

**DEPARTMENT OF EDUCATION****Federal Pell Grant Program**

**AGENCY:** Department of Education.

**ACTION:** Notice; deadline dates for receipt of applications, reports, and other documents for the 1995–96 award year.

**SUMMARY:** The Secretary announces the deadline dates for receiving documents from persons applying for financial assistance under, and from institutions participating in, the Federal Pell Grant Program in the 1995–96 award year.

**FOR FURTHER INFORMATION CONTACT:**

Jacquelyn C. Butler, Program Specialist, Pell and State Grant Section, Grants Branch, Policy Development Division, Policy, Training, and Analysis Service, Office of Postsecondary Education, U.S. Department of Education, 600 Independence Avenue SW. (ROB–3, Room 3045), Washington, DC 20202–5447. Telephone: (202) 708–4607. Individuals who use a telecommunications device for the deaf (TDD) may call the Federal Information Relay Service (FIRS) at 1–800–877–8339 between 8 a.m. and 8 p.m., Eastern time, Monday through Friday.

**SUPPLEMENTARY INFORMATION:** The Federal Pell Grant Program provides grants to students attending eligible institutions of higher education to help them pay for their educational costs. The program supports Goals 2000, the President's strategy for moving the Nation toward the National Education Goals, by enhancing opportunities for postsecondary education. The National Education Goals call for increasing the rate at which students graduate from high school and pursue high quality postsecondary education and for supporting life-long learning.

Authority for the Federal Pell Grant Program is contained in section 401 of the Higher Education Act of 1965, as amended (HEA), 20 U.S.C. 1070a. Regulations that govern the Federal Pell Grant Program are codified in 34 CFR parts 690, 668, and 600.

The Federal Pell Grant Program includes a three-step application process. Under the first step, a student submits an application, *i.e.*, the Free Application for Federal Student Aid (FAFSA), to the Secretary to have his or her expected family contribution (EFC) calculated.

The student may submit a paper or electronic version of that application. The student submits a paper application directly to a FAFSA processor. The FAFSA processor in turn transmits that application to the central processor.

FAFSA processors include the Department, the College Scholarship Service (CSS), the American College Testing (ACT), and the Pennsylvania Higher Education Assistance Agency (PHEAA).

If the student attends or expects to attend an institution that participates in the Department of Education's Electronic Data Exchange (EDE), the student may submit an electronic application to the central processor through that institution. (Under EDE, using software or specifications provided by the Department of Education (Department), an institution electronically transmits the student's application information to the central processor. The institution may enter the application information or the institution may have the student enter that information.)

The Department has developed another type of electronic application called the "FAFSA Express." If a student uses the FAFSA Express, he or she submits that application electronically to the central processor without the involvement of his or her institution or a FAFSA processor.

As an alternative to an original paper or electronic application, a student may submit a paper or electronic "renewal application." A renewal application is sent to a student. It is generated by the central processor using prior year application information to reduce the amount of new data a student must provide for the next award year. A renewal application is not available using FAFSA Express.

Under the second step, the central processor determines a student's EFC based upon the information the student provided in the paper or electronic application. If the student uses a paper application or FAFSA Express, the central processor sends the student a Student Aid Report (SAR) on which the central processor reports the student's EFC plus the information on which the EFC was based. In addition, the central processor also sends this information to any institutions participating in EDE that the student selects on his or her application.

If the student applies electronically under EDE, the EDE process enables the institution to receive electronically the student's EFC and application information. The information contained on this transmission is called the Institutional Student Information Record or ISIR. A student who applies electronically through EDE does not get an SAR; therefore, the institution provides a printed copy of the ISIR information to the student. All

institutions may also receive at their option ISIRs on a magnetic tape or on a paper roster.

Under the third step, an institution that receives a valid SAR or valid ISIR determines a student's eligibility for a Federal Pell Grant award and the amount of that award, and pays the student his or her award. A valid SAR or valid ISIR is one on which all the information used to calculate the student's EFC is accurate and complete.

If corrections need to be made to a student's application information, the central processor must be notified of those corrections. However, if a student is selected for verification under 34 CFR 668.54, by the Secretary or by the institution, corrections need not be reported to the central processor if the institution determines that the relevant provisions of 34 CFR 668.59 apply.

Several alternatives are available for notification to the central processor. If the institution does not participate in EDE, the student must make corrections directly on Part 2 of the SAR and then send the corrected SAR to the student's FAFSA processor, which transmits the corrected information to the central processor.

If the student attends an institution that participates in EDE, the institution may transmit electronically the corrected information directly to the central processor. If the central processor receives the corrected information electronically, the EDE process enables the institution to receive a corrected ISIR electronically.

If corrections are made through EDE, the institution must provide to the student a printed copy of the results of those corrections so that the student has an opportunity to review the accuracy of his or her processed application information. The ISIR is valid if it accurately reflects corrections that are based on signed correction documentation or documentation submitted under 34 CFR 668.57 and is processed through the central processor.

An institution that receives valid ISIRs and reports Federal Pell Grant payment data to the Department by floppy disk, magnetic tape, or electronic transmission through EDE, may not require a student to submit an SAR as a precondition to receiving a Federal Pell Grant award.

#### I. Summary of Deadline Dates—Table I

The following table is a summary of selected Deadline Dates further explained in Parts II. through V. of this notice.

TABLE I

**A. Summary of Deadline Dates for Application Processing and Receipt of SARs or ISIRs (Explained Further in Parts I. Through III. of This Notice)**

Who submits?	What is submitted?	What is the deadline date?
Student .....	A paper original/renewal application .....	5/1/96.
Student or student thru institution.	An electronic original/renewal application .....	5/1/96.
Student .....	Correction Application (paper) .....	8/1/96.
Student .....	SAR .....	Student's last date of enrollment or 7/1/96 whichever is earlier.
Student or student thru institution.	Corrected SAR or ISIR (paper/electronically) .....	8/1/96.
Student or student thru institution.	Written/telephone requests for duplicate SAR .....	8/1/96.
Student .....	If a student is selected for verification: (1) verification documentation submitted by the student and received by the institution; and (2) if necessary, a reprocessed valid SAR or valid ISIR received by the institution.	The earlier of: (a) 60 days after the student's last date of enrollment; or (b) 8/30/96.

**B. Summary of Deadline Dates for Reporting Federal Pell Grant Payment Data (Explained Further in Parts IV. and V. of This Notice)**

Institution .....	IPS and Payment Voucher data .....	no later than the closing date for each reporting period.
	<i>Reporting Periods</i>	
	07/01/95 thru 10/15/95 .....	10/15/95.
	10/16/95 thru 12/15/95 .....	12/15/95.
	12/16/95 thru 02/15/96 .....	02/15/96.
	02/16/96 thru 04/15/96 .....	04/15/96.
	04/16/96 thru 06/15/96 .....	06/15/96.
	06/16/96 thru 08/15/96 .....	08/15/96.
Institution .....	Final submission of Payment Voucher Data—Secretary closes the institution's Federal Pell Grant account after 9/30/96 except as provided in Part V.B.	9/30/96.
Institution .....	Administrative relief .....	1/31/97.
Institution .....	IPS and Payment Voucher data for downward adjustments ....	Requirement to report, within 30 calendar days, downward adjustments for a student with previously reported payments or expected payments that are in excess of the payments that the institution is paying the student for the award year.

**II. Applications for Determination of Expected Family Contribution—Table II**

Under the first application step described above, if a student uses a paper original application, including a paper renewal application, he or she must submit that application form to the appropriate processor listed in Table II of this notice, at the address indicated in Table II. That application must be received at that address no later than May 1, 1996. A paper application may not be hand-delivered.

An approved application form is an application listed in the first column of Table II. The student must send the application to the address of the organization whose application is being used. Thus, the FAFSA printed and distributed by the Department must be sent to the FAFSA processor in Iowa City, Iowa; forms printed and distributed by ACT must be sent to ACT; forms printed and distributed by CSS must be sent to CSS; and forms

printed and distributed by PHEAA must be sent to PHEAA.

If a student submits an electronic application under EDE or FAFSA Express, that application must be received by the Department's central processor prior to midnight (Central Daylight Savings Time) on May 1, 1996. (For purposes of this notice, this deadline means that a student has all of May 1, 1996, to apply.)

For the balance of this notice, the first application submitted by or on behalf of a student, including a renewal application, shall be called an "original application."

**Applications of Students Receiving "Dependency Overrides"**

Under section 480(d)(7) of the HEA, a financial aid administrator (FAA) may determine that a student qualifies as an "independent student" as a result of unusual circumstances even though the student does not qualify as an independent student under the other

criteria in section 480(d). This determination, using what is known as "professional judgment," results in a "dependency override." A student or institution must report a dependency override to the central processor for purposes of the Federal Pell Grant Program.

The manner in which a student reports a dependency override to the central processor depends on whether the institution the student is attending participates in EDE. If the institution does not participate in EDE, the student reports the dependency override on a paper application, either an original or renewal application, or on the SAR that he or she received. In either case, the FAA codes the application or the SAR with his or her approval of the override and signs the document.

If the student attends an institution that participates in EDE, the student may report the dependency override to the central processor as indicated above.

In addition, the institution may report the override by encoding the changes in the student's electronic application information and then transmitting the changes to the central processor.

### III. Other Documents—Table II

Once a student has filed his or her original application, the student may have to change some information. In some cases, the processor receiving the original application may request additional information. In other cases, the student may request the processor to consider additional or alternative information.

Table II of this notice lists the addresses to which additional forms and information must be sent and the deadline dates for the receipt of those forms and information.

#### A. Correction Application

Correction applications are required only if two or more students initially apply for Federal aid using the same social security number. One or more of the students using that SSN must submit a Correction Application as determined by the Department on a case-by-case basis. The reporting student or students must include on the Correction Application all the information necessary to process that application.

A paper Correction Application may be obtained by calling the Department's Correction Application Coordinator at (202) 260-9988. The Correction Application must be submitted to the address listed in Table II and received at that address no later than August 1, 1996.

#### B. SAR and ISIR

- **Correction or Confirmation of Information Requested by the Secretary**—If the Secretary returns an SAR to a student for correction or notifies an institution through an ISIR that a student needs to correct application information, the student must correct that information on Part 2 of his or her SAR or through EDE at his or her institution. The student must submit a corrected SAR to the appropriate address listed in Table II, and that corrected SAR must be received at the appropriate address no later than August 1, 1996. If the student attends an institution that participates in EDE, the corrected application information may be transmitted electronically to the central processor. That information must be received by the central processor prior to midnight (Central Daylight Savings Time) on August 1, 1996.

If the Secretary returns an SAR to a student for confirmation of certain data items included on the application or notifies an institution through an ISIR that a student needs to confirm application information, the student must confirm the information. The student confirms the information on the SAR or ISIR and returns the SAR in the same manner as described for required corrections, or the student's institution transmits the ISIR's corrected application information to the central processor. This request for confirmation of application information is separate and apart from the verification requirements contained in 34 CFR part 668, Subpart E.

- **Correction of Inaccurate Information**—If an SAR or an ISIR reflects information that was inaccurate when the application was signed, the student must correct that information on Part 2 of his or her SAR and send Part 2 of his or her SAR to the appropriate address listed in Table II or have the institution submit the change electronically. Part 2 of the student's SAR must be received at the appropriate address no later than August 1, 1996.

If the student attends an institution that participates in EDE, the corrected information may be transmitted electronically to the central processor. That corrected information must be received by the central processor prior to midnight (Central Daylight Savings Time) on August 1, 1996.

- **Request for Duplicate SAR**—If a student wishes to receive a duplicate SAR, the student may write to the appropriate processor's address listed in Table II or call the appropriate processor's telephone number listed in Table II. All written and telephone requests must be received no later than August 1, 1996. Individuals at the processors listed in Table II are not authorized to accept hand-delivered documents.

#### C. Deadline for Receipt of a Valid SAR or Valid ISIR

Although corrections and requests for a duplicate SAR will be processed through August 1, 1996, this deadline date does not extend the deadline date by which the institution must receive a student's valid SAR or valid ISIR with an EFC that permits the student to receive a Federal Pell Grant. If, by his or her last date of enrollment or July 1, 1996, whichever is earlier, the student does not submit a valid SAR to the institution or the institution does not receive the student's valid ISIR, he or she will be ineligible for a Federal Pell Grant award for the 1995-96 award year.

#### IV. Verification Procedures and Deadline Dates under 34 CFR Part 668, Subpart E

The information provided on an application and included on an SAR or ISIR may be subject to verification under verification procedures contained in 34 CFR part 668, Subpart E. In such a case, in order to receive a Federal Pell Grant award for the 1995-96 award year, the student—and his or her parents, if applicable—must submit the necessary verification documents in accordance with the following procedures and by the deadline dates specified below. These dates do not conflict with or supersede the deadline dates specified in Table II of this notice.

##### A. Verification of Information on Application

If a student is selected to have the information on his or her application verified under the verification procedures set forth in Subpart E of the Student Assistance General Provisions regulations (34 CFR part 668, Subpart E), he or she must submit the requested documents to his or her institution as specified below. The deadline date for the completion of these steps is the earlier of (a) within 60 days after the student's last date of enrollment; or (b) August 30, 1996. A student who will still be enrolled in a course of study in the 1995-96 award year after August 30, 1996, must submit the requested documents by August 30, 1996. (Documents that are hand-delivered must be received by the institution within 60 days after the student's last date of enrollment or on August 30, 1996, whichever is earlier. Documents sent by mail must be postmarked or demonstrate other comparable proof of mailing within 60 days after the student's last date of enrollment or on August 30, 1996, whichever is earlier.)

The verification process is complete when the student:

- (1) Submits all requested verification documents to his or her institution; and
- (2) If corrections must be submitted to the central processor—

- (i) Makes all necessary corrections using (a) Part 2 of the SAR, (b) an ISIR, or (c) a Correction Application;

- (ii) Either (a) signs the corrected Part 2 of the SAR or completes and signs a paper Correction Application and submits it to the appropriate address indicated in Table II so that the addressee receives either form prior to midnight (Central Daylight Savings Time) on August 1, 1996; or (b) signs and submits the necessary documentation for a corrected ISIR to the institution so that the institution can

transmit the data to the central processor (for those institutions participating in EDE) prior to midnight (Central Daylight Savings Time) on August 1, 1996; and

(iii) By August 30, 1996, submits to the institution the corrected and

reprocessed SAR (alternatively, the institution receives the student's corrected ISIR from the central processor). (34 CFR 668.60)

*B. Application Forms and Information*

Student aid application forms and information brochures may be obtained

at an institution's financial aid office, at an Educational Opportunity Center, or by writing or calling the Federal Student Aid Information Center, P.O. Box 84, Washington, DC 20044. Telephone: 1-800-4-FED-AID (1-800-433-3243)

TABLE II.—DEADLINE DATE FOR RECEIPT OF ORIGINAL APPLICATION FORMS FOR DETERMINING EXPECTED FAMILY CONTRIBUTIONS: MAY 1, 1996. DEADLINE DATE FOR RECEIPT OF CORRECTION APPLICATION FORMS AND OTHER DOCUMENTS: AUGUST 1, 1996

Type of form	For information about	Contacts
Free Application for Federal Student Aid (FAFSA) printed and distributed by ED.	English/Spanish Application request .....	Federal Student Aid Information Center Box 84, Washington, DC 20044, (800) 4 FED AID, TTY (800) 730-8913.
	Correction Application request .....	(202) 260-9988.
	English Application submission .....	Federal Student Aid Programs, P.O. Box 4032, Iowa City, IA 52243-4032.
	Renewal Application submission .....	Federal Student Aid Programs, P.O. Box 4051, Iowa City, IA 52243-4051.
	Spanish Application submission .....	Federal Student Aid Programs, P.O. Box 4039, Iowa City, IA 52243-4039.
	Correction Application submission .....	Federal Student Aid Programs, P.O. Box 1002, Iowa City, IA 52243-1002.
	SAR corrections .....	Federal Student Aid Programs, P.O. Box 4037, Iowa City, IA 52243-4037.
	Duplicate requests/address changes .....	Federal Student Aid Programs, P.O. Box 4038, Iowa City, IA 52243-4038.
FAFSA Express .....	All other correspondence inquiries .....	Federal Student Aid Information Center, P.O. Box 84, Washington, DC 20044, (800) 4 FED AID, TTY (800) 730-8913. (800) 801-0576.
Federal Electronic Application or Renewal Application of the Electronic Data Exchange.	To request copies, obtain technical assistance, or perform status checks.	
	Application or Renewal Application request, electronic corrections, electronic duplicate requests, and other inquiries.	Contact institution's financial aid office to find out if it participates in the electronic application of EDE. Electronically submitted by the institution to the central processor via General Electronic Support computer network or Title IV Wide Area Network.
Free Application for Federal Student Aid (printed, distributed, and processed by ACT).	Diskette and tape submission .....	National Computer Systems—Electronic Application, Box 30, Iowa City, IA 52244, (319) 339-6642.
	Application request .....	American College Testing, P.O. Box 1002, Iowa City, IA 52243-1002.
	Application submission .....	Federal Student Aid Programs, P.O. Box 4005, Iowa City, IA 52243-4005.
	Renewal Application submission .....	Federal Student Aid Programs, P.O. Box 4027, Iowa City, IA 52243-4027.
	SAR corrections .....	Federal Student Aid Programs, P.O. Box 4025, Iowa City, IA 52243-4025.
Free Application for Federal Student Aid (printed, distributed, and processed by CSS).	Duplicate request and address changes .....	Federal Student Aid Programs, P.O. Box 4021, Iowa City, IA 52243-4021.
	Application request and other inquiries .....	College Scholarship Service, P.O. Box 6327, Princeton, NJ 08541-6327, (609) 771-7725, TDD (609) 883-7051.
	Application submission .....	Federal Student Aid Programs, P.O. Box 7320, London, KY, 40742-7320.
	Renewal Application submission .....	Federal Student Aid Programs, P.O. Box 7321, London, KY 40742-7321.
	SAR corrections .....	Federal Student Aid Programs, P.O. Box 7322, London, KY 40742-7322.
Free Application for Federal Student Aid (printed, distributed, and processed by PHEAA).	Duplicate request and address changes .....	Federal Student Aid Programs, P.O. Box 7323, London, KY 40742-7323.
	Application request and other inquiries .....	Pennsylvania Higher Education Assistance Agency (PHEAA), Grants Division, 1200 North 7th Street, Harrisburg, PA 17102, (800) 692-7435 (PA only), (717) 257-2800 (out of state).
	Application submission .....	Federal Student Aid Programs, P.O. Box 8179, Harrisburg, PA 17105-8179.
	Renewal Application submission .....	Federal Student Aid Programs, P.O. Box 8178, Harrisburg, PA 17105-8178.

TABLE II.—DEADLINE DATE FOR RECEIPT OF ORIGINAL APPLICATION FORMS FOR DETERMINING EXPECTED FAMILY CONTRIBUTIONS: MAY 1, 1996. DEADLINE DATE FOR RECEIPT OF CORRECTION APPLICATION FORMS AND OTHER DOCUMENTS: AUGUST 1, 1996—Continued

Type of form	For information about	Contacts
	SAR corrections/ duplicate requests/ address changes.	Federal Student Aid Programs, P.O. Box 8135, Harrisburg, PA 17105-8135.

#### V. Submissions to the Secretary of Institutional Payment Summary and Payment Voucher Data

Each institution that participates in the Federal Pell Grant Program is required by 34 CFR 690.83(b) to submit to the Secretary reports and information in connection with the Federal Pell Grant funds the Department makes available to the institution for payment to students during an award year. One of the reports is the Institutional Payment Summary (IPS). The IPS accompanies an institution's submission of Federal Pell Grant Payment Vouchers and summarizes the information contained on the individual Payment Vouchers. A Payment Voucher is (1) if paper, Part 3 of an SAR, or (2) an electronic or magnetic student payment record. The Secretary provides the IPS to the institution to use at its option.

The institution may also meet this reporting requirement by submitting IPS and Payment Voucher data to the Department on a floppy disk, on a magnetic tape, or by an electronic transmission. These submissions are referred to, respectively, as the Federal Pell Grant Program Floppy Disk Data Exchange, the Federal Pell Grant Program Recipient Data Exchange (RDE), and the Electronic Payments Service under EDE. An institution that wishes to use one of these automated reporting methods must enter into a written agreement with the Department and must agree to (1) comply with the Department's prescribed manner of formatting and presenting the submitted information, (2) restrict access to the records from which the IPS and Payment Voucher data is derived, and (3) ensure that only authorized officials or agents of the institution may enter the data sent in the submission to the Department.

Note: The 1995-96 award year is the last year that the IPS and paper Payment Vouchers are being used. The Department recommends that an institution that has submitted student payment information using only paper Payment Vouchers begin in the 1995-96 award year to submit some of its IPS and Payment Voucher data electronically or magnetically in order to acquire experience in the use of these media prior to the time the institution will be required to

report all student payment information using an automated data exchange medium.

The Department credits an institution's Federal Pell Grant account on the basis of accepted Federal Pell Grant payment data submitted through the process described in this notice. Such data must be submitted to the Department in a timely, certified, and acceptable form. A submission is *timely* if received by the Department by the applicable deadline prescribed in Table III in Part V.C. of this notice and in Part V.D. of this notice; certified if its accuracy is attested to by the institution in the manner described in Part V.E. of this notice; and acceptable if submitted in accordance with the directions provided by the Department for the particular medium of submission used by the institution.

Failure to meet these reporting requirements may result in administrative action by the Department under Subpart G of 34 CFR part 668 under which the Department may fine the institution or limit or terminate its participation in the Federal Pell Grant Program. In addition, failure to report accurately a student's award amount by the reporting deadline may render the institution liable for all or part of a student's Federal Pell Grant payment without the student being liable for such payment.

#### A. Data To Be Submitted

In each submission, the institution must supply:

(1) The summary data in Section II of the IPS or the equivalent under the applicable automated data exchange, including the number and amount of the Federal Pell Grant payments in the submission and the institution's total payments to all Federal Pell Grant recipients for the award year up to the date of the submission; and

(2) Payment Voucher data as defined by the Secretary, that identify—

(i) Any new Federal Pell Grant recipients identified by the institution during the reporting period for which the IPS data are submitted; or

(ii) Any change in enrollment status, cost of attendance, or other event that occurred during either the reporting period for which the IPS data are

submitted or the reporting period immediately preceding that reporting period, if that event causes a change in the amount of the Federal Pell Grant that a student has received or qualifies to receive for the award year.

The institution may submit IPS data without Payment Voucher data if (1) the institution had no Federal Pell Grant recipients in attendance or made no new Federal Pell Grant awards during the reporting period for which the IPS data are submitted and (2) did not identify any changes to the awards of previously reported recipients during the reporting period immediately preceding the period for which the IPS is submitted. If an RDE institution exercises this option, it must submit a paper IPS. If an institution that submits recipient data via a floppy disk or electronic transmission exercises this option, it may use its usual submission medium or the paper IPS. [Approved by the Office of Management and Budget under OMB Control Numbers 1840-0132 (SAR) and 1840-0540 (IPS)]

#### B. Addresses for Delivery

The institution must submit the IPS and Payment Voucher data as follows:

Regular mail	Courier service
U.S. Department of Education, Application and Pell Processing Systems Division, PSS, P.O. Box 10800, Herndon, Virginia 22070-7009.	U.S. Department of Education, Application and Pell Processing Systems Division, PSS, c/o PRC, Inc., Attn: G-T01 PGRFMS/DMS 12001 Sunrise Valley Drive, Reston, Virginia 22091-3423.

#### Electronic Transmission

If the institution participates in the EDE Electronic Payment service, the institution electronically transmits the IPS and Payment Voucher data to the central processor.

#### C. Frequency and Schedules for IPS Submissions

Except as provided in Part IV.D. of this notice, an institution must make a submission of IPS and Payment Voucher data at least once *during* each of the

reporting periods established in Table III. An institution may make submissions more frequently, up to but not exceeding 60 times during the entire reporting cycle (July 1, 1995 through September 30, 1996).

For purposes of complying with the reporting requirements of Part V.A. of this notice, an institution must ensure that the IPS and Payment Voucher data are received by the Department no later than the applicable closing date for each reporting period as specified in the table below. Proof of mailing, such as a date on a U.S. Postal Service postmark, is not considered confirmation of receipt by the Department. If an institution submits its IPS and Payment Voucher data electronically, the transmission must be received at the Department's central processor prior to midnight (Central Time) of the applicable closing date for the reporting periods indicated in Table III. For the 1995-96 award year, the closing dates for reporting periods to report IPS submissions have been combined. This change allows all institutions to follow the same reporting schedule when submitting their IPS and Payment Voucher data regardless of their Federal Pell Grant authorization level.

TABLE III.—CLOSING DATES FOR REPORTING PERIODS

Reporting periods	Closing date for receipt
July 1, 1995 through Oct. 15, 1995.	Oct. 15, 1995.
Oct. 16, 1995 through Dec. 15, 1995.	Dec. 15, 1995.
Dec. 16, 1995 through Feb. 15, 1996.	Feb. 15, 1996.
Feb. 16, 1996 through Apr. 15, 1996.	Apr. 15, 1996.
Apr. 16, 1996 through June 15, 1996.	June 15, 1996.
June 16, 1996 through Aug. 15, 1996.	Aug. 15, 1996.

If any closing date for receipt falls on a Saturday, Sunday, or Federal holiday, submissions received on the next Federal business day will be considered as received on time.

Note: Institutions will not be penalized for not meeting the reporting periods before the publication of this notice.

#### *D. Reporting Downward Adjustments of Previously Submitted Student Payment Information*

This notice contains a new reporting requirement relating to downward adjustments of previously submitted student payment information. Under this new requirement, an institution must submit revised payment data to

the Department for a student within 30 calendar days of becoming aware that the previously reported payments or expected payments for that student exceed the amount that the student is actually receiving at the institution for the 1995-96 award year. These submissions of downward adjustments may be combined on a single IPS and Payment Voucher data submission with other data submissions.

For example, a student initially enrolls for the winter quarter at an institution and indicates that he or she will be attending the institution in the spring quarter. The institution submits its IPS and the student's Payment Voucher data reporting a winter payment of one-third the student's Scheduled Award and an expected spring payment of another one-third of the student's Scheduled Award. The student does not enroll for the spring quarter. The institution, therefore, must submit the student's Payment Voucher data reducing the expected spring payment to zero dollars within 30 calendar days of becoming aware of the student's failure to enroll for the spring quarter.

An institution must ensure that the IPS and accompanying Payment Voucher data are received by the Department no later than the 30-calendar-day deadline in accordance with the same procedures in Part V.C. of this notice for meeting the deadlines for IPS submissions in Table III, including being able to show proof of mailing or meeting the deadline for transmission, if data are submitted electronically.

Note: The first time an institution is required to report such a downward adjustment is not earlier than 30 days after the publication of this notice.

#### *E. Certification of Accuracy*

Institutions participating in the Federal Pell Grant Program must certify the accuracy of the data with each data submission. An institution submitting a paper IPS certifies the accuracy of the data by including on the form an original signature by the official of the institution accountable for the accuracy of the data submitted. In the case of an institution submitting data by magnetic tape, the institution signs the tape transmittal form assuring the accuracy of the data. An institution submitting an IPS by floppy disk or electronic transmission certifies the accuracy of the data by including in that submission a code or signature flag prescribed by the Department for that certification. By including the prescribed code or signature flag, an institution certifies that the *submitted data* have been

provided from a file or record to which only officials with appropriate security clearance have access and that the data contained in the submission are accurate.

#### *VI. Annual Deadline for Submission of Payment Voucher Data and Requests for Adjustments of Federal Pell Grant Accounts*

An institution obtains an adjustment to its Federal Pell Grant account, and the amount of Federal Pell Grant funds for which it is accountable, by submitting supporting Payment Voucher data under the procedures described in this notice and the reporting system described in the regulations. An institution is required by 34 CFR 690.83(a) to submit all Payment Voucher data for an award year by a specified date following that award year; for the 1995-96 award year, that date is September 30, 1996. An institution, therefore, must submit any Payment Voucher data not previously submitted during the required reporting periods established in this notice by September 30, 1996, to receive an adjustment to its Federal Pell Grant account on the basis of these Payment Voucher data.

Except as provided in Part VI.B. of this notice, after September 30, 1996, the Secretary closes the institution's Federal Pell Grant account for the 1995-96 award year. The institution's account is closed on the basis of the information reported by the institution in its accepted IPS and Payment Voucher data submissions through September 30, 1996, and the data reported on the Federal Cash Transaction Report (ED/PMS 272A). The final IPS and Payment Voucher data submitted by the institution must accurately report the institution's total payments to all Federal Pell Grant recipients for the 1995-96 award year.

#### *A. Timely Delivery for Final Submissions of Payment Voucher Data and Requests for Adjustments of Federal Pell Grant Accounts: Proof of Delivery*

The Department may require an institution to prove that it mailed or otherwise submitted its IPS and Payment Voucher data by the September 30, 1996 deadline date. The Department accepts as proof, if the documents were submitted by mail or by non-U.S. Postal Service courier, one of the following:

- (1) A legible mail receipt with the date of mailing stamped by the U.S. Postal Service.
- (2) A legibly-dated U.S. Postal Service postmark.

[Note: The U.S. Postal Service does not uniformly provide a dated postmark.

Before relying on this method of proof of mailing, an institution should check with the post office at which it mails its submission. An institution is strongly encouraged to use First Class Mail.]

(3) A dated shipping label, invoice, or receipt from a commercial courier.

(4) Other proof of mailing or delivery acceptable to the Secretary.

The Department accepts hand deliveries at the address stated in Part IV.B. between 8 a.m. and 4:30 p.m. Eastern Time on days other than Saturday, Sunday, or Federal holidays.

An institution that transmits its IPS and Payment Voucher data information via the EDE Electronic Payments service must ensure that its transmission is completed before midnight (local time at the institution's EDE destination point) on September 30, 1996.

#### *B. Postdeadline Adjustments to Federal Pell Grant Accounts*

In accordance with § 690.83(a), § 690.83(c), and § 690.83(e), the Secretary permits a post-September 30, 1996 adjustment to the Federal Pell Grant account of an institution for the 1995-96 award year under the following circumstances:

(1) *Underpayment of previously reported awards* An institution may receive a payment or credit for the full amount of an award made to a student if—

(i) The institution submitted in a timely manner Payment Voucher data for a student in accordance with the requirements of this notice and § 690.83(a);

(ii) The institution did not submit in a timely manner or in an acceptable form Payment Voucher data necessary to document the full amount of the award for which that student was eligible;

(iii) The underpayment for that award is or would be at least \$100; and

(iv) A program review or an audit report produced in accordance with the standards prescribed in 34 CFR 668.23(c) demonstrates to the satisfaction of the Secretary that the student was eligible to receive an amount greater than that reported in the Payment Voucher data submitted in a timely fashion to, and accepted by, the Department.

(2) *Decreasing previously reported awards* An institution must report a reduction in a student's Federal Pell Grant award—

(i) If the institution determines that the student's Federal Pell Grant award amount, as reported on either the Student Payment Summary that the

Department provides to the institution or any subsequent adjustment to the student's award amount on file with the Department, is greater than the amount the student actually received; or

(ii) If the institution determines that a student was not qualified for the amount reported on either the Student Payment Summary or any subsequent adjustment to the student's award amount on file with the Department. The institution should make such a report, however, for an overaward for which it is not liable under § 690.79(a) only if the student received zero funds or has repaid all or a portion of the overaward. If a student is repaying an overaward for which the institution is not liable on an installment plan, the institution must report periodically the amount repaid.

(3) If the institution demonstrates to the Secretary's satisfaction that its failure to submit Payment Voucher data on a timely basis and have them accepted by the Department was caused by a processing or administrative error made by the Department or one of its contractors, or was due to unusual circumstances beyond the control of the institution, the institution may receive payment for the grants associated with that data.

(4) If an institution demonstrates to the satisfaction of the Secretary that the institution has provided Federal Pell Grants but has not received credit or payment for those grants, the institution may receive payment or a reduction in accountability for those grants if, in accordance with § 690.83(e), the institution demonstrates that it qualifies for a credit or payment by means of a finding contained in an audit submitted in accordance with 34 CFR part 668.23(c).

The Secretary adjusts an institution's Federal Pell Grant account for an award year on the basis of student award data submissions made after September 30 following that award year only in these specified circumstances. Thus, if an institution submits Payment Voucher data for the 1995-96 award year to the Department after the September 30, 1996 deadline, the institution does not receive additional Federal Pell Grant funds from the Department unless the institution can demonstrate to the satisfaction of the Secretary that one of the prescribed conditions exists. The institution also is liable for Federal Pell Grant funds that are used to pay grants that are not reported in a timely manner.

If an institution makes Federal Pell Grant overpayments for which it is liable under § 690.79(a) of the Federal

Pell Grant program regulations, the Secretary subtracts from any funds the institution may be entitled to receive under Part VI.B. of this notice the amount of the institution's unpaid liability. If an institution believes that an adjustment is warranted on the basis of the above-described conditions, it should contact the Institutional Financial Management Division at (202) 708-9807.

If the institution seeks administrative relief on the basis of an administrative error by the Department or its contractors, the institution's request must provide a complete description of all relevant facts, including each student's identifying data and full Federal Pell Grant payment history. The request must be received by the Department no later than January 31, 1997. The request must be delivered to: U.S. Department of Education, Institutional Financial Management Division, AFMS, P.O. Box 23791, Washington, DC 20026-0791.

#### *C. Request for Duplicate Payment Vouchers or Related Information*

To request a duplicate Payment Voucher, Processed Payment Voucher, or processed payment data, an institution must contact the Federal Pell Grant Program by fax at (202) 401-0387 or by mail to: U.S. Department of Education, Institutional Financial Management Division, AFMS, P.O. Box 23791, Washington, DC 20026-0791.

To receive a duplicate Payment Voucher, an institution must include with its request a photocopy of either Part 1 or Part 2 of a student's SAR or a photocopy of that student's ISIR. All requests must be received no later than August 31, 1996. Requests after that date will be honored, but untimely receipt of duplicate data may not be used as a basis for requesting upward adjustments under Part IV.B. of this notice.

#### *Applicable Regulations*

The regulations applicable to this program are the Federal Pell Grant Program regulations in 34 CFR part 690 and the Student Assistance General Provisions regulations in 34 CFR part 668.

(Authority: 20 U.S.C. 1070a)

Dated: April 9, 1996.

David A. Longanecker,  
Assistant Secretary for Postsecondary Education.

(Catalog of Federal Domestic Assistance No. 84.063, Federal Pell Grant Program)

[FR Doc. 96-9375 Filed 4-16-96; 8:45 am]

BILLING CODE 4000-01-P