

FSA Integration Partner

United States Department of Education

Federal Student Aid



**Integrated Partner Management Solution
Requirements Gap Analysis
147.1.1 IPMS Non-Case Management
Requirements**

Task Order #147

Version 1.0 (Rev01)

March 8, 2004



Executive Summary

Introduction

The Department of Education's (ED) Office of Federal Student Aid (FSA) plans to improve upon its current eligibility, enrollment, and oversight processes used to manage Trading Partner entities (i.e., schools, School Servicers, Lenders, Lender Servicers, Guaranty Agencies, Private Collection Agencies, State Agencies, Federal Agencies, Accrediting Agencies, Auditors, Owners, etc.) as they administer Title IV Financial Aid to Students. Today, many FSA applications manage these processes which results in duplicate and conflicting data storage, complex system architecture, excessive file exchange activities, and the lack of a centralized view of Trading Partners.

To address these issues, FSA developed the concept of the Integrated Partner Management (IPM) solution. There are several goals associated with the IPM solution including:

- Provide a single entry point for all Trading Partners into the FSA enterprise
- Provide a single comprehensive process for Trading Partner enrollment into all required FSA systems
- Issue a single, enterprise-wide, common identifier for every Trading Partner regardless of Trading Partner affiliation, ownership structure, or type of interaction with FSA
- Utilize a common repository of all Trading Partner data (i.e., the Common Data Architecture) to provide an Integrated Institutional View to internal FSA Systems and external FSA Trading Partners
- Act as the primary source responsible for maintaining Trading Partner data

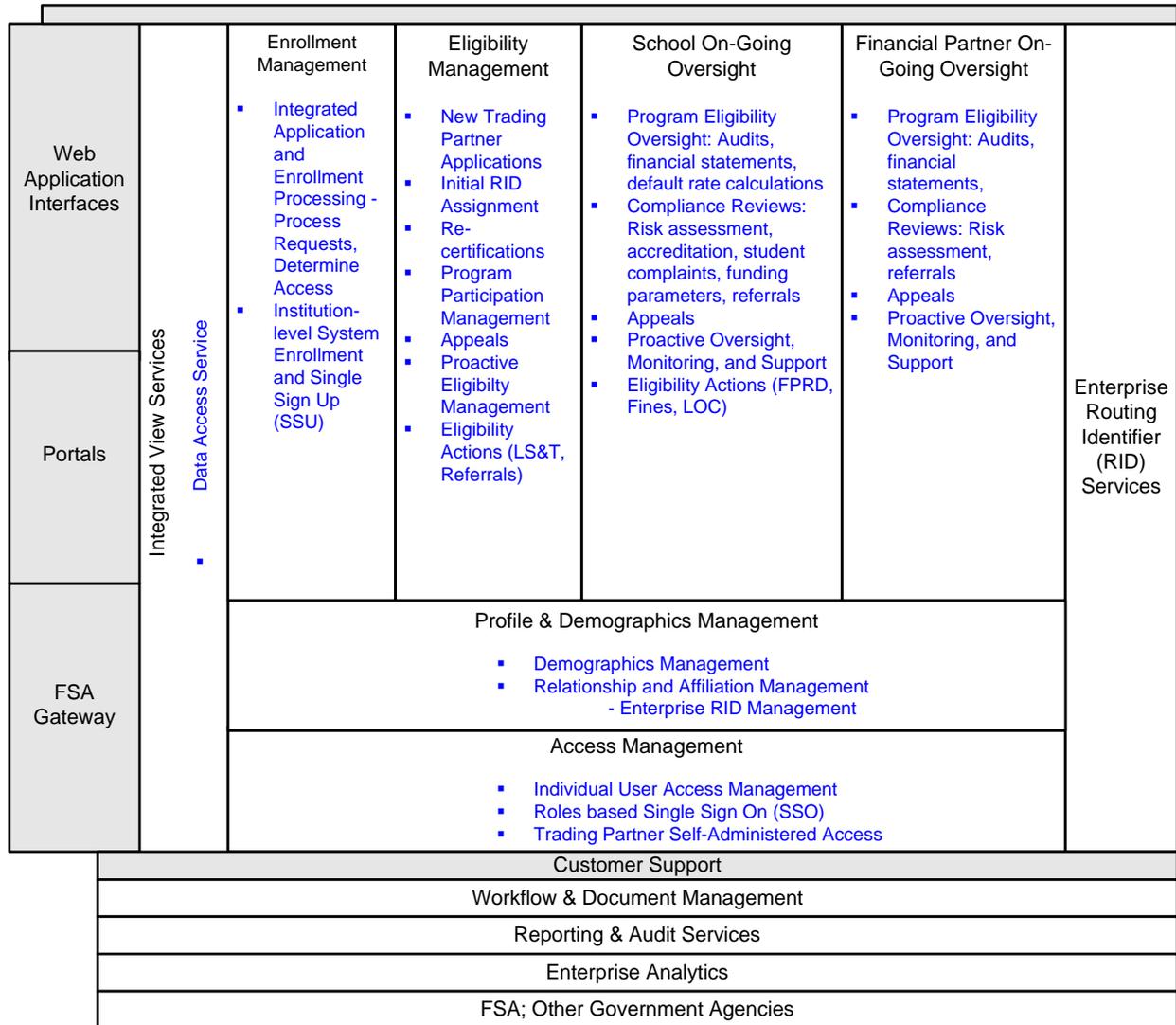
In achieving these goals, FSA will experience a number of benefits, including:

- Streamlined processes for Trading Partners resulting in reduced levels confusion among the Trading Partner community
- Increased data quality of Trading Partner data
- Consistent access to the most up to date Trading Partner data through the Integrated Institutional view resulting in enhanced oversight, maintenance, and management of all FSA Trading Partners



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In order to ensure the IPM solution meets all of the outlined goals and achieves the resulting benefits, FSA developed a framework to outline the areas necessary to provide a complete solution for managing the oversight, management, and maintenance of its Trading Partners. The following diagram illustrates the IPM Framework as defined by FSA.



= User Access Points

Several of the areas within the above framework were separately addressed by previous Data Strategy initiatives including the Routing ID (RID), Enrollment and Access Management, and other initiatives such as eCMO, however, other areas were not addressed at all. Therefore, FSA determined the need to conduct an Integrated Partner Management Solution (IPMS) Requirements Gap Analysis. The purpose of the gap analysis is to re-examine area previously addressed, address areas not yet investigated, and identify if anything is missing from the IPM Framework. This document focuses on the areas that were investigated as a part of this



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requirements gap analysis as well as documents the resulting Non-Case Management Requirements. These requirements, when taken together with the requirements to be documented in the upcoming Financial Partner Requirements (Deliverable 147.1.3), will help define the IPM solution.

IPM Preliminary Requirements Efforts

Prior to the IPMS Requirements Gap Analysis effort, requirements gathering projects for several areas slated as part of the IPM solution, were conducted by FSA. These preliminary requirement efforts were conducted as a part of the following initiatives:

- Routing ID (RID)
- eCMO initiative
- Enrollment Management
- Access Management

The resulting requirements from these four initiatives were carefully evaluated during this effort to determine which requirements would be assumed by the IPM solution. The selected requirements combined with those from the Core IPM Functionality, Applications Interfacing with IPM, and Other Areas for Investigation sections of this document will be combined to make up the complete set of Non-Case Management Requirements for the IPM solution.

Core IPM Functionality

The proposed IPM Framework highlights multiple functions that will form the core of the IPM solution including the following:

- Integrated View Services
- Enrollment Management
- Eligibility Management
- School On-Going Oversight
- Financial Partner On-Going Oversight
- Enterprise Routing Identifier (RID) Services
- Profile and Demographics Management
- Access Management

A good portion of these functions, including Eligibility Management, Enrollment Management, and School On-Going Oversight, currently exist primarily in four legacy systems:

- eCampus Based (eCB)
- eZ-Audit
- Participation Management
- Postsecondary Education Participants System (PEPS)

The functionality currently performed by these systems will comprise the core of the IPM solution. In addition, the IPM solution will contain functionality that does not currently exist within these systems but that needs to exist in the future to make the IPM solution a fully robust



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solution that enables FSA to gain a holistic view of its Trading Partners throughout the enterprise.

Interfacing Applications

In order to achieve the goal of gaining a holistic view of Trading Partners across the enterprise, a common repository of Trading Partner data is necessary. This common repository is known as the Common Data Architecture (CDA). The following FSA systems, among others, will utilize the CDA to access the Trading Partner data they require:

- Central Processing System (CPS)
- Common Origination and Disbursement (COD)
- Common Services for Borrowers (CSB)
- Financial Management System (FMS)
- National Student Loan Data System (NSLDS)

It is important to note that until this CDA is mature within the infrastructure, the IPM solution may need to provide Trading Partner data to these systems in the interim.

Other Areas of Investigation

Several groups or systems do not necessarily fall within the context of the IPM Framework. These groups or systems required a full investigation as to their specific functions in order to determine how they might fit within the IPM solution or utilize functions provided by the IPM solution. These groups or systems are as follows:

- Customer Service Call Center (CSCC)
- EDEXpress and EDconnect/EDconn32
- Freedom of Information Act (FOIA)
- Learning Management System (LMS)
- Office of the Inspector General (OIG)
- Office of Postsecondary Education (OPE)

High-level requirements were documented for those systems or groups that potentially viewed as fitting within the IPM solution or utilizing functions provided by the IPM solution.

Next Steps

The Non-Case Management Requirements deliverable is the first of three deliverables included in the IPMS Requirements Gap Analysis. The two other deliverables included in this task order are the Financial Partners Eligibility & Oversight As-Is Flows (Deliverable 147.1.2) and the Financial Partners Eligibility & Oversight Requirements (Deliverable 147.1.3). Upon completion of these three deliverables, two sets of requirements will exist (i.e., those within the Non-Case Management Requirements and those within the Financial Partners Channel Eligibility & Oversight Requirements).

These requirements, when taken together, will help FSA move to the next phase of planning for IPM. This next phase involves the creation of a Conceptual/High-Level design that will enable



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FSA to gain an understanding of and align conceptually with exactly what elements will form the core of the IPM solution as well as how it will interface with other systems or groups.



Amendment History

DATE	SECTION/ PAGE	DESCRIPTION	REQUESTED BY	MADE BY
2/16/04	All	Document submitted for FSA-wide review	N/A	N/A
3/4/04	1.3 Methodology; Pg. 19	Added Jay R. Long and Molly Wyatt to the list Meeting Participants/Email Recipients for both the "Office of the Inspector General (OIG) Access Email" and the "Office of Postsecondary Education (OPE) Email."	J. Long	W. Hoffman
3/4/04	Executive Summary; Pg. 2 1.0 Introduction; Pgs. 15 & 21	Added a standard definition and list of Trading Partners identified to date including Accrediting Agencies.	J. Long and K. Chauvin	W. Hoffman and J. Ward
3/4/04	2.1.1 Routing ID (RID); Pgs. 23 & 24	Added language to clarify that the Grantee and Payee DUNS Numbers and the TIN will not be phased out of existence and that the OPEID will be maintained for an indefinite period.	J. Long	W. Hoffman
3/4/04	2.1.1 Routing ID (RID); Pg. 28	Removed the following text from the comment field for Req.# 2.1.1.30, "This will include OPEIDs that exist in eCB but not PEPS" since eCB should never have an OPEID that PEPS does not have.	J. Long	W. Hoffman
3/4/04	2.1.1 Routing ID (RID); Pg. 30	Added the following text to the comment field for Req.# 2.1.1.44, "The intent of this requirement is not to provide an all inclusive list of specific information to search on. Instead, this requirement just points out examples of the type of data that could be used to weed out duplicates."	J. Long	W. Hoffman
3/4/04	2.1.1 Routing ID (RID); Pg. 30	Added Location to Location Change of Affiliation type to Req.# 2.1.1.47 since this type is needed for default purposes.	J. Long	W. Hoffman
3/4/04	2.1.2 eCMO; Pg.	Changed the phrase "eligible	J. Long	W. Hoffman



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	49	school" to "additional location" in Req.#'s 2.1.2.16, 2.1.2.17, and 2.1.2.18.		
3/5/04	2.1.2 eCMO; Pg. 65	Changed the text in Req. #2.1.2.132 from "The solution shall provide the ability to enter a future school closure date or future eligibility action" to "The solution shall provide the ability to enter future dates for school closure, future eligibility action, and other fields for which business requirements specify a need."	J. Long	J. Ward
3/4/04	2.2.4 IPM Core Functionality; Pg. 114	Changed the text for Req.# 2.2.4.36 from "The solution shall record default rates in the event that a recalculation takes place" to "The solution shall record draft, recalculated, and final default rates."	J. Long	W. Hoffman
3/4/04	2.2.4 IPM Core Functionality; Pg. 117	Changed the text for Req.# 2.2.4.57 from "The solution shall perform matching of officials and debarment lists" to "The solution shall perform continuous matching of officials and debarment lists."	J. Long	W. Hoffman
3/4/04	2.3.2 Common Origination and Disbursement (COD); Pg. 122	Added text to the second paragraph to clarify that COD receives a condensed version of the Daily School File created by PEPS through the Enterprise Application Integration (EAI) Bus containing changes to school demographic and eligibility information.	J. Long	W. Hoffman
3/4/04	2.3.2 Common Origination and Disbursement (COD); Pg. 122	Changed the text within the third paragraph from "Additionally, COD currently maintains a Direct Loan and Pell contact for each School outside of the current PEPS application" to "Additionally, COD currently maintains Direct Loan and Pell contacts and mailing addresses for each School outside of the	J. Long	W. Hoffman



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		current PEPS application.”		
3/4/04	2.3.3 Common Services for Borrowers (CSB); Pg. 124	Changed the text within the third paragraph to indicate that the Direct Loan Consolidation System (DLCS) not the Direct Loan Servicing System (DLSS) currently receives the Daily School File from PEPS.	J. Long	W. Hoffman
3/4/04	2.1.2 eCMO; Pg. 71	Deleted Req.# 2.1.2.187 as it was a duplicate of Req.# 2.1.2.189.	M. Milidantri	J. Ward
3/4/04	2.4.1 Customer Service Call Center (CSCC); Pg. 132	Changed all references to “call” to “inquiry” within the comments field of Req.# 2.4.1.1 so as to be inclusive of emails, letters, faxes, etc.	M. Milidantri	J. Ward
3/4/04	2.4.1 Customer Service Call Center (CSCC); Pg. 132	Changed the text for Req.# 2.4.1.4 from “The solution shall utilize a document management system to enable emails and faxes to be scanned” to “The solution shall utilize a document management system to enable emails and faxes to be imported.”	M. Milidantri	J. Ward
3/4/04	2.4.1 Customer Service Call Center (CSCC); Pg. 132	Added a new requirement (Req.# 2.4.1.11) that reads as follows, “The solution shall utilize a workflow capability that tracks overdue tasks and escalates notices of overdue tasks to the appropriate supervisor.”	M. Milidantri	J. Ward
3/4/04	2.4.1 Customer Service Call Center (CSCC); Pg. 133	Added a new requirement (Req.# 2.4.1.12) that reads as follows, “The solution shall utilize a workflow capability that enables individual work queues and provides alerts when tasks are pending or overdue.”	M. Milidantri	J. Ward
3/4/04	2.2.2 eZ-Audit; Pg. 99	Changed the first sentence from “FSA launched the eZ-Audit system in April of 2003 and it is the application used to receive and process audits and financial statements for schools participating in Title IV programs.” to “FSA launched the eZ-Audit system in April of 2003 and it is the application used to	R. Wolff	J. Ward



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		electronically receive and process audits and financial statements for schools participating in Title IV programs."		
3/4/04	2.2.2 eZ-Audit; Pgs. 100 - 102	Changed text in Source column for Req.#'s 2.2.2.5, 2.2.2.7, 2.2.2.13, 2.2.2.15, 2.2.2.16, 2.2.2.19, 2.2.2.20 to read "New" or "New Based on Release Planning Meeting."	R. Wolff	J. Ward
3/4/04	2.2.2 eZ-Audit; Pg. 101	Deleted Req.# 2.2.2.13 as it was a duplicate of Req.# 2.1.2.5.	R. Wolff	J. Ward
3/4/04	2.2.2 eZ-Audit; Pg. 100	Changed the text for Req.# 2.2.2.4 from "The solution shall need to accept attachments from Trading Partners." to "The solution shall need to accept electronic attachments from Trading Partners."	R. Wolff	J. Ward
3/4/04	2.2.2 eZ-Audit; Pg. 100	Changed the text for Req.# 2.2.2.7 from "The solution shall accept a feed from the Federal Audit Clearinghouse." to "The solution shall accept an automatic feed from the Federal Audit Clearinghouse."	R. Wolff	J. Ward
3/5/04	2.2.2 eZ-Audit; Pg. 101	Added the following text to comments field of Req. 2.2.2.15, "The data currently stored in both PEPS and eZ-Audit should be stored in one common repository, the CDA, and be maintained by the IPM solution."	R. Wolff	J. Ward
3/4/04	2.2.2 eZ-Audit; Pg. 101	Changed the text for Req.# 2.2.2.16 from "The solution shall eliminate the need for both paper and electronic storage of records" to "The solution shall utilize a document management system that is NARA-certified application to eliminate the need for both paper and electronic storage of records."	R. Wolff	J. Ward
3/5/04	2.2.2 eZ-Audit; Pg. 102	Changed the text for Req. #2.2.2.18 from "The solution shall integrate or replace the eZ-Audit audit trail." to "The solution shall absorb the eZ-Audit audit trail."	R. Wolff	J. Ward



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3/4/04	2.1.1 Routing ID (RID); Pg. 25	Changed the text for Req.# 2.1.1.5 from "The solution shall support the following types of Trading Partners: Schools, School Servicers, Lenders, Lender Servicers, Guaranty Agencies (GAs), State Agencies, Private Collection Agencies (PCAs), Federal Agencies, Auditors, and Owners" to "The solution shall support the following types of Trading Partners: Schools, School Servicers, Lenders, Lender Servicers, Guaranty Agencies (GAs), State Agencies, Private Collection Agencies (PCAs), Federal Agencies, Accrediting Agencies, Auditors, and Owners."	K. Chauvin	W. Hoffman
3/4/04	2.1.2 eCMO; Pg. 52	Changed the text in the Currently in PEPS? Column from "Data in PEPS" to "Data not in PEPS" for Req.# 2.1.2.37.	K. Chauvin	J. Ward
3/4/04	2.1.2 eCMO; Pg. 70	Deleted Req.# 2.1.2.176 as it was a duplicate of Req.# 2.1.2.177.	K. Chauvin	J. Ward
3/4/04	2.1.2 eCMO; Pg. 71	Deleted Req.# 2.1.2.188 as it was a duplicate of Req.# 2.1.2.186.	K. Chauvin	J. Ward
3/5/04	2.1.2 eCMO; Pg. 71	Added the following text to the comments fields for Req. #s 2.1.2.189 and 2.1.2.190, "Edits could potentially be implemented to facilitate this. The determination as to the type of edits will need to be determined during the detailed requirements phase."	K. Chauvin	J. Ward
3/4/04	2.2.4 Postsecondary Education Participants Systems (PEPS); Pg. 117	Removed the following text from Req.# 2.2.4.59, "This would facilitate the handling of changes of affiliation for PELL and DL schools."	K. Chauvin	W. Hoffman
3/4/04	2.4.6 Office of Postsecondary Education (OPE); Pg. 139	Changed the reference to "OPE" from "OIG" in the third and fourth paragraphs.	K. Chauvin	J. Ward



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3/4/04	Executive Summary; Pg. 3 1.1 Background; Pg. 16	Moved "FPRD Fines and LOC" from the "Eligibility Management" portion of the IPM Framework to the "School On-Going Oversight" portion.	K. Chauvin	J. Ward
3/4/04	2.4.6 Office of Postsecondary Education (OPE); Pg. 140	Changed the text for Req.# 2.4.6.1 from "The solution shall send audit liabilities to the Office of Post-secondary Education's (OPE) Common Audit Resolution System (CARS)" to "The solution shall send outstanding audit liabilities to the Audit Accountability and Resolution Tracking System (AARTS) (formerly known as the Common Audit Resolution System (CARS)) of the Office of the Chief Financial Officer (OCFO)."	K. Chauvin	W. Hoffman



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1 Introduction

1.1 Background

The Department of Education's (ED) Office of Federal Student Aid (FSA) is seeking to deliver overall improvements in the oversight, management, and maintenance of its Trading Partners (i.e., schools, School Servicers, Lenders, Lender Servicers, Guaranty Agencies, Private Collection Agencies, State Agencies, Federal Agencies, Accrediting Agencies, Auditors, Owners, etc.). FSA currently manages information regarding the identification and interactions of its Trading Partners through a combination of the Postsecondary Education Participants System (PEPS) and other Title IV delivery systems. This method does not enable FSA to gain a holistic view of its Trading Partners across the enterprise. In order to address this, FSA has developed the concept of the Integrated Partner Management (IPM) solution. This solution is envisioned as the future state entry point for Trading Partners within FSA's business process lifecycle.

As defined in the Data Strategy Target State Vision of the Data Framework Specification (Deliverable 123.1.4) the Integrated Partner Management Business Capability Area includes functions that deal with the enrollment, eligibility, and oversight of FSA's Trading Partners. Each Trading Partner entity must apply to participate in Title IV programs and deemed eligible to do so. The IPM solution will serve as the common point for this process. The IPM solution also provides the capability for Trading Partners to initially enroll in FSA services and make subsequent enrollment change requests.

Once accepted, FSA oversees Trading Partners to ensure that they remain compliant and eligible. In order to monitor the Trading Partners, the IPM solution will process an institution's financial statements and audits, receive eligibility changes from accrediting agencies, and initiate a Shared Function to calculate Cohort Default Rates (CDRs). The IPM solution will also handle the partners' periodic, required recertification. As the Trading Partners are monitored, updates will be made to their risk scores, funding methods, and funding controls, and case triggers will be initiated. The distribution of the institutions' eligibility and review information will be a Shared Function, available to FSA and those responsible for Trading Partner oversight.



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In order to help define the IPM solution, FSA developed a framework to outline the areas necessary to provide a complete solution for managing the oversight, management, and maintenance of its Trading Partners. The following figure illustrates the IPM Framework as defined by FSA.

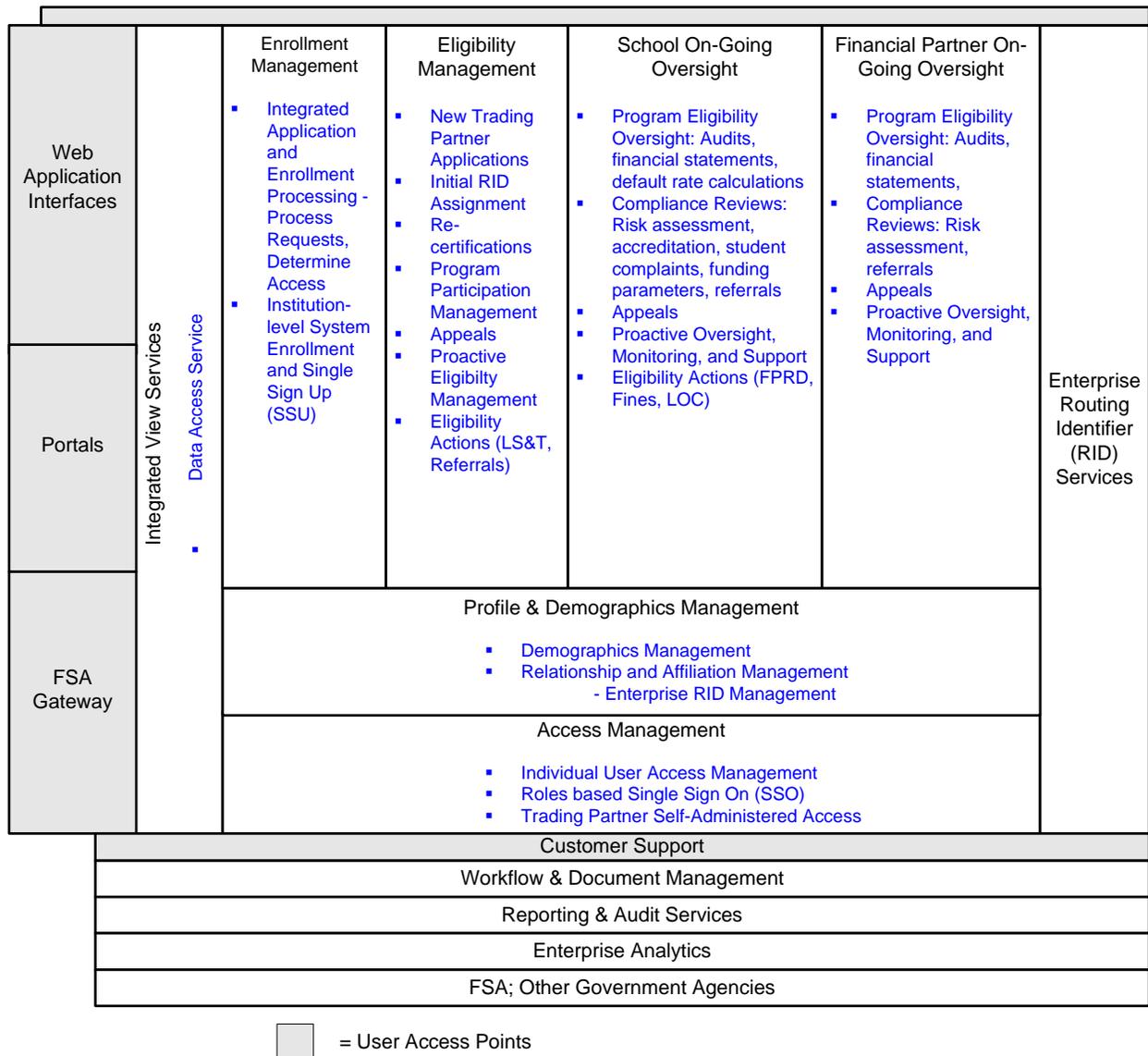


Figure 1: FSA Integrated Partner Management (IPM) Framework

As seen above in Figure 1: FSA Integrated Partner Management (IPM) Framework, there are several functions and processes that comprise the core of the IPM solution including:

- Integrated View Services
- Enrollment Management



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- Eligibility Management
- School On-Going Oversight
- Financial Partner On-Going Oversight
- Enterprise Routing Identifier (RID) Services
- Profile & Demographics Management
- Access Management

There are other functions, processes, and customer touch points that will reside outside of the actual IPM solution since they will exist at the enterprise level rather than for the IPM solution alone. It is important to note that while these functions, processes, and customer touch points may not reside within the core of the IPM solution, a high level of integration will be necessary. Without such integration, the IPM solution will not meet the objective of providing a holistic solution to manage the oversight, management, and maintenance of all Trading Partners within the FSA enterprise. Such functions, processes, and customer touch points include the following:

- Web Application Interfaces
- Portals
- FSA Gateway
- Customer Support
- Workflow & Document Management
- Reporting & Audit Services
- Enterprise Analytics
- FSA; Other Government Agencies

Several of the functions and processes that make up the core of the IPM solution have already been addressed by previous Data Strategy initiatives such as Routing ID (RID), Enrollment, and Access Management, and other initiatives such as eCMO. In addition, several of the non-core functions, processes, and customer touch points such as Portals, the FSA Gateway, and Workflow & Document Management have also been addressed by previous Data Strategy initiatives and other initiatives such as eCMO. The remaining functions and business processes, however, have not been addressed. In order to address these as well as identify if anything is missing from the IPM Framework, FSA created a task order for performing an Integrated Partner Management Solution (IPMS) Requirements Gap Analysis.

This document focuses on the areas that were investigated as a part of this requirements gap analysis as well as documents the resulting Non-Case Management Requirements. These requirements, when taken together with the requirements to be documented in the upcoming Financial Partner Requirements (Deliverable 147.1.3), will help define the IPM solution.

1.2 Scope

This document covers the work defined in Task Order 147 related to conducting a gap analysis to determine if any additional functionality needs to be included within the IPM solution as well as documenting or revising the Non-Case Management Requirements for the IPM solution in the following areas:



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- Preliminary IPM Requirements Efforts
 - Routing ID (RID)
 - eCMO
 - Enrollment Management
 - Access Management
- Core IPM Functionality
 - Electronic Campus Based (eCB)
 - eZ-Audit
 - Participation Management (PM)
 - Postsecondary Education Participation System (PEPS)
- Applications Interfacing with IPM
 - Central Processing System (CPS)
 - Common Origination and Disbursement (COD)
 - Common Services for Borrowers (CSB)
 - Financial Management System (FMS)
 - National Student Loan Data System (NSLDS)
- Other Areas of Investigation
 - Customer Service Call Center (CSCC)
 - EDExpress and EDconnect/EDconn32
 - Learning Management System (LMS)
 - Office of the Inspector General (OIG)
 - Office of Postsecondary Education (OPE)

The requirements documented during the investigation of each of the aforementioned areas are high-level requirements that focus solely on the business processes and not the technical architecture for each area. These requirements will need to be further vetted and adjusted/augmented as necessary during a detailed requirements phase prior to the design, development, and implementation of the IPM Solution.

1.3 Methodology

An iterative approach was employed to outline, develop, and refine the Non-Case Management Requirements for each area of the IPM solution as mentioned above (i.e., Preliminary IPM Requirements Efforts, Core IPM Functionality, Applications Interfacing with IPM, and Other Areas of Investigation). Initial drafts of the various sections of requirements were created using information from relevant discussions during preliminary IPM requirement efforts, incorporating information gathered via meetings or emails from FSA Subject Matter Experts (SMEs) during this phase of the IPM initiative, and utilizing information identified by internal team members. These drafts were then shared with the appropriate members of the IPM Core Team as well as SMEs during necessary follow-up meetings and emails. The following chart summarizes the key information for each meeting held or email sent including meeting name or email subject, date, topics covered, and meeting participants or email recipients for each meeting held or email sent.

Meeting Name / Email Subject	Date	Topics Covered	Meeting Participants / Email Recipients
Integrated Partner Management	11/24/03	• IPMS Overview	• Dena Bates



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Meeting Name / Email Subject	Date	Topics Covered	Meeting Participants / Email Recipients
Solution (IPMS) Gap Analysis Kickoff Meeting		<ul style="list-style-type: none"> • Who, what, when, how and why of the IPMS Gap Analysis • IPMS Framework • Routing ID (RID) Initiative and work completed to date • Enrollment and Access Management Initiative and work completed to date • eCMO Initiative and work completed to date • Next steps 	<ul style="list-style-type: none"> • Heather Burrs • Dick Coppage • Maja Dragnic • Matt Fontana • Roger Hartmuller • Paul Hill • Whitney Hoffman • Jane Holman • Michaelyn Milidantri • Jeanne Saunders • Anshu Shukla • Frank Southfield • Jeanne Ward • Molly Wyatt
PEPS Re-engineering Requirements Review	1/15/04	<ul style="list-style-type: none"> • Reviewed/ revised draft list of high-level PEPS re-engineering requirements • Discussed upcoming exercise of mapping the eCMO requirements to PEPS functionality 	<ul style="list-style-type: none"> • Chris Hill • Whitney Hoffman • Jay R. Long • Frank Southfield • Jeanne Ward • Molly Wyatt
eCMO / IPM Integration Meeting	1/21/04	<ul style="list-style-type: none"> • Provided overview of IPM Gap Analysis • Reviewed “solution components” within eCMO and discussed where those could fall in the target state 	<ul style="list-style-type: none"> • Karen Chauvin • Frank Southfield • Jeanne Ward • Molly Wyatt
Office of the Inspector General (OIG) Access Email	1/26/04	<ul style="list-style-type: none"> • Email sent to various system owners to request information regarding what type of access the OIG has to their systems 	<ul style="list-style-type: none"> • Anna Allen • Rosemary Beavers • Andrew Cho • Dick Coppage • Pam Eliadis • Matt Fontana • John Hurt • Dan Hayward • Gary Hopkins • Denise Leifeste • Jay R. Long • Sybil Phillips • Jeanne Saunders • Susan Szabo • Dwight Vigna • Randy Wolff



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Meeting Name / Email Subject	Date	Topics Covered	Meeting Participants / Email Recipients
			<ul style="list-style-type: none"> • Molly Wyatt
Office of Postsecondary Education (OPE) Email	1/28/04	<ul style="list-style-type: none"> • Email sent to various system owners to request information regarding what type of access the OPE has to their systems 	<ul style="list-style-type: none"> • Anna Allen • Rosemary Beavers • Andrew Cho • Dick Coppage • Pam Eliadis • Matt Fontana • John Hurt • Dan Hayward • Gary Hopkins • Denise Leifeste • Jay R. Long • Sybil Phillips • Jeanne Saunders • Susan Szabo • Dwight Vigna • Randy Wolff • Molly Wyatt
eCMO / PEPS Integration Meeting Part One	1/30/04	<ul style="list-style-type: none"> • Reviewed eCMO requirements to determine what functionality or data identified in each requirements exists in PEPS 	<ul style="list-style-type: none"> • Chris Hill • Whitney Hoffman • Jay R. Long • Frank Southfield • Jeanne Ward • Molly Wyatt
eCMO / PEPS Integration Meeting Part Two	2/2/04	<ul style="list-style-type: none"> • Completed the review of eCMO requirements to determine what functionality or data identified in each requirements exists in PEPS 	<ul style="list-style-type: none"> • Chris Hill • Whitney Hoffman • Jay R. Long • Frank Southfield • Jeanne Ward • Molly Wyatt
CSCC / IPM Integration Meeting	2/2/04	<ul style="list-style-type: none"> • Reviewed high-level requirements associated with the CSCC integrating into the IPM Solution 	<ul style="list-style-type: none"> • Michaelyn Milidantri • Whitney Hoffman • Jeanne Ward • Molly Wyatt
eZ-Audit / IPM Integration Meeting	2/4/04	<ul style="list-style-type: none"> • Reviewed high-level requirements identifying functionality that exists in eZ-Audit 	<ul style="list-style-type: none"> • Ti Baker • Brian Cannavan • Chris Hill • Whitney Hoffman



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Meeting Name / Email Subject	Date	Topics Covered	Meeting Participants / Email Recipients
		that may be absorbed into the IPM solution	<ul style="list-style-type: none"> • Jay R. Long • Seth Sinclair • Frank Southfield • Jeanne Ward
eCB / IPM Integration Meeting	2/5/04	<ul style="list-style-type: none"> • Reviewed high-level eCampus Based requirements identifying functionality that exists in that system that may be absorbed into the IPM solution 	<ul style="list-style-type: none"> • Rich Bennett • Bruce Bruning • Dick Coppage • Robert Smith

Table 1: Non-Case Management Requirement Meetings Held / Emails Sent

All comments, suggestions, and updates made during the meetings or received via email were noted, researched further, and incorporated into the overall Non-Case Management Requirements for the IPM solution as appropriate.

1.4 Assumptions

Through the process of defining the Non-Case Management Requirements for the IPM solution, several assumptions were made. The assumptions are as follows:

- During the previous Data Strategy efforts, Integrated Partner Management (IPM) was referred to as Trading Partner Management (TPM).
- The IPM solution in conjunction with the FSA Gateway is the front door for Trading Partner interactions.
- Trading Partners are defined as those business entities that routinely do business with FSA through direct or indirect system interfaces. Additional trading partners may be added to this list as warranted by future discussions; however, the initial list of FSA Trading Partners has been identified as follows:
 - Schools
 - School Servicers
 - Lenders
 - Lender Servicers
 - Guaranty Agencies
 - Private Collection Agencies (PCAs)
 - State Agencies
 - Federal Agencies
 - Accrediting Agencies
 - Auditors
 - Owners
- The IPM solution utilizes the Common Data Architecture to provide a single, integrated repository of Trading Partner data.
- The Common Data Architecture contains the data of record for all Trading Partner information.



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- The IPM solution is the primary source responsible for maintaining the Trading Partner data stored within the Common Data Architecture.
- The IPM solution may need to provide something in the short-term similar to the Daily School File that is produced by PEPS today since all FSA systems are not likely to be able to immediately handle real-time access to Trading Partner data via the Common Data Architecture.
- It has yet to be determined whether data will be pushed or pulled from the Common Data Architecture to interfacing applications, therefore the language “receive/obtain” will be used throughout the document to describe how data transfers occur.
- The functionality currently performed by the eZ-Audit system is performed by the IPM solution in the future.
- The functionality currently performed by the Electronic Campus Based (eCB) system related to Fiscal Operations Report and Application to Participate (FISAP) processing is performed by the IPM solution in the future.
- The functionality currently performed by PEPS is performed by the IPM Solution in the future.
- The functionality related to Common School ID (CSID)/RID creation and maintenance currently performed by the Common Origination and Disbursement (COD) system is performed by the IPM solution in the future.
- The RID serves as the single common identifier for all Trading Partner interactions within the FSA enterprise.
- The Common Services for Borrowers (CSB) solution is in place by the time the IPM solution is implemented therefore requiring only a single communication channel rather than four separate communication channels to the existing systems that comprise CSB (i.e., the Direct Loan Servicing System, the Direct Loan Consolidation System, the Debt Management Collections System, and the Conditional Disability and Discharge Tracking System). If the CSB solution is not in place, the appropriate communication channels to the existing four systems that comprise CSB will need to be created.
- The Student Aid Internet Gateway (SAIG) is still in place as it is today when the IPM solution is implemented.
- This Non-Case Management Requirements effort did not include an analysis of any Financial Partner Requirements as these will be addressed in the upcoming Financial Partners Requirements (Deliverable 147.1.3).
- This Non-Case Management Requirements effort focused solely on the Title IV programs. As such, no IPM solution requirements were developed for non-Title IV programs.
- This Non-Case Management Requirements effort did not include an analysis of user roles across systems or defining a common set of roles for access management purposes.
- This Non-Case Management Requirements effort did not include an analysis of any specific software products.



2 High-Level Functional Requirements

2.1 IPM Preliminary Requirements Efforts

Prior to the IPMS Requirements Gap Analysis effort, FSA conducted requirements gathering projects for several of the functions and/or processes slated as part of the IPM solution, as indicated by Figure 1: FSA Integrated Partner Management (IPM) Framework within Section - 1.1 Background. These preliminary requirement efforts consisted of the Routing ID (RID) initiative, the eCMO initiative, the Enrollment Management initiative, and the Access Management initiative. The resulting requirements from these four initiatives were carefully evaluated during this effort to determine which requirements would be rolled into the IPM solution. The selected requirements, combined with those from the Core IPM Functionality, Applications Interfacing with IPM, and Other Areas for Investigation sections of this document, will be combined to make up the complete set of Non-Case Management Requirements for the IPM solution. The following sections briefly describe these initiatives and provide the RID, eCMO, Enrollment, and Access Management requirements that have been evaluated and selected to help define the IPM solution.

2.1.1 Routing ID (RID)

Historically, new FSA systems have defined unique, application specific identification methods to internally define and manage Trading Partners. Further complicating the landscape, identifiers from entities outside FSA such as the Data Universal Numbering Scheme (DUNS), Taxpayer Identification Number (TIN), and the Integrated Post Secondary Education Data System (IPEDS) number are used to support specific business processes in the delivery of Title IV Aid. The result is a lack of a consistent manner with which to identify Trading Partners across the FSA enterprise. Trading Partners are currently required to identify themselves to FSA using different identifiers depending on the business process or system with which they are communicating.

The use of these various identifiers as well as the issues around maintaining an accurate history of Trading Partners when they change their appearance from FSA's perspective (e.g., undergo a Change of Affiliation) hinder FSA's ability to efficiently gather comprehensive data about a particular Trading Partner or group of Trading Partners. This directly affects the decision-making critical to FSA's core mission and affects FSA's ability to respond quickly to inquiries about Trading Partners. Further, the multiple manners in which a single entity is identified within FSA business processes is a factor that contributes to data quality issues with discrepancies in identifiers resulting in potentially reduced customer service levels.

Taking all of this into consideration, there is a credible need for a solution that will create a single, unique identifier for all of FSA's Trading Partners. To address this need, FSA will implement a new Routing ID (RID) a part of the IPM solution. The RID functionality will serve as the backbone of the IPM solution by creating a single, enterprise-wide, common identifier for every Trading Partner regardless of Trading Partner affiliation, ownership structure, or type of interaction with FSA. One of the main goals associated with utilizing the RID is to replace the myriad of existing legacy identifiers within the FSA enterprise aside from the Office of



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Postsecondary Education ID (OPEID), Grantee and Payee Data Universal Numbering Scheme (DUNS) Numbers, and Tax Payer Identification Number (TIN). The DUNS Number and the TIN will always be required and the OPEID will be maintained for an indefinite period. In order to accomplish this, the remaining legacy identifiers will need to be phased out of existence as it makes sense to do so. In order to maintain a proper audit trail and to accommodate for the fact that not all legacy identifiers can be phased out all at once, a Legacy Identifier Crosswalk will be implemented. The Legacy Identifier Crosswalk will relate Legacy Identifiers to their corresponding RID. For additional information on the Legacy Identifier Crosswalk, please refer to the RID High-Level Solution Design (Deliverable 123.1.25).

During this effort, the requirements as documented in the Routing ID (RID) High-Level Design (Deliverable 123.1.25) were examined in depth to identify and adjust potential gaps. In some cases, the requirements have been slightly reworded to ensure consistency across all requirements within this document and to ensure they fit within the scope of the IPM solution as discussed within Section 1.1 - Background.

The following table presents the requirements from the RID initiative that will help define the IPM solution and includes the requirement number under IPM, the functional area each requirement applies to, a functional description for each requirement, any relevant comments related to each requirement, the source of the requirement, and any cross reference number that may apply. Each of the requirements included below has been validated by identified FSA SMEs and/or FSA Management.



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Req. #	Functional Area	Functional Requirement Description	Comments	Source	X-Ref
2.1.1.1	General	A RID shall be an eight-digit number.		Deliverable 123.1.25	1.1
2.1.1.2	General	A RID shall have no inferable meaning, other than identifying a single entity.		Deliverable 123.1.25	1.2
2.1.1.3	General	RID numbers are permanent and shall be protected from physical deletion once assigned.	RIDs may be logically deleted by expiring all Trading Partner roles related to the RIDs.	Deliverable 123.1.25	1.3
2.1.1.4	General	A newly generated RID shall not conflict with any existing or future OPEIDs.		Deliverable 123.1.25	1.4
2.1.1.5	General	The solution shall support the following types of Trading Partners: Schools, School Servicers, Lenders, Lender Servicers, Guaranty Agencies (GAs), State Agencies, Private Collection Agencies (PCAs), Federal Agencies, Accrediting Agencies, Auditors, and Owners.		Deliverable 123.1.25	1.5
2.1.1.6	General	The solution shall support any other type of Trading Partner if necessary in future phases.	The solution should be able to handle generating a RID for a Software Developer or any other type of Trading Partner not yet accounted for if necessary.	Deliverable 123.1.25	1.6
2.1.1.7	General	The solution shall to allow for the import of external files.	This is necessary to obtain external IDs such as the DUNS, TIN, and IPEDS numbers.	Deliverable 123.1.25	1.7
2.1.1.8	General	The solution shall support the trends that are changing the Trading Partner landscape such as virtual campuses, on-line and distance learning, foreign school locations, school lenders, etc.	The business rules for how to treat these entities must be laid out by FSA but the solution must be flexible enough to support the outcome no matter what it is.	Deliverable 123.1.25	1.8
2.1.1.9	General	The solution shall adhere to the business rules of the Integrated Partner Management (IPM) Solution.	These business rules will need to be documented as the IPM Solution is designed.	Deliverable 123.1.25	1.9
2.1.1.10	General	The solution must be integrated with the FSA technical architecture, conform to FSA security standards, and support FSA Security Architecture components such as Access Management.		Deliverable 123.1.25	1.10



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Req. #	Functional Area	Functional Requirement Description	Comments	Source	X-Ref
2.1.1.11	Initial Load & Start Up, ID synchronization	The RID team shall capture extracts from legacy solutions (i.e., PEPS, COD, FMS, NSLDS, CPS, GAPS, CSB, eZ-Audit, eCB, PM, SAIG, Data Marts) containing the legacy identifiers within the solutions.		Deliverable 123.1.25	2.1.1
2.1.1.12	Initial Load & Start Up, ID synchronization	The solution shall compare legacy solution extract files to PEPS to identify OPEID matches.	This process needs to include a comparison of each legacy solution extract file against the PEPS extract file.	Deliverable 123.1.25	2.1.2
2.1.1.13	Initial Load & Start Up, ID synchronization	The solution shall write out OPEIDs for which no match is found from legacy solution extract file to PEPS extract file to an error report.		Deliverable 123.1.25	2.1.3
2.1.1.14	Initial Load & Start Up, ID synchronization	The solution shall write out successful legacy solution extract file to PEPS extract file matches upon completion of the match process to an error report.		Deliverable 123.1.25	2.1.4
2.1.1.15	Initial Load & Start Up, ID synchronization	The solution shall compare Common School IDs within the COD extract file to identify and consolidate duplicates.		Deliverable 123.1.25	2.1.5
2.1.1.16	Initial Load & Start Up, ID synchronization	The solution shall write out duplicate Common School IDs to an error report.		Deliverable 123.1.25	2.1.6
2.1.1.17	Initial Load & Start Up, ID synchronization	The solution shall compare LIDs within the FMS extract file to identify and consolidate duplicates and modify LIDs to meet RID length requirements*.	*This comparison will only occur if it is decided that it is necessary to convert the existing six-digit LIDs to eight-digit RIDs by adding leading or trailing zeros.	Deliverable 123.1.25	2.1.7
2.1.1.18	Initial Load & Start Up, ID synchronization	The solution shall write out duplicate LIDs to an error report.		Deliverable 123.1.25	2.1.8
2.1.1.19	Initial Data Load	The solution shall accept the Common School IDs assigned by COD as the RID.	The Common School IDs from COD will only be added after a data clean up effort has occurred.	Deliverable 123.1.25	2.2.1
2.1.1.20	Initial Data Load	The solution shall store the Common School ID as the RID key.		Deliverable 123.1.25	2.2.2



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Req. #	Functional Area	Functional Requirement Description	Comments	Source	X-Ref
2.1.1.21	Initial Data Load	The solution shall allow Schools that have had their Common School ID accepted as the RID to bypass the RID generation logic.		Deliverable 123.1.25	2.2.3
2.1.1.22	Initial Data Load	The solution shall enable key attributes such as the associated role code(s), legacy identifier code(s), and relationship codes(s) to be added to the database for the newly assigned RIDs for the Schools from COD.	Relationships to be added include the existing tier one/tier two relationships between main and additional locations and grouping relationships such as PEPS School groups.	Deliverable 123.1.25	2.2.4
2.1.1.23	Initial Data Load	The solution shall enable non-key attributes such as Trading Partner name to be added to the database for the newly assigned RIDs for the Schools from COD.		Deliverable 123.1.25	2.2.5
2.1.1.24	Initial Data Load	The solution shall accept the modified LIDs (i.e., with leading and/or trailing zeros) assigned by FMS as the RID*.	*This process will only occur if it is decided that it is necessary to convert the existing six-digit LIDs to eight-digit RIDs by adding leading or trailing zeros. The modified LIDs (i.e., with leading and/or trailing zeros) will only be added after a data clean up effort has occurred.	Deliverable 123.1.25	2.2.6
2.1.1.25	Initial Data Load	The solution shall store the modified LID (i.e., with leading and/or trailing zeros) as the RID key*.	*This process will only occur if it is decided that it is necessary to convert the existing six-digit LIDs to eight-digit RIDs by adding leading or trailing zeros.	Deliverable 123.1.25	2.2.7
2.1.1.26	Initial Data Load	The solution shall allow Lenders that have had their modified LIDs (i.e., with leading and/or trailing zeros) accepted as the RID to bypass the RID generation logic*.	*This process will only occur if it is decided that it is necessary to convert the existing six-digit LIDs to eight-digit RIDs by adding leading or trailing zeros.	Deliverable 123.1.25	2.2.8



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Req. #	Functional Area	Functional Requirement Description	Comments	Source	X-Ref
2.1.1.27	Initial Data Load	The solution shall enable key attributes such as the associated role code(s), legacy identifier code(s), and relationship code(s) to be added to the database for the newly assigned RIDs for the Lenders from FMS*.	*This process will only occur if it is decided that it is necessary to convert the existing six-digit LIDs to eight-digit RIDs by adding leading or trailing zeros. Relationships to be added include the existing customer/supplier relationships between Lenders and Lender Servicers and grouping relationships such as Lender Parent groups.	Deliverable 123.1.25	2.2.9
2.1.1.28	Initial Data Load	The solution shall enable non-key attributes such as Trading Partner name to be added to the database for the newly assigned RIDs for the Lenders from FMS*.	*This process will only occur if it is decided that it is necessary to convert the existing six-digit LIDs to eight-digit RIDs by adding leading or trailing zeros.	Deliverable 123.1.25	2.2.10
2.1.1.29	Initial Data Load	The solution shall detect an OPEID that is not currently assigned a RID.		Deliverable 123.1.25	2.2.11
2.1.1.30	Initial Data Load	The solution shall generate a new RID for all existing Trading Partners that do not currently have a RID.		Deliverable 123.1.25	2.2.12
2.1.1.31	Initial Data Load	The solution shall enable key attributes such as the associated role codes(s), legacy identifier codes(s), and relationship code(s) to be added to the database for the newly assigned RIDs for the existing Trading Partners that did not have a RID.		Deliverable 123.1.25	2.2.13
2.1.1.32	Initial Data Load	The solution shall enable non-key attributes such as Trading Partner name to be added to the database for the newly assigned RIDs for the Trading Partners that did not have a RID.		Deliverable 123.1.25	2.2.14
2.1.1.33	Initial Data Load	The solution shall allow a RID to be manually generated for a Trading Partner by an FSA approved staff member.	Security around determining who will be approved needs to be determined as the IPM is developed.	Deliverable 123.1.25	2.2.15



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Req. #	Functional Area	Functional Requirement Description	Comments	Source	X-Ref
2.1.1.34	Initial Data Load	The solution shall allow key attributes such as the associated role code(s), legacy identifier code(s), and relationship code(s) to be manually added to the database for the newly assigned RIDs manually added to the database by an FSA approved staff member.		Deliverable 123.1.25	2.2.16
2.1.1.35	Initial Data Load	The solution shall enable non-key attributes such as Trading Partner name to be manually added to the database for the newly assigned RIDs manually added to the database by an FSA approved staff member.		Deliverable 123.1.25	2.2.17
2.1.1.36	Initial Data Load	The solution shall store an effective date to preserve an audit trail and maintain a history of relationships between an entity's RID and its legacy identifiers starting at the date of implementation.	The RID design is not dependent on re-establishing history. A Trading Partner's history will not typically be re-constructed but this can be done on a case-by-case basis if deemed necessary. During the initial RID build, the default will be that the current Trading Partner ID values and relationships have always been effective unless a more specific history is established.	Deliverable 123.1.25	2.2.18
2.1.1.37	Initial Data Load	The solution shall write out successfully added RIDs, related role(s), legacy identifier(s), and relationship(s) for all Trading Partners added to the database during the initial load to an audit report.		Deliverable 123.1.25	2.2.19
2.1.1.38	Initial Data Load	The solution shall write out RIDs, related role(s), legacy identifier(s), and relationship(s) for Trading Partners that could not be successfully added to the database during initial load to an error report and include the reason for the error(s).		Deliverable 123.1.25	2.2.20
2.1.1.39	Validation / Determination of Request	The solution shall accept a request for a new RID entity to be created or an existing RID entity to be updated.	This request will be triggered automatically during Enrollment or Recertification or manually by an FSA approved staff member.	Deliverable 123.1.25	3.1.1



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Req. #	Functional Area	Functional Requirement Description	Comments	Source	X-Ref
2.1.1.40	Validation / Determination of Request	The solution shall determine whether the request is a Change of Affiliation.		Deliverable 123.1.25	3.1.2
2.1.1.41	Validation / Determination of Request	The solution shall determine the type of Trading Partner the request is coming from and verify that the appropriate information for that type of Trading Partner is included within the request if the request is not a Change of Affiliation request.		Deliverable 123.1.25	3.1.3
2.1.1.42	Validation / Determination of Request	The solution shall reject any request that does not contain the appropriate information and send the request back for additional information.		Deliverable 123.1.25	3.1.4
2.1.1.43	Validation / Determination of Request	The solution shall write out any request for which the appropriate additional information is not received to an error report.		Deliverable 123.1.25	3.1.5
2.1.1.44	Validation / Determination of Request	The solution shall automatically determine if a Trading Partner already exists within the RID database by searching specific information such as the Trading Partner name or existing legacy identifiers.	The intent of this requirement is not to provide an all inclusive list of specific information to search on. Instead, this requirement just points out examples of the type of data that could be used to weed out duplicates.	Deliverable 123.1.25	3.1.6
2.1.1.45	Validation / Determination of Request	The solution shall determine if manual validation is required to determine if a Trading Partner already exists within the RID database if the automatic validation is not conclusive.		Deliverable 123.1.25	3.1.7
2.1.1.46	Validation / Determination of Request	The solution shall write out Trading Partners that need manual validation to determine if they already exist within the RID database to an error report.		Deliverable 123.1.25	3.1.8
2.1.1.47	Change of Affiliation	The solution shall process Location to Location, Location to Freestanding, Merge/Consolidation, Merge/Absorption, and Redesignation Change of Affiliation requests.		Deliverable 123.1.25	3.2.1
2.1.1.48	Change of Affiliation	The solution shall determine if the Trading Partner requesting the Change of Affiliation is a main campus.		Deliverable 123.1.25	3.2.2



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Req. #	Functional Area	Functional Requirement Description	Comments	Source	X-Ref
2.1.1.49	Change of Affiliation	The solution shall process Changes of Affiliation for a main campus after it has processed any Changes of Affiliation pertaining to additional locations.	Changes must not be made to the main campus until all changes have been made to additional campuses.	Deliverable 123.1.25	3.2.3
2.1.1.50	Change of Affiliation	The solution shall enable the modifications necessary to relationships as a result of a Change of Affiliation.		Deliverable 123.1.25	3.2.4
2.1.1.51	Change of Affiliation	The solution shall write successfully handled Change of Affiliation requests to an audit report.		Deliverable 123.1.25	3.2.5
2.1.1.52	Change of Affiliation	The solution shall write Change of Affiliation requests that are not handled successfully to an error report.		Deliverable 123.1.25	3.2.6
2.1.1.53	Modify Existing Trading Partner	The solution shall process modifications to any Trading Partner who is found to already exist within the RID database.	These modifications may be based on information provided by legacy solutions or FSA approved staff.	Deliverable 123.1.25	3.3.1
2.1.1.54	Modify Existing Trading Partner	The solution shall allow the name of a particular Trading Partner to be changed.	As the particular non-key attribute fields are identified the determination needs to be made as to whether each field is updateable or not.	Deliverable 123.1.25	3.3.2
2.1.1.55	Modify Existing Trading Partner	The solution shall allow additional roles to be added to an existing Trading Partner.	Each Trading Partner may only have one role of the same type (i.e., one School role, one Lender role, etc.)	Deliverable 123.1.25	3.3.3
2.1.1.56	Modify Existing Trading Partner	The solution shall allow additional legacy identifiers that correspond to additional roles to be added to an existing Trading Partner entity.		Deliverable 123.1.25	3.3.4
2.1.1.57	Modify Existing Trading Partner	The solution shall allow existing roles to be logically deleted from a Trading Partner entity through the use of effective dating (i.e., an end date).		Deliverable 123.1.25	3.3.5
2.1.1.58	Modify Existing Trading Partner	The solution shall allow existing legacy identifiers that correspond to existing roles that are logically deleted to be logically deleted through the use of effective dating (i.e., an end date).		Deliverable 123.1.25	3.3.6



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Req. #	Functional Area	Functional Requirement Description	Comments	Source	X-Ref
2.1.1.59	Modify Existing Trading Partner	The solution shall allow existing relationships that correspond to existing roles that are logically deleted to be logically deleted through the use of effective dating (i.e., an end date).		Deliverable 123.1.25	3.3.7
2.1.1.60	Modify Existing Trading Partner	The solution shall permit the indefinite maintenance of legacy identifiers so as to enable updates/corrections to be made when necessary.		Deliverable 123.1.25	3.3.8
2.1.1.61	Modify Existing Trading Partner	The solution shall maintain the integrity of a relationship between RID and an entity regardless of changes in roles or legacy identifiers.		Deliverable 123.1.25	3.3.9
2.1.1.62	Modify Existing Trading Partner	The solution shall track the responsibility for how modifications to existing Trading Partners were entered into the solution (i.e., systematic request through Enrollment or Recertification or manual request from an FSA approved staff member).		Deliverable 123.1.25	3.3.10
2.1.1.63	Modify Existing Trading Partner	The solution shall store an audit trail of modifications to existing Trading Partners.		Deliverable 123.1.25	3.3.11
2.1.1.64	Modify Existing Trading Partner	The solution shall write any modifications to existing Trading Partners to an audit report.		Deliverable 123.1.25	3.3.12
2.1.1.65	Generate/ Assign a RID	The solution shall generate a unique RID for any Trading Partner entity requesting a RID that does not already exist within the RID database.		Deliverable 123.1.25	3.4.1
2.1.1.66	Generate/ Assign a RID	The solution shall determine if the request is for a main campus for any request coming from a Trading Partner that is a School.		Deliverable 123.1.25	3.4.2
2.1.1.67	Generate/ Assign a RID	The solution shall determine if there is a corresponding main campus if the request is not for a main campus for any request coming from a Trading Partner that is a School.		Deliverable 123.1.25	3.4.3
2.1.1.68	Generate/ Assign a RID	The solution shall write any requests to generate a RID for a campus that is not the main campus where there is no corresponding main campus within the database to an error report.		Deliverable 123.1.25	3.4.4



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Req. #	Functional Area	Functional Requirement Description	Comments	Source	X-Ref
2.1.1.69	Generate/ Assign a RID	The solution shall generate a unique RID for each grouping (logical, non-hierarchical) relationship defined.		Deliverable 123.1.25	3.4.5
2.1.1.70	Generate/ Assign a RID	The solution shall check any newly generated RID before it is assigned against existing RIDs within the database to ensure the newly assigned RID is unique.		Deliverable 123.1.25	3.4.6
2.1.1.71	Generate/ Assign a RID	The solution shall correct a misassigned or duplicate RID.		Deliverable 123.1.25	3.4.7
2.1.1.72	Generate/ Assign a RID	The solution shall post/store assigned RIDs as key attributes in the database.		Deliverable 123.1.25	3.4.8
2.1.1.73	Generate/ Assign a RID	The solution shall load non-key attributes (e.g., Trading Partner name) for each Trading Partner under their newly assigned RID.		Deliverable 123.1.25	3.4.9
2.1.1.74	Generate/ Assign a RID	The solution shall post/store non-key attributes (e.g., Trading Partner name) for each Trading Partner under their newly assigned RID.		Deliverable 123.1.25	3.4.10
2.1.1.75	Generate/ Assign a RID	The solution shall track the date a Trading Partner will become active (i.e., effective date) through the use of effective dating.		Deliverable 123.1.25	3.4.11
2.1.1.76	Generate/ Assign a RID	The solution shall track how each Trading Partner was entered into the solution (i.e., systematic request through Enrollment or Recertification or manual request from an FSA approved staff member).		Deliverable 123.1.25	3.4.12
2.1.1.77	Assign Trading Partner Role(s)	The solution shall determine if a particular Trading Partner has any related Trading Partner roles (i.e., School, School Servicer, Lender, Lender Servicer, Guaranty Agency, etc.).		Deliverable 123.1.25	3.5.1
2.1.1.78	Assign Trading Partner Role(s)	The solution shall post/store role codes as key attributes in the database.		Deliverable 123.1.25	3.5.2
2.1.1.79	Assign Trading Partner Role(s)	The solution shall load non-key attributes (e.g., Trading Partner role name) for each Trading Partner under their newly assigned role code.		Deliverable 123.1.25	3.5.3



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Req. #	Functional Area	Functional Requirement Description	Comments	Source	X-Ref
2.1.1.80	Assign Trading Partner Role(s)	The solution shall post/store non-key attributes (e.g., Trading Partner role name) for each Trading Partner under their newly assigned role code.		Deliverable 123.1.25	3.5.4
2.1.1.81	Assign Trading Partner Role(s)	The solution shall track the date a Trading Partner role will become active (i.e., effective date) through the use of effective dating.		Deliverable 123.1.25	3.5.5
2.1.1.82	Assign Trading Partner Role(s)	The solution shall track the responsibility for how each Trading Partner role code was entered into the solution (i.e., systematic request through Enrollment or Recertification or manual request from an FSA approved staff member).		Deliverable 123.1.25	3.5.6
2.1.1.83	Assign Trading Partner Role(s)	The solution shall indicate whether a particular Trading Partner role has a relationship with any other Trading Partner role.	This should be done to in order to make querying on the DB faster. If there is an indicator of some sort saying that the role has no relationships with other roles then there is no need to search for information on relationships thereby saving time.	Deliverable 123.1.25	3.5.7
2.1.1.84	Assign Trading Partner Role(s)	The solution shall write any requests to add duplicate roles to the same Trading Partner entity to an error report.	Each Trading Partner may only have one role of the same type (i.e., one School role, one School Servicer role, one Lender role, one Lender servicer role, etc.)	Deliverable 123.1.25	3.5.8
2.1.1.85	Assign Trading Partner Legacy Identifier(s)	The solution shall trigger the legacy identifier creation process to generate corresponding legacy identifiers for each Trading Partner role that is added to the database for a particular Trading Partner.		Deliverable 123.1.25	3.6.1
2.1.1.86	Assign Trading Partner Legacy Identifier(s)	The solution shall store relationships between legacy identifiers and RID bearing entities.		Deliverable 123.1.25	3.6.2
2.1.1.87	Assign Trading Partner Legacy Identifier(s)	The solution shall post/store legacy identifier type codes as key attributes in the database.		Deliverable 123.1.25	3.6.3



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Req. #	Functional Area	Functional Requirement Description	Comments	Source	X-Ref
2.1.1.88	Assign Trading Partner Legacy Identifier(s)	The solution shall load non-key attributes (e.g., legacy identifier) for each Trading Partner under their newly assigned legacy identifier type code.		Deliverable 123.1.25	3.6.4
2.1.1.89	Assign Trading Partner Legacy Identifier(s)	The solution shall post/store non-key attributes (e.g., legacy identifier) for each Trading Partner under their newly assigned legacy identifier type code.		Deliverable 123.1.25	3.6.5
2.1.1.90	Assign Trading Partner Legacy Identifier(s)	The solution shall track the date a Trading Partner legacy identifier type code will become active (i.e., effective date) through the use of effective dating.		Deliverable 123.1.25	3.6.6
2.1.1.91	Assign Trading Partner Legacy Identifier(s)	The solution shall track the responsibility for how each Trading Partner role code was entered into the solution (i.e., systematic request through Enrollment or Recertification or manual request from an FSA approved staff member).		Deliverable 123.1.25	3.6.7
2.1.1.92	Assign Trading Partner Legacy Identifier(s)	The solution shall write newly added Trading Partners to an audit report along with their corresponding RIDs, roles, and legacy identifiers.		Deliverable 123.1.25	3.6.8
2.1.1.93	Assign Trading Partner Legacy Identifier(s)	The solution shall write Trading Partners that could not be added to the RID database to an error report including the reason for the error.		Deliverable 123.1.25	3.6.9
2.1.1.94	Assign & Maintain Relationships, General	The solution shall establish relationships between the role(s) of particular Trading Partners rather than between the Trading Partners themselves.		Deliverable 123.1.25	4.1.1
2.1.1.95	Assign & Maintain Relationships, General	The solution shall allow a single role of a Trading Partner to be involved in multiple relationships with roles of other Trading Partners as long as the relationship types are distinct.		Deliverable 123.1.25	4.1.2
2.1.1.96	Assign & Maintain Relationships, General	The solution shall end a relationship if one or both of the participating roles are terminated (i.e., contain an end date that has passed).		Deliverable 123.1.25	4.1.3



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Req. #	Functional Area	Functional Requirement Description	Comments	Source	X-Ref
2.1.1.97	Assign & Maintain Relationships, General	The solution shall create hierarchical relationships of multiple layers.		Deliverable 123.1.25	4.1.4
2.1.1.98	Assign & Maintain Relationships, General	The solution shall track that an absorption has occurred as a result of an Absorption Change of Affiliation.		Deliverable 123.1.25	4.1.5
2.1.1.99	Assign & Maintain Relationships, General	The solution shall track that a particular Trading Partner role has split from a Trading Partner as a result of a Role to Freestanding Change of Affiliation.		Deliverable 123.1.25	4.1.6
2.1.1.100	Assign & Maintain Grouping Relationships	The solution shall enable grouping (logical, non-hierarchical) relationships to be established based on particular user defined criteria supplied by an FSA approved staff member.		Deliverable 123.1.25	4.2.1
2.1.1.101	Assign & Maintain Grouping Relationships	The solution shall post/store both RIDs involved in the grouping (logical, non-hierarchical) relationship, the related role codes, and the relationship type code as key attributes in the database.		Deliverable 123.1.25	4.2.2
2.1.1.102	Assign & Maintain Grouping Relationships	The solution shall post/store grouping (logical, non-hierarchical) relationships of RID bearing entities.		Deliverable 123.1.25	4.2.3
2.1.1.103	Assign & Maintain Grouping Relationships	The solution shall load non-key attributes for each grouping (logical, non-hierarchical) relationship under their newly assigned relationship code.		Deliverable 123.1.25	4.2.4
2.1.1.104	Assign & Maintain Grouping Relationships	The solution shall post/store non-key attributes for each grouping (logical, non-hierarchical) relationship under their newly assigned relationship code.		Deliverable 123.1.25	4.2.5
2.1.1.105	Assign & Maintain Grouping Relationships	The solution shall track the date a grouping (logical, non-hierarchical) relationship will become active (i.e., effective date) through the use of effective dating.		Deliverable 123.1.25	4.2.6
2.1.1.106	Assign & Maintain Grouping Relationships	The solution shall track the responsibility for how each grouping (logical, non-hierarchical) relationship was entered into the solution (i.e., manual request from an FSA approved staff member).		Deliverable 123.1.25	4.2.7



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Req. #	Functional Area	Functional Requirement Description	Comments	Source	X-Ref
2.1.1.107	Assign & Maintain Grouping Relationships	The solution shall un-assign or alter grouping (logical, non-hierarchical) relationships.	Grouping (logical, non-hierarchical) relationships will stay completely dynamic so that RID bearing entities associated by that relationship can be disassociated, replaced, or added in any way at any time.	Deliverable 123.1.25	4.2.8
2.1.1.108	Assign & Maintain Grouping Relationships	The solution shall effective date grouping (logical, non-hierarchical) relationships so as to deactivate a specific entity when required by FSA approved staff.		Deliverable 123.1.25	4.2.9
2.1.1.109	Assign & Maintain Grouping Relationships	The solution shall maintain a history of grouping (logical, non-hierarchical) relationship changes and be capable of identifying grouping (logical, non-hierarchical) relationships at various points in time.		Deliverable 123.1.25	4.2.10
2.1.1.110	Assign & Maintain Grouping Relationships	The solution shall only be limited in its creation of RID bearing entities for the purposes of creating grouping (logical, non-hierarchical) relationships by the maximum allowed as an eight-digit number.		Deliverable 123.1.25	4.2.11
2.1.1.111	Assign & Maintain Grouping Relationships	The solution shall assign a particular Trading Partner role to an infinite number of grouping (logical, non-hierarchical) relationships.		Deliverable 123.1.25	4.2.12
2.1.1.112	Assign & Maintain Grouping Relationships	The solution shall write successfully created grouping (logical, non-hierarchical) relationships to an audit report.		Deliverable 123.1.25	4.2.13
2.1.1.113	Assign & Maintain Grouping Relationships	The solution shall write any errors when creating grouping (logical, non-hierarchical) relationships to an error report.		Deliverable 123.1.25	4.2.14
2.1.1.114	Assign & Maintain tier one/tier two, customer/supplier or ownership relationships	The solution shall enable tier one/tier two (physical, hierarchical), customer/supplier (physical, hierarchical or non-hierarchical), or ownership (physical, hierarchical) relationships to be systematically established based on information received during the enrollment or recertification	Tier one/tier two relationships are also known as parent/child relationships.	Deliverable 123.1.25	4.3.1



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Req. #	Functional Area	Functional Requirement Description	Comments	Source	X-Ref
		processes.			
2.1.1.115	Assign & Maintain tier one/ tier two, customer/supplier or ownership relationships	The solution shall enable tier one/tier two (physical, hierarchical), customer/supplier (physical, hierarchical or non-hierarchical), or ownership (physical, hierarchical) relationships to be manually established based on information supplied by an FSA approved staff member.		Deliverable 123.1.25	4.3.2
2.1.1.116	Assign & Maintain tier one/ tier two, customer/supplier or ownership relationships	The solution shall post/store both RIDs involved in the tier one/tier two (physical, hierarchical), customer/supplier (physical, hierarchical or non-hierarchical), or ownership (physical, hierarchical) relationship, the related role codes, and the relationship type code as key attributes in the database.		Deliverable 123.1.25	4.3.3
2.1.1.117	Assign & Maintain tier one/ tier two, customer/supplier or ownership relationships	The solution shall post/store tier one/ tier two (physical, hierarchical), customer/supplier (physical, hierarchical or non-hierarchical), or ownership (physical, hierarchical) relationships of RID bearing entities.		Deliverable 123.1.25	4.3.4
2.1.1.118	Assign & Maintain tier one/ tier two, customer/supplier or ownership relationships	The solution shall load non-key attributes for each tier one/ tier two (physical, hierarchical), customer/supplier (physical, hierarchical or non-hierarchical), or ownership (physical, hierarchical) relationship under their newly assigned relationship code.		Deliverable 123.1.25	4.3.5
2.1.1.119	Assign & Maintain tier one/ tier two, customer/supplier or ownership relationships	The solution shall post/store non-key attributes for each tier one/ tier two (physical, hierarchical), customer/supplier (physical, hierarchical or non-hierarchical), or ownership (physical, hierarchical) relationship under their newly assigned relationship code.		Deliverable 123.1.25	4.3.6



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Req. #	Functional Area	Functional Requirement Description	Comments	Source	X-Ref
2.1.1.120	Assign & Maintain tier one/ tier two, customer/supplier or ownership relationships	The solution shall track the date a tier one/ tier two (physical, hierarchical), customer/supplier (physical, hierarchical or non-hierarchical), or ownership (physical, hierarchical) relationship will become active (i.e., effective date) through the use of effective dating.		Deliverable 123.1.25	4.3.7
2.1.1.121	Assign & Maintain tier one/ tier two, customer/supplier or ownership relationships	The solution shall track the responsibility for how each tier one/ tier two (physical, hierarchical), customer/supplier (physical, hierarchical or non-hierarchical), or ownership (physical, hierarchical) relationship was entered into the solution (i.e., systematic request through Enrollment or Recertification or manual request from an FSA approved staff member).		Deliverable 123.1.25	4.3.8
2.1.1.122	Assign & Maintain tier one/ tier two, customer/supplier or ownership relationships	The solution shall un-assign or alter tier one/ tier two (physical, hierarchical), customer/supplier (physical, hierarchical or non-hierarchical), or ownership (physical, hierarchical) relationships.		Deliverable 123.1.25	4.3.9
2.1.1.123	Assign & Maintain tier one/ tier two, customer/supplier or ownership relationships	The solution shall effective date tier one/ tier two (physical, hierarchical), customer/supplier (physical, hierarchical or non-hierarchical), or ownership (physical, hierarchical) relationships so as to deactivate a specific entity when required by FSA approved staff.		Deliverable 123.1.25	4.3.10
2.1.1.124	Assign & Maintain tier one/ tier two, customer/supplier or ownership relationships	The solution shall create a new tier one entity at the top of an existing tier one/ tier two hierarchy.		Deliverable 123.1.25	4.3.11



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Req. #	Functional Area	Functional Requirement Description	Comments	Source	X-Ref
2.1.1.125	Assign & Maintain tier one/tier two, customer/supplier or ownership relationships	The solution shall maintain a history of tier one/tier two (physical, hierarchical), customer/supplier (physical, hierarchical or non-hierarchical), or ownership (physical, hierarchical) relationships changes and be capable of identifying tier 1/tier 2 (physical, hierarchical), customer/supplier (physical, hierarchical or non-hierarchical), or ownership (physical, hierarchical) relationships at various points in time.		Deliverable 123.1.25	4.3.12
2.1.1.126	Assign & Maintain tier one/tier two, customer/supplier or ownership relationships	The solution shall write successfully created tier one/tier two (physical, hierarchical), customer/supplier (physical, hierarchical or non-hierarchical), or ownership (physical, hierarchical) relationships to an audit log.		Deliverable 123.1.25	4.3.13
2.1.1.127	Assign & Maintain tier one/tier two, customer/supplier or ownership relationships	The solution shall write any errors when creating tier one/tier two (physical, hierarchical), customer/supplier (physical, hierarchical or non-hierarchical), or ownership (physical, hierarchical) relationships to an error report.		Deliverable 123.1.25	4.3.14
2.1.1.128	Communicate RID Data	The solution shall maintain a cross reference table of RIDs to legacy identifiers that enables the translation of a legacy identifier into a RID and vice versa.	This table will have to be maintained until internal FSA solutions and external partners are communicating utilizing only the RID.	Deliverable 123.1.25	5.1
2.1.1.129	Communicate RID Data	The solution shall communicate the assigned RIDs, their role(s), and the relationships related to each role(s) to internal parties (i.e., Trading Partner Enrollment process, legacy solutions, FSA approved staff members, etc.) requiring such information.	Such information will be stored within the common database of all Trading Partner related data (i.e., the Common Data Architecture).	Deliverable 123.1.25	5.2
2.1.1.130	Communicate RID Data	The solution shall communicate the assigned RIDs, their role(s), and the relationships related to each role(s) to external parties requiring such information.	Such information will be stored within the common database of all Trading Partner related data (i.e., the Common Data Architecture).	Deliverable 123.1.25	5.3
2.1.1.131	Communicate RID Data	The solution shall allow for the integration with existing legacy solutions to push and pull information to and from them when necessary.		Deliverable 123.1.25	5.4



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Req. #	Functional Area	Functional Requirement Description	Comments	Source	X-Ref
2.1.1.132	Communicate RID Data	The solution shall support ongoing data synchronization and integrity validations.	This synchronization will be necessary until those legacy identifiers that are marked for retirement are retired and the IPM is steward of all Trading Partner legacy identifier information. Such information will be stored within the common database of all Trading Partner related data (i.e., the Common Data Architecture).	Deliverable 123.1.25	5.5
2.1.1.133	User Interface	The solution shall allow FSA approved staff members to request to add new/update existing Trading Partners via a user interface.		Deliverable 123.1.25	6.1
2.1.1.134	User Interface	The solution shall allow FSA approved staff members to request to assign/maintain relationships between the roles of existing Trading Partner entities.	Approved FSA staff members will play a major role in the creation and maintenance of grouping relationships.	Deliverable 123.1.25	6.2
2.1.1.135	User Interface	The solution shall store information on who updated a particular Trading Partner record (i.e., UserID, information source, etc.).	This will be necessary should questions arise with the updates that were made.	Deliverable 123.1.25	6.3
2.1.1.136	User Interface	The solution shall allow FSA approved staff members to run ad hoc queries based on Trading Partner attributes or other user defined criteria.		Deliverable 123.1.25	6.4
2.1.1.137	User Interface	The solution shall write out the results of ad hoc queries related to Trading Partner attributes or other user defined criteria an audit report.		Deliverable 123.1.25	6.5
2.1.1.138	User Interface	The solution shall provide a graphical representation of the relevant role and related relationships information for a particular RID entity.		Deliverable 123.1.25	6.6
2.1.1.139	User Interface	The solution shall allow ad hoc queries of grouping (logical, non-hierarchical) relationships by FSA approved staff.		Deliverable 123.1.25	6.7
2.1.1.140	User Interface	The solution shall write out the results of ad hoc queries related to grouping (logical, non-hierarchical)		Deliverable 123.1.25	6.8



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Req. #	Functional Area	Functional Requirement Description	Comments	Source	X-Ref
		relationships to an audit report.			
2.1.1.141	User Interface	The solution shall allow ad hoc queries of tier one/tier two (physical, hierarchical), customer/supplier (physical, hierarchical or non-hierarchical), or ownership (physical, hierarchical) relationships by FSA approved staff.		Deliverable 123.1.25	6.9
2.1.1.142	User Interface	The solution shall write out the results of ad hoc queries related to tier one/tier two (physical, hierarchical), customer/supplier (physical, hierarchical or non-hierarchical), or ownership (physical, hierarchical) relationships to an audit report.		Deliverable 123.1.25	6.10
2.1.1.143	User Interface	The solution shall provide current views of relationships.		Deliverable 123.1.25	6.11
2.1.1.144	Generate Reports, ID Synchronization	The solution shall generate an error report containing OPEIDs for which no match is found from legacy solution extract file to PEPS extract file that will be manually reviewed and worked as necessary.	This report must also contain the reason for the error(s).	Deliverable 123.1.25	7.1.1
2.1.1.145	Generate Reports, ID Synchronization	The solution shall generate an audit report containing successful legacy solution extract file to PEPS extract file matches upon completion of the match process that will be used for tracking purposes.		Deliverable 123.1.25	7.1.2
2.1.1.146	Generate Reports, ID Synchronization	The solution shall generate an error report containing duplicate Common School IDs that will be manually reviewed and worked as necessary.	This report must also contain the reason for the error(s).	Deliverable 123.1.25	7.1.3
2.1.1.147	Generate Reports, ID Synchronization	The solution shall generate an error report containing duplicate LIDs that will be manually reviewed and worked as necessary.	This report must also contain the reason for the error(s).	Deliverable 123.1.25	7.1.4
2.1.1.148	Generate Reports, Initial Data Load	The solution shall generate an audit report containing successfully added RIDs, related role(s), legacy identifier(s), and relationship(s) for all Trading Partners added to the database during the initial load that will be used for tracking purposes.		Deliverable 123.1.25	7.2.1



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Req. #	Functional Area	Functional Requirement Description	Comments	Source	X-Ref
2.1.1.149	Generate Reports, Initial Data Load	The solution shall generate an error report containing RIDs, related role(s), legacy identifier(s), and relationship(s) for those Trading Partners that could not be successfully added to the database during initial load that will be manually reviewed and worked as necessary.	This report must also contain the reason for the error(s).	Deliverable 123.1.25	7.2.2
2.1.1.150	Generate Reports, Add New/Modify Existing Trading Partner	The solution shall generate an audit report containing successfully handled change of affiliation requests that will be used for tracking purposes.		Deliverable 123.1.25	7.3.1
2.1.1.151	Generate Reports, Add New/Modify Existing Trading Partner	The solution shall generate an error report containing those Change of Affiliation requests that were not handled successfully that will be manually reviewed and worked as necessary.	This report must also contain the reason for the error(s).	Deliverable 123.1.25	7.3.2
2.1.1.152	Generate Reports, Add New/Modify Existing Trading Partner	The solution shall generate an error report containing any request for which the appropriate additional information is not received that will be manually reviewed and worked as necessary.	This report must also contain the reason for the error(s).	Deliverable 123.1.25	7.3.3
2.1.1.153	Generate Reports, Add New/Modify Existing Trading Partner	The solution shall generate an error report containing Trading Partners that need manual validation to determine if they already exist within the RID database that will be manually reviewed and worked as necessary.	This report must also contain the reason for the error(s).	Deliverable 123.1.25	7.3.4
2.1.1.154	Generate Reports, Add New/Modify Existing Trading Partner	The solution shall generate an audit report containing any modifications to existing Trading Partners during a specific period that will be used for tracking purposes.		Deliverable 123.1.25	7.3.5
2.1.1.155	Generate Reports, Add New/Modify Existing Trading Partner	The solution shall generate an error report containing any requests to generate a RID for a campus that is not the main campus where there is no corresponding main campus within the database that will be manually reviewed or worked as necessary.	This report must also contain the reason for the error(s).	Deliverable 123.1.25	7.3.6
2.1.1.156	Generate Reports, Add New/Modify Existing Trading Partner	The solution shall generate an error report containing any requests to add duplicate roles to the same Trading Partner that will be manually reviewed and worked as necessary.	This report must also contain the reason for the error(s).	Deliverable 123.1.25	7.3.7



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Req. #	Functional Area	Functional Requirement Description	Comments	Source	X-Ref
2.1.1.157	Generate Reports, Add New/Modify Existing Trading Partner	The solution shall generate an audit report containing newly added Trading Partners, their corresponding RIDs, roles, and legacy identifiers that will be used for tracking purposes.		Deliverable 123.1.25	7.3.8
2.1.1.158	Generate Reports, Add New/Modify Existing Trading Partner	The solution shall generate an error report containing Trading Partners that could not be added to the RID database that will be reviewed and manually worked as necessary.	This report must also contain the reason for the error(s).	Deliverable 123.1.25	7.3.9
2.1.1.159	Generate Reports, Assign & Maintain Grouping Relationships	The solution shall generate an audit report containing successfully created grouping (logical, non-hierarchical) relationships that will be used for tracking purposes.		Deliverable 123.1.25	7.4.1
2.1.1.160	Generate Reports, Assign & Maintain Grouping Relationships	The solution shall generate an error report containing grouping (logical, non-hierarchical) relationships that were not successfully created that will be reviewed and manually worked as necessary.	This report must also contain the reason for the error(s).	Deliverable 123.1.25	7.4.2
2.1.1.161	Generate Reports, Assign & Maintain Grouping Relationships	The solution shall generate an audit report every specified number of days/months containing information on the date each grouping (logical, non-hierarchical) relationship was last updated/last maintained.		Deliverable 123.1.25	7.4.3
2.1.1.162	Generate Reports, Assign & Maintain Grouping Relationships	The solution shall generate an audit report containing successfully created tier one/tier two (physical, hierarchical), customer/supplier (physical, hierarchical or non-hierarchical), or ownership (physical, hierarchical) relationships to be used for tracking purposes.		Deliverable 123.1.25	7.4.4
2.1.1.163	Generate Reports, Assign & Maintain Grouping Relationships	The solution shall generating an error report containing tier one/tier two (physical, hierarchical), customer/supplier (physical, hierarchical or non-hierarchical), or ownership (physical, hierarchical) relationships that were not successfully created to be reviewed and manually worked as necessary.	This report must also contain the reason for the error(s).	Deliverable 123.1.25	7.4.5
2.1.1.164	Generate Reports, User Interface	The solution shall generate an audit report containing the results of ad hoc queries related to Trading Partner attributes or other user defined criteria that		Deliverable 123.1.25	7.5.1



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Req. #	Functional Area	Functional Requirement Description	Comments	Source	X-Ref
		will be used for tracking purposes.			
2.1.1.165	Generate Reports, User Interface	The solution shall generate an audit report containing the results of ad hoc queries related to grouping (logical, non-hierarchical) relationships to be used for tracking purposes.		Deliverable 123.1.25	7.5.2
2.1.1.166	Generate Reports, User Interface	The solution shall generate an audit report containing the results of ad hoc queries related to tier one/tier two (physical, hierarchical), customer/supplier (physical, hierarchical or non-hierarchical), or ownership (physical, hierarchical) relationships to be used for tracking purposes.		Deliverable 123.1.25	7.5.3

Table 2: High-Level Routing ID (RID) Requirements Matrix



2.1.2 eCMO

The Case Management and Oversight (CMO) organization is responsible for the oversight of Title IV funds delivered to more than 6,000 institutions for post-secondary education, both in the United States and abroad. CMO determines whether Schools are eligible for funding, oversees school compliance with Title IV funding regulations, and determines the appropriate course of action when Schools are not in compliance. During 2003, CMO decided to undertake a new initiative called eCMO.

The focus of the eCMO initiative was primarily on updating tools and systems to help support decision-making that is informed, effective, efficient, consistent, documented, standardized and distributed. eCMO also focused on integrating data and improving communications with both internal and external partners. During the Target State phase, several solution components were identified that were intended to enable CMO to meet its goals. For each solution component, high-level requirements were developed and are included in the matrix below. These components are as follows:

- Risk Model
- School View
- Decision Support
- Notifications
- Workflow
- Document Management
- Management Reporting/Analytics

The IPM solution shall serve as the main interface for CMO to conduct its daily activities. However, based on the IPM Framework, as seen in Figure 1: FSA Integrated Partner Management (IPM) Framework within Section - 1.1, several of the solution components will fall outside the immediate scope of the IPM solution and will be raised to an enterprise level. Such components include the Risk Model, Workflow, and Document Management. While these components will fall outside of the immediate scope of the IPM solution, it has been established that the end solution will enable CMO with the ability to access these components.

During this effort, the requirements as documented in the Case Management Analysis Version 2 (Deliverable 127.1.2), were examined in depth to identify and adjust potential gaps. In some cases, the requirements have been slightly reworded to ensure consistency across all requirements within this document and to ensure they fit within the scope of the IPM solution as discussed within Section 1.1 - Background.

The following table presents the requirements from the eCMO initiative that will help define the IPM solution and includes the requirement number under IPM, the functional area each requirement applies to, a functional description for each requirement, any relevant comments related to each requirement, the source of the requirement, and any cross reference number that may apply. Each of the requirements included below has been validated by identified FSA SMEs and/or FSA Management.



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Req #	Functional Area	Functional Requirement Description	Currently in PEPS?	Comments	Source	X-Ref
2.1.2.1	Risk Indicators/New Risk Model	The existing risk model shall be replaced with a new risk model that can clearly identify schools at risk.	N/A		Deliverable 127.1.2	2.1.1
2.1.2.2	Risk Indicators/New Risk Model	Definition of risk indicators for the new risk model shall be coordinated with the Verification Review project.	N/A		Deliverable 127.1.2	2.1.2
2.1.2.3	Risk Indicators/New Risk Model	The solution shall utilize a risk model tool to access all current school-related data, including data currently stored in PEPS/CMIS, EZ-Audit, eCB, CPS, GAPS, NSLDS, COD, RFMS, FISAP, Acorde, IPEDS/CORE, receivables, and Direct Lending. The risk model must re-assess risk indicators as often as the source data is updated.	N/A		Deliverable 127.1.2	2.1.3
2.1.2.4	Risk Indicators/New Risk Model	The solution shall utilize a risk model tool to contain the appropriate risk factors to identify at risk schools.	N/A		Deliverable 127.1.2	2.1.4
2.1.2.5	Risk Indicators/New Risk Model	The solution shall utilize a risk model tool that includes the risk indicators on the Eligibility and Compliance Management Risk Indicators spreadsheet.	N/A		Deliverable 127.1.2	2.1.5
2.1.2.6	Risk Indicators/New Risk Model	The solution shall utilize a risk model tool that includes non-submission of required reports as risk indicators, including applications, audits and financial statements, SSCR, FISAP, transfer monitoring, reconciliation reports, IPEDS, crime reporting, etc.	N/A		Deliverable 127.1.2	2.1.6
2.1.2.7	Risk Indicators/New Risk Model	The solution shall utilize a risk model tool to assess the risk indicators in combination to identify schools at risk.	N/A		Deliverable 127.1.2	2.1.7



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Req #	Functional Area	Functional Requirement Description	Currently in PEPS?	Comments	Source	X-Ref
2.1.2.8	Risk Indicators/New Risk Model	The solution shall utilize a risk model tool where factors and factor weighting of the risk model shall be able to be changed periodically as new data becomes available, regulations change, new trends evolve, etc.	N/A		Deliverable 127.1.2	2.1.8
2.1.2.9	Risk Indicators/New Risk Model	The solution shall utilize a risk model tool to assess risk for foreign schools.	N/A		Deliverable 127.1.2	2.1.9
2.1.2.10	Risk Indicators/New Risk Model	The solution shall utilize a risk model tool to identify risk across schools with common ownership, auditor, etc. However, the risk model must also assess risk separately for each school in a group.	N/A		Deliverable 127.1.2	2.1.10
2.1.2.11	Risk Indicators/New Risk Model	The solution shall utilize a risk model tool to which does not store data used to calculate risk indicators.	N/A		Deliverable 127.1.2	2.1.11
2.1.2.12	Risk Indicators/New Risk Model	The solution shall utilize a risk model tool where factors and factor weighting of the risk model shall be able to be specified for various categories (e.g. size of school, type of control, location, etc.).	N/A		Deliverable 127.1.2	2.1.12
2.1.2.13	Research	The solution shall utilize a standardized, integrated 'school view' of all information regarding schools. This view must provide a summary level of information with the ability to 'drill down' to detailed information as needed. The solution shall provide standardized data set (i.e., integrated school view) to support decision-making.	Data in PEPS	The school view as described is not currently in PEPS. Much of the data exists in PEPS, but the central view does not exist.	Deliverable 127.1.2	2.2.1
2.1.2.14	Research	The solution shall utilize a 'school view' to provide the ability to view school information across common ownership schools and school groups.	Data in PEPS	The school view as described is not currently in PEPS. Much of the data exists in PEPS, but the central view does not exist.	Deliverable 127.1.2	2.2.2



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Req #	Functional Area	Functional Requirement Description	Currently in PEPS?	Comments	Source	X-Ref
2.1.2.15	Research	The solution shall utilize a 'school view' to display real time Title IV funding data, broken out by program, by award year, federal fiscal year and school fiscal year. Current year plus three prior years must be displayed. The school view shall display the reconciliation of funding data from multiple systems (i.e. COD, GAPS, and FMS).	Data in PEPS	The school view as described is not currently in PEPS. Much of the data exists in PEPS, but the central view does not exist.	Deliverable 127.1.2	2.2.3
2.1.2.16	Research	The solution shall utilize a 'school view' to display real time draw down data for Pell, FSEOG, Perkins, FWS, Direct Loan by award, school fiscal and federal fiscal year, for main campus / additional location and primary owner.	Data in PEPS	The school view as described is not currently in PEPS. Much of the data exists in PEPS, but the central view does not exist.	Deliverable 127.1.2	2.2.4
2.1.2.17	Research	The solution shall utilize a 'school view' to display detailed student level disbursement and reconciliation data for: Pell/ Direct Loan, - Sub, Direct Loan - Unsub, Direct Loan - PLUS, by award, school fiscal and federal fiscal year, for main campus / additional location and primary owner.	Data in PEPS	The school view as described is not currently in PEPS. Much of the data exists in PEPS, but the central view does not exist.	Deliverable 127.1.2	2.2.5
2.1.2.18	Research	The solution shall utilize a 'school view' to display student level disbursement and reconciliation data (currently available in NSLDS) for: FSEOG, Perkins, FWS, FFEL - Sub, FFEL - Unsub, FFEL - PLUS by award, school fiscal and federal fiscal year, for main campus / additional location and primary owner.	Data in PEPS	The school view as described is not currently in PEPS. Much of the data exists in PEPS, but the central view does not exist.	Deliverable 127.1.2	2.2.6
2.1.2.19	Research	The solution shall utilize an external school view that shall be accessible for schools to view based on access rights. Primary updates shall continue to be maintained through the eApp tool.	Data in PEPS	The school view as described is not currently in PEPS. Much of the data exists in PEPS, but the central view does not exist.	Deliverable 127.1.2	2.2.7
2.1.2.20	Research	The solution shall utilize an external school view to provide comparative profile information among schools of the same characteristics.	Data in PEPS	The school view as described is not currently in PEPS. Much of the data exists in PEPS, but the central view does not exist.	Deliverable 127.1.2	2.2.8
2.1.2.21	Research	The solution shall utilize a school view to maintain historical school data, and display year-to-year trends.	Data in PEPS	The school view as described is not currently in PEPS. Much of the data exists in PEPS, but the central	Deliverable 127.1.2	2.2.9



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Req #	Functional Area	Functional Requirement Description	Currently in PEPS?	Comments	Source	X-Ref
				view does not exist.		
2.1.2.22	Research	The solution shall utilize a school view to provide access to the school corporate status.	Data in PEPS	The school view as described is not currently in PEPS. Much of the data exists in PEPS, but the central view does not exist.	Deliverable 127.1.2	2.2.10
2.1.2.23	Research	The solution shall utilize a school view to provide access to a link to the school's website and e-mail address.	Data in PEPS	The school view as described is not currently in PEPS. Much of the data exists in PEPS, but the central view does not exist.	Deliverable 127.1.2	2.2.11
2.1.2.24	Research	The solution shall utilize a school view to provide access to information for debarment checks.	Data in PEPS	The school view as described is not currently in PEPS. Much of the data exists in PEPS, but the central view does not exist.	Deliverable 127.1.2	2.2.12
2.1.2.25	Research	The solution shall utilize a school view to provide access to information regarding student complaints.	Data in PEPS	The school view as described is not currently in PEPS. Much of the data exists in PEPS, but the central view does not exist. Data can currently be captured in the notes field.	Deliverable 127.1.2	2.2.13
2.1.2.26	Research	The solution shall utilize a school view to provide access to an indicator to reflect multiple simultaneous case activities occurring for a school or group of common ownership schools.	Data in PEPS	The school view as described is not currently in PEPS. Much of the data exists in PEPS, but the central view does not exist.	Deliverable 127.1.2	2.2.14
2.1.2.27	Research	The solution shall utilize a school view to provide access to all case decisions made for the school.	Data in PEPS	The school view as described is not currently in PEPS. Much of the data exists in PEPS, but the central view does not exist.	Deliverable 127.1.2	2.2.15
2.1.2.28	Research	The solution shall utilize a school view to provide access to AAA activity and actions.	Data in PEPS	The school view as described is not currently in PEPS. Much of the data exists in PEPS, but the central view does not exist.	Deliverable 127.1.2	2.2.16



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Req #	Functional Area	Functional Requirement Description	Currently in PEPS?	Comments	Source	X-Ref
2.1.2.29	Research	The solution shall utilize a school view to provide access to comprehensive school contact information.	Data in PEPS	The school view as described is not currently in PEPS. Much of the data exists in PEPS, but the central view does not exist.	Deliverable 127.1.2	2.2.17
2.1.2.30	Research	The solution shall utilize a school view to provide access to Guaranty Agency information.	Data in PEPS	The school view as described is not currently in PEPS. Much of the data exists in PEPS, but the central view does not exist.	Deliverable 127.1.2	2.2.18
2.1.2.31	Research	The solution shall utilize a school view to provide access to state accrediting agency information.	Data in PEPS	The school view as described is not currently in PEPS. Much of the data exists in PEPS, but the central view does not exist.	Deliverable 127.1.2	2.2.19
2.1.2.32	Research	The solution shall utilize a school view to provide access to school placement and graduation rates.	Functionality not in PEPS	The school view as described is not currently in PEPS. The data for this requirement is contained within the IPEDS database.	Deliverable 127.1.2	2.2.20
2.1.2.33	Research	The solution shall utilize a school view to allow a user to select specific elements of data in the school view to build a chronology.	Data in PEPS	The school view as described is not currently in PEPS. Much of the data exists in PEPS, but the central view does not exist.	Deliverable 127.1.2	2.2.21
2.1.2.34	Research	The solution shall utilize a school view to access the school view independently of an open case.	Data in PEPS	The school view as described is not currently in PEPS. Much of the data exists in PEPS, but the central view does not exist.	Deliverable 127.1.2	2.2.22
2.1.2.35	Research	When accessing the school view, response time shall be acceptably fast.	N/A		Deliverable 127.1.2	2.2.23
2.1.2.36	Research	The solution shall utilize a school view that is read-only.	Data in PEPS	The school view as described is not currently in PEPS. Much of the data exists in PEPS, but the central view does not exist. This is currently a report that Chris Hill runs manually.	Deliverable 127.1.2	2.2.24



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Req #	Functional Area	Functional Requirement Description	Currently in PEPS?	Comments	Source	X-Ref
2.1.2.37	Research	The solution shall utilize a school view to display information regarding school accounts receivables.	Data not in PEPS	The school view as described is not currently in PEPS. Much of the data exists in PEPS, but the central view does not exist.	Deliverable 127.1.2	2.2.25
2.1.2.38	Additional Research / Decision Support	The solution shall utilize a decision support tool to facilitate consistency in decision-making across teams.	Functionality not in PEPS	Current decision support data comes from a number of sources. Some of that data resides in PEPS, but there is no single source of data.	Deliverable 127.1.2	2.3.1
2.1.2.39	Additional Research / Decision Support	The solution shall utilize a decision support tool to include all information necessary to support informed decision-making.	Functionality not in PEPS	Current decision support data comes from a number of sources. Some of that data resides in PEPS, but there is no single source of data.	Deliverable 127.1.2	2.3.2
2.1.2.40	Additional Research / Decision Support	The solution shall utilize a decision support tool to include a database of prior case decisions from all regions. The database shall be searchable by case circumstances / criteria, and shall return decisions made for previous cases with the same or similar circumstances / criteria.	Functionality not in PEPS	Past case decisions and supporting data are most often stored locally at the regions.	Deliverable 127.1.2	2.3.3
2.1.2.41	Additional Research / Decision Support	The solution shall utilize a decision support tool with a knowledge base of CMO case-related policy and policy interpretation information.	Functionality not in PEPS	Most of this current data is in the Jeff Baker database.	Deliverable 127.1.2	2.3.4
2.1.2.42	Additional Research / Decision Support	The solution shall utilize a decision support tool to provide user-friendly access to guidance from outside entities, such as auditor clarifications, IFAP, OPE, OGC, OHA, GAAP, FASB, GAGAS, GASB, AICPA, Department Secretary, etc.	Functionality not in PEPS	Not data currently contained in or accessed through PEPS.	Deliverable 127.1.2	2.3.5
2.1.2.43	Additional Research / Decision Support	The solution shall utilize a decision support tool where information regarding appropriate decisions shall be able to be updated based upon feedback from appeal results or political determinations.	Functionality not in PEPS	Appeal results are input into PEPS, but not the data used to support the changes.	Deliverable 127.1.2	2.3.6



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Req #	Functional Area	Functional Requirement Description	Currently in PEPS?	Comments	Source	X-Ref
2.1.2.44	Additional Research / Decision Support	The solution shall utilize a decision support tool to proactively alert case team staff when new information regarding significant decisions made, actions taken or precedents set is entered into the decision support capability.	Functionality not in PEPS		Deliverable 127.1.2	2.3.7
2.1.2.45	Additional Research / Decision Support	The solution shall utilize a decision support tool to allow users to search by data source, topic, key word, and effective date.	Functionality not in PEPS		Deliverable 127.1.2	2.3.8
2.1.2.46	Notification	The solution shall utilize a correspondence tool to support system generation of standardized notifications to schools for all notification types for all processes, to promote consistency across teams and regions. Required sections must not be modifiable but non-required sections / unique text can be added by users.	Functionality partially in PEPS	Some of this functionality exists in PEPS, but not for all correspondence.	Deliverable 127.1.2	2.4.1
2.1.2.47	Notification	The solution shall utilize a correspondence tool to support the ability to automatically insert case-related data (e.g., institution demographic data) into school notifications.	Functionality partially in PEPS	Some of this functionality exists in PEPS, but not for all correspondence.	Deliverable 127.1.2	2.4.2
2.1.2.48	Notification	The solution shall utilize a correspondence tool to properly format notifications created.	Functionality partially in PEPS	Some of this functionality exists in PEPS, but not for all correspondence.	Deliverable 127.1.2	2.4.3
2.1.2.49	Notification	The solution shall utilize a correspondence tool to perform grammar and spell check on system-generated notifications.	Functionality not in PEPS		Deliverable 127.1.2	2.4.4
2.1.2.50	Notification	Procedures shall be established to ensure that standard paragraphs / boilerplate used by the correspondence tool are kept up to date.	N/A	This is a policy issue and not a system issue, and therefore not in the current system.	Deliverable 127.1.2	2.4.5
2.1.2.51	Workflow/ Escalation/ Standard Follow-	The solution shall utilize a centralized workflow tool to track all CMO work assignments.	Functionality not in PEPS	PEPS does have some workflow capabilities, but the goal of these requirements is to document	Deliverable 127.1.2	2.5.1



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Req #	Functional Area	Functional Requirement Description	Currently in PEPS?	Comments	Source	X-Ref
	Through			centralized workflow capabilities required to manage the case teams work.		
2.1.2.52	Workflow/ Escalation/ Standard Follow- Through	The solution shall utilize a centralized workflow tool to support automatic work assignments based upon staff availability and work type(s) staff is qualified to perform.	Functionality not in PEPS		Deliverable 127.1.2	2.5.2
2.1.2.53	Workflow/ Escalation/ Standard Follow- Through	The solution shall utilize a centralized workflow tool to support automatic work assignment, using access to the list of schools within each region.	Data exists in PEPS	Schools within each region are maintained in PEPS.	Deliverable 127.1.2	2.5.3
2.1.2.54	Workflow/ Escalation/ Standard Follow- Through	The solution shall utilize a centralized workflow tool to support the ability to easily move staff and schools from region to region.	Data exists in PEPS	These relationships are currently managed in PEPS.	Deliverable 127.1.2	2.5.4
2.1.2.55	Workflow/ Escalation/ Standard Follow- Through	The solution shall utilize a centralized workflow tool to support team manual work assignment, including both initial work assignments and override of automatic system work assignments.	Functionality partially in PEPS	Work is currently assigned in PEPS for tasks managed in PEPS. Work is also assigned in eZ-Audit.	Deliverable 127.1.2	2.5.5
2.1.2.56	Workflow/ Escalation/ Standard Follow- Through	The solution shall utilize a centralized workflow tool to automatically alert case team staff when new work has been assigned to them.	Functionality in PEPS	This exists in PEPS for the current work assignment process.	Deliverable 127.1.2	2.5.6
2.1.2.57	Workflow/ Escalation/ Standard Follow- Through	The solution shall utilize a centralized workflow tool configured to support CMO business rules established regarding staff assignment of work from schools across teams with common ownership and within statewide audits.	Functionality partially in PEPS		Deliverable 127.1.2	2.5.7
2.1.2.58	Workflow/ Escalation/ Standard Follow- Through	The solution shall utilize a centralized workflow tool to support the ability for work to be automatically or manually reassigned based upon staff availability changes, workload imbalance and other factors after work has been initially assigned.	Functionality partially in PEPS	Work can be reassigned in PEPS, but there is no current view of workload by case team member to be used in supporting reassignment.	Deliverable 127.1.2	2.5.8



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Req #	Functional Area	Functional Requirement Description	Currently in PEPS?	Comments	Source	X-Ref
2.1.2.59	Workflow/ Escalation/ Standard Follow- Through	The solution shall utilize a centralized workflow tool to support the ability to assign / reassign work across case teams.	Functionality partially in PEPS	Work can be reassigned in PEPS, but there is no current view of workload by case team member to be used in supporting reassignment.	Deliverable 127.1.2	2.5.9
2.1.2.60	Workflow/ Escalation/ Standard Follow- Through	The solution shall utilize a centralized workflow tool to automatically and manually determine and change work priority - based upon due date, work type, work status, etc.	Functionality not in PEPS		Deliverable 127.1.2	2.5.10
2.1.2.61	Workflow/ Escalation/ Standard Follow- Through	The solution shall utilize a centralized workflow tool to route and track all CMO work types.	Functionality not in PEPS		Deliverable 127.1.2	2.5.11
2.1.2.62	Workflow/ Escalation/ Standard Follow- Through	The solution shall utilize a centralized workflow tool to automatically route work to appropriate staff work queues identified by the type of work to be performed.	Functionality in PEPS and eZ-Audit	Some of this functionality exists in both PEPS and eZ-Audit. IPM would likely have a single set of workflow functionality to provide a concise view.	Deliverable 127.1.2	2.5.12
2.1.2.63	Workflow/ Escalation/ Standard Follow- Through	The solution shall utilize a centralized workflow tool to support rules-based routing, including definition of rules regarding case circumstances requiring inclusion of those cases in sub team and full team meetings.	Functionality not in PEPS		Deliverable 127.1.2	2.5.13
2.1.2.64	Workflow/ Escalation/ Standard Follow- Through	The workflow tool shall provide input to creation of sub team and full team meeting agendas. Meeting agendas must be automatically routed to all meeting participants prior to meetings.	Functionality not in PEPS		Deliverable 127.1.2	2.5.14
2.1.2.65	Workflow/ Escalation/ Standard Follow- Through	The solution shall utilize a centralized workflow tool to support rules-based routing, including definition of rules regarding case circumstances requiring escalation of those cases to upper management for review and/or approval.	Functionality not in PEPS		Deliverable 127.1.2	2.5.15



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Req #	Functional Area	Functional Requirement Description	Currently in PEPS?	Comments	Source	X-Ref
2.1.2.66	Workflow/ Escalation/ Standard Follow- Through	The solution shall utilize a centralized workflow tool to support work transactions that start outside of CMO (e.g., FOIA, controlled correspondence requests, etc.). This would allow case teams to know that this work will be routed to them, and will reduce the time involved in transferring work among organizations.	Functionality not in PEPS		Deliverable 127.1.2	2.5.16
2.1.2.67	Workflow/ Escalation/ Standard Follow- Through	The solution shall utilize a centralized workflow tool configured to electronically route work to and from CMO units outside of case teams, including PIP, AAA, etc.	Functionality partially in PEPS	Groups outside of Case teams are able to add comments in PEPS at times, but are not a formal part of a workflow process.	Deliverable 127.1.2	2.5.17
2.1.2.68	Workflow/ Escalation/ Standard Follow- Through	The solution shall utilize a centralized workflow tool to support rules-based routing. Rules shall be defined regarding case circumstances requiring routing of those cases to non-case CMO units and entities outside CMO.	Functionality not in PEPS		Deliverable 127.1.2	2.5.18
2.1.2.69	Workflow/ Escalation/ Standard Follow- Through	The solution shall utilize a centralized workflow tool to allow case team staff to monitor and track work that has been routed to entities outside of case teams.	Functionality not in PEPS		Deliverable 127.1.2	2.5.19
2.1.2.70	Workflow/ Escalation/ Standard Follow- Through	The solution shall utilize a centralized workflow tool to require work that has been routed to entities outside of case teams to be routed back to appropriate case team personnel with information regarding the results of the referral.	Functionality not in PEPS		Deliverable 127.1.2	2.5.20
2.1.2.71	Workflow/ Escalation/ Standard Follow- Through	The solution shall utilize a centralized workflow tool to view the status of transactions in process, by individual, sub-team, team, and across all teams.	Functionality not in PEPS		Deliverable 127.1.2	2.5.21



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Req #	Functional Area	Functional Requirement Description	Currently in PEPS?	Comments	Source	X-Ref
2.1.2.72	Workflow/ Escalation/ Standard Follow- Through	The solution shall utilize a centralized workflow tool to track critical decision-making milestones, including dates decision made, approval requested, approval received, and final decision made.	Functionality not in PEPS; data exists in PEPS	Approval dates, etc are tracked in PEPS, but not related to workflow and they do not trigger events.	Deliverable 127.1.2	2.5.22
2.1.2.73	Workflow/ Escalation/ Standard Follow- Through	The solution shall utilize a centralized workflow tool to track elapsed time for key performance indicators. This must include overall transaction time (e.g., 45 days for financial statements, 180 days for audits, etc.), and time for transaction milestones (e.g., time from receipt to research complete, time from research complete to decision, time from decision to approval, time from approval to school notification, etc.).	Functionality partially in PEPS	Performance measures are tracked and reported on in PEPS (and eZ-Audit).	Deliverable 127.1.2	2.5.23
2.1.2.74	Workflow/ Escalation/ Standard Follow- Through	The solution shall utilize a centralized workflow tool to allow the entry and tracking of rule-based work due dates, and provide alerts to remind staff and schools of approaching and missed due dates.	Functionality not in PEPS		Deliverable 127.1.2	2.5.24
2.1.2.75	Workflow/ Escalation/ Standard Follow- Through	The solution shall utilize a centralized workflow tool to automatically track expected responses from schools, and provide automated alerts to the teams and schools if expected responses are not received.	Functionality not in PEPS		Deliverable 127.1.2	2.5.25
2.1.2.76	Workflow/ Escalation/ Standard Follow- Through	The solution shall utilize a centralized workflow tool with +D84 'collection point' capability (i.e., the ability to test that multiple criteria have been met before the case can proceed).	Functionality not in PEPS		Deliverable 127.1.2	2.5.26
2.1.2.77	Workflow/ Escalation/ Standard Follow- Through	The solution shall utilize a centralized workflow tool to support multiple case types.	Functionality not in PEPS		Deliverable 127.1.2	2.5.27



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Req #	Functional Area	Functional Requirement Description	Currently in PEPS?	Comments	Source	X-Ref
2.1.2.78	Workflow/ Escalation/ Standard Follow- Through	The solution shall utilize a centralized workflow tool to provide the capability for CMO staff to revise workflows, business rules, work access, etc. as changing circumstances require.	Functionality not in PEPS		Deliverable 127.1.2	2.5.28
2.1.2.79	Workflow/ Escalation/ Standard Follow- Through	The solution shall utilize a centralized workflow tool to automatically initiate system functions (e.g. notifications, document archiving in the document management system, automatic alerts, etc) based upon business rules in the workflow.	Functionality not in PEPS		Deliverable 127.1.2	2.5.29
2.1.2.80	Workflow/ Escalation/ Standard Follow- Through	The solution shall utilize a centralized workflow tool to automatically initiate sending of multiple forms of correspondence (e.g., email, fax, letter, etc.) at specific points in a workflow process.	Functionality not in PEPS		Deliverable 127.1.2	2.5.30
2.1.2.81	Workflow/ Escalation/ Standard Follow- Through	The solution shall utilize a centralized workflow tool to support the electronic submission of correspondence to schools via email or school gateway. The issue of receipt confirmation must be addressed.	Functionality not in PEPS		Deliverable 127.1.2	2.5.31
2.1.2.82	Document / Record Management	The solution shall utilize a document management tool to support scanning of paper documents.	Functionality not in PEPS		Deliverable 127.1.2	2.6.1
2.1.2.83	Document / Record Management	The solution shall utilize a document management tool to accept input from electronic sources (without requiring electronic information to be printed and then scanned), in addition to accepting scanned paper documents. These sources shall include email, fax, screen prints, computer reports, and electronic documents such as Word, Excel, Adobe, etc.	Functionality not in PEPS		Deliverable 127.1.2	2.6.2



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Req #	Functional Area	Functional Requirement Description	Currently in PEPS?	Comments	Source	X-Ref
2.1.2.84	Document / Record Management	The solution shall utilize a document management tool to support organization of documentation in School File Folders.	Functionality not in PEPS		Deliverable 127.1.2	2.6.3
2.1.2.85	Document / Record Management	The solution shall utilize a document management tool within which the documents are linked to the case(s) to which they are related.	Functionality not in PEPS		Deliverable 127.1.2	2.6.4
2.1.2.86	Document / Record Management	The solution shall utilize a document management tool that is NARA / DOD5015 compliant to relieve CMO of the requirement to store paper original documents once they are scanned.	Functionality not in PEPS		Deliverable 127.1.2	2.6.5
2.1.2.87	Document / Record Management	The solution shall utilize a document management tool to support version control of documents.	Functionality not in PEPS		Deliverable 127.1.2	2.6.6
2.1.2.88	Document / Record Management	The solution shall utilize a document management tool to store in-process documents in revisable format and final documents in permanent, non-revisable format.	Functionality not in PEPS		Deliverable 127.1.2	2.6.7
2.1.2.89	Document / Record Management	The solution shall utilize a document management tool to allow multiple users concurrent access to documents.	Functionality not in PEPS		Deliverable 127.1.2	2.6.8
2.1.2.90	Document / Record Management	The solution shall utilize a document management tool with clear guidelines to define documents that must be kept in the document management system.	Functionality not in PEPS		Deliverable 127.1.2	2.6.9
2.1.2.91	Document / Record Management	The solution shall utilize a document management tool to retain work papers from case processes, including reimbursement and program review work papers.	Functionality not in PEPS		Deliverable 127.1.2	2.6.10
2.1.2.92	Document / Record Management	The solution shall utilize a document management tool where documents are captured into the document management system as they are received or generated, rather than at the end of each process.	Functionality not in PEPS		Deliverable 127.1.2	2.6.11



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Req #	Functional Area	Functional Requirement Description	Currently in PEPS?	Comments	Source	X-Ref
2.1.2.93	Document / Record Management	The solution shall utilize a document management tool for which clear guidelines are set defining legal document retention requirements for the document/records management system.	Functionality not in PEPS		Deliverable 127.1.2	2.6.12
2.1.2.94	Document / Record Management	The solution shall utilize a document management tool for which the resolution of questions and issues regarding document management (e.g., file structure, cost to include documents) requires input from case team staff in addition to DMAD staff.	Functionality not in PEPS		Deliverable 127.1.2	2.6.13
2.1.2.95	Management Reporting / Analytics	The solution shall provide the capability to measure the effectiveness of all case decisions / actions in improving school compliance over time, including Program Review, Management Improvement Services, LOC, Heightened Cash Monitoring, Reimbursement, Settlement Agreements, and AAA actions.	Functionality not in PEPS	All reports shall be available in an exportable format to allow further analysis of the data if required.	Deliverable 127.1.2	2.7.1
2.1.2.96	Management Reporting / Analytics	The solution shall capture school deficiencies / risk indicators at the time a decision / action is imposed, then measured annually one, two and three years after the action to determine if deficiencies / risk indicators have improved.	Functionality not in PEPS		Deliverable 127.1.2	2.7.2
2.1.2.97	Management Reporting / Analytics	The solution shall measure the effectiveness of the new risk model in identifying the population of schools 'at risk'.	Functionality not in PEPS		Deliverable 127.1.2	2.7.3
2.1.2.98	Management Reporting / Analytics	The solution shall analyze experience data from use of the new risk model to provide feedback on possible new triggers and changes to or removal of existing risk indicators.	Functionality not in PEPS		Deliverable 127.1.2	2.7.4
2.1.2.99	Management Reporting / Analytics	The solution shall analyze trends associated with risk indicators, audit and program review findings. These trends shall be based on geography, school group, year-to-year changes and other factors. Based	Functionality not in PEPS		Deliverable 127.1.2	2.7.5



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Req #	Functional Area	Functional Requirement Description	Currently in PEPS?	Comments	Source	X-Ref
		on the trends, management shall be able to support recommendations for potential new actions.				
2.1.2.100	Management Reporting / Analytics	The solution shall include new management reports, formatted nationally, by team and by specialist.	Functionality not in PEPS		Deliverable 127.1.2	2.7.6
2.1.2.101	Management Reporting / Analytics	The solution shall provide the ability for users to run ad hoc management reports on all school data.	Functionality partially in PEPS	There is some level of reporting available in PEPS. This would need to be expanded on.	Deliverable 127.1.2	2.7.7
2.1.2.102	Management Reporting / Analytics	The solution shall provide a report inventory of all available reports.	Functionality in PEPS	There is an inventory of all current canned reports available in PEPS. This shall include a description of the logic used to generate the reports.	Deliverable 127.1.2	2.7.8
2.1.2.103	Management Reporting / Analytics	The solution shall provide dashboard reports for upper management, by team, function and timeframe.	Functionality not in PEPS		Deliverable 127.1.2	2.7.9
2.1.2.104	Management Reporting / Analytics	The solution shall provide an executive dashboard report that summarizes the numbers of transactions performed in all CMO processes.	Functionality not in PEPS		Deliverable 127.1.2	2.7.10
2.1.2.105	Management Reporting / Analytics	The solution shall provide a dashboard monitoring coverage report, indicating the number of schools whose funding CMO monitored via comprehensive review.	Functionality not in PEPS		Deliverable 127.1.2	2.7.11
2.1.2.106	Management Reporting / Analytics	The solution shall provide a dashboard compliance report that identifies the percentage of funds misspent.	Functionality not in PEPS		Deliverable 127.1.2	2.7.12
2.1.2.107	Management Reporting / Analytics	The solution shall provide a dashboard risk management report that identifies the number of schools and amount of funding at risk.	Functionality not in PEPS		Deliverable 127.1.2	2.7.13
2.1.2.108	Management Reporting / Analytics	The solution shall provide a dashboard report that indicates the success of Management Improvement Services for new schools.	Functionality not in PEPS		Deliverable 127.1.2	2.7.14



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Req #	Functional Area	Functional Requirement Description	Currently in PEPS?	Comments	Source	X-Ref
2.1.2.109	Management Reporting / Analytics	The solution shall provide a staffing report that includes vacancies, staff name, grade, functional areas performed and trained in, and system access.	Functionality not in PEPS		Deliverable 127.1.2	2.7.15
2.1.2.110	Management Reporting / Analytics	The solution shall provide a workload forecasting report that outlines work due for all transaction types for future time periods by specialist, team and time period.	Functionality not in PEPS		Deliverable 127.1.2	2.7.16
2.1.2.111	Management Reporting / Analytics	The solution shall provide reports of transactions not received, including recertifications, audits, and financial statements.	Functionality partially in PEPS	Reports for this data are split between eZ-Audit and PEPS.	Deliverable 127.1.2	2.7.17
2.1.2.112	Management Reporting / Analytics	The solution shall provide current period activity reports for all CMO transactions, showing transactions initiated, in progress and completed - by CMO, team and specialist.	Functionality partially in PEPS	Reports for this data are split between eZ-Audit and PEPS.	Deliverable 127.1.2	2.7.18
2.1.2.113	Management Reporting / Analytics	The solution shall provide productivity reports for all CMO transactions, showing number of transactions projected and worked for current period and previous periods; showing transaction cycle times and backlogs; by CMO, team and specialist.	Functionality partially in PEPS	Reports for this data are split between eZ-Audit and PEPS.	Deliverable 127.1.2	2.7.19
2.1.2.114	Management Reporting / Analytics	The solution shall provide monthly AAA productivity reports listing administrative and fine actions, appeals, hearings.	Functionality in PEPS		Deliverable 127.1.2	2.7.20
2.1.2.115	Management Reporting / Analytics	The solution shall provide detailed and summary reports of foreign and domestic school eligibility and funding, changes in eligibility, closed schools, audits, financial statements, program reviews, accounts receivable, HCM1, 2, reimbursement, LOCs, default rates and total liabilities.	Functionality in PEPS		Deliverable 127.1.2	2.7.21



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Req #	Functional Area	Functional Requirement Description	Currently in PEPS?	Comments	Source	X-Ref
2.1.2.116	Management Reporting / Analytics	The solution shall provide the capability to run individual school reports, showing all case activity.	Functionality not in PEPS		Deliverable 127.1.2	2.7.22
2.1.2.117	Management Reporting / Analytics	The solution shall report on all work types processed through the workflow system - by specialist, sub team, team and CMO; by date range; initiated, in progress and completed.	Functionality not in PEPS		Deliverable 127.1.2	2.7.23
2.1.2.118	Management Reporting / Analytics	The solution shall provide work management reports regarding work loads, work progress, throughput, bottlenecks, etc.	Functionality not in PEPS		Deliverable 127.1.2	2.7.24
2.1.2.119	Management Reporting / Analytics	The solution shall provide reports on individual staff work performed as input to EDPAS reporting.	Functionality not in PEPS		Deliverable 127.1.2	2.7.25
2.1.2.120	Management Reporting / Analytics	The school view shall provide a profile of schools not completing SSCR reporting and or Transfer monitoring and ECDR. The profile shall include the number of schools, the type, dollars the school manages and number of students.	Functionality not in PEPS		Deliverable 127.1.2	2.7.26
2.1.2.121	PEPS Re-engineering Requirements	The solution shall provide AAA staff access to the case system (currently CMIS) to input updates on actions.	Functionality in PEPS		Deliverable 127.1.2	8.1.1
2.1.2.122	PEPS Re-engineering Requirements	The solution shall add revocation actions to the current system list of action reasons.	Functionality partially in PEPS		Deliverable 127.1.2	8.1.2
2.1.2.123	PEPS Re-engineering Requirements	The solution shall provide an area in which the bill # can be accessed prior to the final outcome being entered. This will allow the timely preparation of the letter.	Functionality not in PEPS		Deliverable 127.1.2	8.1.3
2.1.2.124	PEPS Re-engineering Requirements	The solution shall provide appropriate information to enter liabilities by deficiency.	Functionality partially in PEPS	For paper submissions, PEPS has this functionality.	Deliverable 127.1.2	8.1.4



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Req #	Functional Area	Functional Requirement Description	Currently in PEPS?	Comments	Source	X-Ref
2.1.2.125	PEPS Re-engineering Requirements	The solution shall provide a system that manages recertification's by cohort.	Functionality in PEPS	This function is in the reviewer area.	Deliverable 127.1.2	8.1.5
2.1.2.126	PEPS Re-engineering Requirements	The solution shall include enhanced app. edits. Problems with unimportant fields shall not hold up the entire process.	N/A		Deliverable 127.1.2	8.1.6
2.1.2.127	PEPS Re-engineering Requirements	The solution shall have a safeguard to track schools that have lost eligibility and are attempting to re-enter the program.	Functionality partially in PEPS		Deliverable 127.1.2	8.1.7
2.1.2.128	PEPS Re-engineering Requirements	The solution shall include the date that programs are disapproved on ECAR so that the school will be aware.	Functionality in PEPS		Deliverable 127.1.2	8.1.8
2.1.2.129	PEPS Re-engineering Requirements	The solution shall include an identifier within the system (or enhance the current ownership tree) that flags common ownership schools.	Functionality partially in PEPS	This would require an enhancement of the current functionality.	Deliverable 127.1.2	8.1.9
2.1.2.130	PEPS Re-engineering Requirements	The solution shall ensure that institution eligibility information (whether or not the institution is eligible) is accurate.	N/A	This gets to the issue of an accurate tracking of data. Eligibility data is tracked in PEPS. If this data is not accurate today, the specifics of this will need to be outlined.	Deliverable 127.1.2	8.1.10
2.1.2.131	PEPS Re-engineering Requirements	The solution shall eliminate duplicate letters and correspondence schools receive concerning loss of eligibility by Case Teams and the DRCC.	Functionality partially in PEPS	The currently system generates certain documents, but does not manage them and distribute them like a true document management system.	Deliverable 127.1.2	8.1.11



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Req #	Functional Area	Functional Requirement Description	Currently in PEPS?	Comments	Source	X-Ref
2.1.2.132	PEPS Re-engineering Requirements	The solution shall provide the ability to enter future dates for school closure, future eligibility action, and other fields for which business requirements specify a need.	Functionality not in PEPS	Not currently available in PEPS. Discussed in the PEPS requirements section, with the implementation being more a workflow step than entering a future date into the production system.	Deliverable 127.1.2	8.1.12
2.1.2.133	PEPS Re-engineering Requirements	The solution shall provide enhancements to the existing module for recording ongoing details for each Closed School.	Functionality partially in PEPS	Enhancement to the current PEPS system.	Deliverable 127.1.2	8.1.13
2.1.2.134	PEPS Re-engineering Requirements	The solution shall provide a module to log and compile student complaints.	Functionality partially in PEPS		Deliverable 127.1.2	8.1.14
2.1.2.135	PEPS Re-engineering Requirements	The solution shall include a tracking system for Letters of Credit from all schools.	Functionality partially in PEPS		Deliverable 127.1.2	8.1.15
2.1.2.136	PEPS Re-engineering Requirements	The solution shall provide options to log and ID each type of program review including Model Case Enforcements.	Functionality partially in PEPS		Deliverable 127.1.2	8.1.16
2.1.2.137	PEPS Re-engineering Requirements	The solution shall include a data element for file review for program reviews - including analysis across regions identifying when/why used.	Functionality partially in PEPS		Deliverable 127.1.2	8.1.17
2.1.2.138	PEPS Re-engineering Requirements	The solution shall provide an automated method in which to log reimbursement batches submitted.	N/A		Deliverable 127.1.2	8.1.18
2.1.2.139	PEPS Re-engineering Requirements	The solution shall provide a system that sums the individual programs for the reimbursement analyst to search for in GAPS.	N/A		Deliverable 127.1.2	8.1.19
2.1.2.140	PEPS Re-engineering Requirements	The solution shall provide a method for recording totals and identifying fund types as well as recording comments.	N/A		Deliverable 127.1.2	8.1.20



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Req #	Functional Area	Functional Requirement Description	Currently in PEPS?	Comments	Source	X-Ref
2.1.2.141	PEPS Re-engineering Requirements	The solution shall require an appropriate reason code as teams place "potential" Closed Schools on reimbursement.	Functionality partially in PEPS	Enhancement to the current PEPS system.	Deliverable 127.1.2	8.1.21
2.1.2.142	PEPS Re-engineering Requirements	The solution shall provide an accurate automated reflection of multiple and long-term MIS activities with a single start and end date.	Functionality not in PEPS		Deliverable 127.1.2	8.1.22
2.1.2.143	PEPS Re-engineering Requirements	The solution shall have a method of capturing IIS onsite notes and distributing to case teams.	Functionality not in PEPS		Deliverable 127.1.2	8.1.23
2.1.2.144	PEPS Re-engineering Requirements	The solution shall integrate the functionality in the current separate systems (PEPS, eZ-Audit, CMIS, any regional homegrown systems, etc).	N/A	Larger issue than just a PEPS enhancement.	Deliverable 127.1.2	8.1.24
2.1.2.145	PEPS Re-engineering Requirements	The solution shall include a system of record for each data element. (Eliminate duplicate data within the CMO system and between CMO and non-CMO systems).	N/A	Larger issue than just PEPS. An enhancement to the current PEPS system would be to make eZ-Audit related data non-editable in PEPS.	Deliverable 127.1.2	8.1.25
2.1.2.146	PEPS Re-engineering Requirements	The solution shall include a data dictionary defining the exact meaning of all fields in the system.	Functionality partially in PEPS	This would require an enhancement of the current functionality.	Deliverable 127.1.2	8.1.26
2.1.2.147	PEPS Re-engineering Requirements	Each data element in the solution shall have a data owner responsible for the integrity of that data.	Functionality partially in PEPS	This would require an enhancement of the current functionality.	Deliverable 127.1.2	8.1.27
2.1.2.148	PEPS Re-engineering Requirements	The solution shall include more automated edits than the current systems - certain errors could be eliminated if system included data edits.	Functionality partially in PEPS	This would require an enhancement of the current functionality.	Deliverable 127.1.2	8.1.28
2.1.2.149	PEPS Re-engineering Requirements	The solution shall address internal use vs. public information maintained in the system (FOIA issues).	Functionality partially in PEPS	This would require an enhancement of the current functionality.	Deliverable 127.1.2	8.1.29



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Req #	Functional Area	Functional Requirement Description	Currently in PEPS?	Comments	Source	X-Ref
2.1.2.150	PEPS Re-engineering Requirements	Screen data in the new solution shall be structured to provide more ease of use than current PEPS screens.	Functionality partially in PEPS	This would require an enhancement of the current functionality.	Deliverable 127.1.2	8.1.30
2.1.2.151	PEPS Re-engineering Requirements	The solution shall provide a better method of running regional reports.	Functionality partially in PEPS	This would require an enhancement of the current functionality.	Deliverable 127.1.2	8.1.31
2.1.2.152	PEPS Re-engineering Requirements	The solution shall include upgraded hardware and software to quicken the time it takes to manipulate large amounts of student data.	N/A	Not a PEPS issue, since this deals with student data.	Deliverable 127.1.2	8.1.32
2.1.2.153	PEPS Re-engineering Requirements	The solution shall have the ability to view/print case information by date range, issues, etc.	Functionality partially in PEPS	I do not believe this functionality is currently in PEPS.	Deliverable 127.1.2	8.1.33
2.1.2.154	PEPS Re-engineering Requirements	The solution shall include updated dropdown menus of reasons (start with those currently in PEPS).	Functionality partially in PEPS	This would require an enhancement of the current functionality.	Deliverable 127.1.2	8.1.34
2.1.2.155	PEPS Re-engineering Requirements	The solution shall save data iterations for historical purposes – so you can see information status at a specific previous point in time (e.g., PPA, ECAR from previous recertification).	Functionality partially in PEPS	This would require an enhancement of the current functionality.	Deliverable 127.1.2	8.1.35
2.1.2.156	PEPS Re-engineering Requirements	The solution shall provide a better facility for documenting decisions. The solution must provide multiple levels for recording the rationale and recommendations for decision for each transaction: level 1 - for the analyst and each reviewer; level 2 - for the sub team, if any; level 3 - for the full team.	Functionality partially in PEPS	This would require an enhancement of the current functionality.	Deliverable 127.1.2	8.1.36
2.1.2.157	PEPS Re-engineering Requirements	The solution shall eliminate the current confusion regarding what information must be recorded in PEPS vs. CMIS, and the duplication of case information in both systems.	N/A	They are actually part of the same system (PEPS), so this may just be an enhancement to eliminate "duplicate" data.	Deliverable 127.1.2	8.1.37



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Req #	Functional Area	Functional Requirement Description	Currently in PEPS?	Comments	Source	X-Ref
2.1.2.158	PEPS Re-engineering Requirements	The solution shall allow flexibility surrounding the timing of the documentation of the decision. Documentation and data entry can occur concurrently with the decision.	Functionality not in PEPS		Deliverable 127.1.2	8.1.38
2.1.2.159	PEPS Re-engineering Requirements	The solution shall have the ability to capture multiple actions for one decision.	Functionality not in PEPS		Deliverable 127.1.2	8.1.39
2.1.2.160	PEPS Re-engineering Requirements	The solution shall provide a chronology of dates/events for a particular school.	N/A		Deliverable 127.1.2	8.1.40
2.1.2.161	PEPS Re-engineering Requirements	The solution shall provide a comprehensive school contact record, including phone calls, emails, and letters.	Functionality partially in PEPS	There is some capability of tracking contact details in PEPS (and eZ-Audit). This may require enhancement to make it easier to use.	Deliverable 127.1.2	8.1.41
2.1.2.162	PEPS Re-engineering Requirements	School contacts, especially phone calls, shall be able to be quickly and easily captured in the solution.	Functionality partially in PEPS	There is some capability of tracking contact details in PEPS (and eZ-Audit). This may require enhancement to make it easier to use.	Deliverable 127.1.2	8.1.42
2.1.2.163	PEPS Re-engineering Requirements	The solution shall be able to track pertinent information about correspondence generated, including person requesting, letter type, and date sent.	Functionality partially in PEPS	For the correspondence currently generated by PEPS, much of this information is included. The system would have to be enhanced to generate the full range of documents.	Deliverable 127.1.2	8.1.43
2.1.2.164	PEPS Re-engineering Requirements	The solution shall prevent the initiation of duplicate or contradictory correspondence to schools.	Functionality not in PEPS		Deliverable 127.1.2	8.1.44
2.1.2.165	Policy/Procedure Requirements	Guidance shall be provided for Case Teams to complete the DDIF and the ACD with revised liability amounts by deficiencies.	N/A		Deliverable 127.1.2	8.3.1



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Req #	Functional Area	Functional Requirement Description	Currently in PEPS?	Comments	Source	X-Ref
2.1.2.166	Policy/Procedure Requirements	The solution shall provide detailed guidelines on who shall initiate debarment requests.	N/A		Deliverable 127.1.2	8.3.2
2.1.2.167	Policy/Procedure Requirements	The solution shall periodically perform a mass confirmation of officials including validation of email address and phone numbers.	Functionality not in PEPS	This is discussed in the PEPS requirements. The implementation might be difficult, but in theory this is a good requirement.	Deliverable 127.1.2	8.3.3
2.1.2.168	Policy/Procedure Requirements	The solution shall make use of electronic signature legislation in developing new processes.	N/A		Deliverable 127.1.2	8.3.4
2.1.2.169	Policy/Procedure Requirements	The solution shall reevaluate the questions on the recertification application regarding participation levels in Distance Ed.	N/A		Deliverable 127.1.2	8.3.5
2.1.2.170	Policy/Procedure Requirements	The solution shall rephrase the eApp questions to gather detailed information as to the "Cease of instruction date" to reduce the amount of research conducted by Closed Schools.	N/A	Should be part of the ongoing eApp reengineering discussion.	Deliverable 127.1.2	8.3.6
2.1.2.171	Policy/Procedure Requirements	The solution shall re-examine the change in ownership process.	N/A		Deliverable 127.1.2	8.3.7
2.1.2.172	Policy/Procedure Requirements	The solution shall list the students' name and SSN in the audit.	N/A		Deliverable 127.1.2	8.3.8
2.1.2.173	Policy/Procedure Requirements	The solution shall update deficiency codes.	N/A		Deliverable 127.1.2	8.3.9
2.1.2.174	Policy/Procedure Requirements	The solution shall investigate a more efficient way to receive closed school / location notification.	N/A		Deliverable 127.1.2	8.3.10
2.1.2.175	Policy/Procedure Requirements	The solution shall implement a standard method for receiving and responding to institutional complaints across all agencies within ED, including complaints regarding schools from Customer Service, Student Ombudsman, and Debt Collection.	N/A		Deliverable 127.1.2	8.3.11



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Req #	Functional Area	Functional Requirement Description	Currently in PEPS?	Comments	Source	X-Ref
2.1.2.176	Policy/Procedure Requirements	The solution shall reevaluate the Distance Ed 50% limit (current law states that in order to be eligible for title IV funds, you cannot provide more than 50% of instruction via distance ed).	N/A	This requirement needs to be reviewed with Case teams prior to implementation. Functionality surrounding Distance ED is partially in PEPS today.	Deliverable 127.1.2	8.3.13
2.1.2.177	Policy/Procedure Requirements	The solution shall develop and implement a clearer definition of the levels of program review results. (The current 1-4 system is open to a great deal of interpretation).	N/A		Deliverable 127.1.2	8.3.14
2.1.2.178	Policy/Procedure Requirements	The solution shall determine whether the FPRD shall be approved by upper management.	N/A		Deliverable 127.1.2	8.3.15
2.1.2.179	Policy/Procedure Requirements	The solution shall perform an update to the 2001 Program Review Guide.	N/A		Deliverable 127.1.2	8.3.16
2.1.2.180	Policy/Procedure Requirements	The solution shall perform an update to the procedures and reimbursement manual, to ensure analysts are working with the most up-to-date information.	N/A		Deliverable 127.1.2	8.3.17
2.1.2.181	Policy/Procedure Requirements	The solution shall reevaluate PIP procedures for reimbursement.	N/A		Deliverable 127.1.2	8.3.18
2.1.2.182	Policy/Procedure Requirements	The solution shall perform an analysis to rectify how FSA can properly monitor Reimbursement schools on FFEL since Guarantee Agencies are outside of the FSA purview.	N/A		Deliverable 127.1.2	8.3.19
2.1.2.183	Policy/Procedure Requirements	The solution shall create policy guidelines as to how long schools can remain on reimbursement before losing eligibility.	N/A		Deliverable 127.1.2	8.3.20
2.1.2.184	Policy/Procedure Requirements	The solution shall clearly define roles and responsibilities of the training officers, client account managers, and IIS.	N/A		Deliverable 127.1.2	8.3.21
2.1.2.185	Policy/Procedure Requirements	The IIS manual shall be revised and updated.	N/A		Deliverable 127.1.2	8.3.22



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Req #	Functional Area	Functional Requirement Description	Currently in PEPS?	Comments	Source	X-Ref
2.1.2.186	Policy/Procedure Requirements	The solution shall develop a standardized request form for vetting. Currently there is not one, many times requests come in on schools with missing information.	N/A		Deliverable 127.1.2	8.3.25
2.1.2.187	Policy/Procedure Requirements	The solution shall conduct a periodic re-evaluations policy to determine what will be updated and modified.	N/A		Deliverable 127.1.2	8.3.26
2.1.2.188	Policy/Procedure Requirements	The solution shall perform policy and procedure updates with current systems in mind to ensure that policies are up to date with latest technology.	N/A		Deliverable 127.1.2	8.3.27
2.1.2.189	Training Requirements	The solution shall make TA policy determination regarding audits/certifications for institutions with multiple branches shall the audit/ certifications occur at the corporate level or the individual school level.	N/A	Edits could potentially be implemented to facilitate this. The determination as to the type of edits will need to be determined during the detailed requirements phase.	Deliverable 127.1.2	8.4.1
2.1.2.190	Training Requirements	The solution shall check accrediting agency data periodically against OPE's list of approved accreditors.	N/A	Edits could potentially be implemented to facilitate this. The determination as to the type of edits will need to be determined during the detailed requirements phase.	Deliverable 127.1.2	8.4.2
2.1.2.191	Training Requirements	The solution shall provide training on the determination of revocations, denials, provisional recertification or any adverse actions.	N/A		Deliverable 127.1.2	8.4.3
2.1.2.192	Training Requirements	The solution shall provide additional training to teams in interpreting crime statistics.	N/A		Deliverable 127.1.2	8.4.4
2.1.2.193	Training Requirements	The solution shall provide additional training on detecting fraud during onsite reviews.	N/A		Deliverable 127.1.2	8.4.5
2.1.2.194	Training Requirements	The solution shall offer a "refresher" course on program review techniques to field staff.	N/A		Deliverable 127.1.2	8.4.6



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Req #	Functional Area	Functional Requirement Description	Currently in PEPS?	Comments	Source	X-Ref
2.1.2.195	Training Requirements	The solution shall provide a comprehensive overview of the system for all New Hires.	N/A		Deliverable 127.1.2	8.4.7

Table 3: High-Level eCMO Requirements Matrix



2.1.3 Enrollment Management

FSA would like to improve the processes Trading Partners use for signing up to conduct business with them. Currently, FSA Trading Partners go through separate certification and enrollment processes to become eligible to participate in the administration of Title IV funds, exchange data through the Student Aid Internet Gateway (SAIG), and sign up for access to individual FSA systems. This fragmented and disjointed enrollment process makes it extremely difficult for new Trading Partners to initiate business with FSA. It also complicates the procedures existing Trading Partners use to maintain access to all the systems needed to perform their business functions.

A major goal of the IPM solution is to streamline the enrollment process for FSA Trading Partners. The IPM solution will provide a single point of entry where Trading Partners apply for eligibility and initially enroll in all FSA services and programs. A link to the enterprise workflow engine will be utilized to obtain the proper authorizations and approvals. Upon receiving the proper authorization and approvals, the pertinent information will then be passed along to the Access Management component, which establishes individual user access to FSA systems.

During this effort, the requirements as documented in the Enrollment Management Business Objectives and High-Level Requirements (Deliverable 123.1.26) were examined in depth to identify and adjust potential gaps. In some cases, the requirements have been slightly reworded to ensure consistency across all requirements within this document and to ensure they fit within the scope of the IPM solution as discussed within Section 1.1 - Background.

The following table presents the requirements from the Enrollment initiative that will help define the Enrollment portion of the IPM solution. It includes the requirement number under IPM, the functional area each requirement applies to, a functional description for each requirement, any relevant comments related to each requirement, the source of the requirement, and any cross reference number that may apply. Each of the requirements included below has been validated by identified FSA SMEs and/or FSA Management.



**Integrated Partner Management Solution
Requirements Gap Analysis
Non-Case Management Requirements**

Req. #	Functional Area	Functional Requirement Description	Comments	Source	X-Ref
2.1.3.1	Effective Decision Making	The solution shall support making enrollment decisions at the enterprise level instead of by system.		Deliverable 123.1.26	A1.1.1
2.1.3.2	Effective Decision Making	The solution shall take into account unique requirements of foreign schools when making decisions about enrollment (registration).		Deliverable 123.1.26	A1.1.2
2.1.3.3	Effective Decision Making	The solution shall facilitate decision making with an effective enrollment (registration) approval workflow process.		Deliverable 123.1.26	A1.1.3
2.1.3.4	Effective Decision Making	The solution shall provide the capability to review default and overpayment records.		Deliverable 123.1.26	B1.1.1
2.1.3.5	Effective Decision Making	The solution shall enable enrollment decisions at the business process level.		Deliverable 123.1.26	B1.1.2
2.1.3.6	Right Tools & Technology	The solution shall enable integration across business processes to support the use of a single UserID and password.		Deliverable 123.1.26	A2.1.02
2.1.3.7	Right Tools & Technology	The solution shall provide cost effective tools for managing enrollment (registration).		Deliverable 123.1.26	A2.1.07
2.1.3.8	Right Tools & Technology	The solution shall provide, where possible, automated tools for enrollment.		Deliverable 123.1.26	A2.1.08
2.1.3.9	Right Tools & Technology	The solution shall support unique requirements associated with enrollment management of foreign schools.		Deliverable 123.1.26	A2.1.09
2.1.3.10	Right Tools & Technology	The solution shall provide workflow tools that support enrollment (registration) approval processes.		Deliverable 123.1.26	A2.1.10
2.1.3.11	Right Tools & Technology	The solution shall provide institution enrollment status via the Web.		Deliverable 123.1.26	A2.2.2
2.1.3.12	Right Tools & Technology	The solution shall provide users with a view of their enrollment status.		Deliverable 123.1.26	A2.2.3
2.1.3.13	Right Tools & Technology	The solution shall mitigate risk with a single enrollment point to the Title IV Aid Delivery process.		Deliverable 123.1.26	A2.3.1



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Req. #	Functional Area	Functional Requirement Description	Comments	Source	X-Ref
2.1.3.14	Right Tools & Technology	The solution shall provide business continuity processes that allow easy recovery of enrollment management systems.		Deliverable 123.1.26	A2.3.2
2.1.3.15	Right Tools & Technology	The solution shall provide flexible provisioning services for existing and future systems.		Deliverable 123.1.26	A2.4.1
2.1.3.16	Right Tools & Technology	The solution shall support future system consolidation efforts.		Deliverable 123.1.26	A2.4.2
2.1.3.17	Right Tools & Technology	The solution shall support easier enrollment management for legacy systems with minimal or no rework.		Deliverable 123.1.26	A2.4.3
2.1.3.18	Right Tools & Technology	The solution shall support the adoption of e-signatures.		Deliverable 123.1.26	A2.4.5
2.1.3.19	Right Tools & Technology	The solution shall provide flexibility to accommodate changes in business process, regulations, and statutes.		Deliverable 123.1.26	A2.4.6
2.1.3.20	Right Tools & Technology	The solution shall provide an audit trail sufficient to track updates and perform historical research.		Deliverable 123.1.26	B2.1.3
2.1.3.21	Right Tools & Technology	The solution shall support consolidated reporting on enrollment management across FSA systems.		Deliverable 123.1.26	B2.1.6
2.1.3.22	Right Tools & Technology	The solution shall establish standards for the initial identification of users.		Deliverable 123.1.26	C2.1.1
2.1.3.23	Right Tools & Technology	The solution shall define delegated administration standards for Trading Partners.		Deliverable 123.1.26	C2.1.3
2.1.3.24	Right Tools & Technology	The solution shall create enrollment management standards to define integration guidelines for future systems.		Deliverable 123.1.26	C2.1.8
2.1.3.25	Right Tools & Technology	The solution shall provide a secure infrastructure for enrollment management.		Deliverable 123.1.26	C2.2.1
2.1.3.26	Improve and Integrate Business Processes	The solution shall consolidate duplicated system enrollment processes.		Deliverable 123.1.26	A3.1.1



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Req. #	Functional Area	Functional Requirement Description	Comments	Source	X-Ref
2.1.3.27	Improve and Integrate Business Processes	The solution shall provide a common collection point and storage location for Trading Partner data.		Deliverable 123.1.26	A3.1.2
2.1.3.28	Improve and Integrate Business Processes	The solution shall share information across FSA systems throughout the Student Aid Lifecycle.		Deliverable 123.1.26	A3.1.3
2.1.3.29	Improve and Integrate Business Processes	The solution shall provide a method for viewing enrollment management data from a single location.		Deliverable 123.1.26	A3.1.4
2.1.3.30	Improve and Integrate Business Processes	The solution shall minimize the number of initial contact points for the system enrollment process to other systems.		Deliverable 123.1.26	A3.1.5
2.1.3.31	Improve and Integrate Business Processes	The solution shall support a common method for communicating information about enrollment management to users.		Deliverable 123.1.26	A3.1.6
2.1.3.32	Improve and Integrate Business Processes	The solution shall consider and incorporate external regulatory requirements affecting enrollment management.		Deliverable 123.1.26	B3.1.1
2.1.3.33	Improve and Integrate Business Processes	The solution shall provide methods to track FSA compliance with regulations as they change.		Deliverable 123.1.26	B3.1.2
2.1.3.34	Improve and Integrate Business Processes	The solution shall provide efficient help desk support for Trading Partners.		Deliverable 123.1.26	C3.1.1
2.1.3.35	Improve and Integrate Business Processes	The solution shall provide common processes that allow help desk staff to handle cross-enterprise support issues.		Deliverable 123.1.26	C3.1.2
2.1.3.36	Improve and Integrate Business Processes	The solution shall provide enrollment status to help desk staff for customer support.		Deliverable 123.1.26	C3.1.3
2.1.3.37	Improve and Integrate Business Processes	The solution shall create effective communication and education channels for explaining the enrollment management process.		Deliverable 123.1.26	C3.1.4



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Req. #	Functional Area	Functional Requirement Description	Comments	Source	X-Ref
2.1.3.38	Improve and Integrate Business Processes	The solution shall provide training on expected user responsibilities.		Deliverable 123.1.26	C3.1.5

Table 4: High-Level Enrollment Requirements Matrix



2.1.4 Access Management

Currently, FSA's diverse user population coupled with numerous platforms and security processes create challenges for both Trading Partners and FSA. Trading Partners are often frustrated because they must obtain and remember different UserIDs and passwords. The absence of an enterprise view of enrollment and access management makes it difficult for FSA to efficiently manage and monitor its systems. For example, existing security tools do not allow FSA to readily view or report on the access privileges of a user across multiple FSA systems. Some user access management tasks require significant manual processing by administrators for each system. As a result, it is not possible to quickly revoke access for a user or an entire Trading Partner across multiple FSA systems.

The IPM solution will be responsible for the business process behind Trading Partner access management. Work is currently underway including performing a tools analysis for identity and management (Task Order 143 - Identity and Access Management Tools Analysis). The IPM solution integrates with the resulting enterprise tool for identity and access management to provide a seamless solution for Trading Partner enrollment and access management.

During this effort, the requirements as documented in the Access Management Business Objectives and High-Level Requirements (Deliverable 123.1.27) were examined in depth to identify and adjust potential gaps. In some cases, the requirements have been slightly reworded to ensure consistency across all requirements within this document and to ensure they fit within the scope of the IPM solution as discussed within Section 1.1 - Background.

The following table presents the requirements from the Access Management initiative that will help define the Access Management portion of the IPM solution. It includes the requirement number under IPM, the functional area each requirement applies to, a functional description for each requirement, any relevant comments related to each requirement, the source of the requirement, and any cross reference number that may apply. Each of the requirements included below has been validated by identified FSA SMEs and/or FSA Management.



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Req. #	Functional Area	Functional Requirement Description	Comments	Source	X-Ref
2.1.4.1	Effective Decision Making	The solution shall support making access decisions at the enterprise level instead of by system.		Deliverable 123.1.27	A1.1.1
2.1.4.2	Effective Decision Making	The solution shall take into account unique requirements of foreign schools when making decisions about registration and access.		Deliverable 123.1.27	A1.1.2
2.1.4.3	Effective Decision Making	The solution shall facilitate decision making with an effective enrollment registration and access approval workflow process.		Deliverable 123.1.27	A1.1.3
2.1.4.4	Effective Decision Making	The solution shall provide the capability to review default and overpayment records.		Deliverable 123.1.27	B1.1.1
2.1.4.5	Effective Decision Making	The solution shall enable access decisions at the business process level.		Deliverable 123.1.27	B1.1.2
2.1.4.6	Right Tools & Technology	The solution shall administer access privileges at the enterprise level.		Deliverable 123.1.27	A2.1.01
2.1.4.7	Right Tools & Technology	The solution shall enable integration across business processes to support use of a single UserID and password.		Deliverable 123.1.27	A2.1.02
2.1.4.8	Right Tools & Technology	The solution shall ensure that each UserID is associated with a single user or entity.		Deliverable 123.1.27	A2.1.03
2.1.4.9	Right Tools & Technology	The solution shall support single sign-on functions.		Deliverable 123.1.27	A2.1.04
2.1.4.10	Right Tools & Technology	The solution shall support multiple user sessions.		Deliverable 123.1.27	A2.1.05



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Req. #	Functional Area	Functional Requirement Description	Comments	Source	X-Ref
2.1.4.11	Right Tools & Technology	The solution shall provide methods to enable and disable user access at specified begin and end dates.		Deliverable 123.1.27	A2.1.06
2.1.4.12	Right Tools & Technology	The solution shall provide cost effective tools for managing access.		Deliverable 123.1.27	A2.1.07
2.1.4.13	Right Tools & Technology	The solution shall provide, where possible, automated tools for access management.		Deliverable 123.1.27	A2.1.08
2.1.4.14	Right Tools & Technology	The solution shall support unique requirements associated with access management of foreign schools.		Deliverable 123.1.27	A2.1.09
2.1.4.15	Right Tools & Technology	The solution shall provide workflow tools that support access approval processes.		Deliverable 123.1.27	A2.1.10
2.1.4.16	Right Tools & Technology	The solution shall effectively terminate access rights across systems.		Deliverable 123.1.27	A2.1.11
2.1.4.17	Right Tools & Technology	The solution shall provide a method for easy password reset.		Deliverable 123.1.27	A2.1.12
2.1.4.18	Right Tools & Technology	The solution shall support self-service administration of user access by the Trading Partner.		Deliverable 123.1.27	A2.2.1
2.1.4.19	Right Tools & Technology	The solution shall provide users with a view of their access status.		Deliverable 123.1.27	A2.2.3



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Req. #	Functional Area	Functional Requirement Description	Comments	Source	X-Ref
2.1.4.20	Right Tools & Technology	The solution shall mitigate risk with single access point to the Title IV Aid Delivery process.		Deliverable 123.1.27	A2.3.1
2.1.4.21	Right Tools & Technology	The solution shall provide business continuity processes that allow easy recovery of access management systems.		Deliverable 123.1.27	A2.3.2
2.1.4.22	Right Tools & Technology	The solution shall provide session timeout features that balance usability with FSA security requirements.		Deliverable 123.1.27	A2.3.3
2.1.4.23	Right Tools & Technology	The solution shall minimize restrictions on public information.		Deliverable 123.1.27	A2.3.4
2.1.4.24	Right Tools & Technology	The solution shall provide flexible provisioning services for existing and future systems.		Deliverable 123.1.27	A2.4.1
2.1.4.25	Right Tools & Technology	The solution shall support future system consolidation efforts.		Deliverable 123.1.27	A2.4.2
2.1.4.26	Right Tools & Technology	The solution shall support easier access management for legacy systems with minimal or no rework.		Deliverable 123.1.27	A2.4.3
2.1.4.27	Right Tools & Technology	The solution shall support simplified user identification/certification between FSA and other government agencies.		Deliverable 123.1.27	A2.4.4
2.1.4.28	Right Tools & Technology	The solution shall system needs to support adoption of e-signatures.		Deliverable 123.1.27	A2.4.5



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Req. #	Functional Area	Functional Requirement Description	Comments	Source	X-Ref
2.1.4.29	Right Tools & Technology	The solution shall provide flexibility to accommodate changes in business process, regulations, and statutes.		Deliverable 123.1.27	A2.4.6
2.1.4.30	Right Tools & Technology	The solution shall provide the ability to efficiently identify accounts that should be removed or disabled.		Deliverable 123.1.27	B2.1.1
2.1.4.31	Right Tools & Technology	The solution shall provide a convenient, effective way to view and report on the access privileges of users across multiple systems.		Deliverable 123.1.27	B2.1.2
2.1.4.32	Right Tools & Technology	The solution shall provide an audit trail sufficient to track updates and perform historical research.		Deliverable 123.1.27	B2.1.3
2.1.4.33	Right Tools & Technology	The solution shall provide the ability to view user access privileges over time.		Deliverable 123.1.27	B2.1.4
2.1.4.34	Right Tools & Technology	The solution shall provide automated procedures to identify anomalies in access or inappropriate combinations of access privileges across systems.		Deliverable 123.1.27	B2.1.5
2.1.4.35	Right Tools & Technology	The solution shall support consolidated reporting access management across FSA systems.		Deliverable 123.1.27	B2.1.6
2.1.4.36	Right Tools & Technology	The solution shall establish standards for initial identification of users.		Deliverable 123.1.27	C2.1.1
2.1.4.37	Right Tools & Technology	The solution shall define enterprise user access privileges and roles.		Deliverable 123.1.27	C2.1.2



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Req. #	Functional Area	Functional Requirement Description	Comments	Source	X-Ref
2.1.4.38	Right Tools & Technology	The solution shall define delegated administration standards for Trading Partners.		Deliverable 123.1.27	C2.1.3
2.1.4.39	Right Tools & Technology	The solution shall define enterprise standards for the authentication of users.		Deliverable 123.1.27	C2.1.4
2.1.4.40	Right Tools & Technology	The solution shall define signature standards for both wet signatures and on-line signatures.		Deliverable 123.1.27	C2.1.5
2.1.4.41	Right Tools & Technology	The solution shall define standards for periodic review of access privileges across systems.		Deliverable 123.1.27	C2.1.6
2.1.4.42	Right Tools & Technology	The solution shall define standards for periodic review of audit logs across systems.		Deliverable 123.1.27	C2.1.7
2.1.4.43	Right Tools & Technology	The solution shall create access management standards to define integration guidelines for future systems.		Deliverable 123.1.27	C2.1.8
2.1.4.44	Right Tools & Technology	The solution shall provide secure infrastructure for access management.		Deliverable 123.1.27	C2.2.1
2.1.4.45	Right Tools & Technology	The solution shall provide controls to mitigate risks associated with consolidated UserIDs.		Deliverable 123.1.27	C2.2.2
2.1.4.46	Right Tools & Technology	The solution shall provide centralized oversight of system security to identify potential security breaches.		Deliverable 123.1.27	C2.2.3



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Req. #	Functional Area	Functional Requirement Description	Comments	Source	X-Ref
2.1.4.47	Right Tools & Technology	The solution shall enforce individual accountability across FSA systems.		Deliverable 123.1.27	C2.2.4
2.1.4.48	Right Tools & Technology	The solution shall establish enterprise-wide policy, participation agreements, and audits to limit a single UserID to a single user.		Deliverable 123.1.27	C2.2.5
2.1.4.49	Right Tools & Technology	The solution shall provide role-based access to FSA systems.		Deliverable 123.1.27	C2.3.1
2.1.4.50	Right Tools & Technology	The solution shall create flexible roles to allow for changes and additions independent of the lifecycle phase.		Deliverable 123.1.27	C2.3.2
2.1.4.51	Right Tools & Technology	The solution shall support exceptions to standard access roles.		Deliverable 123.1.27	C2.3.3
2.1.4.52	Right Tools & Technology	The solution shall integrate Trading Partner access with Dept of Education Staff access processes.		Deliverable 123.1.27	C2.3.4
2.1.4.53	Right Tools & Technology	The solution shall provide the ability to control access at different levels of granularity.		Deliverable 123.1.27	C2.3.5
2.1.4.54	Right Tools & Technology	Support ability to designate the recipient of a requested file.		Deliverable 123.1.27	C2.3.6
2.1.4.55	Improve and Integrate Business Processes	The solution shall provide a common collection point and storage location for Trading Partner data.		Deliverable 123.1.27	A3.1.2



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Req. #	Functional Area	Functional Requirement Description	Comments	Source	X-Ref
2.1.4.56	Improve and Integrate Business Processes	The solution shall share information across FSA systems throughout the Student Aid Lifecycle.		Deliverable 123.1.27	A3.1.3
2.1.4.57	Improve and Integrate Business Processes	The solution shall provide a method for viewing access management data from a single location.		Deliverable 123.1.27	A3.1.4
2.1.4.58	Improve and Integrate Business Processes	The solution shall minimize the number of initial contact points for obtaining user access to systems.		Deliverable 123.1.27	A3.1.5
2.1.4.59	Improve and Integrate Business Processes	The solution shall support a common method for communicating information about access management to users.		Deliverable 123.1.27	A3.1.6
2.1.4.60	Improve and Integrate Business Processes	The solution shall consider and incorporate external regulatory requirements affecting access management.		Deliverable 123.1.27	B3.1.1
2.1.4.61	Improve and Integrate Business Processes	The solution shall provide methods to track FSA compliance with regulations as they change.		Deliverable 123.1.27	B3.1.2
2.1.4.62	Improve and Integrate Business Processes	The solution shall provide efficient help desk support for Trading Partners.		Deliverable 123.1.27	C3.1.1
2.1.4.63	Improve and Integrate Business Processes	The solution shall provide common processes that allow help desk staff to handle cross-enterprise support issues.		Deliverable 123.1.27	C3.1.2
2.1.4.64	Improve and Integrate Business Processes	The solution shall create effective communication and education channels for explaining the access management process.		Deliverable 123.1.27	C3.1.4
2.1.4.65	Improve and Integrate Business Processes	The solution shall provide training on expected user responsibilities.		Deliverable 123.1.27	C3.1.5
2.1.4.66	Improve and Integrate Business Processes	The solution shall consider access needs during peak processing periods.		Deliverable 123.1.27	C3.2.1



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Req. #	Functional Area	Functional Requirement Description	Comments	Source	X-Ref
2.1.4.67	Improve and Integrate Business Processes	The solution shall provide for proactive notification of password expiration.		Deliverable 123.1.27	C3.2.2

Table 5: High-level Access Management Requirements Matrix



2.2 IPM Core Functionality

The proposed IPM Framework highlights multiple functions that will form the core of the IPM solution. Portions of those functions, including Eligibility Management, Enrollment Management, and School On-Going Oversight, currently exist primarily in four legacy systems: eCampus Based (eCB), eZ-Audit, Participation Management and the Postsecondary Education Participants System (PEPS). Part of the goal of this gap analysis is to understand all the high-level functions that each of these systems performs today to ensure that these functions are absorbed into the IPM solution. A second part is to identify requirements identify functions that are not currently being performed within the four systems; however, it is desired that those additional functions exist within the future solution. The following sections describe the primary functions of each of the four systems at a high-level as well as discuss how they fit into the IPM solution going forward. Each section also includes the high-level requirements specific to each system that help define the IPM solution.

2.2.1 eCampus Based (eCB)

The Electronic Campus Based System (eCB) allows Schools to apply for Title IV Campus Based Aid from FSA. The main information form that eCB receives from the School is the Fiscal Operations Report and Application to Participate (FISAP). FSA uses this information to determine the Campus Based Aid awarded in the form of the Federal Perkins Loan, Federal Supplemental Educational Opportunity Grant (FSEOG), and the Federal Work-Study programs (FWS).

FISAPs are submitted to eCB with information about the identity and demographics of the School, the application to participate, and the prior fiscal year spending of Campus Based Aid. This information, along with any unspent amounts reported from the prior year, is then verified with data received from PEPS to determine the eligibility of each School. Using various formulas, simulations, a set of fixed parameters, and scenarios for calculating awards, the eCB staff can tentatively determine fairly distributed funding amounts. These are then distributed to Schools in order for them to confirm the requested award amounts with FSA's calculations. The final funding notifications are distributed by eCB later in the life cycle. In addition, eCB sends data on the unpaid teacher cancellations liabilities, which are Federal Perkins Loan Service Cancellation Reimbursement and Payment letters to notify the school of upcoming reimbursement amounts.

The functionality currently performed by the eCB system related to the FISAP processing and prior year spending will be incorporated into the IPM solution. Additional discussions are necessary concerning the allocation award functionality and whether it falls within the Origination and Disbursement Business Capability as defined in the Data Strategy Target State Vision of the Data Framework Specification (Deliverable 123.1.4). As part of this process, eCB sends four allocation files to FMS. As the IPM solution is developed, considerations need to be made to determine if this information is provided directly to FMS by the IPM solution or be directly available to FMS from the Common Data Architecture. The need for the IPM solution to provide this information directly to FMS is entirely dependent upon whether or not FMS continues to be its own source of data.



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Additionally, several security issues must be resolved regarding access to the IPM solution. The current eCB system requires users to access the site using a PIN for authentication purposes whereas other systems do not require this information. FSA application security requirements are currently being revisited under the Identity and Access Management Tools Analysis initiative (Task Order 143). The IPM solution needs to adhere to any new requirements resulting from that effort.

The following table presents the requirements related to eCB that will help define the IPM solution and includes the requirement number under IPM, the functional area each requirement applies to, a functional description for each requirement, any relevant comments related to each requirement, the source of the requirement, and any cross reference number that may apply. Each of the requirements included below has been validated by identified FSA SMEs and/or FSA Management.



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Req. #	Functional Area	Functional Requirement Description	Comments	Source	X-Ref
2.2.1.1	Accounting	The solution shall track and allow viewing of accounting transaction history records.		Deliverable 70.1.8	ADMCX002
2.2.1.2	Accounting	The solution shall enable the setting up of Funding Authorization Amounts.		New based on existing functionality	N/A
2.2.1.3	Accounting	The solution shall enable the setting up of Account Classification Codes.		New based on existing functionality	N/A
2.2.1.4	Accounting	The solution shall facilitate the approval process for all award transaction generated from other modules.		New based on existing functionality	N/A
2.2.1.5	Awards	The solution shall allow viewing/editing of base guarantees, LOE amounts, and cumulative Teacher Cancellation payments to schools.		Deliverable 70.1.8	ADMGX015
2.2.1.6	Communication Log	The solution shall track telephone log information.		Deliverable 70.1.8	ADMGX001
2.2.1.7	Communication Log	The solution shall display and archive telephone log data.		Deliverable 70.1.8	ADMGX002
2.2.1.8	Communication Log	The solution shall allow viewing and editing of the telephone log.		Deliverable 70.1.8	ADMGX003
2.2.1.9	Communication Log	The solution shall allow all fields in the phone log to be searchable.		Deliverable 70.1.8	ADMGX004
2.2.1.10	Communication Log	The solution shall contain a comment box to depict the nature of the call.		Deliverable 70.1.8	ADMGX005
2.2.1.11	Default Reduction Assistance	The system shall produce Dept. of Education Default Warning Letters.		New based on existing functionality	N/A
2.2.1.12	Default Reduction Assistance	The system shall send students Default Warning Letters upon request from school or servicer.		New based on existing functionality	N/A



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Req. #	Functional Area	Functional Requirement Description	Comments	Source	X-Ref
2.2.1.13	FISAP Application	The solution shall allow users to access the current eCB edit reports and other quality control reports used to find possibly incorrect FISAP data submitted by schools each year. The reports shall be accessible on-line and be downloadable files.		Deliverable 70.1.8	ADMAX004
2.2.1.14	FISAP Application	The solution shall allow for viewing of the FISAP edit errors and allow the suppression of edits either globally or by individual schools.		Deliverable 70.1.8	ADMAX005
2.2.1.15	FISAP Application	The solution shall allow viewing of the FISAP form itself for a particular year.		Deliverable 70.1.8	ADM CX001
2.2.1.16	FISAP Application	The solution shall allow user to view and edit demographics data such as, school's name, address, ID numbers, and Financial Management Specialist.		Deliverable 70.1.8	ADM CX004
2.2.1.17	FISAP Application	The solution shall allow editing of the school's contact email information.		Deliverable 70.1.8	ADM CX009
2.2.1.18	FISAP Application	The solution shall provide access to the name, address, and OPEID number of each branch of a school.		Deliverable 70.1.8	ADM CX011
2.2.1.19	FISAP Application	The solution shall allow a user to view school's prior year data.		Deliverable 70.1.8	ADM CX012
2.2.1.20	FISAP Application	The solution shall allow comments to be viewable, along with the ability to add and change comments about a school's current FISAP submission.		Deliverable 70.1.8	ADM CX013
2.2.1.21	FISAP Application	The solution shall allow user to view specific parts of the FISAP.		Deliverable 70.1.8	ADM CX014
2.2.1.22	FISAP Application	The solution shall allow users to view edits.		Deliverable 70.1.8	ADM CX015
2.2.1.23	FISAP Application	The solution shall allow users to view allocations.		Deliverable 70.1.8	ADM CX016
2.2.1.24	FISAP Application	The solution shall allow integrated display of year over year comparisons.		Deliverable 70.1.8	ADM CX017



**Integrated Partner Management Solution
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Req. #	Functional Area	Functional Requirement Description	Comments	Source	X-Ref
2.2.1.25	FISAP Application	The solution shall facilitate the submittal of New FISAPs.		New based on existing functionality	N/A
2.2.1.26	FISAP Application	The solution shall facilitate the submittal of Reallocation Forms.		New based on existing functionality	N/A
2.2.1.27	FISAP Application	The solution shall allow updates to be made to the FISAPs.		New based on existing functionality	N/A
2.2.1.28	FISAP Application	The solution shall allow viewing of the FISAPs.		New based on existing functionality	N/A
2.2.1.29	FISAP Application	The solution shall allow viewing of Edit Errors and School Explanation of Edit Errors.		New based on existing functionality	N/A
2.2.1.30	FISAP Application	The solution shall allow viewing of Campus-Based Notifications and Award Data.		New based on existing functionality	N/A
2.2.1.31	Future Release	The solution shall calculate the average tuition and fees.		Deliverable 70.1.8	ADM CX034
2.2.1.32	Future Release	The solution shall allow the user to view other modules. For example: (1) Before overpayments are sent there needs to be a mechanisms to allow the controller to review the PLIST to determine if the school is currently being liquidated, (2) PLIST needs to view into TC payment.		Deliverable 70.1.8	ADM CX040
2.2.1.33	Future Release	The solution shall all documents to be attached to the caller ticket.		Deliverable 70.1.8	ADM GX007
2.2.1.34	Future Release	The solution shall contain an interface to COGNOS or its data.		Deliverable 70.1.8	ADM GX010



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Req. #	Functional Area	Functional Requirement Description	Comments	Source	X-Ref
2.2.1.35	Future Release	The solution shall have the ability to report all notifications in one report to letter to provide this information to the school.		Deliverable 70.1.8	ADMGX012
2.2.1.36	Future Release	The solution shall have an interface between ELC and TC, as requested by CB staff.		Deliverable 70.1.8	ADMGX013
2.2.1.37	Hold Schools	The solution shall allow viewing and archiving of hold release data.		Deliverable 70.1.8	ADMGX003
2.2.1.38	Hold Schools	The solution shall allow the user to view and update the status section, including the hold status and allocated funds.		Deliverable 70.1.8	ADMGX041
2.2.1.39	Hold Schools	The solution shall allow tracking of Schools and Dollars on hold.		New based on existing functionality	N/A
2.2.1.40	Liquidation	The solution shall calculate the overtime ratio for schools that are liquidating- this is based on four data elements on the FISAP.		Deliverable 70.1.8	ADMGX030
2.2.1.41	Liquidation	The solution shall programmatically determine if schools met all requirements for closeout during liquidation.		Deliverable 70.1.8	ADMGX031
2.2.1.42	Manual Adjustments	The solution shall allow entry of manual calculations for tracking purposes.		Deliverable 70.1.8	ADMGX033
2.2.1.43	Manual Adjustments	The solution shall allow submitting award adjustments outside of other processes.		New based on existing functionality	N/A
2.2.1.44	New School	The solution shall have the ability to modify or add new award IDs for a serial number and school year.		Deliverable 70.1.8	ADMGX022
2.2.1.45	New School	The solution shall allow Campus-Based serial numbers to be established for new schools.		New based on existing functionality	N/A
2.2.1.46	New School	The solution shall have the ability to move FISAP to School's New Campus-Based Serial Number.		New based on existing functionality	N/A



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Req. #	Functional Area	Functional Requirement Description	Comments	Source	X-Ref
2.2.1.47	PLIST	The solution shall include the recalculation process in the PLIST (Liquidation).		Deliverable 70.1.8	ADMCX032
2.2.1.48	PLIST	The solution shall allow multi-screen functionality (PLIST must have the capability to be pulled on the screen with the FISAP with the history file, etc.).		Deliverable 70.1.8	ADMCX035
2.2.1.49	PLIST	The solution shall have the capability to generate response letters automatically from the PLIST solution.		Deliverable 70.1.8	ADMCX036
2.2.1.50	PLIST	The solution shall have the ability to view multiple years of data simultaneous for a School.		Deliverable 70.1.8	ADMCX037
2.2.1.51	PLIST	The solution shall allow an automated calculation for PLIST when changes are made to the FISAP.		Deliverable 70.1.8	ADMCX038
2.2.1.52	PLIST	The solution shall allow the calculation of Excess Liquid Capital Amounts.		New based on existing functionality	N/A
2.2.1.53	PLIST	The solution shall notify Schools of Excess Liquid Capital and actions to be taken.		New based on existing functionality	N/A
2.2.1.54	PLIST	The solution shall track School responses and return of Perkins Funds.		New based on existing functionality	N/A
2.2.1.55	Recalculation	The solution shall automatically recalculate any transaction that is edited.		Deliverable 70.1.8	ADMCX043
2.2.1.56	Recalculation	The solution shall have the ability to do a "what if analysis".		Deliverable 70.1.8	ADMCX046
2.2.1.57	Recalculation	The solution shall store recalculations and maintain an audit trail for viewing.		Deliverable 70.1.8	ADMCX047
2.2.1.58	Recalculation	The solution shall produce Award De-obligations based on Recalculation results.		New based on existing functionality	N/A



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Req. #	Functional Area	Functional Requirement Description	Comments	Source	X-Ref
2.2.1.59	Recalculation	The solution shall recalculate a School's Awards when FISAP application data changes after finals.		New based on existing functionality	N/A
2.2.1.60	Reports	The solution shall contain a report that highlights changes from the PEPS feed.		Deliverable 70.1.8	ADM CX005
2.2.1.61	Reports	The solution shall provide Perkins data (Part 3 of the FISAP) to FMS (FMS to supply the interface).		Deliverable 70.1.8	ADM GX028
2.2.1.62	Reports	The solution shall provide the capability to view and print the entire FISAP report for each Campus-Based Program school.		Deliverable 70.1.8	RPTAC005
2.2.1.63	Reports	FISAP Part 1. The solution shall provide the capability to view and print the Part 1 - Identification report for each Campus-Based Program school.		Deliverable 70.1.8	RPTAC006
2.2.1.64	Reports	FISAP Part 2. The solution shall provide the capability to view and print the Part 2 - Application report for each Campus-Based Program school.		Deliverable 70.1.8	RPTAC007
2.2.1.65	Reports	FISAP Part 3. The solution shall provide the capability to view and print the Part 3 - Perkins report for each Campus-Based Program school.		Deliverable 70.1.8	RPTAC008
2.2.1.66	Reports	FISAP Part 4. The solution shall provide the capability to view and print the Part 4 - FSEOG report for each Campus-Based Program school.		Deliverable 70.1.8	RPTAC009
2.2.1.67	Reports	FISAP Part 5. The solution shall provide the capability to view and print the Part 5 - FWS report for each Campus-Based Program school.		Deliverable 70.1.8	RPTAC010
2.2.1.68	Reports	FISAP Part 6. The solution shall provide the capability to view and print the Part 6 - Program Summary report for each Campus-Based Program school.		Deliverable 70.1.8	RPTAC011



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Req. #	Functional Area	Functional Requirement Description	Comments	Source	X-Ref
2.2.1.69	Reports	FISAP Additional Information. The solution shall provide the capability to view and print the Additional Information report for each Campus-Based Program school.		Deliverable 70.1.8	RPTAC012
2.2.1.70	Reports	FISAP Validation Edits. The solution shall provide the capability to view and print the Validation Edit Error Worksheet report for each Campus-Based Program school.		Deliverable 70.1.8	RPTAC013
2.2.1.71	Reports	Allocation Information Report. The solution shall provide the capability to view and print the Allocation Information Report.		Deliverable 70.1.8	RPTAC014
2.2.1.72	Reports	Submission Statistics Report. The solution shall provide the capability to view or print the Submission Statistics Report. This report shall list FISAP submission statistics such as the number of submissions received by the date entered, number received with and without data, the number received for each submission type, and number of Servicer submissions.		Deliverable 70.1.8	RPTAC032
2.2.1.73	Reports	Batch Report. The solution shall provide the capability to view and print the Batch Report. This report shall list each school for which a FISAP and/or FISAP-related paperwork was received and logged by the Campus-Based contractor and include the date of receipt and corresponding batch number.		Deliverable 70.1.8	RPTAC033
2.2.1.74	Reports	Incomplete Report. The solution shall provide the capability to view and print the Incomplete Report. This report shall list each school that submitted an incomplete FISAP and the reason for the incomplete submission.		Deliverable 70.1.8	RPTAC034
2.2.1.75	Reports	Error Log Report. The solution shall have the capability to view and edit the Error Log Report. This report shall list each school whose FISAP has been rejected and the reason for the rejection.		Deliverable 70.1.8	RPTAC035



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Req. #	Functional Area	Functional Requirement Description	Comments	Source	X-Ref
2.2.1.76	Reports	No Submitted FISAP and/or Signature Page. The solution shall be able to generate and print a report of schools that have not submitted a FISAP and/or Signature Page. The EIN column shall be removed. A signature column page shall be added.		Deliverable 70.1.8	RPTAU003
2.2.1.77	Reports	Incomplete FISAP Submission. The solution shall have the capability to view and edit an Incomplete FISAP Submission Report.		Deliverable 70.1.8	RPTAU007
2.2.1.78	Reports	Hold Schools Report. The solution shall have the capability to view and edit the Hold Schools Report. This report shall have the following columns: Serial number of the school, OPEID, DUNS, Hold Status, PEPS, NSLDS, FISAP, Perkins, date on hold/date release.		Deliverable 70.1.8	RPTCX001
2.2.1.79	Reports	Expenditure Amount Greater Than Award Report (Close Out). The solution shall have the capability to produce and print the Expended Amount Greater than Award Amount Report. This report shall list all schools have reported on the FISAP an expenditure amount.		Deliverable 70.1.8	RPTNV1301
2.2.1.80	Reports	FISAP Quality Control Report (Custom). The solution shall have the capability to produce and print the FISAP Quality Control Report. The fields shall include total eligible aid applicant comparison, FPL FCC comparison, FSEOG Federal Funds Comparison, FWS.		Deliverable 70.1.8	RPTNV1305
2.2.1.81	Reports	FISAPS Submitted After Final Awards Report. The solution shall have the capability to produce a listing of the FISAPs submitted after Final Awards for 2001-2002 Award Year. This report shall provide the staff a list of the FISAPs that have been submitted.		Deliverable 70.1.8	RPTNV1309
2.2.1.82	Reports	The solution shall contain all desired reports that are currently available in eCB. (Specific report requirements should be reviewed at later stage of IPM development).		New based on existing functionality	N/A



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Req. #	Functional Area	Functional Requirement Description	Comments	Source	X-Ref
2.2.1.83	School Update	The solution shall allow updating and viewing of School demographic data.		New based on existing functionality	N/A
2.2.1.84	School Update	The solution shall allow updating and viewing of school award parameters and school status flags.		New based on existing functionality	N/A
2.2.1.85	Teacher Cancellations	The solution shall track the amount of teacher and military cancellations overpayments.		Deliverable 70.1.8	ADM CX039
2.2.1.86	Teacher Cancellations	The solution shall provide a listing of low income elementary and secondary schools that qualify for loan cancellation if the Perkins Borrower teaches at that school.		New based on existing functionality	N/A
2.2.1.87	Tracking	The solution shall have the ability to view and archive tracking dates.		Deliverable 70.1.8	ADM CX006
2.2.1.88	Tracking	The solution shall allow user to view status information such as, current FISAP status, submitted waiver requests, Campus-Based solution status, and Final Allocations status.		Deliverable 70.1.8	ADM CX007
2.2.1.89	Tracking	The solution shall allow users to easily track a school's FISAP submission as well as view, change or add tracking dates.		Deliverable 70.1.8	ADM CX010
2.2.1.90	Tracking	The solution shall display school demographic data and school contact information.		New based on existing functionality	N/A
2.2.1.91	Tracking	The solution shall allow entering and displaying of Receipt dates and viewing of dates that notifications were sent out.		New based on existing functionality	N/A
2.2.1.92	Underutilization Waivers	The solution shall reflect the underutilization information from the FISAPs.		Deliverable 70.1.8	ADM CX020
2.2.1.93	Underutilization Waivers	The system shall allow reviewing (approving/denying) under use waiver requests.		New based on existing functionality	N/A



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Req. #	Functional Area	Functional Requirement Description	Comments	Source	X-Ref
2.2.1.94	Underutilization Waivers	The system shall allow posting of Approval/Denial letters.		New based on existing functionality	N/A
2.2.1.95	Work-Colleges	The solution shall allow letters and work college FISAP automated and sent out together.		Deliverable 70.1.8	ADMGX016
2.2.1.96	Work-Colleges	The solution shall track schools qualified and participating in the work colleges program.		New based on existing functionality	N/A
2.2.1.97	Work-Colleges	The solution shall provide work colleges application form and expenditure report form.		New based on existing functionality	N/A

Table 6: High-Level eCB Requirements Matrix



2.2.2 eZ-Audit

FSA launched the eZ-Audit system in April of 2003 and it is the application used to electronically receive and process audits and financial statements for schools participating in Title IV programs. Schools submit their audits and financial statements in PDF format via the eZ-Audit website. From the website, they fill out summary information and answer required questions for scoring. The eZ-Audit system scores the submissions and flags that warrant further case review. To ensure accurate and complete submissions, the Document Receipt and Control Center (DRCC) performs a quality assurance (QA) check on all submissions before they are released for case team review. Submissions that are not flagged for review are accepted as complete after QA review. Submissions that are flagged are assigned to the appropriate case team and worked to completion.

The eZ-Audit application is currently undergoing Release 2.0 development to modify the processing of annual submissions. All of the functional requirements of the first two releases are included within the IPM solution. The IPM solution does not limit any functionality provided by eZ-Audit, but instead looks to include eZ-Audit in a larger view of Trading Partner oversight. To accomplish this, the workflow, document management, and security functions in eZ-Audit will be integrated into enterprise solutions for these areas accessible via the IPM solution. The goal of this is not to change or limit eZ-Audit's functionality, but rather to provide a consistent capability to all oversight functions.

The following table presents the requirements related to eZ-Audit that will help define the IPM solution and includes the requirement number under IPM, the functional area each requirement applies to, a functional description for each requirement, any relevant comments related to each requirement, the source of the requirement, and any cross reference number that may apply. Each of the requirements included below has been validated by identified FSA SMEs and/or FSA Management.



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Req. #	Functional Area	Functional Requirement Description	Comments	Source	X-Ref
2.2.2.1		The solution shall meet all the current eZ-Audit requirements.	The eZ-Audit functional and technical requirements have been documented for each release. These will form the base set of requirements for the schools audit and financial statement processing for IPM.	New based on existing functionality	N/A
2.2.2.2		The solution shall accept audits from Trading Partners and provide a module for FSA staff to process them.		New based on existing functionality	N/A
2.2.2.3		The solution shall accept financial statements from Trading Partners and provide a module for FSA staff to process them.		New based on existing functionality	N/A
2.2.2.4		The solution shall need to accept electronic attachments from Trading Partners.		New based on existing functionality	N/A
2.2.2.5		The solution shall utilize a workflow tool to provide approval processing for case teams and management.	The eZ-Audit workflow and work management processes should be integrated or replaced with the IPM / enterprise workflow.	New	N/A
2.2.2.6		The solution shall provide work areas for case team members to do the majority of their work within the solution.	The goal is to limit the amount of work done outside the system and to make the work more consistent.	New based on existing functionality	N/A
2.2.2.7		The solution shall accept an automatic feed from the Federal Audit Clearinghouse.	This could either be through a true electronic interface or through the current file upload process. The decision is somewhat limited by the Clearinghouse's technical capability.	New	N/A



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Req. #	Functional Area	Functional Requirement Description	Comments	Source	X-Ref
2.2.2.8		The solution shall allow schools to manage their own users once a designated administrator is authorized.		New based on existing functionality	N/A
2.2.2.9		The solution shall only allow a new annual submission to be made if all prior submissions have been submitted.		New based on existing functionality	N/A
2.2.2.10		The solution shall accept financial statement and audit submissions from all school types (i.e. Public, Proprietary, Nonprofit, etc.).		New based on existing functionality	N/A
2.2.2.11		The solution shall include the Trading Partners as a formal workflow state to allow reporting of the exact submission status at a point in time.	For example, if additional information were requested, the system would track this as work waiting on the school.	New based on existing functionality	N/A
2.2.2.12		The solution shall provide the same or more user roles for schools.		New based on existing functionality	N/A
2.2.2.13		The solution shall integrate or replace eZ-Audit and Acorde document management, document generation, and records management capabilities.		New	N/A
2.2.2.14		The solution shall integrate or replace the eZ-Audit security solution for user creation and authentication.		New based on existing functionality	N/A
2.2.2.15		The solution shall eliminate the need for duplicate audit / financial statement data storage.	The data currently stored in both PEPS and eZ-Audit should be stored in one common repository, the CDA, and be maintained by the IPM solution.	New	N/A
2.2.2.16		The solution shall utilize a document management system that is NARA-certified application to eliminate the need for both paper and electronic storage of records.		New	N/A



**Integrated Partner Management Solution
Requirements Gap Analysis
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Req. #	Functional Area	Functional Requirement Description	Comments	Source	X-Ref
2.2.2.17		The solution shall integrate or replace the eZ-Audit reporting capability with the IPM reporting capability.		New based on existing functionality	N/A
2.2.2.18		The solution shall integrate or replace the eZ-Audit audit trail.		New based on existing functionality	N/A
2.2.2.19		The solution shall key off RID rather than OPEID.	This assumes that RID is implemented as part of IPM.	New	N/A
2.2.2.20		The solution shall import funding level data for Title IV Schools from Census.		New based on Release Planning Meeting	N/A
2.2.2.21		The solution shall provide a weekly file data feed of audit data to the OCFO (CARS solution).		New based on Release Planning Meeting	N/A
2.2.2.22		The solution shall integrate merger notifications in eApp with case team functionality to improve the handling of mergers to better track what submissions are required.		New based on Release Planning Meeting	N/A
2.2.2.23		The solution shall display a notification/link to submit a Closeout audit to a propriety institution that is absorbed through a Merger.		New based on Release Planning Meeting	N/A
2.2.2.24		The solution shall update the change in ownership process to require the appropriate submissions to perform the analysis. For example, when the owner is new and not already tracked in the solution, two years of financial statements shall be required.		New based on Release Planning Meeting	N/A
2.2.2.25		The solution shall manage school groups and how change in ownership and mergers affect them automatically.	The current process involved manually updating school groups in PEPS. This should be automated as much as possible to ensure the proper	New based on Release Planning Meeting	N/A



**Integrated Partner Management Solution
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Req. #	Functional Area	Functional Requirement Description	Comments	Source	X-Ref
			submissions are required.		
2.2.2.26		The solution shall support a Corporate or State entity ID (does not have an OPEID) that has the ability to submit for a group.	This is likely handled by RID.	New based on Release Planning Meeting	N/A

Table 7: eZ-Audit High-Level Requirements Matrix



2.2.3 Participation Management

The Participation Management system enables enrollment in the Student Aid Internet Gateway (SAIG). Trading Partner's must determine which services are necessary and then enroll appropriate individuals as destination point administrators (DPAs) for the specific services that they want to access. The Participation Management system currently allows the establishment of DPA's for Federal Direct Loan Programs, Central Processing System (CPS), Federal Pell Grant Programs, and FISAP in the Federal Campus Based Programs, National Student Loan Data System (NSLDS), and the Lender Reporting System (LaRS).

Once a DPA enrolls, a destination point, or mailbox, is established with an assigned TG number (TG#) that identifies the DPA's destination point or mailbox on the SAIG. This TG# is then utilized to exchange files between external Trading Partners and internal FSA systems.

A major assumption of the IPM solution is that the SAIG is still in place as it is today when the IPM solution is implemented. This being the case, the process for signing up for SAIG mailboxes will be incorporated into the IPM solution allowing one centralized location for Trading Partners' DPAs to enroll and be granted access to all FSA systems. This consolidation of eligibility and enrollment processes enables FSA to reduce the burden of administering separate user names and passwords for the various systems and simplifies enrollment and access for all FSA Trading Partners.

The following table presents the requirements related to Participation Management that will help define the IPM solution and includes the requirement number under IPM, the functional area each requirement applies to, a functional description for each requirement, any relevant comments related to each requirement, the source of the requirement, and any cross reference number that may apply. Each of the requirements included below has been validated by identified FSA SMEs and/or FSA Management.



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Req #	Functional Area	Functional Requirement Description	Comments	Source	X-Ref
2.2.3.1		The solution shall enable DPA to obtain destination points and TG#s.		New based on existing functionality	N/A
2.2.3.2		The solution shall administer TG#s for Trading Partners and internal users.		New based on existing functionality	N/A
2.2.3.3		The solution shall administer customer numbers.		New based on existing functionality	N/A
2.2.3.4		The solution shall connect TG#s to services.		New based on existing functionality	N/A
2.2.3.5		The solution shall trigger a TDCM mailbox request.		New based on existing functionality	N/A
2.2.3.6		The solution shall manage changes to enrollment services.		New based on existing functionality	N/A
2.2.3.7		The solution shall allow SAIG approval signature to be obtained and stored.		New based on existing functionality	N/A



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Req #	Functional Area	Functional Requirement Description	Comments	Source	X-Ref
2.2.3.8		The solution shall maintain a list of all eligible institutions/Lenders/Guaranty Agencies (Trading Partners).		New based on existing functionality	N/A
2.2.3.9		The solution shall update TG information in participation file and send to applications.		New based on existing functionality	N/A
2.2.3.10		The solution shall collect demographic information.		New based on existing functionality	N/A

Table 8: Participation Management High-Level Requirements Matrix



2.2.4 Postsecondary Education Participants System (PEPS)

The Postsecondary Education Participants System (PEPS) is FSA's management information system of all organizations that have a role in administering Federal Student Aid or in other Higher Education Act programs. PEPS maintains eligibility, certification, demographic, financial, review, audit, and default rate data on all Schools, Lenders and Guarantors participating in the Title IV programs. Online access to the PEPS database is available to individuals from ED, GAs, State Licensing Agencies, Accrediting Agencies, State Departments of Education, and other entities with FSA oversight roles.

PEPS distributes data to other FSA systems via a daily file, known as the Daily School File, containing all relevant information related to Schools participating in Title IV programs. PEPS also provides this file to other entities on a weekly basis. The electronic application for participation (eApp) functionality is also a part of PEPS.

The current PEPS business functionality will form the foundation for the IPM solution. The IPM solution needs to integrate with or replace the existing PEPS database and the various business modules (e.g., CMIS, Technical Assistance, etc.) currently built in PEPS. These pieces perform many of the core functions of an integrated IPM solution and, when supplemented with the additional functionality referenced throughout the rest of this document, provide a holistic view of Trading Partner oversight, management, and maintenance.

The following table presents the requirements related to PEPS that will help define the IPM solution and includes the requirement number under IPM, the functional area each requirement applies to, a functional description for each requirement, any relevant comments related to each requirement, the source of the requirement, and any cross reference number that may apply. Each of the requirements included below has been validated by identified FSA SMEs and/or FSA Management.



**Integrated Partner Management Solution
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Req #	Functional Area	Functional Requirement Description	Currently in PEPS?	Comments	Source	X-Ref
2.2.4.1	Participation Management	The solution shall generate a RID when a new eApp is submitted.	Functionality not in PEPS		New based on existing functionality	N/A
2.2.4.2	Participation Management	The solution shall generate all other identifiers (i.e. OPEID, TG#) upon approval of an application.	Functionality partially done in PEPS	OPEID Currently done in PEPS. TG # is part of SAIG solution currently.	New based on existing functionality	N/A
2.2.4.3	Participation Management	The solution shall populate all current data when a school logs on to eApp.	Functionality currently in PEPS		New based on existing functionality	N/A
2.2.4.4	Participation Management	The solution shall capture eApp changes as work items to be reviewed by FSA.	Functionality currently in PEPS	The solution should also restrict update access to trading partners or customer service where appropriate. For example, FSA employees should not update Financial Aid Administrator contact information, that should be the institutions responsibility to maintain	New based on existing functionality	N/A
2.2.4.5	Participation Management	The solution shall record all decisions made based on eApp submissions / changes.	Functionality currently in PEPS		New based on existing functionality	N/A



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Req #	Functional Area	Functional Requirement Description	Currently in PEPS?	Comments	Source	X-Ref
2.2.4.6	Participation Management	The solution shall allow schools to update all relevant demographic data. The changes shall not take effect without FSA review.	Functionality currently in PEPS		New based on existing functionality	N/A
2.2.4.7	Participation Management	The solution shall capture all demographic information about an institution / entity.	Functionality currently in PEPS		New based on existing functionality	N/A
2.2.4.8	Participation Management	The solution shall ask all required questions currently on the eApp.	Functionality currently in PEPS		New based on existing functionality	N/A
2.2.4.9	Participation Management	The solution shall allow schools to apply for the Direct Loan program through the eApp.	Functionality currently in PEPS		New based on existing functionality	N/A
2.2.4.10	Participation Management	The solution shall allow the approval and start date for the DL program to be entered.	Functionality currently in PEPS		New based on existing functionality	N/A
2.2.4.11	Participation Management	The solution shall provide an interface into Direct Loan program data by institution.	Functionality currently in PEPS		New based on existing functionality	N/A



**Integrated Partner Management Solution
Requirements Gap Analysis
Non-Case Management Requirements**

Req #	Functional Area	Functional Requirement Description	Currently in PEPS?	Comments	Source	X-Ref
2.2.4.12	Participation Management	The solution shall track all correspondence related to the Direct Loan program.	Functionality not in PEPS	Currently done in COD. This requirement would be enabled by the ERM / enterprise workflow tool selection.	New based on existing functionality	N/A
2.2.4.13	Participation Management	The solution shall generate a PPA.	Functionality currently in PEPS	Currently done in PEPS. This requirement would be enabled by the ERM / enterprise workflow tool selection.	New based on existing functionality	N/A
2.2.4.14	Participation Management	The solution shall generate an Eligibility and Certification Approval Report.	Functionality currently in PEPS	Currently done in PEPS. This requirement would be enabled by the ERM / enterprise workflow tool selection.	New based on existing functionality	N/A
2.2.4.15	Participation Management	The solution shall maintain the data for schools eligible for the Direct Loan program.	Functionality currently in PEPS		New based on existing functionality	N/A
2.2.4.16	Participation Management	The solution shall record changes to origination option changes, change in ownership, school closure, emergency actions, FFEL loss of eligibility, loss of accreditation, Merger/Consolidation, Terminations, withdrawal from Direct Loan program, and loss of Title.	Functionality currently in PEPS		New based on existing functionality	N/A
2.2.4.17	Participation Management	The solution shall accept experimental site applications.	Functionality not in PEPS	This can either be as part of the eApp or a stand-alone application	New based on existing functionality	N/A



**Integrated Partner Management Solution
Requirements Gap Analysis
Non-Case Management Requirements**

Req #	Functional Area	Functional Requirement Description	Currently in PEPS?	Comments	Source	X-Ref
2.2.4.18	Participation Management	The solution shall track correspondence and decisions related to Experimental Site participants.	Functionality partially done in PEPS	This can either be as part of the eApp or a stand-alone application. This requirement would be enabled by the ERM / enterprise workflow tool selection.	New based on existing functionality	N/A
2.2.4.19	Participation Management	The solution records date Institutional Response was received.	Functionality currently in PEPS		New based on existing functionality	N/A
2.2.4.20	Participation Management	The solution provides a list of all institutional applicants to Case Teams.	Functionality currently in PEPS		New based on existing functionality	N/A
2.2.4.21	Participation Management	The solution shall record Execution date (if school is selected).	Functionality currently in PEPS		New based on existing functionality	N/A
2.2.4.22	Participation Management	The solution shall record date PPA Addendum is sent to institution.	Functionality currently in PEPS		New based on existing functionality	N/A
2.2.4.23	Participation Management	The solution shall record date PPA Addendum is received.	Functionality currently in PEPS		New based on existing functionality	N/A



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Req #	Functional Area	Functional Requirement Description	Currently in PEPS?	Comments	Source	X-Ref
2.2.4.24	Participation Management	The solution shall allow Case Team Member to input applicable waivers for the application.	Functionality currently in PEPS		New based on existing functionality	N/A
2.2.4.25	Default Management	The solution shall receive draft and official default rates.	Functionality currently in PEPS	Default rates data is calculated in NSLDS and sent to PEPS. PEPS then becomes the owner of the data and controls all changes (based on appeals).	New based on existing functionality	N/A
2.2.4.26	Default Management	The solution shall perform letter assignment.	Functionality currently in PEPS		New based on existing functionality	N/A
2.2.4.27	Default Management	The solution shall allow manual adjustment of letter assignment.	Functionality partially done in PEPS		New based on existing functionality	N/A
2.2.4.28	Default Management	The solution shall capture appeal determinations.	Functionality not in PEPS	This is currently done in an Access database on the FSA LAN. This functionality could be moved to the IPM solution.	New based on existing functionality	N/A
2.2.4.29	Default Management	The solution shall generate a press package.	Functionality currently in PEPS		New based on existing functionality	N/A



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Req #	Functional Area	Functional Requirement Description	Currently in PEPS?	Comments	Source	X-Ref
2.2.4.30	Default Management	The solution shall generate labels.	Functionality currently in PEPS		New based on existing functionality	N/A
2.2.4.31	Default Management	The solution shall allow official default information to be made available to other solutions.	Functionality currently in PEPS		New based on existing functionality	N/A
2.2.4.32	Default Management	The solution shall customize letters to institutions based on the institution's official default rate.	Functionality partially done in PEPS	PEPS currently allows 4 types of letters: NC01 - no action NC02 - > 25% rate for 3 years NC03 - Extended Loss NC04 - school is currently > 40.1%	New based on existing functionality	N/A
2.2.4.33	Default Management	The solution shall allow default rate changes for up to three years.	Functionality currently in PEPS		New based on existing functionality	N/A
2.2.4.34	Default Management	The solution shall send letters to institutions.	Functionality currently in PEPS	ECDR used for US schools, Fed Ex for International.	New based on existing functionality	N/A



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Req #	Functional Area	Functional Requirement Description	Currently in PEPS?	Comments	Source	X-Ref
2.2.4.35	Default Management	The solution shall publish an aggregate Loan Record Detail Report.	Functionality currently in PEPS		New based on existing functionality	N/A
2.2.4.36	Default Management	The solution shall record draft, recalculated, and final default rates.	Functionality currently in PEPS		New based on existing functionality	N/A
2.2.4.37	Default Management	The solution shall provide a reinstatement date when a school loses eligibility.	Functionality currently in PEPS		New based on existing functionality	N/A
2.2.4.38	Default Management	The solution shall publish prior year default corrections.	Functionality currently in PEPS		New based on existing functionality	N/A
2.2.4.39	Operations	The solution shall provide all required trading partner information to other FSA solution (i.e. have the same abilities as the current school file).	Functionality currently in PEPS	Currently done via School file	New based on existing functionality	N/A
2.2.4.40	Operations	The solution shall provide an indicator of when the data for a particular trading partner was last updated.	Functionality currently in PEPS	Currently done via School file	New based on existing functionality	N/A



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Req #	Functional Area	Functional Requirement Description	Currently in PEPS?	Comments	Source	X-Ref
2.2.4.41	Operations	The solution shall have the ability to provide Trading Partner demographic data to both internal FSA solution and external solutions as appropriate.	Functionality currently in PEPS	Currently done via School file	New based on existing functionality	N/A
2.2.4.42	Operations	The solution shall track default rate data by institution as received from NSLDS.	Functionality currently in PEPS		New based on existing functionality	N/A
2.2.4.43	Operations	The solution shall provide the required interfaces to support all FSA solutions. This may include real time access to data for some solution and batch file transfers for others.	Functionality partially done in PEPS	The delivery mechanism for the data could be a real-time interface, direct access, or a formatted message. The interface decisions shall be part of the data strategy effort.	New based on existing functionality	N/A
2.2.4.44	Operations	The solution shall provide access to trading partner data to external parties via the Internet or some other public media.	Functionality currently in PEPS	The goal of the access would be to allow the third parties easier access to institution data. This could involve making school information a web service.	New based on existing functionality	N/A
2.2.4.45	Schools Oversight	The solution shall record the reason for action.	Functionality currently in PEPS		New based on existing functionality	N/A
2.2.4.46	Schools Oversight	The solution shall allow Cash Monitoring status to be changed.	Functionality currently in PEPS		New based on existing functionality	N/A



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Req #	Functional Area	Functional Requirement Description	Currently in PEPS?	Comments	Source	X-Ref
2.2.4.47	Schools Oversight	The solution shall allow query for school and associated locations.	Functionality currently in PEPS		New based on existing functionality	N/A
2.2.4.48	Schools Oversight	The solution shall record verification correspondence between FSA and schools.	Functionality currently in PEPS		New based on existing functionality	N/A
2.2.4.49	Schools Oversight	The solution shall stop school eligibility for main location and sub location.	Functionality currently in PEPS		New based on existing functionality	N/A
2.2.4.50	Schools Oversight	The solution shall notify internal solutions.	Functionality currently in PEPS		New based on existing functionality	N/A
2.2.4.51	Operations	The solution shall have the ability to match OPEID/RID and IPEDS #'s and report any errors.	Functionality not in PEPS	Currently done manually by PEPS Staff	Meeting with PEPS staff	N/A
2.2.4.52	Operations	The solution needs to support an automated way of updating Congressional District changes.	Functionality not in PEPS	Currently done manually by PEPS Staff	Meeting with PEPS staff	N/A
2.2.4.53	Operations	The solution needs to support an automated update of area code changes by address.	Functionality not in PEPS		Meeting with PEPS staff	N/A



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Req #	Functional Area	Functional Requirement Description	Currently in PEPS?	Comments	Source	X-Ref
2.2.4.54	Operations	The solution needs to support automatic updates of +4 zip codes.	Functionality not in PEPS		Meeting with PEPS staff	N/A
2.2.4.55	Operations	The solution needs to have a way of validating e-mail addresses.	Functionality not in PEPS		Meeting with PEPS staff	N/A
2.2.4.56	School and Financial Partner Oversight	The solution should store all default rate information (PELL, DL, Perkins, eCB, etc).	Functionality partially in PEPS	This would include automated data feeds from all solutions that perform the calculations. The goal would be to only store the data in one location and to definitely only allow edits in one application.	Meeting with PEPS staff	N/A
2.2.4.57	eApp	The solution shall perform continuous matching of officials and debarment lists.	Functionality not in PEPS	Currently done by case teams	Meeting with PEPS staff	N/A
2.2.4.58	eApp	The solution shall perform analysis of some address related changes without requiring case intervention (i.e. zip code / street address changes with no change in City).	Functionality not in PEPS	Currently done by case teams	Meeting with PEPS staff	N/A
2.2.4.59	Schools Oversight	The solution shall allow future dates for closures and integrate future work into the work management / workflow solution.	Functionality not in PEPS	The future dating would be a workflow trigger to take actions on a certain date, not a change of production data prior to the event.	Meeting with PEPS staff	N/A
2.2.4.60	Participation Management	The solution shall have a single, consolidated set of contacts for a given trading partners. This shall eliminate the need for other solutions to store their own contact information.	Functionality partially in PEPS	The solutions that may currently store their own contact information include: COD, SAIG, Experimental Sites, DLCS, and Distance ED.	Meeting with PEPS staff	N/A
2.2.4.61	Participation Management	The solution shall be the solution of record for all school and financial partner servicer demographic data.	Functionality partially in PEPS		Meeting with PEPS staff	N/A



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Req #	Functional Area	Functional Requirement Description	Currently in PEPS?	Comments	Source	X-Ref
2.2.4.62	Operations	The solution shall create and manage the federal school codes.	Functionality currently in PEPS	Currently done in PEPS and included in the school file.	Meeting with PEPS staff	N/A
2.2.4.63	Schools Oversight	The solution shall contain the plans for monitoring and assisting at risk schools and perform analysis to gauge the success of those plans.	Functionality not in PEPS		Meeting with PEPS staff	N/A
2.2.4.64	Schools Oversight	The solution shall perform SSN matching for school officials and owners.	Functionality not in PEPS	This would likely require a Federal Register update to allow/mandate the storage of officials SSNs	Meeting with PEPS staff	N/A
2.2.4.65	Participation Management	The solution shall track participation and the end of participation in the QA programs and relevant QA program data.	Functionality currently in PEPS	Data is used to track at risk schools	Meeting with PEPS staff	N/A
2.2.4.66	Operations	The solution shall be able to import the LARS file and provide access to that data.	Functionality currently in PEPS	Currently done in PEPS	Meeting with PEPS staff	N/A
2.2.4.67	Operations	The solution shall accept DR information from NSLDS.	Functionality currently in PEPS	Once received from NSLDS, PEPS becomes the solution of record for this data.	Meeting with PEPS staff	N/A
2.2.4.68	Operations	The solution shall send DR changes back to NSLDS.	Functionality currently in PEPS	This is done to keep NSLDS up to date with the latest changes from appeals.	Meeting with PEPS staff	N/A
2.2.4.69	Operations	The solution shall receive the LRDR/no-LRDR file.	Functionality currently in PEPS	LRDR - Loan Record Detail Reports	Meeting with PEPS staff	N/A
2.2.4.70	Operations	All data transfers between IPM and other FSA systems shall go through EAI or some other FSA architecture standard.	Functionality partially in PEPS	No more FTP transfers.	Meeting with PEPS staff	N/A

Table 9: PEPS High-Level Functional Requirements Matrix



2.3 Interfacing Applications

As FSA progresses toward the IPM solution, the goal is to have a holistic view of all Trading Partner interactions across the enterprise. In order to achieve this goal, a common repository of all Trading Partner data is necessary. This common repository is known as the Common Data Architecture (CDA). While the CDA contains the data of record for all Trading Partner information, the IPM solution will be primarily responsible for maintaining this information. All FSA systems will utilize the CDA to access the Trading Partner data they require. Until this CDA is mature within the infrastructure, the IPM solution may need to provide Trading Partner data to these systems in the interim. The following sections describe the primary functions of each of the systems that require Trading Partner data at a high-level. Each section also includes the high-level requirements specific to each system that will help define the IPM solution.

2.3.1 Central Processing System (CPS)

The Central Processing System (CPS) is FSA's entry point for Students applying for Title IV Financial Aid. The CPS performs the following four main functions:

- Accept the aid application
- Perform preliminary eligibility checks, including External Agency verification
- Determine eligibility and calculate aid
- Communicate the student's eligibility to the School, Student, State Grant and Scholarship Agencies, and other Financial Partners

Aid application starts with the Free Application for Federal Student Aid (FAFSA). Students may apply for aid through four FAFSA related venues. FAFSA on the Web (FOTW) allows students to apply directly online and sends the information electronically to the CPS. FAFSA Express provides students with a downloadable application that can be filled out and submitted electronically. Students may also apply via the school's financial aid administration office, where the Financial Aid Administrator (FAA) enters FAFSA information into EDEXpress, submits it electronically to the SAIG mailbox, and consequentially to the CPS. Finally, the paper-based FAFSA forms are available for written completion and submission via mail or fax, for manual input into the CPS.

The CPS performs preliminary eligibility checks to authenticate the information provided on the FAFSA and determine the applicant's good standing with ED and its partners. This includes verifying identity, Social Security Number (SSN), Selective Service registration status, legal residence or citizenship, veterans status, if applicable, and that there are no current defaults. Upon verification, the CPS uses the Student's financial standing and Expected Family Contribution (EFC) to determine eligibility for aid and to calculate the amount of aid possible. In addition, the CPS uses the Federal School Code (FSC) it receives in the Daily School File from PEPS to track Schools listed on a Student's FAFSA and ultimately match the Student to the institution that they attend. Once all of this is done, this information is communicated to the Student via the Student Aid Report (SAR) and to the School via the Institutional Student Information Record (ISIR).



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In the future, the CPS needs the ability to receive/obtain the information currently within the Daily School File from the system that is responsible for storing/maintaining this information. The CPS will use the RID in place of the FSC to match the Student to the institution they are attending. This information will still be communicated to the Student via the SAR and the School via the ISIR. The IPM solution will assume that a mailboxing functionality, similar to SAIG, will continue to exist and the CPS will continue to utilize it to send information to Trading Partners.

One of the goals of IPM is to consolidate all Trading Partner data including contacts into a single common repository (i.e., the Common Data Architecture). This being the case, all Trading Partner contact information currently within the CPS moves from the CPS to the common repository.

The following table presents the requirements related to the CPS that will help define the IPM solution and includes the requirement number under IPM, the functional area each requirement applies to, a functional description for each requirement, any relevant comments related to each requirement, the source of the requirement, and any cross reference number that may apply. Each of the requirements included below has been validated by identified FSA SMEs and/or FSA Management.



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Req #	Functional Area	Functional Requirement Description	Comments	Source	X-Ref
2.3.1.1	Interfacing Application	The Central Processing System (CPS) shall receive/obtain the information currently within the Daily School File from the system that is responsible for storing/maintaining this information.	Depending on when the Common Data Architecture (CDA) is available there may be a need to continue to send the information in a file format. The goal for the future state is for this information to be stored within the CDA with the IPM responsible for maintaining this information.	New	N/A
2.3.1.2	Interfacing Application	The Central Processing System (CPS) shall eliminate the ability to edit and store the information currently within the Daily School File that is received/obtained from the system that is responsible for storing/maintaining this information.		New	N/A
2.3.1.3	Interfacing Application	The Central Processing System (CPS) shall no longer be responsible for storing/maintaining any trading partner contact information that it may store today.	The IPM solution will have a single, consolidated set of contacts for a given trading partner. This will eliminate the need for other systems to store their own contact information.	New	N/A

Table 10: CPS Interfacing High-Level Requirements Matrix



2.3.2 Common Origination and Disbursement (COD)

FSA launched the Common Origination and Disbursement (COD) system in April 2002. It is the replacement for the retired Direct Loan Origination System (DLOS) and the Recipient Financial Management System (RFMS). COD manages the origination and distribution of Pell Grants and Direct Loans for Schools participating in Title IV programs. COD receives origination and disbursement requests from participating Schools, processes these requests, and, once accepted, sends them to FMS for funding. The completed Direct Loan transactions are then sent to the Direct Loan Servicing System (DLSS), and the completed Pell records are sent to NSLDS for servicing and long-term storage.

COD currently receives a condensed version of the Daily School File created by PEPS through the Enterprise Application Integration (EAI) Bus containing all changes to school demographic and eligibility data. These changes to demographic and/or eligibility information for a particular School as indicated within the Daily School File requires updates to COD. In the future, COD needs the ability to receive / obtain the information currently within the Daily School File from the system that is responsible for storing / maintaining this information.

Additionally, COD currently maintains Direct Loan and Pell contacts and mailing addresses for each School outside of the current PEPS application. As mentioned previously, one of the goals of IPM is to consolidate all Trading Partner data including contacts into a single common repository (i.e., the Common Data Architecture). This being the case, the Direct Loan and PELL School contact information moves from COD to the common repository.

Another major function of COD is the creation and maintenance of the Common School ID (CSID) / Routing ID (RID) for all Schools within the FSA enterprise. This functionality is expanded under the IPM solution to creating and maintaining RIDs for all Trading Partners rather than just Schools. The ability to create new RIDs and maintain RIDs previously created will move from COD to the IPM solution. Another key touch point with COD that needs to be managed is the Change of Affiliation process. The RID helps manage Change of Affiliation issues by tying the identifier to each Trading Partner entity rather than to a specific location. The RID is not a business process change, but rather a tool that will help address current anomalies within existing business processes. Separate re-engineering/re-examination efforts for some business processes will be necessary to explore complete resolution of Change of Affiliation issues. COD needs to be updated to handle the results of such efforts.

The following table presents the requirements related to COD that will help define the IPM solution and includes the requirement number under IPM, the functional area each requirement applies to, a functional description for each requirement, any relevant comments related to each requirement, the source of the requirement, and any cross reference number that may apply. Each of the requirements included below has been validated by identified FSA SMEs and/or FSA Management.



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Req #	Functional Area	Functional Requirement Description	Comments	Source	X-Ref
2.3.2.1	Interfacing Application	The Common Origination and Disbursement (COD) system shall receive/obtain the information currently within the Daily School File from the system that is responsible for storing/maintaining this information.	Depending on when the Common Data Architecture (CDA) is available there may be a need to continue to send the information in a file format. The goal for the future state is for this information to be stored within the CDA with the IPM responsible for maintaining this information.	New	N/A
2.3.2.2	Interfacing Application	The Common Origination and Disbursement (COD) system shall eliminate the ability to edit and store the information currently within the Daily School File that is received/obtained from the system that is responsible for storing/maintaining this information.		New	N/A
2.3.2.3	Interfacing Application	The Common Origination and Disbursement (COD) system shall no longer be responsible for storing/maintaining the Direct Loan and Pell contact information or any other trading partner contact information that it may store today.	The IPM solution will have a single, consolidated set of contacts for a given trading partner. This will eliminate the need for other systems to store their own contact information.	New	N/A
2.3.2.4	Interfacing Application	The Common Origination and Disbursement (COD) system shall no longer be responsible for Common School ID (CSID)/Routing ID (RID) creation and/or maintenance.	The IPM solution will be responsible for Routing ID (RID) creation and maintenance.	New	N/A

Table 11: COD Interfacing High-Level Requirements Matrix



2.3.3 Common Services for Borrowers (CSB)

Common Services for Borrowers (CSB) is the solution slated to handle Borrower interaction with FSA once they enter the Servicing stage of the financial aid lifecycle. CSB consolidates ED's Direct Loan Servicing functions, Loan Consolidation processes, and Collection activities for \$96 billion in student loan obligations. Specifically, it combines the functions of several loan servicing systems including the Direct Loan Servicing System (DLSS), the Direct Loan Consolidation System (DLCS), the Debt Management Collections System (DMCS), and the Conditional Disability Discharge Tracking System (CDDTS) into a single seamless solution.

The contract for the CSB solution was just recently awarded so the actual solution has yet to be implemented. An assumption of the IPM solution, however, is that the CSB solution will be in place by the time the IPM solution is implemented, therefore requiring only a single communication channel rather than four separate communication channels to the existing systems that comprise CSB. If the CSB solution is not in place, the appropriate communication channels to the existing four systems that comprise CSB will need to be created.

Currently, the Direct Loan Consolidation System (DLCS) receives the Daily School File from PEPS containing all School demographic and eligibility data. In the future, CSB needs the ability to receive/obtain the information currently within the Daily School File from the system that is responsible for storing/maintaining this information. As the IPM solution is developed, considerations need to be made to determine if this information is provided directly to CSB by the IPM solution or be directly available to CSB from the Common Data Architecture. The need for the IPM solution to provide this information directly to CSB is entirely dependent upon whether or not CSB maintains its own source of data.

Additionally, several of the existing systems that comprise CSB maintain their own set of Trading Partner contacts. As mentioned previously, one of the goals of IPM is to consolidate all Trading Partner data including contacts into a single common repository (i.e., the Common Data Architecture). This being the case, the Trading Partner contacts currently contained within the existing systems that comprise CSB will move from CSB to the common repository or will at least be duplicated within the common repository should the CSB solution maintain its own source of data outside of the common repository.

The following table presents the requirements related to interfacing with CSB that will help define the IPM solution and includes the requirement number under IPM, the functional area each requirement applies to, a functional description for each requirement, any relevant comments related to each requirement, the source of the requirement, and any cross reference number that may apply. Each of the requirements included below has been validated by identified FSA SMEs and/or FSA Management.



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Req #	Functional Area	Functional Requirement Description	Comments	Source	X-Ref
2.3.3.1	Interfacing Application	The Common Services for Borrowers (CSB) solution shall receive/obtain the information currently within the Daily School File from the system that is responsible for storing/maintaining this information.	Depending on when the Common Data Architecture (CDA) is available there may be a need to continue to send the information in a file format. The goal for the future state is for this information to be stored within the CDA with the IPM responsible for maintaining this information.	New	N/A
2.3.3.2	Interfacing Application	The Common Services for Borrowers (CSB) solution shall eliminate the ability to edit and store the information currently within the Daily School File that is received/obtained from the system that is responsible for storing/maintaining this information.		New	N/A
2.3.3.3	Interfacing Application	The Common Services for Borrowers (CSB) solution shall no longer be responsible for storing/maintaining any trading partner contact information that it may store today.	The IPM solution will have a single, consolidated set of contacts for a given trading partner. This will eliminate the need for other systems to store their own contact information.	New	N/A

Table 12: CSB Interfacing High-Level Requirements Matrix



2.3.4 Financial Management System (FMS)

The Financial Management System (FMS) is the single FSA-wide, integrated financial management and reporting system. FMS provides FSA with a single-point for FSA program funding and financial data. It manages all financial transactions, the actual movement of funding authority, between FSA and Schools, Guaranty Agencies (GAs), and Lenders. It covers loan and grant information as well as campus-based awards and disbursements. All pertinent information about the schools demographics and their financial awards is retained within the FMS databases.

FMS also covers the invoice payment process. Each Lender and GA sends their invoice to FMS, where all the fees are calculated. This information is sent as a payment request to the Department of Treasury, which sends the payment to the appropriate GA. This process is also used for overpayment cases, where a request is sent via FMS to the Department of Treasury to return the payment.

Currently, FMS receives the Daily School File from PEPS containing all School demographic and eligibility data. In the future, FMS needs the ability to receive/obtain the information currently within the Daily School File from the system that is responsible for storing/maintaining this information. As the IPM solution is developed, considerations need to be made to determine if this information is provided directly to FMS by the IPM solution or be directly available to FMS from the Common Data Architecture. The need for the IPM solution to provide this information directly to FMS is entirely dependent upon whether or not FMS maintains its own source of data.

As mentioned previously, one of the goals of IPM is to consolidate all Trading Partner data including contacts into a single common repository (i.e., the Common Data Architecture). This being the case, all Trading Partner contact information currently within FMS will move from FMS to the common repository or will at least be duplicated within the common repository should FMS maintain its own source of data outside of the common repository.

The following table presents the requirements related to FMS that will help define the IPM solution and includes the requirement number under IPM, the functional area each requirement applies to, a functional description for each requirement, any relevant comments related to each requirement, the source of the requirement, and any cross reference number that may apply. Each of the requirements included below has been validated by identified FSA SMEs and/or FSA Management.



**Integrated Partner Management Solution
Requirements Gap Analysis
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Req #	Functional Area	Functional Requirement Description	Comments	Source	X-Ref
2.3.4.1	Interfacing Application	The Financial Management System (FMS) shall receive/obtain the information currently within the Daily School File from the system that is responsible for storing/maintaining this information.	Depending on when the Common Data Architecture (CDA) is available there may be a need to continue to send the information in a file format. The goal for the future state is for this information to be stored within the CDA with the IPM responsible for maintaining this information.	New	N/A
2.3.4.2	Interfacing Application	The Financial Management System (FMS) shall eliminate the ability to edit and store the information currently within the Daily School File that is received/obtained from the system that is responsible for storing/maintaining this information.		New	N/A
2.3.4.3	Interfacing Application	The Financial Management System (FMS) shall no longer be responsible for storing/maintaining any trading partner contact information that it may store today.	The IPM solution will have a single, consolidated set of contacts for a given trading partner. This will eliminate the need for other systems to store their own contact information.	New	N/A

Table 13: FMS Interfacing High-Level Requirements Matrix



2.3.5 National Student Loan Data System (NSLDS)

The National Student Loan Data System (NSLDS) is currently the only system that centralizes and consolidates Title IV data from both internal FSA systems and external sources. Since the passage of the Higher Education Act of 1965, as amended, schools have been required to confirm and report the enrollment status of students who receive Federal student loans to NSLDS. NSLDS receives information from multiple systems including Pell grant disbursement data from COD, Federal Family Education Loan (FFEL) data from GAs, and Direct Loan data from DLSS. The data history includes disbursement, repayment status, balance, default loans and overpayment information, which is then merged into the NSLDS database and reported to Guarantors, Lenders, and Servicers of student loans, thereby determining enrollment status. A student's enrollment status determines eligibility for in-school status, deferment, grace periods, and repayments, as well as the government's payment of interest subsidies, which is critical for effective administration of the Title IV student loan programs.

NSLDS serves the legislative purpose of providing the information referenced within the Higher Education Act of 1965, as amended. While NSLDS does exist within the Data Strategy Target State vision, it does not necessarily exist as a single physical system. Within the context of this document, NSLDS refers to the Target State representation of NSLDS. The functionality currently performed by NSLDS today will still be performed in the Data Strategy Target State but will likely be performed by a number of different systems and or business functions rather than a single system, as it is today. A mapping of this functionality will be provided in the Data Strategy Target Vision Functional Gaps Analysis (Deliverable 152.1.3B).

One of the key functions of NSLDS is to calculate the cohort default rate for each School. It is important to note that while NSLDS also calculates default rates for Lenders and GAs, these calculations will be addressed in the Financial Partner As-Is Flows (Deliverable 147.1.2) and the Financial Partners Requirements (Deliverable 147.1.3). The cohort default rate for each School is the key in determining each School's eligibility for funding and managing the School. It is determined by the percentage of students that have defaulted on their loans and can put a School into an "at risk" state if it is high. Information is currently gathered from PEPS, via the daily school file, as well as other systems and partners to perform the cohort default rate calculations, which are then returned to PEPS when, twice yearly, the rates are submitted. The IPM solution will initiate a Shared Function to calculate cohort default rates and the resulting information will be stored with the rest of the Trading Partner data in the Common Data Architecture (CDA).

In addition to receiving information to feed the default rate calculations, NSLDS currently receives generic Trading Partner demographic and eligibility data via the Daily School File from PEPS for use in providing a single source of Financial Aid history for students. As FSA progresses toward the IPM solution, the goal is to store all student and Trading Partner data within the CDA, from which both the IPM solution and NSLDS would access this information. This being the case, there is no need for NSLDS to receive the generic trading partner demographic and eligibility data it currently receives in the form of an interface.



Integrated Partner Management Solution Requirements Gap Analysis Non-Case Management Requirements

The following table presents the requirements related to interfacing with NSLDS that will help define the IPM solution and includes the requirement number under IPM, the functional area each requirement applies to, a functional description for each requirement, any relevant comments related to each requirement, the source of the requirement, and any cross reference number that may apply. Each of the requirements included below has been validated by identified FSA SMEs and/or FSA Management.



**Integrated Partner Management Solution
Requirements Gap Analysis
Non-Case Management Requirements**

Req #	Functional Area	Functional Requirement Description	Comments	Source	X-Ref
2.3.5.1	Interfacing Application	The National Student Loan Data System (NSLDS) shall receive/obtain the information currently utilized to perform the default rate calculations from the system that is responsible for storing/maintaining this information.	Depending on when the Common Data Architecture (CDA) is available there may be a need to continue to send the information in a file format. The goal for the future state is for this information to be stored within the CDA with the IPM responsible for maintaining this information.	New	N/A
2.3.5.2	Interfacing Application	The National Student Loan Data System (NSLDS) shall submit the cohort default rate calculations to the system that is responsible for storing this information on a twice-yearly basis.		New	N/A

Table 14: NSLDS Interfacing High-Level Requirements Matrix



2.4 Other Areas of Investigation

While investigating gaps in the deliverables that have been completed to date to form the foundation of the IPM solution (eCMO, RID, Enrollment and Access Management), other groups and systems were discussed for potential integration or inclusion with IPM. These groups and systems would not necessarily be completely absorbed into the solution; however, they warranted investigation as to their specific functions in order to determine how they would fit in with IPM. For each section listed below, a brief summary of the system or group is provided as well as a brief overview of their relationship with IPM. Also included, where necessary, is a list of high-level requirements defining how they could fit in with IPM.

2.4.1 Customer Service Call Center (CSCC)

The Customer Service Call Center (CSCC) provides guidance in the areas of policy and operational inquiries. In general, the CSCC responds to questions from GAs, Lenders, ED staff, and Financial Aid Administrators (FAAs). The inquiries most often come in the form of phone calls into the call center; however, the Customer Service Representatives (CSRs) also respond to e-mails and faxes.

Currently the CSCC utilizes a Lotus Notes database to enter call detailed information and record status and follow-up on calls. If the call warrants input from other SMEs within the organization, the CSCC representatives must manually, via phone call or via e-mail, seek input from those resources.

It is envisioned that the IPM solution will become the interface for CSCC call summary information and follow-up. The IPM solution should allow the call information to be input into a centralized system that could be accessed by other members of the organization (i.e., Case Teams).

The following table presents the requirements related to the Lotus Notes database currently used by the CSCC that will help define the IPM solution. It includes the requirement number under IPM, the functional area to which each requirement applies, a functional description for each requirement, any relevant comments related to each requirement, the source of the requirement, and any cross reference number that may apply. Each of the requirements included below has been validated by identified FSA SMEs and/or FSA Management.



**Integrated Partner Management Solution
Requirements Gap Analysis
Non-Case Management Requirements**

Req. #	Functional Area	Functional Requirement Description	Comments	Source	X-Ref
2.4.1.1		The solution shall have the ability to track demographic and summary information for each call received.	Inquiry information to be tracked should include Inquiry Tracking number, inquiry demographic and tracking information, program area, Question/Issue area, Status, and Assigned to.	New	N/A
2.4.1.2		The solution shall provide the CSCC with a non-editable list of reason codes for calls.	This will enable easier reporting and categorization of calls.	New	N/A
2.4.1.3		The solution shall provide the CSCC with the ability to search all calls by keyword.		New	N/A
2.4.1.4		The solution shall utilize a document management system to enable emails and faxes to be imported.		New	N/A
2.4.1.5		The solution shall enable the CSCC to automatically route a summary email to external SMEs for input (i.e., Publications, CAMS, etc.).	Summary information should include the inquiry tracking number as well as the question/issue field.	New	N/A
2.4.1.6		The solution shall utilize a workflow capability that enables cases to flow through the system.		New	N/A
2.4.1.7		The solution shall pre-populate school information based on RID provided by the school.	The pre-populated information should be editable.	New	N/A
2.4.1.8		The solution shall enable the CSCC to edit cases once entered in the system.		New	N/A
2.4.1.9		The solution shall utilize a knowledge management capability that provides the CSCC with access to IFAP, policy sites, other FSA websites, etc.		New	N/A
2.4.1.10		The solution shall utilize a workflow capability that allows CSCC managers to manage the queue and dynamically assign and re-assign cases.		New	N/A
2.3.1.11		The solution shall utilize a workflow capability that tracks overdue tasks and escalates notices of overdue tasks to the appropriate supervisor.		New	N/A



Integrated Partner Management Solution
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Req. #	Functional Area	Functional Requirement Description	Comments	Source	X-Ref
2.3.1.12		The solution shall utilize a workflow capability that enables individual work queues and provides alerts when tasks are pending or overdue.		New	N/A

Table 15: CSCC High-Level Requirements Matrix



2.4.2 EExpress and EDconnect/EDconn32

In order to organize records, create forms, and query data, schools use EExpress, a software application tool. Additional capabilities of EExpress include the creation and management of databases containing financial aid records, access to the SAIG database, and customization for student financial aid packaging. It handles both Direct Loan and Pell Grant data. Financial Aid Administrators (FAAs) are able to make changes or updates to the FAFSA through EExpress, which are then uploaded to the CPS via the SAIG mailbox. The EExpress application is configurable depending on the needs of the school with respect to passwords, access, student data, reports, and receipts.

EDconn32 is the updated version of a tool called EDconnect for Windows, a tool previously used to manage the SAIG mailboxing system. This new version contains an online audit tool called the Transmission Delivery Community Manager (TDCM) used to find files, determine transmission errors, filter files into the mailbox, and restore files. The installation of this tool can be either on the LAN or on individual computers, and it is used to interface to the SAIG network. EDconn32 also allows users to transmit files and projects to the network and/or a customizable directory for future downloads into the mailbox.

A major assumption of the IPM solution is that, in the near term, FSA will continue to utilize the SAIG mailboxing functionality to exchange files between Legacy applications. In order for FSA users to use the SAIG effectively, they will continue to require the EExpress and EDconnect/EDconn32 tools. The security and management of UserIDs and passwords in utilizing these software tools is the responsibility of each individual Trading Partner once they download the software tools, and therefore are outside the immediate control of the FSA enterprise. This being the case, currently there are no requirements related to EExpress and EDconnect/EDconn32 for the IPM solution.

2.4.3 Freedom of Information Act (FOIA)

FOIA requests were examined during the eCMO initiative. Such requests were re-examined as a part of this effort. The IPM solution will need to track Freedom of Information Act (FOIA) requests as workflow items to ensure they are completed in a timely manner. These requests come from a variety of sources, including e-mail and phone calls, and need to be tracked and managed in an automated manner. The IPM solution will not provide the functionality to fulfill these requests automatically since the data requested is not predictable, but the solution will ensure that requests are fulfilled in a timely manner. This will also allow management reports to track the requests and measure the effectiveness of fulfilling FOIA requests.

For more information on the actual requirements related to FOIA requests, please refer to requirements 2.1.2.66 and 2.1.2.149 as documented in Table 3: High-Level eCMO Requirements Matrix within Section 2.1.2 - eCMO.



2.4.4 Learning Management System (LMS)

The Learning Management System (LMS) is an Internet-based system that enables FSA Trading Partners to register and track the conferences and training they have taken through FSA University. LMS contains all FSA University training events in a searchable, online catalog and enable registration for those events. In addition to registration, LMS houses a repository of all FSA workshops and provides users with their transcript. In order to register for the LMS, each user must input certain information (e.g., address, email, etc). The user then selects a user-ID and password and uses them from that point forward to access the system.

One of the goals of IPM is to create one interface for Trading Partners that would enable a single user-ID and password. The solution should enable LMS users to enter through the IPM in order to access registration information related to FSA University. This would eliminate the need for separate logon information specific to LMS for those signing up for training with FSA University.

The following table presents the requirements related to LMS that will help define the IPM solution and includes the requirement number under IPM, the functional area each requirement applies to, a functional description for each requirement, any relevant comments related to each requirement, the source of the requirement, and any cross reference number that may apply. Each of the requirements included below has been validated by identified FSA SMEs and/or FSA Management.



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Req #	Functional Area	Functional Requirement Description	Comments	Source	X-Ref
2.4.3.1	Interfacing Application	The solution shall enable users registering for FSA University courses through the LMS to sign on using the IPM interface.		New	N/A

Table 16: LMS High-Level Requirements Matrix



2.4.5 Office of the Inspector General (OIG)

The Inspector General Act of 1978, as amended, established the Offices of Inspector General (OIG) as independent and objective organizations within Federal departments and agencies. The duties of the OIG include conducting and supervising audits and investigations relating to each ED's programs and operations. OIG strives to promote leadership, coordination, and recommend policies for economy, effectiveness, and efficiency purposes. It also works to prevent and detect fraud and abuse in the ED's programs and operations. OIG communicates closely with the department head and Congress to keep them fully and currently informed of problems, deficiencies, and on the status of corrective actions, sometimes resulting in changes to legislation or policies. In certain cases, findings by the OIG may lead to criminal convictions, administrative sanctions, and civil penalties. All of these actions are designed to continually improve the operations of ED so to best serve the American taxpayer.

Periodically, the OIG requests data that is stored in FSA systems. These requests may be ad hoc, or come in the form of an OIG audit. The IPM solution needs a mechanism with which to respond to OIG requests and provide data on an ad hoc basis. In the future, Trading Partner data will be maintained within the IPM solution, thus OIG requests will come through IPM.

In order to understand the level of access OIG has to existing FSA systems, information related to whether OIG currently has access, the level of access (if applicable), and whether support is required by systems operations personnel to support OIG in providing ad hoc queries was gathered from the various business owners. In analyzing the information received, it was found that the OIG has access to a number of existing systems including Campus Based, DLSS, FMS, and PEPS. For the most part, OIG is granted a temporary UserID and password for read-only and, in some cases, query access. The level of access given to OIG for IPM data will need to be determined.

The following table presents the requirements related to OIG that will help define the IPM solution and includes the requirement number under IPM, the functional area each requirement applies to, a functional description for each requirement, any relevant comments related to each requirement, the source of the requirement, and any cross reference number that may apply. Each of the requirements included below has been validated by identified FSA SMEs and/or FSA Management.



**Integrated Partner Management Solution
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Req #	Functional Area	Functional Requirement Description	Comments	Source	X-Ref
2.4.4.1	Interfacing Application	The solution shall allow OIG audits to be saved and stored electronically.		New	N/A
2.4.4.2	Interfacing Application	The solution shall have a queuing mechanism for OIG audits to the case teams.		New	N/A
2.4.4.3	Interfacing Application	The solution shall provide OIG with the ability to state/post guidance for the case team on compliance with audit requirements.		New	N/A
2.4.4.4	Interfacing Application	The solution shall provide OIG with the ability to state/post findings of Quality Control Reviews.		New	N/A
2.4.4.5	Interfacing Application	The solution shall send OIG a list of institutions due for eligibility re-certification.		New	N/A

Table 17: OIG High-Level Requirements Matrix



2.4.6 Office of Postsecondary Education (OPE)

The Office of Postsecondary Education (OPE) administers over 40 programs that address critical national needs and strives to increase the availability of quality postsecondary education. One key component of OPE is the Policy, Planning, and Innovation (PPI) system, which develops postsecondary education policy and legislative proposals, and is responsible for budget formulation, forecasting, and performance measures of OPE programs. The Higher Education Programs (HEP) component administers programs that increase the access to postsecondary education for disadvantaged students, strengthens the capacity of colleges that serve a high percentage of disadvantaged students, and provides teacher and student development resources. The third significant component covers accreditation of postsecondary education in certain fields, to be sure that students are receiving a nationally recognized and honored degree. The programs within this component are the Accreditation and State Liaison, the National Advisory Committee on Institutional Quality and Integrity, and the National Committee on Foreign Medical Education and Accreditation.

Periodically, the OPE makes request for certain data stored in FSA systems. These requests may be ad hoc or scheduled. The IPM solution needs a mechanism with which to respond to OPE requests and provide data on an ad hoc basis. In the future, OPE will make requests for data relating to Trading Partners which will be maintained within the IPM solution.

In order to understand the level of access OPE has to existing FSA systems, information related to whether OPE currently has access, the level of access (if applicable), and whether support is required by systems operations personnel to support OPE in providing ad hoc queries was gathered from the various business owners. In analyzing the information received it was found that the OPE has access to a number of existing systems including Campus Based, DLSS, and PEPS. For the most part, OPE is granted a temporary UserID and password for read-only and, in some cases, query access. The level of access given to OPE for IPM data will need to be determined.

The following table presents the requirements related to OPE that will help define the IPM solution and includes the requirement number under IPM, the functional area each requirement applies to, a functional description for each requirement, any relevant comments related to each requirement, the source of the requirement, and any cross reference number that may apply. Each of the requirements included below has been validated by identified FSA SMEs and/or FSA Management.



**Integrated Partner Management Solution
Requirements Gap Analysis
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Req #	Functional Area	Functional Requirement Description	Comments	Source	X-Ref
2.4.6.1	Interfacing Application	The solution shall send outstanding audit liabilities to the Audit Accountability and Resolution Tracking System (AARTS) (formerly known as the Common Audit Resolution System (CARS)) of the Office of the Chief Financial Officer (OCFO).		New	N/A

Table 18: OPE High-Level Requirements Matrix



3 Next Steps

The Non-Case Management Requirements deliverable is the first of three deliverables included in the Integrated Partner Management Solution (IPMS) Requirements Gap Analysis. One of the goals of this deliverable was to closely examine existing deliverables (eCMO, Enrollment and Access Management, and RID) to understand any gaps that exist. Another goal was to develop high-level requirements for the core systems that will be absorbed by the IPM solution as well as the applications and systems that will need to interface with the IPM solution.

The two other deliverables included in this task order are the Financial Partners Eligibility and Oversight As-Is Flows and the Financial Partners Eligibility and Oversight Requirements. Once these three deliverables are complete, it is expected that there will be a decision point as to whether Financial Partners Services Eligibility Management & On-Going Oversight activities are absorbed into the IPM solution.

Because the exact scope of IPM has not yet been determined by FSA, the next phase of work upon completion of this task order should include creating a Conceptual/High-Level design. The purpose is to gain an understanding of and align FSA conceptually with exactly what elements will form the core of the IPM solution as well as how it will interface with other systems/groups.

This deliverable contains high-level requirements describing existing functionality that should be brought forward into the IPM solution (i.e., the functionality that currently exists in PEPS, eZ-Audit, eCB, and Participation Management) as well as new high-level requirements that will help define additional functionality not currently in existence that should be part of IPM. These high-level requirements will form the basis of the detailed requirements phase where drilldown exercises should be completed for each high-level requirement identified.

Finally, once the detailed requirements are complete, the IPM solution should be built and tested followed by an implementation phase.



Appendix A: Glossary of Terms

Term	Definition
Access Management	Determining access limits and standards to different systems via User ID, password, and security clearance limitations.
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 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.
Case Management and Oversight (CMO)	The Case Management and Oversight organization (CMO) determines whether Schools are eligible for funding, oversees school compliance with Title IV regulations associated with that funding, and determines the appropriate course of action when Schools are not in compliance.
Central Processing System (CPS)	The Central Processing System (CPS) is FSA's entry point for Students applying for Title IV Financial Aid.
Common Data Architecture (CDA)	A common repository of all Trading Partner data.
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.
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 organization.
Common Student Identifier (CSID)	A 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.
Conditional Disability Discharge Tracking System (CDDTS)	Receives and evaluates applications for conditional total and permanent disability, determines medical eligibility for discharge, and tracks applicants through a three-year discharge period.
Customer Service Call Center (CSCC)	The Customer Service Call Center (CSCC) responds to policy and operational inquiries from the public, financial aid community, Department of Education staff, and Congressional staffs.
Destination Point Administrators (DPAs)	A Destination Point Administrator (DPA) is an individual designated by each Trading Partner at the point of enrollment into the FSA enterprise to have overall access to FSA systems and services as necessary. That person may then grant access to others as appropriate, and is responsible for everything that happens as a result.



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Term	Definition
Debt Management Collection System (DMCS)	The Debt Management Collection System (DMCS) provides the processing of outstanding financial aid debts from the time a debt is assigned to the Department of Education until it is paid in full or otherwise satisfied. This is the largest component of FFEL providing a vehicle for the storage, retrieval, and editing of borrower information. Borrower information may be collected as part of the student loan application, processing, collection, and disposition of the account. The Students Channel Collections area uses this information to collect defaulted accounts.
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.
Direct Loan Consolidation System (DLCS)	The Direct Loan Consolidation System (DLCS) works with the Direct Loan Servicing System and Debt Management Collection System, and FFEL lenders, to help borrowers better manage student aid obligations by consolidating separated loans.
Direct Loan Servicing System (DLSS)	The Direct Loan Servicing System (DLSS) receives all booked student loans from the origination system and maintains the loans for their remaining life. While borrowers are in school, in grace, or in repayment, DLSS performs function including placing the loan into repayment at the proper time, billing the borrowers, and tracking subsequent payments and delinquencies. When a direct loan defaults, DLSS electronically transmits the defaulted FDSL account and cohort information to DMCS.
Electronic application for participation (eApp)	The application utilized by Trading Partners looking to participate in Title IV programs. Currently this application is processed by PEPS.
EDconnect/EDconn32	EDconn32 is the updated version of a tool called EDconnect for Windows, which was used to manage the SAIG mailboxing system. Users can transmit files and projects to the network and/or a customizable directory for future downloads into the mailbox.
EDExpress	A software application that the school can use to organize records, create forms, query data, etc. Some additional capabilities include the creation and management of databases containing financial aid records, access to the SAIG database, and customization for student financial aid packaging.
Electronic Campus Based (eCB)	The Electronic Campus Based System (eCB) allows Schools to apply for Title IV Campus Based Aid from FSA using the FISAP.



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Term	Definition
Electronic Case Management and Oversight (eCMO)	The eCMO initiative is focused primarily on updating tools and systems to help support decision-making that is informed, effective, efficient, consistent, documented, standardized and distributed. eCMO also focused on integrating data and improving communications with both internal and external partners.
Enrollment Management	Managing the process by which Trading Partners apply for eligibility and initially enroll in all FSA services and programs
Expected Family Contribution (EFC)	The amount a family is responsible to contribute for the student's education. It is calculated by FSA based on income and demographic information.
eZ-Audit	The application used to receive and process audits and financial statements for Schools participating in Title IV programs.
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.
Federal Family Education Loan (FFEL) Program	The Federal Family Education Loan (FFEL) Program 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 Pell Grant Program	The Federal Pell Grant Program is 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 Student Aid (FSA)	The office within the Department of Education responsible for managing the Federal Student Aid programs and processes.
Financial Aid Administrator (FAA)	A Financial Aid Administrator (FAA) is a person who works at the Financial Aid office of a school and has access to the online system for submitting FAFSA information and applying for aid on behalf of the student.
Financial Partner Services	Financial Partner Services is the group within FSA that 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.



**Integrated Partner Management Solution
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Term	Definition
Fiscal Operations Report and Application to Participate (FISAP)	This form is used for schools to apply for Federal Aid through eCB. FISAPs contain information about the identity and demographics of the School, the application to participate, and the prior fiscal year spending of Campus Based Aid.
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 style="text-align: center;">Exemptions</p> <p>All agency records must be made available to the public under the FOIA, except for records that are:</p> <ol style="list-style-type: none"> 1. Properly classified as secret in the interest of national defense or foreign policy; 2. Related solely to internal personnel rules and practices; 3. Specifically made confidential by other statutes; 4. Concerning trade secrets and commercial or financial information obtained from a person and privileged or confidential; 5. Inter-agency or intra-agency memoranda or letters, except under certain circumstances; 6. Personnel and medical files and similar files, the disclosure of which would constitute a clearly unwarranted invasion of personal privacy; 7. Compiled for law enforcement purposes; 8. Contained in or related to certain examination, operating, or condition reports concerning financial institutions; and 9. Concerning gas or oil wells.
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.
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.
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. Guaranty agencies are reimbursed by the federal government for all or part of the insurance claims they pay to lenders.



**Integrated Partner Management Solution
Requirements Gap Analysis
Non-Case Management Requirements**

Term	Definition
Integrated Partner Management (IPM)	<p>This solution is envisioned as the future state entry point for Trading Partners within FSA’s business process lifecycle. It is the common point where Trading Partners may apply to participate in Title IV programs. There are several functions and processes that comprise the core of the IPM solution including the following:</p> <ul style="list-style-type: none"> • Integrated View Services • Enrollment Management • Eligibility Management • School On-Going Oversight • Financial Partner On-Going Oversight • Enterprise Routing Identifier (RID) Services • Profile & Demographics Management • Access Management
Institutional Student Information Records (ISIR)	This information is sent to the school, telling of the financial aid that a student is entitled to. It is based on the FAFSA.
Learning Management System (LMS)	An Internet-based system that enables FSA Trading Partners to register and track the conferences and training they have taken through FSA University.
Loan Repayment	Activities undertaken to repay a loan. The borrower is obligated to make payments to his or her loan.
Loan Servicing	Activities undertaken to maintain a loan. Applies to FFEL and Direct Loans, as well as Federal Perkins Loans.
National Student Loan Data System (NSLDS)	The National Student Loan Data System (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 Inspector General (OIG)	The Offices of Inspector General (OIG) were established by the Inspector General Act of 1978, as amended, as independent and objective organizations within Federal departments and agencies. The duties of the OIG include conducting and supervising audits and investigations relating to each department’s programs and operations.
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.
Office of Postsecondary Education ID (OPEID)	The Office of Postsecondary Education ID (OPEID) is an eight-digit identifier unique to each School location. The OPEID is a “smart” number, meaning that its digits indicate specific things about the particular school (i.e., main location versus additional location). This identifier is currently generated by PEPS.
Participation Management	The Participation Management system is an FSA system that enables enrollment in the Student Aid Internet Gateway (SAIG).



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Term	Definition
Perkins Loan Program	<p>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.</p> <p>Although schools assign certain defaulted Perkins Loans to the Department of Education, these funds are not guaranteed by the Department of Education since they are considered to be part of the campus-based program federal funds. Debts are assigned to the Department of Education for default or assumed for servicing in the event an institution ceases to participate.</p>
Postsecondary Education Participants System (PEPS)	The Postsecondary Education Participants System (PEPS) is FSA's management information system of all organizations that have a role in administering Federal Student Aid or in other Higher Education Act programs.
Private Collection Agencies (PCAs)	Private Collection Agencies provide collection services for defaulted student loan accounts.
Routing Identifier (RID)	The Routing Identifier (RID) is a 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.
Student Aid Internet Gateway (SAIG)	The SAIG contains a mailboxing system and database through which Trading Partners are able to send and receive documents such as the FAFSA, ISIR, etc.
Student Aid Report (SAR)	This information is sent to the student, telling of the financial aid that he or she is entitled to. It is based on the FAFSA.
Student Credit Management (SCM)	The Student Credit Management (SCM) organization falls under the Students Channel within FSA. SCM is responsible for managing student aid obligations through repayment, consolidation, and collections activities.
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.
TG#	A TG# is an identifier that identifies the DPA's destination point or mailbox on the SAIG.
Trading Partner	A Trading Partner is an entity that routinely does business with FSA through direct or indirect system interfaces, including Schools, Lenders, Guaranty Agencies, State Agencies, and Servicers.



**Integrated Partner Management Solution
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Non-Case Management Requirements**

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"> • Academic Achievement Incentive Scholarship Program • Federal Pell Grants • Federal Supplemental Educational Opportunity Grants (FSEOGs) • Federal Work-Study (FWS) • Federal Perkins Loans • William D. Ford Federal Direct Loans • Federal Family Education Loan (FFEL) Program • Federal Consolidation Loans • Gaining Early Awareness and Readiness for Undergraduates Program (GEAR-UP) • Leveraging Educational Assistance Partnership (LEAP) Program [formerly State Student Incentive Grants (SSIG)] • Robert C. Byrd Honors Scholarships
Trading Partner	<p>A Trading Partner is an entity that directly conducts business with FSA including Schools, Lenders, Guaranty Agencies, Servicers, State Agencies, etc.</p>
Treasury Offset Program (TOP)	<p>The Federal Treasury Offset Program is designed for the Department of Education to provide certified debts that the Department of 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>
William D. Ford 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"> • Federal Direct Stafford Loan (subsidized, for students), • Federal Direct Unsubsidized Stafford Loan (for students), • Federal Direct PLUS Loan (for parents), <i>and</i> • Federal Direct Consolidation Loan (for students and parents). <p>These loans are referred to collectively as Direct Loans.</p>



Appendix B: Non-Case Management Requirements Matrix

Refer to the Appendix_B_Non_Case_Management_Requirements_Matrix(Rev01).xls file.