

***SFA Modernization Program***  
**United States Department of Education**  
**Student Financial Assistance**



**Campus-Based Programs**  
**Systems Requirements Document**

***Task Order #49***  
***Deliverable #49.1.2***

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# 1 Introduction

## 1.1 Purpose

The purpose of this document is to identify requirements for the redesign of the Campus-Based System (CB System). The redesign consists of three components: 1) data and application migration from the current platform to a relational database and application server environment; 2) development of a web-based FISAP process; and 3) development of a web-based (thin client) solution for Student Financial Assistance (SFA) staff.

## 1.2 Scope

This document defines at a detailed level the requirements necessary for the CB System redesign. The redesigned system will provide institutions and staff with an integrated and intuitive solution that increases information access and self service capabilities. The requirements for this initiative were gathered via the Campus-Based (CB) Mad Puppy, interviews, focus groups, and walkthroughs with CB staff to ensure that the redesigned system would support SFA's modernization goals.

## 1.3 Acronyms and Abbreviations

The acronyms and abbreviations list (Appendix A) contains the definitions of standard acronyms and abbreviations utilized by the Department of Education and the CB community.

## 1.4 Document References

The following documents were used in establishing the requirements for the CB System redesign:

- Business Case: Campus-Based Programs Allocation and Reporting System Re-Platform
- Requirements Definition Document: Task Order #13.4.2
- Institutional Site Visit Summary
- CB Programs System Redesign, Task Order Technical Proposal

## 1.5 Organization of this Document

The following information outlines the organization of this document:

- **Introduction:** A brief explanation of the purpose of this document.
- **System Overview:** A topology of the current and future production environment.
  - **Current CB System:** Identifies the functionality of the current system.
  - **Redesigned CB System:** Identifies the functionality of the future system.
- **Users:** Lists the users of the future system.
- **Requirements Discussion:** A high-level discussion on requirements specifications for the redesigned system.
- **Constraints and Priorities:** A discussion on external risks and project priorities.
- **Appendices:**
  - Appendix A - Acronyms and Abbreviations
  - Appendix B - Campus-Based Requirements Matrix
  - Appendix C- Applicable Standards and Resources

## 2 System Overview

### 2.1 Current CB System

The current system platform consists of an application developed in COmmon Business Oriented Language (COBOL) that runs on an IBM mainframe and stores data in a virtual storage access method (VSAM) file structure (Figure 1, Current Campus-Based System). The front-end of the system consists of the PC FISAP application that is installed and utilized by institutions and institutional servicers (“servicers”) to populate the FISAP. Once the PC FISAP software has validated the input data, the FISAP is exported for transmission via TIVWAN/SAIG to an NT based system at the site of the CB maintenance contractor. The files are logged/classified and uploaded to the IBM 9672/OS390 mainframe for processing. Before the servicer data is uploaded to the IBM main frame, the NT system collects the data submitted by servicers and removes the servicer’s specific file headers.

Another component of the system is known as the Automated User Interface (AUI) which is an application that allows the CB staff to update the information contained within the VSAM files on the IBM system.

The last component of the CB System is known as CB-Win. This application is the primary customer service tool used for analysis, monitoring, and reporting by the SFA staff.

The CB application was one of the earliest systems brought on-line by SFA and due to long-term patching and maintenance of the programs there are concerns regarding the ability of the application to continue to be maintained on its current platform. In addition, the storage of data in its current form makes it very difficult for SFA staff and institutions to get access to information when and how they need it.

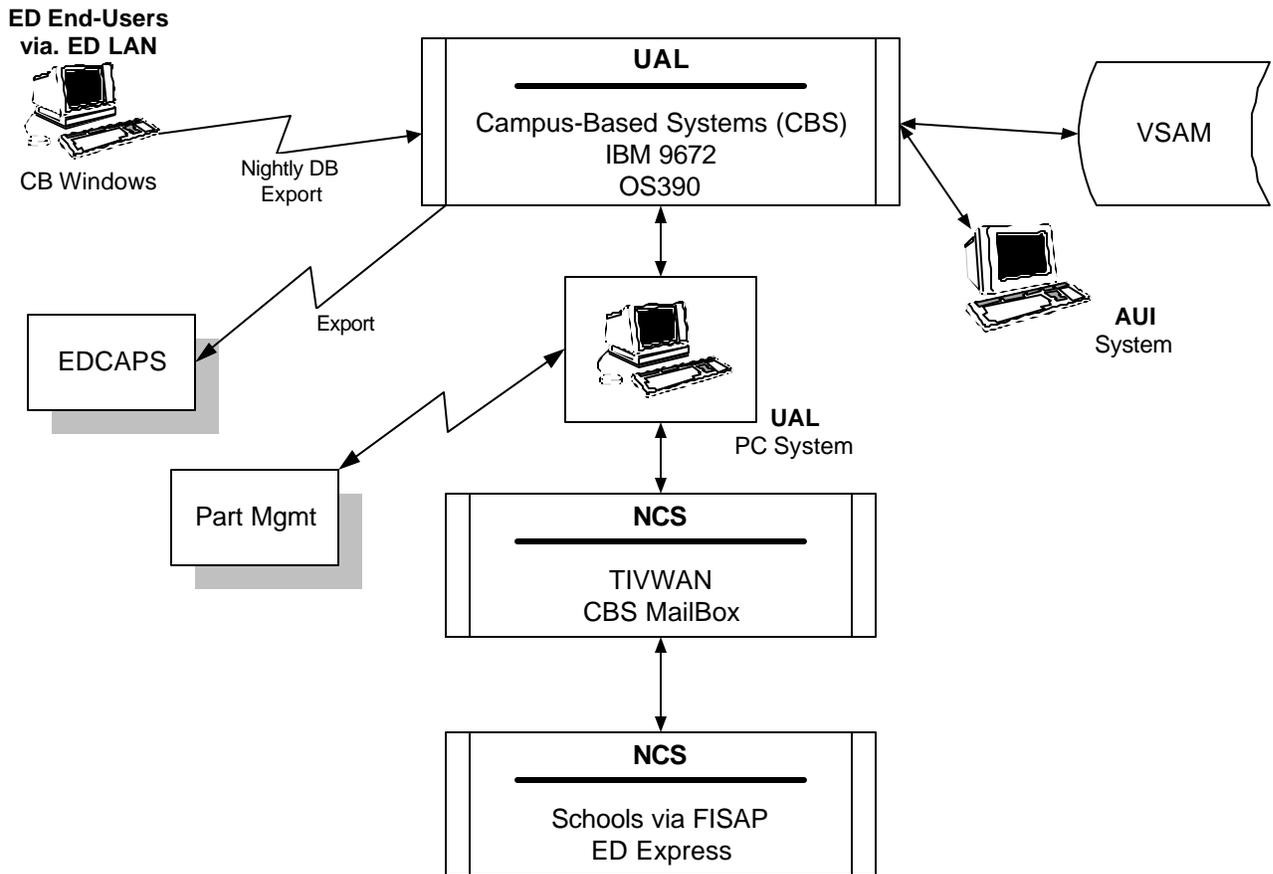


Figure 1: The Current Campus-Based System

## 2.2 Redesigned CB System

The CB System redesign consists of three main components: 1) data and application migration from the current platform to a relational database and application server environment; 2) development of a web-based FISAP process; 3) development of a web-based (thin client) solution for SFA staff. The following is a brief description of these components:

### **Data and Application Migration:**

The modernized application will replace all of the processing that is being done on the IBM mainframe that uses a VSAM file system. The implementation of the redesigned CB System will require the conversion of the current application logic (data comparisons with prior year data and award allocations/re-allocations) written in COBOL into object oriented software. The relational database will replace the VSAM file system and will be the centralized storage of data for the CB System.

### **Web-Based FISAP process:**

The modernized FISAP process will replace the current PC FISAP submission process. The web-based FISAP process will support institutions and servicers for FISAP submissions over the Internet. This modernized FISAP process will increase customer satisfaction with its near real-time FISAP correction processing, provide self-service capabilities, and a facilitated submission process.

### **Web-Based Solution for SFA staff:**

The solution for SFA staff will increase employee satisfaction through enhanced FISAP analysis, monitoring, data updating and reporting. Additionally, the current stand-alone utilities used within the CB System will be centralized within a single administrative functional umbrella for use by the CB staff.

To aid visualization of the redesigned system, the following figures have been provided:

### **Figure 2, High Level Logical Technical Architecture Topology:**

Provides a view of the hardware interactions from the users (CB staff, Other ED staff, institutions and servicers) via the Internet to the CB Program VDC facility

### **Figure 3, Logical Technical Architecture Topology:**

Provides a view which further depicts the CB Program VDC facility to demonstrate the major components of the system.

### **Figure 4, Technical Architecture for CB System:**

Provides a view which represents the server assignment within the VDC facility.

In summary, the future CB System is to be a web-based front-end, with modernized application processing and data hosted on a relational database system. However, in the transition from the current system to the desired system, the PC FISAP and institutional servicer capabilities will be maintained and supported.

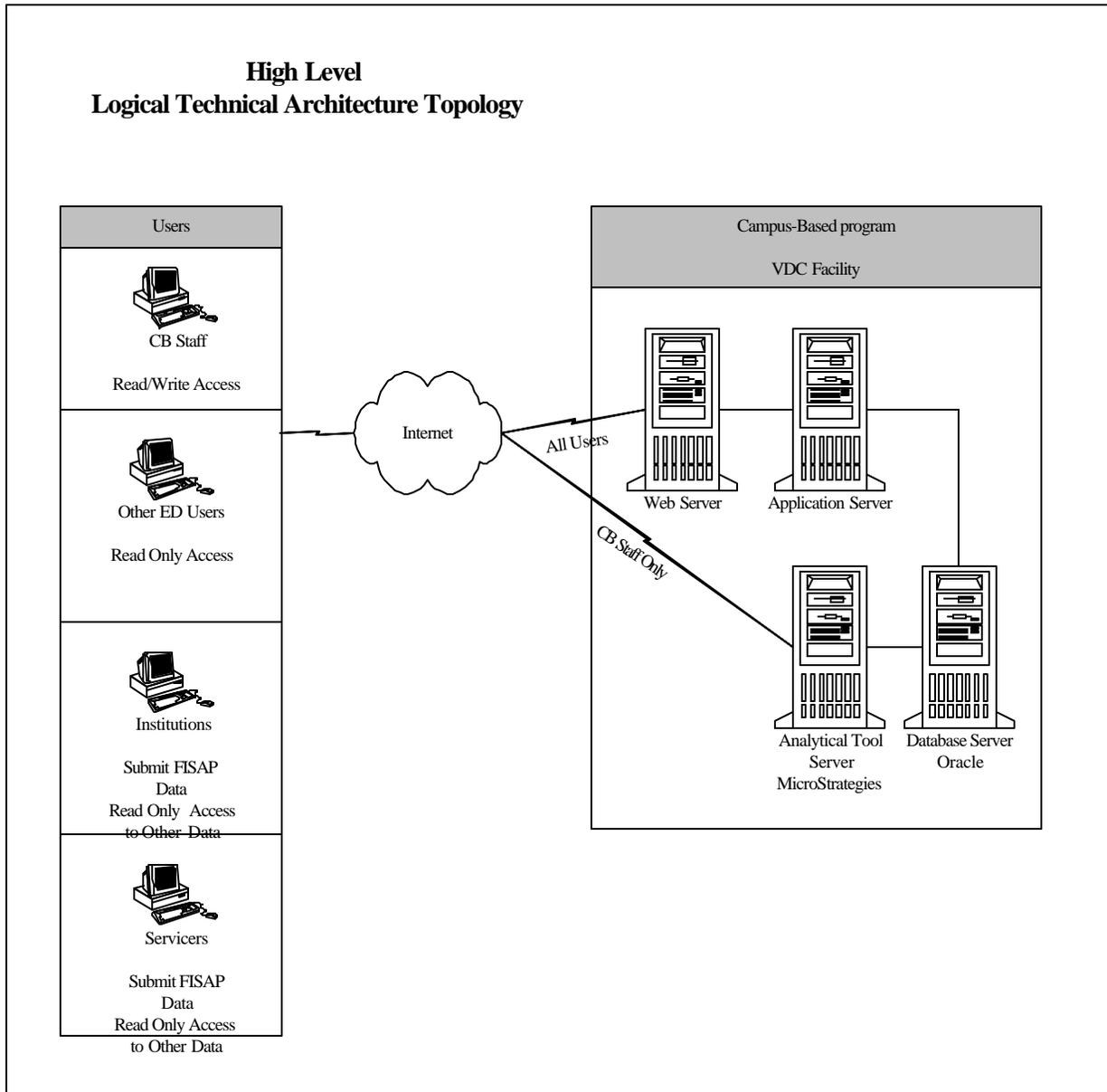


Figure 2: High Level Logical Technical Architecture Topology

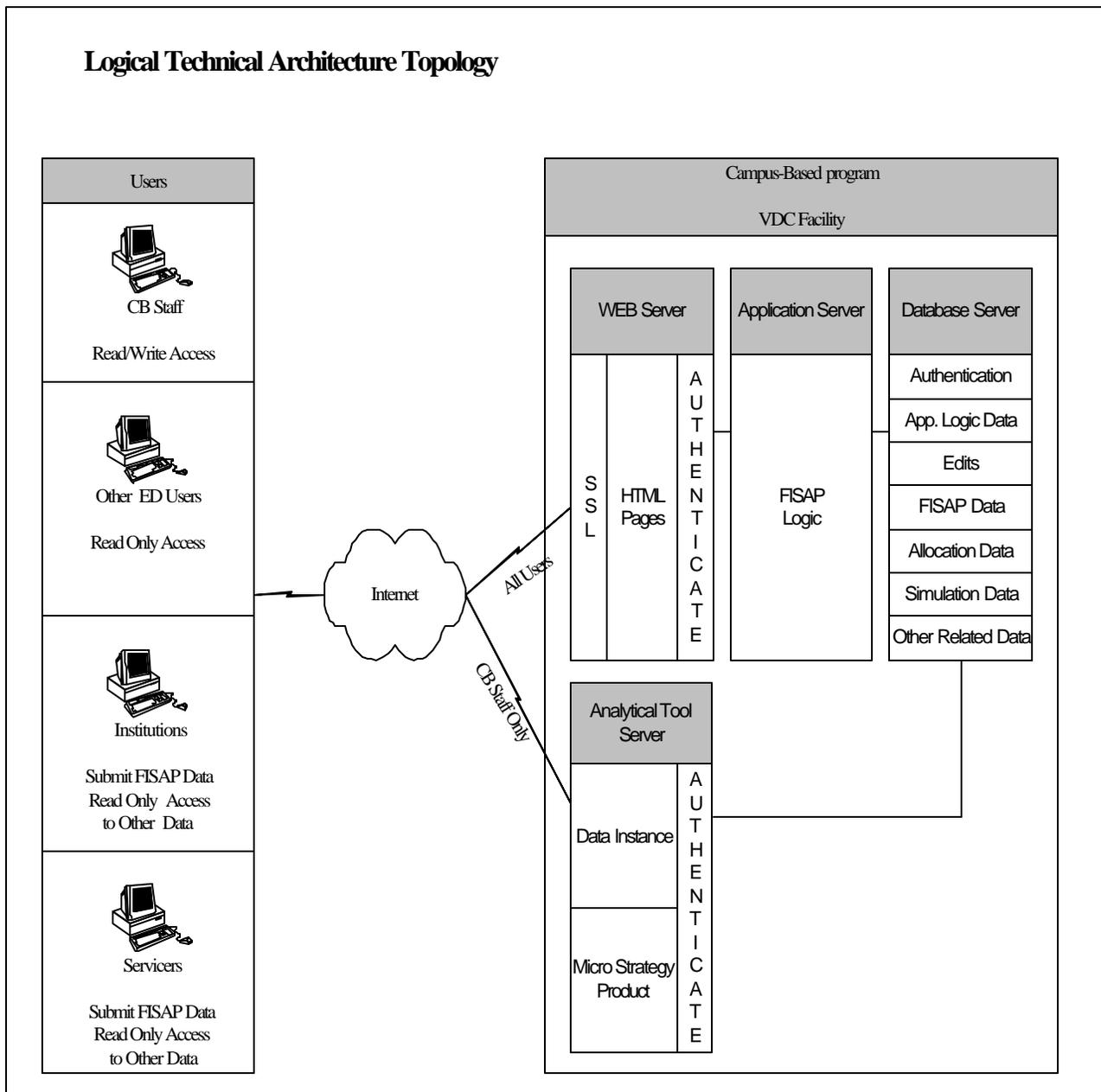


Figure 3: Logical Technical Architecture Topology

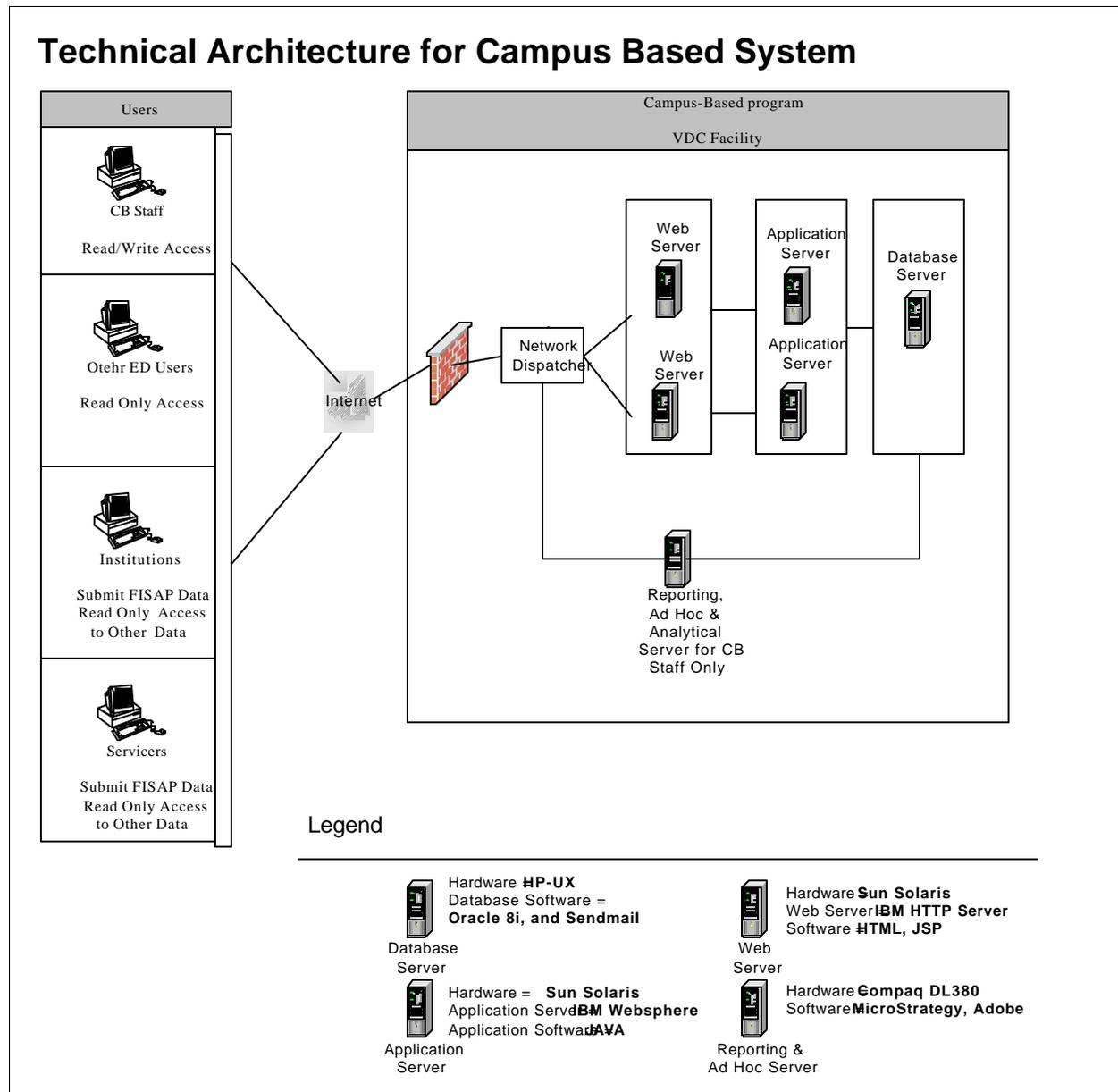


Figure 4: Technical Architecture for Campus-Based Systems

## 3 Users

The following is a brief description of the categories of CB System users and the administrative access they require:

### **CB Staff:**

CB staff based in Washington, DC are dedicated to the operations and maintenance of the CB Programs. The staff requires administrative access to the data stored in the CB system.

### **Other ED Users:**

Other ED users based in Washington, DC and the regional offices require “view only” access to the data currently stored in CB-Win.

### **Institutions:**

CB institutions require the ability to submit and correct current FISAP data and have “view only” access to their institutional data currently stored in CB-Win.

### **Servicers:**

Servicers are companies or organizations that CB institutions have authorized to administer their CB programs. Servicers require the ability to submit and correct current FISAP data and have view only access to their institutional data currently stored in CB-Win. In addition, servicers require the ability to submit current FISAP data for batch processing.

## 4 Requirements Discussion

### 4.1 Introduction

This section of the document provides a high-level summary of the redesigned CB System requirements for the main components: 1) data and application migration; 2) web-based FISAP process; 3) web-based solution for SFA staff. Section 4.5 describes how to read the requirements matrix.

### 4.2 Data Migration

The re-designed system will be built around a modern relational database that will be the centralized data repository for the CB System. The database will facilitate on-line transaction processing by providing secure, concurrent and easy user access. It will provide a robust data infrastructure for the new web-based programs.

The migration process shall include:

- Migration of VSAM files structure to relational database structure
- Conversion of current and historical data
- Conversion of the telephone log database system

The information stored in the database shall include:

- FISAP data for current and prior years
- Correspondence logs storing all forms of correspondence currently captured
- Demographic information about institutions
- Award information for current and prior years

### 4.3 Web-Based FISAP Process

The new FISAP process will use standard Internet technology to deliver an efficient on-line transaction processing system. Institutions and servicers will be able to access SFA's FISAP Process using the web.

The functionality available through the Internet channel includes:

- Automatic loading of prior year data files
- Ability to enter data and save incomplete FISAPs
- Ability to upload single or multiple school records
- Ability to print FISAP and signature pages (will incorporate GEPA and E-Sign as appropriate)
- Ability to validate (edit process) data before submission
- Ability to receive acknowledgement and edit files
- Award Notification letters to schools

### 4.4 Web-Based Solution for SFA staff

The SFA staff will be able to access the FISAP and associated administrative processes through a secure Internet connection. The system shall allow the users to view data online and make real-time updates. All changes will immediately be reflected in the centralized database and will be available to all other users and processes.

The key functionalities for SFA staff shall include:

- Process campus-based funding
- Maintain and edit FISAP data
- Calculate and notify institutional awards
- Allocate campus-based funds
- Reconcile accounts and reporting
- Tracking functions
- Edit processing and delivery
- Award Notification

## 4.5 Requirements Matrix

The list of requirements for the CB System is presented in Appendix B, Campus-Based Requirements Matrix. The requirements have been grouped and numbered to reflect their functional area. The data below is an aid in understanding the numbering schema within the matrix.

The numbering format is **CCSRNNN** where:

<i>CCC</i>	Signifies the major component
<i>S</i>	Derived from the sub-component,
<i>R</i>	Primarily used by the "reports" component to break down the other significant components (Web, Adm, DbA)
<i>NNN</i>	Indicates unique number for the Req. ID within the sequence.

For example, requirement number WEBFX001 has the following meaning:

Req ID	Reference
<i>WEB</i>	is a web front-end requirement
<i>F</i>	the requirement is derived from the FISAP submission process
<i>X</i>	a placeholder because the reports area breaks down further
<i>001</i>	indicates this is the first requirement of this sequence.

The following table contains the complete Requirements Matrix numbering schema:

WEB (WEB):	ADMIN (ADM):	DATABASE (DBA):	REPORTS (RPT):
FISAP - WEBFX	AUI - ADMAX	Structure - DBASX	<b>Web (W)</b> FISAP - RPTWF TIWWAN - RPTWT General - RPTWG
TIWWAN - WEBTX	CBWIN - ADMCX	Archive - DBAAX	
General – WEBGX	Utilities - ADMUX	Interfaces - DBAIX	
Notes – WEBNX	General – ADMGX	General – DBAGX	
	Notes – ADMNX	Notes – DBANX	<b>Admin (A)</b> AUI - RPTAA CBWIN - RPTAC Utilities - RPTAU General - RPTAG
			<b>Database (D)</b> Structure - RPTDS Archive - RPTDA Interfaces - RPTDI General - RPTDG General – RPTGX Notes – RPTNX

## **5 Constraints and Priorities**

### **5.1 Constraints**

Constraints for the system are defined as those requirements that have a high probability of not being implemented due to external factors.

The constraint that has been identified is:

#### **Single Sign-On**

The requirement states that the system shall fully integrate with the SFA Portal authentication/single sign-on. At this time, it is highly probable that the SFA Portal authentication or single sign-on module will not be available in time for the initial development of the CB system. Alternatively, a CB System sign-on authentication module will be provided specifically for the CB system.

### **5.2 Priorities**

The web-based FISAP process will be completed before the other components of the system in order to address SFA's FISAP application submittal processing deadlines.

## **6 CB System Documents**

### **6.1 User Manual**

The user manual for the web-based FISAP process will be provided to ensure that clear/concise instructions are available to the institutions and servicers. The manual will coincide with the current FISAP for 2002-2003 instruction booklet, but will be modified as needed for characteristics of a web interface.

An additional user manual will be developed for the web-based solution for SFA Staff. This user manual will not provide business logic but will provide a reference to the functionality that each module performs and will explain how to use it.

### **6.2 Online Help**

The current online help within the PC FISAP application will be captured within the web-based FISAP process. All references to a Windows functionality will be modified for a web interface. The content concerning CB processes and instructions will not be modified but will be included within the online help.

### **6.3 System Installation Guide**

The Systems Installation Guide will describe the process to install the CB software at the VDC. Some of the categories that will be included in this document are: prerequisites and configuration, product specific instructions (Oracle, HIS, JDK, Servlets, etc.), system administration support and file installation procedures.

## Appendices

### Appendix A: Acronyms and Abbreviations

Acronym	Definition
API	Application Program Interface
CB	Campus-Based
CBP	Campus-Based Programs
CBS	Campus-Based System
CB-Win	Campus-Based Windows
CM	Configuration Management
COBOL	COmmon Business Oriented Language
COD	Common Origination and Disbursement
COTS	Commercial Off-the-Shelf (Software)
CRM	Customer Relations Management
DDL	Data Definition Language
EAI	Enterprise Architecture Infrastructure
ED	US Department of Education
EDCAPS	US Department of Education Consolidated Accounting and Payment System (ED/OCFO)
EDConnect	EDConnect software
EDE	Electronic Data Exchange
EDEExpress	EDEExpress Software Suite
EDI	Electronic Data Interchange
EFC	Estimated Family Contribution
FAA	Financial Aid Administrator
FAFSA	Free Application for Federal Student Aid
FCC	Federal Capital Contribution
FISAP	Fiscal Operations Report and Application to Participate
FMS	Financial Management System
FSEOG	Federal Supplemental Educational Opportunity Grant
FWS	Federal Work-Study
FY	Fiscal Year
GAPS	Grant Administration Payment System (subsystem of EDCAPS)
HEA	Higher Education Act of 1965
HTML	Hypertext Markup Language
IPOS	Institutional Participation and Oversight Service
IPT	Integrated Product Team
IV&V	Independent Validation and Verification
LAN	Local Area Network
LEAP	Leveraging Educational Assistance Partnership Program
NSLDS	National Student Loan Data System (Raytheon)
OLAP	Online Analytical Processing
PEPS	Postsecondary Education Participants System
PL/SQL	Programming Language/Structured Query Language (Oracle)
PPA	Program Participation Agreement
RDBMS	Relational Database Management System
RFP	Request for Proposal
SAIG	Student Aid Internet Gateway
SAR	Student Aid Report
SFA	Student Financial Assistance
SLEAP	Special Leveraging Educational Assistance Partnership Program
SQL	Structured Query Language

Acronym	Definition
SSIG	State Student Incentive Grant
TIVWAN	Title IV Wide Area Network
VDC	Virtual Data Center
VSAM	Virtual Storage Access Method
WAN	Wide Area Network

## Appendix B: Requirements Matrix

Requirement ID	Description	Source	Priority	Release
ADMAX001	CB staff - 5 years of FISAP data starting with the current year shall be available for viewing through the admin user interface. This interface will present core elements spanning 5 years of the FISAP data for viewing & updating.	TO 13, 13.4.2 3.2.13, XIV, 1	H	
ADMAX002	The AUI system provides access to the Campus-Based master file via a microprocessor terminal and is primarily used to produce mainframe reports and update institutional data within the CBS Master File. Only the CB Staff has access to administration functions that process the updates. A section of the admin site will need to provide the same functionality with the same level of security.	TO 13, 13.4.2 3.2.12, XXIX	H	
ADMAX003	CB Staff - In addition to viewing status information in the Tracking module Status Flags tab, the Campus-Based contractor can activate an institution by setting the Special Activation Status flag if an institution's current FISAP status is Inactive or is Active because the Special Activation Status flag was set previously.	CB-Win	H	
ADMAX004	CB Staff - The ability to run the currently generated edit reports and other quality control reports used to find possibly incorrect FISAP data submitted by schools each year. The reports shall also be accessible on-line as well as downloadable files	TO 13, 13.4.2 3.2.11, XXIV	H	
ADMAX005	CB Staff - The admin interface will allow for viewing of the FISAP edit errors and allow for the CB Staff within this Role to suppress edits either globally or by individual schools	TO 13, 13.4.2 3.2.11, XVIII, XIX	H	
ADM CX001	CB Staff and Other ED users - The FISAP form itself for a particular year will be available for viewing (Note prior year FISAP Screens will not be developed with the initial development effort but the functionality to support viewing multiple FISAP years will be included.)	TO 13, 13.4.2 3.2.13, XIV, 1	H	
ADM CX002	CB Staff and Other ED users - Accounting transaction history records from 1985 through the present shall be available for viewing.	TO 13, 13.4.2 3.2.13, XIV, 2 & 3	H	
ADM CX003	CB Staff and Other ED users - Hold release data for three years shall be available for viewing. As hold release data becomes more than three years old, the data shall be archived	TO 13, 13.4.2 3.2.13, XIV, 6	H	
ADM CX004	CB Staff and Other ED users - Demographics data such as, institution's name, address, ID numbers, and Financial Management Specialist shall be presented for viewing.	CB-Win	H	
ADM CX005	CB Staff and Other ED users - Provide Update report to highlight changes from the PEPS feed.	CB Staff	M	Future Release
ADM CX006	CB Staff and Other ED users - Tracking dates for two years shall be viewable. Tracking dates older than 2 years shall be archived and be available through ad-hoc queries.	TO 13, 13.4.2 3.2.13, XIV, 4	H	
ADM CX007	CB Staff and Other ED users - Status information such as, current FISAP status, submitted waiver requests, Campus-Based system status, and Final Allocations status shall be presented for viewing.	CB-Win	H	

Requirement ID	Description	Source	Priority	Release
ADM CX008	CB Staff - The Staff can send a PRY, YTD file, or edit file to an institution that is using the PC FISAP by selecting the Send FISAP to Institution flag if an institution's current FISAP status is Active.	CB-Win but not activated	H	
ADM CX009	DC and Region staff - Contacts – CB Staff shall have access to only edit an institution's contact email information.	CB-Win	H	
ADM CX010	CB Staff and Other ED users - The Tracking Dates module shall allow the staff to easily track an institution's FISAP submission. as well as view, change or add tracking dates.	CB-Win	H	
ADM CX011	CB Staff and Other ED users - The Branch Campuses module shall provide access to the name, address, and OPEID number of each branch of an institution.	CB-Win	H	
ADM CX012	CB Staff and Other ED users - An Institutions Prior Year data shall be viewable.	CB-Win	H	
ADM CX013	DC and Region staff - Comments shall be viewable, along with the ability to add and change comments about an institution's current FISAP submission.	CB-Win	H	
ADM CX014	CB Staff and Other ED users - The FISAP View module shall provide the parts of the FISAP for viewing	CB-Win	H	
ADM CX015	CB Staff and Other ED users - View Edits	CB-Win	H	
ADM CX016	CB Staff and Other ED users - View Allocations	CB-Win	H	
ADM CX017	CB Staff and Other ED users - Integrated display of year over year comparisons.	CB Staff	H	
ADM CX018	DC and Region staff - Users shall be offered predefined views to aid their contact with the schools.(Ex. Waiver vs. DRAP view)	CB Staff	L	Future Release
ADM CX019	CB staff - The Title III Waivers section shall display the most recent five award years of data in descending order by year. The screen will display Title III waiver information for the FWS and FSEOG programs. The information shown for each program is if a request was received and if it was approved along with a date stamp. Only the three most recent years displayed may be updated. Whenever a request or status change is made, the system will automatically update the transaction date field to the current date and the user-id field with the user-id.	CB Staff	H	
ADM CX020	CB Staff and Other ED users - The system shall reflect the Under Utilization information from the FISAPs.	CB-Win	H	
ADM CX021	CB staff - The system shall update the relational database in real-time fashion for all 3 waiver programs.	CB Staff	H	
ADM CX022	CB staff - The system shall process an auto-approval where specific Title III Waiver are more of a permanent nature. The auto-approval waiver takes precedence over the FISAP Process. These will be hard coded or table lookup.	CB Staff	L	
ADM CX023	CB staff - The system shall produce Waiver Letters from the Title III process.	CB Staff	H	
ADM CX024	CB staff - Comment box shall be provided to automatically display comments associated with each waiver type for the selected year and allow for the user to add additional free form comments. There shall be no forced user-id associated with the comments.	CB Staff	H	
ADM CX025	CB staff - The Community Service Waivers screen shall display the most recent five award years of data in descending order by year. The screen will display community service waiver information, reading tutor waiver information, and math tutor waive information	CB Staff	H	

Requirement ID	Description	Source	Priority	Release
ADM CX026	CB staff - The Staff shall have the ability to request or status change the system will automatically update the transaction date field to the current date and the user-id field with the user-id. Both the request and status fields may be updated; however, the status fields may only be updated if the request field is "Y" (yes). If the request field is updated to anything other than "Y", the system will automatically update the corresponding status field to blank.	CB-Win	H	
ADM CX027	CB staff - The Under Utilization Waivers section shall display the most recent five award years of data in descending order by year. The screen will display UU waiver information for the FWS, FSEOG and Perkins programs. The information shown for each program is if a request was received, approved and an associated date stamp for each program. Only the three most recent years displayed may be updated. Whenever a request or status change is made, the system will automatically update the transaction date field to the current date and the user-id field with the user-id.	CB Staff	H	
ADM CX028	CB Staff and Other ED users - Display cumulative Perkins TC data in ATH.	CB Staff	H	
ADM CX029	CB staff - Web enable the TCLI process only six views or 60,000 records: the business process needs to be reviewed to understand how a web interface can provide an added value. Constraints: Since we probably cannot require schools to use our software maybe we can make the process easier by requiring specific fields be in the "homegrown" software or make it a requirement that CB must pre-approve all "homegrown" software.	CB Staff	L	Future Release
ADM CX030	CB staff - Liquidation - Calculate the overtime ratio for schools that are liquidating- this is based on four data elements on the FISAP	CB Staff	M	Future Release
ADM CX031	CB staff - Liquidation - Programmatically determine if schools met all requirements for closeout	CB Staff	M	Future Release
ADM CX032	CB staff - Liquidation - Have the recalculation process in PLIST	CB Staff	M	
ADM CX033	CB staff - Liquidation - There needs to be a tracking history for manual calculations- currently there is no way to capture this information	CB Staff	L	Future Release
ADM CX034	CB staff - Calculate the average tuition and fees	CB Staff	M	Future Release
ADM CX035	CB staff - Multi-screen functionality (PLIST must have the capability to be pulled on the screen with the FISAP with the history file, etc.)	CB Staff	H	
ADM CX036	CB staff - Capability to generate response letters automatically from the PLIST system.	CB-Win	H	
ADM CX037	CB staff - Ability to view multiple years of data simultaneous for an Institution.	CB Staff	H	
ADM CX038	CB staff - Currently for PLIST a manual calculation has to be done after the FISAP changes, in future include the capability of allowing updates after FISAP data has changes	CB Staff	M	
ADM CX039	CB staff - Add a function to track the amount of teacher and military cancellations overpayments.	CB Staff	M	Future Release
ADM CX040	CB staff - Cross module interaction: (1) Before overpayments are sent there needs to be a mechanisms to allow the controller to review the PLIST to determine if the institution is currently being liquidated, (2) PLIST needs to view into TC Payment.	CB Staff	L	Future Release
ADM CX041	CB staff - The Status section displays the institution record for an institution on the Hold list, including institution address, serial number, DUNS number, and OPEID number. Also provides the ability to view or update the hold status and allocated funds for each program in which the institution participates.	CB Staff	H	
ADM CX042	CB staff - The Holds module shall allow for the generation of an Accounting extract file.	CB Staff	H	

Requirement ID	Description	Source	Priority	Release
ADM CX043	CB staff - Automated flow with staff intervention, any transaction that goes in gets edited and automatically goes into recalculation. (Auto Recalc)	CB Staff	H	
ADM CX044	CB staff - Automated process flow that a prior FISAP adjustment will trigger a recalculation. (Auto Recalc)	CB Staff	H	
ADM CX045	CB staff - Put all prior year adjustments into a cue that will require staff action. (Staff says yes action/no action, if "no" it gets stored in a history tracking mechanism. If it is only a minimal discrepancy (possibly a weighted calculation) it also gets stored. No further action required. If "yes" it will go straight to the accounting system). (Auto Recalc linked to Accounting processing)	CB Staff	H	
ADM CX046	CB staff - Leave standalone component in as a "what if analysis".	CB Staff	H	
ADM CX047	CB staff - Recalculations needs to be stored somewhere so the Staff can have an audit trail to describe to the schools if they call. You can go back throughout the history and recall them. Historical audit trails need to be kept and accessible.	CB Staff	H	
ADM CX048	CB staff - The admin user interface shall allow the reviewer to submit some or all of the unprocessed transactions to a validation process that checks for award id validity and funding availability prior to the staging of the GAPS output.	TO 13, 13.4.2 3.2.11, X	H	
ADM CX049	CB staff - The admin user interface shall show accepted and rejected transactions and the reason for the rejections	TO 13, 13.4.2 3.2.11, XI	H	
ADM CX050	CB staff - The system shall allow the GAPS file and award letters to be regenerated for this processed transaction batch	TO 13, 13.4.2 3.2.11, XIII	H	
ADM CX051	The Access database will need to be eliminated and the CB-windows functionality be migrated to the administration component on the Web.	MD	H	
ADM GX001	The current telephone log contained in a MS Access database shall be migrated into the relational database	TO 13, 13.4.2 3.2.13, X	H	
ADM GX002	Two years of telephone log data shall be viewable through the admin user interface. As telephone log data becomes more than two years old, the data shall be archived	TO 13, 13.4.2 3.2.13, XIV, 8	H	
ADM GX003	On-line entry and viewing screens shall be provided within the admin user interface for updating and adding entries to the telephone log. The current telephone log consists of the Campus-Based serial number, date of call, phone number of school, school person contacted, reason of call, and Department of Education staff name that made the log entry	TO 13, 13.4.2 3.2.11, XVII	H	
ADM GX004	All fields in the phone log shall be searchable.	CB Staff	H	
ADM GX005	Comment box shall have a drop down menu allowing users to depict the nature of the call.	CB Staff	H	
ADM GX006	Staff shall be able to make detail comments describing the outcome of the call.	CB Staff	H	
ADM GX007	Repository for documents sent by caller – emails, letters, etc...	CB Staff	M	Future Release
ADM GX008	CB staff - Capability of viewing more than one screen at once, allowing the staff to perform side by side comparisons.	CB Staff	H	
ADM GX009	CB Staff and Other ED users - Capability to email notifications and print CB-Windows reports/letter/forms.	CB Staff	H	
ADM GX010	CB staff - Liquidation - Capability to set up data CB staff needs out of COGNOS and create an interface to this information(Link)	CB Staff	M	Future Release

Requirement ID	Description	Source	Priority	Release
ADMGX011	CB staff - All functionality currently contained within the CB-Windows and AUI shall be considered included in the baseline requirements.	General	H	
ADMGX012	CB staff - Investigate a way to integrate notifications to schools into one document detailing everything on one letter at the same time	CB Staff	M	Future Release
ADMGX013	CB staff - An interface between ELC and TC	CB Staff	M	Future Release
ADMGX014	CB Staff and Other ED users - Capability to print a hard copy of TC payment and worksheet from the ATH module.(see RPTAA006)	CB Staff	H	
ADMGX015	CB staff - Base guarantees, LOE amounts, and cumulative Teacher Cancellation payments to institutions shall be viewable and updateable by Department of Education staff within this Role through on-line data entry screens	TO 13, 13.4.2 3.2.11, XV	H	
ADMGX016	CB staff - Letters and work college FISAP automated and sent out together.	CB Staff	L	Future Release
ADMGX017	CB staff - Once the award is approved the funds are automatically released to the accounting module.	CB Staff	H	
ADMGX018	CB Staff and Other ED users - Ability to use CB serial numbers	CB Staff	H	
ADMGX019	CB staff - Ability to reject a procedure report and activity report and generate a letter for schools (PART - IRS Skiptracing)	CB Staff	H	
ADMGX020	The admin user interface shall have the ability to modify or add new award IDs for a serial number and school year. This function supports the event of when one school splits from another school and did not have an award id assigned for the school year in which the split is taking place. The award ID would be needed before awards could be made to the school, which split off, from the parent	CB Staff	H	
ADMGX021	The admin user interface shall have the ability to update, delete and add authorization amounts on-line into the relational database	CB Staff	H	
ADMGX022	The admin user interface shall provide access to update, add, and delete school demographic data (name, address, identifiers). These updates, deletions, and additions shall result in real-time updates to the database	TO 13, 13.4.2 3.2.11, VII	H	
ADMGX023	The admin user interface shall allow the reviewer to see the associated processed transactions for the same school, school year, and program of the unprocessed award adjustment in order to check for errors in the award adjustment	TO 13, 13.4.2 3.2.11, IX	H	
ADMGX024	A view into the audit log of the database shall be provided. Updates, deletions, and insertions to FISAP data, demographic data, cumulative TC payments, and base guarantee data shall be viewed	TO 13, 13.4.2 3.2.11, XVI	H	
ADMGX025	The admin user interface needs to provide the ability for FMS users to obtain access to all of the Perkins Loan Balance Sheet information (specifically Section 3A, 3B, and 3C of the FISAP) once it comes up in the new Campus Based Oracle database. (FMS to supply the interface)	CB Mod Coordination with FMS.	H	FMS Cost
ADMGX026	Common Accounting Numbers (CANS) shall not be migrated to the relation database. All programs using CANS shall be converted to use project codes and fiscal years.	TO 13, 13.4.2 3.2.13, IV	H	
ADMGX027	All authorization data shall be converted to contain their corresponding project code, fiscal year, appropriation code, object class, organization code, authorization amount, and description.	TO 13, 13.4.2 3.2.13, V	H	

Requirement ID	Description	Source	Priority	Release
ADMGX028	The CB system will also need to provide Perkins data (Part 3 of the FISAP) to FMS. (FMS to supply the interface)	CB Mod Coordination with FMS. Meeting 12/14/2000	H	FMS Cost
ADMGX029	The contractor shall propose an architecture that supports for access of up to 50 concurrent "ADMIN" sign-ons. Estimated number of CB Staff and Other ED Users is 250.	TO 13, 13.4.2 3.2.2.2, II	H	
ADMGX030	The system shall provide an "ADMIN" interface compatible with web client software versions in common use at the time of development (e.g., Netscape Navigator 5.x). The standards for the CB Staff and Other CB Users is being designed at a higher level to maximize technology.	TO 13, 13.4.2 3.2.12, IV	H	
ADMGX031	The system shall provide an ADMIN interface compatible with Accessibility Requirements in common use at the time of development. See referenced specifications.	TO 13, 13.4.2 3.2.12, VIII	H	
ADMGX032	The system shall fully integrate with the SFA Portal authentication or single sign-on. If the SFA Portal authentication or single sign-on module is not available in time for development of the CB web component then a database authentication module will be provided specifically for the CB system.	TO 13, 13.4.2 3.2.12, VI	H	
ADMGX033	The system shall provide secure client access using SSL 2.0. The entire session will maintain the secure client.	TO 13, 13.4.2 3.2.12, XIII	H	
ADMGX034	The system shall handle multiple user panel access. That is more than one user can access the same screen at the same time. Currently in the FISAP PC software if a user is accessing a screen that screen is locked.	TO 13, 13.4.2 3.2.11, II	H	
ADMGX035	Server side processing shall be maximized to reduce the complexity and size of the site's pages.	TO 13, 13.4.2 3.2.12, XV I	H	
ADMGX036	An Admin section of the site is required to provide reporting access and update capability to the data.	CB Staff	H	
ADMUX001	Further refine the requirements for the DRAP system in order to best provide a web based solution. Some possible features are; (1) Utilize the website for data submission, (2) Put school's serial number on the outside of the envelope or next to person's name so it can be sorted more readily, (3) Log appropriate batch activity, (4) Automate mainframe receipt process. NOTE: Constraints are: (1) Student records are purged (Privacy Act data) after letter is sent.	CB Staff	L	Future Release
ADMUX002	CB staff - Capability of doing Award Simulations(tentative, final award, closeout award, teacher/service cancellation and reallocation simulation) on desktop and interface with accounting.	TO 13, 13.4.2 3.2.11, XX, XXI	H	
ADMUX003	CB staff - Simulation would be a "what if" simulation, (i.e.: don't store results until requested.	CB Staff	H	
ADMUX004	CB staff - The admin interface will provide the CB Staff the ability to enter parameters and upload LEAP/SLEAP figures by state for tentative and final allocation simulations and actual runs	TO 13, 13.4.2 3.2.11, XXII	H	
ADMUX005	CB staff - The Update section allows the Campus-Based contractor to import the PEPS feed to create the initial Hold list.	CB	H	

Requirement ID	Description	Source	Priority	Release
ADMUX006	CB staff - Obtain PEPS information through an interface	CB Staff	M	Future Release
ADMUX007	CB staff - Interface with NSLDS to determine what school not reporting Perkins data	CB Staff	M	Future Release
ADMUX008	CB staff - Initialize a feed from CBS once a year. (SSN, name, amount loaned, amount assigned, etc.)	CB Staff	M	Future Release
ADMUX009	CB staff - The admin interface will provide the Department of Education staff the ability to upload a PEPS eligibility flag by OPEID into the relation database for use in creating the hold file for final award allocations	TO 13, 13.4.2 3.2.11, XXIII	H	
ADMUX010	CB Staff and Other ED users - Automate the feed from PEPS to capture the current Institution's demographic data. Ensure that all fields are accepted.	CB Staff	M	Future Release
ADMUX011	CB Staff and Other ED users - Identify schools that have not met the community service requirements.	CB Staff	M	
ADMUX012	CB staff - The system shall process a Title III Waiver feed and update the data by matching OPEIDs. This update will only be performed on current year FISAPs.	CB Staff	H	
ADMUX013	CB staff - Add the TCLI link to the site as a link	CB Staff	L	Future Release
DBAAX001	The current telephone log contained in a MS Access database shall be migrated into the relational database	TO 13, 13.4.2 3.2.13, X	H	
DBAAX002	Two years of telephone log data shall be viewable through the admin user interface. As telephone log data becomes more than two years old, the data shall be archived	TO 13, 13.4.2 3.2.13, XIV, 8	H	
DBAAX003	5 years of FISAP data starting with the current year shall be available for viewing through the admin user interface. This interface will present core elements spanning 5 years of the FISAP data for viewing & updating.	TO 13, 13.4.2 3.2.13, XIV, 1	H	
DBAAX004	Accounting transaction history records from 1985 through the present shall be available for viewing through the admin user interface.	TO 13, 13.4.2 3.2.13, XIV, 2 & 3	H	
DBAAX005	Hold release data for three years shall be available for viewing through the admin user interface. As hold release data becomes more than three years old, the data shall be archived	TO 13, 13.4.2 3.2.13, XIV, 6	H	
DBAAX006	Tracking dates for two years shall be viewable through the admin user interface. Tracking dates older than 2 years shall be archived and be available through ad-hoc queries.	TO 13, 13.4.2 3.2.13, XIV, 4	H	
DBAAX007	Hold release data for three years shall be available for viewing through the admin user interface. As hold release data becomes more than three years old, the data shall be archived	TO 13, 13.4.2 3.2.13, XIV, 6	H	
DBAAX008	Tentative and Final award worksheets for 5 application years shall be viewable through the admin user interface. As tentative and final worksheets become more than 5 years old, the data shall be archived and be available through ad-hoc queries	TO 13, 13.4.2 3.2.13, XIV, 5	H	
DBAAX009	Teacher cancellation worksheets and award letters for 5 award years shall be viewable through the admin user interface. As worksheets become more than 5 years old, the data shall be archived and be available through ad-hoc queries	TO 13, 13.4.2 3.2.13, XIV, 7	H	

Requirement ID	Description	Source	Priority	Release
DBAAX010	Accounting transaction history records before 1985 shall be archived and be available through ad-hoc queries.	TO 13, 13.4.2 3.2.13, XIV, 2 & 3	H	
DBAAX011	As FISAP data becomes more than 5 years old, the data shall be archived and be available through ad-hoc queries. Electronic FISAP data contained in the current Campus-Based system that is 6 years or older (FYA through FYH and before) shall be archived in the relation database at conversion and be available by ad-hoc queries	TO 13, 13.4.2 3.2.13, XIV, 1	H	
DBAAX012	Tentative and Final award worksheets for 5 application years shall be viewable through the admin user interface. As tentative and final worksheets become more than 5 years old, the data shall be archived and be available through ad-hoc queries	TO 13, 13.4.2 3.2.13, XIV, 5	H	
DBAAX013	Teacher cancellation worksheets and award letters for 5 award years shall be viewable through the admin user interface. As worksheets become more than 5 years old, the data shall be archived and be available through ad-hoc queries	TO 13, 13.4.2 3.2.13, XIV, 7	H	
DBAGX001	The CB-Windows system currently runs on an MS Access database that is created nightly using exports from the mainframe. The primary function of the CB-Windows system is to support the Campus-Based Team in reconciling issues and reporting. The Access database will need to be eliminated and the CB-windows system migrated to access the relational database.	MD	H	
DBAGX002	Common Accounting Numbers (CANS) shall not be migrated to the relation database. All programs using CANS shall be converted to use project codes and fiscal years.	TO 13, 13.4.2 3.2.13, IV	H	
DBAGX003	All authorization data shall be converted to contain their corresponding project code, fiscal year, appropriation code, object class, organization code, authorization amount, and description.	TO 13, 13.4.2 3.2.13, V	H	
DBAGX004	All Campus-Based data current & historical will be stored exclusively in the relational database. Current is defined as not older than 5 years from the current FISAP cycle.	MD	H	
DBAGX005	Department of Education staff shall have access to the relational database 24 hours a day, seven days a week. Availability shall be at least 97%, with the exception of scheduled maintenance	TO 13, 13.4.2 3.2.13, XI	H	
DBAGX006	The relational database shall be used to store partial data entered by a user to reduce the amount of data being held and also allows for improved disaster/recovery (autosave)	TO 13, 13.4.2 3.2.12, XIX	H	
DBAGX007	Database Connection Pooling shall be considered in the design of this site	TO 13, 13.4.2 3.2.12, XXI	H	
DBAIX001	DC staff - The admin interface will provide the Department of Education staff the ability to enter parameters and upload LEAP/SLEAP figures by state for tentative and final allocation simulations and actual runs	TO 13, 13.4.2 3.2.11, XXII	H	
DBAIX002	DC staff - The Update section allows the Campus-Based contractor to import the PEPS feed to create the initial Hold list.	CB	H	
DBAIX003	DC staff - Obtain PEPS information through an interface	CB Staff	M	Future Release
DBAIX004	DC staff - Interface with NSLDS to determine what school not reporting Perkins data	CB Staff	M	Future Release

Requirement ID	Description	Source	Priority	Release
DBAIX005	DC staff - Initialize a feed from DCS once a year. (SSN, name, amount loaned, amount assigned, etc.)	CB Staff	M	Future Release
DBAIX006	DC staff - The admin interface will provide the Department of Education staff the ability to upload a PEPS eligibility flag by OPEID into the relation database for use in creating the hold file for final award allocations	TO 13, 13.4.2 3.2.11, XXIII	H	
DBAIX007	The CB system will also need to provide Perkins data (Part 3 of the FISAP) to FMS.	CB Mod Coordination with FMS. Meeting 12/14/2000	H	FMS Cost
DBAIX008	Provide the ability for FMS users to have access to the new Campus Based system for reporting purposes. FMS users shall be included into the Other CB Staff Users.	CB Mod Coordination with FMS.	H	
DBAIX009	The Campus-Based system shall continue to export data to GAPS in its current form.	SYSTEM	H	
DBASX001	AWARD ID Algorithm: Each award ID shall have a serial number and school year associated with it using the same algorithm defined by Req Spec ID # DBASX003.	TO 13, 13.4.2 3.2.13, II	M	Future Release
DBASX002	AWARD ID Algorithm: All current award data in the Campus-Based system shall be converted to separate the award ID from the serial number using the same algorithm defined by Req Spec ID # DBASX003.	TO 13, 13.4.2 3.2.13, II	M	Future Release
DBASX003	AWARD ID Algorithm: Currently the Award ID uses the school's serial number as the as the last four digits of the award document number. The award ID is sent to GAPS as the identifier for that schools FISAP. A new approach shall be taken to assign each year independently of the Campus-Based serial number. Values for the award ID for each participating Campus-Based school shall be assigned using some algorithm and stored each year before final awards are run.	TO 13, 13.4.2 3.2.13, II	M	Future Release
DBASX004	AWARD ID Expansion - CB currently uses the school's serial number as the last 4 digits in an award document number. One of CB's requested FMS requirements was to expand to 6 digits to accommodate future growth (Ex:P033A990001 Alabama A&M to P033A99000001 Alabama A&M)	CB Mod Coordination with FMS.	H	FMS Cost
DBASX005	All award data shall be converted to the GAPS project code format.	TO 13, 13.4.2 3.2.13, VI	H	
DBASX006	Each award shall have associated with it a serial number, document prefix, document year, award ID, school year, project code, fiscal year, amount, effective date, award type code, user id, and reason for award. All new awards shall be stored in this format. Award amounts shall be stored as positive and negative numbers	TO 13, 13.4.2 3.2.13, VII	H	
DBASX007	EINs shall not be stored in the relation database or used in any program.	TO 13, 13.4.2 3.2.13, VIII	H	
DBASX008	All year data shall be stored and displayed as 4 digits. Designations such as FYL, FYM, etc. for each application year shall be replaced with the appropriate four-digit school year or application year designation	TO 13, 13.4.2 3.2.13, IX	H	
DBASX009	Ensure the database design is built to support the possible migration of the CB system to handle currency data, as dollars and cents.	TO 13, 13.4.2 3.2.13,	H	

Requirement ID	Description	Source	Priority	Release
		XIII		
GEN001	Provide for running parallel systems.	CB Staff	H	
RPTAA001	AUI - CBS Master File Listing (available in print-only mode)	AUI	H	
RPTAA002	AUI - Table Parameters	AUI	H	
RPTAA003	AUI - Table Log Transactions	AUI	H	
RPTAA004	AUI - Institutional Funding Levels	AUI	H	
RPTAA005	AUI - Duplicate Edit on Allocation Worksheets	AUI	H	
RPTAA006	AUI - TC Allocation Worksheets	AUI	H	
RPTAA007	AUI - Allocation Summary	AUI	H	
RPTAC001	DC staff - Liquidation – Current Year & Previous Year comparison Report	CB Staff	M	Future Release
RPTAC002	ATH - ATH report lists the ATH records selected for the current institution	CB-Win	H	
RPTAC003	DTP - The Serial/TG ID Cross-Reference Report	MF	H	
RPTAC004	DTP - The Suspense File Listing Report	MF	H	
RPTAC005	FV - The Entire FISAP Report	CB-Win	H	
RPTAC006	FV - The Part I—Identification Report	CB-Win	H	
RPTAC007	FV - The Part II—Application Report	CB-Win	H	
RPTAC008	FV - The Part III—Perkins Report	CB-Win	H	
RPTAC009	FV - The Part IV—FSEOG Report	CB-Win	H	
RPTAC010	FV - The Part V—FWS Report	CB-Win	H	
RPTAC011	FV - The Part VI—Program Summary Report	CB-Win	H	
RPTAC012	FV - The Part VII—Additional Information Report	CB-Win	H	
RPTAC013	FV - The FISAP Edit Errors Report	CB-Win	H	
RPTAC014	FV - The Allocation Information Report	CB-Win	H	
RPTAC015	FV - Department of Education staff using the admin user interface shall have the ability to view authorization amounts and available balances by project code and fiscal year both before and after hold schools are taken into account. The results shall be displayed using real time data within the relation database at the time this data request is submitted	TO 13, 13.4.2 3.2.11, XIV	H	
RPTAC016	FV - Ratio Calculation Report(Ex: tuition and fees/# students)	CB Staff	M	Future Release
RPTAC017	FV - Management Reports that shall determine award difference from year to year.	CB Staff	M	
RPTAC018	HLD - Hold Schools report	CB-Win	H	
RPTAC019	HLD - Hold List	CB-Win	H	
RPTAC020	HLD - Status Totals	CB-Win	H	
RPTAC021	PRT - Activity report confirmation letter(s)	CB-Win	H	
RPTAC022	PLIST - Summary Report—Gives a total count and dollar amount of Excess Liquid Capital I and II designations.(Excess Liquid Capital I or II)	CB-Win	H	
RPTAC023	PLIST - Outstanding Balances/Tracking Report—Lists all schools having unreconciled balances for the year and their resulting cash designations.	CB-Win	H	
RPTAC024	PLIST - Non-Respondents Report—Lists schools giving no response to ED notification of Excess Liquid Capital designations.(Excess Liquid Capital I or II)	CB-Win	H	
RPTAC025	PLIST - Deposit Report—Shows all deposit transactions for a selected year and designation.(Excess Liquid Capital I or II)	CB-Win	H	
RPTAC026	PLIST - Response Letters (Accepted) Report—Lists schools for whom ED accepted response letters. (Excess Liquid Capital I or II)	CB-Win	H	

Requirement ID	Description	Source	Priority	Release
RPTAC027	PLIST - Response Letters (Rejected) Report—Lists schools for whom ED did not accept response letters.(Excess Liquid Capital I or II)	CB-Win	H	
RPTAC028	PLIST - First Letter Response Report—Lists all institutions that responded to the initial Excess Liquid Capital letter mailed by ED.(Excess Liquid Capital I or II)	CB-Win	H	
RPTAC029	PLIST - No First Letter Response Report—Lists all institutions that did not respond to the initial Excess Liquid Capital letter mailed by ED.(Excess Liquid Capital I or II)	CB-Win	H	
RPTAC030	TRK - The Institution Snapshot Report	CB-Win	H	
RPTAC031	TRK -The Campus-Based Population Report	CB-Win	H	
RPTAC032	TRK -The Submission Statistics Report	CB-Win	H	
RPTAC033	TRK -The Batch Report	CB-Win	H	
RPTAC034	TRK -The Incomplete Report	CB-Win	H	
RPTAC035	TRK -The Error Log Report	CB-Win	H	
RPTAC036	TRK - The Name and Address Changes Report	CB-Win	H	
RPTAC037	TRK -The TIVWAN Mailbox Report	CB-Win	H	
RPTAC038	WRV - Title III Approved Waivers Report (FWS, FSEOG, or both)	CB-Win	H	
RPTAC039	WRV - Title III Denied Waivers Report (FWS, FSEOG, or both)	CB-Win	H	
RPTAC040	WRV - Title III Approval Letters	CB-Win	H	
RPTAC041	WRV - Title III Denial Letters	CB-Win	H	
RPTAC042	WRV - Community Service Waivers Report combining approvals and denials in a single report (Service, Reading Tutors, Math Tutors, or all)	CB-Win	H	
RPTAC043	WRV - Community Service Cover Page	CB-Win	H	
RPTAC044	WRV - Community Service Approval/Denial Letters	CB-Win	H	
RPTAC045	WRV - Under Utilization Waivers Report combining approvals and denials in a single report (FWS, FSEOG, Perkins, or all)	CB-Win	H	
RPTAC046	WRV - Under Utilization Cover Page	CB-Win	H	
RPTAC047	WRV - Under Utilization Approval/Denial Letters	CB-Win	H	
RPTAC048	WRV - Title III Summary	CB-Win	H	
RPTAC049	WRV - Community Service Summary	CB-Win	H	
RPTAC050	WRV - Under Utilization Summary	CB-Win	H	
RPTAC051	WRV - Report showing all schools that have under-use funds.	CB-Staff	M	
RPTAC052	WRV - Waiver packet (cover page included)	CB-Staff	M	Future Release
RPTAC053	WRV - Waiver Management Reports	CB-Staff	M	
RPTAU001	FSEOG REQUEST > 0 AND PELL AWARD = 0 (Q514) (ALLOCATION FILE)	MF	H	
RPTAU002	CBS MASTER LISTING STATE-ALPHA, SERIAL, ALPHA	MF	H	
RPTAU003	INST RECV ALLOC 1OR 2 YRS AGO, DID NOT SUBMIT A CURRENT FISAP	MF	H	
RPTAU004	PARTICIPATING SCHOL BY TYPE/CONTROL	MF	H	
RPTAU005	AVERAGE EXPENDITURE PER STUDENT	MF	H	
RPTAU006	INSTITUTION'S PRESIDENT DIRECTORY	MF	H	
RPTAU007	INSTITUTION'S WITH INCOMPLETE FISAP SUBMISSION	MF	H	
RPTAU008	INSTITUTION WITH FUNDS EARMARKED BUT NO CURRENT FISAP	MF	H	
RPTAU009	PART III, SECT A, LINE 24 (TC) COMPARED TO CBS MASTER FILE	MF	H	
RPTAU010	PERKINS LOAN INSTITUTIONS WITH LOAN FUNDS IN LIQUIDATION	MF	H	
RPTAU011	PRINT INSTITUTION DATA IN FISAP FORM LAYOUT	MF	H	
RPTAU012	INSTITUTION TRANSFER FUNDS BETWEEN FWS/FSEOG	MF	H	
RPTAU013	PRINT AND CREATE FILE FOR EXCESS CASH 1	MF	H	

Requirement ID	Description	Source	Priority	Release
RPTAU014	PRINT AND CREATE EXCESS CASH 2 LIST	MF	H	
RPTAU015	DIRECTORY LIST OF INSTITUTION'S PRESIDENT, FAA, CFO	MF	H	
RPTAU016	FWS JOB LOCATION AND DEVELOPMENT	MF	H	
RPTAU017	INSTITUTION'S REQUESTING FWS WAIVER	MF	H	
RPTAU018	FISCAL OPERATION REPORT SUMMARY BY NATIONAL TOTALS	MF	H	
RPTAU019	REQUESTED AMOUNT BY TYPE AND CONTROL FOR EACH	MF	H	
RPTAU020	DETAIL REQUESTED AMOUNTS FOR ALL CAMPUS-BASED PROGRAMS	MF	H	
RPTAU021	CAMPUS BASED FUNDS EARMARKED	MF	H	
RPTAU022	LIST SCHOOLS WITH UNDER UTILIZATION PENALTY (Q996)	MF	H	
RPTAU023	HOLD LIST FOR AWARD YEAR	MF	H	
RPTAU024	STATUS OF DEFAULT	MF	H	
RPTAU025	% CHANGE IN DEFAULT FROM PY	MF	H	
RPTAU026	COMPONENT DISTRIBUTION OF ALLOCATION-NEW VERSION	MF	H	
RPTAU027	PRINT INSTITUTION'S CAMPUS-BASED FUNDING LEVELS	MF	H	
RPTAU028	PRINT CAMPUS-BASED FUNDING LEVELS BY SERVICER	MF	H	
RPTAU029	FSEOG NEED COMPARISON (Q050)	MF	H	
RPTAU030	FWS TOTAL FAIR SHARE EXCEED \$20,000 (Q306)	MF	H	
RPTAU031	FULL TIME STUD INCR OR DECR > 20	MF	H	
RPTAU032	TOTAL TUITION INCR/DECR > 20%	MF	H	
RPTAU033	FSEOG AVERAGE TUITION FEE > \$20,000 (Q016) (ALLOCATION FILE)	MF	H	
RPTAU034	AVERAGE TUITION FEES GREATER THAN \$15,000 (Q076)	MF	H	
RPTAU035	ELIGIBLE AID APPLICANT COUNT EXCEED 100% OF ENROLLMENT (Q077)	MF	H	
RPTAU036	ELIGIBLE AID APPLICANT AND NO UNDER GRADUATE ENROLLMENT AND FEES (Q081)	MF	H	
RPTAU037	INVALID PROPRIETARY CODE (Q170)	MF	H	
RPTAU038	ELIGIBLE AID APPLICANT CELL GREATER THAN PARM VALUE (Q197)	MF	H	
RPTAU039	ALLOCATION CONGRESSIONAL NOTIFICATION	MF	H	
RPTAU040	SIGNIFICANT FUNDING INCREASE FROM PRIOR YEAR BASED ON INPUT PARAMETER PERCENTAGE	MF	H	
RPTAU041	INST W/20% DEFRATE & 10% > PY	MF	H	
RPTAU042	ELIGIBLE AID APPL INCR > 25%	MF	H	
RPTAU043	PELL AWARD DECREASE > 20%	MF	H	
RPTAU044	INST W > 30% DECLINE IN ENROLL	MF	H	
RPTAU045	COMPARISON OF PERKINS LOAN AND FWS TENTATIVE AND FINAL ALLOCATIONS	MF	H	
RPTAU046	COMPARISON OF ALLOCATION BETWEEN TENTATIVE AND FINAL ALLOCATIONS	MF	H	
RPTAU047	ALLOCATION SUMM BY TYPE/CONTROL	MF	H	
RPTAU048	PRINT INCREASE/DECREASE FIELDS FROM MASTER FILE	MF	H	
RPTAU049	NET WORTH BY TYPE & CONTROL	MF	H	
RPTAU050	SUMMARY OF UNEXPENDED BALANCES	MF	H	
RPTAU051	NET WORTH REPORT - STATE & US TOTALS	MF	H	
RPTAU052	NET WORTH REPORT - INSTITUTION DETAIL	MF	H	
RPTCX001	DC staff - Hold Schools report	CB Staff	H	

Requirement ID	Description	Source	Priority	Release
RPTWF001	Reporting component of the site shall allow for both viewing current standard reports along with the additional reports; (1) Historical View by Year for the Institution, (2) Year over Year Comparison, (3) Similar Institutions Report by population, school types, ...(this would show only aggregate totals) (4) Analysis & Multi-Year Trending capability	TO 13, 13.4.2 3.2.11, IV	H	
WEBFX001	The system shall customize FISAP forms similar to the current FISAP PC System; (1) Funding Levels by School, (2) Federal Program Eligibility – Based on the schools participation within the program., (3) Master Calendar Events – Various Forms (reallocation form, excess cash) are only available for specific periods of the FISAP., (4) New Schools Special Processing, (5) ID Administration Module – Allow for Security Users & Groups	TO 13, 13.4.2 3.2.11, I	H	
WEBFX002	The system shall provide for inclusion of the comprehensive and robust validation routines that currently exist within the FISAP system. The edits are the foundation for the Campus-Based system in ensuring accurate and complete data. These validation routines consist of 129 edits and dependency edits between screens and prior year data.	SYSTEM	H	
WEBFX003	The system shall provide that each page/panel/form has extensive field edits. These will execute upon any update to the field and must be satisfied before the institution can move to the next field.	SYSTEM	H	
WEBFX004	The system shall provide that as each page/panel is submitted that only those dependency edits will execute that are related to that page.	SYSTEM	H	
WEBFX005	The site shall also allow the user to initiate the validation routines. This allows the user to validate the entire FISAP before submitting it.	SYSTEM	H	
WEBFX006	Generation of an error report with hints to correct it shall be generated for institutions for appropriate edit failures. Options provided for each error shall be the ability to fix, ignore, log and cancel. (1) Fix – the site will focus on the field that is causing the error., (2) Ignore – if the error is a soft error then the user can ignore it. (3) Log – allows the institution to log a reason for the error that will be viewable by the CBP support staff. (4) Cancel – would cancel the current validation routine without submitting.	SYSTEM	H	
WEBFX007	The system shall provide a worksheet style response to the user for the intense edits that cover multiple columns/fields from various pages. (Grid)	Focus Groups MD	H	
WEBFX008	The system shall allow for prior year data to be shown within the response on errors that are triggered from prior year data.	Focus Groups MD	H	
WEBFX009	The site shall also incorporate the special requirements that will process files from the FISAP PC software or Institutions generated file for populating their FISAP. The standard validation routines need to be performed on the data prior to incorporation into the CBP. Institutions will upload files via the sites export/import page. Upon receipt the file(s) will be processed. Processing include: (1) Acknowledgement of the file(s), (2) Entire edit checks module, (3) Acknowledgement of edit errors back to the Institutions.	TO 13, 13.4.2 3.2.12, XXV	H	
WEBFX010	The validation module shall be a component of the web site that allows for easy access and maintenance. This includes minimal impact to the system for year over year changes to the forms.	TO 13, 13.4.2 3.2.12, XXII	H	
WEBFX011	The system shall only maintain one set of edits and that all systems that require the validation routines to be exercised could access the component. This includes servicers submittal.	TO 13, 13.4.2 3.2.12, XXII	H	

Requirement ID	Description	Source	Priority	Release
WEBFX012	The site shall include a Self-Service component that will provide pertinent information to the Institutions. Components of the Self-Service module are; Provide easy access for the Institutions to initialize current year's data from the previous years, view Prior Year FISAP Data, View Error Codes and Suppressions. Also provide for uploads of external data.	Focus Groups MD	H	
WEBFX013	The site shall also incorporate the special requirements that will process Servicers data for the Institutions they represent. While the Servicers have unique submittal requirements the standard validation routines need to be performed on the data prior to incorporation into the CBP. Servicers will upload files via the sites export/import page. Upon receipt the file(s) will be processed. Processing include: (1) Acknowledgement of the file(s), (2) Entire edit checks module, (3) Acknowledgement of edit errors back to the servicers	TO 13, 13.4.2 3.2.12, XXV	H	
WEBFX014	In one of the prior versions of the FISAP program when a servicer put its name and address in on the first college it entered, the program automatically put in on all of the FISAPs submittals. The request is to re-introduce this functionality again.	Gala Pierce From: Global Financial Aid Services, Inc	H	
WEBGX001	The Institution and Servicer user interface shall be web based.	Focus Groups MD	H	
WEBGX002	The system shall provide a user interface compatible with display resolutions in common use at the time of development (e.g., 800x600).	TO 13, 13.4.2 3.2.12, VII	H	
WEBGX003	The system shall provide a user interface compatible with web client software versions in common use at the time of development (e.g., Netscape Navigator 4.x, Microsoft Internet Explorer 4.01+, AOL 4+) See GEN-00-20 enclosure B	TO 13, 13.4.2 3.2.12, IV	H	
WEBGX004	All functionality currently contained within the PC FISAP system and TIVWAN shall be considered included in the baseline requirements.	General	H	
WEBGX005	The system shall provide a user interface compatible with Accessibility Requirements in common use at the time of development. See referenced specifications.	TO 13, 13.4.2 3.2.12, VIII	H	
WEBGX006	The system shall fully integrate with the SFA Portal authentication or single sign-on. If the SFA Portal authentication or single sign-on module is not available in time for development of the CB web component then a database authentication module will be provided specifically for the CB system.	TO 13, 13.4.2 3.2.12, VI	H	
WEBGX007	The system shall provide secure client access using SSL 2.0. The entire session will maintain the secure client.	TO 13, 13.4.2 3.2.12, XIII	H	
WEBGX008	The system shall handle multiple user panel access. That is more than one user can access the same screen at the same time. Currently in the FISAP PC software if a user is accessing a screen that screen is locked.	TO 13, 13.4.2 3.2.11, II	H	
WEBGX009	The site shall contain a communication component that allows for collaboration between Institutions.	TO 13, 13.4.2 3.2.21, III	L	Future Release
WEBGX010	Server side processing shall be maximized to reduce the complexity and size of the site's pages.	TO 13, 13.4.2 3.2.12, XV	H	

Requirement ID	Description	Source	Priority	Release
		I		
WEBGX011	Institutions & Servicers - Shall have the capability to send emails to the shared post accounts.	CB Staff	H	
WEBGX012	The relational database shall be used to store partial data entered by a user to reduce the amount of data being held and also allows for improved disaster/recovery (autosave)	TO 13, 13.4.2 3.2.12, XIX	H	
WEBGX013	Database Connection Pooling shall be considered in the design of this site	TO 13, 13.4.2 3.2.12, XXI	H	
WEBGX014	The validation module shall be a component of the web site that allows for easy access and maintenance. This includes minimal impact to the system for year over year changes to the forms.	TO 13, 13.4.2 3.2.12, XXII	H	
WEBGX015	The system shall only maintain one set of edits and that all systems that require the validation routines to be exercised could access the component. This includes servicers submittal.	TO 13, 13.4.2 3.2.12, XXII	H	
WEBGX016	Security component that will not only restrict access to approved personnel but it shall allow for role/privilege implementation to the level currently defined within the FISAP.	SYSTEM	H	
WEBGX017	The Security component shall perform "Authentication" (UserID/Password validation) and "Authorization" (individual and group level privileges) using a common encryption algorithm on volatile database information. Volatile data is ID & password.	TO 13, 13.4.2 3.2.12, XXIII	H	
WEBGX018	The Security component shall allow for integration with the SFA Portal single login component, if available.	Dept of ED	M	
WEBGX019	The Security component shall contain a complete ID Administration component that will allow the Institution's ID administrator the ability to set access for: (1) File Management – This would allow the user to send and receive data files via the import/export screen., (2) Funding Levels - This option displays the school's prior year funding data and shall allow revisions to be made via the "Revised" column., (3) Disable Reallocation Form – The reallocation form by default is open to all IDs similar to the other FISAP Parts. By selecting this the form will not be available to the users within this group., (4) View Only – If this option is selected the user shall only have the ability to view the FISAP, no update, change or delete capability.	TO 13, 13.4.2 3.2.12, XXVII	H	
WEBGX020	The site shall include a Self-Service component that will provide pertinent information to the Institutions. Components of the Self-Service module are (1) Standard Help & FAQs section, (2) Notifications of up and coming Campus-Based updates, (3) Access to the Award Process - what stage they are in, acknowledgements, etc	Focus Groups MD	H	
WEBGX021	Must provide, at least, a 24-hour turnaround on edit validation of submitted batch FISAPs to the schools.		H	
WEBGX022	Must provide, at least, a 24-hour acknowledgement to new schools that the submittal was received and can be processed.		H	

Requirement ID	Description	Source	Priority	Release
WEBGX023	The contractor shall propose an architecture that supports for access of up to 12,000 concurrent sign-ons. NOTE: This number is extremely exaggerated and should fall within the 250 concurrent users. At the high end the user base count will be 12,000 users. This contains 4,000 administrators creating at most 2 additional user accounts for their school. It has been determined that the highest number of FISAPs submitted in a single day was 500. From these estimates and the total number of concurrent users needs to be defined.	TO 13, 13.4.2 3.2.2.2, II	H	

## **Appendix C: Standards and Resources**

### **Technical**

- Fiscal Operations Report for 1999-2000 & Application to Participate for 2001-2002 (FISAP) (cb00-10a.pdf, OMB 1845-0030)
- FISAP – Record Layouts (0102log.900.doc)
- FISAP - Setup(0102log.901.doc)
- FISAP - Tools(0102log.902.doc)
- FISAP - Entry(0102log.903.doc)
- FISAP – Process(Validation) (0102log.904.doc)
- FISAP - Import(0102log.905.doc)
- FISAP - Export(0102log.906.doc)
- FISAP - Print(0102log.907.doc)
- Program Finance Requirements (Universal Automation Labs, 11/12/1997)
- SFA WEB Graphical User Interface Guidelines, v1.6 - Draft (June 20, 2000)
- Automated User Interface (AUI) System Program Maintenance Manual
- CB-Windows Program Maintenance Manual
- PC Subsystems Program Maintenance Manual
- CB Program Maintenance Manual

### **Security**

- The Computer Security Act of 1987
- The Privacy Act of 1974, (5 U.S.C. 522a, as amended)
- The Information Technology Management Reform Act of 1996 (40 U.S.C. Chapter 25)Executive Order 13011
- OMB Circular A-130, Appendix III
- OMB Memorandum M-00-07 (Incorporating and Funding Security in Information Systems Investments) [February 28, 2000]
- Federal CIO Council Information Security Maturity Framework v2(draft) [December 8, 1999]
- NIST Security Planning Guide 800-18 - Guide for Developing Security Plans for Information Technology Systems [December 1998]
- Information Technology Security Policy of the U.S. Department of education [1999]
- U.S. Department of education Certification & Accreditation Plan [September 30, 1999]
- U.S. Department of education Information Technology Continuity of Operations Planning(COOP) Program Guidance [November 5, 1999]
- U.S. Department of education Risk Management Program Guide (DRAFT) [August 27, 1999]
- U. S. Department of education Incident Handling Program Guide [February 2000]
- U. S. Department of education Information Technology (IT) Security Awareness and Training Program [October 1999]
- Office of Student Financial Assistance Guide to Information Security and Privacy (DRAFT)[September 2000]

### **Accessibility**

- Workforce Investment Act of 1998 Section 508, Electronic and Information Technology
- Web Content Accessibility Guidelines 1.0 (W3C Recommendation 5-May-1999)

- Requirements for Accessible Software Design Version 1.2 (Office of the Chief Information Officer, US Department of education)
- Proposed Electronic and Information Technology Accessibility Standards (36 CFR Part 1194)
- Accessible Web Design Guidelines (Microsoft, <http://www.microsoft.com/enable/dev/web/>)
- Making Your Web Site Accessible to the Blind (Curtis Chong, Director of Technology, National Federation of the Blind)