

Overview

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 to the Department electronically. Schools and Servicers have either opted to be Full Participants in the Common Origination and Disbursement System (COD) or to be Phase-In Participants. This manual addresses the Phase-In systems and procedures. Full Participants should refer to the Common Origination and Disbursement Technical Reference found at ED's Student Financial Assistance Download (SFAdownload) Web site located at **SFAdownload.ed.gov**.

This reference contains technical system information about the Federal Pell program 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 ED in combination with your own system or vendor-provided software

Common Origination and Disbursement

All schools participating in Title IV Student Financial Assistance are using the COD System for 2002-2003 to process Federal Pell Grants and Federal Direct Loans using one of two processing models.

The two models are:

- Full Participation
- Phase-In Participation

The difference in the two models is driven by the data transmissions between the institutions and the COD System.

Full Participation

Full Participation is a new processing model. The Full Participant communicates over the Student Aid Internet Gateway (SAIG) using the XML-based Common Record, which is detailed in the COD Technical Reference. The Common Record uses a shared format for both the Federal Pell Grants and Federal Direct Loans transmissions.

Note: Full Participants should use the COD Technical Reference from the SFAdownload Web site located at **SFAdownload.ed.gov**.

Phase-In Participation

Phase-in Participation is the continuation of the current processing model for the Federal Pell Grant Program and the Direct Loan Program. Phase-In Participants communicate over the SAIG using the record layouts defined in this 2002-2003 Pell Grant Technical Reference and the 2002-2003 Direct Loan Technical Reference.

2002-2003 Pell Processing for Phase-In Participants

For 2002-2003, Pell Participants should:

- Transmit all batch files to the SAIG to be forwarded to COD (Pell Origination and Disbursement processing will no longer occur at RFMS)
- Call COD Customer Service Center using the current telephone numbers

New COD Customer Service Center

SFA's new COD Customer Service Center integrates customer service for the Federal Pell Grant and Federal Direct Loan programs for all award years.

All schools continue to call the current Pell Grant Customer Service numbers. There is no change in the following telephone numbers:

- Pell Grant Customer Service 1-800-474-7268
- Direct Loan School Service 1-800-848-0978
- Direct Loan Applicant Service 1-800-557-7394

All calls are routed to the new COD Customer Service Center. The telephone system prompts the school to enter the award year the school is calling in reference to, and the call is routed to the proper Customer Service Center staff.

Organization

The Federal Pell Grant Program Technical Reference for 2002-2003 is organized as follows:

- Overview
- Custom Layouts
- Implementation Guide
- Combination Systems Layouts
- Pell Processing for Phase-In Participants
- Appendices

The Implementation Guide is a reference to assist school administrators who participate in the Federal Pell Grant Program, their third-party servicers, and their software vendors with implementing the system changes for the 2002–2003 Award Year.

As financial aid administrators, you should read the Overview, Implementation Guide, and Pell Processing for Phase-In Participants sections. These sections contain information to help you choose how you want to participate electronically and how to get started in the program.

If you use a custom system, also read the Custom Layouts section as it provides you with the essential record layouts pertinent to building your own system.

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

Overview of Changes from 2001-2002 to 2002-2003

The table below provides an overview of Pell changes made from 2001-2002 to 2002-2003. The first column provides a description of each change. The descriptions are organized by the following three categories: Removed, Added, and Modified. The second column indicates if the change affects EDEExpress or Combination Systems. The third column indicates if the change affects Custom Systems or Mainframe Systems. The fourth column indicates a general process change that may affect the school business process.

Description	EDEExpress/ Combination Systems	Custom/Mainframe Systems	Pell Process Change Only
Removed			
All Record Layouts have been removed from Print, with the exception of "RL-External Export Add Record." The "RL – External Export Add Record" has also been renamed "RL - User Defined Formats" to be consistent with the same report title in other EDEExpress modules. Pell Record layouts are published for use in this Federal Pell Grant Program Technical Reference for 2002-2003.	X		
Institution Data Record and Institution Data Acknowledgement records have been removed.	X	X	
The Payment Control Number that references the last payment sent to the school is used for accounting and tracking within the Department of Education (ED). It has been deleted from the Electronic Statement of Account - Summary Record layout for the ESOA report that is used by schools.	X	X	
The MRR record types "VW-Verification W" and "SI-Shared SAR ID" are obsolete on the Multiple Reporting Record and therefore have been removed.	X	X	

Description	EDEXpress/ Combination Systems	Custom/Mainframe Systems	Pell Process Change Only
Removed (Continued)			
The Verification Status codes of “A”, “C”, “N”, “R”, “S”, and “T” have been deleted from all records. Verification Status codes “W” – Without Documentation, “V”- Verified and Blank are the only valid values.	X	X	
Added			
Pell Origination and Loan Origination data can be submitted on a Common Record for 2002-2003. Full Participants will use the Common Record. Phase-In Participants will use legacy record layouts with fixed length files. EDEXpress and Combination systems will be Phase-In Participants for the 2002-2003 cycle.			X
The Student Current SSN, Student Date of Birth, Student Last Name, First Name, and Middle Initial will be added to the Origination record. Their values will be saved to the school’s EDEXpress database and included in the export process.	X	X	
The Current SSN, Date of Birth, Student's Full Name, and Secondary EFC will also be imported from the Origination Acknowledgement record. The current SSN should equal the Original SSN for the reported ISIR transaction number unless the student has altered the SSN through the CPS. For EDEXpress users, this data will be stored on the Student Demo tab. An EFC Identifier has also been added to the Origination List to distinguish if the Primary or Secondary EFC is used.	X	X	
The Student Current SSN, Student Date of Birth and Student 's Last Name, First Name, and Middle Initial have been added to the Data Request Record. These fields are required to export a Data Request for individually selected students.	X	X	

Description	EDEXpress/ Combination Systems	Custom/Mainframe Systems	Pell Process Change Only
Added (Continued)			
A new import type will be added to transport discrepancy data submitted to the Pell Processor in the SSN, Name and/or Date of Birth fields. It will be a preformatted report with a message class of PGSNOP03. Whenever data that the school submits to the Pell Processor does not match data on the CPS Abbreviated Applicant File, the values in question will be included on the report. There will be no updates made to EDEXpress database for this report.	X	X	
Records rejected by COD are retained in a “holding bin” so that they can be viewed online.	X	X	
The acknowledgement record includes a count for number of duplicate records in the Grant Batch Trailer.	X	X	
A Negative Pending Amount field has been added to the Origination Acknowledgement record without a negative sign or brackets. If a Negative Pending amount does not exist the field will be "0" filled. For EDEXpress users, the absolute value will list on the Origination Import Edit report.	X	X	
The Software Provider field has been added to the Grant Batch Header. This field indicates the name of the provider and software version number.	X	X	
A Record Source Field has been added on the Student Demo Tab to distinguish a traditional Origination Acknowledgement (O), an Origination Acknowledgement via the Web (W) or a Year to Date rebuild (X). These unique values will be populated to identify the source from which the acknowledged record was imported. The corresponding column heading of the Pell Origination List has also been changed to “Record Source” for clarity. It was previously listed as “Origination Source”.	X		

Description	EDEXpress/ Combination Systems	Custom/Mainframe Systems	Pell Process Change Only
Added (Continued)			
If a Low Tuition and Fees (LTF) code has been selected for a record but LTF requirements have not been satisfied, once a user attempts to run Process Calculate, a message will display that "Criteria for Low Tuition and Fees (LTF) is not met."	X		
The message for Pell Edits will list at the end of the respective Import Edit Report. The 300 series edits and descriptions will list at the end of the Origination Import Edit Report; the 400 series edits and descriptions will list at the end of the Disbursement Edit Report. Users can decide to print or not print the list.	X		
For each disbursement transaction that provokes an edit condition of D-Duplicate, E-Reject or W-Warning the reason for the edit will display by reference number on the Disbursement Tab under View Processed Edits/Comments.	X		
A new Disbursement Pending Report has been created to assist schools in tracking anticipated disbursements. If the amount originated is equal to the amount disbursed, the record will not be listed on this report. The report will list records where the Originated Award amounts minus Year-to-date Disbursed amounts are greater than zero. Schools will have the option to include originated records with no disbursement activity for the award year.	X	X	
A new option to print Pell Grant records with a Verification status of W-Without Documentation and Disbursements greater than zero is added under File Print Pell Disbursement List.	X		

Description	EExpress/ Combination Systems	Custom/Mainframe Systems	Pell Process Change Only
Modified			
The software has been updated with the 2002-2003 Regular and Alternate Federal Pell Grant Program Payment and Disbursement Schedules. The maximum annual award is \$4000 with Pell eligible EFC ranges between \$0 and \$3800. The complete set of tables for determining annual Pell awards can be viewed via your IFAP Web page.	X	X	
Schools that include cents greater than or equal to "0" when reporting their students Pell "Award Amount for Entire School Year" will have the cents processed and returned back to them by COD.	X	X	
Advanced funded schools can send records up to 30 days prior to the Disbursement Date. However schools can not draw down their funds until seven (7) days prior to the scheduled date as submitted on the record.			X
Enrollment Status is not used for Common Origination and Disbursement system processing and therefore is not being edited if sent to COD. The field is still required for EExpress users as it is used to calculate the Origination Award Amount.	X	X	
The name of the Institutional cross-reference fields has been changed to Origination cross-reference and Disbursement cross-reference. These field name changes affect Origination, Disbursement, and YTD file layouts.	X	X	

Description	EExpress/ Combination Systems	Custom/Mainframe Systems	Pell Process Change Only
Modified (Continued)			
<p>All references to "RFMS" have been changed to "Pell Processor" or "Pell" when space will not allow. Label changes in EExpress include, but are not limited to the following:</p> <p>On the Origination and Disbursement export files:</p> <ul style="list-style-type: none"> • RFMS has been removed from the title; <p>On the display screen for Pell Originations:</p> <ul style="list-style-type: none"> • "RFMS Status" has been changed to "Pell Action Status;" <p>On the display screen for Pell Disbursements:</p> <ul style="list-style-type: none"> • "Payment Period" column heading has been changed to "Pay Period." • "Action" has been added to the "Status" column label and "RFMS" has been changed to "Pell." The column heading is now "Pell Action Status". • "RFMS YTD Total" has been changed to "Pell Processor YTD Total." 	X		
<p>Schools that receive a system-generated Multiple Reporting Record (MRR) for Potential Overaward Project (POP) records having been reported by two or more campuses will have 30 days to collaborate and reconcile the questioned discrepancy. If the student is still in an overpaid status after 30 days, the Pell Processor will generate a "Negative Disbursement" and all previously accepted disbursements for the student will be adjusted down to zero.</p>			X

Description	EDEXpress/ Combination Systems	Custom/Mainframe Systems	Pell Process Change Only
Modified (Continued)			
Updates can now be made to the “Disbursement Cross Reference” field for records in an “Accepted”, “Rejected”, or “Ready” status. Updates can not be made to records that have been set to “Batched”.	X		
The range for Pell System-generated Disbursements has been changed from 91-99 to 66-90. For EDEXpress users, the message that previously provided a warning to users at the 85 th disbursement will now be provided for a school’s record that is generated at the 60 th disbursement.	X	X	
The Pell screen has been reorganized and now Weeks and Hours fields are listed together in one column. All data elements that display on this screen are grouped in a more logical order.	X		
The School Internal Sequence Number, a non-required field, has been enabled on the Origination Tab and can now be used by EDEXpress and combo system schools at their discretion. The School Internal Sequence Number has also been made available in Query, Browse, and File Format.	X		
As a user views and scrolls between an origination record and a disbursement record for a single student, the software will present the disbursement record(s) associated with the accessed origination record.	X		
The Select All Records option has been disabled for a Year-to-Date Request. Schools will continue to use the Reporting or Attended Campus ID as criteria for requesting a Year-to-date file for all students.	X		
A second level sort has been added to the Disbursement Export Process so that records run in Origination ID order, then disbursement reference number order for each disbursement record that is exported.	X	X	

Description	EDEXpress/ Combination Systems	Custom/Mainframe Systems	Pell Process Change Only
Modified (Continued)			
A separate Pell budget has been added to the Packaging module for 2002-2003. Schools that use Packaging and Pell in EDEXpress will be able to use this new field to populate the same field on the Pell Tab. The Pell Cost of Attendance (COA) will automatically be populated on the Pell Tab when users select the option to create their Pell records by importing data from the Packaging module in EDEXpress. The Cost of Attendance field has also been added to those that are listed in the Process Multiple Entry Selection Grid.	X		
During the "Origination Data – External" import process, the system will use the SSN value from the Origination ID to populate the Original SSN field. The value in the Original SSN field will be ignored.	X		
The "Compare/Print Exceptions" option will be disabled when users choose to select specific records to update during an import to rebuild their Year-to-Date files.	X		
The School Default Flag has been added to the data that is brought forward when importing Prior Year Pell Setup information. Users will also have the option of selecting data by Attended Campus or Reporting Campus during a Prior Year Import. Interactive graphics have been added to online Help for Pell Grant Setup.	X		
During the import process, the award year will be checked against the cycle of the software that is listed in the Batch ID Header record. If the award year and software version do not match, a message indicating an "invalid cycle year" will print on the import edit report.	X		

Description	EDEXpress/ Combination Systems	Custom/Mainframe Systems	Pell Process Change Only
Modified (Continued)			
A total count for the number of records with an action code of D-Duplicate has been included in the Grant Trailer record for Origination and Disbursement Acknowledgements.	X	X	
Now to receive a Batch Activity list, the Date range is not a required field. Users should not have to enter the "From" and "To" date on the Print Dialog in order to receive an activity log of all batches created in the Pell module. The system simply defaults to the current PC date if one is not entered.	X		

Introduction to Pell Processing for Phase-In Participants

Phase-In Participants in 2002-2003 will continue to send records to the Pell Processor in the legacy fixed file format. The processed batch will then be sent back to the school in the legacy format. Many of the COD enhancements will be “transparent” to Phase-In Participants.

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 and the Pell Processor is ready to accept them. A school should submit origination records for any student for which it might award Pell funds. The Origination record is required for Phase-In Participants. When the Pell processor receives an origination record, it checks the record to make sure there are no errors and returns an acknowledgement to the school. This data is also posted on the COD Web site. Records that are rejected are placed in a “Hold Bin” on the COD Web site. Rejected records may be viewed but not corrected online by Phase-In Participants. Only Full Participants can create and correct records online at the COD Web site.

When a school makes a disbursement, or anticipates making a disbursement, it must send a disbursement record to the Pell Processor. The disbursement record reports the actual disbursement date and the amount of the disbursement. The Pell Processor returns an acknowledgement for the disbursement record, which notifies the school of any problems with the submission. In addition, the Pell Processor sends information from disbursement records via SFA’s Financial Management System (FMS) to the Education Central Automated Processing System/Grants Administration and Payments System (EDCAPS/GAPS, or GAPS). The school’s authorization is adjusted once the initial authorization is exceeded.

A school may make a Data Request for an ESOA (Electronic Statement of Account), MRR (Multiple Reporting Record), YTD (Year-to-Date) or Reconciliation file. These files will be in the fixed length format detailed in the Record Layouts in the Custom Layouts section. As with the Origination, Disbursement and Funding process, Phase-In Participants will continue to process in the Federal Pell Grant Program with only minor changes from 2001-2002.

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. Schools should contact their software provider concerning whether their software is for a Full Participant or a Phase-In Participant. Schools who have developed a custom system for years prior to 2002-2003 can use their existing system for 2002-2003. Schools with custom systems should review the Common Origination and Disbursement Technical Reference for addition information about becoming a full participant and programming in XML.

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 Direct Loan and Pell origination records; prints promissory notes; manages Pell and Direct Loan disbursement data; reconciles and reports Direct Loan and Federal Pell Grant payment data. Schools using this software can refer to the desk reference for the Pell Payment software or the online Help in EDEExpress for assistance. Schools using EDEExpress will be Phase-In Participants.

Combination EExpress/Custom System

You can choose to use a portion of the functions provided by EExpress in conjunction with external systems or software from another vendor. EExpress 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 EExpress database. Schools opting to use a combination system will be Phase-In Participants.

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 are they 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 EExpress Combination System option.

PC Requirements

Beginning January 1, 2002, for the 2002-2003 processing year, the Department of Education's designated electronic processes require participating institutions to meet the hardware and software requirements that appear below. When reviewing these updated specifications, you should be aware that capacity requirements (processor speed, RAM, hard drive storage, etc.) are greatly affected by specific factors at your institution, including which SFA functions your institution uses, the number of records processed, and institutional database interfaces.

- IBM or fully IBM compatible PC
- 800 MHz Pentium Processor or comparable
- 128 MB RAM or more
- 20 GB hard drive or more
- 56K modem (that meets or is upgradable to V.90 standard)
- 3.5"/1.44 MB Diskette Drive
- Monitor and video card capable of Super Video Graphics Adapter (SVGA) (800x600) resolution (small fonts only) or higher*
- Windows 95 Keyboard with Microsoft compatible mouse
- Laser printer capable of printing on standard paper (8 1/2" x 11")
- 24x CD-ROM Drive or higher with sound card
- 32-bit operating system (Microsoft Windows 98, Microsoft Windows NT 4.0, or Microsoft Windows 2000)
- Internet Service Provider (ISP) that supports 56K modem connection or higher

Browser Requirements:

- Internet Explorer v4.01 Service Pack 2 or higher
- Netscape Navigator v4.73 or higher
- Supported Networks: Windows NT or Novell Netware
- Dedicated phone line
- 3.5" high-density double-sided diskettes

* EDEExpress is designed in SVGA. You may use a higher resolution than SVGA at your own discretion without adverse impact on EDEExpress.

Optional Items to Consider

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

- 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).

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, EDConnect, can coexist on the same PC with EDEExpress. EDConnect is a Window's-based software package that participants use to transmit data across the network to the Pell Processing 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 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. 2002-2003 Record Layouts for the export files are provided so your school systems can be modified.