



PHASE IV TRANSITION REPORT

Department of Education Financial Student Aid

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Creation Date: June 22, 2002

Last Updated: January 29, 2003

Version: 1

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1. Introduction

1.1 Transition Overview

The Department of Education's Financial Student Aid (FSA) is in the process of completing an extensive implementation of Oracle Federal Financials version 11.03. The implementation of the FSA Financial Management System (FMS) is being rolled out in a phased approach. This report provides an overview of the transition activities that have occurred in the rollout of Phase IV as well as the on-going support of previous FMS releases. Table 1 provides a summary of the Phase IV releases for this Modernization Effort.

Table 1

Release	Release Name	Initial Date	Actual Date
Release 4.1	<ul style="list-style-type: none">Interface with the new Campus Based program systems	February 2002	March 2002
Release 4.2	<ul style="list-style-type: none">Integration and interfaces with Common Origination and Disbursement (COD)Incorporation of FMS into FSA's Enterprise Application Integration (EAI) ArchitectureModifications to FMS interfaces with Direct Loan Systems	March 2002	May 2002
Release 4.3	<ul style="list-style-type: none">Lender PaymentsEnhanced Use of the Accounts Receivable module and coordinated interaction with the ED Accounts Receivable Office	June 2002	TBD
Release 4.4	<ul style="list-style-type: none">Web Based Draw Down – (Optional)	June 2002	Put on Hold
Release 4.5	<ul style="list-style-type: none">Modification to the DCMS interface solution (Optional)	August 2002	Put on Hold

In addition to the releases of Phase IV activities, there were several ongoing support activities that carried over from Phase III of the FMS implementation. The inclusion of these activities in Phase IV supported those activities that were related to the delay in the Department of Education's FMSS and GAPS "Go-Live".

During Phase III of the FMS implementation a transition document was prepared to assist the organization with the transformation of the FSA CFO office. While several of the transition initiatives have been in process in the past six months, there are still several organizational transformation issues that need to be addressed. These include those efforts involving people, processes, underlying technologies, data availability, relationship interaction, human performance and regulatory requirement considerations.



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1.2 Challenges Faced

The FMS implementation has faced several key issues that have affected the support of phase III activities as well as the progress of Phase IV. Ongoing coordination and communication is essential to the success of an implementation such as this. Although the FMS Operations and Modernization Partner teams tried to proactively involve as many participants in requirements gathering, design reviews, testing, training and general knowledge sharing sessions, the major challenge of the on-going support and the releases of Phase IV revolved around the lack of communication and participation of key resources from the following groups:

- FSA CFO Accounting Division
- FSA Program Areas
- Department of Education (OCFO)

During Phase IV of the project the FSA CFO organization continued to struggle in the effort to embrace the system from a day-to-day operational perspective. The inability of the Accounting and Reporting Division to embrace the system functionality has created several issues ranging from the failure to perform assigned tasks to the FMS Operation team performing the functions of the accounting and reporting divisions. The lack of proper leadership as well as a stable organizational structure for the Accounting Division has placed additional burdens on the FMS Operational staff, including the day-to-day support of the accounting functions.

While FMS has had to respond and address the on-going FSA internal issues, they have also had to contend with the fallout of the issues that are faced by the Department of Education's CFO (OCFO) financial system (FMSS). The Department of Education's FMSS implementation had pushed back their "go-live" date by four months thus causing delays in the way FMS had defined how they were going to run their business. In addition to project delays FMSS continues to struggle with various system interface issues, the processing of transactions, and data integrity issues. As a result of OCFO's FMSS issues the ability of FMS Operations to perform their daily functions in a timely and efficient manner has been dramatically compromised.

1.3 Project Successes

Although there were several areas that have caused issues for the Phase IV implementation, the overall project is and continues to be a success. FMS has gone live with Releases 4.1 and 4.2. At this time Release 4.3 is scheduled to go live on September 9th 2002. In addition the team has been able to move out of the Phase III support phase and transition many of its processing and monitoring activities into the daily operations of the FSA CFO including, but not limited to the following:

- Processing and monitoring data
- Creating and running of reports
- Creating, loading, and posting journal vouchers
- Performing monthly close



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1.4 Transition Approach

A transition plan was created and delivered to the FSA CFO in May of 2002. This plan addressed the planning needs and issues that exist across all areas of the implementation for the remainder of Phase III and the duration of Phase IV as well as the strategies to implement and execute.

In addition, FSA CFO Leadership requested that a Transition Manager remain on the project for the duration of Phase IV of the project. The role of the Transition Manager was and continues to be supporting those activities and planning needs within the areas of communications, training, organization and evaluation for Phase IV activities while providing continued support for those efforts that had begun in Phase III of the project. Recognizing that the continued success of FMS is an organizational wide venture the Transition Manager also took on the additional responsibilities of working through those issues that were not directly related to FMS, however would dramatically affect the perception in which people, both internal and external of the organization, would view FMS capabilities as well as the FMS operations group.

The Transition manager has composed this Transition Report in order to highlight the issues as well as successes that have been revealed post Phase III as well as throughout Phase IV. The topics that are addressed in this report pertain directly to the change management and transition of FMS or have a significant impact on the overall and continued success of the implementation.

While the Transition Manager took on the responsibility of identifying and supporting the resolution of the issues, success was and continues to be contingent to the participation, input and decisions from the CFO, Program Areas, the Department of Education CFO (OCFO), and the Modernization Partner.



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2. Communication

2.1 Overview

In its simplest terms, effective communication is a key element in the successful implementation and operation of FMS. Credible and clear communication needs to occur with the user to increase the understanding and purpose of FMS; it dispels rumors and inaccurate information and allows for timely identification and resolution of issues.

As highlighted in the transition plan, in order to be effective, FMS, with the assistance of the transition team, must be able to do the following:

- Assess the effectiveness of current and proposed business practices and processes.
- Convey the capabilities and/or limits of the FMS software.
- Engage groups affected by automation or business practice change in a meaningful exchange of information.
- Provide accurate information regarding design and implementation.
- Provide accurate information regarding data processing timing and progress.
- Foster acceptance of new methods of works.

While the organization still struggles with the lack of constructive and organized communication, the FMS Operations team, with the guidance and assistance of the transition team, has taken a more active role in consistently communicating the current and new capabilities of FMS as well as the status of those issues that directly impact the day to day operations of the CFO, Program Areas and the OCFO.

2.2 Vehicles

The team has engaged several communication vehicles in a campaign to push information out to its customers, to provide key messages related to new releases as well as ongoing updates related to processing, maintenance, and enhancements of the system. Listed below are a few examples of the communication vehicles utilized by FSA CFO.

1. Newsletters and Other Publications

The Modernization Partner Newsletter is a monthly publication that is used to continuously improve internal communications of the project to the Modernization Partner as well as the client. The articles in the newsletter addresses how each modernization team is helping to achieve FSA's four modernization goals: 1) Improve Service, 2) Increase Program Integrity, 3) Reduce Costs, 4) Integrate Systems. The Transition Team provides monthly updates of the FMS project to the community.

Key messages, via the newsletter, that have been communicated to the public related to the FMS operations have included the following:



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“FMS is successfully running in high gear! All of the effort put in FMS Phase III is paying off, with all the processes running smoothly in production. The FMS team has been working with FSA CFO Accounting Division to transition and implement FMS reconciliations and system balancing with the feeder systems. We’ve also been preparing the way for Phase IV functionality, scheduled to go live April 29th. This new functionality will interface FMS and COD”

“FSA FMS continues to move forward in enabling FSA to achieve the objectives outlined for the Performance Based Organizations (PBO). On April 29th, FMS went live with its COD interface! Beginning with transactions for the 2002-2003 award year, COD now send all Direct Loan Origination (DLO) and Pell information to FMS via EAI. FMS processes the transactions and sends them onto GAPS, The Department of Education’s tool which allows schools to drawdown money. Once schools have drawn-down their awards, FMS will pass all acknowledgement and transaction information back to COD. By integrating processing for DLO and Pell transactions. This milestone improves FSA Services by integrating processes and systems across channels and streamlining costs.

For the other programs, FSA FMS continues to focus on serving the Direct Loan, LEAP/SLEAP, DCS/FFEL Lender and Campus-Based programs. Specifically FMS continues to:

- Provide access to sufficient level of data
- Support the FSA Channels, Partners and Contractors
- Provide timely and consistent data for strategic decisions
- Increase reporting capability across organization units
- Provide appropriate security, controls and audit trails
- Limits data and process redundancies

All together, the FMS team has been productive and busy using each day to help FSA realize it strategic vision and goals.”

2. Word of Mouth / Conference Calls

Face-to-face and telephone conversations are initiated on a daily basis to raise concerns, discuss issues, obtain clarification and to update. The FMS audiences include the various divisions of the FSA CFO, Program Areas, OCFO and the Modernization Partner who are actively involved in the development and utilization of the system. By establishing clear lines of verbal communications across the various functionalities associated with the implementation and operations, the project team is made aware of concerns and issues in a timely manner.

While face-to-face discussions and telephone conversations may be the quickest way to get questions answered or problems resolved, there have been those circumstances that the outcome of the conversation is not communicated to the impacted parties. It is critical that the Department and their partners foster and promote open and honest communication across all lines of the organization and to include and update those people who are impacted.

3. SFANET Website

In order to promote communications with its external audiences, the FSA organization employs information technology via its web site <http://sfanet.ed.gov>. Via the SFANET web site, interested parties can view public documents related to FSA, as well as those links that provide information



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related to FMS, including but not limited to, project background and description, project calendars, points of contacts and Oracle navigational procedures.

In order to provide further delivery of clear, consistent and timely information to the user community, the FMS team is proposing the following additions and enhancements (Table 2) to the SFANET.

Table 2

Updates/Additions/Enhancements	Description
Updates to the Oracle Navigational Procedures	The updates will include the procedures for the Accounts Receivable application (Phase IV – September 2002) as well as Federal Administrator (enhancement). Currently the website includes navigational procedures for the Accounts Payable (AP) and General Ledger (GL) applications.
Updates to the Contact List	The list will provide the current FMS Operation Team members.
Updates to the Project Calendar to include Phase IV updates and future releases	The project calendar for Phase IV releases will be added to the web site. Currently the website only includes the Phase III project calendar.
Provide a FMS processing schedule	The processing schedule will include the days and times in which FMS processes specific files as well as when they are sent to FMSS.
Provide a monthly and yearly closing schedule	The FMS Operations team coordinates with the OCFO to determine when FSA can perform the monthly and year end close. The schedule will provide the dates in which the books will be closed; this will allow the FSA CFO to plan accordingly.
Provide the status of Change Requests submitted to the Help Desk	The Change Request Log will be placed on the site as a reference tool to the user community.
Provide standard monthly reports	There has been discussion to include monthly standard reports on the site thus eliminating several users running the same report.
Provide status /updates of FMS	Messages will be posted on an as-needed basis to update the community on FMS issues, enhancements or updates.



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FMS Operations recognizes that to be effective they need to continually update the site to include the most updated information so it can serve as a continuous communication channel throughout the remainder of the implementation as well as for all post-production activities.

4. Official Correspondence

On an as needed basis, the FMS Operations Director is responsible for communicating any formal and/or official correspondences to the user community. This communication mechanism has been used to convey progress versus project milestones as well as any issues or risks impacting the implementation of Phase IV and/or the daily processing of files.

5. Email

Email is used on a daily basis in both semi-open and closed forums to communicate issues, present facts, resolve problems, share knowledge, and other miscellaneous items occurring across the organization.

While Email communications can serve as a catalyst for problem resolution, it is essential that messages remain focused and relevant to the topic at hand. Uncontrolled Emails adversely affect the advance of the organizational objectives resulting in the loss or work time, a breakdown of relationships and miscommunications or misunderstandings. In addition, uncontrolled emails can also lose sight of the initial issue at hand. It is critical that those persons choosing to use this method of communication to present facts resolve problems and share knowledge, include the right people in the chain, but also remain focused on the topic at hand. Leadership needs to ensure that their teams are communicating in a manner that is courteous, productive and meaningful.

6. Meetings

The FMS Operations group has several standing meetings to discuss particular aspects of the project to ensure that all parties, both internal and external, are informed. Table 3 lists some of the meetings that the FMS Operation team leads and/or participates in. These meetings are forums used to provide status, discuss issues and solutions, and so to better communicate to the FSA CFO and OCFO community of users.

Table 3

Meeting	Objective
Daily Operations Meeting	<p>The FMS Daily Operation meeting has been a highly effective in the promotion of communicating the abilities of the integrated system. These meetings are open to all team members and can be used as a forum if users have questions. Specific items that are addressed during this meeting are:</p> <ul style="list-style-type: none">▪ Processing schedule and updates▪ Processing issues▪ Discussion of bug fixes and enhancements of the FMS system▪ Clarification of the role of the FMS Operation team members▪ Schedule of the availability of the FMS Operations Team members



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Table 3 cont.

Meeting	Objective
Weekly FMS Update to the FSA CFO	<p>The Director of FMS Operations and the leadership of Modernization Partner meet with the FSA CFO on a weekly basis to discuss the status of the project/system as well as any issues that the CFO should be aware of. These forums are used to discuss the following:</p> <ul style="list-style-type: none"> ▪ Personnel issues ▪ System issues ▪ Updates of upcoming releases/enhancements, Contractual issues ▪ 11i updates
Weekly Phase IV Updates	<p>The Director of FMS Operations conducts a weekly Phase IV meeting with the Phase IV implementation team to get an update on the progress of Phase IV activities. The FMS Phase IV Status Update meetings are used as a forum to discuss the following:</p> <ul style="list-style-type: none"> ▪ Issues related to requirements gathering ▪ Resource planning and participation ▪ Testing ▪ System Architecture ▪ Transition ▪ Other miscellaneous issues as applicable.
Brown Bag Luncheons	<p>The FMS Operations team has implemented FMS Brown Bag Lunches that are open to both the FSA and OCFO user community. The lunch's are informal sessions that include topics such as:</p> <ul style="list-style-type: none"> ▪ “What makes this Relationship Work” – Daily Business Activity in FSA FMS” ▪ “Everyone Needs Closure” – FSA FMS Closing Process ▪ “Can’t We Reconcile?” – Reconciliations and Reports ▪ “What’s the Future Hold for Us?”-Coming Attractions in FSA FMS

In addition FMS Operations leads and participates in various ad-hoc meetings in which specific FMS knowledge and expertise is needed to assist, clarify and resolve issues that relate to operations, accounting, budgeting, reporting and financial analysis.



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While communication is improving, the FSA CFO team, the Program Areas as well as the OCFO team do not always include the key people or decision makers in meetings or discussions that relate to system changes, accounting impacts or reporting implications. It is critical that the leadership teams make a conscience effort to ensure that all parties are involved and that meetings are not only productive but also meaningful.

7. Help Desk

The FMS Functional and Technical Help Desk is the single point-of-entry for Schools, Guaranty Agencies, and other FSA external FMS users. Activities for Help Desk Operations include the following:

- Respond to external and internal user requests.
- Manage the relationships and communications with external and internal users during on going issue resolution efforts.
- Create and implement Help Desk Problem Analysis scripts that can be used to triage application issues.
- Respond to technical application issues.
- Investigate and correct failures related to file processing.
- Broadcast universal communications to all FMS users.
- Reset application passwords.
- Verify interface transmissions and assist with the resolution of interface transmission failures.
- Verify and communicate system availability to the users.
- Provide the users functional and technical support of the Oracle applications.
- Assist in capturing those metrics for definition and analysis of operational issues.
- Identify and forward enhancements, per the user requests, to the FMS Change Control Board.

2.3 Key Message

In order to be effective, the FSA CFO Divisions, with the assistance of the Transition Team, needs to continue to complete the following:

- Assess the effectiveness of current and proposed business practices
- Convey the capabilities of the FMS and FMSS systems
- Engage groups affected by the automation or business practice changes in a meaningful exchange of information
- Provide accurate information regarding design and implementation timing and progress
- Foster acceptance of new methods of work.

These abilities should continue to be enhanced by the users involvement through good two-way communications.



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3. Training

3.1 Overview

The ongoing support and training effort has been closely coordinated with the FMS Operations team and the Transition Manager in order to accommodate the various requirements needed to provide adequate knowledge transfer and transition of job duties from the Operations team to the Accounting Division, Reporting Division, the Financial Transaction Group, OCFO, Operating Partners and the various contractors that are working in the FSA CFO shop.

The Training Team has performed the following tasks related to the implementation of Phase IV Releases:

- Determined and documented “As Is” (if applicable) and “To Be” Business Flows (to the task level) for people in all program areas affected by FMS Phase IV.
- Developed a Training Needs Analysis by comparing “As Is” and “To Be” business environments, determined audiences affected, and identified the skills requiring training.
- Designed and developed training support materials for identified audiences based on new skills determined via the Training Needs Analysis.
- Educated FMS users on upcoming changes to their daily roles, responsibilities and procedures.
- Conducted over the shoulder training sessions with the identified user group that would be affected by the Phase IV releases.
- Promoted the benefits of FMS.

The Training Team has and continues to perform the following tasks related to the day-to-day operations of the FSA CFO organization:

- Design, develop and update training support material for the users based on user need and requirements.
- Educate FMS users on system functionality and the impact to their daily roles, responsibilities and procedures.
- Provide continual training of FMS and Discoverer on an as needed basis per the users request and needs.
- Promote the benefits of FMS.

3.2 Vehicles

The level of training in which the user is offered has been contingent on one or more factors including: the number of users that need training, the skill set of the user, the level of activity and/or complexity of the task to be performed.

The Training Team has conducted several instructor led hands on training. These sessions were comprised of large groups of people who needed similar type training. The classroom training includes lectures, demonstrations, individual hand-on computer exercises, group discussions use of online tools and other learning activities. See Attachment A for a listing of the classroom sessions conducted by the Training Team.



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Over the Shoulder Training was performed by the Training Team for Release 4.1 and Release 4.2. Based on the Training Needs Analysis, it was determined that there was minimal impact to the users as it related to their day-to-day activities, thus it was determined that the most effective way to train the users was individualized, task specific over the shoulder. The Training Team worked directly with the impacted users responsible for the Campus Based and COD programs and conducted several over the shoulder training and working sessions. Training support was provided until the users felt that they could handle the workload on their own.

In addition to Phase IV training, the Training Team continues to perform classroom and over the shoulder training (per the request of the user) for those functions that relate to the day-to-day activities. The Training Team has worked with individual team members to train and review navigation, create and upload ADI templates, process journal approvals, and run reports via FMS and Discoverer.

The Training Team has developed and distributed user guides and procedural documents to assist the user in their day to-day functions. In addition the Training Team has updated the user capabilities matrix to include all functions, for all programs, including Phase IV activities.

3.3 Key Message

Good training fosters acceptance of new work processes, efficiency of processing and accuracy in data collection. It is essential that the Department continues to support their employees to acquire the skills, technologies, and processes needed to bridge competency gaps. The continued success of FMS will be dependent upon having well-trained end users who are comfortable with their knowledge and skill in using the system.



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4. Organization

4.1 FSA CFO

The FSA CFO team continues to struggle in performing the additional responsibilities that they acquired with the implementation of FMS. Specifically they still struggle to complete the following:

- Enable the CFO to collect, process, maintain, transmit and report data about financial events.
- Support financial planning and budgeting activities.
- Accumulate and report cost information.
- Support the preparation of Financial Statements.
- Perform reconciliations between Feeder Systems to FMS, FMS to FMSS, and FMS to GAPS.
- Develop a standard set of policy and procedures for the FSA CFO.

The FMS team has worked with the FSA CFO and Modernization Partner teams to assist in the creation of an organizational structure, roles and responsibilities and procedures to equip them with the necessary structure and support to complete their jobs utilizing the FMS system. During the winter of 2002 the Transition Manager worked closely with the CFO, the Chief of Staff, the Deputy Controller, the Acting Accounting Director and the various other Division Directors to create an organizational structure along with roles and responsibilities for the Accounting Division. While the plan was completed and finalized in February 2002, the organization never rolled out the structure. The current Accounting Director has taken the February 2002 organizational structure and associated roles and responsibilities and revised it. The newly organized Accounting Division was rolled out in June 2002.

Although the new Accounting Division Organizational chart was rolled out by the Division Director, it still does not provide a clear definition as to what tasks are to be performed by the Accounting Division versus the FMS Operations Group. While there is a push to further involve the Accounting Division there is some reluctance from the FMS team to give up the accounting responsibilities in fear that they will be responsible and held accountable to clean up errors and/or issues that may occur post the transition of tasks.

In order to successfully transition to a new accounting system it is essential to have an organizational structure in place that can fully incorporate the FMS functionality as well as the external responsibilities related to job descriptions. The Accounting Division and the FMS Operations group need to work together to leverage and enhance the tools that have been put in place (Responsibilities document created in February 2002, Business Processes Matrices created by the FMS Operations Group, daily meetings and communication) to further map out the responsibilities of each group.

4.2 External to FSA (Operating Partners)

The FSA CFO team has begun to work more closely with the FSA Operating Partners to ensure that the data received from the feeder systems (ACS, EDS, and Raytheon) is correct, valid and auditable. While the Accounting Division and the Reconciliation Project Team are handling most of the communication with the Operating Partners, the outcomes directly impact the type of data that is processed and housed in the FMS system. Significant efforts are being made to provide short term and long-term solutions to improve the type of data that is being processed into the FMS system. The change in the



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way data is being fed into FMS will provide for accurate and timely reporting and the ability to perform reconciliations for both cash and non-cash items.

Phase III and Phase IV of the FMS implementation has changed the way the Operating Partners conduct their business. As FMS moves into a more stabilized environment it is becoming evident as to what is needed by the Operating Partners to conduct their business. The FMS Operations team as well as the Modernization Partner have and continue to support the various Operating Partners through the following initiatives:

- Providing resources to assist with the backlog of inputting and processing data.
- Providing resources to assist in the development and creation of reports needed to perform critical functions.
- Providing FMS training on an as need basis (both formal and informal).
- Providing assistance in the resolution of data integrity issues.
- Providing assistance to rewrite statements of work to reflect the way the Operating Partners are expected to conduct business as a result of the implementation of FMS.

4.3 Channels of the FSA

The program areas with the FSA Schools, Students and Financial Partner channels continue to manage the programs from a business function and a customer service standpoint; while the accounting and financial activities have transferred to the FSA CFO.

While there has been some confusion as to the functionality, capability and outputs of the FMS system, the channels have begun to work more closely with their FMS counterparts. The FMS Operations team has implemented a structure in which each channel has a single point of contact to communicate issues, receive updates and ask questions. The manner in which each program team works with its counterparts is different. In some instances, there are weekly meetings in which the Operating Partner, Schools Channel, FMS, Accounting, GAPS, OCFO all participate to discuss issues, solutions and updates while other teams choose to only meet when there is a critical need.

The FSA CFO Accounting Division has also appointed team leads for each of the programs, thus providing the channels a single point of contact by program. The accounting leads are working closely with their counterparts to learn the channels business so to provide better customer service, perform reconciliations from the feeder systems to FMS and to establish policies and procedures.

4.4 Department of Education CFO (OCFO)

FSA FMS serves as the sole, consolidated source in support of the Department of Education's accounting system of record. The primary issue has been and continues to be the communication and collaboration of the two teams. While significant steps have been made in the development of working relationships between the FSA CFO and their OCFO associated counterparts, general distrust and animosity remain.

Through the creation of strong business processes, established processing schedules, established points of contacts, consistent reporting mechanisms, and approved policies and procedures the communication and collaboration of the two groups can and will be achieved.



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5. Evaluation

5.1 Overview

It is critical to measure the effectiveness and impact of communication, training and organizational initiatives through audience feedback. In order to measure success, the FMS Operations team is making use of several evaluation methods. Through the use of these evaluation methods the FMS team can measure their successes in meeting the following objectives:

- Assure that goals and objectives of the project are effectively communicated to all relevant groups.
- Assure that the appropriate and timely information is delivered to the appropriate groups (ie. Business practice, system changes, transition issues, etc.)
- Promote input and involvement through multiple communication channels.

5.2 Measurements

The FMS Help Desk is one of the vehicles in which measurements and evaluations can be performed. Based on the information that is collected and tracked within the Help Desk function the following information can be gathered to better analyze where improvement may be needed:

- Number of calls the Help Desk receives on a daily, weekly, monthly basis.
- Type of requests.
- Frequency of specific request types (ie. How many calls address User Sign On).
- Frequency and type of request being made from a specific user or group.
- Response time in which an issue is resolved.
- Type of fix or solution implemented.

The FMS Operations team, with the assistance of the Transformation team, has recently revised their Change Request Process (Attachment B) to better track, communicate and measure the critical success factors that correlate with those established within the team as well as the FSA CFO organization. Specifically the FMS Operations team can measure the following information through the Change Request form (Attachment C):

- Type of requests
- Time frame in which the task is completed (ie. Emergency fixes must be resolved within 48 – 72 hours).
- Impact to FSA/ED required performance goals.
- Priority of Requests (timeframe in which it needs to be completed).
- Frequency and types of requests from a specific user group.

In addition to the metrics gathered from the Help Desk and Change Request Process, the FMS also measures their performance through training user participation and evaluation. The FMS training team tracks the type of training they have performed, the number of users they are providing training to, as well as user feedback via evaluation forms.



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5.3 Key Message

In an interactive/participative management environment such as FSA's, outcomes and performance speak for themselves. Open, accurate and objective evaluation and measurement is necessary to ensure that the organizational objectives are being achieved. While the FMS Operations team have taken the steps to evaluate themselves, other areas of the FSA CFO have not been so quick to identify and begin evaluating and measuring their performance objectives.



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6. Impacting Issues

While progress continues to be made, there have been and continue to be several underlying issues that have and/or continue to delay the success of the project as well as inhibit the abilities of the FSA CFO teams to embrace the system. Table 4 outlines some of the key issues that have impacted the FMS team.

Table 4

Issue	Details
End to End Testing	<ul style="list-style-type: none"> ▪ Delay in the closure of testing for various programs ▪ Confusion to the status of the test efforts ▪ Apparent replication of errors
Conversion/Beginning Balances	<ul style="list-style-type: none"> ▪ Vast amount of conversion data provided in varying states of completeness ▪ Out of balance conditions encountered ▪ Complex reclassification and reversal processes for converted data ▪ Performance issues while processing data
Budget Services	<ul style="list-style-type: none"> ▪ Limited communications between FSA and Budget Service ▪ Budget Services lack of access to FMS information ▪ Inaccurate data housed within FMS due to conversion/beginning balance issues
Accounting Support	<ul style="list-style-type: none"> ▪ Limited participation/involvement of the Accounting Division ▪ Lack of consistent leadership within the Accounting Division ▪ Limited number of knowledgeable staff ▪ No management of Funds Control ▪ No management of Account Maintenance ▪ No procedures in place for reconciliation
Production Operations	<ul style="list-style-type: none"> ▪ Errors encountered in the FMS General Ledger to FMSS General Ledger transfers ▪ Back log of files for October through May due to the inability of FMSS to accept FMS files ▪ Account mapping errors with Direct Loan and IF-010 processing ▪ Several GAPS related issues



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Issue	Details
	<ul style="list-style-type: none">▪ Processing time of files (tuning of database)

The changing environment of the FSA CFO demands compliance with a deluge of constant redefinitions of policies, procedures, priorities and processes. It is essential that the leadership treats their teams with trust and respect and honor the intelligence of all who contribute so to exert real motivational influence. An increase in the overall job satisfaction and the change of attitudes can be achieved if the leadership teams adapt the following management “interactive tools”:

- Listening/Feedback
- Partnered Decision Making
- Communication
- Training
- Recognition
- Closing the past
- Outcome/performance measurement

While the FSA CFO leadership may excel in certain areas there are significant hurdles to be accomplished in others. The continued inability of the leadership teams to manage these interactive “tools” consistently will impact the success and perception of the FMS system as well as the FSA CFO organization as a whole.



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Attachment A: Classroom Training Sessions

Classroom Session - Date	Attendees
Navigational Training – 6/26/01 & 6/27/01	All of SFA CFO Accounting Division (Ed Corack and June Ritchie received over-the-shoulder session)
Direct Loan (Automated File Process) – 9/06/01	Charlene Faunteroy
	Jenny Smith
	Candice Hong
	Lolita Caburian
	Joan Sitrin
	Shawna Jordan
	Cheryl Carrington
	Winston Murphy
	Cynthia Heath
	Spencer Sakai
DCS/FFEL Lender (Automated File Process) – 7/31/01	Jenny Smith
	David Yang
	Quang Nguyen
	Lolita Caburian
DCS/FFEL Lender (Automated File Process) – 8/01/01	Jenny Smith
	Lolita Caburian
	David Yang
	Quang Nguyen
	Cynthia Heath
Accounts Payable (Manual Entries) – 10/17/01	All of SFA CFO Accounting Division (with ACS Contractors)
PELL/Campus Based (Automated File Process) – 10/25/01	David Yang
	Peter Basso
	Quang Nguyen
	Jeanette Johnson
	Colene Peaks
	Cheryl Carrington
	Ray Manekji



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Classroom Session - Date	Attendees
	Thomasine Riley
	June Ritchie
	Gordon Peterson
General Ledger – 10/25/01	Bill Marks
	Candice Hong
	Cheryl Carrington
	Ray Manekji
	Geeta Gupta
	Lolita Caburian
	Thomasine Riley
	Winston Murphy
	June Ritchie
	Gordon Peterson
General Ledger – 10/26/01	Lester Langford
	Peter Basso
	Colene Peaks
	Spender Sakai
	Shawna Jordan
	Quang Nguyen
	David Yang
	Kevin Dugas
	Jeanette Johnson
Read-only and Reports for Reporting Division – 12/05/01	Palmer Robeson
	Kevin Dugas
	Anthony Robinson
	Steve Arisumi
	Satnam Khalsa
	Dale King
	Ed Corack
Using ADI for Manual Journal Entries – 1/30/02	Pete Cove
	Pat Brosius
	Dettra Holmes
	Vannessa Lofton
	Katrina Chavers
	Lolita Caburian
	Charlene Faunteroy



FMS Transition Report

Classroom Session - Date	Attendees
	Geeta Gupta
Read-only and Reports Navigational Training for OIG - 3/26/02	Wayne Bynum
	Zachary Sudick
	Larry Taylor
	Greg Hayenge
	Ken Dion
	William Gray
	Gary Forbort
	Aparna Sharma
	Ken Kwak
	Charles Bury
	Chris Vierling
	Salvatore Galloodoro
FMS Discoverer Training - 4/24/02	Rachael Bauer
	Larry Kean
	Mark Santucci
	Winifred Shapiro
	Anne Kibler
	Sean McMahon
	Daniel Simpson
	Leon Fleischer
	Jennifer Fleming
	Cynthia Heath
Read-only and Reports Navigational Training - 5/9/02	Adam Mutuku
	Fiona Sekandi
	June Ritchie
	Bart Waggy
	Carlos Mover
	Chris Chang
	Daun Freeman
	Raiomand Manekji
	Scott Darr
	Susan Pai
	Wendy Calvin
	Delores Harris
	Etienne Faye
	Gordon Peterson



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Classroom Session - Date	Attendees
	Jon Bollinger
	Josephine Agnew
	KC Abadian
	Kevin Headen
	Linda Carr
	Michele Carr
	Richard Polhamus
	Ken Becker
COD Training -4/29/02	Jeanette Johnson
	Winston Murphy
	Thomasine Riley
	Perry Trueax



FMS Transition Report

Attachment B: Change Control Process

FSA FMS Change Request Process

The purpose of this document is to outline the Change Request (CR) procedures that FMS Operations follows for all system releases, emergency fixes, interfacing issues, and change / enhancement submissions.

Audience: All programs that interact with FMS

Guidelines:

- I. All enhancements and bug fixes to FSA FMS must originate through the FMS CR Process.
- II. Program users must notify FMS in advance of any new feeder system releases that affect FMS.
- II. Emergency fixes will have a 48 – 72 hour turn around time.

Procedures for FMS Change Request Process:

1. Program users submit a completed CR Form to the FMS Operations Help Desk (Tel: 1-800-433-7327, Option #3, or Email: fms.operations@ed.gov). If needed, you may obtain the CR Form from the FMS Help Desk.
2. Upon submission of the CR, the FMS CR Manager logs the request in the FMS Change Request Tracking Database (all CRs are tracked and recorded in this Change Request Tracking Database).
3. The FMS CR Manager will then perform the following steps:
 - Review the CR.
 - Create an impact statement and current workaround.
 - Research and document an estimate based upon design, development, testing, training, and implementation requirements.
4. FMS Management and FMS CR Managers review all new CRs in the *Weekly Internal FMS Operations CR Meeting*. All new CRs are reviewed, prioritized, and assigned to a technical resource based upon severity and resource availability.
5. At this point, the FMS CR Manager will meet with all program stakeholders in the *Standing FMS Change Control Board Meetings* to perform the following:
 - Communicate and discuss the action plan for any new CRs (i.e., priority, assigned resources, proposed solution, estimated time of completion).
 - Review the status of existing CRs.
6. FMS CR Managers will send out an ED/FSA CR Log by program containing meeting updates on a weekly basis.
7. If the request is not an emergency then the FMS Management Team will implement the completed CRs on the designated month end day. All non-emergency requests that effect production databases are released once a month according to the configuration management plan.
8. Once a CR is completed and migrated to production, the CR Manager corresponds with the requestor contact to verify successful implementation.
9. The FMS CR Manager closes the CR in the FMS CR Tracking Database upon approval by the CR requestor and program stakeholders.



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Attachment C: Change Request Form

SFA FMS Setup Change Request

Submit this completed form via email to the FMS Operations team @ fms_operations@ed.gov

This CR must be completed prior to implementing this change and will be kept on record for reference in the SFA FMS Operations Support folder on the FMS drive. If you need a copy, it can be provided upon request.

Please be as detailed as possible

1a. Title of Change: <Provide an appropriate name for this change>
1b. Detailed Description: <Enter a description of the change. Provide detailed bullets explaining the nature of each modification>
1c. Impact Statement: <Impact to other instances, accounting process, etc.>
1d. SFA Program Dependencies: <Enter SFA Program affected>

2. Requested implementation	
Date: <Enter the Date request>	Requested Completion Date: <Enter the date of needed completion>
Impact to ED / FSA Required Performance Goals: <Enter any impact on ED / FSA performance goals this change my effect>	



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Will this CR require any training to implement: <Enter the amount of time it is estimated to complete the task>

What is the training scope:

Who is the training audience:

Priority: <Enter High, Medium, or Low with an explanation>

3. Requester

a. Name:

b. Work Phone Number:

c. Pager Number:

4. CFO Approver

a. Name:

b. Work Phone Number:

c. Pager Number:

5. FMS Operations Approver

a. Name:

b. Work Phone Number:

c. Pager Number:

Additional Contacts

Program	Name	Number

Please indicate the name of any document that includes the detailed setup instructions.

File Name	Version	Directory



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This section to be completed after the Change Request has been implemented.

CR Implemented	
Name	
Date	

