

Appendix L. Institutional Monitoring Division Deficiency Codes

This list contains deficiency codes and corresponding generic paragraph titles as of July 1,1994

<u>CODES</u>	<u>TRANSLATION</u>
	GENERAL
GEN 2000	ABILITY TO BENEFIT - TEST NOT DOCUMENTED
GEN 2001	ABILITY TO BENEFIT - TESTING REQ. NOT MET
GEN 2010	ACADEMIC RECORDS NOT PROPERLY MAINTAINED
GEN 2020	ACADEMIC YEAR NOT DEFINED CORRECTLY/INADEQUATE LENGTH
GEN 2030	ADMISSIONS POLICY NOT FOLLOWED/DOCUMENTED
GEN 2040	ATTENDANCE POLICY NOT APPLIED
GEN 2050	ATTENDANCE RECORDS - MISSING/IMPAIRED ADMINISTRATIVE CAPABILITY
GEN 2070	AUDIT REPORT NOT SUBMITTED
GEN 2080	AWARD NOTIFICATION PROCEDURES NOT DEVELOPED
GEN 2090	CLOSED SCHOOL-FAILURE TO SUBMIT AUDIT REPORT
GEN 2100	CONSORTIUM AGREEMENT - UNAVAILABLE/INADEQUATE
GEN 2110	CONSUMER INFORMATION REQUIREMENTS NOT MET/IMPAIRED ADMINISTRATIVE CAPABILITY
GEN 2111	CRIME AWARENESS REQUIREMENTS NOT MET
GEN 2115	DEFAULT RATE EXCEEDS 20 PERCENT/IMPAIRED ADMINISTRATIVE CAPABILITY
GEN 2120	WITHDRAWAL RATE EXCESSIVE/IMPAIRED ADMINISTRATIVE CAPABILITY
GEN 2130	ENROLLMENT STATUS NOT VERIFIED BEFORE DISBURSEMENT
GEN 2131	INELIGIBLE LATE DISBURSEMENTS
GEN 2150	FINANCIAL AID TRANSCRIPT MISSING/INCOMPLETE
GEN 2160	INCONSISTENT INFO. IN STUDENT FILE/IMPAIRED ADMINISTRATIVE CAPABILITY
GEN 2161	INDEPENDENT STUDENT STATUS NOT DOCUMENTED

*Institutional Monitoring Division Deficiency Codes (continued)***GENERAL (CONT'D)**

GEN 2170	INELIGIBLE BRANCH
GEN 2180	INELIGIBLE PROGRAM - APPROVAL REQUIREMENTS NOT MET
GEN 2181	INELIGIBLE PROGRAM - INADEQUATE LENGTH
GEN 2190	INELIGIBLE STUDENT - CITIZENSHIP
GEN 2200	INELIGIBLE STUDENT - IN DEFAULT ON LOAN
GEN 2220	INELIGIBLE STUDENT - STUDENT OWED A REFUND
GEN 2221	INELIGIBLE STUDENT - HIGH SCHOOL STUDENT
GEN 2222	FINANCIAL NEED NOT DETERMINED/INCORRECT
GEN 2230	JOB PLACEMENT RECORDS INADEQUATE
GEN 2240	INADEQUATE INTERNAL CONTROLS/IMPAIRED ADMINISTRATIVE CAPABILITY
GEN 2245	LACK OF ADMINISTRATIVE CAPABILITY
GEN 2250	INSUFFICIENT PERSONNEL/IMPAIRED ADMINISTRATIVE CAPABILITY
GEN 2260	MISREPRESENTATION-INSTITUTION OR PROGRAM
GEN 2270	NEED ANALYSIS IMPROPER/NOT DOCUMENTED
GEN 2280	REMEDIAL COURSE WORK REQUIREMENTS NOT MET
GEN 2290	OVERAWARD-NEED EXCEEDED
GEN 2300	OWNERSHIP/NAME/ADDRESS CHANGE NOT REPORTED/DELAYED
GEN 2310	PARTICIPATION AGREEMENT MISSING/NEEDS UPDATING
GEN 2311	FAILURE TO REVIEW ELIGIBILITY EVERY FOUR YEARS
GEN 2312	IMPROPER FEE CHARGED TO STUDENTS FOR PROCESSING TITLE IV APPLICATIONS OR FORMS
GEN 2313	IMPROPER USE OF POWER OF ATTORNEY AUTHORIZATION
GEN 2320	RECORDS NOT MAINTAINED/RETAINED FIVE YEARS/IMPAIRED ADMINISTRATIVE CAPABILITY
GEN 2330	REPEAT FINDING - FAILURE TO TAKE CORRECTIVE ACTION
GEN 2335	REFUND - INADEQUATE METHOD OF DETERMINING LAST DAY OF ATTENDANCE
GEN 2340	REFUND - PROCEEDS RETAINED BY INSTITUTION

*Institutional Monitoring Division Deficiency Codes (continued)***GENERAL (CONT'D)**

GEN 2350	REFUND - LACK OF SUPPORTING DOCUMENTATION
GEN 2360	REFUND - CALCULATION INCORRECT
GEN 2370	REFUND - INSTITUTIONAL POLICY NOT DEVELOPED
GEN 2371	REFUND - PRO-RATA NOT USED
GEN 2372	REFUND - PRO RATA POLICY NOT PUBLISHED
GEN 2380	REFUND - NOT MADE TO TITLE IV ACCOUNT
GEN 2381	CREDIT BALANCE NOT DISBURSED TO STUDENT
GEN 2382	REPAYMENT POLICY NOT DEVELOPED/IMPLEMENTED
GEN 2390	SATISFACTORY ACADEMIC PROGRESS STANDARDS NOT MONITORED/IMPAIRED ADMINISTRATIVE CAPABILITY
GEN 2400	SATISFACTORY ACADEMIC PROGRESS POLICY NOT DEVELOPED/IMPAIRED ADMIN. CAPABILITY
GEN 2410	SCHOOLS W/CENTRALLY ADMINISTERED SFA PROGRAMS - REQ. TO REVIEW ALL LOCATIONS FOR SIMILAR DEFICIENCIES/IMPAIRED ADMIN. CAPABILITY
GEN 2420	STUD. CERT. - MISSING STATEMENT OF ED PURPOSE
GEN 2430	STUD. CERT. - DRUG-FREE STATEMENT UNSIGNED
GEN 2431	DRUG PREVENTION PROGRAM REQUIREMENTS NOT MET
GEN 2440	STUD. CERT.- MISSING STATEMENT OF NON-DEFAULT
GEN 2450	STUD. CERT.- STATEMENT OF SELECTIVE SERVICE
GEN 2460	STUD. CERT. - UNSIGNED STMT. OF UPDATED INFO.
GEN 2480	TRANSFER-OF-CREDIT FROM AN UNACCREDITED INSTITUTION - REQUIREMENT NOT MET
GEN 2490	VERIFICATION POLICIES AND PROCEDURES NOT DEVELOPED/INADEQUATE
GEN 2491	VERIFICATION NOT DOCUMENTED/INCOMPLETE

FISCAL

FIS 3000	ACCOUNTING RECORDS NOT MAINTAINED
FIS 3010	ACCOUNTING RECORDS INADEQUATE
FIS 3020	ACCOUNTING AND FISCAL SYSTEM NOT DEVELOPED

Institutional Monitoring Division Deficiency Codes (continued)

FISCAL (CONT'D)

FIS 3030	ADM. COST/EXCEEDS ALLOWABLE MAXIMUM
FIS 3040	ADVANCES USED FOR NON-PROGRAM PURPOSES
FIS 3050	FISCAL RECORDS NOT AVAILABLE
FIS 3060	AUDIT TRAIL INADEQUATE/CANNOT TRACE EXPENDITURES
FIS 3070	FEDERAL PELL GRANT EXPENDITURES DIFFER FROM PROGRAM AUTHORIZATION LEVEL
FIS 3080	BANK ACCOUNTS - FEDERAL FUNDS NOT IDENTIFIED
FIS 3090	BANK CHARGES MADE TO FEDERAL ACCOUNT
FIS 3100	EDPMS EXPENDITURES/UNTIMELY/INCORRECTLY REPORTED
FIS 3110	EXCESS CASH BALANCES MAINTAINED
FIS 3120	EXPENDITURES REPT. ON FISAP REPORT INACCURATE
FIS 3130	EXPENDITURE REPORTS LATE
FIS 3140	FAILURE TO COORDINATE ALL STUDENT FINANCIAL AID
FIS 3160	INTEREST EARNED ON FED FUNDS NOT RET. TO ED
FIS 3170	IMPROPER TRANSFER OF FEDERAL FUNDS
FIS 3171	IMPROPER/UNAUTHORIZED RETENTION OF STUDENT CREDIT BALANCES

FEDERAL PELL GRANT PROGRAM

PELL 4000	ACCOUNT CREDITED WITHOUT STUDENT'S PERMISSION
PELL 4030	IMPROP. DISB. - PELL NOT MADE IN MULTI/EQUAL PYMTS.
PELL 4040	IMPROP. DISB. - PELL DISBURSED PRIOR TO MIDPOINT
PELL 4050	IMPROP. DISB. - STUDENT SUBMITTED SAR AFTER JUNE 30 DEADLINE DATE
PELL 4060	IMPROPER FEDERAL PELL AWARDS TO TRANSFER STUDENTS
PELL 4070	IMPROPER STUDENT BUDGET/COA
PELL 4080	IMPROPER FEDERAL PELL DISBURSEMENTS
PELL 4090	IMPROPER DISBURSEMENT/WITHOUT VALID SAR/ESAR
PELL 4100	INCORRECT AWARDS ACROSS ACADEMIC YEARS
PELL 4110	INCOR. CAL./CLOCK HR. OR INST. W/O FIXED TERMS

Institutional Monitoring Division Deficiency Codes (continued)

FEDERAL PELL GRANT PROGRAM (CONT'D)

- PELL 4120** INSTITUTION SUBMITTED SARS AFTER DECEMBER 31 DEADLINE DATE
- PELL 4130** FEDERAL PELL GRANT OVERPAYMENT/UNDERPAYMENT
- PELL 4131** FAILURE TO MAKE ADJUSTMENTS TO PAYMENT VOUCHERS
- PELL 4140** PART-TIME AWARD INCORRECTLY PRORATED
- PELL 4180** SAR/ESAR NOT SIGNED

FEDERAL FAMILY EDUCATION LOAN PROGRAM

- FFEL 5000** COMMISSION/BONUS/INCENTIVE PAID FOR SECURING ADMISSIONS
- FFEL 5030** FFEL DEFAULT RATE OVER 20 PERCENT
- FFEL 5040** FFEL DEFAULT REDUCTION PLAN NOT IMPLEMENTED
- FFEL 5050** FFEL DEFERMENT IMPROPERLY CERTIFIED
- FFEL 5060** FFEL DELAYED DELIVERY REQUIREMENT NOT MET
- FFEL 5090** FFEL CHECK CASHED WITHOUT STUDENT SIGNATURE
- FFEL 5100** FFEL CHECKS DISBURSED BEFORE ENROLLMENT
- FFEL 5110** FFEL CHECK DISBURSED - NOT DOCUMENTED
- FFEL 5130** FFEL INITIAL COUNSELING NOT DOCUMENTED/PERFORMED
- FFEL 5131** FFEL EXIT COUNSELING NOT DOCUMENTED/PERFORMED
- FFEL 5140** IMPROPER CERTIFICATION OF FFEL
- FFEL 5141** FFEL IMPROPER - NOT PRO-RATED
- FFEL 5151** IMPROPER DISB. FAILURE TO RE-CERTIFY ELIGIBILITY FOR FFEL AFTER LAPSE IN ENROLLMENT
- FFEL 5160** INSTITUTION DID NOT COMPLY WITH PRE-CLAIM ASSISTANCE REQUEST
- FFEL 5170** LATE FFEL REFUNDS MADE TO LENDERS
- FFEL 5180** LEAVE OF ABSENCE--EXCESSIVE LENGTH
- FFEL 5181** LEAVE OF ABSENCE--EXCEEDS ONE PER YEAR
- FFEL 5190** LEAVE OF ABSENCE--REQUEST NOT DOCUMENTED
- FFEL 5191** LEAVE OF ABSENCE--STUDENT CHARGED ADDITIONAL FEES

Institutional Monitoring Division Deficiency Codes (continued)

FFEL PROGRAM (CONT'D)

FFEL 5210	LENDER NOT NOTIFIED OF STATUS CHANGE IN 60 DAYS
FFEL 5220	FFEL/AWARD EXCEEDS MAX. ANN. OR CUM. LIMIT
FFEL 5221	FFEL PROCEEDS NOT DELIVERED WITHIN 45 DAYS
FFEL 5230	MISSING FFEL APPLICATION
FFEL 5240	FFEL RECORDS NOT MAINTAINED/DOCUMENTATION MISSING
FFEL 5260	STUDENT CONFIRMATION REPORT FILED LATE/NOT FILED
FFEL 5270	SINGLE DISBURSEMENT OF FFEL PROCEEDS
FFEL 5271	FFEL DISBURSEMENTS ATTRIBUTED TO UNATTENDED/INCORRECT PAYMENT PERIODS
FFEL 5280	STUDENTS NOT NOTIFIED OF REFUND TO LENDER

FEDERAL CAMPUS-BASED PROGRAMS

CBA 0001	ADJUSTMENTS TO FC NOT DOCUMENTED
CBA 0010	CAMPUS-BASED AWARD SELECTION PROCEDURES NOT WRITTEN
CBA 0011	CAMPUS-BASED AWARDS NOT MADE AVAILABLE TO NON-TRADITIONAL STUDENTS
CBA 0020	DISBURSEMENT - NOT MADE IN EQUAL PYMTS.
CBA 0030	FISAP INCOME GRID - NOT DOCUMENTED

FEDERAL WORK-STUDY PROGRAM

FWS 1000	FWS - CARRY FORWD./BACK FUNDS NOT DOCUMENTED
FWS 1010	FWS EARNINGS NOT MONITORED
FWS 1020	FWS EARNINGS CREDITED TO STUDENT ACCOUNT
FWS 1030	FWS OFF-CAMPUS AGREEMENT NOT AVAILABLE
FWS 1040	FWS TIME CARDS NOT SIGNED BY SUPERVISOR
FWS 1050	FWS - IMPROPER PAYMENTS FOR HOURS WORKED
FWS 1060	FWS INELIGIBLE EMPLOYMENT
FWS 1070	FWS JOB DESCRIPTIONS NOT AVAILABLE/NOT FOLLOWED
FWS 1080	FWS JOB DISPLACED REGULAR EMPLOYEE

Institutional Monitoring Division Deficiency Codes (continued)

FEDERAL WORK-STUDY PROGRAM (CONT'D)

FWS 1090 FWS MATCHING REQUIREMENT NOT MET/UNTIMELY
FWS 1100 MISSING FWS TIME SHEETS
FWS 1120 FWS SELECTION POLICY INADEQUATE

FEDERAL PERKINS LOAN PROGRAM

PERK 8000 ADJUSTMENTS TO SCHEDULE OF ADVANCES NOT CERTIFIED
PERK 8010 ANNUAL FEDERAL PERKINS LOAN SAFEGUARD REPORT NOT SUBMITTED
PERK 8020 FEDERAL PERKINS LOAN BORROWERS NOT PROVIDED COPIES OF NOTES
PERK 8030 FEDERAL PERKINS LOAN CANCELLATIONS FOR INELIGIBLE STUDENTS
PERK 8070 FEDERAL PERKINS LOAN COLLECTIONS NOT DEPOSITED IN FUND
PERK 8080 FEDERAL PERKINS LOAN EXCESSIVE DEFAULT RATE
PERK 8090 FEDERAL PERKINS LOAN EXIT COUNSELING NOT CONDUCTED
PERK 8100 EXCESS FEDERAL PERKINS LOAN CASH BALANCE
PERK 8110 FEDERAL PERKINS LOAN - FUNDS NOT DEP. INTO INTEREST-BEARING ACCOUNT
PERK 8120 FEDERAL PERKINS LOAN - FUNDS CHARGED FOR UNALLOWABLE COLLECTION COSTS
PERK 8130 FEDERAL PERKINS LOAN IMPROPER DEFERMENTS
PERK 8140 FEDERAL PERKINS LOAN - BILLING/COLLECTION PROCEDURES INADEQUATE
PERK 8150 FEDERAL PERKINS LOAN - INCORRECT REPAYMENT SCHEDULE
PERK 8160 FEDERAL PERKINS LOAN INSTITUTIONAL DATA NOT RECONCILED WITH BILLING/COLLECTION AGENCY
PERK 8180 FEDERAL PERKINS LOAN PRE-LOAN COUNSELING AND DISCLOSURE REQUIREMENTS NOT MET
PERK 8190 FEDERAL PERKINS LOAN MATCHING FUNDS NOT MET/UNTIMELY

Institutional Monitoring Division Deficiency Codes (continued)

FEDERAL PERKINS PROGRAM (CONT'D)

PERK 8200	FEDERAL PERKINS LOAN NOTES NOT ADEQUATELY SAFEGUARDED
PERK 8210	FEDERAL PERKINS LOAN NOTES UNSIGNED, MISSING, IMPROPER
PERK 8211	FEDERAL PERKINS LOAN EXCEEDS LOAN MAXIMUM
PERK 8220	FEDERAL PERKINS LOAN REPAYMENT SCHEDULE NOT IN FILE/NOT SIGNED
PERK 8230	FEDERAL PERKINS LOAN - SAME AGENCY BILLS AND COLLECTS
PERK 8240	FEDERAL PERKINS LOAN - SCHEDULE OF ADVANCES NOT SIGNED
PERK 8250	FEDERAL PERKINS LOAN SELECTION POLICY INADEQUATE

FEDERAL SUPPLEMENTAL EDUCATIONAL OPPORTUNITY GRANT PROGRAM

SEOG 9000	FEDERAL SEOG - EXCEPTIONAL NEED NOT MET
SEOG 9005	FEDERAL SEOG FUNDS NOT MADE REASONABLY AVAILABLE
SEOG 9010	FEDERAL SEOG MATCHING FUNDS NOT PROVIDED/LATE
SEOG 9020	FEDERAL SEOG - MINIMUM/MAXIMUM AWARD REQUIREMENT NOT MET
SEOG 9040	UNEQUAL FEDERAL SEOG DISBURSEMENTS
SEOG 9050	FEDERAL SEOG DISBURSEMENT W/O PELL ELIGIBILITY