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**Federal Student Aid (FSA)
Financial Management System (FMS)**
FFEL Lender Reporting System Redesign

LAP & LaRS
Test Plan

Table of Contents

1	INTRODUCTION.....	2
1.1	PURPOSE & SCOPE.....	2
1.2	BACKGROUND	2
1.3	TEST OVERVIEW.....	2
1.3.1	Unit Testing.....	2
1.3.2	Integration/System Testing	2
1.3.3	User Acceptance Testing.....	2
1.4	REFERENCES.....	2
2	Testing Schedule.....	2
2.1	Overall Test Schedule	2
2.2	Security.....	2
2.3	Mile Stone Chart	2
2.4	Personnel Requirements	2
2.5	Deliverable Materials	2
3	TESTING APPROACH.....	2
3.1	TEST CONTENT.....	2
3.2	TEST PREPARATION.....	2
3.2.1	Test Environment	2
3.2.2	Users and Roles.....	2
3.2.3	Test Conditions	2
3.2.4	Test Scripts.....	2
3.2.5	Test Cycles	2
3.2.6	Summary of Testing Hierarchy	2
3.3	TEST EXECUTION.....	2
3.3.1	Test Results.....	2
3.3.2	Incident Reporting.....	2
3.3.2.1	Test Analyst Form	2
3.3.2.2	Test Incident Log	2
3.3.3	Development Iterations	2
3.4	TEST SCHEDULE.....	2
3.4.1	Unit Testing	2
3.4.2	Integration/System Testing	2
3.4.3	User Acceptance Testing.....	2
4	APPENDICES.....	2
4.1	Testing Workplan	2
4.2	Mapping of Test Cycles to Scripts.....	2
4.3	Sample Test Script	2
4.4	Incident Database - Test Analyst Form.....	2
4.5	LAP Test Incident Log	2
4.6	Requirements Matrix.....	2



1 INTRODUCTION

1.1 PURPOSE & SCOPE

This document describes the overall testing strategy for the Lender Payment Process Redesign project. The new, automated quarterly reporting process requires the development of Lender Application Process (LAP) and Lender Reporting System (LaRS) applications for the Financial Student Aid's (FSA's) Financial Management System (FMS). These applications will undergo unit, integration, system, and user acceptance testing, before being made available to FSA FMS users and the FFEL community. Successful completion of these testing phases will ensure that both new applications meet both the business needs of the end users as well as the functional requirements specified in the Application Design Document.

1.2 BACKGROUND

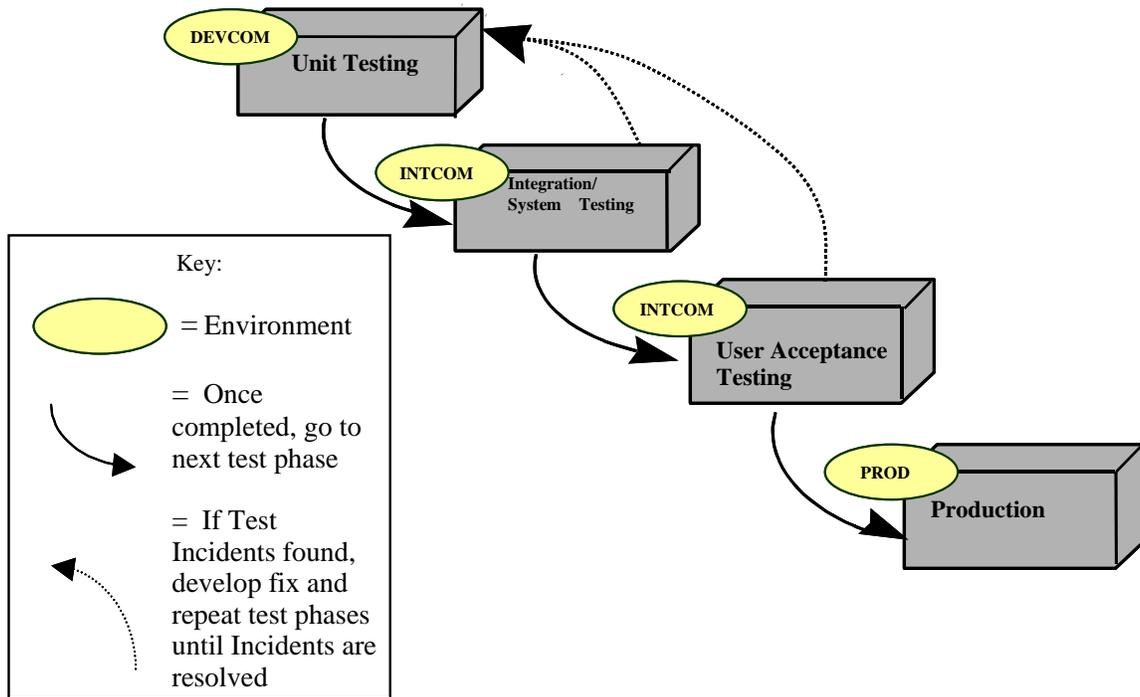
LaRS is being developed as part of Financial Partners (FP) redesign efforts. The goal of the LaRS program is to develop a system that will streamline the business processes associated with exchanging financial information with Lenders and Servicers. This involves developing new business activities that integrate Lender and Servicer reporting with FMS. These business activities include: allowing Lenders and Servicers to electronically complete and submit their reports, developing digital approval and ad hoc query functionality, complying with current legislative mandates, providing timely notification of errors following submission, and integrating all activities with concurrent FSA enterprise-wide initiatives.

Before Lenders and Servicers can use LaRS to submit their quarterly reports, they must first apply to the program using the Web-enabled LAP system. Such a system increases program integrity and efficiencies while decreasing errors related to manual processes used previously. LAP provides an automated method for FSA FP to review and accept user data. Additionally, LAP is used as a way for current Lenders and Servicers to perform an online validation of their demographic data in preparation for their transition into the LaRS program.

1.3 TEST OVERVIEW

Several phases of testing will be conducted to ensure that the automated reporting process meets the business needs of FSA. The testing will also ensure that the new applications meet the requirements specified in the Application Design Document (see Appendix 4.6 "Requirements Matrix"). In all phases of testing, the Lender Redesign Test Team will be responsible for identifying test incidents and communicating them to the Development Team. The figure below shows the relationships between the various phases of testing that will be conducted.





1.3.1 Unit Testing

The Lender Redesign Development Team will conduct unit testing to ensure that each developed code module meets its particular business needs and requirements. Unit testing will be conducted in the DEVCOM environment.

1.3.2 Integration/System Testing

The Lender Redesign Test Team will conduct integration testing on LaRS to ensure that all developed code modules work together to meet the intended business needs and requirements. Integration testing will also ensure that the LaRS application works with the changes developed as part of the FSA FMS Phase IV release.

Since LAP will not be integrated with other applications, the Lender Redesign Test Team did not conduct an integration test.

Both LAP and LaRS will conduct system tests to ensure that the components of each system work together as intended. Both integration and system testing will be conducted in the INTCOM environment.



1.3.3 *User Acceptance Testing*

The Lender Reporting Test Team, FSA client personnel, and the Lender/Servicer community will conduct user acceptance testing to ensure that the LAP and LaRS applications are ready for implementation. User acceptance indicates that the applications are ready for deployment to the production-level system, and is the final step in the process of development and testing. User acceptance testing will be conducted in the INTCOM environment.

1.4 REFERENCES

The following documents were used in the development of this test plan:

1. FFEL Lender Reporting System Redesign - Application Design Document
2. Accenture Business Integration Methodology Test Plan Outline
3. LaRS Road Map documentation



2 Testing Schedule

The test schedule section will cover the overall LAP and LaRS test schedule, security, milestone information, personnel requirements and deliverable materials.

2.1 Overall Test Schedule

The LAP and LaRS testing workplan in Appendix 4 reflects the time duration of Unit Test, System Test, Integration Test (LaRS only), and User Acceptance Test. The workplan includes tasks, percentage (%) complete, duration, begin and end dates, and resource allocation

2.2 Security

Once the initial System Test environment is created, the LAP and LaRS Development Team will assist in the testing effort but not have access to the System Test environment. Only members of the System Test Team will have access to the environment. Migration of system components from the System Test promotion group in the Configuration Management Tool to the System Test environment will be controlled and performed solely by the System Test Team. This will contribute to a valid System Test by ensuring that no one outside the System Test Team has access to the System Test environment. In addition, System Testers will have sole ownership of the System Test environment to ensure that new versions of code are not introduced during passes of test execution.

The testers conducting System, Integration, and User Acceptance Tests will use a set of internal and external user IDs. This will allow the System Test Team to verify the system security procedures and test connectivity.

2.3 Mile Stone Chart

The following table depicts the activities and events to be conducted for Unit, System, Integration, and User Acceptance Tests.

Activities and Event	Start Date	End Date
Validation, Verification, and Testing Plan	1/10/02	1/22/02
LAP Unit Test	11/13/01	3/1/02
LAP System Test	3/4/02	3/15/02
LAP User Acceptance Test	3/18/02	3/25/02
LAP Test Results Document	3/25/02	3/29/02
LAP Test Signoff	3/29/02	4/1/02
LaRS Unit Test		
LaRS UAT Tester Selection		
LaRS System Test		
LaRS User Acceptance Test		
LaRS Integration Test		
LaRS Test Results Document		



LaRS Test Signoff		
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2.4 Personnel Requirements

The following table provides a listing of the community personnel that participated in the LAP User Acceptance testing effort.

Name	Institution
Melissa Taddeo,	VSAC
A. Lewandowski,	GLHEC
Carol Thomas,	BHESC
Drew Millholon,	NMEAF
Tammy Keller,	CSLF
Joe Gallant,	GSMR
Jeff Joyce,	MOHELA
Michelle Bell	SLMA
Carol Cialone	HSBC
Dawn Boling	KHESLC
P. Glenn	PPSLC
Carol Dunaway	WSLC
Chuck Cabrera	SSSC
Ronda Lowry	EDUCAID
Sandra Vesce	PNCBANK CHARTERONE BANK
Billie K Davis	BRADY NATIONAL BANK
Todd Emond	CITIZENS BANK
Mr/Ms Laurencia	?
B. Matthews	CHELA
Patricia Aparicio	AFSO
Elizabeth McIntyre	CITICORP
J. M Rock	BREMER
Nathan. Sommerfeld	WELLS FARGO
Denise Leifester	FISC SOLUTIONS
Addie Georger	NATIONAL CITY
Sherry Schroeder	TCA
Chuck Fagg	SLC
Michelle Winston	KEY BANK
Pamela Colomaio	BATH NATIONAL
Shirley Collins	FVSI
Michelle Hood	AESSUCCESS
Laura Solt	CSLP
Cherri Komaiko	ISAC
Tom Carman	GLHEC
Samantha Peele	SLMA
Char Rose	KEYBANK
Kari LaFave	EAC
Bob Moriale	CHARTER ONE BANK



2.5 Deliverable Materials

The following Unit, System, Integration, and User Acceptance Test deliverables will be delivered to the client for review as part of the LAP and LaRS testing efforts:

- Testing Plan (Delivered prior to the testing effort)
- Test Results and Evaluation Report (Delivered after to the testing effort)



3 TESTING APPROACH

3.1 TEST CONTENT

Automating the Lender reporting process requires the development of two new applications, LAP and LaRS. Each application will be tested thoroughly to ensure that the design requirements for each system have been met. Testing will include:

- LAP
- LaRS:
 - General Functionality
 - Canned Reporting Functionality
 - Conversion Scripts
- Accounting
 - General Functionality
 - AR - Accounts Receivable
 - AP - Accounts Payable
 - GL - General Ledger
- Pay.gov Functionality
- File Transfer Functionality
- Disaster Recovery
- User Security
- Update Profile Data

3.2 TEST PREPARATION

3.2.1 *Test Environment*

Testing will be conducted in two environments. Unit testing will be conducted in DEVCOM. Integration/system testing will be conducted in the INTCOM environment. After user acceptance, the code will be migrated to the Production environment.



3.2.2 Users and Roles

The roles that will be used in the automated reporting process are listed in the table below. The Lender Redesign Test Team will hold testing IDs for each of these roles to conduct thorough testing from the perspective of all users.

Role	Function
Lender/Servicer LAP- Submit Data	Can create, save, and submit LAP data
Lender/Servicer LaRS User - Maintain Data	Can create, maintain, but cannot submit LARSs administered by his/her own Lender
Lender/Servicer LaRS User - Submit Data	Can create, maintain and submit LARSs administered by his/her own Lender
ED LaRS Administration User	Can view and edit LaRS submitted by Lenders and other Lender Information
ED LaRS Sub-System Administrator	Can view and edit LaRS submitted by Lenders and can Manage LaRS configuration Management issues, analyze system performance, communication with all USERS globally

3.2.3 Test Conditions

Test conditions represent the lowest level of detail contained in this test plan. Each condition is intended to test exactly how the system responds to a user action. They are based directly on the requirements gathered in the design process, and can range in scope from broad functionality to specific system responses. This approach verifies that the system is operating correctly, and that the system functionality is complete.

Test conditions are grouped into test scripts, with each condition tested as a step of a particular test script. Since conditions range in scope, they can be tested in multiple scripts.

Refer to Appendix 4.1, "Testing Workplan"



Refer to Appendix 4.6, “Requirements Matrix”, for a complete list of the design requirements.

3.2.4 Test Scripts

A test script (the next level of detail up from test conditions) is a collection of related test conditions put into a sequence of steps. Test scripts will be written using the process flows that have been defined in the Application Design Document for each functional area. They will be written from the perspective of a particular user role, and will contain very detailed steps in a simple and straightforward manner, which will allow users unfamiliar with the system to execute the scripts if necessary. The script will incorporate pre-determined test data that applies to a given scenario, and will specify the expected results of each step.

For each step, this section will include:

- Category/Screen
- Test Content
- Expected Result
- Test Result
- Issues

Refer to Appendix 4.3, “Sample Test Script,” for an example.

3.2.5 Test Cycles

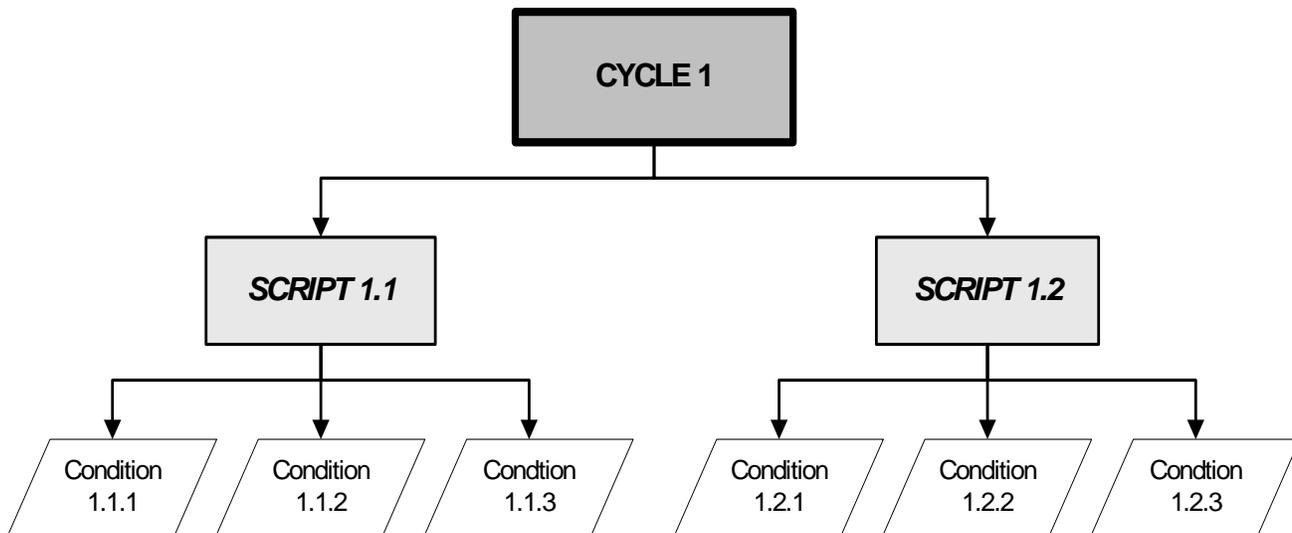
A test cycle (the highest level of testing detail) is a logical collection of test scripts, grouped by functionality. These test cycles will be developed using the process flows established in the Application Design Document. The Lender Redesign Test Team has created test cycles that logically separate system functionality into discrete units for testing purposes. Test cycles ultimately describe how a group of test scripts will be executed.

Refer to Appendix 4.2, “Mapping of Test Cycles to Scripts”

3.2.6 Summary of Testing Hierarchy

The following figure illustrates the testing hierarchy: test cycles to scripts to conditions.





In summary, the testing approach to the Lender Payment Process Redesign effort will be organized into three levels. At the highest level, testing will be divided into test cycles. The test cycles are made up of multiple test scripts. Each test script consists of a sequence of steps that will be executed for each test. The test scripts are a collection of test conditions. The test conditions represent the most detailed level of information for testing.

3.3 TEST EXECUTION

3.3.1 Test Results

Throughout testing, the actual test results will be compared to the expected results for each step in a given script to determine if all conditions pass. The Test Team member will indicate a pass or fail at each step. Although one failed condition disqualifies an entire script, depending on the circumstances of the failed conditions, the Test Team member will complete the script.

At the completion of each test activity the Test Team member will evaluate the result of the entire test as "Pass," or "Fail." A status of "Pass" indicates that the expected results were achieved. A Status of "Fail" indicates that actual results do not match expected results and the errors cannot be corrected during the test. Testing is considered complete when each test script has a status of "Pass" and the Lender Reporting Test Team has reviewed the results. In the case that a script has a status of "Fail," an incident will be reported according to the procedures outlined in section 3.3.2.

3.3.2 Incident Reporting

The Lender Reporting Test Team will record all incidents detected during testing. They will perform an initial analysis of the incident, to determine if the problem was caused by:

- Problem(s) with the test data



- Problem(s) in the test environment
- An incorrectly run test script
- A misunderstanding of what the expected result should be.

If the incident is determined to involve system or environmental inconsistencies, the incident will be recorded in a Test Analyst Form within the Access Incident Database. Refer to Appendix 4.4. for an example. The Test Analyst Form will be forwarded to the Development Team or Technical Support Team for assessment and proposed solution(s). If the incident is determined to be business process related, the Lender Reporting Test Team will discuss the incident with FSA personnel.



3.3.2.1 Test Analyst Form

The Test Analyst Form will be completed and submitted to the Development Team in the case of an incident or problem related to the testing. The Testing Incident Report resides in the Access Incident Database. There is an Incident Database created for each LAP and LaRS. The Test Analyst form is designed to capture as much information as possible to relay to the Development Team. This information will enable re-creation of the situation, and will include the following:

1. **Title** - should be descriptive of the problem
2. **Incident Date** - date of the problem
3. **Detected By** - name of conducting Test Team member
4. **Status** - open, closed, re-test, etc.
5. **Functional Area** - distinguishes what area within the application the problem occurs in
6. **Test Script/Condition** - Number of test script and condition associated with the problem
7. **Assignee** - Lender Redesign Development Team member who is to resolve the problem
8. **Activity** - distinguishes what type of testing is being done (i.e. integration testing, user acceptance testing, free-form testing)
9. **Severity** - severity is rated on a scale of 1 to 4, with 1 being the most critical
10. **Recurring Problem** - yes/no
11. **Description of the Problem** - includes related test execution steps so the problem can be recreated
12. **Possible Cause/Solution** - additional relevant information can be included here

Refer to Appendix 4.4, "Incident Database - Test Analyst Form," for a sample report.

3.3.2.2 Test Incident Log

The Lender Redesign Test Team will maintain a log of all issues encountered during the testing. This log will include information regarding:

- Status
- Severity
- IR#
- Incident Date
- Title
- Contact
- Corrective Action Taken
- Script/Condition

Refer to Appendix 0, "



LAP Test Incident Log,” for a sample log.

3.3.3 Development Iterations

During test results analysis, both the Development Team and the Test Team will identify system errors. These errors will be documented using a Test Analyst Form within the Incident Database. The Development Team Lead will review the new incidents that have been submitted. If an incident is valid, it will be assigned a priority (e.g., high, medium, low). If an incident is invalid, the Development Team Lead will mark the incident as ‘rejected’. A high priority indicates immediate attention is necessary. A medium priority indicates that it is highly desirable for the incident to be corrected. A low priority indicates a nice-to-have change that will be addressed only after all higher priorities have been addressed.

The Development Team will perform appropriate software fix updates and unit testing in the DEVCOM environment. Upon receiving Development Team Lead approval, a migration request will be submitted to return the software to INTCOM. When the software is available for retest in INTCOM, the Lender Redesign Test Team will be notified. The build process for software fixes will be ongoing and cyclical. New builds will occur as often as needed to address recently resolved incidents.

3.4 TEST SCHEDULE

3.4.1 Unit Testing

Unit testing ensures that the logic programmed for each modification meets the functional requirements specified in the Application Design Document. The Development Team will perform unit testing. After coding the LAP and LaRS software, the developer will perform testing until all unit test conditions pass successfully. The Test Team and Development Team will perform unit testing until the program meets the functional requirements as set forth in the design. The Development Team Lead will conduct a final review of the program. Once a program has successfully completed unit testing, integration/system testing will be performed in the INTCOM environment.

3.4.2 Integration/System Testing

Once all the code modules developed for the automated quarterly reporting process have completed unit testing, the Test Team will be responsible for integration/system testing of the LAP and LaRS software. Integration testing confirms that not only do the modules work together according to the design, but that the modules within a business function also work together with other system components as intended.

A system test will be performed on LAP in lieu of an integration test, since it is not necessary for this system to work in combination with other system components.

Once a program has completed integration/system testing, user acceptance testing will be performed in the INTCOM environment.



3.4.3 User Acceptance Testing

User acceptance testing, the last phase of testing, occurs before migration into the production environment. At this time, members of FSA client personnel and the Lender/Servicer community will review and approve the system. These representatives will have the opportunity to execute the code in the INTCOM environment in order to verify that the system requirements as defined in the Application Design Document have been satisfied.

If testing incidents are recorded during user acceptance testing, the Development and Test Teams will work to create and test fixes before the system is deployed.



4 APPENDICES

4.1 Testing Workplan

ID	Task Name	Duration	Start	Finish	% Complete	Resource Names	b 10 M
91	System Test LAP	40 days	Mon 2/11/02	Fri 4/5/02	99%		
92	✓ Plan System Testing	9 days	Mon 2/11/02	Fri 2/22/02	100%		
93	✓ Identify Participants	4 days	Mon 2/11/02	Fri 2/15/02	100%	A. Iyer	
94	✓ Determine Login Approach	4 days	Mon 2/18/02	Fri 2/22/02	100%	A. Iyer	
95	✓ Develop Approach	4 days	Mon 2/18/02	Fri 2/22/02	100%	A. Iyer	
96	✓ Establish Technical Environment	13 days	Wed 2/20/02	Fri 3/8/02	100%		
97	✓ Confirm LAP Architecture Approach	6 days	Wed 2/20/02	Thu 2/28/02	100%	FMS Tech Team	
98	✓ Create Database Tables	13 days	Wed 2/20/02	Fri 3/8/02	100%	FMS Tech Team	
99	✓ Directory Structure	13 days	Wed 2/20/02	Fri 3/8/02	100%	FMS Tech Team	
100	✓ Migrate Code	13 days	Wed 2/20/02	Fri 3/8/02	100%	FMS Tech Team	
101	✓ Create Test Data	13 days	Wed 2/20/02	Fri 3/8/02	100%	FMS Tech Team	
102	✓ Verify Environment	13 days	Wed 2/20/02	Fri 3/8/02	100%	FMS Tech Team	
103	✓ Develop System Test Scripts	33 days	Wed 2/20/02	Fri 4/5/02	100%		
104	✓ Lender/Serviceer Functionality	6 days	Wed 2/20/02	Thu 2/28/02	100%	A. Iyer	
105	✓ ED Functionality	33 days	Wed 2/20/02	Fri 4/5/02	100%	A. Iyer	
106	✓ FFEL Extracts	6 days	Wed 2/20/02	Thu 2/28/02	100%	A. Iyer	
107	✓ Review System Test Scripts	33 days	Wed 2/20/02	Fri 4/5/02	100%		
108	✓ Lender/Serviceer Functionality	6 days	Wed 2/20/02	Thu 2/28/02	100%	A. Iyer	
109	✓ ED Functionality	33 days	Wed 2/20/02	Fri 4/5/02	100%	A. Iyer	
110	✓ FFEL Extracts	6 days	Wed 2/20/02	Thu 2/28/02	100%	A. Iyer	
111	✓ Perform System Test	25 days	Fri 3/1/02	Fri 4/5/02	100%		
112	✓ Lender/Serviceer Functionality	6 days	Fri 3/1/02	Mon 3/11/02	100%	LPPR Team	
113	✓ ED Functionality	4 days	Mon 4/1/02	Fri 4/5/02	100%	LPPR Team	
114	✓ FFEL Extracts	4 days	Mon 4/1/02	Fri 4/5/02	100%	LPPR Team	
115	✓ Update Code Based Upon Testing	3 days	Mon 3/11/02	Thu 3/14/02	100%	K. Sook	
116	✓ Validate System Test	3 days	Thu 3/14/02	Tue 3/19/02	0%		
120	✓ Support System Test	12 days	Fri 3/1/02	Tue 3/19/02	100%	FMS Tech Team	
121	✓ Generate End of Test Report	3 days	Tue 3/19/02	Fri 3/22/02	100%	A. Iyer	
122	✓ User Acceptance Test LAP	34 days?	Mon 2/11/02	Fri 3/29/02	96%		
123	✓ Plan UAT Testing	9 days	Mon 2/11/02	Fri 2/22/02	100%		
124	✓ Identify Participants	4 days	Mon 2/11/02	Thu 2/14/02	100%	K. Congdon	
125	✓ Determine Login Approach	4 days	Mon 2/18/02	Fri 2/22/02	100%	FMS Tech Team	
126	✓ Develop Approach	4 days	Mon 2/18/02	Fri 2/22/02	100%	FMS Tech Team	
127	✓ Establish Technical Environment	14 days	Mon 2/25/02	Fri 3/15/02	100%		
128	✓ Create Database Tables	14 days	Mon 2/25/02	Fri 3/15/02	100%	FMS Tech Team	
129	✓ Directory Structure	14 days	Mon 2/25/02	Fri 3/15/02	100%	FMS Tech Team	
130	✓ Migrate Code	14 days	Mon 2/25/02	Fri 3/15/02	100%	FMS Tech Team	
131	✓ Create Test Data	14 days	Mon 2/25/02	Fri 3/15/02	100%	FMS Tech Team	
132	✓ Verify Environment	14 days	Mon 2/25/02	Fri 3/15/02	100%	FMS Tech Team	
133	✓ Develop UAT Test Scripts	6 days	Wed 2/20/02	Thu 2/28/02	100%		
134	✓ Lender/Serviceer Functionality	6 days	Wed 2/20/02	Thu 2/28/02	100%	A. Iyer	
135	✓ ED Functionality	6 days	Wed 2/20/02	Thu 2/28/02	100%	A. Iyer	
136	✓ FFEL Extracts	6 days	Wed 2/20/02	Thu 2/28/02	100%	A. Iyer	
137	✓ Review UAT Test Scripts	6 days	Wed 2/20/02	Thu 2/28/02	100%		
138	✓ Lender/Serviceer Functionality	6 days	Wed 2/20/02	Thu 2/28/02	100%	T. Collins	
139	✓ ED Functionality	6 days	Wed 2/20/02	Thu 2/28/02	100%	T. Collins	
140	✓ FFEL Extracts	6 days	Wed 2/20/02	Thu 2/28/02	100%	T. Collins	
141	✓ Perform UAT Test	9 days?	Mon 3/18/02	Fri 3/29/02	80%		
142	✓ Scripted Testing	3 days	Mon 3/18/02	Wed 3/20/02	100%		
143	✓ Lender/Serviceer Functionality	3 days	Mon 3/18/02	Wed 3/20/02	100%	Community	
144	✓ ED Functionality	3 days	Mon 3/18/02	Wed 3/20/02	100%	Community	
145	✓ FFEL Extracts	3 days	Mon 3/18/02	Wed 3/20/02	100%	T. Collins	
146	✓ LAP Testing Ends	5 days?	Mon 3/18/02	Fri 3/22/02	100%		
147	✓ Update Code Based Upon Testing	0.5 days	Fri 3/22/02	Sat 3/23/02	100%	K. Sook,A. Iyer	
148	✓ Validate UAT Test	2 days	Mon 3/25/02	Wed 3/27/02	0%		
152	✓ Support UAT	7 days	Mon 3/18/02	Wed 3/27/02	100%	T. Collins	
153	✓ Generate End of Test Report	2 days	Wed 3/27/02	Fri 3/29/02	100%	T. Collins	



4.2 Mapping of Test Cycles to Scripts

Cycle #	<i>Cycle Name</i>	<i>Script #</i>	<i>Script Name</i>
Cycle 1	LAP - Full Information Test Cycle	1.1	LAP Script
Cycle 2	LAP - Partial Information Test Cycle	1.1	LAP Script



4.3 Sample Test Script

No	Category/ Screen	Control Name	Test Content	Expected Result	Test Result (Pass/Fail)	Issues
1.	Login	Enroll Now	All users must be able to click on this button. Should be enabled all the time.	<ul style="list-style-type: none"> - Button click must bring up Lender/ Servicer Input screen (User). - The User has to select if he/she wants to enroll as a Lender/ Servicer. - If the user selects Lender then the user has to enter the FED Tax ID, Lender ID if available this combination of FED Tax ID and Lender ID is checked against the database. If the User does not have a Lender ID then he/she must enter a Lender Name. - If it is a Servicer, then the Servicer has to enter the Servicer Name and Servicer ID if available. The Servicer ID entered by the user will be checked against the database. 		
2.	Login	Log In	Existing users after entering their User ID and Password will click on this button to log in to the application, and update/ edit their information.	<ul style="list-style-type: none"> - If the User ID and Password are correct. The user must be redirected to the address information form. - If User ID / Password is incorrect, then the user must not be allowed to proceed until he/she rectifies the problem. 		
3.	Login	Exit	This button will be used by the User to exit the from login and LAP process.	<ul style="list-style-type: none"> - Clicking on the button should close the form, and exit the application. 		



1. The Test Content Column contains the actions a tester should perform to execute the test condition.
2. The Expected Result Column contains signs that a tester can use to verify that the test was successful. This could be a visual cue such as “field is highlighted”, “error is returned”, “welcome message is displayed”, etc.
3. The Test Result (Pass/Fail) Column is used by the tester to document the actual results during test execution.
4. When the actual results do not coincide with the expected results, the Issues Column is used by the tester to document an explanation detailed enough so it can be recreated and fixed.



4.4 Incident Database – Test Analyst Form

LAP Incident Database - [Test Analyst Form]

File Edit View Insert Format Records Tools Window Help

Number	Title	Incident Date	Detected By	Status
		12/7/2001		Open

Functional Area: Test Script/Condition: Assignee: Sook Kim

Activity: Severity: Severity 4 Recurring Problem: Yes

Description of Problem

Possible Cause / Solution

Corrective Action Taken

Date Completed: Resolved By:

Corrective Action Taken: Pending

Retest of Corrective Action

Retest Date	Results of Retest	Retested By
	Not Tested	

Comments

Email Incident to Assignee

Record: 14 of 46 Form View



4.5 LAP Test Incident Log

<i>Status</i>	<i>Severity</i>	<i>Incident Date</i>	<i>Title Test</i>	<i>Analyst</i>	<i>Assigned To</i>
<i>Suspended</i>					
Iyer	Severity 1	3/5/2002	System behavior after LAP Submission	Anand Iyer	Anand
Kim	Severity 3	3/5/2002	New Lender/ Servicer/ Trustee Application Process	Anand Iyer	Sook
Kim	Severity 4	3/8/2002	Middle Initial	Todd Collins	Sook
<i>Open</i>					
Kim	Severity 3	3/20/2002	Drop Down List for Servicer	Stephanie Simpson	Sook
Kim	Severity 3	3/25/2002	LAP Help text	Todd Collins	Sook
Kim	Severity 4	3/6/2002	Print Button in the Toolbar	Anand Iyer	Sook
Kim	Severity 4	3/25/2002	ZIP CODE ERROR	Stephanie Simpson	Sook
<i>Enhancement</i>					
	Severity 4 Angela Baker	3/18/2002	Interest Calculation Method in header	Tony Magro	
<i>Closed</i>					
Kim	Severity 2	3/5/2002	Toolbar in Disclaimer Screen and LAP Submission	Anand Iyer	Sook
Kim	Severity 2	3/5/2002	Save Button in Payment Information Screen	Anand Iyer	Sook
Kim	Severity 2	3/5/2002	Save Button in Entity Information Screen	Anand Iyer	Sook
Kim	Severity 2	3/7/2002	Canvas Changing in LAP	Anand Iyer	Sook
Kim (Yahoo)	Severity 2	3/9/2002	GA Screen	Todd Collins	Sook
Kim (Yahoo)	Severity 2	3/9/2002	Additional LID(s)	Todd Collins	Sook
Kim (Yahoo)	Severity 2	3/9/2002	System behavior after LAP Submission	Anand Iyer	Sook
Kim	Severity 3	3/5/2002	Header Title	Anand Iyer	Sook
Kim	Severity 3	3/5/2002	Numbers in Last Name and Middle Name Field	Anand Iyer	Sook
Kim	Severity 3	3/6/2002	Phone Number Field	Anand Iyer	Sook



Kim	Severity 3	3/7/2002	Bank Name	Anand Iyer	Sook
Kim	Severity 3	3/8/2002	LID	Todd Collins	Sook
Kim	Severity 3	3/8/2002	Additional LID	Todd Collins	Sook
Kim	Severity 3	3/8/2002	Last Name	Anand Iyer	Sook
Kim	Severity 3	3/8/2002	Incorrect Error Message	Anand Iyer	Sook
Collins	Severity 3	3/11/2002	Lender Information in Servicer Screen	Todd Collins	Todd
Iyer	Severity 3	3/11/2002	GA Screen Error Message	Anand Iyer	Anand
Magro	Severity 3	3/18/2002	2 Digits in Area-Code	Tony Magro	Tony
Iyer	Severity 3	3/18/2002	J-Initiator Setup	Bob	Anand
Kim	Severity 4	3/5/2002	LAP Submission	Anand Iyer	Sook
Kim	Severity 4	3/5/2002	Federal Tax ID on Login Screen	Anand Iyer	Sook
Kim	Severity 4	3/6/2002	Toolbar Buttons	Anand Iyer	Sook
Kim	Severity 4	3/7/2002	Error Message for Last Name	Anand Iyer	Sook
Kim	Severity 4	3/7/2002	First Name Error Message	Anand Iyer	Sook
Kim	Severity 4	3/7/2002	Error Message for Middle Name	Anand Iyer	Sook
Kim	Severity 4	3/7/2002	Number in City Field	Anand Iyer	Sook
Kim	Severity 4	3/8/2002	Tax ID	Todd Collins	Sook
Kim	Severity 4	3/8/2002	Submit/Continue	Todd Collins	Sook
Iyer	Severity 4	3/9/2002	Submit Button Visible	Anand Iyer	Anand
Kim	Severity 4	3/18/2002	Gateway Timeout Error (504)	Samantha	Sook
Magro	Severity 4	3/18/2002	Sorting GA Data	Tony Magro	Tony
Magro	Severity 4	3/18/2002	Apostrophe in Servicer names	Tony Magro	Tony
Magro	Severity 4	3/18/2002	Order States Alphabetically	Tony Magro	Tony
Magro	Severity 4	3/18/2002	Spelling Mistake	Tony Magro	Tony
Kim	Severity 4	3/18/2002	User entering Incorrect Data	Todd Collins	Sook
Magro	Severity 4	3/19/2002	SHIFT + TAB Working	Tony Magro	Tony



Iyer	Severity 4	3/19/2002	INCOMPLETE DATABASE comments	Tony Magro	Anand
	Severity 4 Stephanie Simpson	3/19/2002	User Guid -How to stop in the middle of a session	Tony Magro	
	Severity 4 Stephanie Simpson	3/19/2002	User Guide Update	Tony Magro	
Kim	Severity 4	3/19/2002	Phone Number Field	Tony Magro	Sook
Iyer	Severity 4	3/19/2002	Incomplete Test Data	Tony Magro	Anand
Magro	Severity 4	3/19/2002	pre-populated the tax id # field with zeroes	Tony Magro	Tony
Magro	Severity 4	3/19/2002	Arrow Disappears	Tony Magro	Tony
Kim	Severity 4	3/21/2002	Drop Down Alphabetical listing	Todd Collins	Sook
<i>Client</i>					
	Severity 3 Angela Baker	3/19/2002	Servicer Function Default	Tony Magro	
Iyer	Severity 4	3/19/2002	504 Error	Tony Magro	Anand
Kim	Severity 4	3/19/2002	Application Locking After Submission	Tony Magro	Sook
Kim	Severity 4	3/19/2002	Continue Botton Error Messages	Tony Magro	Sook

Severity 1: Major problem. System doesn't respond, or crashes.
 Severity 2: Major feature halts. Incorrect results after execution.
 Severity 3: Expectations of major feature not met. Workaround possible.
 Severity 4: Feature executes correctly, but minor cosmetic changes needed.



4.6 Requirements Matrix

The following inventory defines the functional requirements for the redesign of the Lender Reporting System. The matrix displays the requirement number, requirement description, and the source of the requirement. References to the FFEL legacy system are prefaced by "X" and the screen number.

1. Ability for a Lender and Servicer to apply for participation in the FFEL program (formerly the Lender Participation Questionnaire - LPQ). For Lender/Servicers this is a two-step process involving a Lender Application Process (LAP) and a hardcopy Organization Participation Agreement (OPA).

1.A Ability enter data related to the Lender Application Process

Req #	Requirement Description	Source of Requirement
1.A.1	Ability for a Lender with an existing LaRS on file to access the Lender Participation Application and apply for a new LID	ED Requirement
1.A.2	Ability to access the Lender Reporting System using Netscape 3.0 - 4.76 and Internet Explorer 5.0.	ED Requirement
1.A.3	Ability for a new Lender to access the Lender Participation Application and apply for a new LID	ED Requirement

1.B FSA must be able to deny an application

1.B.1	Ability for FSA to deny an application	ED Requirement
1.B.2	Ability for FSA to enter reason Lender's application was denied	ED Requirement

1.C FSA must be able to approve an application

1.C.1	Ability for ED to approve or reject LAP	ED Requirement
1.C.2	If an application is submitted for a Lender that currently has a Tax ID in the system should notify ED via email that an application has been submitted with a tax ID that is currently in the system	ED Requirement

1.D Lender application data must be edited before accepting or rejecting

1.D.1	System must perform error checks on LAP data before application is submitted to ED	ED Requirement
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1.E Approved application data must populate the vendor table

1.E.1	Approved application data must populate the vendor table	ED Requirement
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1.F Approval of an application will initiate the issuance of a Organization Participation Agreement



1.F.1	Upon completion of LAP that Lender complete and Mail OPA to ED	ED Requirement
1.F.2	Prior to receipt of Organization Participation Agreement, User ID and Password can not be active	ED Requirement

1.G Approval of Lender submitted LAP will activate LID, User ID and Password

1.G.1	Provide ED the ability to confirm Organization Participation Agreement has been received	ED Requirement
1.G.2	Activate LID user name and password once LAP has been approved	ED Requirement

1.H Approval or rejection of an application will initiate communication to ED, Lender, GA and Servicer.

1.H.1	Approval or rejection of an application will initiate communication to ED, Lender, GA and Servicer.	ED Requirement
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1.I Ability to create relationships between Lender, Servicer, Trustee and GA

1.I.1	Ability to create relationships between Lender, Servicer and GA	ED Requirement
1.I.2	Within the LAP application, populate the additional LID fields with LIDs specified in related LIDs	ED Requirement
1.I.3	Within the LAP application, deleted LIDs listed within the additional LIDs fields based on related deleted LIDs	ED Requirement
1.I.4	Within the LaRS application, populate the additional LID fields with LIDs specified in related LIDs	ED Requirement
1.I.5	Within the LaRS application, deleted LIDs listed within the additional LIDs fields based on related deleted LIDs	ED Requirement
1.I.6	Ability for LaRS application to maintain relationships between Lenders and Servicers	ED Requirement

1.J Servicer must have participating clients before application is accepted

1.J.1	Servicer must have participating clients before application is accepted	ED Requirement
1.J.2	Ability to assign a unique Servicer identifier upon acceptance	ED Requirement
1.J.3	Ability to maintain Servicer data	ED Requirement

2. Allow FFELP Lenders and Servicers to electronically complete and submit LaRS financial and administrative data (formerly 799 report).



2.A Validate user name and password upon log-on (LAP and LaRS Security will conform to mandated FMS standards)

2.A.1	Ability to provide the user with an ID and Password.	ED Requirement
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2.B Ability to submit LaRS financial data via File Transfer

2.B.1	Ability to submit LaRS for 1 st Calendar Quarter (March) 1998 to present	ED Requirement
2.B.2	Ability to notify Lender via email that LaRS has been rejected and changes need to be made before submission is accepted	ED Requirement
2.B.3	Ability to create invoice rejection email notifications.	ED Requirement
2.B.4	Ability to create e-mail with Statement of Account, reasonability message (if applicable), and contact information.	ED Requirement
2.B.5	Ability to delete a rejected invoice within a file following submission	ED Requirement
2.B.6	Ability to view submission information via web.	ED Requirement

2.C Ability to complete and submit LaRS financial data via the web

2.C.1	LaRS can not be submitted for a year less than 1997	ED Requirement
2.C.2	All numeric fields on LaRS should have default values of 0.00 for monetary and 0% for interest rate	Lender Form Redesign Workgroup Meetings
2.C.3	All alpha numeric fields on LaRS should have a null default value	Lender Form Redesign Workgroup Meetings
2.C.4	ED will be able to view LaRS data for all Lenders.	ED Requirement
2.C.5	ED should not be able to see a Lender's LaRS invoice until in "Submitted" status	Lender Form Redesign Workgroup Meetings
2.C.6	Fields on LaRS should appear right justified	Lender Form Redesign Workgroup Meetings
2.C.7	The application will have the ability to perform calculations (origination, interest, special allowance and summary data)	ED Requirement



2.C.8	Standard edits will be performed on all entries on LaRS to ensure the values are signed properly and are numeric	ED Requirement &
2.C.9	Ability to perform detailed edits on all ED LaRS transactions entered into the system	Lender Interface Inventory 2.5.2.6
2.C.10	Once a LaRS is submitted to ED the application should perform reasonability edits on each submission.	Lender Form Redesign Workgroup Meetings
2.C.11	Reasonability edits will be applied against field entries and based on a table stored percentage field applied against the previous quarterly input.	Lender Form Redesign Workgroup Meetings
2.C.12	Reasonability failures will be e-mailed to the Lender/Servicer	ED Requirement
2.C.13	Provide ability to print a blank LaRS	Lender Form Redesign Workgroup Meetings
2.C.14	Provide ability to print a completed LaRS with its existing data prior to submission	Lender Form Redesign Workgroup Meetings
2.C.15	Ability to view, change, update, approve, and post Lender data to the vendor database	Lender Interface Inventory
2.C.16	Provide the ED and Lender/Servicer the ability to inquire on-line the status of the LaRS. The status types are: New, In Progress, Submitted, and Accepted. New - Brand new record which has not been saved into the LaRS database. In Progress - Once new record created or saved into the database, the status becomes In Progress. Submitted - Completed LaRS and submitted by the Lender/Servicer by clicking on Submit button. Accepted - 'Submitted' status will become 'Accepted' after the Lender/Servicer clicks on Accept button upon reading the Disclaimer screen.	Lender Form Redesign Workgroup Meetings
2.C.17	Provide the ability to partially enter form data, store it in a temporary holding area, then retrieve it to finish entering the data prior to submission	Lender Form Redesign Workgroup Meetings
2.C.18	Provide the ability to reset a form (clear input) allowing re-entry of input prior to submission	Lender Form Redesign Workgroup Meetings
2.C.19	The system shall prohibit any updates to a LaRS once it is in " Submitted " status	Lender Form Redesign Workgroup Meetings



2.C.20	The system references user name and role to determine the types of reports that are available in the Navigator window	Lender Form Redesign Workgroup Meetings
2.C.21	When user enters data elements for 'origination fees', system should automatically populate corresponding data elements for 'Lender fee information'. This requirement would apply to 'Subsidized & Unsubsidized Federal Stafford' & 'PLUS loan' data elements.	07/06/01 - Listserv
2.C.22	For each loan type, the system would summarize the principal amount disbursed and populate Part V, Line 3, Loan Principal Disbursed.	07/06/01 - Listserv
2.C.23	Auto-populate fields with zeroes. Intent: maintain Partner data entry effectiveness.	07/06/01 – Listserv
2.C.24	Provide access to LaRS via FP website.	07/06/01 – Listserv
2.C.25	Tab key should move Partner to next available data population field. Intent: maintain Partner data entry effectiveness.	07/06/01 – Listserv
2.C.26	Provide on-line, e-mail access to 'Customer Assistance Hotline'. Intent: maintain Partner data entry effectiveness.	07/06/01 – Listserv
2.C.27	The LaRS data entry screens on ED's web site should look as much as possible like the different parts of the paper LaRS. This will make for an easy transition and learning process for Lenders who submit their LaRS via the web.	07/20/01 - Listserv
2.C.28	Ability to override pre-populated fields.	07/20/01 - Listserv
2.C.29	Ability for Lenders/Serviceers to submit multiple forms in the same period	ED Requirement
2.C.30	Provide user with an indicator, by Loan Type, to be set if the Lender is acknowledging that the Beginning Principal Balance (line 2) for the quarter covered by the ED LaRS is different from the Ending Principal Balance (Line 11) from the prior quarter's form. System is to perform this check, by Loan Type, on-line and prior to processing. Screens are to include columns for each loan type and provide the user the ability to key in the data elements by loan type	ED Requirement
2.C.31	Ability to receive multiple File Transfer files submissions for a specific Servicer.	ED Requirement
2.C.32	Disbursement (yes/no checkbox) If the user checks the box, then the fields in the Tab 1 would be zeroed, if the user leaves box unchecked then he has to fill in all the details in the Tab 1	ED Requirement
2.C.33	Interest Benefits should be included in the form that appears once the user selects create new LaRS. (Yes/No checkbox) If the user checks the box, then the fields in the Tab 2: Loan Origination and Lender Fees would be zeroed, if the user leaves it unchecked then he has to fill in all the details in the Tab 2: Loan Origination and Lender Fees	ED Requirement



2.C.34	Lenders should not be able to create a new LaRS if a LaRS for that quarter has been accepted.	ED Requirement
2.C.35	New LaRS should be submitted within 90 days after the end of the quarter. If LaRS is not submitted Lender should receive a notification stating that LaRS has not been submitted.	ED Requirement
2.C.36	Special Allowance. (Yes/No checkbox) If the user checks the box, then the fields in the Tab 3: Interest Benefits would be zeroed, if the user leaves it unchecked then he has to fill in all the details in the Tab 3: Interest Benefits	ED Requirement
2.C.37	Lender/Servicer cannot submit a new LaRS until the 1st business day after the end of the quarter	ED Requirement
2.C.38	ED will not process a given LaRS until the Commercial Paper and Quarterly T-Bills have been entered and verified.	ED Requirement
2.C.41	Ability to enter Interest Rates, Commercial Paper and Quarterly T-Bill rates	ED Requirement (Table 17, 18 & 30)
2.C.42	Ability to verify Annual Interest Rates, Quarterly Commercial Paper and T-Bill Rates.	ED Requirement (Table 17, 18 & 30)
2.C.43	There should be a Help Icon (?) next to fields in the form	ED Requirement
2.C.44	Provide Lenders the ability to file multiple LaRS and receive disbursements on LaRS on an individual basis (i.e. Lenders do not want LaRS to be looked at as a portfolio. Would like to divide the portfolio by Servicer and have ED create disbursements by Servicer.)	Lender Servicer Meeting 6/27
2.C.45	Duplicate entries are not allowed. Must have no more than one line for each unique combination of loan type, fee percent, fee code, and interest rate	ED Requirement
2.C.46	Each line item must be complete and valid if there is an entry in the Principal Amount of Loans column. If there are no valid line items associated with Principal Amounts of Loans then reject LaRS with the error message indicated in applicable error message column	ED Requirement
2.C.47	Make use of a flat file for File Transfer transmission of LaRS.	07/20/01 – Listserv
2.C.48	Accept LaRS via File Transfer with unique sequential identifier sent by Servicer or sender. - Example: Sender/QTR-YR/Lender OE#/SEQ# 9 digits 700006/04-01/ 888885/000002578	07/19/01 - Listserv
2.C.49	Automatic Notifications · Proposals - Receive acknowledgement file on each LaRS sent which contains unique identifier regardless of how many sent in batch. Should be a File Transfer file back to Servicer (server email address) or sender - not to employee email. Then send e-mail to Lender saying file received via File Transfer or Web from sender.	07/19/01 - Listserv
2.C.50	Proposed Possible status screen: 1. Received - RCVD 2. Processing - PROC 3. Approved - Check Sent - APCS 4. Approved - Check Processing - APCP 5. Rejected - RJTD Forms 2000 status codes: 1. Accepted, 2. In Process, 3. Rejected,	07/19/01 - Listserv



	4.Submitted	
2.C.55	Files transferred via File Transfer to ED must have an identifier. (Comment: should include the identifying number of the Lender or Servicer who submitted / will receive the file, the year and quarter of the LaRS(s) submitted, and a date / time stamp.)	07/20/01 - Listserv
2.C.56	Ability to view Lender Search Report for each approved invoice	ED Requirement
2.C.57	Ability to print Lender Search Report for each approved invoice	ED Requirement
2.C.58	The online Lender Search Report will include all data and related calculations for each section at a detail and summary level. In addition, it will include the payment date and trace number.	07/20/01 - Listserv; ED Requirement
2.C.59	Ability for ED to perform stress tests.	ED Requirement
2.C.60	Ability for lenders/servicers to test web application	ED Requirement
2.C.70	Ability for lenders/servicers to test File Transfer application	ED Requirement

2.D Ability for Lender/Servicer to update profile data.

2.D.1	Servicer LID must have at least one association with the submitting Lender LID on the ED Lender file	ED Requirement
2.D.3	The Lender profile is to include a list of associated Servicers. This list should be protected and updated by the Lender or FSA only	ED Requirement
2.D.4	When Lender profile information is changed (Part I data), ED should notify each Servicer who submits LaRS reports for the Lender.	07/20/01 - Listserv
2.D.5	Link Lenders and Servicers through association	ED FSA
2.D.6	Each Lender must have a routing number and account number for deposit	ED Requirement
2.D.7	A profile page will be associated with each LID. Detailed data on all individuals associated with the processing LaRS or the LID will be listed in the profile page	Lender Online Discussion 6/20
2.D.8	Ability to update Profile Page Screens	Lender Online Discussion 6/20
2.D.9	When profile page is updated, send an email to both Lender and Servicer confirming the update	Lender Online Discussion 6/20

2.E Allow multiple invoices for the same Lender for the same year and quarter.

2.E.1	Allow multiple invoices for the same Lender for the same year and quarter.	ED Requirement
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2.F Servicer can only submit a single invoice for a given year and quarter.

2.F.1	Servicer can only submit a single invoice for a given year and quarter for each serviced client.	ED Requirement
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2.G Develop consistent header to segregate File Transfer transmissions

2.G.1	The system shall use the Users Oracle Applications user name to populate the header section	Lender Form Redesign Workgroup Meetings
2.G.2	System should capture name of person submitting LaRS	ED Requirement
2.G.3	System should capture submission date	ED Requirement
2.G.4	Lender cannot submit more than one LaRS per quarter per Servicer.	ED Requirement
2.G.5	The quarter ending year must be numeric. It must be greater than "97". The year/quarter date must match the year/quarter date in Part 4 line items coded "BC"	ED Requirement
2.G.6	When completing a new submission the Lender should have the option to select past years and quarters for all LaRS that have not been submitted. Additionally, the Lender should have the option to complete the current quarter LaRS	ED Requirement

2H Provide Lenders the ability to communicate with FSA via email through the LaRS process

2.H.1	Ability to include contact information in all communication.	ED Requirement
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3. Provide ED the ability to process Lender/Servicer submitted data.

3.A Provide FSA and Lender/Servicer the ability to update Lender/Servicer profile data (Update capability will conform to mandated FMS standards).

3.A.1	Ability to keep an audit trail of Lender and ED actions.	ED Requirement
3.A.2	Each update will track user-id and date/time stamp.	ED Requirement
3.A.3	Each approved update will generate e-mails to the requestor and the Lender (if different).	ED Requirement
3.A.4	E-mail notification shall contain the Lender identification number, user making change, change made, and date/time stamp.	ED Requirement

3.B FSA will not have the ability to change financial data.

3.B.1	FSA will not have the ability to change financial data.	ED Requirement
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3.C FSA will perform logic and reasonability edits on submitted data.

3.C.1	Ability to perform logic and reasonability edits on submitted data	ED Requirement
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3D FSA will initiate calculations on submitted data.



3.D.1	Perform financial analysis of Lender data.	ED Requirement
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3E FSA will be able to track the status of a submission from receipt to payment (LaRS Requirement will be dictated by FMS Phase IV)

3.E.1	Review the status of a fee for a Lender	ED Requirement (X200)
3.E.2	Review the status of all fees for a Lender	ED Requirement (X200)
3.E.3	Track status of LaRS	ED Requirement (X200)
3.E.4	Ability to view posted checks online	ED Requirement (X230)
3.E.5	Ability to view online view of submitted LaRS	Lender ED Requirement (X230)

3F FSA will electronically issue a confirmation notification upon approval or rejection of the invoice.

3.F.1	Ability to insert specialized comments in canned email messages that are sent to the Lender community.	ED Requirement
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3.G FSA will process upon receipt of submission.

3.G.1	Ability to validate lending data according to business rules.	ED Requirement
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3.H Payments to Lenders/Servicers will be issued on a scheduled basis.

3.H.1	Payments to Lenders/Servicers will be issued on a scheduled basis.	ED Requirement
3.H.1.1	Ability to track funds availability	ED Requirement

3.I Ability to deactivate a Lender

3.I.1	Candidate - Ability to automatically deactivate a Lender(s) who has not submitted a LaRS for 210 days.	ED Requirement
3.I.2	Ability to send Proposed Deactivation Report to Servicers and Guaranty Agencies electronically (by ED staff).	ED Requirement
3.I.3	Ability to send "Notification of Proposed Deactivation" email to all Lenders on the Proposed Deactivation Report.	ED Requirement



3.1.4	Deactivation notice should be sent electronically.	ED Requirement
3.1.5	Proposed Deactivation Report should identify Lender identification number, Lender name, state, last quarter filed, accounts receivable/payment, contact name and phone number and deactivation date.	ED Requirement
3.1.6	Ability to revoke password if the Lender(s) is deactivated.	ED Requirement
3.1.7	Ability to capture Lender deactivation date.	ED Requirement
3.1.8	Candidate - Ability to send "Notification of Deactivation" email to all deactivated Lenders 70 days after the notification of Proposed Deactivation.	ED Requirement
3.1.9	Ability to send Deactivated Lenders Report to Servicers and Guaranty Agencies electronically (by ED staff).	ED Requirement
3.1.10	"Notification of Deactivation" should include LID, Lender name, and deactivation date.	
3.1.11	Candidate - Ability to deactivate remaining Lenders on the Deactivation Candidates Screen after 60 days if ED staff has not performed an override action or the Lender has not submitted a LaRS	ED Requirement (X205)
3.1.12	Ability for ED staff to record and save comments associated with individual Lenders proposed for deactivation.	ED Requirement
3.1.13	Candidate - Ability to add Lender to a Deactivation Candidates Screen	ED Requirement (X205)
3.1.14	Proposed Deactivation Report if lender maintains a zero balance and/or has not submitted a LaRS for 180 days	ED Requirement
3.1.15	Ability to exclude all "new lenders" who have been in the system for less than 4 quarters from the Deactivation Candidates Screen (?) and Proposed Deactivation Report.	ED Requirement
3.1.16	Ability to remove Lender from the Deactivation Candidates Screen?	ED Requirement (X205)
3.1.17	Ability to create Deactivated Lenders Report showing all lenders deactivated from Proposed Deactivation Report.	ED Requirement
3.1.18	Ability to send "Notification of Deactivation" email to all lenders deactivated from Proposed Deactivation Report.	ED Requirement 9/20/01
3.1.19	Ability to specify that Lender is being deactivated as a result of a merger	ED Requirement 9/20/01
3.1.20	Ability to track merged LID(s) within the lender profile page	ED Requirement
3.1.21	Candidate - Ability to capture Lenders estimated deactivation date.	ED Requirement



3.1.22	Ability to specify that a Lender is being deactivated as the result of a merger.	ED Requirement
3.1.23	Ability to track merged LID(s) within the lender profile page.	ED Requirement
3.1.24	Ability to revoke password(s) of deactivated lender(s)	ED Requirement

3.J Ability to place a Lender on hold

3.J.1	Ability for ED staff to place Lender in a “Hold” status to prevent submission and processing of LaRS.	ED Requirement (Table 32)
3.J.2	Submitted LaRS that are flagged "hold" should not be processed, but moved to a hold queue	ED Requirement
3.J.3	Ability for a LaRS submitted in Hold status to enter a hold queue	ED Requirement
3.J.4	Ability to notify ED staff each time a LaRS is returned unaccepted due to Hold status.	ED Requirement
3.J.5	Ability to notify Lender on hold that LaRS has errors	ED Requirement (X187)
3.J.6	Ability to reject submission of a LaRS without processing if the Lender is in a Hold status.	ED Requirement (X187)
3.J.7	Ability to track individual releasing or rejecting LaRS	ED Requirement (X187)
3.J.8	Ability for ED staff to remove Lender from a Hold status.	ED Requirement (Table 32)
3.J.9	Ability to move from hold status to process status	ED Requirement
3.J.10	Ability for ED staff to enter comments on “Hold” screen detailing reasons for hold action.	ED Requirement
3.J.11	Ability to notify Lender via email that a submitted LaRS is not accepted due to Hold status and that subsequent LaRS will not be accepted until the Hold status is removed; email should include the comments from the “Hold” screen.	ED Requirement 9/20/01

3.K Record confirmation of a payment to a Lender by the U.S. Treasury (LaRS Requirement will be dictated by FMS Phase IV)

3.K.1	Ability to reconcile LaRS level data back to General Ledger data.	ED Requirement
3.K.2	Ability to capture certification date	ED Requirement
3.K.3	Ability to capture payment date	ED Requirement



3.K.4	Ability to capture EFT/Check trace number	ED Requirement
3.K.5	Ability to capture schedule number	ED Requirement

3.L Ability to collect funds (Current Environment)

3.L.1	Ability to reverse a collection and post to another Lender portfolio	ED Requirement (X166 & X187)
3.L.2	Ability to reverse a collection, offset a receivable, and re-establish the receivable	ED Requirement (X166 & X187)
3.L.3	Ability to accept a payment and post to a Lender portfolio, and not against a receivable (i.e. gratuitous payment)	ED Requirement (X166 & X187)
3.L.4	Ability to accept and process SF 5515 (Debit Voucher that comes from Treasury)	ED Requirement (X166 & X187)
3.L.5	Ability to process a SF 1081 as a collection (enter the funds GSL030)	ED Requirement (X166 & X187)
3.L.6	Ability to generate a SF 1081, to send as a hardcopy	ED Requirement (X166 & X187)
3.L.7	Ability to identify the separation between a regular LaRS and re-certified payment	ED Requirement (X166 & X187)
3.L.8	Ability to post a check to Account Receivable	ED Requirement (X166 & X187)
3.L.9	Ability to view real-time summary of check data being entered	ED Requirement (X166 & X187)
3.L.10	Ability to verify that checks have been posted correctly	ED Requirement (X166 & X187)
3.L.11	Ability to reverse checks posted to an individual Lender	ED



		Requirement (X166 & X187)
3.L.12	Ability to refund all or part of a Lender fee	ED Requirement (x194)
3.L.13	Ability to track submitted fees	ED Requirement (X202)
3.L.14	Ability to review the status of a fee for a Lender	ED Requirement (x235)
3.L.15	Ability to track all fees payable to ED	ED Requirement (X230)

3.M Ability to manage funds received by Lenders

3.M.1	Ability to view every receivable for a given Lender	Lender Receivable Entry Screen (x235)
3.M.2	Ability to determine if Lender should receive an EFT payment or hardcopy check	Lender Interface Inventory 2.5.2.6
3.M.3	Ability to differentiate between delinquent and non-delinquent receivables.	ED Requirement (X235)
3.M.4	Ability to establish an Audit Receivable	Receivable Transaction Input Program Screen (X170)
3.M.5	Ability to manually release a payment.	Receivable Transaction Input Program Screen (X170)
3.M.6	Ability to charge interest on delinquent debts	ED Requirement
3.M.7	Ability to capture Treasury's "Current Value of Funds Rate" Percentage	ED Requirement (Table 8)
3.M.8	Ability to calculate interest on delinquent debts using both 365 and 366.	ED Requirement



3.M.9	Ability to waive interest accrued	ED Requirement (X170)
3.M.10	Ability to write-off interest accrued	ED Requirement (X170)
3.M.11	Ability to write-off a receivable	Receivable Transaction Input Program Screen (X170)
3.M.12	Ability to create dunning notice(s) to lenders on a predetermined schedule.	ED Requirement
3.M.13	Ability to create follow-up dunning notices to lenders on a predetermined schedule.	ED Requirement
3.M.14	Ability to e-mail dunning notices to lenders on a predetermined schedule.	ED Requirement
3.M.15	Ability to modify dunning notices.	ED Requirement

4. Provide to produce canned and ad hoc reports using current and historical data (Reporting capability development will be coordinated with FMS Phase IV).

4.A Ability for FSA to produce Adhoc reports using current and historical data

4.A.1	Ability for FSA to produce Adhoc reports using current and historical data (Reference reporting section)	ED Requirement
4.A.1	Ability to report on funds availability by general ledger account or other accounting classification	ED Requirement
4.A.2	Ability to create daily production reports	ED Requirements
4.A.2.1	Daily production report should differentiate between WEB submissions and File Transfer	ED Requirements
4.A.2	Ability to create monthly production reports	ED Requirements
4.A.3	Monthly production reports will summarize all LaRS activity. Should present payment and collection activity.	ED Requirement

4.B Ability for FSA to produced canned reports using current and historical data



4.B.1	Identify and report on loans by loan type (e.g., Stafford Subsidized and Unsubsidized, PLUS, Supplemental Loans for Students, and Consolidated)	ED Requirement																		
4.B.2	<p>Populate Loan Type codes: SF = Stafford PL = Federal PLUS SL = Federal SLS CL = Federal Consolidation SU = Unsubsidized Stafford</p> <p>LaRS loan type codes should match NSLDS loan type codes</p> <table border="1"> <thead> <tr> <th>LOAN_TYPE_ID</th> <th>LOAN_TYPE_ACRNYM</th> <th>LOAN_TYPE_DESC</th> </tr> </thead> <tbody> <tr> <td>1</td> <td>SF</td> <td>Federal Sub Stafford Loans from FFEL</td> </tr> <tr> <td>2</td> <td>PL</td> <td>Federal PLUS Loans from NSLDS</td> </tr> <tr> <td>3</td> <td>SL</td> <td>Federal Supplemental Loans for Students (SLS) from NSLDS</td> </tr> <tr> <td>4</td> <td>CL</td> <td>Federal Consolidation Loans from NSLDS</td> </tr> <tr> <td>5</td> <td>SU</td> <td>Unsubsidized Stafford Loans from NSLDS</td> </tr> </tbody> </table>	LOAN_TYPE_ID	LOAN_TYPE_ACRNYM	LOAN_TYPE_DESC	1	SF	Federal Sub Stafford Loans from FFEL	2	PL	Federal PLUS Loans from NSLDS	3	SL	Federal Supplemental Loans for Students (SLS) from NSLDS	4	CL	Federal Consolidation Loans from NSLDS	5	SU	Unsubsidized Stafford Loans from NSLDS	Application Standard
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4.B.3	Allow FSA community easy access to pertinent Lender information with appropriate security and controls	ED Requirement																		
4.B.4	Allow users to design reports and extract files for their specific requirements, and to perform table look-ups and expansion of codes when needed to clarify the information contained within the reports	ED Requirement																		
4.B.5	Facilitate the analysis of information contained in the system by allowing analysts to obtain report information and the results of system queries in data files that can be transferred to other applications or analytical tools	ED Requirement																		
4.B.6	Produce, distribute, and provide access to formatted reports defined by agency management for the specific requirements of the agency and Federally mandated Lender reporting requirements	ED Requirement																		
4.B.7	Provide capability to define query parameters and allow the user to query the system for a variety of Lender information	ED Requirement																		
4.B.8	Provide for easy access to historical files for comparative, analytical, and trend Lender information	ED Requirement																		
4.B.9	Provide for the production of formatted reports. The system must allow for the reformatting of reports to present different sorts of the Lender information, the presentation of only specific information in the format selected, and the summarization of data	ED Requirement																		
4.B.10	Provide system managers with system statistics to determine the functions and operations performed by specific users and reports generated or accessed	ED Requirement																		
4.B.11	Provide the capability to run on-demand analysis reports for general ledger accounts within appropriation/fund any time during accounting period	ED Requirement																		



4.B.12	Summarize the number and dollar amounts of disbursements made to Lenders for each of the program areas for a specific period of time	ED Requirement
4.B.13	Provide for sufficient audit trails to trace data errors and the result of various operations of the system	ED Requirement

4.C Ability for Lenders and Servicers to produce canned reports related to owned LIDS

4.C.1	Ability for Lenders and Servicers to produce canned reports related to owned LIDS	ED Requirement
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5. Ability to collect and report payments and collections both internally and externally (LaRS Payment Requirements will conform to mandated FMS Phase IV requirements).

5.A Ability to interface with Funds Remittance

5.A.1	Ability to accept a financial from Mellon and import it into Accounts Receivable	ED Requirements
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5.B Ability to manage accounts receivable

5.B.1	Ability to setup accounts receivable data in FMS	FMS
5.B.2	Ability to track origination fee types: CLRF, SLMA, GART	ED Requirement 9/20/01

5.C Ability to supply data necessary for AR and AP processing

5.C.1	Ability to make on-line inquiries about the status of payments in progress	ED Requirement
5.C.2	Ability to provide internal control over all payment processes along with verifiable audit trail	ED Requirement
5.C.3	Ability to Record expenditures	ED Requirement
5.C.4	Ability to Record obligations	ED Requirement
5.C.5	Ability to create appropriate accounting entries namely General Ledger and Accounts Payable should be generated automatically when the LaRS is processed and loaded into Oracle Payables/Receivables	ED Requirement
5.C.6	Ability to ensure LaRS passes all edits (Hard, Soft and Reasonability) before it is entered into Oracle Payables/Receivables	ED Requirement

5.D Ability to calculate, apply and reverse penalty interest

5.D.1	Ability to determine if payments were certified within 30 days of receipt; if not, calculate penalty interest	Lender Interface Inventory 2.5.2.6
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5.D.2	Ability to approve the payment of penalty interest to a Lender	ED Requirement (x195)
5.D.3	Approved penalty interest should create an Accounts Payable to the Lender	ED Requirement
5.D.3	Ability to disapprove the payment of penalty interest to a Lender	ED Requirement (x195)
5.D.4	Ability to generate report showing amount of late interest due to Lender	ED Requirement (x195)
5.D.5	Ability to trigger penalty interest based on certification date	ED Requirement (x195)

5E Ability to redisburse funds that were returned to FSA

5.E.1	Ability to cancel LaRS disbursement and repay	ED Requirement (X168)
5.E.2	Ability to cancel a disbursement	ED Requirement (X168)
5.E.3	Ability to repay a Lender who has already been paid based on a return payment or after receipt of SF145/ SF 1098	ED Requirement (X168)

6. Ability to exchange data internal and external

6.A Ability to interface with necessary applications

6.A.1	Ability to interface with necessary applications (Reference Interface Section)	ED Requirement
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7. Must provide a disaster recovery capability

7.A Ability to provide Backup and Restoration same session data

7.A.1	The DBA system backup is mandatory and automatic. This backup is performed daily by the application DBA.	DBA
7.A.2	The LaRS application will be marked to restart itself incase of a database crash. If a database crash were to occur while in the middle of execution, the Load program will re-start itself.	DBA
7.A.3	Ability to notify users if system experiences database crash or down for other causes (maintenance etc.)	ED Requirement



8. Must provide for user authentication and data security. Prior to access to FMS, a system check will be performed to verify that the Lender/Service has submitted an OPA.

8A Ability to perform user security

8.A.1	Ability to allow Help Desk to change fields such as Lender legal name, address, and ABA routing. ED staff should have the ability to edit all fields	Listserv
8.A.2	Ability for ED user to update Lender profile	ED Requirement
8.A.3	Ability to add comments	ED Requirement
8.A.4	Ability to insert comments in preformatted notifications	ED Requirement
8.A.5	Ability to send emails to Lender	ED Requirement
8.A.6	Ability to warehouse payments and release on target date (Target date = date of receipt + XX days)	ED Requirement
8.A.7	Ability to capture date of receipt	ED Requirement
8.A.8	Ability to view Reports based on Reasonability edits	ED Requirement
8.A.9	Ability to provide multiple user security levels with different access capabilities.	07/06/01 - Listserv
8.A.11	Ability to automatically save data prior to Partner logging off or system timing out--for 'on-line data entry'.	07/06/01 - Listserv
8.A.12	Ability to archive electronic transmissions (entered via web and uploaded via File Transfer). Intent: audit trail--timelines for archiving currently being developed government wide.	07/06/01 - Listserv
8.A.13	Ability to allow ED Staff to enter data that enables the special allowance variables and use to calculate special allowance..	ED Requirement

9. Must be 508 compliant. Oracle Federal Financials is 508 compliant

