

Overview

Preface

This technical reference is provided to postsecondary institutions participating in the U.S. Department of Education Pell Grant Program. It contains technical system information that allows you to either:

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

Organization

The RFMS Technical Reference for 2000-2001 is organized into the following sections:

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All schools should read the Overview section. It contains important phone numbers to call for assistance, as well as information to help you choose how you want to participate electronically in the program.

If you choose to use a custom system, read the Custom section thoroughly. It provides you with essential record layouts pertinent to building your own system.

If you choose to use a combination of systems, read the Combination section thoroughly, as it provides you with essential record layouts pertinent to using a combination of systems.

See the following section, Sources of Assistance, for additional resources of help.

What's New for 2000-2001

Listed below are the modifications, additions, and deletions for 2000-2001.

Removed:

- The following two Output Media Types were deleted:
 - Cartridge
 - Reel
- Batch Replacement was deleted as a Data Request type.

Added:

- The field, Total Funds Disbursed for this Payment Period using a Regular Disbursement Record, was added to the Special Disbursement and Special Disbursement Acknowledgement record. This field allows an institution to specify how much of a regular disbursement record(s) should be allocated to a specified payment period.
- Special Disbursement Edits 550 and 552 were added to evaluate the Total Funds Disbursed for this Payment Period using a Regular Disbursement Record field. Edit 550 will reject the Special Disbursement record if the value is nonnumeric or greater than the maximum amount for the award year. Edit 552 will adjust the value if it is greater than the all of the regular disbursements on the record.
- Batch Edit 239 was added to check the EDEExpress version number in the Batch Header record. If the version number is not the most current version of EDEExpress then the batch will receive the warning edit 239. This will help to notify institutions to upgrade to a newer version of the EDEExpress software.
- A Year to Date file can be requested for a single Origination ID in addition to the institution option. This will allow an institution to receive all of the records for the institution, or just the records for a particular student at the institution.

Modified:

- Disbursement Edit 418 was modified to select Disbursement records with a disbursement amount that is greater than 50% of the Scheduled Award Amount and who have a Verification Status of 'W'.
- Special Disbursement Edit 532 was modified to select Special Disbursement records with a disbursement amount that is greater than 50% of the Scheduled Award Amount and who have a Verification Status of 'W'.
- Batch edit 216 was modified to a warning when an incorrect Grantee DUNS Number is submitted.
- Batch edit 233 is now being sent on batches sent from a TIVWAN mailbox other than the one assigned to the reporting campus. Batches must be sent from and returned to the same mailbox.

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 **800/330-5947**
Telecommunications Device for the Deaf (TDD/TTY) **800/511-5806**

E-mail: cps@ncs.com

SFA Technical Support:

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

Fax: 319/358-4260

Working hours are 7:00 a.m. - 7:00 p.m. (CT), Monday through Friday

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

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.ed.gov

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

Working hours are 7:00 a.m. - 7:00 p.m. (CT), Monday through Friday

Direct Loan Operations Staff

202/708-9951

E-mail: 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

Fax: 800/557-7396

Working hours are 8:00 a.m. - 8:00 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 8:00 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 8:00 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 7:00 a.m. - 10:00 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

Fax: 301/548-2396

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

Working hours are 8:00 a.m. - 8:00 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 Page

- Authorization Level for 1999-2000, 2000-2001
- Batch Status for 1999-2000, 2000-2001
- Links to Pell Grant Resources

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 8:00 a.m. - 8:00 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 8:00 a.m. – 8:00 p.m. (ET), Monday through Friday

National Student Loan Data System (NSLDS)

800/999-8219

Working hours are 7:00 a.m. - 7:00 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 8:00 a.m. to 4:30 p.m. (ET), Monday through Friday

- Policies
- Regulations

SFA Customer Support Inquiry Center

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

E-mail: osfap_csb@ed.gov

Fax: 202/260-4199

Working hours are 9:00 a.m. - 5:00 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

Title IV WAN Customer Service

800/615-1189

E-mail: t4wan@ncs.com

Fax: 319/339-6983

Working hours are 7:00 a.m. - 10:00 p.m. (CT), Monday through Friday

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

Universal Automation Labs (UAL)

877/801-7168

Fax: 301/565-0613

Working hours are 8:00 a.m. - 5:30 p.m. (ET), Monday through Friday

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

System Options

The U.S. Department of Education gives you maximum flexibility in fashioning a system solution that best meets your institution'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.

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). Beginning in 2000-2001, it will also enable you to export data from the EDEExpress database needed by other on-campus systems (such as the institution's business office).

EDEExpress

EDEExpress 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.

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 institution.

Grant Volume	How large is the grant volume at your institution?
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 Pell Grant program? (These offices could include financial aid and bursars.)

If you participate in the Electronic Data Exchange (EDE) with EDEExpress, the Department of Education provides personal computer (PC) software designed to manage financial aid processing, including the Pell Grant Program. Modules in EDEExpress include Application Processing, Packaging, Direct Loan, and Pell Payments. The remainder of this section describes the hardware and interface requirements of the Combination EDEExpress Custom System option.

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:

- 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 1/2" 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). 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 EDEExpress Installation Guide for LAN Hardware and Software recommendations.

Interface Requirements

EDEExpress interfaces with other ED-provided software modules and systems resident on the same PC, with other systems at the institution, 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, EDconnect, can coexist on the same PC with EDEExpress. EDconnect is a window's software package that participants use to transmit data across the network to the RFMS systems. EDconnect is compatible with the LAN; however, care should be taken when using EDconnect in a LAN environment because of its lack of file and record-locking capabilities.

Interface with other Software Systems on Campus

Your other institutional 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 these other systems that has been reformatted according to specifications provided in this technical reference.

Likewise, data in EDEExpress is of potential use to other on-campus systems. Therefore, the system provides you with the ability to export data. 2000-2001 Record Layouts for the export files are provided so your institutional systems can be modified.

Introduction to the Recipient Financial Management System (RFMS)

Beginning with the 1999-2000 award year and continuing in the 2000-2001 award year, schools report Pell disbursements to the Department through the Recipient Financial Management System (RFMS). As in previous years, most schools will 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 the school chooses to submit them. A school should submit origination records for any student that it might pay a Pell to. When RFMS receives an origination record, it checks the record to make sure there aren't errors and then returns an acknowledgement.

When the school makes a disbursement to a student or anticipates making a disbursement to a student, it needs to send in a disbursement record. The disbursement record reports the actual disbursement date and the amount of the disbursement. RFMS also returns an acknowledgement for the disbursement record, which will let the school know if there were any problems with its submission. 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 will be adjusted once the school's initial authorization is exceeded.

RFMS Software

The Department provides a Pell Payment module as part of the EDExpress software. However, schools aren't required to use this software. Schools using the Department's software can use the desk reference for the Pell Payment software or the online Help in EDExpress for help with the software.

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

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 will need to cover its first Pell Grant disbursements. As the award year progresses, **the authorization for the school will be adjusted based on the actual dollar amount of 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 TIVWAN with the message class PGAS01OP. This is called Advance Funding.

The Department of Education has placed some schools on Reimbursement or Cash Monitoring and they do not receive an initial authorization. They receive their funding as they submit accepted disbursement batches.

In 2000-2001, RFMS is expanding the Just-in-Time (JIT) pilot program. The schools participating in this pilot also do not receive an initial authorization. They submit disbursement batches and when the batches are accepted, the funds are deposited directly into the schools bank account.

As the school reports disbursements to RFMS, RFMS makes any necessary adjustments to the authorization and notifies GAPS so those 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 adjusts the school's authorization on that basis.** The system also provides documentation to the school for reconciling the school's records of total expenditures with the Department's records of eligible students paid by the school. (This documentation is the Year-to-Date data.) **The Pell funds that the school reports as expenditures to GAPS must equal the total payments to eligible Pell recipients at the school,** as shown by the records for each student.

Origination Records

The Origination record establishes a student's eligibility and the amount of Pell 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 when they make disbursements. 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 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.

A school should submit an origination record for every student it **might** pay during the award year; the school doesn't have to disburse funds for each origination record. Also, more than one school can submit an origination record for a student. However, RFMS only accepts 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's 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 disbursements made. Submitting the origination records early ensures that disbursement records won't be rejected because there's 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's a problem with that origination record and it is rejected, the disbursement record will also be rejected.

The software the school uses to prepare origination records should help it enter data in the correct origination record format. Some fields of the origination record are required fields, and others are optional. The school will still want to make sure the information is correct and included for all fields of the origination record for that student. The Department's EDEExpress software won't 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 will send one acknowledgement record back for each origination record it received. RFMS will accept 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 or if the record has been sent in duplicate.

The acknowledgement record has an action code that shows whether the origination record was accepted (A), corrected (C), or rejected due to errors (E). The record also has Edit/Comment Codes that tell why a particular record was corrected or rejected. When an origination record is accepted or corrected the acknowledgement record reports back 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 back the values reported by the school for each data element. RFMS doesn't 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 before it can receive any payment for the student from the Department.

RFMS Corrections

RFMS makes corrections to invalid values whenever possible, rather than rejecting the record. Values may be invalid because they're 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) to agree with the reported academic calendar. The record layouts in Section 1 of this technical reference detail how RFMS corrects invalid values.

RFMS will also calculate the maximum award amount the student can receive based on the attendance, cost, and EFC on file in RFMS. If the reported award amount is more than this maximum amount, RFMS will correct the award amount. Note that RFMS won't **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 itself.

Disbursement Records and Special Disbursement Records

A school must report each payment made to each eligible student. RFMS has two records for reporting disbursements: the disbursement record and the special disbursement record. Most schools (those using any funding method other than Reimbursement) will use the disbursement record, which has only 5 items the school needs to report.

Because the Department needs additional award data by payment period for schools on Reimbursement or schools who have lost eligibility during the award year, these types of schools must use special disbursement records, which require the school to report on 18 items. However, any school can use special disbursement records.

Timing of Submissions

As mentioned previously, before RFMS will accept a disbursement record or special 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's a problem with the origination record and it is rejected, the disbursement record or special disbursement record won't be 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 will need to 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; schools on Reimbursement or Cash Monitoring Level 2 can't submit a special disbursement record until they have actually made the disbursement to the student.

In all cases, a record that's submitted too early will be 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," *1999-2000 Student Financial Aid Handbook*, Pell Reference, page 75).

Disbursement Acknowledgement Record Items

The disbursement record must have an Origination ID, which must match an origination record in the RFMS database. If there's no match, the disbursement record will be rejected. It must also have a disbursement reference number. Some software programs, including EDEExpress, assign a disbursement reference number automatically in the way 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 then 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's 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. The school must report cents for the disbursement amount; if whole dollar amounts are used, 00 must be the last two characters of the figure.

Special Disbursement Records

In addition to the information in disbursement records, special disbursement records have information about the payment period for which the disbursement is made, and information that can be used to calculate the correct amount of the payment for that payment period. The school must report the number of payment periods in the school year, which payment period this disbursement is for, the start and end date of the payment period and the total payment amount for the payment period.

Disbursement Records and Special Disbursement Record Acknowledgements

When RFMS receives disbursement records, it edits them to make sure there are no errors. Then it sends an acknowledgement back to the school. RFMS will send one acknowledgement record back for each disbursement record or special disbursement record it received.

RFMS will accept the 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 record was accepted (A), corrected (C), or rejected due to errors (E). Records sent in duplicate are also rejected.

The record also has Edit/Comment Codes that tell why a particular record was corrected or rejected. When a disbursement record or special 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 was rejected, the acknowledgement record reports back the values reported by the school for each data element. RFMS doesn't keep any data for a record that was rejected due to errors.

When a disbursement record or special disbursement record has been accepted or corrected, the acknowledgement record has a Year-to-Date disbursement amount for the student. The school can use this to help reconcile its records for the student with the Department's records of what the student has received for the year. If the disbursement record or special disbursement record was rejected, the Year-to-Date disbursement amount will be left blank.

RFMS Corrections

On a disbursement record, there aren't many items that can be corrected. However, the record layouts explain what corrections will be made on both the disbursement and special disbursement records. RFMS will check to make sure that the student isn't going to receive more than the accepted award amount on the origination record. RFMS will correct the amount to \$0.00, if necessary. This is not a rejected record, it is a corrected record. RFMS also checks to see if disbursements already made by other schools would cause the student to receive more than a Scheduled Award. If the disbursement amount reported on the disbursement record or special disbursement record would cause the student to receive an amount greater than the accepted award amount, RFMS will reduce the disbursement amount. A Multiple Reporting Record will also be generated to advise the institution of the possible Potential Overaward Project (POP) situation.

Reporting Changes

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 its 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 wouldn't expect the school's academic calendar to change during the award year.

Changes to Origination Record Information

In general, the school only needs to submit an updated origination record if there's a change that will increase the award amount. The school has to report increased award amounts, or else RFMS won't 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.

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 or special disbursement record. The enrollment status, COA, and EFC on the origination record paid can all effect 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 or special disbursement record doesn't 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 isn't replaced, a school can't actually correct an incorrect disbursement date. If a school reported an anticipated disbursement that wasn't made, it should simply send in a new disbursement record or special disbursement record with a negative disbursement amount for the amount it reported it would pay.

Multiple Reporting Record

In order to reduce potential overpayments, the RFMS has a record called a Multiple Reporting Record (MRR). This record will be used to tell schools when another school has submitted an origination record or disbursement record on a student for whom it has submitted records. Schools will be permitted to 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 on the IFAP Web site (www.ifap.ed.gov).

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 for certain students, or other schools that have submitted disbursement records. The school can request information about all students it has sent origination records for, or for individual students. Or the school can ask for information on all students for which a particular school has submitted a record. Schools cannot request an MRR to unblock a record. These MRRs are sent automatically by RFMS.

Automatic MRRs

MRRs will be generated automatically only for specific situations involving reported disbursements at two or more schools. The first is if RFMS must reduce or reject a payment to prevent an overaward. The second is if the student is receiving payments for concurrent enrollment. Please see "Concurrent Enrollment" section below for a detailed description of Concurrent Enrollment.

Potential Overaward

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 (to \$0.00, if necessary). This prevents the student from receiving an overaward.

All the schools involved will receive an MRR. The school that had its disbursement amount reduced will receive an MRR that shows which other schools made payments that prevented RFMS from accepting its disbursement amount. The other school or schools will receive an 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 them to resolve the problem.

Concurrent Enrollment

Because a student can't receive Pell funds from two schools for the same period of enrollment, RFMS will provide an 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 an 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 won't prevent either payment, because it's possible that the student's enrollment at one school might end before the enrollment at the other begins. Once 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 for the year, they will create a potential overaward situation, and one or more of the subsequent disbursements will be reduced or blocked.

Year-to-Date Records

RFMS has Year-to-Date records. The Year-to-Date file will have origination and disbursement information for each student, as well as summary information for everything the school submitted. However, the Year-to-Date data only includes information from those records that were accepted or corrected. RFMS doesn't keep any information from rejected records. Year-to-Date records aren't automatically sent to schools. Schools must request Year-to-Date records.

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

The Year-to-Date disbursement records for the student show the accepted data for each disbursement the school reported. Looking at the Year-to-Date records lets the school see what information the Department has about its students, which may be different than the information in the school records.

The Year-to-Date summary will show the number of recipients at the school; the number of origination and disbursement records that were accepted, corrected, or rejected; and, for a certain number of edit codes, the number of times the school received that edit code on an acknowledgement. The software the school's using 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 Year-to-Date record to get a list of students who have differing disbursement amounts in the two sets of records. You should consult the documentation for your software for more information on the uses of Year-to-Date 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 you about a student's origination and disbursement status as well as a summary total of all origination and disbursement data submitted by you.

Purpose of the YTD File and How The Process Works

One of the major changes to the Pell reporting process beginning with the 1999-2000 cycle, is the elimination of the Student Payment Summary (SPS) file. In the legacy system for prior years, the SPS was used to reconcile Pell data and the Year-to-Date (YTD) was used primarily to replace lost databases. The SPS file contained both active and inactive record segments and the YTD file contained only active record segments. The RFMS has only active record segments. Therefore, only the YTD file was retained in the RFMS.

Purpose of the YTD File

The YTD file performs a dual role. Institutions can request the YTD file to replace a corrupt database or to reconcile their records with the accepted data that RFMS has retained. In EDEExpress institutions have the following options: comparing and printing a discrepancy report, printing all YTD records, updating selected records, and updating/rebuilding all.

Note: A school must have accepted origination records on file in RFMS in order to receive a YTD file.

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>

to submit a data request. Unlike the Student Payment Summary (SPS), where one request for the reporting campus returned files for all attending campuses, **a data request must be received for each attended campus desired when requesting a YTD file**. To request a YTD file, you must have received an origination acknowledgement record with accepted records from RFMS for your school.

After submitting origination records for eligible students to RFMS and receiving origination acknowledgements using EDEExpress or other software, you may 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 institution 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 institution under the message class PGYR00OP. 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 an institution and omit necessary information, such as leaving the attending campus blank, RFMS acknowledges receipt of the request and rejects it, telling you that your request was incomplete.
- If you submit a data request record for an institution 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 institution.

All edits codes and their descriptions are available on the IFAP Web site at <http://ifap.ed.gov> under the Pell Grant (RFMS) Process Section. They are also located in Appendix D of this document.

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 institution. The Disbursement portion provides you with each accepted disbursement tied to the above origination. The summary section provides the institution 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 EDExpress Users

When users import a Pell YTD file, the printed results will not be in the same format as previous SPS reports. Like the SPS report, the YTD Comparison Report will list the differences between your database and the imported YTD file - but the YTD report will print in two sections. The first section notes the Pell Origination exceptions. 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 EDExpress database Pell tables and generate a discrepancy report in Origination ID 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 flag as exceptions on the import Compare Report under the Pell database exceptions.

If you are unsure of whether or not 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 Origination ID 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. **You should only use this option if you were forced to reinstall EDEExpress and want to recreate your Pell record database.**