



U.S. Department of Education
1998 Electronic Access Conferences



Session 38

New Pell Grant Reporting - Part II

Nuts and Bolts of the Recipient and Financial Management System (RFMS)





Objective

- Provide a detailed description of the new origination and disbursement process for the Federal Pell Grant program.



Summary of the New RFMS

- Communication with the RFMS
- Transmission and Processing Order
- Origination
- Disbursement and Funding
- Data Request



Communication

- All electronic transmissions use the same format
- RDE - one more year
- Internet or TIVWAN



Transmission Integrity

- Transmission Batch defines Grant Batch Type
 - Only Batches of the same type within the message class
 - PGOR00IN - #O batches
- Grant Batch Type defines Record Type
 - Only records of the same type within the batch
 - #O - Origination Records



Transmission Integrity

- Transmissions failing Transmission edits are not retained - no batch acknowledgment.
- Batches failing Batch edits are returned in the corresponding acknowledgment message class. No transactions are acknowledged.



Transmission Processing Order

- ① Institution Data
- ② Origination
- ③ Special Disbursement
- ④ Disbursement
- ⑤ Data Request



Transmission Format

- Message Classes
 - 15 message classes
 - PGTTYXX
 - PG - Pell Grant
 - TT - Transaction Type
 - YY - Processing Year - 00
 - XX - IN - Input to RFMS
 - OP - Output from RFMS



EDE Submission Format

Transmission Header

--- **Transmission Batch Header “PGOR00IN”**

 --- **Grant Batch Header “#O”**

Origination Record

 --- **Grant Batch Trailer**

--- **Transmission Batch Trailer**

--- **Transmission Batch Header “PGDR00IN”**

 --- **Grant Batch Header “#D”**

Disbursement Record

 --- **Grant Batch Trailer**

--- **Transmission Batch Trailer**

Transmission Trailer



RDE Submission Format

**Grant Batch Header “#O”
Origination Record**

Grant Batch Trailer

**Grant Batch Header “#D”
Disbursement Record**

Grant Batch Trailer

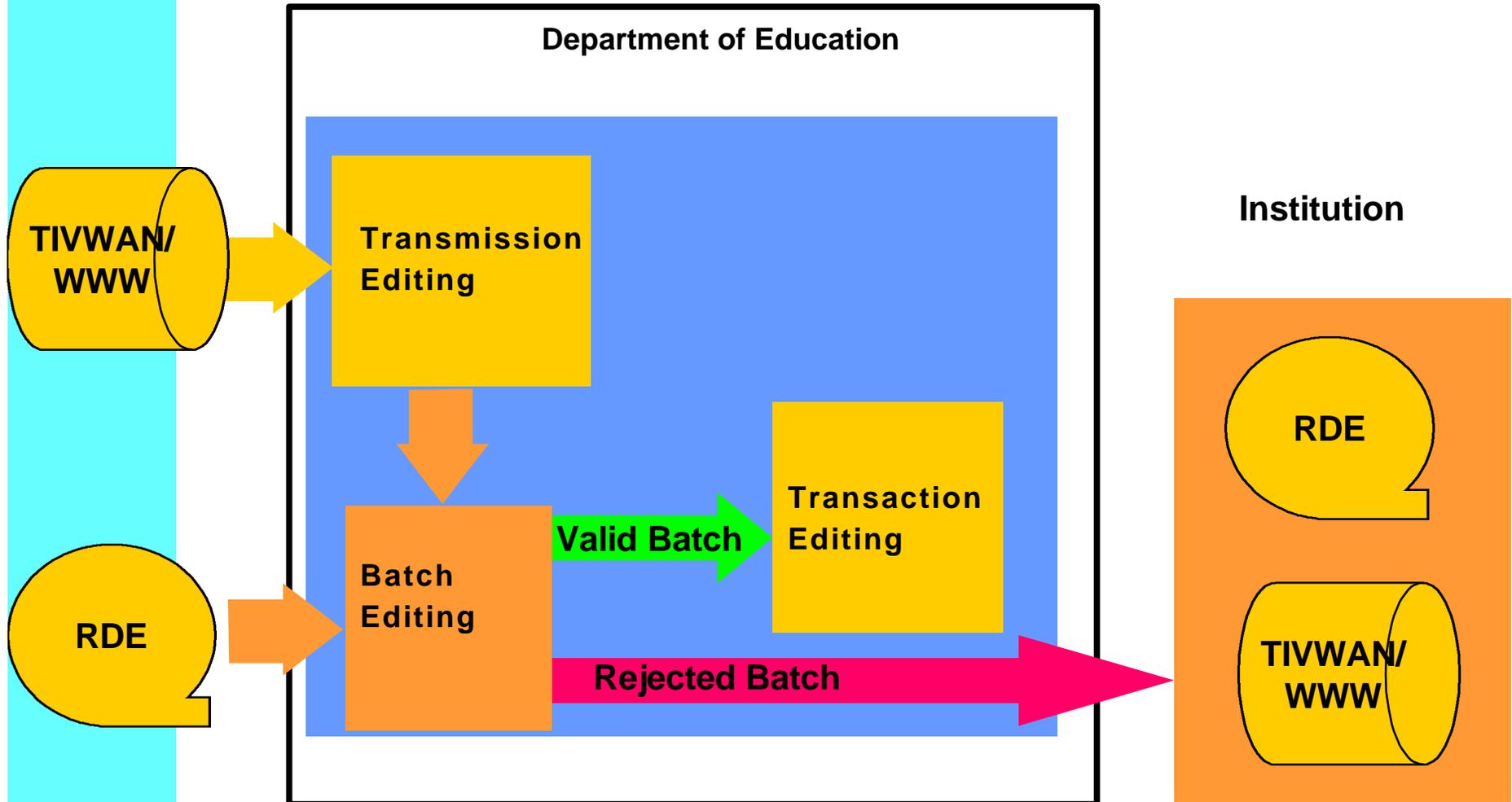


RDE Submission Rules

- All RDE transmissions containing multiple batches must identify the Batch ID of all batches on the tape label.



Transmission/Batch Processing





Transaction Processing

- Accepted, corrected and rejected records are returned in an acknowledgment.
- Data Request batches shall either return the requested information or an acknowledgment if the request was rejected.



Record Edits

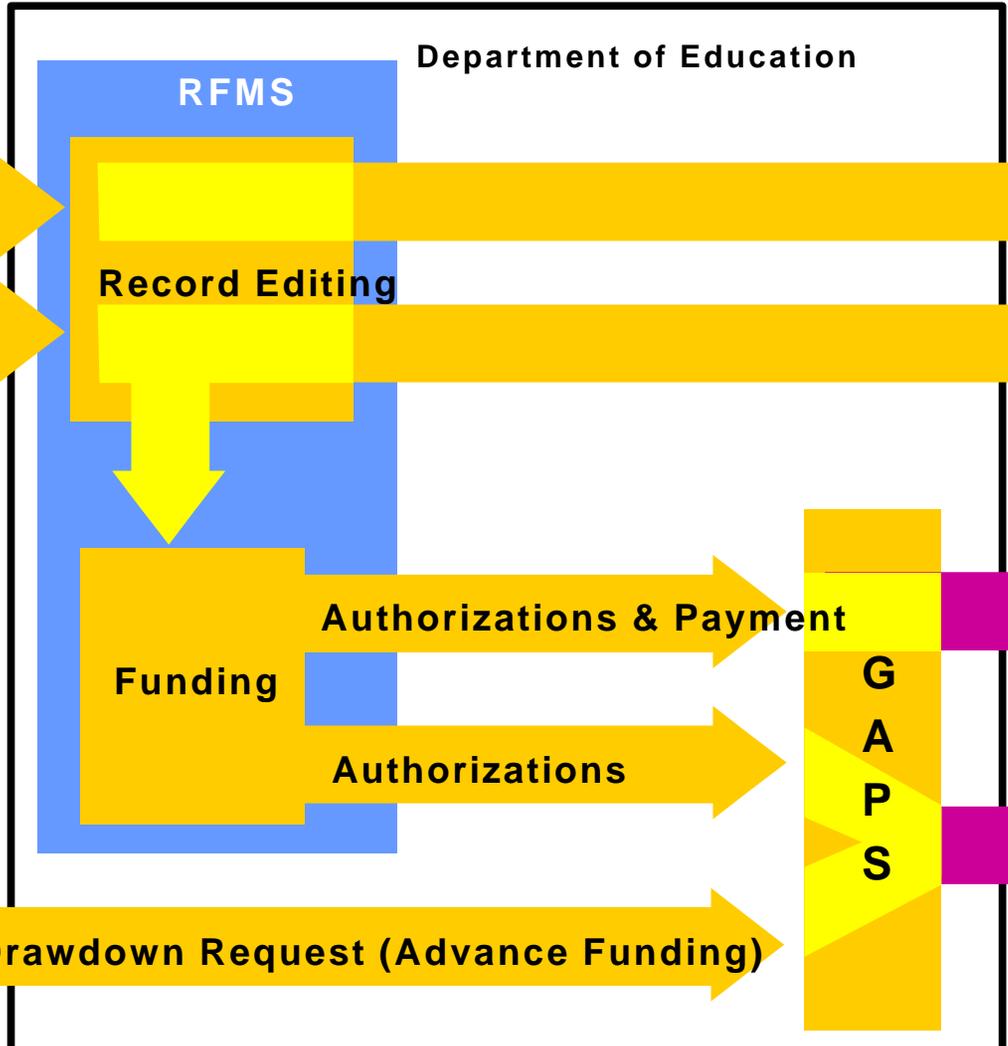
- Institution Data - institution identifier
- Origination records
 - student eligibility
 - award amount
- Special Disbursement and Disbursement records
 - disbursement amount
 - concurrent enrollment
 - POP



RFMS

From Schools

Origination
Disbursement
Special Disbursement
Data Request
Institution Data



To Schools

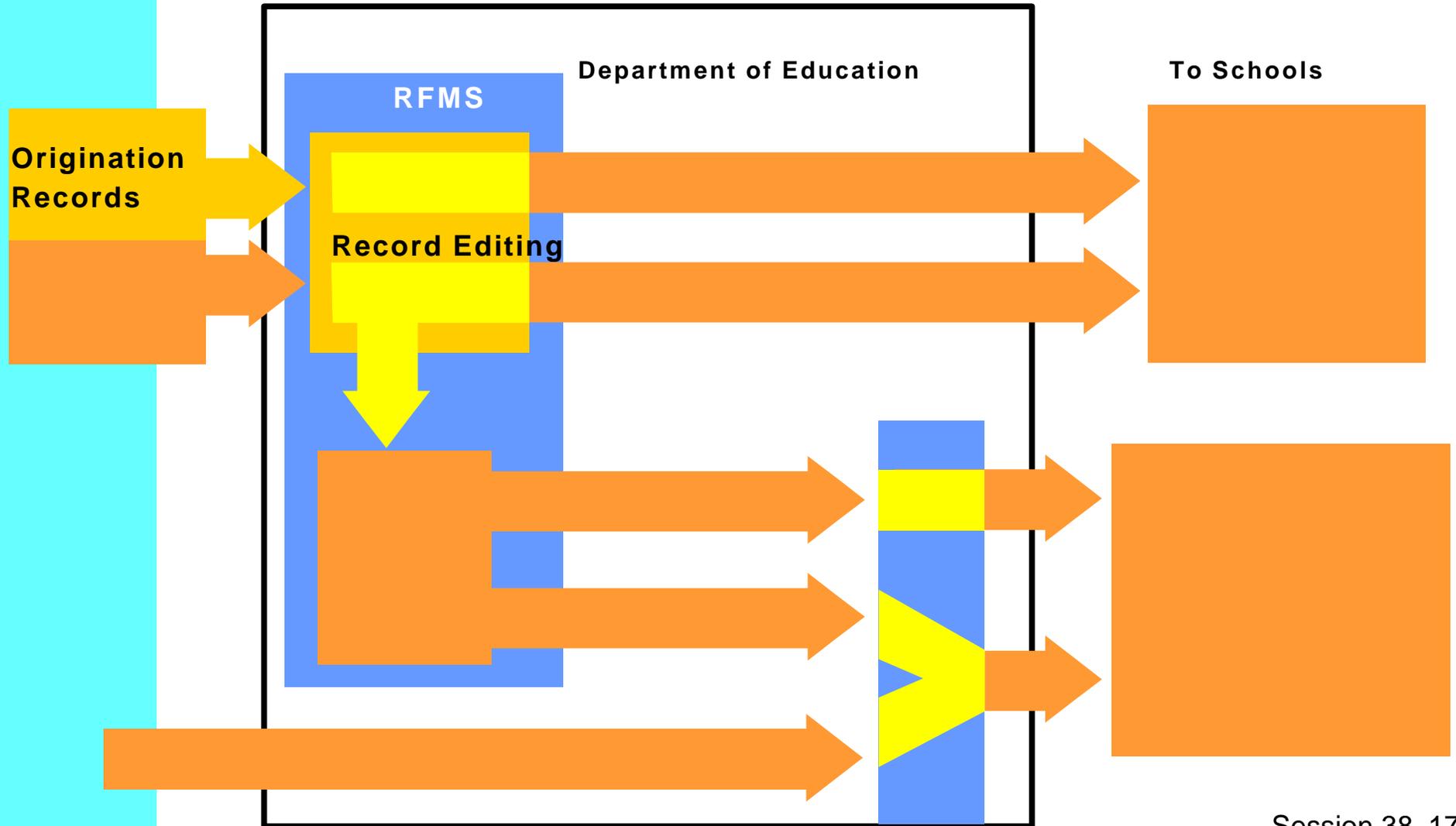
Acknowledgment
ESOA
Institution Data
YTD
MRR
Electronic Letters

Just-In-Time Payments
Drawdowns & Payments

Web Drawdown Request (Advance Funding)



Origination





Origination Process

- Basically same data as in current Pell Payment Data without payment amounts
- Full editing with the acknowledgment
- Submitted anytime before or with initial disbursement



Origination Record Edits

- Origination ID
 - Applicant exists
 - No duplicate on file
- Award Amount for entire school year
 - Eligibility (corrected)
 - Estimated Disbursements (up to 15 dates)
 - Eligibility fields
 - Valid Values
 - Award fields
 - Valid Values



Origination Edits & Rules

- Origination ID, Original SSN, Name Code, and Attending Campus must be complete and valid.
- Attending Campus must be eligible and participating.
- One origination per recipient for attending campus.
- Changes to fields other than Origination ID, Original SSN, Name Code, and Attending Campus update the current origination data.



Origination Edits & Rules

- An Origination record is considered a change if any field is different.
- All fields must be valid or corrected to process.
- Origination data applies to the entire award year.
- Original SSN, Name Code, Transaction Number and EFC must match the Eligible Applicant data from CPS.



Origination Edits & Rules

- Academic calendar and payment methodology must be logically consistent with values defined in the records layouts.
- Origination award amount must be validated or adjusted downward based on data provided in the origination.
- RFMS can never adjust the origination award amount upward.

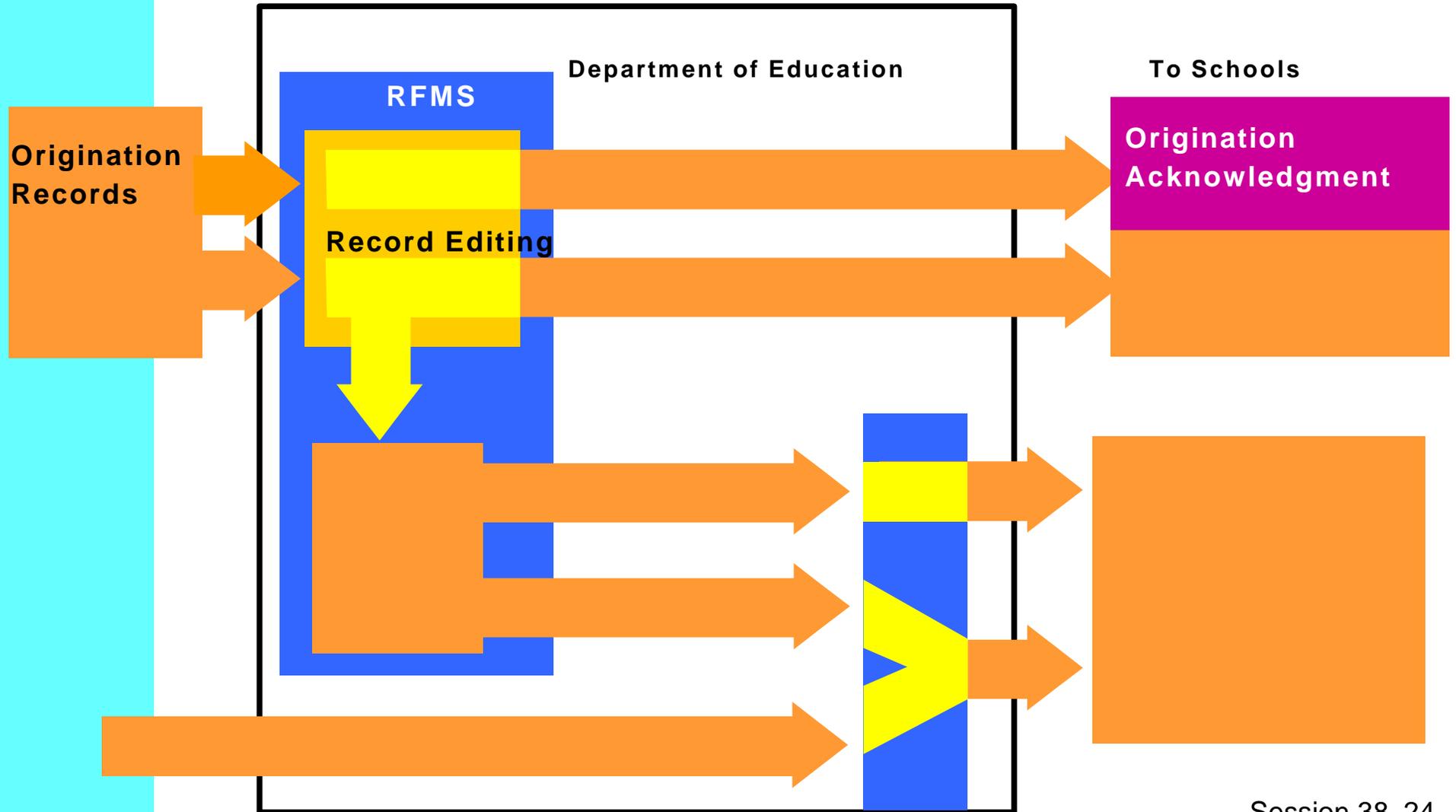


Origination Edits & Rules

- All origination amount fields shall fill cents with zeros.
- RFMS must contain a valid origination prior to accepting a disbursement record.
- Origination data does not obligate funds or post any transaction to the the institution's account.

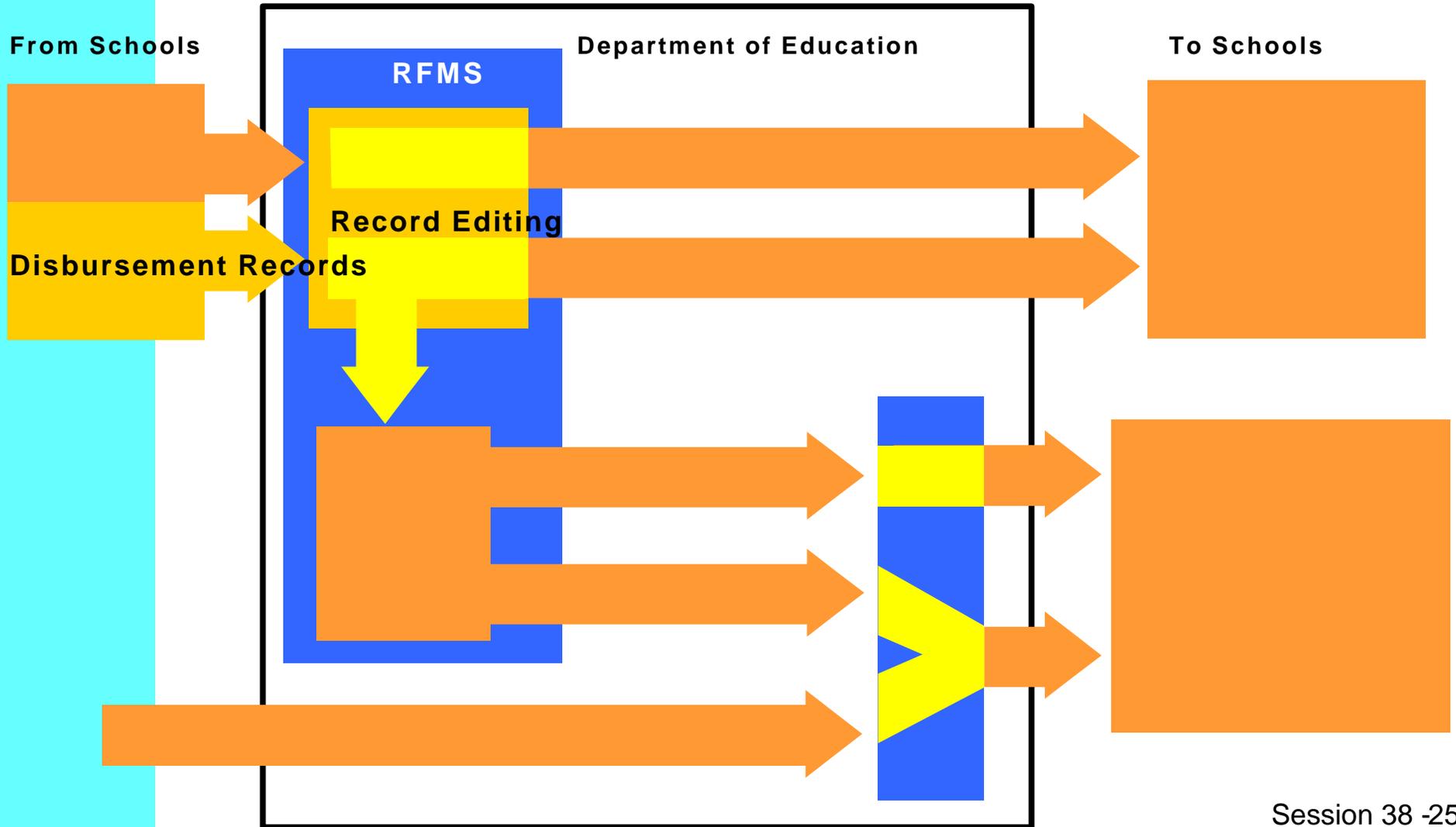


Origination





Disbursement





Disbursement Record

- Disbursement contains simple payment data.
- Submitted with or after Origination record.
- Submission
 - 30 days for Advance Funded
 - 5 days for Just-In-Time
- Will generate an MRR if POP or concurrent enrollment indicated.



Disbursement Record

- Disbursement Fields - page 20
 - Origination ID
 - 9999999999XXYYYY999999900
 - Disbursement Reference Number
 - No duplicate numbers
 - Disbursement Amount
 - amount of this disbursement (used with Debit/Credit Indicator Flag)
 - Disbursement Date
 - Date disbursement made or to be made
 - Debit/Credit Indicator Flag - P/N



Disbursement Record Edits

- Origination ID
 - Must exist in RFMS
- Disbursement Reference Number
 - Must not exist
- Disbursement Amount
 - **Sum** less than Accepted Award Amount for year
- Disbursement Date
 - Earliest: Accepted Enrollment Date - 10 days
 - Can not be greater than September 30 of Award Year



Disbursement Record Edits

- Debit/Credit Indicator Flag
 - P or N
 - 1st disbursement must be P



Special Disbursement Record

- Special Disbursement contains additional payment period specific data
- Affect only reported payment period
- Required for Institutions under Reimbursement or Cash Monitoring Payment Method (approved by IPOS)
- May be submitted by any Institution
- Will generate an MRR if POP or concurrent enrollment indicated



Special Disbursement Record

- Additional Special Disbursement fields -
pg 23
 - Payment Period Number
Numeric and corresponding with Origination
 - Payment Period Start and End Dates
Valid dates
 - Total Payment of the Payment Period
Numeric within Payment Ceiling Range



Special Disbursement Record

- Additional Special Disbursement fields - pg. 23 cont.
 - Payment Period Award fields
Academic Calendar, Payment Methodology, Cost Of Attendance, Enrollment Status and Academic Calendar calculation fields
 - These values for Payment Period only, not entire year



Special Disbursement Record Edits

- **Payment Period Number**
 - If provided, must reference Origination Payment Period or new payment period of Special Disbursement
- **Payment Period Start and End Dates**
 - If provided, must be valid dates
 - If provided, must be greater than or equal to enrollment date

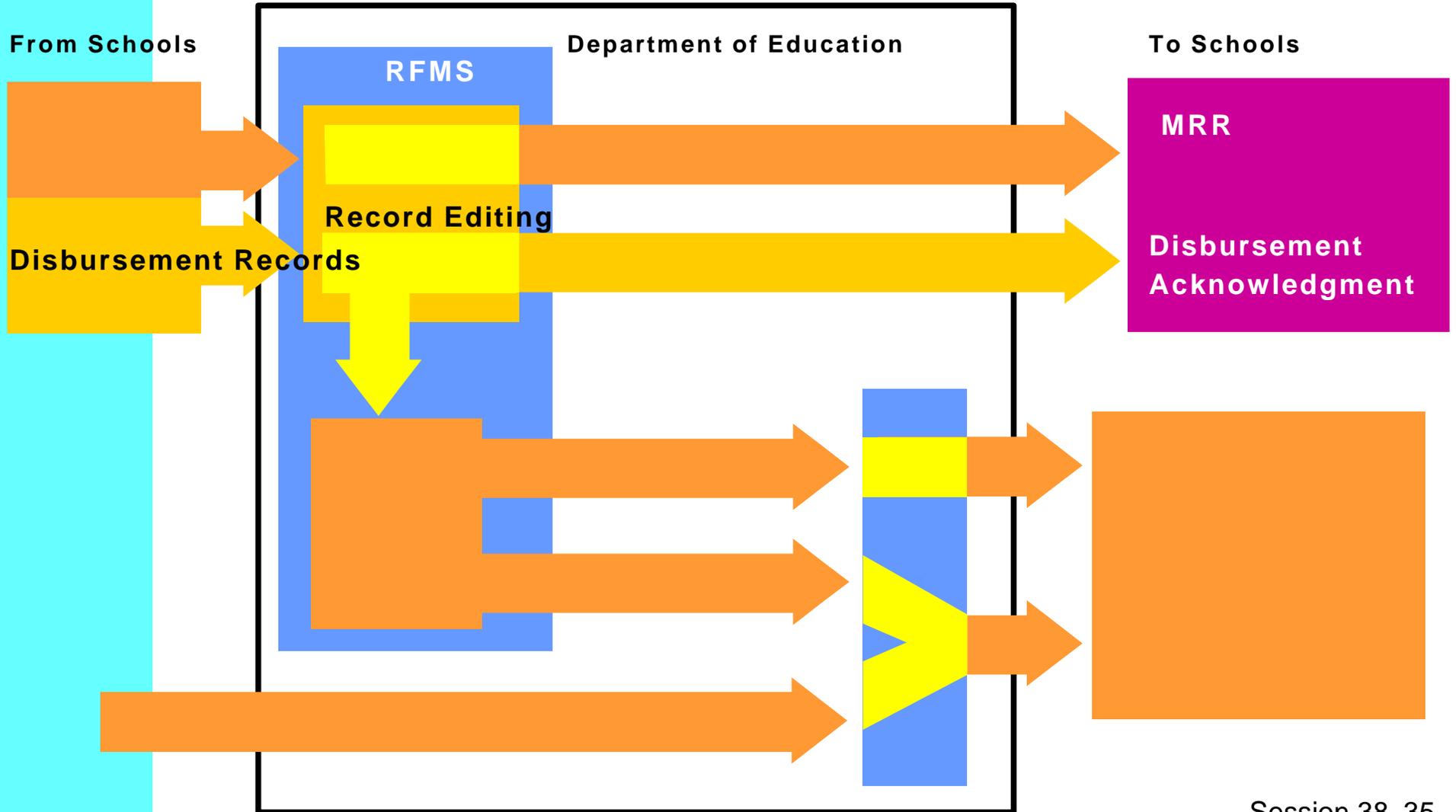


Special Disbursement Record Edits

- Total Payment of the Payment Period
 - Must not exceed original or recalculated award amount
- Payment Period Award fields
 - Any report of award fields initiates recalculation for payment period



Disbursement



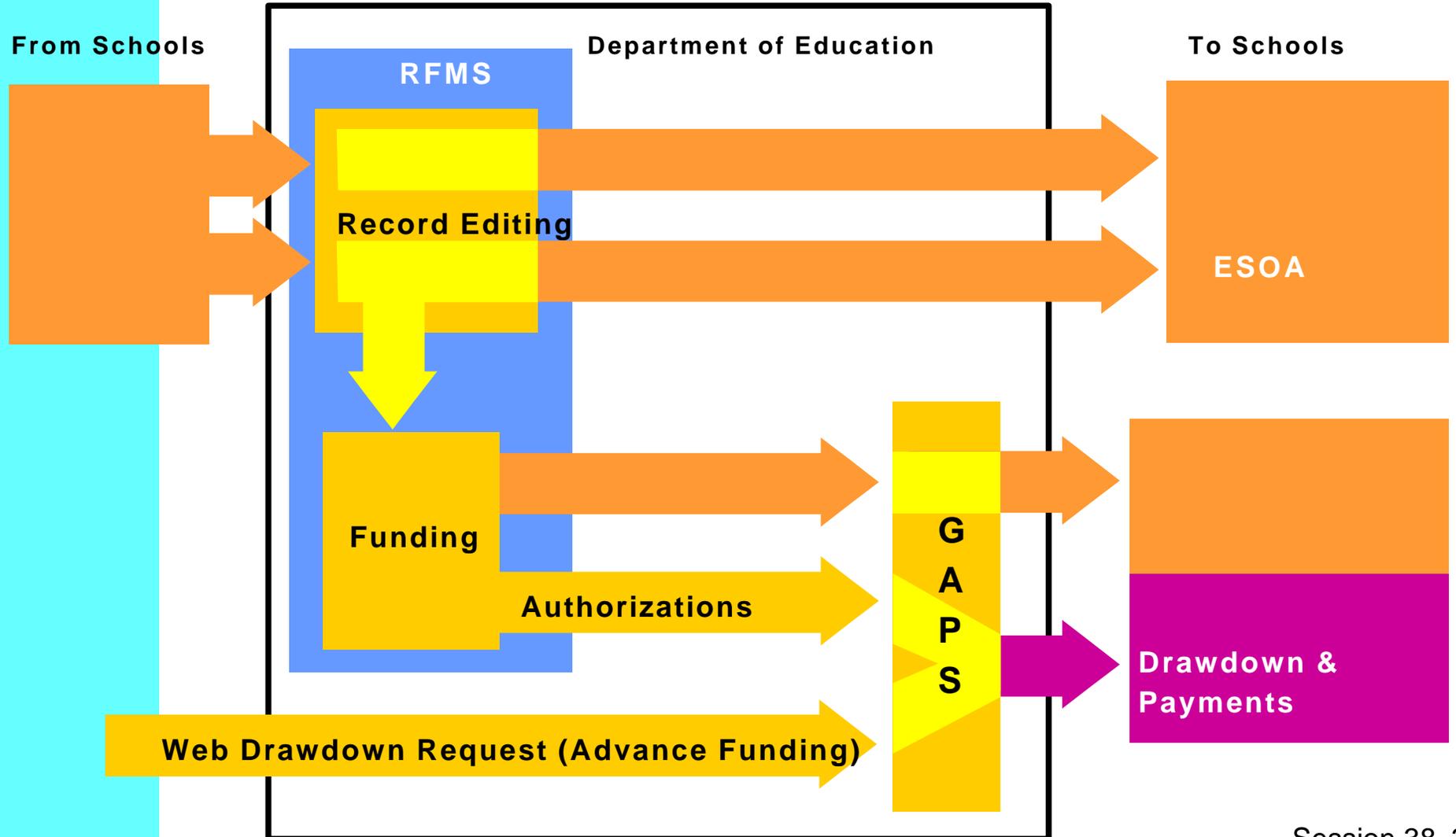


FUNDING

- Advance Funding
- Just-In-Time



Advance Funding



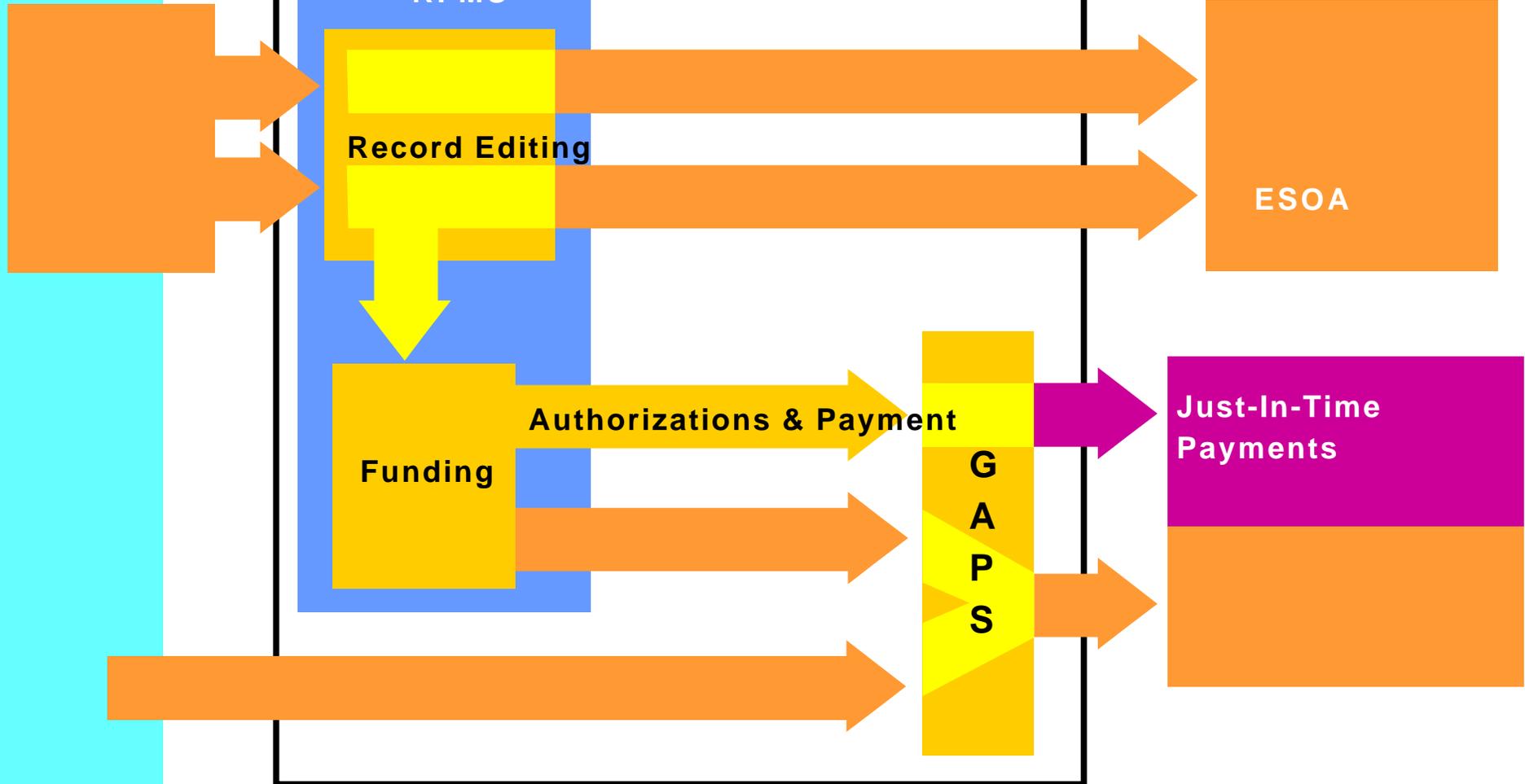


Just-In-Time

From Schools

Department of Education

To Schools



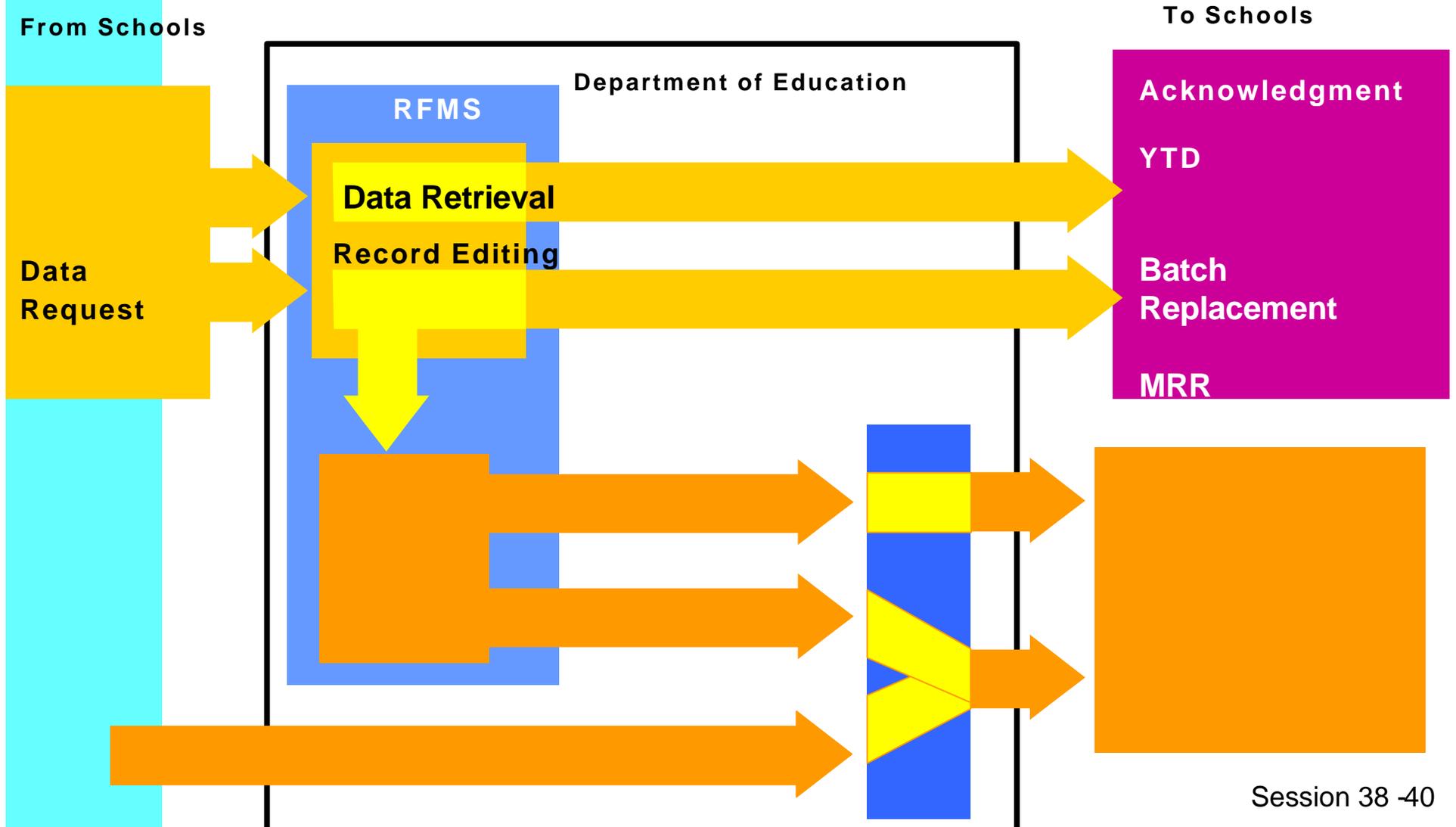


Electronic Statement of Account

- Generated when transaction is Acknowledged by GAPS or by Data Request
- Summary - reports Current, Previous and totals
- Detail - Batch Number and amount



Data Request



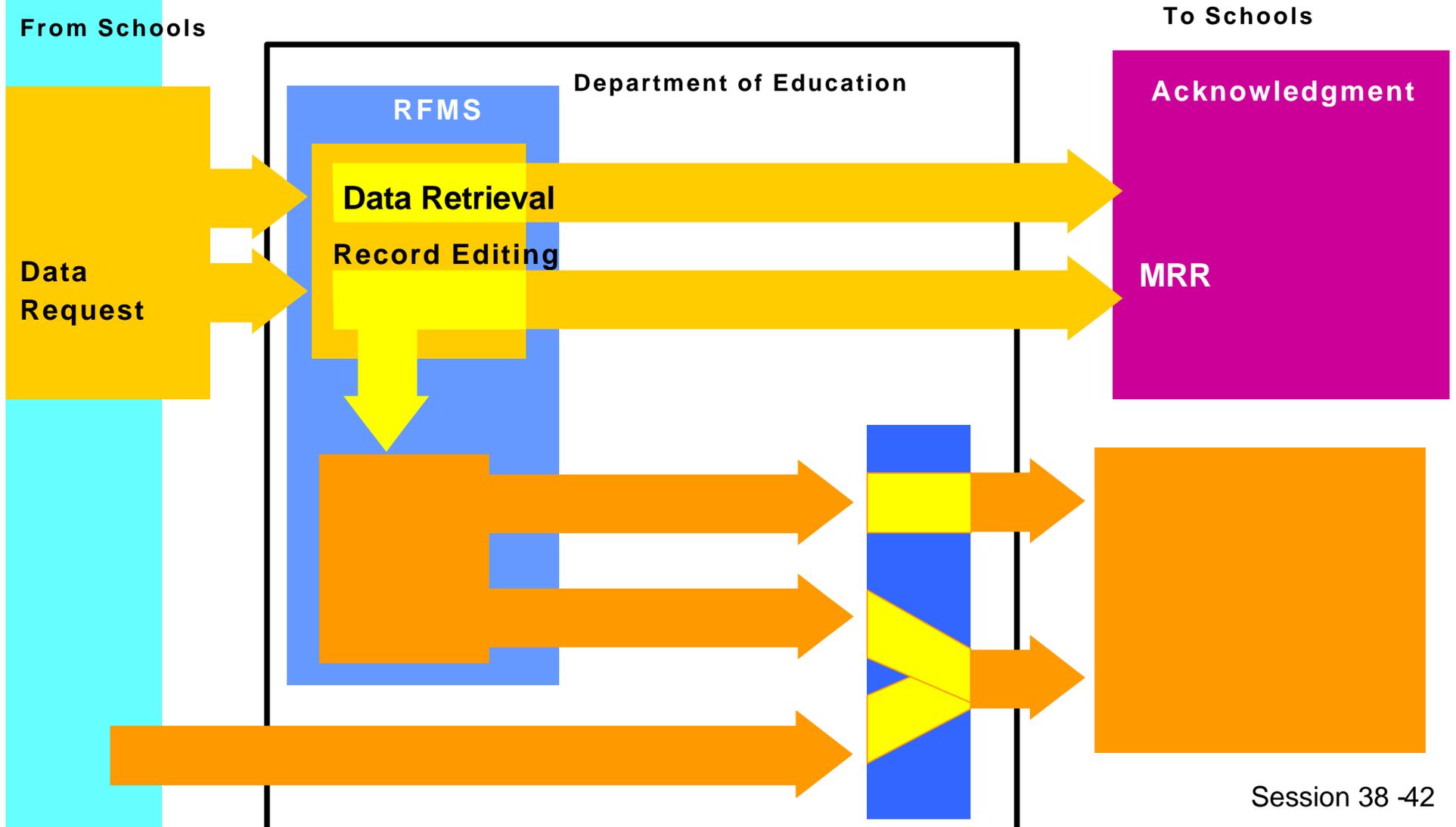


Data Request Edits - page 36

- Valid Attending Campus
- Valid Request Type
- Logical Type Combinations
 - B - Valid Batch Number
 - M - Valid Code1 and Code 2
 - Valid Student or Pell ID



Multiple Reporting





Multiple Reporting Record

- Provided only for originated or disbursed students
- Requested to assist in identification of possible concurrent enrollment/POP students
- Generated for concurrent enrollment/POP



Multiple Reporting Record - Requested

- Multiple Reporting Record fields - page 39
 - Request data
 - Student information
 - SSN, Name Code, Orig Award Amount, Trans No., EFC, Enrollment Date, Total of Disbursements, Eligibility Used
 - School information
 - Institution Pell Id
 - Institution Name and address
 - FAA name, phone, fax, and internet e-mail address



Multiple Reporting Record - Generated

- Disbursement Processing Only
- Potential Overaward Program - POP
- Concurrent Enrollment



Potential Overaward Project - (POP)

- A : PELL-ID: 001002
 - Scheduled Award: \$2000
 - Disbursements:
 - 1 - \$1000.00 - 50%

- B : PELL-ID: 003001
 - Scheduled Award: \$2000
 - Disbursements:
 - 1 - \$500.00 - 25%

Transaction: School B- Disb #2, Amount-\$1000.00



Potential Overaward Project - (POP) Result

- Generate Disbursement Acknowledgement:
 - B: PELL-ID: 003001
 - Comment Code
 - Amount: \$500.00
- Generate MRR
 - B: PELL-ID: 003001
 - PB -A: 001002 (BLOCKING)
- Generate MRR
 - A: PELL-ID: 001002
 - PR -B: 003001 (BLOCKED)

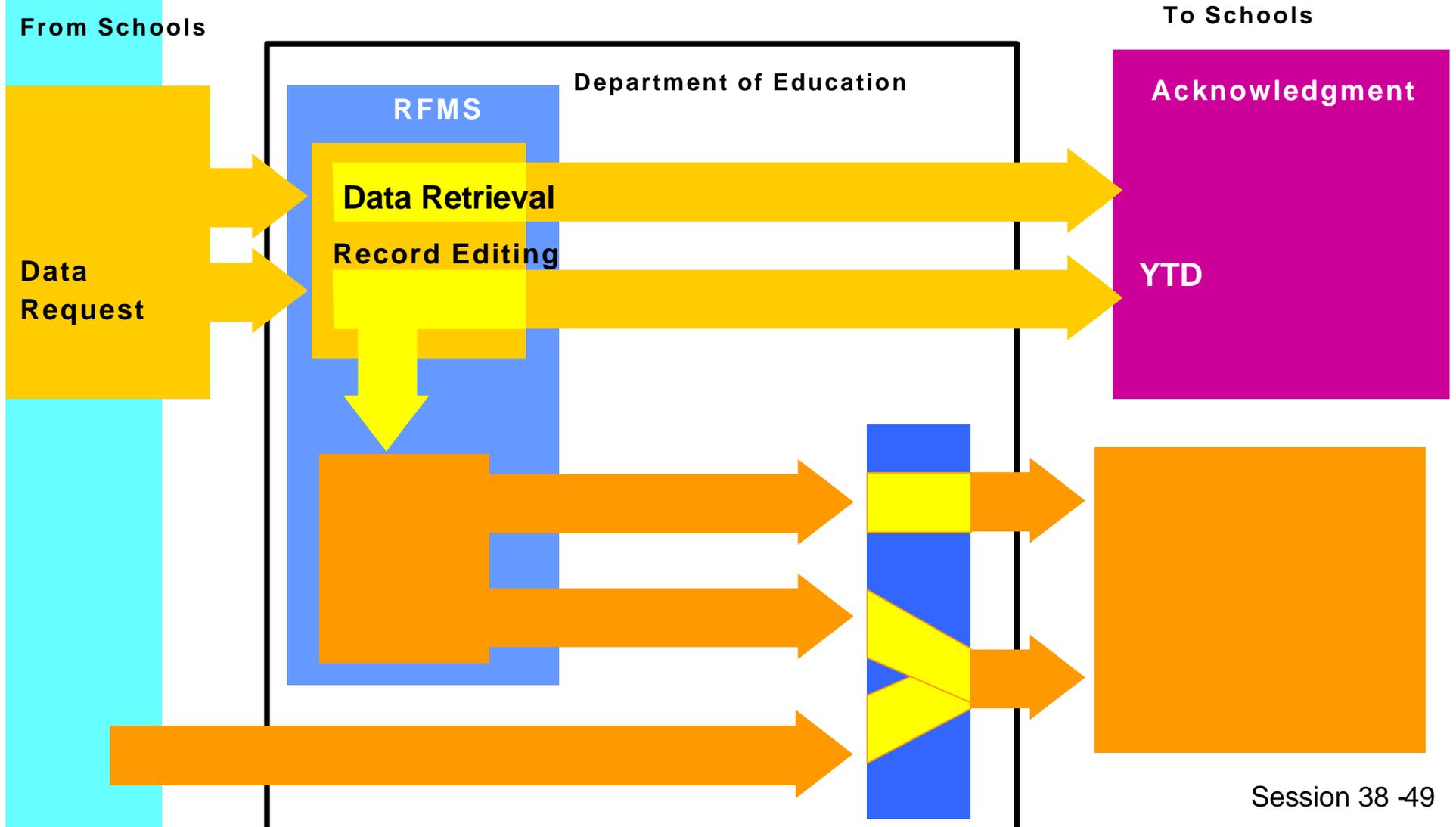


Concurrent Enrollment

- Edit Initiated at Disbursement
- More than one institution disbursing for the same student where the Origination enrollment date is within 30 days
- Disbursement acknowledged with warning



Year To Date





Year To Date Record

- Year-To-Date : Origination
 - Accepted Data only
- Year-To-Date : Disbursement
 - Accepted Data only
 - Supports Special Disbursement
- Year-To-Date: Summary



RFMS STATUS

- Record Layouts distributed early

- EDEExpress Tabs developed
 - Origination
 - Disbursement

- System to complete testing 4/99



Summary

- **New Records**
 - Origination
 - Disbursement
 - MRR
- **Improvements**
 - Standard Processes
 - YTD / no more SPS
 - Electronic