

Appendix

<i>FSA No</i>	<i>Channel</i>	<i>Action Item</i>	<i>Status</i>	<i>Date</i>	<i>Progress Summary</i>	<i>% Complete</i>
1	CFO	Obtain a clean audit opinion on FSA's financial statements				
2	COO	Develop and execute an FY03 plan to get off the GAO High Risk List				
<i>Yellow</i>				12/13/2002	--The FY 2003 High Risk Plan was finalized as part of the Performance Plan process in November 2002. First reports on the status of projects are due from responsible managers 12/13/2002. --2.8 A meeting was held with OMB on 11/21/02 to discuss the first quarter's accomplishments on the President's Management Initiatives and Program Initiatives. FSA worked with the MIT to develop a format for reporting to OMB on a quarterly or more frequent basis (This reporting will support other information sharing needs on progress). Preliminary discussions with OMB on their first quarter 2003 draft report indicate that if the status grade for the Department's financial management initiative is raised that the High Risk status could also be raised as the accomplishments and plans to address issues are apparent. --2.8 On 11/25/02, senior FSA and Department managers met with GAO to discuss the SFA programs High Risk Plan status, and provide information on why the designation should be removed. The High Risk Plan and other supporting documents and accomplishments were provided to GAO at that time, to be followed by a written request. --2.8 At a 12/10/02 GAO exit conference on Department Management Challenges, GAO managers stated that the SFA programs would be designated high risk in their January 2003 update. The Department requested that if FSA gets a clean opinion on its FY 2002 financial statements that GAO review the SFA programs Performance Plan and accomplishments after 6/30/03 for consideration of a mid-year determination. Our request is currently under considered. The written document drafted as a result of the 11/25/02 meeting is being redrafted to reflect the results of this meeting.	05
3	CFO	Reconcile FSA accounts to Department's general ledger within 30 days after month-end by 9/30/03				

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4	CFO	<i>Implement the proper accounting structure and appropriate internal controls in all systems impacted by FSA's system integration and technology solution initiatives</i>					
5	CFO, COO, STU	<i>Develop trial balance capability for each operating partner (ACS, Raytheon, EDS, COD) to facilitate and expedite the reconciliation process</i>					
		STU	12/13/2002	5.6	Semi weekly meetings are being held with contractor , CFO staff and DMCS staff to address trial balance reporting and current recons issues. Weekly meetings are occurring with CFO, contractors (ACS and EDS) to address the trial balance request and also the recon issues for the CFO.	05	
6	CFO	<i>Address material weaknesses and reportable conditions in audits</i>					
7	FP	<i>Implement Form 2000 enhancements needed since original deployment in October 2000</i>					
			12/13/2002		Business case justification proceeding through internal review for presentation to DSG.	00	
8	STU	<i>Determine the scope of the Debt Management Collection System (DMCS) reengineering</i>					

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			12/13/2002	Decision will be made no later than 1/31/03. Discussions within Student Credit Management are occurring weekly	05	
9	SCH	<i>Improve school's fund management, reconciliation, and close out processes</i>				
	<i>Yellow</i>		12/13/2002	<p>One milestone (9.2) is currently making this project yellow. We think the project is on track and ask that 9.2's completion date be pushed out to 6/30/03. Thanks for your consideration.</p> <p>COD and program operations employees began meeting with FSA's new CFO about the need to improve interfaces and revisit joint operations shortly after her arrival in November. This conversation will continue throughout FY03.</p> <p>Also in November, COD Customer Service began calling schools that had not substantiated drawdowns within the first two weeks to remind them of the required reporting timeframes for Pell and Direct Loan. That call is the first in a sequence of planned notifications that will be triggered routinely in the future by a school's failure to report.</p> <p>9.2 update. Title IV Delivery has drafted a SOO for a short consulting contract to revisit handoffs, given the ripple effect of changes that accompanied the implementation of COD (including a new customer service unit in Niagara Falls, NY). A short list of local contractors who specialize in this area has been derived from the GSA Schedule. We expect to put the contract out for bid in mid-January.</p> <p>9.3 update. COD Customer Service has begun sending e-mail warnings to schools with unsubstantiated cash at 20 and 30 days. Automated queueing in COD that will trigger calls to schools at 60 days will be implemented in mid-January 2003.</p> <p>9.4 update. Final-phase planning on all aspects of both system retirements began October 1 and has concluded. We are on track to begin the migration to COD of prior-year Pell data in June/July 2003. Direct Loan data will be archived as follows: years prior to 2001-02 in Spring 2003; 2001-02 by September 2003 (because closure is contingent on booking of final Borrower-Based Academic Year loans).</p>	07	
10	FP	<i>Stabilize the Lender Application Process (LAP) and Lender Reporting System(LARS)</i>				
	<i>Yellow</i>		12/13/2002	Funding approved by IPC as of 12.10.2002.	05	

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11	ANAL, COO, FP, FSAU, SCH, STU	<i>Enhance Program Monitoring and Oversight</i>			
		ANAL	12/13/2002	11.1 A meeting was held on November 20 with appropriate channel managers or their designees to discuss the requirements of the Annual Monitoring Report. A template was developed and distributed to attendees on November 20 requesting that it be fielded and returned by December 16. The template asks what is being monitored; how; why; and what is done with the findings. The results will be used to develop FSA's report to be submitted by December 30,	25
	<i>Yellow</i>	FP	12/13/2002	MS 11.4.1 - Business case justification for FP Data Mart Release III is in work. MS 11.4.2 - FY03 Review List completed and review teams assigned.	00
		FSAU	12/13/2002	11.2.3 The staff training course is being handled in the Schools Channel. 11.3.3 The 100 series of basic courses on student aid administration will provide the foundation knowledge that all financial aid professionals need to acquire by the end of their first year. The development team was formed in September 2002, and has begun research to establish a baseline for the type and number of courses needed. 11.3.3.2 Program integrity training for schools is ongoing. Most recently two videoconferences gave information about changes to the 2003-04 delivery system to college and high school personnel. Classroom training on student eligibility basics and delivery system changes will begin in December and continue through March in 65 locations nationwide	20
		SCH	12/13/2002	For the period 10/01/2002 through 11/25/2002, 99% of the compliance audits were completed on time. 11.3.2 Compliance measures have been drafted. Held mtg on 12/10/02 with Linda Paulsen on the measures. Mtg with the IG scheduled for 12/17/02 to share measures. 11.3.1.2 An eZ-Audit prototype was featured at the 2002 Electronic Access Conferences and received positive feedback from schools. The project is currently in the development phase. Testing is scheduled to begin in January 2003 and the system will deploy in April 2003. 11.3.1 CMO is designing, developing, and implementing an accelerated recertification process for school eligibility decisions. Those schools that have no issues can be processed using streamlined automated procedures to increase efficiency. Requirements definition was completed Nov 19, 2002. 11.2.3 Staff training on verification. Please re-assign to Edwards/Coombs.	20
12	ACP, COO, STU	<i>Develop and standardize an integrated contract management approach that utilizes performance measures that are directly linked to the business case objectives</i>			

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		ACP	12/13/2002		We currently examining best-in-class contract performance management in Government as well as setting up meeting with other Government agencies to discuss their approach.	10
		STU	12/13/2002	12.5	A Performance Measures Working Group was established with representatives from the entire FSA enterprise. To date, three meetings have occurred. Initial work has included developing an inventory of all customer interaction performance measures from current contracts. The inventory has been drafted, and measuers are now being categorized.	05
13	ANAL	<i>Create an Enterprise-level dashboard of productivity and performance metrics</i>				
			12/13/2002		The scope of the project has been defined and meetings to identify and collect the data for the measures will occur in January 2003.	05
14	CFO, CIO, COO, FP, FSAU, HR, SCH, STU	<i>Develop and/or implement workforce alignment (business processes, skills, etc.) initiatives and actions to support FSA performance goals and One-ED objectives</i>				
		CIO	12/13/2002	14.4	CIO Mgt held two initial meetings the week of 12/2/02 working on this issue. A follow-up meeting is scheduled for 1/15/03.	00
		FSAU	12/13/2002	14.1	Participation in One-ED is ongoing. The FSAU team has completed its process mapping and benchmarking, and is finalizing the business case analysis. 14.5, 14.6, and 14.7 are awaiting business case approval. However, several milestones are already in progress: The Career Zone tech courses are ongoing, and the first course in "Title IV Basics" for staff that will be offered through the CZ is in development. Topic is the Pell Grant Program. 14.7 The Case Management learning track is well underway. Much of the research and analysis of job-specific skills has been accomplished, and the course developers are working closely with the clients to identify other skills.	10
		HR	12/13/2002	14.8	The business case for the managers' program has been partially Have begun development of business case to bring on team (consultants and employees) to work with business units on workforce transformation efforts. Presented business case to DSG for obtaining services of career counselors for Career Zone. 14.3 Attended two meetings with FSA and Dept personnel regarding futureHR systems automation needs. 14.1 Assigned two HR employees to work on Department One Ed team (6 month details). 14.10 Career Zone space for career counselors approximately 75% completed.	10

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15	CIO, COO, SCH	<i>Implement integrated project management oversight for FSA's system integration initiatives</i>					
		CIO		12/13/2002	<p>15.1.1 CIO issued a task order for up to 3 months of continued PMO support from Accenture. The actual award for the T.O. was made on 11/26. Under the T.O., Accenture will continue PMO support during Dec with FSA having to option of extending the task order for each Jan and Feb.</p> <p>15.1 CIO also provided Jane Sisco with all requested support during this reporting period.</p>	00	
		SCH		12/13/2002	<p>15.1 Jane Sisco was hired by the COO to direct this function. She has met with recent FSA project management graduates and is working to assemble her PM oversight team now. Schools Channel and CIO will assist in relevant knowledge transfer to the team in January.</p> <p>15.2 update. COO is reviewing enterprise proposal now.</p>	20	
16	CFO, CIO, COO, FP, SCH, STU	<i>Define an enterprise-wide data strategy and high-level implementation approach that addresses the business flow of data across the enterprise, architecture, primary ownership, standards, management, access methods, and quality</i>					
	<i>Red</i>	CIO		12/13/2002	<p>A Proposed Business Justification (BJ) which covers a majority of the action items under this item was completed and presented to DSG on 11/26. BJ provided to channel managers and system integration group members. It is anticipated that the BJ will be presented to the IPC at upcoming meeting. However, once IPC approval is granted, this initiative will require completion and approval of a department business case. This process will be time consuming and is expected to negatively impact upon established action item completion dates. Therefore, the status during this reporting period is red.</p> <p>16.7 Requested date change from 9/30/03 to 12/31/03.</p>	00	
		SCH		12/13/2002	<p>COO has received approval and funding from Deputy Secretary to begin work, pending full approval by ED IRB in early 2003 .</p> <p>16.2.2 This milestone and 11.3.1.2 both involve a common identifier piece that can only appear in one place, once the FSA integration group has been finalized and these milestones are vetted by it. Anticipated start date is based on the FSA IPC's having approved the draft business case addressing the establishment of the cross-functional project team.</p> <p>16.4 The cross functional team must meet in order to finish planning for the XML milestones, for the following reasons:</p> <ul style="list-style-type: none"> - The scope is expanding from one system (COD) to the enterprise, increasing complexity and project risk and thus necessitating enterprise-wide planning. - Because FSA is collaborating with the higher ed standard-setting bodies whose members (schools, servicers, GAs) hold student Title IV data in common with FSA and are on parallel XML development tracks, the team will need to check direction with those bodies to ensure sufficient alignment. 	00	

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		STU		12/13/2002	16.4.4 Expanding the Common Record to include ISIR data furthers the concept of standard reusable blocks of similar data that are shared across business processes and will permit real-time transfer of information between delivery partners, operating partners, and FSA and support improved service and program integrity. It will also reduce the number of technologies required by delivery partners to participate in FSA programs reducing administrative burden. Future users of the new format will be FSA, its operating partners, and every post-secondary school and financial partner administering federal financial aid programs. The data sharing through XML will integrate in other integration initiatives and allow all partners in the financial aid delivery process to standardize communication methods.	05	
17	STU	<i>Analyze Personal Identification Number (PIN) issues related to enterprise wide management/architecture strategy</i>					
18	CIO	<i>Create an overall FSA integrated security and privacy architecture</i>					
	Yellow			12/13/2002	<p>The current plan is to avoid a separate "FSA Security & Privacy Architecture Working Group" and make this a task of the "Integration Group". The central task will be developing a security/technology baseline -- what systems (hw/sw) are located where and how are they connected/protected. Providing a definition of security architecture framework which will explicitly include Critical Infrastructure Protection and eGov/eAuth components will also be essential. CIO has requested several milestone completion dates for this item be changed since the anticipated start date of this action is 1/2/03 and several completion dates were targeted for 12/31/02. Therefore, the status of this item is being listed as yellow until clarification on whether or not requested date changes are accepted. Requested date changes are:</p> <p>18.2 From 12/31/02 to 2/28/03 18.3 From 12/31/03 to 3/31/03 18.5 From 3/31/03 to 4/30/04</p>	00	
19	COO, SCH, STU	<i>Develop and implement initial phases of an enterprise-wide customer service solution that incorporates best-in-business technology and enhanced business processes</i>					

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20	STU			<i>Improve the management of student aid through data sharing and consolidating common borrower services and functions</i>	
21	STU			<i>Define strategy for EDEExpress reengineering</i>	
22	STU			<i>Develop an outreach strategy for Aid Awareness in support of OPE and tied to "No Child Left Behind"</i>	
23	STU			<i>Upgrade technology and integrate Central Processing System (CPS) across the enterprise</i>	
24	CIO			<i>Conduct NSLDS Analysis and begin phased implementation of solution</i>	

FSA No Channel Action Item Status_Date Progress Summary % Complete

25 CIO *Complete the recommendations outlined in the OIG audit (A07-C001) Audit of Enterprise Architecture, issued September 30, 2002*

26 SCH *Evaluate our participation in all events*

27 SCH *Implement Master Promissory Note for PLUS*

28 CFO *Enhance our cash transaction process to accommodate OCFO procedures*

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29	FP			<i>Augment Leveraging Educational Assistance Partnerships (LEAP)/Supplemental Leveraging Educational Assistance Partnership (SLEAP) module in the FMS to enable direct electronic data exchange with GAPS and enhance the operational</i>	
30	CFO			<i>Obtain clean financial opinion for ED. Improve FMS internal processes, progs, controls. Support reconcil. b/w FSA Op. Prtnrs, FMS, FMSS, GAPS & Treasury. Integrate w/FSA reengineered systems & perform upgrade analysis & implement Oracle Fed</i>	
31	CIO			<i>Support ED, customers and business partners by participating in the President's Management Agenda E-Government initiatives</i>	
32	CFO			<i>Develop an automated tool to administer budgetary resources for FSA's programs and to provide management with the data to effectively manage those resources</i>	