



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

*We Help Put America Through School*

**Department of Education  
Office of Federal Student Aid  
Front End Business Integration  
Statement of Objectives**

**March 25, 2004**

**FRONT END BUSINESS INTEGRATION  
STATEMENT OF OBJECTIVES**

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# FRONT END BUSINESS INTEGRATION STATEMENT OF OBJECTIVES

## 1. Introduction and Background

### 1.1 FSA Overview

The U.S. Department of Education operates over 175 programs that touch every area and level of education. One of the key areas is Title IV Aid for postsecondary education. Federal Student Aid (FSA) is the office within the Department of Education responsible for managing the federal student aid programs and processes. FSA makes available over \$64 billion in postsecondary student financial aid every year, including more than \$51 billion in new student loans and more than \$11 billion in Pell Grants. FSA is the equivalent of the 9<sup>th</sup> largest bank in the U.S. with a loan portfolio in excess of \$92 billion. FSA consists of 1,100 employees and 3,800 operating partner personnel who run and maintain the myriad of systems and processes that enable FSA to manage the Title IV federal student aid programs. At FSA, "We Help Put America Through School."

In the 1998 reauthorization of the Higher Education Act of 1965 the Congress established FSA as a Performance-Based Organization (PBO) to integrate its many disparate legacy systems, improve service to its customers and employees, reduce its operational costs, and restore integrity to delivery of the Title IV federal student financial aid programs. This designation was the starting point for FSA's effort to modernize the management, delivery, and accountability of its Title IV Aid program. Operating as a PBO, FSA implemented a corporate-like organization structure led by a Chief Operating Officer (COO), Chief Financial Officer, Chief Information Officer, and General Managers aligned around students, schools, and financial partners.

#### 1.1.1 FSA's Business Challenge

FSA's business challenge is articulated in the COO's objectives, which in turn, drive the work of FSA:

- Integrate FSA Systems and Provide New Technology Solutions
- Improve Program Integrity
- Reduce Program Administration Costs
- Improve Human Capital Management
- Improve Products and Services to Provide Better Customer Service

#### 1.1.2 FSA Integration Efforts

Using a phased development approach, FSA is modernizing and integrating its core business functions through the reengineering, retirement, and replacement of existing legacy systems. Through the formulation of a core business architecture, FSA has been able to apply key technical architecture solutions, including middleware technologies to help integrate modernized systems with legacy systems, to enable data sharing and eliminate redundancies. These core business application solutions are integrated with a Financial Management System using Oracle's Federal Financials Commercial Off-The-Shelf (COTS) product enabling FSA to have a financial "worldview" of its business.

FSA's transformation affects all aspects of its business—people, processes, and technology. As part of the integration efforts, FSA has performed the following activities:

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- Created and implemented a new business architecture, focusing on services that are critical to customers – eliminating some, changing some, and adding new processes
- Developed and maintained an enterprise architecture, reducing the costs to operate systems and increasing the ability for systems to “talk to each other.”
- Utilized the Internet for many aspects of the business including helping change customer behaviors: In essence, turning paper to electrons to reduce cost and improve service
- Integrated financial management systems to assure the integrity of program expenditures and ensuring that FSA’s fiduciary duty to the public is fulfilled.

### **1.1.3 Common Services for Borrowers (CSB)**

One of the more recent initiatives that FSA has undertaken is CSB, which involves the integration of the Servicing, Consolidation, and Collections business operations and functions. FSA laid the groundwork by conducting market research to identify best practices and by allowing the competing vendors wide flexibility in proposing solutions rather than responding to the government’s solutions. A contract was awarded to ACS in November 2003 that combines Direct Loan Servicing, Direct Loan Consolidations, Debt Management Collection, Conditional Disability Discharge Tracking, and the Debt Collection Service Information Center and integrates these functions into a single operation.

Ultimately, the new CSB solution will incent the vendor to keep borrowers in good standing, move more borrowers to web self-service, and improve the customer service that is currently being provided while delivering savings.

### **1.2 Front-End Business Integration (FEBI)**

FSA believes that at the present time, there is an opportunity to integrate the Front End operations of FSA’s business. The Front End functions include awareness, eligibility determination, aid application processing, and grant and loan origination & disbursement. As a result, FSA Leadership created the Vision for the FEBI project:

**FEBI Vision** – “Create a student-centric business model that supports the end-to-end needs of the customer.”

The FEBI vision supports FSA’s organizational objectives, as defined in Section 1.1.1 of this document. FSA’s primary customer is the student. However, those processes, systems, or customer support that impact schools and other partners needs to be partner-centric to the greatest extent possible.

Prior to determining how to procure a front end solution, extensive market research was conducted in an effort to educate ourselves on current industry best practices. FSA held numerous market research sessions with users, providers, specialists, and end-to-end business process users and providers. The purpose of the market research sessions was to help FSA become an educated consumer, learn about business solutions and new approaches, inform the front end target state, and drive the procurement of a front end solution.

In an effort to use industry best practices and improve the management of these current Federal Student Aid assets, FSA leadership concluded that a number of common functions within the front end business systems can be streamlined, consolidated, and integrated to deliver significant improvements in managing student aid obligations from both a cost and customer satisfaction perspective.

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### 1.2.1 Overview of Current Front End

Student Aid Awareness provides information to all eligible populations through the development and distribution of major student publications, promotes electronic access to aid information via Student Aid on the Web. It also conducts targeted outreach to underserved segments of the student population promoting access and availability of aid.

Student Financial Aid Products ordering and fulfillment is provided through the ED Pubs, UPS and the Public Inquiry Contracts (PIC), while the Editorial Services Contract provides prompt, thorough, and accurate responses to written inquiries about the federal student aid programs.

Student Aid Application Processing is currently accomplished via the Central Processing System (CPS), through which it receives, processes, and distributes applicant aid eligibility data to students, schools, state agencies, and other entities. Applications are submitted to the CPS via the paper FAFSA, the paper renewal FAFSA, FAFSA On the Web, Renewal FAFSA On The Web, and EDEXpress - including electronic signature capability. FSA provides security to customer data via an FSA-issued PIN. By providing customers and other user groups with this PIN, user access and capabilities are enhanced. CPS processes over 12 million electronic and paper applications for each application cycle. CPS also is responsible for "matching" information with a number of other government data bases (e.g., selective service). Included in the CPS contract is a help desk function.

In 2002, FSA implemented Common Origination and Disbursement (COD) to simplify the process for schools to obtain financial aid for their students. COD integrates the former Direct Loan Origination System (DLOS) and the Recipient Financial Management System (RFMS) and provides for program integrity within FSA's loan origination and disbursement processes. The COD solution supports a common process, platform, and record for FSA's participating schools to originate and disburse Title IV federal aid funds. Using the Internet, COD allows participating schools to logon to their accounts and, once verified, draw down funds to originate loans to students. As part of the Direct Loan Process, COD offers borrowers the option to sign their Master Promissory Notes using the Internet and an electronic signature. COD and its help desk provide a common IT platform using XML and middleware technologies and integrated processes. These processes allow postsecondary institutions to originate and disburse Title IV student financial aid funds for both the Federal Pell Grant Program and the Federal Direct Loan Program. Approximately 5,500 institutions of higher education participating in the Pell Grants and Direct Loans use the COD system to originate 5-6 million Pell Grants and Direct Loans each award year totaling approximately \$20B of Federal assistance. COD also provides FSA and schools with flexible tools to more easily reconcile Title IV data and manage funding.

Customer service is a critical component of FSA's operations. The Federal Student Aid Information Center (FSAIC) responds to 8.5 million inquiries annually from students, parents, and financial aid professionals. The customer service functions include aid awareness, Customer Relationship Management (CRM)/customer interaction activities and interfaces, consisting of paper correspondence, and call center (Customer Service Representative) operations. The shared services business functions include fulfillment, document management, and the FSA front end web sites. The FEBI solution must fully integrate and be compatible with CSB, and other FSA business functions that support the management of student aid obligations.

FSA's core front end business processes will be integrated in a FEBI solution. This integration will take an end-to-end view of FSA's entire front end business, which includes:

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- Aid Awareness & Outreach
- Application Processing & Eligibility Determination
- Origination & Disbursement
- Technical Help Desk
- Customer Service (including Contact Center, Correspondence, and Web Services)
- Organizational Support Services
- Document Management
- Fulfillment
- Registration & Authentication
- Participation Management
- Performance Management
- Program Management
- Change Management

In order to manage the costs associated with such a large client base, the integrated FEBI solution must provide innovative measures to ensure client growth is not the overriding driver to total cost. The integration of FEBI will allow not only the elimination of redundancies and also introduce new solutions such as self-service options. When combined, these measures can deliver significant cost savings to FSA and improved service to clients without imposing adverse pressure on vendor margins. Vendor incentives should be aligned with these goals through the use of performance measures which will help ensure that the complete FEBI solution operates as efficiently and effectively as possible and that it is achieving the desired FEBI business outcomes. These measurements will be flexible to allow for regular reviews and revisions as necessary.

The FEBI Core Team also identified the following business objectives of the FEBI initiative:

- Realize operational efficiencies and cost savings
- Explore options for integrated processes and systems to facilitate streamlined aid delivery
- Provide delivery partners with a single method for reporting and receipt of processing results across application, origination and disbursement
- Achieve accurate and consistent data, accessible by other systems and applications, through minimizing redundant data and establishing clear governance and data ownership guidelines
- Increase self service opportunities for applicants and delivery partners, to include providing the ability for students and schools to conduct all business in a seamless on-line environment across application, origination and disbursement
- Increase public awareness of and access to the programs administered by FSA while also promoting access to tools and materials necessary for making informed decisions about postsecondary education.

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- Facilitate and support the development of integrated views for customers, delivery partners, Customer Service Representatives (CSRs) and FSA, to include:
  - Ability to easily track a person's data across the FSA enterprise using Standard Student Identification Methodology (SSIM) or another proposed methodology; and
  - Ability to display integrated person data from across the FSA enterprise
- Provide a (client to business) customer service solution that is cost-effective; delivers consistent responses regardless of interaction channel; provides integrated web access; is aligned with FSA's enterprise content management process; delivers first time resolution and includes a customer feedback mechanism designed to improve customer service and FSA's products and services.
- Provide a cost-effective document management solution (including imaging data entry, mailroom processing, email, and fax on demand) that can be integrated with a Common Data Architecture (CDA) and be accessible to workflow tools.
- Provide a fulfillment solution for all publications, materials, and system printing that uses cost-effective printing and mailing solutions, real-time tracking and inventory as well as ordering, shipping and warehousing.

### ***1.3 FSA Applications Outside of FEBI***

The FSA environment consists of numerous applications that support FSA's core business functions. The following sections describe these applications and provide a few fundamental examples of environments with which the FEBI solution may have to interact. During the FEBI build-out, the solution provider should be aware of these applications and their impact to gain a greater understanding of the other systems and business functions supporting FSA's goals and objectives. The new CSB system, introduced earlier in 1.1.3, is a direct interface with the current COD system.

#### **1.3.1 National Student Loan Data System (NSLDS)**

The Department of Education operates the NSLDS, a comprehensive repository of Title IV student aid data obtained from schools, guaranty agencies, and many internal FSA systems. This centralized database contains information on recipients and their loans, Pell Grants, and overpayment and enrollment statuses. The key capabilities supported by NSLDS include:

- Determining student eligibility for Title IV student aid - both pre-screening and post-screening
- Calculating default rates for schools, guarantors and lenders
- Supporting financial management activities including:
  - Budget formulation/execution and modeling
  - Reasonability of payments to guarantors and lenders
- Tracking student enrollment status
- Providing information to policy, research and other groups.

This information is provided by many sources - both internal and external to the Department of Education. NSLDS is not the system of record for any of this shared data. Given the importance

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of the data stored on NSLDS, it is critical that the Department of Education and the financial aid community have confidence that this information is accurate and timely and, when it is not, it can be corrected in a timely manner.

### **1.3.2 Financial Management System (FMS)**

FSA's FMS uses Oracle Federal Financials to create a single, centralized integrated financial management system for FSA. FMS is in the planning stages to upgrade to Oracle 11i Federal Financials. FMS's vision is to incorporate business functionality across all program areas. The following characteristics represent FSA's FMS system:

- Provide access to sufficient levels of data
- Support FSA Channels, Enterprise areas, and Partners
- Provide timely and consistent financial data for strategic decision making
- Increase reporting capability across organization units
- Provide appropriate security, controls, and audit trails
- Limit data and process redundancies
- Comply with Legislative requirements.

The FEBI solution shall provide FMS with appropriate data so as to maintain the current level of financial reporting.

### **1.3.3 Integrated Partner Management System (IPMS)/Postsecondary Education Participant System (PEPS)**

For purposes of recording and tracking FSA's "trading partners," such as schools, lenders, guarantee agencies, and servicers, FSA maintains a centralized system that contains trading partner demographic, participation, and oversight information. These data are used by all FSA systems that have interfaces to these entities. The current system is known as PEPS. However, an initiative is now underway to expand the functionality of the system to include Access Management for trading partners as well as to generate the Routing ID (RID) for all entities. The expanded system will be known as the IPMS. RIDs for schools are currently generated by the COD System, but that functionality will move to IPMS at a point during the life of FEBI. Trading Partner access to FSA systems is currently decentralized at each system, but will move under IPMS as a centralized enrollment and single sign-on function. Additional enhancements will be made to the existing PEPS oversight data during the transformation to IPMS.

### **1.3.4 Campus-Based System (eCB)**

The Campus-Based Programs (Perkins Loans, State Educational Opportunity Grants, and College Work-Study) are managed by FSA through the eCB system. This system, recently redesigned and improved through use of a web-based front end, processes the annual Fiscal Operations Report and Application to Participate (FISAP). Unlike the CPS and COD Systems, eCB contains no student-level data. Funding for schools is determined by formulas using the FISAP data. However, an initiative is under way to capture some Campus-Based recipient-level data within the COD System. Any interface requirements with eCB resulting from this initiative have yet to be defined.

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### **1.3.5 Financial Partners Web Portal**

The general objective of the Financial Partners Web Portal (<http://www.fp.ed.gov>) is to increase information sharing of accurate financial data between the lending community and FSA. This web site is one of three primary customer portals at FSA.

Web usage is focused on improving customer service for all FSA business channels, increasing FSA's effectiveness at disbursing financial aid information, and enhancing the methods of communicating with trading partners. FSA expects to accomplish this focus by improving self-service capabilities, increasing Web interaction with customers, and expanding FSA's Web usage to bring a consolidated view of information and services to its end users.

### **1.3.6 Student Aid Internet Gateway (SAIG)**

The SAIG Portal provides Internet based telecommunications support and facilitates data transmission between FSA's customers and the various FSA Application Systems. SAIG is a store and forward mailbox application used by FSA's customers (postsecondary schools, lenders, guarantee agencies, state agencies, and other electronic trading partners) for sending and receiving Privacy Act data to the Title IV application systems. There are currently 7,000 customers participating in SAIG. Customers transmit data using their local Internet Service to reduce transmission costs to FSA.

FSA is in the process of developing requirements for future functionality for an FSA Gateway. Currently, some FSA applications receive file transmissions directly from external customers and applications. An FSA Gateway will support the business objective of having single entry point to FSA for customers and partners. An FSA Gateway will also provide expanded options for customer self-service and enable standardized data feeds with external systems.

## ***1.4 Integrated Technical Environment***

The following describes current systems, solutions, and tools supporting FSA's Integration effort. It is not exhaustive of all systems used by FSA in its daily business operations. It illustrates key technologies FSA has committed to and invested in. The new FEBI solution shall be compatible and compliant with these components of the FSA Integrated Technical Environment.

### **1.4.1 Data Center**

Most FSA applications reside on a consolidated hosting platform, in one central location, the FSA Virtual Data Center (VDC). The VDC is operated by Computer Sciences Corporation (CSC). CSC is responsible for providing the following Tier 1 data center services for the shared infrastructure environment: 24x7x365 operations support, monitoring, production control, management of software licenses for shared services, and compliance with FSA policies for creating and maintaining user IDs and passwords.

### **1.4.2 Enterprise Application Integration (EAI) Middleware Technology and Integrated Technical Architecture (ITA)**

In order to manage the integration of this concentrated systems and data operational environment, FSA has employed EAI Middleware Technology and developed an ITA, both residing in the VDC.

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The EAI Middleware Technology provides the services necessary to support application integration across the FSA Enterprise. By building the middleware architecture, modernized systems are able to interact with legacy systems and FSA's applications are able to pull/push data from their sources without having to build costly one-to-one interfaces.

The ITA is a strategic component of the overall FSA enterprise architecture. It comprises three core architecture domains: *Internet, Integration, and Infrastructure*. The ITA provides a standardized, integrated, reusable infrastructure for enabling business capabilities to reduce the number of custom-built, stove piped applications that are costly to update and maintain. A priority of ITA is adding efficiency, scalability, and performance through effective environment build-out, while accommodating all stages of application development. The ITA enables the successful launch of FSA applications through performance testing by troubleshooting performance bottlenecks and resolving issues.

The COD system currently uses the EAI Bus, XML Framework, and Routing ID (RID) as integral components of its application. In addition, the CPS currently makes extensive use of the FSA ITA capabilities at the VDC to support its various web products such as FAFSA and Renewal FAFSA on the Web applications.

### **1.4.3 FSA Enterprise Assets**

The following enterprise-wide initiatives are currently either in the planning stage, being piloted, or being implemented into current delivery system functionality. Once defined and integrated, the FEBI solution must comply with these initiatives.

#### *1.4.3.1 Routing ID (RID)*

The RID is an FSA initiative that plans to provide the means to facilitate interaction with FSA systems and services by providing a single identifier with which schools, third party services, lenders, and state agencies -- among others -- can identify themselves to the entire enterprise.

#### *1.4.3.2 Standard Student Identification Methodology (SSIM)*

The SSIM seeks to establish a simple framework by which FSA and its partners can consistently identify students/grant recipients/borrowers across all phases of the Student Aid Lifecycle.

#### *1.4.3.3 XML Framework*

The Extensible Mark-up Language (XML) Framework represents a documented technical architecture specification detailing FSA's data transfers with internal and external organizations. FSA is using XML technology to build and maintain the common record.

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### 2. FEBI Core Business Functionalities

The following sections detail the core business functionalities of the FEBI initiative. In fulfilling these functionalities, the FEBI solution must abide by all federal and state laws and regulations, as interpreted by the Department of Education.

#### *2.1 FSA Integrated Enterprise Vision*

The “To-Be Financial Aid Lifecycle Diagram” found on [www.febi.ed.gov](http://www.febi.ed.gov) (FEBI Web Site) depicts the draft targeted to-be vision for an integrated FSA enterprise in which FEBI will reside.

#### *2.2 Data Strategy*

An FSA enterprise data management strategy will be at the heart of the FEBI Business Process Objectives. Business functionality to be moved into FEBI is currently maintained on a system-by-system level with little sharing of common processing between systems. This siloed nature of the business architecture relies on application-specific implementations of business functions and requires systems to shuttle pieces of information across the enterprise as an aid recipient progresses through the aid lifecycle. Furthermore, the architectural solution employs a multitude of proprietary interfaces for system-to-system data exchange, including several different connectivity points with external trading partners. These elements contribute to the following gaps that exist between the current state and FSA’s target business objectives:

- Limited business owner and user visibility into enterprise data and information across the financial aid lifecycle
- Redundant sharing and maintenance of data and business functions between applications
- Limited ability to have consistent information from analytics that can support a variety of business decisions.

To resolve these issues FSA is in the process of developing a detailed FSA Enterprise Data Management process that will be implemented as much as possible in the FEBI solution. The FSA business capability areas combine common or similar processes and resources to streamline FSA’s current Business Architecture. A clear difference between the current state and the target state is the ability to share common processing between systems and the consolidation of like activities to their most appropriate point in the financial aid lifecycle. (See Data Strategy Target Vision in FEBI library). Core to the FSA Enterprise Data Strategy is the development and implementation of a Common Data Architecture. The data architecture outlines how the relevant information about the FSA business will be stored and accessed to provide an end-to-end view of the customer. Data are the heart of any business process; therefore, the ability to store, manage, and access data efficiently is critical to the success of the FEBI business solution.

Effective Data Management, including applicant and financial data, will be an integral part of the FEBI solution and will be key to its success. Data Management encompasses the actions by which an organization controls the delivery of information (internally and externally) and manages the overall FEBI resources. FSA requires Data Management to address the processes, skills, leadership and assets required to successfully administer FSA’s information resources. Data Management will consist of an approach that reduces redundant data and improves data consistency across the FEBI solution.

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FEBI shall manage and coordinate all common data such as demographics including, but not limited to, name(s), student identifier(s), address(es), phone number(s), and email address(es) in an integrated FEBI data repository. Other types of data, including financial data, will be supported and maintained by FEBI. This includes the ability to update and display institutional data (i.e., schools, etc.). The data will come from both FSA and external sources and may be received as frequently as daily. The FEBI solution shall support annual changes for each program as well as simultaneous processing of multi-year data for each program specific cycle.

The Data Strategy component of the FEBI solution must include a common language, which will result in common data formats and definitions within the system. The common record must contain consistent data. Standardization of data formats through the use of XML is already underway at FSA as the COD Common Record is already in place. Additionally, the XML version of the CPS Institutional Student Information Record (ISIR) is currently under development and scheduled for implementation in the 2005-2006 award year. In order to ensure that data definitions and formats are standardized across the enterprise, core component definitions and XML formatting should be applied to data that is commonly exchanged between multiple systems. The core component definitions describe commonly referenced data as a set of XML schema entities and serve as the building blocks for the definition of data across the enterprise. Standardizing the definition and format of commonly referenced data will provide a starting point for migrating to the service-oriented architecture depicted in the Target Conceptual Design. Further information with respect to core components can be found in the XML Repository.

FSA has developed an XML Repository to store the metadata and information about the XML Common Record. The XML Repository is the central storage area for all common metadata. As such, the FEBI solution shall include the capability for storing the metadata for all common data identified as a part of FEBI in the XML Repository. FSA expects that the FEBI solution shall continue and expand on the current use of the XML technology.

Data Strategy will also include a high degree of integration between the business functions within FEBI, including but not limited to, Application Processing, Origination and Disbursement, Technical Help Desk support, and Customer Service. The FEBI solution shall provide seamless interaction between these business functions. In addition, the solution will integrate with several major FSA initiatives related to Data Strategy, including the EAI Bus, the XML Framework, RID, and the SSIM, among others.

### **2.2.1 Data Quality**

The quality, accuracy, and integrity of the data within the system must always be maintained. In order to achieve this, validation must take place. Examples of such validation include performing checks of both the applicant and school data to insure the accuracy and consistency of the data across the system. The consistency of the data must be both reconcilable and auditable, thereby allowing the FEBI solution to serve as a principal system of record.

### **2.2.2 Enterprise Content Management**

A standardized approach to enterprise content management is required to ensure that FSA Portals and web sites contain correct and up-to-date information that is conveyed in a consistent manner with uniform navigation and appearance. FSA is developing an enterprise content management approach that will potentially reduce redundancy as well as provide a more consistent user experience. It also facilitates and enhances cross-application knowledge sharing

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of content and improves integration of FSA applications across the lifecycle by centrally maintaining resources.

### **2.2.3 Data Strategy Interfaces**

The FEBI solution shall support internal and external interfaces with at least all existing trading partners such as the schools, NSLDS, CSB including any and all of its subparts, Department of Treasury, FSA's FMS, Selective Service, Internal Revenue Service, Department of Homeland Security, the Department of Justice Drug Abuse File, the Department of Health and Human Services, Social Security Administration, and Credit Bureaus, among others. All interface transactions must meet and align with FSA standards. These standards include transactions formats and layouts, edits, and header and trailer records. Data will be shared and transferred with the trading partners in order to efficiently apprise students of their eligibility for student aid and provide the aid. Current internal interfaces are detailed in the Trading Partner Agreements (TPAs) and Interface Control Documents (ICDs) found in the FEBI library. At a minimum, all reconciliation that is currently performed with the various trading partners will be necessary in the FEBI solution as well. The FEBI solution requires an understanding of FSA's proposed Integrated Partner Management strategy and should advance our goal of providing a faster, cheaper, and more secure gateway to FSA systems.

Due to the volumes of applications, grants and loans processed each year, the FEBI solution shall require a well-planned data archiving and storage strategy, addressing both paper and electronic records. The ability to archive and retrieve that data will be key as the volumes continue to increase especially given the retention requirements imposed by Federal law and regulation. Archiving the appropriate data will enable system-processing time to remain at acceptable levels. Archiving and storing the appropriate data should serve as one aspect of thorough capacity planning. Current ISIR Data Mart and COD data archive functionality is described in the FEBI library. The FEBI solution must have a storage and retrieval process to accommodate paper applications and paper promissory notes as well as their electronic versions. Applications, promissory notes and other key documents are retained after imaging and must be retrieved from time to time.

### **2.3 FEBI Functional Requirements**

The FEBI solution shall be the vehicle to realize our Vision as outlined in the business objectives. Each of the following components of the FEBI Vision represents a business function that must be fulfilled by the FEBI solution. As we move toward FEBI, we seek integration and consolidation opportunities to help us achieve our business objectives. We are actively seeking creative thinking about the sequence of business process activities across aid awareness, application, eligibility determination, origination and disbursement as well as consolidation of support functions.

#### **2.3.1 Aid Awareness and Outreach**

The primary goal of Aid Awareness is to increase public awareness of and access to the programs administered by FSA while also promoting access to tools and materials necessary for making informed decisions about postsecondary education. In addition to broad outreach efforts to the public, Aid Awareness focuses on increasing the participation of specific socio-demographic groups of historically underrepresented individuals within the postsecondary education student population.

## FRONT END BUSINESS INTEGRATION STATEMENT OF OBJECTIVES

The FEBI solution shall:

- Increase awareness among the general public that federal student financial assistance is available and that it is free to apply for that assistance.
- Support ED's Strategic Plan's Objective 5.1 and FSA's Strategic Plan's Objective 5 to develop and implement a coordinated FEBI strategy to increase the number of targeted individuals/groups (low-income, first generation college bound, disabled, minority) who receive information pertaining to postsecondary education planning and financing, and
- Leverage resources that already exist (i.e., pre-college access/financial aid manpower and materials) to enhance dissemination of financial aid information.
- Utilize mass media to market the FSA programs and communicate the accessibility and affordability of postsecondary education to target populations.
- Leverage resources that already exist through networking with partners such as NCAN, TRIO, and GEAR UP, to reach groups containing large populations of low-income, minority, first-generation, and/or disabled people.

The FEBI solution requires an aid awareness strategy that is aligned with the FEBI objectives including analysis of various alternatives such as targeted distributions methodologies that meet FSA's customer requirements without excessive printing and mailing costs. See 2.3.8 for FEBI fulfillment requirements.

### *2.3.1.1 Document Design*

The FEBI solution shall develop and design appropriate outreach documents needed to achieve FSA objectives. This may include, but is not limited to, the annual layout and camera-copy preparation of FSA forms, publications, brochures, posters, and other informational documents in accordance with sections such as 482 and 483 of the Higher Education Act (HEA) of 1965, as amended, including reauthorization and other pertinent federal legislation and regulations. The development and design must be accomplished in accordance with the *FSA Style Guide, Guide to Publishing at the U.S. Department of Education* and in consultation with FSA and its partners.

### **2.3.2 Application Processing and Eligibility Determination**

The FEBI solution shall provide a reliable, secure, and comprehensive system that allows for the accurate and timely processing of aid applications. This includes but is not limited to annual development, improvement, support, monitoring, and testing of all systems. Current functionality includes systems such as Web and paper data capture and entry, Eligibility Determination, EDExpress and Web software products, processed data dissemination (electronic and paper), and FSA Download, all of which are described in the FEBI library.

The FEBI solution shall develop and implement a system for students to submit FAFSA applications and corrections on an annual basis. The system must include web-based, online capability for submissions not only for students and their parents, but also for schools. Once the FAFSA-submitted information is processed, the web product(s) shall provide customers the ability to receive processed results online and in real time or on paper, as applicable. Other online services, including all of FSA's current online services such as estimated eligibility determination, ISIR, and payment management for schools, should be included. The web functionality must be practical and user friendly. The FEBI solution shall provide similar functionality for non-web users.

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The solution provider shall comply with Title IV Financial Aid eligibility requirements as specified in the HEA of 1965, as amended, including reauthorization and other pertinent federal legislation and regulation.

- The Process shall include checks for consistencies, contradictions, and missing information that would prevent adequate processing of data. Measures must be taken to acquire and process optimum data for eligibility determinations.
- Eligibility determination requires data matches with other entities such as those referred to in HEA Section 484(n), (p) and (q) to validate that complete eligibility requirements have been met. Eligibility determination shall include all existing and future data matches, as required by FSA and as required by Congress.
- Eligibility determination includes determining the Expected Family Contribution (EFC). The EFC is calculated according to the Needs Analysis formula specified in Part F of the HEA.

The FEBI solution shall store the results of the data generated by the data processor and allow for its retrieval from or distribution to applicants, schools, state agencies, ED staff and other authorized users. Distribution includes paper and electronic versions of the data.

The FEBI solution shall include a methodology that allows a school-designated entity to use demographic data from that school's admission system to automatically populate (Pre-Pop) FAFSA on the Web with pertinent data. Similarly, the solution will also give FAFSA applicants the option to populate (Post-Pop) forms identified by FSA, such as state scholarship agency applications, with pertinent FAFSA on the Web data.

### 2.3.3 Origination & Disbursement

The FEBI solution shall include an integrated information delivery, account maintenance, and financial management environment. The solution must be capable of properly processing and validating origination and disbursement transactions received from institutions of higher education participating in the Federal Pell Grant, Federal Direct Loan, and Campus-Based programs.

At a minimum the FEBI solution shall include the following business functions:

- **Grant and Loan Origination and Disbursement Processing.** Perform all transactions and activities that are necessary to receive a grant or loan origination and/or disbursement record, make changes to the record, including demographic as well as disbursement transactions as detailed below. Transactions include activities such as: DL and Pell Common Records from schools; PLUS credit decision processing; promissory note data processing (electronic and paper promissory notes); transmitting timely acknowledgements of transaction processing to schools; accurate and timely posting to appropriate grant recipient and borrower accounts; transmitting and receiving transactions from all other O&D interfaces.
- **Funds Administration.** Perform all financial activity associated with Pell Grant and Direct Loan recipients, including originations, disbursements, disbursement adjustments, disbursement cancellations, refunds for overpayment, drawdown requests, handling of excess cash, and other balance or account adjustments as necessary.

## FRONT END BUSINESS INTEGRATION STATEMENT OF OBJECTIVES

- **Accounting Activities.** Accounting Standards. Support FSA's FMS and Education's Financial Management System Software (ED's core financial system) in meeting its requirements.
- **Systems Balancing and Reconciliation.** Summarize and transmit loan financial transactions to the CSB application and grant and loan financial transactions to the FMS, according to CSB, FMS, and FSA standards. For each trading partner, daily and monthly systems balancing (to/from) must occur.
- **Web Application.** Provide a web product for Origination and Disbursement that will allow schools and their agents to retrieve information, process real-time transactions, receive answers to questions, and resolve issues without the need of a phone call. The web product will facilitate the school's use of such self-help capabilities. The functionality and content of the current COD web site may be used as a model, but it is not an FSA-owned asset.

In addition, the web product will allow student and parent borrowers to review and sign a Direct Loan Promissory note electronically. Direct Loan borrowers access this web product by using electronic authentication. The functionality and content of the current e-MPN web site may be used as a model, as it is an FSA-owned asset.

These FEBI web products will also allow customers to send e-mails that will be answered by the Technical Help Desk CSRs in accordance with Privacy Act regulations and E-Sign legislation. The structure of the web site will allow FSA to affect and control collaborative content changes with ease.

### **2.3.4 Technical Help Desk Contact Center (Government to Business)**

The FEBI solution shall provide technical support to schools, FSA trading partners, and third parties. The goal of Technical Help Desk Contact Center support is to provide quality support through a full range of interaction channels, while meeting and exceeding established levels of service.

The FEBI solution shall provide customers with a single point of contact for service requests, IT-related issues, and general user administration. The single point of contact may include Tier 1 and Tier 2-type assistance with inquiries about applications outside of FEBI (e.g., E-App, eZ-Audit, eCB, SAIG, NSLDS, access management, etc.) The solution shall provide for a warm transfer of Tier 3-type inquiries to the appropriate system help desk.

In order to increase customer service and achieve cost efficiencies, the FEBI solution shall create a single 1-800 phone number for schools. The toll-free number used by the FEBI Technical Help Desk Contact Center may accommodate customer friendly methodologies for routing calls. Customers must be identified and authenticated, and shall be provided with an array of self-service options. In addition, the solution shall establish an internet listserve for use by schools.

The FEBI solution envisions the Technical Help Desk as a single point of contact for problem resolution; only unique and infrequent issues should necessitate callbacks. The FEBI solution shall provide a record of all FEBI customer contacts. This information will be stored in a detailed history that is a single record of customer contacts available for answering correspondence including Congressional correspondence, general correspondence, e-mails, phone calls, as well as providing a holistic view of all interactions.

## **FRONT END BUSINESS INTEGRATION STATEMENT OF OBJECTIVES**

Technical Help Desk tools must be integrated with other FEBI functionality such as Aid Awareness, FAFSA processing and disbursement. In addition, the Technical Help Desk solution must interact with other FSA business functions.

The FEBI solution shall also have the capability to provide IT outreach activities. The primary goals of these activities are to detect transactional and IT-related problems, proactively make contact with customers to assist with issue resolution, and determine methods of preventing problems from recurring.

### **2.3.5 Customer Service (Government to Citizen)**

Customer Service includes all customer assistance EXCEPT system technical help desk support. A core tenet of the Customer Service component will be providing FEBI customers with a consistent experience and accurate responses across all interaction channels, including Ombudsman contact points, and services. The FEBI solution shall provide customers with fully integrated, high quality customer service in all interaction channels without obvious or disruptive hand-offs.

With the exception of Ombudsman, the FEBI solution envisions customer service as a single point of contact for problem resolution; only unique and infrequent issues should necessitate callbacks. The FEBI solution shall provide a record of all FEBI customer contacts. This information will be stored in a detailed history that is a single record of customer contacts available for answering correspondence including Congressional correspondence, general correspondence, e-mails, phone calls, as well as providing a holistic view of all interactions.

Customer Service tools, such as Knowledge Management, must be integrated with other FEBI functionalities such as Student Aid Awareness, FAFSA processing and disbursement. In addition, the Customer Service component must interact with other FSA systems in order to integrate the relationship with customers across the entire student aid lifecycle. In order to maintain continuity in the school-to-student relationship, there are instances when students are referred to their institutions for specific questions.

#### *2.3.5.1 Contact Center*

Section 483(d) of the HEA of 1965, as amended, requires the Secretary of Education shall contract for, or establish, and publicize a toll-free telephone service to provide timely and accurate information to the general public. The FEBI solution must support the toll-free telephone number (1-800-4-FED-AID), telecommunications capabilities for hearing-impaired customers, and receipt of international calls by providing a separate telephone number for international callers.

The FEBI solution must include the handling of both inbound calls from and outbound calls to students, parents, counselors, schools, other agencies, for issues related to the front end of the student lifecycle.

#### *2.3.5.2 Correspondence*

The FEBI solution must track and respond to all incoming mail quickly and efficiently using standard processes and procedures ensuring that all customer issues are appropriately researched and resolved expeditiously. All documents must be processed and the resulting data must interface in accordance with Document Management guidelines (2.3.7). The FEBI solution must include procedures for handling misrouted mail and generate informational

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correspondence to various customers. All correspondence sent to customers must adhere to the *FSA Style Guide*.

### *2.3.5.3 Web Interactions*

The FEBI solution shall create a single gateway to FSA business processes and information for customers and trading partners while also providing a single student view. The solution must allow customers, trading partners and others to access the full array of FSA services for application, origination and disbursement, as appropriate. Though FSA's primary customer is the student, web products geared toward or used exclusively by schools and partners should be school or partner-centric to the greatest extent possible.

Currently, FSA utilizes web portals with separate views for specific FEBI customer groups, thereby enabling authorized users to access information, link to existing systems, and participate in the delivery and management of the Federal student aid process. The web portals are built on the Integrated Technical Architecture (ITA) platform and utilizes many of the ITA's Common Reusable Services (See 1.4.2). Each view is specific to the needs of that group, specifically:

Students (<http://www.studentaid.ed.gov>)

Schools (<http://fsa4schools.ed.gov>)

Web usage is focused on improving customer service for all FSA business channels, increasing FSA's effectiveness at disbursing financial aid information, and enhancing the methods of communicating with trading partners. FSA expects to accomplish this focus by improving self-service capabilities, increasing Web interaction with customers, and expanding FSA's Web usage to bring a consolidated view of information and services to its end users.

### *2.3.5.4 Web Usability*

A standardized approach to enterprise content management strategy is required to ensure that web portals and web sites, if proposed, contain correct and up-to-date information that is conveyed in a consistent manner with uniform navigation and appearance. FSA understands that the presentation may vary per customer segment to optimize the customer experience. This must be balanced with the need to provide a seamless and consistent integrated experience across all FSA web sites. FSA is developing an enterprise content management approach that will potentially reduce redundancy as well as provide a more consistent user experience. The structure of the solution will be hosted on the Integrated Technical Architecture as such, must be aligned with FSA's ITA and allow FSA input to content changes in collaboration with the solution provider.

## **2.3.6 Organizational Support Services**

The FEBI solution shall support FSA in the preparation of presentations and staffing of PC labs for various FSA-sponsored and/or business-related conferences or meetings, as needed. The solution shall also include technical advisors, presenters, and other support.

The solution provider shall be responsive to administrative and Congressional directives, interagency agreements, and customer needs. The solution provider may be called upon to support the development of videos, video conferences, presentation materials, and public service announcements. The development and design must be accomplished in accordance with

## **FRONT END BUSINESS INTEGRATION STATEMENT OF OBJECTIVES**

the *FSA Style Guide, Guide to Publishing at the U.S. Department of Education* and in consultation with FSA and its partners.

The FEBI solution shall provide support activities for usability testing, focus groups, and meetings with FSA customers.

In coordination with FSA's training representatives, the vendor shall provide train-the-trainer sessions. Also, on an as needed basis, the vendor shall provide training on the IT capability of the FEBI solution to FSA employees and partners.

### **2.3.7 Document Management**

The FEBI solution shall provide modern and efficient technology for receiving, handling and routing all documents and correspondence. This includes image and data capture of all paper and electronic FEBI related documents such as the FAFSA/Renewal application, Direct Loan promissory notes, and correspondence. The technology shall also be applied for workflow management and secure storage including archiving and real-time retrieval of images and reported data with desktop access for FSA, contractors, schools, states, and other authorized users. The solution shall conform to annual updates and improvements as applicable and must conform to document retention policies, as described in the U.S. Department of Education Records Disposition Schedules and Paperwork Reduction Act. This includes policies regarding "chain of custody" procedures and secure storage of financial instruments and Privacy Act information. In addition promissory notes shall be safeguarded as required.

The FEBI solution shall have access to ED's paperless correspondence system, CCM Mercury, and ED's LAN and GFM in order to ensure correspondence flow in the likely event that security issues continue to interrupt hard copy mail flow. The correspondence system supports the image capture of the Congressional and White House correspondence, FSA's response and proper mail workflow.

### **2.3.8 Fulfillment**

The focus of the FEBI Fulfillment solution is to provide services such as warehousing, distribution, and inventory of FEBI material (bulk and single copy) in response to a request or a pre-set schedule. Currently, FSA utilizes ED Pubs for fulfillment of bulk student financial aid products. In providing prompt distribution of FEBI materials, the FEBI solution shall minimize mail and bulk shipment time and maximize associated postage and shipping discounts wherever possible. The FEBI solution shall manage constituent mailing lists, and will enable Web ordering, tracking, and shipment notification of bulk materials by schools and other organizations. As part of the FEBI Fulfillment component, a detailed record of material sent to customers will be required in order to provide an accurate history of customer service and to provide a real-time inventory reporting mechanism.

#### *2.3.8.1 Systems-Generated Printing and Mailing*

The FEBI fulfillment solution shall receive information from the FEBI processing systems and will be responsible for the printing, assembling and mailing of the system-generated and hardcopy items to customers.

### **2.3.9 Registration and Authentication**

The FEBI solution shall utilize a registration and authentication service for FSA and may choose to leverage the current identification and authentication mechanism, which involves the use of

## **FRONT END BUSINESS INTEGRATION STATEMENT OF OBJECTIVES**

the FSA PIN. If the solution provider chooses a new solution it must align with the FSA Data Strategy, which includes SSIM and RID, it must interface with the CSB system and NSLDS, and it must incorporate current users of existing PINs. The registration and authentication service selected must be credentialed at a level acceptable for inter-governmental business.

### **2.3.10 Participation Management (Integrated Partner Management)**

The FEBI solution shall include a function to enroll, facilitate and manage the participation of schools and other entities in FSA's SAIG. Participation Management (PM) provides authenticated access to the various Title IV application systems and services.

## ***2.4 Performance Management***

Performance Management establishes, verifies, and validates the results of the other components of the FEBI Vision. The Performance Management component includes the continued support of business outcomes, operational metrics, and quality management. The solution provider shall manage application and correction peaks to provide the same level of quality service and processing time as applications and corrections received throughout the processing year.

The solution provider and FSA will agree to specific performance standards and metrics for achieving desired business outcomes and ensuring quality performance through a detailed reporting mechanism. FSA will be provided with complete visibility to the metrics. While performance will be formally reviewed on a regular basis, FSA will have unrestricted self-service access to this performance information. The solution provider shall always conduct itself as an agent of the U.S. Department of Education and shall not embarrass the government. This requirement implies that, at a minimum, the solution provider shall immediately notify FSA of any problems, issues, or concerns with customer service, production, security, budget, audit, etc. The solution provider shall be accountable for contract performance, specifically as it relates to the financial, personnel, technical, and client relationship aspects of the contract. FSA and the solution provider shall regularly review the business outcome metrics and develop and execute action plans to ensure continuous improvement.

The FEBI solution shall include operational metrics supporting the achievement of FSA's goals. This includes capacity planning and performance of the system(s) comprising FEBI. As part of the FEBI capacity plan, a strategy will be created that addresses the scalability of the system(s). This will allow the components of the FEBI solution to easily adapt to changes in system usage patterns. Operational metrics will also regulate the performance of the FEBI components by identifying and applying industry best practices, including industry acceptable response times and system availability. The FEBI solution shall also incorporate VDC performance metrics.

An important piece of the FEBI solution is quality management, as all components of the FEBI Vision will need strict guidelines for quality assurance and quality control. These quality guidelines will ensure the stability and reliability of the data, technology, and processes comprising the FEBI solution. These guidelines will be reviewed and revised on a regular basis to ensure all quality expectations are met. The FEBI solution provider must also ensure timely responses to the different, customer, partner, and oversight entities that have relationships with FSA. Strict guidelines will be enforced to ensure that the best available support is given in a timely manner for all federal reporting requirements, especially audit requests.

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Reviews of business outcomes, operational metrics, and quality management will be performed regularly. The solution provider shall report metrics to a secure web site. Performance management will be an iterative process that will evolve as business outcomes, performance metrics, and quality management are updated to align with FSA's goals.

### ***2.5 Enterprise Program Management***

The FEBI solution is also intended to support the larger enterprise Program Management responsibilities of the Department of Education. The FEBI solution must include a management information system. The management information system must provide for statutorily and regulatory required reports, ad hoc reporting, and other management reporting. The FEBI solution must include methods to provide the necessary information to FSA that will enable continuous improvement of these programs. The FEBI solution shall support FSA with information necessary to inform the Department and FSA policy makers on issues impacting FSA activities. The solution provider shall work cooperatively within a multi-contract and interagency environment to assist business units and help FSA meet agency goals.

The FEBI solution shall provide information and analyses of the different FEBI processes, such as computer edits and verification selection criteria, to provide recommendations regarding the effectiveness of various functions from cycle to cycle.

### ***2.6 Change Management***

Change processes and controls will include identification of change control issues, resolution plans, tracking mechanisms, reporting processes, etc. The solution provider shall provide a detailed description of proposed Software Development Life Cycle and change processes and controls to include procedures necessary to control the software, documentation, and data definitions throughout the life cycle of the contract. The solution shall align with FSA's enterprise change management approach.

### ***2.7 Additional FSA Requirements***

Additional requirements are needed to support the business functions of the FEBI solution. The following sections describe each of these additional requirements.

#### ***2.7.1 Hosting***

Currently FSA maintains a hosting provider, the VDC. Many of FSA's current operational programs operate within the boundaries of this hosting provider. Even programs not wholly within the physical boundaries of the VDC maintain data and telecommunications interfaces within the VDC.

The VDC provides many functions to Applications Processing and Origination & Disbursement such as maintaining operational environments, Direct Access Storage Devices (DASD) management, and first tier hardware and software support. In addition, the VDC is the licensing arm of FSA, maintains disaster recovery expertise and services, and fulfills the role as Chief Technology Architect for FSA.

Given the totality of FSA FEBI systems with all its implied operational efficiencies, the FEBI solution hosted with the VDC can be expected to provide significant efficiencies. However, the solution provider may propose an alternative to the VDC if the offeror believes its alternative solution will also yield significant operational efficiencies and will meet or exceed current performance standards of those at the VDC. FSA will calculate the VDC hosting costs of all

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proposed solutions and its effect on the entire enterprise cost. Offerors proposing alternative hosting solutions must provide full cost/price support for the proposed alternative solutions in their Cost/Price proposals.

If the solution provider proposes VDC hosting it will be responsible for ensuring that applications work correctly when the VDC performs system upgrades and that all issues are resolved in a timely manner. Therefore, maintaining an effective working relationship with the VDC is critical.

The solution provider may elect VDC hosting but may believe that certain components (i.e., printers, imaging platform, etc.) of the FEBI solution infrastructure would be more cost effective or efficient for FSA if they remain outside the VDC domain. If this is the case, the solution provider must develop and present alternatives to working with the VDC, which include strict, comprehensive, and clearly defined maintenance procedures and policies.

### **2.7.2 Application and System Software Maintenance**

The solution provider must be responsible for the maintenance of all application software. The Application Maintenance encompasses all production fixes, functional enhancements, and application upgrades to web sites, programs, etc. The vendor may update program content based on guidelines and directives received from FSA and the Department of Education. FSA reserves the right to obtain the most competitive price for application maintenance. This may include maintaining a competitive pool of development vendors from which bids are solicited.

The FEBI solution shall include a detailed description of proposed Software Development Life Cycle change processes and controls to include procedures necessary to control the software, documentation, and data definitions throughout the life of the contract. As appropriate, the solution provider shall design, build, and implement new and updated correspondence, reports, on-line screens, etc. with approval from FSA. The vendor must participate in enterprise Software Development Life Cycle activities for any services that have enterprise impact.

FSA anticipates that there will be changes (e.g. annual school software release) in FEBI requirements that cannot be defined at this time. The solution provider and FSA will utilize an agreed upon distinction between Maintenance and Enhancements. FSA expects the solution provider to have a defined methodology for pricing both types of work for the entire development lifecycle, from analysis through software post-production support.

The vendor's maintenance and enhancement analysis work shall take into account impacts on all FEBI interfaces and include intersystem testing when applicable. A portion of the current environment includes an annual software release in coordination with other Trading Partners and smaller tasks that not only include system changes but other tasks such as contractor participation in major conferences or white paper analysis work. The FEBI solution shall include a methodology to allow for acceptance testing and requirements consultation with FSA from facilities in the Washington, D.C. metropolitan area. The solution shall provide an environment for testing of system enhancements and modifications by schools and/or by their third party representatives. As appropriate, system requirements are made available to schools and/or third parties.

### **2.7.3 Security**

Given the sensitive nature of student Privacy Act data supplied to the Department of Education, it will be necessary for the FEBI solution to demonstrate ample precautionary measures aimed

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at the protection of data. The FEBI security approach must conform to Federal Security Requirements and FSA Security Guidelines. Any FEBI systems implementation must include obtaining security certification and accreditation, as required of all ED systems. Moreover, since the FEBI solution does not contain explicit boundaries, the security of communications and other business systems is paramount. The FEBI solution shall present the following practices and procedures in a detailed security plan:

- Access control and methodology (including intrusion detection and alerts)
- Identification and Authorization
- Application and systems development security
- Business continuity and disaster recovery planning, including an extremely comprehensive and demonstrated data recovery strategy that includes an annual disaster recovery exercise per federal regulations. This strategy must support business resumption should any type of disaster occur and meet contractual standards for system availability and response time.
- Law, investigation and ethics
- Operations security
- Physical security
- Security architecture and models
- Security management practices
- Telecommunications and networking.

Due to the sensitive nature of the information contained within FEBI, a detailed security plan must be included in the solution. A number of individuals will require access to the information contained in the system for a variety of reasons such as providing customer service, developing and testing new functionality, and analyzing data for portfolio management, querying the database for reporting and analysis, among others. These individuals must only be given access to the information deemed appropriate for their job responsibilities and level of security clearance.

### **2.7.4 Quality Control (QC)**

The solution provider must have a demonstrable focus on quality. The solution provider shall create and follow strict guidelines for quality control. These guidelines will ensure the stability and reliability of the data, technology, and processes that compose the FEBI solution. The solution provider shall ensure that all components of the FEBI solution follow these guidelines.

The vendor shall demonstrate quality control in terms of policy, processes and procedures. To the extent required, the vendor must provide a timely, thorough, and accurate response to ad hoc requests.

The solution provider should strive to achieve industry level standard certifications in quality in all components of the FEBI solution. For example, the vendor should strive for Capability Maturity Model Integrated<sup>SM</sup> (CMMi) Level 3 or a comparable high level rating from the International Organization for Standardization (ISO).

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### **2.7.5 Systems Documentation**

The FEBI solution shall include system documentation that is accessible by FSA, via an available industry standard electronic medium that creates an acceptable permanent record.

Examples of key program documentation the solution provider shall be required to provide include a Disaster Recovery Plan, a Security Plan, a Training Strategy Plan, and Application Documentation such as Database Structures and Diagrams, Application Code, and Data Model Updates. The solution provider must document the Business Rules of their proposed solution and support FSA in its coordination and review of these Business Rules with other offices as appropriate.

All FEBI documentation must be in a format that is acceptable to FSA and facilitates any future updates. Any updates to the solution documentation including, but not limited to, procedures, hardware, software, data, and interfaces must be thoroughly documented. All updates to the system documentation must be made in a timely manner and recorded via a change log that is accessible by FSA personnel.

### **2.7.6 Telecommunications**

Telecommunications support is currently provided to the FEBI programs through the General Services Administration's FTS2001 program. Vendors may propose alternative solutions but must provide full cost/price support for the proposed alternative solution in their Cost/Price Proposal.

### **2.7.7 Transition**

#### *2.7.7.1 Phase-in Transition Plan*

The FEBI solution shall operate in parallel with legacy system(s) as necessary to ensure that all business functions are fully tested and deployed and all data are converted in accordance with FSA's Conversion Plan. The solution shall also provide the necessary tools, partnership methodologies, etc. to insure that FSA will be successful operationally and culturally in implementing its objectives. The Conversion plan will be proposed by the solution provider and will be agreed upon by FSA and the solution provider prior to FEBI contract award. Outgoing and incoming vendors must ensure that no business disruption occurs during the conversion and migration process.

A limited parallel run of both CPS and COD may occur during the transition. Existing applications and originations and disbursements (currently in process) will be completed in the legacy environment. New applications and originations and disbursements from a specified date forward will be processed by the FEBI solution.

#### *2.7.7.2 End of Contract Transition Plan*

The solution provider shall be responsible for ensuring the orderly transfer of FEBI business processes, FEBI data and, if subsequently negotiated by the Department and the solution provider, the FEBI system from the contractor to the Government or to another contract during the final year of the contract. Turnover includes all necessary actions to transfer the business process, data, and system from one facility to another with appropriate data validation and training activities.

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The solution provider shall submit a draft Turnover Plan to coincide with the deployment of the FEBI solution. This plan will be updated and completed at the point of turnover of the FEBI solution.

During the transition period, the solution provider shall be responsible for resolving production support issues and knowledge transfer. The vendor shall provide documentation on the specific roles and responsibilities of the transition team that will be delivered to FSA as a work product.

The transition period will be defined by FSA after the solution is available. The solution provider shall be responsible for performing parallel testing during the turnover period as specified in the approved turnover plan.

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### 3. Assumptions and Constraints

#### 3.1 *FEBI Solution*

- 1) The FEBI solution shall include an integrated information delivery and account maintenance environment capable of properly managing any type of application and origination and disbursement.
- 2) The FEBI solution shall be required to interface, both directly and indirectly, with the FSA Integrated Technical Environment throughout the life of the contract. This technical environment includes both internal and external interfaces.
- 3) Throughout the life of the contract, the solution shall adhere to FSA's enterprise architecture (EA) standards and will support the objectives defined in the previous sections. In addition, the solution shall provide information for the EA. The EA includes the Business Process Model, Data Architecture, and IT Infrastructure. Refer to the FEBI library for samples of EA products.
- 4) The vendor shall be responsible for the complete and thorough testing of the FEBI solution according to FSA's standards prior to pilot and/or deployment.
- 5) The FEBI Web Site(s) must be available 24 hours a day, 7 days per week.
- 6) The FEBI solution shall be aligned with the Portal and Data Strategies at FSA throughout the life of the contract.
- 7) The FEBI solution must be compliant with Section 508 of the Rehabilitation Act of 1986 as Amended.
- 8) The FEBI solution must include access and support for FSA and FSA designated users.
- 9) The vendor shall be responsible for maintaining a full understanding of all pertinent federal and state laws and regulations and FSA requirements and ensuring that all aspects of The FEBI solution shall be in compliance as changes occur.
- 10) FSA's practice is to make material and customer service available to the general public, students and parents in, to the fullest extent possible, English and Spanish. However, material and other information provided to schools and Financial Partners will be in English.
- 11) All services shall be provided from and within the United States.
- 12) The FEBI solution must comply with the relevant sections of the Credit Reform Act of 1990.

#### 3.2 *Rights in Data and Computer Software*

- 1) The FEBI contract will require data, including computer software, to be produced, furnished, acquired, or specifically used in meeting contract performance requirements. The government will acquire proprietary and unlimited rights to any documentation, software, work products, and knowledge management or other tools produced under the contract.
- 2) The parties will negotiate prior to award the Government's acquisition of rights to unlimited-rights data and restricted computer software beyond those rights specified in applicable regulations. The Government intends to acquire the following rights to unlimited-rights data and restricted computer software, among others, to the extent those rights are not granted to the Government by regulation:

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- a) Use by Federal employees for Government purposes, including but not limited to access from remote terminals;
- b) Use by support service contractors;
- c) Use by nongovernmental and government evaluators and auditors;
- d) Use (except manufacture) by other contractors participating in FSA programs which interact with this effort for information and use in connection with work performed under each contract;
- e) Use by other contractors in the performance of a concurrent, subsequent or follow-on contract of similar, partial, or greater scope;
- f) Emergency repair or overhaul work.

As an aid in determining the Government's need for limited rights data and/or restricted computer software, the Statement of Limited Rights Data and Restricted Computer Software Clause (May 1999) applies. The Additional Data Requirements Clause (June 1987), FAR 52.227-16, the Privacy Act Clause (Apr 1984), FAR 52.224-2, and the Privacy Act Notification Clause (Apr 1984), FAR 52.224-1, also apply.

- 3) The term "data" as used above in this section does not include information pertaining to students and FSA financial partners (such as biographical, demographic and financial information) used in the delivery of student aid and which is stored in or processed by this solution. Notwithstanding any other clause or term of this contract (including any rights in data clause), it is understood and mutually agreed that the Department of Education has exclusive ownership of all information stored in, retrieved, modified, and/or archived in this system including knowledge management data. The contractor shall have no rights in such information and no rights to such information shall vest on the contractor by virtue of its performance of this contract. No other party has the right to copy, delete, archive or transfer such information without the prior express written consent of the Department of Education.

### ***3.3 Use of Subcontractors/Alliance Partners***

- 1) Use of subcontractors must be compliant with FAR and Department of Education minority business and small business goals.
- 2) Subcontractors must coordinate with the VDC and other trading partners whenever necessary. This may include FSA's Integrated Change Management Process.

### ***3.4 Additional Requirements***

- 1) The contractor will create a system flexible enough to handle new requirements generated by Congress and respond to legislative mandates and policy changes.
- 2) Please see Appendix B - Standards and Relevant Documents for current information.
- 3) The contractor will provide timely (as defined by FSA and contractor) responses to Office of Inspector General (OIG), General Accounting Office (GAO), budget, data, and management requests.

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***3.5 Implement Future FSA Integration Initiatives***

The FEBI solution should be built looking forward to the full implementation of ongoing FSA integration activities such as Data Strategy, RID, SSIM, and IPM.

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**Appendix A**

**FSA Front End Web Sites – Current State**

*Student Aid Awareness*

Student Aid on the Web

[www.studentaid.ed.gov](http://www.studentaid.ed.gov)

FSA for Counselors

[www.fsa4schools.ed.gov/counselors](http://www.fsa4schools.ed.gov/counselors)

*Application Processing*

Free Application for Federal Student Aid (FAFSA)

[www.fafsa.ed.gov](http://www.fafsa.ed.gov)

FAA Access to FAFSA data

<http://www.fafsa.ed.gov/FOTWebApp/faa/faa.jsp>

FSA Personal Identification Number (PIN)

[www.pin.ed.gov](http://www.pin.ed.gov)

FSA Download

<http://www.fsadownload.ed.gov/index.htm>

*School Relations*

Application to Participate in Title IV Programs

<http://www.eligcert.ed.gov/>

Title IV Participant Management (PEPS)

<http://www.ed.gov/offices/OSFAP/PEPS/index.html>

SAIG Enrollment

<http://fsawebenroll.ed.gov/PMEnroll/SAIGInfo.jsp>

Campus-Based Programs & Fiscal Operations Report and Application to Participate (FISAP)

<http://www.cbfsap.ed.gov/CBSWebApp/welcome.jsp>

*Common Origination & Disbursement (COD)*

COD Web Site

<http://www.cod.ed.gov>

Electronic Master Promissory Note

<http://dlenote.ed.gov>

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**Related Products, Not Part of the Front End – Current State**

*FSA University*

Training for Financial Aid Professionals

<http://www.ed.gov/offices/OSFAP/training/index.html>

*Financial Management*

GAPS

<https://e-grants.ed.gov/gapsweb/epWelcome.asp>

*Accounts Management*

National Student Loan Data System

[www.nsls.ed.gov](http://www.nsls.ed.gov)

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**Appendix B – Governance (Public Law, Regulations and Federal  
Guidance)**

*Public Law*

Clinger-Cohen Act

<http://www.ed.gov/policy/gen/leg/cca.html>

Computer Fraud and Abuse Act of 1987

<http://cio.doe.gov/Documents/CFA.HTM>

Computer Matching and Privacy Protection Act of 1988

<http://www.ed.gov/about/offices/list/ocio/legislation.html>

Computer Security Act of 1987

[http://www.cio.gov/Documents/computer\\_security\\_act\\_Jan\\_1998.html](http://www.cio.gov/Documents/computer_security_act_Jan_1998.html)

Electronic Signatures in Global and National Commerce Act of 2000 (E-Sign)

[http://frwebgate.access.gpo.gov/cgi-bin/getdoc.cgi?dbname=106\\_cong\\_bills&docid=f:s761enr.txt.pdf](http://frwebgate.access.gpo.gov/cgi-bin/getdoc.cgi?dbname=106_cong_bills&docid=f:s761enr.txt.pdf)

Federal Financial Improvement Act

[http://www.whitehouse.gov/omb/financial/fm\\_systems.html](http://www.whitehouse.gov/omb/financial/fm_systems.html)

Federal Information Security Management Act (FISMA) of 2002 (Title III of E-Gov)

<http://csrc.ncsl.nist.gov/policies/>

Federal Managers' Financial Integrity Act of 1982

<http://www.whitehouse.gov/omb/financial/fmfia1982.html>

Federal Records Act

<http://www.ed.gov/policy/gen/leg/fra.html>

Freedom of Information Act of 1974

<http://www.ed.gov/policy/gen/leg/foia/foiatoc.html>

Government Paperwork Elimination Act (GPEA)

<http://www.ed.gov/policy/gen/leg/gpea/index.html>

Gramm-Leach-Bliley Act

<http://www.senate.gov/~banking/conf/>

Higher Education Act of 1965, as amended

Index

<http://edworkforce.house.gov/publications/compindex.htm>

Vol. III, Title IV, Parts A and B

<http://edworkforce.house.gov/publications/heacomp/hea65002.pdf>

Vol. III, Title IV, Parts C, D, E, F, G, and H

<http://edworkforce.house.gov/publications/heacomp/hea65003.pdf>

Paperwork Reduction Act

<http://www.ed.gov/policy/gen/leg/pract.html>

Privacy Act of 1974

<http://www.ed.gov/policy/gen/leg/privacyact.html>

Rehabilitation Act of 1973 (Section 508)

<http://www.ed.gov/policy/speced/reg/narrative.html>

*Executive Orders*

Executive Order 13231 - "Critical Infrastructure Protection in the Information Age"

<http://www.whitehouse.gov/news/releases/2001/10/20011016-12.html>

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Executive Order 13228 – “Establishing the Office of Homeland Security and the Homeland Security Council”

<http://www.whitehouse.gov/news/releases/2001/10/20011008-2.html>

Executive Order 13011 - "Federal Information Technology"

<http://www.cio.gov/Documents/federal%5Fit%5FJul%5F1996%2Ehtml>

### *U.S. Department of Education Regulations*

Student Assistance Program Regulations (34 CFR Parts 600-694)

[http://ecfr.gpoaccess.gov/cgi/t/text/text-idx?sid=0407185bbe804cd15279a596a29c32bd&c=ecfr&tpl=/ecfrbrowse/Title34/34cfrv3\\_02.tpl#600](http://ecfr.gpoaccess.gov/cgi/t/text/text-idx?sid=0407185bbe804cd15279a596a29c32bd&c=ecfr&tpl=/ecfrbrowse/Title34/34cfrv3_02.tpl#600)

### *Additional Federal Guidance*

Federal Acquisition Regulation (FAR)

<http://www.arnet.gov/far/>

NIST Special Publication 800-18 – “Guide for Developing Security Plans for Information Technology Systems”

<http://csrc.nist.gov/publications/nistpubs/800-18/Planguide.PDF>

OMB Circular A-123 – “Internet Control Systems”

<http://www.whitehouse.gov/omb/circulars/a123/a123.html>

OMB Circular A-127 – “Financial Management Systems”

<http://www.whitehouse.gov/omb/circulars/a127/a127.html>

OMB Circular A-130 – “Management of Federal Information Resources”, Appendix III – “Security of Federal Information Resources”

<http://www.whitehouse.gov/omb/circulars/a130/a130.html>

OMB Bulletin 90-08 – “Guidelines for Preparation of Security Plans for Federal Systems that Contain Sensitive Data”

<http://www.oirm.nih.gov/itmra/omb90-08.html>

OMB Memorandum 97-02 – “Funding Information Systems Investments”

<http://www.whitehouse.gov/omb/bulletins/97-02.html>

OMB Memorandum 97-16 – “Information Technology Architectures”

<http://www.whitehouse.gov/omb/memoranda/m97-16.html>

OMB Memorandum 00-15 – “OMB Guidance on Implementing the Electronic Signatures in Global and National Commerce Act”

<http://www.whitehouse.gov/omb/memoranda/m00-15.html>

OMB Memorandum 01-08 – “Guidance on Implementing the GISRA”

<http://www.whitehouse.gov/omb/memoranda/m01-08.pdf>

OMB Memorandum 01-24 – “Reporting Instructions for the GISRA”

<http://www.whitehouse.gov/omb/memoranda/m01-24.pdf>

General Accounting Office (GAO) Accounting and Information Management Division (AIMD) Report 94-115 – “Executive Guide: Improving Mission Performance Through Strategic Information Management and Technology”

<http://www.access.gpo.gov/cgi-bin/useftp.cgi?IPaddress=wais.access.gpo.gov&filename=ai94115.txt&directory=/diskb/wais/data/gao>

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### *U.S. Department of Education Guidelines*

U.S. Department of Education Priorities

<http://www.ed.gov/about/overview/mission/priorities.html>

U.S. Department of Education Records Disposition Schedules

<http://www.ed.gov/policy/gen/guid/fra/index.html>

U.S. Department of Education Information Technology Security Manual

[http://extranet.sfa.ed.gov/cio/it\\_management/techpolicy/](http://extranet.sfa.ed.gov/cio/it_management/techpolicy/)

FSA 'Information for Financial Aid Processional's' (IFAP) Web Resource

<http://www.ifap.ed.gov/>

FSA Technology Handbook

[http://extranet.sfa.ed.gov/cio/techcenter/technology\\_handbook/tech.html](http://extranet.sfa.ed.gov/cio/techcenter/technology_handbook/tech.html)

### *Standards*

Federal Information Processing Standard Publication ( FIPS PUB) 31 - "Guidelines for ADP Physical Security and Risk Management"

<http://csrc.nist.gov/publications/fips/fips31/fips31.pdf>

FIPS PUB 46-3 - "Data Encryption Standard (DES)"

<http://csrc.nist.gov/publications/fips/fips46-3/fips46-3.pdf>

FIPS PUB 73 - "Guidelines for Security of Computer Applications"

<http://csrc.nist.gov/publications/fips/fips73/fips73.PDF>

FIPS PUB 83 - "Guidelines on User Authentication Techniques for Computer Network Access Control" (No electronic version available)

<http://csrc.nist.gov/publications/fips/>

FIPS PUB 87 - "Guidelines for ADP Contingency Planning"

<http://csrc.nist.gov/publications/fips/fips87/fips87.pdf>

FIPS PUB 112 - "Password Usage"

<http://www.itl.nist.gov/fipspubs/fip112.htm>

FIPS PUB 113 - "Computer Data Authentication"

<http://www.itl.nist.gov/fipspubs/fip113.htm>

International Organization for Standardization

<http://www.iso.ch/iso/en/ISOOnline.openerspage>

IRS Publication 1075 - "Tax Information Security Guidelines for Federal, State, and Local Agencies"

<http://www.irs.gov/pub/irs-pdf/p1075.pdf>

National Institute of Standards and Technology

<http://www.nist.gov/>

Software Engineering Institute (SEI) and the Capability Maturity Model (CMM)

<http://www.sei.cmu.edu/cmm/cmm.html>

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**Appendix C - Glossary of Terms**

Term	Definition
Aid Application	Applying for the various types of financial aid provided by FSA that is available to interested parties who qualify based on certain criteria. The FAFSA is completed when applying for aid.
Aid Awareness	The primary goal of Aid Awareness is to increase public' awareness of the programs administered by FSA while also promoting access to tools and materials necessary for making informed decisions about postsecondary education. In addition to broad outreach efforts to the public, Aid Awareness also focuses on increasing the participation of specific socio-demographic groups of historically underrepresented individuals within the postsecondary education student population.
Aid Eligibility	An applicant for Federal Student Aid qualifies for financial aid. Based upon certain qualifications, an applicant makes a decision about accepting financial aid.
Aid Origination and Disbursement	Origination involves the collection of data and entering it into origination records for Direct Loans and Pell Grants. The data is the basis for making a loan for the Federal Direct Loan program, or establishing eligibility for a Pell Grant. Disbursement is the process by which Title IV program funds are paid to a student or parent borrower. A school may pay the student or parent directly or credit a student's school account.
Capability Maturity Model Integrated (CMMI)	<p>The CMMI models improve upon the best practices of previous models in many important ways. CMMI best practices enable organizations to do the following:</p> <ul style="list-style-type: none"> <li>• More explicitly link management and engineering activities to business objectives</li> <li>• Expand the scope of and visibility into the product life cycle and engineering activities to ensure that the product or service meets customer expectations</li> <li>• Incorporate lessons learned from additional areas of best practice (e.g., measurement, risk management, and supplier management)</li> <li>• Implement more robust high-maturity practices</li> <li>• Address additional organizational functions critical to its products and services</li> <li>• More fully comply with relevant ISO standards</li> </ul>
Central Processing System (CPS)	The central repository of federal Title IV applicant data. The CPS processes data submitted by aid applicants via the IDC, EDE or web sites. CPS calculates the expected family contribution and conducts data matches. CPS also provides Renewal Applications, Student Aid Reports, notification of processing results via use of secure email and web sites.

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Term	Definition
Change Control Requirements	Procedures necessary to control the software, hardware, documentation, and data definitions throughout the life of the contract. Change control requirements will include identification of change control issues, resolution plans, tracking mechanisms, reporting processes, etc. The solution provider will have to coordinate the change control requirements with the VDC and other trading partners' configuration procedures, for example during the implementation of the annual School Software Release. In order to facilitate this interaction the solution provider change control procedure process must comply with all FSA standards, including those already in place at the VDC.
Client Account Managers (CAMs)	The Client Account Manager (CAM) is the Department's frontline school representative in a Federal region for all Title IV programs.
Common Data Architecture (CDA)	The common context within which all enterprise data is defined which enables the storage of shared data to support all front-end business processes and FSA's objective for an end-to-end view of the customer. Enterprise data warehouse that provides access to historical data and information common to all phases of the FSA lifecycle. All front-end functions share common source of data. Enables Service Oriented access to operational data, real time access to data as needed by processes.
Common Origination and Disbursement (COD)	Initiative designed to put in place more common processes across financial aid programs. FSA's participating schools use a common process, platform, and record to originate and disburse Title IV federal aid funds. The current COD system is provided by Accenture.
Common Services for Borrowers (CSB)	Common Services for Borrowers (CSB) is an initiative that involves the integration of the Repayment, Consolidation, and Collections business operations and functions of the Student Credit Management. A contract was awarded in November 2003 to ACS to provide these integrated services.
Compute	In the CPS, the process of applying edits to applicant data and performing calculations to determine an EFC.

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Term	Definition
Computer Telephony Integration (CTI)	<p>CTI (computer-telephony integration), or sometimes simply “computer telephony,” is the use of computers to manage telephone calls. The term is used in describing the computerized services of call centers, such as those that direct your phone call to the right department at a business you’re calling. It is also sometimes used to describe the ability to use your personal computer to initiate and manage phone calls (in which case you can think of your computer as your personal call center).</p> <p>CTI applications provide the ability to do one or more of the following:</p> <ul style="list-style-type: none"> <li>● Authenticate callers. Using one of several standard methods, the telephone number of the caller can be screened against a database.</li> <li>● Recognize a voice, either for authentication or for message forwarding</li> <li>● Using live, recorded voice, or touch-tone entered input, determine how to process a call (for example, by forwarding it to the appropriate person or department)</li> <li>● Provide interactive voice response (IVR) to callers</li> <li>● Match the number of a caller with a customer record and display it for reference when talking to the caller</li> <li>● Manage voice or video conferences</li> <li>● Collect and display pending live calls or messages that have been left by callers</li> <li>● Receive fax messages and route them to appropriate fax machines</li> <li>● Make outbound calls such as telemarketing, pre-dial calls</li> <li>● Based on call input, initiate a smart agent application to provide help with the caller’s request</li> </ul>
Customer Relationship Management (CRM)	<p>Customer Relationship Management (CRM) entails all aspects of interaction a company has with its customer, whether it is sales or service related. Organizations are looking for ways to personalize online experiences (a process also referred to as mass customization) through tools such as help desk software, e-mail organizers and Web development applications.</p>
Customer Service Representatives (CSRs)	<p>The Customer Service Representatives provide responses to customer inquiries whether by calls, written correspondence, e-mail, etc. The inquiries may include processing transactions, generating correspondence, providing student aid counseling, answering inquiries about student aid programs and entitlements, escalating issues, transferring calls, and referring calls to other sources of information.</p>

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Term	Definition
Department of Education	The U.S. Department of Education was established on May 4, 1980 by Congress in the Department of Education Organization Act (Public Law 96-88 of October 1979). The Department's missions are to: strengthen the Federal commitment to assuring access to equal educational opportunity for every individual; supplement and complement the efforts of states, the local school systems and other instrumentalities of the states, the private sector, public and private nonprofit educational research institutions, community-based organizations, parents, and students to improve the quality of education; encourage the increased involvement of the public, parents, and students in Federal education programs; promote improvements in the quality and usefulness of education through Federally supported research, evaluation, and sharing of information; improve the coordination of Federal education programs; improve the management of Federal education activities; and increase the accountability of Federal education programs to the President, the Congress, and the public.
Department of Homeland Security (DHS)	Department of Homeland Security. The CPS performs a match with this agency to determine if the applicant is a U.S. citizenship or a non-citizen eligible for Title IV aid.
Department of Treasury Financial Management System (DTFMS)	One of the key tools used by DTFMS to collect delinquent debt is the Treasury Offset Program (TOP). Under TOP, DTFMS matches a database of delinquent debtors against payments disbursed by Treasury offset or withholds federal payments to recipients who also owe delinquent debts. Lockbox reconciliation is also performed.
Direct Access Storage Devices (DASD)	DASD (Direct access storage device) is a general term for magnetic disk storage devices that has historically been used in the mainframe and minicomputer (mid-range computer) environments. When used, it may also include hard disks drives for personal computers. A recent form of DASD is the Redundant Array of Independent Disks (RAID).
Disaster Recovery Plan	A Disaster Recovery Plan (DRP) - sometimes referred to as a Business Continuity Plan (BCP) or Business Process Contingency Plan (BPCP) - describes how an organization is to deal with potential disasters. Just as a disaster is an event that makes the continuation of normal functions impossible, a disaster recovery plan consists of the precautions taken so that the effects of a disaster will be minimized, and the organization will be able to either maintain or quickly resume mission-critical functions. Typically, disaster recovery planning involves an analysis of business processes and continuity needs; it may also include a significant focus on disaster prevention.
E-App	The electronic version of the <i>Application for Approval to Participate in the Federal Student Financial Aid</i> . Postsecondary institutions use the E-App to apply for designation as an eligible institution, initial participation, recertification, reinstatement, change in ownership, or to update a current approval.
EDEXpress	EDEXpress is a PC software package which offers a range of functions allowing schools to manage and administer the delivery of student financial aid information electronically. EDEXpress allows institutions to manage their data through the use of task-oriented modules within the software package. The modules available within EDEXpress are Application Processing, Packaging, Direct Loan and Pell. Institutions are also able to electronically transmit their data via the Student Aid Internet Gateway to CPS (Central Processing System) and other ED contractors.

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Term	Definition
ED Pubs	The ED Pubs contract supports the information dissemination objectives of ED's Principal Offices. Customers can order publications, brochures, posters, grant applications, and other information through multiple interaction channels. ED Pubs currently manages FSA's Bulk Publication Ordering System (BPOS) that is used to disseminate FSA's flagship publications and FAFSA forms to institutions of postsecondary education as well as high schools, libraries, Trio projects and other organizations. <a href="http://www.EDPubs.org">http://www.EDPubs.org</a>
Electronic Customer Relationship Management (eCRM)	A Siebel-based solution for the Customer Service Representatives (CSRs), together with a Computer Telephony Integration (CTI) plug-in to the existing DLSS enabling Direct Loan call center personnel to manage telephone calls and customer relationships in an organized way.
Electronic Fund Transfer (EFT) Payment Manifest	The Electronic Fund Transfer (EFT) Payment Manifest – A complete listing of payments received via electronic means.
Enterprise Application Integration (EAI) Middleware Technology	Technology that provides services to support application integration across FSA's enterprise. This technology enables modernized systems to interact with legacy systems.
Expected Family Contribution (EFC)	Numeric result of a congressionally approved formula calculation to determine Title IV aid eligibility.
Extensible Mark-up Language (XML)	A technical architecture specification that details FSA's data transfers with internal and external organizations.
eZ-Audit	A web-based application that provides schools with a paperless single point of submission for financial statements and compliance audits.
FAFSA (Free Application for Federal Student Aid)	A student financial aid application form completed by a student and his or her family who wish to receive federal aid. It is the ED input document that serves as the foundation for all need analysis computations. The FAFSA gathers data to calculate the Expected Family Contribution (EFC), which is used to determine eligibility for Federal Pell Grant, campus-based, Federal Stafford Loan, and Federal Direct Loan awards.
FAFSA On the Web (FOTW)	Provides financial aid offices, libraries and students with easy online access to the FAFSA. It is designed to work with most operating systems in conjunction with commercially available browser software. It is available at <a href="http://fafsa.ed.gov">fafsa.ed.gov</a> on the world wide web.
Federal Family Education Loan (FFEL)	Federal Family Education loan was implemented by legislation in 1965, formerly known as the Guaranteed Student Loan (GSL). Debts are assigned to the Department for default or assumed in a variety of conditions in the event an agency ceases to participate or operate. FFEL loans are offered through the FFEL program. If a school does not participate in Direct Loans, the funds for student loans are sent to the student from a bank, credit union, or other lender that participates in the FFEL program. The FFEL program offers Stafford Subsidized, Stafford Unsubsidized, PLUS loans, and Consolidation Loans.
Federal Financials Commercial Off-The-Shelf (COTS) product	Generic software packaged by Oracle that is easily customized to integrate with FSA's Financial Management System to perform financial processes and other FSA business needs.

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Term	Definition
Federal Pell Grant Program	A grant program for undergraduate students who have not completed a first baccalaureate degree. On a case-by-case basis, students with baccalaureate degrees who are enrolled in state-required teacher certification programs may be eligible for federal Pell Grants (see 34 CFR 690.6[c] for more information). It is designed to financially assist students with need who are the least able to contribute toward their basic education expenses. If students apply, meet all the eligibility criteria, and are enrolled in an eligible program at an eligible institution, they will receive Federal Pell Grants. Formerly, this grant was called the Basic Educational Opportunity Grant (BEOG). In 1982, it was renamed to honor Senator Claiborne Pell; the word "Federal" was added to its name in 1992.
Federal Perkins Loan Program	Established in 1958 as the National Defense Student Loan Program. Perkins Loans are low-interest loans made to students with exceptional financial need. Perkins is a 1 billion dollar a year program funded by revolving funds from the schools, Federal Capital contribution, collections and interest, and Institutional Capital contribution. These loans are originated and serviced by schools.
Federal Security Requirement	Security benchmarks instituted by governmental organizations, such as NIST, which define the following areas: Physical Security, Access and Authorization Control, and appropriate Network and Trust Restrictions. In addition, these requirements further clarify aspects such as: Ongoing Monitoring and Administration, Testing, and Reviews.
Federal Student Aid (FSA)	The office within the Department of Education responsible for managing the federal student aid programs and processes.
Federal Student Aid Information Center (FSAIC)	Section 483(d) of the Higher Education Act (HEA) of 1965, as amended, states that the Secretary of Education shall contract for, or establish, and publicize a toll-free telephone service to provide timely and accurate information to the general public. Currently FSAIC utilizes the number 1-800-4-FED-AID and answers inquiries on a full range of interaction channels, e.g., phone calls, web chat and emails. Customer service representatives provide inquiry assistance in English and Spanish on general information related to federal student aid, FAFSA completion, SAR corrections and other related student aid issues.
Federal Supplemental Educational Opportunity Grant (FSEOG)	A Federal Supplemental Educational Opportunity Grant (FSEOG) is for undergraduates with exceptional financial need and gives priority to students who receive Federal Pell Grants. An FSEOG doesn't have to be paid back. The U.S. Department of Education guarantees that each participating school will receive enough money to pay the Federal Pell Grants of its eligible students. There's no guarantee every eligible student will be able to receive an FSEOG; students at each school will be awarded between these funds (between \$100 and \$4,000 a year) based on availability at that school.
Federal Work Study (FWS)	The Federal Work-Study Program provides jobs for undergraduate and graduate students with financial need, allowing them to earn money to help pay education expenses. The program encourages community service work and work related to each student's course of study.

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STATEMENT OF OBJECTIVES**

Term	Definition
Financial Partners	Federal Student Aid (FSA) Financial Partners works in partnership with Guaranty Agencies, Lenders, Servicers, Trade Associations, Trustees, Schools and Secondary Markets to ensure access for students to Federal Student Loans particularly the FFEL program. In addition, Financial Partners work with State Grant Agencies on the LEAP/SLEAP grant program. We promote best in business and strive for greater program integrity through innovative technical development, oversight, technical assistance, partnership, and community outreach programs.
Freedom of Information Act (FOIA)	<p>The Freedom of Information Act (FOIA), 5 U.S.C. § 552, was enacted in 1966 and provides that any person has the right to request access to federal agency records or information. All agencies of the U.S. government are required to disclose records upon receiving a written request for them, except for those records that are protected from disclosure by the nine exemptions to the FOIA listed below. The federal FOIA does not provide access to records held by state or local government agencies, or by private businesses or individuals. Most states, and some local jurisdictions, have their own laws about access to state and local records. State ED agencies should be contacted for further information about these statutes.</p> <p>Exemptions</p> <p>All agency records must be made available to the public under the FOIA, except for records that are:</p> <ul style="list-style-type: none"> <li>● Properly classified as secret in the interest of national defense or foreign policy;</li> <li>● Related solely to internal personnel rules and practices;</li> <li>● Specifically made confidential by other statutes;</li> <li>● Concerning trade secrets and commercial or financial information obtained from a person and privileged or confidential;</li> <li>● Inter-agency or intra-agency memoranda or letters, except under certain circumstances;</li> <li>● Personnel and medical files and similar files, the disclosure of which would constitute a clearly unwarranted invasion of personal privacy;</li> <li>● Compiled for law enforcement purposes;</li> <li>● Contained in or related to certain examination, operating, or condition reports concerning financial institutions; and</li> <li>● Concerning gas or oil wells.</li> </ul>
Front End Business Initiative (FEBI)	Front End Business Initiative (FEBI) is an initiative that involves the integration of Applications Processing and Loan Origination and Disbursement, along with the ancillary services of fulfillment, call centers and help desks, and document management.
FSA Download	FSA Download is a mechanism by which schools can use to download FSA systems technical manuals from the FSA web site: <a href="http://www.fsadownload.ed.gov">http://www.fsadownload.ed.gov</a>
FSA Financial Management System (FMS)	FSA's Financial Management System (FMS) uses Oracle Federal Financials to create a single, centralized integrated financial management system for all financial activities within FSA. Serves as the general ledger for CSB.

## FRONT END BUSINESS INTEGRATION STATEMENT OF OBJECTIVES

Term	Definition
FSA Integration Partner	FSA's prime contractor for implementing the Integration Blueprint. The Integration Partner is helping integrate FSA's computer systems so contractors and employees can better serve their customers. Accenture is the current FSA Integration Partner; however, FSA is in the process of selecting a new Integration Partner.
FSA Security Guidelines	Starting with the Federal Security Requirements, the FSA Security Guidelines dictate and direct specific adherence, policies and performance of processes and systems within FSA's purview.
FSATech listserv	A listserv where financial aid professionals can ask and get answers to their technical questions about FSA's software or systems. Listserv subscribers also automatically get "hot" news flashes about processing and software issues.
Gaining Early Awareness and Readiness for Undergraduate Program (GEAR UP)	The Gaining Early Awareness and Readiness for Undergraduates Program (GEAR UP) is a U.S. Department of Education program to encourage eligible entities to provide or maintain a guarantee to eligible low-income students who obtain a secondary diploma (or its recognized equivalent), of the financial assistance necessary to permit the students to attend an institution of higher education; and supports eligible entities in providing additional counseling, mentoring, academic support, outreach, and supportive services to elementary and middle schools, and secondary school students who are at risk of dropping out of school; and information to students and their parents about the advantages of obtaining a postsecondary education and the college financing options for the students and their parents.
Guaranty Agency (GA)	A state agency or a private, nonprofit institution or organization that administers the financial aid programs within the Federal Family Education Loan (FFEL) Program. A major function is to insure Federal Family Education Loans. The Federal government for all or part of the insurance claims they pay to lenders reimburses Guaranty Agencies.
Human Capital Management	Human capital management involves developing and carrying out a plan that supports the Department's mission by ensuring that skilled, high-performing employees are available and deployed appropriately. This plan is supported by a competitive sourcing plan that ensures that services are provided at a maximum level of cost effectiveness.
IFAP	Information for Financial Aid Professionals. IFAP is an electronic library for financial aid professionals, banks, lenders, institutions and guarantee agencies. The IFAP online library contains technical publications, regulations and policy guidance on the administration of the federal Title IV Programs.
Institutional Student Information Record (ISIR)	In CPS, the formatted student information data with processing and eligibility determination results electronically transmitted to schools and state agencies.
Integrated Technical Architecture (ITA)	Three core architecture domains: Internet, Integration, and Infrastructure. ITA provides a standardized, integrated, reusable infrastructure tools and components.
Interactive Voice Response (IVR)	Telephony technology in which someone uses a touch-tone telephone to interact with a database to acquire information from or enter into the database.

## FRONT END BUSINESS INTEGRATION STATEMENT OF OBJECTIVES

Term	Definition
International Organization for Standardization (ISO)	The International Organization for Standardization (ISO) is a worldwide federation of national standards bodies from more than 140 countries, one from each country. The ISO is a non-governmental organization established in 1947. The mission of ISO is to promote the development of standardization and related activities in the world with a view to facilitating the international exchange of goods and services, and to developing cooperation in the spheres of intellectual, scientific, technological and economic activity.
ISIR Datamart	A copy of transition data specifically structured for querying and reporting. The ISIR Datamart will store all ISIR data generated by the CPS for its retrieval or distribution to schools, state agencies and other authorized users. All transactions generated by CPS compute are stored in the datamart. Updates are made after every compute run (daily). All data stored, including NSLDS data, will be transaction-specific.
Loan Servicing	All activities undertaken to maintain a loan. Applies to FFEL and Direct Loans, as well as <a href="http://extranet.sfa.ed.gov/sfa_university/training/f2botw/dictionary_f.html">http://extranet.sfa.ed.gov/sfa_university/training/f2botw/dictionary_f.html</a> - federal perkins loan program Federal Perkins Loans. Loan Servicing is performed by the CSB system. The FEBI solutions must interface with CSB
National College Access Network (NCAN)	<a href="http://www.collegeaccess.org">http://www.collegeaccess.org</a>
National Directory of New Hires (NDNH)	A process by which FSA sends a request to the NDNH database (managed by U.S. Department of Health and Human Services) to verify accurate address information for borrowers.  The National Direct New Hire reporting is the process by which an employer reports information on newly hired employees to a designated state agency within 20 days. The New Hire Report, at a minimum, contains the employee's name, address and Social Security Number along with the employer's name, address and Federal Employer Identification Number.  FSA can only use this information if the borrower's Adjusted Gross Income (AGI) is greater than \$16,000.
National Student Loan Data System (NSLDS)	NSLDS is the U.S. Department of Education's central, integrated database for student aid. NSLDS stores Title IV data that is received from schools, guaranty agencies, and many internal FSA systems.
Office of Management and Budget (OMB)	Executive branch office that assists the President in the development and implementation of the budget, program, management and regulatory policies.
Office of Postsecondary Education (OPE)	The Office of Postsecondary Education (OPE) formulates federal postsecondary education policy and administers programs to improve access to quality postsecondary education in the United States.
Ombudsman	The ombudsman resolves disputes from a neutral, independent viewpoint. The Federal Student Aid (FSA) Ombudsman informally conducts impartial fact-finding about customer complaints. The Ombudsman also works to bring about changes that will help prevent future problems for other student loan borrowers.
Operational Level Agreements	Performance based agreements based on operational goals tied to strategic objectives.
Operational Metrics	Metrics processes designed to measure the accomplishment of business functions related to specific service levels.

**FRONT END BUSINESS INTEGRATION  
STATEMENT OF OBJECTIVES**

Term	Definition
Performance-Based Organization (PBO)	<p>In the Higher Education Amendments of 1998, Congress established FSA as the first performance-based organization (PBO) in the federal government. Congress believed that a customer-focused PBO could reengineer student aid systems and contracts, resulting in an effective, less expensive, and less bureaucratic process.</p> <p>The essence of the PBO idea is a contract, wherein the PBO management accepts performance goals; in return gains control over the actions that determine results, and is then held accountable for those results. Specifically, the PBO legislation requires the Chief Operating Officer to work with the Secretary to develop a 5-year performance plan that establishes measurable goals and objectives for the organization. The compensation of the COO, senior management, and staff are all linked to their success in meeting the objectives set forth in the performance plan.</p> <p>In enacting the PBO legislation, the conferee's explicitly stated that subject to the direction of the Secretary, "the PBO, while a part of the Department of Education, shall exercise independent control from the principal offices of the Department in carrying out its day-today activities, including its budget allocations and expenditures, its personnel decisions, its procurements, and its other administrative and management functions. This level of independence is critical to providing the PBO with greater flexibility in the management of the operational functions assigned to it."</p>
Performance Metrics	Metrics processes designed to measure the accomplishment of business functions related to the strategic business objectives of FSA.
PIN	The electronic password that allows Renewal on the Web (ROTW) or FAFSA on the Web (FOTW) applicant access to their respective ROTW or Corrections on the Web (COTW) data.
Program Integrity	The Program Integrity includes improving and integrating FSA's financial and management information systems to manage student aid programs effectively and maintaining effective internal controls to reduce the risk of errors and permitting effective monitoring of programs and processes. By doing this FSA will improve program integrity by reducing the programs' vulnerability to fraud, waste, error and mismanagement.
Repayment Estimator	Tool available to Direct Loan borrowers through the Direct Loan Website, and Direct Loan Client Service Representatives through the eCRM application. This tool provides a mechanism to analyze various repayment alternatives for the borrower.
Routing Identifier (RID)	An FSA initiative that plans to provide the means to facilitate interaction with FSA systems and services by providing a single identifier with which schools, third party services, lenders, and state agencies among others can identify themselves to the entire enterprise.

**FRONT END BUSINESS INTEGRATION  
STATEMENT OF OBJECTIVES**

Term	Definition
Section 508 of The Rehabilitation Act of 1973, as amended.	<p>The Department of Education has made a commitment to support its obligation under Sections 504 and 508 of the Rehabilitation Act of 1973, as amended, to ensure the accessibility of its programs and activities to individuals with disabilities, specifically its obligation to acquire accessible electronic and information technology.</p> <p>In May 1995, the Office of the Chief Information Officer instituted an Assistive Technology Program to implement the use of technology to assist disabled employees and customers gain access to information and information systems through the personal computers on their desktop.</p> <p>The Assistive Technology Program has grown to include a diversified set of services for staff, supervisors, and customers. Those services include: the assessment of individual needs to determine what barriers to information and information systems exist and the technologies available to assist in removing or reducing those barriers, the identification of technology sources, acquisition assistance, technology installation, technology training, one-on-one individual problem resolution, guidance to application Internet system developers and vendors, technology demonstrations, and the review of information systems to determine accessibility to the disabled. Today this program is considered a model and is emulated by many other federal agencies.</p> <p>In August of 1998, the Workforce Investment Act of 1998 was passed re-authorizing Section 508 of the Rehabilitation Act of 1973. This legislation requires all federal agencies to procure, develop, maintain, and use accessible electronic and information technology. The Department of Education Assistive Technology Team, in addition to providing internal support, has entered into a partnership with other key agencies forming the Federal Information Technology Accessibility Initiative to provide technical assistance and training to other federal agencies.</p>
Selective Service	The CPS performs a match with this federal agency to determine if the FAFSA applicant is registered for the armed forces. Applicants may also request to register with Selective Service if they meet the appropriate criteria.
Social Security Administration (SSA)	The CPS performs a match with this federal agency to determine if the identifier information provided by FAFSA and PIN applicants is accurate. SSA also provides information about citizenship status and date of death, if applicable.
Software Applications Maintenance	Software Applications Maintenance encompasses all production fixes, functional enhancements, and application upgrades to websites, programs, etc.
Standard Student Identification Methodology (SSIM)	An FSA initiative that seeks to establish a simple framework by which FSA and its partners can consistently identify students/borrowers across all phases of the Student Aid Lifecycle.
Student Aid Report (SAR)	A form generated by the CPS in response to the processing of the Title IV aid applications. The SAR informs applicants of their eligibility or ineligibility for Title IV aid, assigns the EFC to eligible students, and provides means to correct or review information submitted on their applications.
System of Record (SOR)	The owner/source of data in cases where data exists in multiple systems. System of record is usually where the "best" data exists, defining "best" as timely, accurate, complete and nearest to the originating source.

**FRONT END BUSINESS INTEGRATION  
STATEMENT OF OBJECTIVES**

Term	Definition
Title IV Aid	<p>Federal financial aid programs for students attending postsecondary educational institutions, authorized under Title IV of the Higher Education Act of 1965, as amended (HEA). The programs are administered by the U.S. Department of Education. Title IV programs consist of:</p> <ul style="list-style-type: none"> <li>• Academic Achievement Incentive Scholarship Program</li> <li>• Federal Pell Grants</li> <li>• Federal Supplemental Educational Opportunity Grants (FSEOGs)</li> <li>• Federal Work-Study (FWS)</li> <li>• Federal Perkins Loans</li> <li>• William D. Ford Federal Direct Loans</li> <li>• Federal Family Education Loan (FFEL) Program</li> <li>• Federal Consolidation Loans</li> <li>• Gaining Early Awareness and Readiness for Undergraduates Program (GEAR-UP)</li> <li>• Leveraging Educational Assistance Partnership (LEAP) Program [formerly State Student Incentive Grants (SSIG)]</li> <li>• Robert C. Byrd Honors Scholarships</li> </ul>
Treasury Offset Program (TOP)	<p>The Federal Treasury Offset Program is designed for the Department to provide certified debts that the Treasury can collect via offset of the borrower's Federal income tax refund, and other Federal payments, thereby reducing the outstanding balance due to the Department.</p> <p>Amounts that are offset by Treasury are reported to the Department via magnetic tape on a weekly basis.</p>
TRIO Programs	<p>The Federal TRIO Programs are educational opportunity outreach programs designed to motivate and support students from disadvantaged backgrounds. TRIO includes six outreach and support programs targeted to serve and assist low-income, first-generation college, and students with disabilities to progress through the academic pipeline from middle school to post baccalaureate programs.</p>
U.S. Government Paperwork Reduction Act	<p>The Paperwork Reduction Act requires all federal agencies to obtain approval from the Office of Management and Budget (OMB) before collecting information from the public. Ways of collecting information include questionnaires, focus groups, telephone surveys, applications, performance reports, customer satisfaction surveys, studies and evaluations, interviews, forms, and any other means of requesting information from ten or more respondents.</p>
Virtual Data Center (VDC)	<p>This contract provides centralized computer processing services, including all hardware and system software necessary to support the Title IV programs. All FSA data processing is expected to be done by the Data Center. This function is currently provided under a GSA contract with Computer Services Corporation (CSC) of Meriden, Connecticut.</p>

**FRONT END BUSINESS INTEGRATION  
STATEMENT OF OBJECTIVES**

Term	Definition
Web Portals	<p>FSA has a web portal with separate views for FSA's customer groups enabling authorized users to access information, link to existing systems, and participate in the delivery and management of the Federal student aid process. Each view is specific to the needs of FSA's core customer groups:</p> <p>Students (<a href="http://www.studentaid.ed.gov">http://www.studentaid.ed.gov</a>)</p> <p>Schools (<a href="http://sfa4schools.sfa.ed.gov">http://sfa4schools.sfa.ed.gov</a>)</p> <p>Financial Partners (<a href="http://www.fp.ed.gov">http://www.fp.ed.gov</a>)</p>
William D. Ford Federal Direct Loan Program (Federal Direct Loan Program)	<p>A federal program where the U.S. government (not a commercial lender) provides four types of education loans to student and parent borrowers directly through schools:</p> <ul style="list-style-type: none"> <li>● Federal Direct Stafford Loan (subsidized, for students),</li> <li>● Federal Direct Unsubsidized Stafford Loan (for students),</li> <li>● Federal Direct PLUS Loan (for parents), <i>and</i></li> <li>● Federal Direct Consolidation Loan (for students and parents).</li> </ul> <p>These loans are referred to collectively as Direct Loans.</p>
XML Common Record	<p>In 2000, FSA began drafting the XML Common Record. The Common Record is the vehicle that standardized the definition and format used to communicate FSA origination and disbursement data universally. This Common Record work indirectly highlighted a major gap in the business processes of FSA; there is no universal definition for other data FSA exchanges externally let alone internally.</p>

**FRONT END BUSINESS INTEGRATION  
STATEMENT OF OBEJCTIVES**

**Appendix D -- Volumes**

**Editorial Services Contract Correspondence Volumes  
January through December, 2003**

Jan	Feb	Mar	April	May	June	July	Aug	Sept	Oct	Nov	Dec	
324	182	346	321	241	274	239	225	201	304	175	141	Control
5,613	4,750	5,372	3,807	4,155	3,762	3,762	3,756	4,177	3,253	2,542	3,186	Non-control
4,491	3,341	4,872	4,475	5,123	4,933	4,771	4,980	4,403	2,176	2,484	3,766	E-mail

**Public Inquiry Contract (PIC) Federal Student Aid Information Center (FSAIC) CY 2003**

Task	Jan	Feb	Mar	Apr	May	June	July	Aug	Sept	Oct	Nov	Dec	Total
E-mail	46,645	52,799	55,432	46,028	38,139	29,818	36,388	37,779	23,676	20,807	20,035	25,412	432,958
Chat	11,137	16,105	14,990	13,099	10,113	9,966	12,927	13,531	6,574	6,180	4,456	5,975	125,053
FOTW	121,666	176,879	150,690	127,719	105,207	101,526	117,983	141,848	61,241	46,583	38,829	49,736	1,239,907
General	631,141	569,285	644,941	667,172	622,229	639,642	812,036	890,563	434,059	309,335	259,573	335,740	6,815,716
Total	810,589	815,068	866,053	854,018	775,688	780,952	979,334	1,083,721	525,550	382,905	322,893	416,863	8,613,634

**Public Inquiry Contract (PIC) Ombudsman Contact Center CY 2003**

Task	Jan	Feb	Mar	Apr	May	June	July	Aug	Sept	Oct	Nov	Dec	Total
Calls	2,031	1,773	1,910	1,747	1,824	1,951	2,058	1,763	1,566	1,569	1,100	1,319	20,611
Cases	167	181	163	192	150	157	110	117	122	197	144	210	1,910
Total	2,198	1,954	2,073	1,939	1,974	2,108	2,168	1,880	1,688	1,766	1,244	1,529	22,521

**Public Inquiry Contract (PIC) Federal Student Aid Information Center (FSAIC) CY 2003**

Task	Jan	Feb	Mar	Apr	May	June	July	Aug	Sept	Oct	Nov	Dec	Total
Publications sent	18,686	14,951	13,483	11,301	9,422	8,582	8,577	8,697	7,703	7,890	6,196	8,955	124,443

**FRONT END BUSINESS INTEGRATION  
STATEMENT OF OBEJCTIVES**

Number of 2003-04 FAFSAs Processed by Month, January 2003 through December 2003

	Electronic		Paper		Total
	Monthly	Cumulative	Monthly	Cumulative	
Jan-03	377,777	377,777	245,508	245,508	623,285
Feb-03	1,055,343	1,433,120	411,915	657,423	2,090,543
Mar-03	1,295,774	2,728,894	886,931	1,544,354	4,273,248
Apr-03	970,131	3,699,025	468,427	2,012,781	5,711,806
May-03	1,017,956	4,716,981	456,375	2,469,156	7,186,137
Jun-03	752,338	5,469,319	258,985	2,728,141	8,197,460
Jul-03	995,263	6,464,582	276,290	3,004,431	9,469,013
Aug-03	786,970	7,251,552	156,499	3,160,930	10,412,482
Sep-03	423,803	7,675,355	101,573	3,262,503	10,937,858
Oct-03	338,161	8,013,516	82,698	3,345,201	11,358,717
Nov-03	261,068	8,274,584	67,447	3,412,648	11,687,232
Dec-03	251,210	8,525,794	64,894	3,477,542	12,003,336

Number of 2003-04 FAFSA Corrections Processed by Month, January 2003 through December 2003

	Electronic*		Paper		Total
	Monthly	Cumulative	Monthly	Cumulative	
Jan-03	41,176	41,176	5,884	5,884	47,060
Feb-03	249,477	290,653	44,304	50,188	340,841
Mar-03	378,304	668,957	184,879	235,067	904,024
Apr-03	514,912	1,183,869	233,428	468,495	1,652,364
May-03	715,657	1,899,526	223,182	691,677	2,591,203
Jun-03	620,568	2,520,094	149,680	841,357	3,361,451
Jul-03	873,774	3,393,868	158,470	999,827	4,393,695
Aug-03	904,498	4,298,366	115,586	1,115,413	5,413,779
Sep-03	639,054	4,937,420	68,571	1,183,984	6,121,404
Oct-03	548,602	5,486,022	56,948	1,240,932	6,726,954
Nov-03	333,864	5,819,886	33,128	1,274,060	7,093,946
Dec-03	319,852	6,139,738	31,784	1,305,844	7,445,582

\* This count includes corrections received from school software, those made by the FSAIC, systems generated corrections and those received via Corrections on the Web.

**FRONT END BUSINESS INTEGRATION  
STATEMENT OF OBEJCTIVES**

COD - Direct Loan Promissory Note		Data												
Calendar Year		2003												
Category	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Totals	
Stafford Paper MPNs	39,12 4	35,39 8	29,26 7	24,05 0	22,80 7	23,85 0	39,05 3	66,695	86,271	61,768	37,74 4	27,86 1	493,88 8	
PLUS Paper MPNs	9,903	7,847	5,626	4,800	5,396	7,165	18,61 4	30,927	46,534	28,619	17,40 2	7,948	190,78 1	
<b>Total paper</b>	49,02 7	43,24 5	34,89 3	28,85 0	28,20 3	31,01 5	57,66 7	97,622	132,80 5	90,387	55,14 6	35,80 9	684,66 9	
<b>Electronically Signed P-notes</b>														
Stafford e-MPNs	16,85 4	9,883	8,701	16,64 4	20,67 9	29,39 8	72,60 0	97,154	60,573	52,685	27,32 4	23,01 1	435,50 6	
PLUS e-MPNs	0	0	0	467	1,516	3,234	12,85 2	18,400	11,582	7,178	3,399	2,552	61,180	
<b>Total e-MPNs</b>	16,85 4	9,883	8,701	17,11 1	22,19 5	32,63 2	85,45 2	115,55 4	72,155	59,863	30,72 3	25,56 3	496,68 6	
<b>Imaging Statistics</b>														
STAFFORD Paper MPNs	35,95 0	37,21 0	27,88 8	25,21 3	21,91 6	21,35 5	26,78 2	56,904	84,184	71,089	36,14 0	30,94 2	475,57 3	
PLUS Paper MPNs	8,563	8,844	5,547	4,975	4,816	6,285	12,28 0	27,257	42,929	31,256	18,25 0	9,022	180,02 4	
<b>Total</b>	44,51 3	46,05 4	33,43 5	30,18 8	26,73 2	27,64 0	39,06 2	84,161	127,11 3	102,34 5	54,39 0	39,96 4	655,59 7	

**COD Transaction Volumes**

Calendar 2003	Originations		Disbursements	
	Monthly	Cumulative	Monthly	Cumulative
January	371,643	371,643	3,463,481	3,463,481
February	107,869	479,512	644,203	4,107,684
Mar	496,010	975,522	2,584,658	6,692,342
Apr	265,781	1,241,303	1,364,689	8,057,031
May	329,963	1,571,266	640,145	8,697,176
June	527,925	2,099,191	655,757	9,352,933
July	1,176,038	3,275,229	767,817	10,120,750
August	1,479,394	4,754,623	1,808,423	11,929,173
September	2,048,838	6,803,461	2,780,068	14,709,241
October	1,168,541	7,972,002	1,949,711	16,658,952
November	670,455	8,642,457	1,279,905	17,938,857
December	460,872	9,103,329	933,199	18,872,056