



Title IV WAN Participation Management IPT Business Case

Last Revision	Last Review	Description
01/23/2001		Draft copy.
01/30/2001	01/29/2001	Revised draft copy following core team review and updates for costs.
02/06/2001		Final version, updates to costs, quantified benefits, and Phase I schedule/milestones.
02/07/2001		Final version, updates from core team review.
02/08/2001		Final version, updates to modernization (previously Phase II) aspects.
02/08/2001		Completed removal of Phase II aspects



Change History Log

Date	Change Description	Author
01/23/2001	Initial draft of business case.	PM Sub-Team
01/30/2001	Revised draft copy following core team review and updates for costs.	PM Sub-Team
02/06/2001	Final version, updates to costs, quantified benefits, and Phase I schedule/milestones.	PM Sub-Team
02/07/2001	Final version, updates from core team review.	PM Sub-Team
02/08/2001	Final version, updates to modernization (previously Phase II) aspects.	PM Sub-Team
02/08/2001	Completed removal of Phase II aspects.	Rick Simon



Table of Contents

1	Project Information.....	4
2	Project Description.....	4
3	Technologies Used.....	7
4	Benefits	7
5	Costs	9
6	Total Cost of Ownership	10
7	Alternatives.....	11
8	Risks	12
9	Acquisition Strategy.....	12
10	Schedule/Milestones (including acquisition cycle).....	12



1 Project Information

Name: Title IV WAN Participation Management IPT

Channel: OCIO

Project Sponsor: Kay Jacks (SFA Schools Channel)

Project Lead: Paul Hill (SFA OCIO)

2 Project Description

Describe the need for change (the business problem to be addressed).

The Student Financial Assistance (SFA) office is identifying ways to reduce the costs of delivering student financial aid. A major component of current SFA participation management components are administered under the Title IV Wide Area Network (WAN) contract, which is scheduled to expire on September 30, 2001. SFA does not plan on extending this contract, however, these participation management services will need to be continued.

What is the purpose of the initiative?

Ensure continuation of participation management services once the Title IV WAN contract expires on September 30, 2001.

The most viable solution has been identified as moving the existing participation management system, its related contract deliverables, and relevant team members to the CPS contract. The basis for that recommendation follows in the remaining sections of this document. The other solutions considered and evaluated can be found in the “Alternatives” section.

What is the scope of the initiative, including what it is not?

The scope of this initiative is to continue the Participation Management services currently provided by the Title IV WAN contract once that contract expires in September 2001. The proposed solution is to move the Participant Management functions of the TIV WAN contract to the CPS contract.

This initiative does not include analysis of modernizing the existing participation management system from a process and core component perspective. This analysis will be proposed in the Consistent Answers to Schools Business Case. The analysis will concentrate on the process of the existing participation management system, looking into ways for modernization initiatives to be “good fits” and make technical and business sense at the same time. Core components of the existing system, and any recommendations for new components, will also be evaluated in relation to modernization philosophy and goals. Recommendations will be made in relation to these processes and core components that will integrate effectively with both existing legacy systems and modernization initiatives.

What is the start date and end date of the initiative?

Start date: March 1, 2001 – Kickoff meeting with IPT Core Team

End Date: September 30, 2001 which coincides with the end of the Title IV WAN contract.



What other business areas/external groups are affected by the implementation of this initiative and how are they affected?

The following groups may be impacted by the modernization initiative (under the Consistent Answers to Schools Business Case) and were considered for to determine whether they would be affected by this initiative:

1. SFA - Manage transition of large and diverse user base in regards to participation management, affects all Title IV application systems since all system use the existing system in some capacity, exposure to reliability and availability of Internet, and requires up-front investment.
2. SFA end-users (schools, agencies (i.e. state, guaranty, and national), lenders, and third party service providers) – Every destination type currently housed on the existing system could potentially be affected depending on the solution recommendation exercised. This is less likely with Phase I since a solution with no/minimal impact will be the most viable. The modernization initiative will not immediately affect end-users but once those recommendations are followed through and implemented the end-user may be affected.
3. Title IV Application Systems (CPS, NSLDS, DL Origination, DL Servicing, RMFS, PELL, and Campus-Based) - Participate in transition planning and modernization analysis activities. Continue to provide existing participation management services to all systems.
4. SFA Tech Call Center – Support existing users with participation management support. Learn new/enhanced participation management system and procedures to support Title IV destination points.

The proposed solution to move the participation management system and its current contract deliverables to the CPS contract will not affect these groups and their processes can remain the same as they do today.

What systems are impacted by the implementation of this initiative and how are they impacted?

The following components of the existing participation management system may be impacted by the modernization initiative (under the Consistent Answers to Schools Business Case) and were considered for to determine whether they would be affected by this:

1. SFA web enrollment site (www.sfawebenroll.ed.gov) – Enable users of WAN to control their participation in the electronic exchange of Title IV data through an Internet Web site. Existing users can add new destination points, update existing services and demographic data, and add/remove schools and/or services. New applicants can complete an initial application to become a new destination point with relevant services. An annual rollover of this system is needed every year.

Production and test servers/applications exist at the VDC. Customer Service has an instance of the production application (excluding write/update capability to production database) running on the test server for support of end-users.

2. CICS screens/programs – 19 programs and corresponding screens used by customer service to inquiry existing user participation profiles and project staff to key-entry hardcopy enrollment documents and proces/administer signature pages from the web enrollment site (e.g. WANC). Provides end-users access to their enrollment profiles via On-Line Query (WANU) with the following existing options:
 - Destination Browse
 - Destination/Institution Browse
 - Customer Browse
 - Customer Destination Browse

An annual rollover of this system is needed every year.



3. Interactive Voice Response Unit (IVRU) – Validates destination points when performing on-line functions (i.e. password resets/authentication data input)
4. Batch programs – 103 programs that provide the following core functions:
 - Transmit participation files to all the Title IV Application Systems
 - Receive and process participation files from relevant Title IV Application Systems
 - MIS programs that report on participation management data
 - Send demographic data to SFA Tech Call Center call management software (Service Center) for loading of profiles
 - Web enrollment stored procedures (production and customer service sites)
 - New user/ID load process to store and forward system (currently GEIS)
 - New user ‘welcome/new ID’ letter generation
 - Pending signature page(s) report for web enrollment (listed by 30, 60, and 90 days)
 - Archive of participation management data from tables to tape
 - Ability to produce and re-run ad hoc reports on participation management information

An annual rollover of this system is needed every year.

5. Participation Management database – 34 DB2 tables that support the above components. An annual rollover of this system is needed every year.
6. Imagine Imaging System – Scans, indexes, and stores hardcopy enrollment documents and other relevant participation management documents for later searching and viewing by Customer Service, project line staff, and Department of Education auditors.

The proposed solution to move the participation management system and its current contract deliverables to the CPS contract will not affect these systems in an adverse way. All these existing systems can remain in place and operational on the existing infrastructure because the CPS and TIV WAN contracts are with the same contractor. Therefore, relevant and key team members can be moved under the CPS project in regards to these services.

What business processes are impacted by the implementation of this initiative and how are they impacted?

The following business processes of the existing participation management system may be impacted by the modernization initiative (under the Consistent Answers to Schools Business Case) and were considered for to determine whether they would be affected by this:

1. Process hardcopy enrollment documents which consists of the following tasks:
 - Perform data analysis on completed documents
 - Call users with any questions/issues regarding documents or return documents with required action documented in form letter if change/update cannot be made over the phone (i.e. missing/photocopied signature)
 - Key enter data from enrollment documents into CICS screens for storage on database
 - QC keyed data from CICS by administrator
 - Image and index enrollment documents
 - Process copies of enrollment documents with Department of Education signature, mailing reference copies of these enrollment documents back to users
 - File enrollment documents in storage
2. Process and administer pending signature pages from web enrollment site consisting of following tasks:
 - Perform data analysis on pending data via CICS screens once signature page(s) are received



- Release signature page/confirmation number combinations for nightly batch process to add/update services
 - Process signature pages with assigned user and customer IDs, imaging and indexing appropriately
 - Analyze weekly pending signature page report that lists out signature pages by confirmation number not received within the last 30, 60, and 90+ days, taking appropriate action
3. Package and mail “welcome/new ID” letters to new destination points
 4. Process and administer message class requests from all Title IV Application Systems and manage corresponding message class database.
 5. Process and administer network messages (PMESSAGE) from all Title IV Application Systems.

The proposed solution to move the participation management system and its current contract deliverables to the CPS contract will not affect these business processes in an adverse manner. Since the CPS contract uses the same contractor as the existing TIV WAN contract all these business processes can remain in place and operational. Business processes and services already exist between WAN and CPS projects in regards to institution code maintenance and assignment. This recommended solution builds off that existing relationship and looks to easily accommodate the remaining business processes documented above. Relevant and key team members will also need to be moved under the CPS project in regards to these business processes.

3 Technologies Used

List the proposed technologies that will be used to implement this project

The proposed solution to move the participation management system and its current contract deliverables to the CPS contract will not affect these existing technologies. Since all these existing systems and technologies can remain in place and operational due to the infrastructure compatibility and existing in-house expertise on the CPS contract for these technologies. Relevant and key team members will also need to be moved under the CPS project in regards to these technologies.

No new technologies will be implemented as part of this solution

4 Benefits

The Participation Management sub-team initiative is first focused on providing a viable recommendation in order to continue current system support for the legacy systems and their users. This recommendation has a foundation in existing requirements for systems, business processes, and technologies currently in place. The solution will benefit SFA and their end-users with providing uninterrupted participation management services from what is in place today and has been identified as moving the existing system to the CPS contract.

Reduce Unit Cost

There will be no unit cost benefits as a result of this initiative. This initiative must be completed in order to complete the termination of the Title IV WAN contract.



Increase Customer Satisfaction

Quantified/Qualitative Benefit	How will benefit be measured/realized?	When will benefit be realized?
Provide uninterrupted participation management services.	Existing services (i.e. web enrollment site, hardcopy enrollment documents, etc.) will continue without change come September 30, 2001.	Upon successful transition of participation management system to proposed recommendation.

Increase Employee Satisfaction

Quantified/Qualitative Benefit	How will benefit be measured/realized?	When will benefit be realized?
Provide SFA and the related Title IV Application Systems uninterrupted participation management services they currently	Existing services (i.e. participation files) will continue without change come September 30, 2001.	Upon successful transition of participation management system to proposed recommendation.

Estimated overall dollar amount of all benefits listed above.

Quantified Benefits (numbers are in millions)						
	BY (2001)	BY+1 (2002)	BY+2 (2003)	BY+3 (2004)	BY+4 (2005)	Total
Total Cost to Operate under TIV WAN	\$0	\$1,531,000	\$1,595,000	\$1,661,000	\$1,730,000	\$6,517,000
Implementation	\$82,000	\$0	\$0	\$0	\$0	\$82,000
Total Cost to Operate under CPS	\$0	\$1,531,000	\$1,595,000	\$1,661,000	\$1,730,000	\$6,517,000
Net Savings	(\$82,000)	\$0	0	0	0	(\$82,000)
Cumulative Net Savings	(\$82,000)	(\$82,000)	(\$82,000)	(\$82,000)	(\$82,000)	
<i>Assumptions</i>						
<ul style="list-style-type: none"> Assumes 4% escalation Total Cost to Operate under TIVWAN and CPS values contain both annual rollover and maintenance/operating costs. Portion of 'Total Cost to Operate...' for annual rollover = \$1,879,000 Portion of 'Total Costs to Operate...' estimated to maintain/operate system = \$4,638,000 Annual rollover and maintain/operate system costs above are referencing BY+1 costs only 						



5 Costs

This section provides **estimated** costs, including those to initially transition (BY = Base Year) the system under the CPS contract and costs to support it over its useful life (BY+1 through BY+4). Several assumptions are listed that are necessary to make these cost estimates.

COSTS						
Transition/ Implementation Tasks	BY (2001)					Total
Requirements refinement and documentation following CMM Level 3 processes. Creation of transition plan and execution of that plan in order to move system under CPS contract.	82,000					82,000
Operations						
	BY (2001)	BY+1 (2002)	BY+2 (2003)	BY+3 (2004)	BY+4 (2005)	Total
Existing/Relevant PM deliverables now moved to the CPS contract in regards to the systems and business processes identified previously.		\$1,531,000	\$1,595,000	\$1,661,000	\$1,730,000	\$6,517,000
Assumptions						
<ul style="list-style-type: none"> • Transition and maintenance costs and on-going deliverables for billing and distribution will be documented in their corresponding business cases. • The existing participation management system, as it exists under the current Title IV WAN contract, will remain in the same state when moved to the CPS contract. This will assist in introducing minimal change for the transition and help to keep effort costs down. • Instead of billing participation management products directly to a ED – WAN invoice, those same relevant deliverables will be billed to ED – CPS either through a separate invoice or combined with the existing CPS invoice. • The CPS contract/project does not need these deliverables more often than once a month. • Ability to bill existing participation management products/deliverables will need to be available for the following entities: <ol style="list-style-type: none"> 1. ED – WAN (e.g. products that may need to be extended if SFA to the Internet is not fully transitioned come 9/30/01) <i>Note: This would only be applicable if the contingency planning for the SFA to the Internet sub-team is realized.</i> 						



2. ED – CPS (e.g. all ED relevant participation management products previous billed to ED- WAN, now billed via the CPS contract as of 10/01/01)

3. End-users – CPS (e.g. any existing participation management products that are currently billed to users, but would now need to be billed to those same users, but under the umbrella of CPS)

Note: Item #3 is assuming those participation management products identified as the user's responsibility remain. If it is decided that ED will provide those charges, this category goes away and is then encompassed within item #2.

- The CPS contract/project is able to encompass existing internal program numbers (i.e. 748-XXX) that are tied to the participation management deliverables and several other internal storage aspects. This will help in keeping the scope of change to a minimum.
- NCS Pearson Requirements and Testing Engineers for the transition/implementation and maintenance tasks/deliverables would perform requirements and system testing. This will assist in keeping effort down since that staff has extensive experience with the current system in regards to requirements and testing.
- Assumes 4% escalation
- Operation Costs contain both annual rollover and maintenance/operating costs.
- Portion of 'Total Cost to Operate...' for annual rollover = \$1,879,000
- Portion of 'Total Costs to Operate...' estimated to maintain/operate system = \$4,638,000
- Annual rollover and maintain/operate system costs above are referencing BY+1 costs only
- Rollover of the participation management system is still needed on a yearly basis. Appropriate deliverables are included in costs above.

6 Total Cost of Ownership

What is the level of required enhancement after implementation?

The level of enhancement after implementation will be based on new requirements/enhancements requested by SFA and constituents and planned rollover contract deliverables that will be moved to the recommended solution. Refer to section 5 Costs for on-going costs.

What is the life span of this initiative?

The life span of this initiative is indefinite and dependent on SFA – specifically on the Consistent Answers to Schools project. That project is expected to replace the Participant Management function that is the subject of this business case. The proposed solution was chosen to minimize the cost given that the life span of this initiative is expected to be short.
change.



7 Alternatives

Describe what could be done in place of this initiative and describe the consequences of each alternative.

The below alternatives were part of the initial grouping of options that the business case contents were evaluated against. Each option was closely evaluated with advantages and disadvantages weighed in regards to systems, business processes, and existing technologies. The below three alternatives were dismissed as viable solutions for the reason so noted in the consequence column.

Alternative	Consequence
New contract/RFP	SFA would need to create a new RFP in order to house the participation management system. Given the deadline of September 30, 2001 an RFP seems unlikely to get written, approved, and submitted for bids in time. This solution would also not be cost effective to SFA given the added effort and resources that would be necessary.
EDS/CSC system/contract modification	The existing EDS/CSC contract has participation management pieces within it. Those could be enhanced to include the existing functionality and requirements currently housed under the Title IV WAN contract. Existing systems and relevant programs within the contract might require extensive modification in order to successfully integrate the systems and business processes currently housed within the WAN contract. Compatibility of existing infrastructure would need to be evaluated and possibly changed. Given these extensive changes and the deadline that is required, it is unlikely just a high impact and effort intensive initiative would be possible by September 30, 2001. Such changes would also likely become obsolete when the modernization phase is complete.
PEPS system/contract modifications	The existing PEPS contract is a key participation management system for SFA. In order to implement all of the systems, business processes, and technologies currently housed under the Title IV WAN contract extensive changes would be necessary. Existing systems and relevant programs within the contract might require extensive modification in order to successfully integrate the systems and business processes currently housed within the WAN contract. Compatibility of existing infrastructure would need to be evaluated and possibly changed. Given these extensive changes and the deadline that is required, it is unlikely just a high impact and effort intensive initiative would be possible by September 30, 2001. Such changes would also likely become obsolete when the modernization phase is complete.



8 Risks

Risk	Description of Risk	Mitigation Strategy
Schedule	With a fast approaching deadline transition plans need to be defined quickly. The recommended solution will help with minimal transition tasks to perform, but interaction with other IPT sub-teams and their core components will directly affect the participation management system. With the participation management system intertwined with other sub-systems under WAN, will need to have clear plans for those remaining sub-system transition/tombstone plans.	Create project team, consisting of program manager, software project manager, and key product line and development resources to manage transition and stay on schedule. Project will be managed following CMM level 3 processes. Project schedule will be reviewed weekly with impacted groups and tracking & oversight provided to management. Schedule impacts will be addressed weekly and dates re-negotiated.
Exposure	The participation management system is not available come October 1, 2001.	Monitor progress of CPS contract changes. Extend Title IV WAN contract to continue to provide the services if necessary.
End-users	The participation management system is not available come October 1, 2001 and users encounter an interruption in their SFA services.	Monitor progress of CPS contract changes. Extend Title IV WAN contract to continue to provide the services if necessary.

9 Acquisition Strategy

No specific sources of supplies or services will be needed for these initiatives at this time.

10 Schedule/Milestones (including acquisition cycle)

#	Milestone	Start Date	End Date
1	Authorization of this business case received.	03/01/2001	03/01/2001
2	Perform full and detailed development and product line requirements analysis on the tasks necessary to move system. Building off requirements ground work identified in this business case.	03/02/2001	03/23/2001
3	Define contract deliverables/modifications to the existing CPS contract.	03/02/2001	03/23/2001
4	Generate and submit draft project transition plan (i.e. resources, estimates size, cost, schedule, and constraints) for the transition.	03/23/2001	03/28/2001
5	Update and submit final project transition plan for the transition, incorporating comments from draft review.	03/29/2001	03/30/2001
6	Receive authorization for software/systems transition to CPS contract.	03/30/2001	03/30/2001
7	Begin software/systems transition tasks identified in the plan.	04/02/2001	04/20/2001
8	Test high level functionality of existing transitioned software/system.	04/23/2001	04/27/2001
9	Contract production deliverables transitioned to the existing CPS contract.	09/30/2001	09/30/2001



#	Milestone	Start Date	End Date
10	Full production Participation Management system is operational under CPS contract.	09/30/2001	09/30/2001