U.S. DEPARTMENT OF EDUCATION

Federal Student Aid

Electronic Cohort Default Rate Appeals (eCDR Appeals)

Loan Servicing Appeal (LSA) User Guide

Version 4.1.0

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DOCUMENT VERSION HISTORY

Version	Release Date	Summary of Changes	Name
(1.0.1)	September 11, 2013	Initial user guide to coincide with the releases in production of LSA functions through the School submitting its Perfected LSA case to FSA. Final Draft for approval.	Federal Student Aid TO-ADG Business Analysis Team
4.0.0	September 15, 2013	Initial user guide for Loan Servicing Appeals functions placed in production on 9/15/2013. Functions cover LSA process from School initiating its case through School submitting its Perfected LSA case to FSA. Approved Final.	Federal Student Aid TO-ADG Business Analysis Team
4.1.0	December 15, 2013	Revisions for functions deployed 12/15/2013. Case processing after the perfected case has been submitted to FSA is now described in Chapters 17 through 20. Conforming changes were also made to Chapters 1.3, 1.4, 16.10, 21.1, and 26 (Appendix B). Chapter 1.4, 2.4, 12.1, 13.2 and 18.1 now note browser compatibility considerations when a ZIP/compressed file has been uploaded. Minor editorial changes were made throughout.	Federal Student Aid TO-ADG Business Analysis Team

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1. ALL USERS: INTRODUCTION

1.1 Overview

Cohort Default Rates

The U.S. Department of Education (the Department) calculates "cohort default rates" for schools that participate in the Federal Family Education Loan (FFEL) Program and the William D. Ford Federal Direct Loan (Direct Loan) Program. This cohort default rate forms an important basis for a school's eligibility to continue participating in the federal student aid programs.

The Department releases cohort default rates twice each year: draft cohort default rates in February and official cohort default rates in September. After receiving their cohort default rates from the Department, schools have an opportunity to challenge their draft cohort default rates and/or appeal their official cohort default rates, based on a number of circumstances.

There are ten types of challenge/appeal processes. Each of these processes involves the exchange of information between the Department and the school that invokes its right to challenge/appeal. Additionally, data managers must in some cases respond to the school's request and/or provide supporting evidence for or against the school's challenge/appeal.

Purpose of the eCDR Appeals Application

The Electronic Cohort Default Rate Appeals (eCDR Appeals) system is a Web-based application that facilitates the exchange of information between parties for four of the challenge/appeal processes:

- Incorrect Data Challenge (IDC)
- Uncorrected Data Adjustments (UDA)
- New Data Adjustments (NDA)
- Loan Servicing Appeals (LSA)

The eCDR Appeals application allows schools to submit these challenges and appeals during the cohort default rate appeal cycle. The application tracks the entire life cycle of each challenge/appeal case from submission to final decision.

Using eCDR Appeals helps cut down on paperwork and speeds up the appeal or challenge process. It also allows for greater protection of personally identifiable information.

Who Uses eCDR Appeals

Three types of organizations use the eCDR Appeals system:

- **Schools**: Institutions that participate in the FFEL and/or Direct Loan programs
- **Data Managers**: Any one of these organizations: the Federal Loan Servicer, guaranty agency, or Federal Student Aid Operations Performance Division (OPD)
- **OPD:** An office within Federal Student Aid, OPD is responsible for case adjudication.

1.2 User Guide Structure

Please read this introductory section before you decide whether you want to:

- Browse this guide online whenever you have questions
- Download it to consult on your local computer
- Print certain key chapters or sections

Purpose and Scope of the LSA User Guide

The *eCDR Appeals LSA User Guide* is designed to guide you (whether you are a school user, data manager, or OPD personnel) through the online, paper-less LSA process used in the eCDR Appeals system. It assumes a basic knowledge of cohort default rates and associated processes. From a technical perspective, this guide also assumes you are familiar with using a computer and web browser to view and interact with web sites.

The *eCDR Appeals LSA User Guide* complements the *Cohort Default Rate Guide*. In the event of any discrepancy between this user guide and the *Cohort Default Rate Guide*, the *Cohort Default Rate Guide* is the authoritative source for regulatory considerations and constraints.

The *Cohort Default Rate Guide* is available online at:
http://www.ifap.ed.gov/DefaultManagement/finalcdrg.html

LSA Workflow

Processing an LSA from beginning to end takes multiple steps. At each step, a different individual or organization must take one or more actions. We will refer to this logical progression of steps and actions as the "LSA Workflow." To mark each phase of the LSA Workflow, the system displays LSA Workflow "Statuses," such as "Servicing Records Requested," "Fee Required" and/or "Clarification Requested." As we will see later, the School, the Data Managers and OPD go back and forth throughout the LSA Workflow to carry out their respective parts of the process. As each user logs in to work on the case and inspects various pages, the LSA Workflow Status displayed helps the user know exactly what organization has completed what steps in the LSA Workflow. A full listing of LSA Workflow Statuses is available at Appendix B: Status Codes.

This LSA User Guide is structured in direct correlation to the LSA Workflow. As a result, considered in its entirety, the LSA User Guide addresses *all* functionality eCDR Appeals has to offer *all* system users, *in the order* in which activities are most likely to occur based on the LSA Workflow.

Since each type of user will effectively need to carry out only a limited number of activities throughout the LSA Workflow, we have modularized the LSA User Guide in such a way that you can easily consult only those sections that pertain to you, based on your user type.

Beyond Chapters 1 and 2, we recommend you focus directly on those chapters and sections of the LSA User Guide that discuss the actions *you* must take in the system. The rest of the LSA User Guide should remain a reference for you to understand the entire electronic LSA process.

Schools Subject to Sanctions and Eligible to File Multiyear LSA Case

When a school is subject to sanctions based on having a cohort default rate ≥ 25% for three years in a row (≥ 30% starting in 2014), the school may be eligible to file an LSA case that requests a review of one or two prior cohort years in addition to the cohort year presently under review. Please refer to the CDR Guide, Chapter 2.5 for details.

Whenever pertinent, LSA User Guide chapters include a section that focuses exclusively on what is unique about a multiyear case, with notes and example screenshots. These sections are typically placed towards the end of a chapter.

Miscellaneous Functions

The LSA User Guide also includes chapters and sections that pertain to utilizing eCDR Appeals access credentials (i.e., a user account), the printing of reports, maintenance of organizational profile and contact information, and other miscellaneous functions not directly related to the LSA Workflow.

Must-Read Information

Please refer to those *Must-Read* sections of this chapter that pertain to you for further details. The *Must-Read* sections provide useful and vital information.

1.3 LSA Workflow Phases

Table 1-1 outlines the phases necessary to participate in eCDR Appeals and complete the LSA Workflow. The organizational actors (School, Data Manager, and OPD) involved in each step are listed.

MAJOR ACTIVITY or LSA WORKFLOW PHASE	ORGANIZATION RESPONSIBLE	LSA USER GUIDE
Destination Point Administrators (DPAs) for Schools and Data Managers get eCDR Appeals access credentials through Federal Student Aid's Access and Identity Management System.	**Data Manager and School**	Refer to the *eCDR Appeals Registration and User Account Guide*
Non-DPA users for Schools and Data Managers obtain eCDR Appeals access credentials through Federal Student Aid's Access and Identity Management System.	**Data Manager and School**	Refer to the *eCDR Appeals Registration and User Account Guide*
OPD establishes the organization profile and basic contact information.	**OPD**	Chapter 3 – OPD: Create or Verify Profile

MAJOR ACTIVITY or LSA WORKFLOW PHASE	ORGANIZATION RESPONSIBLE	LSA USER GUIDE
At the beginning of each CDR cycle, at least one user within each Data Manager organization <u>must</u> access eCDR Appeals to establish or update organization profile and basic contact information.	**Data Manager**	Chapter 4 – Data Manager: Create or Verify Profile
A School that decides to submit an LSA enters the system to establish or update the School's profile and contact information.	**School**	Chapter 5 – School: Create or Verify Profile
A School that decides to submit an LSA enters the system to initiate the LSA process by creating the LSA case file.	**School**	Chapter 6 – School: Initiate a New LSA
OPD loads the Loan Record Detail Report(s) (LRDR) for the school. When warranted, OPD also loads the list of schools under sanction that may be able to file a multiyear LSA case when other conditions apply.	**OPD**	Chapter 7 – OPD: Load Prerequisite Files
School prepares the details of its Request for Servicing Records and uses the system to submit the request to the selected Data Managers.	**School**	Chapter 8 – School: Prepare and Submit the Request for Servicing Records
Data Manager reviews the School's request for servicing records, and takes preliminary steps, when applicable.	**Data Manager**	Chapter 9 – Data Manager: Review Request for Servicing Records
Generate Sample – The Data Manager uses the system to generate a representative sample of borrowers (this is a required step whenever there are 101 or more borrowers in the population for whom servicing records are requested).	**Data Manager**	Chapter 9 – Data Manager: Review Request for Servicing Records
Require Fee – The Data Manager uses the system to notify the School, in the event the Data Manager requires a fee. This is an optional step.	**Data Manager**	Chapter 9 – Data Manager: Review Request for Servicing Records
Change Data Manager – The Data Manager uses the system to direct a request for servicing records to another Data Manager. This step applies only if the DM listed in the LRDR is not the correct loan holder.	**Data Manager**	Chapter 9 – Data Manager: Review Request for Servicing Records

MAJOR ACTIVITY or LSA WORKFLOW PHASE	ORGANIZATION RESPONSIBLE	LSA USER GUIDE
School is notified in the event of a Fee Request. Payments take place outside eCDR Appeals. The school uses the system to view the particulars of the Fee Request, and can use the system to withdraw its request if the school does not intend to pay the required fee.	**School**	Chapter 10 – School: Review and Respond to Fee Request
Data Manager who required a fee uses the system to document fee disposition. This step is applicable whenever a Data Manager required a fee, unless the School has withdrawn its request for servicing records.	**Data Manager**	Chapter 11 – Data Manager: Document Fee Disposition
Data Manager uploads the requested servicing records. Data Manager can also provide servicing information / key servicing actions and dates for individual borrowers (uploading the "DM Spreadsheet" is an optional step). Once the data manager's response is completed, the data manager submits the records and the system notifies the school that the records are ready for review.	**Data Manager**	Chapter 12 – Data Manager: Prepare and Submit Servicing Records
School is notified of the Data Manager's response and uses the system to view the servicing records and information provided by the Data Manager. This is repeated for each Data Manager from whom the school requested servicing records. This chapter also discusses a School reviewing a Data Manager's response to a request for clarification.	**School**	Chapter 13 – School: Review Servicing Records Provided by DM
School may need clarification about the servicing records provided by a Data Manager and uses the system to prepare and transmit this request for clarification. This is an optional step that may be repeated. While this step may be repeated, OPD reserves the ability to put an end to multiple clarification loops.	**School**	Chapter 14 – School: Request Clarification

MAJOR ACTIVITY or LSA WORKFLOW PHASE	ORGANIZATION RESPONSIBLE	LSA USER GUIDE
Data Manager is notified of the School's request for clarification and uses the system to respond to the request and notify the school that the response is available in the system. This step is applicable whenever a school requests clarification. While the step may be repeated, OPD reserves the ability to put an end to multiple clarification loops.	**Data Manager**	Chapter 15 – Data Manager: Respond to Clarification Request
Based on servicing records obtained from Data Managers, the School chooses to prepare, certify and submit a perfected LSA case to OPD, or withdraw its case. In multiyear cases, the school may opt to exclude a year from the perfected case while submitting other years. The chapter describes all these options.	**School**	Chapter 16 – School: Prepare and Submit Perfected LSA Case
After the School submits its Perfected LSA case to OPD, the Data Manager may need to respond to FSA Requests for additional data about the servicing records they provided to the school.	**Data Manager**	Chapter 17 – Data Manager: Role After School Submits Perfected Case
OPD reviews the School's case, may request additional servicing information from the Data Managers, and makes a determination about the LSA Case.	**OPD**	Chapter 18 – OPD: Review and Respond to the LSA Case
School is notified that OPD has decided the case and uses the system to view the details of the OPD decision. School retains read-only access to the entire case.	**School**	Chapter 19 – School: View the OPD Decision and the Closed Case
Data Managers who provided servicing records for the LSA case are notified that OPD has decided the case and use the system to view the details of the OPD decision. Data Managers retain read-only access to the case.	**Data Manager**	Chapter 20 – Data Manager: View the OPD Decision and the Closed Case

Table 1-1: LSA Workflow phases and corresponding LSA User Guide chapters

1.4 Must-Read Information

All users who use the eCDR Appeals system, regardless of organization or role, should read this section. In addition to the "Must-Read Information for All Users" section, which applies to everyone, please be sure to read the following organization-specific section that contains information pertinent to your particular organization.

Must-Read Information for All Users

Registration and User Account

In order to access eCDR Appeals, you must obtain an Access and Identity Management System (AIMS) user ID. Please refer to the *Electronic Cohort Default Rate Appeals Registration and User Account Guide*, which explains how to register and obtain access to eCDR Appeals.

Destination Point Administrators

Some users are designated as a Destination Point Administrator (DPA). The DPA for an organization such as a school, servicer or guaranty agency serves as a Federal Student Aid point of contact within their organization. DPAs are responsible for approving user ID requests from their organization's members to access the eCDR Appeals system. As such, DPAs should familiarize themselves with the appropriate sections of the *Electronic Cohort Default Rate Appeals Registration and User Account Guide*, which outlines the process of registering and approving a new account on eCDR Appeals.

Email Notifications

The eCDR Appeals application is designed to send out automatic email notifications to affected parties whenever updates to LSA cases occur. These email notifications inform the appropriate individuals and organizations that their attention is needed and that they may be required to take an action in the eCDR Appeals system. Email notifications are provided only for your convenience; they should not be relied upon to know when an action is required on your part. Due to the unreliable nature of computer networks (including the Internet), delivery of these email notifications is not guaranteed. It is your responsibility to log in to the eCDR Appeals system on a regular basis throughout the cohort cycle to check the status of your cases, and to ensure that the contact information in your profile is up-to-date.

It is possible that a junk mail filter running on your e-mail program may catch e-mails sent from eCDR Appeals. Check your junk mail folder for messages from Federal Student Aid. To avoid problems, please ensure that any spam filters/programs used by your organization will accept email from the ed.gov domain name.

From: ecdrappeals@ed.gov [mailto:ecdrappeals@ed.gov]
Sent: Wednesday, August 21, 2013 9:35 AM
To: [DM555-contact email address]
Subject: eCDRAppeals: Servicing Records Request for DM Code: 555 has been withdrawn

NOTE: URLs in email are usually displayed as clickable links. If you have any questions about whether an e-mail is legitimate, please DO NOT CLICK on any link. As a safe practice, you may copy the URL and paste it in the address bar of your browser and verify that it matches what is displayed in the email.

Geographic Center University, OPEID: 880016 has withdrawn the loan servicing records request from DM Code: 555 for Case 302826.

The current cycle is:
Cohort Year: 2010
Cycle: 3-year official

Disclaimer:
Please do not respond to this email. It was sent from an unmonitored account.

Figure 1-1 Email notification from eCDR Appeals system

Email notifications may include a link. This link will allow you to go directly to a page, usually a Case Details or DM Servicing Records Request page. You may be prompted to type in your username and password before the page is opened.

File Attachments

During the LSA Workflow process, you may be required to attach supporting documentation to the case. The eCDR Appeals system allows you to attach any type of file; however, we recommend choosing a common file format to ensure that others will be able to open and view the file.

Note: Microsoft Office 2007 and 2010 use a new format that is incompatible with previous versions of Office. However, it still has the ability to save documents in the older format. If you use Office 2007 or later, we still recommend choosing the option to save your document in the Office 97-2003 format.

Common file types include:

- Portable Document Format (PDF)
- MS Excel (XLS)
- MS Word (DOC)
- Rich Text Format (RTF)
- Plain text (TXT)
- Pictures (JPG/PNG/GIF)

You are by no means required to use one of the specific file types listed here. This list only suggests some of the most commonly used file formats. Thus, if you use the above file types, other users in the eCDR Appeals system are more likely to have the appropriate software to view your files. Also, when FSA has a preference for a particular file format, it will be indicated in the applicable chapter.

Note: In the event a ZIP/compressed file is used, please note browser compatibility requirements to access the ZIP file after it is uploaded. The user can only open/save the file when accessing the application with recent browsers (Chrome, Firefox or Internet Explorer 9 (or later)). ZIP files cannot be accessed when using Internet Explorer 8 or earlier versions.

Deadlines and Calculation of Days

The eCDR Appeals system monitors actions throughout the LSA Workflow to ensure that deadlines are respected. The system will prevent a user from taking an action if an applicable deadline has passed. The *Cohort Default Rate Guide* is the authoritative source for a full listing of deadlines applicable to LSA cases.

The countdown toward the 15-day deadline to submit an the LSA Request for Servicing Records begins at 12:01 AM North American Central Time (CT) on the starting day of the cohort cycle.

For the purpose of calculating days within the eCDR Appeals system, the day rolls over at 10:00 PM CT. For instance, if a school’s deadline to submit an LSA were October 1, then they would need to submit it by 10:00 PM CT on October 1.

Must-Read Information for Schools

School Reference

When referring to this user guide, school users only need to peruse the chapters that have titles prefixed with “School” and “All Users”. These chapters consist of instructions specifically for school users. Other chapters (those prefixed with “Data Manager” or “OPD”) do not necessarily apply to school users. You, however, may elect to refer to those other chapters to get an overall understanding of the actions performed by data managers and Federal Student Aid.

The chapters pertinent to schools are:

- Chapter 1, "All Users: Introduction”
- Chapter 2, “All Users: Navigation & Primary LSA Screens”
- Chapter 5, “School: Create or Verify Profile”
- Chapter 6, “School: Initiate a New LSA”
- Chapter 8, “School: Prepare and Submit the Request for Servicing Records”
- Chapter 10, “School: Review and Respond to Fee Request”
- Chapter 13, “School: Review Servicing Records Provided by DM”
- Chapter 14, “School: Request Clarification”
- Chapter 16, “School: Prepare and Submit Perfected LSA Case”
- Chapter 19, “School: View the OPD Decision and the Closed Case ”
- Chapter 21, “All Users: Miscellaneous Functions”
- Chapter 22, “School: Miscellaneous Functions”
- Appendices

School Roles

Your account will be assigned one of two possible eCDR Appeals roles:

- **Case Preparer**: May initiate and prepare a new case.
- **Case Manager**: Has the same abilities as a Case Preparer, plus the ability to submit a case.

Must-Read Information for Data Managers

Data Manager Reference

When referring to this user guide, data managers only need to peruse the chapters that have titles prefixed with “Data Manager” and “All Users”. These chapters consist of instructions specifically for data managers. Other chapters (those prefixed with “School” or “OPD”) do not necessarily apply to data managers. You, however, may elect to refer to those other chapters to get an overall understanding of the actions performed by schools and Federal Student Aid.

The chapters pertinent to data managers are:

- Chapter 1, "All Users: Introduction”
- Chapter 2, “All Users: Navigation & Primary LSA Screens”
- Chapter 4, “Data Manager: Create or Verify Profile”
- Chapter 9, “Data Manager: Review Request for Servicing Records”

- Chapter 11 “Data Manager: Document Fee Disposition”
- Chapter 12, “Data Manager: Prepare and Submit Servicing Records”
- Chapter 15, “Data Manager: Respond to Clarification Request”
- Chapter 17, “Data Manager: Role After School Submits Perfected Case”
- Chapter 20, “Data Manager: View the OPD Decision and the Closed Case”
- Chapter 21, “

- All Users: Miscellaneous Functions”
- Chapter 23, “Data Manager: Miscellaneous Functions”
- Appendices

Data Manager Roles

Your account will be assigned one of two possible eCDR Appeals roles:

- **Response Preparer**: May prepare a response to a request for servicing records.
- **Response Manager**: Has the same abilities as a Data Manager Response Preparer, plus the ability to submit a response.

Must-Read Information for OPD Users

OPD Reference

When referring to this user guide, OPD users only need to peruse the chapters that have titles prefixed with “OPD” and “All Users”. These chapters consist of instructions specifically for Federal Student Aid OPD users. Other chapters (those prefixed with “School” or “Data Manager”) do not necessarily apply to OPD. You, however, may elect to refer to those other chapters to get an overall understanding of the actions performed by schools and data managers.

The chapters pertinent to OPD are:

Chapter 1, "All Users: Introduction”
Chapter 2, “All Users: Navigation & Primary LSA Screens”
Chapter 3, “OPD: Create or Verify Profile”
Chapter 7, “OPD: Load Prerequisite Files”
Chapter 18, “OPD: Review and Respond to the LSA Case”
Chapter 21, “All Users: Miscellaneous Functions”
Chapter 24, “OPD: Miscellaneous Functions”
Appendices

OPD Roles

Your account will be assigned one of three possible eCDR Appeals roles:

Caseworker: May self-assign themselves to a LRDR request, load LRDRs, self-assign themselves to a case, review cases, request more information from data managers, and prepare a final decision.
Case Manager: Has the same abilities as a Caseworker, plus the ability to assign other OPD personnel to a case and submit a final decision.
Administrator: Has the same abilities as a Case Manager, plus the ability to manage cycles.

2. ALL USERS: NAVIGATION & PRIMARY LSA SCREENS

2.1 Login

Federal Student Aid's Access and Identity Management System (AIMS) is utilized to control access to the eCDR Appeals application. In order to log in to eCDR Appeals, you will need an AIMS account. Please refer to the *Electronic Cohort Default Rate Appeals Registration and User Account Guide* for information on obtaining an AIMS account for use with eCDR Appeals.

To log in to the eCDR Appeals system after you have obtained an account, follow these steps:

1. Open the eCDR Appeals URL (https://ecdrappeals.ed.gov/) in a web browser. Introductory information will be displayed, along with a "Login" link.
2. Select the "Login" link. The AIMS login page will be displayed.
3. Enter your AIMS user ID and password.
4. If prompted for two factor authentication, generate and enter the six-digit security code from your token. Select "Validate".
5. If you entered the correct login information and you have the proper authorization, you will be prompted to:
   5.1. Review a Privacy Act Warning. Then "Continue".
   5.2. Review, acknowledge and "Accept" the systems' Rules of Behavior.
   5.3. From time to time, you also will be prompted to complete a short online security training module.
6. Then you will be transferred to the eCDR Appeals application.

2.2 Logout

You must close the browser in order to fully log out of the eCDR Appeals application.

2.3 Menus

Once you are logged in to the eCDR Appeals system, you will be able to navigate to the various sections of the website using the navigation menus. There are two rows of menus provided; the top row is the main menu and the bottom row is the submenu. The options available in the submenu depend on which main menu item is selected. The current selections will be highlighted. See Figure 2-1 for an example of menus (in this example, a School user is viewing their current cases).

Figure 2-1: Navigational menus as seen by a School user

Your navigation menu options will vary depending on what type of access you have. The Data Manager main menu options is the same as the School's, although the details accessed may be different. Also, an OPD user will additionally have the "System Administration" option. Only users that represent multiple organizations have a "Perspective" menu.

Main Menu Item	Purpose
Perspective	Allows you to select which Perspective to use (see section 2.5 for more information on Perspectives – *users representing multiple organizations only*)
Case	Access information on current and past challenges, adjustments and appeals
Reports	Generate reports or view work queues.
System Administration	Manage the cohort cycle, load Loan Record Detail Reports (LRDR) and other prerequisite files, run case statistics *(OPD users only)*
Profile	Maintain your organization and individual contact information
Help	Access the on-line documentation
Logout	Sign out of the eCDR Appeals application

Table 2-1: Menu item descriptions

2.4 Browsers

Navigation

You should refrain from using the browser "Back" and "Forward" buttons while in the eCDR Appeals application. Use the menus. When within a menu area, such as when processing a current case, use the onscreen action buttons that are specific to each case type being processed.

Figure 2-2: Browser Back/Forward Buttons for Chrome, Firefox and Internet Explorer

Compatibility

In the event a ZIP/compressed file is used, please note browser compatibility requirements to access the ZIP file after it is uploaded. The user can only open/save the file when accessing the application with recent browsers (Chrome, Firefox or Internet Explorer 9 (or later)). ZIP files cannot be accessed when using Internet Explorer8 or earlier versions.

2.5 Perspectives

If you are affiliated with multiple organizations that use eCDR Appeals, your account may have access to different Perspectives in eCDR Appeals. A *Perspective* is a way of accessing the eCDR Appeals system through the point of view of a specific organization. If, for instance, a school user participates in cases for two different schools, then they have access to two different Perspectives (one for each school).

If your account has multiple Perspectives, then you will see the Perspective selection page upon login (see Figure 2-3). You must choose a Perspective to use the eCDR Appeals system, and you may only be in one Perspective at a time. However, you may switch to another Perspective at any time by accessing the “Perspective” menu item at the top of the page.

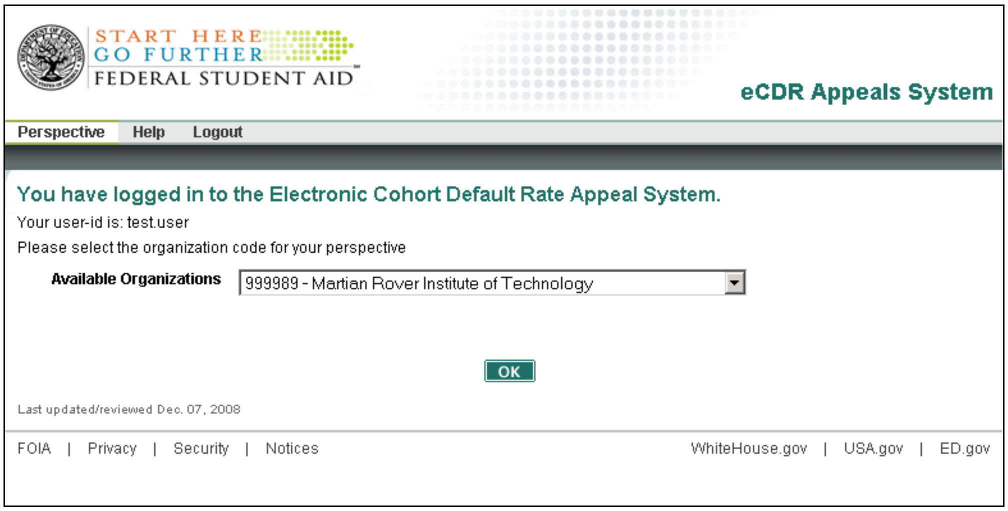


Figure 2-3: Perspective selection screen

2.6 The Primary LSA Screens

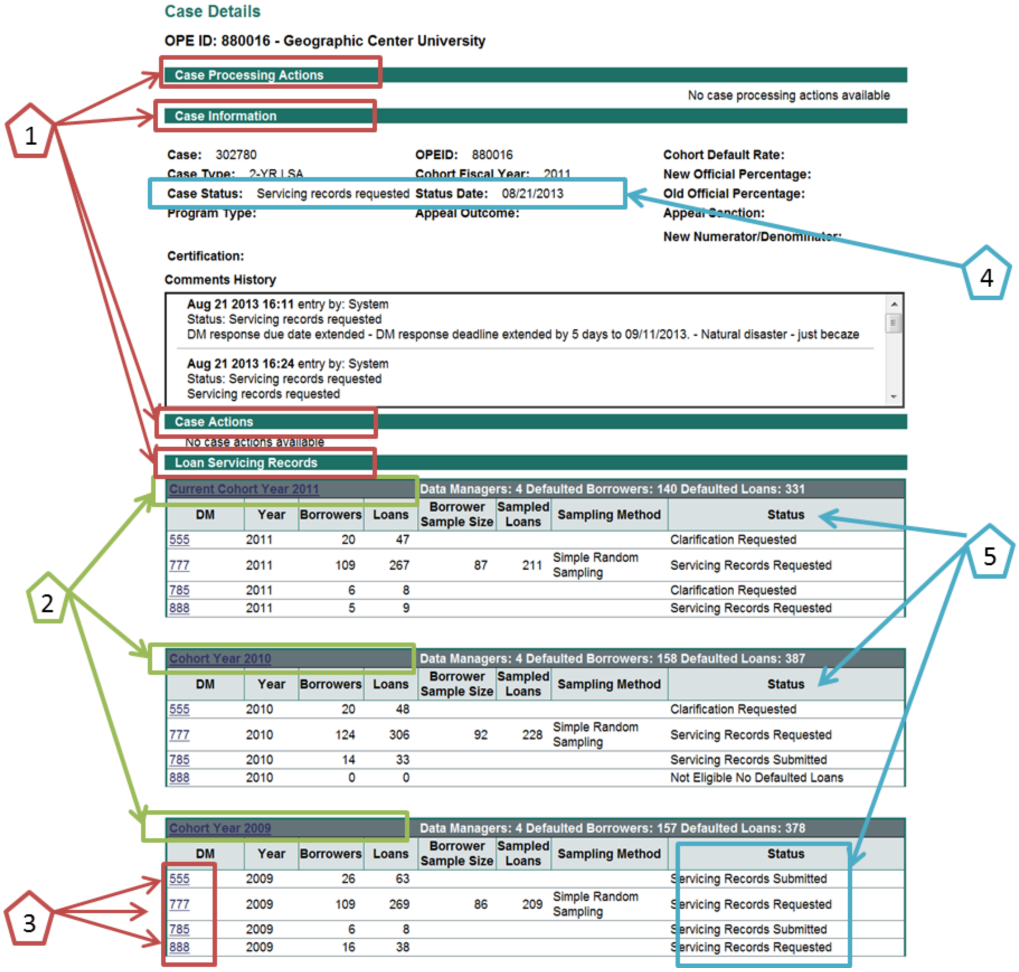
There are three views of particular significance in the Loan Servicing Appeals:

- The LSA Case Details Page,
- The Loan Servicing DM Appeal Details Page, and
- The LSAppeals Details Page.

This section introduces these three views. Each figure is a snapshot of the page for a particular user at a particular point in the LSA Workflow. Subsequent sections of the User Guide will identify additional details pertinent to the activities at hand for the user organization accessing eCDR Appeals pages. Data entry screens, other views and actions available throughout the LSA Workflow will also be introduced in later chapters.

The LSA Case Details Page – aka "The LSA Case Page"

The Case Details page provides a summary of all elements in the case. The amount of details available at different points in the case will vary. In the example shown in Figure 2-4 the school has requested servicing records from four data managers. Being eligible to file a multiyear case, it has asked for records for cohort years 2011, 2010 and 2009.



DM	Year	Borrowers	Loans	Borrower Sample Size	Sampled Loans	Sampling Method	Status
555	2011	20	47				Clarification Requested
777	2011	109	267	87	211	Simple Random Sampling	Servicing Records Requested
785	2011	6	8				Clarification Requested
888	2011	5	9				Servicing Records Requested

DM	Year	Borrowers	Loans	Borrower Sample Size	Sampled Loans	Sampling Method	Status
555	2010	20	48				Clarification Requested
777	2010	124	306	92	228	Simple Random Sampling	Servicing Records Requested
785	2010	14	33				Servicing Records Submitted
888	2010	0	0				Not Eligible No Defaulted Loans

DM	Year	Borrowers	Loans	Borrower Sample Size	Sampled Loans	Sampling Method	Status
555	2009	26	63				Servicing Records Submitted
777	2009	109	269	86	209	Simple Random Sampling	Servicing Records Requested
785	2009	6	8				Servicing Records Submitted
888	2009	16	38				Servicing Records Requested

Figure 2-4: Case Details Page

Figure 2-4 has been annotated to bring your attention to items of interest.

- The multiple sections of the page are marked number 1.
- Links to LSAppeals Details Page(s) (the cohort years in the case) are marked number 2.
- Links to the Loan Servicing DM Appeal Details Page for each DM in the 2009 cohort year table are marked number 3.
- The location of the case status is marked number 4.
- The location of the status of various data manager servicing records requests is marked number 5.

Let us describe the page and annotations.

At the top of the Case Details page, your agency's code (OPE ID) and name are displayed. If you have access to multiple Perspectives, this information will assist in verifying that you are in the correct Perspective.

Multiple Sections (marked #1) – The Case Details page is composed of multiple sections:

- Just below your agency's code and name, the Case Processing Actions section presents "action buttons" that allow you to move the case to the next phase of the LSA Workflow. Different action buttons appear when pertinent at a particular stage in the LSA Workflow.
- Below the case processing actions section, the Case Information section presents basic information about the case. This section is populated by the system, and includes:
  - **Case**: The case ID number, automatically assigned by the eCDR Appeals system.
  - **OPEID**: The OPEID of the institution filing the case (based on the filer's credentials, and the Perspective the School user selected to initiate the case when applicable).
  - **Case Type**: The type of appeal (2-YR LSA, 3-YR LSA)
  - **Cohort Fiscal Year**: The cohort year for which the case is being filed.
  - **Case Status**: The case status indicates which phase the overall case is currently in.
  - **Status Date**: The status date indicates the date of the most recent case status update.
  - **Certification**: Once uploaded by the school while perfecting its case, the document certifying the school's case will be listed here.
  - *The other fields in this section are not presently in use.*
  - **Comments History**: the comments history box displays the full case history, including transitions between various LSA Workflow phases and all case-level comments entered by users. The history is arranged in reverse chronological order, with the most recent status change or comment at the top.

- The Case Actions section of the page is located below the Comments History, and presents action buttons that allow you to make changes to the case. These actions are separate from the LSA Workflow process. When an action becomes available to you, a button will appear in this area.

- Below the case actions section, the Loan Servicing Records section includes a table for each cohort year in the case. There is a row for each Data Manager who holds defaulted loans in the cohort year. Table columns are as follows:
  - Data Manager code
  - Cohort year
  - Number of defaulted borrowers in the LRDR for that DM
  - Number of defaulted loans in the LRDR for that DM
  - Borrower sampling information (applicable only when there are 101 or more defaulted borrowers in the LRDR for that DM – displays after the DM has generated the sample):
    - Borrower sample size (the number of defaulted borrowers in the sample)
    - Sampled loans (the number of defaulted loans in the sample)
    - Sampling methodology
  - Status. This status focuses on a particular Data Manager for a particular year and denotes the status of the Data Manager's servicing records request.

<u>Cohort Year Table Headers</u> (marked #2) – Within the Loan Servicing Records section of the page there is a table for each cohort year in the case. The table header identifies the cohort year the table is about.

Notes: After the School perfects its case, the "School Spreadsheet" document for the year will also display in the header, just below the cohort year (Figure 2-5). Once the School submits its request for servicing records, the cohort year title becomes a clickable link that will take the School or OPD user to the LSAppeals Details Page for each respective cohort year.

Current Cohort Year 2011 Data Managers: 1 Defaulted Borrowers: 5 Defaulted Loans: 9
School Spreadsheet SchoolSpreadsheet_2011.xls

DM	Year	Borrowers	Loans	Borrower Sample Size	Sampled Loans	Sampling Method	Status
888	2011	5	9				Servicing Records Provided - clarifications finished

Figure 2-5: Location Of School Spreadsheet On Case Details Page

<u>Data Managers Links</u> (marked #3 for cohort year 2009) – Within each cohort year table, there is a row for each data manager in the case. The DM code is a clickable link that will take the user to the Loan Servicing DM Appeal Details Page for the applicable cohort year.

<u>Case Status & Status Date</u> (marked #4) – The case status and status date in the Case Information section of the page apply to the case globally. See Section 1.3 – LSA Workflow Phases for more information on LSA phases. See Appendix B: Status Codes, Case Status Codes at page 143 for the meaning of case statuses.

<u>DM Servicing Records Request Status</u> (marked #5) – The status column within the cohort year tables in the Loan Servicing Records section of the page applies to the particular data manager and year where it is listed. See Section 1.3 – LSA Workflow Phases for more information on LSA phases. See Appendix B: Status Codes, DM Servicing Records Request Status Codes at page 144 for details on the meaning of DM Servicing Records Request statuses.

All users have access to the Case Details Page. A Data Manager only sees rows for their own organization. *Note: If an individual represents two or more data manager organizations, and more than one is involved in the school's case, the Data Manager User still sees only one DM Code, and must change Perspective to see and work on another DM Code.*

The Loan Servicing DM Appeals Page – aka "The DM Page"

The Loan Servicing DM Appeals page provides case details for a particular data manager and applicable cohort year in the case. The amount of details available at different points in the case will vary. In the example shown in Figure 2-6: Loan Servicing DM Appeal Details Page, this data manager is viewing the page after receiving a request for servicing records from the school, but before responding.

All users have access to the Loan Servicing DM Appeals page for the DM codes they see on the Case Details page. In other words, while the Data Manager user only accesses Loan Servicing DM Appeals pages for their own DM Code, the School and OPD users can access this page for all Data Managers involved in the case.

Figure 2-6 has been annotated to bring your attention to items of interest:

- The multiple sections of the page are marked number 1.
- The location of the status for this data manager's request is marked number 2.
- Links to loan details about individual borrowers are marked number 3.
- The location of a capability to export the listing of borrowers to an Excel file is marked number 4.

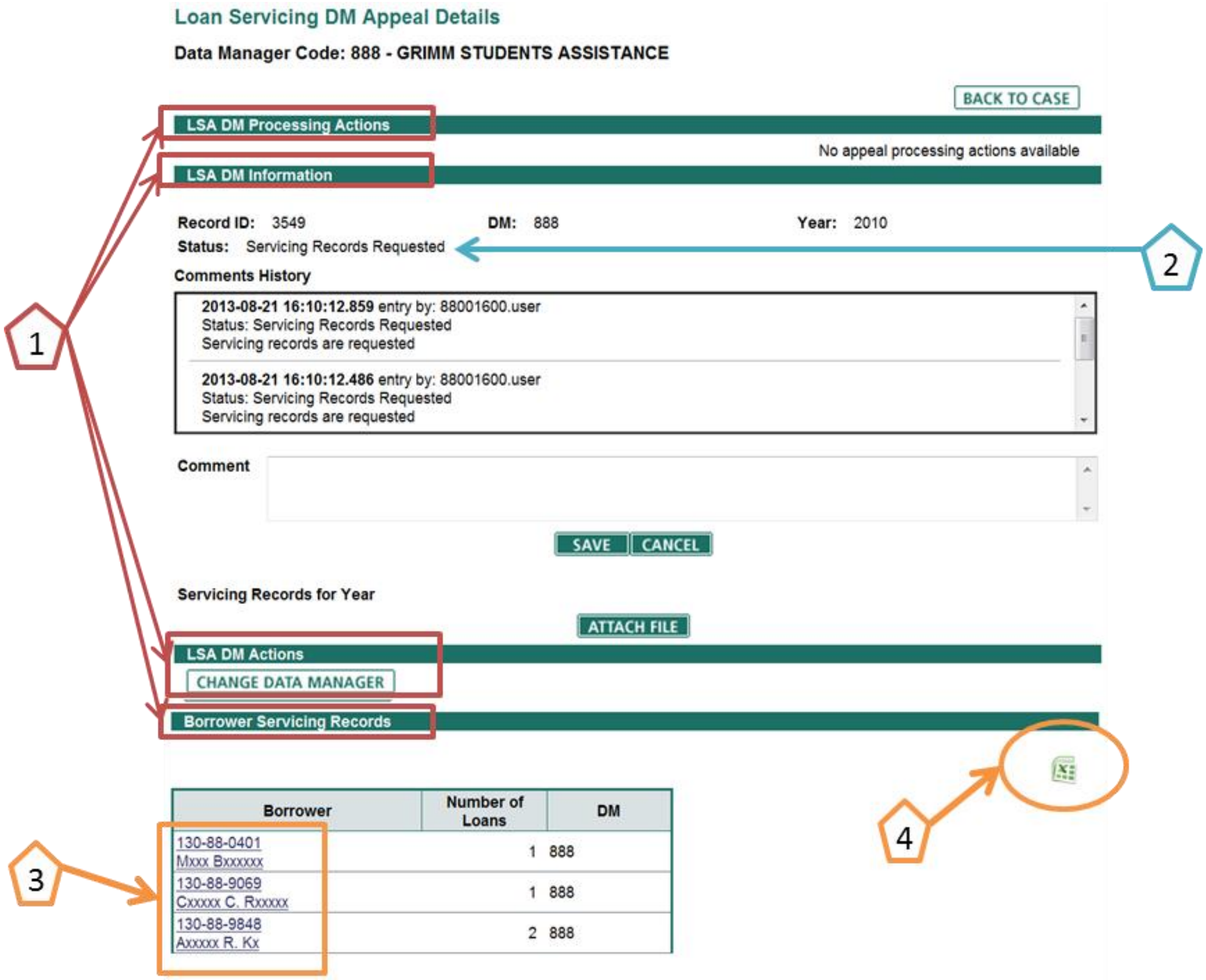


Figure 2-6: Loan Servicing DM Appeal Details Page

Let us describe the page and annotations.

At the top of the Loan Servicing DM Appeals page, your agency's code and name are displayed. If you have access to multiple Perspectives, this information will assist in verifying that you are in the correct Perspective.

Multiple Sections (marked #1) – The Loan Servicing DM Appeals page is composed of multiple sections:

- Just below your agency's code and name, the LSA DM Processing Actions section presents "action buttons" that allow you to move the request for servicing records to the next phase in the LSA Workflow process. Different action buttons appear when pertinent at a particular stage in the LSA Workflow.

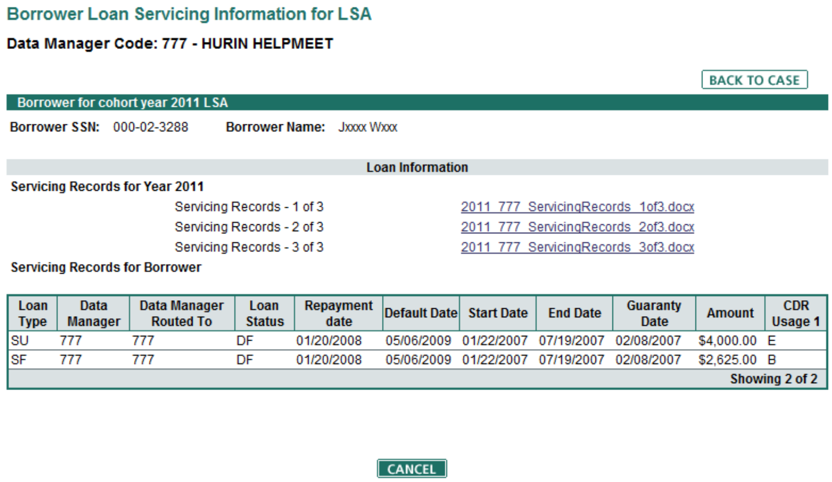
- Below the LSA DM processing actions section, the LSA DM Information section presents basic information about the servicing request to the data manager:
  - Basic information populated by the system about the request for servicing records, including:
    - **Record ID**: A unique ID number, automatically assigned by the eCDR Appeals system.
    - **DM**: The data manager code.
    - **Year**: The cohort year applicable to the DM information.
    - **Status**: The status indicates what phase of processing the data manager servicing records request is currently in.
  - **Comments History**: the comments history box displays the full history of the data manager servicing records request, including transitions between various LSA Workflow phases and all comments entered by users on that page. The history is arranged in reverse chronological order, with the most recent status change or comment at the top.
  - **Servicing Records for the Year**: a subsection where servicing records for the year may be attached and displayed.

- The LSA DM Actions section of the page is located below the Servicing Records for the Year, and presents action buttons that allow you to make changes to the Data Manager Servicing Records Request. These actions are separate from the LSA Workflow process. When an action becomes available to you, a button will appear in this area.

- The remainder of the page is titled Borrower Servicing Records. This section shows a full listing of the borrowers for whom servicing records are requested. The listing includes Borrower ID (SSN/Name), number of defaulted loans held by the DM, and DM code. *Note: this table is not populated until after the school requests servicing records. In the event the data manager has 101 or more defaulted borrowers, the listing of individual borrowers will be displayed once sampling has been applied.*

DM Servicing Records Request Status (marked #2) – The status displayed on this page focuses on the request for servicing records to this particular data manager for the particular cohort year. See Section 1.3 – LSA Workflow Phases for more information on LSA phases. See Appendix B: Status Codes, DM Servicing Records Request Status Codes at page 144 for details on the meaning of DM Servicing Records Request status codes. *Note: the status code that displays here is the same code that displays in the status column of the corresponding row in the applicable cohort year table of the Case Details Page discussed.*

Borrowers Details (marked #3) – After the DM submits servicing records to the school, each Borrower ID in the Borrower Servicing Records section becomes clickable. Selecting an SSN/Name takes the user to the Borrower Loan Servicing Information for LSA page, where the user can view details about the borrower's loans. See Figure 2-7 for an example.



Borrower Loan Servicing Information for LSA

Data Manager Code: 777 - HURIN HELPMEET

BACK TO CASE

Borrower for cohort year 2011 LSA

Borrower SSN: 000-02-3288 Borrower Name: Jxxxx Wxxx

Loan Information

Servicing Records for Year 2011

Servicing Records - 1 of 3 2011_777_ServicingRecords_1of3.docx

Servicing Records - 2 of 3 2011_777_ServicingRecords_2of3.docx

Servicing Records - 3 of 3 2011_777_ServicingRecords_3of3.docx

Servicing Records for Borrower

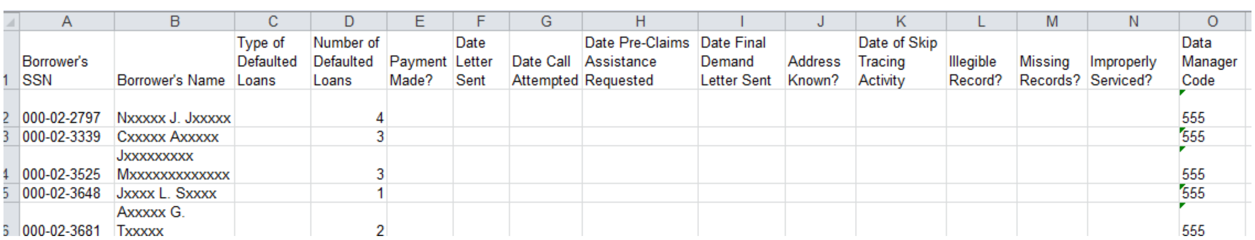
Loan Type	Data Manager	Data Manager Routed To	Loan Status	Repayment date	Default Date	Start Date	End Date	Guaranty Date	Amount	CDR Usage 1
SU	777	777	DF	01/20/2008	05/06/2009	01/22/2007	07/19/2007	02/08/2007	$4,000.00	E
SF	777	777	DF	01/20/2008	05/06/2009	01/22/2007	07/19/2007	02/08/2007	$2,625.00	B

Showing 2 of 2

CANCEL

Figure 2-7: Example Borrower Loan Servicing Information for LSA

<u>Excel Export of Borrowers Listing</u> (marked #4) – In the top right corner of the Borrower Servicing Records section of the page, a little green MS Excel file icon will display. Selecting this icon will generate an export of the listing of borrowers in a layout consistent with what has been named the "DM Spreadsheet" or "School Spreadsheet" in the CDR Guide (Figure 2-8). You can save the document for use outside the system.



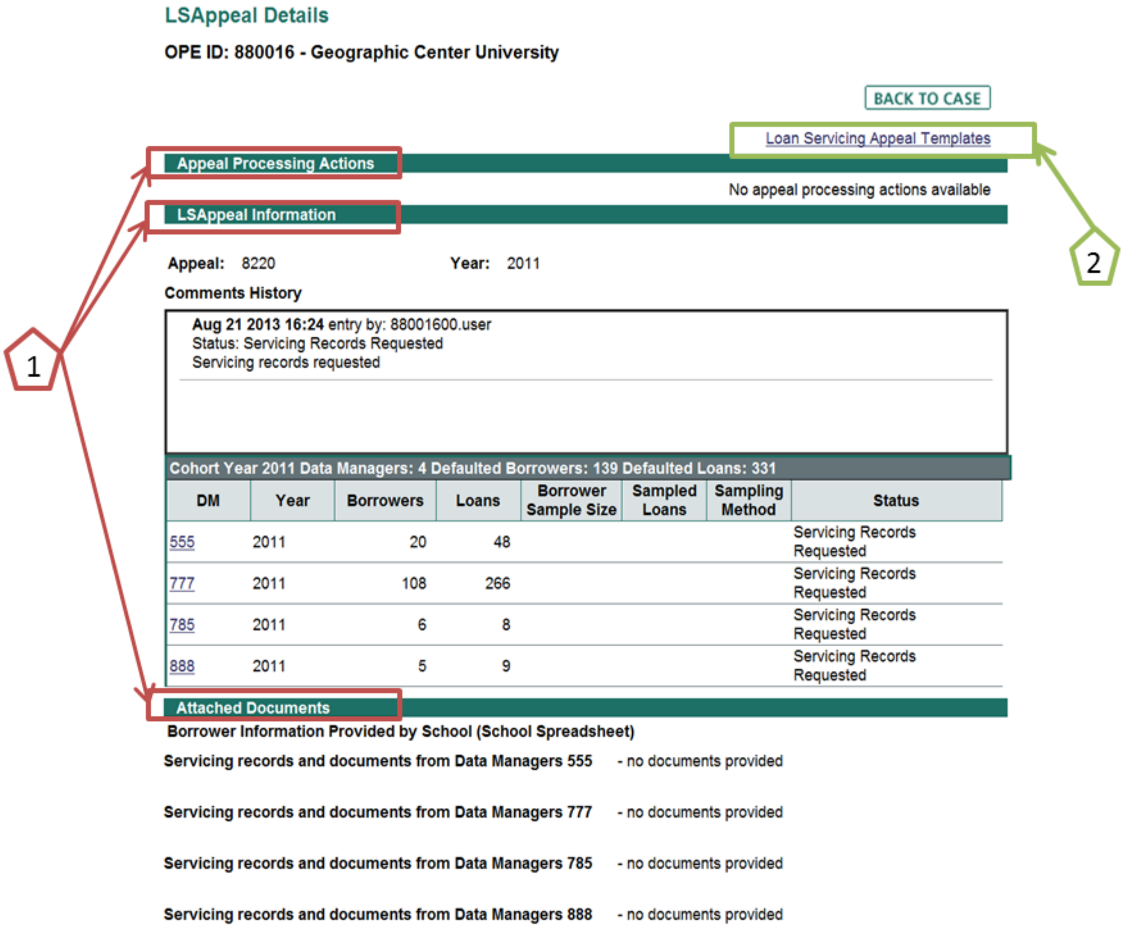
	A	B	C	D	E	F	G	H	I	J	K	L	M	N	O
1	Borrower's SSN	Borrower's Name	Type of Defaulted Loans	Number of Defaulted Loans	Payment Made?	Date Letter Sent	Date Call Attempted	Date Pre-Claims Assistance Requested	Date Final Demand Letter Sent	Address Known?	Date of Skip Tracing Activity	Illegible Record?	Missing Records?	Improperly Serviced?	Data Manager Code
2	000-02-2797	Nxxxxx J. Jxxxxx		4											555
3	000-02-3339	Cxxxxx Axxxxx		3											555
4	000-02-3525	Jxxxxxxxxx Mxxxxxxxxxxxxx		3											555
5	000-02-3648	Jxxxx L. Sxxxx		1											555
6	000-02-3681	Axxxxx G. Txxxxx		2											555

Figure 2-8: Example Excel Spreadsheet Export

The LSAppeals Details Page – aka "The Year Page"

The LSAppeals Details page is only accessible to the School and OPD users. It includes all relevant details for a given cohort year in the case. The amount of details available at different points in the case will vary. In the example shown in Figure 2-9: LSAppeals Details Page, this school has submitted its request for servicing records but data managers have not yet responded.

Note: the LSAppeals Details Page first becomes available after the school has submitted its request for servicing records.



LSAppeal Details

OPE ID: 880016 - Geographic Center University

BACK TO CASE

Loan Servicing Appeal Templates

Appeal Processing Actions

No appeal processing actions available

LSAppeal Information

Appeal: 8220 Year: 2011

Comments History

Aug 21 2013 16:24 entry by: 88001600.user
Status: Servicing Records Requested
Servicing records requested

Cohort Year 2011 Data Managers: 4 Defaulted Borrowers: 139 Defaulted Loans: 331

DM	Year	Borrowers	Loans	Borrower Sample Size	Sampled Loans	Sampling Method	Status
555	2011	20	48				Servicing Records Requested
777	2011	108	266				Servicing Records Requested
785	2011	6	8				Servicing Records Requested
888	2011	5	9				Servicing Records Requested

Attached Documents

Borrower Information Provided by School (School Spreadsheet)

Servicing records and documents from Data Managers 555 - no documents provided

Servicing records and documents from Data Managers 777 - no documents provided

Servicing records and documents from Data Managers 785 - no documents provided

Servicing records and documents from Data Managers 888 - no documents provided

Figure 2-9: LSAppeals Details Page

Figure 2-9 has been annotated to bring your attention to items of interest.

- The multiple sections of the page are marked number 1.
- The location of a link to Loan Servicing Appeal Templates is marked number 2.

Let us describe the page and annotations.

<u>Multiple Sections</u> (marked #1) – The LSAppeal Details page is composed of multiple sections:

- The <u>Appeal Processing Actions</u> section presents "action buttons" when pertinent at a particular stage in the LSA Workflow.

- The LSAppeal Information section presents basic information about the cohort year in the case, including a system-generated Appeal identifier, the cohort year the page pertains to, a year-level Comments History box and the listing in table form of the data managers from whom servicing records have been requested.

- The <u>Attached Documents</u> section includes a subsection for the school's listing of borrowers alleged improperly serviced for the cohort year (the "School Spreadsheet"), and a subsection for each DM involved in the case where servicing records and clarification attachments will be displayed as they become available. *(Note: this is the* *page where the School will upload its listing of borrowers alleged improperly serviced (the "School Spreadsheet") while perfecting its case. The School Spreadsheet for each year in the case will display on this page, as well as on the Case Details page.)*

LSA Templates (marked #2) – Federal Student Aid has published a preferred format for the "DM Spreadsheet" and the "School Spreadsheet". Located in the top right corner of the page, just above the Appeal Processing Actions section, the hyperlink named "Loan Servicing Appeal Templates" takes the user to the OPD website where they can download the template. Visit: http://www.ifap.ed.gov/DefaultManagement/guide/TemplatesSpreadshts.html

3. OPD: CREATE OR VERIFY PROFILE

3.1 Creating a Profile

The first time you log in, you will need to complete your organizational and individual profiles, which consist of contact information. Figure 3-1 shows an example Edit Profile page as seen by Federal Student Aid OPD users. The top section consists of contact information for the organization, while the bottom section consists of your individual contact information. Ensure that all the information is provided and is up-to-date, then select the "Save" button.

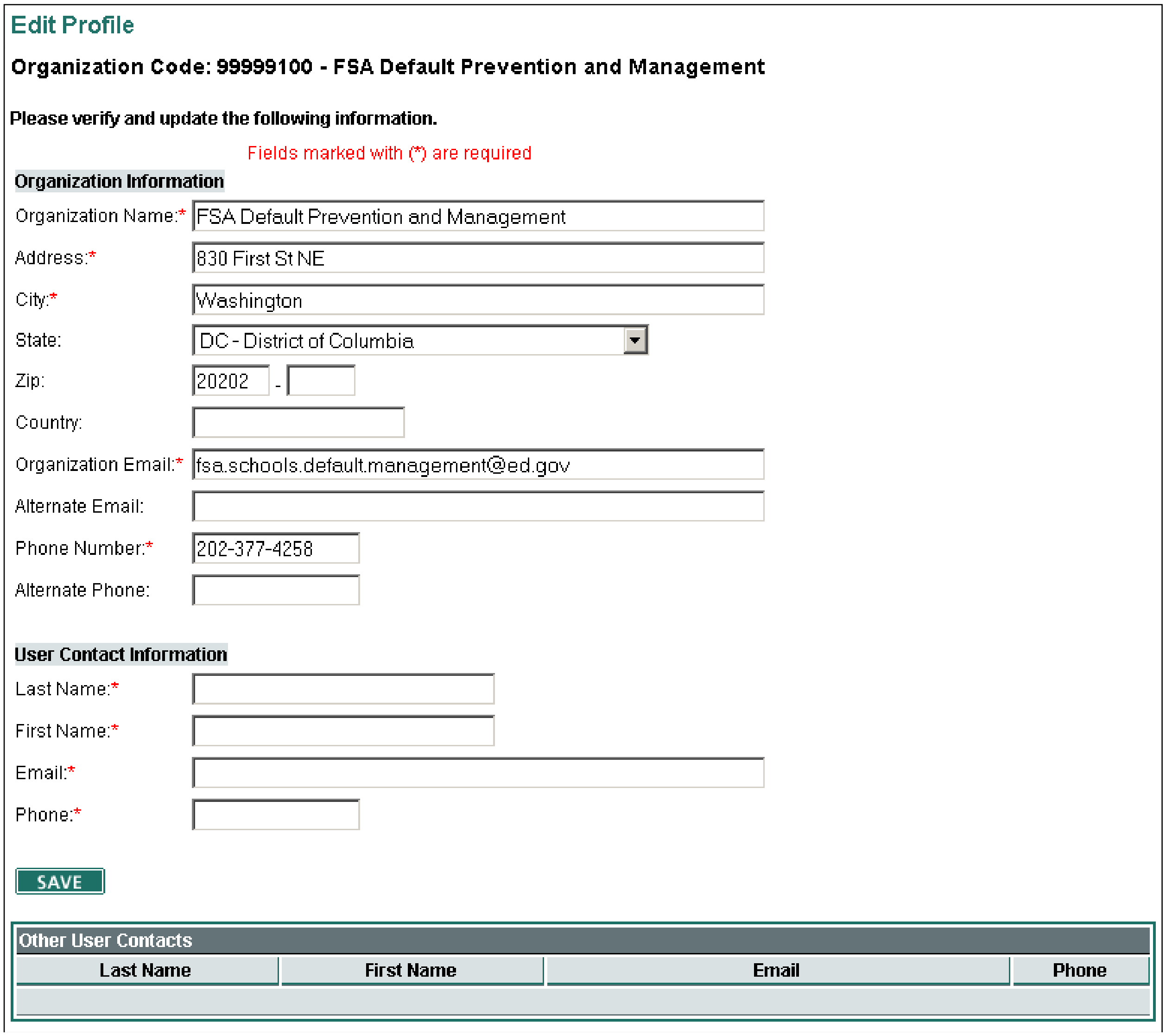


Figure 3-1: OPD Edit Profile page

You will also be able to see other OPD personnel who have registered their profile at the bottom of the Edit Profile page, in the Other User Contacts table.

You may return to the Edit Profile page at any time by accessing the "Profile" navigation menu option.

3.2 Verifying a Profile

If you have already created a profile in the past, it is still imperative to ensure that your profile information is up-to-date. You can verify that your organization and personal contact information is complete and accurate by selecting the "Profile" link on the main menu. This will load the Edit Profile page, where you can review your contact information and make any necessary changes. If you make any changes, click "Save" to store the changes.

4. DATA MANAGER: CREATE OR VERIFY PROFILE

4.1 Creating a Profile

The first time you log in, you will need to complete your organizational and individual profiles, which consist of contact information. Figure 4-1 shows an example Edit Profile page for a Data Manager. The top section consists of contact information for the organization, while the bottom section consists of your individual contact information. Ensure that all the information is provided and is up-to-date, then select the “Save” button.

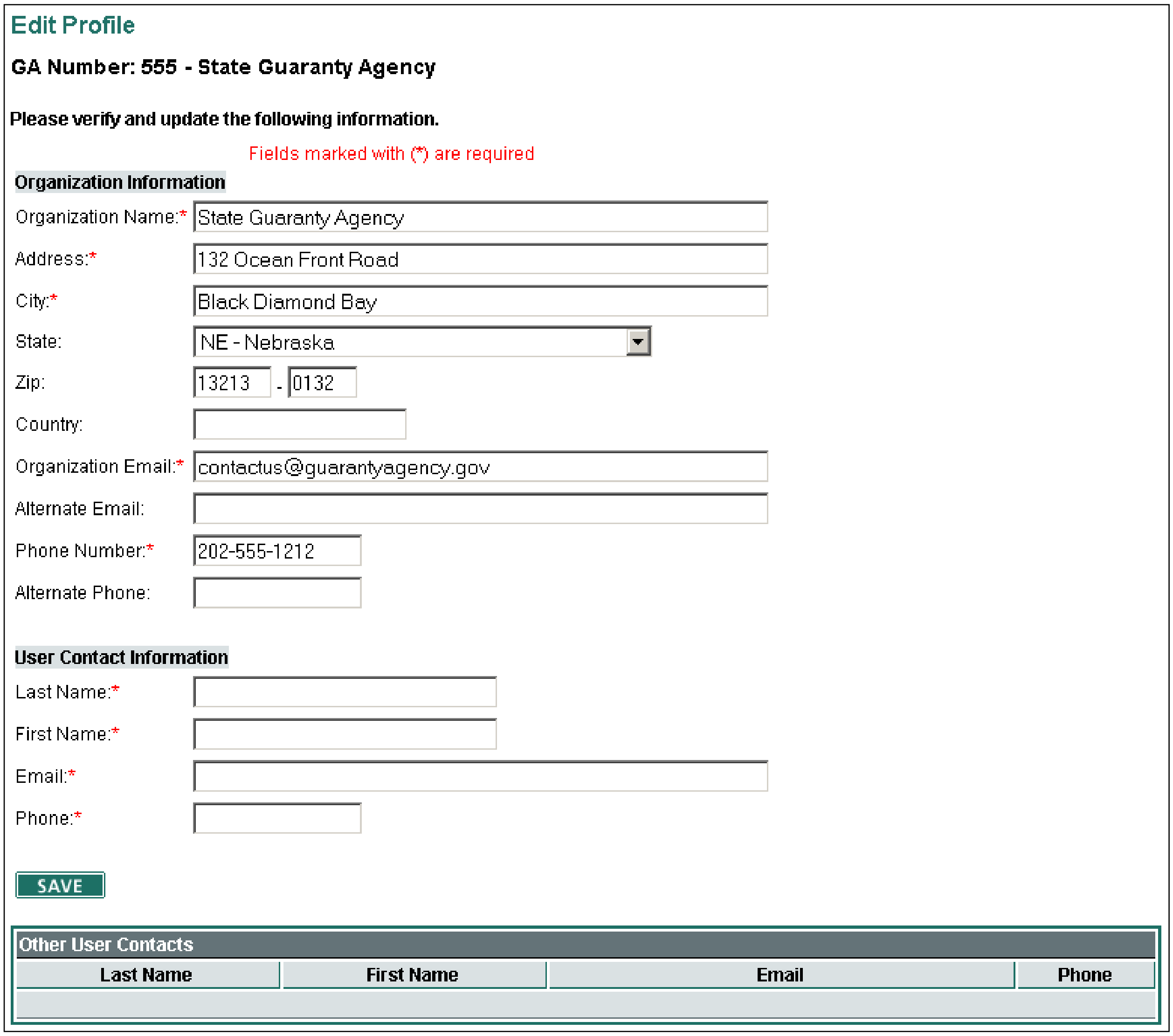


Figure 4-1: Data Manager Edit Profile page

You will also be able to see other contacts that are members of your organization at the bottom of the Edit Profile page, in the Other User Contacts table.

You may return to the Edit Profile page at any time by accessing the “Profile” navigation menu option.

4.2 Verifying a Profile

If you have already created a profile in the past, it is still imperative to ensure that your profile information is up-to-date. You can verify that your organization and personal contact information is complete and accurate by selecting the “Profile” link on the main menu.
This will load the Edit Profile page, where you can review your contact information and make any necessary changes. If you make any changes, click “Save” to store the changes.

5. SCHOOL: CREATE OR VERIFY PROFILE

5.1 Creating a Profile

The first time you log in, you will need to complete your organizational and individual profiles, which consist of contact information. Figure 5-1 shows the Edit Profile page for a School user. The top section consists of contact information for the organization, while the bottom section consists of your individual contact information. Ensure that all the information is provided and is up-to-date, then select the “Save” button.

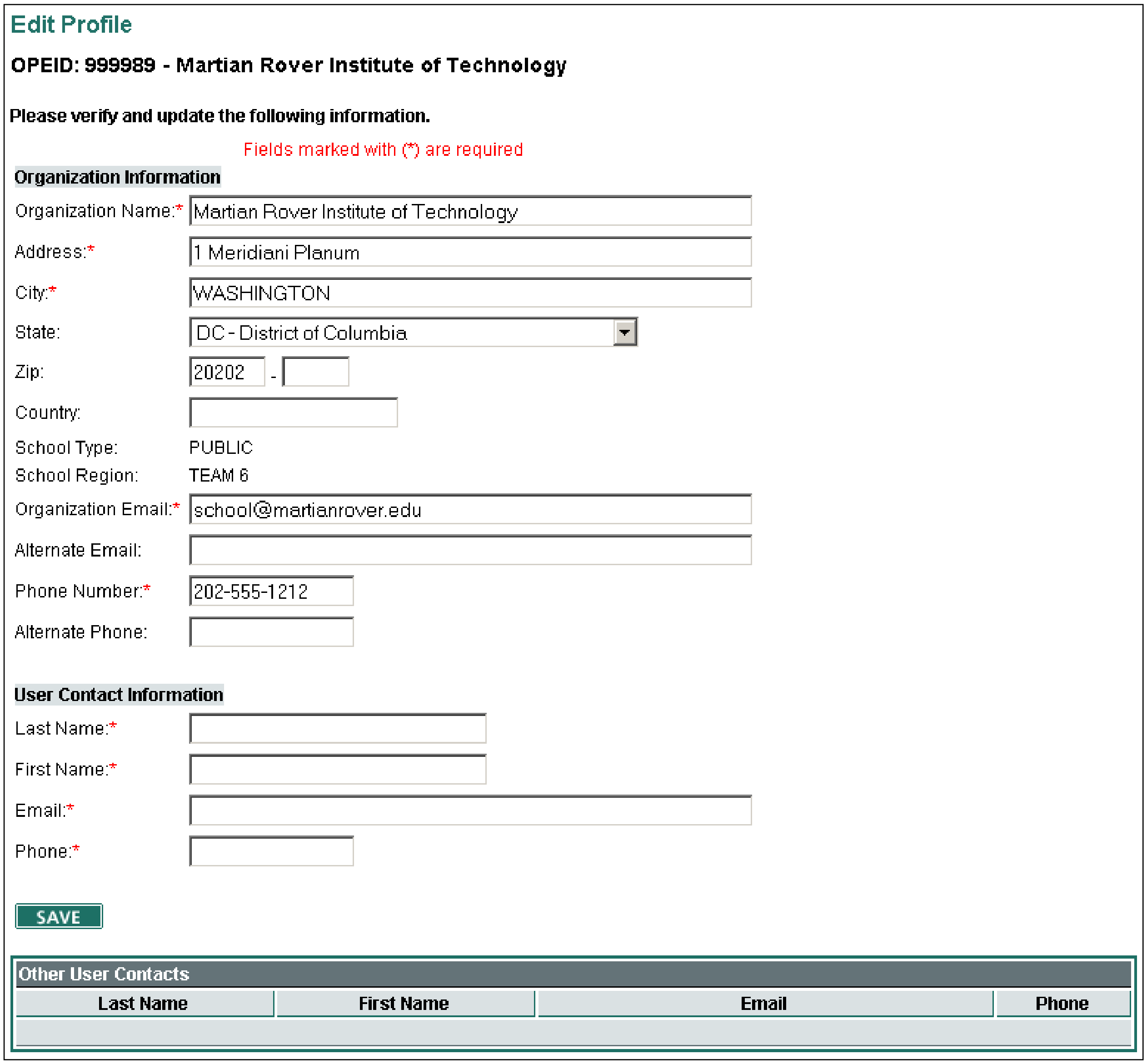


Figure 5-1: School Edit Profile page

You will also be able to see other contacts that are members of your organization at the bottom of the Edit Profile page, in the Other User Contacts table.

You may return to the Edit Profile page at any time by accessing the “Profile” navigation menu option.

5.2 Verifying a Profile

If you have already created a profile in the past, it is still imperative to ensure that your profile information is up-to-date. You can verify that your organization and personal contact information is complete and accurate by selecting the “Profile” link on the main menu. This will load the Edit Profile page, where you can review your contact information and make any necessary changes. If you make any changes, click “Save” to store the changes.

6. SCHOOL: INITIATE A NEW LSA

6.1 Initiating a New LSA

A new LSA case can be opened from the Current Cases page. To reach the Current Cases page, select “Case” from the main menu and “View Current Cases” from the submenu.

The Current Cases page (Figure 6-1) displays a list of cases for the current cohort year, if any. Here, you may access your current year cases in addition to starting a new case.

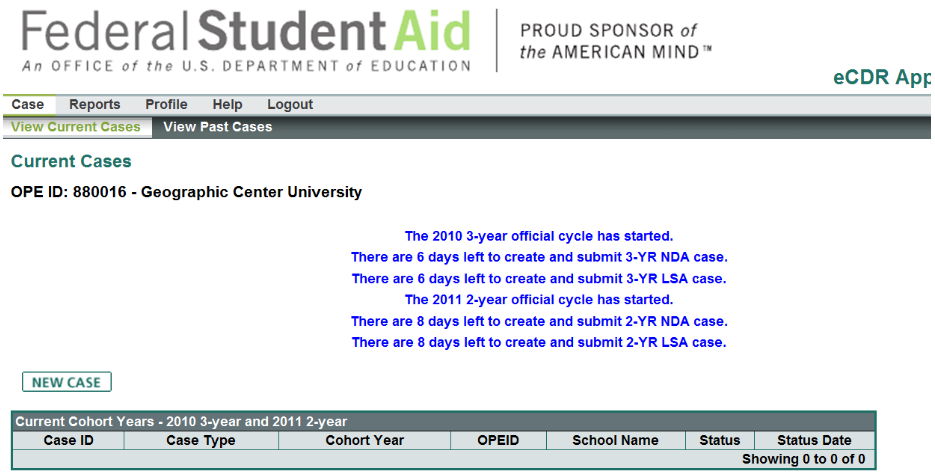


Figure 6-1: Initiating a case on the Current Case page

The current cohort cycle and the number of days remaining to create and submit a case are displayed. To open a new LSA case, select the “New Case” button. The Case Details page will load (see Figure 6-2).

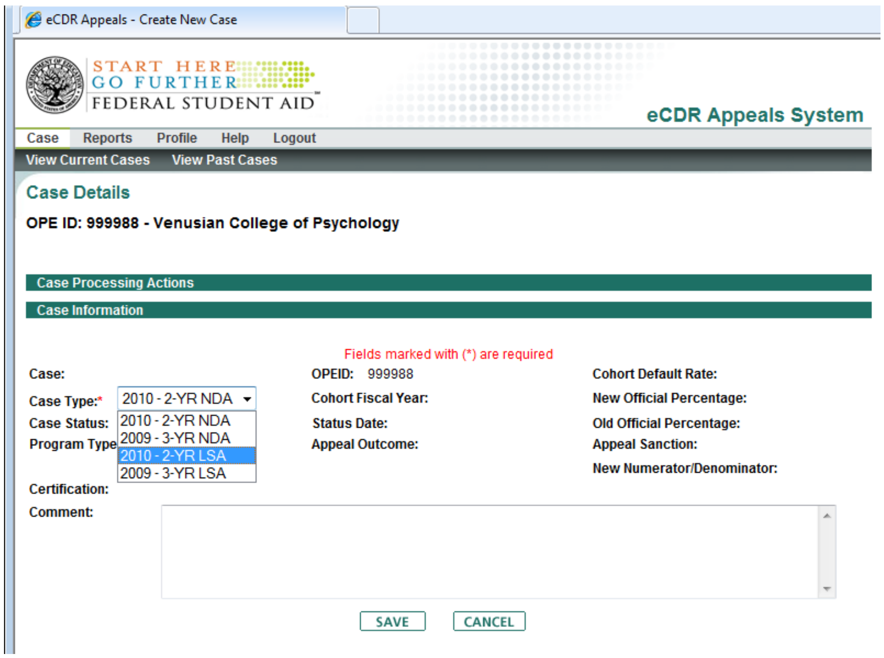


Figure 6-2: Creating a new LSA

Your institution's OPEID and the current cohort year will automatically be filled in for you. On this page, choose 2-YR LSA or 3-YR LSA from the Case Type dropdown menu. You may also enter an optional comment. When you have completed this, select the "Save" button to initiate the LSA case. If you do not use the "Save" button, the case will not be created.

Upon selecting "Save", a new case will be created, and the Case Details page will show some basic information associated with your case. If Federal Student Aid has not yet loaded the Loan Record Detail Report (LRDR) extracts for your institution and/or the list of schools under sanction, your case will begin in one of the following statuses: "Awaiting LRDR", "Awaiting Required Files" or "Awaiting Prerequisite Files". Figure 6-3 shows cases in "Awaiting LRDR" status. Figure 6-4 shows cases in either "Awaiting Required Files" or "Awaiting Prerequisite Files" status.

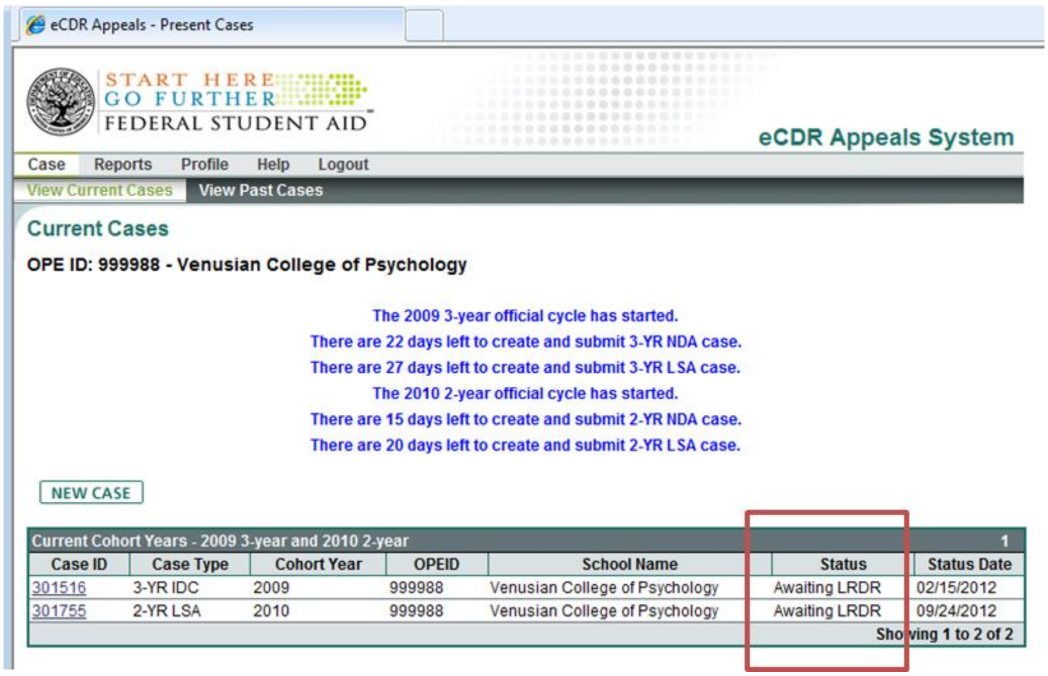


Figure 6-3: Newly initiated cases in "Awaiting LRDR" status

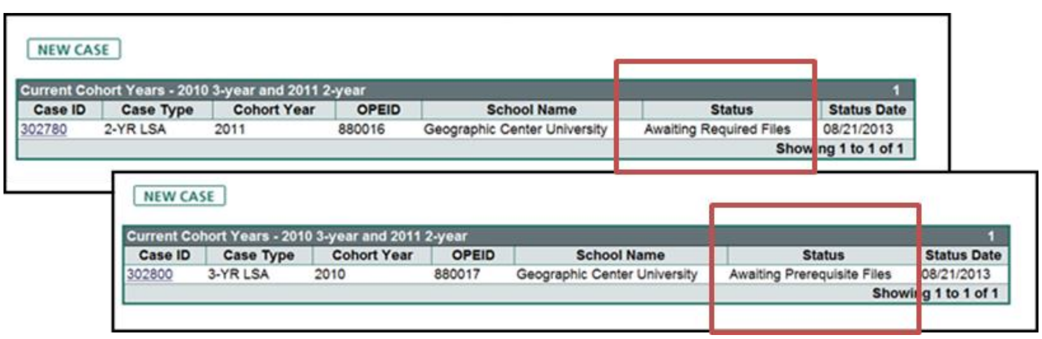


Figure 6-4: Newly initiated cases in "Awaiting Prerequisite Files" or "Awaiting Required Files" status

Note: The time your LSA remains in "Awaiting LRDR", "Awaiting Required Files" or "Awaiting Prerequisite Files" status does not count against the 15-day deadline for submitting your request for servicing records. Once Federal Student Aid has loaded the necessary files, the *countdown to the deadline will resume. The system will send a notification email to the contacts in your Profile. You should check your Current Cases page to see whether the status has changed to "Servicing Records Request Being Prepared" status.*

If the necessary LRDR extracts and other prerequisite files have already been loaded at the time you create the new case, then the case's status will read "Servicing Records Request Being Prepared", as shown in Figure 6-5. In this situation, you may immediately proceed with Chapter 8 of this guide, "School: Prepare and Submit the Request for Servicing Records" to continue working on your case.

Current Cohort Years - 2010 3-year and 2011 2-year 1

Case ID	Case Type	Cohort Year	OPEID	School Name	Status	Status Date
303120	2-YR NDA	2011	880145	Contiguous Geo Center University	Being prepared	08/21/2013
303121	2-YR LSA	2011	880145	Contiguous Geo Center University	Servicing records request being prepared	08/21/2013
303122	3-YR LSA	2010	880145	Contiguous Geo Center University	Servicing records request being prepared	08/21/2013

Showing 1 to 3 of 3

Figure 6-5: Newly initiated cases in "Servicing Records Request Being Prepared" status.

7. OPD: LOAD PREREQUISITE FILES

Two prerequisites must be met for a school to be able to prepare an LSA case. OPD must have loaded a listing of schools under sanction based on three consecutive years of high rates, and OPD must have loaded all applicable LRDR extracts.

7.1 Loading the List of Schools Under Sanction

At the beginning of the Official Cycle, FSA must upload a file that contains a listing of schools that may file a multiyear LSA case. The system uses this file, along with historical data about LSA filings in prior years to determine whether the school is permitted to file a multiyear case and present options accordingly.

In the event this file is not present when schools start to initiate LSA case types, the system will suspend the countdown for the institution to meet the 15-day LSA filing deadline until Federal Student Aid loads the required file. All LSA cases initiated by schools are affected. The system will display a case status of “Awaiting Prerequisite Files” if both the schools under sanction file and the LRDRs for the institutions are missing. The system will display a case status of “Awaiting Required Files” when the schools under sanction file is missing while the requisite LRDRs are present.

After you login, select the System Administration menu, Manage Sanctioned List submenu. The “Upload List of Schools Under Sanction Based on Default Rates for Three Consecutive Years” page will display (Figure 7-1), giving you an opportunity to upload the file.

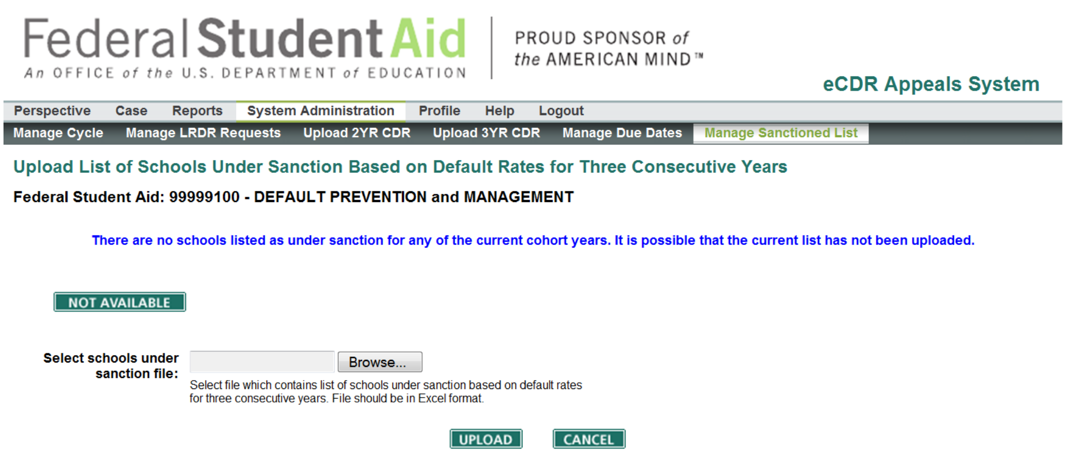


Figure 7-1: Upload List of Schools Under Sanction page before the file is uploaded

Click “Browse” to select the file. Click “Upload” to save it to the eCDR Appeals database.

Once you have uploaded the file, the page will refresh to indicate that the requisite file has been uploaded (Figure 7-2).

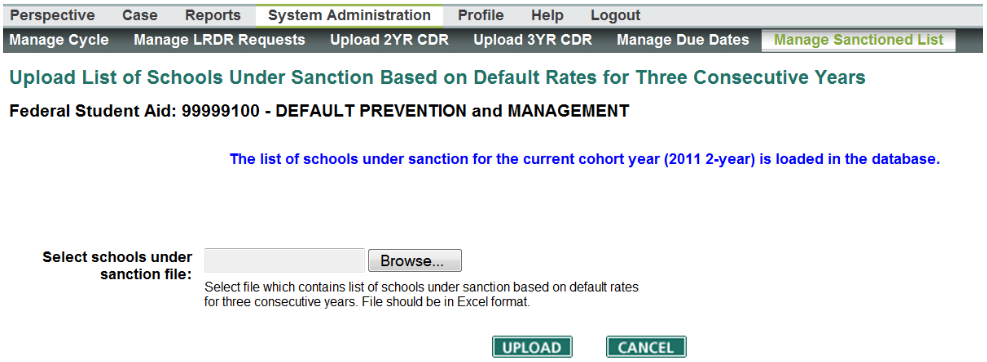


Figure 7-2: Upload List of Schools Under Sanction page after the file is uploaded

The status of LSA cases already initiated will be updated to reflect that this file is now available. If the necessary LRDR(s) are also present, then a school will be notified by email, and can prepare its request for servicing records.

7.2 Loading a LRDR Extract

When a school initiates an LSA, the eCDR Appeals system will automatically assess whether the Loan Record Detail Reports (LRDRs) necessary to support the case have been loaded. If the LRDRs already exist in the system, then Federal Student Aid does not need to take any action.

If one or more LRDRs are needed to support the new case, then the system will add these LRDRs to the LRDR request list. The case will be placed in "Awaiting LRDR" status (or "Awaiting Prerequisite Files" status), meaning the countdown for the institution to meet the 15-day LSA filing deadline will be temporarily suspended until Federal Student Aid loads the required files. An automatic email will be sent to OPD to indicate that LRDRs need to be loaded.

Viewing the LRDR Request List

OPD users may view the LRDR Request List page by logging in to eCDR Appeals, then selecting "System Administration" from the main menu and "Manage LRDR Requests" from the submenu.

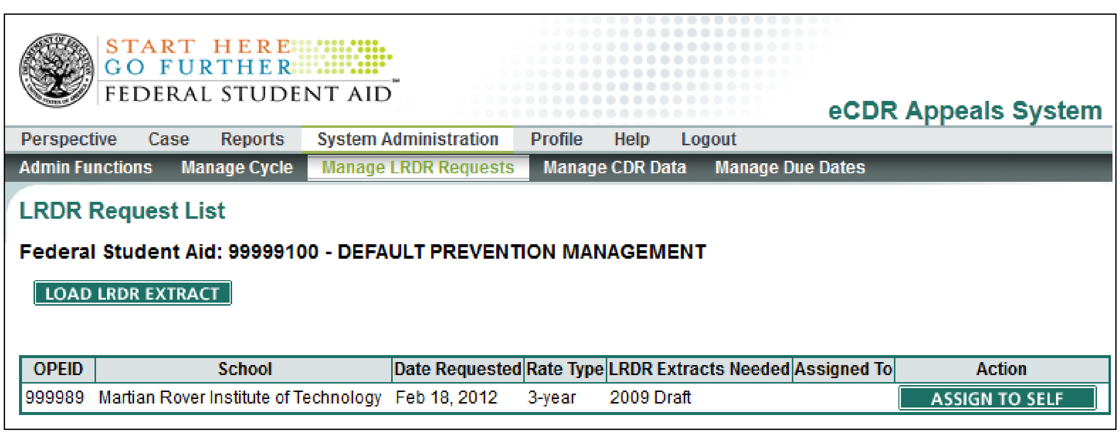


Figure 7-3: LRDR Request List

On the LRDR Request List page (see Figure 7-3), a list of LRDR requests will be displayed. Depending on the cohort cycle, as many as four LRDRs may be required for each OPEID. The LRDR request list will indicate exactly which ones are needed under the "LRDR Extracts Needed" column heading.

Assigning a LRDR Request

You may assign a particular LRDR request to yourself by selecting the "Assign to Self" button to the right of the request. Your user ID will then appear in the "Assigned To" column for the request. This will indicate to other OPD personnel that you are in the process of obtaining and uploading the LRDR requests for that particular OPEID.

Uploading a LRDR Extract

Once you have assigned a request to yourself, a "Load LRDR Extract" button will appear to the right of the request. Select this button to display the Upload LRDR Extract page (Figure 7-4). On this page, you can choose a file on your computer that contains the LRDR extract. The file should contain an original LRDR extract that was obtained directly from NSLDS. Once you have chosen the appropriate file, select the "Upload" button to begin loading the LRDR extract into the eCDR Appeals system. Depending on the size of the LRDR extract, the upload may take some time to complete. Upon a successful upload, a confirmation page will be displayed.

If there was a problem with the LRDR file, an error page will be displayed. Possible causes include a modified LRDR file (if the LRDR extract has been manipulated, it will likely cause an error) or a corrupt LRDR file (it may have to be retrieved from NSLDS again).

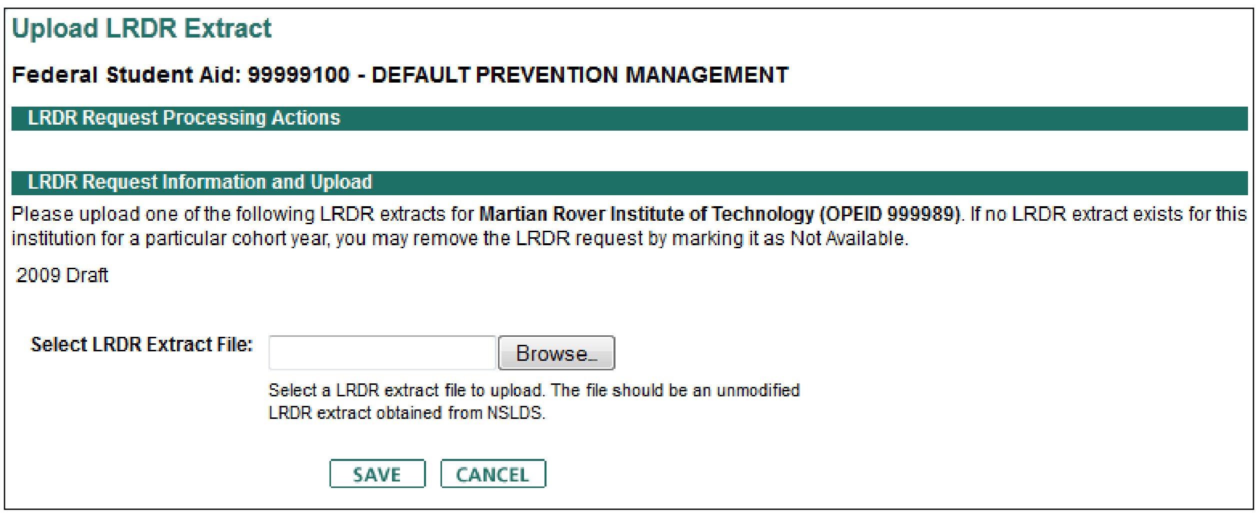


Figure 7-4: Uploading a LRDR extract

When an uploaded LRDR satisfies a request, the LRDR Request List page will be updated to reflect the change.

The status of LSA cases already initiated will be updated to reflect that the necessary LRDR files are now available. If the schools under sanction file is also present, then a school will be notified by email, and can prepare its request for servicing records.

8. SCHOOL: PREPARE AND SUBMIT THE REQUEST FOR SERVICING RECORDS

To proceed with preparing your request to Data Managers for servicing records, select “Case” from the main menu and “View Current Cases” from the submenu. This will present you with the listing of current cases on the Current Cases page (Figure 8-1).

Current Cohort Years - 2010 3-year and 2011 2-year						1
Case ID	Case Type	Cohort Year	OPEID	School Name	Status	Status Date
303120	2-YR NDA	2011	880145	Contiguous Geo Center University	Being prepared	08/21/2013
303121	2-YR LSA	2011	880145	Contiguous Geo Center University	Servicing records request being prepared	08/21/2013
303122	3-YR LSA	2010	880145	Contiguous Geo Center University	Servicing records request being prepared	08/21/2013
						Showing 1 to 3 of 3

Figure 8-1: Listing of Current Cases

Select an LSA case in “Servicing Records Request Being Prepared” status. Click on the Case ID. This will open the LSA Case Details page.

8.1 Case Details Page Overview

You can find a general overview of the Case Details Page at page 21. The present section focuses on the case details page once the LRDR(s) and other prerequisite files are loaded and the case is in “Servicing Records Request Being Prepared” status.

Note the following about the LSA Case Details page for the example at Figure 8-2:

- There are no case processing actions. Only after the school has selected which data managers to request servicing records from, and saved this information, will a “Submit Request for Servicing Records” button appear in the Case Processing section of the page.
- The case status is “Servicing Records Request Being Prepared.”
- There is an opportunity for the school to insert and save a case-level comment that will be visible to all other users (optional).
- The school in the example is permitted to file for the current cohort year only.
    - The listing of data managers who hold defaulted loans for the Current Cohort year appear in a table, along with the number of defaulted borrowers and loans held.
    - Data manager 777 has more than 101 defaulted borrowers. If you request servicing records from DM 777, you will receive servicing records for a random sample of borrowers.
    - There is no data in the tables for prior cohort years, because the school is not eligible to file a multiyear case.
- There is a Select Box next to each data manager. You will use this select box to identify the data managers from whom you want to receive servicing records.
- The status column in the table of data managers is blank. For those data managers selected, a status will start appearing in this column as soon as the school submits its request. Any data manager not selected will no longer appear on the page.

Note: In the table of data managers, the links are active and will lead to the Loan Servicing DM Appeal Details Page for the respective data manager. These pages are not yet populated with borrower information.

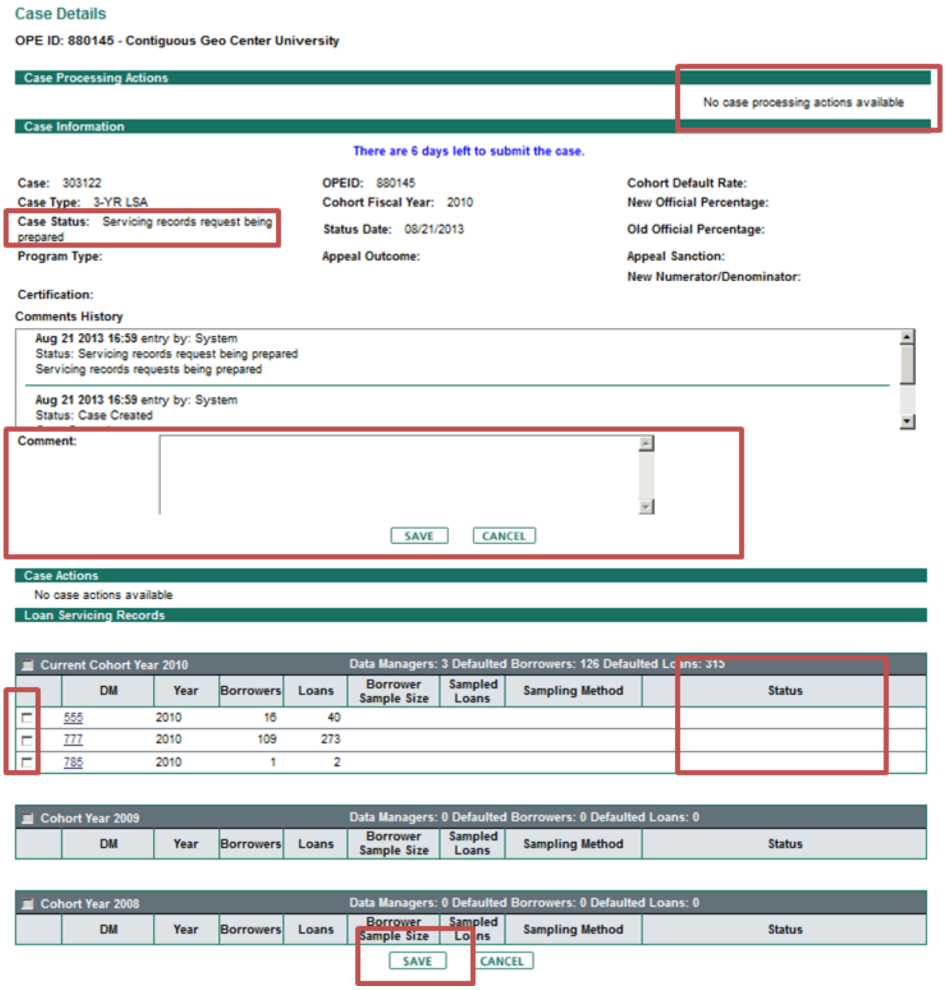


Figure 8-2: LSA Case Details Page at Inception of Preparing Servicing Records Request

When the School is Eligible to File a Multiyear LSA Case

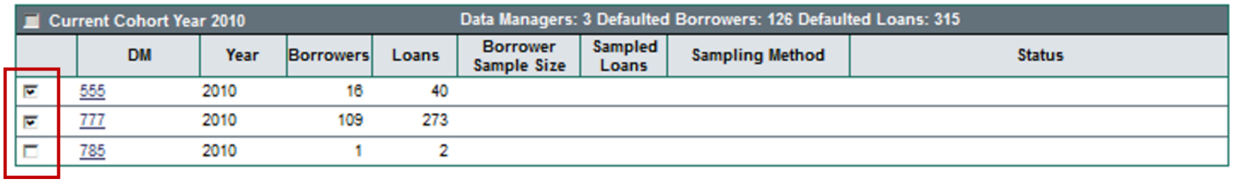
The eCDR Appeals application contains the information necessary to determine whether the School is eligible to include one or two previous cohort years in its LSA case, in addition to the currently processed cohort year.

The Case Details page will display data manager and borrower data in a summary table for each and every cohort year the School is eligible to include in its case.

8.2 Preparing the Request for Servicing Records

Selecting Data Managers

From the Case Details Page, simply select the Data Managers you want to request servicing records from by clicking on the select box at the left of each DM code as depicted in Figure 8-3 (clicking the box selects it and clicking it again de-selects it). The request to all desired Data Managers must be submitted at once.



Current Cohort Year 2010					Data Managers: 3 Defaulted Borrowers: 126 Defaulted Loans: 315			
	DM	Year	Borrowers	Loans	Borrower Sample Size	Sampled Loans	Sampling Method	Status
☑	555	2010	16	40				
☑	777	2010	109	273				
☐	785	2010	1	2				

Figure 8-3: Case Details Page showing selection of two out of three data managers

You must “Save” your selections before you can submit your request. Click on the “Save” button located at the bottom of the page, below the cohort year tables. Upon first saving your selections, the system will return you to the current cases page. Re-enter the case details page. At this point, the “Request Servicing Records” action button will appear in the Case Processing Actions section of the page, as depicted in Figure 8-4. This button will not show if you do not first “Save” selections.

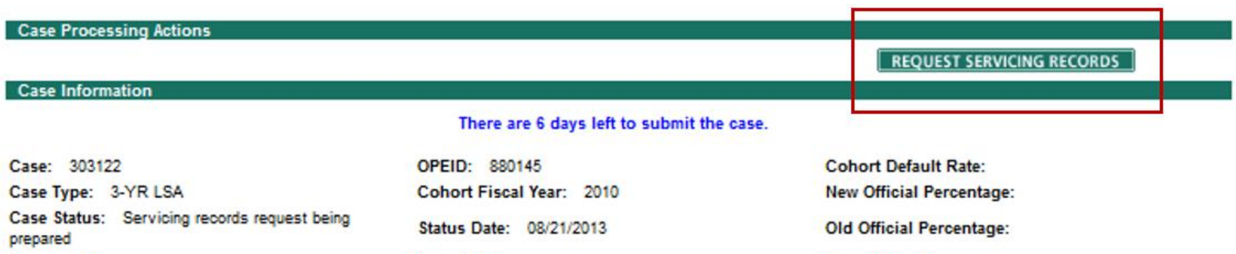


Figure 8-4: Case Details Page showing the "Request Servicing Records" Action Button

Multiyear Cases

A School filing a multiyear case must submit its request for all applicable years at once. Make sure that you select all DMs for all years desired before submitting your request.

Adding Case Level Comments

The School may add case level comments at this time. Enter your comment, and save it by clicking the “Save” button located just below the comments data entry box. If you do not click this “Save” button, your comment will not be saved.

Ensuring your Request for Servicing Records is Complete

The action to Request Servicing Records is final. Make sure you are satisfied with your selections of DMs (in multiple cohort years when applicable). You can edit your request until just before you submit it. Note that when you select the “Request Servicing Records” button, your latest edits are saved as part of your submission, even if you do not click the “Save” button.

There is no need to include a letter to the Data Manager(s) requesting the servicing records for the pertinent borrowers. Upon submission, eCDR Appeals will automatically notify the Data Manager(s) you selected. The system will also notify OPD that you initiated a LSA, and OPD will be able to view your request to Data Managers in eCDR Appeals.

8.3 Submitting the Request for Servicing Records

You must have School Case Manager role to submit the Request for Servicing Records. Providing that you are within the applicable fifteen (15) days deadline and that you have saved at least one Data Manager selection, a “Request Servicing Records” button appears on the Case Processing Action section of the Case Details Page as described in Figure 8-4 above.

Select the “Request Servicing Records” button. You will be prompted to confirm your intention to submit your request as prepared or cancel your action, as depicted in Figure 8-5 below.

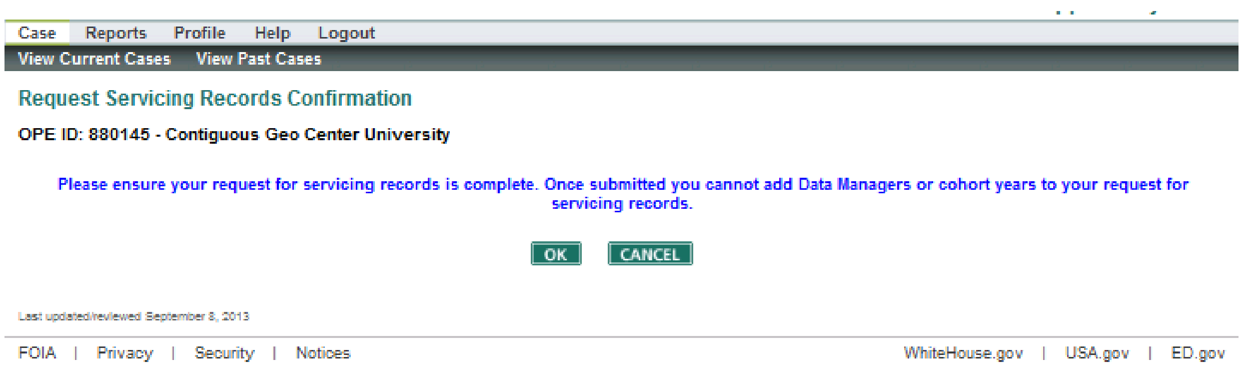


Figure 8-5: Confirmation Page for Submitting School Request for Servicing Records

If you cancel, you can make further changes to your request. Click “OK” to confirm. Upon confirmation, the Current Cases and Case Details pages will refresh and display the following case status: “Servicing Records Requested”, as shown on Figure 8-6 and Figure 8-7 respectively.

Figure 8-6: Current Cases Pages Displaying New Case Status

If you further look at the Case Details page at Figure 8-7 below, you will note the following:

- There is no Case Processing Action available to the school.
- The school cannot add case-level comments at this time.
- The Case Status shows Servicing Records Requested.
- Data managers who were not selected by the school no longer show in the table of data managers.

- The DM request status for all data managers (the status column in the cohort year table) now shows "Servicing Records Requested". This status pertains to each DM individually. As you will see in subsequent chapters of this user guide, the status for each DM may vary as the case moves forward.

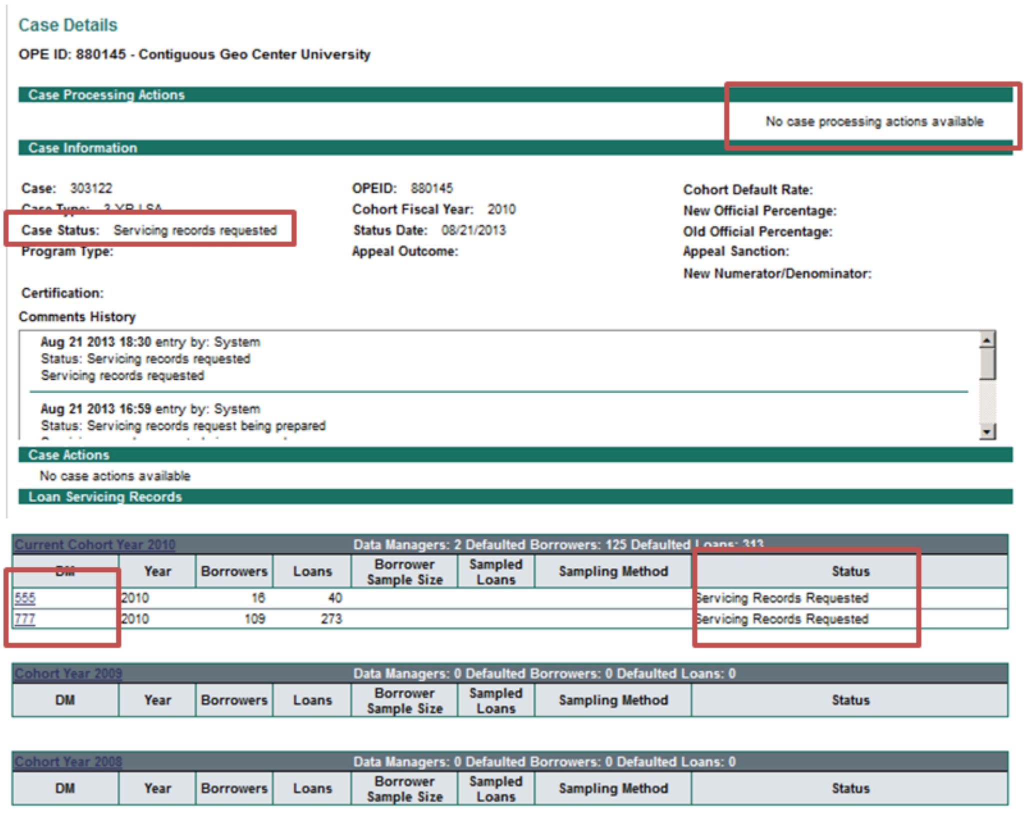


Figure 8-7: Case Details Page After Request for Servicing Records Has been Submitted

Multiyear Cases

Similarly, if a school was eligible to select data managers from one or two prior cohort years to include in their LSA case, but did not do so, the prior years' data managers no longer appear.

8.4 What Should the School Do After Submitting the Request for Servicing Records?

In general

It is now time for the Data Managers to review your request for servicing records. They will do so following guidance provided in Chapter 9, "Data Manager: Review Request for Servicing Records."

The school must now wait for the data managers selected to respond to the school's request. Data Managers' responses will likely arrive at different times and the Data Managers you requested servicing records from will do either of two things:

- A data manager may simply respond by sending servicing records. Following receipt of servicing records, the school will have 15 days to request clarification about the records received. If no clarification is needed, then the school will have 30 days (from the date of final data manager response) to either perfect or withdraw its LSA.
- Some data managers may require a fee for providing servicing records. In the event a data manager requires a fee, the school must pay the fee within 15 days in order to get the servicing records requested.

It is therefore important for the school to remain alert to potential requests for a fee, and to responses that will naturally come in over time from the data managers.

The system does send an email notification to the school if a fee is required, and when a data manager responds with servicing records. Since emails do not always reach their intended recipients, the school should login regularly to determine the status of each DM request for servicing records.

Consulting a Case Details Page for Servicing Records Submitted

From the Current Cases page, open in turn each LSA case that is in "Servicing Records Requested" status and review the Case Details Page. Focus on the DM Servicing Records Request status in each cohort year table. If the status is "Servicing Records Submitted", the DM has responded. For details on reviewing the servicing records, proceed to Chapter 13, "School: Review Servicing Records Provided by DM".

Consulting a Case Details Page for Fee Requests

From the Current Cases page, open in turn each LSA case that is in "Servicing Records Requested" status and review the Case Details Page. Focus on the DM Servicing Records Request status in each cohort year table. If the status is "Fee Requested for Providing Servicing Records", the DM requires a fee before providing the servicing records. For details on responding to a fee request, proceed to Chapter 10, "School: Review and Respond to Fee Request".

Consulting Reports for Fee Requests

Federal Student Aid has created a report of servicing records requests for which a fee is requested. This report enables the school to readily identify all such requests without having to individually open each LSA case.

To access the report, login, select the Report menu and the Current Case Reports submenu. This will open the Current Status Reports page, where you can find a report titled "Loan Servicing Appeal (LSA) records request that require fees". In the Figure 8-8 example below, you can see two requests for the same case ID 303160. Both are from DM code 555 and each pertains to a different year in the case. The report indicates the due date for paying the fee.

In the first column, you see a clickable number. Click on this system-assigned ID to be taken directly to the correct Loan Servicing DM Appeals page where you can address the fee request.

For details on responding to a fee request, proceed to Chapter 10, “School: Review and Respond to Fee Request

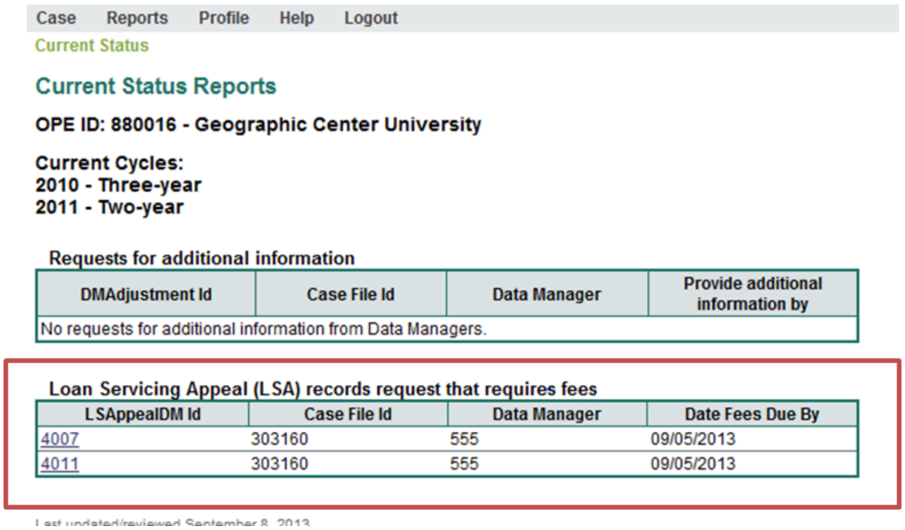


Figure 8-8: Current Status Reports - LSA Records Tha Require a Fee

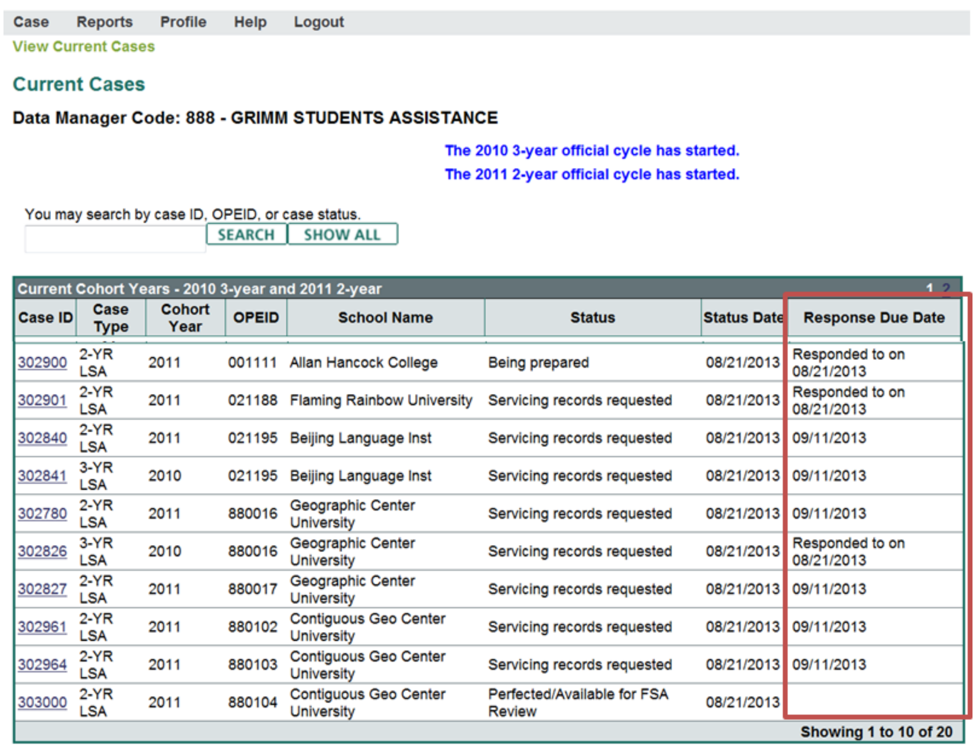
9. DATA MANAGER: REVIEW REQUEST FOR SERVICING RECORDS

9.1 Reviewing the School's Request – Overview

This chapter addresses several functions that support a Data Manager's responsibilities in responding to the school's request. In this overview section, we describe the means by which the data manager can quickly identify cases that need attention. In subsequent sections, we address:

- Sampling (9.2) – Mechanisms for the data manager to apply approved sampling methods whenever there are 101 or more defaulted borrowers in the request for a given cohort year. When applicable, this step must always be performed first.
- Viewing Borrowers (9.3) – Options for the data manager to identify the defaulted borrowers for whom servicing records are requested, and viewing associated loans.
- Requesting a Fee (9.4) – Mechanisms for a data manager who wants to do so to request and obtain a fee before providing servicing records for one or more years in the case.
- Redirecting Loans (9.5) – Mechanisms for a data manager to direct a loan (set of loans) it does not hold to another data manager.

Consulting Current Cases and the Case Details Page for Cases Not Yet Responded To



Case ID	Case Type	Cohort Year	OPEID	School Name	Status	Status Date	Response Due Date
302900	2-YR LSA	2011	001111	Allan Hancock College	Being prepared	08/21/2013	Responded to on 08/21/2013
302901	2-YR LSA	2011	021188	Flaming Rainbow University	Servicing records requested	08/21/2013	Responded to on 08/21/2013
302840	2-YR LSA	2011	021195	Beijing Language Inst	Servicing records requested	08/21/2013	09/11/2013
302841	3-YR LSA	2010	021195	Beijing Language Inst	Servicing records requested	08/21/2013	09/11/2013
302780	2-YR LSA	2011	880016	Geographic Center University	Servicing records requested	08/21/2013	09/11/2013
302826	3-YR LSA	2010	880016	Geographic Center University	Servicing records requested	08/21/2013	Responded to on 08/21/2013
302827	2-YR LSA	2011	880017	Geographic Center University	Servicing records requested	08/21/2013	09/11/2013
302961	2-YR LSA	2011	880102	Contiguous Geo Center University	Servicing records requested	08/21/2013	09/11/2013
302964	2-YR LSA	2011	880103	Contiguous Geo Center University	Servicing records requested	08/21/2013	09/11/2013
303000	2-YR LSA	2011	880104	Contiguous Geo Center University	Perfected/Available for FSA Review	08/21/2013	

Figure 9-1: Current Cases Page

In the initial period after rates are published, you can simply select the Case menu and View Current Cases submenu to display all current cases, as shown on Figure 9-1. When a case first appears here, it will have a "Servicing Records Requested" status, and the response due date column will have the due date displayed.

After the DM provides servicing records, the response due date will change to "Responded to on [DATE]". Follow a Case ID link where there is a response due date to access the Case Details Page, such as shown on Figure 9-2. Proceed to review the request.

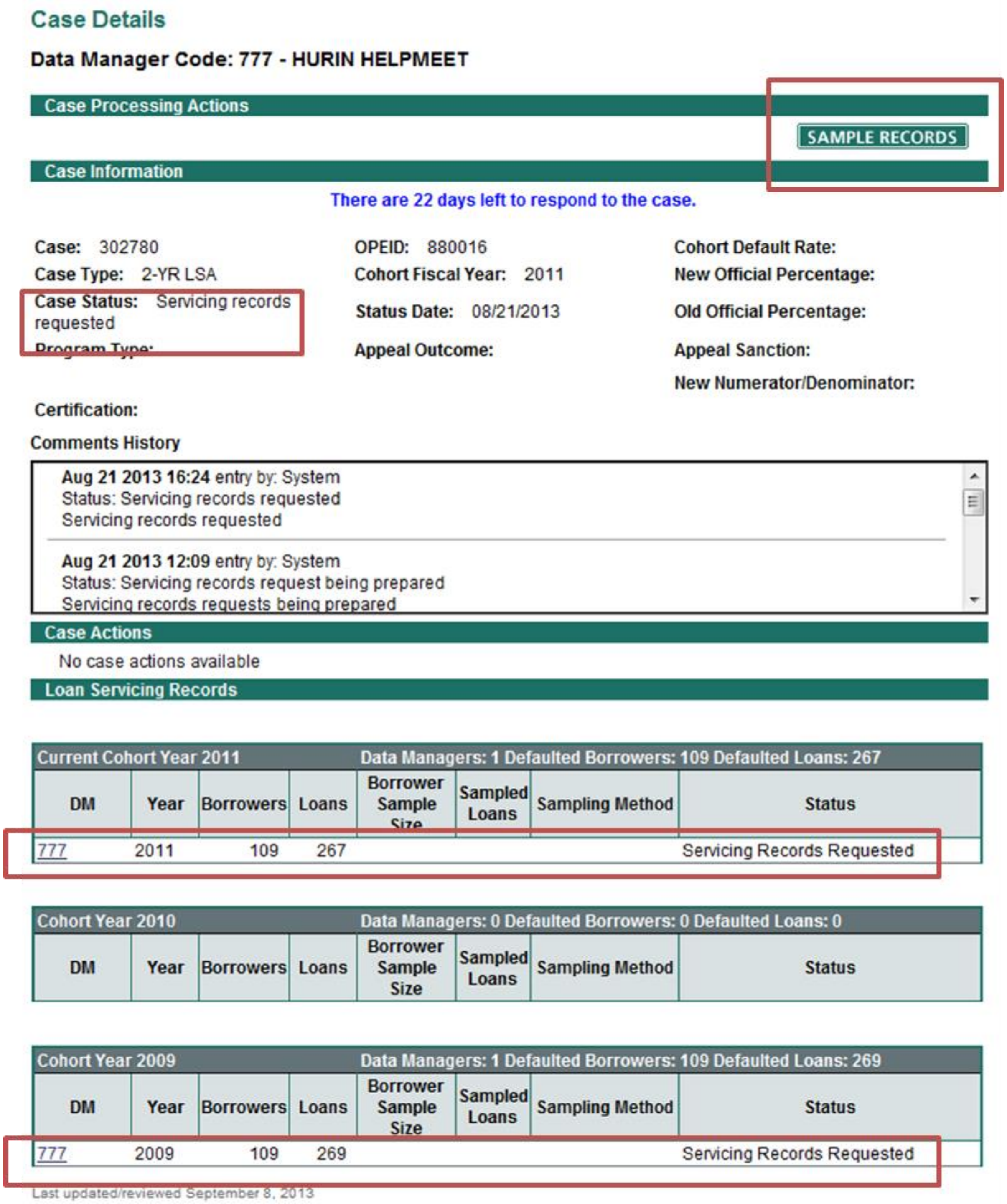


Figure 9-2: Case Details Page Viewed By Data Manager

In the Figure 9-2 example, the school was eligible to file a multiyear case, and has requested servicing records from the DM 777 for the current cohort year and for current cohort year minus two. The school is not requesting servicing records for current cohort year minus one.

Consulting Reports for Outstanding Requests for Servicing Records

After the Data Manager first responds to a School's request for servicing records, there may be additional requests for that case, which cannot be readily noted from the Current Cases page. To alleviate this problem, Federal Student Aid has created three reports to support Data Managers' work on Loan Servicing Appeals, as shown on Figure 9-3. To access the reports, select the Reports menu, and the Current Status submenu. This will open the Current Status Reports page, as shown on Figure 9-3.

Figure 9-3: LSA Current Status Reports For Data Managers

The "LSA Servicing Records Requests" report identifies all LSA case files that need the Data Manager's attention and the due date for responding to that case.

Click on the link to the LSA Servicing Records Requests report. The system takes you to that section of the Current Status Reports page. Or scroll down to the correct section of the page.

Outstanding LSA Servicing Records Requests Report (need to provide servicing records) for 785 - State Guaranty Agency

Case File Id	OPEID	Date Response Due By
302821	001085	09/11/2013
303061	880140	09/11/2013
303141	880141	09/11/2013
302822	880144	09/11/2013
302940	999989	09/11/2013
302961	880102	09/11/2013
302964	880103	09/11/2013
302980	880113	09/11/2013
303121	880145	09/11/2013

Figure 9-4: Example of Outstanding LSA Servicing Records Requests for DM 785

In Figure 9-4 there are several cases that require the DM 785's attention. The cases are ordered in reverse order of due date (i.e., due soonest on top). Click on the Case File Id in the first column to be taken directly to the Case Details page.

The “LSA Clarification and Additional Data Requests” report focuses on requests for clarification from either the School before the school submits its perfected case, or from OPD once Federal Student Aid undertakes to review the school’s perfected case. We will further discuss this second report in Chapters 12.5: What Should the Data Manager do After Submitting Servicing Records? and 15.1: Viewing the Clarification Request.

The “LSA Records Requests with Fees Past Due” report focuses on identifying cases where the Data Manager has requested a fee, fifteen (15) or more days have passed, the school has not withdrawn its request, and the Data Manager has not yet documented the outcome of the fee request. We will further discuss this third report in Chapter 11.3: When Fee Is Not Paid Timely.

9.2 Generating a Representative Sample

Whenever there are more than 100 defaulted borrowers in the LRDR, the data manager must generate a random sample of borrowers for whom servicing records will be provided. Sampling is a prerequisite to completing any other data manager function. Note: If there are 100 or fewer borrowers in all the years in the case, you may skip this chapter and move on to Chapter 9.3, Identifying the Borrowers for Whom Servicing Records are Requested.

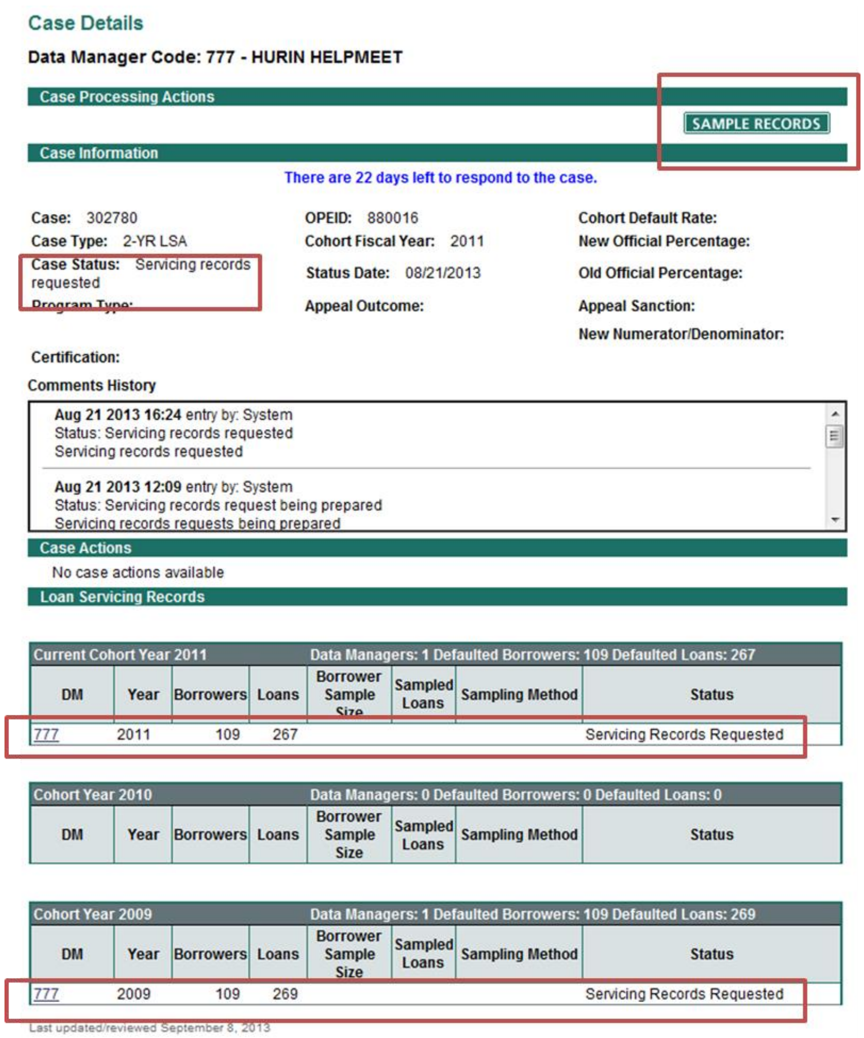


Figure 9-5: Case Details Page for DM with More Than 100 Bororwers Before Sampling

The system has been designed to carry out sampling functions consistent with Federal Student Aid's guidance. Select the "Sample Records" action button located in the Case Processing Actions section of the page. This opens the Sampling for Loan Servicing Appeal sampling method selection page (Figure 9-6).

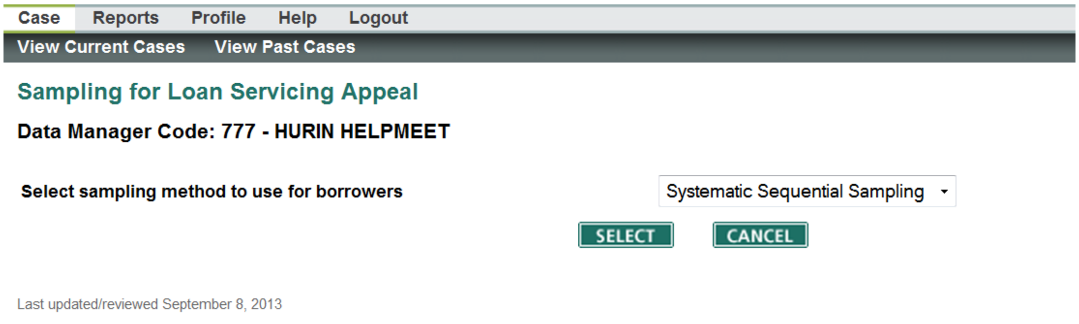
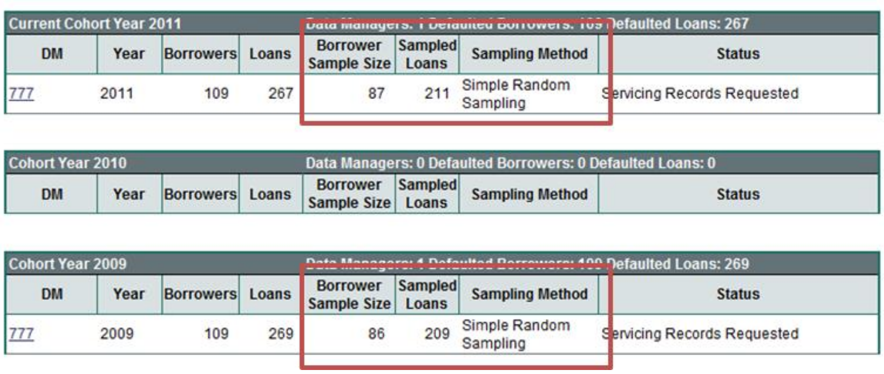


Figure 9-6: Sampling Method Selection Page

In the pull down menu, the data manager can select between a *Systematic Sequential Sampling* or a *Simple Random Sampling* method. Press "Select" to complete the sampling selection. The same sampling method will be applied to all applicable years in a multiyear case. Once selected, your sampling method cannot be changed.

The system now displays the sampling information on the Case Details page. For each year where sampling was applied, the cohort year summary table now displays the number of defaulted borrowers and defaulted loans in the sample, along with the sampling methodology applied (see Figure 9-7).



Current Cohort Year 2011 — Defaulted Loans: 267

DM	Year	Borrowers	Loans	Borrower Sample Size	Sampled Loans	Sampling Method	Status
777	2011	109	267	87	211	Simple Random Sampling	Servicing Records Requested

Cohort Year 2010 — Data Managers: 0 Defaulted Borrowers: 0 Defaulted Loans: 0

DM	Year	Borrowers	Loans	Borrower Sample Size	Sampled Loans	Sampling Method	Status

Cohort Year 2009 — Defaulted Loans: 269

DM	Year	Borrowers	Loans	Borrower Sample Size	Sampled Loans	Sampling Method	Status
777	2009	109	269	86	209	Simple Random Sampling	Servicing Records Requested

Figure 9-7: Cohort Year Tables Show Sampling Information Details

9.3 Identifying the Borrowers for Whom Servicing Records are Requested

After sampling has been applied (or when there is no sampling required), from the Case Details Page, click on the DM code for the first cohort year in the case to open the Loan Servicing DM Appeal Details page (Figure 9-8). (*Note: for an overview of the Loan Servicing DM Appeal Details, see page 23, Chapter 2.6*).

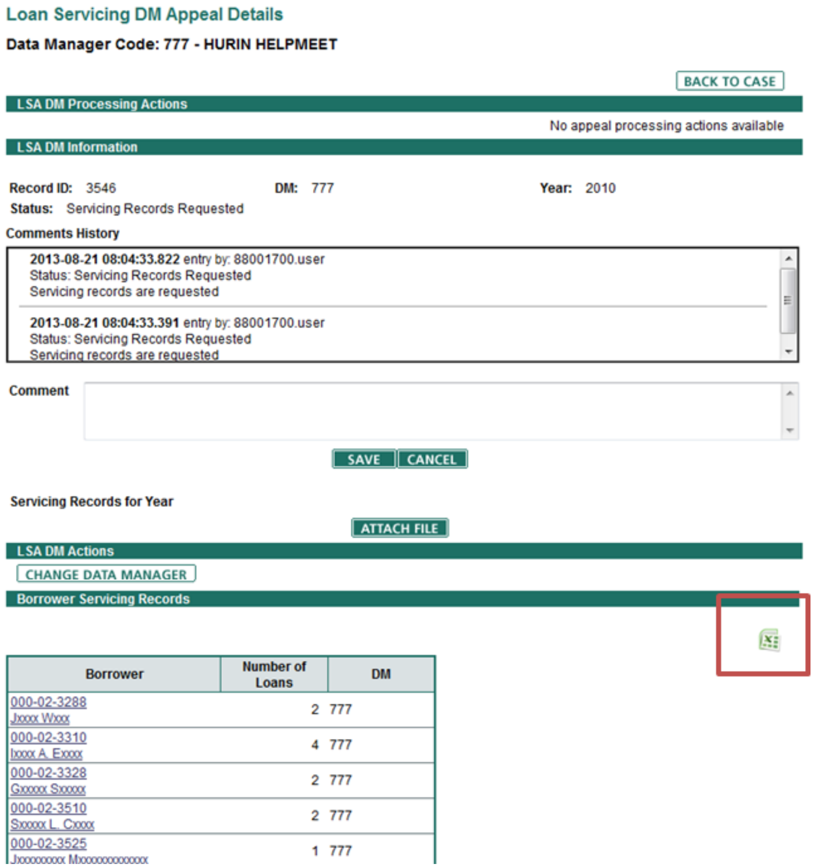
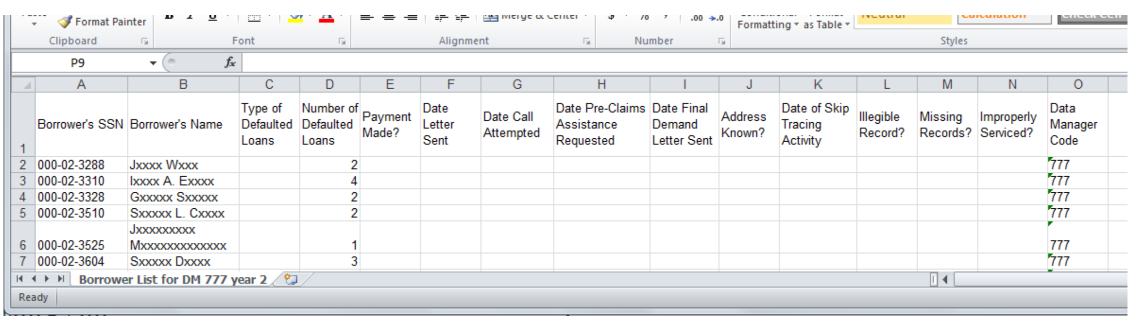


Figure 9-8: Loan Servicing DM Appeal Details Page

The Borrower Servicing Records section of the page displays a table listing of all borrowers for whom servicing records must be provided. The listing itself is valuable and includes borrower ID (SSN/Name) and the number of defaulted loans held by the Data Manager.

To export the listing of borrowers to MS Excel, click on the MS Excel icon at the right of the borrowers' table, and the system will generate the listing (see Figure 9-9). Save the file locally.

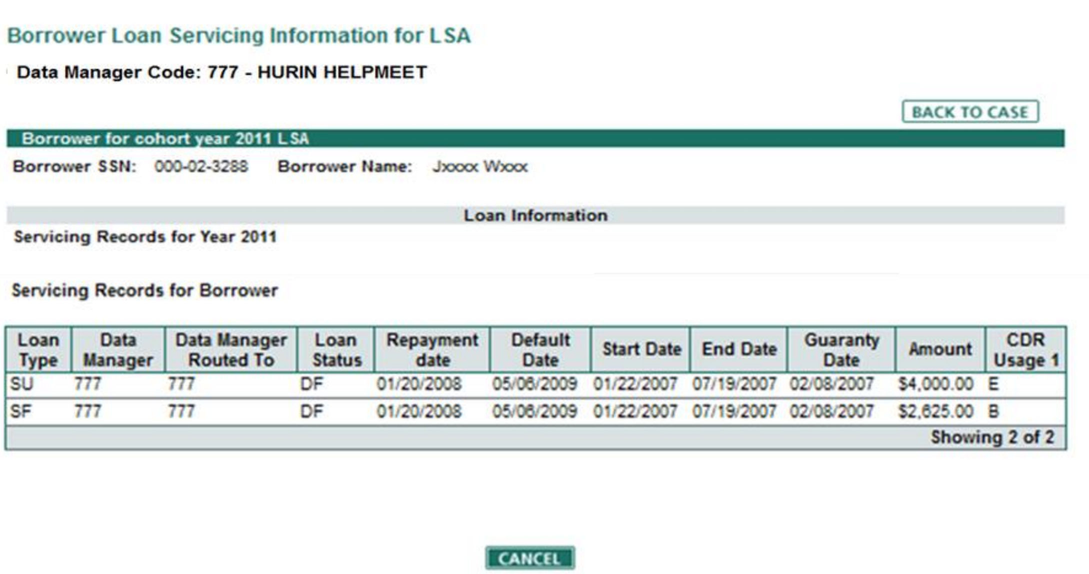


Borrower's SSN	Borrower's Name	Type of Defaulted Loans	Number of Defaulted Loans	Payment Made?	Date Letter Sent	Date Call Attempted	Date Pre-Claims Assistance Requested	Date Final Demand Letter Sent	Address Known?	Date of Skip Tracing Activity	Illegible Record?	Missing Records?	Improperly Serviced?	Data Manager Code
000-02-3288	Jxxxx Wxxx		2											777
000-02-3310	Ixxxx A. Exxxx		4											777
000-02-3328	Gxxxxx Sxxxxx		2											777
000-02-3510	Sxxxxx L. Cxxxx		2											777
000-02-3525	Jxxxxxxxxx Mxxxxxxxxxxxxx		1											777
000-02-3604	Sxxxxx Dxxxx		3											777

Figure 9-9: Excel Export Of DM's Borrowers in The Year

Repeat this process for each year in the school's request for servicing records.

You can also view defaulted loans details for a given borrower by clicking on each Borrower ID in the table. When you click on a borrower SSN/Name, the system opens the Borrower Loan Servicing Information for LSA page. The Figure 9-10 example shows a borrower with two defaulted loans, along with loan details. Repeat this process for each borrower for whom you want to see loan details.



Loan Type	Data Manager	Data Manager Routed To	Loan Status	Repayment date	Default Date	Start Date	End Date	Guaranty Date	Amount	CDR Usage 1
SU	777	777	DF	01/20/2008	05/06/2009	01/22/2007	07/19/2007	02/08/2007	$4,000.00	E
SF	777	777	DF	01/20/2008	05/06/2009	01/22/2007	07/19/2007	02/08/2007	$2,625.00	B

Figure 9-10: Borrower Loan Servicing Information for LSA

9.4 Requesting a Fee

Data Managers may require a fee be paid before providing servicing records. If you plan to require a fee for any year in the case, proceed as described below. Otherwise, you may skip this chapter and move on to Chapter 9.5, When the DM Needs to Change Data Manager.

Fee requests are prepared and submitted in one sitting. In other words, and unlike other LSA processes, you cannot save fee request material and return later to submit them. You should therefore prepare ahead of time any file you want to submit as an attachment that describes the details of your request, such as payment instructions, fee amount and the like.

After any applicable sampling has been completed, or when there was no sampling required, the Case Processing Actions section of the Case Details page displays a “Request Fee” action button (Figure 9-11).

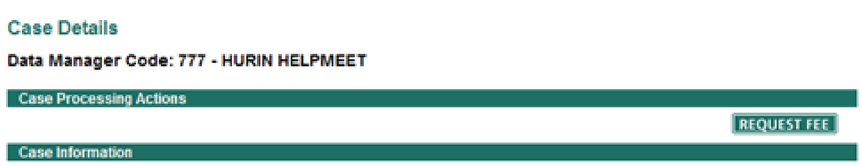


Figure 9-11: Case Processing Actions After Sampling Or When No Sampling Needed

Select the “Request Fee” button to display the Request Fees for Loan Servicing Records Request data entry page (Figure 9-12).

Fill out the form completely (you cannot save this form part way and return later).

- You may attach a single document, such as a fee request letter that contains fee payment instructions. *(Note: There is no need to include the listing of borrowers for which the fee applies as the system will display this listing to the school automatically.)*
- You must enter the fee amount for each year in the case. If you do not require a fee for all years in the case, enter 0 (zero) in the Fee Amount field where no fee is required. Do not enter a $ (dollar sign); the number entered is assumed to be in dollars.
- You may enter a comment.

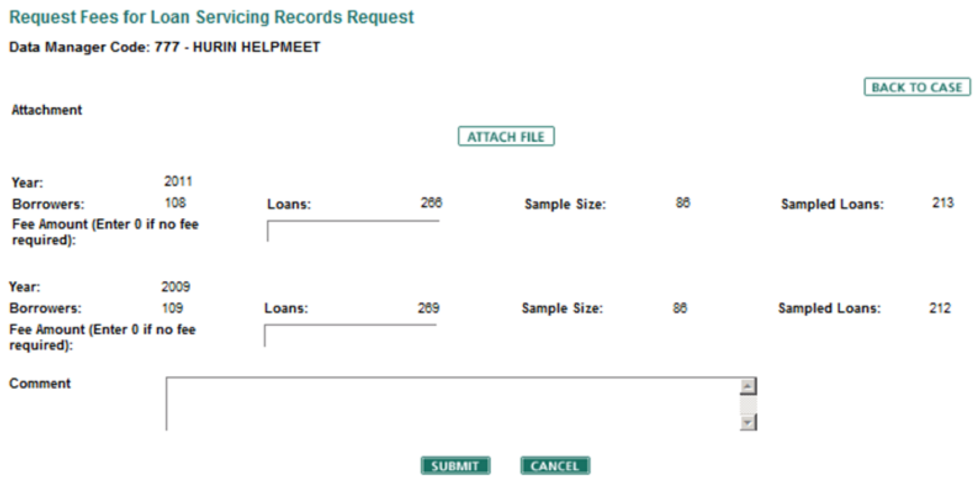


Figure 9-12: Request Fees for Loan Servicing Records Request Data Entry Page

When you are satisfied that your fee request is correct and complete, click the “Submit” button at the bottom of the page. The system will ask you to confirm or cancel your submission (Figure 9-13).

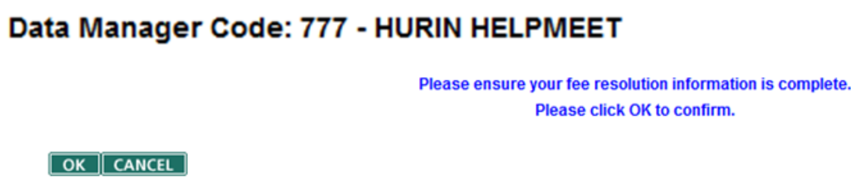


Figure 9-13: Confirmation Page for Fee Request

Click “OK” to confirm your request, or “Cancel” to make changes. The Loan Servicing DM Appeals Page(s) and the Case Details Page are updated to reflect a new status.

Figure 9-14 provides an example of the Case Details Page after a fee is requested. This scenario is different from that used up until now in this chapter. The figure depicts a DM who received a request from the school for servicing records in all cohort years of a multiyear case. The DM is requesting a fee for the two prior cohort years only, thus the current cohort year status is “Fee Not Required” (the DM entered a fee amount of zero (0) for that year).

We will use this same example in Chapter 10: School: Review and Respond to Fee Request.

Loan Servicing Records

Current Cohort Year 2011				Data Managers: 1 Defaulted Borrowers: 20 Defaulted Loans: 48			
DM	Year	Borrowers	Loans	Borrower Sample Size	Sampled Loans	Sampling Method	Status
555	2011	20	48				Fee Not Required

Cohort Year 2010				Data Managers: 1 Defaulted Borrowers: 20 Defaulted Loans: 48			
DM	Year	Borrowers	Loans	Borrower Sample Size	Sampled Loans	Sampling Method	Status
555	2010	20	48				Fee Requested For Providing Servicing Records

Cohort Year 2009				Data Managers: 1 Defaulted Borrowers: 26 Defaulted Loans: 63			
DM	Year	Borrowers	Loans	Borrower Sample Size	Sampled Loans	Sampling Method	Status
555	2009	26	63				Fee Requested For Providing Servicing Records

Figure 9-14: Case Details Page Example After Fee Requested - DM View

The system will send email notification to the school about your request, and the School also has a report that focuses on identifying fee requests.

The fee is paid outside eCDR Appeals. It is the Data Manager's responsibility to document whether the school paid the fee or not. Please refer to Chapter 11, Data Manager: Document Fee Disposition for details of your responsibilities in this regard.

9.5 When the DM Needs to Change Data Manager

The Data Manager assignment is based on the holder of the loan at the time the rates are calculated and the LRDR files are produced by the National Student Loan Data System. There may be instances when you are no longer the holder of a loan, and you need to redirect the request for servicing records to another data manager.

If you requested a fee, you must wait until after the fee is paid to change data manager.

Access the Loan Servicing DM Appeal Details page for a cohort year in the case where you know there are loans to be transferred. To change data manager, select the "Change Data Manager" action button located in the LSA DM Actions section of the page (Figure 9-15).

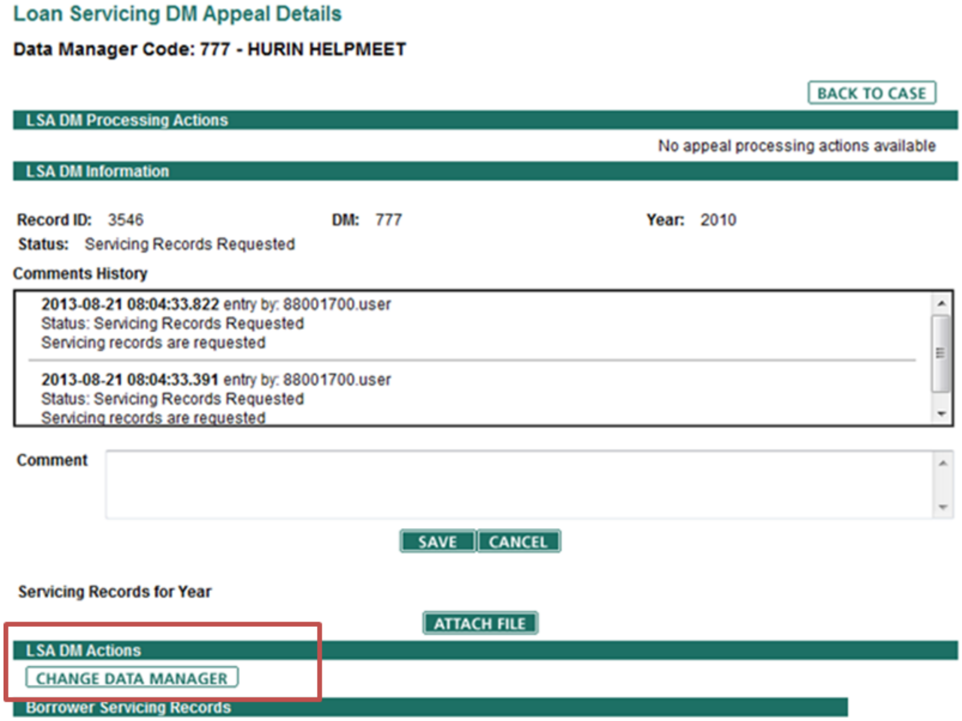


Figure 9-15: Loan Servicing DM Appeal Details Page Showing Change Data Manager Button

The system will display the “Borrowers for DM” borrower selection page showing a full listing of borrowers to choose from (Figure 9-16). Select the borrower whose loans must be redirected, by clicking on the Borrower ID (SSN/Name).

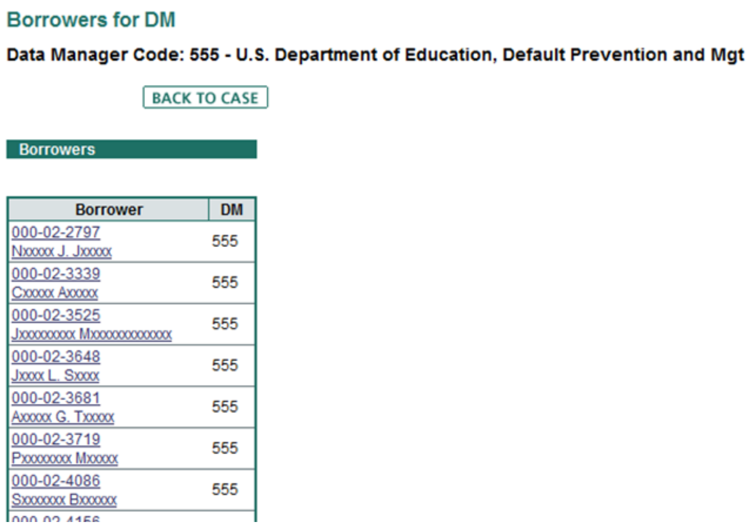


Figure 9-16: Borrowers for DM Selection Page

This will open the "Change Data Manager" page, which displays the borrower's defaulted loans (Figure 9-17).

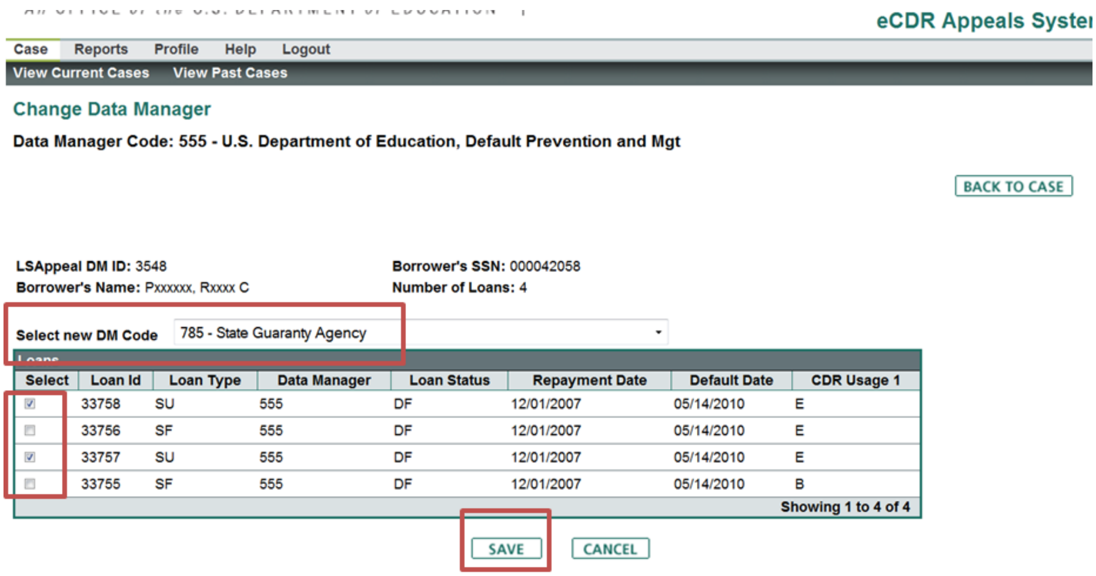


Figure 9-17: Change Data Manager Data Entry Page

Select the new DM Code from the pull down menu, and identify the loans to be redirected by checking the select box at left of each loan. *(Note: if loans from a single borrower must be redirected to different data managers, you must repeat the process for each data manager).*

Click "Save". You will be prompted to confirm or cancel your redirect (Figure 9-18).

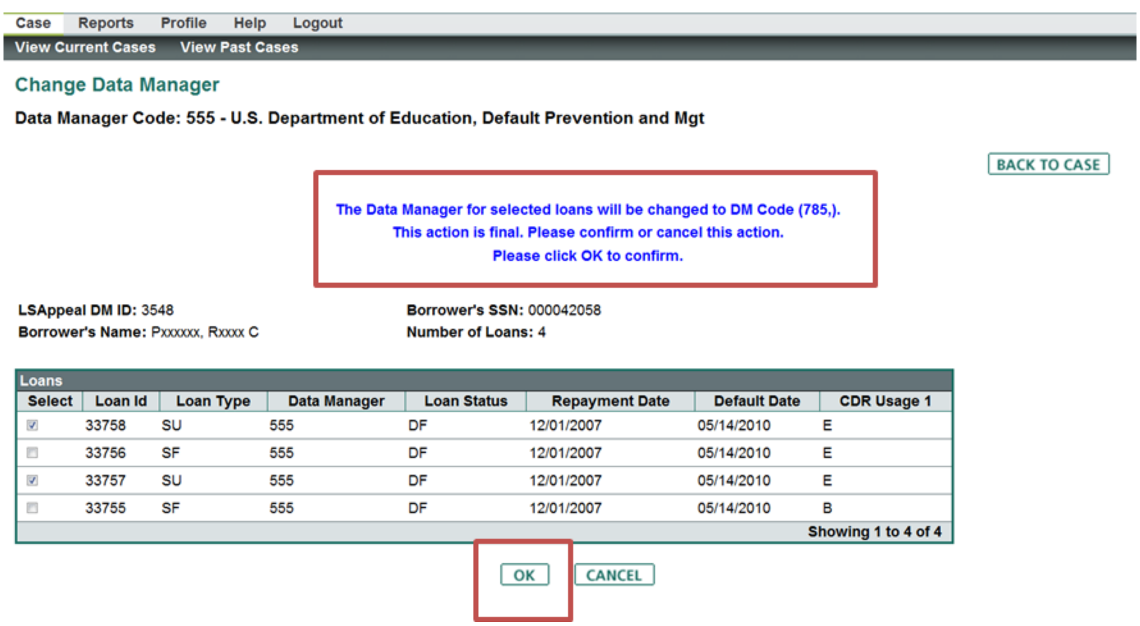


Figure 9-18: Confirmation Page for Change Data Manager Action

Make sure your transfer action is correct. This action is final. Select "OK" to confirm.

The system will return you to the Loan Servicing DM Appeal Details page, where the listing of borrowers has been updated. If all loans from a borrower were redirected, the borrower is no longer listed. If some, but not all loans from a borrower were redirected, the borrower is still listed and the number of loans has been updated.

You can proceed with additional "Change Data Manager" actions if necessary. To change Data Manager for borrowers in a different year, return to the Case Details Page ("Back to Case"), click on the DM Code in the cohort year table of interest to display the Loan Servicing DM Appeal Details page for that year, and proceed as described above.

The system will notify the "receiving" Data Manager(s) of your redirect actions. The new DM(s) will be asked to provide servicing records to the school. You do not need to take other steps for loans you redirected to other Data Managers.

9.6 When the Request for Servicing Records is the Byproduct of a Redirect/Change Data Manager Action

From time to time, another Data Manager may need to redirect a request for servicing records to you because they are no longer the holder of the loan.

If this occurs before you have responded to a request for servicing records for the same case, the redirected loan(s) and borrower(s) will simply be added to your initial request.

If, however, the loans are redirected to you after you have already submitted the servicing records the school had requested from you, you will receive an email notification of the new request. Also, if you were not initially asked for any servicing records, you will now receive a request and you will receive an email notification from the system. The request will also be added to the current status report we discussed earlier (see "Consulting Reports for Outstanding Requests for Servicing Records" on page 50 for details).

You should stay alert to the possibility of such a request. Responding to such a request is quite similar to responding to a request for servicing records coming directly from the School.

9.7 What Should the Data Manager Do Next?

If you requested a fee, you need to:

- Wait for the school's response. The school has fifteen days to respond.
- You must then document fee disposition. See Chapter 11, Data Manager: Document Fee Disposition for details.
- When the fee is paid, you must provide the servicing records requested. See Chapter12, Data Manager: Prepare and Submit Servicing Records for details.

If you did not request a fee, you can prepare your response to the school. See Chapter12, Data Manager: Prepare and Submit Servicing Records for details.

10. SCHOOL: REVIEW AND RESPOND TO FEE REQUEST

10.1 Reviewing Data Manager's Fee Request

As discussed under Chapter 8.4, you can identify the existence of a fee request by using either of the following approaches:

- Selecting the Reports menu and Current Status submenu. This opens the Current Status Reports page where you locate the "Loan Servicing Appeal (LSA) records requests that require fees" report. Any entry in this report needs the school's attention and offers a direct link to the Loan Servicing DM Appeal Details page.
- Opening the LSA Case Details page and selecting the DM Code for any DM where the status in the cohort year table is "Fee Requested for Processing Servicing Records".

Using either approach to identify a fee request, click the link to open the Loan Servicing DM Appeal Details page. As an example, let us start by opening the Case Details page for your 2-YR LSA (Figure 10-1). We see that DM 555 has requested a fee for the two prior years in your multiyear case and they show a status of "Fee Requested For Providing Servicing Records". DM 555 has not requested a fee for the current cohort year and that year's status is Fee Not Required.

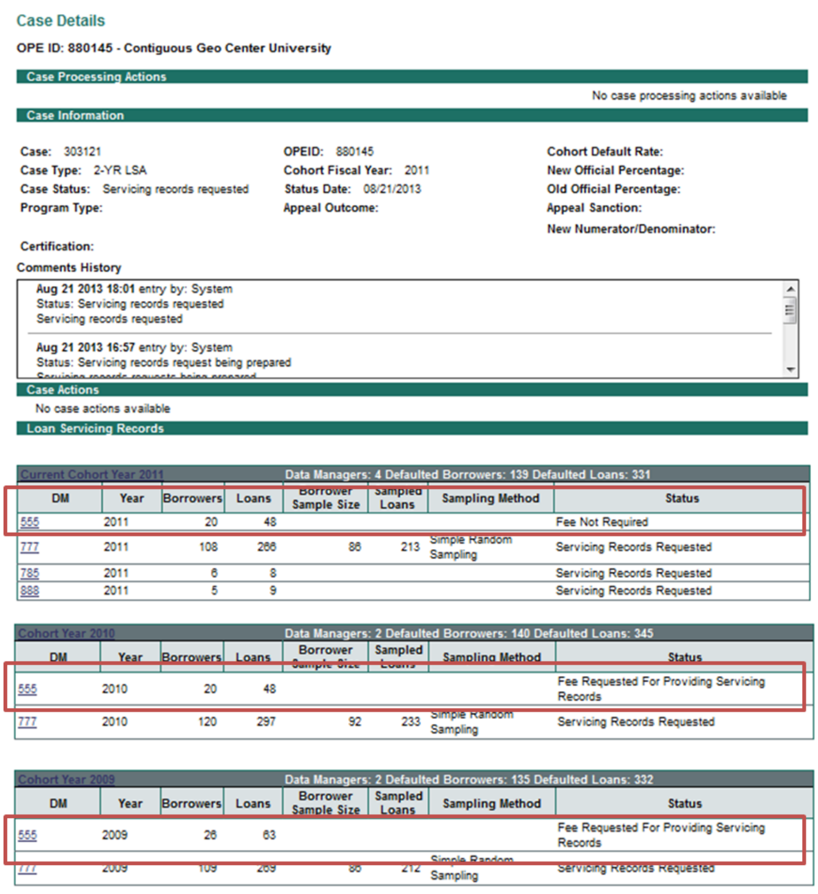


Figure 10-1: Case Details Page With Fee Requested Entries - As Viewed by the School

Select DM Code 555 from any cohort year table in the case. In our example, we selected DM Code 555 from the 2010 cohort year table. This opens the Loan Servicing DM Appeal Details page for that year (Figure 10-2).

There are two LSA DM Processing Action buttons available to you at this time. “View Fee Request” and “Withdraw Request”. Let us first discuss what the Loan Servicing DM Appeal Details page itself provides in terms of Fee Request information. Then we will discuss the “View Fee Request” function. The “Withdraw Request” function will be discussed in Chapter 10.3, Withdrawing the Request for Servicing Records.

Fee Request Information on the Loan Servicing DM Appeal Details Page

- Comments History: The comments history box will include any comment(s) the Data Manager might have entered as part of preparing their Fee Request. You may need to scroll down a couple of entries to view it.
- Request Fees Document: If the data manager uploaded an attachment, it will display in the Servicing Records For Year part of the LSA DM Information section of the page. You can click on it to open the document. The document can be saved outside eCDR Appeals.

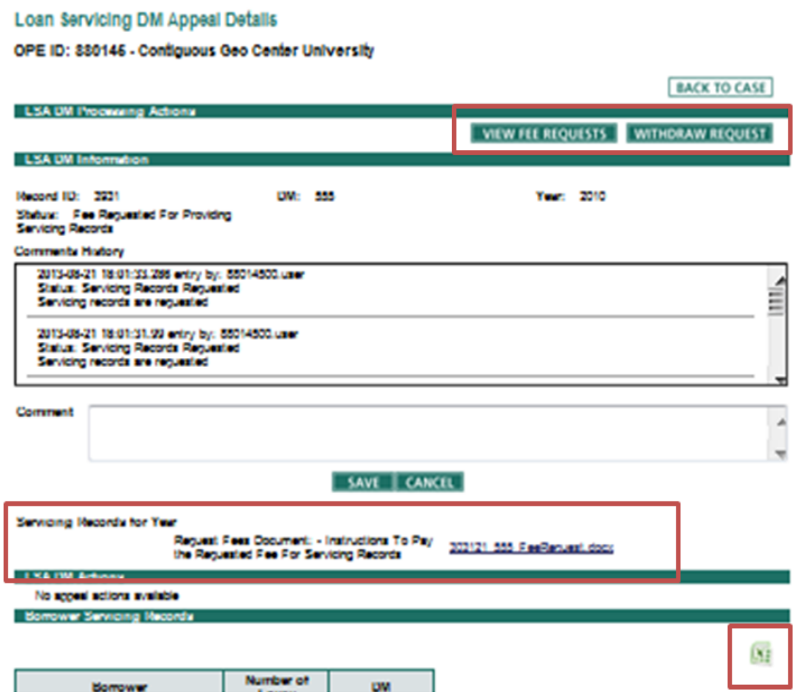


Figure 10-2: Loan Servicing DM Appeal Details Page Showing Fee Request Action Buttons

- Borrowers Listing: You can view the listing of borrowers for whom servicing records will be provided, should you pay the fee. If sampling applied, this is the list of borrowers in the random sample that was generated by the system on behalf of the Data Manager (See Page 51 for a description of how data managers generate samples).
  - The table under section “Borrower Servicing Records” displays the borrowers.
  - You can also export this listing to a MS Excel file by clicking the MS Excel icon on the page (located at the right of the table header).

Fee Request Information Available When Select "View Fee Requests" Button

When the Data Manager prepared the Fee Request, they entered fee amount for each year in the case from a single data entry page (See Page 54 for a description of how data managers prepare a fee request). By selecting the "View Fee Requests" button located in the LSA DM Processing Actions section of the page, you can view this information (Figure 10-3). *(Notes: This page is "read-only" and you cannot make any edits from this view. It does not matter what year in a multiyear case you access this page from. It will display the same data.)*

For each cohort year in the case for which you requested servicing records, the page shows the number of Defaulted Borrowers and Loans, and the Fee Amount requests. When sampling applies, the fee requested is for servicing records for the borrowers and loans in the sample. (The number of borrowers in example Figure 10-3 is well below 101 and no sampling was applied.)

You can open the Request Fees Document attachment provided by the Data Manager from here, and view any comment the DM provided about their request. This is the same document also available on the Loan Servicing DM Appeal Details page.

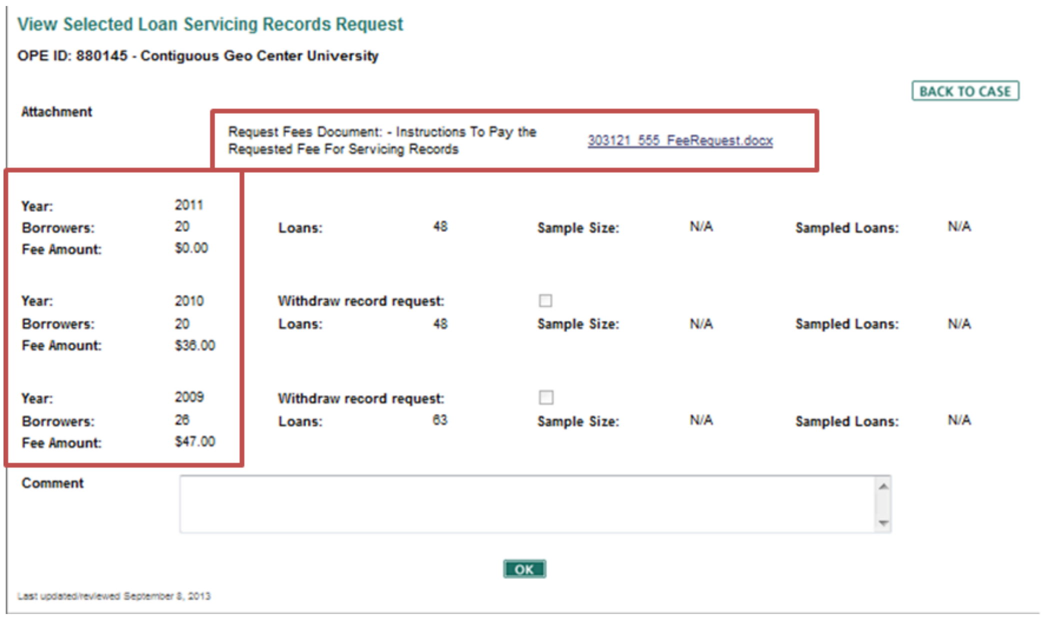


Figure 10-3: View Selected Loan Servicing Records Request Page

Click either "OK" or "Back to Case" to return to the Case Details page.

10.2 Paying the Requested Fee Outside eCDR Appeals

The requested fee is paid outside the system. If the Data Manager did not provide instructions on how to pay the fee, you should contact them outside the system.

Please note that the Data Manager is responsible for documenting in eCDR Appeals that you paid the requested fee. For details, see Chapter 11, Data Manager: Document Fee Disposition.

10.3 Withdrawing the Request for Servicing Records

If you do not intend to pay the requested fee, you should withdraw your request for servicing records. If you do not withdraw your request, and simply let your deadline for paying the fee pass, the Data Manager will document that the fee was not paid within the stipulated deadline.

In multiyear cases, you can withdraw your request for any year in the case. In our example, you withdraw your request for 2010 records and maintain your request for 2009 records. Our example did not require a fee request for 2011, so the servicing records for cohort year 2011 will be provided by the data manager regardless of actions you take for the other years.

To withdraw your fee request, select the "Withdraw Request" button located in the LSA DM Processing Actions section of the page (Figure 10-4).

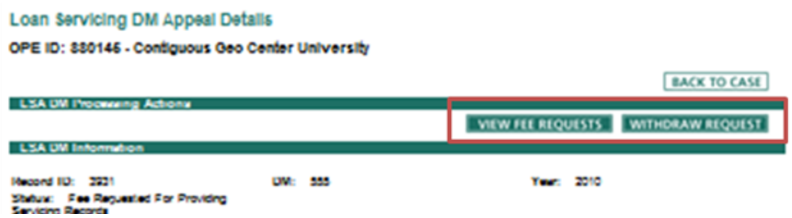


Figure 10-4: Withdraw Request Button on Loan Servicing DM Appeal Details Page

This opens the data entry screen where you can withdraw your request for servicing records for one or more years (Figure 10-5). *(Notes: This page looks very much like the page available when you select "View Fee Requests", but the present page enables you to make edits and withdraw your request(s). It does not matter what year in a multiyear cases you access this page from. It will display the same data.)*

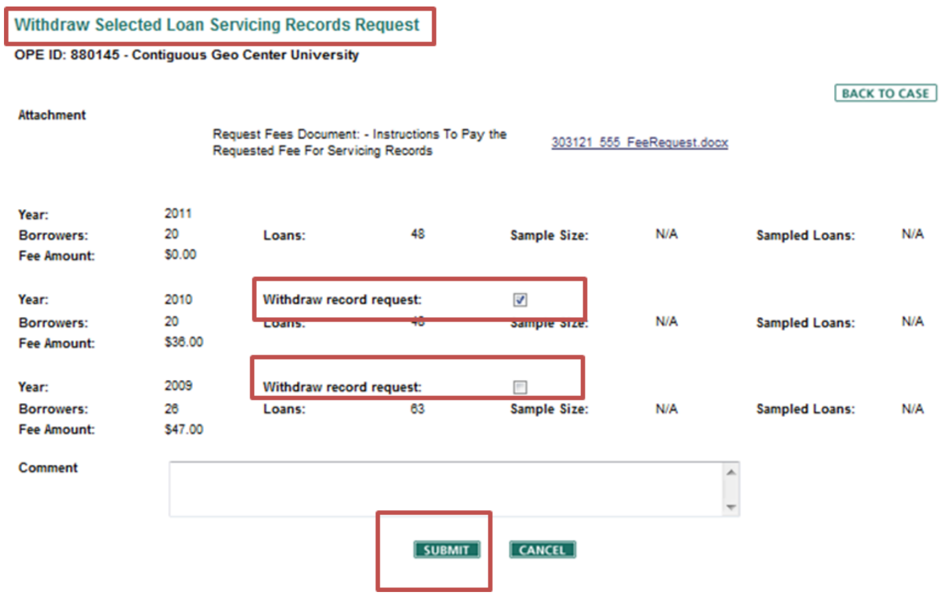


Figure 10-5: Withdraw Selected Loans Servicing Records Request Data Entry Screen

Withdrawing a request for servicing records after a fee is requested is a final action. If you are uncertain about what you will do, do not withdraw your request prematurely as you cannot re-instate it.

To withdraw your request for servicing records, check the “Withdraw record request” box next to the applicable year(s). This box appears only for years where a fee is requested, and where you have not already withdrawn your request. Click once to select the box, click again to de-select it. You may enter a comment in the comment box.

To cancel a withdrawal action, click “Cancel” or “Back to Case”. To proceed, once you are satisfied with your selections, click “Submit”. The system will display a confirmation page (Figure 10-6). Select “OK” to confirm your action. Select “Cancel” if you do not want to proceed.

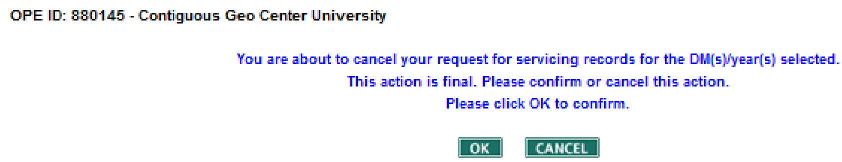
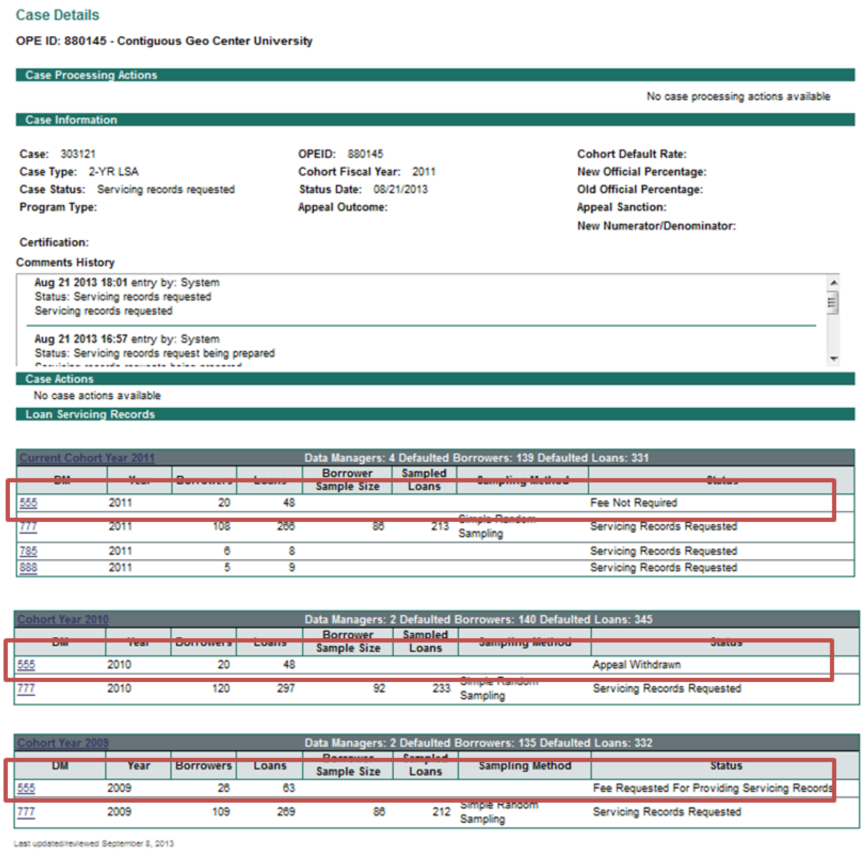


Figure 10-6: Confirmation Page for Withdraw Request Action

After you confirm your withdrawal, the system displays the Case Details page, with the change in status for the year(s) you withdrew. In the example at Figure 10-7, DM 555 for Cohort Year 2010 shows a status of “Appeal Withdrawn”. The request for this particular year becomes inactive. You did not make a decision about Cohort Year 2009 at this time, and status for that year remains “Fee Requested for Providing Servicing Records”.



Case Details

OPE ID: 880145 - Contiguous Geo Center University

Case Processing Actions

No case processing actions available

Case Information

Case: 303121
Case Type: 2-YR LSA
Case Status: Servicing records requested
Program Type:

OPEID: 880145
Cohort Fiscal Year: 2011
Status Date: 08/21/2013
Appeal Outcome:

Cohort Default Rate:
New Official Percentage:
Old Official Percentage:
Appeal Sanction:
New Numerator/Denominator:

Certification:

Comments History

Aug 21 2013 18:01 entry by: System
Status: Servicing records requested
Servicing records requested

Aug 21 2013 16:57 entry by: System
Status: Servicing records request being prepared

Case Actions

No case actions available

Loan Servicing Records

Current Cohort Year 2011	Data Managers: 4 Defaulted Borrowers: 139 Defaulted Loans: 331						
DM	Year	Borrowers	Loans	Borrower Sample Size	Sampled Loans	Sampling Method	Status
555	2011	20	48				Fee Not Required
777	2011	108	266	86	213	Simple Random Sampling	Servicing Records Requested
785	2011	6	8				Servicing Records Requested
888	2011	5	9				Servicing Records Requested

Cohort Year 2010	Data Managers: 2 Defaulted Borrowers: 140 Defaulted Loans: 345						
DM	Year	Borrowers	Loans	Borrower Sample Size	Sampled Loans	Sampling Method	Status
555	2010	20	48				Appeal Withdrawn
777	2010	120	297	92	233	Simple Random Sampling	Servicing Records Requested

Cohort Year 2009	Data Managers: 2 Defaulted Borrowers: 135 Defaulted Loans: 332						
DM	Year	Borrowers	Loans	Borrower Sample Size	Sampled Loans	Sampling Method	Status
555	2009	26	63				Fee Requested For Providing Servicing Records
777	2009	109	269	86	212	Simple Random Sampling	Servicing Records Requested

Last updated/reviewed September 8, 2013

Figure 10-7: Case Details Page After Request Withdrawn

10.4 Schools That Submitted a Request for Servicing Records for Multiple Cohort Years

Each year is treated separately for Fee Request purposes, and you can decide differently for each year in the case. If you want to withdraw multiple years for which a fee was requested, you should proceed with the steps described under Chapter 10.3. You may either:

- Select all years to be withdrawn at once, or
- Repeat the steps to withdraw each cohort year separately.

11. DATA MANAGER: DOCUMENT FEE DISPOSITION

11.1 Fee Disposition – In General

If the School withdrew its request for servicing records following a fee request, the Data Manager does not need to take further action for the year(s) withdrawn. Otherwise, it is the Data Manager's responsibility to document the outcome of a fee request in eCDR Appeals.

To document what occurred with the Fee Request, select the "Mark Fee Paid" located in the Case Processing Actions section of the Case Details page (Figure 11-1). *(Note: This action is equally used to document whether a fee was paid or not paid.)*

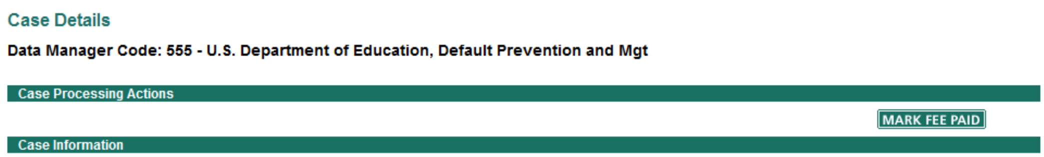


Figure 11-1: "Mark Fee Paid" action button on the Case Details Page

This will open the Fee Disposition for Loan Servicing Records Request data entry page (Figure 11-2), where you can document and submit the fee disposition information.

Figure 11-2: Fee Disposition for Loan Servicing Records Request data entry page

11.2 When Fee Is Paid

On the Fee Disposition for Loan Servicing Records Request data entry form (Figure 11-2), you may attach a file if you wish, such as evidence that the fee was paid. Then select the 'Paid' box for the correct year(s). You may add a brief comment. Click "Submit" to save your fee disposition information. The system prompts you to confirm your submission (Figure 11-3).

Data Manager Code: 555 - U.S. Department of Education, Default Prevention and Mgt

Please ensure your fee resolution information is complete.
Please click OK to confirm.

OK CANCEL

Figure 11-3: Confirm Fee Disposition Information

Select “OK” to confirm or “Cancel” to discard your fee disposition action. The system returns to the Case Details Page, where you can see that the status for the DM request has been updated to “Fee Paid” status (Figure 11-4). This new status also shows on the Loans Servicing DM Appeals Details page for the applicable year.

Cohort Year 2009	Data Managers: 1 Defaulted Borrowers: 26 Defaulted Loans: 63						
DM	Year	Borrowers	Loans	Borrower Sample Size	Sampled Loans	Sampling Method	Status
555	2009	26	63				Fee Paid

Figure 11-4: Cohort Year Table Showing Fee Paid Status

When you request a fee, you must document that the fee requested was paid before proceeding to upload and submit servicing records. Go to Chapter12, Data Manager: Prepare and Submit Servicing Records once you are done with documenting that the fee has been paid.

Changing the Data Manager

If you need to redirect one or more loans in the request for servicing records for which a fee has been paid, see Chapter 9.5, When the DM Needs to Change Data Manager.

11.3 When Fee Is Not Paid Timely

The School has fifteen (15) days from your request to pay the fee. If the school does not pay the fee, and has not withdrawn its request, you should document that the fee was not paid.

You can readily identify Schools that are past the deadline for paying the fee by consulting the LSA Records Requests with Fees Past Due Current Status Report. You should not automatically mark these as not paid, but the listing reminds you to check your records for a possible payment. Select the Reports Menu and Current Status submenu to display the Current Status Reports (Figure 11-5). Link or scroll down to the Fees Pas Due report.

Status reports

- DM Adjustments That Require Response Within 7 Days
- DM Adjustments That Require Response
- Clarification Requests for DM Adjustments
- Additional Data Requests for DM Adjustments from FSA
- LSA Servicing Records Requests
- LSA Clarification and Additional Data Requests
- LSA Records Requests with Fees Past Due

Figure 11-5: Current Status Reports - Fee Past Due Report

Although the report may not contain any records, as is the case in the example below, you should check it on a regular basis (Figure 11-6).

Loan Servicing Appeals Fee Past Due Report

OPEID	Case File Id	Case Type	Date Fee Requested	Number of Days Past Due to Pay Fees
No data matches criteria for report.				

Figure 11-6: LSA Fee Past Due Report Layout

Using the same Fee Disposition for Loan Servicing Records Request data entry form (Figure 11-2), and generally the same steps just described under Chapter 11.2, you may attach a file if you wish, such as a communication received from the school outside the system that indicates that the school does not plan to pay the fee. Select the 'Not Paid' box for the correct year(s). Click "Submit" to save your fee disposition information. The system prompts you to confirm your submission (Figure 11-3). Select "OK" to confirm. The system returns to the Case Details Page, where you can see that the status for the DM request has been updated to "Fee Not Paid on time" status (Figure 11-7). This new status also shows on the Loan Servicing DM Appeals Details page for the applicable year.

Cohort Year 2009				Data Managers: 1 Defaulted Borrowers: 3 Defaulted Loans: 3			
DM	Year	Borrowers	Loans	Borrower Sample Size	Sampled Loans	Sampling Method	Status
555	2009	3	3				Fee Not Paid On Time

Figure 11-7: Cohort Year Table Showing Fee Not Paid On Time Status

11.4 If Fee Disposition Information Needs to Be Amended

In the event you need to make a modification to your Fee Disposition information due to an error, you can update the data by selecting the "Update Fee Disposition" action button that appears in the Case Processing Actions section of the Case Details Page once you have documented fee disposition.

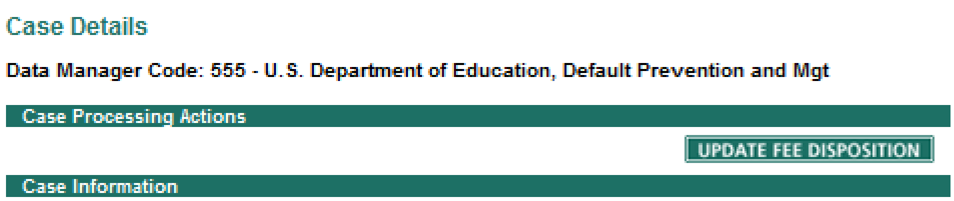


Figure 11-8: Case Details Page Showing Update Fee Disposition Button

11.5 When School Responded Differently to Fee Request for Different Years in a Multiyear LSA Case

Each year is treated separately for Fee Request purposes, and the school may have decided differently for each year in the case. Fee disposition is documented from selecting the "Mark Fee

Paid" or "Update Fee Disposition" button located in the Case Processing Action section of the Case Detailed page.

If you want to document a different fee disposition for each year in the multiyear case, you should proceed with the steps described earlier in this chapter. You may either:

- Document fee disposition for all years at once, using the "Mark Fee Paid" button, or
- Use the "Update Fee Disposition" button to update each cohort year separately after you initially document fee disposition for one year.

12. DATA MANAGER: PREPARE AND SUBMIT SERVICING RECORDS

12.1 Preparing Servicing Records Outside of eCDR Appeals

Preparing Servicing Records

Based on the review of the School's request you completed in accordance with Chapter 9, you have identified the borrowers for whom you must provide servicing records to the school.

You must prepare and finalize these records outside eCDR Appeals, and return to the system once the servicing records files are ready to be uploaded. You may upload material over a period of several sessions and save your work in progress each time before submitting your full response.

Note: You may include servicing records in a ZIP/compressed file. We caution, however, that there is browser compatibility requirements to access the ZIP file after it is uploaded. The user can only open/save the file when accessing the application with recent browsers (Chrome, Firefox or Internet Explorer 9 (or later)). ZIP files cannot be accessed when using Internet Explorer 8 or earlier versions.

Preparing a "DM Spreadsheet" and Correspondence

DM Spreadsheet

Although adding a "DM Spreadsheet" is not mandatory, it is encouraged. You may use this format to address as many or as few borrowers as you want. Like other servicing records, the "DM Spreadsheet" should focus on borrowers in a single cohort year.

The Data Manager should always include a "DM Spreadsheet" when the DM is aware of missing or illegible records for certain borrowers in a given cohort year. This will reduce unnecessary clarification requests by the School. When the Data Manager uses the "DM Spreadsheet" to identify key servicing dates and actions that are otherwise documented in the servicing records provided, it generally facilitates the School's work in reviewing those servicing records.

The steps for uploading a "DM Spreadsheet" are the same as for uploading servicing records files. Follow the steps described in Chapter 12.2.

Useful Tips for Starting Your DM Spreadsheet

How to start the DM Spreadsheet is entirely up to the Data Manager. Let us point out three possible starting points that might reduce the amount of data entry or editing required.

As a first option, you can obtain a DM Spreadsheet from the OPD website by visiting the following link. http://www.ifap.ed.gov/DefaultManagement/guide/TemplatesSpreadshts.html This template offers the approved format for the spreadsheet. All data must be manually entered, including borrowers' names and social security numbers, and the Data Manager's code.

As a second option, you can export the listing of borrowers for whom you are required to provide servicing records. Refer to our discussion of "The Loan Servicing DM Appeals Page – aka "The DM Page"" under Chapter 2.6: The Primary LSA Screens. In particular, Figure 2-8 on page 26 provides an Example Excel Spreadsheet Export obtained in this manner.

The advantage of this approach is that the spreadsheet is populated for you with all borrowers' name and social security number, number of defaulted loans and the Data Manager code.

A third option might be available to you, if your internal systems enable you to extract/export key servicing information in a format consistent with the DM Spreadsheet template.

Is There a Prescribed File Format for the DM Spreadsheet?

No, although there are a few restrictions. Additionally, certain formats may be helpful to the school in preparing the School Spreadsheet:

- When provided, the DM Spreadsheet must be a <u>table listing with columns</u> consistent with that described in the CDR Guide.

- If you are responding to a multiyear case and intend to provide a DM Spreadsheet for more than one year in the case, you must provide a <u>separate DM Spreadsheet for different cohort years</u>.

- If you provide the DM Spreadsheet as a workbook / spreadsheet in its native form (e.g., MS Excel, Apache OpenOffice Calc) rather than as a PDF file, this may prove helpful to the School when they perfect their LSA case. You should mark the finalized document "Read Only" or "Mark as Final".

Correspondence

Adding a transmittal letter or other correspondence is not required. If you elect to do so, you should provide a meaningful file description. For multiyear cases, your correspondence should be year specific (i.e., the file is always attached to the Loan Servicing DM Appeal Details page, and not to the Case Details page).

The steps for uploading a correspondence document are the same as for uploading servicing records or "DM Spreadsheet" files. Follow the steps described in Chapter 12.2.

When School Requested Servicing Records for Multiple Cohort Years

There is a separate Loan Servicing DM Appeals Details page for each cohort year in the case for which the Data Manager was asked for servicing records. Simply repeat the process described in Chapter 12.2 for each cohort year in the case.

12.2 Adding Servicing Records and Other Documents

You must attach at least one file for each cohort year in the case. You may attach as many separate files as you want. Open the Loan Servicing DM Appeal Details page.

As an example, Figure 12-1 below shows Data Manager 777 in the process of uploading servicing records for cohort year 2009. The files already uploaded are located in the lower portion of the LSA DM Information section of the page, just below the comment field, in a segment titled "Servicing Records for Year". There is a "Remove" action button at the right of each file already attached.

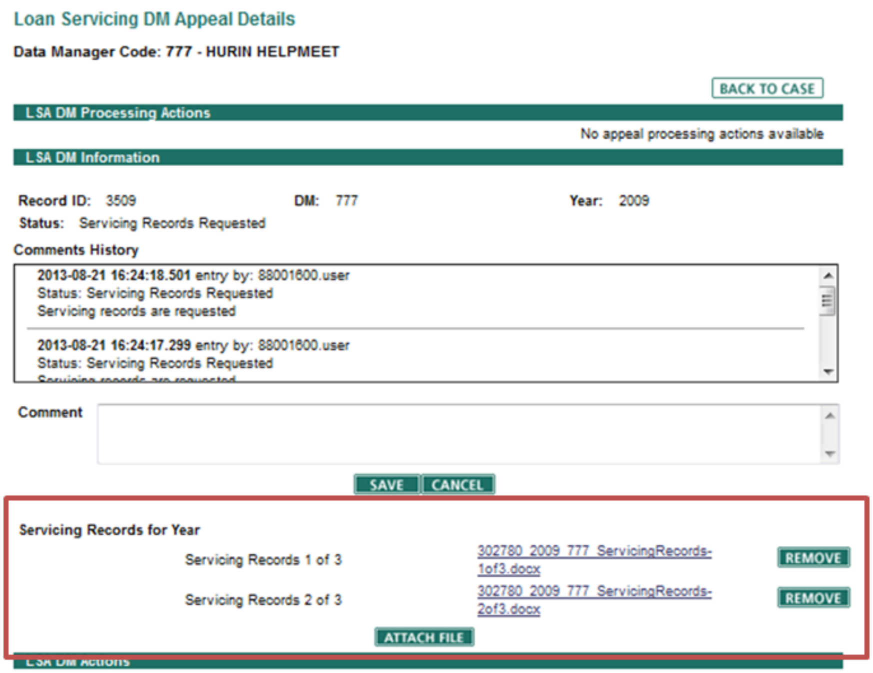


Figure 12-1: Loan Servicing DM Appeal Details Page Used to Attach Servicing Records

Click "Attach File". The system presents the Attachment Upload Page (Figure 12-2), where you browse your local computer to select the file you want to upload. Enter a short file description. This description will show on all display screens and should be informative as to the contents or purpose of the file.

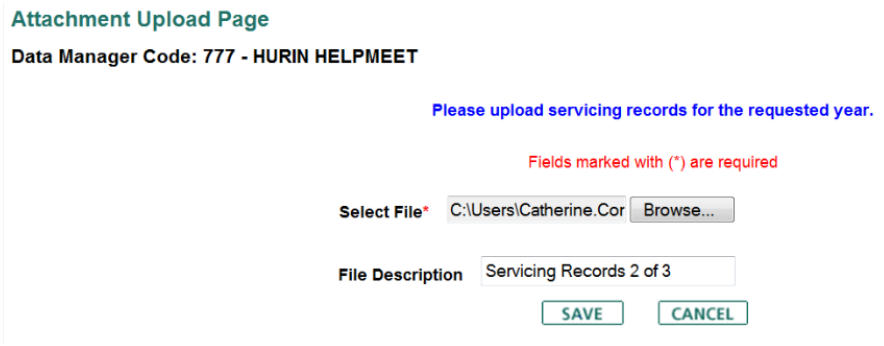


Figure 12-2: Attachment Upload Page

Click "Save" to upload the file. The file now displays on the Loan Servicing DM Appeal Details Page. You can repeat these steps to add more files.

Click the "Remove" button located at the right of the files you saved to remove any document uploaded in error (see Figure 12-1). If you just want to modify the file description, you must remove the file, and upload the file again. *(Note: once documents are submitted to the school, they can no longer be removed.)*

The system will allow you to submit your response as soon as you have attached a single file for each year in the case. It is the Data Manager's responsibility to verify that you have attached all necessary files.

12.3 Adding a Comment

The Loan Servicing DM Appeal Details page includes a Comment data entry field. You may add a comment about the material you are submitting for the cohort year. As shown on Figure 12-1 above, there is a "Save" / "Cancel" button pair just below the comment entry box. Make sure to "Save" your comment using this button. It will not otherwise be saved to the system.

Comments should be brief and might explain what documents have been attached. When you need to provide substantive information about given borrowers or a lengthy explanation about the attachments you provide, it is best to do so by uploading a correspondence attachment.

12.4 Submitting Servicing Records to the School

You must have Case Response Manager role to submit your response to the School.

Once at least one file has been uploaded for each year in the case, and providing you are within the applicable twenty (20) days deadline, a "Respond" action button appears on the Case Processing Actions section of the Case Details Page (Figure 12-3).

Make sure that you have included all requested servicing records and any "DM Spreadsheet" and correspondence you prepared before responding to the School. All years in the case are submitted at once, and you cannot add material unless the School requests clarification.

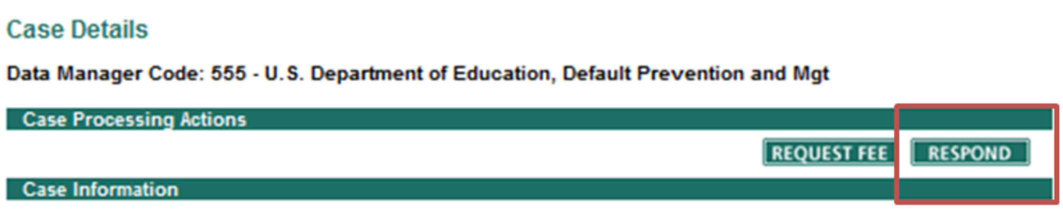


Figure 12-3: Respond Action Button On Case Details Page

Select the "Respond" button. The system will prompt you to confirm your intent to submit the servicing records to the School (Figure 12-4). Select "OK" to complete your submission, and "Cancel" to return without submitting your response.

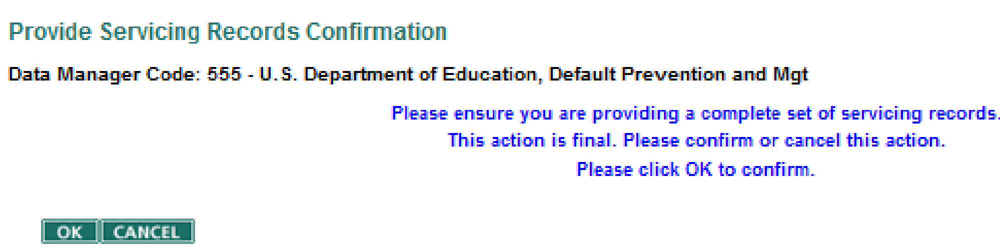


Figure 12-4: Provide Servicing Records Confirmation Page

After you confirm your submission, the system returns you to the Current Cases page where you can see in the Response Due Date column the date you responded to the school with servicing records, as shown in Figure 12-5 below (Responded on [DATE]). *(Note: The Current Cases page displays the Status for the entire case. If some Data Manager responses are still outstanding, the Case Status remains "Servicing Records Requested" and when all Data Managers have responded, the Case Status is now "Being Prepared". A DM Servicing Records Request Status of "Servicing Records Provided" can be viewed on the cohort year table(s) of the Case Details page as well as on the Loan Servicing DM Appeal Details page(s).*

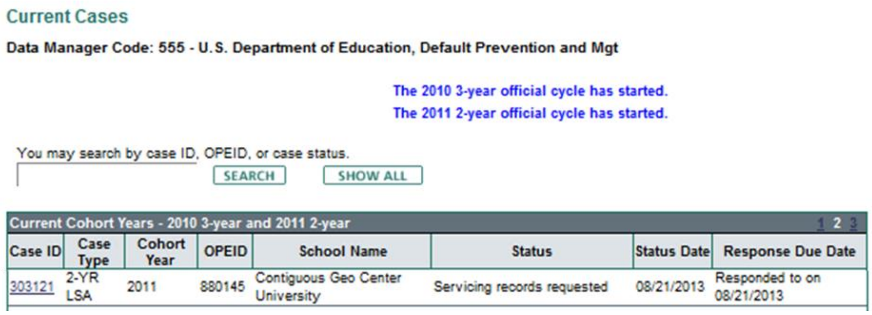


Figure 12-5: Current Cases Page As Viewed By DM 555 - Shows Date Reponded

12.5 What Should the Data Manager do After Submitting Servicing Records?

In general

The data manager may not need to take any further action for this case. The school, however, may request clarification about the servicing records you sent. After the school submits its perfected case to Federal Student Aid, it is also possible that OPD will request clarification.

It is therefore important for the data manager to remain alert to potential requests for clarification so that you can respond to them in a timely manner.

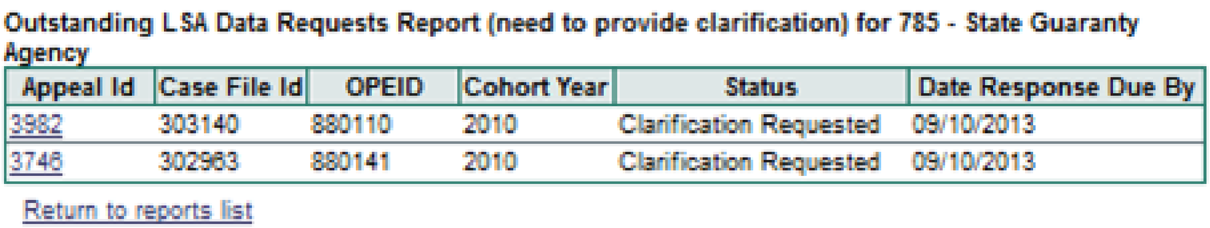
The system does send an email notification to the data manager when clarification is requested. Since emails do not always reach their intended recipients, the data manager should login regularly to determine the status of each DM request for servicing records.

Consulting Reports for Clarification Requests

As discussed on page 50 (Chapter 9.1 - Consulting Reports for Outstanding Requests for Servicing Records), Federal Student Aid has created a report of servicing records responses for which a clarification is requested. Select the Reports menu and the Current Status submenu to display the Current Status Reports.

Figure 12-6: Select Clarification and Additional Data Requests

Select the report link titled "LSA Clarification and Additional Data Requests or scroll down to the report. In the example report below (Figure 12-7), DM 785 is asked for clarification for cohort year 2010 in Case File ID 303140 and Case File ID 302963.



Outstanding LSA Data Requests Report (need to provide clarification) for 785 - State Guaranty Agency

Appeal Id	Case File Id	OPEID	Cohort Year	Status	Date Response Due By
3982	303140	880110	2010	Clarification Requested	09/10/2013
3746	302963	880141	2010	Clarification Requested	09/10/2013

Return to reports list

Figure 12-7: Examplar of Outstanding LSA Data Requests Report

Select the Appeal ID in the first column of the report (a clickable field) to open the Loan Servicing DM Appeal Details page for which clarification is requested.

For further details on how to respond to the School's request for clarification, see Chapter 15, Data Manager: Respond to Clarification Request.

13. SCHOOL: REVIEW SERVICING RECORDS PROVIDED BY DM

13.1 Determining DMs Have Responded

As we discussed under Chapter 8.4,What Should the School Do After Submitting the Request for Servicing Records?, Data Managers' responses will likely arrive at different times, and you can identify those who have responded by consulting the Case Details Page of your LSA case(s).

Where the DM Servicing Records Request Status is "Servicing Records Submitted" (*or "Clarification Provided" – more on this later*), the Data Manager has provided servicing records you should review. In the example on Figure 13-1, DM 777 has submitted servicing records.

Loan Servicing Records

Current Cohort Year 2011 — Data Managers: 4 Defaulted Borrowers: 139 Defaulted Loans: 331

DM	Year	Borrowers	Loans	Borrower Sample Size	Sampled Loans	Sampling Method	Status
555	2011	20	48				Fee Not Required
777	2011	108	266	86	204	Systematic Sequential Sampling	Servicing Records Submitted
785	2011	6	8				Servicing Records Requested
888	2011	5	9				Servicing Records Requested

Cohort Year 2010 — Data Managers: 4 Defaulted Borrowers: 159 Defaulted Loans: 387

DM	Year	Borrowers	Loans	Borrower Sample Size	Sampled Loans	Sampling Method	Status
555	2010	20	48				Fee Requested For Providing Servicing Records
777	2010	120	297	92	231	Systematic Sequential Sampling	Servicing Records Submitted
785	2010	14	33				Servicing Records Requested
888	2010	5	9				Servicing Records Requested

Cohort Year 2009 — Data Managers: 4 Defaulted Borrowers: 157 Defaulted Loans: 378

DM	Year	Borrowers	Loans	Borrower Sample Size	Sampled Loans	Sampling Method	Status
555	2009	26	63				Fee Requested For Providing Servicing Records
777	2009	109	269	86	208	Systematic Sequential Sampling	Servicing Records Submitted
785	2009	6	8				Servicing Records Requested
888	2009	16	38				Servicing Records Requested

Figure 13-1: Lower Portion of Case Details Page Shows One DM Has Submitted Servicing Records

Note that once <u>all</u> Data Managers involved in the LSA case have responded to your request for Servicing Records, the Case Status changes to "Being Prepared" (Figure 13-2). At that point, you have 30 days to submit a perfected case, unless clarifications are still necessary.

Current Cohort Years - 2010 3-year and 2011 2-year — 1

Case ID	Case Type	Cohort Year	OPEID	School Name	Status	Status Date
303160	2-YR LSA	2011	880016	Geographic Center University	Being prepared	08/21/2013

Figure 13-2: Current Cases Page Shows Case In Being Prepared Status

13.2 Viewing Servicing Records on the LSAppeal Details Page

From the Case Details Page, click on the "Current Cohort Year 2011" title located in the header of the 2011 cohort year table (Figure 13-3).

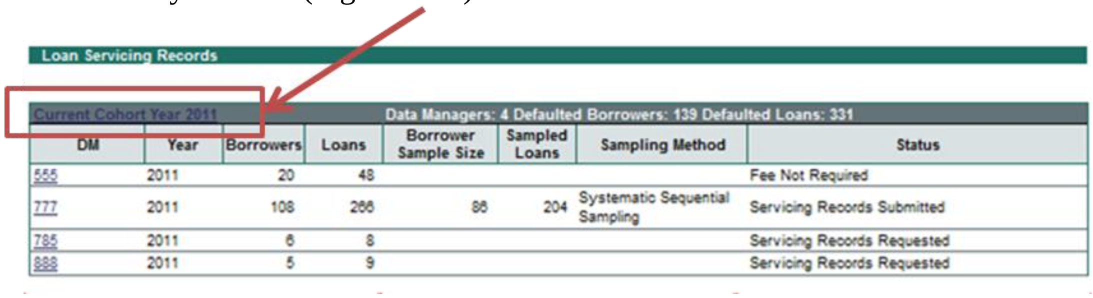


Figure 13-3: Cohort Year Table On Case Details Page Showing Cohort Year Title

The system opens the LSAppeal Details page for the cohort year selected (Figure 13-4).

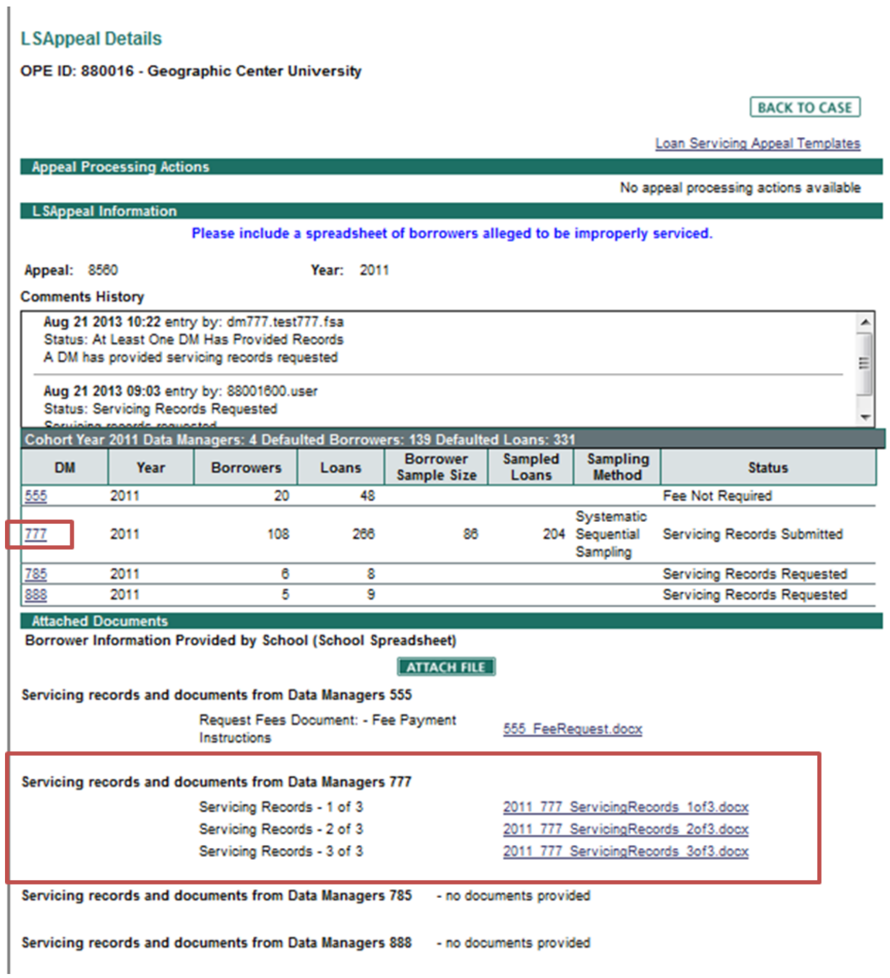


Figure 13-4: LSAppeal Details Page for Year 2011

This page offers an aggregate view of all material provided by all Data Managers thus far. In our example, DM 777 has submitted servicing records. The files are located in the "Attached

Documents" section of the page, under the label "Servicing records and documents from Data Manager 777". You may click on each attached document to open it or save it locally.

Above the Attached Documents section of the LSAppeals Details page, you find the cohort year table that identifies summary statistics and status for each DM in the case.

Note: In the event the Data Manager has included servicing records in a ZIP/compressed file, please note browser compatibility requirements. You can only open/save the ZIP file when accessing the application with recent browsers (Chrome, Firefox or Internet Explorer 9 (or later)). ZIP files cannot be accessed when using Internet Explorer 8 or earlier versions.

Viewing the "DM Spreadsheet"

For purpose of the eCDR Appeals system, a DM Spreadsheet, when provided, is treated the same way as other Servicing Records documents. Therefore, if the Data Manager provided a DM Spreadsheet as is shown on Figure 13-5, it is located amongst other files provided by the DM.

Servicing Records for Year

Servicing Records - 1 of 3	2009_777_ServicingRecords_1of3.docx
Servicing Records - 2 of 3	2009_777_ServicingRecords_2of3.docx
Servicing Records - 3 of 3	2009_777_ServicingRecords_3of3.docx
DM Spreadsheet - Missing Records Listing	2009_777_DMspreadsheet.xls

Figure 13-5: Servicing Records for Year Showing a DM Spreadhseet

13.3 Accessing Borrower Loan Details from the Loan Servicing DM Appeal Details Page

If you want to view borrower loan details, you must first access the Data Manager's Loan DM Appeal Details page for the correct cohort year.

From the 2011 LSAppeals Details page, click DM code 777. The system opens the Loan Servicing DM Appeal Details page for DM 777 for cohort year 2011 (Figure 13-6).
(Note: From the Case Details page, you can also click on DM777 in the 2011 cohort year table).

Just below the comments section, you will find the Servicing Records for the Year that DM 777 has provided. These are the same documents also displayed on the LSAppeals Details page.

In the lowest portion of the page, there is the table of all the borrowers for whom servicing records were to be provided. To view what loans are involved in the case, click on a Borrower ID (SSN/Name).

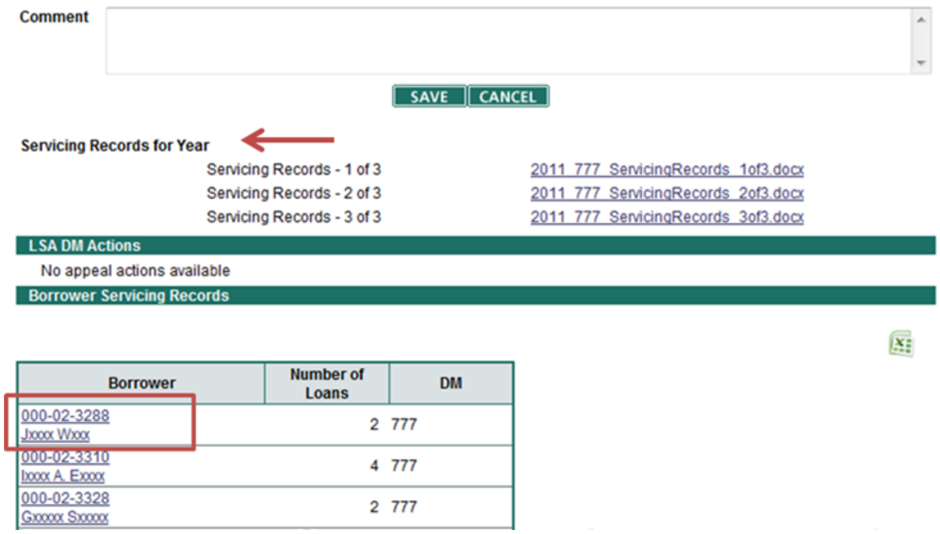


Figure 13-6: Loan Servicing DM Appeal Details Page for DM 777

The system opens the Borrower Loan Servicing Information for LSA page for the individual you selected (Figure 13-7), and displays a table of loan details. This page also displays links to the servicing records DM 777 submitted. *(Note: all files submitted by the DM are displayed here; they likely cover multiple borrowers).*

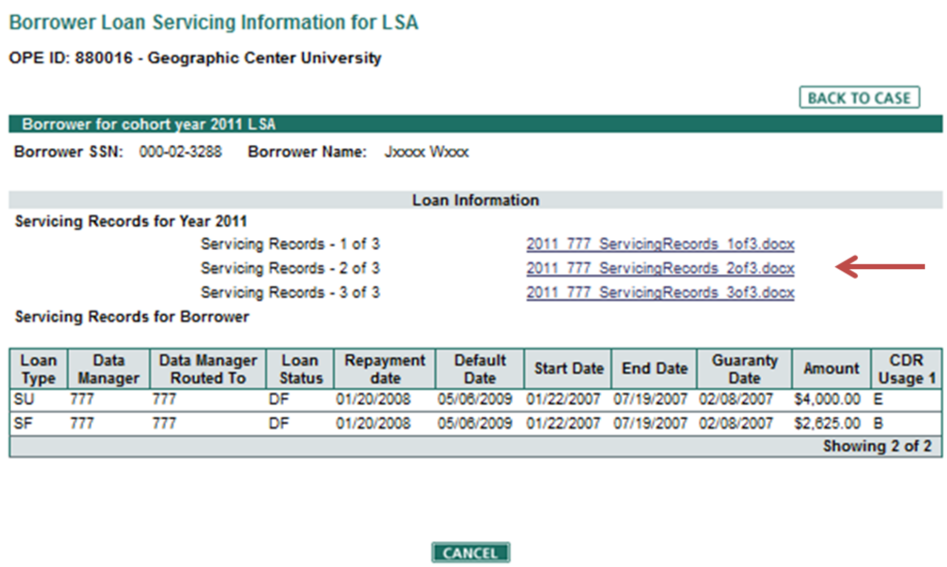


Figure 13-7: Borrower Loan Servicing Information For LSA – Defaulted Loans Details

Repeat these steps to view the defaulted loans of other borrowers in the case.

13.4 When Viewing A Multiyear Case

The process is the same as for viewing a single year case. For multiyear cases, you will simply need to repeat the process for each year in the case. There is an LSAppeal Details page for each cohort year in the case, and a Loan Servicing DM Appeal Details page for every Data Manager (by year) in the case.

13.5 *Reviewing a Data Manager's Response to a Request for Clarification*

Chapter 14 discusses the process for a School to request clarification from a Data Manager about the servicing records they submitted.

In the event you request clarification, your review of the Data Manager's response is extremely similar to that just discussed, and we present the differences here.

You can identify those Data Managers who have responded to your request for clarification by consulting the Case Details Page of your LSA case(s).

Where the DM Servicing Records Request Status is "Clarification Provided", the Data Manager has provided clarification material you should review.

In the example on Figure 13-8 below, two Data Managers have provided clarification in response to your request. DM 777 has provided clarification for cohort year 2010 and DM 888 has provided clarification for cohort year 2009.

Current Cohort Year 2011	Data Managers: 4 Defaulted Borrowers: 139 Defaulted Loans: 331						
DM	Year	Borrowers	Loans	Borrower Sample Size	Sampled Loans	Sampling Method	Status
555	2011	20	48				Servicing Records Submitted
777	2011	108	266	86	204	Systematic Sequential Sampling	Servicing Records Submitted
785	2011	6	8				Servicing Records Requested
888	2011	5	9				Servicing Records Submitted

Cohort Year 2010	Data Managers: 4 Defaulted Borrowers: 159 Defaulted Loans: 387						
DM	Year	Borrowers	Loans	Borrower Sample Size	Sampled Loans	Sampling Method	Status
555	2010	20	48				Appeal Withdrawn
777	2010	120	297	92	231	Systematic Sequential Sampling	Clarification Provided
785	2010	14	33				Servicing Records Requested
888	2010	5	9				Servicing Records Submitted

Cohort Year 2009	Data Managers: 4 Defaulted Borrowers: 157 Defaulted Loans: 378						
DM	Year	Borrowers	Loans	Borrower Sample Size	Sampled Loans	Sampling Method	Status
555	2009	26	63				Fee Not Paid On Time
777	2009	109	269	86	208	Systematic Sequential Sampling	Servicing Records Submitted
785	2009	6	8				Servicing Records Requested
888	2009	16	38				Clarification Provided

Figure 13-8: Case Details Page Showing DMs Who Have Provided Clarification

Like for other servicing records document, the clarification documents provided will be displayed on:

- the LSAppeal Details page for the year for which it was provided,
- the Loan Servicing DM Details page for the same year, for the DM who provided it, and
- the Borrower Loan Servicing Information for LSA page for each borrower in the cohort year, whose loans are held by that DM.

Open these locations to review the material. All documents that are associated with clarification requests and response are marked "Clarification Request Document", a label that is followed by the file description the Data Manager entered, if any (Figure 13-9 shows an example where the Data Manager provided two new attachments as clarification).

Figure 13-9: Servicing Records for Year With Clarification Documents

The Data Manager's clarification comments are viewed on the Loan Servicing Details DM page. You may need to scroll down the Comments History a couple of entries to view the comment.

See Figure 13-10 for an example LSA DM Information section after the DM has responded to the School's clarification request.

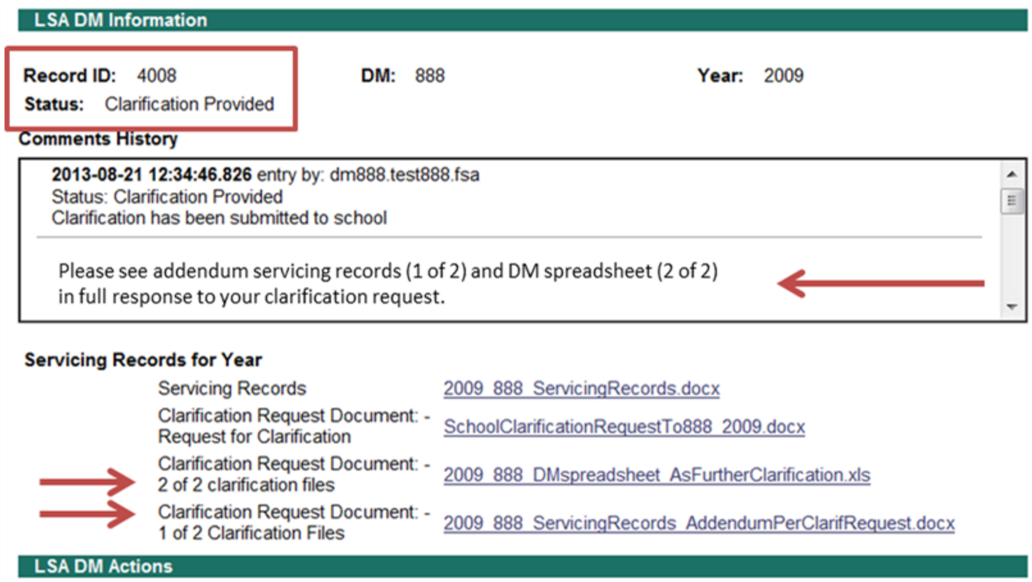


Figure 13-10: Loan Servicing DM Appeal Details Page Showing DM Response to Clarification Request

13.6 Preparing the "School Spreadsheet" outside eCDR Appeals

The "School Spreadsheet" contains the School's listing of borrowers the School is alleging were improperly serviced. This listing is prepared entirely outside of eCDR Appeal.

This user guide is exclusively intended to describe the mechanics of preparing the "School Spreadsheet" for purpose of uploading it to eCDR Appeals once it is finalized. If you have questions about what borrower and loan servicing information should be included in the School Spreadsheet, or about what constitutes an "improperly serviced" loan (borrower) for cohort default rate purposes, please consult Chapter 4.6 of the CDR Guide or contact OPD.

Once you have finalized it after all Data Managers have responded, you will upload the School Spreadsheet to eCDR Appeals while perfecting your LSA case. Refer to Chapter 16.4: Finalizing and Uploading the "School Spreadsheet" for details.

When Should the School Start Preparing the School Spreadsheet?

It is entirely up to the School. The School may wait until it has received servicing records from all Data Managers to start preparing the School Spreadsheet. The School can also build that document over time, as servicing records are received and reviewed. Regardless of your approach you must finalize the spreadsheet in time to meet the prescribed perfected case submission deadline.

Is There a Prescribed File Format for the School Spreadsheet?

No, although there are some restrictions. Additionally, OPD has certain preferences Federal Student Aid would appreciate if you can meet.

Please note the following about the finalized School Spreadsheet and eCDR Appeals:

- The School Spreadsheet must be a <u>table listing with columns</u> consistent with that described in the CDR Guide.

- You must provide a <u>single document for a given cohort year.</u>
  - The system will not allow you to upload multiple documents.
  - If you would like to keep different Data Managers on different listings, you can do so by including several TABS (pages) within a single workbook.

- If you are submitting a multiyear case, you must provide a <u>separate School Spreadsheet for each cohort year in the case</u>.

- Federal Student aid prefers receiving the School Spreadsheet as a workbook / spreadsheet in its native form (e.g., MS Excel, Apache OpenOffice Calc) rather than as a PDF file.
  - This will help OPD in its preparation of the Enclosures to the Decision Letter. *(Note: Enclosures to the Decision Letter list FSA's decision for each and every borrower you allege was improperly serviced for CDR purposes, and includes FSA's conclusions about the loan servicing dates and actions pertinent to that borrower.)*
  - If you do not have a spreadsheet software program available to you, you could also submit a word document where borrowers are presented in a table (e.g., MS Word, Apache OpenOffice Writer).
  - You should mark the finalized document "Read Only" or "Mark as Final".

Useful Tips for Starting Your School Spreadsheet

How to start the School Spreadsheet is entirely up to the School. Let us point out three possible starting points that might reduce the amount of data entry or editing required.

As a first option, you can obtain a School Spreadsheet from the OPD website by visiting the following link. http://www.ifap.ed.gov/DefaultManagement/guide/TemplatesSpreadshts.html

You can find a link to this site titled “Loan Servicing Appeal Templates” conveniently located on every LSAppeal Details page of LSA cases, just below the “Back to Case” action button, and above the Appeal Processing Actions section of the page, as shown on Figure 13-11.

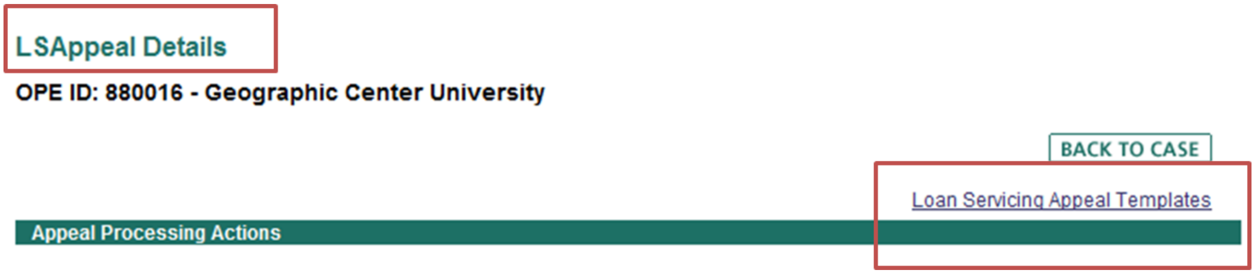


Figure 13-11: Location of Link To Approved Template For School Spreadsheet

This template offers the approved format for the spreadsheet. All data must be manually entered, including borrowers’ names and social security numbers, and the Data Manager’s code.

As a second option, you can export the listing of borrowers for whom the Data Manager was required to provide servicing records. You must do so individually for each Data Manager (and in each year if a multiyear case). Refer to our discussion of “The Loan Servicing DM Appeals Page – aka “The DM Page”” under Chapter 2.6: The Primary LSA Screens. In particular, Figure 2-8 on page 26 provides an Example Excel Spreadsheet Export obtained in this manner.

The advantage of this approach is that the spreadsheet is populated for you with the borrower’s name and social security number, number of defaulted loans and Data Manager code.
The disadvantage is that you must remove all rows (borrowers) that are not alleged “improperly serviced”. Since this must be done manually it may be more time consuming than using the first method proposed. In this approach, you must also eventually consolidate all DM listings into a single workbook.

As a third option, if the Data Manager provided a “DM Spreadsheet” along with its servicing records or as response to a clarification request, that document can prove an excellent starting point since the Data Manager will have included in this document some servicing information for at least some borrowers. Simply select that document and save it to your local computer for editing. You will need to consolidate all DM listing into a single workbook as for the second option. It is not likely that all Data Managers will provide a “DM Spreadsheet” but this may be a useful option for some.

14. SCHOOL: REQUEST CLARIFICATION

14.1 Preparing Clarification Request Material

The School prepares the necessary Clarification Request material outside of eCDR Appeals, based on reviewing the servicing records a Data Manager has provided.

Note that Clarification Requests are prepared and submitted in one sitting. In other words, and unlike for other LSA processes, you cannot upload and save some material and return later to submit it. You should therefore prepare ahead of time any file you want to submit as an attachment that describes the details of your clarification request.

In multiyear cases, clarification questions are sent to a Data Manager for a single year at a time. The process is repeated for additional years or additional Data Managers. Clarification request documents you plan to upload must be cohort year specific.

14.2 Requesting Clarification

The School returns to the applicable Loan Servicing DM Appeal Details page once all clarification request material is ready.

Providing you are within the fifteen (15) days deadline for requesting clarification and you do not already have an open request, the LSA DM Processing Actions section of the page shows a "Request Clarification" action button (Figure 14-1).

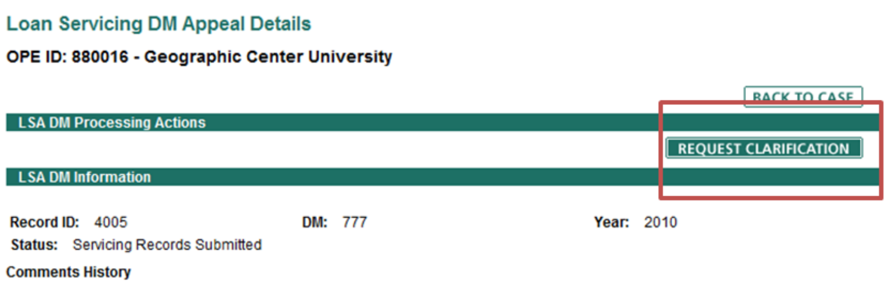


Figure 14-1: Loan Servicing DM Appeal with Request Clarification Button

Click the "Request Clarification" button. The system presents the Clarification Request for LSA data entry page (Figure 14-2).

Note the action buttons on the page:

- At the top right of the page you find the means to go "Back to DM Appeal". This button will return you to the Loan Servicing DM Appeals Page without saving any work.
- At the bottom of the page, you find an "OK" / "Cancel" button pair.
    - "OK" will submit your clarification response to the school. *Note: clicking "OK" completes the submission without further confirmation on your part.*
    - "Cancel" will behave much the same as "Back to DM Appeal". Any work completed will not be saved.
- In the middle of the page, there is an "Attach File" action button, which you will use to upload your clarification file(s).

There is also a Comment data entry box. This is a required field. Please add your comment **after** you have attached files. *Note: If you attach a file after entering your comment, the comment will be removed and you will have to re-enter it.*

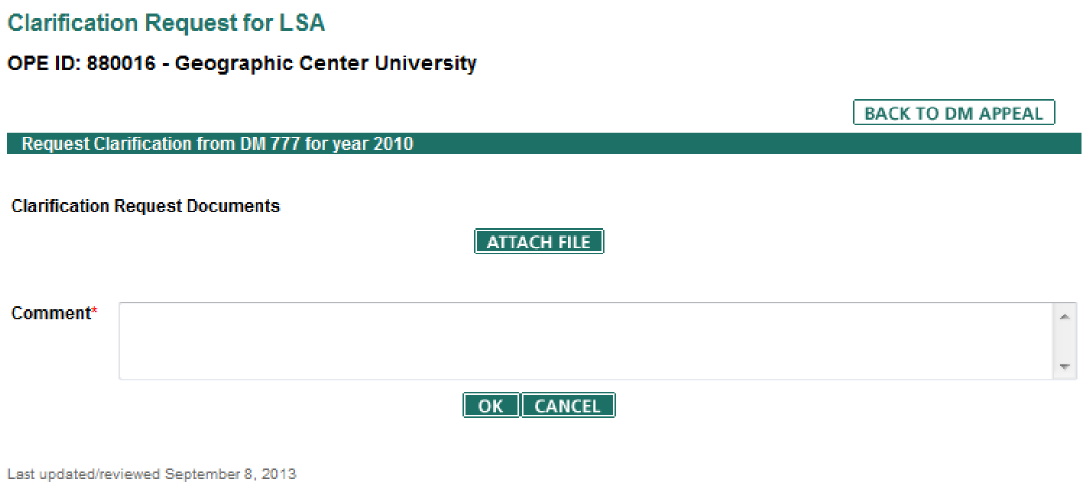


Figure 14-2: Clarification Request for LSA Data Entry Page

Click "Attach File". This opens the Attachment Upload Page (Figure 14-3). Select the clarification request file by browsing your computer. Enter a brief file description. *(Note: When you attach a file using the Clarification Request for LSA data entry page, the system will identify each file you upload as a "Clarification Request Document".)*

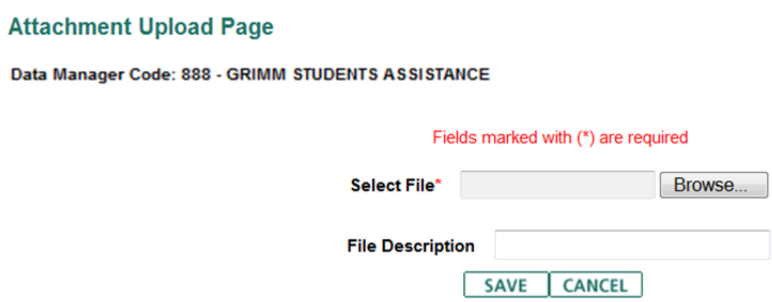


Figure 14-3: Attachment Upload Page

Click "Save" to upload the file. The Clarification Request for LSA page refreshes and now displays the file you just uploaded, immediately below the School's Clarification Request Document (Figure 14-4). Also, there is a "Remove" button at the right of the document you just uploaded. This enables you to remove a document uploaded in error. *(Note: if you just want to modify the file description, you must remove the document and start attaching the file anew.)*

You may remove a clarification request file if you uploaded something in error, as long as you have not clicked "OK" at the bottom of this screen. You may upload several clarification request files if desired. All clarification request files should be year-specific.

Enter a comment in the comment field and ensure your request is correct and complete (Figure 14-4). Click "OK" to submit your clarification request or "Cancel" to return without submitting your request. There is no subsequent confirmation screen for this action.

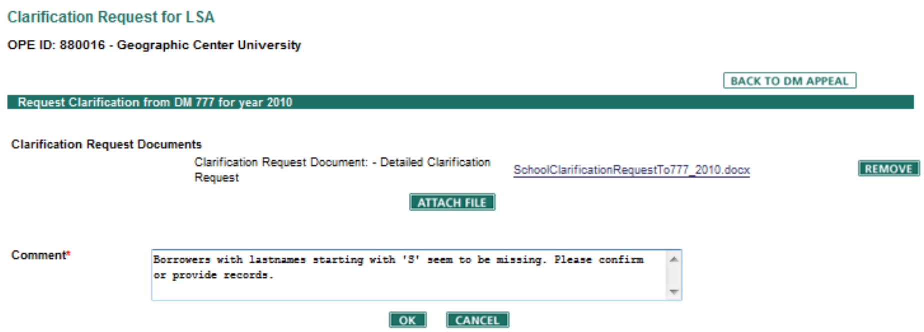


Figure 14-4: Clarification Request for LSA - Ready to Submit

After you click "OK", the system displays an updated Loan Servicing DM Appeal Details Page (Figure 14-5). Elements of note are as follows:

- There is no action button in the LSA DM Processing Actions section of the page
- The DM Servicing Request status has changed to "Clarification Requested".
- The clarification request document(s) you uploaded as part of your request display with the other Servicing Records for Year.
- You can view the comment you included in your clarification request in the Comments History box.

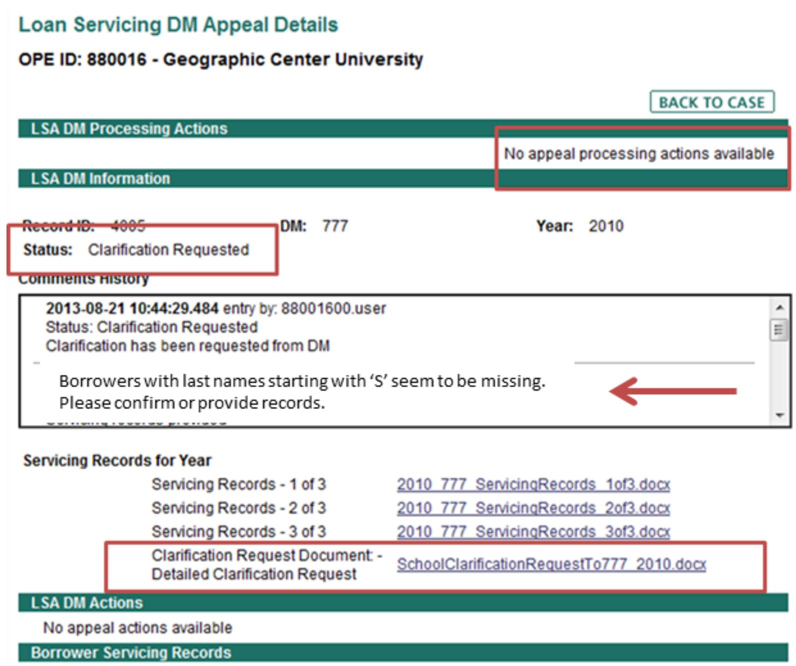


Figure 14-5: Loan Servicing DM Appeals Page After Clarification Requested

The Case Details page also shows an updated status for DM 777, cohort year 2010. Status is now "Clarification Requested" (Figure 14-6).

Repeat this process for any other data manager or year you need clarification about.

Cohort Year 2010	Data Managers: 4 Defaulted Borrowers: 159 Defaulted Loans: 387						
DM	Year	Borrowers	Loans	Borrower Sample Size	Sampled Loans	Sampling Method	Status
555	2010	20	48				Fee Requested For Providing Servicing Records
777	2010	120	297	92	231	Systematic Sequential Sampling	Clarification Requested
785	2010	14	33				Servicing Records Requested
888	2010	5	9				Servicing Records Requested

Figure 14-6: Cohort Year Table After Requested Clarification From One DM

14.3 *What Should the School Do After Requesting Clarification*

The School should be prepared to review the Data Manager's response to a request for clarification. For details, refer back to Chapter 13.5, Reviewing a Data Manager's Response to a Request for Clarification.

You may inquire from a given DM about a given cohort year in the case more than once. A subsequent inquiry may be generated after the data manager responds to the first inquiry, providing it is presented within the deadline, counted from the last response from the data manager. OPD reserves the right to put an end to multiple clarification requests.

15. DATA MANAGER: RESPOND TO CLARIFICATION REQUEST

15.1 Viewing the Clarification Request

As discussed on page 74 (Chapter 12.5: What Should the Data Manager do After Submitting Servicing Records?), the Data Manager identifies Clarification Requests from the School by consulting the Current Status Reports. Select the Report menu, Current Status submenu.

Follow the link titled "LSA Clarification and Additional Data Requests" or browse down to the Outstanding LSA Data Requests Report (need to provide clarification), as shown in Figure 15-1.

Outstanding LSA Data Requests Report (need to provide clarification) for 785 - State Guaranty Agency

Appeal Id	Case File Id	OPEID	Cohort Year	Status	Date Response Due By
3982	303140	880110	2010	Clarification Requested	09/10/2013
3746	302963	880141	2010	Clarification Requested	09/10/2013

Return to reports list

Figure 15-1: Example of Clarification Requests Report

Alternatively you have identified a Clarification Request by opening an LSA Case Details page and noted a DM Servicing Records Request status of "Clarification Requested" for a particular cohort year in the case. Figure 15-2 shows that clarification is requested for cohort year 2009.

Current Cohort Year 2011	Data Managers: 1 Defaulted Borrowers: 5 Defaulted Loans: 9						
DM	Year	Borrowers	Loans	Borrower Sample Size	Sampled Loans	Sampling Method	Status
888	2011	5	9				Servicing Records Submitted

Cohort Year 2010	Data Managers: 1 Defaulted Borrowers: 5 Defaulted Loans: 9						
DM	Year	Borrowers	Loans	Borrower Sample Size	Sampled Loans	Sampling Method	Status
888	2010	5	9				Servicing Records Submitted

Cohort Year 2009	Data Managers: 1 Defaulted Borrowers: 16 Defaulted Loans: 38						
DM	Year	Borrowers	Loans	Borrower Sample Size	Sampled Loans	Sampling Method	Status
888	2009	16	38				Clarification Requested

Figure 15-2: Case Details Page Showing a Cohort Year with Clarification Requested Status

Click the link to the Loan Servicing DM Appeal Details. The page opens (Figure 15-3).

In the LSA DM Processing Actions section of the page, there is a "Return Clarification" action button. This button will be used to provide your response, not to view the request. Stay on the present page for now.

In the LSA DM Information section of the page:

- The status is Clarification Requested.

- The School's comment regarding the Clarification Request displays in the Comments History box. You may need to scroll down a comment or two.

- Under Servicing Records for Year, you should find one or more attachments that pertain to the Clarification Request. The file description for such a request will read "Clarification Request Document – [followed by the file description entered by the school]". Open the attachment document(s) by selecting the link (the file name is clickable) and you can save this document outside eCDR Appeals if necessary.
  Note: Although not likely, it is possible that the school only included a comment.

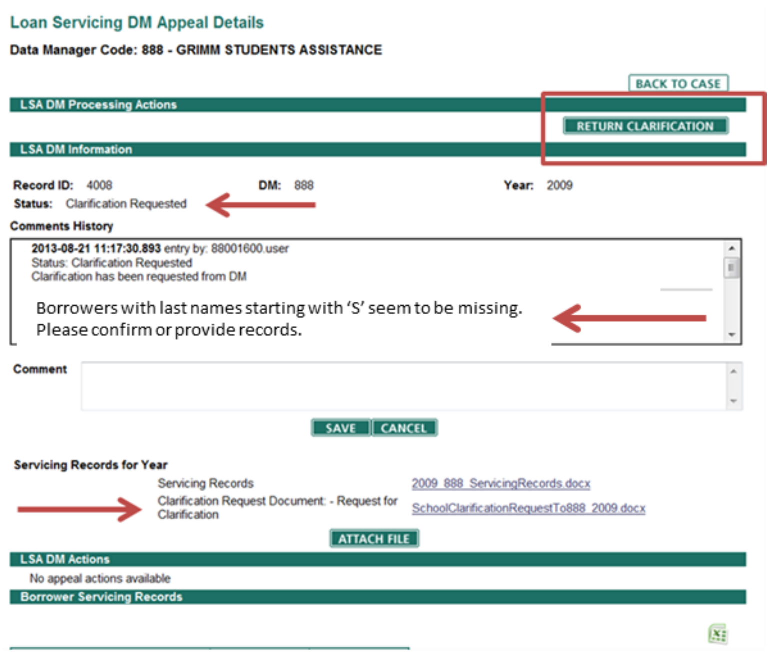


Figure 15-3: Loan Servicing DM Appeal Details Page When Clarification is Requested

Evaluate what the school is inquiring about and how to best respond.

15.2 Preparing Clarification Response Material

The Data Manager prepares the necessary clarification material outside of eCDR Appeals, based on the particulars of the School's request.

Note that responses to Clarification Requests are prepared and submitted in one sitting. You cannot upload and save some material and return later to submit it. This is different from when you initially provided servicing records. You should therefore prepare ahead of time any and all files you want to submit as a clarification.

You may follow guidance provided in Chapter 12.1: Preparing Servicing Records (page 70) to **prepare** the documents you will want to upload. **Warning: Please <u>do not</u> follow the guidance at Chapter 12 to either upload or submit your clarification response.**

For our example scenario, the Data Manager will provide an addendum set of servicing records, as well as a "DM Spreadsheet" as further clarification regarding the cohort year 2009 servicing records. Once this material is ready to upload, the Data Manager logs back in eCDR Appeals.

15.3 Returning Clarification to the School

The Data Manager returns to the applicable Loan Servicing DM Appeal Details page once all clarification material is ready.

Select the "Return Clarification" action button in the LSA DM Processing Action section of the page (Figure 15-4).

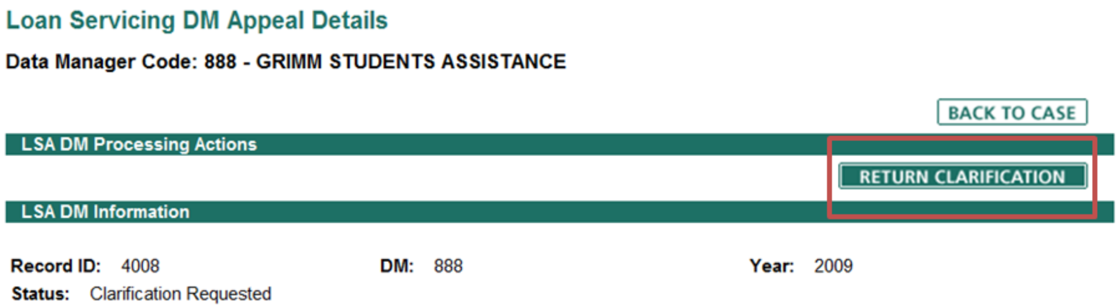


Figure 15-4: Loan Servicing DM Appeal Details Page with "Return Clarification" Button

This action opens the Clarification Request for LSA dialogue page (Figure 15-5).

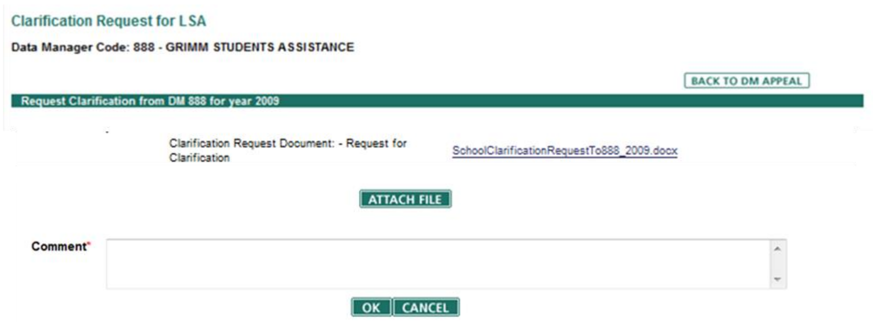


Figure 15-5: Clarification Request for LSA Data Entry Page - Initially

Note the action buttons on the page:

- At the top right of the page you find the means to go "Back to DM Appeal". This button will return you to the Loan Servicing DM Appeals Page without saving any work.
- At the bottom of the page, you find an "OK" / "Cancel" button pair.
  - "OK" will submit your clarification response to the school. *Note: clicking "OK" completes the submission without further confirmation on your part.*
  - "Cancel" will behave much the same as "Back to DM Appeal". Any work completed will not be saved.
- In the middle of the page, there is an "Attach File" action button, which you will use to upload your clarification file(s).

Two other items of note on the page:

- The page displays the Clarification Request Document provided by the School. This is the same document you were able to view from the Loan Servicing DM Appeal Details Page. It is just displayed here for your convenience.
- A Comment data entry box. This is a required field. Please add your comment **after** you have attached files. *Note: If you attach a file after entering your comment, the comment will be removed and you will have to re-enter it.*

Let us build our example response. Click "Attach File". This opens the Attachment Upload Page. Select a clarification file by browsing your computer. Enter a brief file description. *(Note: When you attach a file using the Clarification Request for LSA data entry page, the system will identify each file you upload as a "Clarification Request Document" so your description might focus more on the contents or purpose of the file.)*

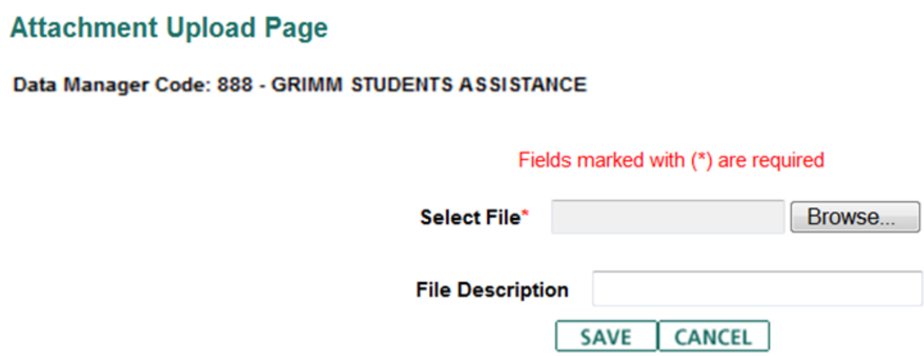


Figure 15-6: Attachment Upload Page

Click "Save" to upload the file. The Clarification Request for LSA page refreshes and now displays the file you just uploaded, immediately below the School's Clarification Request Document (Figure 15-7). Also, there is a "Remove" button at the right of the document you just uploaded. This enables you to remove a document uploaded in error. *(Note: if you just want to modify the file description, you must remove the document and start attaching the file anew.)*

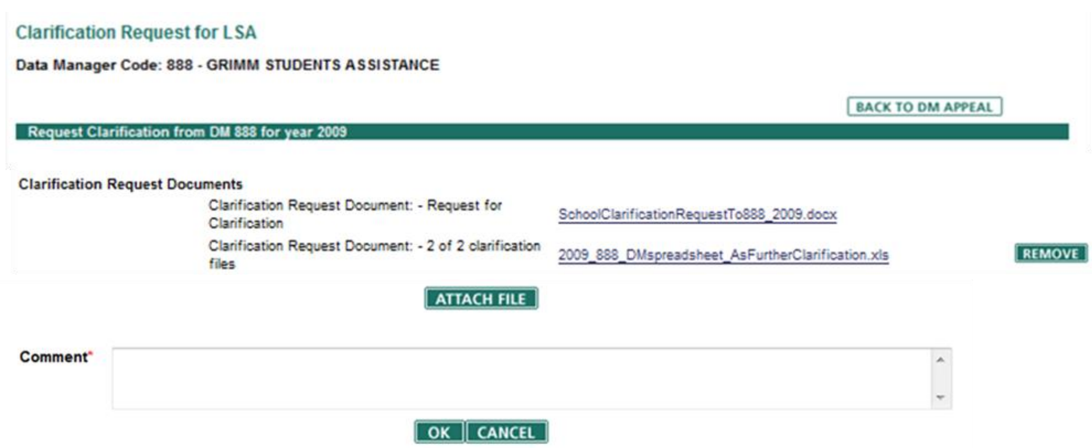


Figure 15-7: Clarification Request for LSA Data Entry Page – After Upload of One Clarification Document

In our example, we attach a second clarification document (also removable), and we type in our comment. See the resulting clarification response material at Figure 15-8 below.

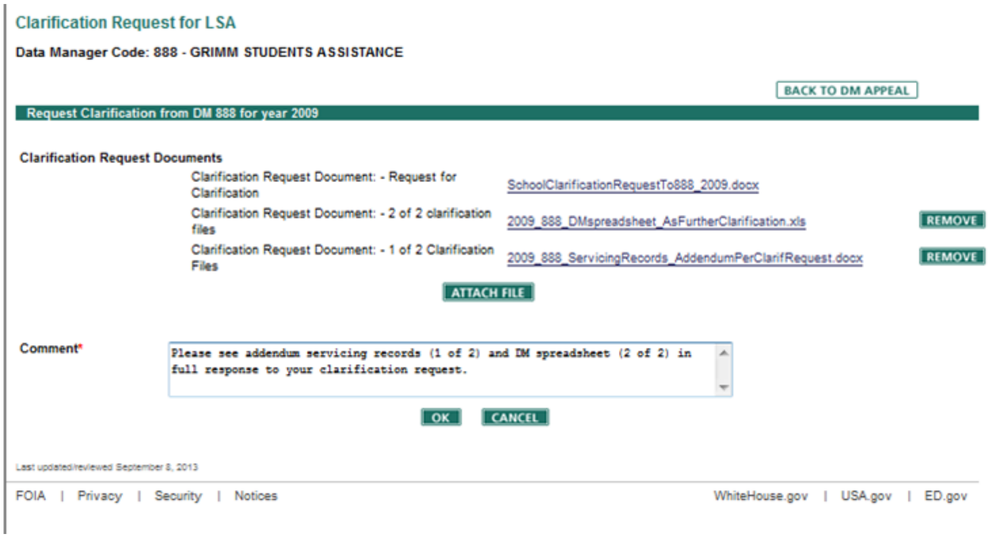


Figure 15-8: Clarification Request for LSA Data Entry Page – After 2nd Document Uploaded and Comments

It is now time to submit your response. Validate that you have attached everything you want to provide.

Click "OK" to submit your response, or "Cancel" to go back to the Loan Servicing DM Appeals Details page without keeping any changes. The system returns to the Loan Servicing DM Appeals Details page.

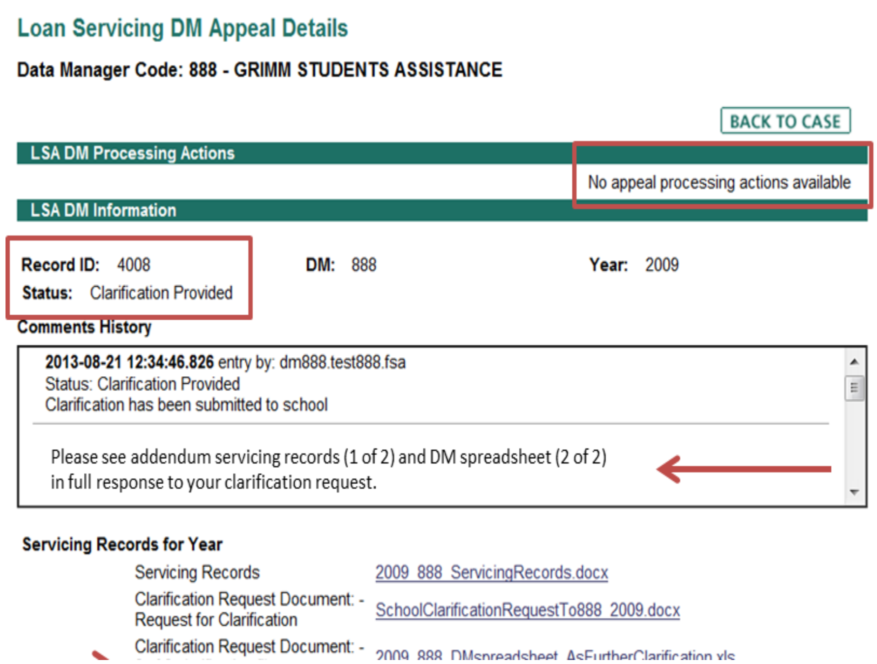


Figure 15-9: Loan Servicing DM Appeal Details Page with Clarification Response

If you clicked "OK" your response displays on the page (Figure 15-9). The Status is now "Clarification Provided." In the Comments History box, you can see the clarification comment you entered. The two documents you uploaded now display in the Servicing Records for Year section of the page.

The Case Details page will also show a revised DM Servicing Records Request status of "Clarification Provided" in the Cohort Year 2009 table (Figure 15-10).

Cohort Year 2009	Data Managers: 1 Defaulted Borrowers: 16 Defaulted Loans: 38						
DM	Year	Borrowers	Loans	Borrower Sample Size	Sampled Loans	Sampling Method	Status
888	2009	16	38				Clarification Provided

Figure 15-10: Case Details Page Showing "Clarification Provided" Status

This request will no longer show on the report of outstanding clarification requests.
The system will send an email notification to the School about your response.

15.4 When the School Requested Clarification for Records in Multiple Cohort Years

Each request for clarification in a multiyear case is independent. Your response for each year in a multiyear case is separate. Simply repeat the process for each year where clarification is requested. *(Note: the Outstanding LSA Data Requests Report lists clarification requests at the cohort year level. There may be multiple entries for a given multiyear case.)*

15.5 What Should the Data Manager do After Responding to a Clarification Request?

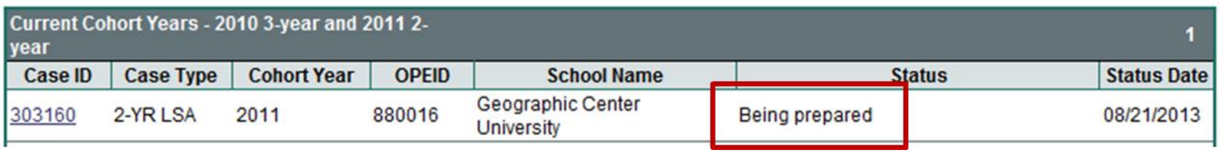
The School may inquire from a given DM about a given cohort year in the case more than once. A subsequent inquiry may be generated after the data manager responds to the first inquiry, providing it is presented within the deadline, counted from the last response from the data manager, although OPD reserves the right to put an end to multiple clarification requests.

So you should remain alert for additional clarification requests. Refer back to Chapter 12.5: What Should the Data Manager do After Submitting Servicing Records? for further details. That guidance fully applies here.

16. SCHOOL: PREPARE AND SUBMIT PERFECTED LSA CASE

16.1 Perfecting the LSA Case – Overview

The case is in "Being Prepared" status (meaning that all Data Managers have responded), as shown on either the table of Current Cases (Figure 16-1), or the Case Details page (Figure 16-2).



Current Cohort Years - 2010 3-year and 2011 2-year						1
Case ID	Case Type	Cohort Year	OPEID	School Name	Status	Status Date
303160	2-YR LSA	2011	880016	Geographic Center University	Being prepared	08/21/2013

Figure 16-1: Current Cases Page Showing "Being Prepared" Status

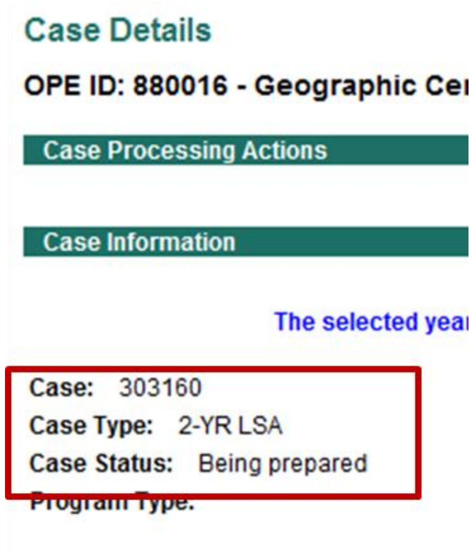


Figure 16-2: Case Details Page Showing "Being Prepared" Status

You have followed the guidance provided in Chapter 13: School: Review Servicing Records Provided by DM and you completed your review of the servicing records you received from each Data Manager. You have made a determination about filing your LSA Case with Federal Student Aid, and you are within the deadline to do so.

Your options are as follows:

- You can withdraw your case, something you would normally do only if you anticipate that filing the appeal will not yield the results you had hoped.
- You can finalize, certify and submit a perfected LSA case.
  - For a multi-year case, you can file a perfected case that appeals:
    - all years initially included in the request for servicing records, or
    - some, but not all of the years for which you obtained servicing records.

This chapter walks you through the necessary steps.

16.2 Withdrawing a Case

You must have School Case Manager role to withdraw your case. Withdrawing your case is a final action. If you are uncertain about whether to file, do not withdraw your case prematurely as you cannot re-instate it, even if you are still within the filing deadline.

If you have determined that you will not file, OPD expects that you will log into eCDR Appeals and withdraw the case. You can withdraw your case at any time before submitting it. *(Note that, if you do not take the "Withdraw Case" steps outlined below and the deadline for filing lapses, the case will eventually be considered abandoned. This is fine.)*

To withdraw your case, open the Case Details page of a case in "Being Prepared" status and select the "Withdraw Case" button located in the Case Processing Actions section of the page (Figure 16-3).

Figure 16-3:Withdraw Case Action Button on Case Details Page

This opens a confirmation page reminding you that the action is final (Figure 16-4). To confirm your case withdrawal action, click "OK". Or click "Cancel" to return to the Case Details page without withdrawing the case. *(Note: the example figure is for a case where sampling applied.)*

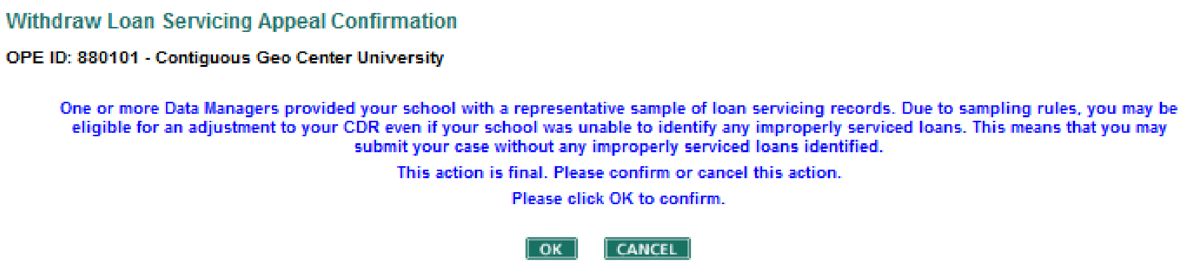


Figure 16-4: Withdraw Loan Servicing Appeal Confirmation page

Withdrawing a Case Where Sampling Applied

The following text displays on the Withdraw Loan Servicing Appeal Confirmation page, in addition to the reminder that the action if final, whenever one or more Data Managers provided a representative sample of servicing records:

> One or more Data Managers provided your school with a representative sample of loan servicing records. Due to sampling rules, you may be eligible for an adjustment to your CDR even if your school was unable to identify any improperly serviced loans. This means that you may submit your case without any improperly serviced loans identified.

To confirm your case withdrawal action, click "OK". Or click "Cancel" to return to the Case Details page without withdrawing the case.

If you withdraw your case, you will be returned to the Current Cases page. Your case status has been updated to "Withdrawn" (Figure 16-5).

Current Cohort Years - 2010 3-year and 2011 2-year						1
Case ID	**Case Type**	**Cohort Year**	**OPEID**	**School Name**	**Status**	**Status Date**
302941	2-YR LSA	2011	880101	Contiguous Geo Center University	Withdrawn	08/21/2013
						Showing 1 to 1 of 1

Figure 16-5: "Withdrawn" Case Status on Current Cases page

The system will notify Federal Student Aid and the Data Managers who provided servicing records that you have withdrawn your case.

The material you received from Data Managers will remain available to you, in a read-only format. You can login at any time and navigate pages as you did before you withdrew the case.

16.3 Removing a Year from a Multiyear Case

If you obtained servicing records for a single cohort year, this section does not apply to you. Go to Chapter 16.4: Finalizing and Uploading the "School Spreadsheet".

When you obtain servicing records for more than one year, you have the option to include only some of the years in your perfected case. If you submit a perfected case where you have excluded some of the years, this is final. You cannot later submit the year(s) not initially submitted, even if you are still within the filing deadline.

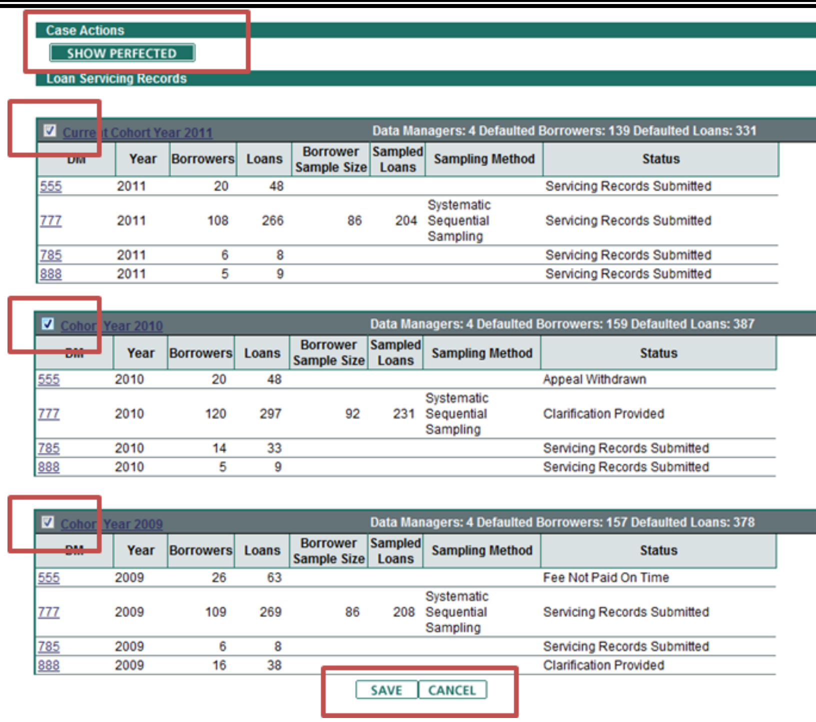
The system includes all years by default. You must purposefully remove a year. You can re-include it before case submission if you change your mind. Note that you can change between excluding and including years up until you certify your case. If you want to change your year inclusion/exclusion determinations after certifying, you must de-certify the case (see Chapter 16.8 below), then follow the instructions in this chapter to modify your selections.

This user guide is exclusively intended to describe the mechanics of removing and re-including a year in a multiyear case. If you have questions about the advisability of doing either, please consult the CDR Guide or contact OPD.

Warning – Carefully Preview Perfected Case

Schools that choose to remove a year, and those that go back and forth between removing and re-including a year are cautioned to carefully preview their perfected LSA case to ensure it includes all intended years.

Open the Case Details page for the multiyear case where you want to remove a year from the perfected case. Note the checkboxes at the top left corner of each cohort year table, and the "Save" / "Cancel" button pair at the bottom of the page (Figure 16-6).


Case Actions
SHOW PERFECTED
Loan Servicing Records

Current Cohort Year 2011 — Data Managers: 4 Defaulted Borrowers: 139 Defaulted Loans: 331

DM	Year	Borrowers	Loans	Borrower Sample Size	Sampled Loans	Sampling Method	Status
555	2011	20	48				Servicing Records Submitted
777	2011	108	266	86	204	Systematic Sequential Sampling	Servicing Records Submitted
785	2011	6	8				Servicing Records Submitted
888	2011	5	9				Servicing Records Submitted

Cohort Year 2010 — Data Managers: 4 Defaulted Borrowers: 159 Defaulted Loans: 387

DM	Year	Borrowers	Loans	Borrower Sample Size	Sampled Loans	Sampling Method	Status
555	2010	20	48				Appeal Withdrawn
777	2010	120	297	92	231	Systematic Sequential Sampling	Clarification Provided
785	2010	14	33				Servicing Records Submitted
888	2010	5	9				Servicing Records Submitted

Cohort Year 2009 — Data Managers: 4 Defaulted Borrowers: 157 Defaulted Loans: 378

DM	Year	Borrowers	Loans	Borrower Sample Size	Sampled Loans	Sampling Method	Status
555	2009	26	63				Fee Not Paid On Time
777	2009	109	269	86	208	Systematic Sequential Sampling	Servicing Records Submitted
785	2009	6	8				Servicing Records Submitted
888	2009	16	38				Clarification Provided

SAVE CANCEL

Figure 16-6: Case Details Page – Checkboxes and Action Buttons

In our scenario, we are going to remove Cohort Year 2009, the last table in the case. There happens to be one Data Manager that has more than 100 defaulted borrowers; that data manager provided servicing records for a representative sample of borrowers. Click on the checkbox for cohort year 2009 to clear it. The checkbox is now blank (Figure 16-7).


Cohort Year 2009 — Data Managers: 4 Defaulted Borrowers: 157 Defaulted Loans: 378

DM	Year	Borrowers	Loans	Borrower Sample Size	Sampled Loans	Sampling Method	Status

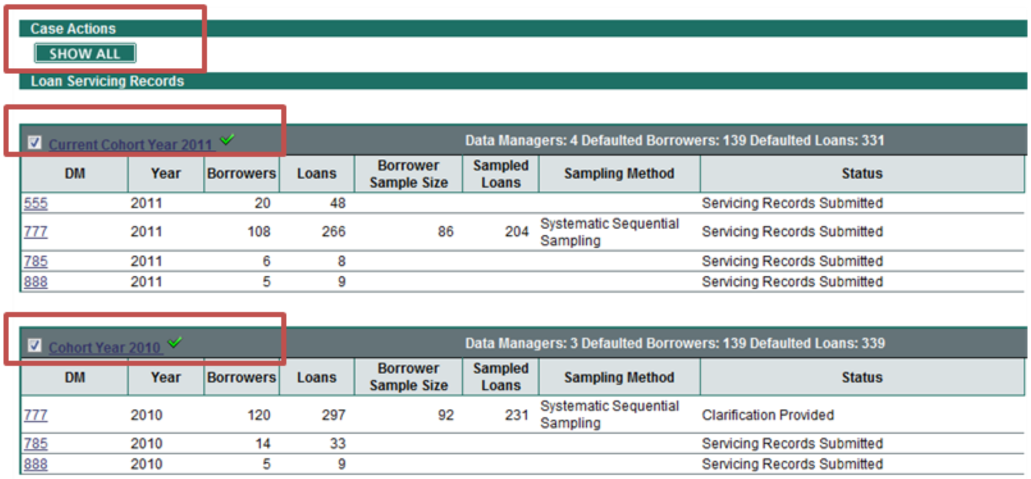
Figure 16-7: Cohort Year 2009 with Checkbox Deselected

Click “Save” at the bottom of the page. The system takes you back to the Current Cases page. Select the case again and open the Case Details Page – note the warning message that now displays in the Case Information Section of the page:

> There are one or more Data Managers that have provided a representative sample of loan servicing records that are currently not selected for inclusion in the appeal. Due to sampling rules, you may be eligible for an adjustment to your CDR even if your school was unable to identify any improperly serviced loans. It may be to your school’s benefit to include these Data managers in your appeal.

Such warning appears only if a cohort year you have de-selected involved sampling.

Click the “Show Perfected” button located under the Case Actions section of the case (Figure 16-6 above) to preview the perfected case. The system refreshes the Case Details Page (Figure 16-8 below).



Case Actions

SHOW ALL

Loan Servicing Records

Current Cohort Year 2011 — Data Managers: 4 Defaulted Borrowers: 139 Defaulted Loans: 331

DM	Year	Borrowers	Loans	Borrower Sample Size	Sampled Loans	Sampling Method	Status
555	2011	20	48				Servicing Records Submitted
777	2011	108	266	86	204	Systematic Sequential Sampling	Servicing Records Submitted
785	2011	6	8				Servicing Records Submitted
888	2011	5	9				Servicing Records Submitted

Cohort Year 2010 — Data Managers: 3 Defaulted Borrowers: 139 Defaulted Loans: 339

DM	Year	Borrowers	Loans	Borrower Sample Size	Sampled Loans	Sampling Method	Status
777	2010	120	297	92	231	Systematic Sequential Sampling	Clarification Provided
785	2010	14	33				Servicing Records Submitted
888	2010	5	9				Servicing Records Submitted

Figure 16-8: Perfected Case With Cohort Year 2009 Removed

The preview of the perfected case shows clearly that only Current Cohort Year 2011 and Cohort Year 2010 are part of the submission. Cohort Year 2009 is not.

To re-include the year you just removed, first click the "Show All" button under the Case Actions section of the page. This will again display all three years in the case. Cohort Year 2009 will still be unchecked. Click the checkbox located at the top left corner of the cohort year table, to re-select it, and click "Save" at the bottom of the page. The system will take you to the Current Cases page. Select the case again and open the Case Details Page – the year is selected again. You have saved the year selection for the case. The "View Perfected" button is again present. Select it to validate that you correctly re-included the year in your perfected case.

Refer to Chapter 16.5 for a more comprehensive discussion on previewing the perfected case.

16.4 Finalizing and Uploading the "School Spreadsheet"

The "School Spreadsheet" for each year in your case is prepared and finalized entirely outside eCDR Appeals. Chapter 13.6 (page 81) discussed preparing the spreadsheet as a corollary activity to reviewing servicing records you received from each Data Manager. As mentioned in that chapter, Federal Student Aid prefers to receive a spreadsheet in its native format (i.e., not as a PDF), in order to facilitate the preparation of the Enclosures to the Decision Letter.

Please go back to that chapter if necessary. The present chapter focuses exclusively on uploading a finalized "School Spreadsheet" to eCDR Appeals.

Note: Once you are satisfied that the "School Spreadsheet" you have prepared is final, we recommend that you mark the workbook "Read Only" or "Mark as Final". This will prevent accidental changes at the last minute, and OPD will be able to readily copy and use the file you provide for the purpose of developing the Enclosures to the Decision Letter.

From the Case Details page of the case you are perfecting, open the LSAppeal Details page for a cohort year by clicking on the cohort year title in the cohort year table, as shown on Figure 16-9.

Figure 16-9: Link to LSAppeal Details Page from Case Details Page

The LSAppeal Details page opens (Figure 16-10).

In the LSAppeal Information section of the page, an onscreen message directs you to "Please include a spreadsheet of borrowers alleged to be improperly serviced."

In this same section, you can validate that you are on the LSAppeal for the correct cohort year. This is important for multiyear cases.

Under the "Attached Documents" section of the page, the first subsection is for "Borrower Information Provided by School (School Spreadsheet)", where you find an "Attach File" action button.

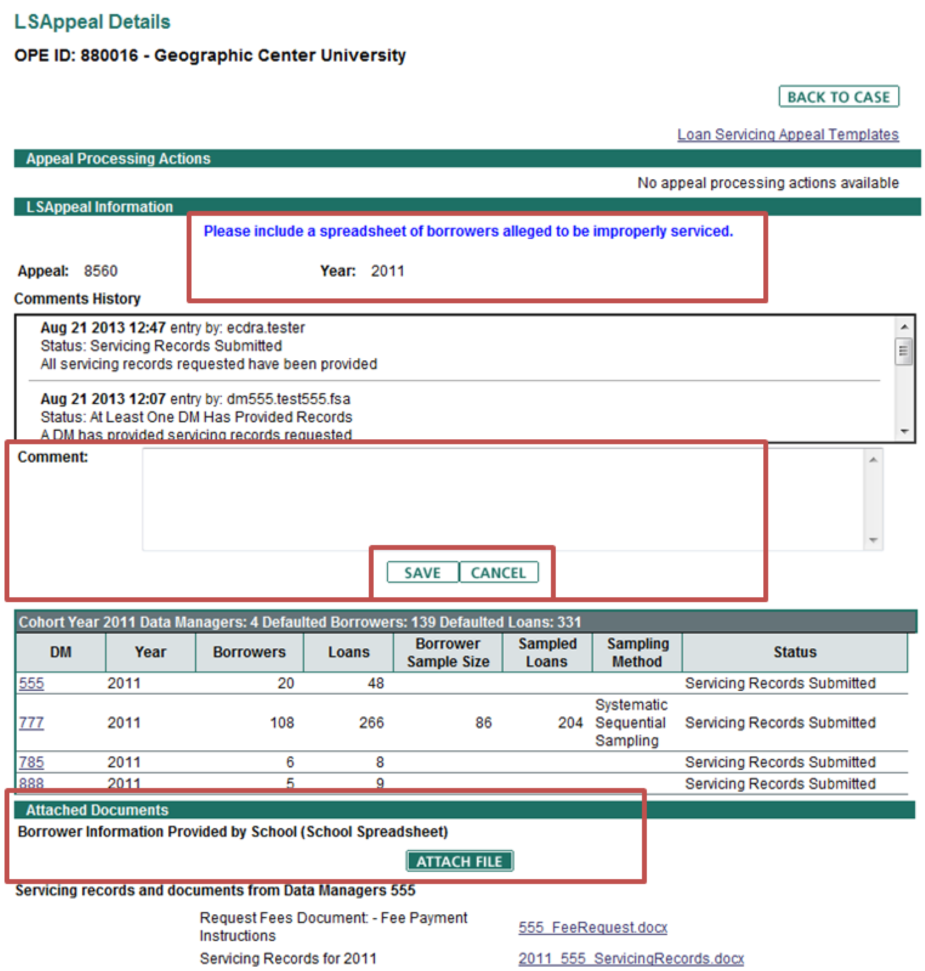


Figure 16-10: LSAppeal Details Page for 2011 Before The School Spreadsheet is Loaded

Click the "Attach File" button to open the Attachment Upload Page (Figure 16-11). Select a file by browsing your local computer for the finalized School Spreadsheet you prepared for this cohort year. Enter a brief file description. Click "Save" to upload the file.

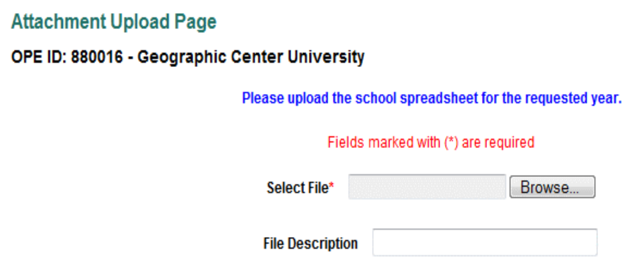


Figure 16-11: Attachment Upload Page for the School Spreadsheet

The system returns to the LSAppeals Details page, where the file you just uploaded now displays, along with the file description you entered (Figure 16-12). The onscreen message asking you to include the spreadsheet is now gone.

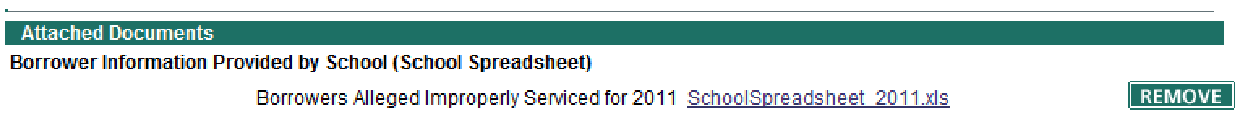


Figure 16-12: Saved School Spreadsheet Displays on LSAppeals Details page

Note the "Remove" action button at the right of the file you just uploaded. If you need to replace this file with an updated one, simply click "Remove" and start your upload anew as described above. The School Spreadsheet may be removed until you certify the case. If you need to replace a School Spreadsheet after certifying the case, you must first de-certify the case (see Chapter 16.8 below). After you submit your perfected case, no changes can be made.

You may add a comment on the LSAppeals Details page. Make sure to "Save" the comment by using the "Save" button located immediately below the comment entry field ("Save" / "Cancel" button pair). Your comment will not otherwise be saved.

Return "Back to Case". Providing you have attached a school spreadsheet for every year in your case, you are within the deadline for filing your perfected case and you have School Case Manager permissions, you can now certify your case. A "Certify" button shows in the Case Processing Actions section of the page (Figure 16-13).

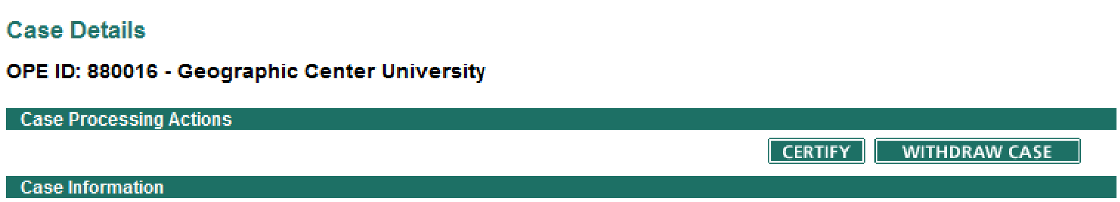


Figure 16-13: Certify Case Button Present When School Spreadsheet(s) Uploaded

Before certifying your case, you should preview the perfected case to understand what Federal Student Aid will see when you submit your case. The next chapter explains how to preview your proposed perfected case.

Note that, in addition to displaying on the LSAppeals Details page, the "School Spreadsheet" also displays on the Case Details page where it is part of the title/header for each cohort year table in the case, as shown below (Figure 16-14).

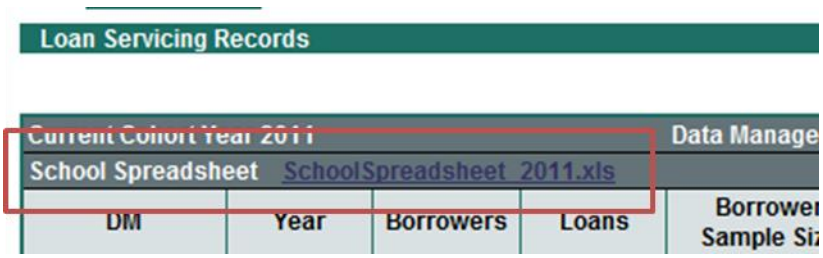


Figure 16-14: Location of School Spreadsheet on the Case Details Page

When the School did not identify "improperly serviced" borrowers

If your school received a representative sample of loan servicing records from any data manager involved in the case, you may choose to submit a perfected case even while you were not able to identify any "improperly serviced" borrowers. In such a situation, you must still upload a file as the system will expect a "School Spreadsheet" to be uploaded for every cohort year in the case.

Simply prepare a file that does not contain any borrower information. We suggest you state in the file: "No borrowers identified as improperly serviced for [YEAR]. See example below.

	A	B	C	D	E	F	G	H	I	
1	Borrower's SSN	Borrower's Name	Type of Defaulted Loans	Number of Defaulted Loans	Payment Made?	Date Letter Sent	Date Call Attempted	Date Pre-Claims Assistance Requested	Date Final Demand Letter Sent	Ad Kn
2	**No borrowers identified as improperly serviced for cohort year 2011**									

Figure 16-15: Preparing a School Spreadsheet When No Borrower Improperly Serviced

When filing a multiyear case

When filing a multiyear case, simply repeat the process just described for uploading a "School Spreadsheet" for each cohort year in the case. Each file must address only one cohort year in the case and should be attached to the correct LSAppeal Details page.

The system will not provide the ability to certify the case unless there is a file attached for every cohort year. You may do this in multiple sittings as each uploaded file is saved for the case.

16.5 Previewing the Perfected LSA Case Being Prepared

The Case Details page for an LSA case is used for two distinct purposes: (1) to identify the Data Managers from whom the school initially requested servicing records and document summary statistics about the number of borrowers and loans involved, and (2) to present the School's perfected case to Federal Student Aid (after submission).

The system enables you to toggle between "Show All" and "Show Perfected" views of the Case Details page. The button is located in the Case Action section of the Case Details page, and you will always only see one of the buttons (Figure 16-16).

Note: When you are viewing all records, the "Show Perfected" button is available so that you can switch to a perfected view. When you are previewing the perfected case, the "Show All" button is available so that you can switch to viewing all records from the initial request for servicing records.

Figure 16-16: The "Show Perfected" / "Show All" Case Actions Buttons

All Schools should preview their perfected case to better understand what they are about to submit to Federal Student Aid. Let us look at an example. Figure 16-17 (first figure below) "Shows All" records. Figure 16-18 (second figure below) "Shows Perfected" records.

Current Cohort Year 2011 — Data Managers: 4 Defaulted Borrowers: 139 Defaulted Loans: 331
School Spreadsheet SchoolSpreadsheet_2011.xls

DM	Year	Borrowers	Loans	Borrower Sample Size	Sampled Loans	Sampling Method	Status
555	2011	20	48				Servicing Records Provided - clarifications finished
777	2011	108	266	86	204	Systematic Sequential Sampling	Servicing Records Provided - clarifications finished
785	2011	6	8				Servicing Records Provided - clarifications finished
888	2011	5	9				Servicing Records Provided - clarifications finished

Cohort Year 2010 — Data Managers: 4 Defaulted Borrowers: 159 Defaulted Loans: 387
School Spreadsheet SchoolSpreadsheet_2010.xls

DM	Year	Borrowers	Loans	Borrower Sample Size	Sampled Loans	Sampling Method	Status
555	2010	20	48				Appeal Withdrawn
777	2010	120	297	92	231	Systematic Sequential Sampling	Servicing Records Provided - clarifications finished
785	2010	14	33				Servicing Records Provided - clarifications finished
888	2010	5	9				Servicing Records Provided - clarifications finished

Cohort Year 2009 — Data Managers: 4 Defaulted Borrowers: 157 Defaulted Loans: 378
School Spreadsheet SchoolSpreadsheet_2009.xls

DM	Year	Borrowers	Loans	Borrower Sample Size	Sampled Loans	Sampling Method	Status
555	2009	26	63				Fee Not Paid On Time
777	2009	109	269	86	208	Systematic Sequential Sampling	Servicing Records Provided - clarifications finished
785	2009	6	8				Servicing Records Provided - clarifications finished
888	2009	16	38				Servicing Records Provided - clarifications finished

Figure 16-17: Case Details in "Show All" Mode

Loan Servicing Records

Current Cohort Year 2011				Data Managers: 4 Defaulted Borrowers: 139 Defaulted Loans: 331			
School Spreadsheet	SchoolSpreadsheet_2011.xls						
DM	Year	Borrowers	Loans	Borrower Sample Size	Sampled Loans	Sampling Method	Status
555	2011	20	48				Servicing Records Provided - clarifications finished
777	2011	108	266	86	204	Systematic Sequential Sampling	Servicing Records Provided - clarifications finished
785	2011	6	8				Servicing Records Provided - clarifications finished
888	2011	5	9				Servicing Records Provided - clarifications finished

Cohort Year 2010				Data Managers: 3 Defaulted Borrowers: 139 Defaulted Loans: 339			
School Spreadsheet	SchoolSpreadsheet_2010.xls						
DM	Year	Borrowers	Loans	Borrower Sample Size	Sampled Loans	Sampling Method	Status
777	2010	120	297	92	231	Systematic Sequential Sampling	Servicing Records Provided - clarifications finished
785	2010	14	33				Servicing Records Provided - clarifications finished
888	2010	5	9				Servicing Records Provided - clarifications finished

Cohort Year 2009				Data Managers: 3 Defaulted Borrowers: 131 Defaulted Loans: 315			
School Spreadsheet	SchoolSpreadsheet_2009.xls						
DM	Year	Borrowers	Loans	Borrower Sample Size	Sampled Loans	Sampling Method	Status
777	2009	109	269	86	208	Systematic Sequential Sampling	Servicing Records Provided - clarifications finished
785	2009	6	8				Servicing Records Provided - clarifications finished
888	2009	16	38				Servicing Records Provided - clarifications finished

Figure 16-18: Case Details In "Show Perfected" Mode

In "View All" mode, the case details show:

- All years for which servicing records were initially requested, and
- All data managers from whom you requested servicing records.

In "View Perfected" mode:

- The case includes only the year(s) you kept selected (*multiyear case only*), and
- Only the data managers that provided servicing records display in the cohort year table.

16.6 Adding Case Level Comments

Adding a case level comment is optional. Comments must be saved by using the "Save" button located immediately below the comment field ("Save"/"Cancel" button pair - Figure 16-19).

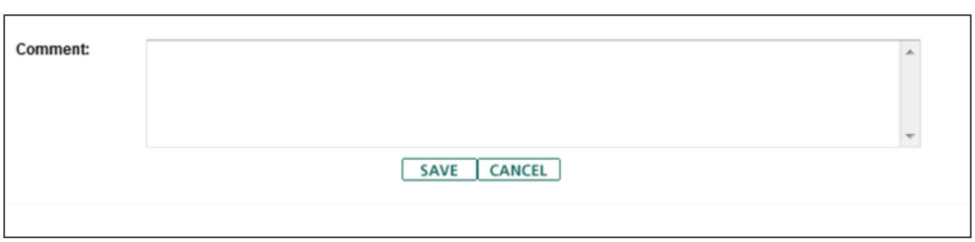


Figure 16-19: Case Comment Entry Field - Save/Cancel Button Pair

16.7 Certifying LSA Case

You must have School Case Manager role to certify the perfected case. While certifying the case, you will need to attach a certification letter (see Chapter 4.6 of the CDR Guide for a sample certification letter). Have that file ready to upload.

After you have attached a School Spreadsheet for each cohort year in the perfected case, the Case Processing Actions section of the Case Details page will display a "Certify" action button.

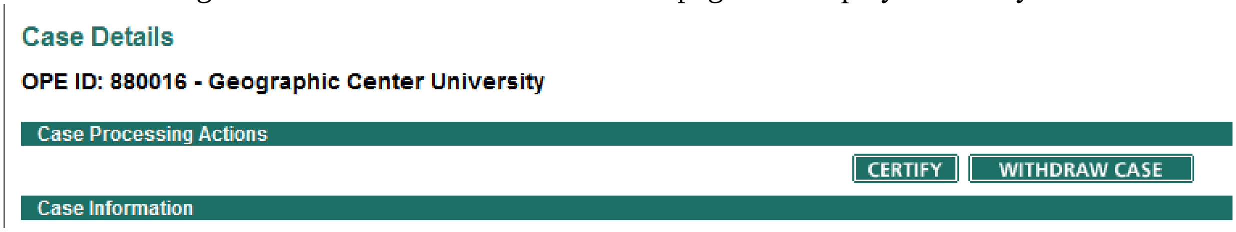


Figure 16-20: Case Details Page Showing "Certify" Button

Click "Certify" to open the Attach Certification Letter dialogue page (Figure 16-21).

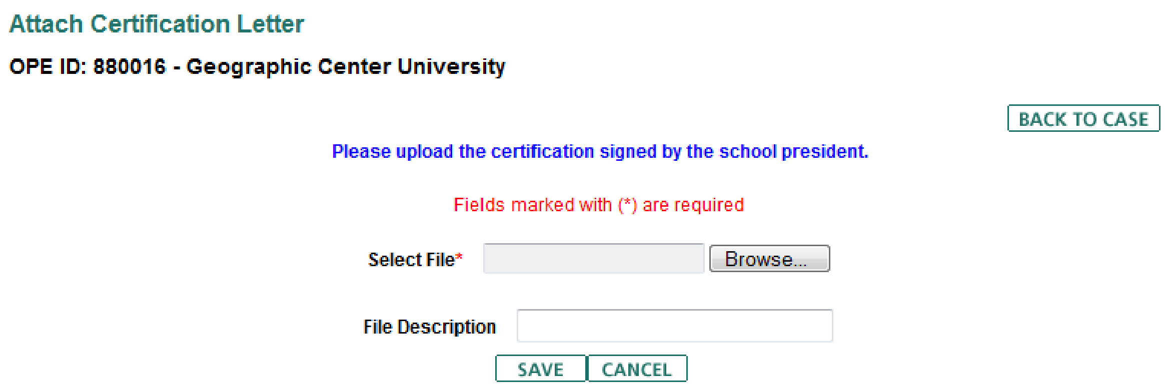


Figure 16-21: Attach Certification Letter Dialogue Page

Select the certification letter by browsing your local computer for the file. Enter a brief description. Click "Save" to upload the file and certify the case. Click "Cancel" to return to the Case Details page without making changes.

The system returns to the Case Details page. If you selected "Save", your case is certified.

The Case Information section displays a Case Status of "Certified" and the certification letter displays in this section, along with the brief description you entered, as shown on Figure 16-22 below. The "Certified" status also displays on the Current Cases page.

If you uploaded an incorrect certification letter document, you can remove it by decertifying your case. Similarly, in order to change the file description, you must decertify your case. Then simply start the certification process over.

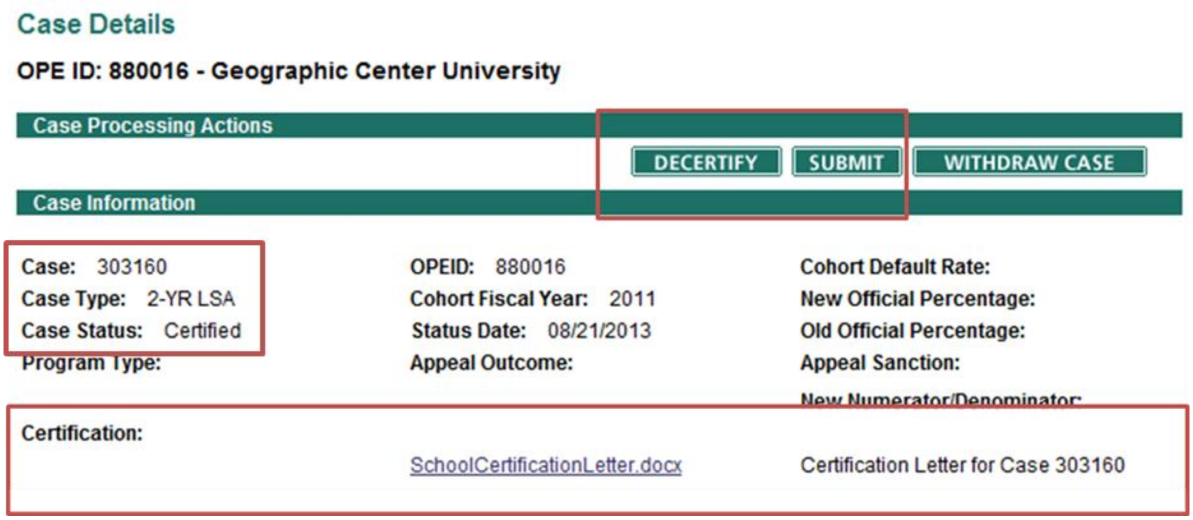
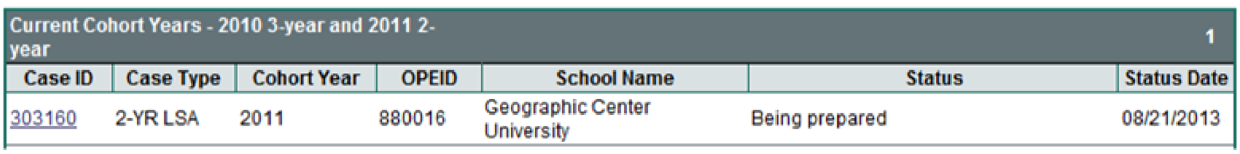


Figure 16-22: Case Details Page After Case Certified

16.8 Decertifying LSA Case to Make Changes

If you need to make more changes after certifying your case, you may do so as long as the case is not submitted. A case in "Certified" status displays a "Decertify" action button in the Case Processing Action section of the Case Details, as shown on Figure 16-22 above.



Current Cohort Years - 2010 3-year and 2011 2-year						1
Case ID	Case Type	Cohort Year	OPEID	School Name	Status	Status Date
303160	2-YR LSA	2011	880016	Geographic Center University	Being prepared	08/21/2013

Figure 16-23: Current Cases After Decertification

Click "Decertify" to make the case editable again. This will remove the certification letter. The Case Status will revert back to "Being Prepared". Figure 16-23 above shows the Current Cases Page and Figure 16-24 below shows the Case Details page after decertification. When done with your changes you will need to certify the case again.

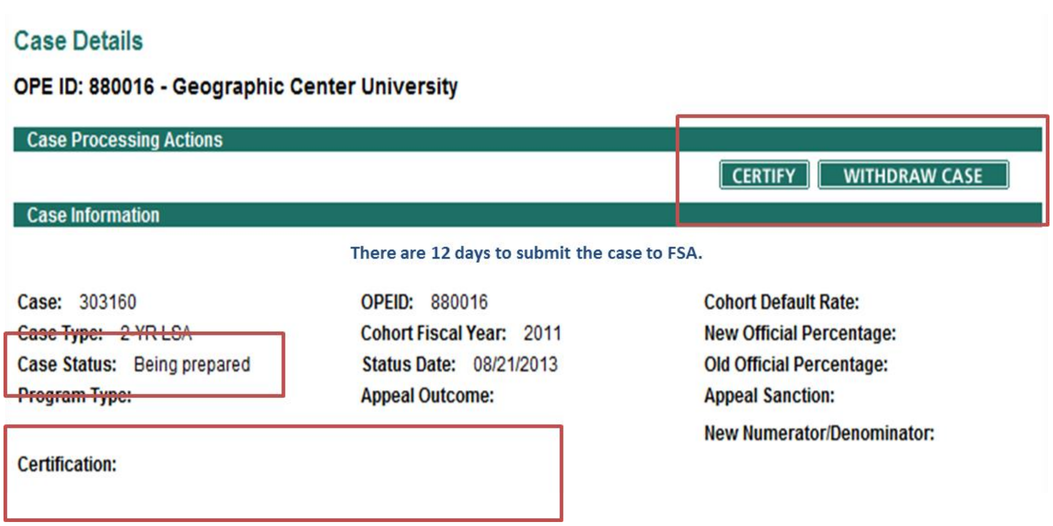


Figure 16-24: Case Details Page After Decertification

16.9 Submitting the Certified LSA Case

You must have School Case Manager role to submit the perfected case. Providing the case is in "Certified" status and you are within the prescribed submission deadline, a "Submit" action button displays in the Case Processing Action section of the Case Details page (Figure 16-25).

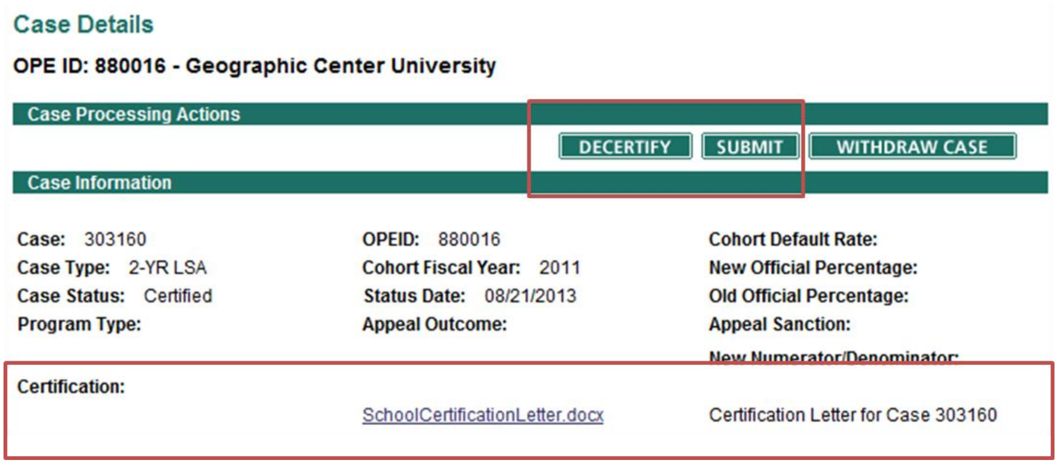


Figure 16-25: Certified Case Ready to Submit

Click "Submit" to send your perfected case to Federal Student Aid. This opens a confirmation page (Figure 16-26) that states: *(Note: the example figure is for a multiyear case where sampling applied to a year that was removed.)*

> Please make sure you have identified all borrower information that you wish to Challenge or Appeal. Please remember that once you have submitted the case, you can no longer add additional borrowers or adjustments. Please make sure you have attached all the necessary supporting documents. This action is final. Please confirm or cancel this action. Please click OK to confirm.

To confirm your case submission action, click "OK". Or click "Cancel" to return to the Case Details page without submitting the case.

If you click "Cancel", you are returned to the Case Details page where the case remains in "Certified" status until you take other actions. If you click "OK", the system presents the Current Cases page where the case is now in "Perfected / Available for FSA Review" status (Figure 16-27).

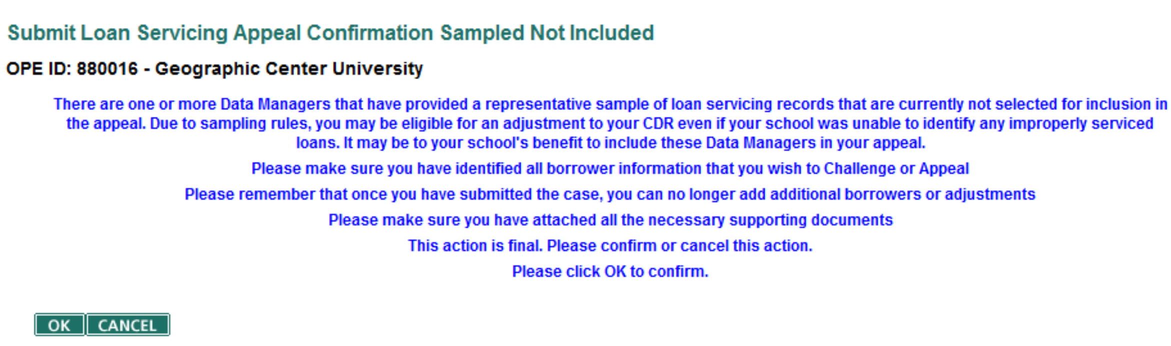


Figure 16-26: Confirmation Page For Perfected Case Submission

Submitting Multiyear Cases with Year Removed Where Sampling Applied

If you had removed a year from your perfected case and a Data Manager provided a representative sample of servicing records for that year, the following message will display on the case submission confirmation page in addition to the standard message (Figure 16-26 above):

> There are one or more Data Managers that have provided a representative sample of loan servicing records that are currently not selected for inclusion in the appeal. Due to sampling rules, you may be eligible for an adjustment to your CDR even if your school was unable to identify any improperly serviced loans. It may be to your school's benefit to include these Data managers in your appeal.

To confirm your case submission action, click "OK". Or click "Cancel" to return to the Case Details page without submitting the case.

If you click "Cancel", you are returned to the Case Details page where the case remains in "Certified" status until you take other actions. If you click "OK", the system presents the Current Cases page where the case is now in "Perfected / Available for FSA Review" status (Figure 16-27).

Current Cohort Years - 2010 3-year and 2011 2-year						1
Case ID	**Case Type**	**Cohort Year**	**OPEID**	**School Name**	**Status**	**Status Date**
303160	2-YR LSA	2011	880016	Geographic Center University	Perfected/Available for FSA Review	08/21/2013

Figure 16-27: "Perfected/Available for FSA Review" Status Upon Case Submission

If you re-enter the Case Details page, the Certification Letter is displayed and the case status is "Perfected / Available for FSA Review", as shows below (Figure 16-28).

Case Details

OPE ID: 880016 - Geographic Center University

Case Processing Actions

Case Information

Case: 303160	**OPEID:** 880016
Case Type: 2-YR LSA	**Cohort Fiscal Year:** 2011
Case Status: Perfected/Available for FSA Review	**Status Date:** 08/21/2013
Program Type:	**Appeal Outcome:**

Certification:

SchoolCertificationLetter.docx

Figure 16-28: Case Details Page After Case Submission

16.10 What Should the School Expect after Submitting its Perfected LSA Case to FSA?

OPD will review and adjudicate your case. They may contact some of the Data Managers for further clarification about servicing records. You will not need to get involved in this.

Once OPD decides on the case, the Case Status will be "Closed", and the system will send you an email notification. Refer to Chapter 19: School: View the OPD Decision and the Closed Case for details on reviewing the decision after the case is closed.

17. DATA MANAGER: ROLE AFTER SCHOOL SUBMITS PERFECTED CASE

17.1 Viewing the Perfected Case

After the School perfects its case, you may view the School Spreadsheet(s) submitted. You also retain read-only access to the servicing records you provided.

17.2 What Should the Data Manager Expect After the School Submits its Perfected Case?

After the school submits its perfected case, it is possible that OPD will request clarification about the servicing records you provided. This may occur more than once for the same LSA case. It is therefore important for the data manager to remain alert to potential requests for additional data so that you can respond to them in a timely manner.

The system does send an email notification to the data manager when clarification is requested. Since emails do not always reach their intended recipients, the data manager should login regularly to determine the status of each DM request for servicing records.

Consulting Reports for Clarification and Additional Data Requests

As discussed on page 50 (Chapter 9.1 - Consulting Reports for Outstanding Requests for Servicing Records), Federal Student Aid has created a report of servicing records responses for which a clarification is requested. This report enables the data manager to readily identify all such requests without having to individually open each LSA case.

On the Current Status Reports page, follow the link titled "LSA Clarification and Additional Data Requests" or scroll down to the Outstanding LSA Data Requests Report (need to provide clarification), as shown in Figure 17-1. The report entry shows a status of "Additional Data Requested from DM."

Outstanding LSA Data Requests Report (need to provide clarification) for 785 - State Guaranty Agency

Appeal Id	Case File Id	OPEID	Cohort Year	Status	Date Response Due By
4183	303249	880016	2010	Additional Data Requested from DM	10/24/2013

Return to reports list

Figure 17-1: Example of Additional Data Requested Report

17.3 Responding to Requests for Additional Data from OPD

In the event Federal Student Aid requests more information about a particular LSA perfected case, the Data Manager is expected to respond much in the same manner as a Data Manager responds to a School inquiring about servicing records.

Viewing the Request for Additional Data

When you identify a request for additional data, click the link to the Loan Servicing DM Appeal Details. The page opens (Figure 17-2).

In the LSA DM Processing Actions section of the page, there is a “FWD TO FSA” (forward to FSA) button. This button will be used to provide your response, not to view the request. Stay on the present page for now.

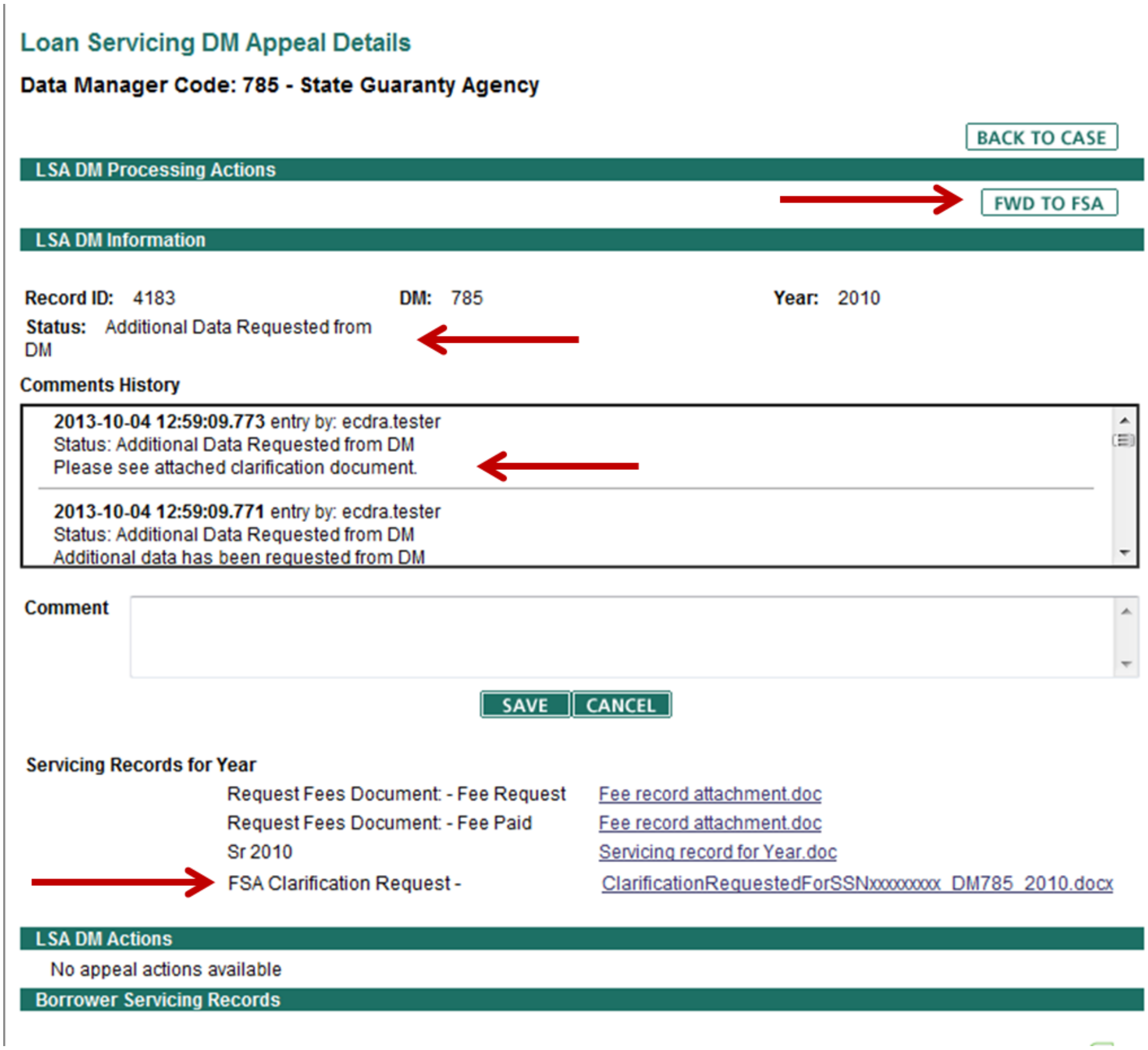


Figure 17-2: Loan Servicing DM Appeal Details Page When Additional Data is Requested

In the LSA DM Information section of the page:

- The status is Additional Data Requested from DM.
- FSA’s comment regarding the request for additional data displays in the Comments History box. You may need to scroll down a comment or two.
- Under Servicing Records for Year, you should find one or more attachments that pertain to the request for additional data. The file description for such a request will read “FSA Clarification Request – [followed by the file description entered by OPD, if any]”. Open the attachment document(s) by selecting the link (the file name is clickable) and you can

save this document outside eCDR Appeals if necessary. *Note: Although not likely, it is possible that OPD only included a comment.*

Evaluate what OPD is inquiring about and how to best respond.

Preparing Response Material

The Data Manager prepares the necessary clarification material outside of eCDR Appeals, based on the particulars of OPD's request.

Note that responses to requests for additional data are prepared and submitted in one sitting. You cannot upload and save some material and return later to submit it. This is different from when you initially provided servicing records, but similar to responding to a school's request for clarification. You should therefore prepare ahead of time any and all files you want to submit as a response. You may follow guidance provided in Chapter 12.1: Preparing Servicing Records (page 70) to **prepare** the documents you will want to upload. **Warning: Please <u>do not</u> follow the guidance at Chapter 12 to either upload or submit your clarification response.**

For our example scenario, the Data Manager will provide an addendum set of servicing records. Once this material is ready to upload, the Data Manager logs back in eCDR Appeals.

Returning Additional Data to FSA-OPD

The Data Manager returns to the applicable Loan Servicing DM Appeal Details page once all response material is ready.

Select the "FWD TO FSA" action button in the LSA DM Processing Action section of the page (Figure 17-3).

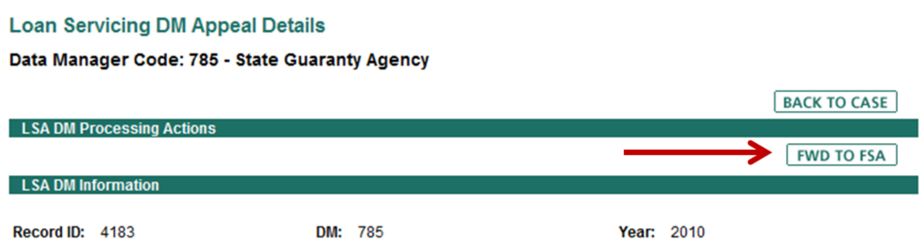


Figure 17-3: Loan Servicing DM Appeal Details Page with "FWD TO FSA" Button

This action opens the Additional Data Request for LSA dialogue page (Figure 17-4 below). Note the action buttons on the page:

- At the top right of the page you find the means to go "Back to DM Appeal". This button will return you to the Loan Servicing DM Appeals Page without saving any work.
- At the bottom of the page, you find an "OK" / "Cancel" button pair.
  - "OK" will submit your clarification response to FSA. *Note: clicking "OK" completes the submission without further confirmation on your part.*
  - "Cancel" will behave much the same as "Back to DM Appeal". Any work completed will not be saved.
- In the middle of the page, there is an "Attach File" action button, which you will use to upload your clarification file(s).

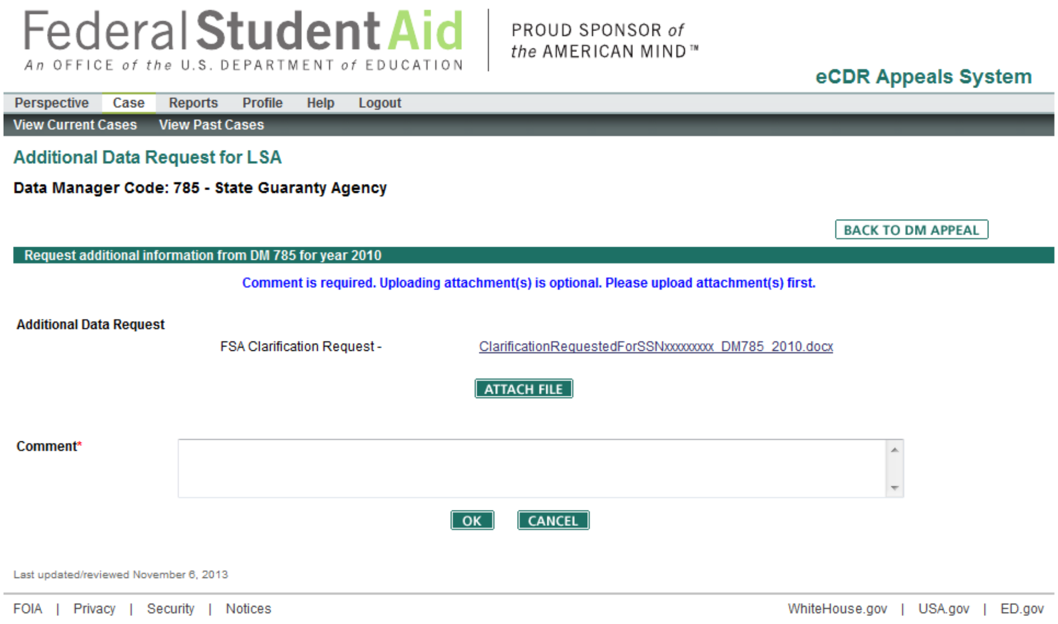


Figure 17-4: Additional Data Request for LSA Data Entry Page - Initially

Two other items of note on the page:

- The page displays the FSA Clarification Request document provided by OPD. This is the same document you were able to view from the Loan Servicing DM Appeal Details Page. It is just displayed here for your convenience.
- A Comment data entry box. This is a required field. Please add your comment **after** you have attached files. *Note: If you attach a file after entering your comment, the comment will be removed and you will have to re-enter it.*

Let us build our example response. Click “Attach File”. This opens the Attachment Upload Page (Figure 17-5). Select the clarification file by browsing your computer. Enter a brief file description. *(Note: The system will identify each file you upload as a “Clarification Response to FSA document” so your description might focus more on the contents of the file.)*

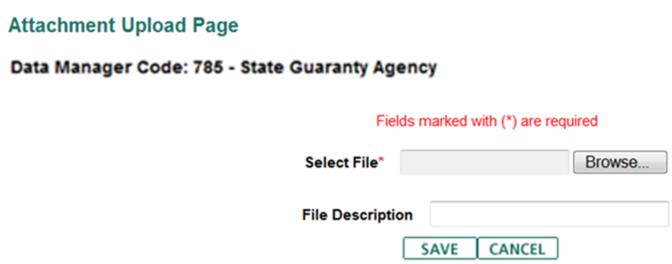


Figure 17-5: Attachment Upload Page

Click “Save” to upload the file. The Additional Data Request for LSA page refreshes and now displays the file you just uploaded, alongside OPD’s clarification request document. Enter your comment. (Figure 17-6).

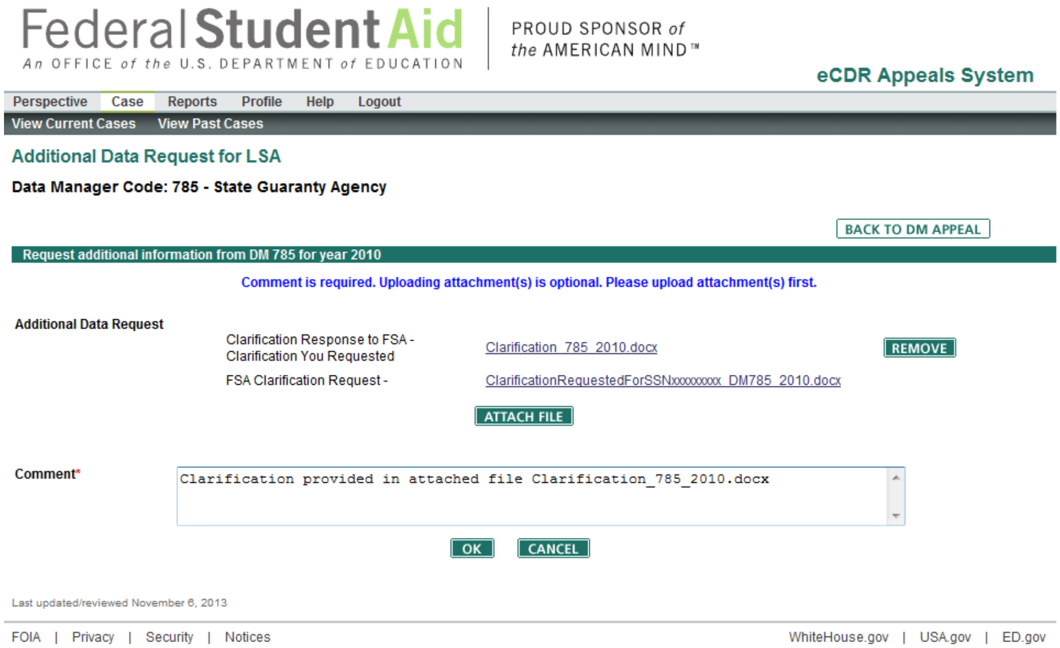


Figure 17-6: Additional Data Request for LSA Data Entry Page – After Clarification Document Uploaded and Comment Entered

Note the “Remove” button at the right of the document you uploaded. This enables you to remove a document uploaded in error. *(Note: if you just want to modify the file description, you must remove the document and start attaching the file anew.)*

It is now time to submit your response. Validate that you have attached everything you want to provide.

Click “OK” to submit your response, or “Cancel” to go back to the Loan Servicing DM Appeals Details page without keeping any changes.

The system returns to the Loan Servicing DM Appeals Details page.

If you clicked “OK” your response displays on the page (Figure 17-7 below). The Status is now “DM Has Provided Additional Data.” In the Comments History box, you can see the clarification comment you entered. The document you uploaded now displays in the Servicing Records for Year section of the page.

This request will no longer show on the report of outstanding clarification and additional data requests. The system will send an email notification to OPD about your response.

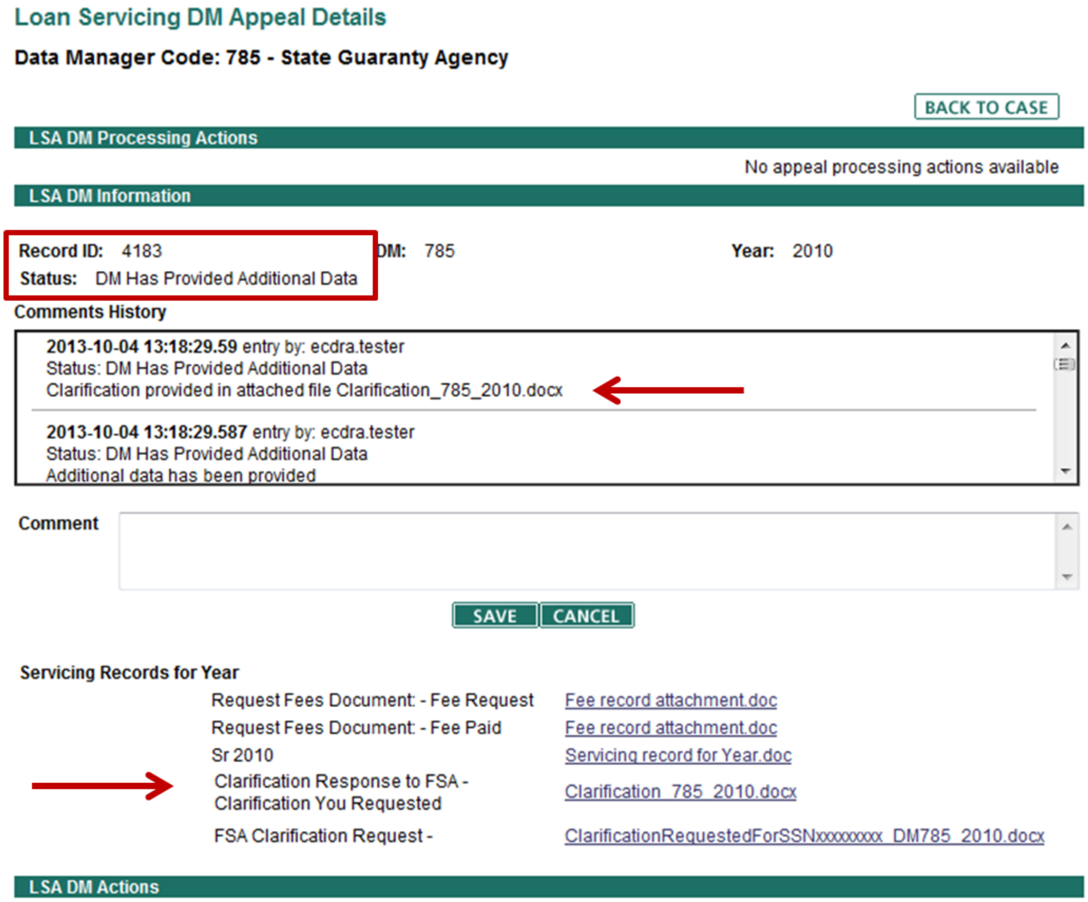
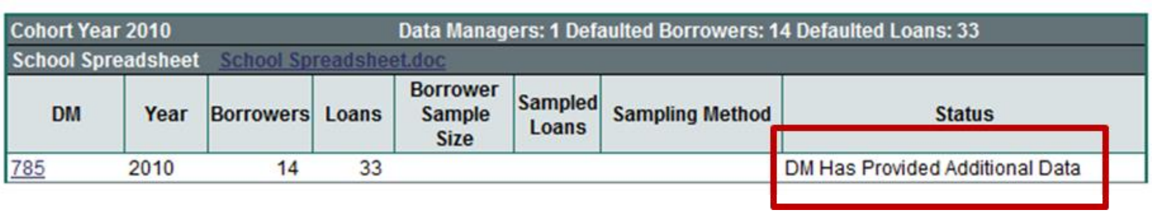


Figure 17-7: Loan Servicing DM Appeal Details Page with Clarification Response to FSA

The Case Details page also shows a revised DM Servicing Records Request status of "DM Has Provided Additional Data" in the Cohort Year 2010 table (Figure 17-8).



Cohort Year 2010				Data Managers: 1 Defaulted Borrowers: 14 Defaulted Loans: 33			
School Spreadsheet	School Spreadsheet.doc						
DM	Year	Borrowers	Loans	Borrower Sample Size	Sampled Loans	Sampling Method	Status
785	2010	14	33				DM Has Provided Additional Data

Figure 17-8: Case Details Page Showing "DM Has Provided Additional Data" status

When FSA-OPD Requests Additional Data for Servicing Records in Multiple Cohort Years

Each request for clarification in a multiyear case is independent. Your response for each year in a multiyear case is separate. Simply repeat the process for each year where additional data is requested. *(Note: the Outstanding LSA Data Requests Report lists requests at the cohort year level. There may be multiple entries for a given multiyear case.)*

What Should the Data Manager Do After Responding to a Request for Additional Data from FSA-OPD?

Federal Student Aid may inquire from a given DM about a given cohort year in the case more than once before closing an LSA case.

It is therefore important for the data manager to remain alert to potential requests for additional data on any open LSA case, so that you can respond to them in a timely manner.

18. OPD: REVIEW AND RESPOND TO THE LSA CASE

Once the School submits its perfected LSA case, OPD conducts a review and makes a determination about the case. During this process, OPD can request additional data from any of the Data Managers involved in the case. OPD conducts an internal quality control review of the case decision. By closing the case, OPD makes Federal Student Aid’s decision available to the School and Data Managers.

18.1 Viewing and Assigning the Perfected Case

Viewing Documents

Newly perfected/submitted cases show “Perfected / Available for FSA Review” status. A case in this status is viewable, and perfected case data is available as follows:

DOCUMENT	PAGE	LOCATION – COMMENTS
School Spreadsheet for a given year	Case Details Page	Located in the appropriate Cohort Year table header – under the *Loan Servicing Records* table(s).
	Year Page** for the applicable year	Located under the *Attached Documents* section of the page.
Servicing Records received from a Data Manager for a given year	Data Manager Page* for the applicable year	Located in *Servicing Records for Year* section of page.
	Year Page** for the applicable year	Located under the *Attached Documents* section of the page, under the appropriate Data Manager.
Data Manager Spreadsheet for a given year (when provided)	Data Manager Page* for the applicable year	Same location as other *Servicing Records for Year*, under that section of the page.
	Year Page** for the applicable year	Located under the *Attached Documents* section of the page alongside other servicing records, under the appropriate Data Manager.
Borrower Loan Data	Borrower Loan Servicing Information for LSA	Accessed from the applicable Data Manager Page* for a given year by clicking on the Borrower ID.
* aka the “Loan Servicing DM Appeal Details Page” ** aka the “LSAppeal Details Page”		

Table 18-1: Location of LSA Case Documents

Note: In the event a ZIP/compressed file was used, please note browser compatibility requirements. The user can only open/save the file when accessing the application with recent browsers (Chrome, Firefox or Internet Explorer 9 (or later)). ZIP files cannot be accessed when using Internet Explorer 8 or earlier versions.

Focusing on the Perfected View

The Case Details page for an LSA case is used for two distinct purposes: (1) to present the School’s perfected case to Federal Student Aid after submission, and (2) to identify the Data Managers from whom the school initially requested servicing records and document summary statistics about the number of borrowers and loans involved.

During adjudication OPD normally focuses on the perfected case. The system does enable you to toggle between “Show All” and “Show Perfected” views of the Case Details page. The button is located in the Case Action section of the Case Details page, and you will always only see one of the buttons (Figure 18-1 below).

Note: When you are viewing all records, the “Show Perfected” button is available so that you can switch to a perfected view. When you are viewing the perfected case, the “Show All” button is available so that you can switch to viewing all records from the initial request for servicing records.

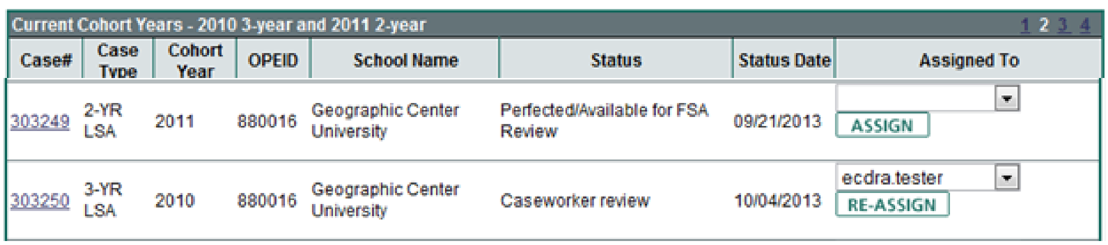
Figure 18-1: The "Show Perfected" / "Show All" Case Actions Buttons

To focus on the perfected case during adjudication the OPD user would want the button to display “Show All,” indicating that you are in the “perfected view.”

Assigning the Case

The case must be assigned to a particular user in order for OPD to adjudicate and respond to the case. OPD personnel with FSA Caseworker user role may self-assign a case, and personnel with FSA Case Manager user role may assign or self-assign a case. The case may be re-assigned.

Once the case is assigned its status changes to “Caseworker review”, as shown on Figure 18-2.



Current Cohort Years - 2010 3-year and 2011 2-year   1 2 3 4

Case#	Case Type	Cohort Year	OPEID	School Name	Status	Status Date	Assigned To
303249	2-YR LSA	2011	880016	Geographic Center University	Perfected/Available for FSA Review	09/21/2013	ASSIGN
303250	3-YR LSA	2010	880016	Geographic Center University	Caseworker review	10/04/2013	ecdra.tester RE-ASSIGN

Figure 18-2: Current Cases Page With Two Perfected Cases - One Assigned

18.2 Requesting Additional Data from a Data Manager

In the event you need additional information from a Data Manager involved in a perfected case, you can make your request from the Loan Servicing DM Appeal Details page for the applicable data manager and cohort year in the case. Additional data is requested for a single year at a time. The process is repeated for additional years or additional data mangers.

Preparing Additional Data Request Material

OPD prepares the necessary additional data request material outside of eCDR Appeals, based on reviewing the School’s allegations and the servicing records provided by the Data Manager. The request for additional data must be cohort year specific, and should cover all borrowers of interest in one request.

Requesting Additional Data

Once documents you plan to upload as part of your request for additional data are ready, log into eCDR Appeals and navigate to the Loan Servicing DM Appeal Details page for the Data Manager and cohort year of interest.

Click the "Request More Data" action button located in the LSA DM Processing Actions section of the page, as shown in Figure 18-3.

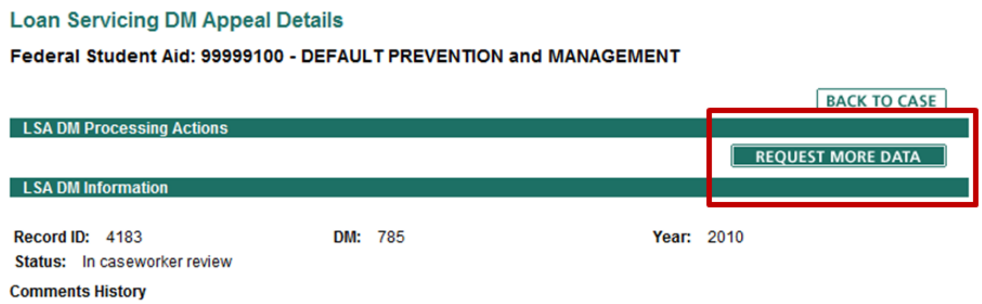


Figure 18-3: Loan Servicing DM Appeal with Request More Data Button

The system presents the Additional Data Request for LSA data entry page (Figure 18-4: Additional Data Request for LSA Data Entry PageFigure 18-4).

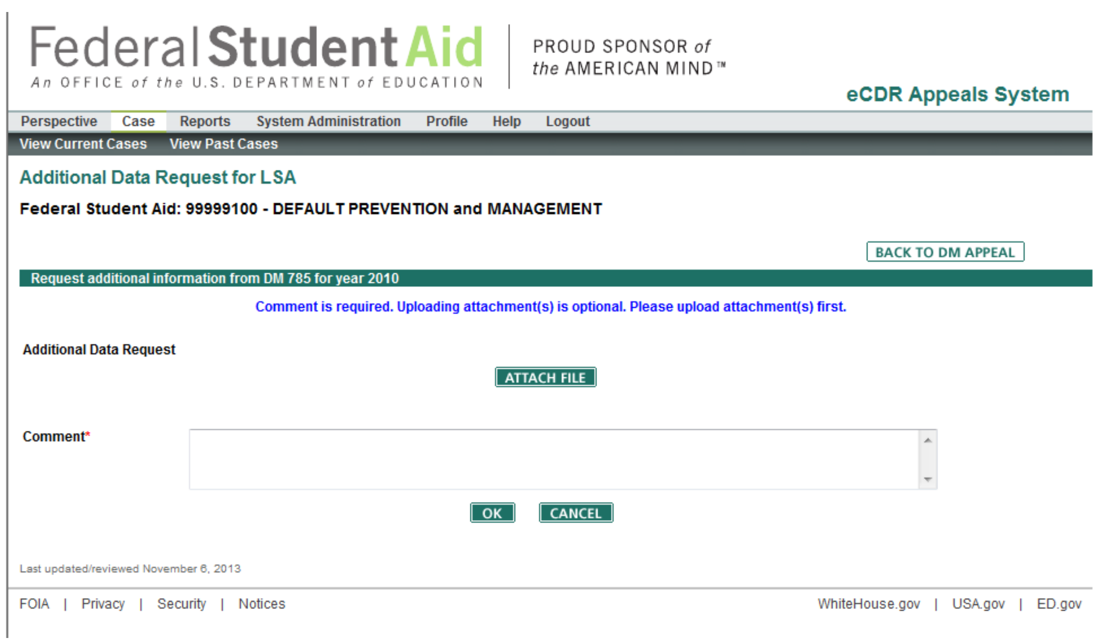


Figure 18-4: Additional Data Request for LSA Data Entry Page

Note the action buttons on the page:

- At the top right of the page you find the means to go "Back to DM Appeal". This button will return you to the Loan Servicing DM Appeals Page without saving any work.
- At the bottom of the page, you find an "OK" / "Cancel" button pair.
  - "OK" will submit your request for additional data to the Data Manager.
    Note: clicking "OK" completes the submission without further confirmation.

- "Cancel" will behave much the same as "Back to DM Appeal". Any work completed will not be saved.

- In the middle of the page, there is an "Attach File" action button, which you will use to upload your clarification request file(s).

There is also a Comment data entry box. This is a required field. Please add your comment **after** you have attached files. *Note: If you attach a file after entering your comment, the comment will be removed and you will have to re-enter it.*

To upload a document, click "Attach File." This opens the Additional Data Request Document Upload Page (Figure 18-5). Select a file by browsing your computer. Enter a brief file description. *(Note: When you attach a file using this method, the system will identify each file you upload as a "FSA Clarification Request – [followed by the file description you provide].)*

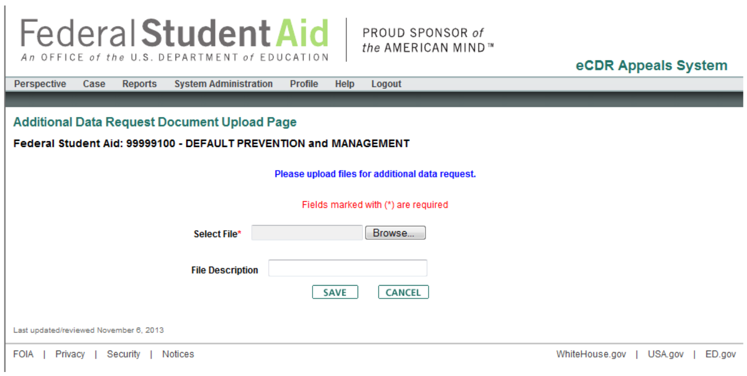


Figure 18-5: Attachment Upload Page

Click "Save" to upload the file. The Additional Data Request for LSA page refreshes and now displays the file you just uploaded. You can upload additional files. Enter your comment. (Figure 18-6).

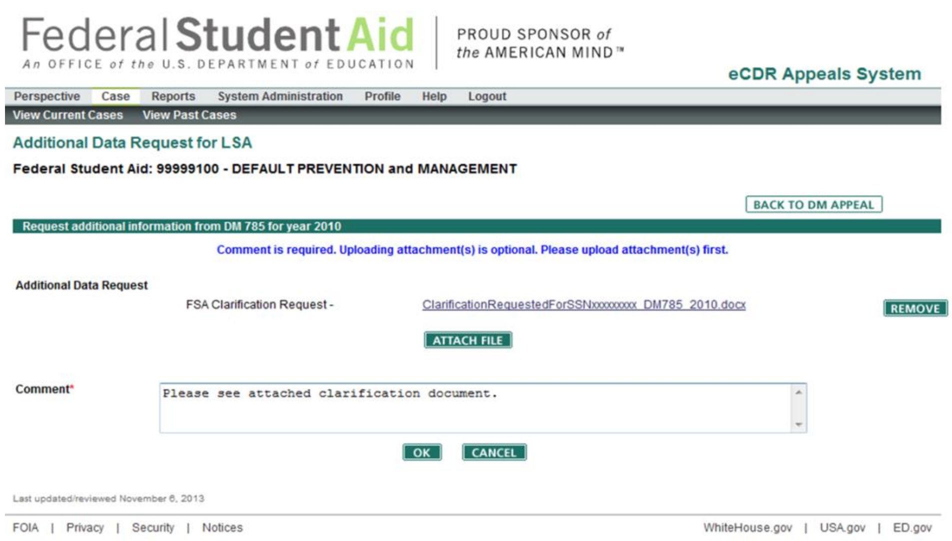


Figure 18-6: Additional Data Request for LSA – Ready to Submit

Note the "Remove" button at the right of the document(s) you uploaded. This enables you to remove a document uploaded in error. *(Note: if you just want to modify the file description, you must remove the document and start attaching the file anew.)*
It is now time to submit your request. Validate that you have attached everything you want to provide and entered an appropriate comment.

Click "OK" to submit your request, or "Cancel" to go back to the Loan Servicing DM Appeals Details page without keeping any changes. The system returns to the Loan Servicing DM Appeals Details page.

If you clicked "OK" your request displays on the page (Figure 18-7). The status is now "Additional Data Requested from DM." In the Comments History box, you can see the additional data request comment you entered. The document you uploaded now displays in the Servicing Records for Year section of the page as an FSA Clarification Request document, and the system sends an email notification to the Data Manager about your request.

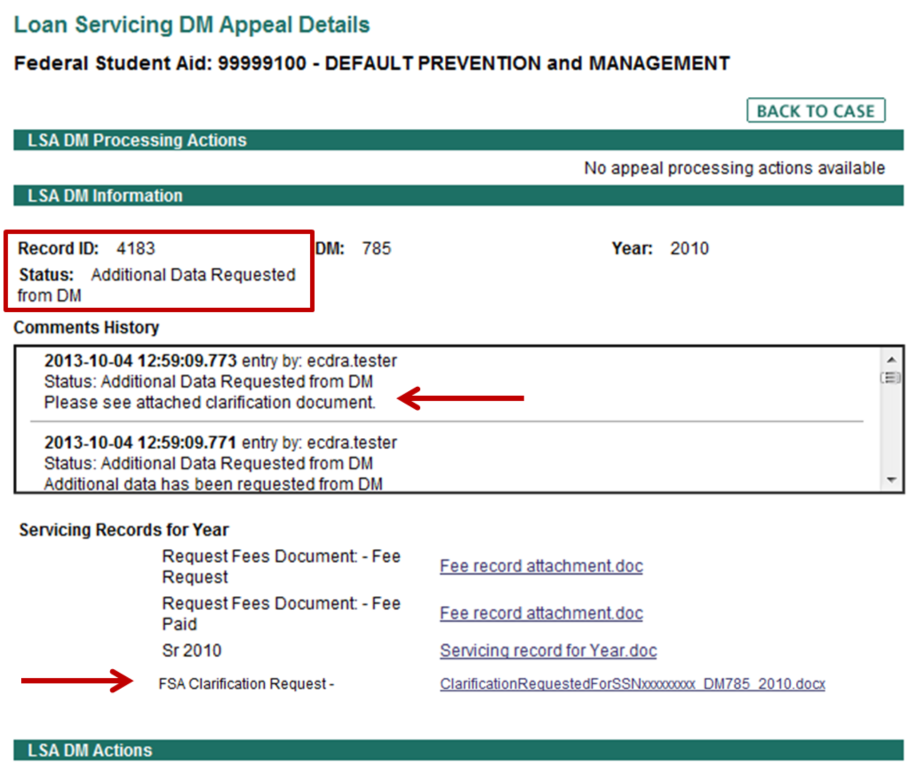


Figure 18-7: Loan Servicing DM Appeals Page After Additional Data Requested

The Case Details page also shows a revised DM Servicing Records Request status of "Additional Data Requested from DM" for the appropriate Data Manager and cohort year, as shown below (Figure 18-8).

Cohort Year 2010 — Data Managers: 3 Defaulted Borrowers: 154 Defaulted Loans: 378

School Spreadsheet — School Spreadsheet.doc

DM	Year	Borrowers	Loans	Borrower Sample Size	Sampled Loans	Sampling Method	Status
555	2010	20	48				In caseworker review
777	2010	120	297	92	225	Systematic Sequential Sampling	In caseworker review
785	2010	14	33				Additional Data Requested from DM

Figure 18-8: Cohort Year Table After FSA Requests Additional Data From DM 785

18.3 Carrying Out the FSA Review

Once the FSA Caseworker has completed their review and obtained additional data from Data Managers if necessary, the FSA Caseworker documents the proposed FSA decision in eCDR Appeals and submits it to quality control review. Documents may be uploaded in any order.

Preparing Case Decision Documents Outside eCDR Appeals

All documents are created outside eCDR Appeals. This includes the Decision Letter for the overall case and a single Enclosure for each cohort year in the case. These documents should be finalized in PDF format prior to uploading. Work papers that support the decision letter or its enclosures may be uploaded for each cohort year in the case. These are typically in their native format (such as a spreadsheet).

Uploading the Decision Letter

The Decision Letter is uploaded from the Case Details Page. Click on the "Attach Decision Letter" button located under the Case Actions section of the page (Figure 18-9).

Figure 18-9: Attach Decision Letter Case Actions Button

This opens the Decision Letter Upload page (Figure 18-10).

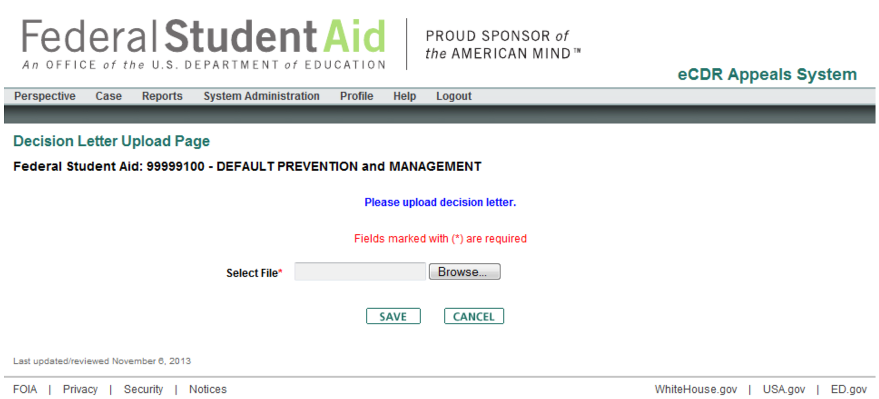


Figure 18-10: Decision Letter Upload Page

Select the Decision Letter by browsing your computer. Click "Save" to upload the Decision Letter or "Cancel" to return to the Case Details page without uploading any file.

Once you save the Decision Letter, it displays on the Case Details page, under Case Actions. Until the case is closed, there is a “Remove Decision Letter” button next to the saved letter, enabling you to remove the Decision Letter if necessary, in order to replace it (Figure 18-11).

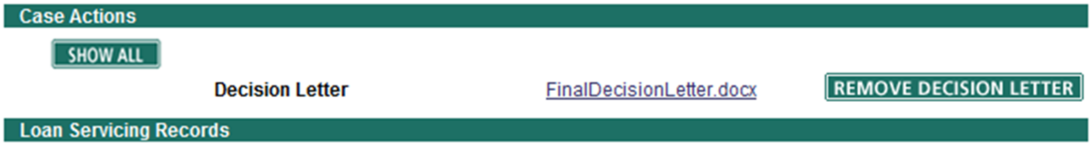


Figure 18-11: Case Details Page Showing Saved Decision Letter and “Remove Decision Letter” Button

Note: Once the case is closed, the Decision Letter will show at the top of the Case Details page, above the Case Processing Actions section of the page.

Uploading the Enclosure(s)

The Enclosure to the Decision Letter is uploaded from the applicable LSAppeal Details page. Repeat the steps below for each cohort year in a multiyear perfected case.

Access the LSAppeal Details page for the cohort year. Click the “Attach File” button located under the Attached Documents section, Decision Letter Enclosures subsection (Figure 18-12).

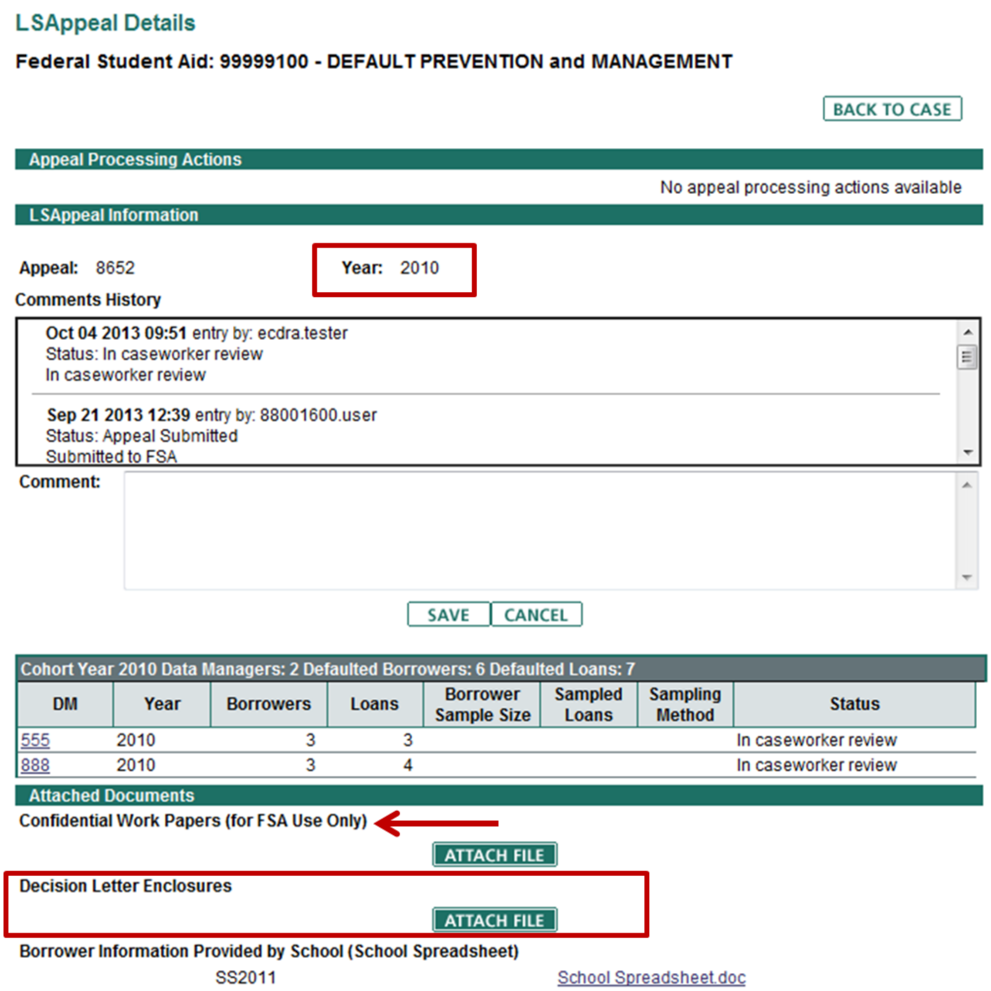


Figure 18-12: LSAppeal Details Page for Cohort Year 2010

This opens the Decision Letter Enclosure Upload Page (Figure 18-13 below). Select the correct enclosure document by browsing your computer. Click "Save" to upload the Enclosure document or "Cancel" to return to the LSAppeal Details page without uploading any file.

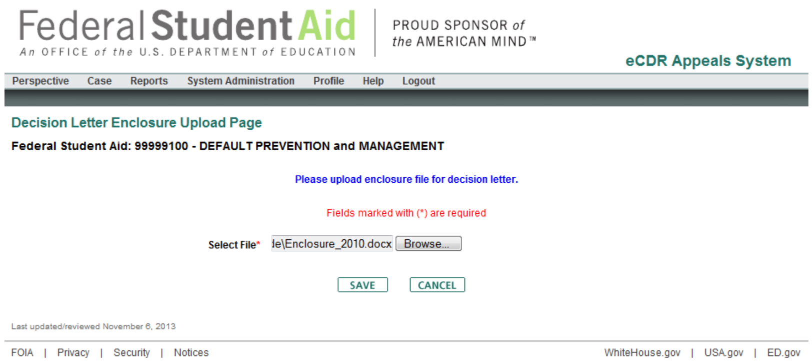


Figure 18-13: Decision Letter Enclosure Upload Page

Once you save the Enclosure to the decision letter, it displays on the LSAppeal Details page, under Attached Documents. Until the case is closed, there is a "Remove" button next to the saved enclosure, enabling you to remove the enclosure if necessary, in order to replace it.

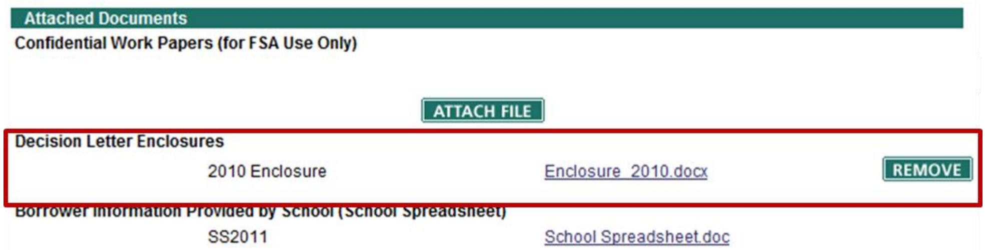


Figure 18-14: 2010 LSAppeal Page with Uploaded 2010 Enclosure

Each enclosure uploaded also displays at the top of the Case Details page, above the Case Processing Actions section of the page, as shown below.

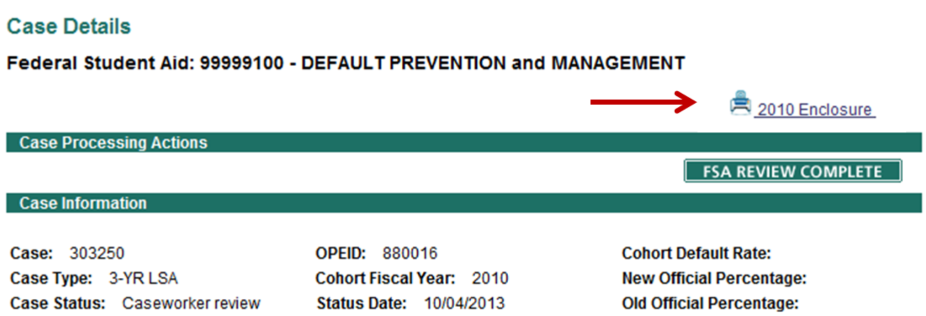


Figure 18-15: Enclosure Displays on Case Details Page

Uploading Work Papers

The FSA Caseworker follows OPD practices for the inclusion and format of work papers. Work papers apply to a single cohort year in the case. Repeat the steps separately for each cohort year in a multiyear case.

Access the LSAppeal Details page for the cohort year. Click the "Attach File" button under the Attached Documents section, Confidential Work Papers subsection (refer back to Figure 18-12 on page 122 and Figure 18-16 below).
This opens the FSA Confidential Work Papers Page. Select the correct work paper document by browsing your computer. Click "Save" to upload the work paper document or "Cancel" to return to the LSAppeal Details page without uploading any file.

Once you save the work paper, it displays on the LSAppeal Details page, under Attached Documents. You may repeat the above steps to attach more work papers for a given cohort year. Until the case is closed, there is a "Remove" button next to each saved work paper, enabling you to remove it if necessary. (Figure 18-16)

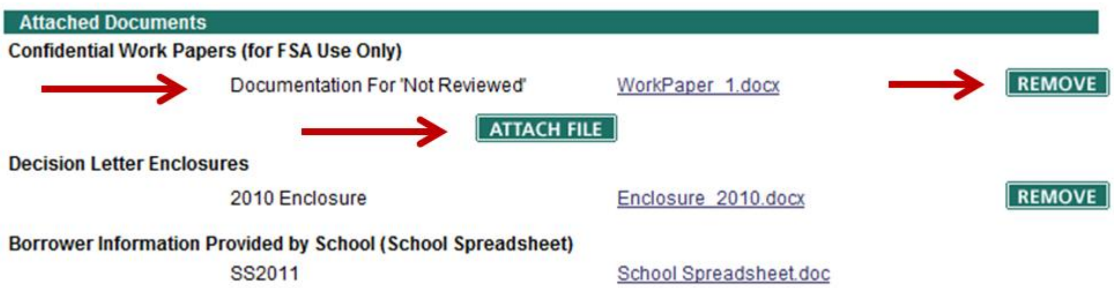


Figure 18-16: Confidential Work Paper on LSAppeal Details Page

Completing the FSA Review

As soon as an Enclosure for each cohort year in the perfected case and a Decision letter have been uploaded, eCDR Appeals offers the ability to identify the FSA review as complete, an action that prepares the proposed case decision for internal quality control review by OPD personnel with FSA Case Manager permissions.

When the FSA Caseworker is satisfied that all material is ready, the FSA Caseworker selects the FSA Review Complete case processing action button, on the Case Details Page. (Figure 18-17)

Figure 18-17: Case Details Page with FSA Review Complete Button

This action results in a new case status of "Available for case manager review," as shown below on the Current Cases page. (Figure 18-18)

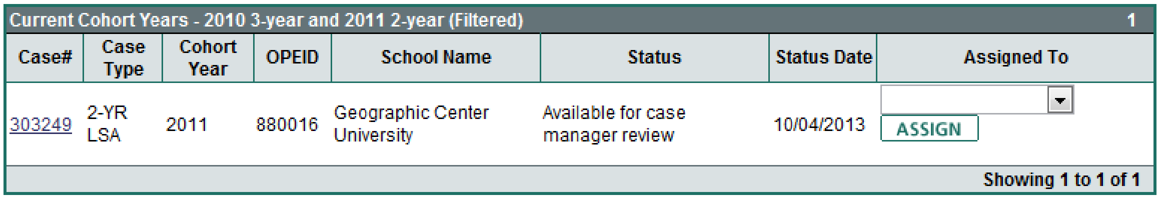


Figure 18-18: Current Cases Page Shows Case Available For Case Manager Review

18.4 Conducting the Quality Control Review

OPD personnel with FSA Case Manager User role self-assign a case in "Available for case manager review" status (see Figure 18-18 above), thus changing the case status to "Case manager review." The case manager performs a review of the proposed case decision and other case material, and either returns the case to the FSA Caseworker for additional work, or closes the case. The case manager may edit the case before closing it or returning it.

Viewing the Perfected Case and Proposed Case Decision Material

The FSA Case Manager reviews the decision letter, the enclosure(s) and any work paper prepared by the FSA Caseworker. These documents are located as follows:

DOCUMENT	PAGE	LOCATION – COMMENTS
Decision Letter	Case Details Page	Located under the *Case Actions* section of the page.*
Enclosure(s)	Case Details Page	Top of Page – Above the *Case Processing Actions* section of page. One enclosure per year in the case.
	Year Page** for the applicable year	Located under the *Attached Documents* section of the page. Enclosure can be removed from this location.
Work Paper(s)	Year Page** for the applicable year	Located under the *Attached Documents* section of the page, work papers can be removed or added from here.
* once the case is closed, the Decision Letter will show at the top of the Case Details page. ** aka the "LSAppeal Details Page"		

Table 18-2: Location of Case Decision Documents

As warranted, the FSA Case Manager reviews the case data, to include the School Spreadsheet and servicing records for each year in the perfected case. Documents are located as follows:

DOCUMENT	PAGE	LOCATION – COMMENTS
School Spreadsheet for a given year	Case Details Page	Located in the appropriate Cohort Year table header – under the *Loan Servicing Records* table(s).
	Year Page** for the applicable year	Located under the *Attached Documents* section of the page.
Servicing Records received from a Data Manager for a given year	Data Manager Page* for the applicable year	Located in *Servicing Records for Year* section of page.
	Year Page** for the applicable year	Located under the *Attached Documents* section of the page, under the appropriate Data Manager.

Data Manager Spreadsheet for a given year (when provided)	Data Manager Page* for the applicable year	Same location as other *Servicing Records for Year*, under that section of the page.
	Year Page** for the applicable year	Located under the *Attached Documents* section of the page alongside other servicing records, under the appropriate Data Manager.
Borrower Loan Data	Borrower Loan Servicing Information for LSA	Accessed from the applicable Data Manager Page* for a given year by clicking on the Borrower ID.
* aka the "Loan Servicing DM Appeal Details Page" ** aka the "LSAppeal Details Page"		

Table 18-3: Location of School Allegations and Servicing Records

Making a Determination

The FSA Case Manager makes a determination regarding whether the case decision is complete and the case can be closed, or whether the case should be returned to the FSA Caseworker for additional work.

Figure 18-19: Close Case and Back to Case Worker Case Processing Action Buttons

The FSA Case Manager can also at this point remove and/or replace the Decision Letter and the Enclosure(s) for each year in the perfected case, as well as add to or remove the work papers for each year before closing the case or returning it to the caseworker. For details on making changes, refer to Chapter 18.3: Carrying Out the FSA Review details (page 121).

Returning the Case to Caseworker for Additional Work

To return the case to the FSA Caseworker for additional work, the FSA Case Manager clicks the "Back to Case Worker" case processing action button on the Case Details page (Figure 18-19 above).

This action will place the case back in "Caseworker review" status. All permissions are the same as described under Chapter 18: OPD: Review and Respond to the LSA Case (page 116). The system assigns the case to the FSA Caseworker who last worked on the case. The case can be re-assigned if desired.

Closing the LSA Case

When the FSA Case Manager is satisfied that the case decision is complete and all pertinent material has been correctly uploaded, the FSA Case Manager clicks the "Close Case" case processing action button on the Case Details page (Figure 18-19 above).

The action is final and the system prompts the user to confirm the Close Case action (Figure 18-20). To confirm the case closure action, click "OK". Or click "Cancel" to return to the Case Details page without closing the case.

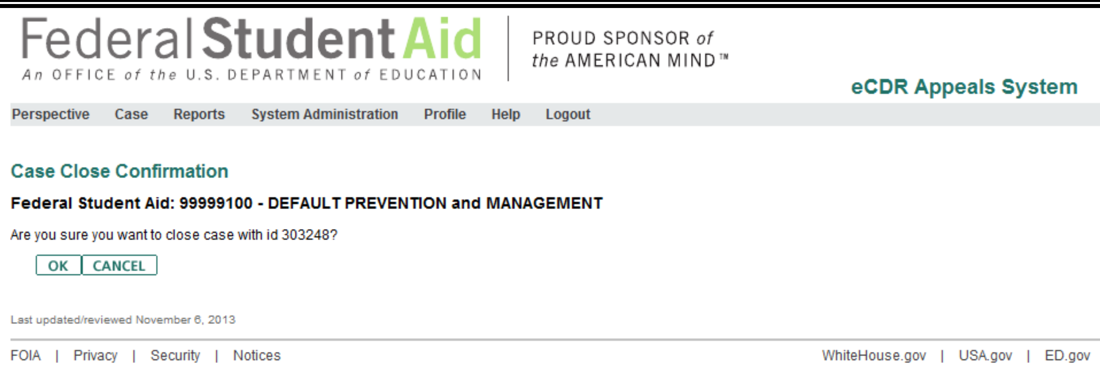
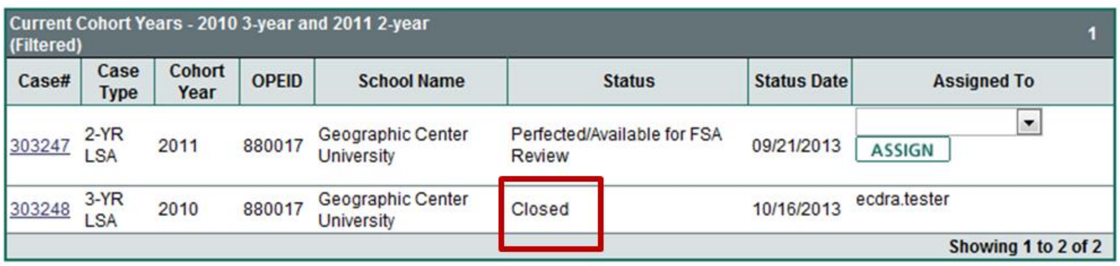


Figure 18-20: Case Close Confirmation Page

Once you click "OK", the case status changes to "Closed," the system sends notifications to the School and to Data Managers who provided servicing records, indicating that the case is closed. The case is read-only for all users. (Figure 18-21)



Current Cohort Years - 2010 3-year and 2011 2-year (Filtered) 1

Case#	Case Type	Cohort Year	OPEID	School Name	Status	Status Date	Assigned To
303247	2-YR LSA	2011	880017	Geographic Center University	Perfected/Available for FSA Review	09/21/2013	ASSIGN
303248	3-YR LSA	2010	880017	Geographic Center University	Closed	10/16/2013	ecdra.tester

Showing 1 to 2 of 2

Figure 18-21: Current Cases Showing A Closed Case

18.5 Viewing the Case after Closure

All material can be viewed in read-only mode, and no edits are permitted.

The Decision Letter now displays in the top right corner of the Case Details page, alongside the Enclosure(s) for the case. (Figure 18-22)

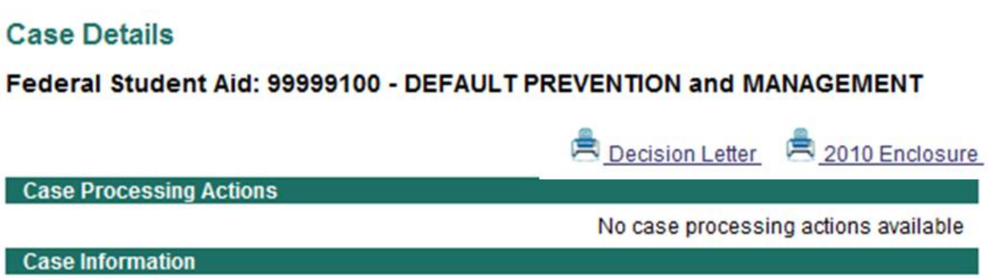


Figure 18-22: Case Details Page with Decision Letter and Enclosure

19. SCHOOL: VIEW THE OPD DECISION AND THE CLOSED CASE

As discussed in Chapter 16.10: What Should the School Expect after Submitting its Perfected LSA Case to FSA? (page 108), once OPD decides on the case, the Case Status will be "Closed" and the system will send the School an email notification.

The Current Cases page shows the case status as "Closed" (Figure 19-1).

Current Cohort Years - 2010 3-year and 2011 2-year						1
Case ID	**Case Type**	**Cohort Year**	**OPEID**	**School Name**	**Status**	**Status Date**
303249	2-YR LSA	2011	880016	Geographic Center University	Closed	10/16/2013
303250	3-YR LSA	2010	880016	Geographic Center University	Closed	10/04/2013
						Showing 1 to 2 of 2

Figure 19-1: Current Cases Table Shows Closed Cases

19.1 *Viewing the Decision Letter and Enclosure(s)*

Click on the Case ID for a closed LSA case to view the Case Details Page, where you can view the Decision Letter and the Enclosure for each year in the perfected case. Figure 19-2 below shows a closed 2-YR LSA multiyear case where the decision letter and three enclosures are located at the top of the page, just above the Case Processing Actions section of the page.

Case Details

OPE ID: 880016 - Geographic Center University

Decision Letter 2009 Enclosure 2010 Enclosure 2011 Enclosure

Case Processing Actions

No case processing actions available

Case Information

Case: 303249	**OPEID:** 880016	**Cohort Default Rate:**
Case Type: 2-YR LSA	**Cohort Fiscal Year:** 2011	**New Official Percentage:**
Case Status: Closed	**Status Date:** 10/16/2013	**Old Official Percentage:**

Figure 19-2: Case Details Page for a Closed Multiyear Case

Simply click on any of these documents to open or save them.

19.2 *Accessing Other Case Data*

The School continues to have read-only access to all case information. Documents and case information are located as follows:

DOCUMENT	PAGE	LOCATION – COMMENTS
School Spreadsheet for a given year	Case Details Page	Located in the appropriate Cohort Year table header – under the *Loan Servicing Records* table(s).
	Year Page** for the applicable year	Located under the *Attached Documents* section of the page.

DOCUMENT	PAGE	LOCATION – COMMENTS
Servicing Records received from a Data Manager for a given year	Data Manager Page* for the applicable year	Located in *Servicing Records for Year* section of page.
	Year Page** for the applicable year	Located under the *Attached Documents* section of the page, under the appropriate Data Manager.
Data Manager Spreadsheet for a given year (when provided)	Data Manager Page* for the applicable year	Same location as other *Servicing Records for Year*, under that section of the page.
	Year Page** for the applicable year	Located under the *Attached Documents* section of the page alongside other servicing records, under the appropriate Data Manager.
Fee Information (when applicable)	Data Manager Page* for the applicable year	Fee documents: same location as *Servicing Records for Year* section of page.
	Year Page** for the applicable year	For uploaded fee documents only: located under the *Attached Documents* section of the page alongside servicing records, under the appropriate Data Manager.
Borrower Loan Data	Borrower Loan Servicing Information for LSA	Accessed from the applicable Data Manager Page* for a given year by clicking on the Borrower ID.
* aka the "Loan Servicing DM Appeal Details Page" ** aka the "LSAppeal Details Page"		

Table 19-1: Location of School Allegations and Servicing Records

20. DATA MANAGER: VIEW THE OPD DECISION AND THE CLOSED CASE

Once OPD decides on the case, the Case Status will be “Closed” and the system will send the Data Managers who provided servicing records an email notification.

The Current Cases page shows the case status as “Closed”. The example below shows several closed cases (Figure 20-1Figure 19-1).

Current Cohort Years - 2010 3-year and 2011 2-year							1 2
Case ID	Case Type	Cohort Year	OPEID	School Name	Status	Status Date	Response Due Date
303220	2-YR LSA	2011	001085	University of Arkansas at Monticello	Case manager review	10/04/2013	
303223	3-YR LSA	2010	001111	Allan Hancock College	Closed	09/25/2013	
303230	2-YR LSA	2011	041350	Cozmo The School	Closed	09/25/2013	
303253	2-YR LSA	2011	111111	UNIVERSITY OF IO	Caseworker review	09/25/2013	
303254	3-YR LSA	2010	111111	UNIVERSITY OF IO	Closed	09/25/2013	
303255	2-YR LSA	2011	333333	CALLISTO COLLEGE	Case manager review	10/04/2013	
303249	2-YR LSA	2011	880016	Geographic Center University	Closed	10/16/2013	
303248	3-YR LSA	2010	880017	Geographic Center University	Closed	10/16/2013	
303232	2-YR LSA	2011	880144	Contiguous Geo Center University	Closed	09/25/2013	
303233	3-YR LSA	2010	880144	Contiguous Geo Center University	Caseworker review	10/04/2013	
							Showing 1 to 10 of 15

Figure 20-1: Current Cases Table Shows Several Closed Cases

20.1 Viewing the Decision Letter and Enclosure(s)

Click on the Case ID for a closed LSA case to view the Case Details Page, where you can view the Decision Letter and the Enclosure for each year in the perfected case. Figure 20-2 shows a closed 2-YR LSA multiyear case where the decision letter and three enclosures are located at the top of the page, just above the Case Processing Actions section of the page.

Case Details

Data Manager Code: 777 - HURIN HELPMEET

Decision Letter | 2009 Enclosure | 2010 Enclosure | 2011 Enclosure

Case Processing Actions

No case processing actions available

Case Information

Case: 303249
Case Type: 2-YR LSA
Case Status: Closed

OPEID: 880016
Cohort Fiscal Year: 2011
Status Date: 10/16/2013

Cohort Default Rate:
New Official Percentage:
Old Official Percentage:

Figure 20-2: Case Details Page for a Closed Multiyear Case

Simply click on any of these documents to open or save them.

20.2 Accessing Other Case Data

Data Managers who provided servicing records continue to have read-only access to case information. Data Managers only have access to the servicing records they provided. Documents and case information are located as follows:

DOCUMENT	PAGE	LOCATION – COMMENTS
School Spreadsheet for a given year	Case Details Page	In the appropriate Cohort Year table header – under the *Loan Servicing Records* table(s).
Servicing Records provided for a given year	Data Manager Page* for the applicable year	In *Servicing Records for Year* section of page.
Data Manager Spreadsheet for a given year (when provided)	Data Manager Page* for the applicable year	Same location as other *Servicing Records for Year* section of page.
Fee Information (when applicable)	Data Manager Page* for the applicable year	Fee documents: same location as *Servicing Records for Year* section of page.
Borrower Loan Data	Borrower Loan Servicing Information for LSA	Accessed from the applicable Data Manager Page* for a given year by clicking on the Borrower ID.
* aka the "Loan Servicing DM Appeal Details Page"		

Table 20-1: Location of School Allegations and Servicing Records

21. ALL USERS: MISCELLANEOUS FUNCTIONS

This chapter covers functionality in eCDR Appeals that is available to all users, but is not directly involved in the LSA Workflow.

21.1 Printing or Exporting Case Information

Important Note:

"DM Spreadsheets", "School Spreadsheets" and Enclosures to the OPD's Loan Servicing Appeal Decision Letter contain personally identifiable information (PII), including borrower names and (full or partial) social security numbers. Servicing records also contain PII and sensitive financial information about borrowers.

Take precautions to safeguard any case information you save to your computer or print out. Securely store all printed reports and electronic media. Securely dispose of electronic and printed reports after they are no longer needed.

21.2 Maintaining Your Profile

The eCDR Appeals system maintains two sets of contact information for your organization in your Profile: the organizational contact information, and your individual contact information. Both can be viewed and updated by selecting the "Profile" item from the main menu.

Please ensure that your Profile is up-to-date, especially at the beginning of a cohort cycle.

21.3 Adding New Contact Information

This function is available to School Case Managers, Data Manager Response Managers, OPD Case Managers, and OPD Administrators. Any of these users may add contact information for people in their organization that they wish to receive notifications from eCDR Appeals. Users must have an updated profile (i.e. must have saved their own contact information in eCDR Appeals) before they can add contact information for other people.

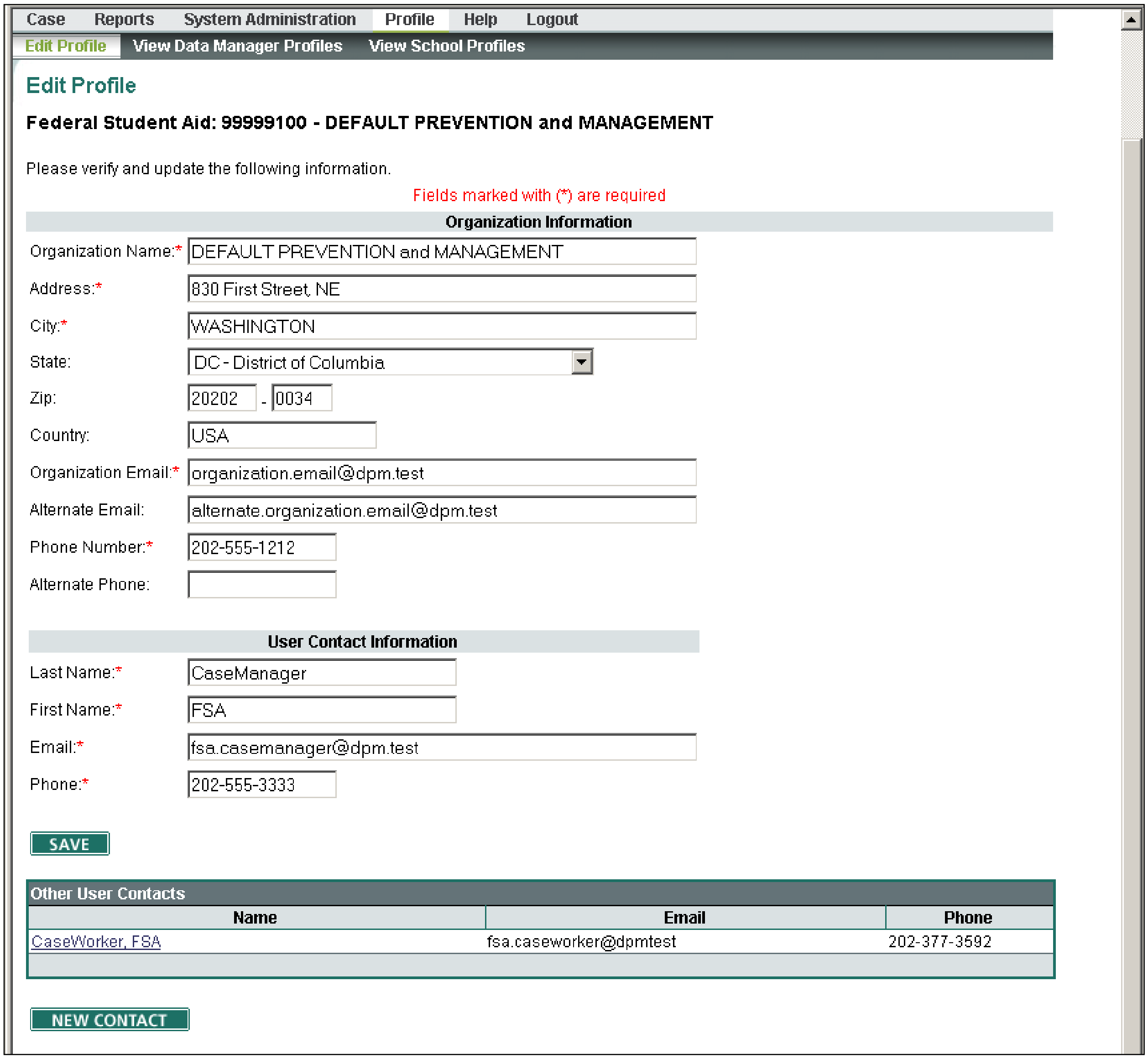


Figure 21-1: Profile Page for an OPD Case Manager

At the bottom of the Profile page is a button labeled "New Contact" (see Figure 21-1:). Click on this to bring up the "New Contact" page (see Figure 21-2:).

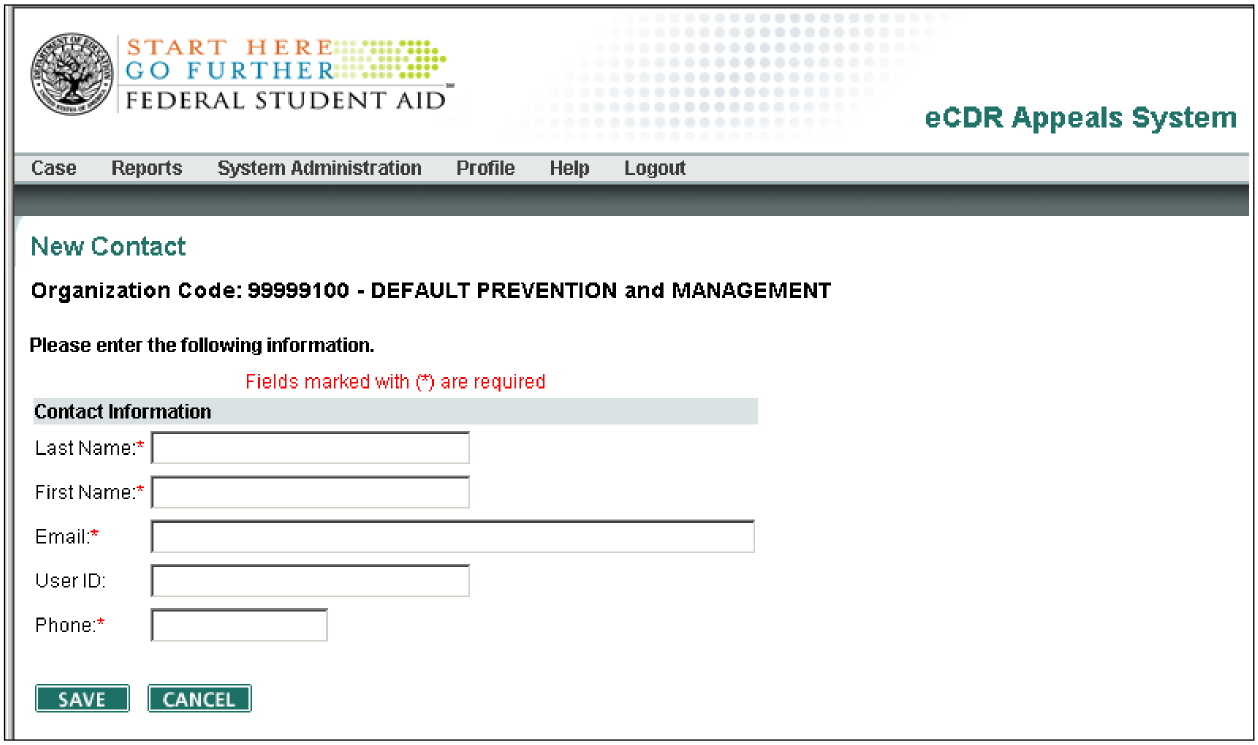


Figure 21-2: New Contact Page

The user types the required information into the fields and clicks "Save" to create a new contact. The user is returned to the profile page where the Other User Contacts table will list the new contact (see Figure 21-3:). Clicking on the "Cancel" button returns the user to the profile page without saving any information.

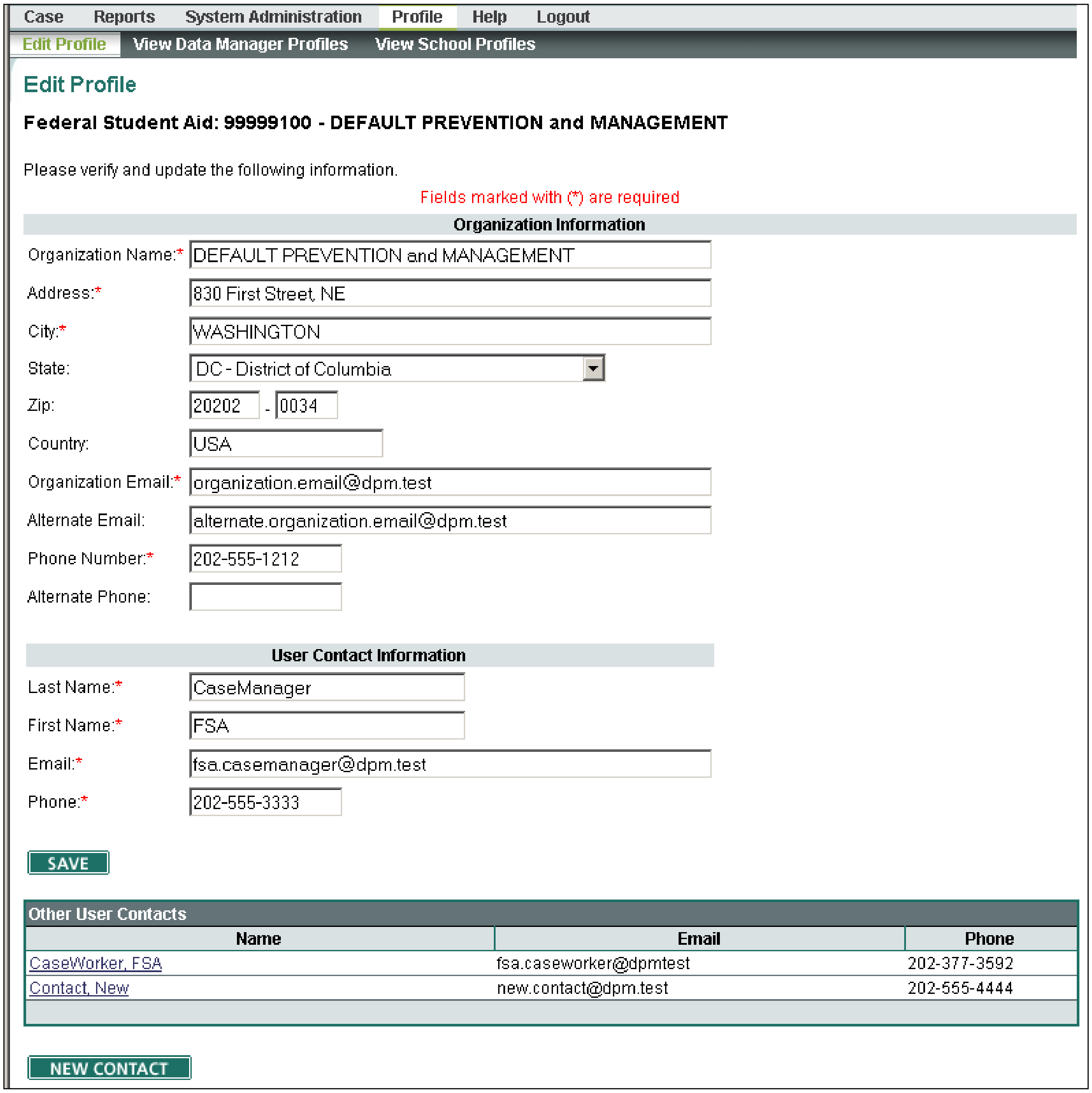


Figure 21-3: Profile with New Contact Added

21.4 Editing Contact Information

This function is available to School Case Managers, Data Manager Response Managers, OPD Case Managers, and OPD Administrators. Any of these users may edit contact information for people in their organization. Users must have an updated profile (i.e. must have saved their own contact information in eCDR Appeals) before they can edit contact information for other people.

To edit contact information, go to the Profile page. Click on the contact's name in the Other User Contacts table. This opens the "Edit Contact" page (see Figure 21-4:). Update any information that needs to be updated and click on "Save". The profile page is reloaded and any updates to the contact's name, email address, or phone number will be displayed in the Other User Contacts table.

Clicking on "Cancel" discards any changes and reloads the profile page.

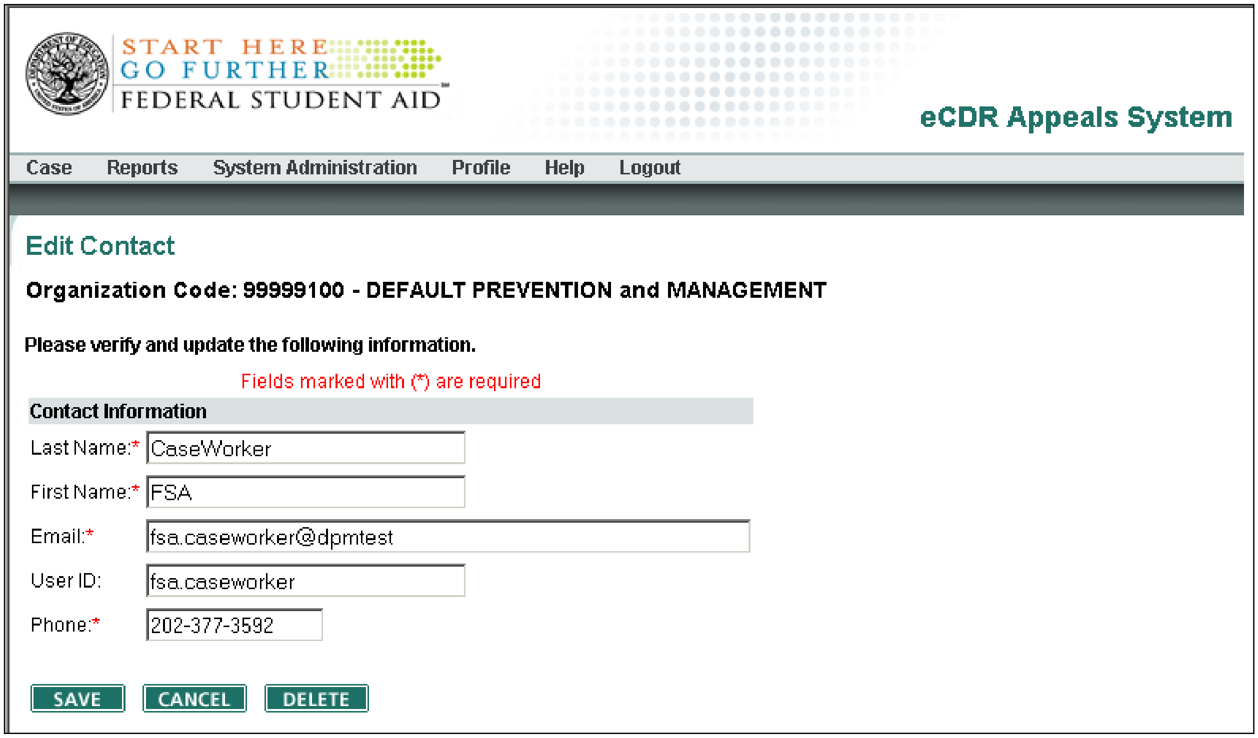


Figure 21-4: Edit Contact Information

21.5 Deleting Contact Information

This function is available to School Case Managers, Data Manager Response Managers, OPD Case Managers, and OPD Administrators. Any of these users may delete contact information for people in their organization. Users must have an updated profile (i.e. must have saved their own contact information in eCDR Appeals) before they can delete any contact information for other people.

To delete a contact, go to the Profile page. Click on the contact's name in the Other User Contacts table. This opens the "Edit Contact" page (see Figure 21-4:). Click on the "Delete" button. This deletes the record and reloads the profile page. The Other User Contacts table in the profile page will no longer list the deleted contact.

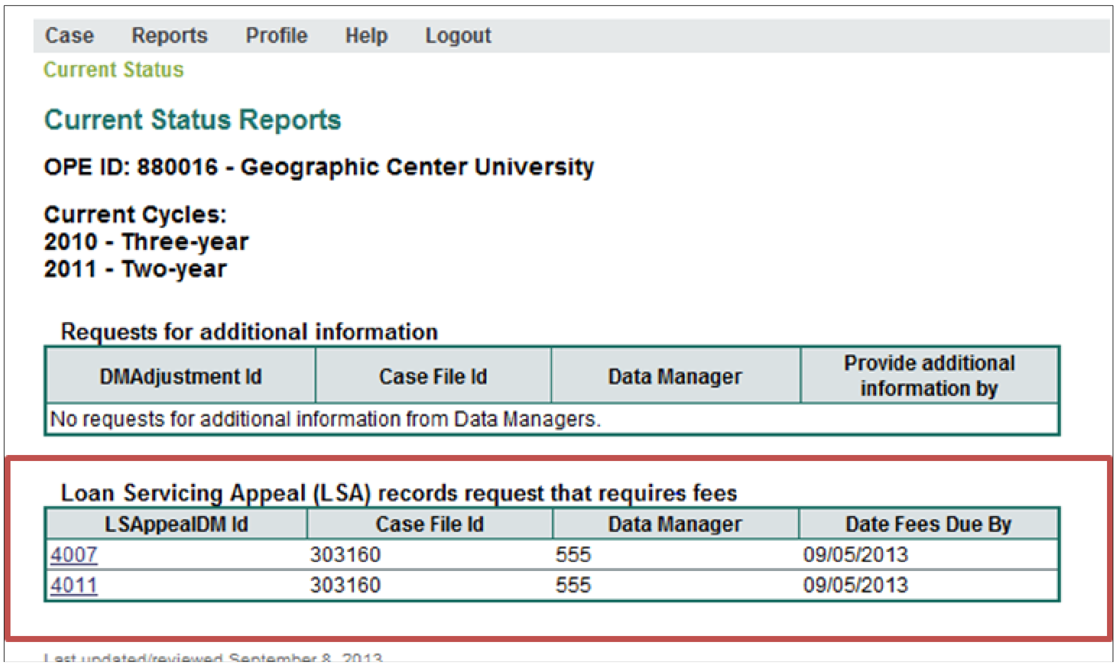
22. SCHOOL: MISCELLANEOUS FUNCTIONS

This chapter covers functionality in eCDR Appeals that is available to schools.

22.1 Reports

Schools can view their Current Status Report. To do so, select “Reports” from the main menu.

Current Status Report



DMAdjustment Id	Case File Id	Data Manager	Provide additional information by
No requests for additional information from Data Managers.			

LSAppealDM Id	Case File Id	Data Manager	Date Fees Due By
4007	303160	555	09/05/2013
4011	303160	555	09/05/2013

Figure 22-1: Current Status Reports

The report titled “Loan Servicing Appeal (LSA) records request that requires fees” supports LSA processing and identifies instances where the Data Manager requires a fee be paid before providing the servicing records requests, and the deadline for paying the requested fee.

23. DATA MANAGER: MISCELLANEOUS FUNCTIONS

This chapter covers functionality in eCDR Appeals that is available to Data Managers.

23.1 Reports

To view a report, select "Reports" from the main menu. This will display the Current Status Reports page. Two other types of reports are also available from the Reports sub-menu: Draft Cycle and Official Cycle.

Current Status Report

The Current Status Report lists several reports, including three that directly support processing an LSA case (Figure 23-1).

Figure 23-1: Current Status Cases for Data Managers

The "LSA Servicing Records Requests" report identifies all LSA case files that need the Data Manager's attention and the due date for responding to that case.

The "LSA Clarification and Additional Data Requests" report lists requests for clarification from either the School before the school submits its perfected LSA case, or from OPD once Federal Student Aid undertakes to review the school's perfected case.

The "LSA Records Requests with Fees Past Due" report focuses on identifying cases where the Data Manager has requested a fee, fifteen (15) or more days have passed, the school has not withdrawn its request, and the Data Manager has not yet documented the outcome of your request.

Official Cycle Reports

The Official Cycle Reports page is accessed by selecting the "Official Cycle" item from the sub-menu. To view a report for a particular cohort year, choose a year for the report then press "Submit". A list of changes to loan records for the requested cohort year will be displayed.

Draft Cycle Reports

Please refer to the "Data Manager: Miscellaneous Functions" chapter of the *eCDR Appeals Incorrect Data Challenge User Guide* for more information on draft cycle reports.

24. OPD: MISCELLANEOUS FUNCTIONS

This chapter covers functionality in eCDR Appeals that is available to Federal Student Aid OPD, but is not directly involved in the LSA Workflow.

24.1 Reports

The eCDR Appeals system can produce a comprehensive report on IDC statistics for a given cohort year. To view a report, select “Reports” from the main menu. This will immediately display the current status reports page. To view other reports, select the desired report from the sub-menu.

24.2 Cycle Management

Before each cohort cycle, the planned beginning and ending dates of the cycle must be manually entered into the eCDR Appeals application. Additionally, when a cohort cycle is complete, it can be closed. Users who have the eCDR Appeals role of Federal Student Aid OPD Administrator can perform these cycle management tasks.

To access the cycle management functions, select “System Administration” from the main menu and “Manage Cycle” from the submenu. This will load the Manage Cycle page, presenting you with two options: Start Cycle and Close Cycle.

Starting a new Cohort Cycle

To begin a new cohort cycle, select “Start Cycle” from the Manage Cycle page. The Start New Cycle page will load (Figure 24-1).

Figure 24-1: Starting a new cohort cycle

Choose whether the new cycle will be a draft or official cycle. Enter the start date and planned end date in the provided fields. Enter the LRDR Released Date, which is the date on which LRDRs were released to schools for this cycle. After you have entered all required information, select “Save” to create a new cycle. Only one cycle may be created at a time. If there is an existing cycle already in place, an error page will load with a message indicating that a new cycle could not be created.

Editing a Cohort Cycle

A cohort cycle's dates can be adjusted, or the cycle can be ended, via the Edit Cycle page. (Figure 24-2).

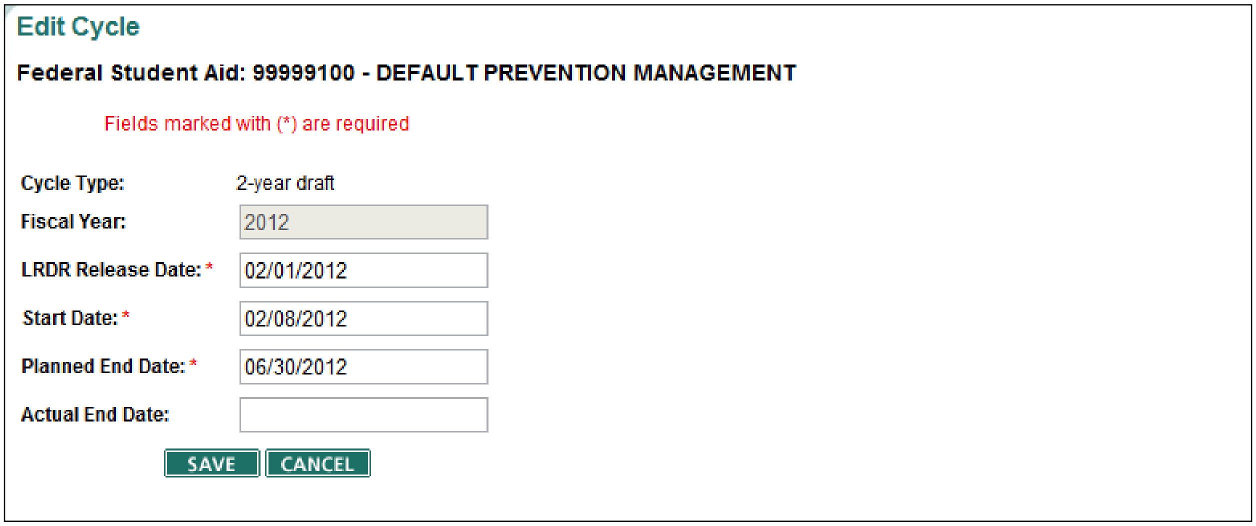


Figure 24-2: Editing a cycle

25. APPENDIX A: GLOSSARY AND ACRONYMS

Term	Definition
DD	Default date.
DER	Date Entered Repayment. The date on which a borrower begins repayment on a loan.
DM	Data Manager. A DM may be the Federal Loan Servicer, a guaranty agency, or Federal Student Aid Operations Performance Division.
DM Code	A unique identifier for data managers. Also called the Guarantor/Servicer Code.
OPD	Operations Performance Division. The division of Federal Student Aid that deals with cohort default rates and works with data managers.
eCDR Appeals	Electronic Cohort Default Rate Appeals. The eCDR Appeals system permits online filing of cohort default rate appeals cases.
FSA	Federal Student Aid.
IDC	Incorrect Data Challenge.
LRDR	Loan Record Detail Report. A LRDR details loans and borrowers for a given OPEID and cohort cycle. It contains information on loans that were used to calculate a school’s cohort default rate.
LSA	Loan Servicing Appeal
NDA	New Data Adjustment.
NSLDS	National Student Loan Data System. The database used to store federal student loan information.
OPEID	Office of Postsecondary Education Identifier. Each institution (school) has its own unique OPEID.
UDA	Uncorrected Data Adjustment.

26. APPENDIX B: STATUS CODES

26.1 Case Status Codes

Table 26-1 lists status codes that an LSA case may have. These status codes apply to the case as a whole. Data Manager Service Records Requests within an LSA case have their own status codes (see 26.2, "DM Servicing Records Request Status Codes").

Status Code	Description
Awaiting LRDR	A school has initiated a new case, but Federal Student Aid has not yet loaded the LRDR information into the eCDR Appeals system. While a case is in Awaiting LRDR status, the countdown to the case submission deadline is suspended.
Awaiting Prerequisite Files	A school has initiated a new case, but Federal Student Aid has not yet loaded the LRDR information into the eCDR Appeals system, and other required files have not yet been loaded. While a case is in Awaiting Prerequisite Files status, the countdown to the case submission deadline is suspended.
Awaiting Required Files	LRDRs have been loaded but other required files have not. While a case is in Awaiting Required Files status, the countdown to the case submission deadline is suspended.
Servicing Records Request Being Prepared	All required files have been loaded and the School is preparing its request to Data Managers for servicing records.
Servicing Records Requested	The case remains in this status from the time the School submits its request for servicing records until all Data Managers have responded.
Being Prepared	The case remains in this status from the time all Data Managers have responded, and there are no clarification loops open, until the School certifies a perfected case, or withdraws its case.
Certified	When the School attaches a Certification Letter to its Perfected LSA Case, the status changes to Certified. In the event the School decertifies its case, status reverts to Being Prepared.
Perfected/Available for FSA Review	When the School submits its certified Perfected LSA Case, the status changes to "Submitted" and then immediately changes to "Perfected/Available for FSA Review.

Status Code	Description
Withdrawn (or Abandoned)	In the event a School withdraws its case after receiving servicing records from all Data Managers, the case status is "Withdrawn". If the School simply fails to submit a perfected case to FSA within the applicable deadline, the case is considered "Abandoned".
Caseworker Review	The case takes on and remains in this status while FSA personnel conduct their review and adjudication of the case.
Available for Case Manager Review	The case moves to this status once FSA personnel who completed the case review have submitted all case decision documents to internal quality control review.
Case Manager Review	The case remains in this status while FSA personnel conduct a quality control review of the proposed case decision.
Closed	Once adjudication is complete, FSA closes the case.

Table 26-1: LSA Case Status Codes

26.2 DM Servicing Records Request Status Codes

Table 26-2 lists status codes that Servicing Records Request for a given Data Manager in a given cohort year in the LSA case may have.

Status Code	Description
[BLANK FIELD]	When the school is preparing its request for servicing records, all Data Managers eligible to be selected display a blank status code. They are not yet in the case.
Servicing Records Requested	Once the School submits its request for servicing records, all requests to eligible Data Managers that were selected by the School get this status. Data Managers who were eligible to be selected but were not selected no longer display at all.
Fee Requested for Providing Servicing Records	This status is assigned if the Data Manager requires a fee be paid before servicing records are provided. (Fee is paid outside eCDR Appeals.)
Fee Not Required	In a multiyear case where the Data Manager requires a fee only for some, but not all cohort years in the case, the year(s) where no fee is required are marked with this status.
Fee Paid	The Data Manager documents that the School paid the fee.
Appeal Withdrawn	The School does not intend to pay the fee and withdraws its request for servicing records.
Servicing Records Submitted	Once the Data Manager provides the requested servicing records to the School.

Status Code	Description
Clarification Requested	When the School requests clarification from a Data Manager about the servicing records they provided for a particular cohort year.
Clarification Provided	Once the Data Manager responds to the School's request for clarification.
Servicing Records Provided – Clarifications Finished	Recurring clarification requests were terminated by FSA. (Schools are permitted to ask a given Data Manager several times for clarification about the servicing records provided.)
Withdrawn	Status applies to each DM record for a year that is withdrawn from a multiyear case prior to submission.
Withdrawn (or Abandoned)	Status applies to all DM records when the entire case is withdrawn (or abandoned) by the School.
Appeal Submitted	Status applies to each DM and year included in the School's perfected case, upon submission of the case to FSA.
In Caseworker Review	Status applies once FSA starts its review of the School's perfected case.
Additional Data Requested from DM	Status applies in the event FSA requests additional data from a Data Manager while reviewing the School's perfected case.
DM Has Provided Additional Data	Status applies when the DM responds to an FSA request for additional data.
In Case Manager Review	Status applies while the proposed case decision undergoes internal quality control review.
Closed	Status applies when FSA closes the case.

Table 26-2: DM Servicing Records Request Status Codes