



**Project Plan for the
Student Financial Assistance Headquarters Project
Task Order No. 25, Rev. 04**

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U.S. Department of Education
Project Plan for the Student Financial Assistance Headquarters Project
Task Order No. GSA-4692-18

1. Introduction

The purpose of this project plan is to outline a plan for the implementation of an integrated solution for managing physical and paper documents for the Department of Education's (Department's) Student Financial Assistance (SFA) Headquarters (HQ). The integrated solution will manage the storage of documents that relate to student aid delivery systems in the SFA HQ and will be scalable to meet the needs of the entire SFA enterprise. The volume of documents includes physical and paper documents currently stored at the SFA HQ office, as well as additional paper documents generated by SFA feeder systems up to the implementation date of the new system.

1.1 Project Description

The proposed solution will address the following goals and objectives of SFA:

Goals:

- Eliminate the dependency on paper documents.
- Improve the efficiency of SFA operations.
- Improve accessibility to SFA information.
- Improve SFA personnel job satisfaction.

Objectives:

- Minimize the amount of paper to be moved to the new SFA HQ facility.
- Reduce the future collection of paper by implementing an electronic filing process.
- Increase efficiency by providing effective and efficient search and retrieval tools.
- Allow SFA to manage documents according to established retention policies.
- Improve internal/external access to SFA documents to improve job performance and customer service satisfaction.
- Minimize the use of paper transactions and documents.

1.2 Project Background

Within the SFA environment today, there is a lack of an integrated solution for managing physical and paper documents—both in the SFA organization itself and between its student aid delivery systems.

Multiple organizations within the SFA have formed the Integrated Project Team (IPT) and are working together to provide an enterprisewide solution for document management. This project plan addresses SFA's immediate needs of eliminating the current back-office paper files by implementing an electronic document management (EDM) system. This system will manage the storage of paper documents received in, or generated by the SFA HQ, in Washington, DC. This project plan does not address the deployment of an integrated solution to SFA regional offices, or the development of an enterprisewide solution requiring business process reengineering that would change the way SFA currently conducts business today.

A major time constraint impacting this project is the relocation of SFA HQ to a new facility scheduled for August 1, 2001. The SFA HQ does not want to transport and store the vast amount of paper records from the existing HQ location to the new facility.

1.2.1 Project Development Strategy

The approach for the SFA HQ system is to provide SFA HQ with a low-risk, tailored, commercial off-the-shelf (COTS) solution that will interface to an enterprisewide document repository. The tasks necessary to produce this system for the SFA HQ will be implemented in six phases that are described in detail in Section 3, Project Description, Schedule, and Resources.

Currently, the following documentation is scheduled to be developed; however, documents and other deliverables scheduled to occur after the decision of an EDM solution are subject to change.

- Organizational communications plan
- Project plan and project work breakdown structure (WBS)
- Document management policies and procedures manual
- Requirements specifications
- Design specification
- System test plan
- Acceptance test plan
- Deployment readiness report
- Training plan
- Chief Financial Office (CFO) implementation plan
- Training course materials and instruction
- SFA HQ implementation plan
- System improvement report
- CFO, SFA HQ training feedback report

1.2.2 Assumptions

Several assumptions are identified and described in Task Order #25 (Revision 04): Student Financial Assistance Modernization Partner Technical Proposal—Interface to Enterprisewide Document Management, that could affect the operations of this project. In addition, other assumptions are as follows:

- Adequate staff with the required skills will be available throughout the project life cycle.
- Funding will be available to procure required hardware and software for development, testing, and implementation.
- The SFA will notify the EDS team of any relevant legislation or government policies that may affect the project.
- The SFA will make a decision on the alternative solution by January 29, 2001.
- All equipment required for the implementation of the solution and the outsourcing of converting paper documents to electronic records will be procured and/or outsourced by the SFA in a timely manner to meet the contract implementation dates.

1.2.3 Organization of the Project Plan

This project plan contains the following sections:

- Section 1, Introduction, provides an overview of the SFA HQ, including the objectives, development strategy, and pertinent background information.
- Section 2, Organization and Responsibilities, identifies key personnel and responsibilities for the SFA HQ system.
- Section 3, Project Description, Schedule, and Resources, describes the tasks to be completed, presents a schedule for task completion, and identifies resources to be used. This section also identifies methods that will be used for reporting task activities.
- Section 4, Security and Privacy, identifies security and privacy issues related to the SFA HQ.

1.2.4 Revising the Project Plan and Replanning the Project

This project plan will be revised at any time based on significant changes in scope or new requirements that affect the project. This procedure affects all components of the project plan, including the WBS and schedule.

The project schedule will be reviewed during status meetings and updated to facilitate effective planning and tracking of project activities. All changes will be communicated to affected individuals or groups.

The Project Managers (PMs) and IPT Lead are responsible for managing intergroup communications and critical dependencies during the project activities for planning the baseline schedule, tracking the schedule, and taking corrective action.

In addition, the defined deliverables for all phases subsequent to the Requirements Definition phase (Phase 2) of the SFA HQ project will be reevaluated after Phase 2 is completed. At that time, deliverable(s) may be re-scoped or eliminated based on the CFO's selected solution.

1.3 Points of Contact

Exhibit 1, Points of Contact, lists the points of contact (POCs) for the SFA HQ project.

Exhibit 1: Points of Contact

Organization	Name	Phone Number
SFA	Jim Lynch, SFA/CFO (Project Sponsor)	(202) 708-4664
	Cheryl Queen, SFA/Chief Information Officer (CIO)/IPT Project Manager (IPT Lead)	(202) 708-9458
	Monica Woods, SFA/Chief Operating Officer (COO)	(202) 205-2289
EDS	Mary Lamb, Client Delivery Executive	(703) 741-7468
	Ed Howe, EDM Services Director	(202) 414-4788
	Opal Mooney, PM, Technical Delivery	(202) 414-4770
	Marsha Malkin, PM, Client Delivery	(703) 741-7457

1.4 Project References

The following documentation is referenced or was used in the preparation this project plan:

- Task Order #25 (Revision 04): Student Financial Assistance Modernization Partner Technical Proposal—Interface to Enterprisewide Document Management, September 23, 2000
- Project Scope Presentation, presented to the IPT by Opal Mooney, October 30, 2000 (See Attachment B)
- Organizational Communications Plan for the Student Financial Assistance Headquarters, November 17, 2000
- Integrated Project Team (IPT) Charter, draft pending approval, November 21, 2000
- Department of Education Student Financial Assistance Modernization Blueprint, July 15, 2000
- Department of Education Student Financial Assistance Modernization Blueprint—Executive Summary Progress Update, July 15, 2000
- Department of Education Records Disposition Schedules, Parts 1 through 16, September 1997

- What is Electronic Recordkeeping (ERK), National Archives and Records Administration (NARA), Fast Track Home Page, 11/30/99
- The Computer Security Act of 1987
- Office of Management and Budget (OMB) Circular A-130, Management of Federal Information Resources
- Government Performance Results Act (GPRA) of 1993
- The Paper Reduction Act of 1995

1.5 Acronyms

The following acronyms are used in this document.

CFO	Chief Financial Officer
CIO	Chief Information Officer
COO	Chief Operating Officer
COTS	commercial off-the-shelf
Department	Department of Education
EDM	Electronic Document Management
ERK	Electronic Recordkeeping
GPRA	Government Performance Results Act
HQ	headquarters
IPT	Integrated Project Team
NARA	National Archives and Records Administration
OMB	Office of Management and Budget
PM	project manager
POC	point of contact
SE	systems engineer
SFA	Student Financial Assistance
WBS	work breakdown structure

2. Organization and Responsibilities

The EDS project team for the SFA HQ project is responsible for carrying out tasks related to the planning, requirements definition, development, testing, implementation, documentation, and evaluation of the SFA HQ system. Exhibit 2, EDS Project Team Personnel, identifies the team personnel and their respective responsibilities. Some of the personnel will work on the project on an as-needed basis.

Exhibit 2: EDS Project Team Personnel

Name	Organization	Responsibilities
Marsha Malkin	PM	Provides project management oversight and is the POC for the IPT.
Opal Mooney	PM, Technical Delivery	Provides project management oversight for the technical delivery of the SFA HQ project and EDS staff.
Umang Thapar	Task Leader	Provides backup project management oversight for the PM, Technical Delivery.
Dwayne Brazeal Kevin Crabtree	Lead Systems Engineer (SE)/Architect	Analyzes system requirements and develops recommendations for technical solutions.
Tim O'Connell	Lead SE/Technical	Provides technical leadership for the requirements analysis and definition, system design, and development efforts.
Frank Nemeth Shontrea Bazemore	SE	Performs requirements analysis, development, and testing activities.
Tina Consiglio Debbie Goldsteen	Information Associate	Performs analysis and tasks related to project deliverables.
Kristin Snider	Training Specialist	Performs requirements analysis and tasks related to training.
Joe Nicotera	Program Control Lead	Provides financial management and program control support for the SFA HQ project.
Sandra Lopez	Project Planner/ Business Analyst	Provides support for the development and maintenance of the project plan, project schedule, project WBS, and technical documentation activities

3. Project Description, Schedule, and Resources

This section describes the tasks to be completed and identifies the project schedule and methods used to report task status and activities.

3.1 Project Work Breakdown Structure

This section describes the WBS required for the SFA HQ project. The WBS is a family-tree structure that identifies products produced and tasks performed during the various phases of the project life cycle. The WBS displays and defines the product to be developed or produced and relates the elements of work (tasks) to be accomplished to each other and to the end product. Attachment A, SFA HQ Project WBS/Schedule, contains the WBS and provides a detailed view of the SFA HQ project's tasks, duration of the tasks, and anticipated start/completion dates.

The three levels of WBS typically developed during the system development process are Summary, Project, and Contract, which are described in subsequent sections.

3.1.1 Summary Work Breakdown Structure

The summary-level WBS includes the following high-level activities:

- Phase 1—Planning
- Phase 2—Requirements definition
- Phase 3—Development and testing
- Phase 4—Deployment within the CFO
- Phase 5—Deployment within the remaining SFA organizations at HQ
- Phase 6—Implement system improvements

3.1.2 Project Work Breakdown Structure

The project-level WBS is a detailed WBS that is used for the day-to-day management of the project. The project WBS includes the summary WBS plus specific activities that need to be performed for each summary unit with start and finish dates for each activity.

3.1.3 Contract Work Breakdown Structure

No subcontractors are required for this project.

3.1.4 Work Breakdown Structure Dictionary

The WBS elements for the SFA HQ describe each activity and its purpose in the software development process, and are provided in the Task Order #25 (Revision 04): Student Financial Assistance Modernization Partner Technical Proposal—Interface to Enterprisewide Document Management.

3.2 Schedule

The schedule represents the contractual period starting September 1, 2000, and ending August 31, 2001, and includes various WBS tasks and activities that are critical to the successful completion of the project. The schedule is used for day-to-day management of the project and associated deliverables. Attachment A, SFA HQ Project WBS/Schedule, displays these tasks and their projected start and finish dates.

3.3 Resource Estimates

Human resources are assigned to project activities for WBS elements in the project schedule. Effort (work) is measured in units of person days.

3.3.1 Performance Tracking

The acceptance of each contract deliverable for the SFA HQ project is based on acceptance by the SFA CFO. Templates used for contract deliverables will be reviewed and approved by PMs and designated SFA IPT members. As deliverables are completed and delivered, the SFA will have 10 days from receipt of each deliverable to review and provide comments or questions to the EDS project team. If the deliverable contains material errors or omissions, then EDS will have five days to correct and resubmit the deliverable, and SFA will have an additional 5 days to review the revised deliverable.

3.4 Management Plans

The SFA has assembled working groups comprised of IPT members to establish the risk management plan, requirements management plan, and quality control management plan for the SFA HQ project. These documents will identify and define the mechanisms by which the project will manage these elements. The working groups will prepare these documents in accordance with the SFA HQ project schedule and will present the plans to the IPT for approval. Once the plans are approved, action items will be determined and assigned by the IPT Lead to implement the plans.

Another IPT working group will be assembled to assist the EDS SFA HQ project team in preparing an initial organizational communications plan to be used by the SFA as guidelines for communicating project information and changes in work processes to SFA personnel. The SFA internal communications working group will work with IPT members to implement the activities of the communications plan. The communications plan will be a living document that will be updated as needed by the SFA internal communications working group.

3.5 Project Team Communications

Internal methods of communications relevant to the development and deployment of the SFA HQ project include the following:

- Weekly meetings with EDM Services managers

- Biweekly status meetings with all project team members
- Regular development meetings with SE staff, as needed
- Status meetings with IPT members conducted weekly
- Ad hoc meetings with customer POCs
- Informal face-to-face meetings, telephone conversations, and/or e-mails between the SFA HQ and EDS project team members on an ad hoc basis, to discuss project-related issues, as needed
- Internal documentation reviews with project team members, as needed
- Monthly status report provided to the customer

4. Security and Privacy

This section outlines the security and privacy requirements for the SFA HQ system.

4.1 Computer Security

The SFA HQ system shall operate in accordance with the Federal Government's minimum computer and telecommunications security requirements. These requirements come from high-level government mandates as follows:

- The Computer Security Act of 1987
- Office of Management and Budget (OMB) Circular A-130, Management of Federal Information Resources Government Performance Results Act (GPRA) of 1993
- The Paper Reduction Act of 1995

4.2 Privacy Issues

The documents processed by the SFA HQ are protected by the Privacy Act. Security protection measures will be employed to protect SFA records against the risk of information disclosure and tampering. Security control features of the selected COTS application(s) will ensure that access to SFA records will be restricted to authorized personnel. These security features will be tailored to meet the specifications of the Department security policies and procedures.

Attachment A
SFA HQ Project WBS/Schedule

Attachment B
Project Scope Presentation