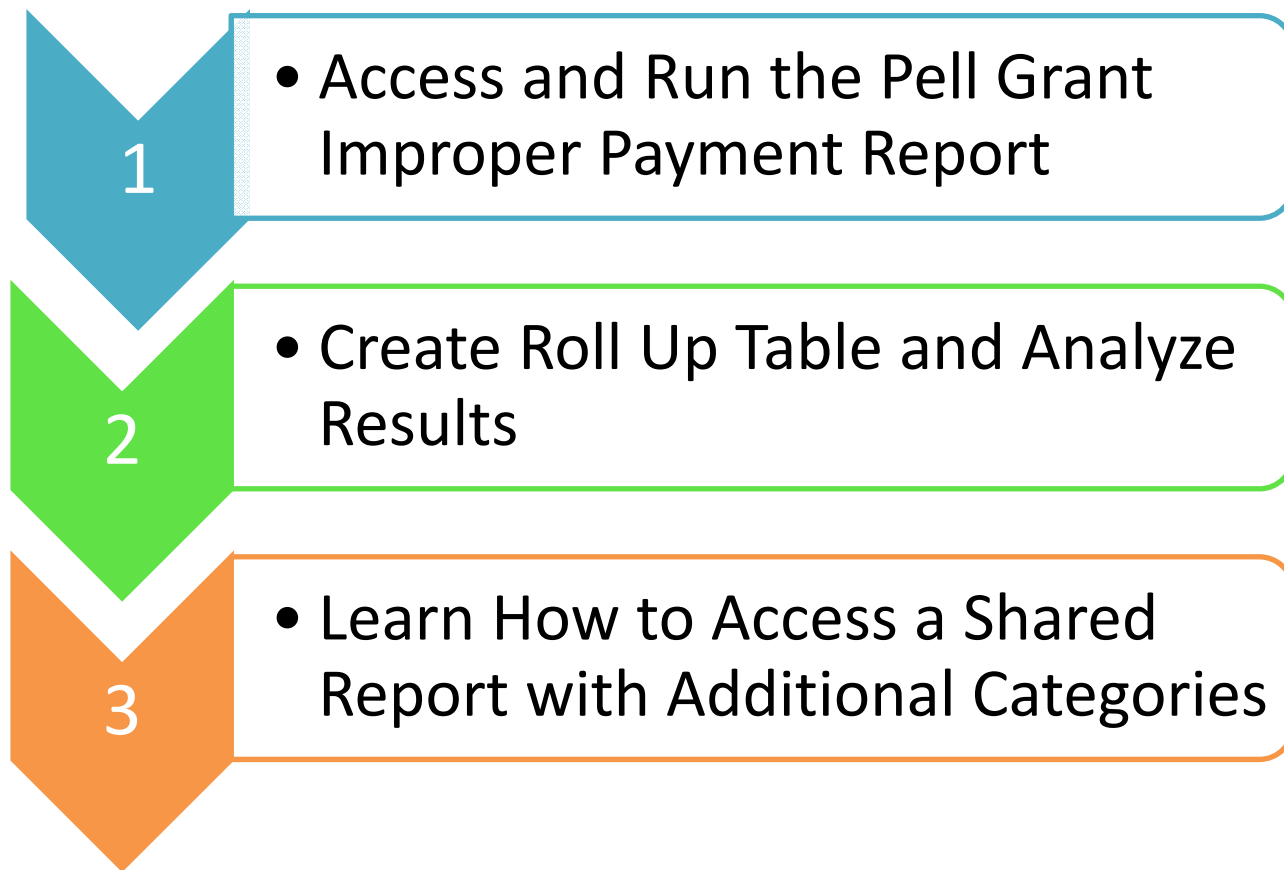


# Session # 3

## The Pell Improper Payment Report

David Rhodes & Holly Langer-Evans  
2012

# Training Objectives



# The Process

## Preparation

- Upload
- Validate

## Analyze

- Pell  
Improper  
Payment  
Report

## Guidelines

- 20 Records
- Establish A  
Baseline
- **AVG ABS  
Pell Change**
- **AVG ABS  
EFC Change**

# Institutional Criteria

Code	Description	Documentation
A	<ul style="list-style-type: none"> <li>• Dependent</li> <li>• Parent AGI \$40,001-\$75,000</li> <li>• EFC &lt; COA</li> <li>• IRS data retrieval ≠ 02</li> </ul>	<ul style="list-style-type: none"> <li>• Parent federal tax return</li> <li>• Parent W2(s)</li> </ul>
B	<ul style="list-style-type: none"> <li>• <b>Student estimated filer</b></li> <li>• <b>Student AGI \$1,001 - \$6,000</b></li> <li>• <b>EFC &lt; COA</b></li> <li>• <b>EFC ≠ auto zero</b></li> </ul>	<ul style="list-style-type: none"> <li>• <b>Federal tax return(s)</b></li> <li>• <b>W2(s)</b></li> </ul>
C	<ul style="list-style-type: none"> <li>• Parent Taxes Paid / Parent AGI &gt; 35%</li> <li>• IRS data retrieval ≠ 02</li> </ul>	<ul style="list-style-type: none"> <li>• Parent tax return</li> <li>• Parent W2(s)</li> </ul>

# Institutional Criteria

Code	Description	Documentation
D	<ul style="list-style-type: none"> <li>• Student Taxes Paid / Student AGI &gt; 35%</li> <li>• IRS data retrieval ≠ 02</li> </ul>	<ul style="list-style-type: none"> <li>• Student tax return</li> <li>• Student W2(s)</li> </ul>
E	<ul style="list-style-type: none"> <li>• Dependent</li> <li>• Pell eligible</li> <li>• Parent AGI \$30,001 - \$70,000</li> <li>• EFC ≠ auto zero</li> </ul>	<ul style="list-style-type: none"> <li>• School forms V22 and A35</li> </ul>
F	<ul style="list-style-type: none"> <li>• Emancipated minor</li> </ul>	<ul style="list-style-type: none"> <li>• Court records</li> </ul>









# Institutional Criteria

Code	Description	Documentation
G	<ul style="list-style-type: none"><li>• Pell eligible</li><li>• Student AGI \$1,001 - \$2,000</li><li>• EFC &gt; 0</li><li>• IRS data retrieval ≠ 02</li></ul>	<ul style="list-style-type: none"><li>• Student tax return</li><li>• Student W2(s)</li></ul>
H	<ul style="list-style-type: none"><li>• Independent</li><li>• Not member of a valid graduate student packaging group</li><li>• Parent AGI or Wages &gt; 0</li></ul>	<ul style="list-style-type: none"><li>• School form V02</li></ul>
I	<ul style="list-style-type: none"><li>• Independent solely due to claim support of dependent other than child</li></ul>	<ul style="list-style-type: none"><li>• School form V02</li></ul>

# Pell Improper Payment Report

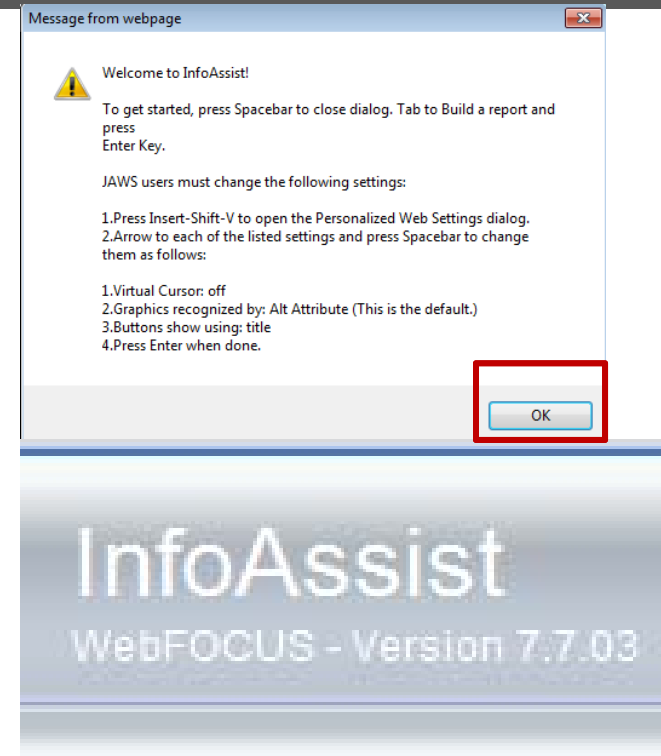
- Access Report
- Run Report

## Domain Tree

- [-]  Domains
  - [-]  IA Tool 12-13
    - [-]  Standard Reports
    - [-]  Reporting Objects
      - [-]  Custom Reports
        -  Ad Hoc
        -  Quality Assurance Listing
        -  Pell Improper Payments

# Pell Improper Payment Report

- Access Report
  - Select OK
  - Select Build A Report
  - Select Run Icon




## Getting Started






# Pell Improper Payment Report

- Save Report to your hard drive -save as webpage, only (\*.htm, \*.html)
- Establish a Baseline for AVG ABS Pell Change and AVG ABS EFC Change



Grey Ribbon Bar



ISIR Categories

INST_VERIF_CRIT	EFC_CHANGE	ABS_EFC_CHANGE	PELL_CHANGE	ABS_PELL_CHANGE
B	166	166	0	
AE	5717	5717	-2400	
AE	1044	1044	-1100	
ABEG	1144	1144	-1200	
AE	-2	2	50	
A	-2822	2822	0	
C	0	0	0	
AE	2090	2090	-2100	
B	3312	3312	0	
B	-81	81	0	
A	327	327	0	
AB	-1071	1071	0	
B	709	709	0	
AEG	181	181	-100	
E	1	1	0	
E	-376	376	300	
AE	5396	5396	-2600	
B	588	588	0	

# Where to Start: Calculate ABS EFC And Pell AVG

- From the Ribbon Bar locate *ABS\_PELL\_Change* and *select* the *down arrow*. *Select Calculate, Select AVG*

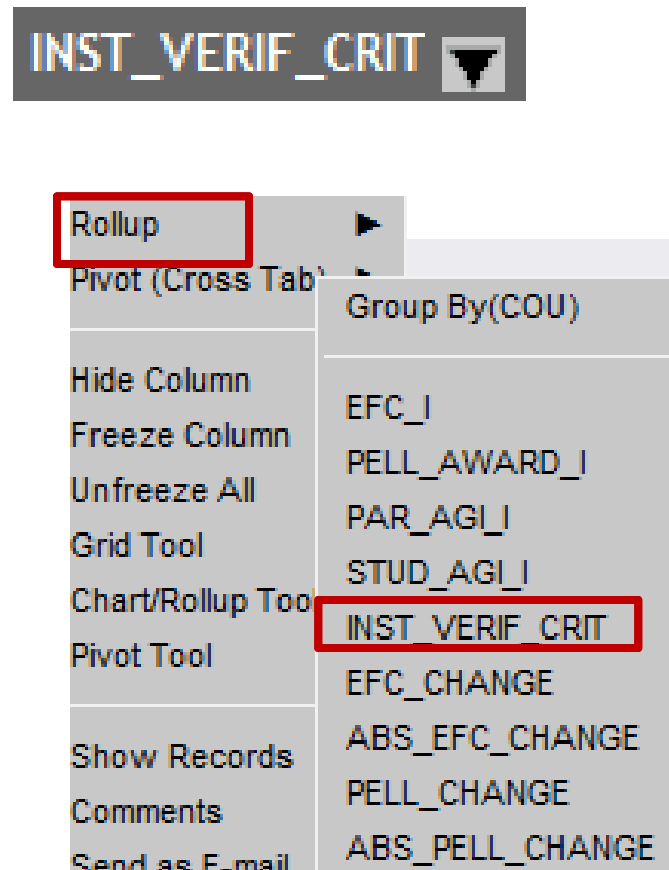
A screenshot of the software interface for calculating Pell average. It shows a ribbon bar with the text 'ABS\_PELL\_CHANGE' and a downward-pointing arrow. Below this, there is a 'Calculate' button with a right-pointing arrow, and an 'Avg' button. To the right of these buttons is a dark grey box containing the text 'Total Avg 423'.

- From the Ribbon Bar, locate *ABS\_EFC\_Change*, and *Select Calculate, select AVG*

A screenshot of the software interface for calculating EFC average. It shows a ribbon bar with the text 'ABS\_EFC\_CHANGE' and a downward-pointing arrow. Below this, there is a 'Calculate' button with a right-pointing arrow, and an 'Avg' button. To the right of these buttons is a dark grey box containing the text 'Total Avg 1,143'.

# Create A Roll Up Table

- From the Ribbon Bar locate *INST\_VERIF\_CRIT* and *select the down arrow*
- From the Menu, *select Roll Up*, and then *INST\_VERIF\_CRIT*



# Navigating the Roll up Table

Use Icon  
to add  
Categories



INST_VERIF_CRIT	INST_VERIF_CRIT
A	265
AB	35
ABE	47
ABEG	19
ABG	2
AC	1
ACD	3
ACDE	2
ACE	8
AE	370
AEG	12
AEH	2
B	230

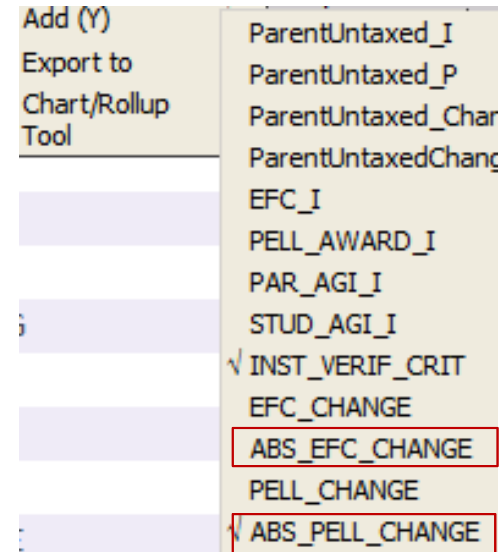
Change count to sum or AVG

Use down  
arrow to select  
ascending or  
descending  
order

Drag to  
make  
report  
larger

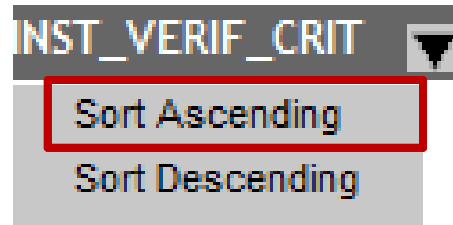
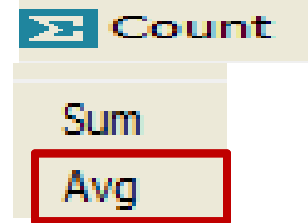
# Create A Roll Up Table

- Select the icon   
Click on Add Y  
select,  
ABS\_Pell\_Change
- Select the icon   
Click on Add Y  
Select,  
ABS\_EFC\_Change



# Ascending Order and Count

- *Select the Count Icon and Select AVG*
- *Select Inst\_Verif\_Crit down arrow and Select Sort Ascending*



# Filter for Single School Criteria

**Filter Selection for Report1**

INST\_VERIF\_CRIT    Equals    \*A

Operator: AND    Add Condition    Filter    Highlight    Clear All

INST_VERIF_CRIT	INST_VERIF_CRIT	ABS_PELL_CHANGE	ABS_EFC_CHANGE
A	265	136	1,448
B	230	60	1,428
C	19	589	2,771
D	19	1,013	677
E	285	418	775
F	4	1,387	1,772
G	14	178	168
H	17	326	831
I	2	0	0

INST\_VERIF\_CRIT

Sort Ascending  
Sort Descending

Filter    Equals

INST\_VERIF\_CRIT

A	AB	ABE	ABEG
ABG	AC	ACD	ACDE
ACE	AE	AEG	AEH
B	BD	BDEG	BDG
BE	BEG	BG	BH
C	CD	CE	D
DE	DG	E	EG
F	G	H	HI
I			

# First Impressions of Institutional Criteria

Institutional Criteria	Impression
A, B and E	Require further analysis
C, D, F, G, H and I	Not enough records – keep criteria



# Live Demonstration

---



# Institutional Criteria B

B	<ul style="list-style-type: none"><li>• Student estimated filer</li><li>• Student AGI \$1,001 - \$6,000</li><li>• EFC &lt; COA</li><li>• EFC ≠ auto zero</li></ul>	<ul style="list-style-type: none"><li>• Federal tax return(s)</li><li>• W2(s)</li></ul>
---	--	---

# Roll Up Report: Filter on Criteria B

- *Modify Filter dialog box to select only B*
- *Select Filter*
- *Move or minimize the filter box*

**Filter Selection for Report1**

INST\_VERIF\_CRIT Equals

Operator: AND    Add Condition    Filter

**INST\_VERIF\_CRIT BY INST\_VERIF\_CRIT**


1 of 1 records, Page 1 of 1

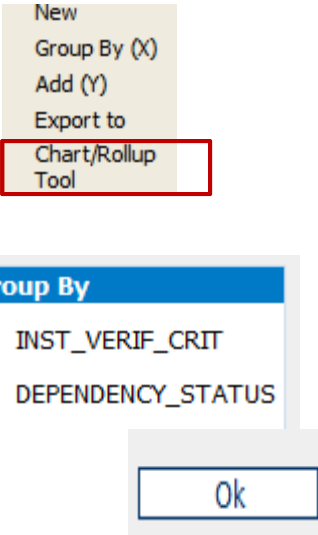
INST\_VERIF\_CRIT, ABS\_PELL\_CHANGE, ABS\_EFC\_CHANGE BY INST\_VERIF\_CRIT

INST_VERIF_CRIT	INST_VERIF_CRIT	ABS_PELL_CHANGE	ABS_EFC_CHANGE
B	230	60	1,428

Report Sample Size: 1,428

# Roll Up Report: Add a Category

- To Add a Category:  
Go to icon  and select **Chart/Roll up Tool**
- Drag Category from the column section that you want to add to “Group By” column. We want to first add:  
**Dependency Status**
- When done, select **OK**



New  
Group By (X)  
Add (Y)  
Export to  
**Chart/Rollup Tool**


**Group By**  
X INST\_VERIF\_CRIT  
X DEPENDENCY\_STATUS

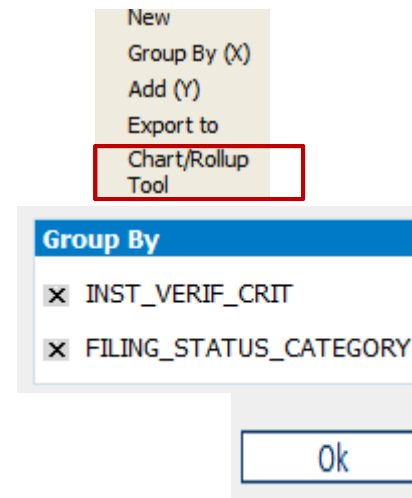
Ok

INST_VERIF_CRIT ▼	DEPENDENCY_STATUS ▼	INST_VERIF_CRIT ▼	ABS_PELL_CHANGE ▼	ABS_EFC_CHANGE ▼
B	Dependent	204	68	1,610
B	Independent	26	0	0

Report Sample Size: 1,428

# Roll Up Report: Add a Category


- To remove the *Dependency Status*: Go to the icon  and from the Group select the *Chart/Roll up Tool* and **un check** the X next to *Dependency Status*
- To add a new category, just Drag Category from the Column Row that you want to add to “*Group By*” column. Add: **Estimated Filers Filing Status Category**
- When done, select OK

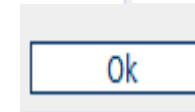
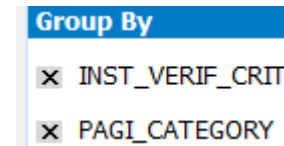


INST_VERIF_CRIT	FILING_STATUS_CATEGORY	INST_VERIF_CRIT	ABS_PELL_CHANGE	ABS_EFC_CHANGE
B	A. Filed	54	5	617
B	B. Will File	176	77	1,676

Report Sample Size: 1,428

# Roll Up Report: Add a Category


- To remove the Filing Status Category from the Group, select the  icon and select Chart/Roll up Tool and **un check** the X next to Filing Status Category
- To add a new category, just Drag Category from the Column Row that you want to add to “Group By” column. Add: **PAR AGI Category**
- When done, select OK

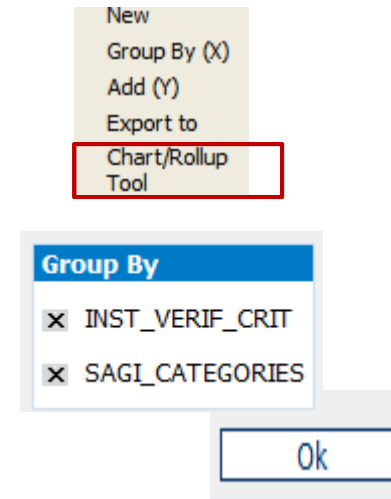


INST_VERIF_CRIT	PAGI_CATEGORY	INST_VERIF_CRIT	ABS_PELL_CHANGE	ABS_EFC_CHANGE
B	D. \$1 to \$19999	6	8	3
B	E. \$20000 to \$34999	16	293	330
B	G. \$50000 to \$74999	2	0	0
B	H. \$75000 or more	180	51	1,795
B	I. NA Independent	26	0	0

Report Sample Size: 1,428

# Roll Up Report: Add a Category


- To remove the PARENT AGI Category from the Group select the icon  Chart/Roll up Tool and **un check** the X next to Filing Status Category
- To add a new category, just Drag Category from the Column Row that you want to add to “Group By” column. Add: **STUDENT AGI Category**
- When done, select OK

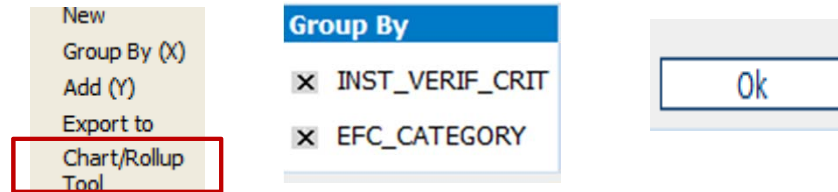


INST_VERIF_CRIT	SAGI_CATEGORIES	INST_VERIF_CRIT	ABS_PELL_CHANGE	ABS_EFC_CHANGE
B	D. \$1 to \$7499	230	60	1,428

Report Sample Size: 1,428

# Roll Up Report: Add a Category

- To remove the *STUDENT AGI Category* from the Group select the icon  Chart/Roll up Tool and **un check** the X next to Filing Status Category
- To add a new category, just Drag Category from the Column Row that you want to add to “Group By” column. Add: *EFC Category*
- When done, select *OK*




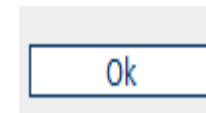
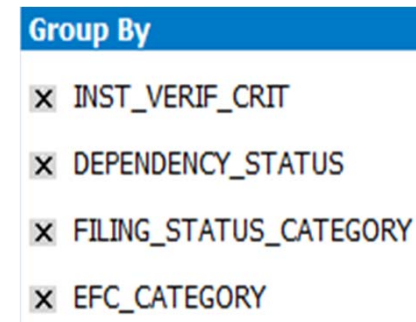
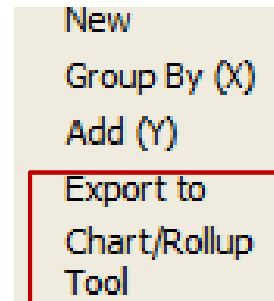
INST_VERIF_CRIT ▼	EFC_CATEGORY ▼	INST_VERIF_CRIT ▼	ABS_PELL_CHANGE ▼	ABS_EFC_CHANGE ▼
(B	A. 0	35	0	0
(B	B. 1 to 4995	18	591	646
(B	C. 4996 to 9999	64	51	1,429
(B	D. 10K to 14999	69	0	1,410
(B	E. 15K to 19999	42	0	2,789
(B	F. 20K to 24999	2	0	5,433

Report Sample Size: 1,428



# Roll Up Report: Add Categories

- To add **EFC Category Dependency and Filing Status** into one table select the icon  and select the **Chart/Roll up Tool**, and **drag them all in**
- When done, select **OK**



# Roll Up Report: Add Categories

DEPENDENCY_STATUS ▼	FILING_STATUS_CATEGORY ▼	EFC_CATEGORY ▼	INST_VERIF_CRIT ▼	ABS_PELL_CHANGE ▼	ABS_EFC_CHANGE ▼
Dependent	A. Filed	A. 0	4	0	0
Dependent	A. Filed	B. 1 to 4995	6	50	38
Dependent	A. Filed	C. 4996 to 9999	16	0	747
Dependent	A. Filed	D. 10K to 14999	20	0	62
Dependent	A. Filed	E. 15K to 19999	8	0	2,486
Dependent	B. Will File	A. 0	5	0	0
Dependent	B. Will File	B. 1 to 4995	12	862	950
Dependent	B. Will File	C. 4996 to 9999	48.00	68	1,657
Dependent	B. Will File	D. 10K to 14999	49	0	1,960
Dependent	B. Will File	E. 15K to 19999	34	0	2,860
Dependent	B. Will File	F. 20K to 24999	2	0	5,433
Independent	B. Will File	A. 0	26	0	0

Report Sample Size: 1,428

## Tweaks for Criteria B

---

- **Dependent students only**
- **All parent estimated filers**
- **Parents who filed only when EFC is greater than 15,000**

# Live Demonstration

---






# Analysis of Other Criteria

INST_VERIF_CRIT ▼	INST_VERIF_CRIT ▼	ABS_PELL_CHANGE ▼	ABS_EFC_CHANGE ▼
A	265	136	1,448
B	230	60	1,428
C	19	589	2,771
D	19	1,013	677
E	285	418	775
F	4	1,387	1,772
G	14	178	168
H	17	326	831
I	2	0	0

Report Sample Size: 1,428

# Pell Improper Payment +

- Shared Report “filed” under SUNY BROCKPORT
- Adds
  - FAFSA line 43 and 44**  
Student additional financial Info and untaxed income
  - FASFA line 91-92**  
Parent additional financial info and Untaxed income
  - Student IRS Request flag & Parent IRS Request Flag
- Appendix provides detailed instructions

- [-]  Domains
  - [-]  IA Tool 12-13
    - [+]  Standard Reports
    - [+]  Reporting Objects
    - [+]  My Reports
    - [-]  Shared Reports

-  **SUNY BROCKPORT - FIN AID OFF**
  - [-]  Custom Reports
    -  Pell Improper Payment +

# Pell Improper Payment +

INST\_VERIF\_CRIT, ABS\_PELL\_CHANGE, ABS\_EFC\_CHANGE BY INST\_VERIF\_CRIT, Parent\_additional\_cat

INST_VERIF_CRIT	Parent_additional_cat	INST_VERIF_CRIT	ABS_PELL_CHANGE	ABS_EFC_CHANGE
B	A. Zero	159	28	1,477
B	B. 1 to 2500	39	0	1,206
B	C. 2501 or more	32	293	1,454

Report Sample Size: 1,428

# Fall Conference Session

---

- Tuesday OR Wednesday 5-6 PM  
*Orlando Ballroom L-N*
- Improper Pell Payment Report (+)
  - 1) **Did you identify any criteria to eliminate?**
  - 2) **Did you find ways to tweak existing criteria to reduce burden?**
  - 3) **How will you apply the results?**



# 2013-2014

---

- Random sample is back
  - Undergraduate
  - Demonstrate financial need (EFC < COA)
  - Enough to yield at least 350 cases to analyze

# 2013-2014 Random Sample

---

- **Verify sample records as you would if:**
  - Your school was *NOT* in the QA Program
  - Record was flagged by CPS with code V1 – Standard Verification
  - DCL ID: GEN-12-11
  - Federal Register, Vol. 77, No. 134/July 12, 2012
- **School verification still required**

# 2013-2014

---

- **Verification Tracking Flags V4 & V5**
  - Encouraged (NOT Required)
  - Only Identity/Statement of Educational Purpose
  - Establish your own documentation requirements

# Additional MLM Training

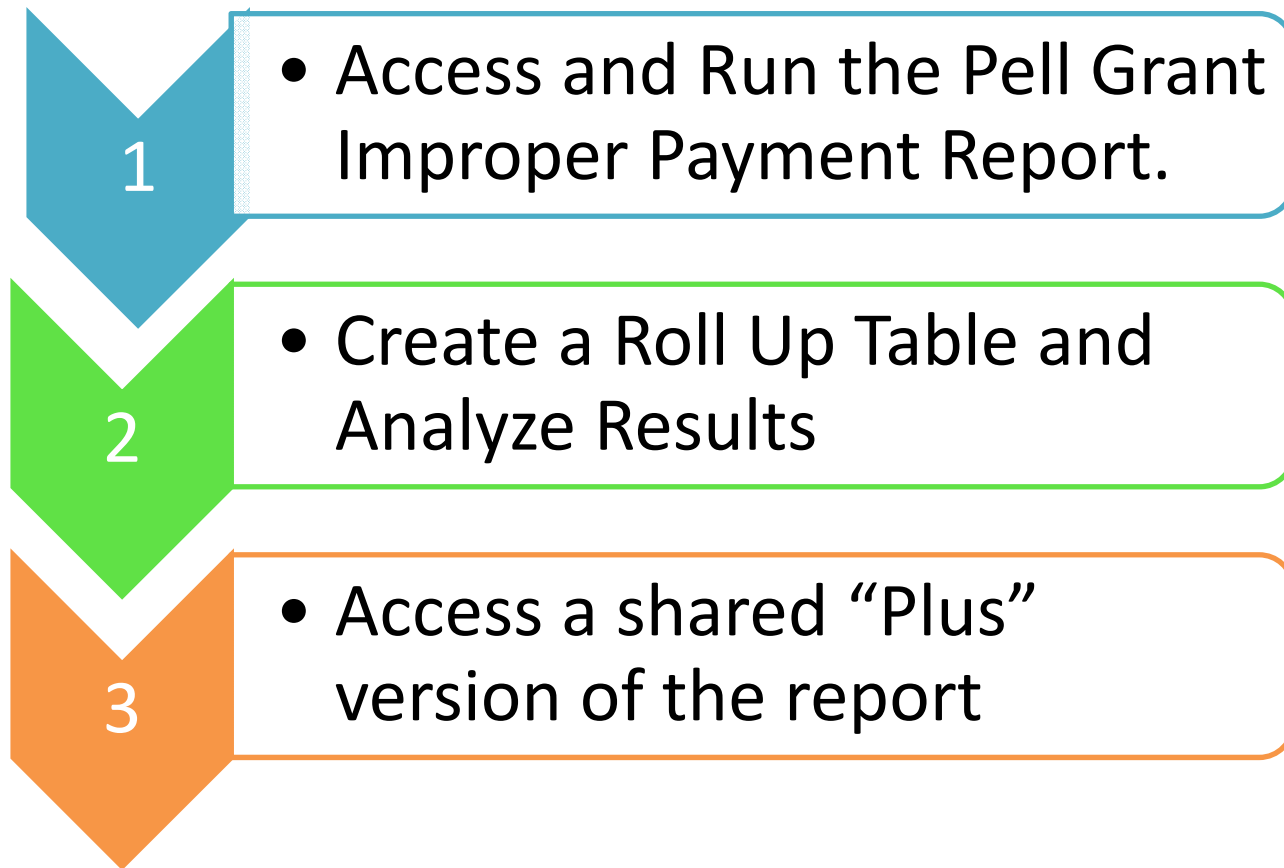
---

FSA Assessment  
Find It, Fix It, Enhance  
Compliance

- MLM Series #4
- December 10, 2012
- 1:30-2:30

# What We Have Learned

---



# QA Team: Regional Representatives

---

## Holly Langer-Evans

- Phone: 617 289 0136
- Email: [Holly.Langer-Evans@ed.gov](mailto:Holly.Langer-Evans@ed.gov)

## Michael Cagle

- Phone: 206-615-2586
- EMAIL: [Michael.Cagle@ed.gov](mailto:Michael.Cagle@ed.gov)

## Anne Tuccillo

- Phone: 202-377-4380
- EMAIL: [Anne.Tuccillo@ed.gov](mailto:Anne.Tuccillo@ed.gov)

# Other Members of the QA Team

---

## David Rhodes

- Phone: 202-377-3066
- Email: [Daivd.Rhodes@ed.gov](mailto:Daivd.Rhodes@ed.gov)

## Warren Farr

- Phone: 202-377-4380
- EMAIL: [Warren.Farr@ed.gov](mailto:Warren.Farr@ed.gov)

# Questions

