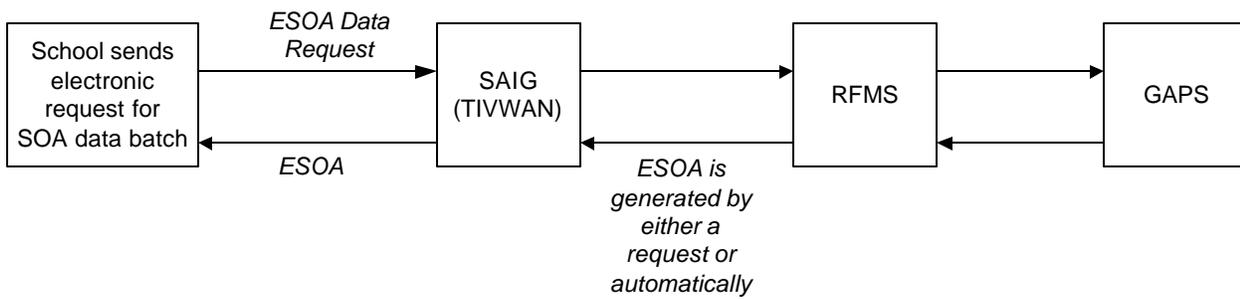


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# ESOA

## 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**

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

### **Sort Order**

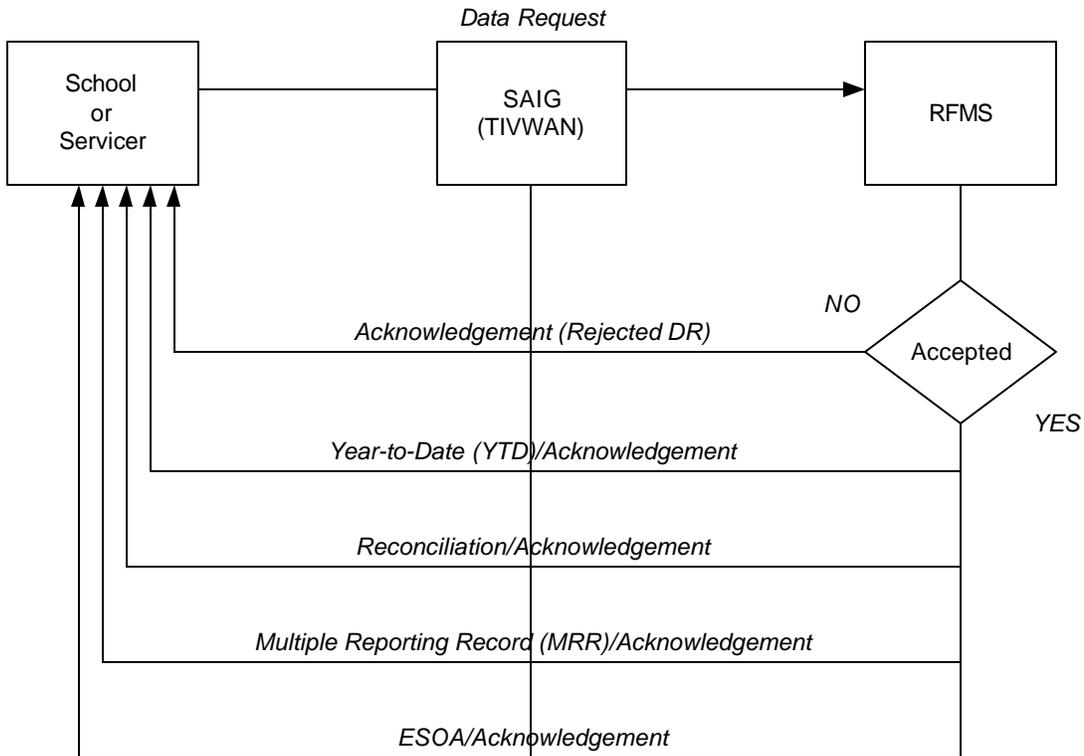
The detail records are sorted by RFMS Process Date.

# 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.

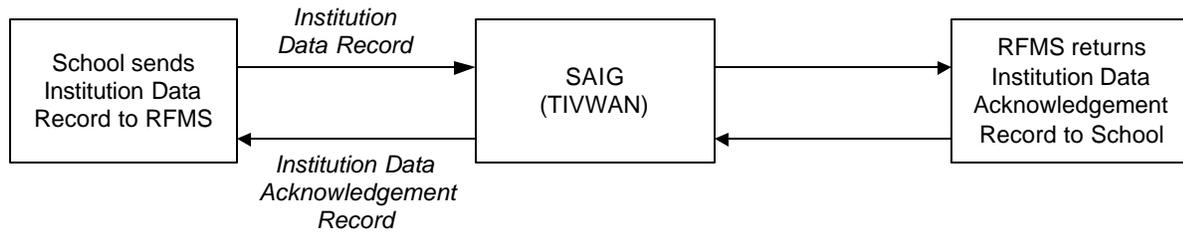
### ***MRR***

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.

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# 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.

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# 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 EDEExpress. 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	School 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.

<b>Edit Code</b>	<b>Message</b>	<b>Type</b>
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 School 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	Award Year 2000-2001 or prior and blank 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	School 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.	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.	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 Cr/Clock hrs in program's definition of academic year / Correction Applied.	W
322	Invalid Cr/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

<b>Edit Code</b>	<b>Message</b>	<b>Type</b>
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 nonnumeric.	E
406	Disbursement Amount Is Not In Valid range.	W
407	Disbursement Date is Not Valid Date because date is nonnumeric.	E
408	Disbursement Date is Not Valid for Processing Date, not in valid range, or not in valid RFMS date format.	E
409	Reserve for future use.	E
410	Potential Concurrent Enrollment – Multiple Reporting Record sent separately.	W
411	Potential Overaward Project - Multiple Reporting Record 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 school 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 school 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.	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	School is eligible, Payment Period Start Date is invalid or not in a valid range and Award Year is 2001 – 2002 or beyond.	W
423	School 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	School 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 2001-2002 and beyond.	E
426	Invalid Origination ID - Invalid Award Year for the Batch for Award Year 2001-2002 and beyond.	E
427	Invalid Origination ID - Sequence Number is not "00" for Award Year 2001-2002 and beyond.	E
428	Invalid Origination ID - SSN is not $\geq$ 001010001 and $\leq$ 999999999 for Award Year 2001-2002 and beyond.	E
429	Invalid Origination ID - Name Code not A-Z or '.' Or '' or '-',' ', or '' for Award Year 2001-2002 and beyond.	E
430	Duplicate Disbursement reference number. Reference number already at RFMS. For Award Year 2001-2002 and beyond.	D
431	Award Year is 2001-2002 or greater and the Disbursement Reference number is nonnumeric or NOT between 01 and 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 School	E
611	Invalid Reconciliation Student ID	E

## School Data

<b>Reject Code</b>	<b>Error Message</b>	<b>Type</b>
701	Invalid Attending Pell ID	E
702	Invalid State in mailing address	E
703	FAA phone number not numeric	E
704	FAA fax phone number not numeric	E
705	Invalid Institution Type	E
706	Invalid Financial Control Code	E
707	Invalid Academic Year Code	E
708	Invalid Weeks in institution academic year	E
709	Invalid Credit/Clock hours in institution academic year	E
710	No input data or data matched current data in RFMS	W