



F E D E R A L  
S T U D E N T A I D  
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**FSA Modernization Partner**

NSLDS II Reengineering  
Procedures Detail Design:  
Prescreening  
P-PRES-1

Version 1.0

**November 8, 2002**

## Table of Contents

<b>1</b>	<b>PRESCREENING PROCESS .....</b>	<b>3</b>
1.1	PROCEDURE SPECIFICATIONS.....	4
1.2	PROCEDURE FLOW.....	5
1.3	PROCEDURE FLOW DESCRIPTION .....	6
1.3.1	<i>Step 1 – Process Prescreening Request File (Initial File Validations)</i> .....	6
1.3.1.1	Inputs .....	6
1.3.1.2	Outputs .....	6
1.3.2	<i>Step 2 - Write Input Data to Temporary Table</i> .....	6
1.3.2.1	Inputs .....	6
1.3.2.2	Outputs .....	6
1.3.3	<i>Step 3 – Attempt to Match Student/PLUS Borrower Indicators</i> .....	7
1.3.3.1	Inputs .....	7
1.3.3.2	Outputs .....	7
1.3.4	<i>Step 4 – Extract Results Data and Perform Needed Calculations</i> .....	7
1.3.4.1	Inputs .....	7
1.3.4.2	Outputs .....	7
1.3.5	<i>Step 5 – Perform Search of Previous Prescreens for Applicant</i> .....	8
1.3.5.1	Inputs .....	8
1.3.5.2	Outputs .....	8
1.3.6	<i>Step 6 – Generate CPS Prescreening Results File</i> .....	8
1.3.6.1	Inputs .....	8
1.3.6.2	Outputs .....	8
1.3.7	<i>Step 7 – Write Data to Prescreening Result Tables</i> .....	8
1.3.7.1	Inputs .....	9
1.3.7.2	Outputs .....	9
1.3.8	<i>Step 8 – Submit CPS Prescreening Result File to CPS</i> .....	12
1.3.8.1	Inputs .....	12
1.3.8.2	Outputs .....	12
1.3.9	<i>Step 9 – Update Prescreening Statistics Table</i> .....	12
1.3.9.1	Inputs .....	12
1.3.9.2	Outputs .....	12
1.4	PROCEDURE ASSUMPTIONS.....	13
1.5	APPENDIX A .....	14
1.6	APPENDIX B.....	16
1.7	APPENDIX C .....	27
1.8	APPENDIX D .....	29
1.9	APPENDIX E.....	31

## Document Control

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## **1 Prescreening Process**

The Prescreening process is an important component of the Department of Education's Student Aid Eligibility process. The Eligibility process involves validating whether a student is eligible to receive Title IV aid. Once a borrower has applied for aid through the Free Application for Federal Student Aid (FAFSA) application, eligibility requirements are checked through NSLDS II and with outside agencies (e.g., Social Security Administration, etc.).

The first step in the Eligibility process is for a student to complete the FAFSA application and submit it to Federal Student Aid (FSA) for review. From the information provided in the FAFSA application, FSA's Central Processing System (CPS) generates a Prescreening Request File of student data information and submits it to NSLDS II for processing. NSLDS II first searches for a match on borrower information contained within the database. If a match is found, data on the specific student's financial aid history is pulled from the database. Numerous calculations to determine aggregate aid values in several categories are performed, along with several 'Flag' indicator fields being populated.

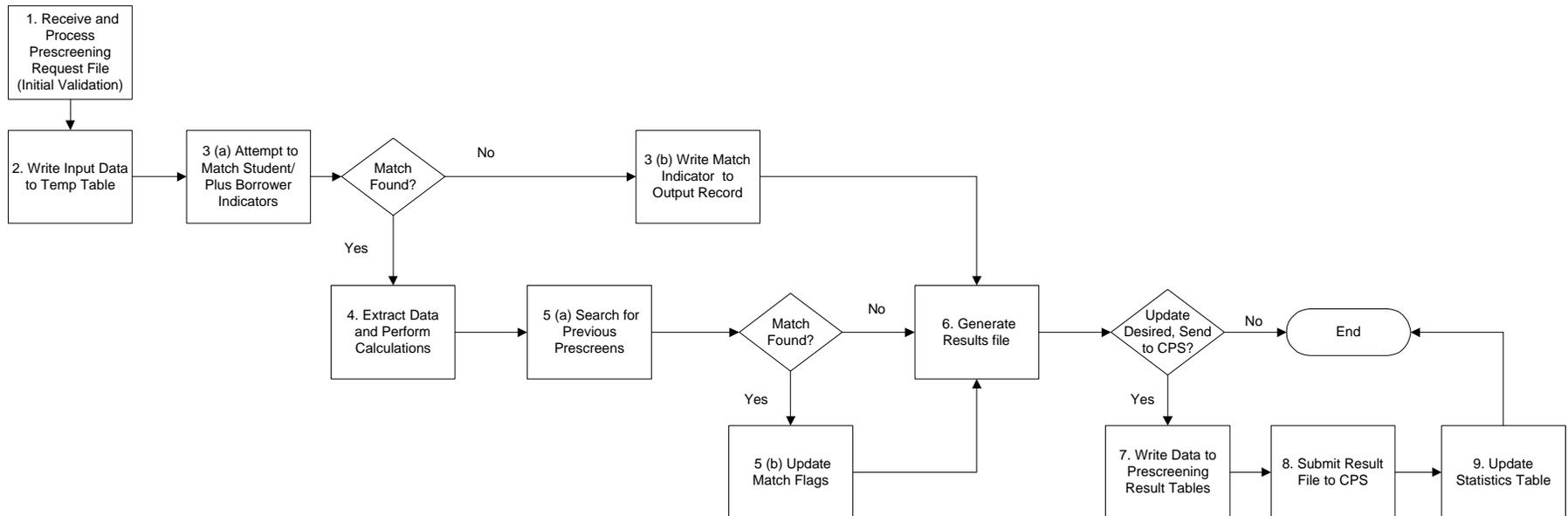
After performing the required calculations, etc., a results file is created and sent back to CPS for processing (see interface document I-CPS-1). Also, Prescreening results are stored in several database tables and are used for matches against subsequent Prescreens of the same borrower, and as part of the Postscreening process.

The primary tool being used for this procedure is Informatica.

## 1.1 Procedure Specifications

<b>Procedure Name:</b>	Prescreening Process
<b>Procedure Short Description:</b>	Prescreening starts with the submission of a Prescreening Request file sent from CPS containing student data information. NSLDS II first searches for a match on borrower information contained within the database. If a match is found, data on the specific student's financial aid history is pulled from the database. Numerous calculations to determine aggregate aid values in several categories are performed, along with several 'Flag' indicator fields being populated. After performing the required calculations, etc., a Results file is created and sent back to CPS for processing. Also, Prescreening Results are stored in several database tables and are used for matches against subsequent Prescreens of the same borrower, and as part of the Postscreening process (see Postscreening Procedures Document P-POST-1).
<b>Data Source:</b>	CPS sends request file to NSLDS II for processing
<b>Procedure Frequency:</b>	Ad Hoc
<b>Detailed Technical Requirement References:</b>	5.024, 5.025
<b>Output Media:</b>	NSLDS II DB2 Tables – PRSCRN_APL, PRSCRN_RSLT, PRSCRN_RSLT_LOAN, PRSCRN_RSLT_PELL, and flat files for submission to CPS
<b>Output Target Platform:</b>	NSLDS II DB2 EEE
<b>Output Storage Requirements:</b>	Prescreening Result Tables stored indefinitely
<b>Related Interfaces:</b>	CPS Prescreen Result Interface (see document I-CPS-1)

## 1.2 Procedure Flow



### 1.3 Procedure Flow Description

#### 1.3.1 Step 1 – Process Prescreening Request File (Initial File Validations)

The first step in the Prescreening process is receipt of the CPS Prescreening Request File. During this step, initial file-level validations (see Prescreen Interface Document, I-CPS-1, for specific validations) are performed and the Control Table is updated. If the file fails validation at this point, all further processing is terminated. If the file passes initial edits and the Control Table is updated, Step 2 is initiated.

##### 1.3.1.1 Inputs

CPS Prescreening Request File (For file layouts, see the Prescreening Interface Document, I-CPS-1)

##### 1.3.1.2 Outputs

CNTRL\_TBL

Data Element	Description	Type	Length
Award_Year	Award year for which the prescreening information is requested. Value '2003' for the 2002-2003 award year.	Char.	4
CPS_Submit_Date	Date on which the request is submitted. Format CCYYMMDD.	Char.	8
CPS_Compute_Number	CPS compute number	Char.	3
Record_Count	Total count of detail records in the Request File. Does not include header and trailer.	Num.	9

#### 1.3.2 Step 2 - Write Input Data to Temporary Table

The next step in the process is to load the applicant data contained in the Detailed Record of the CPS Prescreening Request File. The temporary table (RQT\_TMP) is used to facilitate database lookups and field validations. Data in the temporary table is only deleted after processing of the Prescreening request is complete.

##### 1.3.2.1 Inputs

CPS Prescreening Request File (For file layouts, see the Prescreening Interface Document, I-CPS-1)

##### 1.3.2.2 Outputs

RQT\_TMP

Data Element	Description	Type	Length
Record_Type	'1' Detailed Record Type	Char.	1

<b>Data Element</b>	<b>Description</b>	<b>Type</b>	<b>Length</b>
Current_SSN	Student's SSN	Char.	9
First_Name	Student's First Name	Char.	9
Last_Name	Student's Last Name	Char.	16
Date_of_Birth	Student's Date of Birth. Format CCYYMMDD	Char.	8
Original_SSN	Student's original SSN	Char.	9
Name_ID	First two characters of student's last name	Char.	2
Transaction	CPS transaction	Char.	2
Batch_Number	CPS batch number	Num. Binary	4
Serial_Number	CPS serial number	Char.	5

### 1.3.3 Step 3 – Attempt to Match Student/PLUS Borrower Indicators

- (a) The provided student/borrower information (SSN, Date of Birth, and First and Last Name) is checked against data within the database. Matching criteria will use standard NSLDS II matching criteria and logic (see Appendix A).
- (b) If no match is found, field position 46 – Match Result Indicator - will be populated in the CPS Prescreening Results File with the appropriate Match Flag (See Step 6). If a match is found, proceed to Step 4.

#### 1.3.3.1 Inputs

Student/Borrower information contained in the Request Temporary Table (RQT\_TMP) discussed in section 1.3.2.2.

#### 1.3.3.2 Outputs

Match Determination Stored in Processing Logic

### 1.3.4 Step 4 – Extract Results Data and Perform Needed Calculations

If a match is found in Step 3, data will be extracted, and required calculations will be performed. The specific file-level calculations are detailed in Appendix B.

#### 1.3.4.1 Inputs

Match Data Stored in Processing Logic (Step 3)

#### 1.3.4.2 Outputs

Extracted Data and Calculated Fields Stored in Processing Logic

### 1.3.5 Step 5 – Perform Search of Previous Prescreens for Applicant

- (a) After data has been extracted and initial field calculations performed, a check is made with the NSLDS II Prescreen Tables to determine if NSLDS II has already performed a Prescreen for this applicant. If no match has been found, go to the output file generation process (Step 6).
- (b) If a Prescreen has been run, the program looks in the Prescreening Applicant Table (PRSCN\_APPL) to determine the most recent Prescreen run in NSLDS II for the applicant using the Create Date field (RUN\_DT\_CR). If the Create Date field contains a value that is less than the current system time (part of processing logic), the program will determine changes to specific change flag fields according to the logic outlined in Appendix B. Specific Change Flags include the Defaulted Loan Flag, Discharged Loan Flag, Loan Satisfactory Repayment Arrangements Flag, and Active Bankruptcy Flag. Once all comparison updates have been made, the results file will be created as outlined in Step 6.

#### 1.3.5.1 Inputs

Extracted Data and Calculated Fields from Step 4 and the Prescreening Applicant Table (PRSCN\_APPL).

#### 1.3.5.2 Outputs

Updated Comparison Data and Match Flag Indicators Stored in Processing Logic

### 1.3.6 Step 6 – Generate CPS Prescreening Results File

After the comparison updates to previous Prescreens performed in NSLDS II have been made, the data is output to the CPS Prescreening Result file to be sent back to CPS for processing. The results file is a flat file containing a header record, trailer record, and several detailed records including one or more Main Detail Records, Pell Information Records, and Loan Detail Records for each applicant in which a Prescreen was performed. If no match is found, only the Main Detail record, including header and footer records, is sent back with field position 46 – Match Result Indicator – indicating appropriate match code. See the Prescreening Interface Document (I-CPS-1) for detailed file layouts for the CPS Prescreening Results File.

#### 1.3.6.1 Inputs

Extracted Data and Calculated Fields Through Step 5

#### 1.3.6.2 Outputs

CPS Prescreening Results File (Flat File Format). For detailed file layouts see the CPS Prescreen Interface Document (I-CPS-1)

### 1.3.7 Step 7 – Write Data to Prescreening Result Tables

After the Prescreening output has been written to a flat file, the Prescreen data is written to the appropriate Prescreening Result Tables. Specific data elements within the output file are mapped to fields within the tables as outlined in the CPS Prescreening Results File (see the Interface Document I-CPS-1).

Note: In some rare cases, a request by FSA could be made to run one or more Prescreens without loading the tables and sending the results to CPS. In this case, the Update Tables and Submit to CPS processing job functionality will be temporarily turned off.

### 1.3.7.1 Inputs

CPS Prescreening Results File (Flat File Format) Produced in Step 6. For detailed file layouts see the CPS Prescreening Interface Document (I-CPS-1)

### 1.3.7.2 Outputs

#### PRSCRN\_APPL

Data Element	Type	Length
DT_TM_STAMP	T	10
CPS_AWARD_YR	C	4
CPS_DOB	C	8
CURR_SSN	C	9
FST_NM	C	9
LST_MTCH_RSLT_IND	C	1
LST_NM	C	16
LST_SEQ_NO_USED	N	2
RUN_DT_CR	D	8

#### PRSCRN\_RSLT

Data Element	Type	Length
DT_TM_STAMP	T	10
ACT_BNKRPT_CHG_FLG	C	1
ACT_BNKRPT_FLAG	C	1
ADDL_LOAN_FLAG	C	1
ADDL_PELL_FLAG	C	1
AGG_CHG_FLAG	C	1
AGG_CMBN_OUT_PRIN	N	6
AGG_CMBN_PND_DIS	N	6
AGG_CMBN_TOT	N	6
AGG_CONSL_PRIN_BAL	C	6
AGG_CONSL_TOT	C	6
AGG_SUB_OPB	C	6
AGG_SUB_PEND_DIS	C	6
AGG_SUB_TOT	C	6
AGG_UNSUB_PEND_DIS	C	6
AGG_UNSUB_PRIN_BAL	C	6
AGG_UNSUB_TOT	C	6
APPL_CPS_AWARD_YR	C	4
APPL_CPS_DOB	C	8
APPL_CURR_SSN	C	9
APPL_FST_NM	C	9
APPL_LST_NM	C	16
CPS_CMPT_NO	C	3
CPS_NM_ID	C	2

<b>Data Element</b>	<b>Type</b>	<b>Length</b>
CPS_ORIG_SSN	C	9
CPS_SBMT_DT	C	8
CPS_TRAN	C	2
DCSD_FLAG	C	1
DEF_LOAN_CHG_FLAG	C	1
DEF_LOAN_FLAG	C	1
DSCHG_LOAN_CHG_FLG	C	1
DSCHG_LOAN_FLAG	C	1
MTCH_RSLT_IND	C	1
OVRPMT_CHG_FLAG	C	1
PELL_CHG_FLAG	C	1
PELL_OVRPMT_CON_CD	C	8
PELL_OVRPMT_IND	C	1
PERK_CHG_FLAG	C	1
PERK_CURR_YR_DIS	C	6
PERK_DIS_PRIOR_FLG	C	1
PERK_EXP_LEN_FLAG	C	1
PERK_OVRPMT_CON_CD	C	8
PERK_OVRPMT_IND	C	1
PERK_TOT_DIS	C	6
PLUS_BOR_NO	N	9
PLUS_BOR_SEQ_NO	N	4
PTSCRN_CPS_RJCT_CD	C	2
PTSCRN_REQ_DT	D	8
PTSCRN_REQ_RSN_CD	C	2
RUN_DT	D	8
RUN_TM	T	8
SAT_ARRNG_CHG_FLAG	C	1
SAT_ARRNG_FLAG	C	1
SEOG_OVRPMT_CON_CD	C	8
SEOG_OVRPMT_IND	C	1
SEQ_NO	N	2
STU_NO	N	9
STU_SEQ_NO	N	4

**PRSCRN\_RSLT\_LOAN**

<b>Data Element</b>	<b>Type</b>	<b>Length</b>
DT_TM_STAMP	T	10
ACAD_LVL	C	1
ADDL_UNSUB_FLAG	C	1
APPL_CPS_AWARD_YR	C	4
APPL_CPS_DOB	C	8
APPL_CURR_SSN	C	9
APPL_FST_NM	C	9
APPL_LST_NM	C	16
CAP_INT_FLAG	C	16
CHG_FLAG	C	1
CNTCT	C	8

<b>Data Element</b>	<b>Type</b>	<b>Length</b>
CNTCT_TYPE	C	3
CURR_GA_CODE	C	3
CURR_STAT_CODE	C	2
CURR_STAT_DT	D	8
DEF_RCNT_IND	C	1
ID_STU_SEQ_NO	N	4
LOAN_NO	N	9
LOAN_SEQ_NO	N	4
LOAN_TYPE_CODE	C	2
NET_AMT	N	4
OPE_ID	C	8
OUT_PRIN_BAL_DT_TX	C	8
OUT_PRIN_BAL_TEXT	C	6
PER_BEG_DT_TEXT	C	8
PER_END_DT_TEXT	C	8
RSLT_SEQ_NO	N	2
SEQ_NO	N	2

PRSCRN\_RSLT\_PELL

<b>Data Element</b>	<b>Type</b>	<b>Length</b>
DT_TM_STAMP	T	10
ACCPT_VRFY_STAT	C	1
AMT_PAID_TO_DT	N	4
APPL_CPS_AWARD_YR	C	4
APPL_CPS_DOB	C	8
APPL_CURR_SSN	C	9
APPL_FST_NM	C	9
APPL_LST_NM	C	16
AS_OF_DT_TEXT	C	8
EXP_FAM_CONTRIB	N	6
OPE_ID	C	8
PCT_ELIG_USED_DECM	N	5
PELL_AWARD_AMT	N	4
PELL_GRT_AWARD_YR	C	4
PELL_GRT_TYPE	C	2
REMN_AMT_TO_PAY	N	4
RSLT_SEQ_NO	N	4
SCH_BR_CD	C	2
SCH_CD	C	6
SCHED_AMT	N	4
SEQ_NO	N	2
STU_NO	N	9
STU_SEQ_NO	N	2
TRAN_NO	C	2

### 1.3.8 Step 8 – Submit CPS Prescreening Result File to CPS

After the Prescreening Tables are loaded, the CPS Prescreening Result File is sent to CPS. File Layouts and interface specifics are available in the Interface Document (I-CPS-1).

#### 1.3.8.1 Inputs

CPS Prescreening Results File (Flat File Format) Produced in Step 6. For Detailed File Layouts see the CPS Prescreening Interface Document (I-CPS-1).

#### 1.3.8.2 Outputs

Transmitted CPS Prescreening Results File

### 1.3.9 Step 9 – Update Prescreening Statistics Table

After successfully loading the Prescreening Tables and submitting the Results file to CPS, the Prescreening Statistics Table (PRSCRN\_STAT) is updated. This table contains data on Prescreening statistics (e.g., total number of records processed, count of match types, etc.) that is used for quality assurance and other purposes.

#### 1.3.9.1 Inputs

Updated Prescreening Tables

#### 1.3.9.2 Outputs

PRSCRN\_STAT

<b>Data Element</b>	<b>Description</b>	<b>Type</b>	<b>Length</b>
Date	System date when the program began execution. Format CCYYMMDD.	Num. 9(8)	8
Time	System time when the program began execution. Format HHMMSS.	Num. 9(6)	6
Records_Input	Total count of CPS applicant records sent to NSLDS for matching.	Num. 9(9)	9
Records_With_Match_Results_Indicator_1	Total count of CPS applicant records sent to NSLDS that match Student/PLUS Borrower in NSLDS and data returned to CPS.	Num. 9(9)	9
Records_With_Match_Results_Indicator_2	Total count of CPS applicant records sent to NSLDS where there was a match on current SSN without confirmation.	Num. 9(9)	9
Records_With_Match_Results_Indicator_3	Total count of CPS applicant records sent to NSLDS where there was no match on SSN or matched on historical SSN without confirmation.	Num. 9(9)	9

<b>Data Element</b>	<b>Description</b>	<b>Type</b>	<b>Length</b>
Records_With_Match_Results_Indicator_4	Total count of CPS applicant records sent to NSLDS that match Student/PLUS Borrower in NSLDS and no data returned to CPS.	Num. 9(9)	9
NSLDS_Inelig	Total count of CPS applicant records sent to NSLDS that are determined to be ineligible.	Num. 9(9)	9
Number_Deceased	Total count of CPS applicant records sent to NSLDS that have a deceased loan status (DD or DE).	Num. 9(9)	9
Number_With_Data_And_With_Defaulted_Loans	Total count of CPS applicant records sent to NSLDS that match Student/PLUS Borrower in NSLDS with data returned to CPS and with defaulted loans.	Num. 9(9)	9
Number_With_Data_And_With_Recent_Loans	Total count of CPS applicant records sent to NSLDS that match Student/PLUS Borrower in NSLDS with data returned to CPS and with recent loans.	Num. 9(9)	9
Number_With_Data_And_With_Pell_Info	Total count of CPS applicant records sent to NSLDS that match Student/PLUS Borrower in NSLDS with data returned to CPS and with Pell information.	Num. 9(9)	9
Number_With_Data_And_With_Aggregate_Info	Total count of CPS applicant records sent to NSLDS that match Student/PLUS Borrower in NSLDS with data returned to CPS and with aggregate information.	Num. 9(9)	9
Number_With_Data_And_With_Perkins_Info	Total count of CPS applicant records sent to NSLDS that match Student/PLUS Borrower in NSLDS with data returned to CPS and with Perkins information.	Num. 9(9)	9
Number_With_Data_And_With_Overpayments	Total count of CPS applicant records sent to NSLDS that match Student/PLUS Borrower in NSLDS with data returned to CPS and with overpayments.	Num. 9(9)	9

## 1.4 Procedure Assumptions

<b>#</b>	<b>Assumption</b>
1	The Prescreening process as defined in this document represents specifics for the 2002/2003 Award Year. Changes to the process, including calculation changes in subsequent Award Years, must be incorporated into the procedure.

## 1.5 Appendix A

### NSLDS II Match Logic (Section 1.3.3, Step 3)

<b>NSLDS Match Criteria</b>	<b>First Name (FN)</b>	<b>Last Name (LN)</b>	<b>Date of Birth (DOB)</b>
Step 1 Relaxed FN and DOB match.	3 of first 4 characters of FN on input record (excluding punctuation marks and spaces) match 3 of first 4 characters of FN (excluding punctuation marks and spaces) in system (current or history) (Note: Names with less than 3 characters would need exact match.); or alias matches exactly.	N/A	<ol style="list-style-type: none"> <li>1. Year matches exactly.</li> <li>2. Year matches plus or minus one, with month matching exactly.</li> <li>3. Year matches plus or minus 10, with month and day matching exactly.</li> <li>4. Input DOB is real and system DOB is a plug date (see list below).</li> </ol>
Step 2 Transposed FN and LN with relaxed DOB match.	N/A	3 of first 4 characters of LN on input record (excluding punctuation marks and spaces) match 3 of first 4 characters of FN (excluding punctuation marks and spaces) in system (current or history).	<ol style="list-style-type: none"> <li>1. Year matches exactly.</li> <li>2. Year matches plus or minus one, with month matching exactly.</li> <li>3. Year matches plus or minus 10, with month and day matching exactly.</li> <li>4. Input DOB is real and system DOB is a plug date (see list below).</li> </ol>
Step 3 Match on First Initial of FN when system FN is only an initial and no other FNs exist in system.	Input FN begins with same letter as system FI (a name that is an initial only or an initial followed by only a period (no FN in history); or alias matches exactly. (Note: FI in system followed by a comma is not accepted.)	N/A	Exact match and is not a plug date. (Note: If both input and system have same plug date, this is considered an exact match.)

<b>NSLDS Match Criteria</b>	<b>First Name (FN)</b>	<b>Last Name (LN)</b>	<b>Date of Birth (DOB)</b>
Step 4 Match on First Initial and part of LN with relaxed DOB match.	First character of FN matches first character of FN or FI (current or history).	5 of first 7 characters of LN (excluding punctuation marks and spaces) match 5 of first 7 characters of LN (excluding punctuation marks and spaces) in system (current or history). (Note: If less than 5 characters, all characters must match.)	<ol style="list-style-type: none"> <li>1. Year matches exactly.</li> <li>2. Year matches plus or minus one, with month matching exactly.</li> <li>3. Year matches plus or minus 10, with month and day matching exactly.</li> <li>4. Input DOB is real and system DOB is a plug date.</li> <li>5. For loans or grants made before 1-1-1997, input DOB is plug date and system DOB is a real date.</li> </ol>
Step 5 Match using student SSN to identify the student, a single loan or grant is found using the non-student related identifiers and this loan or grant was last reported on by the current provider.	N/A	N/A	N/A

Notes:

1. Possible plug DOBs are 19000101, 18991231, 18581117, 19581117, 19040404, 19600101.
2. When matching three of the first four characters in FN or five of the first seven characters in LN, the letters must match in the same sequence. For example, Nary and Mary would match as “ary” is in the same sequential order. Maty and Mary would also match as “may” is in the same sequential order.
3. If a PLUS Loan is found via the non-PLUS identifiers, only the PLUS borrower SSN is used to identify the PLUS borrower associated to the loan. Only in cases of a new loan or a new PLUS borrower SSN being provided are steps 1 through 4 applied to the PLUS borrower.

## 1.6 Appendix B

Filed Calculations (Section 1.3.4, Step 4)

### Applicant Result Main Detail Record (Type 1)

#### Match Results Indicator

- = 1, if the applicant information uniquely matches a student or parent borrower and relevant aid information is returned. Once a prescreening for an applicant (identified by SSN, name, and DOB) gets a match result of 1, all later prescreenings uniquely matching the applicant will return a match result of 1.
- = 2, if the applicant SSN matches a student or parent borrower SSN but is not uniquely confirmed by name or DOB.  
**NOTE:** If the matched student or parent borrower has no significant aid information affecting eligibility (defaulted loan; Subsidized, Unsubsidized, Combined, Consolidated, or Perkins aggregate amount; overpayment; or Pell grant in current or prior award year), then a Match Results Indicator of 4 is returned.
- = 3, if the applicant SSN matches no student or parent borrower or the applicant SSN matches a student or parent borrower historical SSN but is not uniquely confirmed by name or DOB
- = 4, if the applicant information uniquely matches a student or parent borrower but no relevant aid information is returned

#### Deceased Flag

- = Y, if applicant has one or more loans with one of the deceased loan status codes
- = N, otherwise

#### Pell Overpayment Indicator

- = Y, if applicant has one or more Pell overpayments which has not been deferred, not been waived, and does not have satisfactory arrangements made
- = D, if applicant has one or more Pell overpayments which has been deferred
- = W, if applicant has one or more Pell overpayments which has been waived
- = S, if applicant has one or more Pell overpayments which has satisfactory arrangements made
- = N, if applicant has no Pell overpayments

Note: In the case of multiple overpayments, order of precedence is Y (first), D, W, and S.

#### Pell Overpayment Contact

- = N/A, if applicant has no Pell overpayments
- = 05, if applicant has one Pell overpayment and overpayment source is EDR and region code is not 04, 05, or 09
- = ED region, if applicant has one Pell overpayment and overpayment source is EDR and region code is 04, 05, or 09
- = school OPE ID, if applicant has one Pell overpayment and overpayment source is not EDR
- = Y, if applicant has more than one Pell overpayment

#### FSEOG Overpayment Indicator

Same as Pell Overpayment Indicator except for FSEOG overpayments

FSEOG Overpayment Contact

Same as Pell Overpayment Contact except for FSEOG overpayments

Perkins Overpayment Indicator

Same as Pell Overpayment Indicator except for Perkins overpayments

Perkins Overpayment Contact

Same as Pell Overpayment Contact except for Perkins overpayments

Defaulted Loans Flag

= Y, if applicant has one or more loans with one of the defaulted loan status codes

= N, otherwise

Discharged Loans Flag

= Y, if applicant has one or more loans with one of the discharged loan status codes or one or more Perkins loans with cancellations for death (PD) or disability (PI)

= N, otherwise

Satisfactory Arrangements Flag

= Y, if applicant has one or more loans with one of the satisfactory arrangements loan status codes

= N, otherwise

Active Bankruptcy Flag

= Y, if applicant has one or more loans with one of the active bankruptcy loan status codes

= N, otherwise

Aggregate Subsidized Outstanding Principal Balance

=  $\Sigma$  "determined amount",

where "determined amount" is as follows:

If loan type equals SF (subsidized), D1, or D6

and loan status does not equal one of the bypass loan status codes

If loan type equals SF (subsidized)

and LOAN DATE\_ID is within the last year based on the system date

and loan status equals one of the pending disbursement loan status codes

Then

"determined amount" = the greater of LOAN

D\_TOTAL\_DISBURSEMENT\_AMOUNT or LOAN

OUTSTANDING\_PRINCIPAL\_BALANCE (not to exceed Loan Net Amount)

Else

"determined amount" = the lessor of Loan Net Amount,

OUTSTANDING\_PRINCIPAL\_BALANCE, D\_TOTAL\_DISBURSEMENT\_AMOUNT.

= N/A, if no loans meeting criteria

Aggregate Unsubsidized Outstanding Principal Balance

=  $\Sigma$  “determined amount”,  
where “determined amount” is as follows:  
If loan type equals SF (non-subsidized), SU, SL, D2, D5, or RF  
and loan status does not equal one of the bypass loan status codes  
If loan type equals SF (non-subsidized), SU, SL, or RF  
and LOAN DATE\_ID is within the last year based on the system date  
and loan status equals one of the pending disbursement loan status codes  
Then  
“determined amount” = the greater of LOAN  
D\_TOTAL\_DISBURSEMENT\_AMOUNT or LOAN  
OUTSTANDING\_PRINCIPAL\_BALANCE (not to exceed Loan Net Amount)  
Else  
“determined amount” = the lessor of Loan Net Amount,  
OUTSTANDING\_PRINCIPAL\_BALANCE, D\_TOTAL\_DISBURSEMENT\_AMOUNT.  
= N/A, if no loans meeting criteria

Aggregate Combined Outstanding Principal Balance

=  $\Sigma$  “determined amount”,  
where “determined amount” is as follows:  
If loan type equals SF (subsidized and non-subsidized), SU, SL, D1, D2, D5, D6, or RF  
and loan status does not equal one of the bypass loan status codes  
If loan type equals SF (subsidized and non-subsidized), SU, SL, or RF  
and LOAN DATE\_ID is within the last year based on the system date  
and loan status equals one of the pending disbursement loan status codes  
Then  
“determined amount” = the greater of LOAN  
D\_TOTAL\_DISBURSEMENT\_AMOUNT or LOAN  
OUTSTANDING\_PRINCIPAL\_BALANCE (not to exceed Loan Net Amount)  
Else  
“determined amount” = the lessor of Loan Net Amount,  
OUTSTANDING\_PRINCIPAL\_BALANCE, D\_TOTAL\_DISBURSEMENT\_AMOUNT.  
= N/A, if no loans meeting criteria

Aggregate Consolidated Outstanding Principal Balance

=  $\Sigma$  “determined amount”,  
where “determined amount” is as follows:  
If loan type equals CL  
and loan status does not equal one of the bypass loan status codes  
If LOAN DATE\_ID is within the last year based on the system date  
and loan status equals one of the pending disbursement loan status codes  
Then  
“determined amount” = the greater of LOAN  
D\_TOTAL\_DISBURSEMENT\_AMOUNT or LOAN  
OUTSTANDING\_PRINCIPAL\_BALANCE (not to exceed Loan Net Amount)  
Else

“determined amount” = the lessor of Loan Net Amount,  
OUTSTANDING\_PRINCIPAL\_BALANCE, D\_TOTAL\_DISBURSEMENT\_AMOUNT.  
= N/A, if no loans meeting criteria

Aggregate Subsidized Pending Disbursement

=  $\Sigma$  “determined amount”,

where “determined amount” is as follows:

If loan status equals one of the pending disbursement loan status codes  
and LOAN\_DATE\_ID is within the last year based on the system date

If loan type equals SF (subsidized)

Then

“determined amount” = the Loan Net Amount – Aggregate Subsidized Outstanding  
Principal Balance “determined amount” above (but not less than zero).

If loan type equals D1 or D6

“determined amount” = the Loan Net Amount – LOAN  
D\_TOTAL\_DISBURSEMENT\_AMOUNT (but not less than zero).

= N/A, if no loans meeting criteria

Aggregate Unsubsidized Pending Disbursement

=  $\Sigma$  “determined amount”,

where “determined amount” is as follows:

If loan status equals one of the pending disbursement loan status codes  
and LOAN\_DATE\_ID is within the last year based on the system date

If loan type equals SF (non-subsidized), SU, SL, or RF

Then

“determined amount” = the Loan Net Amount – Aggregate Subsidized Outstanding  
Principal Balance “determined amount” above (but not less than zero).

If loan type equals D2 or D5

“determined amount” = the Loan Net Amount – LOAN  
D\_TOTAL\_DISBURSEMENT\_AMOUNT (but not less than zero).

= N/A, if no loans meeting criteria

Aggregate Combined Pending Disbursement

=  $\Sigma$  “determined amount”,

where “determined amount” is as follows:

If loan status equals one of the pending disbursement loan status codes  
and LOAN\_DATE\_ID is within the last year based on the system date

If loan type equals SF (subsidized and non-subsidized), SU, SL, or RF

Then

“determined amount” = the Loan Net Amount – Aggregate Subsidized Outstanding  
Principal Balance “determined amount” above (but not less than zero).

If loan type equals D1, D2, D5, or D6

“determined amount” = the Loan Net Amount – LOAN  
D\_TOTAL\_DISBURSEMENT\_AMOUNT (but not less than zero).

= N/A, if no loans meeting criteria

Aggregate Subsidized Total

= Aggregate Subsidized Outstanding Principal Balance  
+ Aggregate Subsidized Pending Disbursement  
= N/A, if no loans meeting criteria

Aggregate Unsubsidized Total

= Aggregate Unsubsidized Outstanding Principal Balance  
+ Aggregate Unsubsidized Pending Disbursement  
= N/A, if no loans meeting criteria

Aggregate Combined Total

= Aggregate Combined Outstanding Principal Balance  
+ Aggregate Combined Pending Disbursement  
= N/A, if no loans meeting criteria

Aggregate Consolidation Total

= Aggregate Consolidation Outstanding Principal Balance  
= N/A, if no loans meeting criteria

Perkins Total Disbursements

=  $\Sigma$  LOAN\_OUTSTANDING\_PRINCIPAL\_BALANCE,  
where loan type equals DU, EU, NU, or PU  
= N/A, if no loans meeting criteria

Perkins Current Award Year Disbursements

=  $\Sigma$  LOAN\_DISBURSEMENT\_DIFFERENCE\_AMOUNT,  
where loan type equals DU, EU, NU, or PU  
and LOAN\_DISBURSEMENT\_DATE is in 2002-2003 Award Year (07-01-2002 through  
06-30-2003)  
= N/A, if no loans meeting criteria

For a given loan, sum LOAN\_DISBURSEMENT\_DIFFERENCE\_AMOUNTs by date and limit the sum to a minimum of zero as each difference amount is added to the sum.

Defaulted Loans Change Flag

= #, if the applicant information matches either the same student or the same parent borrower as the last prescreening for the applicant information and defaulted loans flag for the last prescreening is not equal to the defaulted loans flag for this prescreening  
= N, otherwise

Discharged Loans Change Flag

= #, if the applicant information matches either the same student or the same parent borrower as the last prescreening for the applicant information and the discharged loans flag for the last prescreening is not equal to the discharged loans flag for this prescreening

= N, otherwise

Satisfactory Arrangements Change Flag

= #, if the applicant information matches either the same student or the same parent borrower as the last prescreening for the applicant information and the loan satisfactory arrangements flag for the last prescreening is not equal to the loan satisfactory arrangements flag for this prescreening  
= N, otherwise

Active Bankruptcy Change Flag

= #, if the applicant information matches either the same student or the same parent borrower as the last prescreening for the applicant information and active bankruptcy flag for the last prescreening is not equal to the active bankruptcy flag for this prescreening  
= N, otherwise

Overpayments Change Flag

= #, if the applicant information matches either the same student or the same parent borrower as the last prescreening for the applicant information and one or more of the overpayment indicators (Pell, FSEOG, or Perkins) changed since the last prescreening  
= N, otherwise

Aggregates Change Flag

= #, if the applicant information matches either the same student or the same parent borrower as the last prescreening for the applicant information and one or more of the aggregate amounts (Aggregate Subsidized Outstanding Principal Balance, Aggregate Unsubsidized Outstanding Principal Balance, Aggregate Combined Outstanding Principal Balance, Aggregate Consolidation Outstanding Principal Balance, Aggregate Subsidized Pending Disbursements, Aggregate Unsubsidized Pending Disbursements, Aggregate Combined Pending Disbursements, Aggregate Subsidized Total, Aggregate Unsubsidized Total, Aggregate Combined Total, Aggregate Consolidation Total) changed since the last prescreening  
= N, otherwise

Perkins Change Flag

= #, if the applicant information matches either the same student or the same parent borrower as the last prescreening for the applicant information and one of the Perkins fields (Perkins Total Disbursements, Perkins Current Award Year Disbursements) changed since the last prescreening  
= N, otherwise

Pell Change Flag

= #, if the applicant information matches either the same student or the same parent borrower as the last prescreening for the applicant information and the Pell awards selected are different than the last prescreening

or the same Pell awards are selected but one or more of the Pell award fields (scheduled amount, award amount, amount paid to date, remaining amount to pay, percent eligibility used, verification status, or expected family contribution) changed since the last prescreening  
= N, otherwise

Additional Pell Flag

= Y, if more than 3 Pell awards meet the selection criteria  
= N, otherwise

Additional Loans Flag

=Y, if more than 6 loans meet the selection criteria  
= N, otherwise

DL MPN Flag

= A, if applicant has a Direct Loan with a Master Promissory Note in Accepted status  
= I, if applicant has a Direct Loan with a Master Promissory Note in Inactive status  
= C, if applicant has a Direct Loan with a Master Promissory Note in Closed status  
= N, if applicant has no Direct Loans with a Master Promissory Note

NOTE: In the case of multiple DL Master Promissory Notes, order of precedence is A (first), I, and C.

**Applicant Results Pell Information Detail Record (Type 2)**

Pell information is selected for Pell grants:

where PELL\_GRANT TYPE = 'PE'

and PELL\_GRANT AWARD\_YEAR = specified award year

and (PELL\_GRANT AMOUNT\_PAID\_TO\_DATE > 0

or PELL\_GRANT REMAINING\_AMT\_TO\_PAY > 0)

The specified award year is 2003 for 2002-2003 Prescreening.

OPE ID

= reporting school code/reporting school branch code, if present  
= attending school code/attending school branch code, otherwise

**Applicant Results Loan Detail Record (Type 3)**

For prescreening, an applicant's loan record is selected for extraction/display if it has one of the 'display' loan status codes or if it is a Perkins loan with a death (PD) or disability (PI), up to a maximum of 6 loans. Loans are sequenced by descending period begin date and outstanding principal balance.

Change Flag

= #, if the applicant information matches either the same student or the same parent borrower as the last prescreening for the applicant information and the loan was not selected for the last prescreening

or the loan was selected for the last prescreening but the net loan amount or current status code changed since the last prescreening  
= N, otherwise

Net Amount

= LOAN AMOUNT - LOAN D\_TOTAL\_CANCELLATION\_AMOUNT

Limited to a minimum of zero.

Outstanding Principal Balance and Outstanding Principal Balance Date

Outstanding Principal Balance and Outstanding Principal Balance Date values are derived as indicated in the following table.

<b>Outstanding Principal Balance in NSLDS</b>	<b>Outstanding Principal Balance Date in NSLDS</b>	<b>Outstanding Principal Balance Output</b>	<b>Outstanding Principal Balance Date Output</b>
zero	zero date ('0001-01-01' in database)	N/A	N/A
zero	plug date ('1900-01-01' in database)	zero	N/A
zero	not zero date ('0001-01-01' in database) and not plug date ('1900-01-01' in database)	zero	Outstanding Principal Balance Date from NSLDS
not zero	zero date ('0001-01-01' in database) or plug date ('1900-01-01' in database)	Outstanding Principal Balance from NSLDS	N/A
not zero	not zero date ('0001-01-01' in database) and not plug date ('1900-01-01' in database)	Outstanding Principal Balance from NSLDS	Outstanding Principal Balance Date from NSLDS

Period Begin Date

= N/A, if LOAN PERIOD\_BEGIN\_DATE = zero date ('0001-01-01' in database)

= LOAN PERIOD\_BEGIN\_DATE, otherwise

Period End Date

= N/A, if LOAN PERIOD\_END\_DATE = zero date ('0001-01-01' in database)

= LOAN PERIOD\_END\_DATE, otherwise

Current GA Code

= N/A, if none (spaces)

= LOAN D\_CURRENT\_GA\_CODE, otherwise

Contact and Contact Type

Contact and contact type are determined using the following logic.

For FFEL loans:

Set Contact to N/A (default value)  
Set Contact Type to N/A (default value)

If LOAN D\_CURRENT\_GA\_CODE IS 555

    If LOAN ED\_FFEL\_REGION\_CODE is 04, 05, or 09  
        Set Contact to LOAN ED\_FFEL\_REGION\_CODE  
        Set Contact Type to EDR

    Else  
        Set Contact to 05  
        Set Contact Type to EDR

    End-If

Else

    If LOAN D\_CURRENT\_STATUS\_CODE is one of the defaulted status codes

        If LOAN D\_CURRENT\_GA\_CODE is not spaces  
            Set Contact to LOAN D\_CURRENT\_GA\_CODE  
            Set Contact Type to GA

        End-If

    Else

        If LOAN D\_CURRENT\_LENDER\_SERVICER\_ID is not spaces and not zeros  
            Set Contact to LOAN D\_CURRENT\_LENDER\_SERVICER\_ID  
            Set Contact Type to LNS

        Else

            If LOAN D\_CURRENT\_LENDER\_CODE is not spaces and not zeros  
                Set Contact to LOAN D\_CURRENT\_LENDER\_CODE  
                Set Contact Type to LEN

            End-If

        End-If

    End-If

End-If

For FDLP loans:

Set Contact to N/A (default value)  
Set Contact Type to N/A (default value)

If LOAN D\_CURRENT\_GA\_CODE IS 555

    If LOAN ED\_FFEL\_REGION\_CODE is 04, 05, or 09  
        Set Contact to LOAN ED\_FFEL\_REGION\_CODE  
        Set Contact Type to EDR

    Else

        Set Contact to 05  
        Set Contact Type to EDR

End-If  
Else  
Concatenate the current responsible FDSLPL\_SERVICER CODE and  
FDSLPL\_SERVICER\_BRANCH CODE  
Set Contact to the concatenated value  
Set Contact Type to DLS  
End-If

For Perkins and FISL loans:

Set Contact to N/A (default value)  
Set Contact Type to N/A (default value)

If LOAN D\_CURRENT\_GA\_CODE IS 555  
If LOAN ED\_FFEL\_REGION\_CODE is 04, 05, or 09  
Set Contact to LOAN ED\_FFEL\_REGION\_CODE  
Set Contact Type to EDR  
Else  
Set Contact to 05  
Set Contact Type to EDR  
End-If

Else  
Concatenate the associated SCHOOL CODE and SCHOOL\_BRANCH CODE  
Set Contact to the concatenated value  
Set Contact Type to SCH  
End-If

Academic Level  
= N/A, if none (space or N).  
= LOAN ACADEMIC\_LEVEL, otherwise

Additional Unsubsidized Flag  
= B, if both LOAN\_ORIGINATION\_SUPPORT ADDITIONAL\_PLUS\_DENIAL\_INDICATOR and  
LOAN\_ORIGINATION\_SUPPORT ADDITIONAL\_HEALTH\_PROF\_INDICATOR are Y  
= P, if LOAN\_ORIGINATION\_SUPPORT ADDITIONAL\_PLUS\_DENIAL\_INDICATOR is Y and  
LOAN\_ORIGINATION\_SUPPORT ADDITIONAL\_HEALTH\_PROF\_INDICATOR is not Y  
= H, if LOAN\_ORIGINATION\_SUPPORT ADDITIONAL\_PLUS\_DENIAL\_INDICATOR is not Y  
and LOAN\_ORIGINATION\_SUPPORT ADDITIONAL\_HEALTH\_PROF\_INDICATOR is Y  
= N, otherwise

Capitalized Interest Flag  
= Y, if LOAN OUTSTANDING\_PRINCIPAL\_BALANCE > Loan Net Amount  
= N, otherwise

Last Disbursement Amount

=  $\Sigma$  LOAN\_DISBURSEMENT\_DIFFERENCE\_AMOUNT

where the disbursements are considered in descending date order and the summation is stopped when the summed amount is greater than or equal to zero. If summed amount is negative after all disbursements are considered, zero is used.

= N/A, if loan has no disbursements

Last Disbursement Date

= LOAN\_D\_CURRENT\_DISBURSEMENT\_DATE

= N/A, if loan has no disbursements

## 1.7 Appendix C

### Loan Status Codes

<b>Code</b>	<b>Description</b>
AE	Loan Transferred to New Holder
AL	Abandoned Loan
BC	Bankruptcy Claim, Discharged
BK	Bankruptcy Claim, Active
CA	Cancelled
CS	Closed School Discharge
DA	Deferred
DB	Defaulted, Then Bankrupt, Active, Chapter 13
DC	Defaulted, Compromise
DD	Defaulted, Then Died
DE	Death
DF	Defaulted, Unresolved
DI	Disability
DK	Defaulted, Then Bankrupt, Discharged, Chapter 13
DL	Defaulted, in Litigation
DN	Defaulted, Then Paid in Full By Consolidation
DO	Defaulted, Then Bankrupt, Active, Other
DP	Default, Paid in Full
DR	Defaulted, Loan Included in A Rolled-Up Loan
DS	Defaulted, Then Disabled
DT	Defaulted, Collection Terminated
DU	Defaulted, Unresolved
DW	Defaulted, Write-Off
DX	Defaulted, Six Consecutive Payments
DZ	Defaulted, Six Consecutive Payments, Then Missed Payment(s)
FB	Forbearance
FC	False Certification Discharge
IA	Loan Originated

<b>Code</b>	<b>Description</b>
ID	In School Or Grace Period
IG	In Grace Period
IM	In Military Grace
IP	In Post-Deferment Grace Period
IT	Loan Transferred by DCS
OD	Defaulted, Then Bankrupt, Discharged, Other
PC	Paid in Full Through Consolidation Loan
PF	Paid in Full
PM	Presumed Paid-in-Full
PN	Non-Defaulted, Paid in Full Through Consolidation Loan
RF	Refinanced
RH	Loan Transferred by DCS to Sallie Mae
RP	In Repayment
TG	Loan Transferred by DCS to GA927
UA	Temporarily Uninsured - No Default Claim Requested
UB	Temporarily Uninsured - Default Claim Denied
UC	Permanently Uninsured/Unreinsured - No Default Claim Requested
UD	Permanently Uninsured/Unreinsured - Default Claim Denied
UI	Unreinsured
XD	Defaulted, Six Consecutive Payments

## **1.8 Appendix D**

### Important Codes Used in Processing

NSLDS II will use the following loan status codes to determine defaulted loans. The codes set the Defaulted Loans Flag and Defaulted/Recent Indicator.

- DB
- DF
- DL
- DO
- DT
- DU
- DW
- DZ

NSLDS II will use the following loan status codes to determine discharged loans. The codes set the Discharged Loans Flag.

- DD
- DE
- DI
- DS

Perkins Loans with death (PD) or disability (PI) cancellations also cause the Discharged Loans Flag to be set regardless of their loan status code.

NSLDS II will use the following loan status codes to determine Satisfactory Arrangements loans. The codes set the Satisfactory Arrangements Flag.

- DX
- XD

NSLDS II will use the following loan status codes to determine Active Bankruptcy loans. The codes set the Active Bankruptcy Flag.

- BK
- DB
- DO

NSLDS II will use the following loan status codes to determine loans to bypass or exclude from consideration when calculating the various Aggregate Outstanding Principal Balance fields:

- BC
- CA
- CS
- DC
- DD
- DE
- DI
- DK
- DN
- DP
- DR
- DS
- FC
- OD
- PC
- PF
- PM
- PN
- RF
- UC
- UD
- UI

NSLDS II will use the following loan status codes when determining pending disbursements.

- IA
- ID
- IG
- IM

## **1.9 Appendix E**

### Use of N/A Codes

When populating the CPS Results File, 'N/A' is used in several situations to indicate that a field is not applicable or data is not available. When used, N/A is left justified in the field and any remaining positions are filled with spaces.

Fields in which N/A may appear are:

- Overpayment contact (Pell, FSEOG, and Perkins)
- Aggregate amounts
- Perkins disbursement amounts
- Pell As of date
- Outstanding principal balance
- Outstanding principal balance date
- Period begin date
- Period end date
- Current GA code
- Contact type
- School/Branch (OPE ID)
- Contact
- Academic Level (Grade Level)
- Accepted Verification Status
- School Branch Name
- FFEL MPN Lender Code
- Last Disbursement Amount
- Last Disbursement Date

N/A is also substituted in school/branch (OPE ID) and contact fields when a code of 88888800, 88888811, or 99999900 would result. These three values are special school/branch codes used for reporting refinanced loans, consolidated loans, or for plug values when the real school/branch code is unknown.