Year.  If supplied and not needed for payment methodology, ignore. Used in award amount validation.  See Payment Methodology for AC information that determines if the PM is 5B or 5A.

## Origination Record (Continued)

Field Positions		Length (# of Bytes)	Type	Field Name	Description	Valid Values	Processing Notes/Edits
First	Last						
219	220	2	A	Weeks of Inst. Time in Program's Definition of Academic Year	Total number of weeks of instructional time in the institution's definition of a full academic year for this student's Program of Study.	Blank (PM = 1) 30 to 78 (May never be less than the number provided in positions 217 to 218 Weeks of instructional time used to calculate payment field of Origination record. If > 78 set to 30.	Can be blank when using Payment Methodology 1. Can never be less than previous field. If invalid or BLANK, then set accepted value to previous value or If Attended Pell ID default Weeks populated, then set accepted value to default. ELSE If Reporting Pell ID default Weeks populated, then set accepted value to default. If supplied and not needed for payment methodology, ignore. Used in award amount validation.
221	224	4	A	Cr/Clock Hrs in Award Year	Total number of credit/clock hours in all payment periods institution expects this student to attend and be paid for during this Federal Pell Grant Award year.	Blank (Unless Payment Methodology 5 and AC 6, or Payment Methodology 4) or Ranges = 0000 to 3120 AC = Clock Hour (5) 0000 to 0100 AC = Credit Hours without terms(6)	Can be blank when using Payment Methodologies 1,2, 3, & 5. If invalid, out of range or greater than Credit/clock hours in this student's program of study's academic year, then accepted value equal to previous value or equal to Cr/Clock Hrs for Academic Year. If supplied and not needed for payment methodology, ignore. Used in award amount validation. Can never be blank if PM 5 and AC 6.

## Origination Record (Continued)

Field Positions		Length (# of Bytes)	Type	Field Name	Description	Valid Values	Processing Notes/Edits
First	Last						
225	228	4	A	Cr/Clock Hours in This Student's Program of Study's Academic Year	Total number of credit or clock hours in the institution's definition of a full academic year for this student's Program of Study.	Blank (Unless Payment Methodology 5 and AC 6, or Payment Methodology 4) or ranges = 0900 to 3120 Academic calendar 5 0024 to 0100 Academic calendar 6	Can be blank when using Payment Methodologies 1,2, 3, & 5. If invalid or BLANK, then set accepted value to previous value or If Attended Pell ID default Hours populated, then set accepted value to default. ELSE If Reporting Pell ID default Hours populated, then set accepted value to default. ELSE set accepted value to 900 if Academic Calendar = 5 or set accepted value to 24 if Academic Calendar = 6. If supplied and not needed for payment methodology, ignore. Used in award amount validation. Can never be less than previous field.
229	231	3	A/N	Institution Internal Sequence Number	This is an internal sequence number the institution can define.	Institutional defined	No editing by RFMS will be done on this field.
232	250	19	A	Unused	Reserved for expansion	Constant spaces	
		<b>250</b>		<b>Total Record Length</b>			

**NOTE:** A change to an origination record is supplied in this same format. Changes apply to the entire award period

## Origination Acknowledgement Record

Field Positions		Length (# of Bytes)	Type	Field Name	Description	Valid Values	Processing Notes/Edits
First	Last						
1	23	23	A/N	Origination ID	Unique number used to identify an origination.	Format = 999999999XX20029999900 Where: SSN = 001010001 to 999999999 Name Code = XX Year Indicator = 2002 Valid Attended PELL- ID = 999999 Orig Sequence Number = 00	Identifier
24	32	9	N	Original SSN	Student's SSN from original FAFSA.	001010001 to 999999999	Identifier
33	34	2	A	Original Name Code	Student's name code from original FAFSA.	Uppercase A to Z ,(period) '(apostrophe) - (dash) Blank = no last name	Identifier
35	40	6	N	Attended Campus PELL-ID	PELL-ID of campus attended. Change creates new origination record. Institution must change payment amounts for student at original attended campus as necessary.	Valid PELL-ID	Identifier
41	45	5	A/N	Unused	Reserved for expansion.	Constant spaces	

## Origination Acknowledgement Record (Continued)

Field Positions		Length (# of Bytes)	Type	Field Name	Description	Valid Values	Processing Notes/Edits
First	Last						
46	58	13	A/N	Institution Cross-Reference	This field can contain any cross-reference information useful to the institution to identify student records internally.	Institution defined	No editing will be done on this field by RFMS.
59	59	1	A	Action Code	Code to indicate action to be taken	Valid Codes = A = Accepted - all fields accepted C = Corrected - one or more fields corrected D = Duplicate of an accepted record at RFMS E = Rejected - record was rejected	
60	60	1	A	Unused	Reserved for expansion	Constant spaces	

## Origination Acknowledgement Record (Continued)

Field Positions		Length (# of Bytes)	Type	Field Name	Description	Valid Values	Processing Notes/Edits
First	Last						
61	67	7	N	Accepted Award Amount for Entire School Year	Must equal the award amount calculated by the institution to be disbursed to this student for attendance for this entire Pell Grant award year.	Dollars and cents. Use leading zeros and report cents as '00'; do not include the \$ sign or decimal point. Range = 0000000 to AWARD AMOUNT MAXIMUM	
68	75	8	N	Accepted Estimated Disbursement Date #1	Date 1 <sup>st</sup> disbursement to student is estimated to be made.	Format = CCYYMMDD Range = N days prior to DISBURSEMENT START DATE (20010701) to DISBURSEMENT END DATE (20070930).	
76	83	8	N	Accepted Estimated Disbursement Date #2	Date 2 <sup>nd</sup> disbursement to student is estimated to be made.	CCYYMMDD = Range = [see field position 68 in this record] or BLANK	
84	91	8	N	Accepted Estimated Disbursement Date #3	Date 3 <sup>rd</sup> disbursement to student is estimated to be made.	CCYYMMDD = Range = [see field position 68 in this record] or BLANK	
92	99	8	N	Accepted Estimated Disbursement Date #4	Date 4 <sup>th</sup> disbursement to student is estimated to be made.	CCYYMMDD = Range = [see field position 68 in this record] or BLANK	
100	107	8	N	Accepted Estimated Disbursement Date #5	Date 5 <sup>th</sup> disbursement to student is estimated to be made.	CCYYMMDD = Range = [see field position 68 in this record] or BLANK	
108	115	8	N	Accepted Estimated Disbursement Date #6	Date 6 <sup>th</sup> disbursement to student is estimated to be made.	CCYYMMDD = Range = [see field position 68 in this record] or BLANK	

## Origination Acknowledgement Record (Continued)

Field Positions		Length (# of Bytes)	Type	Field Name	Description	Valid Values	Processing Notes/Edits
First	Last						
116	123	8	N	Accepted Estimated Disbursement Date #7	Date 7 <sup>th</sup> disbursement to student is estimated to be made.	CCYYMMDD = Range = [see field position 68 in this record] or BLANK	
124	131	8	N	Accepted Estimated Disbursement Date #8	Date 8 <sup>th</sup> disbursement to student is estimated to be made.	CCYYMMDD = Range = [see field position 68 in this record] or BLANK	
132	139	8	N	Accepted Estimated Disbursement Date #9	Date 9 <sup>th</sup> disbursement to student is estimated to be made.	CCYYMMDD = Range = [see field position 68 in this record] or BLANK	
140	147	8	N	Accepted Estimated Disbursement Date #10	Date 10 <sup>th</sup> disbursement to student is estimated to be made.	CCYYMMDD = Range = [see field position 68 in this record] or BLANK	
148	155	8	N	Accepted Estimated Disbursement Date #11	Date 11 <sup>th</sup> disbursement to student is estimated to be made.	CCYYMMDD = Range = [see field position 68 in this record] or BLANK	
156	163	8	N	Accepted Estimated Disbursement Date #12	Date 12 <sup>th</sup> disbursement to student is estimated to be made.	CCYYMMDD = Range = [see field position 68 in this record] or BLANK	
164	171	8	N	Accepted Estimated Disbursement Date #13	Date 13 <sup>th</sup> disbursement to student is estimated to be made.	CCYYMMDD = Range = [see field position 68 in this record] or BLANK	
172	179	8	N	Accepted Estimated Disbursement Date #14	Date 14 <sup>th</sup> disbursement to student is estimated to be made.	CCYYMMDD = Range = [see field position 68 in this record] or BLANK	
180	187	8	N	Accepted Estimated Disbursement Date #15	Date 15 <sup>th</sup> disbursement to student is estimated to be made.	CCYYMMDD = Range = [see field position 68 in this record] or BLANK	

## Origination Acknowledgement Record (Continued)

Field Positions		Length (# of Bytes)	Type	Field Name	Description	Valid Values	Processing Notes/Edits
First	Last						
188	195	8	D	Accepted Enrollment Date	First date that the student was enrolled in an eligible program for the designated school year. If the student enrolled in a crossover payment period before the first day of the Pell award year (July 1), but which will be paid from 2001-2002 funds, report the actual start date of the student's classes for that payment period.	CCYYMMDD = Range = 20010101 to 20020630	
196	196	1	A	Accepted Low Tuition & Fees Flag	Flag to identify tuition ranges when the annual tuition is less than or equal to minimum defined by low tuition and fees table.	<u>Value Tuition Range</u> 1 = <del>TBD-0</del> 2 = <del>TBD-1-262</del> 3 = <del>TBD-236-524</del> or BLANK = low tuition does not apply	
197	197	1	A	Accepted Verification Status Flag	Status of verification of applicant data by the school.	A = Accurate C = Calculated N = SAR Transaction Not Selected by CPS for Verification Process R = Reprocessed S = SAR Transaction Selected by CPS for Verification Process but 30% Requirement met or Institution is a Quality Assurance Program Participant T = Tolerance W = Without Documentation	If blank or invalid, then If selected by CPS, then set approved value to previous value or "W" ELSE set approved value to "N"

## Origination Acknowledgement Record (Continued)

Field Positions		Length (# of Bytes)	Type	Field Name	Description	Valid Values	Processing Notes/Edits
First	Last						
198	198	1	A	Accepted Incarcerated Federal Pell Recipient Code	Code to indicate the student's incarcerated status for students incarcerated in local penal institutions, but are otherwise eligible to receive Federal Pell Grants.	BLANK = Not incarcerated Y = Yes, the student is incarcerated in a local institution, but is otherwise eligible. N = No, if student previously reported as incarcerated, but is not or is no longer incarcerated	
199	200	2	N	Accepted Transaction Number	Transaction number from eligible SAR used to calculate award	Must be numeric: 01 to 99	
201	205	5	N	Accepted Expected Family Contribution (EFC)	Must equal the student's Expected Family Contribution from the ISIR or SAR. May be the primary or secondary EFC value.	Range = 00000to EFC MAXIMUM.	
206	206	1	A	Accepted Secondary Expected Family Contribution Code	Code indicating which EFC value is used to determine award amount	O = Federal Pell Grant award previously based on the secondary EFC and reported to the Federal Pell Grant program; student's award now based on the original EFC. S = Federal Pell Grant award based on the secondary EFC, as calculated by the CPS. OR BLANK if Secondary EFC not used.	

## Origination Acknowledgement Record (Continued)

Field Positions		Length (# of Bytes)	Type	Field Name	Description	Valid Values	Processing Notes/Edits
First	Last						
207	207	1	N	Accepted Academic Calendar	Calendar which applies to this student's educational program. Must be valid or system accepted to process record.	1 = Credit Hours – non-standard terms; 2 = Credit Hours - standard terms of quarters; 3 = Credit Hours - standard terms of semesters; 4 = Credit Hours - standard terms of trimesters; 5 = Clock hours; 6 = Credit Hours without terms;	
208	208	1	N	Accepted Payment Methodology	Formula used to calculate the student's Federal Pell Grant.	1 = (a)Credit hour with standard terms in which total weeks of instructional time Fall through Spring terms equal or exceed 30 weeks, or have been granted waiver; or (b) School offers a summer term in addition to fall through spring terms, could calculate awards using Formula 1 or 2 and chooses to perform alternate calculation (AC = 2,3, or 4) 2 = Credit hour with standard terms in which total weeks of instructional time Fall through Spring terms are less than 30 weeks, has not been granted waiver. Institution does not use alternate calculation (AC = 2,3, or 4) 3 = Credit hour with standard or non-standard terms (AC = 1,2,3, or 4) 4 = Clock hour or Credit hour without terms (AC = 5 or 6) 5 = Programs of study by correspondence (AC = 1,2,3, or 4 denotes Formula 5B AC = 6 denotes Formula 5A)	

## Origination Acknowledgement Record (Continued)

Field Positions		Length (# of Bytes)	Type	Field Name	Description	Valid Values	Processing Notes/Edits
First	Last						
209	215	7	N	Accepted Cost of Attendance	Must equal COA calculated by the institution following the Federal Pell Grant Payment regulations.	Dollars and Cents. Use Leading Zeros; do not include the \$ sign or decimal point Range: 0000000-9999999	
216	216	1	A	Accepted Enrollment Status	The code that applies to the student's expected enrollment status for the AWARD YEAR. Changes to this field will be accepted for the entire award year. Must be valid when Payment Methodologies 1, 2, 3 or 5 are used.	Blank (AC = 5 or 6) 1 = Full-time (AC = 1, 2, 3, or 4 and Payment Methodology not equal to 5) 2 = 3/4 time (AC = 1, 2, 3, or 4 and Payment Methodology not equal to 5) 3 = 1/2 time (AC = 1, 2, 3, or 4) 4 = Less than 1/2 time (AC = 1, 2, 3, or 4) 5 = Other (AC = 1, 2, 3, or 4 and Payment Methodology not equal to 5)	

## Origination Acknowledgement Record (Continued)

Field Positions		Length (# of Bytes)	Type	Field Name	Description	Valid Values	Processing Notes/Edits
First	Last						
217	218	2	A	Accepted Weeks of Instructional Time Used to Calculate Payment	<p>Total Number of weeks on instructional time provided by this student's Program of Study during a full academic year.</p> <p>Valid Values depend upon Payment Methodology and Academic Calendar fields. Must be completed when Payment Methodologies 2, 3, 4, or 5 are used.</p> <p>PM1 = Blank            PM2 = Total number of weeks of instructional time in student's Program of Study's academic year (fall through spring terms).            PM3 &amp; PM5B = Total number of weeks of instructional time in all terms in student's Program of Study's academic year.            PM4 &amp; PM5A = The lesser of either (a) total number of weeks of instructional time for a full-time student to complete hours in student's program of study, or (b) total number of weeks of instructional time for a full-time student to complete hours in student's program of study's academic year. Institution determines this based on the time required for the majority of its full-time students to complete the program of study or the program of study's academic year, not student by student.</p>	Blank or 00 to 78	

## Origination Acknowledgement Record (Continued)

Field Positions		Length (# of Bytes)	Type	Field Name	Description	Valid Values	Processing Notes/Edits
First	Last						
219	220	2	A	Accepted Weeks of Inst. Time in Program's Definition of Academic Year	The number of weeks of instructional time in the program's academic year. Must be valid when Payment Methodologies 2, 3, 4 or 5 are used.	Blank or 30 to 78	
221	224	4	A	Accepted Cr/Clock Hours in Award Year	Total number of credit/clock hours in all payment periods institution expects this student to attend and be paid for during this Federal Pell Grant Award year.	Blank or Ranges = 0000 to 3120 Academic calendar 5 0000 to 0100 Academic calendar 6	
225	228	4	A	Accepted Cr/Clock Hours in This Student's Program of Study's Academic Year	Number of credit or clock hours in this student's educational program's academic year definition. Must be valid when Payment Methodologies 4 or 5 are used.	Blank or Range = 0900 to 3120 Academic calendar 5 0024 to 0100 Academic calendar 6	
229	231	3	A/N	Institution Internal Sequence Number	This is an internal sequence number the institution can define.	Institutional defined	No editing will be done on this field by RFMS.
232	250	19	A	Unused	Reserved for expansion	Constant spaces	
251	255	5	N	Scheduled Federal Pell Grant	Scheduled amount for a full time student.	Range = 00000 to AWARD AMOUNT MAXIMUM	

## Origination Acknowledgement Record (Continued)

Field Positions		Length (# of Bytes)	Type	Field Name	Description	Valid Values	Processing Notes/Edits
First	Last						
256	257	2	N	Previously Accepted Transaction Number	Transaction number that was previously accepted and currently stored by RFMS for this student. This field will only be populated for rejected originations.	01 to 99 or BLANK if Origination not rejected.	
258	262	5	N	Previously Accepted EFC	EFC that was previously accepted and currently stored by RFMS for this student. This field will only be populated for rejected originations.	Range = 00000 to EFC MAXIMUM. or BLANK if Origination not rejected.	
263	263	1	A	Previously Accepted Secondary EFC Code	Secondary EFC Code that was previously accepted and currently stored by RFMS for this student. This field will only be populated for rejected originations.	O = Federal Pell Grant award previously based on the secondary EFC and reported to the Federal Pell Grant program; student's award now based on the original EFC. S = Federal Pell Grant award based on the secondary EFC, as a calculated by the CPS. OR BLANK if Secondary EFC not used or if Origination not rejected.	

## Origination Acknowledgement Record (Continued)

Field Positions		Length (# of Bytes)	Type	Field Name	Description	Valid Values	Processing Notes/Edits
First	Last						
264	270	7	N	Previously Accepted Cost of Attendance	COA previously accepted and currently stored by RFMS for this student. This field will only be populated for rejected originations.	Dollars and cents. Use leading zeros; do not include the \$ sign or decimal point. Range = 0000000 to 9999999.	
271	345	75	N	Origination Warning/Reject Reasons	List of up to twenty-five 3-digit reject/warning codes which occurred during processing of this origination record. Only edit codes hit will display in the field. Otherwise, this space will be zero filled.	Twenty-five edit/reject codes of = 000 to 999 Position XXX-XXX: 1st code Position XXX-XXX: 2nd code Position XXX-XXX: 3rd code... Position YYY-YYY: 25th code	
346	355	10	N	ED Use Flags	Flags that are set to inform institutions of modifications that have been made to their database and require immediate action to rectify	Format = 0000000000 to 1111111111 Values = 0 – indicates not set 1 = indicates flag is set. Where: Each digit signifies a different situation 1st -Shared SAR ID 2nd -Verification W Status 3rd - Concurrent Enrollment 4th - POP 5th through 10th - Reserved for future use .	
		<b>355</b>		<b>Total Record Length</b>			

If record has been rejected, Action Code = E, reported data is returned on the record.

# Batch Reject Reasons

What's included:

- Origination Record Batch Reject Reasons
- Disbursement Record Batch Reject Reasons
- Data Request Record Batch Reject Reasons

## Origination and Disbursement Reject Reasons

Field Position	Reject Reasons
Origination ID: Field Positions 1 to 23	If Original SSN and Original Name Code do not match a value in the Eligible Applicant Database. If Attending Pell ID does not match the value in the Origination ID. If Attending Pell ID is not funded or is not a branch of the Reporting Pell ID.
Original SSN: Field Positions 24 to 32	If Original SSN does not match the value in the Origination ID.
Original Name Code: Field Positions 33 to 34	If Original Name Code does not match the value in the Origination ID.
Award amount for entire school year: Field Positions 61 to 67	If not numeric. Amount cannot exceed total payment ceiling.
Transaction Number: Field Positions 199 to 200	If not numeric or does not match the Eligible Applicant database.
Expected Family Contribution (EFC): Field Positions 201 to 205	If not numeric or does not match the EFC for the transaction number reported in the Eligible Applicant database.
Secondary Expected Family Contribution Used Code: Field Positions 206 to 206	If Selected and Secondary EFC not in Pell eligible range.

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## Disbursement Reject Reasons

The disbursement batch edits are a result of the business rules and the information technology used in the system.

- RFMS processing edits can be found in the record layouts later on in this technical reference.
- The results of these edits are provided in the comment codes on the disbursement and special disbursement acknowledgement records.
- The editing process may result in rejection, corrections made to data, or warning messages.

For example, RFMS rejects the student's disbursement record if the institution reports an incorrect origination ID. If the annual award amount is miscalculated, RFMS recalculates the amount and reports the recalculated amount as the accepted value in the disbursement acknowledgement record.

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## Data Request Reject Reasons

RFMS rejects data request records for the following reasons:

<b>Field/Position</b>	<b>Reject Reason</b>
Attending Pell ID: Field Positions 1 to 6	If the attending Pell ID is invalid.
Data Request Type: Field Position 7 to 7	Must be M, S, or Y.
Output Media Type: Field Position 8 to 8	If entered must be valid.
Multiple Reporting Request Code 1: Field Position 35 to 35	Must be O or D if the Data Request Type is M.
Multiple Reporting Request Code 2: Field Position 36 to 36	Must be A, S or I if the Data Request Type is M.
MRR Student ID: Field Positions 37 to 47	Must be valid if the Multiple Reporting Request Code 2 is S. Must have been originated at the requesting institution.
MRR Institution Pell ID: Field Positions 48 to 53	Must be valid if the Multiple Reporting Request Code 2 is I.

**Note:** Batch edits and reject codes for the Origination, Disbursement and Data Request Records are located in Appendix D.

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# Creating a Disbursement Record and Receiving Acknowledgement

What's included:

- Disbursement Record Description
- Disbursement Acknowledgement Record Description

## Disbursement Record

Field Positions		Length (# of Bytes)	Type	Field Name	Description	Valid Values	Processing Notes/Edits
First	Last						
1	23	23	A/N	Origination ID	Unique number used to identify the origination for which the disbursement is to be applied against.	<b><i>This field is required.</i></b> Format = 999999999XX200299999900  Where: SSN = 001010001 to 999999999 Name Code = XX Year Indicator = 2002 Valid Attended PELL-ID = 999999 Orig Sequence Number = 00	Identifier If Origination ID does not match on RFMS database, then reject record.
24	36	13	A/N	Institution Cross-Reference	This field can contain any cross-reference information useful to the institution to identify student records internally.	Institution defined	
37	37	1	A	Action Code	Action code	Will always be blank	No editing
38	39	2	N	Disbursement Reference Number	Number of this disbursement. RFMS will send disbursement number 91 to 99 for system generated disbursement.	<b><i>This field is required.</i></b> Must be numeric: 01 to 90	Identifier 91 to 99 are Reserved for RFMS system generated disbursements If number is equal to number associated with Origination ID, then reject record as duplicate.
40	40	1	A	Debit/ Credit Indicator Flag	Indicates whether the Reported Disbursement Amount is an increase or a decrease to the total amount that has been disbursed to the student for the award year.	<b><i>This field is required.</i></b> P = positive N = negative	If first accepted disbursement, then must equal "P".

## Disbursement Record (Continued)

Field Positions		Length (# of Bytes)	Type	Field Name	Description	Valid Values	Processing Notes/Edits
First	Last						
41	47	7	N	Disbursement Amount	Amount of disbursement for student	<i>This field is required.</i> Dollars and cents. Use leading zeros; do not include the \$ sign or decimal point. Range = 0000000 to AWARD AMOUNT MAX	
48	55	8	D	Disbursement Date	Date this disbursement was or will be made to the student.	<i>This field is required.</i> CCYYMMDD = Range = 20010621 to 20070930	Process Date must be within N days prior of disbursement date. If date plus 30 days > system date, then send 30 day warning message. N may be different for Just In Time and Advance Funding Institutions.
56	63	8	D	Payment Period Start Date	Beginning date of the Payment Period	CCYYMMDD = Range = 20010101 to 20020630 Or Spaces	If institution is ineligible and Payment Period Start date is invalid or not in range, then reject the record. If Payment Period Start date does not fall within the institution's period of eligibility the record will be rejected. If the institution is eligible and Payment Period Start date is invalid or not in range, then the date will be set to spaces.
64	100	37	A	Unused	Reserved for future expansion	Constant spaces	
		<b>100</b>		<b>Total Record Length</b>			

An adjustment to a disbursement record is supplied in this same format.

## Disbursement Acknowledgement Record

Field Positions		Length (# of Bytes)	Type	Field Name	Description	Valid Values	Processing Notes/Edits
First	Last						
1	23	23	A/N	Origination ID	Unique number used to identify the origination for which the disbursement is to be applied against.	Format = 999999999XX20029999900 Where: SSN = 001010001 to 999999999 Name Code = XX Year Indicator = 2002 Valid Attended PELL ID = 999999 Orig Sequence Number = 00	Identifier
24	36	13	A/N	Institution Cross-Reference	This field can contain any cross-reference information useful to the institution to identify student records internally.	Institution defined	
37	37	1	A	Action Code/Status	Code to indicate processing status of disbursement.	Valid Codes: A = Accepted disbursement amount C = Corrected disbursement amount D = Duplicate disbursement reference number of an accepted record at RFMS E = Rejected - record was rejected	If a duplicate disbursement reference number is submitted, then the record will not be processed by RFMS.
38	39	2	N	Disbursement Reference Number	Unique number of the disbursement. RFMS will send disbursement number 91 to 99 for system generated disbursement.	Must be numeric: 01 to 90	Identifier 91 to 99 are Reserved for RFMS system generated disbursements

## Disbursement Acknowledgement Record (Continued)

Field Positions		Length (# of Bytes)	Type	Field Name	Description	Valid Values	Processing Notes/Edits
First	Last						
40	40	1	A	Accepted Debit/Credit Indicator Flag	Indicates whether the Reported Disbursement Amount is an increase or a decrease to the total amount that has been disbursed to the student for the award year.	P = positive N = negative	
41	47	7	N	Accepted Disbursement Amount	Amount of disbursement for student. If an adjustment, this value is a replacement amount.	Dollars and cents. Use leading zeros; do not include the \$ sign or decimal point. Range = 0000000 to AWARD AMOUNT MAX	If the disbursement amount is invalid on the input record it will be returned as all zeros on the rejected record.
48	55	8	N	Disbursement Date	Date this disbursement was or will be made to the student.	CCYYMMDD = Range = 20010621 to 20070630	
56	63	8	D	Payment Period Start Date	Beginning date of the Payment Period	CCYYMMDD = Range = 20010101 to 20020630 Or Spaces	If institution is ineligible and Payment Period Start date is invalid or not in range, then reject the record. If Payment Period Start date does not fall within the institution's period of eligibility the record will be rejected. If the institution is eligible and Payment Period Start date is invalid or not in range, then the date will be set to spaces.
64	100	37	A	Unused	Reserved for future expansion	Constant spaces	
101	107	7	N	YTD Disbursed Amount	Total amount that has been disbursed to the student for the award year	Dollars and cents. Use leading zeros; do not include the \$ sign or decimal point. Range = 0000000 to AWARD AMOUNT MAX	If the record is rejected this amount will be 0.

## Disbursement Acknowledgement Record (Continued)

Field Positions		Length (# of Bytes)	Type	Field Name	Description	Valid Values	Processing Notes/Edits
First	Last						
108	182	75	N	Edit/Comment Codes	Three digit comment codes indicating the results of Federal Pell Grant processing. Maximum of 25 comments will appear in a single acknowledgement record. If less than 25 comments, zero filled.	Twenty-five edit/reject codes of: 000 to 999 Position XXX-XXX: 1st code Position XXX-XXX: 2nd code Position YYY-YYY: 25th code	
183	192	10	N	ED Use Flags	Flags that are set to inform institutions of modifications that have been made to their database and require immediate action to rectify	Format = 0000000000 to 1111111111 Values: 0 = indicates not set 1 = indicates flag is set. Where: Each digit signifies a different situation 1st -Shared SAR ID 2nd -Verification W Status 3rd - Concurrent Enrollment 4th - POP 5th through 10th - Reserved for future use.	
193	200	8	A	Unused	Reserved for future expansion	Constant spaces	
		<b>200</b>		<b>Total Record Length</b>			

If record has been rejected, Action Code = E, reported data is returned on the record.

# Receiving and Processing ESOAs

What's included:

- ESOA Record Description - Summary
- ESOA Record - Detail

## Electronic Statement Of Account Record – Summary

Field Positions		Length (# of Bytes)	Type	Field Name	Description	Valid Values	Processing Notes/Edits
First	Last						
1	1	1	A	Record Indicator	Indicates the record is summary or detail.	Constant "S"- Summary level account status	
2	7	6	N	Reporting Campus PELL-ID	PELL-ID of reporting campus	Valid PELL-ID	
8	18	11	A/N	Grantee DUNS Number	Data Universal Numbering Scheme (DUNS) number assigned to the reporting institution.	Valid DUNS number. Format = 999999999BB where 999999999 is a unique number and BB are Blanks.	
19	29	11	A	Unused	Reserved for future expansion	Constant spaces	
30	45	16	A/N	GAPS Award Number	Used to identify a unique funding for an institution. Comprised of the following fields = PO Indicator CFDA Number CFDA Subprogram Id Subprogram Fiscal Year Sequence Number	Valid GAPS Award number. Format = P063P CCYYXXXX Where "P" = constant for PO Indicator "063" = constant for CFDA Number "P" = constant " " 3 spaces CCYY = Beginning year of school year pair '2001'. XXXX = unique value for each funded institution	

## Electronic Statement Of Account Record – Summary (Continued)

Field Positions		Length (# of Bytes)	Type	Field Name	Description	Valid Values	Processing Notes/Edits
First	Last						
46	50	5	N	Accounting Schedule Number	Sequence number assigned by RFMS to track Accounting schedules.	Range = 00000 to 99999	
51	58	8	D	Accounting Schedule Date	Date of Current Accounting schedule.	Valid Date in CCYYMMDD format.	
59	69	11	A/N	Previous Obligation Amount	Amount of institution's total obligation prior to this adjustment.	Dollars and cents. Right justify, left zero fill; do not include the \$ sign or decimal point. Range = 00000000000 to 99999999999	Will always equal zero for institutions that are obligate-only accounts for the whole year.
70	80	11	A/N	Obligation Adjustment Amount	Adjustment of the obligations for this Accounting cycle.	Dollars and cents. Right justify, left zero fill; do not include the \$ sign or decimal point. Range = 00000000000 to 99999999999	Will always equal zero for institutions that are obligate-only accounts for the whole year.
81	91	11	A/N	Current Obligation Amount	Amount of institution's current obligation balance.	Dollars and cents. Right justify, left zero fill; do not include the \$ sign or decimal point. Range = 00000000000 to 99999999999	Will always equal zero for institutions that are obligate-only accounts for the whole year.
92	102	11	A/N	Previous Obligation/ Payment Amount	Amount of institution's previous payment balance.	Dollars and cents. Right justify, left zero fill; do not include the \$ sign or decimal point. Range = 00000000000 to 99999999999 or Blank.	Will always equal zero for institutions that are obligate-only accounts for the whole year.

## Electronic Statement Of Account Record – Summary (Continued)

Field Positions		Length (# of Bytes)	Type	Field Name	Description	Valid Values	Processing Notes/Edits
First	Last						
103	113	11	A/N	Obligation/Payment Adjustment Amount	Total of all adjustments to payment for the GAPS Award Number.	Dollars and cents. Right justify, left zero fill; do not include the \$ sign or decimal point. Range = 00000000000 to 99999999999 or Blank.	Will always equal zero for institutions that are obligation-only accounts for the whole year.
114	124	11	A/N	Current Obligation/Payment Amount	Amount of institution's current payment balance.	Dollars and cents. Right justify, left zero fill; do not include the \$ sign or decimal point. Range = 00000000000 to 99999999999 or Blank.	Will always equal zero for institutions that are obligation-only accounts for the whole year.
125	131	7	N	YTD Total Unduplicated Recipients	Year-to-Date number of unduplicated recipients for institution.	Range = 000000000 to 999999999 or Blank	
132	142	11	N	YTD Accepted Disbursement Amount	YTD Total of disbursements accepted by RFMS.	Dollars and cents. Right justify, left zero fill; do not include the \$ sign or decimal point. Range = 00000000000 to 99999999999 or Blank	
143	153	11	N	YTD Posted Disbursement Amount	YTD Total of disbursements sent to and acknowledged by GAPS.	Dollars and cents. Right justify, left zero fill; do not include the \$ sign or decimal point. Range = 00000000000 to 99999999999 or Blank	

## Electronic Statement Of Account Record – Summary (Continued)

Field Positions		Length (# of Bytes)	Type	Field Name	Description	Valid Values	Processing Notes/Edits
First	Last						
154	164	11	N	YTD Administrative Cost Allowance (ACA)	YTD amount of ACA paid to the institution.	Dollars and cents. Right justify, left zero fill; do not include the \$ sign or decimal point. Range = 0000000000 to 9999999999 or Blank	
165	177	13	N	GAPS Draw-down/Payment	The sum of DD instigated by the school, Direct payments for Obligation/Payment accounts less Returns and Refunds.	Dollars and cents. Right justify, left zero fill; do not include the \$ sign or decimal point. 000000000000 to 999999999999 or Blank	
178	185	8	D	Date of Last Activity in GAPS	The date GAPS last posted a transaction for the GAPS Award number.	Valid date in CCYYMMDD format.	
186	198	13	N	Payment Control Number	The reference number for the last payment sent to the institution.	Valid Payment Control Number or all zeros.	
199	200	2	A	Unused	Reserved for future expansion	Constant spaces	
		<b>200</b>		<b>Total Record Length</b>			

## Electronic Statement Of Account Record – Detail

Field Positions		Length (# of Bytes)	Type	Field Name	Description	Valid Values	Processing Notes/Edits
First	Last						
1	1	1	A	Record Indicator	Indicates the record is summary or detail.	Constant "D" = Detailed institution activity	
2	7	6	N	Reporting Campus Pell-ID	Pell-ID of reporting campus	Valid Pell-ID	
8	18	11	A/N	Grantee DUNS Number	Data Universal Numbering Scheme (DUNS) number assigned to the reporting institution.	Valid DUNS number. Format = 9999999999BB where 999999999 is a unique number and BB are blanks.	
19	29	11	A	Unused	Reserved for future expansion	Constant spaces.	
30	45	16	A/N	GAPS Award Number	Used to identify a unique funding for an institution. Comprised of the following fields = PO Indicator CFDA Number CFDA Subprogram Id Subprogram Fiscal Year Sequence Number	Valid GAPS Award number. Format = P063P CCYYXXXX Where "P" = constant for PO Indicator "063" = constant for CFDA Number 'P/J/Q/R' constant for CFDA Subprogram ID P = Advance funded (Obligate only) J = Just in Time (Obligate/Pay) R = Reimbursement (Obligate/Pay) Q = ACA (Obligate/Pay) " " = 3 spaces  CCYY = Beginning year of school year pair '2001'. XXXX = unique value for each funded institution	
46	53	8	D	Transaction Date	Effective date of accounting transaction sent to GAPS.	Valid Date in CCYYMMDD format.	

## Electronic Statement Of Account Record – Detail (Continued)

Field Positions		Length (# of Bytes)	Type	Field Name	Description	Valid Values	Processing Notes/Edits
First	Last						
54	54	1	A	Debit/ Credit Indicator Flag	Indicates whether the Reported Disbursement Amount is an increase or a decrease to the total amount that has been disbursed to the student for the award year.	P = positive N = negative	
55	65	11	A/N	Adjustment Amount	Amount of institution's adjustment batch.	Dollars and cents. Right justify, left zero fill; do not include the \$ sign or decimal point. Range = 0000000000 to 9999999999	
66	73	8	D	GAPS Process Date	The date GAPS processed adjustment batch.	Valid date in CCYYMMDD format.	

## Electronic Statement Of Account Record – Detail (Continued)

Field Positions		Length (# of Bytes)	Type	Field Name	Description	Valid Values	Processing Notes/Edits
First	Last						
74	99	26	A/N	Adjustment Batch ID	Batch ID which generated the adjustment.	Format = CCYYXX999999CC YYMMDDHHMMS S where: XX = #D = Disbursements CCYY = End year of school year pair = '2002' 999999 = Reporting Pell ID CCYYMMDD = date batch created HHMMSS = time batch created	
100	200	101	A	Unused	Reserved for future expansion.	Constant spaces	
		<b>200</b>		<b>Total Record Length</b>			

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# Printing the ESOA

What's included:

- ESOA Print Format

# 2001-2002 ESOA Print Format

Report Date:09/01/2001  
 Report Time: HH:MM:SS

U.S DEPARTMENT OF EDUCATION  
 STUDENT FINANCIAL ASSISTANCE PROGRAMS

2001-2002 AWARD YEAR  
 FEDERAL PELL GRANT PROGRAM  
 ELECTRONIC STATEMENT OF ACCOUNT

PELL INSTITUTION NUMBER	999999
INSTITUTION NAME	XXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXX
STATE	XX
GRANTEE DUNS NUMBER	XXXXXXXXXXXX
GAPS AWARD NUMBER	XXXXXXXXXXXXXXXXXXXX
Accounting Schedule	999
Accounting Schedule Date	MM/DD/CCYY
A. Previous Pell Grant Obligation	\$999,999,999.99
Current Pell Grant Obligation	\$999,999,999.99
Adjustment (Increase + or Decrease -)	\$099,999,999.99*
B. Previous Pell Grant Obligation/Payment	\$999,999,999.99
Current Pell Grant Obligation/Payment	\$999,999,999.99
Adjustment (Increase + or Decrease -)	\$099,999,999.99*
GAPS Draw-downs/Payments	\$999,999,999.99
Date of Last Activity in GAPS	MM/DD/CCYY
YTD Total Unduplicated Recipients	999,999
YTD Pell Accepted Disbursement Amount	\$999,999,999.99
YTD GAPS Posted Disbursement Amount	\$999,999,999.99
YTD Administrative Cost Allowance	\$999,999,999.99
As of Batch ID	XXCCYY12345619990101123000

SECTION A VALUES APPLICABLE ONLY FOR ADVANCED FUNDED ACCOUNTS.  
 SECTION B VALUES APPLICABLE ONLY FOR JUST IN TIME AND REIMBURSEMENT ACCOUNTS.

# 2001-2002 ESOA Print Format (Continued)

## DETAILED INFORMATION (PAGE 2)

Electronic Statement of Account Page: 2

### ESOA DETAIL BATCH INFORMATION

ADJUST REPORT DATE	ADJUST AMOUNT	ADJUST PROCESS DATE	ADJUST BATCH # ADJUST DESCRIPTION
-----	-----	-----	-----
MM/DD/CCYY	\$999,999,999.99*	MM/DD/CCYY	XXCCYY12345619990101123000 XXXXXXXXXXXXXXXXXXXXXX
MM/DD/CCYY	\$999,999,999.99*	MM/DD/CCYY	XXCCYY12345619990101123000 XXXXXXXXXXXXXXXXXXXXXX
MM/DD/CCYY	\$999,999,999.99*	MM/DD/CCYY	XXCCYY12345619990101123000 XXXXXXXXXXXXXXXXXXXXXX
MM/DD/CCYY	\$999,999,999.99*	MM/DD/CCYY	XXCCYY12345619990101123000 XXXXXXXXXXXXXXXXXXXXXX
MM/DD/CCYY	\$999,999,999.99*	MM/DD/CCYY	XXCCYY12345619990101123000 XXXXXXXXXXXXXXXXXXXXXX
MM/DD/CCYY	\$999,999,999.99*	MM/DD/CCYY	XXCCYY12345619990101123000 XXXXXXXXXXXXXXXXXXXXXX
MM/DD/CCYY	\$999,999,999.99*	MM/DD/CCYY	XXCCYY12345619990101123000 XXXXXXXXXXXXXXXXXXXXXX

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# Institution Data Records and Acknowledgements

What's included:

- Institution Data Record Description
- Institution Data Acknowledgement Record Description

## Institution Data Record

Field Positions		Length (# of Bytes)	Type	Field Name	Description	Valid Values	Processing Notes/Edits
First	Last						
1	6	6	N	Pell-ID	Pell-ID assigned the Federal Pell Program for the participating campus.	<b><i>This field is required.</i></b> Must be a valid Pell-ID code.	Change applies to all records with the same Pell-ID , unless further identification (DUNS #) is provided to change only a particular institution
7	17	11	N	DUNS Number	Data Universal Numbering Scheme (DUNS) number assigned to the reporting institution. This field is optional.	Valid DUNS number. Format = 9999999999BB where 999999999 is a unique number and BB are Blanks.	Used to identify an institution that may be referenced by more than one Pell-ID.
18	52	35	A/N	Institution Street Mailing Address - Line 1	Line 1 of the street or post office box address of institution.	May be Blank.	BLANK if unchanged. May edit to determine change of ownership
53	87	35	A/N	Institution Street Mailing Address - Line 2	Line 2 of the street or post office box address of institution	May be Blank.	BLANK if unchanged.
88	112	25	A/N	Institution Mailing City	The city in which the institution is located	May be Blank.	BLANK if unchanged.
113	114	2	A/N	Institution Mailing State	The two-character code assigned by the US Postal Service to the state or other entity in which the institution is located	May be Blank.	BLANK if unchanged.
115	123	9	A/N	Mailing Zip Code	The zip code plus 4 of the institution	May be Blank.	BLANK if unchanged.

## Institution Data Record (Continued)

Field Positions		Length (# of Bytes)	Type	Field Name	Description	Valid Values	Processing Notes/Edits
First	Last						
124	173	50	A/N	FAA Email Address	Internet address of an authorized official. Do not provide an e-mail address usable only with your school's internal e-mail system.		BLANK if unchanged.
174	203	30	A/N	Financial Aid Administrator (FAA) Name	Enter the full name of the institutional administrator officially responsible for the accuracy and completeness of the data, starting with first name, e.g., JOHN E DOE. Do not use titles or punctuation. Do not enter the name of your service agent.	May include blanks and special characters.	BLANK if unchanged.  Are we going to allow updating?
204	217	14	A/N	FAA Telephone Number	Phone number for the FAA indicated previously, including area code and extension. Do not enter the number for your service agent.	Numeric only. No parentheses or dashes.	BLANK if unchanged.

## Institution Data Record (Continued)

Field Positions		Length (# of Bytes)	Type	Field Name	Description	Valid Values	Processing Notes/Edits
First	Last						
218	231	14	A/N	FAA Fax Number (Optional)	Fax number used by the FAA indicated previously, including area code. Do not enter the number for your service agent.	Numeric only for first 10 positions. No parentheses or dashes. Last 4 positions <del>should</del> <b>will</b> be blank.	BLANK if unchanged.
232	232	1	A	Institution Type	Code that best describes the type of institution	1 = Less than 1 year 2 = 1 year, less than 2 years 3 = 2 years, less than 3 years 4 = 3 years, less than 4 years 5 = 4 years (baccalaureate) 6 = 5 years or more Otherwise, leave blank.	BLANK if unchanged.
233	233	1	A	Financial Control	The source of financial control for your institution in Pell Grant files, use the code that best describes your institution.	1 = Public 2 = Private, nonprofit 3 = Proprietary Otherwise, leave blank.	BLANK if unchanged.

## Institution Data Record (Continued)

Field Positions		Length (# of Bytes)	Type	Field Name	Description	Valid Values	Processing Notes/Edits
First	Last						
234	234	1	A	Academic Calendar	The academic calendar in Pell Grant files, use the code that best describes the MAJOR type of academic term your institution uses.	1 = Institution uses nonstandard academic terms and measures academic progress by credit hours 2 = Institution uses standard quarters and measures academic progress by credit hours 3 = Institution uses standard semesters and measures academic progress by credit hours 4 = Institution uses standard trimesters and measures academic progress by credit hours 5 = Institution measures academic progress by clock-hours 6 = Institution does not use terms, but does measure academic progress by credit hours Otherwise, leave blank.	BLANK if unchanged.

## Institution Data Record (Continued)

Field Positions		Length (# of Bytes)	Type	Field Name	Description	Valid Values	Processing Notes/Edits
First	Last						
235	236	2	A/N	Weeks of Inst. Time in Program's Definition of Academic Year	The number of weeks of instructional time in the program's academic year.	Blank or 30 to 78	
237	240	4	A/N	Cr/Clock Hrs in Program's Definition of Academic Year	The number of hours/credit hours in your school's academic year definition in Pell Grant file.	Use leading zeroes and the applicable range = 0900 to 3120 for AC = 5 0024 to 0100 for AC = 6 Otherwise, leave blank.	BLANK if unchanged.
		<b>240</b>		<b>Total Record Length</b>			

## Institution Data Acknowledgement Record

Field Positions		Length (# of Bytes)	Type	Field Name	Description	Valid Values	Processing Notes/Edits
First	Last						
1	6	6	N	Pell-ID	Pell-ID assigned the Federal Pell Program for the participating campus.	Must be a valid Pell-ID code.	Change applies to all records with the same Pell-ID , unless further identification (DUNS #) is provided to change only a particular institution
7	7	1	A	Action Status	Code to indicate the status of institution data record receipt.	A = Institution Data Record Accepted E = Institution Data Record Rejected	Completed by RFMS as a result of Batch editing.
8	31	24	N	Batch Reject Reasons	List of up to eight 3-digit batch reject reason codes which occurred during initial editing of the batch. Only reject reason codes hit will display in this field. Otherwise, this space will be zero filled.	Reject Reasons format = 000 to 199 Position X-X: 1st reject reason code Position X-X: 2nd reject reason code Position X-X: 3rd reject reason code Position XX-XX: 8th reject reason code	Completed by RFMS as a result of Batch editing.
32	106	75	A	Unused	Reserved for future expansion	Constant spaces	
		<b>106</b>		<b>Total Record Length</b>			

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## Electronic Data Requests

What's included:

- Data Requests: Multiple Reporting, Reconciliation, SOA, YTD
- Multiple Reporting Record Description
- Reconciliation File Description
- Year-to-Date Record (Origination) Description
- Year-to-Date Record (Disbursement) Description
- Year-to-Date Record (Summary) Description

## Data Requests: Multiple Reporting, Reconciliation, Statement of Account, YTD

Field Positions		Length (# of Bytes)	Type	Field Name	Description	Valid Values	Processing Notes/Edits
First	Last						
1	6	6	N	Requesting Attended Campus Pell-ID	Pell-ID campus on	<i>This field is required.</i> Valid Pell-ID	If all zeros are entered and the request is a Year-to-Date or Reconciliation request then a YTD or Reconciliation file will be generated for the reporting campus, contained in the Batch ID, and each attended campus associated with the reporting campus. A separate Year-to-Date or Reconciliation file will be generated for each Pell ID
7	7	1	A	Request Type	Code for data request type.	<i>This field is required.</i> M = Multiple Reporting R = Reconciliation S = Statement of Account Y = Year-to-Date	
8	8	1	A	Requested Output Media Type	Code for type of media to use when sending output data.	E = Send output by Electronic File	Cannot be blank for requests from the WEB.
9	34	26	A	Unused	Reserved for future expansion	Constant spaces	

## Data Requests: Multiple Reporting, Reconciliation, Statement of Account, YTD (Continued)

Field Positions		Length (# of Bytes)	Type	Field Name	Description	Valid Values	Processing Notes/Edits
First	Last						
35	35	1	A	Multiple Reporting Request Code 1	Indicates the institution is requesting origination or disbursement information.	<i>This field is required.</i> O = Send origination information D = Send disbursement information	
36	36	1	A	Multiple Reporting Request Code 2	Indicates the institution is requesting by selected student, selected institution, or all students.	<i>This field is required.</i> A = Send list of other institutions for all students S = Send other institution for students listed in record. I = Send students for institution listed in record	There may be multiple detail records to accommodate the number of Student IDs or institution numbers listed for the attended campus institution.
37	47	11	A	Student ID	The Student SSN and Name code for which a MR is requested. Only required if MR Code 2 equals S.	Blank or 001010001XX to 999999999XX where XX = Uppercase A to Z (period) (apostrophe) (dash) Blank = no last name	Must be non-blank MRR Code 2 equals S.
48	53	6	N	MR Institution Pell-ID	The institution code for which MR listings are requested. Only required if the MR Code 2 equals I.	Blank or Valid Pell-ID	Must be non-blank if MRR Code 2 equals I.

## Data Requests: Multiple Reporting, Reconciliation, Statement of Account, YTD (Continued)

Field Positions		Length (# of Bytes)	Type	Field Name	Description	Valid Values	Processing Notes/Edits
First	Last						
54	76	23	A	Origination ID	The Origination ID for which a Year-to-Date is Requested.	Format = 999999999XX20029999900 Where: SSN = 001010001 to 999999 999 Name Code = XX Year Indicator = 2002 Valid Attended PELL ID = 999999 Orig Sequence Number = 00	If Request Type is Y and the Origination ID is nonblank then the YTD will be generated for that Origination ID. If the Origination ID is not found or invalid the request will be rejected.
77	100	24	A	Unused	Reserved for future expansion	Constant spaces	
		<b>100</b>		<b>Total Record Length</b>			

## Data Request Acknowledgements: Multiple Reporting, Reconciliation, Statement of Account, YTD

Field Positions		Length (# of Bytes)	Type	Field Name	Description	Valid Values	Processing Notes/Edits
First	Last						
1	6	6	N	Requesting Attended Campus Pell-ID	Pell-ID campus	Valid Pell-ID	If all zeros are entered and the request is a Year-to-Date or Reconciliation request then a YTD or Reconciliation file will be generated for the reporting campus, contained in the Batch ID, and each attended campus associated with the reporting campus. A separate Year-to-Date or Reconciliation file will be generated for each Pell ID
7	7	1	A	Request Type	Code for data request type.	M = Multiple Reporting R = Reconciliation S = Statement of Account Y = Year-to-Date	
8	8	1	A	Requested Output Media Type	Code for type of media to use when sending output data.	E = Send output by Electronic file	
9	34	26	A	Unused	Reserved for Future Expansion	Constant spaces	
35	35	1	A	Multiple Reporting Request Code 1	Indicates the institution is requesting origination or disbursement information.	O=Send Origination information D=Send Disbursement information	
36	36	1	A	Multiple Reporting Request Code 2	Indicates the institution is requesting by selected student, selected institution, or all students.	A = Send list of other institutions for all students S = Send other institution for students listed in record. I = Send students for institution listed in record	There may be multiple detail records to accommodate the number of Student IDs or institution numbers listed for the attended campus institution.

**Data Request Acknowledgements: Multiple Reporting, Reconciliation, Statement of Account, YTD (Continued)**

Field Positions		Length (# of Bytes)	Type	Field Name	Description	Valid Values	Processing Notes/Edits
First	Last						
37	47	11	A	<b>Student ID</b>	<i>The Student SSN and Name code for which a MR is requested. Only required if MR Code 2 equals S.</i>	Blank or 001010001XX to 999999999XX where XX = Uppercase A to Z .(period) '(apostrophe) - (dash) Blank = no last name	Must be non-blank MRR Code 2 equals S.
48	53	6	N	<b>MR Institution Pell-ID</b>	<i>The institution code for which MR listings are requested. Only required if the MR Code 2 equals I.</i>	Blank or Valid Pell-ID	Must be non-blank if MRR Code 2 equals I.
54	76	23	A	<b>Origination ID</b>	<i>The Origination ID for which a Year-to-Date is Requested.</i>	Format = 999999999XX200299 999900 Where: SSN = 001010001 to 999999999 Name Code = XX Year Indicator = 2002 Valid Attended PELL ID = 999999 Orig Sequence Number = 00	If Request Type is Y and the Origination ID is nonblank then the YTD will be generated for that Origination ID. If the Origination ID is not found or invalid the request will be rejected.
77	100	24	A	<b>Unused</b>	<i>Reserved for future expansion</i>	Constant spaces	
		100		<b>Total Record Length</b>			

## Multiple Reporting Record

Field Positions		Length (# of Bytes)	Type	Field Name	Description	Valid Values	Processing Notes/Edits
First	Last						
1	2	2	A	Record Type	Code that indicates the reason the institution is receiving the record.	RO = Originated Institution RD = Disbursed Institution RN = None found CE = Concurrent Enrollment Institution PB = Blocked Institution PR = Blocker Institution PU = Unblocked Institution BC = Blocked and Concurrent Enrollment RC = Blocker and Concurrent Enrollment VW = Verification W SI = Shared SAR ID	
3	8	6	N	Requesting Institution Pell-ID	Pell-ID of the requesting attended campus of the student. Will be blank for concurrent enrollment and potential over award records.	Must be a valid Pell-ID assigned by the Department of Education. May be BLANK.	
9	9	1	A	Multiple Reporting Request Code 1	Indicates the institution is requesting origination or disbursement information. Will be blank for concurrent enrollment and potential over award records.	O = Send origination information D = Send disbursement information May be BLANK.	

## Multiple Reporting Record (Continued)

Field Positions		Length (# of Bytes)	Type	Field Name	Description	Valid Values	Processing Notes/Edits
First	Last						
10	10	1	A	Multiple Reporting Request Code 2	Indicates the institution is requesting by selected student, selected institution, or all students. Will be blank for concurrent enrollment and potential over award records.	A = Send list of other institutions for all students S = Send list of other institutions for students listed in record. I = Send student for institution listed in record May be blank.	
11	21	11	A	MR Student ID	The Student SSN and Name code for which a MR is requested. Will be blank for concurrent enrollment and potential over award records.	Blank or 001010001XX to 999999999XX where XX = Uppercase A to Z; ,(period); (apostrophe); - (dash); Blank = no last name	

## Multiple Reporting Record (Continued)

Field Positions		Length (# of Bytes)	Type	Field Name	Description	Valid Values	Processing Notes/Edits
First	Last						
22	27	6	N	MR Institution Pell-ID	The institution code for which MR are requested. Will be blank for concurrent enrollment and potential over award records.	Valid Pell-ID. May be blank.	
28	36	9	N	Student Original SSN	Student's Original SSN from the origination record.	001010001 to 999999999	
37	38	2	A	Original Name Code	Student's name code from the origination record.	Uppercase A to Z; (period); (apostrophe); (dash) Blank (no last name).	
39	44	6	N	Institution Pell-ID	Pell-ID of the attended campus of the student. Use the record type to interpret the relationship this institution has to the institution receiving this record.	Must be a valid Pell-ID assigned by the Department of Education.	
45	114	70	A/N	Institution Name	The name of the institution.		
115	149	35	A/N	Institution Street Address - Line 1	The street or post office box address of institution.		
150	184	35	A/N	Institution Street Address - Line 2	The street or post office box address of institution.		
185	209	25	A/N	Institution City	The city in which the institution is located.		
210	211	2	A	Institution State	The two-character code assigned by the US Postal Service to the state or other entity in which the institution is located.		

## Multiple Reporting Record (Continued)

Field Positions		Length (# of Bytes)	Type	Field Name	Description	Valid Values	Processing Notes/Edits
First	Last						
212	220	9	A/N	Zip Code	The zip code of the institution.		
221	250	30	A/N	Financial Aid Administrator (FAA) Name	The full name of the institutional administrator officially responsible for the accuracy and completeness of the data, starting with first name, e.g., JOHN E DOE.	May include blanks and special characters.	
251	260	10	N	FAA Telephone Number	The working phone number for the person indicated as FAA.	Includes area code, but not parentheses or dashes.	
261	270	10	A/N	FAA Fax Number (Optional)	The working fax number used by the person indicated as FAA.	May be BLANK. Otherwise Includes area code, but not parentheses or dashes.	
271	320	50	A/N	Internet Address	Internet address of an authorized official.	May be BLANK.	
321	327	7	N	Scheduled Federal Pell Grant	Scheduled Federal Pell Grant for a student with this EFC and COA attended full-time for a full academic year	Range = 0000000 to AWARD AMOUNT MAX	

## Multiple Reporting Record (Continued)

Field Positions		Length (# of Bytes)	Type	Field Name	Description	Valid Values	Processing Notes/Edits
First	Last						
328	334	7	N	Origination Award Amount	Annual award amount supplied on the origination record.	Range = 0000000 to AWARD AMOUNT MAX	
335	336	2	N	Transaction Number	Transaction number from the eligible SAR used to calculate the award.	Range = 01 to 99	
337	341	5	N	Expected Family Contribution	Amount of the student's Expected Family Contribution from the SAR used to calculate the award.	Range = 00000 to EFC MAXIMUM	
342	349	8	D	Enrollment Date	First date the student was enrolled in an eligible program for the award year.	CCYYMMDD Range = 20010101 to 20020630	
350	357	8	D	Origination Create Date	Date the origination was created in RFMS.	CCYYMMDD Range = 20010401 to 20070930	
358	364	7	N	Total of Disbursements Accepted	Total amount of all disbursements accepted by the Federal Pell Grant Program for the POP student.	Range = 0000000 to AWARD AMOUNT MAX	
365	372	8	D	Last Activity Date	Date of the last payment was received from the institution.	Format = CCYYMMDD	
373	380	8	D	Next Estimated Disbursement Date	Date of next estimated disbursement date.	Blank or CCYYMMDD Range = 20010101 to 20070930	
381	385	5	N	Eligibility Used	The percentage of the student's eligibility used by the institution.	Format = 000.00% The last two digits represent less than 1 percent. Field does not include decimal point or %.	

## Multiple Reporting Record (Continued)

Field Positions		Length (# of Bytes)	Type	Field Name	Description	Valid Values	Processing Notes/Edits
First	Last						
386	395	10	N	ED Use Flags	Flags that are set to inform institutions of modifications that have been made to their database and require immediate action to rectify	Format = 0000000000 Where: Each digit signifies a different situation 1 <sup>st</sup> = Shared SAR ID 2 <sup>nd</sup> = Verification W Status 3 <sup>rd</sup> = Concurrent Enrollment 4 <sup>th</sup> = POP 5 <sup>th</sup> through 10 <sup>th</sup> = Reserved for future use .	
396	411	16	A/N	Student's Last Name	The last name of the student.	A to Z, 0 to 9, period, apostrophe, hyphen or blank	
412	423	12	A/N	Student's First Name	The first name of the student.	A to Z, 0 to 9 or blank	
424	424	1	A	Student's Middle Initial	The middle initial of the student.	A to Z or blank	
425	432	8	D	Student's Date of Birth	The date of birth of the student.	Format = CCYYMMDD	
433	450	18	A	Unused	Reserved for future expansion	Constant spaces	
		<b>450</b>		<b>Total Record Length</b>			

## Reconciliation File Record

Field Positions		Length (# of Bytes)	Type	Field Name	Description	Valid Values	Processing Notes/Edits
First	Last						
1	16	16	A/N	Student's Last Name	The last name of the student.	A to Z, 0 to 9, period, apostrophe, hyphen or blank	
17	28	12	A/N	Student's First Name	The first name of the student.	A to Z, 0 to 9 or blank	
29	29	1	A	Student's Middle Initial	The middle initial of the student.	A to Z or blank	
30	52	23	A	Origination ID	The Origination ID of the student.	Format = 999999999XX200299999900 Where: SSN = 001010001 to 999999999 Name Code = XX Year Indicator = 2002 Valid Attended PELL ID = 999999 Orig Sequence Number = 00	
53	61	9	A/N	Student Current SSN	Social Security Number, as altered by the student through the CPS for the Transaction number reported. This field equals the original SSN if the student has not changed SSN in the CPS	Valid social security number or BLANK if not matched	
62	79	8	N	Student Date of Birth	The Date of Birth for the student	Valid Date, CCYYMMDD	
8062	8567	6	N	Attended Campus Pell-ID	Pell-ID of campus attended.	Valid Pell-ID	

## Reconciliation File Record (Continued)

Field Positions		Length (# of Bytes)	Type	Field Name	Description	Valid Values	Processing Notes/Edits
First	Last						
8668	8769	2	N	Transaction Number	Transaction number from the eligible SAR used to calculate the award.	Range = 01 to 99	
8870	9274	5		Expected Family Contribution (EFC)	The EFC that corresponds to the transaction number.	Range 00000 to EFC MAX	
9375	9981	7	N	Origination Award Amount	Annual award amount supplied on the origination record.	Range = 0000000 to AWARD AMOUNT MAX	
10082	10486	5	N	Scheduled Award Amount	Scheduled Federal Pell Grant for a student with this EFC and COA attended full-time for a full academic year	Range = 00000 to AWARD AMOUNT MAX	
10587	11193	7	N	YTD Disbursement Amount	Total of all the accepted Disbursement amounts for the student.	0000000 to 9999999. The first five positions are the whole dollars and the last two positions are the cents.	If there are no disbursements at RFMS or they have all been rejected then this amount will be 0.
94	94	1	A	Verification Status	<i>The verification status supplied on the origination record.</i>	<i>A= Accurate C= Calculated N= SAR Transaction Not Selected by CPS for Verification Process R= Reprocessed S= SAR transaction selected by CPS for verification process but 30% requirement met or Institution is a QAP participant. T= Tolerance W= Without Documentation</i>	
11295	11295	1	A	POP Flag	Flag set in origination record when a student is in a POP situation.	Y or blank	
113	150			Unused	Reserved for expansion	Constant spaces	
		<b>150100</b>		<b>Total Record Length</b>			

## Year-to-Date Record (Origination)

Field Positions		Length (# of Bytes)	Type	Field Name	Description	Valid Values	Processing Notes/Edits
First	Last						
1	1	1	A	YTD Record Indicator	Indicates if record is the YTD Origination, YTD Disbursement or Summary data.	Constant: "O"	
2	24	23	A/N	Origination ID	Unique number used to identify an origination	Format = 999999999XX20029999900 Where: SSN = 001010001 to 999999999 Name Code = XX Year Indicator = 2002 Valid Pell- ID = 999999 Orig Sequence Number = 00	Identifier
25	33	9	N	Original SSN	Student's SSN from original FAFSA	001010001 to 999999999	Identifier
34	35	2	A	Original Name Code	Student's name code from original FAFSA	Uppercase A to Z; .(period); '(apostrophe); - (dash); BLANK = no last name	Identifier
36	41	6	N	Attended Campus Pell-ID	Pell-ID of campus attended. Change creates new origination record. Institution must change payment amounts for student at original attended campus as necessary.	Valid Pell-ID	Identifier Change creates new origination record. Institution must change payment amounts for student at original attended campus as necessary.

## Year-to-Date Record (Origination) (Continued)

Field Positions		Length (# of Bytes)	Type	Field Name	Description	Valid Values	Processing Notes/Edits
First	Last						
42	46	5	A/N	Unused	Reserved for future expansion	Constant spaces	
47	59	13	A/N	Institution Cross-Reference	This field can contain any cross-reference information useful to the institution to identify student records internally.	Institution defined	No editing
60	60	1	A	Action Code	Code to indicate action to be taken	Valid Codes: A = Accepted - all fields accepted C = Corrected - one or more fields corrected	Rejected YTD records shall contain Requested Original SSN, Original Name Code, Attended Campus, and "Action code. All other fields shall be blank and no other records for the student will be enclosed in batch.
61	61	1	A	Unused	Reserved for future expansion.	Constant spaces	

## Year-to-Date Record (Origination) Continued

Field Positions		Length (# of Bytes)	Type	Field Name	Description	Valid Values	Processing Notes/Edits
First	Last						
62	68	7	N	Accepted Award Amount for Entire School Year	Must equal the award amount calculated by the institution to be disbursed to this student for attendance for this entire Pell Grant award year.	Dollars and cents. Use leading zeros; do not include the \$ sign or decimal point. Cents will be reported as '00'. Range = 0000000-MAX AWARD AMOUNT	Cannot exceed Total Payment Ceiling for student -- award validation performed.
69	76	8	N	Accepted Estimated Disbursement Date #1	Date 1st disbursement to student is estimated to be made.	Format = CCYYMMDD Range = N days prior to 20010701 to 20070930	
77	84	8	N	Accepted Estimated Disbursement Date #2	Date 2nd disbursement to student is estimated to be made.	Format = CCYYMMDD Range = [see field position 69 in this record] or BLANK	
85	92	8	N	Accepted Estimated Disbursement Date #3	Date 3rd disbursement to student is estimated to be made.	Format = CCYYMMDD Range = [see field position 69 in this record] or BLANK	
93	100	8	N	Accepted Estimated Disbursement Date #4	Date 4th disbursement to student is estimated to be made.	Format = CCYYMMDD Range = [see field position 69 in this record] or BLANK	
101	108	8	N	Accepted Estimated Disbursement Date #5	Date 5th disbursement to student is estimated to be made.	Format = CCYYMMDD Range = [see field position 69 in this record] or BLANK	
109	116	8	N	Accepted Estimated Disbursement Date #6	Date 6th disbursement to student is estimated to be made.	Format = CCYYMMDD Range = [see field position 69 in this record] or BLANK	

## Year-to-Date Record (Origination) (Continued)

Field Positions		Length (# of Bytes)	Type	Field Name	Description	Valid Values	Processing Notes/Edits
First	Last						
117	124	8	N	Accepted Estimated Disbursement Date #7	Date 7th disbursement to student is estimated to be made.	Format = CCYYMMDD Range = [see field position 69 in this record] or BLANK	
125	132	8	N	Accepted Estimated Disbursement Date #8	Date 8th disbursement to student is estimated to be made.	Format = CCYYMMDD Range = [see field position 69 in this record] or BLANK	
133	140	8	N	Accepted Estimated Disbursement Date #9	Date 9th disbursement to student is estimated to be made.	Format = CCYYMMDD Range = N days prior to 20010701 to 20070930	
141	148	8	N	Accepted Estimated Disbursement Date #10	Date 10th disbursement to student is estimated to be made.	Format = CCYYMMDD Range = [see field position 69 in this record] or BLANK	
149	156	8	N	Accepted Estimated Disbursement Date #11	Date 11th disbursement to student is estimated to be made.	Format = CCYYMMDD Range = [see field position 69 in this record] or BLANK	
157	164	8	N	Accepted Estimated Disbursement Date #12	Date 12th disbursement to student is estimated to be made.	Format = CCYYMMDD Range = [see field position 69 in this record] or BLANK	

## Year-to-Date Record (Origination) (Continued)

Field Positions		Length (# of Bytes)	Type	Field Name	Description	Valid Values	Processing Notes/Edits
First	Last						
165	172	8	N	Accepted Estimated Disbursement Date #13	Date 13th disbursement to student is estimated to be made.	Format = CCYYMMDD Range = [see field position 69 in this record] or BLANK	
173	180	8	N	Accepted Estimated Disbursement Date #14	Date 14th disbursement to student is estimated to be made.	Format = CCYYMMDD Range = [see field position 69 in this record] or BLANK	
181	188	8	N	Accepted Estimated Disbursement Date #15	Date 15th disbursement to student is estimated to be made.	Format = CCYYMMDD Range = [see field position 69 in this record] or BLANK	
189	196	8	D	Accepted Enrollment Date	First date that the student was enrolled in an eligible program for the designated school year. If the student enrolled in a crossover payment period before the first day of the Pell award year (July 1), but which will be paid from 2001-2002 funds, report the actual start date of the student's classes for that payment period.	CCYYMMDD = Range = 20010101 to 20020630	

## Year-to-Date Record (Origination) (Continued)

Field Positions		Length (# of Bytes)	Type	Field Name	Description	Valid Values	Processing Notes/Edits
First	Last						
197	197	1	A/N	Accepted Low Tuition and Fees Flag	Flag to identify tuition ranges when the annual tuition is less than or equal to minimum defined by or low tuition and fees table.	Valid Values: 1= 0 2= 1-262 3= 263-524 BLANK= low tuition doesn't apply.	
198	198	1	A	Accepted Verification Status Flag	Status of verification of applicant data by the school.	A = Accurate C = Calculated N = SAR Transaction Not Selected by CPS for Verification Process R = Reprocessed S = SAR Transaction Selected by CPS for Verification Process but 30% Requirement met or Institution is a Quality Assurance Program Participant T = Tolerance W = Without Documentation	
199	199	1	A	Accepted Incarcerated Federal Pell Recipient Code	Code to indicate the student's incarcerated status for students incarcerated in local penal institutions, but are otherwise eligible to receive Federal Pell Grants.	BLANK = Not incarcerated Y = Yes, the student is incarcerated in a local institution, but is otherwise eligible. N = No, if student previously reported as incarcerated, but is not or is no longer incarcerated	

## Year-to-Date Record (Origination) (Continued)

Field Positions		Length (# of Bytes)	Type	Field Name	Description	Valid Values	Processing Notes/Edits															
First	Last																					
200	201	2	N	Accepted Transaction Number	Transaction number from eligible SAR used to calculate award	Must be numeric: 01 to 99	Changes to this field, after associated disbursements are made, create a new active origination record. Disbursements for the previous origination will be set to zero.															
202	206	5	N	Accepted Expected Family Contribution (EFC)	Must equal the student's Expected Family Contribution from the ISIR or SAR	Range = 00000 to EFC MAXIMUM	Changes to this field, after associated disbursements are made, create a new active origination record. Disbursements for the previous origination will be set to zero.															
207	207	1	N	Accepted Secondary Expected Family Contribution Code	Code indicating which EFC value is used to determine award amount	O = Federal Pell Grant award previously based on the secondary EFC and reported to the Federal Pell Grant program; student's award now based on the original EFC. S = Federal Pell Grant award based on the secondary EFC, as a calculated by the CPS. OR BLANK if Secondary EFC not used.																
208	208	1	N	Accepted Academic Calendar	Calendar which applies to this student's educational program. Must be valid or system accepted to process record.	1 = Credit Hours - non-standard terms; 2 = Credit Hours - standard terms of quarters; 3 = Credit Hours - standard terms of semesters; 4 = Credit Hours - standard terms of trimesters; 5 = Clock hours; 6 = Credit Hours without terms;	The academic calendar dictates which Payment Methodology can be accepted. Used in award amount validation. The following changes in Academic Calendar indicate need to change Payment Methodology. <table border="1"> <thead> <tr> <th>From</th> <th>To</th> <th></th> </tr> </thead> <tbody> <tr> <td>1</td> <td>to</td> <td>2, 3, 4, or 5</td> </tr> <tr> <td>2, 3, or 4</td> <td>to</td> <td>1 or 5</td> </tr> <tr> <td>5</td> <td>to</td> <td>2, 3, 4, or 6</td> </tr> <tr> <td>6</td> <td>to</td> <td>1 or 5</td> </tr> </tbody> </table>	From	To		1	to	2, 3, 4, or 5	2, 3, or 4	to	1 or 5	5	to	2, 3, 4, or 6	6	to	1 or 5
From	To																					
1	to	2, 3, 4, or 5																				
2, 3, or 4	to	1 or 5																				
5	to	2, 3, 4, or 6																				
6	to	1 or 5																				

## Year-to-Date Record (Origination) (Continued)

Field Positions		Length (# of Bytes)	Type	Field Name	Description	Valid Values	Processing Notes/Edits
First	Last						
209	209	1	N	Accepted Payment Methodology	Formula used to calculate the student's Federal Pell Grant Award.	1 = (a)Credit hour with standard terms in which total weeks of instructional time Fall through Spring terms equal or exceed 30 weeks, or have been granted waiver; or (b) School offers a summer term in addition to fall through spring terms, could calculate awards using Formula 1 or 2 and chooses to perform alternate calculation (AC = 2,3, or 4) 2 = Credit hour with standard terms in which total weeks of instructional time Fall through Spring terms are less than 30 weeks, has not been granted waiver. Institution does not use alternate calculation (AC = 2,3, or 4) 3 = Credit hour with standard or non-standard terms (AC = 1,2,3, or 4) 4 = Clock hour or Credit hour without terms (AC = 5 or 6) 5 = Programs of study by correspondence (AC = 1,2,3, or 4 denotes Formula 5B AC = 5 & 6 denotes Formula 5A)	The Payment Methodology dictates the data required for Enrollment status, Weeks of instructional time, Weeks of instructional time in academic year, Credit/Clock Hours expected to complete, Credit/Clock Hours in academic year.  Used in award amount validation.

## Year-to-Date Record (Origination) (Continued)

Field Positions		Length (# of Bytes)	Type	Field Name	Description	Valid Values	Processing Notes/Edits
First	Last						
210	216	7	N	Accepted Cost of Attendance	Must equal COA calculated by the institution following the Federal Pell Grant Payment regulations.	Dollars and cents. Use leading zeros; do not include the \$ sign or decimal point. Range = 0000000 to 9999999.	Used in award amount validation.
217	217	1	A	Accepted Enrollment Status	The code that applies to the student's expected enrollment status for the AWARD YEAR. Changes to this field will be accepted for the entire award year. Must be valid when Payment Methodologies 1, 2, 3 or 5 are used.	BLANK or 1 = Full-time 2 = 3/4 time 3 = 1/2 time 4 = Less than 1/2 time 5 = Other	

## Year-to-Date Record (Origination) (Continued)

Field Positions		Length (# of Bytes)	Type	Field Name	Description	Valid Values	Processing Notes/Edits
First	Last						
218	219	2	A	Accepted Weeks of Instructional Time Used to Calculate Payment	Total Number of weeks on instructional time provided by this student's Program of Study during a full academic year. Valid Values depend upon Payment Methodology and Academic Calendar fields. Must be completed when Payment Methodologies 2, 3, 4, or 5 are used. PM1 = Blank PM2 = Total number of weeks of instructional time in student's Program of Study's academic year (fall through spring terms). PM3 & PM5B = Total number of weeks of instructional time in all terms in student's Program of Study's academic year. PM4 & PM5A = The lesser of either (a) total number of weeks of instructional time for a full-time student to complete hours in student's program of study, or (b) total number of weeks of instructional time for a full-time student to complete hours in student's program of study's academic year. Institution determines this based on the time required for the majority of its full-time students to complete the program of study or the program of study's academic year, not student by student.	BLANK or 00 to 78	Must be blank when using Payment Methodology 1. If incorrect, change to standard value. If supplied and not needed for payment methodology, ignore. Used in award amount validation.

## Year-to-Date Record (Origination) (Continued)

Field Positions		Length (# of Bytes)	Type	Field Name	Description	Valid Values	Processing Notes/Edits
First	Last						
220	221	2	A	Accepted Weeks of inst. time in Program's Definition of Academic Year	The number of weeks of instructional time in the program's academic year. Must be valid when Payment Methodologies 2, 3, 4 or 5 are used.	BLANK or 30 to 78	Can be blank when using Payment Methodology 1. If incorrect, change to standard value. If supplied and not needed for payment methodology, ignore. Used in award amount validation.
222	225	4	A	Accepted Cr/Clock Hrs in Award Year	Total number of credit/clock hours in all payment periods institution expects this student to attend and be paid for during this Federal Pell Grant Award year.	BLANK or Ranges = 0000 to 3120 Academic calendar 5 0000 to 0100 Academic calendar 6	Can be blank when using Payment Methodologies 1, 2, 3, & 5. If incorrect, change to standard value. If supplied and not needed for payment methodology, ignore. Used in award amount validation.
226	229	4	A	Accepted Cr/Clock Hours in This Student's Program of Study's Academic Year	Total number of credit or clock hours in the institution's definition of a full academic year for this student's Program of Study.	BLANK or Range = 0900 to 3120 Academic calendar 5 0024 to 0100 Academic calendar 6	Can be blank when using Payment Methodologies 1, 2, 3, & 5. If incorrect, change to standard value. If supplied and not needed for payment methodology, ignore. Used in award amount validation.
230	232	3	A/N	Institution Internal Sequence Number	This is an internal sequence number the institution can define.	Institutional defined	No editing
233	251	19	A	Unused	Reserved for expansion	Constant spaces	
252	256	5	N	Scheduled Federal Pell Grant	Scheduled amount for a full time student.	Range = 00000 to Maximum Award Amount	

## Year-to-Date Record (Origination) (Continued)

Field Positions		Length (# of Bytes)	Type	Field Name	Description	Valid Values	Processing Notes/Edits
First	Last						
257	285	29	A	Student Name	Full student name as reported to the CPS for the Transaction number reported. Blank indicates this record could not be matched on Student ID and/or EFC during Federal Pell Grant processing.	BLANK or Full name listed in order: Last Name - 01 to 16 First Name - 17 to 28 Middle Initial - 29	
286	294	9	A/N	Student Current SSN	Social Security Number, as altered by the student through the CPS for the Transaction number reported. This field equals the original SSN if the student has not changed SSN in the CPS. Blank indicates this record could not be matched on Student ID and/or EFC during Federal Pell Grant processing.	Valid Social Security Number or BLANK if not matched	
295	302	8	D	Student Date of Birth	Date of birth of the student.	Valid date of birth = CCYYMMDD	

## Year-to-Date Record (Origination) (Continued)

Field Positions		Length (# of Bytes)	Type	Field Name	Description	Valid Values	Processing Notes/Edits
First	Last						
303	303	1	A	CPS Verification Selection Code	Designates whether CPS selected the student for institutional verification of applicant data as of the Transaction number reported.	BLANK = Not selected by CPS for verification * = Selected by CPS for Institution verification of applicant data	
304	310	7	N	YTD Disbursement Amount	The total of processed disbursements by RFMS	Dollars and cents. Use leading zeros; do not include the \$ sign or decimal point. Range = 0000000 to AWARD AMOUNT MAX	
311	336	26	A	Batch ID	Number generated by the institution to uniquely identify a specific batch of records. Format for the batch ID is specified.	Format = CCYYXX999999CCYYMMDDHHMMS S where: XX = batch type code (alpha) CCYY = last year in cycle = '2002' 999999 = Reporting Pell ID CCYYMMDD = date batch created HHMMSS = time batch created	
337	344	8	D	Process Date	Date this record (segment) was processed by the Federal Pell Grant program	Format = CCYYMMDD	
345	350	6	A	Unused	Reserved for future expansion	Constant spaces	
		<b>350</b>		<b>Total Record Length</b>			

## Year-to-Date Record (Disbursement)

Field Positions		Length (# of Bytes)	Type	Field Name	Description	Valid Values	Processing Notes/Edits
First	Last						
1	1	1	A	YTD Record Indicator	Indicates if record is the YTD Origination, YTD Disbursement, or Summary data.	Constant: "D"	
2	24	23	A/N	Origination ID	Unique number used to identify the origination for which the disbursement is to be applied against.	Format = 999999999XX20029999900 Where: SSN = 001010001 to 999999999 Name Code = XX Year Indicator = 2002 Valid PELL ID = 999999 Orig Sequence Number = 00	Identifier
25	37	13	A/N	Institution Cross-Reference	This field can contain any cross-reference information useful to the institution to identify student records internally.	Institution defined	No editing
38	38	1	A	Action Code	Code to indicate action to be taken	A = Accepted - all fields accepted C = Corrected - one or more fields corrected	
39	40	2	N	Disbursement Reference Number	Number of the disbursement per student for the Award Year	Must be numeric: 01 to 90	Identifier = 91 to 99 are Reserved for RFMS system generated disbursements

## Year-to-Date Record (Disbursement) (Continued)

Field Positions		Length (# of Bytes)	Type	Field Name	Description	Valid Values	Processing Notes/Edits
First	Last						
41	47	7	N	Accepted Disbursement Amount	Amount of disbursement for student's payment period. If an adjustment, this value is a replacement amount.	Dollars and cents. Use leading zeros; do not include the \$ sign or decimal point. Range = 00000 to Maximum for Award Year	
48	48	1	A	Accepted Debit/Credit Indicator Flag	Indicates whether the Reported Disbursement Amount is an increase or a decrease to the total amount that has been disbursed to the student for the award year.	P = positive N = negative	
49	56	8	D	Disbursement Date	Date this disbursement was or will be made to the student.	CCYYMMDD = Range = 20010621 to 20070930	Process Date must be within N days prior of disbursement date.
57	57	1	N	Unused	Reserved for future expansion	Constant spaces	
58	65	8	N	Payment Period Start Date	Beginning date of Payment Period	CCYYMMDD = Range = 20010101 to 20020630 or BLANK	Field is required when an institution is ineligible.
66	103	38	A	Unused	Reserved for future expansion	Constant spaces	

## Year-to-Date Record (Disbursement) (Continued)

Field Positions		Length (# of Bytes)	Type	Field Name	Description	Valid Values	Processing Notes/Edits
First	Last						
104	129	26	A/N	Disbursement Batch ID	Number generated by the institution to identify the batch of disbursement records.	Format = #DCCYY999999CCY YMMDDHHMMSS where: CCYY = last year in cycle = '2002' 999999 = Reporting PELL ID CCYYMMDD = date batch created HHMMSS = time batch created	
130	350	221	A	Unused	Reserved for future expansion	Constant spaces	
		<b>350</b>		<b>Total Record Length</b>			

## Year-to-Date Record (Summary)

Field Positions		Length (# of Bytes)	Type	Field Name	Description	Valid Values	Processing Notes/Edits
First	Last						
1	1	1	A	YTD Record Indicator	Indicates if record is the YTD Origination, YTD Disbursement, or Summary data.	Constant: "S"	
2	8	7	N	Total Unduplicated Recipients	Provided by RFMS. Year-to-Date number of unduplicated recipients for institution.	Range = 0000000 to 9999999	
9	15	7	N	Total Originations	Provided by RFMS. Year -to-Date number of originations received for the institution.	Range = 0000000 to 9999999	
16	22	7	N	Originations Accepted	Provided by RFMS. Year-to-Date number of originations received and accepted for the institution.	Range = 0000000 to 9999999	
23	29	7	N	Originations Corrected	Provided by RFMS. Year-to-Date number of originations received and corrected for the institution.	Range = 0000000 to 9999999	
30	36	7	N	Originations Rejected	Provided by RFMS. Year-to-Date number of originations received and rejected for the institution.	Range = 0000000 to 9999999	
37	43	7	N	Total Disbursements	Provided by RFMS. Year-to-Date number of Disbursements received for the institution.	Range = 0000000 to 9999999	

## Year-to-Date Record (Summary) (Continued)

Field Positions		Length (# of Bytes)	Type	Field Name	Description	Valid Values	Processing Notes/Edits
First	Last						
44	50	7	N	Disbursements Accepted	Provided by RFMS. Year-to-Date number of Disbursements received and accepted for the institution.	Range = 0000000 to 9999999	
51	57	7	N	Disbursements Corrected	Provided by RFMS. Year-to-Date number of Disbursements received and corrected for the institution.	Range = 0000000 to 9999999	
58	64	7	N	Disbursements Rejected	Provided by RFMS. Year-to-Date number of Disbursements and rejected for the institution.	Range = 0000000 to 9999999	
65	67	3	N	Comment Code XXX	Comment code number.	Range = 000 to 999 or Blank	
68	74	7	N	Comment Code XXX Count	Provided by RFMS. Year-to-Date number of times comment code was returned to the institution on an acknowledgement.	Range = 0000000 to 9999999 or Blank	
75	77	3	N	Comment Code XXX	Comment code number.	Range = 000 to 999 or Blank	

## Year-to-Date Record (Summary) (Continued)

Field Positions		Length (# of Bytes)	Type	Field Name	Description	Valid Values	Processing Notes/Edits
First	Last						
78	84	7	N	Comment Code XXX Count	Provided by RFMS. Year-to-Date number of times comment code was returned to the institution on an acknowledgement.	Range = 0000000 to 9999999 or Blank	
85	87	3	N	Comment Code XXX	Comment code number.	Range = 000 to 999 or Blank	
88	94	7	N	Comment Code XXX Count	Provided by RFMS. Year-to-Date number of times comment code was returned to the institution on an acknowledgement.	Range = 0000000 to 9999999 or Blank	
95	97	3	N	Comment Code XXX	Comment code number.	Range = 000 to 999 or Blank	
98	104	7	N	Comment Code XXX Count	Provided by RFMS. Year-to-Date number of times comment code was returned to the institution on an acknowledgement.	Range = 0000000 to 9999999 or Blank	
105	107	3	N	Comment Code XXX	Comment code number.	Range = 000 to 999 or Blank	
108	114	7	N	Comment Code XXX Count	Provided by RFMS. Year-to-Date number of times comment code was returned to the institution on an acknowledgement.	Range = 0000000 to 9999999 or Blank	
115	117	3	N	Comment Code XXX	Comment code number.	Range = 000 to 999 or Blank	
118	124	7	N	Comment Code XXX Count	Provided by RFMS. Year-to-Date number of times comment code was returned to the institution on an acknowledgement.	Range = 0000000 to 9999999 or Blank	

## Year-to-Date Record (Summary) (Continued)

Field Positions		Length (# of Bytes)	Type	Field Name	Description	Valid Values	Processing Notes/Edits
First	Last						
125	127	3	N	Comment Code XXX	Comment code number.	Range = 000 to 999 or Blank	
128	134	7	N	Comment Code XXX Count	Provided by RFMS. Year-to-Date number of times comment code was returned to the institution on an acknowledgement.	Range = 0000000 to 9999999 or Blank	
135	137	3	N	Comment Code XXX	Comment code number.	Range = 000 to 999 or Blank	
138	144	7	N	Comment Code XXX Count	Provided by RFMS. Year-to-Date number of times comment code was returned to the institution on an acknowledgement.	Range = 0000000 to 9999999 or Blank	
145	147	3	N	Comment Code XXX	Comment code number.	Range = 000 to 999 or Blank	

## Year-to-Date Record (Summary) (Continued)

Field Positions		Length (# of Bytes)	Type	Field Name	Description	Valid Values	Processing Notes/Edits
First	Last						
148	154	7	N	Comment Code XXX Count	Provided by RFMS. Year-to-Date number of times comment code was returned to the institution on an acknowledgement.	Range = 0000000 to 9999999 or Blank	
155	157	3	N	Comment Code XXX	Comment code number.	Range = 000 to 999 or Blank	
158	164	7	N	Comment Code XXX Count	Provided by RFMS. Year-to-Date number of times comment code was returned to the institution on an acknowledgement.	Range = 0000000 to 9999999 or Blank	
165	350	186	A	Unused	Reserved for future expansion	Constant spaces	
		<b>350</b>		<b>Total Record Length</b>			

# Implementation Guide

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## Overview

The purpose of this Implementation Guide is to assist schools that participate in the Federal Pell Grant Program, Third Party Servicers, and Software Vendors with implementing the system changes for the 2001–2002 RFMS Program. In addition, it is intended to provide relevant information to new schools and financial aid administrators (FAAs) to help them to begin participating in the Federal Pell Grant Program.

This guide provides information about:

- 2001-2002 Modifications and information on what is new for 2001-2002
- Overview of RFMS and general descriptions of the processes
- Award Year Specific Information, including Message Class Tables, Yearly Parameters, and Pell Payment Tables
- Batches, including batch process and data flow, 2001-2002 modifications, sorting order, and edit modifications
- Originations, including process and data flow, 2001-2002 modifications, calculation examples/scenarios, sorting order, and edit modifications
- Disbursements, including process and data flow, 2001-2002 modifications, calculation examples/scenarios, and sorting order

- Electronic Statement of Account (ESOA), including process/data flow, drawing down funds, 2001-2002 modifications, and report layouts
- Four types of data requests, including the process/data flow, 2001-2002 modifications, sorting order, and edit modifications
- School data, including the process/data flow, 2001-2002 modifications, sorting orders, and edit modifications
- Cycle process flows for daily processing and yearly processing by RFMS
- Business rules for RFMS records and processes
- Description of RFMS Lessons Learned and Tips for Problem Solving
- At-A-Glance Edit Codes as well as Edit Code Tables and Technical Edits
- Federal Pell Grants Web-site
- New schools and financial aid administrators suggestions
- Getting Started

This Implementation Guide is a companion to the record layouts and edits contained in Custom Layouts, and Appendix D, Reject Codes, Error Messages, and Edit Descriptions. Questions pertaining to this section should be directed to RFMS Customer Service at 800/4PGRANT (or 800/474-7268) or sent by e-mail to [pell\\_systems@ed.gov](mailto:pell_systems@ed.gov).

To help users understand the new guidelines, the modifications have been classified into four specific functional areas:

- Batches
- Origination Records
- Disbursement Records
- Data Requests

Within each functional area, individual modifications are described and discussed.

## 2001–2002 Modifications

### What’s New for 2001-2002

The following matrix, 2001-2002 Modifications-At-A-Glance, presents an at-a-glance table for viewing 2001-2002 cycle modifications to RFMS processes and procedures, edits, record layouts, fields, records, and reject codes.

2001–2002 Modifications	New Process/ Procedure	New or Redefined Edit(s)	Redesign Record Layout	New or Redefined Field(s)	Eliminated Records, Fields, Edits & Reject Codes
1. Removed Batch Edit 234 that checked the TIVWAN ID, as it is a duplicate of Edit 233.					X
2. Provided new descriptions for Edit Messages for batch edits 201, 202, and 209 to make them clearer.		X			
3. Removed “Grantee DUNS Number” and “Financial Servicer DUNS Number” fields from the Grant Batch Header record and added “OPE ID” field.		X		X	X
4. Deleted Edit 216 for current cycle. A new edit will be added for the OPE ID to check if the data is present and will be a warning edit.				X	X
5. Added the Disbursement Batch Number field to the record layout for the YTD disbursement record.			X	X	
6. Added “Student’s Name”, “Blocker Amount and Percentage” and “Attending Pell” to the MRR record file.			X		

## 2001–2002 Modifications at a Glance (Continued)

2001–2002 Modifications	New Process/ Procedure	New or Redefined Edit(s)	Redesign Record Layout	New or Redefined Field(s)	Eliminated Records, Fields, Edits & Reject Codes
7. Changed YTD Request to allow both requests for an individual attended campus or for all attended campuses under one reporting campus.			X		
8. Changed YTD Request to allow both requests for an individual attended campus or for all attended campuses under one reporting campus.			X		
9. The “Payment Period Start Date” was added to both the disbursement and the disbursement acknowledgement records.			X		
10. Eliminated Special Disbursement Record. RFMS will now only have one disbursement record layout instead of two.	X				X
11. Removed edit that prohibited disbursements on records with a Verification status of “W.”					X
12. Changed Edit 406 to indicate that the amount has been adjusted.		X			
13. Edit 414 was modified to not turn on when the submitted disbursement amount is \$0 and the D/C Indicator is “N.”		X			

## 2001–2002 Modifications at a Glance (Continued)

2001–2002 Modifications	New Process/ Procedure	New or Redefined Edit(s)	Redesign Record Layout	New or Redefined Field(s)	Eliminated Records, Fields, Edits & Reject Codes
14. All Special Disbursement Record Edit Codes (500's) were deleted since Special Disbursement will no longer be used.					X
15. Added new Edit Codes for duplicate reference numbers and added an Action Code of 'D' for these records.		X			
16. Deleted Edit 409, as it was never triggered due to a batch edit.					X
17. The "Number of Payment Periods" field on both the Origination Record and Origination Acknowledgement Record will no longer be used.			X		
18. Origination Edit 303 was split into two separate edits to make the edits clearer.		X			
19. Edit 309 was modified for the Verification status of "W."		X			
20. Edits 301 and 401 were split into two separate edits to make the edits clearer.		X			
21. Modified Edit 322 to remove the check for Accepted PM = 4.	X	X			
22. Added a 3-position field for "Sequence Number" to the database and to the origination and origination acknowledgement.			X	X	
23. Modified Origination Edit 315 to include the following condition to cause 315 to hit AC=5 and PM=5.		X			
24. Added a new Data Request, which produces a Reconciliation file.	X	X	X		
25. Data Request process will produce an acknowledgement for both accepted and rejected requests.	X				

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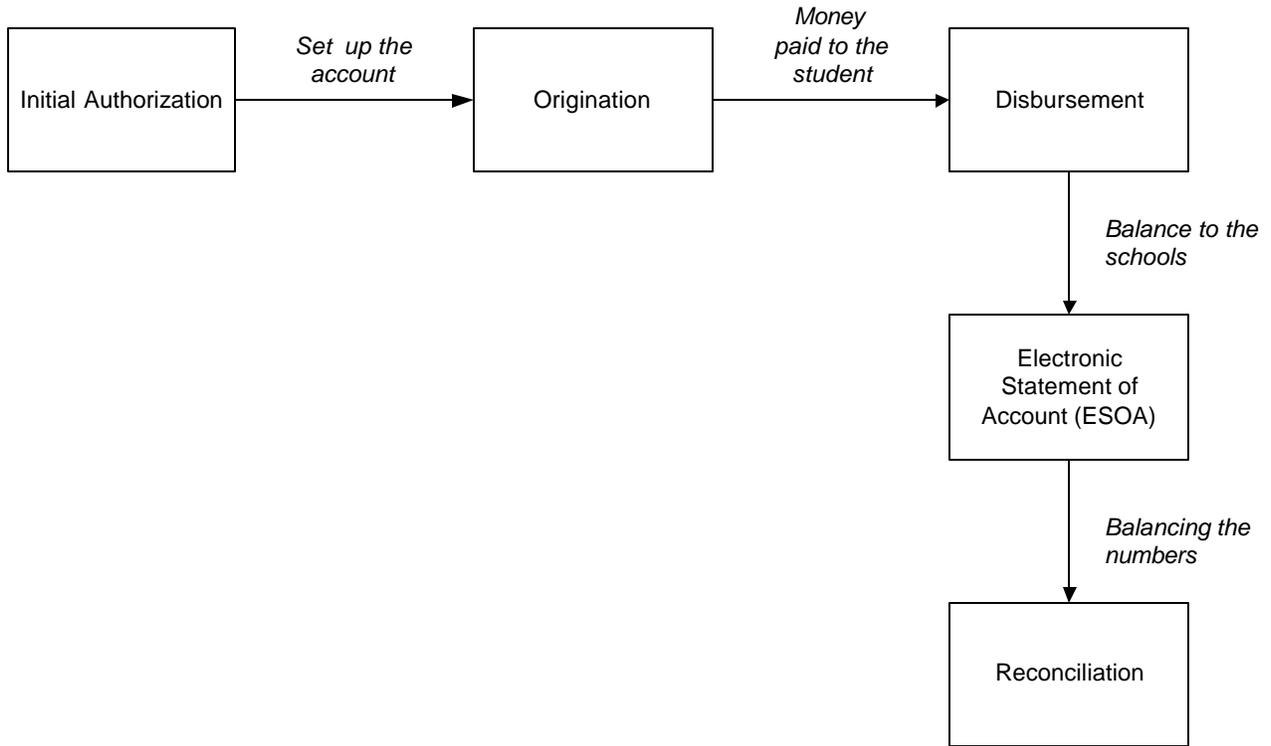
## Recipient Financial Management System (RFMS) Process

The Recipient Financial Management System (RFMS) began operation in the 1999-2000 award year. The funding for the Federal Pell Grant Program is based on an award year that begins each academic year with an initial authorization amount, beginning July 1st and ending on September 30<sup>th</sup>, fifteen months later, when schools can no longer request routine increases. However, extensive post-deadline processing continues for five years until the funding is cancelled. The RFMS redesigned the Federal Pell Grant funding processes to meet the initiatives of the Federal Pell Grant Program. The RFMS is a system that includes the concepts of Just-In-Time (JIT) funding and continuous reconciliation.

The RFMS supports schools participating in Advanced Funding, JIT, or Reimbursement methods of funding. Advanced Funding is the primary method of payment for Federal Pell Grants, where the school receives an initial obligation amount from which the school may draw down. This obligation amount is not increased until the net accepted disbursement amount exceeds the initial authorization amount. JIT Funding is a new method of payment that was made available for the first time in the 1999-2000 RFMS. JIT skips the initial funding process and deposits funds directly into the school's bank account because of the processing of student level Disbursement Records by RFMS.

With the RFMS, the Case Management Oversight (CMO) staff at ED determines when a school is required to participate in Reimbursement. This method of payment is for schools requiring additional reporting for Federal Pell Grant fund payments. Figure 3-1, RFMS Process Flow, shows the flow of data to and from RFMS starting with initial authorization, setting up the student account, to origination, to disbursement and, finally, reconciliation.

## RFMS Process Flow



## **Interfacing Systems**

The RFMS interfaces with school, user, and Department of Education systems. These interfaces are presented in the section that follows. In addition, for assistance in building records, detailed record layout descriptions for the Origination, Disbursement, and Acknowledgement Records can be found in the Custom Layouts.

### **RFMS School Interface**

Schools use the EDEExpress software and third-party software to send Origination and Disbursement records to RFMS through the Title IV Wide Area Network (TIVWAN) /Student Aid Internet Gateway (SAIG). RFMS also sends related Acknowledgement records back to the schools through SAIG.

Schools send batches of origination and disbursement records because of paying or expecting to pay Federal Pell Grant funds to students. Schools can send batches across the SAIG. These batches of records are processed by RFMS with records accepted, accepted with corrections, duplicates, or rejected.

For each different type of batch, a detailed acknowledgement is sent to the school after input processing is complete. Each acknowledgement contains the acceptance status, accepted field values, and comments explaining the processing results if necessary. Comment codes that are interpreted by the school are returned to explain rejections and corrections. Batches that are rejected are not processed and no information is retained on RFMS other than the reject reason. The acknowledgement also contains additional data calculated during processing.

The Origination Record contains the Scheduled Award Amount, and the Disbursement acknowledgements contain the Year-To-Date Disbursement Amount to improve the school's ability to reconcile.

## **Overall Process**

### ***Initial Authorization***

The School Participation Data is updated at the beginning of each award year for all schools eligible to participate in the Federal Pell Grant Program. Once the school data has been updated, initial funding amounts are calculated for all schools participating in Advance Funding methods of payment. This batch process runs once a year. After the school data is updated for all eligible schools and the initial funding is determined for all appropriate schools, initial funding is complete.

### ***When do schools get their funding?***

Pell Grant funds become available to schools on July 1 of each award year.

### ***What formula is used to calculate funding?***

An initial authorization is not intended to fund a school for the entire award year. This initial authorization provides the basis for immediate funding for the new award year. As each advance-funded school submits disbursement batches, the total accepted amount for each batch is applied to the initial authorization. When the batch total exceeds the amount of the initial authorization, the authorization will be increased to cover each additional batch as it is accepted.

Remember that Origination Records do not increase your authorization level; only Disbursement Records increase authorizations.

As in previous years, your initial authorizations for 2001-2002 are determined based on a percentage of disbursement data that is submitted and accepted during the 2000-2001 award year.

The formula used to determine your initial authorization is based on three criteria:

- Previous Award Year's Disbursements
- Type of Academic Calendar Used at the school
- Percentage Level Associated with Academic Calendar

**Example:**

School A is a semester school that disbursed \$100,000 in AY 2000-2001.

Criteria:

\$100,000

Semester School

Semester Schools receive 40%

School A would receive an Initial Authorization of \$40,000 for AY 2001-2002.

***Is the money deobligated?***

Yes. Near the end of the award year, a program is run to bring the amount of obligations down to the current disbursement amount.

***Can funding be increased?***

Yes. Schools may ask for an increase to their initial authorization by submitting an email request to: PELL\_SYSTEMS@ED.GOV.

You may also call the Pell Grant Hotline 1-800-4PGRANT (1-800-474-7268) if you have any questions concerning Initial Authorization.

***Just-In-Time (JIT) Funding***

Just-In-Time (JIT) Funding was made available for the first time in the 1999-2000 RFMS. JIT schools do not receive initial funding amounts. They receive funds directly deposited into their bank account because of the processing of student level Disbursement Records from the school by RFMS.

## **General Process for Origination**

In RFMS the origination record is matched with the student's CPS record.

The origination record establishes a student's eligibility and the amount of Federal Pell Grant funding the student can receive for the award year. A school must submit an origination record for every Federal Pell Grant recipient. This origination data is used to verify a student's eligibility for a Federal Pell Grant for the award amount, identify possible school conflicts, and improve projections by ED for the Federal Pell Grant Program funding.

Included on the origination record are the schools estimated disbursement dates on which the school expects to pay the student.

Also included on the origination record is the payment methodology, academic calendar, enrollment status or hours attended, and award amount for the whole year.

Schools submit origination records to RFMS electronically. The records are submitted via the SAIG early in the award year cycle by the schools to provide award year level information about the student.

RFMS calculates the scheduled award for the student based on the information provided on the origination record. If the award calculated by RFMS is the same as on the submitted origination record, the record is accepted. If it differs, and the amount calculated by RFMS is lower, then the record is accepted with corrections. RFMS never increases an award amount.

As part of processing the origination records, missing or invalid data values are changed. These accepted with correction values are returned to the school as part of the acknowledgement.

After a batch of originations has been processed by RFMS, an origination acknowledgement is returned for each origination record submitted. The Origination Acknowledgement Record contains the scheduled Federal Pell Grant Award for the recipient at the school, the record acceptance status, the values accepted by RFMS during processing, and comment codes to indicate rejection, corrections made to date, and/or warning messages.

These acknowledgements are returned generally within three to five hours after the Origination Records are processed. All data elements sent in the Origination Record are returned to the school in the Origination Acknowledgement Record.

A detailed record layout description of all fields of the Origination Record, is located in Custom Layouts.

## **RFMS Changes to Origination Record Information**

RFMS makes corrections to invalid values whenever possible, rather than rejecting the record. Values may be invalid because they are formatted incorrectly, or they may be invalid in relation to other data the school has reported.

For example, the school reported academic calendar as 3 (Semester) but the payment methodology is reported as 4 (Credit/Clock Hour, or Formula 4). In this case, RFMS would correct the payment methodology to 3 (Credit Hour with standard or nonstandard terms), the RFMS default value, to agree with the reported academic calendar.

The record layouts detail how RFMS corrects invalid values.

RFMS also calculates the maximum award amount the student can receive based on the cost of attendance, enrollment status, and EFC on file in the RFMS. If the school reported an award amount that is more than this maximum calculated amount, RFMS will decrease the calculated award amount.

If the calculated amount is greater than the school reported award amount, then RFMS will decrease the calculated award amount. Note that RFMS will not increase the award amount the school reported; a school that accidentally reported an award amount that's too low will need to update the Origination Record.

## **School Changes to Origination Record Information**

In general, the school only needs to submit an updated Origination Record if there is a change that will increase the award amount. The school has to report increased award amounts, so that RFMS will not accept disbursements up to the increased amount.

To update the Origination Record, the school sends a new record with the same Origination ID, Original SSN, Name Code, and Attended Campus ID as the previously accepted Origination Record. If any of these are different, RFMS will assume the school is sending in a different Origination Record instead of updating an existing record.

If all these identifiers match those on a previous Origination Record, RFMS replaces the data from the previous record with the data on the new Origination Record.

## **General Process for Disbursements**

Schools report each payment made to each eligible student with a Disbursement Record. Schools send Disbursement Records to RFMS electronically via the SAIG.

Before RFMS can accept a Disbursement Record, there must be an accepted Origination Record on file for the student. When RFMS receives Disbursement Records, it edits them to make sure there are no errors. Then it sends an acknowledgement record back to the school for each Disbursement Record.

After RFMS accepts an Origination Record for a particular student, the school sends a Disbursement Record for each Pell Grant disbursement either before or after each disbursement has been made. The Disbursement Record contains information regarding that particular disbursement.

To view all fields of the Disbursement Record, please see the Disbursement Record layout description in Custom Layouts.

Origination batches can be sent at the same time as disbursement batches. To ensure that the origination batches are processed before the disbursement batches, it is recommended that the origination batches are transmitted before the disbursement batches should be transmitted. Origination batches are always processed by RFMS first. However, any Disbursement Record received by RFMS prior to receiving an accepted Origination Record will be rejected. If the origination and disbursement records are sent at the same time and the Origination Record is rejected, then the Disbursement Record will also be rejected.

RFMS verifies that the disbursement amount reported, in the Disbursement Record does not exceed the student's origination award amount, or 100% of the student's eligibility across all schools. Once RFMS completes processing, acknowledgements are generally returned to the school within three to five hours.

The acknowledgements contain record status, accepted field values, and comment codes describing processing. In addition, the Year-To-Date Disbursement Amount is included with each acknowledgement record. These acknowledgements provide the schools with accurate and timely feedback on the status of their Pell Grant records. With this information, schools are able to reconcile with ED more efficiently.

When batches of Disbursement Records are accepted by RFMS, the RFMS Accounting Function (RFMS Subledger) generates obligations and payment transactions for the Grants Administration and Payment System (GAPS), which increases the funds available for the school.

The RFMS Subledger then generates an ESOA for the school when transactions are sent to GAPS and acknowledged back to RFMS. The ESOA is then sent to the school. For Advance Funded schools, the ESOA is generated when the current authorization is exceeded.

## **RFMS Changes to Disbursement Record Information**

On a Disbursement Record, there are not many items that can be corrected. However, the record layouts explain what corrections are valid. RFMS will not allow the student to receive more than the accepted award amount on the Origination Record. If RFMS calculates that the student is going to receive more than the accepted amount on the origination record, RFMS either reduces the disbursement amount submitted or will reject the record.

RFMS also will not allow disbursements already made by other schools to exceed the student's Scheduled Award; RFMS will reduce the disbursement amount. A Multiple Reporting Record (MRR) will also be generated to advise the school of the Potential Overaward Project (POP) situation.

## **School Changes to Disbursement Information**

To correct payment amounts, it may be necessary to update the Origination Record before the school submits a new Disbursement Record. The enrollment status, COA, and EFC on the Origination Record can affect disbursement amounts on the Disbursement Record. The school should verify the accepted award amount on the Origination Record and correct the Origination Record before submitting a new Disbursement Record.

Unlike Origination Records, the information on the new Disbursement Record does not replace the existing record. Instead, the payment amount reported on the new Disbursement Record is added to or subtracted from the accepted payment amount, resulting in a new total payment to the student.

Because the old Disbursement Record information is not replaced, a school cannot actually correct an incorrect disbursement date. If a school reported an anticipated disbursement that was not made, it should send a new Disbursement Record with a negative disbursement amount for the amount that it reported it would pay.

If the Origination Record acknowledgements and Disbursement Record acknowledgements the school has received are accurate and there are no changes to the students' awards, the school must simply retain these records in their files. However, if the information for any student is wrong or changes during the award year, the school may have to make corrections.

The most frequently required changes are to COA, verification status (to update a "W"—payment without documentation), enrollment status (term schools), and payment amounts and dates. Other changes occur less frequently, except in cases of error. For instance, one would not expect the school's academic calendar to change during the award year.

## **General Process for Multiple Reporting Record**

In order to reduce potential overpayments, an MRR will be used to tell schools when another school has submitted an Origination Record or Disbursement Record for a student. Schools may request these records, but they will also be sent automatically in some situations. More information on the MRR process can be found in the January 2000 Action Letter #8 on the IFAP Web site ([www.ifap.ed.gov](http://www.ifap.ed.gov)).

A detailed record layout description of the Multiple Reporting Record can be found in Custom Layouts.

### ***Automatic MRRs***

Multiple Reporting Records (MRRs) are sent automatically by RFMS when two or more schools submit a Disbursement Record for the same student and block a school from obtaining the full amount of Pell eligibility. A MRR will also be sent automatically if two or more schools send a disbursement within 30 days, creating a concurrent enrollment.

## **Requesting MRRs**

Schools can request a number of different types of MRRs. For example, the school can request information on other schools that have submitted Origination Records or Disbursement Records for certain students. The school can request information about all students it has sent Origination Records for, or for individual students. Alternatively, the school can ask for information on all students for which a particular school has submitted a record. Schools cannot request a MRR to unblock a record. These MRRs are sent automatically by RFMS.

## **Potential Overaward Project (POP)**

If the combination of payments reported would cause the student to receive more than a Scheduled Award, the last Disbursement Record (the one that causes the student to exceed the Scheduled Award) will have its payment amount reduced. However, if RFMS corrects the payment amount down to zero, RFMS will reject the record. This prevents the RFMS system from receiving an overaward, forcing the school(s) and student to resolve it.

All the schools involved will receive a MRR. The school that had its disbursement amount reduced will receive a MRR that shows which other schools made payments that prevented RFMS from accepting its disbursement amount. The other school or schools will receive a MRR showing that its payments have blocked another school from receiving payments. The MRR will also have contact information for the other schools, so the financial aid administrator can contact the school to resolve the problem.

## **Concurrent Enrollment**

Because a student cannot receive Pell funds from two schools for the same period of enrollment, RFMS will provide a MRR as a warning to schools if it looks like the student may be receiving payments from different schools for the same time period. If RFMS receives Disbursement Records for a student where the enrollment dates are within 30 days of each other, it will generate a MRR for each school.

This MRR will have a record type code of “CE” which shows that it was generated because of a possible concurrent enrollment. However, RFMS will not prevent either payment, because the student's enrollment at one school might end before the enrollment at the other begins. Again, the MRR has contact information, so that the financial aid administrators can resolve any possible problems. Note that if both schools involved try to pay the student a full Pell award for the year, they will create a potential overaward situation, and one or more of the subsequent disbursements will be reduced or blocked.

## **General Process for Data Requests and Institution Data Records**

Schools can send two other record types to RFMS—Data Requests and Institutional Data records.

The Data Request record is a multi-use record used to request:

- Multiple Reporting Records,
- Reconciliation File records, Statements of Account, and
- Year-To-Date (YTD) files.

When the school sends the Data Request Record, RFMS returns the processed data records requested to the school. If RFMS rejects a data request, no data records will be sent back to the school. Instead, an acknowledgement report is returned to the school with the edit codes that represent the errors.

A school can also send an Institution Data record that contains new demographic data about the school. Neither the Data Request nor the Institution Data records are required for a school to participate in the Federal Pell Grant Program.

## **Year-To-Date (YTD) Records**

The YTD origination record for a student will show the origination information RFMS is using for the student. If RFMS made corrections to the data, the YTD record has the corrected information. This record also has the total amount disbursed to the student for the year.

The YTD disbursement records for the student show the accepted data for each disbursement the school reported. Looking at the YTD records shows the school what information the Department has about its students, which may conflict with the school records.

The YTD summary will show the number of recipients at the school; the number of origination and disbursement records that were accepted, corrected, duplicated, or rejected; and, for a certain edit codes, the number of times the school received that edit code on an acknowledgement.

The software being used by the school should allow it to generate the information it needs for reconciling its records with the Department's record. For example, the school may be able to automatically compare its records to the YTD record to get a list of students who have differing disbursement amounts in the two sets of records. Schools should consult the documentation for their software for more information on the uses of YTD data.

RFMS is designed to report and request funds for the Federal Pell Grant Program. The YTD file is used in reconciliation as well as replacing a corrupted database. It also provides information to schools about a student's origination and disbursement status as well as a summary total of all origination and disbursement data submitted by a school.

## **General Purpose of the YTD File and the Process for Requesting It**

In the legacy system for years prior to the 1999-2000 cycle, the YTD file was used to replace lost databases. It was retained in the RFMS.

### ***Purpose of the YTD File***

The YTD file performs a dual role. Schools can request the YTD file to replace a corrupt database or to reconcile their records with the accepted data that RFMS has retained. Schools who use EDEExpress have the following options:

- Comparing and printing a discrepancy report,
- Printing all YTD records,
- Updating selected records, and
- Updating/rebuilding all.

### ***Process for Requesting a YTD File***

You may request a YTD file at any time by submitting a data request record or by using the RFMS Web site:

**<http://www.pellgrantsonline.ed.gov>**

A data request must be received for each attended campus desired when requesting a YTD file.

After submitting origination records for eligible students to RFMS and receiving origination acknowledgements, you can submit data request records asking for a YTD file on your originated students. RFMS receives and edits the data request record to verify that students have been originated at your school and that the physical layout of the data request record is accurate.

If the data request record passes all the edits and the requested data exists on the database, RFMS sends a YTD file for your school under the message class PGYR02OP. There is no paper copy of the YTD file. If the data request record fails the edits or RFMS does not find the data you requested, it acknowledges receipt of your request and identifies the reason for rejecting it. For example:

- If you submit a data request record for a school and omit necessary information, such as the attended campus, RFMS acknowledges receipt of the request and rejects it, telling you that your request was incomplete.
- If you submit a data request record for a school that has not received accepted origination acknowledgement records, RFMS acknowledges receipt of the request and rejects it, telling you that it has no information for the requested school.

All edits, codes, and their descriptions are available on the IFAP Web site at under the Pell Grant (RFMS) Process section. They are also located in Appendix D.

### ***Format of the YTD File Sent From RFMS***

Each YTD file from RFMS contains three parts:

1. The last accepted Origination Record for each student,
2. Each accepted Disbursement Record for each student, and
3. A summary of data sent to the school.

The Origination portion contains all accepted data for the last accepted origination on record in the RFMS for your school. The Disbursement portion provides you with each accepted disbursement tied to the origination. The summary provides the school with summary information on all origination and disbursements contained in the YTD record.

It is not possible to request or receive one part of the YTD file; all three are sent with each request. The most current record layout is available on the IFAP Web site at <http://ifap.ed.gov> under "Pell Grant (RFMS) Process."

**Note:** The "YTD Disbursement Amount" is located on the Origination portion of the record beginning at position 301. This value reflects the current amount of accepted disbursements for that origination ID in RFMS.

### ***For EDEExpress Users***

The YTD Comparison Report will list the differences between your database and the imported YTD file; it prints in two sections. The first section notes the Pell Origination exceptions; and the second section prints the Pell Disbursement exceptions, followed by a one-page summary of the Origination and Disbursement data.

When importing a YTD file you can mark the "Compare and Print Exception?" box so the software will identify the differences between the information in the import file and your EDEExpress database Pell tables and generate a discrepancy report in Last Name order.

Verify that you have imported all Pell Origination and Disbursement acknowledgements before running the compare feature; this will ensure the RFMS data in the YTD file is being compared against your most current processing results.

You should also delete records for students not attending your school that have been created but not submitted to RFMS. Otherwise, these records will be flagged as exceptions on the import Compare Report under the Pell database exceptions.

If you are not sure whether you want to use the Update option, we recommend you use the compare feature the first time you import the YTD file to view what updates may occur. There may not be any exceptions.

You also have the option to select the "Print All" box which will print all records in the YTD file in Last Name order.

Once you have imported the YTD file with the compare option selected and verified the potential updates, you can re-import the same YTD file and choose "Update: Selected Records." With this feature you can update specific student records with the information from the imported YTD file, if you are missing an acknowledgement file and want to update specific records that were in the missing batch.

The "Rebuild All" Update option will overwrite all the records in your database that have matching origination IDs in the YTD file.

**Note:** You should only use this option if you were forced to reinstall EDExpress and want to recreate your Pell record database.

## **General Process for Electronic Correspondence from ED to Schools**

Throughout the year, RFMS produces electronic letters and messages to communicate information from ED and the Federal Pell Grant Program to participating schools. School-specific letters are sent from ED in a text file through SAIG.

Some Electronic Correspondence media include:

- **IFAP Web site:** The IFAP Web site at is an ED Web site designed to provide information to financial aid professionals. It has an electronic library and search tool and contains publications, regulations, and guidance correspondence regarding the administration of the Title IV Federal Programs.

The following frequently requested publications are maintained:

- Action letters
- Dear Partner Letters
- Electronic Announcements (P-Messages)
- New issues in Federal Registers
- SFA Handbooks

At the IFAP Web site, there are many links to other EDE sites, such as:

- SFA Training Web site
- SFA Conference Registration Web site
- Direct Loan Web site
- Publications Ordering Web site
- RFMS Web site

### ***P-Messages***

P-messages are a type of ad hoc correspondence. They are messages sent via e-mail, TIV WAN/SAIG Message, or Listserv to every eligible school in the Federal Pell Grant Program. They are also posted on the IFAP Web Page as an Electronic Announcement. These messages are used to communicate an announcement or problem.

### ***SFATECH***

SFATECH is an on-line e-mail listserv for technical questions about Student Financial Aid (SFA) systems and software. Inquiries posted to the listserv are reviewed by ED staff and forwarded to the appropriate Title IV program analyst for response.

Pell specific questions are forwarded to [pell\\_systems@ed.gov](mailto:pell_systems@ed.gov). The mailbox is reviewed and responses are sent within 24 hours of receipt. If a response needs further clarification, it is referred to a Development Team Leader requiring more than a one-day response, an e-mail will be sent to the school advising of this delay.

If a question is received that requires additional information or clarification from the originator, an attempt will be made to contact the originator by a telephone call. If unsuccessful, an e-mail will be sent to SFATECH to have a private e-mail sent to the originator rather than the entire listserv.

To improve school access to RFMS, schools can verify batch status, submit data requests, or enter institution data records via the Internet at the Federal Pell Grant Program Web site. In addition, the schools can enter post-deadline records via this interface. The Internet access to RFMS is available 24 hours a day, 7 days a week and can be accessed at:

<http://www.pellgrantsonline.ed.gov>

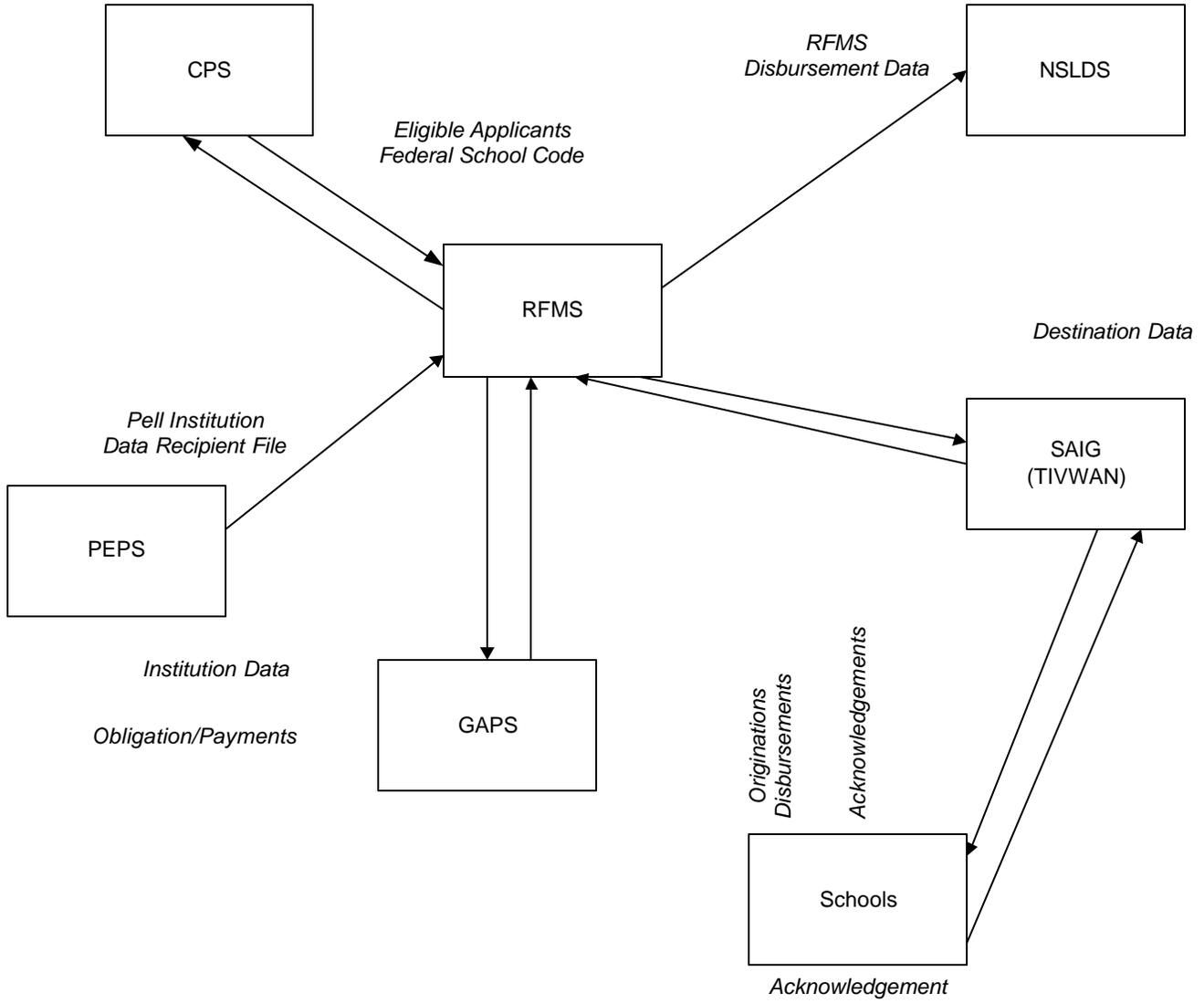
## **RFMS Interfaces with ED Systems**

RFMS interfaces with the following ED systems allowing it to receive or send data.

- Central Processing System (CPS)
- National Student Loan Data System (NSLDS)
- Postsecondary Education Participants System (PEPS)
- Student Aid Internet Gateway (SAIG)
- Grants Administration Payment System (GAPS)

The following ED System Interfaces with RFMS Flowchart shows the ED systems that interface with RFMS.

## RFMS Interfaces with ED Systems Process Flow



### ***Central Processing System (CPS)***

CPS provides student eligibility information to RFMS for processing detail records. In addition, CPS provides additional data to support RFMS MIS reporting. Reciprocally, RFMS provides recipient data to CPS for reporting purposes. School data is also provided to CPS, until the point in time when CPS interfaces directly with PEPS.

### ***Postsecondary Education Participants System (PEPS)***

PEPS provides RFMS with school eligibility information. A school's eligibility to participate in the Federal Pell Grant Program can change anytime throughout the academic year, therefore, updates must be provided to RFMS on a regular basis.

### ***Student Aid Internet Gateway (SAIG)***

The SAIG (formerly TIVWAN) is the primary vehicle that transports data between RFMS and schools via the Internet. It also provides RFMS with participation data. This data assists RFMS in determining which schools are eligible to send data electronically.

By enrolling in SAIG, schools are able to exchange information electronically with the U.S. Department of Education. Many student financial aid services can be accessed via the SAIG. Schools must determine which services they need, and enroll appropriate individuals as destination point administrators (DPAs) for the specific services that the school wants them to access. When a school enrolls a new DPA, a destination will be established with an assigned "TG" number that identifies the DPAs' destination point on the SAIG.

Schools may enroll destination point administrators with their own destination points (mailboxes) for each service or function, or you may combine services and functions through a single DPA with a single destination point (DP). Where permitted, the DPA will determine the SAIG users allowed access to that destination point. The DPA must enforce the security requirements as outlined in the SAIG User Statement, including the completion and maintenance of this statement(s). The president/CEO/chancellor must certify that each DPA has developed secure procedures in compliance with the security requirements for permitting other people to use his/her destination point. The DPA must also complete a profile for each SAIG user within the EDconn32 software used to connect to SAIG.

You may add and change enrollment information about yourself and your organization by utilizing this Student Aid Internet Gateway Enrollment Web site at:

<http://www.sfawebenroll.ed.gov/T4Enroll/T4EnrollServlet.jrun>

### ***Grants Administration Payment System (GAPS)***

GAPS is the system within ED Central Processing System (EDCAPS) that processes obligations and payment transactions. RFMS sends obligations and payments to GAPS. GAPS provides an acknowledgement back to RFMS with processing results. In addition, GAPS provides updates to transactions which affect the available balance. RFMS also receives the DUNS number from the recipient system.

### ***Financial Management Systems Software (FMSS)***

FMSS is a system within EDCAPS. FMSS posts obligations received from GAPS to the General Ledger and processes receivables.

### ***National Student Loan Data System (NSLDS)***

NSLDS receives payment information for all students receiving Federal Pell Grants in the RFMS.

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## RFMS Core System Functions

There are five core functional areas of RFMS to process the Origination and Disbursement Records received from schools. These areas include:

- Establishing Initial Funding,
- Receiving Input Records,
- Processing Input Records,
- Generating Accounting Transactions, and
- Interfacing with ED Systems.

The general procedures for each of the processing areas are described below.

### **Process for Receiving Input (Origination and Disbursement) Records**

RFMS receives all batches of input records from SAIG at a single mailbox. All batches follow the same flow through the system regardless of the source from which the batch is received. All batches of input records are edited by the transmission and batch edits. These edits validate the data in the transmission and grant headers and trailers. Once these batches pass the transmission and batch level edits, the approved batches proceed to detail record editing. Rejected batches are returned immediately with reject comment codes on the batch header. Entire batches are not rejected due to errors on detail records.

Batches are processed in a predetermined sequence to ensure proper processing. The sequence for processing input batches is: Institution Data, Origination, Disbursements, and Data Requests if Disbursements and Originations are sent at different times.

## **Process for Processing Input (Origination and Disbursement) Records**

Accepted batches are processed to ensure that the detail records contain accurate and valid information about the student and Federal Pell Grant Award. The origination processing edits accept field values, verify the student's eligibility, and verify the correct award amount. Disbursement edits verify that the correct payment amounts were calculated and identify any situations involving potential overaward (POP) and concurrent enrollment.

After processing edits are performed on the detail records, each record is either accepted, accepted with corrections, duplicate, or rejected. This is reflected in the Action Code in the Acknowledgement record. The processed detail records are included in an acknowledgement batch and transmitted immediately to the school except for disbursement batches that are being held in the CMO holding bin for schools on reimbursement. Data Requests are generated into batches and transmitted to the school generally within 24 hours. Summary level data for accepted Disbursement batches are sent to the RFMS Subledger.

## **Process for Generating Accounting Transactions**

The RFMS Accounting function generates summary-level school transactions. These transactions are posted to the RFMS Subledger. Transactions are approved by Pell Operations staff and edited using the same edits GAPS uses before submitting to GAPS. Approved transactions are converted to the GAPS interface format for obligations and payments as appropriate to the transaction and method of payment for the school.

These obligation and/or payment transactions are then submitted to GAPS. After processing, GAPS sends an acknowledgement to RFMS of acceptance or rejection within GAPS.

## **Administrative Cost Allowance**

The Administrative Cost Allowance is money that is paid to schools to offset some of the cost of delivering financial aid to students. For the Federal Pell Grant Program, the amount is \$5.00 for each student at the school who receives a Federal Pell Grant. This amount is based on the number of Pell recipients reported by the school, including students who withdrew from school or were transferred (even if all Federal Pell Grants were recovered). RFMS then calculates Administrative Cost Allowance (ACA) payments for Pell Operations approval.

### ***Administrative Cost Allowance Letter***

Administrative Cost Allowance Letters are transmitted electronically through SAIG at least three times a year for all participating Federal Pell Grant schools. The letter notifies schools that they will receive, under separate cover, a direct deposit into their bank account from the Federal Reserve to cover certain expenses associated with administering the Federal Pell Grant program.

### ***Sample Electronic Administrative Cost Allowance Text Message***

Shown below is the Sample Electronic Administrative Cost Allowance Text Message that is sent electronically to schools notifying them of the ACA amount being deposited in their account.

**Note:** Your institution should expect deposit totaling 999999999999.99 for Administrative Cost Allowance supporting reporting of 99999999 student disbursements for the award year 2002.

# Award Year Specific Information

## Message Class Table

The 2001-2002 Federal Pell Grant message classes are shown in the table below:

### Pell Message Classes

Message Class	Sent or Received by School	Batch ID	Data Type	Record Length	TIVWAN/SAIG Mailbox
N/A	Sent / Received	N/A	TIVWAN/SAIG Transmission Header Record	Variable	TG54880
N/A	Sent / Received	N/A	TIVWAN/SAIG Transmission Batch Header Record	Variable	TG54880
N/A	Sent / Received	N/A	TIVWAN/SAIG Transmission Batch Trailer Record	Variable	TG54880
N/A	Sent / Received	N/A	TIVWAN/SAIG Transmission Trailer Record	Variable	TG54880
N/A	Sent / Received	N/A	Grant Header Record	Variable	TG54880
N/A	Sent / Received	N/A	Grant Trailer Record	Variable	TG54880
PGOR02IN	Sent	#O	Origination Records	250	TG54880
PGOA02OP	Received	#O	Origination Acknowledgement Records	355	TG54880
PGOP02OP	Received	#P	Origination Acknowledgement Records from the Web	355	TG54880
PGDR02IN	Sent	#D	Disbursement Records	100	TG54880
PGDA02OP	Received	#D	Disbursement Acknowledgement Records	200	TG54880
PGDW02OP	Received	#W	Disbursement Acknowledgement Records from the Web	200	TG54880
PGAS02OP	Received	#A	Statement of Account Records	200	TG54880
PGID02IN	Sent	#I	Institution Data Records	240	TG54880
PGIA02OP	Received	#I	Institution Data Acknowledgement	106	TG54880
PGRQ02IN	Sent	#R	Data Request Records	100	TG54880
PGRA02OP	Received	#R	Data Request Acknowledgement	100	TG54880
PGMR02OP	Received	#M	Multiple Reporting Records	450	TG54880
PGRC02OP	Received	#C	Reconciliation Records	112	TG54880
PGYR02OP	Received	#Y	Year to Date Records	350	TG54880
PGTX02OP	Received	#T	ED Comments in ASCII Text Format	80	TG54880
PG**02OP	Sent	#G	RFMS System Generated Batches	??	TG54880

## Yearly Parameters

For each school year in RFMS, certain parameter data is updated to display the values that will be used for that school year. Listed below are the tables that contain data that is specific to a school year.

<b>Field</b>	<b>Minimum Value</b>	<b>Maximum Value</b>
Expected Family Contribution (EFC)	00000	3550.00
Award Amount	00000	3750.00
Low Tuition Fee EFC	00000	500.00
Low Tuition Fee Cost of Attendance	3200.00	99999.99
Payment Period Start Date	01/01/2001	06/30/2002
Cost of Attendance (COA)	00000.00	99999.99
Weeks of Instructional Time in Acad. Year	30	78
Credit Hours in Academic Year	24	100
Clock Hours in Academic Year	900	3120
Enrollment Date	01/01/2001	06/30/2002

The Number of Days is used in the edits for the “N” Day values. This indicates how many days prior to the disbursement the record can be sent to RFMS depending on the Funding Type of the school.

<b>Code</b>	<b>Number of Days</b>
Just In Time	5
Advance Funding	30
Reimbursement	0

## Pell Payment Tables

The 2001-2002 Pell Payment Tables are available on the IFAP Web site at [www.ifap@ed.gov](http://www.ifap@ed.gov).

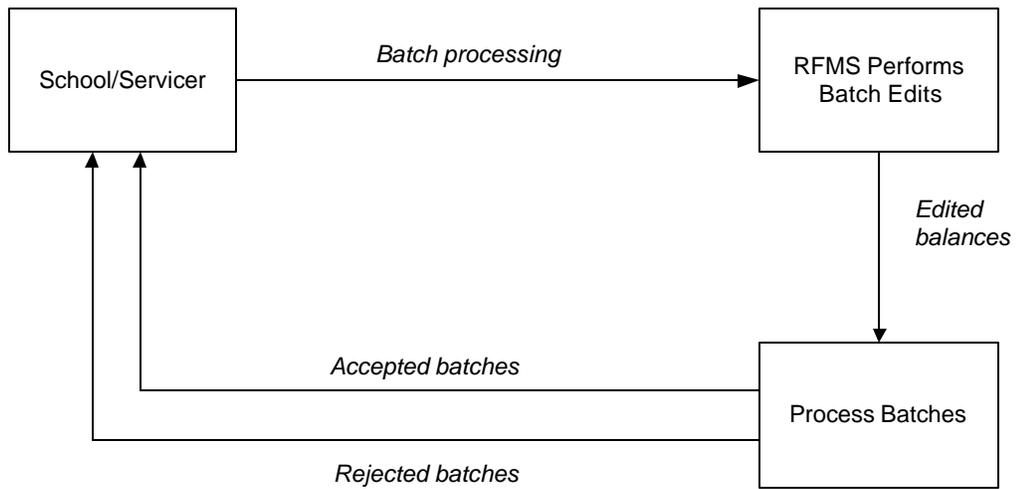
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# Batches

## Batch Process/Data

The flowchart below shows the flow of the batch process.

### Batch Process Flow



## **2001-2002 Modifications**

- Removed Batch Edit 234, which checks the TG# as it is a duplicate of Edit 233.
- Provided new descriptions for Batch Edit Messages 201, 202, and 209 to make them clearer. 201 now reads “Missing/Mismatched Grant Batch Header”. 202 now reads “Missing/Mismatched Grant Batch Trailer”, and 209 now reads “Invalid/Missing Batch Number”.
- Deleted Batch Edit 216 for current cycle. A new edit will be added for the OPE ID to check if the data is present and will be a warning edit.
- Removed Grantee DUNS Number and Financial Servicer DUNS Number fields from the Grant Batch Header Record and added OPE ID field.

## **Sort Order**

In processing, the sort order is Originations, Disbursements, Data Requests, Institution Data. Batches are sorted by “first in, first out.”

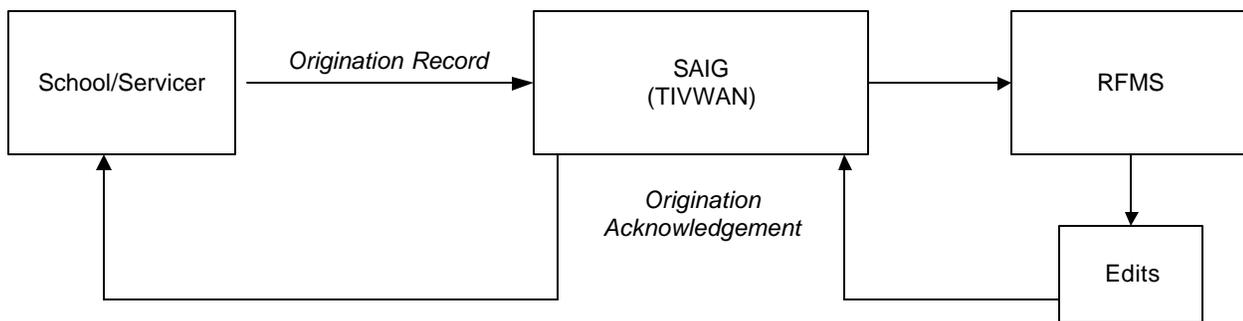
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# Originations

## Process Data Flow

The flowchart below shows the data flow process for Originations between schools and RFMS.

### Originations Process Flow



## **2001-2002 Modifications**

Origination record layouts modified because Special Disbursement records are no longer used, and the “Number of Payment Periods” field on both the Origination Record and Origination Acknowledgement Record will no longer be used.

A 3-position field for “Sequence Number” is added to the database and to the Origination and Origination Acknowledgement records in positions 229-231 of both records. This field allows schools to track which update version of the origination record RFMS has on file.

- Split Origination Edit 303 into two separate edits, one that edits the SSN, and the other that edits the Name Code. This will assist schools in knowing which invalid data caused the edit error to occur.

- Verification Status “W” and “Student is not selected for Verification” were removed from Origination Edit 309. By deleting this condition of the edit, RFMS allows schools that want to use Verification “W” for internal purposes to keep that code on the origination record.
- Origination Edit 301 was split into two separate edits. Now the school will know which invalid data caused the edit to occur. Edit 301 is year-specific and was changed only for 2001-2002.
- A new Action Code was added for Origination Edit 302 for duplication origination. This action code is only valid starting 2001-2002.
- Origination Edit 322 was modified. The last condition of Edit 322 is deleted, and in the second condition, “Accepted PM = 4” was deleted. The steps of the calculation indicating which schedule to use are modified as RFMS was performing the calculation in an illogical manner.
- Origination Edit 315 was modified to include AC=5 and PM=5 since the Academic Calendar of 5 is not valid for Formula 5.

## Origination Examples/Scenarios

The examples shown below are calculated using the 2000-2001 Pell Disbursement Schedule.

The following acronyms are used in the examples:

- Weeks of instructional time used to calculate payment (WKSCALC)
- Weeks of instructional time in program’s definition in academic year (WKSPROG)
- Credit/Clock hours in all payment periods expected to complete this school year (HRSCALC)
- Credit/Clock hours in program’s definition of academic year (HRSPROG)

### **Origination Award Amount Calculations**

For the following examples each case will have an EFC = 00000 and a Cost of Attendance = 25000. The full time scheduled award would be 3300.

#### **A) Payment Methodology = 1**

- The Reported Origination Award Amount = 3300.00
- The Accepted Origination Award Amount will be 3300 since the Full Time value is 3300.

#### **B) Payment Methodology = 2 or 3**

- The Reported Origination Award Amount = 3300.00
- WKSCALC = 33
- WKSPROG = 39

Total Payment Ceiling (TPC) is calculated by (Scheduled Award \* WKSCALC) / WKSPROG

$$\text{TPC} = (3300 * 33) / 39 = 2792.307692$$

- Since the cents is greater than .01 the TPC is rounded up to the next whole dollar. TPC = 2793.
- The Accepted Origination Award Amount will be 2793 instead of the reported 3300 since 2793 is less than 3300.

**C) Payment Methodology = 4 (Academic Calendar = 5)**

- The Reported Origination Amount = 3300.00
- WKSCALC = 33
- WKSPROG = 39
- HRSCALC = 1000
- HRSPROG = 1100
- Total Payment Ceiling is calculated by:
- $(((\text{Scheduled Full Time Award} * \text{WKSCALC}) / \text{WKSPROG}) * \text{HRSCALC}) / \text{HRSPROG}$

$$\text{TPC} = (((3300 * 33) / 39) * 1000) / 1100 = 2538.461538$$

Since the cents is greater than .01 the TPC is rounded up to the next whole dollar. TPC = 2539.

The Accepted Origination Award Amount will be 2539 instead of the reported 3300 since 2539 is less than 3300.

**D) Payment Methodology = 5 (Academic Calendar = 6)**

- The Report Origination Amount = 3300.00
- WKSCALC = 33
- WKSPROG = 39
- HRSCALC = 29
- HRSPROG = 73
- Total Payment Ceiling is calculated by:

$$(((\text{Scheduled Full Time Award} * \text{WKSCALC}) / \text{WKSPROG}) * \text{HRSCALC}) / \text{HRSPROG}$$

$$\text{TPC} = (((1650 * 33) / 39) * 29) / 73 = 554.63643$$

Since the cents is greater than .01 the TPC is rounded up to the next whole dollar. TPC = 555.

- The Accepted Origination Award Amount will be 555 instead of the reported 3300 since 555 is less than 3300.

### ***Submitting a Change to an Existing Origination Record at RFMS***

To submit a change to an existing Origination record at RFMS a new Origination record needs to be created. The new Origination record needs to have the same Origination ID as the existing record. The field(s) that have changed need to be populated with the new value while the field(s) that have not changed need to be populated with the existing values.

### ***Origination Records with an Overpaid Status***

An origination acknowledgement with Edit 323 is an overpaid status in RFMS. This situation occurs when the origination award amount is changed to be less than the total amount of accepted disbursements at RFMS. There are three ways to correct this situation:

- Send a negative disbursement to RFMS to lower the total disbursement amount to equal the origination award amount.
- Send an origination change to increase the origination award amount to equal the total accepted disbursement amount at RFMS.
- After 30 days, if either option above has not been employed, RFMS will create a negative disbursement for the difference between the total disbursement amount at RFMS and the origination award amount.

### **Sort Order**

The origination acknowledgement file is sorted the way the origination batch was sent to RFMS. First in, first out.

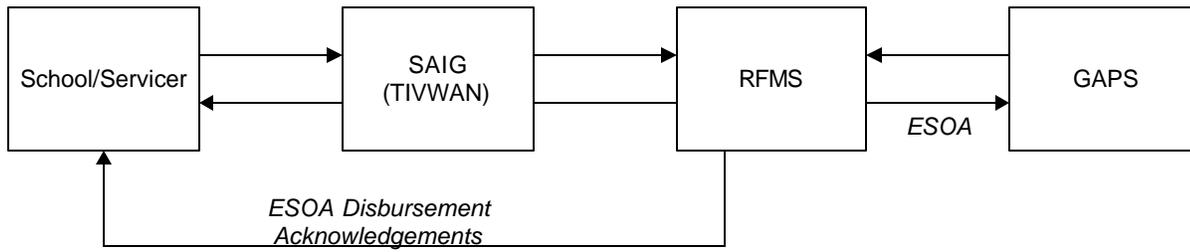
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# Disbursements

## Process/Data Flow

The flowchart below shows the process flow for disbursements.

### Disbursements Process Flow



## 2001-2002 Modifications to Disbursements

- The Payment Period Start Date is now in positions 56 to 63 for both the Disbursement and the Disbursement Acknowledgement records. This field is required only for ineligible schools. Also, the YTD Disbursement Record will make all the Special Disbursement fields unused.
- Special Disbursement Record was eliminated. RFMS now only has one disbursement record layout instead of two.
- Disbursement Edits 418, 419, 420, and 421 was removed so that funding will not be stopped for Verification “W.”
- Disbursement Edit 406 was changed to indicate that the amount has been adjusted.
- Disbursement Edit 414 was modified to not turn on when the disbursement amount is sent in for \$0 and the D/C Indicator is N.
- All Special Disbursement Edit Codes (500s) were deleted since Special Disbursement will no longer be used.
- New Edit Code “A” is added for duplicate numbers. The duplicate reference part of the edit will remain as Disbursement Edit 403 with the invalid value components becoming the new edit.
- New Action Code “D” is added for “duplicate disbursement records” for Disbursement Edit Code 403.
- Disbursement Edit 409 is deleted, as it was never being triggered due to a batch edit.

## Calculation Examples/Scenarios

### ***Correcting a Disbursement Amount***

To correct a disbursement amount in RFMS a new disbursement record is submitted for the difference between the existing amount and the new amount.

#### **Example:**

On October 1, 2001 the school submitted a disbursement for \$1,000 which was accepted by RFMS. On October 15, 2001 the school needed to adjust the disbursement amount to \$750. The following records would have been submitted.

<b>Disb. Number</b>	<b>Date</b>	<b>Disb. Amt.</b>	<b>Debit/Credit Indicator</b>
01	20011001	1000.00	P
02	20011015	250.00	N

The disbursement amount for the student can continue to be adjusted by sending in positive disbursements to increase the total disbursement amount and negative disbursements to decrease the total disbursement amount.

### ***Percent Eligibility Used at a School vs. Total Percent of Eligibility Used***

RFMS calculates the Percent Eligibility Used at a school and the Total Percent of Eligibility Used whenever a disbursement record is accepted by RFMS. These percentages are used in the POP calculations and the percentages are sent to NSLDS.

The Percent Eligibility Used at a school field is calculated by summing all of the accepted disbursement records for this student at this attended institution and dividing that amount by the Scheduled Federal Pell Grant at the attended institution. Round to four places behind the decimal.

The Total Percent of Eligibility Used field is calculated by summing up all of the Percent Eligibility Used amounts at all campuses attended by this student for the current school year. This amount will be rounded to four places after the decimal. RFMS performs percentile rounding that checks for schools using whole dollar disbursements.

**Example:**

School A Student	Sch. Federal Pell Grant	Disb. Amt.	Percent Elig.	Total Percent
1	3300	350.00	0.1970	0.2275
1	3300	300.25	0.1970	0.2275
2	1750	500.00	0.2857	0.5718

School B Student	Sch. Federal Pell Grant	Disb. Amt.	Percent Elig.	Total Percent
1	3300	100.50	0.0305	0.2275
2	3300	250.33	0.2861	0.5718
2	1750	250.33	0.2861	0.5718

**Sort Order**

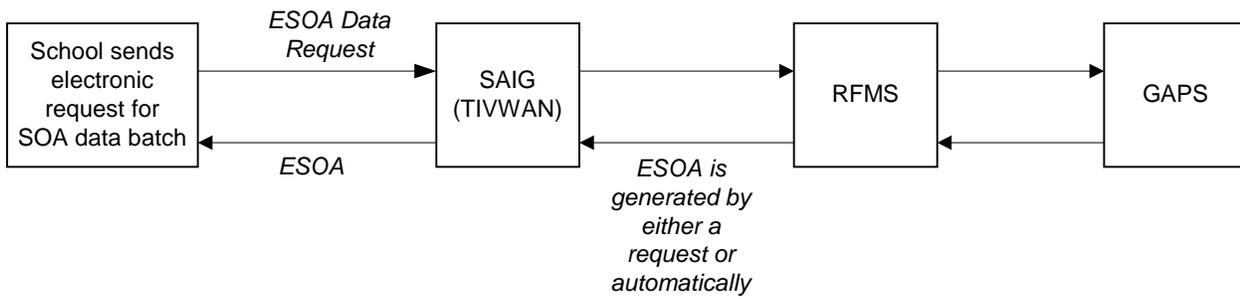
The acknowledgement file is sorted the way the disbursement batch was sent to RFMS.

First in, first out.

---

# ESOA

## Electronic Statement of Account (ESOA) Process Flow



The Electronic Statement of Account (ESOA) replaced the paper or tape version of the Statement of Account (SOA). It is the electronic version of what was the previous paper or tape version of the SOA which summarizes the status of a school's spending authorization versus amount expended to date for that award year.

A school can send requests electronically for ESOA data batches. The request is sent via the SAIG to RFMS.

There are two ways a school can receive an ESOA:

- The school submits a data request for the ESOA
- RFMS automatically generates the ESOA

When a school has enough disbursements accepted by RFMS to exceed their authorization level, an ESOA is automatically generated. The ESOA is only generated when the authorization level is exceeded; it is not generated each time a disbursement is accepted.

If a school is Advanced Funded, an ESOA will be received when the initial authorization is performed. The next ESOA will not be sent until the school has exceeded the initial authorization level.

If a school is JIT, then an ESOA is produced each time a disbursement batch with accepted records is processed. This is because there is not an authorization level that has to be exceeded.

RFMS generates ESOAs and sends them in message class batches with a header and trailer record back to the SAIG where schools can retrieve the ESOAs for a 6-month period following placement by RFMS on the SAIG.

A record layout description for the ESOA can be found in Section 1, Custom Layouts.

## **Funds Drawdown**

Two types of funds drawdown are available with RFMS:

- Advance Funding
- JIT

### ***Advance Funding***

An initial authorization is produced by RFMS for which a school must submit disbursement records to justify and increase its authorization level. Once this is done, the school can draw down funds through the Grants Administration and Payment System (GAPS). GAPS then sends an acknowledgement to RFMS, and then RFMS issues an ESOA to the institution showing the status of the school's account in detail and summary format. In Advanced Funding, schools can send their disbursements up to 30 days prior to the date of the disbursement by RFMS.

### ***Just-In-Time Funding***

A disbursement record that is accepted by RFMS becomes both a report of a disbursement for a student and a request for funds. RFMS accepts a disbursement record from a school only if the school has sent in an acceptable origination record or sends an acceptable origination record at the same time it sends the student's initial disbursement record.

A school participating in JIT Funding submits a disbursement record no earlier than five days prior to the actual disbursement date reported in the record. Based on the accepted and processed disbursement record, RFMS automatically sends a transaction to GAPS which draws down funds and deposits them directly into the school's bank account without any further action by the school. GAPS then sends RFMS an acknowledgement and RFMS then transmits an ESOA to the school showing the status of its account in detail and summary format.

### **2001-2002 Modifications**

There have been no modifications to the ESOA record for the 2001-2002 award year.

### **Report Layouts**

ESOAs are reported in Detail and Summary reports. Please refer to Section 1, Custom Layouts, for the ESOA record description.

### **Sort Order**

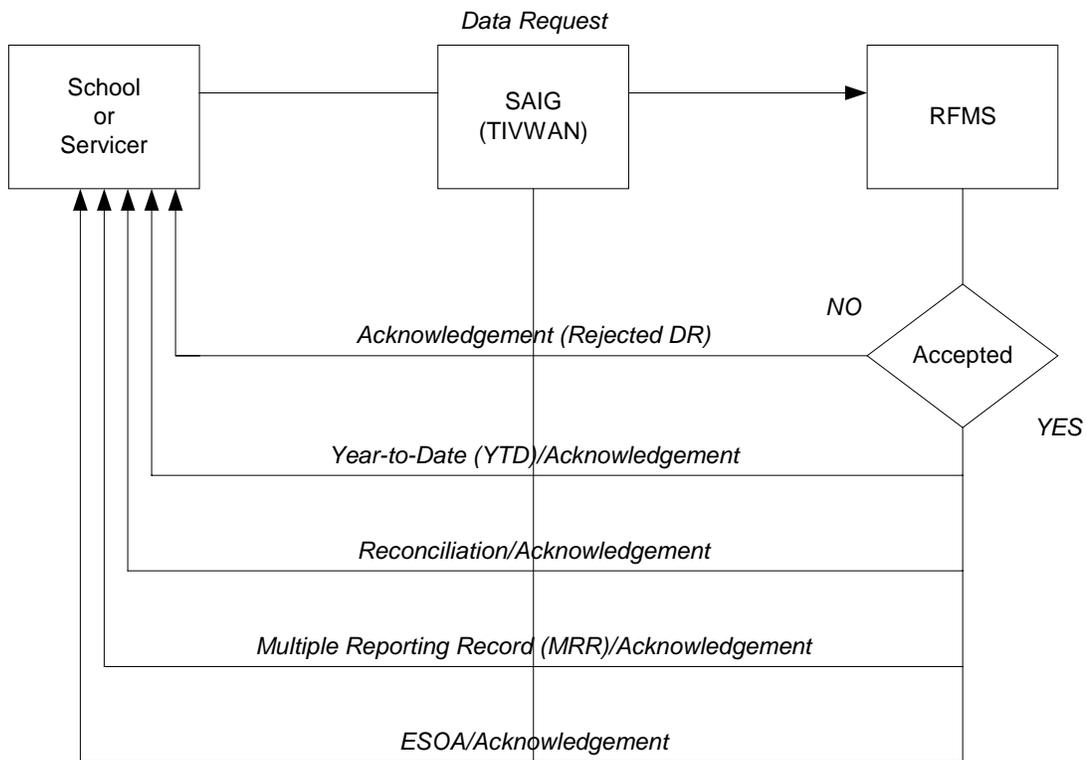
The detail records are sorted by RFMS Process Date.

# Data Requests

## Process/Data Flow

The flowchart below shows the process flow for Data Requests.

### Data Request Process Flow



## **2001-2002 Modifications**

Added Batch Number field to the record layout for the YTD disbursement record at the end of the record layout for 01-02 data only. The Disbursement Batch ID is in positions 104-129 of the record layout.

Added Student's Name, Blocker Amount, and Percentage, and Attended Pell ID to the MRR record file. This increased the length of the record layout from 400 to 500. Positions 396 to 411 will be Student's Last Name; Positions 412 to 423 will be the Student's First Name; Position 424 will be the Middle Initial; Positions 425 to 432 will be the Date of Birth; and Positions 433 to 450 will be unused.

Changed YTD Request to allow both requests for an individual attended campus or for all attended campuses under one reporting campus. If the Attended Pell ID field has all zeros in it, then YTD files will be generated for all attended campuses under the reporting campus. If the Attended Pell ID has any other value, then a YTD will be generated for just that Pell ID.

## **Sort Order**

### ***Year to Date (YTD)***

Sort the information in the YTD file on the following fields in sequence: Origination ID, Original SSN, Name Code, and Disbursement Reference Number.

### ***Reconciliation***

Sort the information in the reconciliation file on the following fields in sequence: Last Name and then First Name, then Middle Initial, and then Social Security Number.

### ***ESOA***

The detail records are sorted by RFMS process date.

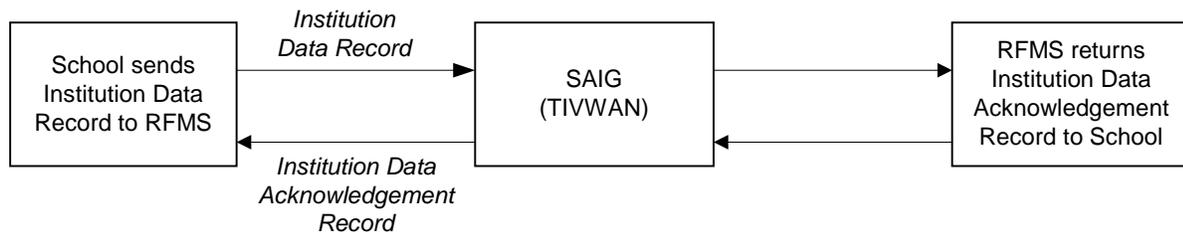
### ***MRR***

The records are sorted by MRR code and then Social Security number within each MRR code.

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# School Data

## School Process Flow



The Institution Data record is sent to RFMS by schools to change/update school information such as:

- Financial Aid Administrator (FAA) Name
- Telephone Number
- School Address
- Length of Program
- Institution Type
- Financial Control Information

Schools send Institution Data records to RFMS to change/update school information. RFMS sends Institution Data Acknowledgement records back to the schools confirming that the information has been changed. If a record could not be updated, the acknowledgement record will contain the edit code explaining why it could not be updated.

## **2001-2002 Modifications**

There have been no modifications to the Institution Data Record for 2001-2002.

## **Sort Order**

School data is sorted by school.

---

# Cycle Processing

## Cycle Processes

### *Daily Processing Cycles*

Data is processed 4 times a day by RFMS. Generally, the RFMS retrieves data from SAIG each day at approximately 6:05 a.m., 11:05 a.m., 1:05 p.m., and 5:05 p.m. (ET).

The times RFMS returns data to the SAIG depends on the volume of data retrieved. Usually, the acknowledgements are returned to SAIG within 5 hours.

After the data is swept, it is processed in the following order:

- Institution Data
- Originations
- Disbursements

During the 3<sup>rd</sup> cycle (1 p.m.), in addition to the above process, all of the information that has not been previously sent to GAPS is forwarded for processing.

During the 4<sup>th</sup> cycle (5 p.m.), in addition to Institution Data, Originations and Disbursement are processed by RFMS, ESOAs are generated for the schools and disbursement data is sent to NSLDS.

This schedule may be modified at times depending on the volume of data received from the institutions.

### **Yearly Processing Cycle**

Certain activities occur during the Award Year

<b>Date</b>	<b>Activity</b>
May 2001	RFMS is ready to receive Origination records, Institution Data and Data Requests. Initial Authorization is run.
July 2001	RFMS is ready to receive Disbursement Records, Disbursement data starts being sent to NSLDS.
Fall 2001	The first Administrative Cost Allowance (ACA) is performed.
Spring 2002	The second ACA is performed.
Summer 2002	The third ACA is performed. The Authorization amounts are reduced to the current obligation amounts.
October 2002	Origination records and increases to Disbursements are no longer accepted except for schools who have been granted Administrative Relief.

---

# Business Rules

## General Business Rules

- RFMS processes batches in a specific order. The order is: School Data, Origination Records, and Disbursement Records. The records within the batch are processed in the order in which they are submitted and are swept 4 times a day. Data Requests are swept only once a day during the last cycle.
- Reporting campus shall send and receive all data and payment of funds for the attending campuses it serves.
- The Pell Grant Record Layout provides RFMS data requirements for each record type. Refer to the 2001-2002 record layout for Field Names, Descriptions, Valid Values, and Processing Notes/Edits information.
- Attending Campus must be the same as the reporting campus or be a branch campus of the reporting campus.
- A recipient is identified by the original SSN and original Name Code from the Federal Pell Grant Eligible Applicant data received from the CPS.
- A recipient may attend multiple attended campuses and/or multiple reporting campuses in an award year; however, a recipient may not receive more than one full Scheduled Award for all attendance during an award year at all campuses and/or schools.
- Detail records will either be accepted, accepted with corrections, a duplicate, or rejected and returned to the Reporting Campus in an Acknowledgement Batch with the appropriate Action Code.

- An acknowledgement batch is returned to the reporting school for each batch received by RFMS upon completion of processing input records.
- On the Origination Record, the Award Amount for the Entire School Year must be reported in whole dollars. The data field has a length of seven. If a student's award is \$3,125 it must be reported as 0312500. If you report '3125' as the award, without adding a zero in front and two more zeros at the end, RFMS will read the field as '0003125'. RFMS will then truncate the "cents portion" and accept the award amount as \$31.00.
- Disbursement Amounts may be reported in dollars and cents. The total of all disbursements reported must not exceed the Origination Award Amount on file within RFMS. See the 2001-2002 record layouts for specific fields including cents. If a field includes cents but the data you want to transmit for a student does not include cents, the field must be zero filled.
- Reject reasons and warning codes are included in the detail acknowledgement record. Reject detail record acknowledgements shall contain the data reported on the incoming record. Warnings for Duplicates shall be provided on detail record acknowledgements with a status of 'D'. The duplicate warning code shall be the first code in the list of comment codes on the acknowledgement.
- Dollars and cents are gathered, processed and returned in all applicable amount fields. See the 2001-2002 record layouts for specific fields including cents.

### ***Batch Business Rules***

- All batches for 2000-2001 and forward must use the Electronic Data Exchange media.
- If Batch Award Year does not agree with Message Class Award Year, the batch will be rejected.
- If Reporting Pell ID is not on file within RFMS as a Reporting Campus, the batch will be rejected.
- If date batch created is greater than RFMS system process date, the batch will be rejected.
- If the Batch ID matches one already on file within RFMS, the batch will be rejected.
- If the batch type does not agree with the message class type, the batch will be rejected.
- If the Batch ID identifies the Batch Type as Originations (#O), Data Requests (#R), or Institution Date (#I) and the batch is received before system startup, the batch is rejected. System startup dates can be found in the Yearly Parameter Tables in Section 2.2.4.2 of this Guide.
- If the Batch ID identifies the Batch Type as Disbursements (#D), and it is received more than N days prior to award year start date then the batch will be rejected.
- On the Grant Batch Header, if a value other than “E” or “blank” is used in field #63 (ED Use), the batch will receive Edit 235, which is a warning edit.
- On the 2001-2002 Data Request record, if a value other than “E” or “blank” is used in field #8 (Requested Output Media Type), the request will receive edit 603, which is a rejected edit.

- If the Version Number field in the Batch Header record is blank, then no edit will be performed. The version number is actually a warning, and if the version number field contains a version number, then an edit will be performed.
- If the Batch Trailer is missing, the batch will reject.
- If there are no detail records within the batch, the batch will reject.
- If the data record lengths on the batch header and batch trailer are not equal, the batch will reject.
- If the Batch ID on the batch header and trailer are not equal, the batch will reject.
- If the reported number of records in the batch trailer does not equal the RFMS count of detail records within the batch, the batch returns with warning message number 218.
- If the total Origination Award Amount or Total Disbursement Amount reported on the trailer is not equal to the RFMS total, then we will return a warning message number 219. This means not equal to the RFMS total prior to any corrections made by RFMS.

### ***Origination Business Rules***

- RFMS does not use the Origination Record data to establish or adjust a school's Federal Pell Grant funding level. Only Disbursement Records establish or adjust a school's Federal Pell Grant funding level.
- A recipient must have an origination for each attended school for which payment is received.
- Origination Records will not be accepted by RFMS after the established student award data submission deadline of September 30, 2002. There are two exceptions:
  - The school is granted administrative relief from this deadline, or
  - The school has received relief from this deadline via the Audit process.

- Origination Record data applies to the entire award year. There is no change record after a new Origination Record is submitted for that ID.
- If the Accepted Award Amount for an entire school year is less than the calculated Federal Pell Grant award, the school must submit correction(s) to the Origination Record within 30 days of becoming aware that the change is needed. However, if this 30-day period has not yet elapsed as of the established reporting deadline, the school must submit the correction(s) no later than the deadline.
- RFMS uses the EFC and Cost of Attendance reported to determine the student's Scheduled Award and then uses the reported attendance data and Percentage of Eligibility Used at any other Reporting Campus(es) to determine the maximum Award Amount for the entire school year. If the Award Amount for entire school year reported for the student exceeds the maximum amount determined by RFMS, RFMS will reduce the award to the RFMS amount.
- An Origination Record must contain complete and valid fields that identify the student as a Federal Pell eligible recipient or RFMS will reject the record. These fields are the Origination ID, Original SSN, Original Name Code, Transaction Number and Expected Family Contribution (EFC). This data must match the data in the Central Processing System (CPS).
  - If an updated Origination Record produces an Award Amount for the entire school year that is less than the total of all positive and negative processed Disbursement Records, RFMS will create a Negative Pending Record for the student. No positive Disbursement Record will be accepted for a student with a Negative Pending Record.

- RFMS edits reporting and attended campus fields to ensure that the Origination Record is from an eligible and participating location during the academic year.
- Attended Campus must either equal or be a branch of the Reporting Campus shown in the batch header and trailer records. If the Attended Campus is not equal to a branch of the Reporting Campus, RFMS rejects the record.
- An Origination Record must contain valid values or RFMS will correct to valid values or reject the record.

**Example:**

Academic calendar and payment methodology must be logically consistent with each other.

- If Payment Methodology is submitted as “1”, the Academic Calendar submitted should be “2, 3, or 4”.
- If Payment Methodology is reported as “1” and Academic Calendar is reported as “5”, RFMS will correct Academic Calendar to “3”.

See the 2001-2002 record layouts in Section 1, for valid values and processing notes/edits for specific fields.

- The Origination Record is considered a new record if any of the identification fields do not match the identifier fields in a previously accepted Origination Record.

**Example:**

For 2002 and beyond, if a school sends a record and if any of the identification fields do not match the identifier fields on a previously accepted Origination Record, the record will be returned with either a 303 or 323 edit code.

- An Origination Record is “duplicate” when all data on the Origination Record is the same as the data in RFMS.
- RFMS does not use the Origination Record data to establish or adjust your funding levels.
- RFMS edits attended campus fields to ensure that the Origination Record is from an eligible and participating location during the academic year. If it is not, RFMS rejects the record.
- RFMS only accepts one Origination Record per attended campus per student per award year. RFMS treats subsequent Origination Records with the same identification information as updates.
- RFMS uses the Federal Pell Grant Payment and Disbursement Schedules, including the Low Tuition Payment and Disbursement Schedules, to calculate the Scheduled Award and validate the Annual Award amounts.

## Disbursement Business Rules

- An Origination Record with an Award amount for the entire school year greater than zero (\$0) must be on file in RFMS prior to RFMS processing a Disbursement Record for that student.
- The SSN, Name Code, Year Indicator, and Valid Attended Pell ID submitted on the Disbursement Record all must match an Origination Record on file in RFMS.
- If RFMS receives a Disbursement Record with no corresponding Origination Record on file, it will be rejected.
- A Disbursement Record represents an individual payment to a student. Each Disbursement Record retained in RFMS must have a unique Disbursement Reference Number.
- This number may be 01 - 90. If a Disbursement Reference Number is already on file within RFMS for an Origination ID, RFMS will treat the Disbursement Record as a duplicate.

- Duplicate records are returned as previously accepted records.
- An institution must use a unique Disbursement Reference Number for each negative or positive Disbursement Amount per record.

**Example:**

A student's disbursement is reported as 0100000 (\$1,000) using Disbursement Reference Number 01.

The financial aid official wants to correct that amount to 0050000 (\$500).

The financial aid official must send in another Disbursement Record with Disbursement Amount 0050000 (\$500), a Disbursement Reference Number between 02 - 90 and Debit/Credit Indicator Flag N (negative).

- A duplicate disbursement Reference Number will receive edit number 430.
- If one of the following rules is not met and RFMS determines that the correct Disbursement Amount is zero (\$0.) the Disbursement Record will be rejected and will receive an edit number 432.
  - A student's first Disbursement Record must report a positive Disbursement Amount greater than zero.
  - A student's total amount of all Disbursement Records, both positive and negative, cannot exceed the Award amount for an entire school year on the Origination Record in RFMS.
  - A student's total amount of all Disbursement Records, both positive and negative, cannot be less than zero (\$0).

- Within 30 days of receiving notice that RFMS has established a Negative Pending Record for a student, RFMS expects to receive a Disbursement Record with a negative Disbursement amount.

RFMS will not accept a Disbursement Record with a positive Disbursement Amount for the student until the entire Negative Pending amount has been reported.

- If RFMS doesn't receive the entire Negative Pending amount within 30 days, it will generate a Disbursement Record for the outstanding Negative Pending amount.
- Within 30 days, schools must submit Disbursement Records for negative Disbursement Amounts when the financial aid official determines the student's total disbursements on file within RFMS exceed the total amount actually disbursed, even if the award data submission deadline has passed.
- Disbursement Date may range from 20010621 (June 21, 2001) to 20070930 (September 30, 2007).
- Within the above range, the validity of a Disbursement Date in relationship to the date RFMS processes the Disbursement Record depends upon the school's payment funding method as follows :
  - Advance Funding Method - Processing Date can be up to 30 days prior to reported Disbursement Date.
  - Just-in-Time Funding Method – Processing Date can be up to 5 days prior to reported Disbursement Date.
  - Reimbursement Funding Method - Processing Date must be equal to or greater than the reported Disbursement Date.
- Disbursement Records reporting positive disbursement amounts should be submitted within 30 days of the financial aid official recognizing the student's total Disbursement Amount in RFMS is not equal to the total award actually disbursed by the school.

- With exception to the above rule, RFMS will not accept positive Disbursement Records after the established student award data submission deadline (as authorized by the Department of Education), unless the school:
  - has been granted administrative relief from this deadline, or
  - has received relief from this deadline via the audit process or under an unblocked POP condition.
- RFMS accepts Disbursement Records reporting negative Disbursement Amounts through 20070930 (September 30, 2007).
- RFMS will accept Disbursement Records 30 days after the disbursement date.
- RFMS will not accept positive Disbursement Records after the award year-end date of September 30, unless your school has been given a waiver to the deadline or you are correcting a POP record.
- Schools must report an Origination Record either before or with a Disbursement Record for a recipient at the attended campus.  
Schools are limited to 90 disbursement transactions by the record layout specifications.
- Schools are not limited by the number of disbursements they report in the accepted Origination Record.
- RFMS will return the disbursement amount you reported in the accepted or rejected disbursement amount fields of the acknowledgement records.
- RFMS will return the disbursement amount a school reported in the accepted disbursement amount field of the acknowledgement record, for rejected disbursements.

- RFMS will send a warning message on the acknowledgement if origination enrollment dates reported by different schools are within 30 days of each other (concurrent enrollment), that the recipient may not be eligible for the disbursement and will send MRR to all attending campuses.

## **Data Request Batch Business Rules**

- If the Origination ID requested is invalid or not found on the RFMS database, the request will be rejected.
- If the Origination ID is blank, all accepted Origination data of the school will be processed.
- Data Requests are submitted to request one of the following:
  - Replacements for processed batch output previously sent, Reconciliation File Acknowledgements, and Electronic Statements of Account.
  - Multiple Reporting Records listing other schools reporting the same students.
  - Year-to-Date data for all or specific students.
- The data request format is used for all requests regardless of the source:
  - directly from the school, or
  - phoned into customer service.
- Data Requests are either accepted with the requested data and returned to the school or rejected with a Data Request acknowledgement and returned to the school.
- Data request acknowledgements are only returned if a request was rejected.
- Data Requests are rejected due to incomplete data provided, or when data requested can not be found in the RFMS database.

## **Initial Funding Business Rules**

- Calculate Initial Funding shall only be executed one time per award year cycle after successful completion of updating Award Year Data.
- Just-In-Time (JIT) schools never receive initial funding obligations. An initial funding amount shall be calculated but only used for forecasting. JIT schools receive an ESOA after each batch is approved.
- For Advance Funding schools, initial funding creates an initial obligation which is sent to GAPS for the school to drawdown against. New schools designated as Advance Funding after the initial funding process has completed will have an obligation balance determined by Pell Operations.

## **SAIG Business Rules**

- RFMS will be able to accept batches of different message classes. These can be sent in the same transmission.
- All batches go through the same transmission and batch edits for acceptance.
- There is no limit to the number of batches a school may send per award year.

## **Transmission and Batch Edits Business Rules**

- Each transmission must have a SAIG transmission header and SAIG transmission trailer record.
- Each batch must have an RFMS Grant batch header and Grant batch trailer record.
- All student-level record batches entering RFMS are accepted for further processing or rejected.

- Batch Numbers can only be processed by RFMS once, including batch numbers for rejected batches.
- Batches received are processed in the following order: School Data, Origination, Disbursement, and Data Requests.
- Each batch must contain at least one detail record.

### **School Data Business Rules**

- School's identifier must be complete and valid.
- Accepted data provided in Institution Data records updates the school data fields in RFMS.

### **Overpaid Status Business Rules**

- For any change to origination data that results in reducing the Origination Award Amount, the sum of the accepted disbursements must be compared to the new Origination Award Amount.
  - If the sum of disbursements is greater than the Origination Award Amount, the origination is placed in an overpaid status and a pending negative disbursement is generated or updated for the difference.
  - Refer to Appendix D, for a listing of the 2001-2002 Edit Codes and their meanings.
- For originations in overpaid status, only origination data changes and negative disbursements will be accepted.
- If the origination change causes the Origination Award Amount to be greater than or equal to the sum of actual disbursements, the origination is removed from overpaid status and the pending transaction is deleted. Otherwise, the pending transaction is adjusted to reflect the new difference between the sum of accepted disbursements and the Origination Award Amount.

## ***Negative Pending Situations***

The following three rules clarify how RFMS shall handle negative pending situations:

- If the downward disbursement causes the sum of the accepted disbursements to be less than or equal to the Origination Award Amount, the origination is removed from Overpaid Status and the pending transaction is deleted.

Otherwise, the pending transaction is adjusted to reflect the new difference between the sum of accepted disbursements and the Origination Award Amount.

- For Originations that remain in an Overpaid Status for more than 30 days, the pending transaction is processed as a system generated negative disbursement.

The system automatically subtracts the amount from the student's total disbursement, and the origination is updated to remove the Overpaid Status.

- Using the Origination and Disbursement Records, a school can report changes to their origination data, but not report the appropriate Disbursement data changes. Therefore, reducing the award amount on the origination without submitting disbursements to adjust the total amount paid to the student can give the appearance that the student has been overpaid.
  - RFMS creates a pending transaction for the difference between the new Origination Award Amount and the total disbursements.
  - Disbursements with positive disbursement amounts will not be accepted until the difference is resolved.
  - If the difference is not resolved within 30 days (set by ED), the pending transaction becomes a system generated disbursement transaction to correct the student data.

- A school calculates four different award amounts for a particular student: Scheduled, Annual, Ceiling, and Origination.
  - Each award amount is calculated and used differently.
  - A table, which describes how to calculate these award amounts, can be found in Section 2.4.4. In addition to this table, the following relationship shall be maintained within RFMS for a single Origination Record:

Scheduled Award Amount  $\geq$  Annual Award Amount  $\geq$  Total Payment Ceiling Amount  $\geq$  Origination Award Amount

## **Concurrent Enrollment and Potential Overaward Business Rules**

- For every disbursement received for a recipient with accepted disbursements for more than one attending campus the following applies: If origination enrollment dates are within 30 days of each other, send a warning message that the recipient may not be eligible for the disbursement on the acknowledgement and send Multiple Reporting records to all attended campuses involved.
- RFMS determines if the sum of all accepted and pending disbursements exceeds the recipient's Scheduled Federal Pell Grant Award by calculating the percentage of disbursements received at all attending campuses.
  - The percentage of the Scheduled Federal Pell Grant Award disbursed to the recipient at all attending campuses must be less than or equal to 100%.
  - For any disbursement which is rejected or adjusted to the 100% eligibility level, a warning message is sent that the recipient is in a POP status and MRRs send are sent to the Blocked and Blocker schools.
  - Percentile rounding checks for schools using whole-dollar disbursements.

## Year-to-Date Batch Business Rules

- There are three YTD record formats:
  1. origination,
  2. disbursement, and
  3. summary layout.

These record formats are the same length and are contained in the same file.
- YTD Origination and Disbursement Records are matched together based on the Origination ID in each record.
- Schools may request YTD files for all students or selected students who are specified in the Data Request record submitted.
- Summary statistics of the YTD file are provided by RFMS. Summary statistics are:
  - Total unduplicated recipients
  - Total originations
  - Originations accepted
  - Originations accepted with corrections
  - Originations rejected
  - Total disbursements
  - Disbursements accepted
  - Disbursements accepted with corrections
  - Disbursements rejected
  - Counts for reject and warning codes
- RFMS shall issue system generated Disbursement Acknowledgements for several situations, including Overpaid Status and Pell Operations reductions.
- Acknowledgements shall be sent to the schools for the disbursement transactions RFMS generated.

- These disbursements shall have reference numbers assigned between 91 and 99 so the school can update their databases without conflict. These records shall be returned with a system generated batch number in the Grant Header.
- The on-line funding adjustment capability shall be available for the entire Performance Period of the award year.

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# Lessons Learned and Tips for Problem-solving

## Lessons Learned

Listed below are lessons learned, suggestions, and tips from schools and third party providers to possibly provide assistance to other schools and third party providers in making their origination and disbursement processes run more smoothly:

- Third Party Providers can now use the tables in Section 2.4 to see specific examples of how the Pell award is calculated using the information on the origination record.
- Formulas used based on different academic calendar/payment methodology combinations that can be submitted can also be found there.
- Third Party providers report that they have had numerous support calls from their customers in the past, wanting to know why a Pell award was corrected down at RFMS.
- Having this information enables them to answer this request and possibly add validation in their software that would catch any discrepancies prior to sending the origination record.
- Some schools do not request any MRR reports – they just deal with the ones that are automatically generated, and this seems to work fine.
- Some schools always send origination and disbursement records at the same time.
- The only time they might send origination records without disbursement records would be before the beginning of the year before they can send disbursement records.
- This way they can find out what the origination problems are before paying the students

- When schools get edits 303, 311 and 312, it is usually because the student answered “yes” to either the “previous degree?” or the “graduate/professional” question on the FAFSA, and the schools corrected this to “no” on their system, but did not correct this through the Central Processing System (CPS), RFMS uses CPS data to determine a school’s eligibility. Another common reason may be that the Original Social Security Number and Original Name Code have either been omitted or are incorrect.
- Schools must correct their data through CPS.
- A school’s data record will continue to reject at RFMS until CPS data has been corrected.
- Since schools make Pell payments and awards to students every day and total payments are a moving target throughout the year, they only reconcile once at the end of the year. They do, however, resolve all of the rejected and corrected records each time they submit payment data.
- At the end of the year, schools used the Pell RFMS reconciliation report they received from the federal processor and ran an Access query comparing the disbursement amount for each student to the awards on their award file. This found the differences, which the schools then resolved.
- Schools usually send Pell payment data every two weeks throughout the academic year.
- Schools use the Disbursement Summary on the Pell Grants Online Web site to help in the reconciliation process.

- Allowing schools to pay students before receiving an ACCEPTED or CORRECTED Disbursement record for that student is just asking for trouble. Our school policy is to always get an ACCEPTED or CORRECTED Disbursement before paying the student.
- Originations should be submitted as early as possible in the Spring or Summer of 2001. If a student's EFC changes down more than \$100, re-originate.
- Submit all Origination Records for FULL enrollment and each student's EFC.
- Do not send origination records on students that already have an "A" or "C" Origination Acknowledgement, unless the EFC has decreased by more than \$100.
- We submit Disbursement requests as soon as the student has cleared Verification and shows to be Pell eligible.
- We reconcile once a month and this seems to work. The process we use to reconcile is that we make sure our records agree with our University Financial Services (who disburses the money to the students) and the current Pell reconciliation tool.
- We automatically run a program at noon every weekday that scans all students to see if they need an origination or disbursement sent to RFMS. We use custom software, not EDEXpress. For originations, the program checks for students enrolled in the award year for whom we have received an ISIR or SAR whose expected Pell award for the award year is non-zero. We wait until we have received an accepted or corrected (but not rejected) origination acknowledgement before we check whether to send any disbursement records for a student. Because we deal with a lot of clock-hour students, (whose checks rarely get cut on the originally scheduled dates because of testing of required hours), we also wait until the check has actually been written before creating a disbursement record.

- Our daily cycle of data exchanges gets incoming ISIRs in the morning, so origination records will normally go out the same day the ISIRs come in. RFMS turnaround times have generally been good, so we usually get the origination acknowledgements the next morning. This allows disbursement records to go out in the next noon process if a check has been written. This cycle allows a school to cut a Pell check the day the ISIR arrives and have the disbursement record sent the next day while reducing errors that can arise from simultaneous submission of origination and disbursement records and completely eliminating submission of disbursement data for scheduled checks that never get issued.

## Tips for Troubleshooting

The tables below present possible solutions for solving problems with MRR, Originations, Disbursements and Data Requests.

### **Multiple Reporting Records**

<b>Problem</b>	<b>Solution</b>
RFMS edits detect a concurrent enrollment situation or POP while processing your disbursement data	Request MRRs by submitting a Data Request record for all schools on one or all students before making or reporting disbursements to reduce the number of POP problems
Data Request record fails edits or RFMS does not find requested data	Resubmit Data Request record completing the required RFMS data identified in rejection reason
Reported disbursement caused a student to receive over 100 percent of one full Federal Pell Grant Scheduled Award	Disbursement acknowledgement record you receive informs you of the POP situation and to expect a MRR
Enrollment date reported by the other school is within 30 days of the enrollment date you reported	RFMS automatically produces and transmits a MRR to each school to alert them to the possibility of a concurrent enrollment

### **Origination Records**

<b>Problem</b>	<b>Solution</b>
Submitted an annual award amount containing two digits for cents and RFMS truncated the origination amount to zero cents	Submit an annual award amount to the next highest dollar on the origination record to disburse the cents
Correcting origination records when student data affects the annual award amount or RFMS sets lower award values	Update the origination data by resubmitting the record with changes
RFMS rejects the origination record	Submit complete and valid fields
Submitted a blank or invalid student enrollment date	Report the actual start date of the student's classes for that payment period
Submitted a blank or invalid Verification Status Code and CPS selected for verification	Set Verification Status Code field to the previously accepted value or S or verify the student and enter the appropriate new Verification Status Code
Submitted a blank or invalid Incarcerated Federal Pell Recipient code	Set Incarcerated Federal Pell Recipient code to the previously accepted value or N
Submitted a blank or invalid Payment Methodology field	Set to previously accepted value or 3

**Origination Records (Continued)**

<b>Problem</b>	<b>Solution</b>
Submitted a blank or invalid academic calendar field	Perform one of the following: Set to previously accepted Academic Calendar value Set to the Attended Campus default Academic Calendar Set to the Reporting Campus default Academic Calendar Set accepted Academic Calendar value to 5 If Payment Methodology equals 4 Set accepted value to 3
Submitted a blank or invalid Cost of Attendance field	Set accepted value to previous value or \$3,750.00@
Payment Methodology equals 4 in Enrollment Status	Set accepted value to previously accepted value or blank
Payment Methodology equals 5 in Enrollment Status	Set accepted value to previously accepted value or 3
Payment Methodology is blank or invalid in Enrollment Status	Set accepted value to previously accepted value or 1
Weeks of instructional time used to calculate payment is invalid or out of range	Set corrected value to previous value or equal to Weeks for Academic Year
Weeks of instructional time used to calculate payment is supplied and not required for payment methodology	Set to blank and ignore
Weeks of instructional time in program's definition of academic year is blank or invalid	Set accepted value to previous value

**Origination Records (Continued)**

<b>Problem</b>	<b>Solution</b>
If Attended Pell ID default Weeks is populated	Set accepted value to default
If Reporting Pell ID default Weeks is populated	Set accepted value to default
If Reporting Pell ID default Weeks is supplied and not required for Payment Methodology	Set to blank and ignore
Credit/Clock hours in all payment periods expected to complete this school year are invalid or out of range	Set accepted value to previous value or to Credit/Clock Hours for Academic Year
Credit/Clock hours in all payment periods expected to complete this school year are supplied and not required for Payment Methodology	Ignore

**Origination Records (Continued)**

<b>Problem</b>	<b>Solution</b>
Credit/Clock hours in program's definition of Academic Year is blank or invalid	Set accepted value to previous value
If Attended Pell ID default Hours is populated	Set accepted value to default
If Reporting Pell ID default Hours is populated	Set accepted value to default
If Reporting Pell ID default Hours is supplied and not required for Payment Methodology	Ignore
RFMS rejects the Origination Record for invalid SSN, Name Code, or EFC.	Verify the Original SSN, Original Name Code, and EFC are correct and from a valid SAR/ISIR transaction. SAR/ISIR Comment Codes will confirm if the record is Pell eligible. If necessary, a new ISIR correction may need to be processed before an Origination Record can be submitted.
A new ISIR is received by the school with a different EFC and after a record has been originated.	Verify the new ISIR. If the EFC is lower, thus increasing the Award Amount for the Entire Year, submit a new Origination Record with the changes. If the EFC is higher, decreasing the Award Amount, it is not necessary to send a new Origination Record.

**Disbursements**

<b>Problem</b>	<b>Solution</b>
Your school is advance funded or in the Just-in-Time Pilot	Use the regular disbursement record
Your school discontinues participation in the Federal Pell Grant program during the award year	Use the disbursement record Fill in all fields on this record especially the payment period start date field.
RFMS rejected the disbursement record because it also rejected the origination record	Send the origination record to RFMS early for the record to be edited and problems resolved before making student disbursements
RFMS fails to change previously accepted disbursement data	Submit the disbursement record with a P (positive) or N (negative) in the Debit/Credit Indicator field to adjust the total amount of disbursements previously accepted for the student
Disbursement Record rejects for Edit 402, but school has an accepted Origination Record	Make sure future Disbursement Records are either sent in the same transmission with the Origination Record or when the Origination is acknowledged  Resend the Disbursement Record *****  For EDEExpress Users  Resave the rejected Disbursement, export and transmit

### **Data Requests**

<b>Problem</b>	<b>Solution</b>
Data Request is rejected because Attending Pell ID is invalid or missing	Resubmit Data Request with valid attended campus Pell ID
Data Request is rejected because Data Request Type is invalid or missing	Resubmit Data Request with valid Data Request Type: M (Multiple Reporting) S (Statement of Account) Y (Year to Date)
Data Request is rejected due to invalid Requested Output Media Type or type of media requested that the school is not certified for	Resubmit Data Request with either BLANK or E
Data Request is rejected because of invalid Multiple Reporting Request Code 1	Resubmit Data Request with correct code of: O (Origination) D (Disbursement)
Data Request is rejected because of invalid Multiple Reporting Request Code 2	Resubmit Data Request with correct code of: A (ALL) S (SINGLE) I (INSTITUTION)
Data Request is rejected because of invalid or incomplete Multiple Reporting Student ID	Resubmit Data Request with corrected Student ID

### **Data Requests**

<b>Problem</b>	<b>Solution</b>
Data Request is rejected because of invalid MRR Institution Pell ID entered on Data Request that is requesting MRR records for a specific school	Resubmit Data Request with the corrected Institution Pell ID
Data Request is rejected because Student ID requested on Multiple Reporting Record is not originated at Requesting School	Verify the correct student ID was entered If correct, then requesting school must submit origination for student before requesting MRR information

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# Edit Codes

## Edit Codes At-A-Glance

The following tables present, at-a-glance:

- Edit and reject codes for batch edits,
- Origination edits,
- Data request edits,
- Disbursement edits, and
- School data edits.

An expanded version of the Edit Code Tables that include Edit Codes, What They Mean, How to Fix Them as well as Technical Edit information may be found in Appendix D.

**Note:** The 500 series of edit codes has been eliminated for 2001-2002.

## Batches

Edit Code types are: E=Reject, W=Warning, D=Duplicate.

<b>Edit Code</b>	<b>Message</b>	<b>Type</b>
201	Missing /Mismatched Grant Batch Header.	E
202	Missing /Mismatched Grant Batch Trailer.	E
203	Duplicate Grant Batch Header.	E
204	Reserved for Future Use.	
205	Reserved for Future Use.	
206	Data Record Length must be numeric.	E
207	Reported Number of Records must be numeric.	E
208	Reported Total of Batch must be numeric.	E
209	Invalid /Missing Batch Number.	E
210	Year must be numeric.	E
211	Pell ID must be numeric.	E
212	Pell ID invalid or not found.	E
213	Creation date must be numeric.	E
214	Creation time invalid.	E
215	Batch Type Invalid.	E
216	Grantee DUNS does not match the Institution's Reporting Pell ID in Batch Number for Award Years prior to 2001-2002.	W
217	Discrepancy between different records with identical batch number.	E
218	Reported Number of Records does not equal count of detail records.	W
219	Total of Batch does not equal computed total of detail record amounts.	W
220	Reported Sign Indicator must be a valid indicator.	W
221	Reporting Campus Pell Institution ID is a branch.	E
222	<del>School</del> <b>Institution</b> is currently ineligible upon receipt of batch at RFMS.	W
223	Reserved for Future Use.	

## Batches (Continued)

Edit Code types are: E=Reject, W=Warning, D=Duplicate.

Edit Code	Message	Type
224	Invalid Message Class.	E
225	Data Record Length is not valid for Message Class.	E
226	Batch type code in Batch Number must equal record type for message class.	E
227	Batch Create Date is greater than current system date.	E
228	Batch Number indicates you have included a batch with data from a different Award Year.	E
229	Batch submitted prior to system start-up date.	E
230	Disbursements submitted prior to award year start date.	E
231	Reporting <del>School</del> <b>Institution</b> must send Special Disbursement for award years prior to 2001 - 2002.	E
232	No detail records in Batch.	E
233	Invalid Destination Mailbox ID.	E
234	Reserved for future use.	N/A
235	<b>For</b> Award Year 2000-2001 <del>or</del> <b>and</b> prior. <del>and</del> <b>Blank</b> Output Media Type. Set to Media Type that was received.	W
236	Trailer Message Class does not match the Header.	E
238	Trailer Destination Mailbox ID does not match the Header.	E
239	<del>School</del> <b>Institution</b> is not using the latest release of EDEExpress.	W
240	OPE ID Number does not match the Institutions Reporting Pell ID in the Batch Number for Award Years after 2000-2001.	W

## Originations

Edit Code Types: E-Reject, W-Warning, D-Duplicate

Edit Code	Message	Type
301	Invalid Origination ID.	E
302	Duplicate Origination for Award Year 2000-2001 and before.	E
303	Invalid Original SSN or Name Code resulting in RFMS being unable to match with the Applicant record for Award Year 2001 and before; OR Invalid Original SSN resulting in RFMS being unable to match with the Applicant record for Award Year 2001-2002 <i>and beyond</i> .	E
304	Attending and Reporting/Funded campus mismatch or Origination Identifier Pell ID mismatch with Attended campus Pell ID.	E
305	Invalid Award Amount / Correction Applied.	W
306	Invalid Disbursement Date / Correction Applied.	W
307	Invalid Enrollment Date / Correction Applied.	W
308	Invalid low tuition & fees code / Correction Applied.	W
309	Invalid Verification Code / Correction Applied.	W
310	Invalid Incarcerated Federal Pell Recipient code / Correction Applied.	W
311	Invalid Transaction Number.	E
312	Invalid Expected Family Contribution.	E
313	Invalid Secondary Expected Family Contribution / Correction Applied.	W
314	Invalid Academic Calendar / Correction Applied.	W
315	Invalid Payment Methodology / Correction Applied.	W
316	Invalid Number of Payment Periods / Correction Applied for Award Year 2001-2002 <i>and before</i> .	W
317	Invalid Cost Of Attendance / Correction Applied.	W
318	Invalid Enrollment Status / Correction Applied.	W
319	Invalid Weeks of Inst. Time in program's definition of Academic Year / Correction Applied.	W
320	Invalid Weeks of Inst. Time used to calculate payment / Correction Applied.	W
321	Invalid <del>C</del> <i>Credit or</i> Clock hrs in program's definition of academic year / Correction Applied.	W
322	Invalid <del>C</del> <i>Credit or</i> Clock hrs in all payment periods expected to complete this school year / Correction Applied.	W

## Originations (Continued)

Edit Code Types: E-Reject, W-Warning, D-Duplicate

Edit Code	Message	Type
323	Origination is 'Over Paid' and negative disbursement is expected.	W
324	Invalid Name Code resulting in RFMS being unable to match with the Applicant record, or does not equal the name code in the Origination ID, for Award Year 2001-2002 and beyond.	E
325	Invalid Origination ID - Pell ID is non-numeric for Award Year 2001-2002 and beyond.	E
326	Invalid Origination ID - Invalid Award Year for the Batch for Award Year 2001-2002 and beyond.	E
327	Invalid Origination ID - Sequence Number is not "00" for Award Year 2001-2002 and beyond.	E
328	Invalid Origination ID - SSN is non-numeric, or is not $\geq$ 001010001 and $\leq$ 999999999 for Award Year 2001-2002 and beyond.	E
329	Invalid Origination ID - Name Code not A-Z or '.' Or '' or '-' , or "" for Award Year 2001-2002 and beyond.	E
330	Duplicate SAR ID may be shared by two students for Award Year 2001-2002 or beyond.	W
331	Duplicate Origination for Award Year 2001-2002 and beyond.	D
399	New Origination award or increase received after end of processing year and institution has not been granted Administrative Relief.	E

## Disbursements Edit Codes and Messages

Edit Code Types: E = Reject, W = Warning, D = Duplicate

Edit Code	Message	Type
401	Invalid Origination ID.	E
402	Origination ID Does not match on RFMS.	E
403	Disbursement Reference Number Already on File.	E
404	Debit/Credit Indicator Flag Not Valid.	E
405	Disbursement Amount Not Valid because amount is non-numeric.	E
406	Disbursement Amount Is Not In Valid range.	W
407	Disbursement Date is Not Valid Date because date is non-numeric.	E
408	Disbursement Date is Not Valid for Processing Date, not in valid range, or not in valid RFMS date format.	E
409	<b><i>Reserve for future use.</i></b>	E
410	Potential Concurrent Enrollment – Multiple Reporting. <del>Record s</del> Sent separately.	W
411	Potential Overaward Project - Multiple Reporting. <del>Record s</del> Sent separately.	W
412	Negative disbursement cannot be accepted without a previous positive disbursement.	E
413	Insufficient negative disbursement amount. Negative disbursement is expected for difference amount.	W
414	Origination is in “Overpaid” status. Positive Disbursement cannot be accepted.	E
415	Institution Eligibility Status indicates the <del>school</del> <b><i>institution</i></b> must submit a Special Disbursement record and Award Year is 2000 – 2001 or prior.	E
416	Negative disbursement adjusted to reflect accepted previous disbursement balance.	W
417	Disbursement submitted after end of processing year and <del>school</del> <b><i>institution</i></b> has not been granted administrative relief	E
418	Origination indicates Verification Status 'W', disbursement adjusted to the Origination Award Amount or 50% of the Scheduled Award Amount, whichever is lesser, and Award Year is 2000 – 2001 or prior.	W

## Disbursements Edit Codes and Messages (Continued)

Edit Code Types: E = Reject, W = Warning, D = Duplicate

Edit Code	Message	Type
419	Origination indicates Verification Status 'W' and Award Year is 2000 – 2001 or prior. <i>Verification 'W' needs to be updated on the origination record in RFMS.</i>	W
420	Origination indicates Verification Status 'W', only one disbursement allowed, and Award Year is 2000 – 2001 or prior.	E
421	Disbursement generated after Verification Deadline Date and Award Year is 2000 – 2001 or prior.	E
422	<del>School</del> <i>Institution</i> is eligible, Payment Period Start Date is invalid or not in a valid range and Award Year is 2001 – 2002 or beyond.	W
423	<del>School</del> <i>Institution</i> is not eligible, Payment Period Start Date is invalid or not in a valid range and Award Year is 2001 – 2002 or beyond.	E
424	<del>School</del> <i>Institution</i> is not eligible, Payment Period Start Date is not in the eligible range and Award Year is 2001 – 2002 or beyond.	E
425	Invalid Origination ID - Pell ID is non-numeric for Award Year <del>2001-</del> 2002 and beyond.	E
426	Invalid Origination ID - Invalid Award Year for the Batch for Award Year <del>2001-</del> 2002 and beyond.	E
427	Invalid Origination ID - Sequence Number is not "00" for Award Year <del>2001-</del> 2002 and beyond.	E
428	Invalid Origination ID - SSN is not $\geq 001010001$ and $\leq 999999999$ for Award Year <del>2001-</del> 2002 and beyond.	E
429	Invalid Origination ID - Name Code not A-Z or '.' Or '' or '-', ' ', or "" for Award Year <del>2001-</del> 2002 and beyond.	E
430	Duplicate Disbursement reference number. Reference number already at RFMS. <del>For Award Year 2001-2002 and beyond.</del>	D
431	Award Year is <del>2001-</del> 2002 or greater and the Disbursement Reference number is nonnumeric or NOT between 01 <del>and to</del> 90.	E
432	Disbursement amount would have been corrected to zero by RFMS calculations so the Disbursement record was rejected.	E
440	CMO rejected this student for inadequate/missing eligibility documentation / information.	E

## Disbursements Edit Codes and Messages (Continued)

Edit Code Types: E = Reject, W = Warning, D = Duplicate

<b>Edit Code</b>	<b>Message</b>	<b>Type</b>
441	CMO rejected this student for inadequate/missing fiscal documentation / information.	E
442	CMO rejected this student for inadequate/missing award or disbursing documentation / information.	E
443	CMO rejected this student for not meeting reporting requirements.	E
444	CMO rejected this student for failure to comply with requirements.	E
445	CMO rejected this student for inadequate or missing documentation.	E

**Note:** The 500 series of edit codes has been eliminated for 2001-2002.

## Data Requests

Edit Code Types: E = Reject, W = Warning, D = Duplicate

<b>Edit Code</b>	<b>Message</b>	<b>Type</b>
601	Invalid Attended Pell ID	E
602	Invalid Data Request Type	E
603	Invalid Requested Output Media Type	E
604	Invalid Pell Batch Number	E
605	Invalid Multiple Reporting Request Code 1, should be 'O' or 'D'	E
606	Invalid Multiple Reporting Request Code 2, should be 'A', 'S' or 'I'	E
607	Invalid MRR Student ID	E
608	Invalid MRR Institution ID	E
609	Requested/Matching Data Not Found	E
610	Student Not Originated at Requesting <del>School</del> <i>Institution</i>	E
611	Invalid Reconciliation <del>Student</del> <i>Origination</i> ID	E

## School Data

Reject Code	Error Message	Type
701	Invalid Attending Pell ID- <i>an invalid Pell ID number was submitted</i>	E
702	Invalid State in mailing address- <i>a missing or invalid state was submitted in the mailing address</i>	E
703	FAA phone number not numeric- <i>the telephone number contained blanks or non-numeric characters (such as a dash)</i>	E
704	FAA fax phone number not numeric- <i>the telephone number contained blanks or non-numeric characters (such as a dash)</i>	E
705	Invalid Institution Type- <i>institution type was not 1-5</i>	E
706	Invalid Financial Control Code- <i>financial control code is invalid</i>	E
707	Invalid Academic Year Code- <i>Academic year code is invalid</i>	E
708	Invalid Weeks in institution academic year- <i>the number of weeks in the academic year is invalid (payment methodology and academic calendar indicate a term-based school, not a clock hour school)</i>	E
709	Invalid Credit/Clock hours in institution academic year- <i>the number of clock hours in the academic year is invalid (payment methodology and academic calendar indicate a term-based school, not a clock hour school)</i>	E
710	No input data or data matched current data in RFMS- <i>no data sent or data had no changes with data on file</i>	W

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## Federal Pell Grants Web site

### Location

The Federal Pell Grants Web site can be accessed at:

<http://www.pellgrantsonline.ed.gov>

### What's Available

To improve school access to RFMS, schools can verify batch status, submit data requests, or enter institution data records via the Internet. In addition, the schools can enter post-deadline records via this interface.

The Internet access to RFMS is available 24 hours a day, 7 days a week.

### ***General Process for School Access via the Internet/WWW***

To access the RFMS Web site, perform the following steps:

- 1) Type the following Web address or click on the hyperlink below:

<http://www.pellgrantsonline.ed.gov>

- 2) When connected, at the prompt that appears, type:

Pell ID: ENTER PELL ID

User ID: ENTER TG NUMBER

Password: ENTER PASSWORD

You will then have the choice to click “LOG ON” to log into the system, or to click “Reset” to clear all of the fields and start again. At the bottom of the screen is another option for the first time user “First time user [Click here](#)”.

If you are a first time user, click on the “First time user” icon and the User Registration form will appear. You must enter the following information in this form:

Pell ID: ENTER INSTITUTION ID

User ID: ENTER TG NUMBER

Social Security Number: ENTER SOCIAL SECURITY NUMBER (Do not include dashes)

Date of Birth: ENTER DATE OF BIRTH (MM/DD/CCYY)  
(Must include slashes)

Mother Maiden Name: ENTER MOTHER’S MAIDEN NAME

Once the required information has been entered, you (as the new user) then clicks on “SUBMIT” at the bottom of the form to complete the registration and log into the system.

If you experience a problem with their Pell Grants Online User ID or Password, or want to obtain a new User ID and Password, you should call the Federal Pell Grant Hotline at 1-800-4PGRANT or 1-800-474-7268.

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# Information for New Schools and FAAs Participating in the Federal Pell Grant Program

## Introduction

The goal of this section is to provide an overview of the SAIG and the Grants Administration and Payment System (GAPS) as well as to provide basic process information for schools just entering the Federal Pell Grant Program and new FAAs. to follow for Pell origination and disbursement reporting.

At the end of this section is information to assist new schools and FAAs in getting started with their participation in the Federal Pell Grant Program.

## Grant Administration and Payment System (GAPS)

The Grant Administration and Payment System (GAPS) is a financial subsystem that is part of the Department's larger Education Central Automated Processing System (EDCAPS).

GAPS provides on-line capabilities for grant recipients to request payments and access their account to obtain their most current payment information.

## Student Aid Internet Gateway (SAIG)

The TIVWAN links thousands of network nodes/destination points across the United States, its territories, and certain ED-designated foreign countries to the Higher Education Act Title IV student financial aid programs and delivery systems.

Destination points communicate with the SAIG using a PC or mainframe computer to transmit and receive data.

Destination points are postsecondary education schools, financial aid servicers, guaranty agencies (GAs), lenders, ED headquarters, and regional office personnel, ED Title IV Application System, state scholarship and financial aid organizations, other federal agencies, and ED-designated entities.

## **Origination Reporting**

The Origination Record establishes a student's eligibility and annual Federal Pell Grant award in RFMS.

- Origination Records are prepared and submitted by schools to RFMS using EDEExpress software, a third-party software, or the school's own software.
- If a batch of Origination Records is submitted with a batch of Disbursement Records, RFMS processes the batch of Origination Records first.
- Origination Record data is received and edited by RFMS to ensure that the student is eligible to receive the reported amount of Federal Pell Grant funds and to establish the student account in the RFMS.

## **Origination Acknowledgment Records**

After RFMS edits the Origination data, it returns the accepted, corrected, duplicate, or rejected values for each Origination Record in an Origination Acknowledgement record.

- The Origination Acknowledgement record contains the acceptance status of the record; the accepted value for each data item, and comment codes for any corrections, warning messages, or rejections.
- The Origination Acknowledgement record also contains an RFMS-calculated student scheduled award.

The school uses the Origination Acknowledgement record to update the Origination Record in their database.

Every recipient must have an accepted Origination Record on file before a disbursement request can be processed.

- Schools can send the Origination Records and Disbursement Records at the same time for the same students because RFMS will always process the Origination Records first. When the Disbursement Records are processed, the just-processed Origination Records will be on file.
- If the Origination and Disbursement Records are submitted at the same time and the Origination Record is rejected, the Disbursement Record will also reject.

If an Origination Record is rejected at batch level then the program retains no records in the rejected batch. The Origination Record Batch Reject Reasons field, position 77-100 of the Grant Batch Header record indicates the specific reject batch reasons.

Origination Records can be submitted anytime after a school receives an Institutional Student Information Record (ISIR) from the Central Processing System (CPS) or a Student Aid Report (SAR) from the student, or before or with a Disbursement Record.

- Schools are encouraged to send Origination Records to RFMS early so that records can be edited and problems resolved before you are ready to make disbursements to students.
- Schools are also encouraged to submit whole dollar award amounts (with zero cents) in Origination Records.

However, cents can be reported in RFMS Origination Records but the value will be truncated in RFMS.

**Example:**

If you want to disburse \$1,162.78 then you should submit \$1,163.00 as the annual award amount on the Origination Record.

**Note:** Remember that the total of a student's disbursements can never exceed the student's maximum scheduled Federal Pell Grant award.

## **Disbursement Reporting**

Disbursement Records are used to report student Pell Grant disbursement data to ED. They also determine and commit the amount of Federal Pell Grant funding available to each school.

As in prior award years, Advance-Funded schools receive an initial authorization as start-up funding.

### **Example:**

If the initial authorization amount established by the Department is \$100,000 and the school reports disbursements totaling \$101,000, that school's authorization will increase by \$1,000.

Schools will receive an Electronic Statement of Account (ESOA) for each adjustment to their authorization that exceeds the initial authorization or each negative disbursement that decreases the authorization.

Through award year 2000-2001 there were two types of Disbursement Records:

- Regular Disbursement Record - This record is used by advance funded or Just-In-Time Pilot schools.
- Special Disbursement Record – a record that included regular disbursement and additional payment-period-specific data. This record was discontinued for the 2001-2002 award year and was previously used by schools that were placed on either the reimbursement or cash monitoring payment methods by ED or schools that ceased to participate in the Federal Pell Grant program sometime during the award year.

As of the 2001-2002 award year, the Special Disbursement Record was discontinued and now all disbursements are submitted with the regular Disbursement Record.

Schools prepare and submit disbursement records to RFMS for each disbursement made to a recipient, using EDEExpress or their own software. Each student Disbursement Record must have a unique reference number. In assigning these numbers, it is recommended that schools start with number one (01) for a student and use consecutive numbers for each additional disbursement transaction submitted to the Department for that student.

RFMS checks the Disbursement Record against accepted Origination Records.

- If an Origination Record match is not found, RFMS rejects the Disbursement Record.
- If a disbursement is greater than the accepted Origination Record annual award or 100% of the student's eligibility across all schools, RFMS adjusts it downward or rejects the record.

## **Disbursement Acknowledgement Records**

After RFMS processes Disbursement Records for a school, it sends the school a disbursement acknowledgement. These acknowledgements provide schools with an accurate and timely status of their accepted Federal Pell Grant disbursements. With this information, schools can reconcile their Disbursement Records with the Department.

Disbursement Records can be submitted with or after an Origination Record and 30 days before the disbursement date if the school is advanced funded, or 5 days if the school is Just-In-Time funded. Schools on Reimbursement or Cash Monitoring submit Disbursement Records after the disbursement has been made to the student.

Dollars and cents are used in the disbursement amount field. Schools must be able to create and receive records that contain two digits for cents. However, unlike the Origination Record, RFMS will accept the cents values sent in Disbursement Records.

**Example:**

If a school submits a disbursement amount of \$1,562.50, RFMS will accept \$1,562.50 as the disbursement amount. RFMS will not fill the cents positions with zeros in the Disbursement Record.

- Schools are required to submit student disbursement data within 30 days of making a payment or becoming aware of the need to make an adjustment.
- Schools do not correct Disbursement Records, instead they should submit Disbursement Records with either a “P” (for positive) or an “N” (for negative) in the Debit/Credit Indicator field to adjust the total amount of disbursements previously accepted for the student.
- The reporting of disbursements is transaction based.
- RFMS does not change previously accepted disbursement data.

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## Getting Started

The following information should be reviewed carefully. It provides an outline of the services available to schools participating in the Federal Pell Grant Program.

The following information is unique to your school:

- Assigned Federal Pell Grant Institution Number
- Assigned 2001-2002 Federal Pell Grant Program Initial Authorization Amount
- Assigned DUNS Number

### Hotlines

#### ***User Support Hotline***

The Federal Pell Grant program provides a toll free User Support Hotline from 8 a.m. – 8 p.m. (ET). The number for the hotline is:

**1-800-4PGRANT  
(1-800-474-7268)**

The toll free number allows school representatives to speak with a Customer Service Representative who will provide technical assistance concerning Federal Pell Grant products and processing services.

#### ***ED GAPS Hotline***

If schools have questions concerning their drawdowns, available balances, or their bank accounts, they should contact the ED GAPS Hotline at:

**1-888-336-8930**

Please make sure that your school has an established bank account in GAPS as well as a Payee DUNS number. Otherwise, your funding authorizations will not process.

### ***Dunn & Bradstreet***

For any discrepancies regarding DUNS numbers, please call Dunn & Bradstreet at:

**1-800-234-3867**

### ***Customer Support Inquiry Services***

For additional information regarding SFA policy-related issues and the IFAP Web page, you can contact the U.S. Department of Education Customer Support Inquiry Services at:

**1-800-433-7327**

## **Web Sites**

### ***Information for Financial Aid Professionals (IFAP)***

The Department provides an ED Web Site for FAAs: IFAP or Information for Financial Aid Professionals:

**<http://www.ifap.ed.gov>**

This Web site provides information about Title IV Programs along with regulations, bulletins and notification letters associated with the programs.

### ***RFMS/Pell Grants Online***

The Department also offers another Web site (RFMS/Pell Grants Online):

**[www.pellgrantsonline.ed.gov](http://www.pellgrantsonline.ed.gov)**

Destination Point Administrators who are signed up for Pell processing can access this site with the Pell Online User ID and password.

## **Additional Information**

For a complete listing of Sources of Assistance, please refer to the Overview, “Sources of Assistance” section of this Technical Reference.

# Combination Systems

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## Introduction

This section contains technical information that enables a school to use a combination of the U.S. Department of Education's EDEExpress for Windows software and the institution's administrative software to process Federal Pell Grant program data. It provides the essential record layouts that are appropriate for use with combination systems setup.

The file layouts in this section are used to:

- Import data from another institutional system into the EDEExpress database to create or update Pell origination and Pell disbursement records.
- Export origination and disbursement records from EDEExpress that will be used by other institutional systems.

### **Pell Student Information Systems**

You can import student data from your campus system into EDEExpress. You can also export records from the EDEExpress database into a file that is then imported into your campus system. For example, information from your institution's financial aid packaging system can be imported into EDEExpress to originate Pell records; likewise, Pell disbursement records can be exported from EDEExpress into your institution's system. Your business office can use this information to reconcile the school's disbursements with RFMS accepted disbursement data.

## **EExpress with Internal or Vendor Software**

You can use some of the functions in EExpress in conjunction with your own internal system or with vendor-provided software. The process allows you to quickly add and update both origination records and disbursement records using a combination of EExpress and your third-party software functionality.

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## Using Record Layouts

Schools can import origination and disbursement data from their external system using the record layouts. There are two record layouts to assist combination schools with the Pell Payment process:

- External Origination Add/Change record has a message class of PGEO02OP and a record length of 309 characters.
- External Disbursement Add/Change record has a message class of PGED02OP and a record length of 108 characters.

**Note:** A change to an origination or disbursement record is supplied in the same format. A change to an origination record applies to the entire award period.

### Origination ID

The key for the message file types is the Origination ID with the following elements:

1		3		5
999999999	XX	2002	999999	00
	2		4	

- 1 Positions 1 to 9 characters are the SSN with a valid range of 001010001-999999999.
- 2 Positions 10 to 11 are the Name Code.
- 3 Positions 12 to 15 are the Year Indicator with a valid range of 2002.
- 4 Positions 16 to 21 are the Valid Attended Campus Pell ID.
- 5 Positions 22 to 23 are the Origination Sequence Numbers, which must be 00.

Each institutional system has unique requirements for importing data files. Because of this, export files are created without header or trailer records attached. These export files are in ASCII format and the end of each record is marked with carriage return and line-feed characters (ASCII 13 and 10). There is no end of file marker (EOF); only the final carriage return/line feed marker after the last record.

Similarly, EDEExpress receives data from external systems without a header and trailer record but does require ASCII format where the end of each record is marked with carriage return/line feed characters (ASCII 13 and 10). Again, there is no end of file marker (EOF); only the final carriage return/line feed marker after the last record.

**Note:** If the import file is incorrectly formatted without the carriage return/line feed, the import fails and the following error message displays: “Invalid record length. Check import file format.”

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## Combination Record Layouts

What's included:

- External Origination Add/Change Record Description
- External Disbursement Add/Change Record Description

These record layouts are used to add and change origination records and disbursement records in the EDEExpress software. They are not sent to RFMS.

### External Origination Add/Change Record

This layout designates the data elements that are required for the origination record type. It is to be used by external automated systems to add and change origination records in EDEExpress' database. The detail of each record is based upon a set of predefined field elements. The software creates message class PGEO02OP as a final result.

**Note:** A change to the Origination record is supplied in the same format. Changes apply to the entire award period.

Categories for the origination record layout are as follows:

- **Start** – First position of the field.
- **End** – Last position of the field.
- **Length** – Sum of the positions assigned to a field.
- **Type** – Alpha (A) or Numeric (N) character that indicates the required value for the field.
- **Field Name** – General term that acknowledges the field.
- **Description** – Explanation that gives clear purpose of the use of the field.
- **Valid Values** – Predefined content that satisfies processing requirements to be used in the field. A “blank” listed as a valid value also indicates that the data element is not a required field. Elements other than those described will be rejected by the software.
- **Processing Notes/Edits** – Comments related to the process that merit attention.

## External Origination Add/Change Record (PGE002OP)

Start	End	Length	Type	Field Name	Description	Valid Values	Processing Notes/Edits
1	23	23	A/N	Origination ID	Unique number used to identify an origination.	Format: 999999999XX2002999 99900  Where: SSN - 001010001 to 999999999 Name Code = XX Year Indicator = 2002 Valid Attended Pell ID = 999999 Orig Sequence Number = 00	
24	32	9	N	Original SSN	Student's SSN from original FAFSA.	001010001 to 999999999	
33	34	2	A	Original Name Code	Student's name code from original FAFSA.	Uppercase A to Z . (period) ' (apostrophe) - (dash) Blank (no last name)	
35	40	6	N	Attended Campus Pell-ID	Pell-ID of attended campus. Change creates new origination record. Institution must change award amounts for student at original attended campus as necessary.	Valid Pell-ID	<i>Change creates new origination record.</i>
41	45	5	A/N	<del>ED Use</del> Unused	Reserved for future expansion.	<del>Constant</del> Spaces	
46	58	13	A/N	Institution cross-reference	This field can contain any cross-reference information useful to the institution to identify student records internally.	Institution defined	No editing is applied.
59	59	1	A	Action Code	Code to indicate action to be taken.	Will always be blank	No editing is applied.

## External Origination Add/Change Record (PGE002OP) (Continued)

Start	End	Length	Type	Field Name	Description	Valid Values	Processing Notes/Edits
60	60	1	A	Unused	Reserved for future expansion	Constant spaces	
61	67	7	N	Award amount for entire school year  <b>Note:</b> Field Name is "Origination Award Amount for the Entire School Year" in EDEExpress Software.	Must equal the award amount calculated by the institution to be disbursed to this student for attendance for this entire Pell Grant award year.	Dollars and cents. Use leading zeros and report cents as '00'; do not include the \$ sign or decimal point.  Range = 0000000 to Award Amount Maximum	Cannot exceed Total Payment Ceiling - award validation performed.  Increases must be submitted to RFMS.  Any change to origination data requires the Award Amount to be validated.  Refer to Edits 1200, 1205, 1209, 1210, 1211, 1213, and 1450.
68	75	8	N	Estimated Disbursement Date #1	Date 1st disbursement to student will be made	CCYYMMDD =  Range=N days prior to DISBURSEMENT START DATE (20010701) to DISBURSEMENT END DATE (20070930).	
76	83	8	N	Estimated Disbursement Date #2	Date 2nd disbursement to student will be made	CCYYMMDD =  Range = [see field position 68 in this record] or BLANK	
84	91	8	N	Estimated Disbursement Date #3	Date 3rd disbursement to student will be made	CCYYMMDD =  Range =[see field position 68 in this record] or BLANK	
92	99	8	N	Estimated Disbursement Date #4	Date 4th disbursement to student will be made	CCYYMMDD =  Range =[see field position 68 in this record] or BLANK	

## External Origination Add/Change Record (PGE002OP) (Continued)

Start	End	Length	Type	Field Name	Description	Valid Values	Processing Notes/Edits
100	107	8	N	Estimated Disbursement Date #5	Date 5th disbursement to student will be made	CCYYMMDD = Range =[see field position 68 in this record] or BLANK	
108	115	8	N	Estimated Disbursement Date #6	Date 6th disbursement to student will be made	CCYYMMDD = Range = [see field position 68 in this record] or BLANK	
116	123	8	N	Estimated Disbursement Date #7	Date 7th disbursement to student will be made	CCYYMMDD = Range = [see field position 68 in this record] or BLANK	
124	131	8	N	Estimated Disbursement Date #8	Date 8th disbursement to student will be made	CCYYMMDD = Range = [see field position 68 in this record] or BLANK	
132	139	8	N	Estimated Disbursement Date #9	Date 9th disbursement to student will be made	CCYYMMDD = Range = [see field position 68 in this record] or BLANK	
140	147	8	N	Estimated Disbursement Date #10	Date 10th disbursement to student will be made	CCYYMMDD = Range = [see field position 68 in this record] or BLANK	
148	155	8	N	Estimated Disbursement Date #11	Date 11th disbursement to student will be made	CCYYMMDD = Range = [see field position 68 in this record] or BLANK	
156	163	8	N	Estimated Disbursement Date #12	Date 12th disbursement to student will be made	CCYYMMDD = Range = [see field position 68 in this record] or BLANK	
164	171	8	N	Estimated Disbursement Date #13	Date 13th disbursement to student will be made	CCYYMMDD = Range = [see field position 68 in this record] or BLANK	

## External Origination Add/Change Record (PGE002OP) (Continued)

Start	End	Length	Type	Field Name	Description	Valid Values	Processing Notes/Edits
172	179	8	N	Estimated Disbursement Date #14	Date 14th disbursement to student will be made	CCYYMMDD = Range = [see field position 68 in this record] or BLANK	
180	187	8	N	Estimated Disbursement Date #15	Date 15th disbursement to student will be made	CCYYMMDD = Range = [see field position 68 in this record] or BLANK	
188	195	8	D	<b>Enrollment Date</b>	<b>First date that the student was enrolled in an eligible program for the designated school year. If the student enrolled in a crossover payment period before the first day of the Pell Award Year (July 1), but which will be paid from 2001-2002 funds, report the actual start date of the student's classes for that payment period.</b>	<b>CCYYMMDD:</b> <b>Range: 20010101 – 20020630</b>	
196	196	1	A/N	Low Tuition & Fees code	Flag to identify tuition ranges when the annual tuition is less than or equal to minimum defined by low tuition and fees table.	<u>Value Tuition Range</u> 1= 0 2= 1 - 262 3= 263 - 524 or BLANK: low tuition does not apply	
197	197	1	A	Verification Status code	Status of verification of applicant data by the school.	A= Accurate C= Calculated N= SAR Transaction Not Selected by CPS for Verification Process R= Reprocessed S= SAR Transaction Selected by CPS for Verification Process but 30% Requirement met or Institution is a Quality Assurance Program Participant T= Tolerance W= Without Documentation	Refer to Edits 1300 and 1301.

### External Origination Add/Change Record (PGE002OP) (Continued)

Start	End	Length	Type	Field Name	Description	Valid Values	Processing Notes/Edits
198	198	1	A	Incarcerated Federal Pell Recipient code	Students incarcerated in local penal institutions are not eligible to receive Federal Pell grants.	BLANK= Not incarcerated  Y= Yes, the student is incarcerated in a local institution, but is otherwise eligible.  N= No, if student previously reported as incarcerated, but is not or is no longer incarcerated	

## External Origination Add/Change Record (PGE002OP) (Continued)

Start	End	Length	Type	Field Name	Description	Valid Values	Processing Notes/Edits
199	200	2	N	Transaction number	Transaction number from eligible SAR used to calculate award.	01 to 99	<i>Changes to this field after associated disbursements are made create a new active origination record. Disbursements for the previous origination will be set to zero.</i>
201	205	5	N	Expected Family Contribution (EFC)	Must equal the student's Expected Family Contribution from the ISIR or SAR.	Range = 00000 to EFC MAXIMUM.	<i>Changes to this field after associated disbursements are made create a new active origination record. Disbursements for the previous origination will be set to zero</i>
206	206	1	A	Secondary Expected Family Contribution code	Code indicating which EFC value is used to determine award amount.	O - Federal Pell Grant award previously based on the secondary EFC and reported to the Federal Pell Grant program; student's award now based on the primary EFC. S = Federal Pell Grant award based on the secondary EFC, as calculated by the CPS. BLANK if Secondary EFC not used	<i>Changes to this field after associated disbursements are made create a new active origination record. Disbursements for the previous origination will be set to zero</i>

## External Origination Add/Change Record (PGE002OP) (Continued)

Start	End	Length	Type	Field Name	Description	Valid Values	Processing Notes/Edits
207	207	1	N	Academic Calendar	Calendar which applies to this student's educational program. Must be valid or system accepted to process record.	1= Credit Hours - non-standard terms 2 = Credit Hours - standard terms of quarters 3 = Credit Hours - standard terms of semesters 4 = Credit Hours - standard terms of trimesters 5 = Clock hours 6 = Credit Hours without terms	Academic calendar dictates which Payment Methodology can be accepted. Used in award amount recalculation.  <b><i>If one of the following changes occur and associated disbursements have been processed, a new active origination record is created. Payments for the previous origination will be set to zero.</i></b>  <u>From AC – To AC</u> 1 to 2, 3, 4, or 5 2, 3, or 4 to 1 or 5 5 to 2, 3, 4, or 6 6 to 1 or 5

## External Origination Add/Change Record (PGE002OP) (Continued)

Start	End	Length	Type	Field Name	Description	Valid Values	Processing Notes/Edits
208	208	1	N	Payment Methodology	Formula used to calculate the student's Federal Pell grant.	<p>1= (a)Credit hour with standard terms in which total weeks of instructional time Fall through Spring terms equal or exceed 30 weeks, or have been granted waiver; or (b) School offers a summer term in addition to fall through spring terms, could calculate awards using Formula 1 or 2 and chooses to perform alternate calculation (AC= 2,3, or 4)</p> <p>2 = Credit hour with standard terms in which total weeks of instructional time Fall through Spring terms are less than 30 weeks, has not been granted waiver. Institution does not use alternate calculation (AC= 2,3, or 4)</p> <p>3 = Credit hour with standard or non-standard terms (AC=1,2,3, or 4)</p> <p>4 = Clock hour or Credit hour without terms (AC= 5 or 6)</p> <p>5 = Programs of study by correspondence (AC= 1,2,3, or 4 denotes Formula 5B AC=5&amp; 6 denotes Formula 5A)</p>	<p>The Payment Methodology dictates the data required for Enrollment status, Weeks of instructional time, Weeks of instructional time in academic year, Credit/Clock Hours expected to complete, Credit/Clock Hours in academic year.</p> <p>Used in award amount <del>validation</del> <b>recalculation</b>. Academic Calendar and Payment Methodology must be logically consistent.</p> <p><u>PM</u> <u>AC</u>  1 2, 3, or 4  2 2, 3, or 4  3 1, 2, 3, or 4  4 5 or 6  5 1, 2, 3, 4 or 6</p> <p>Refer to Edits 1000, 1001, 1002, 1003, 1004, 1005, 1006, and 1007.</p>

## External Origination Add/Change Record (PGE002OP) (Continued)

Start	End	Length	Type	Field Name	Description	Valid Values	Processing Notes/Edits
209	215	7	N	Cost of Attendance	<del>Must equal or exceed minimum COA in the Federal Pell Grant Payment Schedule. Must equal COA calculated by the institution following the Federal Pell Grant Payment Regulations.</del>	Dollars and cents. Use leading zeros; do not include the \$ sign or decimal point.  Range = 0000000 to 9999999.	Used in award amount recalculation.
216	216	1	N	Enrollment Status	<del>The code that applies to the</del> This student's expected enrollment status for the entire award year. The Enrollment Status 5 "Other" is used when the student's enrollment is "mixed" or student attends more than number of terms in a full academic year. Valid Values depend upon Academic Calendar and Payment Methodology fields. Changes to this field will be accepted for the entire award year. <b>For Payment Methodology 1,2,3, &amp; 5 must be valid.</b>	Blank (AC= 5 or 6) 1= Full-time (AC= 1, 2, 3, or 4 and Payment Methodology not equal to 5) 2= 3/4 time (AC= 1, 2, 3, or 4 and Payment Methodology not equal to 5) 3= 1/2 time (AC= 1, 2, 3, or 4) 4= Less than 1/2 time (AC= 1, 2, 3, or 4) 5= Other (AC= 1, 2, 3, or 4 and Payment Methodology not equal to 5)	Used in award amount validation. BLANK only if Payment Methodology is either Formula 4 or if Payment Methodology is Formula 5 and Academic Calendar is 6. <b>used in award amount calculation.</b> Refer to Edits 1400 and 1535.

## External Origination Add/Change Record (PGE002OP) (Continued)

Start	End	Length	Type	Field Name	Description	Valid Values	Processing Notes/Edits
217	218	2	A/N	Weeks of instructional time used to calculate payment	<p>Total Number of weeks on instructional time provided by this student's Program of Study during a full academic year.</p> <p>Valid Values depend upon Payment Methodology and Academic Calendar fields Must be completed when Payment Methodologies 2, 3, 4, or 5 are used.</p> <p>PM1= Blank</p> <p>PM2= Total number of weeks of instructional time in student's Program of Study's academic year (fall through spring terms).</p> <p>PM3 &amp; PM5B= Total number of weeks of instructional time in all terms in student's Program of Study's academic year.</p> <p>PM4 &amp; PM5A= Lesser of either (a) total number of weeks of instructional time for a full-time student to complete hours in student's program of study, or (b) total number of weeks of instructional time for a full-time student to complete hours in student's program of study's academic year.</p> <p>Institution determines this based on the time required for the majority of its full-time students to complete the program of study or the program of study's academic year, not student by student.</p>	Blank or 00 to 78	<p>Must be blank when using Payment Methodology 1.</p> <p><b><i>If incorrect, change to standard value. If supplied and not needed for Payment Methodology, ignore.</i></b></p> <p>Used in award amount recalculation.</p> <p>Refer to Edits 1100, 1101 and 1104.</p>

## External Origination Add/Change Record (PGEO02OP) (Continued)

Start	End	Length	Type	Field Name	Description	Valid Values	Processing Notes/Edits
219	220	2	A/N	Weeks of inst. time in program's definition of academic year	The number of weeks of instructional time in the program's academic year. For Payment Methodology 2,3,4&5 must be valid.	Blank or 30 - 78	Can be blank when using Payment Methodology 1. <b>If incorrect, change to standard value.</b> Used in award amount recalculation. <b>If supplied and not needed for Payment Methodology, ignore.</b> Refer to Edits 1102 and 1105.
221	224	4	A/N	Cr/Clock Hrs in Award Year	Total number of credit/clock hours in all payment periods institution expects this student to attend and be paid for during this Federal Pell Grant award year.	Blank or Ranges= 0000 to 3120 Academic calendar 5 0000 to 0100 Academic Calendar 6	Can be blank when using Payment Methodologies 1,2, 3, & 5. <b>If incorrect, change to standard value.</b> Used in award amount validation. <b>If supplied and not needed for Payment Methodology, ignore.</b> Refer to Edits 1107, 1111, 1120, and 1121.
225	228	4	A/N	Cr/Clock hours in this student's program of study's academic year  Max Cr/Clk Hrs in Prg for Acad Yr	Total number of credit or clock hours in the institution's definition of a full academic year for this student's Program of Study.	Blank or Range = 0900-3120 Academic calendar 5 0024-0100 Academic calendar 6	Can be blank when using Payment Methodologies 1,2, 3, & 5. <b>If incorrect, change to standard value.</b> <b>Used in award amount validation.</b> <b>If supplied and not needed for Payment Methodology, ignore.</b> Refer to Edits 1106, 1110, 1112, 1113, and 1114.
229	231	3	A/N	Institution Internal Sequence Number	This is an internal sequence number the institution can define.	Institution defined	No editing will be performed on this field.
232	258	27	A	Unused	Reserved for future expansion	<del>Constant Spaces</del> <b>Leave Blank</b>	

## External Origination Add/Change Record (PGE002OP) (Continued)

Start	End	Length	Type	Field Name	Description	Valid Values	Processing Notes/Edits
259	264	6	N	Reporting Campus Pell-ID	Pell-ID of reporting campus	Valid Pell-ID	
265	273	9	A/N	Student Current SSN	Social Security Number, as altered by the student <i>through CPS for the transaction number reported. This field equals the original SSN if the student has not changed SSN in the CPS. Blank indicates this record could not be matched on Student ID and/or EFC during Federal Pell Grant processing.</i>	Valid Social Security Number or BLANK if not matched	

## External Origination Add/Change Record (PGE002OP) (Continued)

Start	End	Length	Type	Field Name	Description	Valid Values	Processing Notes/Edits
274	302	29	A	Student Name	Student's full name <i>as reported to the CPS for the Transaction Number reported. Blank indicates this record could not be matched on Student ID and or EFC during Federal Pell Grant processing.</i>	BLANK or Full name listed in order= Last Name 01 - 16 First Name 17 - 28 Middle Initial 29	
303	303	1	A	CPS Verification Selection Code	Designates whether CPS selected the student for institutional verification of applicant data as of the Transaction number reported.	BLANK = Not selected by CPS for verification * = Selected by CPS for Institution verification of applicant data	
304	309	6	DA	Created Time	Time when the record was created. Supplied by the system.	000000 – 235959  Format is HHMMSS HH = 00 to 23 MM = 00 to 59 SS = 00 to 59	<i>Field is required to be populated only for those schools which cannot have a blank field in the last field of a record.</i>
		<b>309</b>		<b>Total Record Length</b>			

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## External Disbursement Add/Change Record

This layout designates the data elements that are required for the disbursement record type. It is to be used by external automated systems to add and change disbursement records in the EDEExpress database. The detail of each record is based upon a set of predefined field elements. The software creates a file with the default name or message class PGED02OP as a final result.

**Note:** A change to a disbursement record is supplied in the same format.

Categories for the disbursement record layout are as follows:

- **Start** - First position of the field.
- **End** - Last position of the field.
- **Length** - Sum of the positions assigned to a field.
- **Type** - Alpha (A) or Numeric (N) character that indicates the required value for the field.
- **Field Name** - General term that acknowledges the field.
- **Description** - Explanation that gives clear purpose of the use of the field.
- **Valid Values** - Predefined content that satisfies processing requirements to be used in the field. A “blank” listed as a valid value also indicates that the data element is not a required field. Elements other than those described will be rejected by the system.
- **Processing Notes/Edits** – Comments related to the process that merit attention.

## External Disbursement Add/Change Record (PGED02OP)

Start	End	Length	Type	Field Name	Description	Valid Values	Processing Notes/Edits
1	23	23	A/N	Origination ID	Unique number used to identify an origination	Format: 9999999999XX2002999 99900  Where: SSN - 001010001 to 999999999 Name Code = XX Year Indicator = 2002 Valid Attended PELL ID to 999999 Orig Sequence Number = 00	
24	36	13	A/N	Institution cross-reference	This field can contain any cross-reference information useful to the institution to identify student records internally.	Institution defined	The field can be used by the school to track each disbursement record (by <del>an alpha or numeric reference identifier</del> <b>a reference number</b> ) to a payment period.
37	37	1	A	Action Code	Action code	Will always be blank	No editing
38	39	2	N	Disbursement Reference Number	Number of the disbursement per student for the Award Year	01 to 90	Identifier 91 to 99 are reserved for ED-system generated disbursements
40	46	7	N	Disbursement Amount	Amount of disbursement for student's payment period.	Dollars and cents.  Use leading zeros; do not include the \$ sign or decimal point.  Range = 0000000 to AWARD AMOUNT	
47	47	1	A	Debit/ Credit Indicator Flag	Indicates whether the Reported Disbursement Amount is an increase or a decrease to the total amount that has been disbursed to the student for the award year	P = Positive N = Negative	
48	55	8	D	Disbursement Date	Date this disbursement was or will be made to the student.	CCYYMMDD Range = 20010621 to 20070930	Refer to Edits 1520, 1530, and 1540. <b>Must be within N days prior of Payment Period Start Date.</b>

## External Disbursement Add/Change Record (PGED02OP) (Continued)

Start	End	Length	Type	Field Name	Description	Valid Values	Processing Notes/Edits
56	56	1	A	Unused	Reserved for future expansion	Constant spaces	
57	64	8	<del>N</del> D	Payment Period Start Date	Beginning date of Payment Period	CCYYMMDD = Range = 20010101 to 20020630 <del>20020630</del> Or Spaces	Required only for schools that were ineligible at some point in the award year.
65	102	38	A	Unused	Reserved for future expansion	Constant spaces	
103	108	6	D	Created Time	Time when the record was created. Supplied by the system.	000000 – 235959 Format is HHMMSS HH = 00 to 23 MM = 00 to 59 SS = 00 to 59	<i>Field is required to be populated only for those schools which cannot have a blank field in the last field of a record.</i>
		<b>108</b>		<b>Total Record Length</b>			

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# Import Process and Edits in EExpress for Windows

## Import Process

External Origination Add/Change and External Disbursement Add/Change import options are used to bring student information into EExpress' Pell database. The external import files must be formatted in an ASCII format with a prescribed layout. The record layouts for these files are found earlier in this section as well as in the EExpress Pell module.

The External Add/Change files can be used to mass create or update Pell origination and disbursement records. Records can be set ready to batch upon importing these external files. EExpress requires that the Reporting Campus setup be completed and saved to the database before users will be allowed to import External Origination Add/Change or External Disbursement Add/Change files.

The Import dialog box displays a list of Import Types. Users must select either the External Origination Data or External Disbursement Data option. The command button brings up the Import from box, in which the default file location and name is filled in based upon the file selected. The system checks security access to filter and displays the selected import type.

Three options are available for the Output Destination: Printer, File, and Screen. At least one of the three must be active, and cannot be deselected. This is where the edit reports will print, if applicable.

The progression of the import process is contingent upon the user's response to subsequent prompt questions. These prompt questions are based upon the specific type of import that was previously selected.

### ***Prompt for Duplicates***

The software offers a "Prompt for Duplicates?" option. It is selected if the user wants to be warned whenever a duplicate record is found.

- If **yes** is checked, EExpress reminds the user each time a record already exists in the database and has the same Pell Origination ID as a record in the import file.
- If **yes** is not checked, the system defaults to the "Skip All" option.

The “Prompt for Duplicates?” option should be selected when users wish to update existing origination and disbursements. The software offers the following preferences when “Prompt for Duplicates?” is selected.

- **Skip?** This option skips the current record and the import process advances to read the next record in the file. No updates are made to the current record.
- **Skip All?** This option skips the current record and all other duplicates without notification. No updates are made to any of the duplicate records that are found. The software does not prompt the user of duplicates throughout the process. This is also the default option if yes is not checked at “Prompt for Duplicates?”
- **Update?** This option prompts the user to update the current record and continues processing with the next record. Update will process the current record, then advance to the next record and prompt the user once again when another duplicate record is found.
- **Update All?** This option updates the current record and all other duplicate records throughout the process, without pausing to prompt the user of duplicate records found.

At the end of the prompt for duplicate cycle, a Batch Statistics dialog box displays the following summary information:

- **Records Added:** A count of records added to the Pell Student database
- **Records Updated:** A count of records changed
- **Records Rejected:** A count of records rejected
- **Records Skipped:** A count of records skipped
- **Total:** The sum of all records in the import file

## Import Edits

As the import progresses, all records are passed through field by field edits. The software checks each field for valid content. If any field fails an edit, the associated record is rejected. The field(s) causing the record rejection and an appropriate invalid value message(s) are displayed on the Import Edit Report.

All records that successfully pass the valid values edits are saved to the EDExpress database.

### **Additional Edits – for Originations**

The user can select the Include Records in Next Batch Submission? option for External Origination Add/Change imports.

If the “Include Records in Next Batch Submission?” option is selected, the record proceeds through a second tier of edits referred to as End-of-Entry edits. The record is reviewed for the integrity of its content before it is saved to the Pell database. The Origination status is then marked with the R-Ready to Export status for all records that pass.

Records that possess inadequate information are rejected, and the import report displays the details of the failed edit condition. Users are not able to set the record to the R-Ready to Export status until it is changed to conform to edit specifications.

If the "Include Records in Next Batch Submission?" option is not selected, users must use Multiple Entry or set the records to the R-Ready to Export status one at a time.

Disbursement records that successfully pass valid field content edits are systematically added to the Pell database at the “R-Ready to Export Status.” Therefore, the option to include them in the next batch submission is not necessary.

To resolve field-by-field edits and/or data element edits, refer to the Valid Values column in the record layout and the End-of-Entry Edits table at the end of this section.

At the completion of the import process, an Import Edit Report is generated. The Import Edit Report gives record level detail as well as summary information for the outcome of the import file. The following statuses are printed in summary at the end of the report.

		<b>Status</b>
Records Added	Total of 1 <sup>st</sup> time records added	A
Records Read	Total of all records read	
Records Updated	Total of records changed	U
Records Rejected	Total of records with errors	E
Records Skipped	Total of records disregarded	S

### **Correcting Errors**

Invalid or missing data must be corrected on its originating system. You must then recreate the External Origination Add/Change or External Disbursement Add/Change record layout and re-import it into EDEExpress. Use the “Prompt for Duplicates” Import Dialog option if updating existing records and to direct EDEExpress to skip or update the duplicate records.

If you are importing only to add previously rejected records, you could reuse the original import file after updating the rejected records. You do not need to remove the previously accepted records from the import file. The system skips these records unless prompted otherwise through the “Prompt for Duplicates” option. The corrected records will run through the edits again. If the corrected record passes all edits, it is saved to the Pell database. Repeat the correction and re-import process until all errors are resolved.

### **End of Entry Edits**

The table that follows this section represents the edits that reside within the EDEExpress Pell module.

During an External Import Add or Change process, EDEExpress passes the data through these edits. If any edit is set or ‘hit,’ an error message appears on the Import Edit Report at the end of the process. You may also see ‘Invalid Value’ errors on this same edit report. If this type of error appears, refer to the ‘Valid Values’ column in the record layout for resolution of that particular data element.

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## End of Entry Edits Table in EDEExpress for Windows

### What's Included:

- Edits residing in EDEExpress Pell module

Categories for the End of Entry Edits Table column headings are as follows:

- **Edit** – the assigned number that is set when the condition for the edit is met.
- **Field Name** – the EDEExpress field name that is affected by the edit.
- **Condition** – the edit logic performed on the data that causes the edit to be invoked.
- **Message** – the error description that displays on the Import Edit Report if this edit is set.

## End of Entry Edits Table

<b>Edit #</b>	<b>Field Name</b>	<b>Condition</b>	<b>Message</b>
1000	Payment Methodology	If Payment Methodology = 1 and Academic Calendar = 1, 5, or 6	Academic Calendar must be 2 - Quarter, 3 - Semester, or 4 - Trimester  for Payment Methodology 1 (Formula 1)
1001	Payment Methodology	If Payment Methodology = 2 and Academic Calendar = 1, 5, or 6	Academic Calendar must be 2 - Quarter, 3 - Semester, or 4 - Trimester  for Payment Methodology 2 (Formula 2)
1002	Payment Methodology	If Payment Methodology = 3 and Academic Calendar = 5 or 6	Academic Calendar must be 1 - Credit Hour, 2 - Quarter, 3 - Semester, or 4 - Trimester  for Payment Methodology 3 (Formula 3)
1003	Payment Methodology	If Payment Methodology = 4 and Academic Calendar = 1, 2, 3, or 4	Academic Calendar must be 5 - Clock Hour, or 6 - Credit Hour w/o Terms  for Payment Methodology 4 (Formula 4)
1004	Payment Methodology	If Payment Methodology = 5 and Academic Calendar = 5	Academic Calendar must be 1 - Credit Hour, 2 - Quarter, 3 - Semester, 4 - Trimester, or 6 - Credit Hour w/o Terms  for Payment Methodology 5 (Formula 5)
1005	Payment Methodology	If Payment Methodology = 1 and Weeks used to calculate payment cannot equal blank	Weeks used to calculate payment must be blank for Payment Methodology 1 (Formula 1)

## End of Entry Edits Table (Continued)

<b>Edit #</b>	<b>Field Name</b>	<b>Condition</b>	<b>Message</b>
1006	Payment Methodology	If Payment Methodology = 1 and Weeks in program academic year cannot equal blank	Weeks in program academic year must be blank for Payment Methodology 1 (Formula 1)
1007	Payment Methodology	If Payment Methodology = 5 and Enrollment Status = 1, 2, or 5	Enrollment Status must be 3 (Half Time) or 4 (Less than ½ Time) for Payment Methodology 5 (Formula 5).
1100	Weeks used to calculate payment	If Payment Methodology = 2 and weeks used to calculate payment > 29	Valid Range is 00-29 when Payment Methodology is 2 (Formula 2)
1101	Weeks used to calculate payment	If Weeks used to calculate payment > Weeks in Program Academic Year	Weeks used to calculate payment cannot exceed Weeks in Program Academic Year
1102	Weeks in Program Academic Year	If Payment Methodology = 2, 3, 4 or 5 and Weeks in Program Academic Year is Blank and range is not between 30 and 78.	Valid range is 30 – 78 when Payment Methodology = 2 (formula 2), 3 (formula 3), 4 (formula 4), or 5 (formula) 5. See Setup and Entry change logs.
1104	Weeks used to calculate payment	If Weeks used to calculate payment is blank and Weeks in Program Academic Year is not blank	Both Weeks used to calculate payment or Weeks in Program Academic Year must be blank or both must have values
1105	Weeks in Program Academic Year	If Weeks in Program Academic Year is blank and Weeks used to calculate payment is not blank	Both Weeks used to calculate payment or Weeks in Program Academic Year must be blank or both must have values
1106	Hours/Credits in Program Academic Year	If Hours/Credits in Program Academic Year is blank and Hours/Credits Paid this Year is not blank	Both Hours/Credits in Program Academic Year and Hours/Credits Paid this Year must be blank or both must have values

## End of Entry Edits Table (Continued)

<b>Edit #</b>	<b>Field Name</b>	<b>Condition</b>	<b>Message</b>
1107	Hours/Credits Paid this Year	If Hours/Credits Paid this Year is blank and Hours/Credits in Program Academic Year is not blank	Both Hours/Credits in Program Academic Year and Hours/Credits Paid this Year must be blank or both must have values
1110	Hours/Credits in Program Academic Year	If Academic Calendar = 5 and (Hours/Credits in Program Academic Year < 900 or Hours/Credits in Program Academic Year > 3120)	Hours/Credits in Program Academic Year has a valid range of 0900 to 3120 for Academic Calendar 5 (Clock hour)
1111	Hours/Credits Paid this Year	If Academic Calendar = 6 and (Hours/Credits Paid this Year < 24 or Hours/Credits Paid this Year > 100)	Hours/Credits Paid this Year has a valid range of 0024 to 0100 for Academic Calendar 6 (Credit Hour without terms)
1112	Hours/Credits in Program Academic Year	If Payment Methodology = 1, 2, or 3 and Hours/Credits in Program Academic Year is Non-Blank.	Field must be blank if Payment Methodology = 1 (Formula 1), 2 (Formula 2), and 3 (Formula 3)
1113	Hours/Credits Program Academic Year	If Academic Calendar = 1, 2, 3, 4 and Hours/Credits in Program Academic Year is Non-Blank.	Hours/ credits in program academic year must be blank when academic calendar is not 5 (Clock hour), or 6 (Credit hour w/o terms)
1114	Hours/Credits Program Academic Year	If Academic Calendar = 6 and (Hours/Credits in Program Academic Year < 24 or Hours/Credits in Program Academic Year > 100)	Hours/Credits in Program academic year field must be Greater than or Equal to 24 and Less than or Equal to 100
1120	Hours/Credits Paid this Year	If Hours/Credits Paid from Year > Hours/Credits in Program Academic Year	Hours/Credits Paid from Year cannot exceed Hours/Credits in Program Academic Year

## End of Entry Edits Table (Continued)

<b>Edit #</b>	<b>Field Name</b>	<b>Condition</b>	<b>Message</b>
1121	Hours/Credits Paid this Year	If Academic Calendar = 1, 2, 3, 4 and Hours/Credits Paid this Year is Non-Blank.	Hours/ credits paid from year must be blank when academic calendar is not 5 (Clock hour), or 6 (Credit hour w/o terms)
1200	Award Amount for Entire School Year	If Payment Methodology = 1 and Enrollment Status = 1 or Enrollment Status = 2 or Enrollment Status = 3 or Enrollment Status = 4 or Enrollment Status = 5 and Award Amount for Entire School Year > Scheduled Federal Pell Grant	Award amount exceeds payment amount ceiling
1205	Award Amount for Entire School Year	If Payment Methodology = 2 or 3 and Enrollment Status = 1 or 5 or Enrollment Status = 2, 3 or 4 and Award Amount for Entire School Year > Total Payment Ceiling	Award Amount exceeds payment amount ceiling
1209	Award Amount for Entire School Year	If Payment Methodology = 4 and Award Amount for Entire School Year > Result of two formulas below  (Scheduled Federal Pell Grant for EFC and COA * Weeks Used to Calculate Payment) / Weeks in Program Academic Year  (Result of first formula * Hours/Credits Paid from Year) / Hours/Credits in Program Academic Year	Award Amount exceeds payment amount ceiling

## End of Entry Edits Table (Continued)

Edit #	Field Name	Condition	Message
1210	Award Amount for Entire School Year	<p>If Payment Methodology = 5 and Academic Calendar = 6 and Award Amount for Entire School Year &gt; Result of two formulas below</p> <p>(Annual Pell Grant award at half-time or less than 1/2-time * Weeks Used to Calculate Payment) / Weeks in Program Academic Year</p> <p>(Result of first formula * Hours/Credits Paid from Year) / Hours/Credits in Program Academic Year</p>	Award Amount exceeds payment amount ceiling
1211	Award Amount for Entire School Year	<p>If Payment Methodology = 5 and Enrollment Status = 2 or 5 and Academic Calendar = 1, 2, 3, or 4 and (Award Amount for Entire School Year) &gt; (Annual award at half-time * Weeks Used to Calculate Pell Student) / Weeks in Program Academic Year</p>	Award Amount exceeds payment amount ceiling
1213	Award Amount for Entire School Year	<p>If (Award Amount for Entire School Year) &gt; (Scheduled Federal Pell Grant for EFC and COA * Eligibility Used %), where Eligibility Used % = 1.0000 (in decimal) - Total eligibility used at all OTHER attended campuses (in decimal form, with 4 positions after the decimal)</p>	Award Amount exceeds remaining eligibility

## End of Entry Edits Table (Continued)

<b>Edit #</b>	<b>Field Name</b>	<b>Condition</b>	<b>Message</b>
1300	Verification Status Code	If R is entered and transaction = 01	Only transactions 02 to 99 can be reprocessed
1301	Verification Status Code	If Institutional Verification Indicator = * and N is entered	Record has been selected for verification.  Verification status code cannot be N (Not Selected)
1400	Enrollment Status	If Payment Methodology = 4 (Formula 4) and Enrollment Status is Non-Blank.	Field must be blank for Payment Methodology 4 (Formula 4).
1450	Award Amount for Entire School Year	If award amount for entire school yr < Total Disbursement amount	Total Disbursement Amount exceeds Award Amount for entire school year.
1520	Disbursement Date	If Institution Disbursement Option from setup is "Just in Time" and current date is more than 5 days prior to the disbursement date.	Current date cannot be more than 5 days prior to the Disbursement date.
1530	Disbursement Date	If Institution Disbursement Option from setup is Advanced and current date is more than 30 days prior to the disbursement date.	Current date cannot be more than 30 days prior to the Disbursement date.
1535	Enrollment Status	If enrollment status is blank and Payment Methodology is 1,2,3, or 5 and Academic Calendar is not equal to 5 or 6.	Enrollment Status is required for Payment Methodologies 1, 2, 3, and 5.
1540	Disbursement Date	If Institution Disbursement Option from setup is Cash Monitoring/Reimbursement and current date is more than zero days prior to the disbursement date.	Current date cannot be more than 0 days prior to the Disbursement date.

# Appendix A - Glossary

## **Academic Calendar**

Academic calendar is the academic term of the amount of academic work completed by students at a school.

- 1 Credit Hours – Nonstandard terms
- 2 Credit Hours – Standard terms of quarters
- 3 Credit Hours – Standard terms of semesters
- 4 Credit Hours – Standard terms of trimesters
- 5 Clock Hours
- 6 Credit Hours – Without terms

## **Administrative Cost Allowance (ACA)**

This is money paid to schools to offset some of the cost of delivering financial aid to students.

For the Federal Pell Grant Program, the amount is \$5 for each student at the school who receives a Federal Pell Grant.

This amount is based on the number of Pell recipients reported by the school, including students who withdrew from the school or were transferred, even if all Federal Pell Grant funds were recovered.

## **Administrative Relief Request**

This is a school's request to ED or the contractor to grant relief to a school unable to meet the September 30 deadline, due to:

- An event, such as a natural disaster
- A processing error

## **Advance Funding Method**

Under the Advance Funding Method, a school receives an initial authorization amount from which it may draw down funds from the Grants Administration Payment System (GAPS).

RFMS adjusts the school's initial authorization amount during the award year based on the receipt and acceptance of disbursement records transmitted by the school.

## **American Standard Code for Information Interchange (ASCII)**

~~This is the acronym for the American Standard Code for Information Interchange. This format is useful when importing files between programs.~~

*This is one of the standard formats for representing characters and text files. This is the format that Text messages are sent in RFMS. The message class used in RFMS is PGTX.*

## **Attended Campus**

This is the campus attended by the student as noted by the Pell ID.

If the school is a branch campus with a unique Pell ID, the branch campus Pell ID is used *to identify that location on individual payment records*. If the school is a branch campus without a unique Pell ID, the Pell ID of the eligible location is used as the attended campus Pell ID. ~~central campus is used.~~

## **Award Year**

The twelve month period beginning July 1st and ending June 30th of the following year for which funding has been authorized for the Federal Pell Grant Program. The award year begins on July 1 of one year and extends to June 30 of the next year. Funding for Federal Pell Grants and campus-based programs is provided on the basis of the award year.

## **Award Year Cycle**

The standard period during which a school can submit origination and disbursement records and expect to draw down funds for accepted Pell eligible students processed by RFMS.

The cycle begins July 1st and ends September 30th of the following year. As an example, for 2001-2002, the award year cycle is from July 1, 2001 to September 30, 2002. See the annual Federal Register Pell Deadline Date Notice for further information concerning Postdeadline Processing beyond the normal award year cycle.

## **Batch**

~~A group of records gathered in one file for processing.~~

***Users submit groups of records in a file called a batch. A batch in RFMS consists of a Grant Batch Header Record, one or more detail records, and a Grant Batch Trailer Record. Each batch can have only one type of record. Origination and disbursement records may be sent at the same time but they must each be sent in a separate batch with a separate Grant Batch header and Grant Batch trailer separating them.***

## **Batch Acknowledgement Date**

*This is the date on which RFMS sends the processed batch acknowledgement back to the school or servicer through TIV WAN.*

## **Batch ID Number**

*Each batch sent to RFMS must have the same unique batch ID number in the Grant Batch Header and Trailer. The format for the Batch Number is as follows: XXCCYY999999CCYYMMDDHHMMSS*

<i>XX</i>	<i>Batch Type (alpha)</i>
<i>CCYY</i>	<i>Last Year in Reporting Cycle</i>
<i>999999</i>	<i>Reporting Pell Institution Number</i>
<i>CCYYMMDD</i>	<i>Date Batch Created</i>
<i>HHMMSS</i>	<i>Time Batch Created</i>

*Batches that do not have unique batch numbers or that have different batch numbers in the Grant Batch Header and Grant Batch Trailer are rejected by RFMS.*

## **Batch Number**

Schools and servicers assign their own batch numbers when they submit origination and disbursement batches. They must assign batch numbers in the format the U.S. Department of Education (ED) prescribes in the RFMS Grant Batch Header Record positions 15-40.

Format: XXCCYY999999CCYYMMDDHHMMSS

<del>XX</del>	<del>Batch Type Code (alpha)</del>
<del>CCYY</del>	<del>Last Year in Cycle</del>
<del>999999</del>	<del>Reporting Pell Institution Number</del>
<del>CCYYMMDD</del>	<del>Date Batch Created</del>
<del>HHMMSS</del>	<del>Time Batch Created</del>

## **Batch Processing Date**

This is the date on which the Federal Pell Grant Program completes processing the origination or disbursement data batch.

## **Batch Received Date**

*This is the date on which RFMS received the batch for processing.*

## **Batch Type Codes**

*Each RFMS Batch number has a Batch Type Code which identifies the type of batch. The Batch types are as follows:*

<b>#A</b>	<b><i>Statement of Account</i></b>
<b>#C</b>	<b><i>Reconciliation</i></b>
<b>#D</b>	<b><i>Disbursements</i></b>
<b>#G</b>	<b><i>System Generated</i></b>
<b>#I</b>	<b><i>Institution Data</i></b>
<b>#M</b>	<b><i>Multiple Reporting Record</i></b>
<b>#O</b>	<b><i>Originations</i></b>
<b>#P</b>	<b><i>Origination Acknowledgement from the WEB</i></b>
<b>#R</b>	<b><i>Data Request</i></b>
<b>#T</b>	<b><i>ASCII Text</i></b>
<b>#W</b>	<b><i>Disbursement Acknowledgement from the WEB</i></b>
<b>#Y</b>	<b><i>Year to Date</i></b>

## **Batch Regeneration**

~~Batch regeneration is a function of the origination and disbursement software that allows the Student Aid Internet Gateway (SAIG, formerly Title IV WAN) to replace a batch previously generated.~~

## **Batch Sequence Number**

This is a unique, four-digit, system-generated batch number (formerly called internal batch number) that is linked to each student origination and disbursement record batch generated by a school. It is used for tracking and audit trail purposes.

## **Case Management and Oversight (CMO)**

This is the U.S. Department of Education office responsible for overseeing school eligibility. Regional representatives work with schools on reimbursement and cash monitoring.

*There are 10 Case Management Teams that include staff located in Washington, DC and ten field offices. These teams:*

- *Perform on-site reviews and analysis of reports on schools and their agents*
- *Review and approve institutional applications for initial or renewal SFA certification*
- *Process and maintain schools Program Participation Agreements and eligibility notices*
- *Recommend reimbursement method of funding*
- *Maintain institutional and student data in Schools Channel databases (PEPS); for example, address changes, etc.*
- *Review institutional compliance audits and financial statements*
- *Work with both domestic and foreign institutions*

## **Central Processing System (CPS)**

This is the ED system that processes student financial aid applications (FAFSA), calculates the Expected Family Contribution (EFC) for each applicant, prints the Student Aid Report (SAR), and transmits ISIR data electronically.

## **Clock Hour Programs (or Credit Hour Programs without Terms)**

This identifies academic programs in which duration is measured by clock hours or by credit hours completed with no terms.

## **Cost of Attendance (COA)**

Cost of Attendance is used to determine the student's scheduled Pell Grant award and is always based on the cost for a full-time student for an entire academic year. It must be greater than 0000.

These costs can consist of:

- Tuition and fees
- Allowances for room and board
- Allowance for books, supplies, transportation, and miscellaneous personal expenses
- Allowances established by the school for dependent care, disability-related expenses, study abroad, and employment expenses related to cooperative education programs
- Special exceptions to which cost components apply, including less than half-time students, correspondence study students, incarcerated students, and students receiving instruction by telecommunications
- Cost of computer allowance

## **Current Social Security Number**

This is the Social Security Number (SSN) reported by the student on the Free Application for Federal Student Aid (FAFSA) for the given transaction number.

## **Database**

~~This is information entered in the computer and stored in various files.~~

## **Data Request**

This record is used to request information from RFMS. Schools can request an Electronic Statement of Account (ESOA), a Year-to-Date (YTD) file, a Multiple Reporting Record (MRR), or a Reconciliation file.

## **Date Enrolled This Award Year**

This is the date the student first enrolled (for example, the first day the student attended classes) in an eligible program for the applicable award year. If the student enrolled in a crossover payment period before the first day of the award year (July 1), report the actual date enrolled, even though that date occurs before the start of the award year.

## **Dear Partner Letter**

This is a means of communicating all policy or major programmatic information on federal student financial aid issues from ED to the postsecondary financial aid community.

Dear Partner Letters are posted on the IFAP Web site, [www.ifap.ed.gov](http://www.ifap.ed.gov).

## ***Deobligation***

***RFMS runs a program late in the award year called the deobligation. This program reduces a school's authorization to the amount of accepted disbursements the school has submitted.***

## **Destination Point**

In Electronic Data Exchange (EDE), this is the receiver and transmitter of Title IV applicant and/or Pell Grant payment data with the Student Aid Internet Gateway (SAIG, formerly known as Title IV WAN). It may be a postsecondary school servicing one or more schools or a service agent servicing multiple schools.

## ***Detail Record***

***A batch in RFMS consists of a Grant Batch Header Record, one or more detail records, and a Grant Batch Trailer Record. A detail record can be an individual student origination or disbursement record, or an individual data request or institution data record. See the record layouts for each type of detail records for more information.***

## **Disbursement Record**

This is an Electronic Data Exchange (EDE) record that contains regular disbursement information.

## **Disbursement Record Acknowledgement**

This is the RFMS reply to a school's submission of student disbursement data that has been processed through the Federal Pell Grant Program. It is returned to the school with updated information that reflect the results of Federal Pell Grant Program processing.

## **Disbursement Reference Number**

This is a unique number 01 to 90 that is on each disbursement. It cannot be repeated.

## **Downside Adjustment**

This is the amount of money that a school returns for their Federal Pell Grant Program recipients during the award year. This return should occur no later than 30 days from when the student's award changed.

## ***DUNS (Data Universal Numbering Scheme) Number***

*Data Universal Numbering Scheme (DUNS) number assigned to the reporting institution.*

## **Edit/Comment Codes**

These are a series of numeric codes that explain processing results, including data corrections, *duplicates*, and record rejects, for specific processed origination and disbursement records for a Federal Pell Grant recipient.

## **~~Electronic Applications (EAPS)~~**

~~This is a function on the main menu of the EDExpress for Windows Pell Payment module that enables users of EDE to input ISIRs without using EDExpress for Windows.~~

## **Electronic Data Exchange (EDE)**

This process allows participating destination points to exchange federal student aid application and Federal Pell Grant payment data electronically with the Student Aid Internet Gateway (SAIG, formerly Title IV WAN).

## **Eligibility Used**

Eligibility Used *percentage field is calculated by summing all of the accepted disbursement records for this student at this attended institution and dividing that amount by the Scheduled Federal Pell Grant Award at the attended institution.* ~~displays the percent of a student's eligibility that was used by other campuses.~~

## **Eligible Applicant(s)**

An eligible applicant is a student who has submitted a Free Application for Federal Student Aid (FAFSA) and meets the eligibility requirements for a Federal Pell Grant.

The student must be currently enrolled or be a prospective student at a postsecondary school which is accredited to participate in Student Financial Aid programs.

## **~~Electronic Pell Origination and Disbursement Data~~**

~~This is the electronic equivalent of the student origination or disbursement record enabling schools to report Federal Pell Grant origination and disbursement data to ED (RFMS).~~

## **~~Electronic Pell Origination and Disbursement Acknowledgment Data~~**

~~This is the electronic origination or disbursement acknowledgment record returned to the school from ED (RFMS) containing updated student origination or disbursement information.~~

## **Electronic Statement of Account (ESOA)**

This is the electronic version of the Statement of Account (SOA) that summarizes the status of a school's spending authorization versus amount expended to date for that award year.

## **Enrollment Status**

Enrollment Status is used only for standard academic term schools. It includes the student's expected enrollment status for the entire award year. If the student's enrollment status is mixed, then the enrollment status "5" (Other) is used.

Input values are:

- 1 Full-time
- 2 Three quarter-time
- 3 Half-time
- 4 Less than half-time
- 5 Other

## Estimated Disbursement Dates

This field position in the student origination record contains 15 dates for which a disbursement to a student is estimated to be made. Each student must have at least one estimated date of disbursement.

(Valid Values = CCYYMMDD)

Range = N days prior to Disbursement Start Date (20010701) to Disbursement End Date (20070930)

## Expected Family Contribution (EFC)

~~The EFC number is used for all Title IV programs and it is calculated by CPS.~~

*When you apply for federal student aid, the information you report is used in a formula established by the U.S. Congress. The formula determines your Expected Family Contribution (EFC), an amount you and your family are expected to contribute toward your education (although this amount may not exactly match the amount you and your family end up contributing). If your EFC is below a certain amount, you'll be eligible for a Federal Pell Grant, assuming you meet all other eligibility requirements.*

## Federal Pell Grant Payment Schedule

Schedule of Federal Pell Grant Awards. Schedule is based on the EFC, the enrollment status, and the school COA. The schedule is usually posted in January on the IFAP Web site, [www.ifap.ed.gov](http://www.ifap.ed.gov), for the upcoming award year.

## Federal Pell Grant Program

This is a type of federal financial aid awarded to qualified student applicants. ~~It is named after former U.S. Senator Claiborne Pell of Rhode Island.~~ *A Federal Pell Grant, unlike a loan, does not have to be repaid. Generally, Pell Grants are awarded only to undergraduate students who have not earned a bachelor's or professional degree. (A professional degree is usually earned after earning a bachelor's degree in a field such as medicine, law, or dentistry.) In some cases, you may receive a Pell Grant for attending a postbaccalaureate teacher certificate program. For many students, Pell Grants provide a foundation of financial aid to which other aid may be added.*

## **Federal Pell Grant Web site**

The Federal Pell Grant Web site, [www.pellgrantsonline.ed.gov](http://www.pellgrantsonline.ed.gov), improves school access to RFMS. Schools use this Web site to verify batch statuses, submit data requests, check account balances, or enter institution data records via the Internet. In addition, schools can enter post deadline data records. This Web site is available 24 hours a day, 7 days a week.

*The Federal Pell Grant Web site improves school access to RFMS. Schools or Servicers use this Web site to verify batch statuses, submit data requests, check account balances, or enter institution data records via the Internet. In addition, schools can enter post-deadline data records.*

## Financial Control

Financial control is a code indicating the source of financial control for a school.

Use the code that best describes your school:

1	Public
2	Private, nonprofit
3	Proprietary
Blank	No change

## Financial Management System Software (FMSS)

FMSS is a system within EDCAPS (ED Central Applications Processing Systems) that posts obligations received from GAPS to the general ledger and processes receivables.

## Free Application for Federal Student Aid (FAFSA)

This is the application that must be filed by an applicant to apply for any student financial aid distributed by the federal government.

## GAPS Award Number

*This identifies a specific school year and grantee within GAPS for the processing of obligations and payments. It consists of:*

- *Program Office code, which identifies the ED Program Office making the award.*
- *Catalog of Federal Domestic Assistance code (CFDA) code, which identifies the specific program making the award.*
- *CFDA subpart, which identifies a particular type of award account.*
- *Year which identifies the school year of the award; for example, either the beginning or ending year of the school year pair.*
- *Sequence number, which uniquely identifies the school that receives the award.*

## **Generate**

~~Generate refers to creating a batch of student origination and disbursement records to submit to the Federal Pell Grant Program.~~

## **Grants Administration and Payment System (GAPS)**

~~This is the system used by EDCAPS for grants administration and payment.~~

## **Grant Batch Header Record**

~~This record is part of the origination record and reports the school's identifying code numbers, output media, and processing dates.~~

~~*A batch of data records sent to RFMS is made up of a Grant Batch Header record, detail records, and a Grant Batch Trailer record. The Grant Batch Header record is at the top of the file, and it includes a header identifier-GRANT HDR, the data record length, a unique batch ID number, the OPE-ID number, and Software Provider ID.*~~

## **Grant Batch Trailer Record**

This record is part of the origination record and reports the number of student records included in the transmission, the amount paid to date on the transmission, and the total disbursements to date for all Federal Pell Grant recipients at the school.

*A batch of data records sent to RFMS is made up of a Grant Batch Header record, detail records, and a Grant Batch Trailer record. The Grant Batch Trailer record is at the bottom of the file, and it includes a trailer identifier-GRANT TLR, the data record length, a unique batch ID number (the same number as in the Grant Batch Header Record), the number of Records, the reported total of the batch, and the Total Sign Indicator (positive 'P' or negative 'N').*

## **Grants Administration and Payment System (GAPS)**

*GAPS is the system used by ED's Office of Chief Financial Officer to process school-specific obligations and to make payments against those obligations. GAPS is part of EDCAPS and interfaces directly with U.S. Treasury's Federal Reserve System.*

## **Hours/Credits in Academic Year**

This is the number of program hours in a program's year.

It is completed only by programs using clock hour or non-standard term credit hour academic calendars.

If the student attends a term-based program measured in credit hours (including standard academic term programs with less than 30 weeks of instructional time), enter the number of weeks of instructional time in the school's definition of academic year.

## **Incarcerated**

This code indicates the student's incarceration status for those students who are in local (not state or federal) penitentiaries and who are otherwise eligible to receive Federal Pell Grants.

## **Institution Cross Reference ID *Field***

This is an optional field that can be entered into the student payment record as an optional identification field (for example, it may be a school-assigned student ID or different SSN).

## **Institutional Data Record**

This record is sent to RFMS by schools to change information concerning the school. This information includes the financial aid administrator's (FAA) name, telephone number, school address, and defining characteristics such as length of program, institution type, and financial control.

## **Institutional Financial Aid Professionals (IFAP) Web Site**

This ~~ED Web site~~ *SFA Web site* ([www.ifap.ed.gov](http://www.ifap.ed.gov)) provides information to financial aid professionals in the areas of Title IV federal programs, publications, regulations, and correspondence regarding administration of Title IV federal programs. This Web site also maintains Action Letters, Dear Partner Letters, Electronic Announcements (P-Messages), Federal Registers, and SFA Handbooks issued by ED.

## **Institutional Student Information Record (ISIR)**

This is the electronic version of the Student Aid Report (SAR) that indicates eligibility for the Federal Pell Grant Program.

The ISIR contains the family's financial and other information reported on the Free Application for Federal Student Aid (FAFSA), as well as key processing results and NSLDS (National Student Loan Data System) Financial Aid History information.

It is transmitted electronically to postsecondary schools and state educational agencies.

## ***Institution Type***

*Code that best describes the type of institution.*

*1 = Less than 1 year*

*2 = 1 year, less than 2 years*

*3 = 2 years, less than 3 years*

*4 = 3 years, less than 4 years*

*5 = 4 years (baccalaureate)*

*6 = 5 years or more*

Otherwise, leave blank.

## **Just-In-Time (JIT) Method**

In the Just-In-Time payment method, a school does not receive an initial authorization. The accepted disbursement records report disbursement amounts and function as the school's request for funds that are provided immediately to the school.

As a result of this systemic improvement, schools using the JIT payment method are relieved of several cash management regulatory requirements.

## **Last Updated**

~~Last Updated displays the user ID, date, and time the information currently displayed on the EDEExpress screen was previously edited.~~

## **Multiple Reporting Record (MRR)**

*The Multiple Report Record (MRR) identifies originations and/or disbursements being reported by more than one institution for the same student. The MRRs are designed to provide institutions with information to identify and resolve potential overaward payments and concurrent enrollments before they occur. Institutions may request records identifying the institutions which have originated or disbursed for specific recipients, specific institutions, or for all students originated at their school. This request can be done electronically through the RFMS Internet Web site or by phone to Customer Service (1-800-4-PGRANT). Disbursement records being reported by more than one school for the same student are automatically sent to each applicable institution for resolution.*

## **Name Code**

Name Code is the first two characters of the student's last name as reported on the FAFSA and part of the Student ID. It is provided in the ISIR and appears on the SAR.

## ***National Student Loan Data System (NSLDS)***

As a Title IV automated system, the National Student Loan Data System, or NSLDS, is a national database of information about loans and other financial aid awarded to students under Title IV of the Higher Education Act of 1965.

This system prescreens applications for Title IV aid, supports program administrative research functions, and improves Title IV aid delivery through automation and standardization.

## ***Negative Disbursement***

*When a disbursement record is submitted to RFMS, one of the required elements is the Debit/Credit indicator. This indicates when the disbursement amount is an increase or a decrease to the total amount that has been disbursed to the student. A debit or decrease amount is a negative disbursement.*

## ***OPE (Office of Postsecondary Education) ID***

*Unique 8-digit OPE code used to identify a location of an institution. This code will end with 00 for the main campus.*

## **Original SSN**

*This is the Social Security Number (SSN) as originally reported by the student on the FAFSA.*

*The student's Current Social Security Number is not the same as the Original Social Security Number (used in the Student ID to submit origination or disbursement data) if the student has submitted SSN changes to the Federal Student Aid Application Processing System.*

*Note: Always use the Original SSN when entering student data.*

## **Origination Record Acknowledgement**

~~This is an RFMS reply to a school's submission of student origination data that has been processed through the Federal Pell Grant Program. It is returned to the school with updated information that reflects the results of Federal Pell Grant Program processing.~~

## **Origination ID**

*Each student has a unique number called an Origination ID that identifies the student, the award year, and the attending campus for the student. The Origination ID is on the origination record as well as the disbursement record. The format of the Origination ID is as follows:  
999999999XX200299999900*

*SSN – 999999999*

*001010001-999999999*

*Name Code – XX*

*Two letter alpha code*

*Year Indicator – 2002*

*Last Year of the Award Year Cycle*

*Valid Attended Pell ID*

*999999*

*Orig Sequence Number – 00*

*This is always 00*

*If the student transfers mid-year and is attending a new school, he or she will have a new Origination ID that identifies the new attending campus.*

## **Origination Record**

~~This record establishes a student's eligibility and amount of annual Pell Grant Award in RFMS.~~

Origination records are prepared and submitted by schools to RFMS using the EDEExpress software or the school's own software.

Origination record data is received and edited by RFMS to ensure that the student is eligible to receive the reported amount of Federal Pell Grant funds and to establish the student account in the RFMS.

## **Origination Record Acknowledgement**

*This is an RFMS reply to a school's submission of student origination data that has been processed through the Federal Pell Grant Program. It is returned to the school with updated information that reflects the results of Federal Pell Grant Program processing.*

## **Origination Sequence Number**

*The Sequence number is part of the Origination ID number. It follows the Pell ID number and is always 00.*

## **Over-Paid Record**

*In RFMS, a student is 'over-paid' when the Origination Award amount is less than the amount already disbursed to the student. This occurs when an Origination record is updated to a lower award amount after the student has been disbursed. The Edit/Comment warning message 323 is sent and the updated origination is processed notifying the school of the error.*

*When the award amount is lowered to an amount lower than the amount already disbursed, a negative disbursement record should also be sent to RFMS. If no negative disbursement is received by RFMS in 30 days, a system-generated negative disbursement will be created by RFMS and sent to the school. This negative disbursement will be sent in the PGDA message class but the batch identifier will be #G to identify it as a system-generated negative disbursement. Also, the individual detail records in the disbursement batch will have a disbursement reference number of 91 to 99.*

## **Original Social Security Number**

This is the Social Security Number (SSN) as originally reported by the student on the FAFSA.

The student's Current Social Security Number is not the same as the Original Social Security Number (used in the Student ID to submit origination or disbursement data) if the student has submitted SSN changes to the Federal Student Aid Application Processing System.

Note: Always use the Original SSN when entering student data.

## **P-Messages**

P-messages are a type of ad hoc correspondence that are sent via e-mail, SAIG message, listserv, or posted on the IFAP Web site, to every eligible school in the Federal Pell Grant Program to communicate an announcement or problem when over 50 schools are affected.

## **Payment Methodology (PM)**

This is the method of calculation used to determine a student's payment in the Federal Pell Grant Program.

The five payment methods are:

- 1 Standard-term, credit-hour program where weeks in program's academic year are equal to or greater than 30 weeks
- 2 Standard-term, credit-hour program in which the weeks in program's academic year are less than 30
- 3 Any credit-hour program with standard or nonstandard terms
- 4 Clock-hour programs and credit-hour programs without terms
- 5 Programs offered by correspondence

## **Pell Award Cycle**

This is the academic year for the Federal Pell Grant Program, beginning July 1 and ending September 30 of the following year.

For example, for 2001-2002, the award year is from July 1, 2001 to September 30, 2002.

However, the deadline for reporting student payment data is September 30 following the end of the award year.

Funding for the Federal Pell Grant Program is provided on the basis of the award year; thus, a student is paid out of funds designated for a particular award year, such as the 2000-2001 award year or the 2001-2002 award year.

## **Pell ID of Attended Campus**

This is the Pell Institution Number of the campus where the student is actually attending.

If your school is a central campus and your branch campuses have unique Pell Institution Numbers, always enter the Pell Institution Number of the campus the student is actually attending.

## **Pell Institution Number**

This is a six-digit number assigned to a postsecondary educational school that's eligible to participate in the Federal Pell Grant Program.

## **Postsecondary Education Participants System (PEPS)**

PEPS is the system that provides the Recipient Financial Management System (RFMS) with school eligibility information.

## Potential Overaward Project (POP)

Federal Pell Grant regulations allow a student to receive a maximum of one full Scheduled Pell Grant (SPG) during an award year.

The Federal Pell Grant Recipient Financial Management System (RFMS) is programmed to calculate the percentage of SPG used each time a school reports a recipient's award.

Any amount exceeding 100 percent of a full SPG represents an overaward and is disallowed.

## Processed Disbursement Acknowledgement Record

These are student origination and disbursement data records submitted and processed through the Federal Pell Grant Program.

Origination and disbursement acknowledgement data batches are returned to the school and imported into the software's database.

## Processing Date

This is the date that the origination or disbursement record was processed through the Federal Pell Grant Program.

This appears on the acknowledgement record in century/year/month/day (CCYYMMDD) format where:

CC	Century
YY	Year
MM	Month
DD	Day

## Recipient Financial Management System (RFMS)

~~This is the system through which schools report Pell disbursements to ED.~~ RFMS is the processing system that institutions use to report Federal Pell Grant student payment data and request funding adjustments. RFMS has improved and modernized the Federal Pell Grant Program. It uses origination and disbursement records. RFMS moves the Department towards implementing common processes and records for Federal Title IV program funding to students and institutions in accordance with SFA's Modernization Blueprint.

## Reconciliation File Record

*This is a* A new data request type record for 2001-2002 *that is included in the RFMS record layouts.* ~~added to the RFMS record layouts. This request can be for an individual student's data or for an entire school. It provides one record of data for each student.~~

*The file can be requested for an individual student and it includes the Student's Name, Origination ID, Scheduled Award Amount, School's Award Amount, and Amount Disbursed YTD or it can be requested for a school's entire Pell population.*

*Note: For 1999-2000 and 2000-2001, the Reconciliation Tool is a text file used by some schools to reconcile their records. This file can be requested by any users; however, it is usually requested by schools using a third-party or home-grown software or mainframe.*

## Record Status Code

This is a code that indicates the processing results for RFMS origination and disbursement records. The status code values are:

A	Accepted
C	Corrected
D	Duplicate
E	Rejected

## Reported Date Enrolled

This is the first date the student was enrolled, as reported by the school. (See also Date Enrolled This Award Year.)

## Reporting Campus

This is the Pell Institution Number of the campus that receives the Federal Pell Grant authorization ~~for the schools.~~ *and submits origination and disbursement records for itself and any branch campuses which it may have.*

~~For a school system that has a central campus and branch campuses that have unique Pell Institution Number, the Reporting Campus is the central campus.~~

This item is entered under the Institution option from the Setup menu.

## **Scheduled Pell Grant**

A primary concept in the Federal Pell Grant Program is the Scheduled Pell Grant or Scheduled Award. The Student Financial Aid Handbook uses the term "Scheduled Award." The concept of the Scheduled Pell Grant has always been important because it limits the student to a maximum payment for an award year. It assumes that the student is enrolled full time for a full academic year and the calculated amount is based upon a given Cost of Attendance and Expected Family Contribution. If a student does not complete an academic year, in both weeks of instructional time and hours, he or she will receive less than a full Scheduled Pell Grant.

The student's Scheduled Pell Grant cannot be exceeded, even if transferring to another school or if attending multiple terms and sessions during the award year. For example, the total Federal Pell Awards for a full time student attending Fall Term, Spring Term and a Summer session cannot exceed the Scheduled Award.

## **Secondary EFC (*Expected Family Contribution*)**

This is a code indicating the Expected Family Contribution (EFC) on which the school based the student's Federal Pell Grant award.

The acceptable values are:

- O Federal Pell Grant award previously based on the Secondary EFC and reported to the Federal Pell Grant program; student's award now based on the original EFC.
- S Federal Pell Grant award based on the Secondary EFC is calculated by the CPS.
- Blank Secondary EFC never used.

## **Statement of Account (SOA)**

~~This report is mailed to a school participating in the Federal Pell Grant Program that summarizes the status of the school's spending authorization versus the amount expended to date for that award year.~~

## **Student Aid Internet Gateway (SAIG)**

The SAIG (formerly TIVWAN) is the primary vehicle that transports data between RFMS and schools via the Internet. It also provides RFMS with participation data. This data assists RFMS in determining which schools are eligible to send data electronically. By enrolling in SAIG, schools will be able to exchange information electronically with ED.

## **Student Aid Report (SAR)**

~~This is the federal document printed by a FAFSA processor and mailed to the student.~~

~~The SAR contains the family's financial and other information as reported by the student on the financial aid application.~~

~~The student's eligibility for aid is indicated by the EFC printed on the front of the SAR.~~

*After the student's application is received by the processing system, the processor will produce a Student Aid Report (SAR). The SAR will report the information from the student's application and, if there are no questions or problems with the application, the SAR will report the Expected Family Contribution (EFC), the number used in determining the eligibility for federal student aid. The EFC will appear in the upper right-hand portion of the student's SAR. The results will be sent to the student and to the schools that he or she listed on the application.*

## **Student Aid Report Identification (SAR ID)**

This ID consists of the student's:

- Original Social Security Number (SSN)
- First two letters of the student's last name (name code)
- Transaction number
- *Students Attending Multiple Branch Campuses*

*RFMS accepts one origination record per reporting campus/attended campus combination.*

*If the school system has branch campuses with unique Pell Institution Numbers and students attend more than one campus during the award year, origination records must be established in RFMS for each attended campus a student attends.*

*When making disbursements to students who attend more than one campus during the award year, you must ensure that the total disbursements to the students do not exceed the scheduled Pell award for the award year.*

## **Students Attending Multiple Branch Campuses**

RFMS accepts one origination record per reporting campus/attended campus combination.

If the school system has branch campuses with unique Pell Institution Numbers and students attend more than one campus during the award year, origination records must be established in RFMS for each attended campus a student attends.

When making disbursements to students who attend more than one campus during the award year, you must ensure that the total disbursements to the students do not exceed the scheduled Pell award for the award year.

## **System Generated Negative Disbursement**

*A system-generated negative disbursement is created by RFMS on overpaid records. This is a negative disbursement that is sent in the PGDA message class but the batch identifier is #G to identify it as a system-generated negative disbursement, and the individual detail records in the disbursement batch have a disbursement reference number of 91 to 99.*

## **Term and Nonterm Programs not using Formula 1**

This identifies academic programs that use a payment methodology of 2-6, but not formula 1.

## **Total Eligibility Used (%)**

*The Total Eligibility Used percentage is the sum of all of the Eligibility Used percentage amounts at all campuses attended by this student for the particular award year. The valid value is less than or equal to 100% of a student's Scheduled Federal Pell Grant Award Amount.*

## **Total Payment Ceiling (TPC)**

~~This displays the maximum available award for a student.~~

## **Transaction Number**

This is a two-digit number that identifies a specific SAR or ISIR transaction for the applicant and for processing control purposes.

~~It is the third part of the Student ID assigned by CPS.~~

## **Transfer Data**

~~Schools can request information about Pell Grant disbursements made by other schools for students whose origination acknowledgement records were received from RFMS.~~

~~In response, RFMS sends Multiple Reporting Records (MRRs) that contain transfer data and that can be used to import the data into your recipient database.~~

## **Types of Eligible Schools**

~~This is a code describing the length of the majority of programs at the school.~~

~~School type changes are reported to RFMS in the Institution Data Record. It corresponds to Item 4 on the Institutional Payment Record (IPR).~~

## Uploading

Uploading is the process of transmitting data to a mainframe computer from a:

- Personal computer
- Minicomputer
- Floppy diskette

## **Verification Status Code**

This is a code that you enter to best describe the method used to verify the student's application information.

The Verification Guide gives a complete description of the verification process.

The Verification Status Codes are:

A	Accurate Data
C	Calculated
N	Not Selected
R	Reprocessed
S	Selected, Not Verified
T	Tolerance Applied
W	Without Documentation

Note: The verification code cannot be an "R" for students with transaction 01.

## **Weeks in Academic Year**

This is the number of weeks of instruction in the program's academic year.

## **Weeks Used to Calculate Payment**

This is the total number of weeks of instructional time you use to calculate this student's award.

## **Year-to-Date (YTD) Data**

This is the total year-to-date originations and disbursements that are accepted by the Federal Pell Grant Program for a school for an award year.

## **Year-to-Date (YTD) Disbursed Amount**

Total amount that has been reported by the school and acknowledged by RFMS as being disbursed to the student for the year.

# Appendix B - Acronyms and Abbreviations

## **4**

**4GL** Fourth Generation Language

## **A**

**ACA** Administrative Cost Allowance

**ACH** Automated Clearing House

**ACS GSG** Affiliated Computer Services, Government Solutions Group

**ADE** Automated Date Exchange

**ADP** Automated Data Processing

**AIS** Automated Information System

**ASCII** American Standard Code for Information Interchange

**ATM** Asynchronous Transfer Mode

## ***C***

<b>CCF</b>	Central Computer Facility
<b>CM</b>	Configuration Management
<b>CMO</b>	Case Management Oversight
<b>COA</b>	Cost of Attendance
<b>COTR</b>	Contracting Officer's Technical Representative
<b>CPS</b>	Central Processing System
<b>CSO</b>	Computer Security Officer

## ***D***

<b>DBMS</b>	Data Base Management System
<b>DDL</b>	Data Definition Language
<b>DISB.</b>	Disbursement
<b>DUNS</b>	Data Universal Numbering Scheme

## ***E***

<b>EAPS</b>	Electronic Applications
<b>ED</b>	U.S. Department of Education
<b>EDCAPS</b>	ED Central Applications Processing Systems
<b>ED/CCF</b>	ED Central Computer Facility

## ***E (Continued)***

<b>EDE</b>	Electronic Data Exchange
<b>EDI</b>	Electronic Data Interchange
<b>EDNET</b>	ED Network
<b>EDP</b>	Electronic Data Processing
<b>EFC</b>	Expected Family Contribution
<b>EOY</b>	End of Year
<b>ESOA</b>	Electronic Statement of Account
<b>EYTD</b>	Electronic Year-to-Date

## ***F***

<b>FAA</b>	Financial Aid Administrator
<b>FAFSA</b>	Free Application for Federal Student Aid
<b>FIPS</b>	Federal Information Processing Standards
<b>FMSS</b>	Financial Management System Software
<b>FRC</b>	Federal Records Center

## ***G***

<b>GAO</b>	General Accounting Office
<b>GAPS</b>	Grant Administration and Payment System
<b>GEIS</b>	General Electronic Information System
<b>GL</b>	General Ledger
<b>GSL</b>	Guaranteed Student Loan
<b>GUI</b>	Graphical User Interface

## ***H***

<b>HEA</b>	Higher Education Act
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## ***I***

<b>IFAP</b>	Institution Financial Aid Professionals
<b>IRG</b>	Information Resources Group
<b>ISIR</b>	Institutional Student Information Record

## ***J***

<b>JIT</b>	Just-In-Time
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## ***L***

**LEAP**      Leveraging Educational Assistance Partnership Program

## ***M***

**MB**      Modernization Blueprint

**MDE**      Multiple Data Entry

**MIS**      Management Information System

**MR**      Multiple Reporting

**MRR**      Multiple Reporting Record

## ***N***

**NSLDS**      National Student Loan Data System

## ***O***

**OCFO**      Office of the Chief Financial Officer

**OIG**      Office of Inspector General

**OPE**      Office of Postsecondary Education

**OPEIDS**      OPE Institutional Data System

**ORACLE**      Oracle® Financials Database

**ORIG.**      Origination

## ***P***

<b>PDF</b>	Portable Document Format
<b>PEPS</b>	Postsecondary Education Participants System
<b>PGRFMS</b>	Pell Grant Recipient Financial Management System
<b>PM</b>	Payment Methodology
<b>POB</b>	Pell Operations Branch
<b>POP</b>	Potential Overaward Project

## ***Q***

<b>QA</b>	Quality Assurance
<b>QC</b>	Quality Control

## ***R***

<b>RACF</b>	Resource Access Control Facility
<b>RDE</b>	Recipient Data Exchange
<b>RDBMS</b>	Relational Data Base Management System
<b>RFMS</b>	Recipient Financial Management System
<b>RS</b>	Registry System

## ***S***

<b>SAIG</b>	Student Aid Internet Gateway
<b>SAR</b>	Student Aid Report
<b>SAR ID</b>	Student Aid Report Identification
<b>SEOG</b>	Supplemental Educational Opportunity Grant
<b>SFAP</b>	Student Financial Assistance Programs
<b>SOA</b>	Statement of Account
<b>SPG</b>	Scheduled Pell Grant
<b>SQA</b>	Software Quality Assurance
<b>SQL</b>	Structure Query Language
<b>SSN</b>	Social Security Number

## ***T***

<b>TIVWAN</b>	Title IV Wide Area Network
<b>TPC</b>	Total Payment Ceiling

## ***U***

<b>UniKix</b>	CICS emulator for UNIX systems
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## **V**

**VDC** Virtual Data Center

**VSAM** Virtual Storage Access Method

## **W**

**WAN** Wide Area Network

**WWW** World Wide Web

## **Y**

**YTD** Year-to-Date

# Appendix C - ESOA Print Format and Specifications

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## Electronic Statement of Account (ESOA)

### Description

The Electronic Statement of Account (ESOA) details an institution's spending authorization and amount expended to date.

This section provides a sample as specified in EExpress software.

### Output Specifications (Layout and Printing Instructions)

The ESOA report contains:

- Header - see Sample Output Document for correct header information.
- Summary Information – see the following ESOA Print (Summary Information) table.
- Detail Information – see the ESOA Detail Information table that follows the ESOA Print (Summary Information) table.

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## Electronic Statement of Account (ESOA)

### ESOA Print (Summary Information)

This table of print specifications is used in EDEExpress software and is provided as an example.

Row	Field Name in EDEExpress	Printing Instructions
1		Print a blank row.
2	Pell Institution Number	Print the value for this field as defined on the Pell ESOA database table for the specified institution.
3	Institution Name	Print the value for this field associated with the Reporting Campus ID # as defined on the Pell institution database table.
4	State	Print the value for this field associated with the Reporting Campus ID # as defined on the Pell institution database table.
5	Grantee Duns Number	Print the value for this field as defined on the Pell ESOA database table for the specified institution.
6	GAPS Award Number	Print the value for this field as defined on the Pell ESOA database table for the specified institution.
7		Print a blank row.
8	Accounting Schedule	Print the value for this field as defined on the Pell ESOA database table for the specified institution.
9	Accounting Schedule Date	Print the value for this field as defined on the Pell ESOA database table for the specified institution. Print date in MM/DD/CCYY format.
10		Print a blank row.
11	A. Previous Pell Grant Obligation	Print the value for this field as defined on the Pell ESOA database table for the specified institution. Reformat dollar amount.
12	Current Pell Grant Obligation	Print the value for this field as defined on the Pell ESOA database table for the specified institution. Reformat dollar amount.

## ESOA Print (Summary Information) (Continued)

Row	Field Name in EDEExpress	Printing Instructions
13	Adjustment (Increase + or Decrease -)	Print the value for this field as defined on the Pell ESOA database table for the specified institution. Reformat dollar amount. Calculate Adjusted Obligation Amount as the absolute value of (Previous minus Current). If current is higher, print a "+" after the Adjustment amount; if the previous is higher, print a "-" after the Adjustment amount.
14		Print a blank row.
15	A. Previous Pell Grant Obligation/Payment	Print the value for this field as defined on the Pell ESOA database table for the specified institution. Reformat dollar amount.
16	Current Pell Grant Obligation/Payment	Print the value for this field as defined on the Pell ESOA database table for the specified institution. Reformat dollar amount.
17	Adjustment (Increase + or Decrease -)	Print the value for this field as defined on the Pell ESOA database table for the specified institution. Reformat dollar amount. Calculate Adjusted Payment Amount as the absolute value of (Previous minus Current). If current is higher, print a "+" after the Adjustment amount; if the previous is higher, print a "-" after the Adjustment amount.
18		Print a blank row.
19	GAPS Drawdowns/Payments	Print the value for this field as defined on the Pell ESOA database table for the specified institution. Reformat dollar amount.
20	Date of Last Activity in GAPS	Print the value for this field as defined on the Pell ESOA database table for the specified institution. Print date in MM/DD/CCYY format.
21		Print a blank row.
22	YTD Total Unduplicated Recipients	Print the value for this field as defined on the Pell ESOA database table for the specified institution. Insert ','s if number is over 999. If spaces, leave blank.
23	YTD Pell Accepted Disbursement Amount	Print the value for this field as defined on the Pell ESOA database table for the specified institution. Reformat dollar amount.
24	YTD GAPS Posted Disbursement Amount	Print the value for this field as defined on the Pell ESOA database table for the specified institution. Reformat dollar amount.

## ESOA Print (Summary Information) (Continued)

Row	Field Name in EDEExpress	Printing Instructions
25	YTD Administrative Cost Allowance	Print the value for this field as defined on the Pell ESOA database table for the specified institution. Reformat dollar amount.
26		Print a blank row.
27	As of Batch ID	Print the value for this field as defined on the Pell ESOA Summary database table for the specified institution. Print format for batch # is : XXCCYY123456CCYYMMDDHHMMSS
28		Print a blank row.
29		Print a blank row.
30	Section A values applicable only for advanced funded accounts.	Print Section A Notation as stated below: Section A values applicable only for advanced funded accounts.
31	Section B values applicable only for just in time and Reimbursement accounts.	Print Section B Notation as stated below: Section B values applicable only for just in time and reimbursement accounts.

## ESOA Detail Information

Row	Column	Field Name in EDEExpress	Printing Instructions
1	N/A	Electronic Statement of Account Page: 2	Print the label and the insert the page #.
2	N/A	Blank Line	Print a blank line.
3	N/A	Blank Line	Print a blank line.
4	N/A	ESOA Detail Batch Information	Print the literal section label: 'ESOA DETAIL BATCH INFORMATION'.
5	N/A	Blank Line	Print a blank line.
6	1	Adjust Report Date	Print the value for this field as defined on the Pell ESOA detail database table for the specified institution. Print date in MM/DD/CCYY format.
6	2	Adjust Amount	Print the value for this field as defined on the Pell ESOA detail database table for the specified institution. Reformat dollar amount. If the DEBITCREDITFLAG on the ESOA Detail table is "P", print a "+" after the amount; if the flag is "N", print a "-" after the amount.
6	3	Adjust Process Date	Print the value for this field as defined on the Pell ESOA detail database table for the specified institution. Print date in MM/DD/CCYY format.
6	4, Line 1	Adjust Batch #	Print the value for this field as defined on the Pell ESOA detail database table for the specified institution.
6	4, Line 2	Adjust Description	Print the literal value for this field as defined on the Pell ESOA detail database table for the specified institution.

---

# Sample Output Document

## SUMMARY INFORMATION

Report Date: MM/DD/CCYY U.S. DEPARTMENT OF EDUCATION  
STUDENT FINANCIAL ASSISTANCE PROGRAMS

Report Time: HH:MM:SS

2001-2002 Award Year  
FEDERAL PELL GRANT PROGRAM  
ELECTRONIC STATEMENT OF ACCOUNT

\*\*\*\*\*

PELL INSTITUTION NUMBER 999999  
INSTITUTION NAME XXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXX  
STATE XX  
GRANTEE DUNS NUMBER XXXXXXXXXXXX  
GAPS AWARD NUMBER XXXXXXXXXXXXXXXXXXXX

Accounting Schedule 999  
Accounting Schedule Date MM/DD/CCYY

A. Previous Pell Grant Obligation \$999,999,999.99  
Current Pell Grant Obligation \$999,999,999.99  
Adjustment (Increase + or Decrease -) \$099,999,999.99\*

B. Previous Pell Grant Obligation/Payment \$999,999,999.99  
Current Pell Grant Obligation/Payment \$999,999,999.99  
Adjustment (Increase + or Decrease -) \$099,999,999.99\*

GAPS Drawdowns/Payments \$999,999,999.99  
Date of Last Activity in GAPS MM/DD/CCYY

YTD Total Unduplicated Recipients 999,999  
YTD Pell Accepted Disbursement Amount \$999,999,999.99  
YTD GAPS Posted Disbursement Amount \$999,999,999.99  
YTD Administrative Cost Allowance \$999,999,999.99

As of Batch ID XXCCYY12345619990101123000

SECTION A VALUES APPLICABLE ONLY FOR ADVANCED FUNDED ACCOUNTS.  
SECTION B VALUES APPLICABLE ONLY FOR JUST IN TIME AND REIMBURSEMENT ACCOUNTS.

**DETAILED INFORMATION (PAGE 2)**

Electronic Statement of Account Page: 2

ESOA DETAIL BATCH INFORMATION

ADJUST REPORT DATE	ADJUST AMOUNT	ADJUST PROCESS DATE	ADJUST BATCH # ADJUST DESCRIPTION
MM/DD/CCYY	\$999,999,999.99*	MM/DD/CCYY	XXCCYY12345619990101123000 XXXXXXXXXXXXXXXXXXXXXXX
MM/DD/CCYY	\$999,999,999.99*	MM/DD/CCYY	XXCCYY12345619990101123000 XXXXXXXXXXXXXXXXXXXXXXX
MM/DD/CCYY	\$999,999,999.99*	MM/DD/CCYY	XXCCYY12345619990101123000 XXXXXXXXXXXXXXXXXXXXXXX
MM/DD/CCYY	\$999,999,999.99*	MM/DD/CCYY	XXCCYY12345619990101123000 XXXXXXXXXXXXXXXXXXXXXXX
MM/DD/CCYY	\$999,999,999.99*	MM/DD/CCYY	XXCCYY12345619990101123000 XXXXXXXXXXXXXXXXXXXXXXX
MM/DD/CCYY	\$999,999,999.99*	MM/DD/CCYY	XXCCYY12345619990101123000 XXXXXXXXXXXXXXXXXXXXXXX
MM/DD/CCYY	\$999,999,999.99*	MM/DD/CCYY	XXCCYY12345619990101123000 XXXXXXXXXXXXXXXXXXXXXXX

# Appendix D – Edit Comment Codes and Descriptions

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## Introduction

This section provides a table to help you interpret the various edit codes that are used in the RFMS process and their related comments. The information is grouped according to the following column headings:

- **Edit Code** – the number that is assigned if the RFMS edit condition(s) is met. This column also lists one of the three edit types. They are:
  - W Warning and/or Corrected
  - E Rejected
  - D Duplicate
- **Message** – the explanation that displays for the prescribed edit condition.
- **RFMS Condition and Action** – a description of the situation that caused the edit and the action taken either to resolve it and/or to notify the school of the potential error.
- **What It Means** – further explanation of the message in an effort to make the cause of the edit clearer.
- **How to Fix It** – what the user must do to resolve the mistaken condition.

The following comparison operators are used in performing these edits:

Equals	=
Less than	<
Greater than	>
Less than or equal to	<=
Greater than or equal to	>=
Not equal to	<>
A parameter value that can be changed between cycles, this is the data that comes from the ALGORITHM and AWARD YEAR tables and can be made year- specific.	@

## Batch Edit/Reject Codes

Edit Code and Type	Message	RFMS Condition and Action	What It Means	How to Fix It
201 E	“Missing/ Mismatched Grant Batch Header”	If ANY of the following are true: <ul style="list-style-type: none"> <li>• Grant Batch Header Record is missing</li> <li>• Batch Number in Header Record does not match Batch Number in Trailer</li> <li>• Literal “GRANT HDR” is misspelled or not all uppercase</li> </ul> REJECT BATCH Set edit code 201	Occurs when there is no Grant Batch Header, when the Batch Number in the header and trailer do not match, or when the “GRANT HDR” is misspelled or not in uppercase.	RFMS: Resubmit the batch with a new batch number in the Grant Batch Header and Trailer. ***** EExpress: Regenerate the batch and export again. If problem still occurs, contact CPS Customer Service.
202 E	“Missing/ Mismatched Grant Batch Trailer”	If ANY of the following are true: <ul style="list-style-type: none"> <li>• Grant Batch Trailer Record is missing</li> <li>• Batch Number in Trailer Record does not match Batch Number in Header</li> <li>• Literal “GRANT TLR” is misspelled or not all uppercase</li> </ul> REJECT BATCH Set edit code 202	Occurs when there is no Grant Batch Trailer, when the Batch Number in the header and trailer do not match or when the “GRANT TLR” is misspelled or not in uppercase.	RFMS: Resubmit the batch with a new batch number in the Grant Batch Header and Trailer. Verify “TLR” is spelled correctly. ***** EExpress: Regenerate the batch and export again. If problem still occurs, contact CPS Customer Service.

## Batch Edit/Reject Codes (Continued)

Edit Code and Type	Message	RFMS Condition and Action	What It Means	How to Fix It
203 E	"Duplicate Grant Batch Header"	If the Batch Number already exists on the database  REJECT BATCH Set edit code 203	Occurs when the Batch Number has been used before either with the same batch or a different batch.	RFMS: Resubmit the batch with a new Batch Number in the Grant Batch Header and Trailer.  EExpress: First verify that you have not sent in a duplicate batch by opening a student record with this Batch ID. If the batch is NOT acknowledged, regenerate the batch and export again.
204				Reserved for future use.
205				Reserved for future use.
206 E	"Data Record Length must be numeric"	If Data Record Length is nonnumeric  REJECT BATCH Set edit code 206	Occurs when the record length in the Grant Batch Header and Trailer is missing or has a nonnumeric character.	RFMS: Resubmit the batch with a new batch number in the Grant Batch Header and Trailer and the correct record length.  ***** EExpress: Regenerate the batch and export again. If problem still occurs, contact CPS Customer Service.

## Batch Edit/Reject Codes (Continued)

Edit Code and Type	Message	RFMS Condition and Action	What It Means	How to Fix It
207 E	"Reported Number of Records must be numeric"	If reported number of records is nonnumeric  REJECT BATCH Set edit code 207	Occurs when the Reported number of records in the Grant Batch Trailer is missing or has a nonnumeric character.	RFMS: Resubmit the batch with a new batch number in the Grant Batch Header and Trailer and the correct number of records.  ***** EExpress: Regenerate the batch and export again. If problem still occurs, contact CPS Customer Service.
208 E	"Reported Total of Batch must be numeric"	If Reported Total of Batch in the Trailer record is nonnumeric  REJECT BATCH Set edit code 208	Occurs when the dollar Total of the Batch is either missing or has a nonnumeric character.	RFMS: Resubmit the batch with a new batch number in the Grant Batch Header and Trailer and a new Reported Total of Batch in the Grant Batch Trailer.  ***** EExpress: Regenerate the batch and export again. If problem still occurs, contact CPS Customer Service.

## Batch Edit/Reject Codes (Continued)

Edit Code and Type	Message	RFMS Condition and Action	What It Means	How to Fix It
209 E	“Invalid/Missing Batch Number”	<p>If Batch Number does not have a length of 26</p> <p>REJECT BATCH Set edit code 209</p>	<p>Occurs when:</p> <ul style="list-style-type: none"> <li>• the batch number is missing,</li> <li>• is not the proper length of 26 characters, or</li> <li>• is not properly formatted.</li> </ul>	<p>RFMS: Resubmit the batch with a new Batch Number in the Grant Batch Header and Trailer.</p> <p>*****</p> <p>EDEExpress: Regenerate the batch and export again. If problem still occurs, contact CPS Customer Service.</p>
210 E	“Year must be numeric”	<p>If ANY of the following are true:</p> <ul style="list-style-type: none"> <li>• Positions 3 to 6 of the Batch ID are nonnumeric</li> <li>• Positions 3 to 6 of the Batch ID do not equal a valid RFMS Award Year @</li> </ul> <p>REJECT BATCH Set edit code 210</p>	<p>Occurs when the year is missing or nonnumeric.</p>	<p>RFMS: Correct the award year and resubmit the batch with a new Batch Number in the Grant Batch Header and Trailer.</p> <p>*****</p> <p>EDEExpress: Regenerate the batch and export again. If problem still occurs, contact CPS Customer Service.</p>

## Batch Edit/Reject Codes (Continued)

Edit Code and Type	Message	RFMS Condition and Action	What It Means	How to Fix It
211 E	"Pell ID must be numeric"	If Positions 7 to 12 of the Batch ID are nonnumeric  REJECT BATCH Set edit code 211	Occurs when the Pell ID is missing or nonnumeric.	RFMS: Resubmit the batch with a new Batch Number in the Grant Batch Header and Trailer and also correct or include the Reporting Campus Pell ID in the Batch Number. ***** EExpress: Verify that the correct Reporting Campus Code is displayed in the export screen. If so, regenerate the batch and export again. If problem still occurs, contact CPS Customer Service.
212 E	"Pell ID invalid or not found"	If Pell ID is not found in the institution table  REJECT BATCH Set edit code 212	If Pell ID is incorrect or missing, the batch can not be returned to the school.	RFMS: Resubmit the batch with a new Batch Number in the Grant Batch Header and Trailer and also correct or include the Reporting Campus Pell ID in the Batch Number. ***** EExpress: First verify you have created your student records using the correct Reporting/Attended Campus Codes. If yes, regenerate the batch and export again. If problem still occurs, contact CPS Customer Service.

## Batch Edit/Reject Codes (Continued)

Edit Code and Type	Message	RFMS Condition and Action	What It Means	How to Fix It
213 E	"Creation date must be numeric"	<p>If ANY of the following are true:</p> <ul style="list-style-type: none"> <li>• Positions 13 – 14 of the Batch ID do not equal 19 or 20(century)</li> <li>• Positions 15 – 16 of the Batch ID do not equal 00 to 99 (year)</li> <li>• Positions 17 – 18 of the Batch ID do not equal 01 to 12 (month)</li> <li>• Positions 19 – 20 of the Batch ID do not equal 01 to 31(day), based on the Month value</li> </ul> <p>REJECT BATCH Set edit code 213</p>	Occurs if date is missing or nonnumeric.	<p>RFMS: Correct the date in the Batch Number and resubmit the batch with a new Batch Number in the Grant Batch Header and Trailer.</p> <p>*****</p> <p>EDEExpress: Regenerate the batch and export again. If problem still occurs, contact CPS Customer Service.</p>
214 E	"Creation time invalid"	<p>If ANY of the following are true:</p> <ul style="list-style-type: none"> <li>• Positions 21 – 22 of the Batch ID do not equal 00 to 23 (hours)</li> <li>• Positions 23 – 24 of the Batch ID do not equal 00 to 59 (minutes)</li> <li>• Positions 25 - 26 of the Batch ID do not equal 00 to 59 (seconds)</li> </ul> <p>REJECT BATCH Set edit code 214</p>	Occurs if time is missing or nonnumeric.	<p>RFMS: Correct the time in the Batch Number and resubmit the batch with a new Batch Number in the Grant Batch Header and Trailer.</p> <p>*****</p> <p>EDEExpress: Regenerate the batch and export again. If problem still occurs, contact CPS Customer Service.</p>

## Batch Edit/Reject Codes (Continued)

Edit Code and Type	Message	RFMS Condition and Action	What It Means	How to Fix It
215 E	"Batch Type Invalid"	<p>If Batch Type is not valid for the award year @ in the Batch ID of the incoming record</p> <p>REJECT BATCH Set edit code 215</p>	Occurs if record type is invalid or missing.	<p>RFMS: Correct the batch type code and resubmit with a new Batch Number in the Grant Batch Header and Trailer.</p> <p>*****</p> <p>EDEExpress: Regenerate the batch and export again. If problem still occurs, contact CPS Customer Service.</p>
216 W	"Grantee DUNS does not match the institution's Reporting Pell ID in Batch Number for Award Years prior to 2001-2002"	<p>If <b>ALL</b> of the following are true:</p> <ul style="list-style-type: none"> <li>• DUNS Number is nonblank</li> <li>• DUNS Number is not assigned to that Reporting Campus (position 46-51)</li> <li>• Award Year portion of batch number &lt;=2001</li> </ul> <p>Set edit code 216</p>	Occurs if "Grantee DUNS Number Does Not Match" for award years 2000-2001 and prior. It is reserved for future use as of Award Year 2001-2002.	<p>RFMS Warning Message – No Correction Necessary.</p> <p>EDEExpress: N/A</p>
217 E	"Discrepancy between different records with identical batch number"	<p>The Record Length on the header record does not match the Record Length on the trailer record</p> <p>REJECT BATCH Set edit code 217</p>	Occurs when the Grant Batch Header detail information does not match the Grant Batch Trailer detail information for a batch.	<p>RFMS: Review Grant Batch Header and Trailer and correct any discrepancies.</p> <p>*****</p> <p>EDEExpress: Regenerate the batch and export again. If problem still occurs, contact CPS Customer Service.</p>

## Batch Edit/Reject Codes (Continued)

Edit Code and Type	Message	RFMS Condition and Action	What It Means	How to Fix It
218 W	“Reported Number of Records does not equal count of detail records”	<p>The “Reported Number of Records” in the Trailer does not equal the actual number of detail records in the batch</p> <p>Set edit code 218</p>	Occurs when the reported Number of Records does not match the actual total of records received.	<p>RFMS: Warning message – no correction necessary. *****</p> <p>EDExpress: Contact CPS Customer Service.</p>
219 W	“Total of Batch does not equal computed total of detail record amounts”	<p>The “Reported Total of Batch” in the Trailer does not equal the actual total of the batch</p> <p>If Type is #O:</p> <ul style="list-style-type: none"> <li>• Use Origination Award to determine the total of the batch</li> </ul> <p>If the Type is #D (or prior to 2001 – 2002 cycle)</p> <ul style="list-style-type: none"> <li>• Use the disbursement amount to determine the total of the batch</li> </ul> <p>Set edit code 218</p>	Occurs when the reported Total of Batch does not match the actual total of batch.	<p>RFMS: Warning message – no correction necessary. *****</p> <p>EDExpress: Contact CPS Customer Service.</p>
220 W	“Reported Sign Indicator must be a valid indicator”	<p>If Reported Sign Indicator is not a “P” or “N”</p> <p>Set the Sign Indicator to ‘P’</p> <p>Set edit code 220</p>	Occurs when the Positive (P) or Negative (N) indicator is not present.	<p>RFMS: Warning message, correction applied – no further action necessary. *****</p> <p>EDExpress: Contact CPS Customer Service.</p>

## Batch Edit/Reject Codes (Continued)

Edit Code and Type	Message	RFMS Condition and Action	What It Means	How to Fix It
221 E	“Reporting Campus Pell Institution ID is a branch”	The Institution’s Campus Type is 3 (School is a Non-funded Branch campus)  REJECT BATCH Set edit code 221	Occurs when the Pell ID number in Grant Batch Header is a branch campus.	RFMS: Change the branch campus Pell ID to the Reporting Campus Pell ID number. If there is no other campus ID number, contact the Federal Pell Grant Hotline.  ***** EExpress: Verify records were created under the correct Reporting/Attended Campus codes. If not, delete records and recreate them under the correct codes. If they are under the correct codes, regenerate the batch and export again.
222 W	“ <i>Institution School</i> is currently ineligible upon receipt of batch at RFMS”	The Institution’s Eligible Flag is < > “Y”  Set edit code 222	Occurs when the Pell ID in the Grant Batch Header is ineligible.	RFMS: Warning message, contact Federal Pell Grant Hotline.  ***** EExpress: Verify the correct Reporting/Attended campus IDs are defined in setup. If they are, then contact Federal Pell Grant Hotline.

## Batch Edit/Reject Codes (Continued)

Edit Code and Type	Message	RFMS Condition and Action	What It Means	How to Fix It
224 E	“Invalid Message Class”	If the message class does not exist on the database  REJECT BATCH Set edit code 224	Occurs when wrong message class is selected by the user when submitting a batch through TIVWAN.  OR When Non-Express users assign an incorrect message class name to the batch.	RFMS: Resubmit the batch with a new Batch Number in the Grant Batch Header and Trailer and send in the correct TIVWAN message class. ***** EExpress: Retransmit the batch in EDconn32, making sure to select the appropriate message class.
225 E	“Data Record Length is not valid for Message Class”	If Data Record Length is not valid for message class  REJECT BATCH Set edit code 225	Occurs when wrong message class is selected by the user when submitting a batch through TIVWAN.	RFMS: Resubmit the batch with a new Batch Number in the Grant Batch Header and Trailer and send in the correct TIVWAN message class. ***** EExpress: Retransmit the batch in EDconn32, making sure to select the appropriate message class.
226 E	“Batch type code in Batch Number must equal record type for Message Class”	If Batch type code in Batch Number is not equal to record type for Message Class  REJECT BATCH Set edit code 226	Occurs when wrong message class is selected by the user when submitting a batch through TIVWAN.  OR Occurs when a non-Express User assigns the wrong batch type code in the Batch ID.	RFMS: Resubmit the batch with a new Batch Number in the Grant Batch Header and Trailer and send in the correct TIVWAN message class. ***** EExpress: Regenerate the batch and export again.

## Batch Edit/Reject Codes (Continued)

Edit Code and Type	Message	RFMS Condition and Action	What It Means	How to Fix It
227 E	"Batch Create Date is greater than current system date"	If the Batch Create Date is greater than current system date  REJECT BATCH Set edit code 227	Occurs when a future date is entered in the Batch Number or when the date on the PC that batch was created has a future date.	RFMS: Resubmit the batch with a new Batch Number in the Grant Batch Header and Trailer and a corrected date. Verify the date on your PC is current and correct. ***** EExpress: If the date on your PC is current and correct, regenerate the batch and export again.
228 E	"Batch Number indicates you have included a batch with data from a different Award Year"	If the Message Class is not valid for the Award Year @ in the Batch ID of the incoming record  REJECT BATCH Set edit code 228	Occurs when the Award Year in the Batch Number is incorrect.	RFMS: Verify the batch was created with software for the correct award year or if the wrong Award Year was entered in error. Resubmit the batch with a new Batch Number in the Grant Batch Header and Trailer and a corrected Award Year. ***** EExpress: Regenerate the batch and export again. If problem still occurs, contact CPS Customer Service.

## Batch Edit/Reject Codes (Continued)

Edit Code and Type	Message	RFMS Condition and Action	What It Means	How to Fix It
229 E	“Batch submitted prior to system start-up date”	If Batch Create Date is < the Process Begin Date @ for the Award Year  REJECT BATCH Set edit code 229	Occurs when batch is submitted prior to official start-up date.	RFMS: Resubmit the batch with a new Batch Number in the Grant Batch Header and Trailer after the system start-up date.  ***** EExpress: On or after the system start-up date, regenerate the batch and export again.
230 E	“Disbursements submitted prior to award year start date”	If Batch Create Date is < Disbursement Begin Date @ for the Award Year  REJECT BATCH Set edit code 230	Occurs when disbursement batch is submitted too early.	RFMS: Resubmit the batch with a new batch number in the Grant Batch Header and Trailer after Disbursement Start-up date.  ***** EExpress: On or after the disbursement start-up date, regenerate the batch and export again.
231 E	“Reporting <i>Institution School</i> must send Special Disbursement for Award Years prior to 2001-2002”	If <b>ALL</b> of the following are true for 2001-2002: <ul style="list-style-type: none"> <li>• The school is Reimbursement or Cash Monitoring</li> <li>• Award year is 1999-2000 or 2000-2001</li> </ul> REJECT BATCH Set edit code 231	This was “Reporting School Must Send Special Disbursement” for award years prior to 2001 – 2002. It is reserved for future use as of Award Year 2001-2002.	

## Batch Edit/Reject Codes (Continued)

Edit Code and Type	Message	RFMS Condition and Action	What It Means	How to Fix It
232 E	“No detail records in Batch”	No detail records in batch  REJECT BATCH Set edit code 232	Occurs if the batch had only a Grant Batch Header and Grant Batch Trailer with no data records.	RFMS: Resubmit the batch detail records with a new Batch Number in the Grant Batch Header and Trailer and a corrected date. ***** EDEXpress: Regenerate the batch and export again. If problem still occurs, contact CPS Customer Service.
233 E	“Invalid Destination Mailbox ID”	If Destination Mailbox ID does not exist on the database for the Award Year @ from the Batch ID of the incoming record  REJECT BATCH Set edit code 233	Occurs if the TG number is invalid or not assigned to send Pell data from the school. Some schools have multiple TG numbers but only one TG number is assigned to send Pell data. If another number is used in error, the batch will be rejected. Also if the batch is sent from a TG number assigned to an attended campus the batch will be rejected. The batch must be sent from the TG number assigned to the reporting campus.	RFMS: Verify that the correct TG number was used by contacting TIVWAN.

## Batch Edit/Reject Codes (Continued)

Edit Code and Type	Message	RFMS Condition and Action	What It Means	How to Fix It
234		Reserved for future use.		
235 W	“For Award year 2000-2001 and <i>prior . Blank</i> OUTPUT MEDIA TYPE. Set to media type that was received”	If ANY of the following are true: <ul style="list-style-type: none"> <li>• Media Type does not = “E”, “Y” or blank for award year 2000 – 2001 and beyond</li> </ul> Media Type equals “Y” and Version Number does not equal ‘WEB’	Occurred in award year 2000-2001 when there was nothing in the Media Type field. The default was the same media type as was received.  It is reserved for future use as of Award Year 2001-2002.	
236 E	“Trailer Message Class does not match the Header”	If Trailer Message Class does not match the Header Message Class  REJECT BATCH Set edit code 236	Occurs when the TIVWAN Transmission Header message class does not match the TIVWAN Transmission Trailer message class.	Resubmit the batch with a corrected message class in the TIVWAN Transmission Header and Trailer and a new Batch Number in the Grant Batch Header and Trailer.
238 E	“Trailer Destination Mailbox ID does not match the Header”	If Trailer Destination Mailbox ID does not match the Header Destination Mailbox ID  REJECT BATCH Set edit code 238	Occurs when the TIVWAN Transmission Header Destination Mailbox ID does not match the TIVWAN Transmission Trailer Destination mailbox ID.	Resubmit the batch with a new Batch Number and same mailbox in the TIVWAN Transmission Header and Trailer after Disbursement Start-up date.

## Batch Edit/Reject Codes (Continued)

Edit Code and Type	Message	RFMS Condition and Action	What It Means	How to Fix It
239 W	“ <i>Institution School</i> is not using the latest release of EDEExpress”	<p>If <b>ALL</b> of the following are true:</p> <ul style="list-style-type: none"> <li>• The EDEExpress Version number is nonblank</li> <li>• The Express Version number does not equal ‘WEB’</li> <li>• The EDEExpress Version number in the Header record does not match the Most Current Version Number @ in the database</li> </ul> <p>Set edit code 239.</p>	Occurs when the version of EDEExpress used is not the most current version.	<p>RFMS: Warning message- no further action is necessary. *****</p> <p>EDEExpress: Verify you are using the latest version of EDEExpress by clicking on Help/About EDEExpress for Windows. If you are not using the latest version, complete your installation following the procedures outlined in your installation guide. Subsequent batches submitted to RFMS should no longer receive this type of warning.</p>
240 W	“OPE ID Number does not match the Institutions Reporting Pell ID in the Batch Number for Award Years after 2000-2001”	<p>If <b>ALL</b> of the following are true:</p> <ul style="list-style-type: none"> <li>• OPE ID Number is nonblank</li> <li>• OPE ID Number is not assigned to that Reporting Campus (position 46 – 51)</li> <li>• Award Year portion of batch number &gt;= 2002</li> </ul> <p>Set edit code 240</p>	Occurs when the OPE ID is incorrect or does not match the reporting campus ID number.	Correct the OPE ID number or leave blank.

## Origination Edit/Reject Codes

Edit Code and Type	Message	RFMS Condition and Action	What It Means	How to Fix It
301 E	"Invalid Origination ID"	<p>If the Award Year portion of the Origination ID is &lt;=2001 and any of the following are true:</p> <ul style="list-style-type: none"> <li>• The SSN is nonnumeric</li> <li>• The Pell ID is nonnumeric for six positions</li> <li>• The Award &lt;&gt; the Award Year @ of the Batch</li> <li>• The Sequence Number is not "00"</li> <li>• The SSN is not &gt;=001010001 and &lt;999999999</li> <li>• The Name Code is not A-Z or "." or "" or "-" or "" or "\ "</li> </ul> <p>REJECT RECORD Set edit code 301</p>	<p>Occurred for the 2000-2001 Award Year when the Origination ID was incomplete, invalid or missing.</p> <p>It is reserved for future use as of the 2001-02 Award Year.</p>	

## Origination Edit/Reject Codes (Continued)

Edit Code and Type	Message	RFMS Condition and Action	What It Means	How to Fix It
302 E	"Duplicate Origination for Award Year 2001 and before"	<ul style="list-style-type: none"> <li>• If the Award Year portion of the Origination ID is &lt;=2001 and <b>ALL</b> of the following fields on the input Origination record match the values on the database:</li> <li>• Origination ID</li> <li>• Original SSN</li> <li>• Original Name Code</li> <li>• Attended Pell ID</li> <li>• Award Amount</li> <li>• Estimated Disbursement Dates (1 – 15)</li> <li>• Enrollment Date</li> <li>• Incarcerated Code</li> <li>• Low Tuition and Fees Code</li> <li>• Verification Status Code</li> <li>• Transaction Number</li> <li>• Secondary EFC Code</li> <li>• Expected Family Contribution (EFC)</li> <li>• Enrollment Status</li> <li>• Cost of Attendance (COA)</li> <li>• Academic Calendar (AC)</li> <li>• Payment Methodology (PM)</li> <li>• Weeks of Instructional Time in Program's Definition of Academic Year (WKSPROG)</li> <li>• Weeks of Instructional Time Used to Calculate Payment (WKSCALC)</li> <li>• Credit/Clock Hours in Program's Definition of Academic Year (HRSPROG)</li> <li>• Credit/Clock Hours in all Payment Periods Expected to Complete (HRSCALC)</li> </ul> <p>REJECT RECORD Set edit code 302</p>	<p>Occurred for Award Year 2000-2001 when the Origination record was sent to RFMS more than once with no change in the record.</p> <p>It is reserved for future use as of the 2001-2002 Award Year.</p> <p>For 2001-2002 edit, code 331 is set as a warning instead.</p>	

## Origination Edit/Reject Codes (Continued)

Edit Code and Type	Message	RFMS Condition and Action	What It Means	How to Fix It
303 E	<p>“Invalid Original SSN resulting in RFMS being unable to match with the Applicant record for Award Year 2002 and beyond”</p> <p>“Invalid Original SSN or Name Code resulting in RFMS being unable to match with the Applicant record for Award Year 2000-2001 and before.</p>	<p>If Award Year &gt;= 2002 and if ANY of the following are true:</p> <ul style="list-style-type: none"> <li>• The Original SSN does not have a matching Applicant record</li> <li>• The Original SSN does not match the SSN portion of the Origination ID</li> </ul> <p>If Award Year &lt;=2001 and if ANY of the following are true:</p> <ul style="list-style-type: none"> <li>• If Original SSN or Original Name Code do not have a matching Applicant record</li> <li>• The Original SSN does not match the SSN portion of the Origination ID</li> <li>• The Original Name Code does not match the Name Code portion of the Origination ID</li> </ul> <p>REJECT RECORD Set edit code 303</p>	<p>Occurs when the SSN can not be found on the applicant file. Codes 311 and 312 are usually reported at the same time.</p>	<p>Verify that the SSN in the Origination ID is correct; verify that the student is Pell eligible.</p> <p>Correct the record and resubmit if the student is eligible.</p>

## Origination Edit/Reject Codes (Continued)

Edit Code and Type	Message	RFMS Condition and Action	What It Means	How to Fix It
304 E	“Attendeding and Reporting/Funded campus mismatch or Origination Identifier Pell ID mismatch with Attendeding campus Pell ID”	<p>If ANY of the following are true:</p> <ul style="list-style-type: none"> <li>• Attended Pell ID does not match the Pell ID portion of the Origination ID</li> <li>• The Pell ID does not exist in the database</li> <li>• Attended Pell ID is nonnumeric</li> <li>• Attended Pell ID is not a Branch of Pell ID in the Batch Number located in the Grant Batch Header and the Attended Pell ID is not a Reporting Campus</li> </ul> <p>REJECT RECORD Set edit code 304</p>	Occurs when the Pell reporting campus in the Grant Batch header record has no relationship with the Attended Campus in the student Origination record. If the Pell Reporting Campus ID in the Grant Batch Header is different than the Pell Attended Campus ID in the student Origination ID then RFMS checks that there is a relationship in the RFMS database between the two campuses. If there is not, the record is rejected.	<p>RFMS: Resubmit the student Origination record with the correct Pell Reporting Campus ID in the Grant Batch Header.</p> <p>*****</p> <p>EDEExpress: Verify the record is created under the correct Origination ID. If not, delete record and recreate it using the correct Reporting/Attended campus ID. Export new record and transmit to RFMS.</p>
305 W	“Invalid Award Amount/Correction Applied”	<p>If ANY of the following are true:</p> <ul style="list-style-type: none"> <li>• Award amount is non-numeric</li> <li>• Award amount is not in valid range (0 – maximum award @)</li> <li>• Award amount is greater than calculated/ recalculated award amount</li> </ul> <p>Set the Accepted Award amount to the Calculated/Recalculated Award Amount. If the pennies are greater than 0 set to 0</p> <p>Set edit code 305</p>	Occurs when RFMS corrects the calculation for the Origination award amount. RFMS calculates the Award Amount based on the student’s EFC, COA, Attendance, and the School’s Payment Methodology and Academic Calendar.	Verify that the student’s EFC, COA, Attendance, and the School’s Payment Methodology and Academic Calendar are correct and resubmit. If no new Origination record is submitted, the accepted award amount will remain the amount that RFMS calculated.

## Origination Edit/Reject Codes (Continued)

Edit Code and Type	Message	RFMS Condition and Action	What It Means	How to Fix It
306 W	“Invalid Disbursement Date/Correction Applied”	<p>If ANY of the following are true:</p> <ul style="list-style-type: none"> <li>• If Estimated Disbursement Date 1 is blank or</li> <li>• If Estimated Disbursement Date 1 is not in range ((Disbursement Start Date @ – N Days @) to Disbursement End Date @)</li> </ul> <p>Set it to the Minimum Estimated Disbursement date if the Estimated Disbursement date is less than the range</p> <p>Set it to the Maximum Estimated Disbursement Date if the Estimated Disbursement date is greater than the range.</p> <ul style="list-style-type: none"> <li>• If Estimated Disbursement Dates 2 – 15 are not in range ((Disbursement Start Date @ – N Days @) to Disbursement End Date @)</li> </ul> <p>Set the Estimated Disbursement Date to Blank.</p> <p>Set edit code 306</p>	Occurs when the Estimated Disbursement Date is out of range and RFMS corrects the date.	Warning Message – correction applied, no action necessary.

## Origination Edit/Reject Codes (Continued)

Edit Code and Type	Message	RFMS Condition and Action	What It Means	How to Fix It
307 W	“Invalid Enrollment Date/Correction Applied”	<p>If ANY of the following are true:</p> <ul style="list-style-type: none"> <li>• Enrollment date is nonnumeric</li> <li>• Enrollment date is not in valid range (Enrollment Start Date @ to Enrollment End Date @)</li> </ul> <p>The enrollment dates will come from the ALGORITHM table</p> <p>If Origination record is a change record then set Accepted Enrollment Date to previously accepted value</p> <p>Otherwise, set Accepted Enrollment Date to Creation Date in Batch ID located on Pell Grant Batch Header</p> <p>Set edit code 307</p>	Occurs when the enrollment date is out of range and RFMS corrects it to the batch processed date.	Warning Message – correction applied, no action necessary.

## Origination Edit/Reject Codes (Continued)

Edit Code and Type	Message	RFMS Condition and Action	What It Means	How to Fix It
308 W	“Invalid Low Tuition & Fees Code/Correction Applied”	<p>If the following is true:</p> <ul style="list-style-type: none"> <li>• If LTF is not in valid range (1 – 3 or blank)</li> </ul> <p>Then set Accepted LTF to previously accepted value if Origination record is a change;</p> <p>Otherwise set Accepted LTF to Blank</p> <p>If ANY of the following are true:</p> <ul style="list-style-type: none"> <li>• Accepted EFC &gt; LTF minimum EFC amount for the Award Year @</li> <li>• Accepted Cost of Attendance &lt; LTF maximum COA amount for the Award Year @</li> </ul> <p>Award Year Set Accepted LTF to Blank</p> <p>Set edit code 308</p>	Occurs when a school indicates that they qualify for low tuition but conflicting information (such as EFC and COA information) indicates they are not eligible.	<p>Warning Message – correction applied, no action necessary.</p> <p>If the school truly is a low tuition school, the Origination record must be resubmitted with corrected EFC and COA information.</p>

## Origination Edit/Reject Codes (Continued)

Edit Code and Type	Message	RFMS Condition and Action	What It Means	How to Fix It
309 W	“Invalid Verification Code/Correction Applied”	<p>If ANY of the following are true:</p> <ul style="list-style-type: none"> <li>• Verification Status is not A, C, N, R, S, T, or W</li> </ul> <p>Set Accepted Verification Status to previously accepted value if Origination is change record;</p> <p>Otherwise set Accepted Verification Status to W if Student is Selected for Verification by CPS;</p> <p>Otherwise, set Verification Status to N.</p> <p>If ANY of the following are true:</p> <ul style="list-style-type: none"> <li>• Verification Status is N and Student is Selected for Verification by CPS</li> <li>• Verification Status is R and Transaction Number = 01</li> </ul> <p>Set Accepted Verification Status code to W</p> <p>Set edit code 309</p>	<p>Occurs when the Verification Code has been corrected by RFMS. This occurs when</p> <ul style="list-style-type: none"> <li>• A code other than A, C, N, R, S, T, or W has been submitted, and the student was not selected or when “N” is sent and the student was selected.</li> <li>• “R” is sent with transaction 01.</li> </ul>	<p>The Origination record must be resubmitted with a new Verification Code if RFMS corrected the Verification Code to “W.”</p> <p>If the Verification Code was corrected to “N” by RFMS, no further action is necessary.</p>

## Origination Edit/Reject Codes (Continued)

Edit Code and Type	Message	RFMS Condition and Action	What It Means	How to Fix It
310 W	“Invalid Incarcerated Federal Pell Recipient Code/Correction Applied”	<p>If Incarcerated Federal Pell Recipient Code is not Y, N or Blank</p> <p>Set Accepted Incarcerated Federal Pell Recipient Code to Blank</p> <p>Set edit code 310</p>	Occurs when the Incarcerated Pell Recipient code has been corrected because something other than Y, N or blank was submitted.	Warning message – correction applied, no further action is necessary.
311 E	“Invalid Transaction Number”	<p>If ANY of the following are true:</p> <ul style="list-style-type: none"> <li>• Transaction Number is nonnumeric</li> <li>• Transaction Number is not in valid range (01 to 99)</li> <li>• Transaction Number does not exist on Applicant record</li> </ul> <p>REJECT RECORD Set edit code 311</p>	Occurs when the Transaction Number and EFC do not match, an incorrect or invalid Transaction Number is provided or when the SSN number is not on the applicant file. Often sent with 303 and 312.	<p>RFMS: Verify that the Transaction Number, EFC, Original SSN and Original Name Code are correct and that the student is Pell eligible. Correct and resubmit the Origination record. *****</p> <p>EDExpress: Verify the record is created under the correct Origination ID using a valid ISIR. If not, delete record and recreate using the correct Reporting /Attended Campus ID as well as the correct Transaction Number, EFC and Name ID. Export new record and transmit to RFMS.</p>

## Origination Edit/Reject Codes (Continued)

Edit Code and Type	Message	RFMS Condition and Action	What It Means	How to Fix It
312 E	“Invalid Expected Family Contribution”	<p>If ANY of the following are true:</p> <ul style="list-style-type: none"> <li>• EFC is nonnumeric</li> <li>• EFC is not in valid range (0 to maximum for Award Year @)</li> <li>• EFC does not match on Applicant record for the accepted transaction number</li> <li>• If Edit 311 is hit</li> <li>• If Accepted Secondary EFC code is S and Secondary EFC does not match on applicant record for the accepted transaction number</li> </ul> <p>Award Year</p> <p>REJECT RECORD Set edit code 312</p>	Occurs when the EFC does not match the Transaction Number, an incorrect or invalid EFC is provided, or when the SSN is not on the applicant file. Often sent with 303 and 311.	<p>RFMS: Verify that the Transaction Number, EFC, SSN and Name Code are correct and that the student is Pell eligible. Correct and resubmit the Origination record.</p> <p>*****</p> <p>EDEXpress: Verify the record is created under the correct Origination ID using a valid ISIR. If not, delete record and recreate using the correct Reporting/Attended campus ID as well as the correct Transaction Number, EFC and Name ID. Export new record and transmit to RFMS.</p>

## Origination Edit/Reject Codes (Continued)

Edit Code and Type	Message	RFMS Condition and Action	What It Means	How to Fix It
313 W	“Invalid Secondary Expected Family Contribution/Correction Applied”	<p>If the following is true:</p> <ul style="list-style-type: none"> <li>• If Secondary EFC Code is not O, S or Blank</li> </ul> <p>Set Accepted Secondary EFC code to previously accepted value;</p> <p>Otherwise, set accepted secondary EFC code to Blank.</p> <p>If ANY of the following are true:</p> <ul style="list-style-type: none"> <li>• If Secondary EFC Code is S and the Applicant record for the accepted transaction number does not have a Secondary EFC</li> <li>• If Secondary EFC Code is O and previous value is not S</li> </ul> <p>Set Accepted Secondary EFC code to blank</p> <p>Set edit code 313</p>	Occurs when something other than O, S, or Blank has been submitted and RFMS corrects the record.	Warning message – correction applied, no further action is necessary.

## Origination Edit/Reject Codes (Continued)

Edit Code and Type	Message	RFMS Condition and Action	What It Means	How to Fix It
314 W	“Invalid Academic Calendar/Correction Applied”	<p>If AC is not 1 to 6</p> <p>If Origination is change record set Accepted AC to previously accepted value</p> <p>Otherwise, if Attended Pell ID default value is populated and valid, then set accepted AC to default value</p> <p>Otherwise, if Reporting Pell ID default value is populated and valid, then set accepted AC to default</p> <p>Otherwise, if Payment Methodology = 4, then set accepted AC to “5”</p> <p>Otherwise, set accepted AC to “3”</p> <p>Set edit code 314</p>	Occurs when the Academic Calendar is invalid (not 1-6) or missing and RFMS corrects.	<p>Verify that the corrected Academic Calendar is correct. If it is correct, no further action is necessary.</p> <p>If the Academic Calendar is incorrect, resubmit the Origination record with the correct Academic Calendar and make sure the Payment Methodology matches the Academic Calendar.</p>

## Origination Edit/Reject Codes (Continued)

Edit Code and Type	Message	RFMS Condition and Action	What It Means	How to Fix It
315 W	“Invalid Payment Methodology/ Correction Applied”	<p>If ANY of the following are true:</p> <ul style="list-style-type: none"> <li>• AC = 1 and PM &lt;&gt; 3 or 5</li> <li>• AC = 2 – 4 and PM = 4</li> <li>• AC = 6 and PM &lt;&gt; 4</li> <li>• AC = 5 and PM = 5</li> </ul> <p>If Origination is change record and Accepted PM is valid with current AC then set to previously accepted value</p> <p>Otherwise, if Accepted AC = 1 – 4, then set Accepted PM to 3</p> <p>Otherwise set Accepted PM to 4</p> <p>Set edit code 315</p>	Occurs when the Payment Methodology is invalid (not 1-5) or missing and RFMS corrects.	Verify that the corrected Payment Methodology is correct. If it is correct, no further action is necessary. If the Payment Methodology is incorrect, resubmit the Origination record with the correct Payment Methodology.
316 W	“Invalid number of Payment Periods/ Correction Applied for Award Year 2001 and before”	<p>If Award Year &lt;=2001 and <b>ALL</b> of the following are true:</p> <ul style="list-style-type: none"> <li>• Number of Payment Periods is not in valid range (1 – 9)</li> <li>• Reporting Campus is Cash Monitoring, Reimbursement, or Ineligible</li> </ul> <p>Set the Accepted Number of Payment Periods to 3 if Accepted AC = 2 and Accepted PM is 1 – 2;</p> <p>Otherwise, set the Accepted Number of Payment Periods to 2</p> <p>Set edit code 316</p>	<p>Occurred for Award Year 2000-2001 when there was an invalid or missing number of payment periods and RFMS corrected it. This field was only required if the school was on cash monitoring or reimbursement.</p> <p>It is reserved for future use as of the 2001-2002 Award Year.</p>	

## Origination Edit/Reject Codes (Continued)

Edit Code and Type	Message	RFMS Condition and Action	What It Means	How to Fix It
317 W	“Invalid Cost Of Attendance/Correction Applied”	<p>If ANY of the following are true:</p> <ul style="list-style-type: none"> <li>• COA is nonnumeric</li> <li>• COA is not in the valid range (minimum for the Award Year @ to maximum for the Award Year)</li> </ul> <p>Award Year</p> <p>If Origination is change record, set Accepted COA to previously accepted value</p> <p>Otherwise, set the Accepted COA to the maximum COA for the Award Year @</p> <p>Set edit code 317</p>	Occurs when there is an invalid or missing Cost of Attendance and RFMS corrects. RFMS will correct to the maximum COA for the Award Year.	Warning message, no further action is necessary unless corrected COA is too high. If this occurs, resubmit the record with the correct COA.

## Origination Edit/Reject Codes (Continued)

Edit Code and Type	Message	RFMS Condition and Action	What It Means	How to Fix It
318 W	“Invalid Enrollment Status/ Correction Applied”	<p>If <b>ALL</b> of the following are true:</p> <ul style="list-style-type: none"> <li>• Enrollment Status is not 1 to 5</li> <li>• Accepted AC is 1 to 4 and Accepted PM &lt;&gt; 5</li> </ul> <p>Set Accepted Enrollment Status to previously accepted value if Origination is change record;</p> <p>Otherwise, set the Accepted Enrollment Status to 1</p> <p>If <b>ALL</b> of the following are true:</p> <ul style="list-style-type: none"> <li>• Enrollment Status is not 3 – 4</li> <li>• Accepted AC is 1 to 4 and Accepted PM = 5</li> </ul> <p>Set Accepted Enrollment Status to previously accepted value if Origination is change record;</p> <p>Otherwise, set the Accepted Enrollment Status to 3</p> <p>If <b>ALL</b> of the following are true:</p> <ul style="list-style-type: none"> <li>• Enrollment Status is NOT blank</li> <li>• Accepted AC is 5 – 6</li> </ul> <p>Set the Accepted Enrollment Status to Blank</p> <p>Set edit code 318</p>	<p>Occurs when there is invalid (not 1-5) or missing Enrollment Status Code and RFMS corrects. RFMS will also correct if the Payment Methodology and Academic Calendar indicate that the school uses Clock Hour or Credit Hours without terms but Enrollment Status is submitted, or if the school is term-based and no Enrollment Status is submitted.</p>	<p>Verify that the correct Payment Methodology and Academic Calendar were used and then verify that the RFMS adjusted Enrollment Status is correct.</p> <p>If correct, no further action is necessary. If not, correct the Payment Methodology, Academic Calendar, and Enrollment Status and resubmit.</p>

## Origination Edit/Reject Codes (Continued)

Edit Code and Type	Message	RFMS Condition and Action	What It Means	How to Fix It
319 W	“Invalid Weeks of <del>Inst.</del> <i>Instructional</i> Time in Program’s Definition of Academic Year/Correction Applied”	<p>If the following is true:</p> <ul style="list-style-type: none"> <li>If WKSPROG is not in valid range (30 – 78) and PM is 2 – 5</li> </ul> <p>Set accepted WKSPROG to default value if Attended Pell ID default value is populated and valid;</p> <p>Otherwise, set accepted WKSPROG to default if Reporting Pell ID default value is populated and valid;</p> <p>Otherwise set accepted WKSPROG to “30”</p> <p>If the following is true:</p> <ul style="list-style-type: none"> <li>If WKSPROG is not Blank and PM = 1</li> </ul> <p>Set accepted WKSPROG to blank</p> <p>Set edit code 319</p>	Occurs when invalid or missing Weeks of Instruction is included and RFMS corrects. Usually this occurs when the Payment Methodology and Academic Calendar indicate a term-based program. Credit/Clock Hour schools populate this field only.	Verify that the Payment Methodology and Academic Calendar are correct and the RFMS correction is correct. If this is correct, no further action is necessary. If it is not correct, correct the Payment Methodology and Academic Calendar and Weeks of Instructional Time and resubmit.

## Origination Edit/Reject Codes (Continued)

Edit Code and Type	Message	RFMS Condition and Action	What It Means	How to Fix It
320 W	“Invalid Weeks of <del>Inst.</del> <i>Instructional</i> Time used to Calculate Payment/Correction Applied”	<p>If the following is true:</p> <p>If WKSCALC is not blank and Accepted PM = 1 Set accepted WKSCALC to Blank</p> <p>If the following is true:</p> <p>If WKSCALC is not blank and not in valid range (00 – 78) and Accepted PM &lt;&gt; 1 Set Accepted WKSCALC to previously accepted value if Origination is change record;</p> <p>Otherwise, set the Accepted WKSCALC to the Accepted WKSPROG.</p> <p>If the following is true:</p> <p>If WKSCALC is not 00 – 29 and Accepted PM = 2 Set Accepted WKSCALC to 29.</p> <p>If the following is true:</p> <p>If (WKSCALC is not 00 – 78 or greater than Accepted WKSPROG) and Accepted PM = 3 to 5 Set Accepted WKSCALC to Accepted WKSPROG</p> <p>Set edit code 320</p>	Occurs when invalid or missing Weeks of Instruction is included and RFMS corrects. This usually occurs when the Payment Methodology and Academic Calendar indicate a term-based program. This field is only populated by cr/clock hour schools.	Verify that the Payment Methodology and Academic Calendar are correct and the RFMS adjustment is correct. If correct, no further action is necessary. If it is not, correct the Payment Methodology, Academic Calendar and Weeks of Instructional Time and resubmit.

## Origination Edit/Reject Codes (Continued)

Edit Code and Type	Message	RFMS Condition and Action	What It Means	How to Fix It
321 W	“Invalid <del>Cr</del> / <i>Credit or</i> Clock <del>Hrs</del> <i>Hours</i> in program’s definition of academic year/ Correction Applied”	<p>If the following is true:</p> <p>If HRSPROG is not Blank and Accepted AC = 1 – 4</p> <p>Set Accepted HRSPROG to Blank</p> <p>If the following is true:</p> <p>IF (HRSPROG is &lt; 900 or &gt; 3120) and Accepted AC = 5</p> <p>Set accepted HRSPROG to default value if Attended Pell ID default value is populated and valid;</p> <p>Otherwise, set accepted HRSPROG to default</p> <p>If Reporting Pell ID default value is populated and valid;</p> <p>Otherwise, set Accepted HRSPROG to 900</p> <p>If (HRSPROG is &lt; 24 or &gt; 100) and Accepted AC = 6</p> <p>Set accepted HRSPROG to default value if Attended Pell ID default value is populated and valid;</p> <p>Otherwise, set accepted HRSPROG to default</p> <p>If Reporting Pell ID default value is populated and valid;</p> <p>Otherwise, set Accepted HRSPROG to 24.</p> <p>Set edit code 321</p>	Occurs when Clock Hours are invalid or missing and RFMS corrects. Usually this occurs when the Payment Methodology and Academic Calendar indicate a term-based program and this field is only populated by cr/clock hour schools.	Verify that the Payment Methodology and Academic Calendar are correct and the RFMS correction is correct. If this is correct, no further action is necessary. If it is not correct, correct the Payment Methodology and Academic Calendar and Cr/Clock Hours and resubmit.

## Origination Edit/Reject Codes (Continued)

Edit Code and Type	Message	RFMS Condition and Action	What It Means	How to Fix It
322 W	“Invalid <del>Cr</del> / <i>Credit</i> or Clock <del>Hrs</del> / <i>Hours</i> -in all payment periods expected to complete this school year/ Correction Applied”	<p>If the following is true: If HRSCALC is not blank and Accepted AC is 1 – 4 Set Accepted HRSCALC to Blank</p> <p>If the following is true: If (HRSCALC is NOT between 0000 AND Accepted HRSprog) and (Accepted AC is 5 or 6) Set Accepted HRSCALC to Accepted HRSprog Set edit code 322</p>	Occurs when invalid or missing Clock hours are included and RFMS corrects. Usually this occurs when the Payment Methodology and Academic Calendar indicate a term-based program. Only cr/clock hour schools populate this field.	Verify that the Payment Methodology and Academic Calendar are correct and the RFMS correction is correct. If this is correct, no further action is necessary. If it is not correct, correct the Payment Methodology and Academic Calendar and CR/Clock Hours and resubmit.
323 W	“Origination is “Over Paid” and Negative Disbursement is Expected”	<p>If <b>ALL</b> of the following are true:</p> <ul style="list-style-type: none"> <li>• Origination is change record</li> <li>• Student has previous disbursements</li> <li>• Recalculated accepted Origination award amount is less than the total amount disbursed</li> </ul> <p>Set the Negative Disbursement Amount to (Recalculated Accepted Origination Award Amount – Total Amount Disbursed)</p> <p>If <b>ALL</b> of the following are true:</p> <ul style="list-style-type: none"> <li>• Origination is change record</li> <li>• Student has previous disbursements</li> <li>• Student has negative pending disbursement amount &lt; 0</li> <li>• Recalculated award amount is less than or equal to the total amount disbursed</li> </ul> <p>Set the Negative Disbursement Amount to (Recalculated Accepted Origination Award Amount – Total Amount Disbursed)</p> <p>If <b>ALL</b> of the following are true:</p> <ul style="list-style-type: none"> <li>• Origination is change record</li> <li>• Student has previous disbursements</li> <li>• Student has negative pending disbursement amount &lt; 0</li> <li>• Recalculated award amount is greater than or equal to the total amount disbursed</li> </ul> <p>Set the Negative Disbursement Amount to 0 Set edit code 323</p>	Occurs when a new Origination record for a lower award amount is submitted and the amount already disbursed to the student exceeds the new award amount. School must submit negative disbursement within 30 days or RFMS will send a system-generated negative disbursement.	Send a negative disbursement for the overpaid amount.  In the future, when the award amount decreases, adjust the disbursement record not the Origination record.

## Origination Edit/Reject Codes (Continued)

Edit Code and Type	Message	RFMS Condition and Action	What It Means	How to Fix It
324 E	“Invalid Name Code resulting in RFMS being unable to match with the Applicant Record, or does not equal the name code in the Origination ID, for Award Year 2002 and beyond”	If Award Year is >= 2001-2002 and subsequent years and if ANY of the following are true: <ul style="list-style-type: none"> <li>• The Original Name Code does not have a matching applicant record</li> <li>• The Original Name Code does not match the Name Code portion of the Origination ID</li> </ul> REJECT RECORD Set edit code 324	Occurs when RFMS is not able to match the Original Name code with the Applicant record or it does not match the Name code in the Origination ID.	RFMS: Verify that there is a name for the number used on the Origination record. If not, resubmit the Origination record with a Blank space in the Name Code field. ***** EDExpress: Resubmit the Origination record with a BLANK in the Name Code Field.
325 E	“Invalid Origination ID - Pell ID is non-numeric for Award Year <del>2001</del> 2002 and beyond”	If ALL of the following are true: <ul style="list-style-type: none"> <li>• Award Year portion of the Origination ID is &gt;= 2002</li> <li>• The Pell ID is nonnumeric for six positions</li> </ul> REJECT RECORD Set edit code 325	Occurs when the Origination ID has a Pell ID that is nonnumeric.	Correct the Origination ID and resend the record.
326 E	“Invalid Origination ID - Invalid Award Year for the Batch for Award Year <del>2001</del> 2002 and beyond”	If ALL of the following are true: <ul style="list-style-type: none"> <li>• The Award Year portion of the Origination ID is &gt;= 2002</li> <li>• The Award Year &lt;&gt; the Award Year @ of the Batch</li> </ul> REJECT RECORD Set edit code 326	Occurs when the Origination ID has an Award Year that is different from the Award Year in the Batch Number.	RFMS: Resubmit the record with a corrected Origination ID. ***** EDExpress: Verify the record is created under the correct Origination ID. If not, delete record and recreate using the correct Reporting/Attended campus ID. Export new record and transmit to RFMS.

## Origination Edit/Reject Codes (Continued)

Edit Code and Type	Message	RFMS Condition and Action	What It Means	How to Fix It
327 E	“Invalid Origination ID - Sequence Number is not “00” for Award Year 2001–2002 and beyond.	If ALL of the following are true: <ul style="list-style-type: none"> <li>• The Award Year portion of the Origination ID is <math>\geq 2002</math></li> <li>• The Sequence Number is not “00”</li> </ul> <b>REJECT RECORD</b> Set edit code 327	Occurs when the Origination ID has a sequence number that is not ‘00’.	<b>RFMS:</b> Resubmit the record with a corrected Origination ID. ***** <b>EDEExpress:</b> Verify the record is created under the correct Origination ID. If not, delete record and recreate using the correct Reporting/Attended campus ID. Export new record and transmit to RFMS.
328 E	“Invalid Origination ID - SSN is non-numeric, or is not $\geq 001010001$ and $\leq 999999999$ for Award Year 2001–2002 and beyond”	If the Award Year portion of the Origination ID is $\geq 2001$ -2002 and subsequent years and <b>ANY</b> of the following are true: <ul style="list-style-type: none"> <li>• The SSN is nonnumeric</li> <li>• The SSN is not <math>\geq 001010001</math> and <math>\leq 999999999</math></li> </ul> <b>REJECT RECORD</b> Set edit code 328	Occurs when the Origination ID has a SSN that is nonnumeric or is not within the allowable SSN range.	<b>RFMS:</b> Resubmit the record with a corrected Origination ID. ***** <b>EDEExpress:</b> Verify the record is created under the correct Origination ID. If not, delete record and recreate using the correct Reporting /Attended Campus ID. Export new record and transmit to RFMS.
329 E	“Invalid Origination ID - Name Code not A-Z or “.” or “ ’ ” or “ - ” or “ ” for Award Year 2002 and beyond”	If <b>ALL</b> of the following are true: <ul style="list-style-type: none"> <li>• The Award Year portion of the Origination ID is <math>\geq 2002</math></li> <li>• The Name Code is not A-Z or “.” or “ ’ ” or “ - ”, or “ ”</li> </ul> <b>REJECT RECORD</b> Set edit code 329	Occurs when the Origination ID has a Name Code that is not valid.	<b>RFMS:</b> Resubmit the record with a corrected Origination ID. ***** <b>EDEExpress:</b> Verify the record is created under the correct Origination ID. If not, delete record and recreate using the correct Reporting /Attended Campus ID. Export new record and transmit to RFMS.

## Origination Edit/Reject Codes (Continued)

Edit Code and Type	Message	RFMS Condition and Action	What It Means	How to Fix It
330 W	"Duplicate SAR ID may be shared by two students for Award Year 2001-2002 or beyond"	<p>If <b>ALL</b> of the following are true:</p> <ul style="list-style-type: none"> <li>• The Award Year portion of the Origination ID is &gt;= 2002</li> <li>• The SSN and Pell ID match one on file</li> <li>• The first name on the associated applicant record is different than the one on the STUDENT record for that origination</li> </ul> <p>Set SHARED SAR ID ED USE FLAG to '1' on the Origination Acknowledgement Record</p> <p>Set edit code 330</p>	Occurs when the SSN is submitted to RFMS more than once for a student with different name codes.	Verify the SSN number and name code are correct on the ISIR for the student. If a correction is necessary, have the student complete a new FAFSA so that new SAR ID will be generated. Submit a new Origination record under the corrected SAR ID.
331 D	"Duplicate Origination for Award Year 2001-2002 and beyond"	<p>If <b>ALL</b> of the following are true: The Award Year portion of the Origination ID is &gt;= 2001-2002 and subsequent years and <b>ALL</b> of the following fields on the input Origination record match the values on the database:</p> <ul style="list-style-type: none"> <li>• Origination ID</li> <li>• Original SSN</li> <li>• Original Name Code</li> <li>• Attended Pell ID</li> <li>• Award Amount</li> <li>• Estimated Disbursement Dates (1 – 15)</li> <li>• Enrollment Date</li> <li>• Incarcerated Code</li> <li>• Low Tuition and Fees Code</li> <li>• Verification Status Code</li> <li>• Transaction Number</li> <li>• Secondary EFC Code</li> <li>• Expected Family Contribution (EFC)</li> <li>• Enrollment Status</li> <li>• Cost of Attendance (COA)</li> <li>• Academic Calendar (AC)</li> <li>• Payment Methodology (PM)</li> <li>• Weeks of Instructional Time in Program's Definition of Academic Year (WKSPROG)</li> <li>• Weeks of Instructional Time Used to Calculate Payment (WKSCALC)</li> <li>• Credit/Clock Hours in Program's Definition of Academic Year (HRSPROG)</li> <li>• Credit/Clock Hours in all Payment Periods Expected to Complete (HRSCALC)</li> </ul> <p>Set Action Code = 'D'</p> <p>Set edit code 331</p>	Occurs when the record sent has been previously submitted and accepted.	This is a duplicate record. No further action is necessary.

## Origination Edit/Reject Codes (Continued)

Edit Code and Type	Message	RFMS Condition and Action	What It Means	How to Fix It
399 E	“New Origination Award or increase received after end of processing year and institution has not been granted Administrative Relief”	<p>If <b>ALL</b> of the following are true:</p> <ul style="list-style-type: none"> <li>• The Batch Date is &gt; the Award Year Processing Cycle End Date@</li> <li>• The school has not been granted administrative relief based on the Administrative relief table or has not been granted an audit adjustment</li> <li>• The Origination record is currently not in RFMS or the Origination Award amount is an increase to the amount in RFMS</li> </ul> <p><b>REJECT RECORD</b> Set edit code 399</p>	Occurs when a new Origination record or an Origination record for an increased Award Amount was submitted after the processing deadline for the Award Year and the school has not been granted administrative relief.	Contact the Federal Pell Grant Hotline for assistance.

## Disbursement Edit/Reject Codes

Edit Code and Type	Message	RFMS Condition and Action	What It Means	How to Fix It
401 <i>E</i>	“Invalid Origination ID” for Award Year 2000—2001	<p>If the Award Year portion of the Origination ID is &lt;=2001 and ANY of the following are true:</p> <ul style="list-style-type: none"> <li>• The Pell ID is nonnumeric for six positions</li> <li>• The Award Year &lt;&gt; the Award Year @ of the Batch</li> <li>• The Sequence Number is not “00”</li> <li>• The SSN is not &gt;=001010001 and &lt;=999999999</li> <li>• The Name Code is not A-Z or “.” or “” or “-” or “ ” or “^”.</li> </ul> <p>@ Award Year processing comes from the AWARD_YEAR table</p> <p>REJECT RECORD Set edit code 401</p>	Occurred for Award Year 2000 – 2001 when the Origination ID was not formatted correctly or was missing data.	

## Disbursement Edit/Reject Codes (Continued)

Edit Code and Type	Message	RFMS Condition and Action	What It Means	How to Fix It
402 E	“Origination ID does not match on RFMS”	<p>If the Origination ID is not found on RFMS database or the Award Year &lt;&gt; the Award Year of the Batch</p> <p>REJECT RECORD Set edit code 402</p>	<p>Occurs when the Disbursement record is received before the Origination is accepted or when there is a Reporting/Attended Campus mismatch.</p>	<p>RFMS: Before resubmitting the Disbursement record, verify that the Origination record has been accepted. Verify before submitting that the proper Pell ID is in the Grant Batch Header record.</p> <p>*****</p> <p>EDExpress: Resave the rejected Disbursement record after receiving the Accepted Origination Acknowledgement record. This will reset your disbursement status back to ‘Ready’ so the record will export again.</p>
403 E	“Disbursement Reference Number Already on File”	<p>If Award Year is &lt;=2001 and ANY of the following are true:</p> <ul style="list-style-type: none"> <li>• Disbursement Reference Number is nonnumeric</li> <li>• Disbursement Reference Number is NOT between 01 to 90</li> <li>• Disbursement Reference Number already exists</li> </ul> <p>REJECT RECORD Set edit code 403</p>	<p>Occurred for Award Year 2000-2001 when the disbursement reference number was repeated, no number was sent, or a number other than 01-90 was sent.</p> <p>It is reserved for future use as of the 2001-2002 Award Year.</p> <p>Award Year</p>	

## Disbursement Edit/Reject Codes (Continued)

Edit Code and Type	Message	RFMS Condition and Action	What It Means	How to Fix It
404 E	“Debit/Credit Indicator Flag Not Valid”	If the Debit/Credit Indicator Flag is not ‘P’ or ‘N’  REJECT RECORD Set edit code 404	Occurs if a value other than P-Positive or N-Negative is sent.	RFMS: Resubmit the disbursement record with a “P” or “N.” ***** EDEXpress: Resave the disbursement record so the status will reset back to ‘Ready.’ If rejects again, contact CPS Customer Service.
405 E	“Disbursement Amount Not Valid because amount is non-numeric”	If the Disbursement Amount is nonnumeric  REJECT RECORD Set edit code 405	Occurs if Disbursement amount is not numeric.	RFMS: Resubmit the Disbursement record with a numeric amount. ***** EDEXpress: Resave the Disbursement record so the status will reset back to ‘Ready.’ Export and transmit record again. If rejects again, contact CPS Customer Service.
406 W	“Disbursement Amount Is Not in Valid Range”	If <b>ALL</b> of the following are true: <ul style="list-style-type: none"> <li>• The Debit/Credit flag is ‘P’</li> <li>• The Disbursement Amount + the Total Amount Disbursed for the Origination ID is &gt; Award Amount on the Origination Record</li> </ul> Set the Accepted Disbursement Amount to the Award Amount – the Total Disbursed Amount  Set edit code 406	Occurs if the full amount of the disbursement is not allowed because the Origination award amount has been reached.	Verify, on the Origination record, the total award amount. If the amount is incorrect, verify that the Payment Methodology, Academic Calendar, COA, EFC and Attendance are correct, and correct if necessary. Submit the corrected Origination record and then submit a new Disbursement record with a new disbursement reference number.

## Disbursement Edit/Reject Codes (Continued)

Edit Code and Type	Message	RFMS Condition and Action	What It Means	How to Fix It
407 E	“Disbursement Date is Not Valid Date because date is non-numeric”	<p>If the Disbursement Date is nonnumeric</p> <p><b>REJECT RECORD</b> Set edit code 407</p>	<p>Occurs if a nonnumeric date is submitted, the date is not in the CCYYMMDD format or the Calendar day is invalid for the month. For example, 20000931 is not a valid date.</p>	<p>RFMS: Resubmit the Disbursement record with a numeric date. *****</p> <p>EDExpress: Resave the Disbursement record so that the status will reset back to ‘Ready’. Export and transmit record again. If record rejects again, contact CPS Customer Service.</p>
408 E	“Disbursement Date is Not Valid for Processing Date, not in a Valid Range, or not a valid RFMS Date format”	<p>If ANY of the following are true:</p> <ul style="list-style-type: none"> <li>• The RFMS processing date is less than N days prior to the disbursement date</li> <li>• The disbursement date is not a valid RFMS date format</li> <li>• The disbursement date is not in the valid range</li> </ul> <p>* N is 5 days for JIT, 30 days for Advance Funding, and 0 days for Reimbursement</p> <p><b>REJECT RECORD</b> Set edit code 408</p>	<p>Occurs if a School sends a date prior to June 21<sup>st</sup> of the first year of the Award Year or a date over 30 days in advance of the batch creation date.</p>	<p>RFMS: Resubmit the Disbursement record with a corrected disbursement date. *****</p> <p>EDExpress: Resave the Disbursement record so that the status will reset back to ‘Ready’ after verifying your system date is correct. If record rejects again, contact CPS Customer Service.</p>

## Disbursement Edit/Reject Codes (Continued)

Edit Code and Type	Message	RFMS Condition and Action	What It Means	How to Fix It
409 E			Reserved for future use.	
410 W	“Potential Concurrent Enrollment – Multiple Reporting. Sent separately”	<p>If <b>ALL</b> of the following are true:</p> <ul style="list-style-type: none"> <li>• The Disbursement record is not rejected</li> <li>• Other Origination records exist for the student at different attended campuses for the current Award Year</li> <li>• The total amount disbursed for any of the other Origination records is &gt; 0</li> <li>• The Enrollment dates on any two Origination records with Total Disbursement amounts &gt; 0 are less than 30 days of each other</li> </ul> <p>Generate “CE” Multiple Reporting Records to all Attended campuses involved</p> <p>Set edit code 410</p>	Multiple Reporting Records that are sent separately occur when at least one other school has submitted a Disbursement record for the same student and the enrollment periods are within 30 days of each other. A MRR is sent to the school in addition to this edit code on the Disbursement Acknowledgement record.	Warning Message. Review the MRR record for details concerning the other school(s) involved.

## Disbursement Edit/Reject Codes (Continued)

Edit Code and Type	Message	RFMS Condition and Action	What It Means	How to Fix It
411 W	<p>“Potential Over Award <b>Overaward</b> Project – Multiple Reporting. Sent separately”</p>	<p>If <b>ALL</b> of the following are true:</p> <ul style="list-style-type: none"> <li>• Disbursement record is not rejected</li> <li>• Other Origination records exist for the student at different attended campuses for the current Award Year</li> <li>• Total amount disbursed for any of the other Origination records is &gt; 0</li> <li>• Total of the Percentage Used is &gt; 100.00</li> </ul> <p>Refer to Total Percentage Calculations to determine Total Percentage Used</p> <p>Set the Accepted Disbursement Amount so that the Total Percentage used is 100.00, rounded to the nearest penny</p> <p>Generate appropriate Multiple Reporting Records (PB, PR, BC or RC) to all attended campuses involved</p> <p>Set the POP Flag on the Origination record to one of the following values, depending on the situation:</p> <ul style="list-style-type: none"> <li>• ‘Y’ – If POP-blocked</li> <li>• ‘B’ – If POP-blocker</li> <li>• ‘U’ – If PU is generated</li> <li>• ‘N’ – If disbursement received and accepted after PU and no longer POP blocked</li> </ul> <p>Set edit code 411</p>	<p>Occurs when RFMS receives student disbursement records from two or more schools that exceed the Award Amount for the Entire year.</p> <p>An MRR is sent to the school in addition to this edit code on the disbursement acknowledgement record.</p>	<p>Warning message. Review the disbursement amount for changes and the MRR record for details concerning the other school(s) involved.</p>

## Disbursement Edit/Reject Codes (Continued)

Edit Code and Type	Message	RFMS Condition and Action	What It Means	How to Fix It
412 E	“Negative Disbursement cannot be accepted without a previous <del>accepted</del> positive disbursement”	<p>If <b>ALL</b> of the following are true:</p> <ul style="list-style-type: none"> <li>• The Debit/Credit flag = ‘N’</li> <li>• No positive accepted disbursement exists</li> </ul> <p><b>REJECT RECORD</b> Set edit code 412</p>	Occurs whenever a school sends a negative disbursement and there is no accepted positive disbursement on file at RFMS.	<p>RFMS: Resubmit the Disbursement record with a positive disbursement amount. ***** EDEXpress: Delete the negative Disbursement record and create a positive disbursement.</p>
413 W	“Insufficient Negative Disbursement amount. Negative Disbursement is expected for difference amount”	<p>If <b>ALL</b> of the following are true:</p> <ul style="list-style-type: none"> <li>• The Origination record has an “Over Paid” status</li> <li>• The Debit/Credit Flag is ‘N’</li> <li>• The disbursement amount is &lt; the negative pending disbursement amount</li> </ul> <p>Update the negative disbursement amount with reported negative disbursement amount</p> <p>Set edit code 413</p>	Occurs if an updated Origination is sent that reduces the award to an amount that is less than Total Accepted Disbursements.	Submit a new negative disbursement in the amount of the over payment. In the future, do not send update Origination records with lower award amounts. Send a new negative disbursement to adjust the award paid to the student.

## Disbursement Edit/Reject Codes (Continued)

Edit Code and Type	Message	RFMS Condition and Action	What It Means	How to Fix It
414 E	“Origination is in “Overpaid” status. Positive Disbursement cannot be accepted”	<p>If <b>ALL</b> of the following are true:</p> <ul style="list-style-type: none"> <li>• The school is Advance Funded or Just in Time (JIT)</li> <li>• The Debit/Credit flag is ‘P’</li> <li>• Disbursement Amount is &gt; 0</li> <li>• The Attended campus is Eligible</li> <li>• The Origination record has an “Over Paid” status</li> </ul> <p><b>REJECT RECORD</b> Set edit code 414</p>	A school has submitted a disbursement for a record that is in Overpaid status.	<p>RFMS: Send a Negative Disbursement record for the overpaid amount. In the future, do not adjust the award amount down by updating the Origination Award Amount; instead send a Disbursement record to adjust the amount paid.</p> <p>*****</p> <p>EDExpress: Either update the positive Disbursement record to a negative amount and resubmit or delete the positive disbursement record from the Disbursement tab.</p>

## Disbursement Edit/Reject Codes (Continued)

Edit Code and Type	Message	RFMS Condition and Action	What It Means	How to Fix It
415 E	“Institution Eligibility Status indicates the Institution must submit a Special Disbursement Record and Award Year is 2000 – 2001 or prior”	<p>If Award Year is prior to or equal to 2000 – 2001 and ANY of the following are true:</p> <ul style="list-style-type: none"> <li>• Institution’s eligibility end date is &lt; the processing date</li> <li>• Institution has full eligibility, but the flag on the Institution Characteristics table is S for Special Disbursements</li> </ul> <p>Institution refers to the Attended Pell ID component of the Origination ID</p> <p><b>REJECT RECORD</b> Set edit code 415</p>	<p>Occurred for Award Year 2000-2001 when an institution’s eligibility had expired and the school was required to submit Special Disbursement records.</p> <p>It is reserved for future use as of the 2001-2002 Award Year.</p>	
416 W	“Negative Disbursement adjusted to reflect accepted Previous Disbursement Balance”	<p>If the following is true:</p> <p>If the negative disbursement amount on the input record is greater than the total amount disbursed to date for the current Origination</p> <p>Decrease the Disbursement Amount to equal the YTD Disbursement Amount on the Origination record</p> <p>If <b>ALL</b> of the following are true:</p> <ul style="list-style-type: none"> <li>• The Origination record has an “Over Paid” status</li> <li>• The Debit/Credit Flag is ‘N’</li> <li>• The Reported Disbursement amount is &gt; (the negative pending disbursement amount + the YTD disbursement amount for that Origination record)</li> </ul> <p>Reduce the Disbursement Amount to the Difference between (Negative Pending Disbursement Amount + the YTD amount) – (the Reported Disbursement Amount).</p> <p>Set edit code 416</p>	<p>The amount of the negative disbursement has been reduced to the lower amount already accepted on the disbursement records.</p>	<p>Warning Message - No further action is necessary.</p>

## Disbursement Edit/Reject Codes (Continued)

Edit Code and Type	Message	RFMS Condition and Action	What It Means	How to Fix It
417 E	“Disbursement submitted after end of processing year and <i>institution school</i> has not been granted Administrative Relief”	<p>If <b>ALL</b> of the following are true:</p> <ul style="list-style-type: none"> <li>• The Debit/Credit Flag is ‘P’</li> <li>• The Processing Date is &gt; the Award Year Processing Cycle End Date@</li> <li>• The school has not been granted administrative relief based on the Administrative relief table</li> <li>• This is not an audit adjustment</li> <li>• POP Flag &lt;&gt; ‘U’ or Blank</li> </ul> <p>REJECT RECORD Set edit code 417</p>	Occurs if the Disbursement is sent after the Award Year deadline.	Contact Federal Pell Grant Hotline concerning requesting Administrative Relief.
418 W	“Origination indicates Verification Status ‘W’, Disbursement adjusted to the Origination Award Amount or 50% of the Scheduled Award Amount, whichever is lesser, and Award Year is 2000 – 2001 or prior”	<p>If <b>ALL</b> of the following are true:</p> <ul style="list-style-type: none"> <li>• Award Year is prior to or equal to 2000 – 2001</li> <li>• The Verification Status is ‘W’ on the Origination record</li> <li>• Disbursement Amount is &gt;50% of the Scheduled Award Amount</li> </ul> <p>Set the Accepted Disbursement Amount to the lesser of either the Origination Award amount or 50% of the Schedule Award Amount</p> <p>Set edit code 418</p>	<p>This occurred during the 2000-2001 Award Year for Verification Status of “W”.</p> <p>It is reserved for future use as of the 2001-2002 Award Year</p>	
419 W	“Origination indicates Verification Status ‘W’. <i>Verification W needs to be updated on the Origination record in RFMS.</i> ” ; and Award Year is 2000 – 2001 or prior”	<p>If <b>ALL</b> of the following are true:</p> <ul style="list-style-type: none"> <li>• Award Year is prior to or equal to 2000 – 2001</li> <li>• The Verification Status is ‘W’ on the Origination Record</li> </ul> <p>Set edit code 419</p>	<p>This occurred during the 2000-2001 Award Year for Verification Status of “W”.</p> <p>It is reserved for future use as of the 2001-2002 Award Year.</p>	

## Disbursement Edit/Reject Codes (Continued)

Edit Code and Type	Message	RFMS Condition and Action	What It Means	How to Fix It
420 E	Origination indicates Verification Status 'W', only one disbursement allowed, and Award Year is 2000 – 2001 or prior”	<p>If <b>ALL</b> of the following are true:</p> <ul style="list-style-type: none"> <li>• Award Year is prior to or equal to 2000 – 2001</li> <li>• The Verification Status is 'W' on the Origination Record</li> <li>• The Debit/Credit Flag is 'P'</li> <li>• The Batch Date is &lt;=the Award Year Verification Date @</li> <li>• This is not the first disbursement</li> </ul> <p>@ The Verification W Decrease date is defined as the date the program is run to reclaim the money for records that still have a Verification W status. See Verification W specification for more information</p> <p><b>REJECT RECORD</b> Set edit code 420</p>	<p>This occurred during the 2000-2001 Award Year for Verification Status of “W.”</p> <p>It is reserved for future use as of the 2001-2002 Award Year.</p>	
421 E	“Disbursement generated after Verification Deadline Date and Award Year is 2000 – 2001 or prior”	<p>If <b>ALL</b> of the following are true:</p> <ul style="list-style-type: none"> <li>• Award Year is prior to or equal to 2000 – 2001</li> <li>• The Verification Status is 'W' on the Origination record</li> <li>• The Debit/Credit Flag is 'P'</li> <li>• The Processing Date is &gt;the Award Year Verification Date @</li> </ul> <p><b>REJECT RECORD</b> Set edit code 421</p>	<p>This occurred for a “Disbursement that was generated after the verification deadline” for 2000-2001 and prior.</p> <p>It is reserved for future use as of the 2001-2002 Award Year</p>	

## Disbursement Edit/Reject Codes (Continued)

Edit Code and Type	Message	RFMS Condition and Action	What It Means	How to Fix It
422 W	<p><b>“Institution School</b> is eligible, Payment Period Start Date is invalid or not in a valid range and Award Year is 2001 – 2002 or beyond”</p>	<p>If <b>ALL</b> of the following are true:</p> <ul style="list-style-type: none"> <li>• Award Year is 2001 – 2002 or beyond</li> <li>• School is eligible</li> <li>• Payment Period Start Date@ is invalid or not within the range defined in the ALGORITHM table</li> </ul> <p>Set the Accepted Payment Period Start Date to blank</p> <p>Set edit code 422</p>	<p>The school has sent a value in the Payment Period Start Date field that is not valid or not in the valid date range.</p>	<p>This is warning message, RFMS has corrected the date to blank because an invalid value was submitted.</p>
423 E	<p><b>“Institution School</b> is not eligible, Payment Period Start Date is invalid or not in a valid range and Award Year is 2001 – 2002 or beyond”</p>	<p>If <b>ALL</b> of the following are true: Award Year is 2001 – 2002 or beyond School is NOT eligible Payment Period Start Date@ is invalid or not within the range defined in the ALGORITHM table</p> <p><b>REJECT RECORD</b> Set edit code 423</p>	<p>The school is ineligible and has sent a date in the Payment Period Start Date field that is not valid or not in the valid date range.</p>	<p>Resend the record with a corrected Payment Period Start Date.</p>
424 E	<p><b>“Institution School</b> is not eligible, Payment Period Start Date is not in the eligible range and Award Year is 2001 – 2002 or beyond”</p>	<p>If <b>ALL</b> of the following are true: Award Year is 2001 – 2002 or beyond School is NOT eligible Payment Period Start Date is not in the range of eligibility</p> <p><b>REJECT RECORD</b> Set edit code 424</p>	<p>The school is ineligible and has sent a date in the Payment Period Start Date field that is not in the range of eligibility.</p>	<p>Resend the record with a corrected Payment Period Start Date.</p>

## Disbursement Edit/Reject Codes (Continued)

Edit Code and Type	Message	RFMS Condition and Action	What It Means	How to Fix It
425 E	“Invalid Origination ID - Pell ID is non-numeric for Award Year 2002 and beyond”	<p>If <b>ALL</b> of the following are true:</p> <ul style="list-style-type: none"> <li>• Award Year portion of the Origination ID is &gt;= 2001-2002 and subsequent years</li> <li>• The Pell ID is nonnumeric for six positions</li> </ul> <p>REJECT RECORD Set edit code 425</p>	Occurs if the Origination ID has a Pell ID that is nonnumeric.	<p>RFMS: Correct the Origination ID and resubmit the disbursement record. *****</p> <p>EDEExpress: Verify the disbursement record was created using the correct Origination ID. If not, delete disbursement record and recreate using the correct Origination ID.</p>
426 E	“Invalid Origination ID - Invalid Award Year for the Batch for Award Year 2002 and beyond”	<p>If <b>ALL</b> of the following are true:</p> <ul style="list-style-type: none"> <li>• The Award Year portion of the Origination ID is &gt;= 2002</li> <li>• The Award Year &lt;&gt; the Award Year @ of the Batch</li> </ul> <p>REJECT RECORD Set edit code 426</p>	Occurs if the Origination ID has an Award Year that is different from the Award Year in the Batch Number.	<p>RFMS: Correct the Origination ID and resubmit the disbursement record. *****</p> <p>EDEExpress: Verify the Disbursement record was created using the correct Origination ID. If not, delete disbursement record and recreate using the correct Origination ID.</p>

## Disbursement Edit/Reject Codes (Continued)

Edit Code and Type	Message	RFMS Condition and Action	What It Means	How to Fix It
427 E	“Invalid Origination ID - Sequence number is not “00” for Award Year <del>2001</del> 2002 and beyond”	<p>If <b>ALL</b> of the following are true:</p> <ul style="list-style-type: none"> <li>• The Award Year portion of the Origination ID is &gt;= 2002</li> <li>• The Sequence Number is not “00”</li> </ul> <p><b>REJECT RECORD</b> Set edit code 427</p>	Occurs if the Origination ID has a Sequence number that is not “00.”	<p>RFMS: Correct the Origination ID and resubmit the disbursement record. ***** EExpress: Verify the Disbursement record was created using the correct Origination ID. If not, delete Disbursement record and recreate using the correct Origination ID.</p>
428 E	“Invalid Origination ID - SSN is not >=001010001 and <= 999999999 for Award Year 2002 and beyond”	<p>If <b>ALL</b> of the following are true:</p> <ul style="list-style-type: none"> <li>• The Award Year portion of the Origination ID is &gt;= 2002</li> <li>• The SSN is not &gt;= 001010001 and &lt;= 999999999 or is non numeric</li> </ul> <p><b>REJECT RECORD</b> Set edit code 428</p>	Occurs if the Origination ID has a SSN that is nonnumeric or is not within the allowable SSN range.	<p>RFMS: Correct the Origination ID and resubmit the disbursement record. ***** EExpress: Verify the disbursement record was created using the correct Origination ID. If not, delete disbursement record and recreate using the correct Origination ID.</p>

## Disbursement Edit/Reject Codes (Continued)

Edit Code and Type	Message	RFMS Condition and Action	What It Means	How to Fix It
429 E	“Invalid Origination ID - Name Code not A-Z or “. ” or “ ’ ” or “ - ” or “ ” for Award Year 2002 and beyond”	<p>If <b>ALL</b> of the following are true:</p> <ul style="list-style-type: none"> <li>• The Award Year portion of the Origination ID is <math>\geq</math> 2001-2002 and subsequent years</li> <li>• The Name Code is not A-Z or “. ” or “ ’ ” or “ - ” or “ ”</li> </ul> <p><b>REJECT RECORD</b> Set edit code 429</p>	Occurs if the Origination ID has a name code that is invalid.	<p>RFMS: Correct the Origination ID and resubmit the disbursement record.</p> <p>*****</p> <p>EDEExpress: Verify the disbursement record was created using the correct Origination ID. If not, delete disbursement record and recreate using the correct Origination ID.</p>
430 D	“Duplicate Disbursement reference number. Reference number already at RFMS” <del>for Award Year 2001-2002 and beyond.</del>	<p>If <b>ALL</b> of the following are true:</p> <ul style="list-style-type: none"> <li>• Award Year is <math>\geq</math> 2001-2002 and subsequent years</li> <li>• Disbursement Reference number already exists</li> </ul> <p>Set the record to a Duplicate status;</p> <p>Set the Action Code to ‘D’ and create the full acknowledgement record with the data stored on RFMS.</p> <p>Set edit code 430</p>	Occurs when a duplicate disbursement has been sent on a record, usually when a batch is processed more than once.	This is a duplicate, the record has already been processed, and no further action is necessary.

## Disbursement Edit/Reject Codes (Continued)

Edit Code and Type	Message	RFMS Condition and Action	What It Means	How to Fix It
431 E	“Award Year is 2002 or greater and the Disbursement Reference number is nonnumeric or not between 01 to 90”	<p>If Award Year is &gt;= 2001- 2002 and subsequent years and ANY of the following are true:            Disbursement Reference Number is nonnumeric            Disbursement Reference Number is NOT between 01 and 90</p> <p><b>REJECT RECORD</b>            Set edit code 431</p>	Occurs if the Disbursement Reference Number is not valid.	Correct the Disbursement Reference Number to a number 01-90 that has not been previously used for this Origination ID.
432 E	“Disbursement amount would have been corrected to zero by RFMS calculations so the disbursement record was rejected”	<p>If ALL of the following are true:            The Award Year is &gt;= 2001-2002 and subsequent years            Reported Disbursement Amount does &lt;&gt; Accepted Disbursement Amount            Accepted Disbursement Amount = 0</p> <p><b>REJECT RECORD</b>            Set edit code 432</p>	Occurs if the school has submitted a disbursement record that RFMS has corrected to \$0. Usually occurs when the amount on this Disbursement record and the amount already paid to this Origination ID exceed the Origination Award Amount.	Verify the total award amount on the Origination record. If the amount is incorrect, verify the Payment Methodology, Academic Calendar, COA, EFC and Attendance and correct if necessary. Submit the corrected Origination record; then submit a new disbursement record with a new disbursement reference number.

## Disbursement Edit/Reject Codes (Continued)

<b>Edit Code and Type</b>	<b>Message</b>	<b>RFMS Condition and Action</b>	<b>What It Means</b>	<b>How to Fix It</b>
440 E	“CMO rejected this student for inadequate/missing eligibility documentation/ information”	CMO rejected this student for inadequate/missing eligibility documentation / information  REJECT RECORD Set edit code 440	Occurs if insufficient data is submitted to the CMO.	Contact the CMO for additional information about correcting this record.
441 E	“CMO rejected this student for inadequate/ missing fiscal documentation/ information”	CMO rejected this student for inadequate/missing eligibility documentation / information  REJECT RECORD Set edit code 441	Occurs if insufficient data is submitted to the CMO.	Contact the CMO for additional information about correcting this record.
442 E	“CMO rejected this student for inadequate/ missing award or disbursing documentation/ information”	CMO rejected this student for inadequate/missing eligibility documentation / information  REJECT RECORD Set edit code 442	Occurs if insufficient data is submitted to the CMO.	Contact the CMO for additional information about correcting this record.
443 E	“CMO rejected this student for not meeting reporting requirements”	CMO rejected this student for inadequate/missing eligibility documentation / information  REJECT RECORD Set edit code 443	Occurs if insufficient data is submitted to the CMO.	Contact the CMO for additional information about correcting this record.
444 E	“CMO rejected this student for failure to comply with requirements”	CMO rejected this student for inadequate/missing eligibility documentation / information  REJECT RECORD Set edit code 444	Occurs if insufficient data is submitted to the CMO.	Contact the CMO for additional information about correcting this record.
445 E	“CMO rejected this student for inadequate or missing documentation”	CMO rejected this student for inadequate/missing eligibility documentation / information  REJECT RECORD Set edit code 445	Occurs if insufficient data is submitted to the CMO.	Contact the CMO for additional information about correcting this record.

## Data Request Edits/Reject Codes

Edit Code and Type	Message	RFMS Condition and Action	What It Means	How to Fix It
601 E	“Invalid Attended Pell ID”	If ANY of the following are true: <ul style="list-style-type: none"> <li>• The Attended Pell ID is nonnumeric</li> <li>• The Attended Pell ID does not exist on the RFMS database</li> <li>• The Attended Pell ID is not a branch of the Reporting or Central Funded ID (only if the attended campus is not also the Reporting Campus)</li> <li>• The Award Year &lt;=2001 and Attended Pell ID is all zeros</li> </ul> REJECT RECORD Set edit code 601	Occurs if the Attended Pell ID is either missing or invalid.	RFMS: Resubmit data request with valid Attended Campus Pell ID. ***** EDExpress: Verify your Reporting/Attended Campus codes are defined correctly in setup. If not, correct and export Data Request Record again.
602 E	“Invalid Data Request Type”	If ANY of the following are true: <ul style="list-style-type: none"> <li>• The Data Request Code is &lt;&gt; ‘M’ or ‘S’ or ‘R’ or ‘Y’ for Award Year 2001 – 2002 and beyond</li> <li>• The Data Request Code is &lt;&gt; ‘M’ or ‘S’ or ‘Y’ for Award Year 2000 – 2001 and beyond</li> <li>• The Data Request Code is &lt;&gt; ‘M’ or ‘S’ or ‘Y’ or ‘B’ for Award Year 1999 – 2000</li> </ul> REJECT RECORD Set edit code 602	Occurs if invalid or missing data request type: M-Multiple Reporting Record, S-Statement of Account, Y-Year to Date, or R (Reconciliation).	RFMS: Resubmit data request with valid data request type. ***** EDExpress: Contact CPS Customer Service.
603 E	“Invalid Requested Output Media Type”	If ANY of the following are true: <ul style="list-style-type: none"> <li>• The Media Type is &lt;&gt; ‘E’ or blank for Award Year 2000 – 2001 and beyond</li> <li>• The Media Type is &lt;&gt; ‘C’, ‘R’, ‘E’ or blank for Award Year 1999 – 2000</li> </ul> REJECT RECORD Set edit code 603	Occurs if school’s Output Media type is invalid.  Must submit BLANK or E.	RFMS: Resubmit data request with BLANK or E. ***** EDExpress: Contact CPS Customer Service.

## Data Request Edits/Reject Codes (Continued)

Edit Code and Type	Message	RFMS Condition and Action	What It Means	How to Fix It
604 E	“Invalid Pell Batch Number”	If <b>ALL</b> of the following are true: <ul style="list-style-type: none"> <li>• The Request Type = ‘B’</li> <li>• Batch ID is Blank or Batch ID type is not #O, #D, or #S</li> <li>• Award Year is equal to 1999 – 2000</li> </ul> REJECT RECORD Set edit code 604	Occurs if an invalid Batch ID has been requested.	RFMS: Resubmit the data request with a valid Batch ID. ***** EDEExpress: Contact CPS Customer Service.
605 E	“Invalid Multiple Reporting Request Code 1, should be ‘O’ or ‘D’”	If <b>ALL</b> of the following are true: <ul style="list-style-type: none"> <li>• The first position of the Data Request Type = ‘M’</li> <li>• MRR Code 1 &lt;&gt; ‘O’ or ‘D’</li> </ul> REJECT RECORD Set edit code 605	Occurs if an invalid MRR code is entered on data request. Must submit O-Origination or D-Disbursement.	RFMS: Resubmit data request with O or D. ***** EDEExpress: Contact CPS Customer Service.
606 E	“Invalid Multiple Reporting Request Code 2, should be ‘A’, ‘S’ or ‘I’”	If <b>ALL</b> of the following are true: <ul style="list-style-type: none"> <li>• The first position of the Data Request Type = ‘M’</li> <li>• MRR Code 2 &lt;&gt; ‘A’ or ‘S’ or ‘I’</li> </ul> REJECT RECORD Set edit code 606	Invalid MRR code entered on data request. Must submit A (All), S (Single), or I (Institution).	RFMS: Resubmit data request with A, S, or I. ***** EDEExpress: Contact CPS Customer Service.
607 E	“Invalid MR Student ID”	If <b>ALL</b> of the following are true: <ul style="list-style-type: none"> <li>• The MRR Code 2 = ‘S’</li> <li>• Positions 1 – 9 of the Student ID are nonnumeric</li> </ul> REJECT RECORD Set edit code 607	Occurs if an invalid or incomplete Student ID is entered on a Data request for a specific student.	RFMS: Resubmit data request with corrected Student ID. ***** EDEExpress: Verify first that this is a record that has been processed by RFMS. If it has, contact CPS Customer Service.

## Data Request Edits/Reject Codes (Continued)

Edit Code and Type	Message	RFMS Condition and Action	What It Means	How to Fix It
608 E	“Invalid MR Institution ID”	If <b>ALL</b> of the following are true: <ul style="list-style-type: none"> <li>• The MRR Code 2 = ‘I’</li> <li>• The MR Pell ID is nonnumeric</li> </ul> REJECT RECORD Set edit code 608	Occurs if an invalid Institution Pell ID is entered on a Data Request for MRR records.	RFMS: Resubmit data request with the corrected institution Pell ID. ***** EDEExpress: Verify your Reporting/Attended Campus codes are defined correctly in setup. If not, correct and export data request record again.
609 E	“Requested/ Matching Data Not Found”	If no data is found for the Request  REJECT RECORD Set edit code 609	Occurs if no data is found for request.	Create a different request; otherwise, no further action is necessary.
610 E	“Student Not Originated at Requesting <i>Institution School</i> ”	If no data is found for the transaction being sought (Only applies to MRR)  REJECT RECORD Set edit code 610	Occurs if a Student ID is requested on MRR but the ID was not originated at the requesting school.	RFMS: Verify the correct Student ID was entered. If correct, school must submit an Origination for student prior to requesting MRR information. ***** EDEExpress: Verify you have an acknowledged Origination record on file before submitting this type of data request.
611 E	“Invalid Reconciliation <i>Origination Student</i> ID”	If all the following are true: <ul style="list-style-type: none"> <li>• Request type = ‘R’</li> <li>• Positions 1-9 of the Student ID are nonnumeric</li> </ul> REJECT RECORD Set edit code 611	Occurs if the Student ID is incomplete or not valid.	Resubmit the Data Request with the correct identifier.

## Institutional Data Record Edit/Reject Codes

Edit Code and Type	Message	RFMS Condition and Action	What It Means	How to Fix It
701 E	“Invalid Attended Pell ID – <i>an invalid Pell ID number was submitted</i> ”	If ANY of the following is true: <ul style="list-style-type: none"> <li>• The Attended Pell ID is nonnumeric for six positions</li> <li>• The Attended Pell ID is not found in the RFMS Institution Table</li> <li>• Attended Pell ID does not have relationship with Reporting Pell ID</li> </ul> REJECT RECORD Set edit code 701	Occurs if an invalid Pell ID number is submitted.	RFMS: Resubmit the Institutional Data Record with the correct Attended Campus Pell ID. ***** EDEExpress: Verify the Reporting Campus Code selected on the export dialog has the correct Attended Campus Pell ID defined in setup and export institution data record again.
702 E	“Invalid State In Mailing Address – <i>a missing or invalid state was submitted in the mailing address</i> ”	If the state code is not a valid code in the STATE table  REJECT RECORD Set edit code 702	Occurs if a missing or invalid state was submitted in the mailing address.	RFMS: Resubmit the Institutional Data Record with the corrected State in the mailing address. ***** EDEExpress: Verify the state code in setup is correct for the Reporting Institution and export institution data record again.

## Institutional Data Record Edit/Reject Codes (Continued)

Edit Code and Type	Message	RFMS Condition and Action	What It Means	How to Fix It
703 E	“FAA Telephone Number Not Numeric – <i>the telephone number contained blanks or non-numeric characters (such as a dash)</i> ”	If ANY of the following is true: <ul style="list-style-type: none"> <li>• The FAA Telephone Number is not spaces, or is nonnumeric, for ten positions</li> <li>• The last four positions of the FAA Telephone Number are not spaces, or are nonnumeric</li> </ul> REJECT RECORD Set edit code 703	Occurs if the FAA Telephone Number contained blanks or nonnumeric characters, such as a dash.	RFMS: Resubmit the institutional data record with a corrected telephone number. ***** EDEExpress: Verify the telephone number is completed in setup and export institution data record again.
704 E	“FAA Fax Number Not Numeric – <i>the telephone number contained blanks or non-numeric characters (such as a dash)</i> ”	If the FAA Fax Number is not spaces, or is nonnumeric, for ten positions  REJECT RECORD Set edit code 706	Occurs if the FAA Fax Number contains blanks or nonnumeric characters, such as a dash.	RFMS: Resubmit the institutional data record with a corrected fax number. ***** EDEExpress: Verify the fax number is completed in setup and export institution data record again.
705 E	“Invalid Institution Type – <i>institution type was not 1-5</i> ”	If ANY of the following is true: <ul style="list-style-type: none"> <li>• Institution Type is not blank</li> <li>• Institution Type is not 1 to 6</li> </ul> REJECT RECORD Set edit code 705	Occurs if the School type is not 1-6.	RFMS: Resubmit the institutional data record with a corrected school type. ***** EDEExpress: Verify the institution type is completed in setup and export institution data record again.

## Institutional Data Record Edit/Reject Codes (Continued)

Edit Code and Type	Message	RFMS Condition and Action	What It Means	How to Fix It
706 E	“Invalid Financial Control Code – <i>financial control code is invalid</i> ”	If ANY of the following is true: <ul style="list-style-type: none"> <li>• Financial Control Code is not blank</li> <li>• Financial Control Code is not 1 to 3</li> </ul> REJECT RECORD Set edit code 706	Occurs if the Financial Control Code is invalid.	RFMS: Resubmit the institutional data record with a corrected Financial Control Code. ***** EDEXpress: Verify that the Financial Control number in setup is 1, 2 or 3 . Then export institution data record again.
707 E	“Invalid Academic Year Code – <i>academic year code is invalid</i> ”	If ANY of the following is true: <ul style="list-style-type: none"> <li>• AC is not blank</li> <li>• AC is not 1 to 6</li> </ul> REJECT RECORD Set edit code 707	Occurs if the Academic Year Code is invalid.	Resubmit the institutional data record with correct Award Year.
708 E	“Invalid Weeks In Institution Academic Year – <i>the number of weeks in the academic year is invalid (payment methodology and academic calendar indicate a term based school, not a clock hour school)</i> ”	If ANY of the following is true: <ul style="list-style-type: none"> <li>• Weeks is not blank</li> <li>• Weeks is not 30-78</li> </ul> REJECT RECORD Set edit code 708	Occurs if the Number of Weeks in the Academic Year is invalid.  (Payment Methodology and Academic Calendar indicate a term-based school, not a Clock Hour school).	RFMS: Resubmit the institutional data record with this field blank. ***** EDEXpress: Verify the information in setup is correct and export institution data record again.

## Institutional Data Record Edit/Reject Codes (Continued)

Edit Code and Type	Message	RFMS Condition and Action	What It Means	How to Fix It
709 E	“Invalid Credit/Clock Hours In Institution Academic Year – <i>the number of clock hours in the academic year is invalid (payment methodology and academic calendar indicate a term based school not a clock hour school)</i> ”	If ANY of the following is true: <ul style="list-style-type: none"> <li>• Credit/Clock Hours is not blank and AC &lt;&gt; 5 or 6</li> <li>• AC=5 and range &lt;&gt; 0900-3120 (must exist in Algorithm table where PARM=Clock Hours for Award Year in Batch Record)</li> <li>• AC=6 and range &lt;&gt; 0024-0100 (must exist in algorithm table where PARM=Credit Hours for Award Year in batch record)</li> </ul> REJECT RECORD Set edit code 709	Occurs if the Number of Clock Hours in the Academic Year is invalid. (Payment Methodology and Academic Calendar indicate a term-based school, not a Clock Hour school).	RFMS: Resubmit the institutional data record with this field blank. ***** EDEXpress: Verify the information in setup is correct and export institution data record again.
710 W	“No Input Data Or Data Matched Current Data – <i>no data sent or data had no changes with data on file</i> ”	If ANY of the following is true: <ul style="list-style-type: none"> <li>• No data sent</li> <li>• No changes to file</li> </ul> Warning message  Set edit code 710	Occurs if there is no data sent or data had no changes to the data on file.	Warning message - no further action necessary.

# Appendix E -Frequently Asked Questions

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## Introduction

This appendix contains those questions raised by those schools and third-party providers who conducted beta reviews of this technical reference and in particular, the Implementation Guide. More questions will be added as they arise.

### Question #1

With the elimination of Special Disbursements, will filling in the payment period information on all disbursement records cause errors and edits?

*Answer:* The only edit that will be performed on the Payment Period Start Date is to ensure the value is a valid date. If it is not a valid date RFMS will blank out the value. RFMS editing will be performed only with schools who become ineligible or closed during the award year.

### Question #2

Why are the left margins of the technical reference left blank and all text moved over to the right side of the page?

*Answer:* This is the style design of technical references approved by the Department of Education. It allows space for the user to add notes in the left margin.

### **Question #3**

Is the Pell Grant Web site an http or https?

*Answer:* The Federal Pell Grant Web site is <http://www.pellgrantsonline.ed.gov>

### **Question #4**

Won't the way the "D" for duplicate status code is being implemented in edits 331 and 430 cause problems and produce results inconsistent with the text descriptions of the edits? Edit 331 doesn't make sense for a duplicate— it is a test for a different student! Edit 430 calls a disbursement a duplicate if the reference number has been used before. Shouldn't the edit only be set to "D" if the date and amount are also the same? If the reference number is a repeat, but the date and amount are different, shouldn't this be an "E" for error/reject?

*Answer:* Edit 331 is the same edit as 302. The only difference is that edit 331 starts with the Award Year 2001-2002 and sets the status code to "D" for duplicate. If all of the fields on the origination record are submitted with the same value, RFMS returns the record as a duplicate. For the disbursement record only the disbursement reference number needs to be evaluated for the duplicate. Unlike origination records where a change can be submitted by sending in the new data with the old data, if a disbursement amount needs to be corrected, a disbursement record with a new disbursement reference number must be submitted.

### **Question #5**

Can the specs be reviewed and can someone determine if "nonnumeric" is being used correctly? Many uses of the word "nonnumeric" in the specifications imply all characters when what is meant is any character. For example, "positions 1-9 of the Student ID are nonnumeric" should really say "Any position in 1-9 of the Student ID is nonnumeric." There is similar wording in the Pell ID.

*Answer:* This will be reviewed.

### **Question #6**

How many times are Administrative Cost Allowance (ACA) letters electronically transmitted through SAIG per cycle for all participating Federal Pell Grant Schools?

*Answer:* The ACA letters are generated at least three times a year and can be run more often at the request of ED.

### **Question #7**

Is the sort order listed in Data Requisition section of the Implementation Guide of the RFMS Technical Reference correct? If it is, the specs will need to be changed. Name only would not correctly sort activity for multiple students with the same name like “Smith John.”

*Answer:* The sort order is on name and Social Security Number. Therefore, if there are multiple “Smith John” records these would have a secondary sort on the Social Security Number which should be unique for each “Smith John.”

### **Question #8**

Can eligibility come and go during an award year?

*Answer:* Yes, eligibility can come and go during an award year. ED determines eligibility. A school can have multiple periods of eligibility and ineligibility during an award year.

### **Question #9**

Do rejected transactions reverse accepted student level detail?

*Answer:* Rejected transactions do not reverse the accepted student detail. A rejected transaction is not processed by RFMS, so what is already in the database is not changed or updated by a rejected transaction.

## **Question #10**

Can RFMS perform percentile rounding?

*Answer:* RFMS performs percentile rounding that checks for schools using whole dollar disbursements. For example, if the year is \$3125, \$1562 or \$1563 is rounded as 50.0000% instead of calculating 49.98% or 50.02%.

If an award amount is submitted with pennies on the Origination Award record, RFMS will truncate the pennies sent in on the Origination record. When RFMS calculates the Total Payment Ceiling, if the amount is greater than \$.00, it will be rounded up to the next whole dollar amount before comparing it to the reported Award Amount. For disbursement amounts, the calculations are carried out to 15 places during the calculation and then after the last step, the amount is rounded to pennies.

## **Question #11**

Is the Federal Pell Grant Web site a secure Web site?

*Answer:* The information on the Pell Grant Web site is secured if the information is covered by the Privacy Act. When first entering the Web site the data that is not covered by the Privacy Act is available to the public. If the information is covered by the Privacy Act such as Social Security Numbers then the user is required to have a Logon ID and can access the data after logging into the Web site.

## **Question #12**

Is ‘Payment Methodology’ in ‘Enrollment Status?’

*Answer:* No. The valid value for Payment Methodology is dependent on the accepted value for Academic Calendar. The valid value for Enrollment Status is dependent on the accepted values for Payment Methodology and Academic Calendar.

### **Question #13**

For Edit Code 422, is a non-reimbursement school allowed to send a date without getting an error? Edit Code 422 is currently shown as a warning message.

*Answer:* As long as the value for the Payment Period Start Date is a valid date and within the range of accepted values for 2001-2002 then edit 422 will not be set.

### **Question #14**

Will RFMS continue to drop the first batch and reject the second as a duplicate if the same batch is sent twice and picked up in the same sweep? CPS had understood earlier that the first would be processed and the second would be rejected for being a duplicate, but this has not been the case.

*Answer:* The first batch will be processed and then the second will be rejected as a duplicate.

### **Question #15**

When will Pell Payment Tables be available for 2001-2002?

*Answer:* It is estimated that the 2001-2002 Pell Payment Tables were available in late December 2000.

### **Question #16**

When can schools/servicers start requesting the PGTX file? How many times can they request one? Is this the new Reconciliation Tool?

*Answer:* The PGTX file is used by RFMS to send a school/servicer information in a flat text file. This format has been used for 1999-2000 to send out reconciliation data. For 2001-2002 the Reconciliation file can be requested using a Data Request. The data will be returned to the school with a message class of PGRC02OP and be in a formatted layout. Please refer to the Record Layouts for the format.

### **Question #17**

Is it possible to include a quick reference abbreviation key and glossary?  
There are lots of acronyms and terms that can be confusing.

*Answer:* A Glossary has been included as Appendix A of the RFMS Technical Reference and a List of acronyms and abbreviations is included as Appendix B.

### **Question #18**

Will any RFMS System Generated Batches be sent as #G again? This is not currently listed in the Pell Message Classes list.

*Answer:* The System Generated Batches will have the Batch IDs begin with #G and will be returned in the Disbursement message class of PGDA02OP.

### **Question #19**

Will Verification 'W' batches/warnings still be sent out?

*Answer:* Verification 'W' warning letters will be sent out to inform schools of the students who have disbursements and have a Verification 'W' status.

### **Question #20**

Will RFMS reject Disbursement Records if JIT or Advance Funded Schools enter dates in the Payment Period dates?

*Answer:* RFMS will NOT reject the records if a Payment Period Start date is included. If the value is not the valid date format or is out of the range then the date will be blanked out by RFMS.

### **Question #21**

Can RFMS now send out Batch Replacements?

*Answer:* RFMS cannot send out Batch Replacements. Since RFMS does not keep rejected records, batch integrity cannot be maintained in creating the batch replacement. This option was removed in 2000-2001.

### **Question #22**

Can an Academic Calendar/Payment Methodology Reference Chart also be included in the Implementation Guide? Perhaps something similar to the Express Help Text, only more user friendly?

*Answer:* The Pell Grant Calculation tables are included in the Award Year Specific section of the Implementation Guide.

### **Question #23**

For formulas used to calculate funding, can an example for Clock Hour Schools be provided in the Implementation Guide?

*Answer:* An example for each Payment Methodology is included in the Pell Grant Calculation tables located in the Award Year Specific section of the Implementation Guide.

### **Question #24**

Will RFMS be tracking the estimated disbursement dates this year? RFMS did not do this for 99-00 and 00-01.

*Answer:* The estimated disbursement dates are stored in RFMS. Only the first estimated disbursement date is required on the Origination record.

### **Question #25**

For Potential Overaward, will the last disbursement record be blocked or will the disbursement amounts just keep getting reduced to \$0?

*Answer:* The amount will be reduced to \$0 and the disbursement record will be rejected. The disbursement record will also include the edits to indicate that the student is in a Potential Overaward situation.

### **Question #26**

In the Implementation Guide, in the section on origination modifications, you say that the 3-position sequence number field will help schools to track which version of the origination record RFMS has on file. Are you referring to software “version”? If not, version of what?

*Answer:* The sequence number field can be used to track which version of the origination record the school is using. Some schools keep a history of all origination records that the school sends to RFMS. The sequence number is a way for the school to know which of their versions is on the RFMS database.

### **Question #27**

If the Version Number field in the batch header record is blank, then no edit will be performed. The version number is a warning, and if the version number field contains a version number, then an edit will be performed— Does this only refer to EDEExpress versions?

*Answer:* If there is a value in the field it will be evaluated against the most recent EDEExpress version number.

### **Question #28**

Will RFMS look at each field in the Disbursement Record or just the Reference Number?

*Answer:* To determine a duplicate RFMS will only look at the Disbursement Reference Number.

### **Question #29**

As stated in the business rules, schools are not limited by the number of disbursements they report in the accepted Origination Record— Does this refer to number of Payment Periods’ field that was removed from the Origination Record or the Estimated Disbursement Dates?

*Answer:* This refers to the Estimated Disbursement Dates listed on the origination record.

### **Question #30**

If a record is rejected, should the 'Accepted Amount' be \$0 since \$0 was accepted?

*Answer:* If a record is rejected then the Accepted Amount will contain the original amount that was sent in on the record. All of the original values will be returned on a rejected record.

### **Question #31**

Why is Edit Code 222 a warning and not a reject?

*Answer:* Edit 222 is a warning because each record in the batch will be evaluated to determine the eligibility status of the institution at the time the disbursement was made.

### **Question #32**

Which of the following numbers is unique to a school? DUNS Number or OPEID Number?

*Answer:* OPEID.

### **Question #33**

A disbursement situation occurred that I think the business rules should address. A disbursement was submitted one day. The next day the check was voided and reissued for the 1<sup>st</sup> disbursement that was already submitted. RFMS acknowledged the first disbursement. The next day, when the negative is submitted for the void and the disbursement was submitted for the re-issued check, RFMS rejected the disbursement first because it exceeded the total award for the student. RFMS then accepted the negative for the void, which reduced the total disbursed amount to zero. The total should have been the amount of the one disbursement. Is it because the disbursement was received a second before the negative void or does RFMS always read the positive before the negative void when received at the same time? Can this be addressed somewhere for how schools should handle submitting data?

*Answer:* RFMS processes the records in the order they are received in the file. For the situation above if the second positive record was in the batch before the negative record then the positive record would have been rejected and the negative record accepted. If the records are included in

the file in the order that the activity was taken then they should be accepted correctly at RFMS.

### **Question #34**

Will RFMS adjust the school amount to its maximum calculated amount?

**Answer:** If the school amount is less than the calculated amount, RFMS does nothing to the school amount. If the calculated amount is less than the school amount, RFMS reduces the school amount to the calculated amount.

### **Question #35**

What is the record type code of MRR?

**Answer:** The following are the type codes for the MRR.

CE	Only Potential Concurrent Enrollment
PB	Only Potential Overaward Project (POP) and Blocked Institution
PR	Only Potential Overaward Project (POP) and Blocker Institution
BC	Both CE' and PB'
RC	Both CE' and PR'
PU	Unblocked

### **Question #36**

Advance Funded schools receive ESOAs, but what about Just-In-Time Schools?

**Answer:** All schools receive ESOAs. Advance funded schools receive them when their obligations exceed their authorization amount. Just-in-Time schools receive them every time a disbursement batch is accepted because they do not have an initial authorization amount.

### **Question #37**

What is the difference between the SAIG Transmission Header and Trailer and the Grant Batch Header and Trailer records?

*Answer:* The SAIG Transmission Header and Trailer are used by the SAIG network in transmitting the files. The Grant Batch Header and Trailer records are used by RFMS to ensure the complete batch has been received and to identify the type of data contained in the batch.

### **Question #38**

Who determines if the sum of all accepted and pending disbursements exceeds the recipient's Scheduled Federal Pell Grant Award by calculating the percentage of disbursements received at all attending campuses?

*Answer:* RFMS determines this when a disbursement record is accepted. The percentage is calculated at each attended campus and then the percentages are summed to determine if it is over 100 percent.

### **Question #39**

If a school sends a record, and if any of the identification fields do not match the identifier fields on a previously accepted origination record—wouldn't this record come back with a reject of 303 or 324 for aid year 2002 or beyond, and not accepted as a new record (unless by accidentally matching on another student SSN)?

*Answer:* If the identifier fields (Origination ID) do not have an accepted origination record at RFMS then the origination record is treated as a new record. Edits 303 and 324 pertain to matching the data on the record to the Applicant record received from the Central Processing System (CPS) or matching the SSN and Name code fields on the record to the Origination ID on the record.

### **Question #40**

Do the disbursement reference numbers have to be in sequential order?

*Answer:* No. The disbursement reference number can be submitted in any order.

### **Question #41**

Edit Code 324 indicates Invalid Name Code in the year specific edit codes, but in the edit codes tables it indicates “Invalid Expected Family Contribution”. Which is correct?

*Answer:* For 2001-2002, “Invalid Name Code” is correct and tables have been changed to reflect this.

### **Question #42**

Why is there no Edit Code 611 for the Edit Codes and What They Really Mean tables?

*Answer:* Edit Code 611 (Invalid Reconciliation Student ID) has been added to the “Edit Codes and What They Really Mean” table.

### **Question #43**

What does the “TG” in TG Number mean?

*Answer:* The TG number is the naming convention assigned by GEIS, the owner of the EDE network mailbox. It does not have any other significant meaning.

### Question #44

Can an example be provided for Concurrent Enrollment vs. POP?  
 Recipients can't be paid from 2 schools during the same period.

**Answer:** Recipients can be paid within the same timeframe as long as the maximum Scheduled Award has not been exceeded. Concurrent enrollment is set when a student has more than one origination record for the award year at RFMS. There are disbursements on both origination records and the enrollment dates are within 30 days of each other.

For the example below, School A is sending in a disbursement of \$100 on each student.

Student	School	Enrollment Date	Total Disb	Maximum Award	Eligible Used	Total Eligible	Conditions Set
1	A	09/01/2001	\$1000	3300	30.30	60.60	Concurrent Enrollment
1	B	09/15/2001	\$1000	3300	30.30	60.60	Concurrent Enrollment
2	A	09/01/2001	\$2000	3300	60.61	100.00	Concurrent Enrollment, POP
2	B	09/15/2001	\$1300	3300	39.39	100.00	Concurrent Enrollment, POP
3	A	09/01/2001	\$500	3300	15.15	30.30	None
3	B	10/30/2001	\$500	3300	15.15	30.30	None
4	A	09/01/2001	\$1000	2300	43.48	73.78	Concurrent
4	B	09/15/2001	\$1000	3300	30.30	73.78	Concurrent Enrollment
5	A	09/01/2001	\$2000	2500	80.00	100.00	Concurrent Enrollment, POP
5	B	09/15/2001	\$660	3300	20.20	100.00	Concurrent Enrollment, POP
6	A	09/01/2001	\$500	1000	50.00	30.30	None
6	B	10/30/2001	\$500	1300	38.46	30.30	None

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