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FSA Modernization Partner

NSLDS II Reengineering System Requirements

Version 2.0

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1 Introduction

This is the next iteration of the System Requirements document for the NSLDS II Reengineering project that was published in April 2002. This document builds on the previous System Requirements document by focusing on the ten functions described in the Functional Requirements section. This document elaborates on how each of these functions will be delivered in the first release of NSLDS II. It also touches on points of integration with other FSA Modernization initiatives, laying the groundwork for future NSLDS II enhancements that align with ongoing and upcoming projects. Further, this deliverable provides the revised high-level requirements for the following areas:

- **Technology**, which describes the data (acquisition, storage and access) and technical (platforms and tools) features that are needed to support the business requirements
- **Deployment**, which describes requirements such as data conversion, training, deployment, and maintenance, which occur later in the Solution Life Cycle (SLC) and impact the delivery of the solution

Also attached, as appendices to this document, are the matrices of both the High Level Requirements and the Detailed System Requirements for NSLDS II Release 1.

Please note, this version of the System Requirements is not a final design of the system, but a next logical iteration of the design for NSLDS II. It is a representation of how the core business functions serviced by NSLDS II will be delivered. More detailed technical requirements will be developed through the course of Detailed Design to address how the tools proposed in the Technical Architecture Plan will deliver these core functions. It is, however, a final draft of the requirements, gathered to this point, which will be delivered in NSLDS II Release 1.

The first stage of the next phase of work, Detailed Design, will focus closely on creating and mapping detailed criteria for retrieving and reporting on data from NSLDS II. This mapping will tie specific existing reports and adhoc capabilities that currently satisfy research and analytic needs to the reports or tools that will deliver that functionality in NSLDS II Release 1 or tie it to a future release of NSLDS II.

The information within this document is proprietary and confidential to the Department of Education and Modernization Partner.

1.1 NSLDS Overview

The National Student Loan Data System (NSLDS) was established as part of the Higher Education Act of 1965, as amended, to provide a comprehensive repository of information about Title IV recipients and their loans, grants, lenders, guaranty agencies (GAs), servicers and schools. As NSLDS has evolved since its implementation in 1994, it has become much more

than an analytical and reporting system and, today, supports key operational requirements. Specific capabilities include:

- Determining student eligibility for Title IV student aid – both pre-screening and post-screening
- Calculating default rates for schools, guarantors and lenders
- Supporting financial management activities including:
 - Guaranty Agency LPIF and AMF payments
 - Budget formulation/execution and modeling
 - Reasonability of payments to guarantors and lenders
- Tracking student enrollment status
- Providing information to policy, research and other groups

Currently, NSLDS is hampered by a number of challenges related to discrepancies between the quality and timeliness of NSLDS data and the system of record, as well as its operating costs.

1.2 Project Objectives

Given these challenges, a project to modernize the system – NSLDS II Reengineering – has been undertaken with the following objectives in mind:

- Improve financial integrity
- Reduce FSA costs associated with NSLDS and related operations
- Improve customer satisfaction through better quality and usability of NSLDS information, benefiting the Department and other NSLDS users in the financial aid community
- Balance FSA data needs with burdens placed on the financial aid community
- Improve usability of the NSLDS data repository through new tools
- Take greater advantage of data resources available within FSA and from the financial aid community

1.3 “Big Ideas” for Reengineering

At the heart of NSLDS II Reengineering are five “big ideas”. These ideas for reengineering NSLDS will require radically changing some of the underlying processes, data structures and technical platforms supporting the existing system. The NSLDS II Reengineering Release 1 project is focused on the two ideas surrounding the NSLDS technical infrastructure and internal FSA sources of data. These two ideas are:

- **Data Warehousing**, which provides for restructuring of the NSLDS data repository to support modern data mart analytical tools
- **Internal FSA Direct Access**, which supports more timely, “snapshot-in-time,” views of FSA-maintained Title IV aid data and positions FSA systems to support a future FFEL

and Perkins fetch capability by integrating NSLDS II more closely with the EAI Bus architecture

The remaining three “big ideas” will be addressed in the following phases of NSLDS II Reengineering. These initiatives will build on the improvements achieved through NSLDS II Reengineering to further improve the data quality and customer satisfaction for NSLDS users. These three ideas are:

- **Outsourced Enrollment Tracking**, which provides for combining FSA and National Student Clearinghouse (Clearinghouse) enrollment data into a single repository and outsourcing Student Status Confirmation Reporting (SSCR) to the Clearinghouse
- **FP Data Feed Reengineering**, which aims at integrating FP data reporting with FSA’s FP payment processes including:
 - Interest subsidy and special allowance payments for lenders
 - AMF/LPIF payments and reinsurance payments for guaranty agencies.It also includes the potential creation or adoption of a FFEL fetch network to support future data exchange with FSA and NSLDS II.
- **Common Record Extension**, which provides for expansion of the Common Record to include servicing information
 - Use members of PESC as a forum to drive this effort, including XML standards, record formats, and edit rules
 - Sequence adoption by lenders, services, GA’s, and schools

The Reengineering of NSLDS is also integrated with other reengineering efforts planned and underway as part of the overall FSA Modernization effort. These efforts include, but are not limited to, projects like Customer Relationship Management for FSA (CRM4FSA), Common Servicing for Borrowers (CSfB) and Application/CPS Reengineering. Coordination of design and development across these efforts will be achieved through frequent interaction of the various project teams and FSA stakeholders to build common knowledge of processes, practices and integration points. This coordination will require long-term commitment and effort from each of the various initiatives and from FSA. In short, as initiatives are delivered, they should look to take advantage of common points of integration with their predecessors and to lay the foundation for those that follow.

Within this document, where applicable by function, a section has been added to highlight areas where this type of integration should be examined for inclusion in future releases of NSLDS II. A simple example of this type of integration point is the potential for the NSLDS SAFAR (Student Access) Website to be “consumed” by the CRM4FSA initiative so that maintenance of this site and its functionality would move closer to the student, toward a “single” point of student contact.

In addition to addressing the major objectives of overall NSDLS Reengineering and the greater FSA Modernization effort, these “big ideas” support - in a much broader context - several key themes prescribed by the Bush Administration:

- **Unify** . . . government operations to reduce redundancy and consolidate into larger operations that promise economic gains (reduced unit costs) through economies of scale
- **Simplify** . . . the work processes of government so that less “new work” and less rework is needed to produce the desired result. This translates to lower unit cost
- **Best Practices** . . . adopt the most effective federal government practices (policies and work processes) to achieve better customer service and lower unit costs

1.4 Format

The System Requirements – Revised document is organized as follows:

- **Core Functions**, which isolate each of the 10 core business functions of NSLDS II and detail the functionality served by NSLDS II and the workflow associated with each. Eventually these workflows will be used to validate the usability of the delivered Release 1 of NSLDS II. These functions include:
 - Student Aid Eligibility
 - Financial Aid History
 - Student Transfer Monitoring
 - Loan Transfer Tracking
 - FP (Financial Partner) Payment/Payment Reasonability
 - Cohort Default Rate
 - Enrollment Tracking / Reporting
 - Audit and Program Reviews
 - Research and Policy Development
 - Budget Formulation and Execution
- **Technical Requirements**, which describes – at a high level – the proposed technical solutions to satisfy the functional requirements
- **Deployment Requirements**, which describes the key factors, risks and considerations that will drive the successful implementation of a reengineered NSLDS solution
- **Appendices**
 - High Level Business Function Matrix
 - Detailed Requirements Matrix

2 Student Aid Eligibility

The Student Aid Eligibility process involves validating whether a student is eligible to receive Title IV aid. Once a student has applied for aid through the Free Application for Federal Student Aid (FAFSA) application, eligibility requirements are checked through NSLDS II. The main components of this process include pre-screening, the initial eligibility check, and post-screening, an additional eligibility check occurring automatically every week within NSLDS II.

2.1 Logical Workflow Summary

Pre-Screening

The first step in the pre-screening process is for a student to complete the FAFSA application and submit to FSA for review. From the information provided in the FAFSA application, an eligibility check is performed from the data within NSLDS II. The basic student matching check performed within NSLDS II is based on student-provided information (e.g., SSN, Date of Birth, and First Name). This initial screening attempts to determine several key eligibility questions:

- Is the applicant currently in default on any existing Title IV loans?
- Does the applicant owe an overpayment on a Title IV grant or Perkins Loan?
- Has the applicant already borrowed the maximum amount allowed based on Title IV annual or aggregate loan limits?

A second component of the initial pre-screening process is an additional eligibility check outside of the data contained by FSA (NSLDS II). Applicant information obtained as part of the FAFSA process is checked against data on the applicant maintained by other federal government agencies. Types of applicant data verified include citizenship, SSN, and selective service registration information. Next, an expected family contribution amount is then calculated based on the information provided in the FAFSA application.

The CPS system then compiles this information and generates the Student Aid Report (SAR), which is sent to the student, and the Institution Student Information Report (ISIR), which is sent to the applicant's designated school through the Student Aid Internet Gateway (SAIG). It is the responsibility of the school financial aid office to determine the student's eligibility to receive Title IV financial aid based on the information obtained from the pre-screen process. If a student is found to be ineligible at the current time to receive financial aid, the school financial aid office will notify them. If the student is found to be eligible to receive Title IV aid, the school financial aid office develops a financial aid packet for the student. The student is then presented with the financial aid package, with the option of accepting or rejecting the package.

Post-Screening

The post-screening process involves an additional eligibility check that identifies changes in a student's financial aid information that could affect their eligibility for Title IV aid. The process occurs automatically within NSLDS II on a weekly basis for all students with active (open) loans. The post-screening process identifies changes in a student's financial aid history since

the last time a SAR/ISIR was produced for the student. If changes are identified, the post-screening results are sent to CPS. CPS then initiates the pre-screening process for this applicant a second time. A new ISIR and SAR are generated and sent to the school and student respectively. The new ISIR sent to the school includes a message indicating that the new ISIR has been generated because of a recent post-screening eligibility check.

The school financial aid administrator is responsible for reviewing the new documentation generated because of the post-screen findings and to reevaluate the student's eligibility status. If a student is found ineligible to receive Title IV aid and has already received aid, the lender will be contacted if the student received a FFEL loan, the DL Servicer if the student received a loan through the Direct Loan program. If the student has already received Title IV grant money distributed by the school, the student will be contacted and instructed to pay back the disbursed funds.

The post-screening process identifies the following financial aid history changes for a Title IV aid recipient:

- A loan status change from or to default status.
- Registration of a new Overpayment, or fulfillment of a previously identified Overpayment.
- Change made to Master Promissory Note status.
- A loan was discharged or no longer in discharge status.
- Student has exceeded subsidized and combined loan limits.

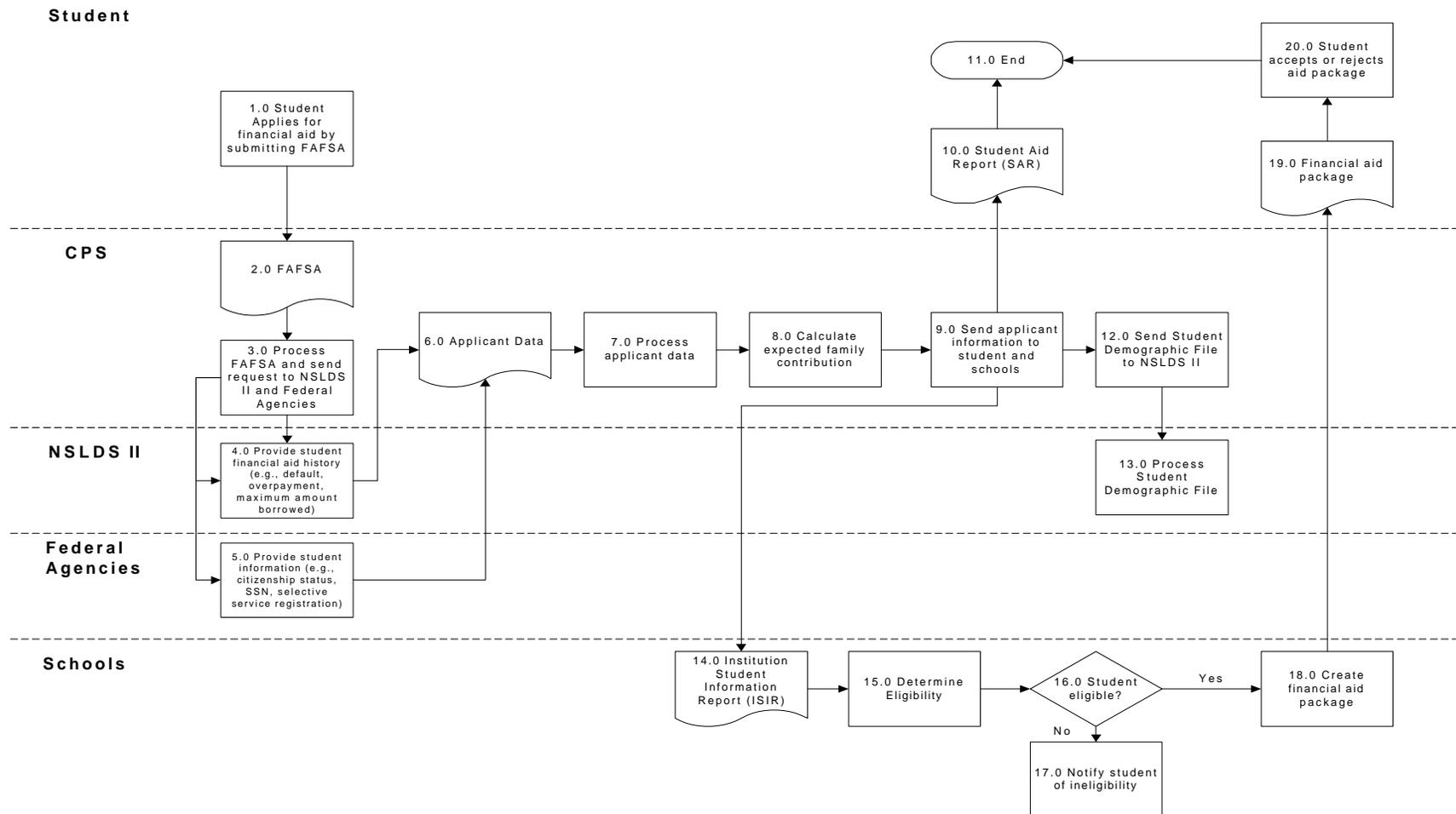
2.2 Integration Points Across Modernization

Future releases of NSLDS II, beyond Release 1, will coordinate with other FSA Modernization efforts regarding the following points of integration concerning Student Aid Eligibility:

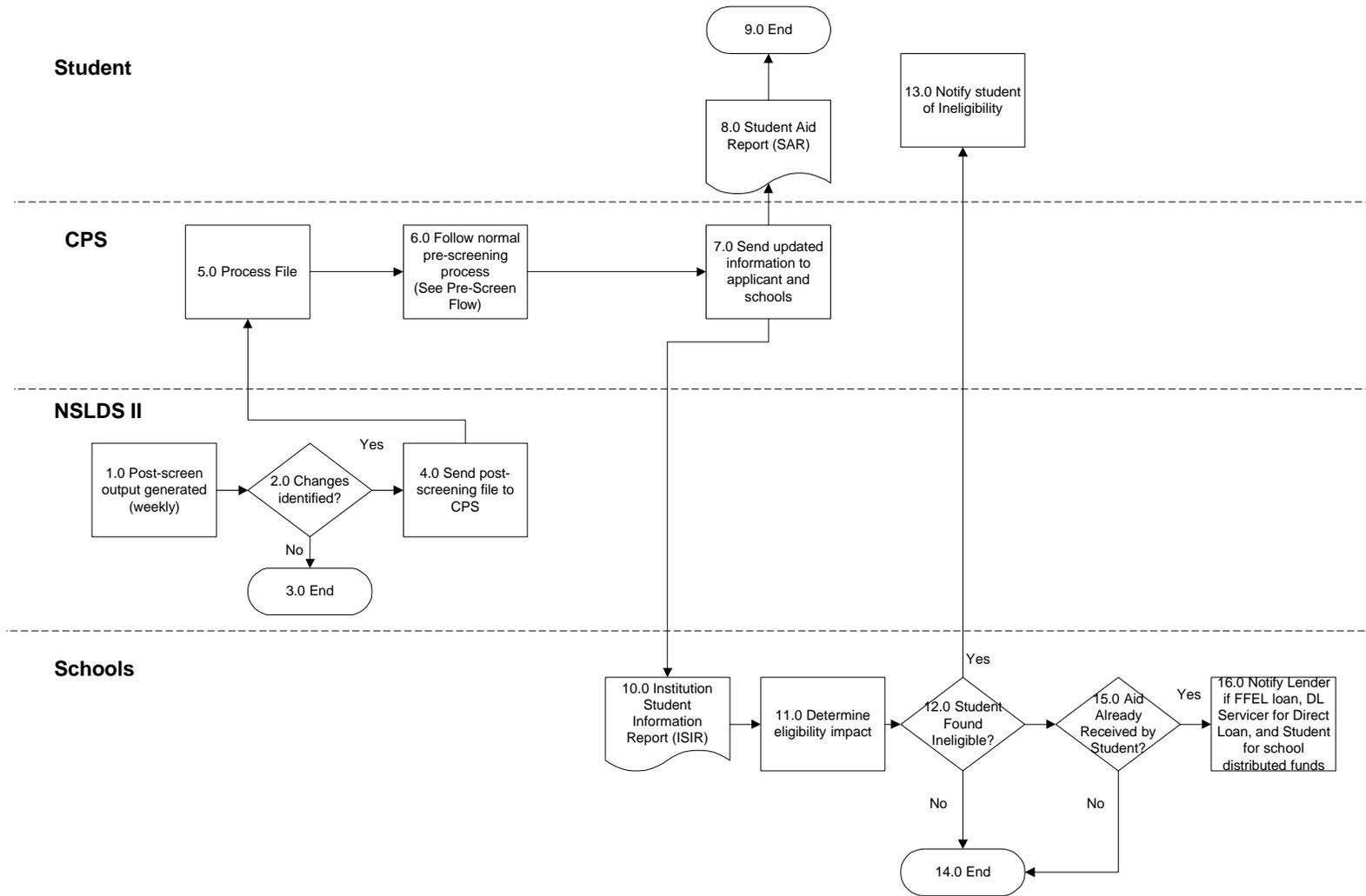
- Aid Application Reengineering (CPS and FAFSA on the Web Reengineering) may refine or alter the Prescreening and/or Postscreening process.
- eCampus Based enhancements may alter the data collected and/or how data is used to determine eligibility.

2.2 Logical Workflow – Student Aid Eligibility

2.2.1 Pre-Screening



2.2.2 Post-Screening



3 Financial Aid History

NSLDS II functions as the main repository for all Title IV financial aid information. Authorized users of the system (students, financial aid professionals, etc.) can access individual student financial aid data, and financial data by other demographic areas including school, loan/grant program type.

A key consideration in designing NSLDS II is the desire to improve FSA's overall effectiveness in maintaining and providing financial aid history over time. Developing an effective repository for financial aid data is a critical component of many other NSLDS II functional areas (e.g., Student Aid Eligibility, Enrollment Tracking, etc.). An important consideration in the new NSLDS II design effort is to improve the data access capabilities of the system. The intent is to organize the data within NSLDS II in such a way as to allow users to easily access detailed financial aid information. Search capabilities will also be developed to enhance a users ability to query and identify useful financial aid data.

The main tasks associated with this functional area are:

- Financial Aid History (Financial Aid Transcript). The Financial Aid History contains all Title IV financial aid history for a particular student.
- Aid Overpayment Process. The Aid Overpayment Process involves school disbursement of Pell Grant, Federal Supplemental Educational Opportunity Grant (FSEOG), and Perkins Loan funds to a student who subsequently is no longer eligible for some portion of the distributed funds and is responsible for repayment.

3.1 Logical Workflow Summary

Financial Aid History

Authorized school and FSA representatives can request financial Aid History information. Uses of the information include confirming student eligibility, student exit counseling by school financial aid representatives and others. Each Financial Aid History for a particular student contains by loan the following data elements:

- Loan Status and Status Date
- Enrollment Period Begin and End Dates
- Original Loan Amount
- Outstanding Principle Balance and Date
- Student Academic Level
- Guaranty Agency Information
- School Information
- Contact Information
- Overpayment Information

To obtain Financial Aid History for a particular student, a school financial aid representative has several options. The first option is to send a batch request through SAIG to NSLDS II. The request will be fulfilled by NSLDS II and a results file will be sent back to the school for review. Another option to request/view Financial Aid History is for a school financial aid representative is through the NSLDS FAP site. The online screens allow a user to view a student's or group of student's histories online. Another option to the online user is to make a batch request online instead of viewing the data on the website. If a batch request is made online, the request is fulfilled by NSLDS II and the results file is sent to the requesting school through SAIG.

If a student wants to view their own personal financial aid history, they can use the Student Access Financial Aid Review (SAFAR) website. This online student access functionality could be reviewed in future iterations of the CRM4FSA initiative.

Aid Overpayments

A school initiates the Aid Overpayment process when a Pell Grant, FSEOG, and/or Perkins Loan have been disbursed to a student but that student is no longer eligible for the disbursed amount. Students are responsible for paying back any disbursed funds beyond current eligibility limits. A student with an outstanding Overpayment can be ineligible for additional Title IV assistance until the overpayment is repaid or another arrangement is made.

To log an overpayment, a school representative can either access the NSLDS FAP website and register the overpayment for a particular grant/loan for a particular student, or the overpayment can be included in the normal monthly file submission process from the school to NSLDS II. Overpayments are given three statuses:

- Overpayment – This status indicates that the overpayment is active and has not been paid off, and repayment arrangements approved by the school have not been implemented.
- Satisfactory Arrangement Made – This status indicates that the student still owes the overpayment amount, but that a repayment arrangement has been made with the school. As long as the student continues to abide by the agreed upon repayment schedule, they will be able to receive additional Title IV aid.
- Repaid – This status indicates that a student has fully repaid the overpayment. School representatives should update the overpayment as soon as the overpayment has been paid. Once in the Repaid status, a student is eligible for additional Title IV aid.

If a school is unable to obtain a full or partial payment of the overpayment, the overpayment can be transferred to FSA's Debt Collection System (DCS) for collection. If an overpayment is transferred, the Source should be changed to Transfer through the FAP site. Once the overpayment is being serviced by DCS, a DCS representative will change the Source to EDR. If the debt is collected by DCS, the Status should be changed to Repaid and sent to NSLDS II in the normal daily feed from DCS to NSLDS II. There is also a paper process that accompanies overpayment subrogation to DCS.

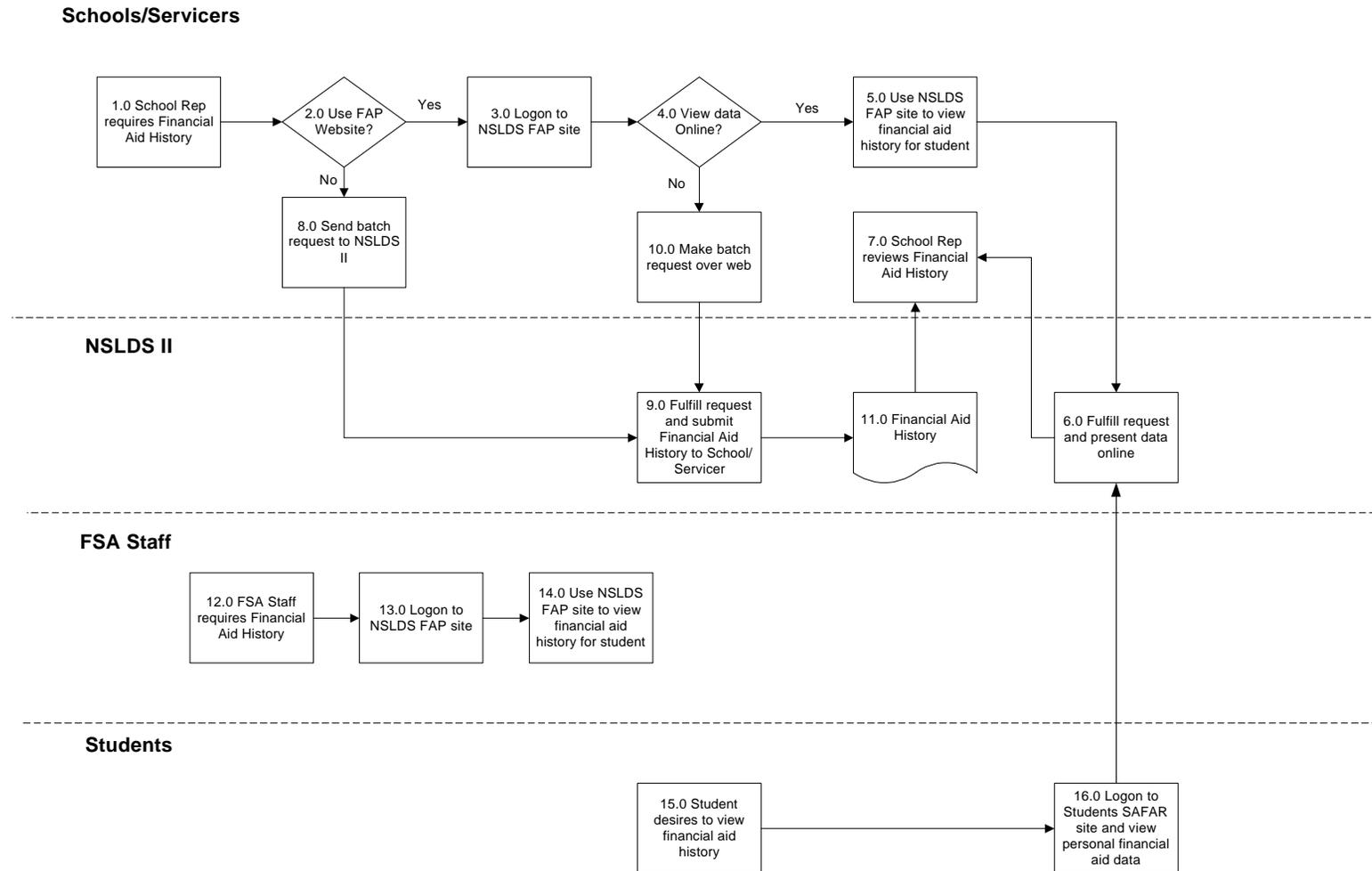
3.2 Integration Points Across Modernization

Future releases of NSLDS II, beyond Release 1, will coordinate with other FSA Modernization efforts regarding the following points of integration concerning Financial Aid History:

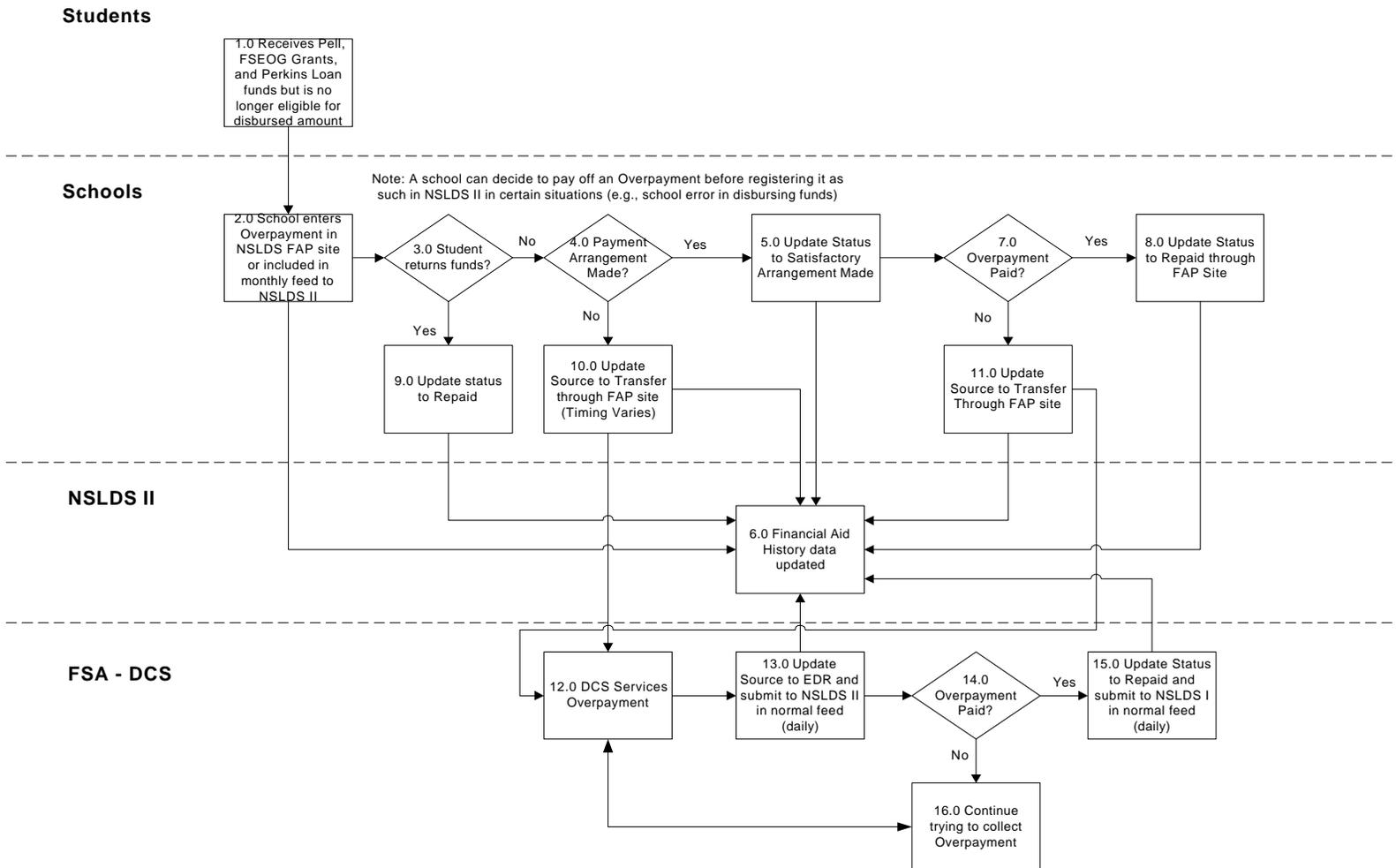
- Access to data through the NSLDS FAP and NSLDS Student Access Web Sites may be altered as a result of the evolution of the CRM4FSA initiative. As access to data is incorporated into CRM4FSA, functions within the NSLDS FAP and NSLDS Student Access Web Sites may be retired or altered to achieve support and operational efficiencies. Access to this data should not be denied to users to achieve this efficiency.
- Aid Overpayment processing and the update of NSLDS II data related to debt serviced by DCS should be examined as the reengineering of this functionality is performed as part of the Common Servicing for Borrowers (CSfB) initiative.

3.2 Logical Workflow – Financial Aid History

3.2.1 Financial Aid History (FAH)



3.2.2 Aid Overpayment



4 Student Transfer Monitoring

The Student Transfer Monitoring process involves monitoring the financial aid history of students transferring from one school to another during the same academic year. The school receiving the transfer student initiates the monitoring process on the transfer student. This student is then put on a list within NSLDS II to monitor changes in the student's financial history that could affect their current eligibility for Title IV aid. When changes are identified by NSLDS II for a particular student on the transfer monitoring list, the requesting school will be notified and provided specific financial aid history details.

The basic steps in the student transfer monitoring process include:

- Inform – The transfer school notifies NSLDS II of a student transfer.
- Monitor – NSLDS II monitors financial aid history changes for a student.
- Alert – NSLDS II alerts the new school of financial aid history changes that could affect a student's eligibility.

Changes/Enhancements

- NSLDS II will support current student transfer monitoring functionality.
- NSLDS II will follow current NSLDS enhancement efforts to standardize the batch transfer monitoring updates sent to schools/servicers with the current Financial Aid Transcript (FAT) file format.
- Continued efforts to promote the use of the NSLDS FAP website for registering and receiving status updates for transfer students will be continued under NSLDS II.

4.1 Logical Workflow Summary

The first step in the Student Transfer Monitoring process is for a school/servicer to set up a transfer monitoring profile through the NSLDS FAP website. When a school is anticipating the transfer of a particular student, they must inform NSLDS II that this student's financial aid history should be monitored. A school representative can forward this information to NSLDS II either by logging into the NSLDS FAP website and initiating the monitoring process, or by sending a request file to NSLDS II through SAIG. This student will then be placed on a monitoring list by NSLDS II. The student's financial aid history is monitored for 90 days following the start of the student's next term. The following high-level criteria is monitored within NSLDS II for all students on the transfer list:

- Award of a new Title IV loan or Pell Grant
- New disbursement being made on a Title IV loan or Pell Grant
- Cancellation of existing Title IV loan or Pell grant, or cancellation of a single disbursement
- Changes in a student's aggregate totals

The monitoring program is run weekly within NSLDS II. If any differences are identified between the data contained within a student's most recent pre-screening findings and current information within NSLDS II, an email (if the school has provided an email address for

notification) is generated and sent to the requesting school notifying them that changes have been identified. Schools can either view monitoring alert information on the NSLDS FAP website, or review a batch file sent from NSLDS II that contains the flagged financial aid information. Update information is always available to the school/servicer through the NSLDS FAP site. Batch file updates are provided only if specifically requested by the school/servicer.

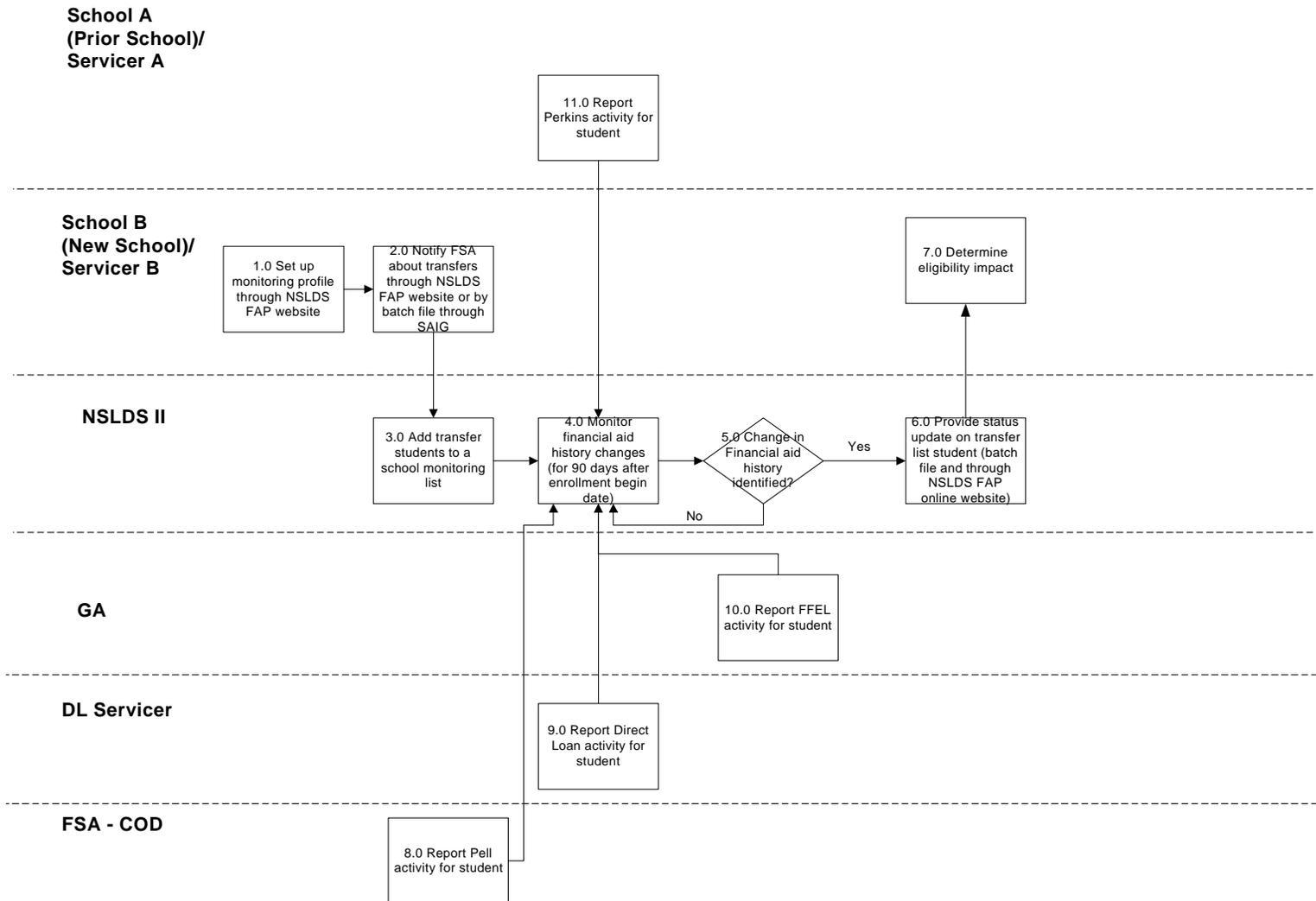
The initial school/servicer (the institution a student is transferring from), GAs and the DL Servicer also play a role in this process by submitting data on the aid recipient as part of their normal data submission process to NSLDS II.

4.2 Integration Points Across Modernization

Future releases of NSLDS II, beyond Release 1, will coordinate with other FSA Modernization efforts regarding the following point of integration concerning Student Transfer Monitoring:

- The processing and creation of Student Transfer Monitoring requests may be altered as a result of the evolution of the CRM4FSA initiative. As more functionality related to student actions are designed and incorporated into CRM4FSA, functions like Transfer Monitoring, currently provided within the NSLDS FAP Web Site, may be retired or altered to achieve support and operational efficiencies. (e.g., Transfer Monitoring alerts may be only one in a series of standardized alerts that schools receive either through SAIG or CRM4FSA) Access to this data and functionality should not be denied to users to achieve this efficiency.

4.2 Logical Workflow – Student Transfer Monitoring



5 Loan Transfer Tracking

Loan transfer tracking involves tracking numerous possible transfers and status changes resulting from a loan being sold or transferred within the FFEL community, transferred to FSA, consolidated through FSA or an outside FFEL Lender, and the transfer of guaranty from one Guaranty Agency (GA) to another. NSLDS II helps support two aspects of loan transfer tracking. One aspect is monitoring loan transfer activity by maintaining the dates of the sale or transfer and names of loan holders. This information helps resolve typical loan identification problems with participants and helps evaluate the administration and billing by lenders and GAs in the FFEL loan program. The other aspect of loan tracking is that NSLDS II will enable borrowers and school financial aid administrators to identify the current loan holder or servicer of their loan.

Phase one of the NSLDS II Reengineering effort will attempt to improve on the internal tracking of loans through the overall database design. To make significant improvements in the ability for NSLDS II to more accurately track a loan throughout its lifecycle, it is critical for improvements to be made in the accuracy and timeliness of data being sent to NSLDS II by the Financial Partner community. Subsequent phases of NSLDS II will focus on reengineering the Financial Partner data feeds to NSLDS II.

5.1 Logical Workflow Summary

The primary loan tracking scenarios to be tracked within NSLDS II include:

- Sale or transfer of FFEL Loan within FFEL Community
- Consolidation of FFEL Loan (s) by FFEL Lender
- Consolidation of FFEL and Direct Loans into Consolidated Direct Loan
- Consolidation of FFEL and Direct Loan into FFEL Loan
- Consolidation of FFEL/Direct Loan and (Debt Collection Service) DCS-Administered Loans into Consolidated Direct Loan
- Transfer of Perkins Loan to DCS
- Defaulted FFEL/Direct Loans Transferred to DCS
- Defaulted Perkins Loans Transferred to DCS
- Transfer of Guaranty from one GA to Another
- Total Permanent Disability Discharge for FFEL Loan
- Total Permanent Disability Discharge for Direct Loan
- Total Permanent Disability Discharge for Perkins Loan
- Total Permanent Disability Discharge for DCS-Administered Loans

Sale or Transfer of FFEL Loan Within FFEL Community

A FFEL loan can be internally transferred within one company or sold to another FFEL lender. A loan transfer involves internal movement of a loan from one branch to another, resulting in the issuance of a new loan identification number. Whenever a loan is sold or transferred, both the original and new loan holder (or servicer) must notify the borrower. This notification is

essential because the loan sale or transfer transaction impacts where the borrower must send future payments and communications. The loan holders involved in this transaction can notify the borrower either jointly or separately, but the notification must occur within 45 days after the sale is legally completed.

The next step in the process is for the original and new loan holder to notify the Guaranty Agency (GA) for that particular loan. Notification should occur within 45 days after the loan sale or transfer date. The GA receiving the loan update from the lender will update loan data in their system. Next, the GA will create a monthly file containing all loan changes logged during that month and submit that to NSLDS II. NSLDS II processes the file and updates any changes identified in the loan data. Once NSLDS II receives the loan transfer update, the borrower and school can identify the new loan holder or servicer of the loan using the Student and Financial Aid Partner websites.

Consolidation of FFEL Loan (s) by FFEL Lender

Another possible scenario resulting in a loan transfer is the consolidation of FFEL loans by a FFEL Lender. In this situation, a borrower requests a consolidation from a FFEL lender consolidator. The FFEL consolidator then validates loan information from the current FFEL lender (s). Once approval for the consolidation has been given, the FFEL consolidator pays off the existing loan (s). The original FFEL lender should then close out the loan. Notifications both from the original lender indicating the sale and closure of the loan and from the consolidator indicating successful loan consolidation are sent to the borrower. The original lender then submits its changes to the GA indicating that the loan has been closed due to consolidation. The FFEL consolidator also submits data to the GA indicating that it is the owner of a new consolidated loan for that student. The GA then submits its monthly file to NSLDS II indicating the closure of the original FFEL loans and the establishment of a new consolidated loan for that borrower.

Consolidation of FFEL and Direct Loans into Consolidated Direct Loan

Another possible scenario resulting in a loan transfer is the consolidation of FFEL and Direct Loans into a Consolidated Direct Loan. In this scenario, a borrower requests a consolidation under the Direct Loan Consolidation program administered by FSA. Direct Loan Consolidation (DLCS) will then verify loan information from the original FFEL lender (s) and from the Direct Loan Servicing System (DLSS). If approved for consolidation, the Borrower will be notified by the DLCS. The DLCS will then initiate a new consolidated loan and pay off the original FFEL loan (s) and Direct Loan (s). The DLCS will then initiate booking the new loan in DLSS. Both the FFEL Lender and Direct Loan program will close the loan and notify the borrower. The FFEL lender follows the normal update process of sending loan changes to the GA. The GA then updates their system and sends an update file to NSLDS II indicating that the loan has been closed due to consolidation. DLSS will be updated to show that the Direct Loan (s) have been closed. DLSS submits its loan updates on a daily basis directly to NSLDS II.

Consolidation of FFEL and Direct Loan into FFEL Loan

Another possible scenario resulting in a loan transfer is the consolidation of FFEL and Direct Loan (s) into a FFEL consolidated loan. This process is similar to the consolidation process outlined above, with the consolidation being performed by a FFEL lender. Updates on loan closures will be made from the GA for FFEL loans and from DLSS for Direct Loans to NSLDS II. The new consolidated loan will be reported to NSLDS II through the normal monthly update file received from the GA.

Consolidation of FFEL/Direct Loan DCS-Administered Loan into Consolidated Direct Loan

Another consolidation scenario involves consolidation of FFEL and Direct Loans (as outlined above) along with the loans administered by DCS. If a DCS-administered loan is consolidated into a Consolidated Direct Loan, DCS will submit a loan update directly to NSLDS II indicating that the loan has been closed due to consolidation. DLSS will include the new consolidated loan in its daily interface with NSLDS II.

Transfer of Perkins Loan to DCS

Another possible scenario resulting in a loan transfer is the transfer of an open Perkins loan to DCS for servicing. In this scenario, a school either closes or opts out of participating in the Perkins Loan program. When this happens, the school transfers the loan to DCS. The school also submits a loan status update to NSLDS II indicating a loan status code of AE in its monthly submission. DCS updates their system to reflect collection on the new loan and submits a loan update to NSLDS II in its normal daily submission indicating that DCS is now collecting on this loan.

Defaulted FFEL/Direct Loans Transferred to DCS

Another possible scenario resulting in a loan transfer is the transfer of defaulted FFEL or Direct Loan to DCS for collection. For a FFEL loan, the GA will submit loan data to DCS and will submit, in its normal monthly feed to NSLDS II, a loan status code of AE for that loan. DCS then updates their system to include the loan transferred from the GA and begins collecting on the loan. DCS includes this loan in its daily file submission to NSLDS II. NSLDS II then is updated, showing that the GA transferred the loan to DCS.

For a defaulted Direct Loan transferred to DCS, a similar process is followed. DLSS will transfer the loan to DCS. DLSS will submit loan data indicating a loan status code of AE for this loan in its normal daily feed to NSLDS II. DCS will update its system and include the loan in its daily feed to NSLDS II

Defaulted Perkins Loans Transferred to DCS

Another type of defaulted loan transfer to DCS is for Perkins loans. In this situation, a school transfers a defaulted loan to DCS for collections. The school will include this loan with a loan status code of AE and submit this data to NSLDS II in its normal monthly submission. Once DCS receives that loan and updates its system, it will submit the loan data to NSLDS II in its normal daily submission to NSLDS II. NSLDS II will then be updated to show that the Perkins loan was transferred to DCS for collections.

Transfer of Guaranty from one GA to Another

Another scenario resulting in a loan status transfer is the transfer of guaranty from one GA to another. In this situation, the current GA transfers the loan guaranty to the new GA. The current GA, in its next file submission to NSLDS II, indicates a loan status of AE. The current GA also includes the transaction in its next Form 200 submission to FSA. The new GA adds the loan to its portfolio, and includes the loan as part of its next monthly submission to NSLDS II. The new GA also includes the transaction in its next Form 2000 submission to FSA. NSLDS II will process the files submitted by both GAs and update the loan information.

Total Permanent Disability – FFEL Loan

NSLDS II will also support loan tracking resulting from a new program being implemented dealing with loan discharges resulting from the borrower being classified as totally and permanently disability. With a FFEL loan, a borrower applies for a disability discharge and the lender makes the initial determination. If the lender determines that the borrower's case for total permanent disability does appear to be valid, the case is sent to the GA for review. If the lender denies the request, the loan is returned to its original status and the borrower is expected to pay off the loan. The GA then reviews the request and makes a determination on granting total permanent disability status and discharging the loan. If the GA denies the request, the loan again is returned to its original status. If the GA agrees with the discharge request from the lender, the request is sent to a new Total Permanent Disability (TPD) system being developed by FSA (AFSA is the designated contractor). If the request is denied by FSA, the loan will be serviced by a new system currently in development (AFSA is the designated contractor) and is not transferred back to the original lender and GA. If the request is approved, a conditional approval is given awaiting final discharge three years after the physician certified the borrower as being totally and permanently disabled. If a conditional discharge is granted, the TPD system will update the GA and send an update to NSLDS II. After completion of the allotted conditional discharge period, a final discharge determination is made by FSA. If a final discharge is not granted, the loan will be serviced through a new system being developed by FSA. If final discharge is granted, updates will be sent to the GA and NSLDS II by the TPD system.

Total Permanent Disability – Direct Loan

The loan tracking components in the total permanent disability discharge request process for Direct Loans is similar to the process for a FFEL loan with several distinctions. The initial determination of eligibility is made by FSA – Direct Loans. If initial approval is given, the request is sent to the TPD system for further FSA review. If the conditional discharge request is denied, the loan is sent back to Direct Loans for servicing. After conditional discharge is granted or denied, updates are sent to Direct Loans and NSLDS II. At the end of the conditional discharge period, a decision on final discharge is granted. If final discharge is denied, the loan is sent back to Direct Loans for servicing. If the request is approved, the loan is discharged and Direct Loans and NSLDS II are updated by TPD. NSLDS II will be updated to indicate that the loan has been discharged.

Total Permanent Disability – Perkins

Another total permanent disability loan tracking scenario involves Perkins Loans. In this scenario, the school performs the initial determination of eligibility. If the school denies the request, the loan is returned to its original status. If the request is approved, the case is sent to FSA-TPD for further review. The same process of conditional approval is performed through TPD. If denied, the loan is not sent back to the school but will be serviced through a new system being developed by FSA. If approved, the conditional discharge period begins. The TPD system updates the school and NSLDS II with the loan's conditional discharge status. After the conditional discharge period is complete, a final decision on discharging the loan is made. If denied, the loan will be serviced through the new system which is being developed by FSA. If approved, the loan is permanently discharged. The school and NSLDS II will be updated to reflect the discharge decision.

Total Permanent Disability – DCS Administered Loans

Another permanent disability loan tracking scenario involves loans being administered by DCS. The process mirrors that for Direct Loans in that if FSA rejects the conditional and final discharge determinations, the loan is transferred back to DCS for collection. In each case, the TPD system will update DCS and NSLDS II on the conditional and final loan discharge status determinations.

5.2 Integration Points Across Modernization

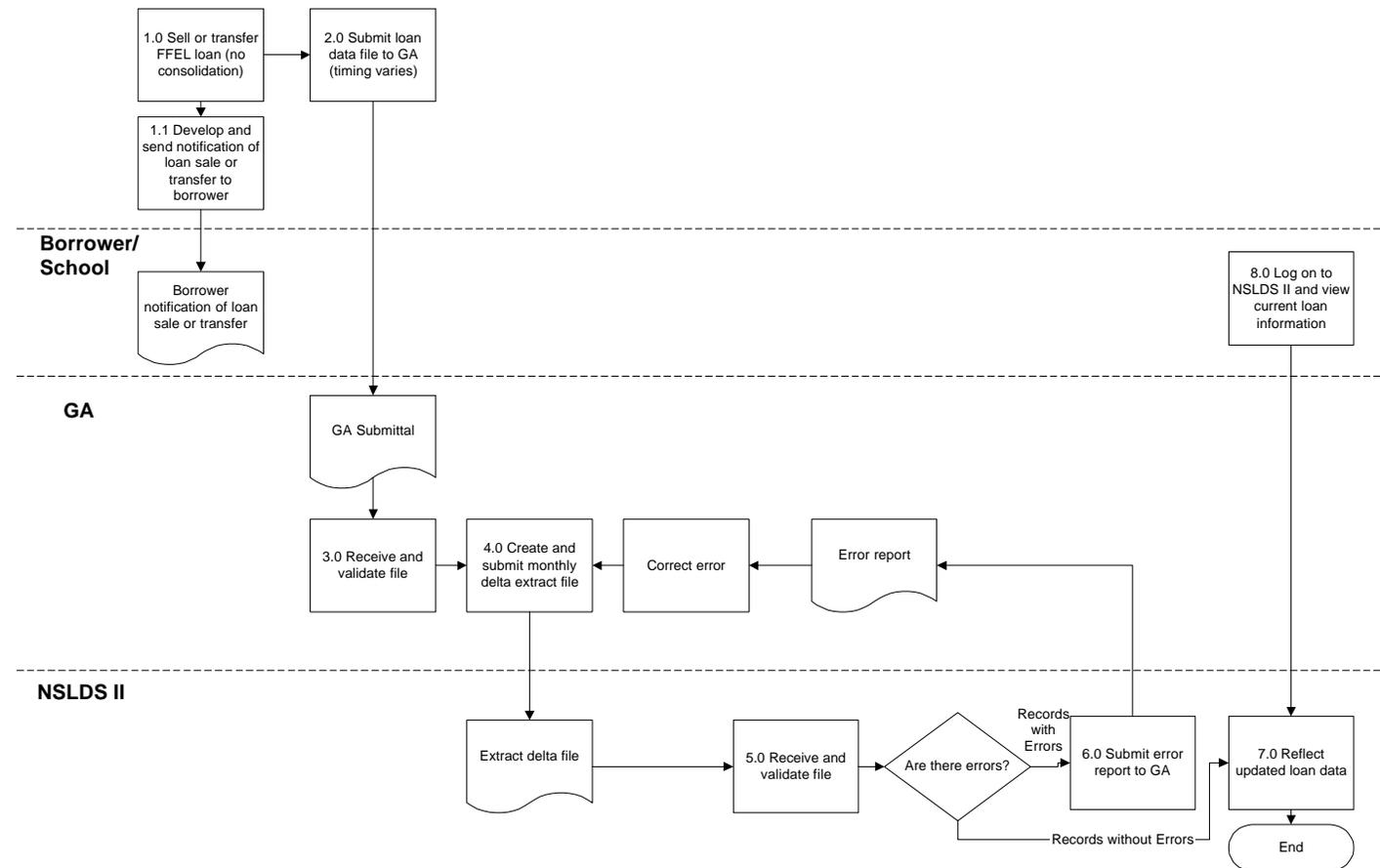
Future releases of NSLDS II, beyond Release 1, will coordinate with other FSA Modernization efforts regarding the following point of integration concerning Loan Transfer Tracking:

- This functional area has many dependencies on the update and tracking of NSLDS II data related to defaulted loans serviced by DCS and consolidated loans serviced by DLCS and, ultimately DLSS. Each of these cases should be examined in more detail as debt-servicing functionality is reengineered through the Common Servicing for Borrowers (CSfB) initiative.

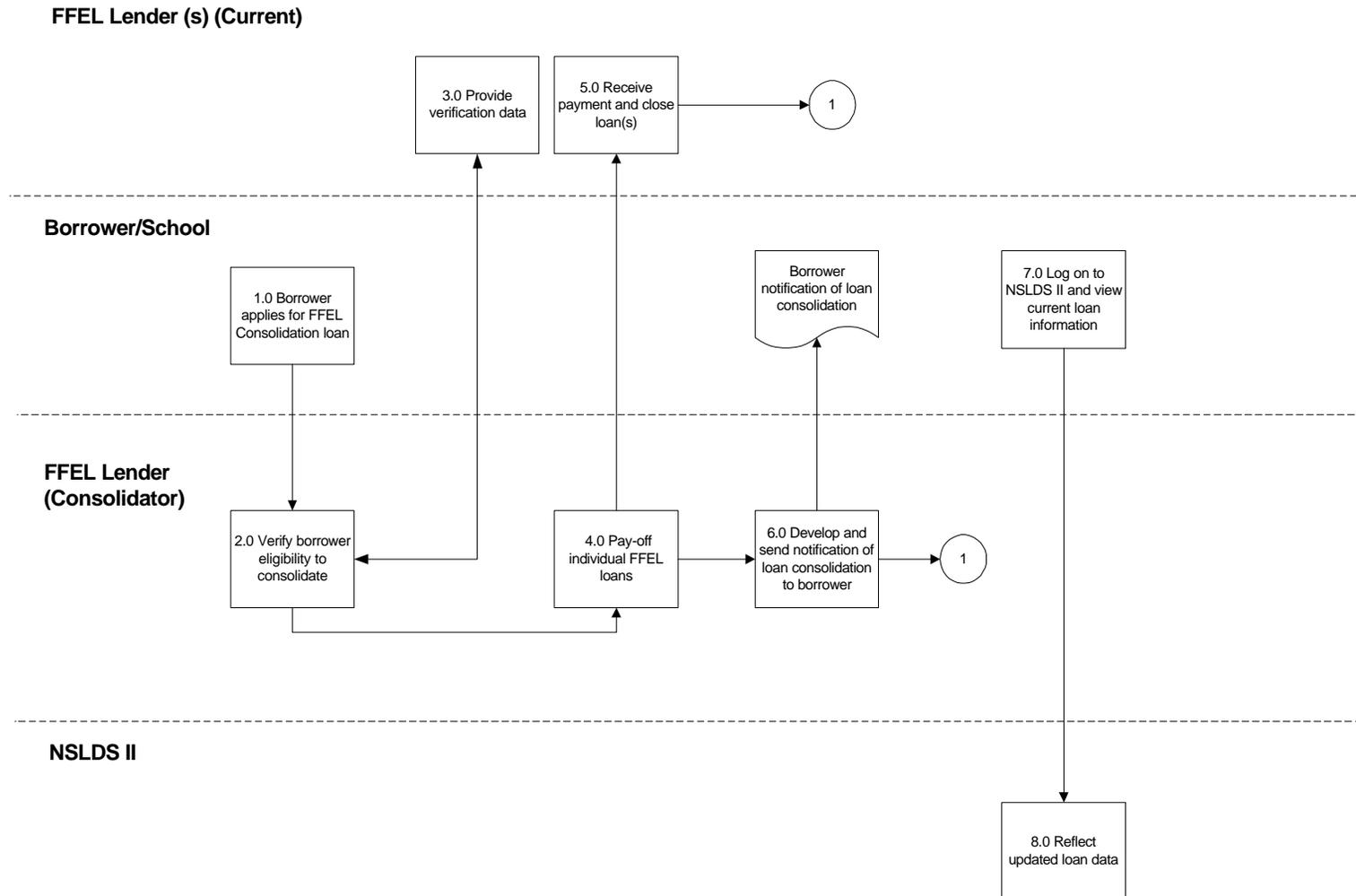
5.2 Logical Workflow – Loan Transfer Tracking

5.2.1 Sale or Transfer of FFEL Loan Within FFEL Community

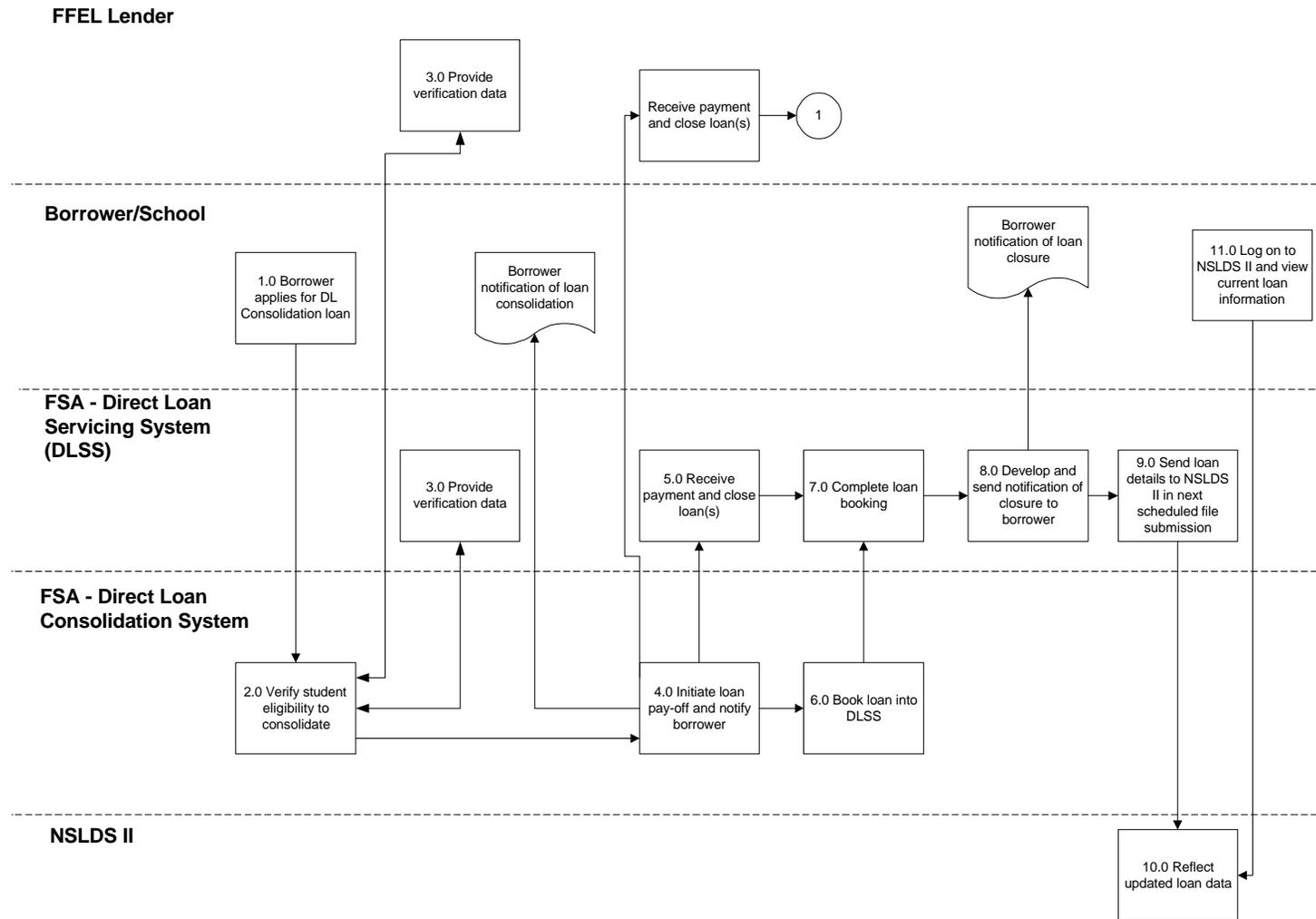
FFEL Lender



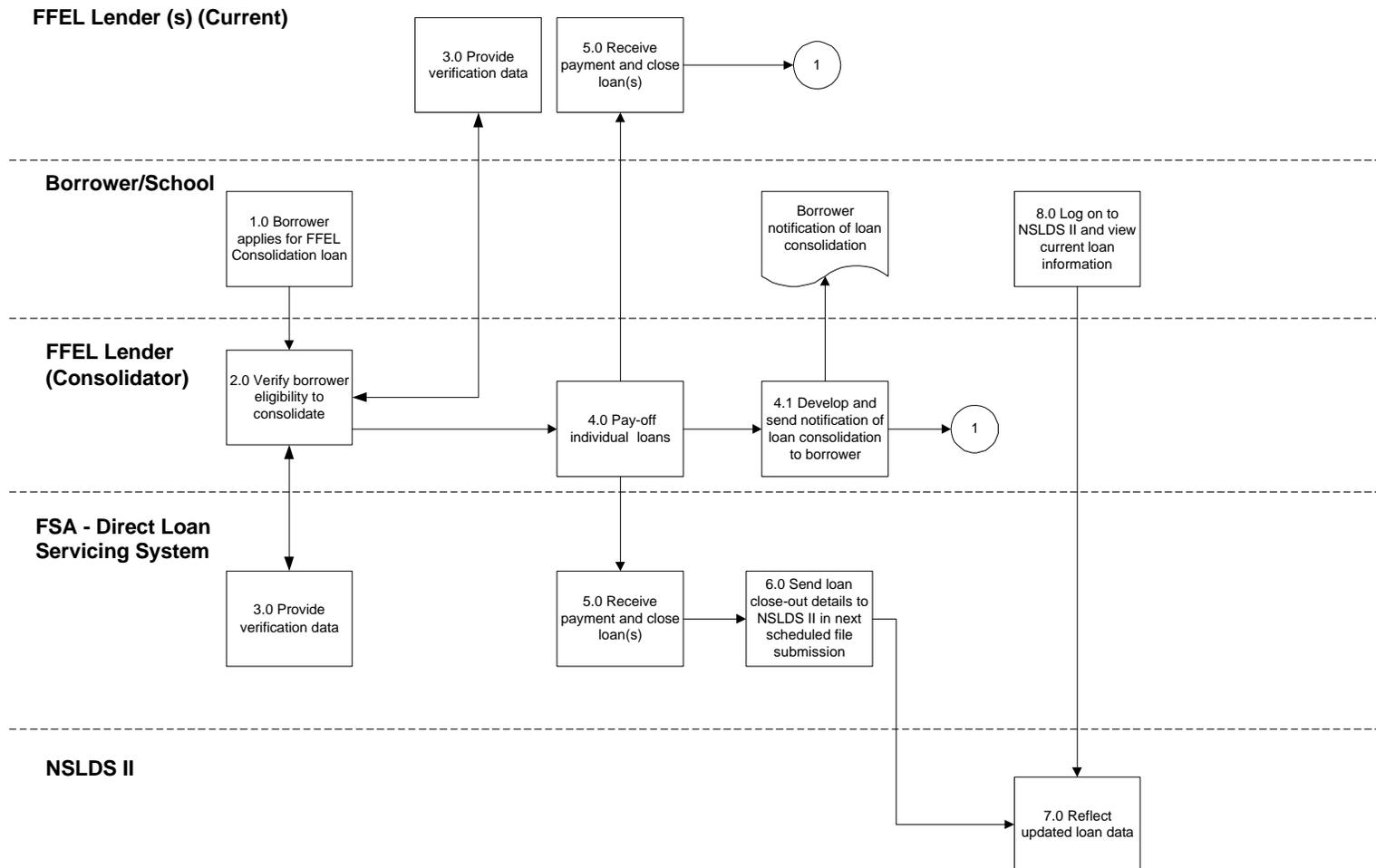
5.2.2 Consolidation of FFEL Loan(s) by FFEL Lender



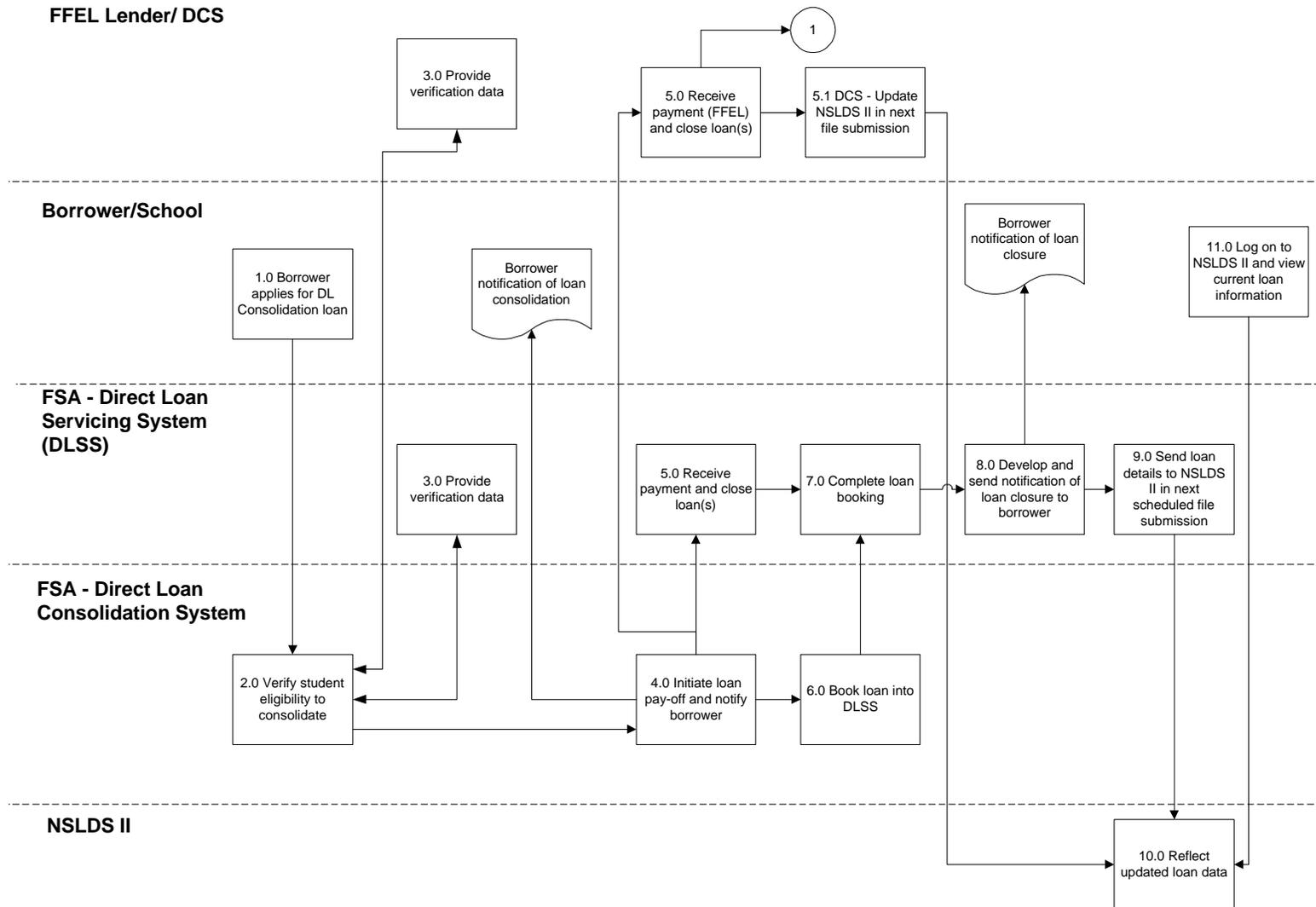
5.2.3 Consolidation of FFEL and Direct Loans into Consolidated Direct Loan



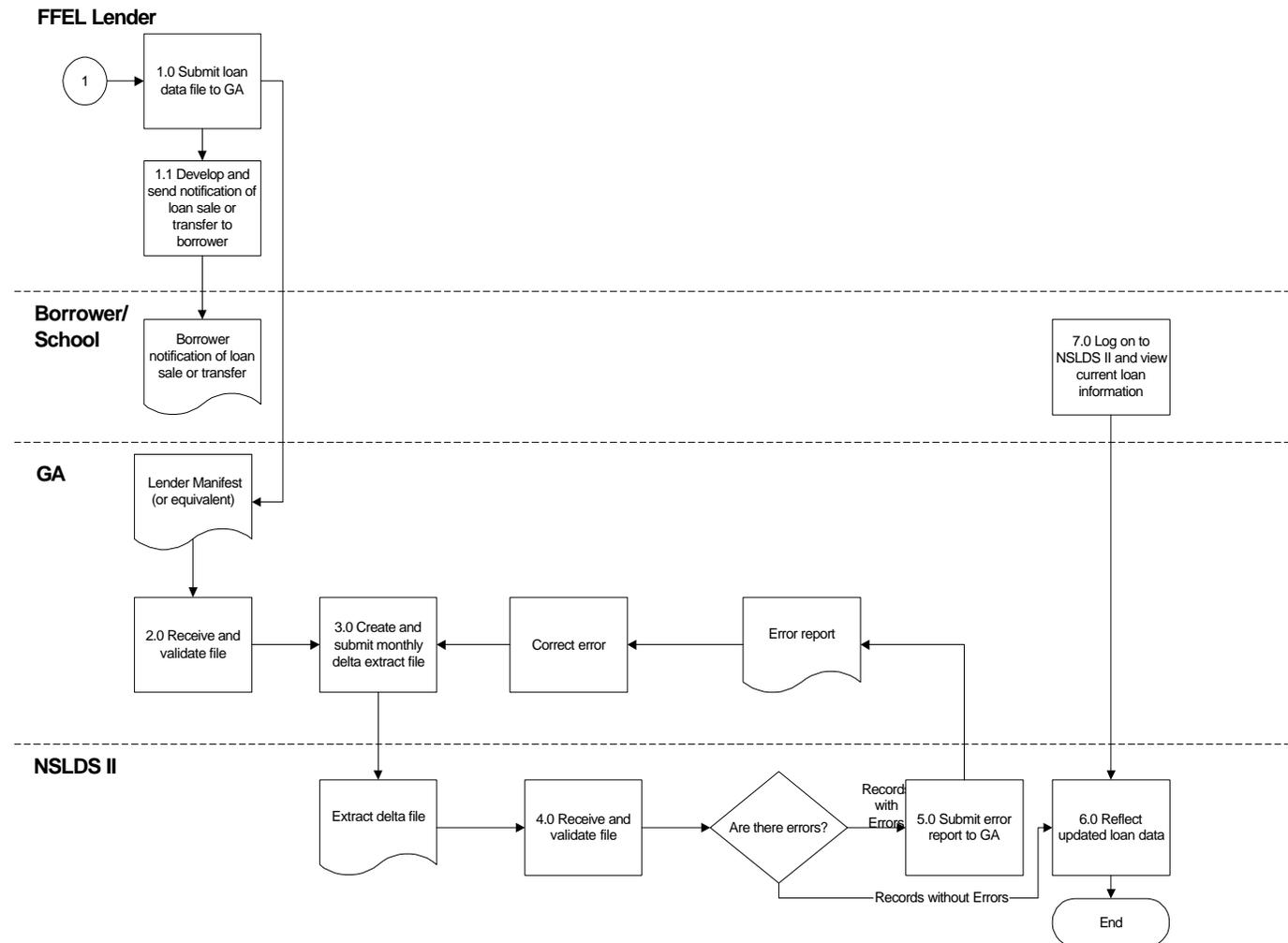
5.2.4 Consolidation of FFEL and Direct Loan into FFEL Loan



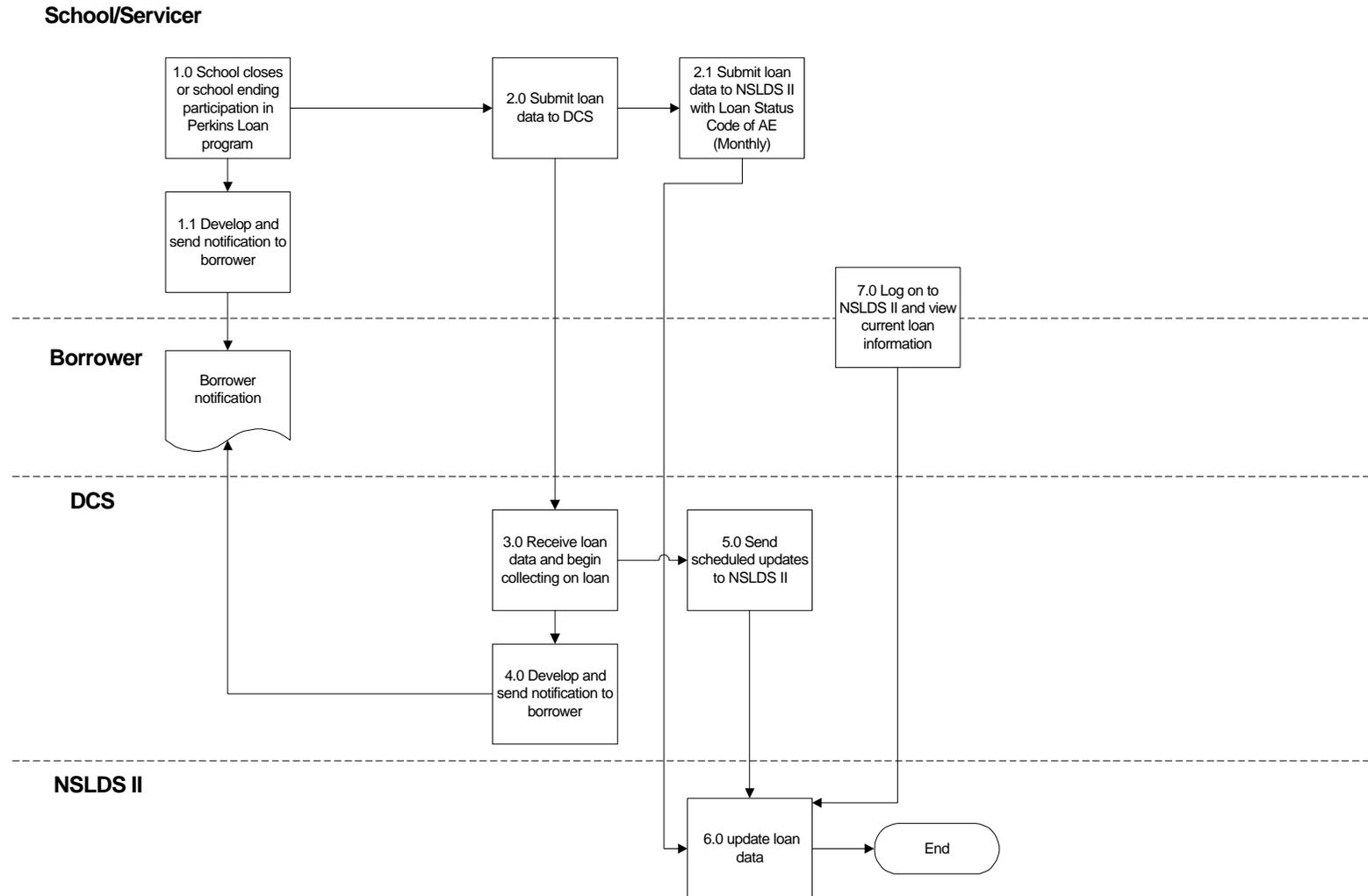
5.2.5 Consolidation of FFEL/Direct Loan and DCS-Administered Loan into Consolidated DL



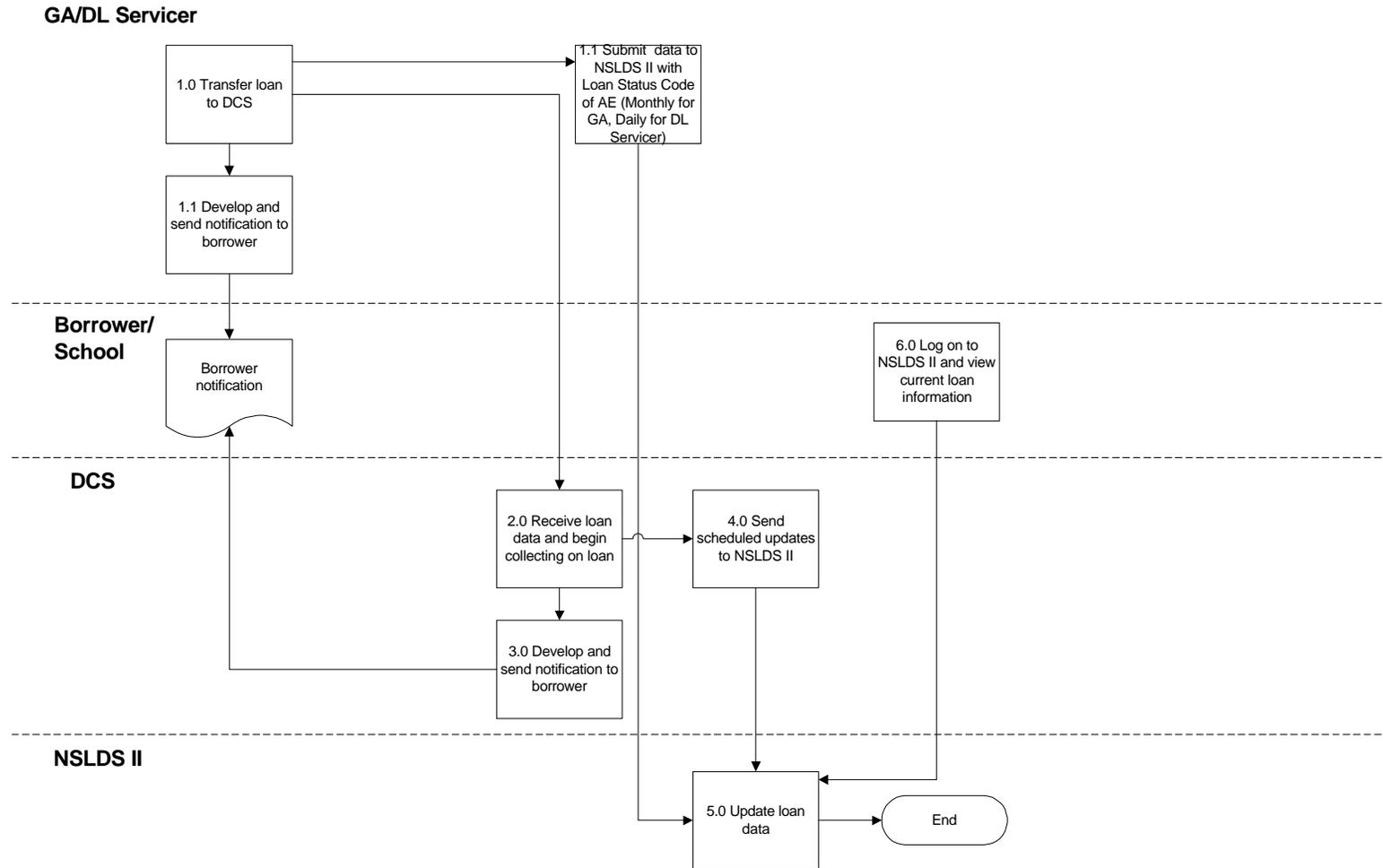
5.2.6 Consolidation of FFEL and Direct Loans into Consolidated Direct Loan, Direct Loan and FFEL into FFEL, and FFEL into FFEL Consolidation (continued)



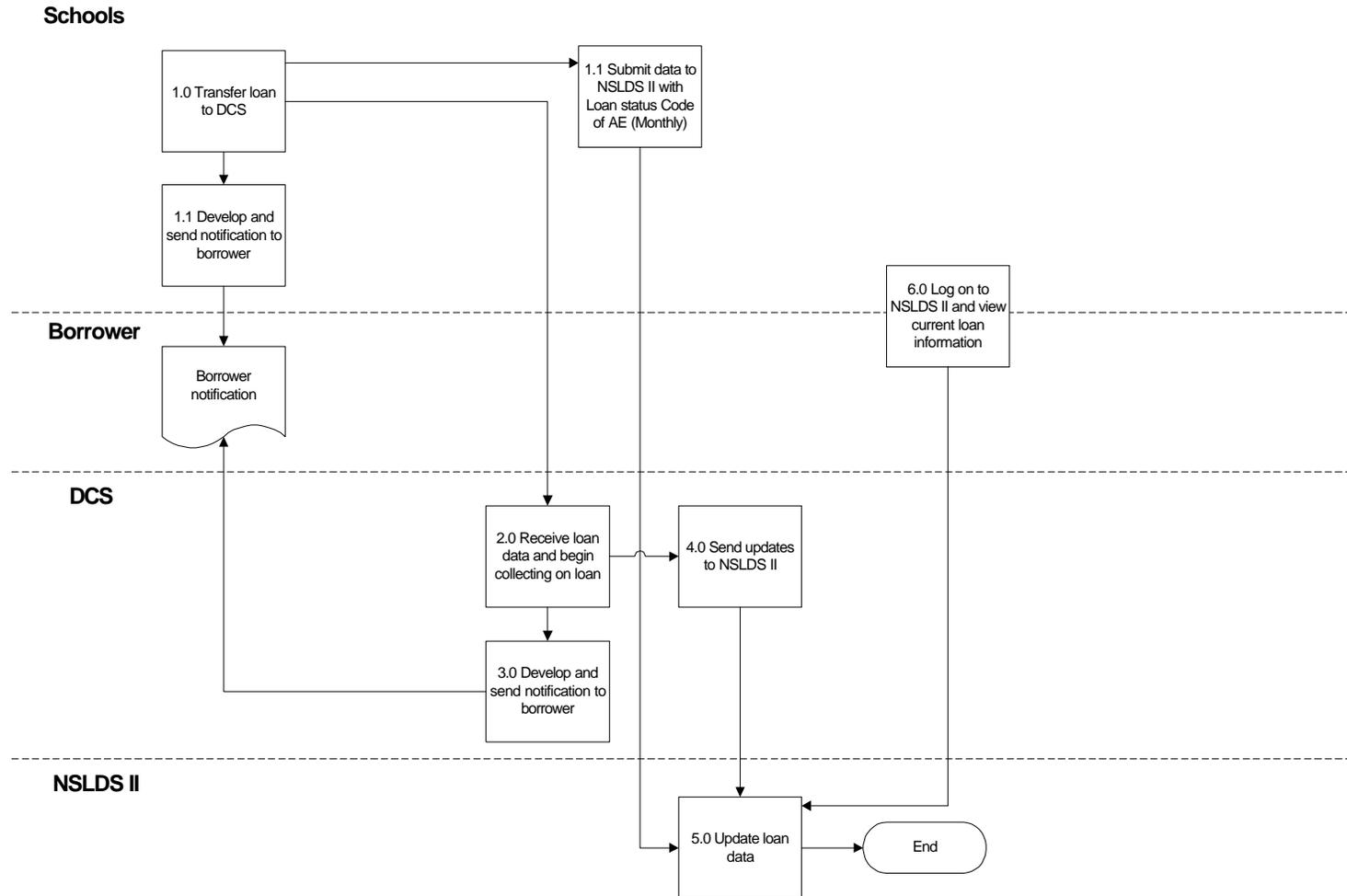
5.2.7 Transfer of Perkins Loan to Debt Collection (DCS)



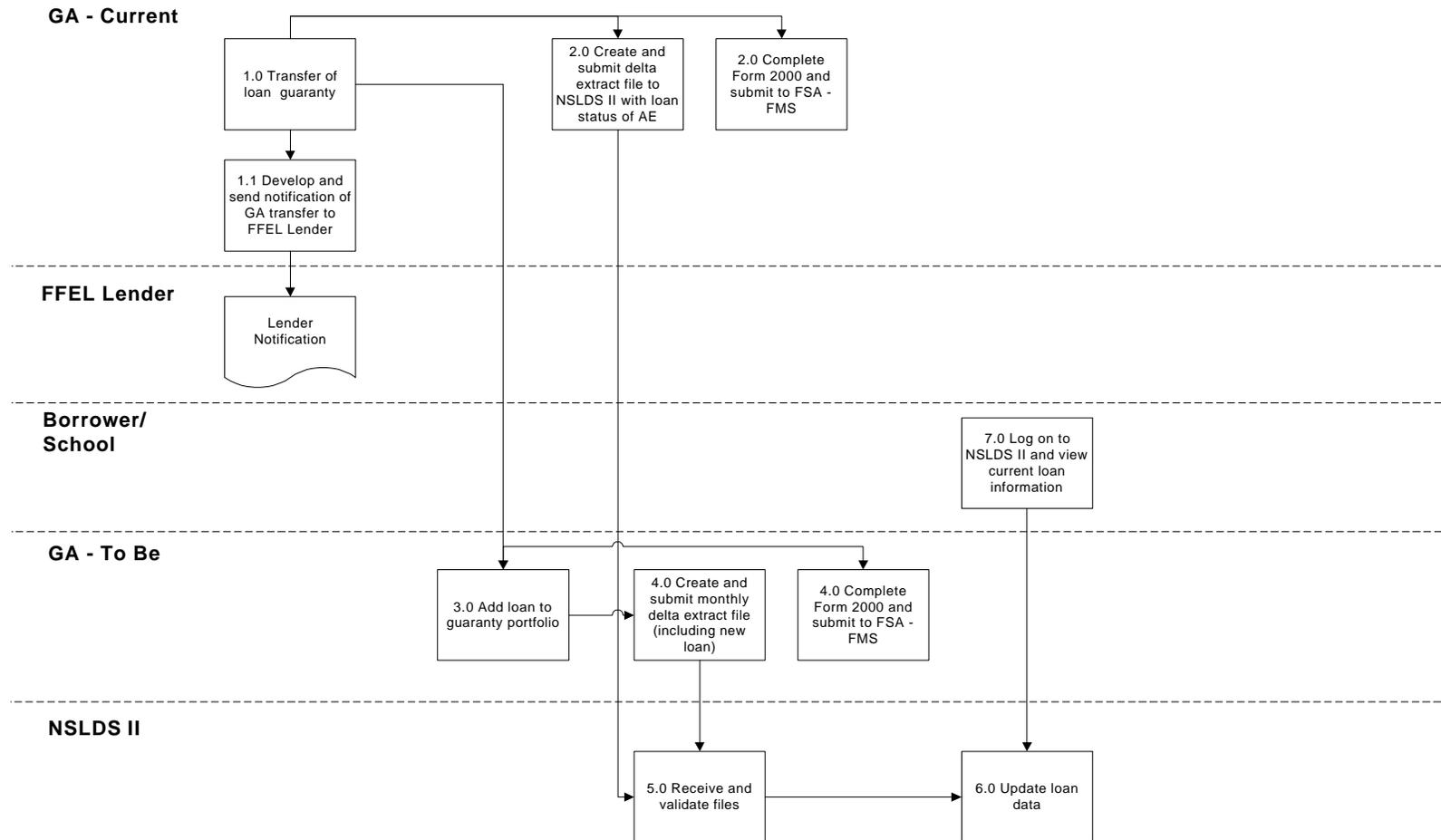
5.2.8 Defaulted FFEL/Direct Loans Transferred to DCS



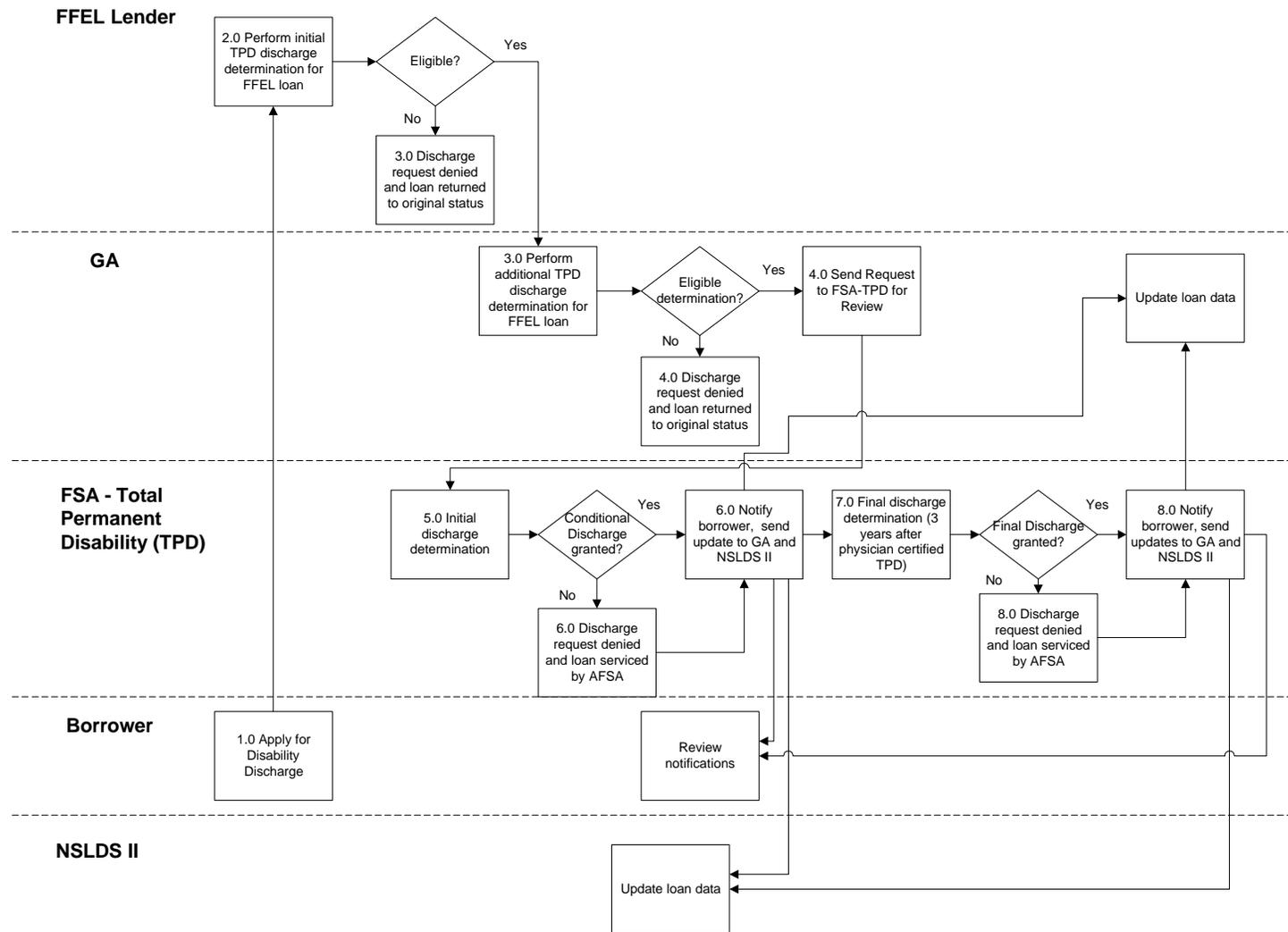
5.2.9 Defaulted Perkins Loans Transferred to DCS



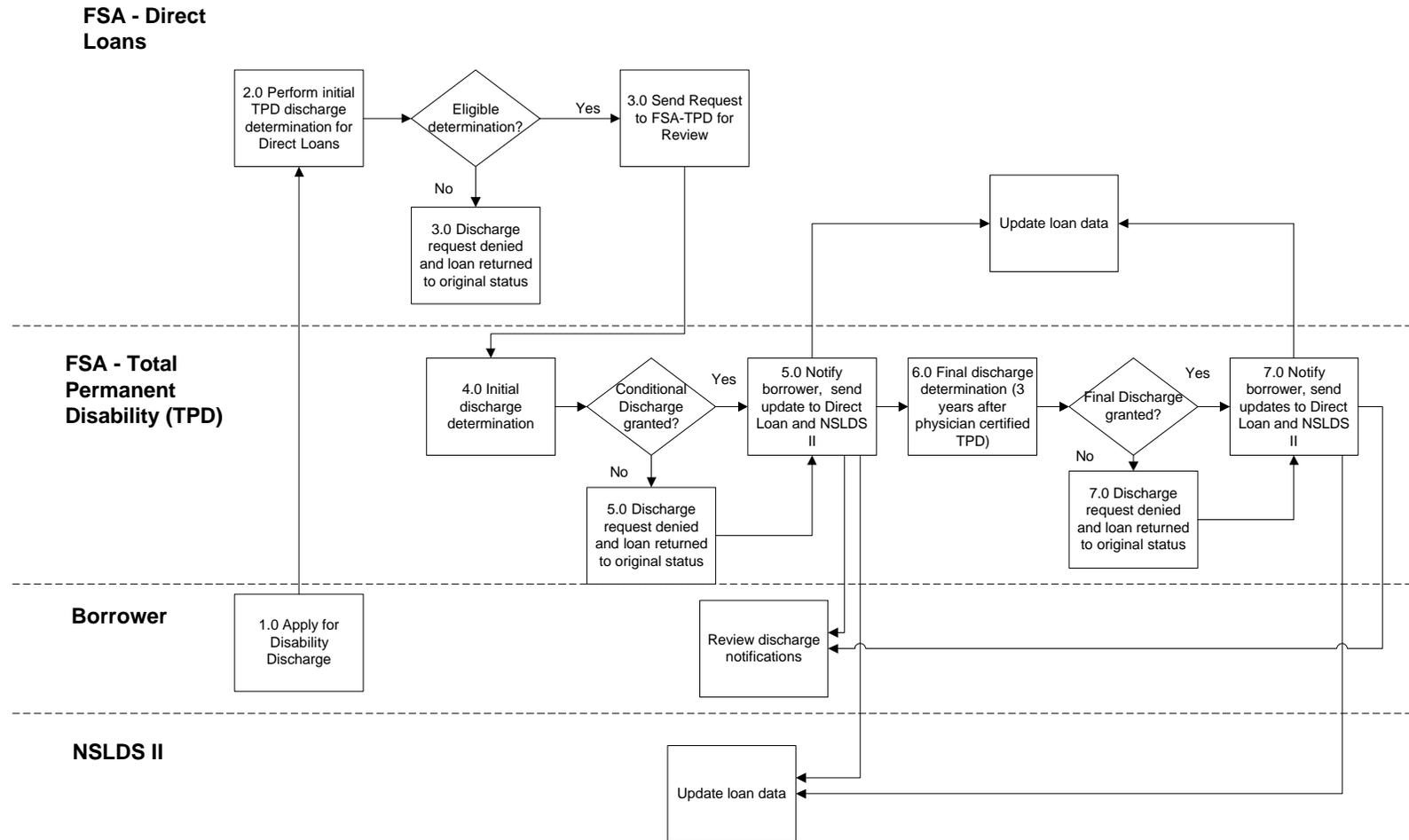
5.2.10 Transfer of Guaranty from One GA to Another



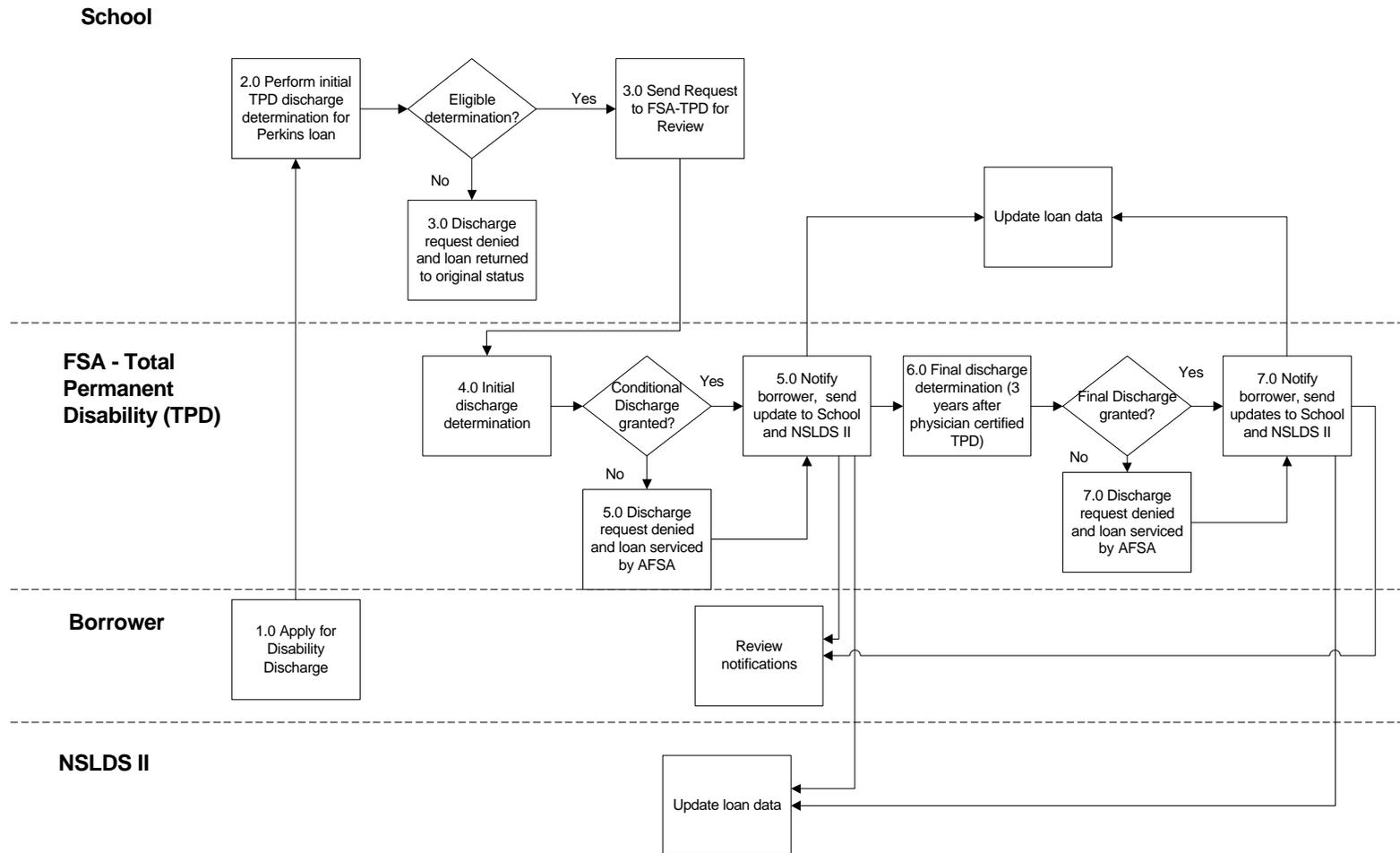
5.2.11 Total Permanent Disability – FFEL Loan



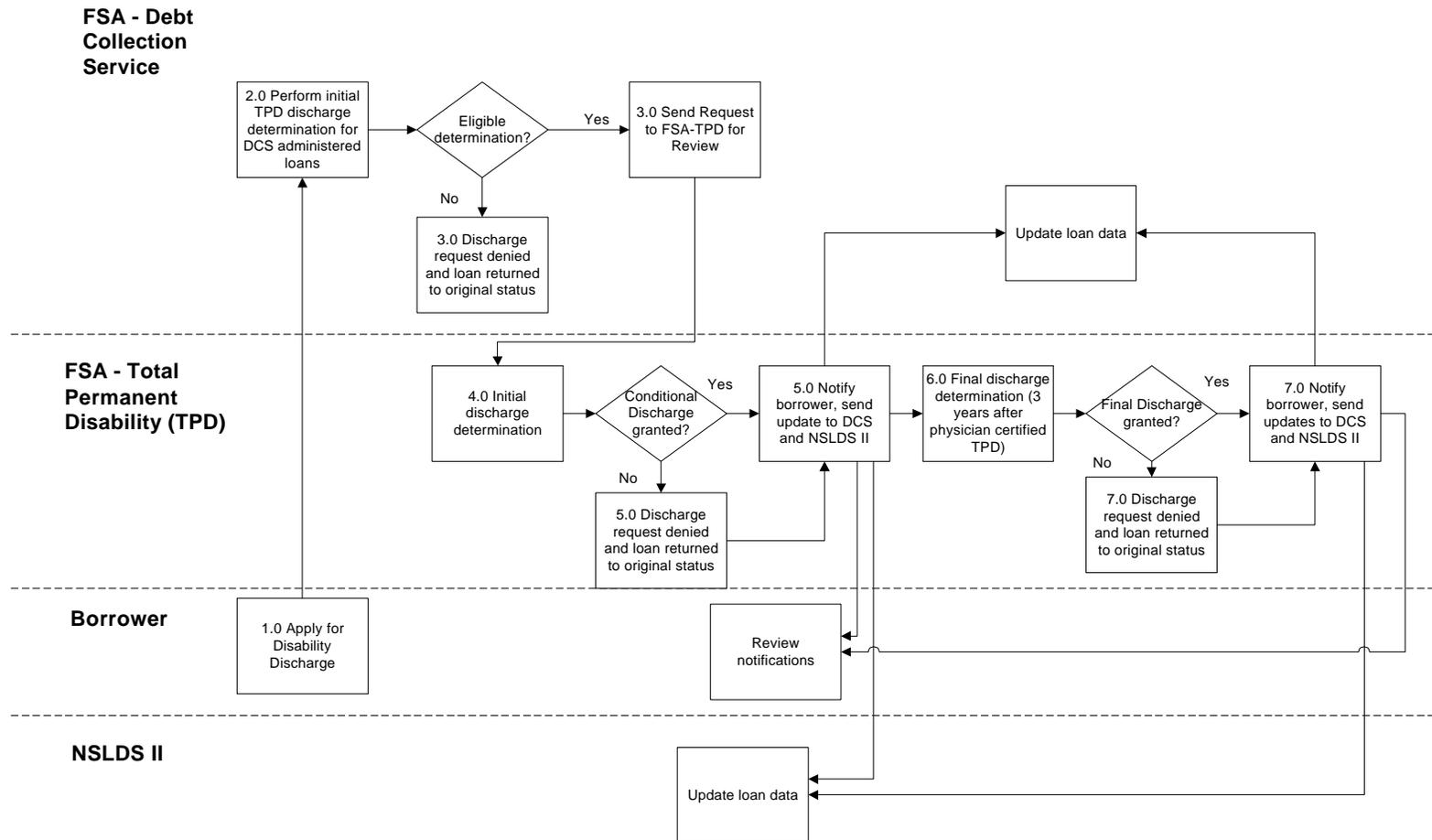
5.2.12 Total Permanent Disability – Direct Loan



5.2.13 Total Permanent Disability – Perkins



5.2.14 Total Permanent Disability – DCS Administered Loans



6 FP Payment/Payment Reasonability

ED makes the following three major types of payments to its Title IV business partners:

Reinsurance Payments to Guaranty Agencies

Reinsurance payments are distributed to the GA's once a loan is defaulted and the GA's have paid a reinsurance claim to the lender. This compensation is monthly and is based on the submission of an ED Form 2000 to FMS by the GA's. Current regulations and direction from OMB require that detailed level data be collected and retained to substantiate these payments. The detailed loan data sent by the GA's to NSLDS is used to perform this substantiation.

Issuance and Maintenance Fee Payments to Guaranty Agencies

ED pays two types of quarterly maintenance fees to the GA's. These fees are 1) Loan Processing and Issuance Fees (LPIF) and 2) Account Maintenance Fees (AMF). LPIF is calculated as the amount of disbursements for newly guaranteed loans held by the GA for the current quarter * 0.65 percent. AMF is calculated as the original principal balance of open loans (i.e., the open loan guarantee amount) * 0.10 percent then divided by 4 to arrive at the quarterly payment. Both current regulations and direction from OMB require that detailed level data be collected and retained to substantiate these payments. FSA calculates these fees based on the detailed records that the GA's currently submit to NSLDS each month.

Interest Subsidy and Special Allowance Payments to Lenders

ED pays lenders Interest subsidy and Special Allowance payments in accordance with federal credit accounting regulations. This quarterly compensation is based on the submission of the ED Form 799 to FMS by the lenders. The detailed loan data to substantiate these payments is received monthly from GA's and stored in NSLDS.

Open Issue: Need to confirm the scope of payment reasonability that will be performed for Form 2000 and Form 799 with ED.

6.1 Logical Workflow Summary

Issue and Maintenance Fees

Each GA receives data from the lenders and servicers for whom they guaranty loans, on at least a quarterly basis. The GA is responsible for validating the data both for format and content. This validation process varies from GA to GA. Once on the GA system, the Data Prep software extracts data from the GAs source system(s) and executes a set of edits once a month. Data Prep slims down the monthly extract file to include only those records that changed since the last data submission. The extracts and edits performed on the GA system by Data Prep are common to all GAs. GAs also report on their own portfolio of loans to NSLDS II. This portfolio is comprised of loans on which the GA has paid a claim to the original lender and the GA is now the holder and servicer of the loan. Existing monthly data feeds to NSLDS II represent a combination of these two types of detail information for loans that have changed in the GAs system since the latest monthly submission. NSLDS II uses this data to provide quarterly

snapshots to FMS to calculate LPIF payments and annual snapshots to calculate AMF payments. Each payment made by FMS to the GA is on a quarterly basis. NSLDS II also provides back-up data for the AMF and LPIF payments to each GA to use in its own internal reconciliation process.

LPIF

NSLDS II transmits a file to FMS containing a quarterly snapshot of data, which is used as the basis for the LPIF calculation. It contains the amount on which a pre-determined rate for LPIF is applied to arrive at the LPIF fee amount. The file is validated both at the file-level and at the record level. If there is an error, the file is rejected. The information from the file is loaded into a staging table (if there are no errors) and the fee amount is then calculated. Unlike AMF, a spending cap is not applicable for LPIF.

AMF

NSLDS II transmits a file to FMS containing an annual snapshot of data, which is used as the basis for the AMF calculation. The AMF file is transmitted once every year at the end of the fourth quarter. It contains the amount on which a pre-determined rate for AMF is applied to arrive at the AMF fee amount. The file is validated both at the file-level and at the record level. If there is an error, the file is rejected. The information from the file is loaded into a staging table (if there are no errors) and the fee amount is then calculated.

The AMF fee is paid every quarter even though the file is received only once a year. The first three quarterly payments are estimated based on the figures received from NSLDS II for the previous year. The payment for the fourth quarter is the difference between this actual amount, which is calculated after the file is received, and the total of the estimated payments for the first three quarters.

Example: For the current year, NSLDS II reports the outstanding loan balance amount as \$100 million and the rate for the current fiscal year is .10%. The prior three quarter payments are \$28,000 per quarter. The calculation would be as follows:

- Fourth quarter amount reported by NSLDS $\$ 100,000,000 * 0.10\% = \$ 100,000$.
- Prior payments made for first three quarters $\$ 28,000 + \$ 28,000 + \$ 28,000 = \$ 84,000$.
(As stated previously, AMF is paid quarterly even though the file is received once a year).
- Fourth quarter payment due = $\$ 100,000 - \$ 84,000 = \$ 16,000$.
- The amount pre-determined for the first three quarters of the next fiscal year would be then:
 $(\$100,000,000 / 4) * .10\% = \$ 25,000$ per quarter.

Reinsurance Payments to GAs

Separate from the loan detail data feed to NSLDS II, GAs also submit summary loan portfolio information on the Guaranty Agency Financial Report (Form 2000) directly to FMS. GAs use Form 2000 to request payments from and make payments to ED under the FFEL Program. The Form 2000 contains requests for reinsurance payments.

ED also uses this information to monitor the agency's financial activities, including activities concerning its federal fund, the operating fund, and the agency's restricted account. GAs must maintain detailed records to support each entry on the Form 2000 and be able to reconstruct the entries back to individual loan, borrower or lender levels, or to specific GA level transactions. This includes keeping accurate records of reinsurance payments and collections on defaulted loans at the loan and borrower level. ED's instructions to the GAs state that records must be available for verification by the Secretary of Education or other authorized representatives of the U.S. Government.

While the two feeds created separately and are sent to different destinations, the summary information on the Form 2000 must be consistent with and comparable to relevant detail information reported to NSLDS II by the GA. Currently, there is not a process in place to perform payment reasonability on any Form 2000 data that is used to pay GAs. There is reasonability checking that is performed on an annual basis, which looks to validate certain Form 2000 line item data submitted to FMS with the detail information stored within NSLDS.

Interest Subsidy and Special Allowance Payments to Lenders

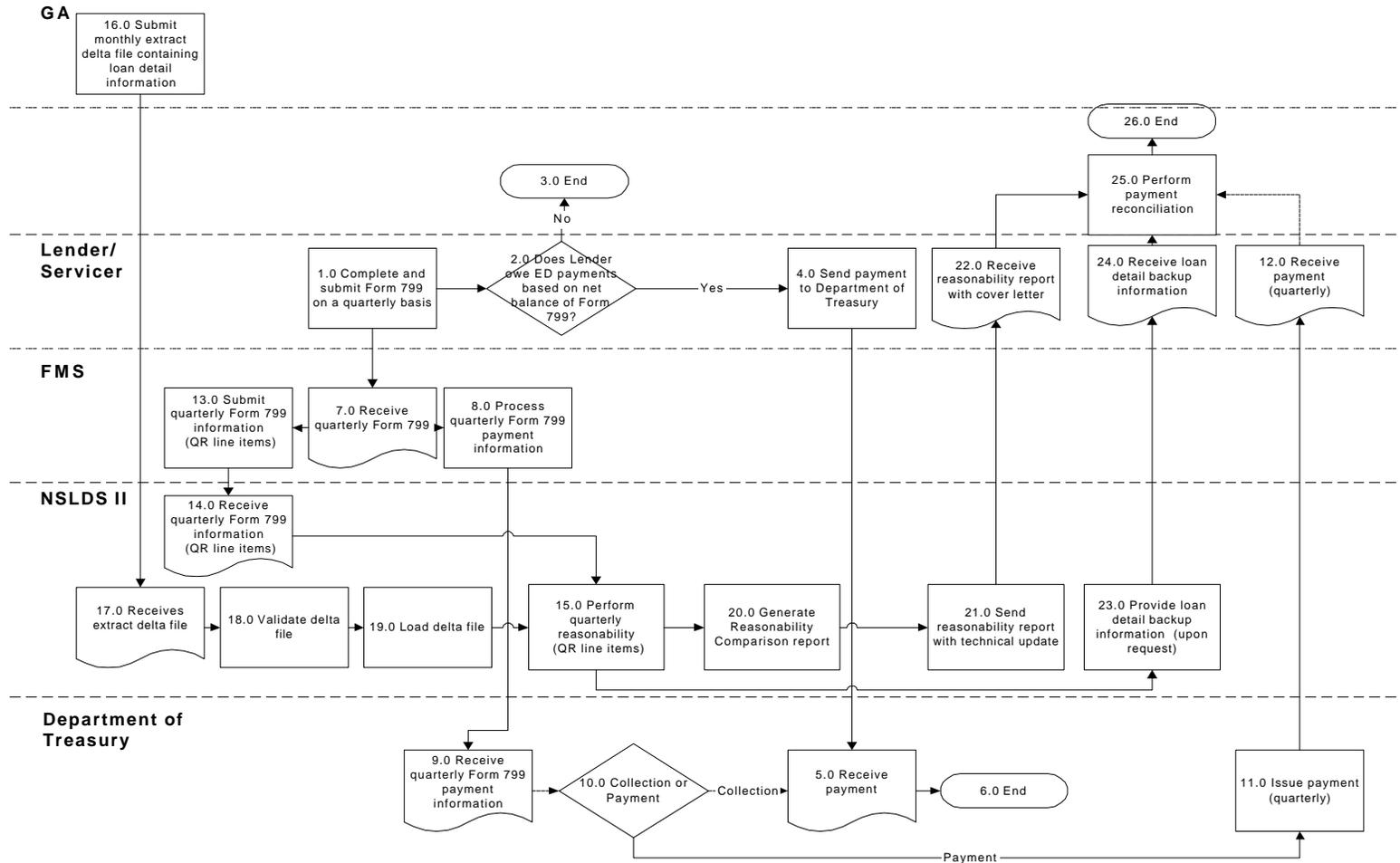
Independent of detail loan data submissions to GAs, FFEL lenders are also required to submit a quarterly summary of their student loan portfolio data to receive interest subsidies and special allowances and to report origination/lender fees due to ED. ED will pay the interest on eligible FFEL loans that have a status of in-school, grace or authorized deferment. ED also pays a special allowance to lenders for the life of eligible FFEL loans. These payments are based on the receipt of a valid lender's Interest and Special Allowance Request and Report, or Form 799. Unlike the data submitted by the GAs, because of timing and reporting requirements, summary information reported by a lender/servicer on the Form 799 will not necessarily be consistent with and comparable to relevant detailed information reported by the lender/servicer to NSLDS II through the GA. In fact, audits performed today to enforce financial integrity can only be successfully executed on data that is at least two quarters old. There is currently no process in place to perform payment reasonability on any line items on Form 799.

6.2 Integration Points Across Modernization

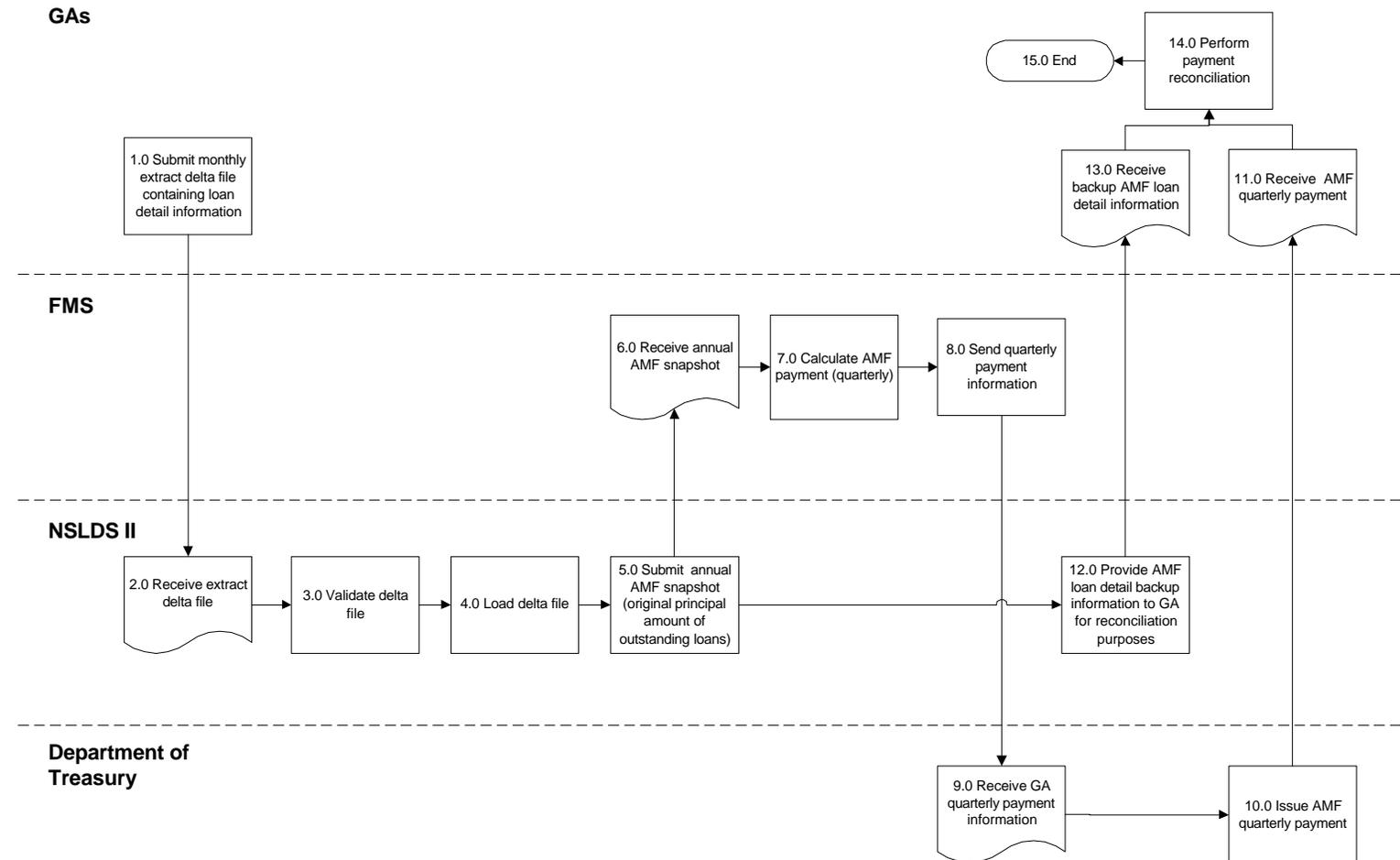
Future releases of NSLDS II, beyond Release 1, will coordinate with other FSA Modernization efforts regarding the following points of integration concerning FP Payment/Payment Reasonability:

- As data reported by lenders/servicers through FMS and the Lender Payment Redesign effort evolves, efforts should be made to identify opportunities where more frequent and more detailed payment reasonability can be performed.
- Future releases of NSLDS II will examine the reengineering of data feeds into FSA from its data providers, including Financial Partners. These future enhancements should examine ways to streamline the calculation of payments to Financial Partners, potentially tying them to detailed loan data rather than multiple submissions to various FSA systems. This type of streamlining can achieve efficiency in processing not only for FSA, but for Financial Partner as well.

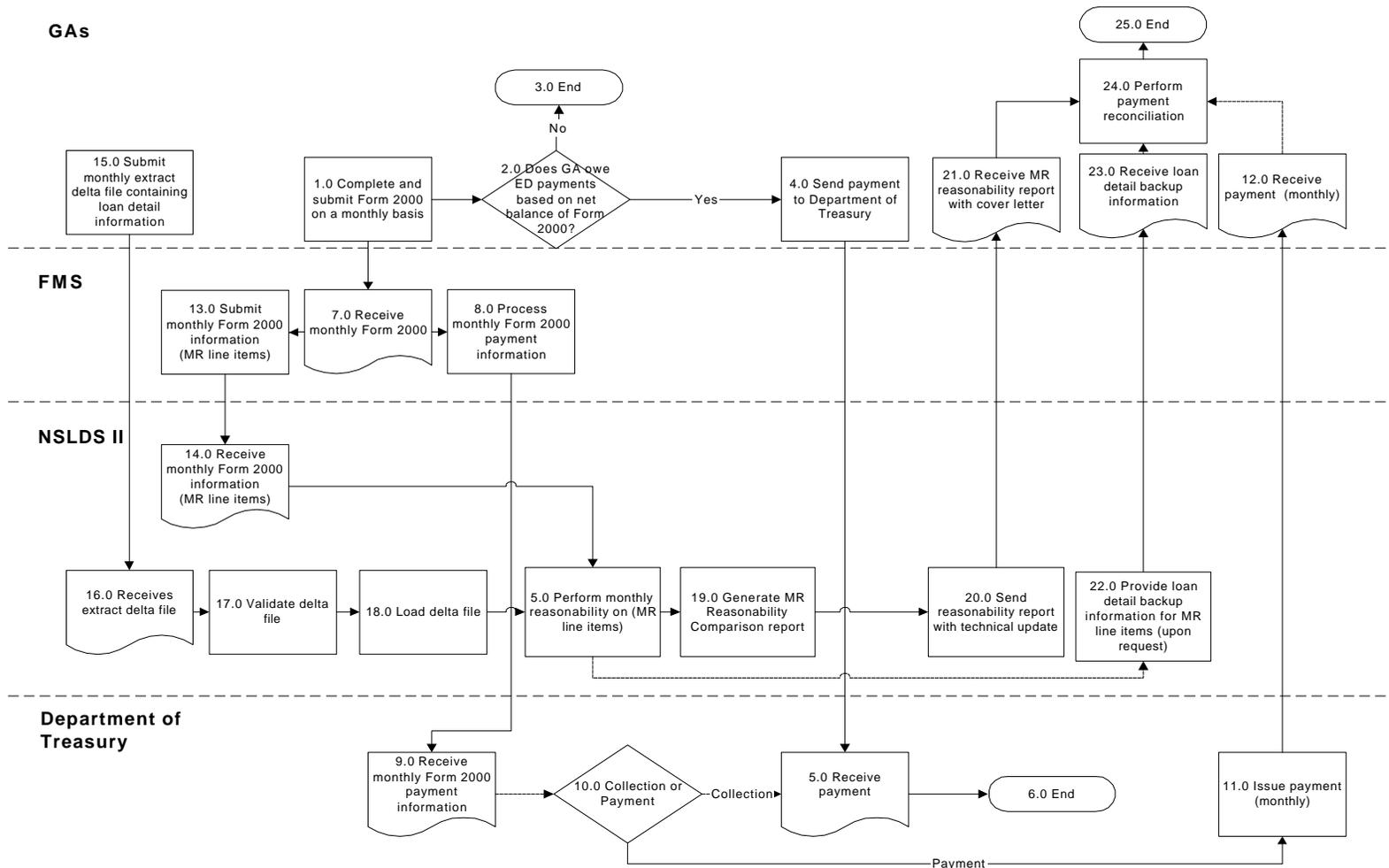
6.2 Logical Workflow – Payment Reasonability
6.2.1 LPIF Payment for Guaranty Agencies



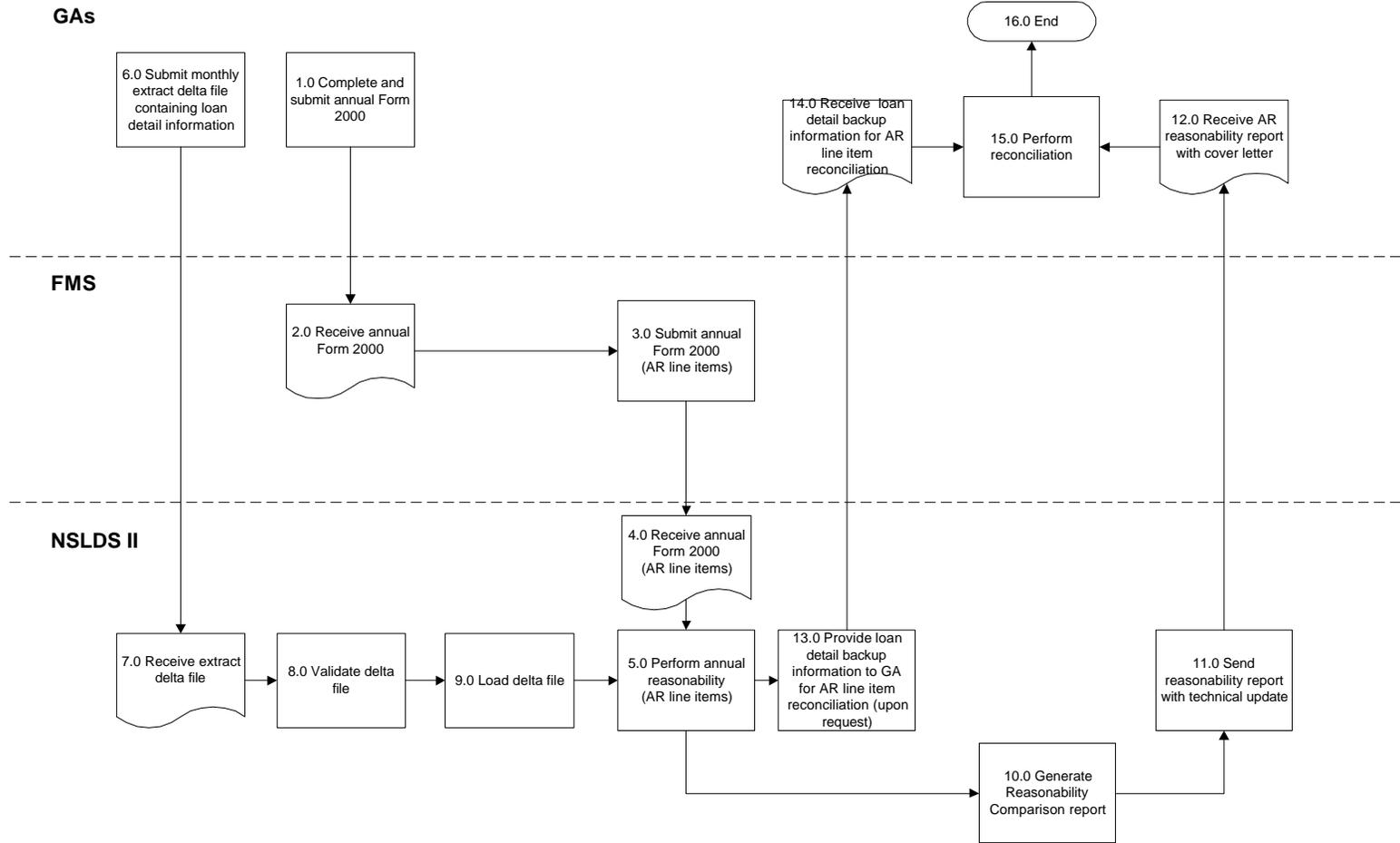
6.2.2 AMF Payment for Guaranty Agencies



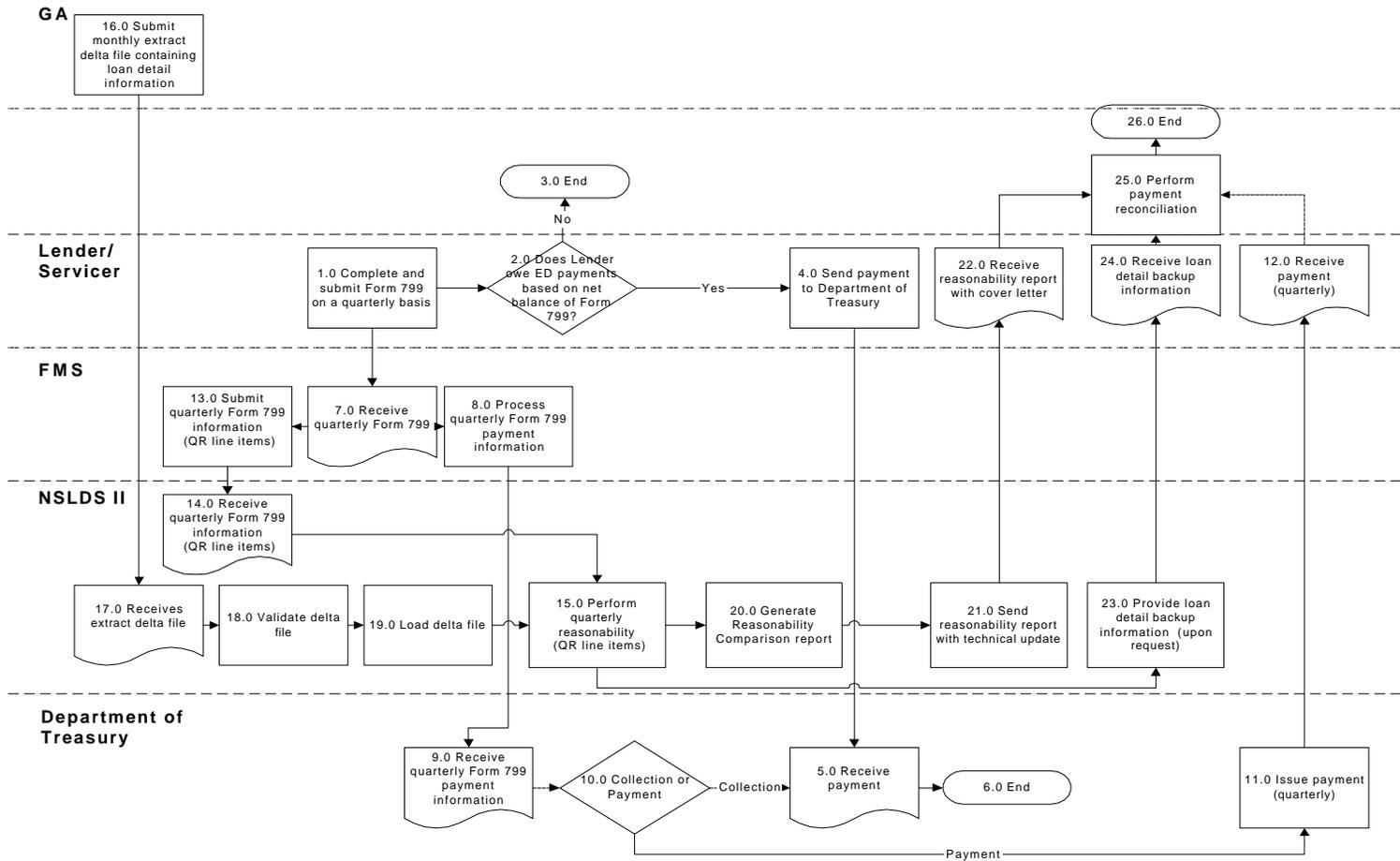
6.2.3 Form 2000 Monthly Payment Reasonability



6.2.4 Form 2000 Annual Payment Reasonability



6.2.5 Form 799 Quarterly Payment Reasonability



7 Cohort Default Rate Calculation and Distribution

NSLDS II is required to perform Cohort Default Rate (CDR) calculation and distribution. This is the process of calculating and publishing draft and official CDRs in order to gauge the overall default rate for student loan programs. NSLDS II will also support the generation of the Loan Record Detail Report (LRDR) used by schools for reviewing rates and the potential submission of challenges and appeals.

The CDR is defined as the percentage of a school's student borrowers who entered repayment on FFEL and/or Direct Loans in the cohort fiscal year and then default on those loans during the same or following fiscal year. For example, the Fiscal Year 1999 Official CDR was calculated and mailed to recipients in fiscal year 2001, based on data reported in Fiscal Years 1999 and 2000. There are two different formulas used to calculate default rates, one for schools with less than 30 recipients, and one for schools with 30 or more recipients (calculations detailed in Procedures document).

Enhancements/Changes

- NSLDS II will support requirements currently being developed as part of the eCDR initiative.

7.1 Logical Workflow Summary

The Department of Education is required to calculate draft and official CDRs for schools, lenders and GAs. The process outlined in this flow deals with the calculation and distribution of draft and official rates for schools. The process begins with loan data being sent to NSLDS II from GA's and the Direct Loan (DL) Servicer. The other data included in the calculations is the school demographic files sent to NSLDS II by the Postsecondary Education Participant System (PEPS) on a daily basis.

NSLDS II then calculates the draft and official cohort default rates. Draft CDRs are calculated in January, and distributed to schools in February. Official CDRs are calculated in August, and mailed to all participants in September. The Department is required by statute to notify schools of their CDR by September 30. A school may challenge its draft CDR and may, in some instances, appeal or request an adjustment to its official CDR. Timeframes for the submission of challenges and appeals are strictly outlined based on existing regulation.

Once the draft or official rates have been calculated in NSLDS II, the rates are sent to PEPS. NSLDS II will also send to PEPS, a list of schools that do not have a Student Aid Internet Gateway (SAIG) mailbox. For draft rates, PEPS generates generic rate letters and for official rates, letters are generated based on sanction status. NSLDS II then generates the LRDRs. These reports contain the detail loan information used to calculate the school rates. PEPS then sends the letter files to NSLDS II for all schools with SAIG mailboxes.

NSLDS II then sends out the LDDR and CDR Notification Letters to schools through SAIG. For those schools that do not have an SAIG mailbox, NSLDS II will send the LRDR files to a vendor working for FSA – Default Management where the letters are printed and mailed to the schools in hard copy format.

After receiving the CDR Notification Letters and LRDRs either through SAIG or in hard copy format, the schools review the rates and supporting information. For draft rates, the school can contact the GA or DL Servicer and make corrections to detailed loan data if applicable. Any changes made by the GA or DL Servicer will be forwarded to NSLDS II in their next file submission.

For official rates, the school can initiate an appeal process. Once a school initiates an appeal, the Default Management Office works with the school as the school generates and verifies data in NSLDS II with its own data and the data maintained by its GAs. Once all corrections are performed at the GA, the CDR for the school is recalculated and PEPS receives the corrected CDR. PEPS is then updated with the new rates. The recalculated CDR is also updated in NSLDS II, but the underlying loan record detail report information remains unchanged.

Reasons why a school may want to challenge or appeal its CDR include:

- A school with a low CDR may qualify for specific regulatory exemptions
- A school with a persistently or excessively high official CDR may lose FFEL, Direct Loan and/or Pell grant eligibility.

In addition to the draft and official CDRs, NSLDS II will produce Repayment Information Reports, or notional CDRs, monthly to assist schools in monitoring their current rate on an ongoing basis. Repayment information is provided in both summary and detailed format. The summary format includes the number of borrowers entering into repayment in the first 12 months of the most recent 24-month period, and the number of those borrowers who defaulted during that 24-month period. The detailed format provides an individual listing of all borrower's included in the summary format, and loan information for each of the borrowers.

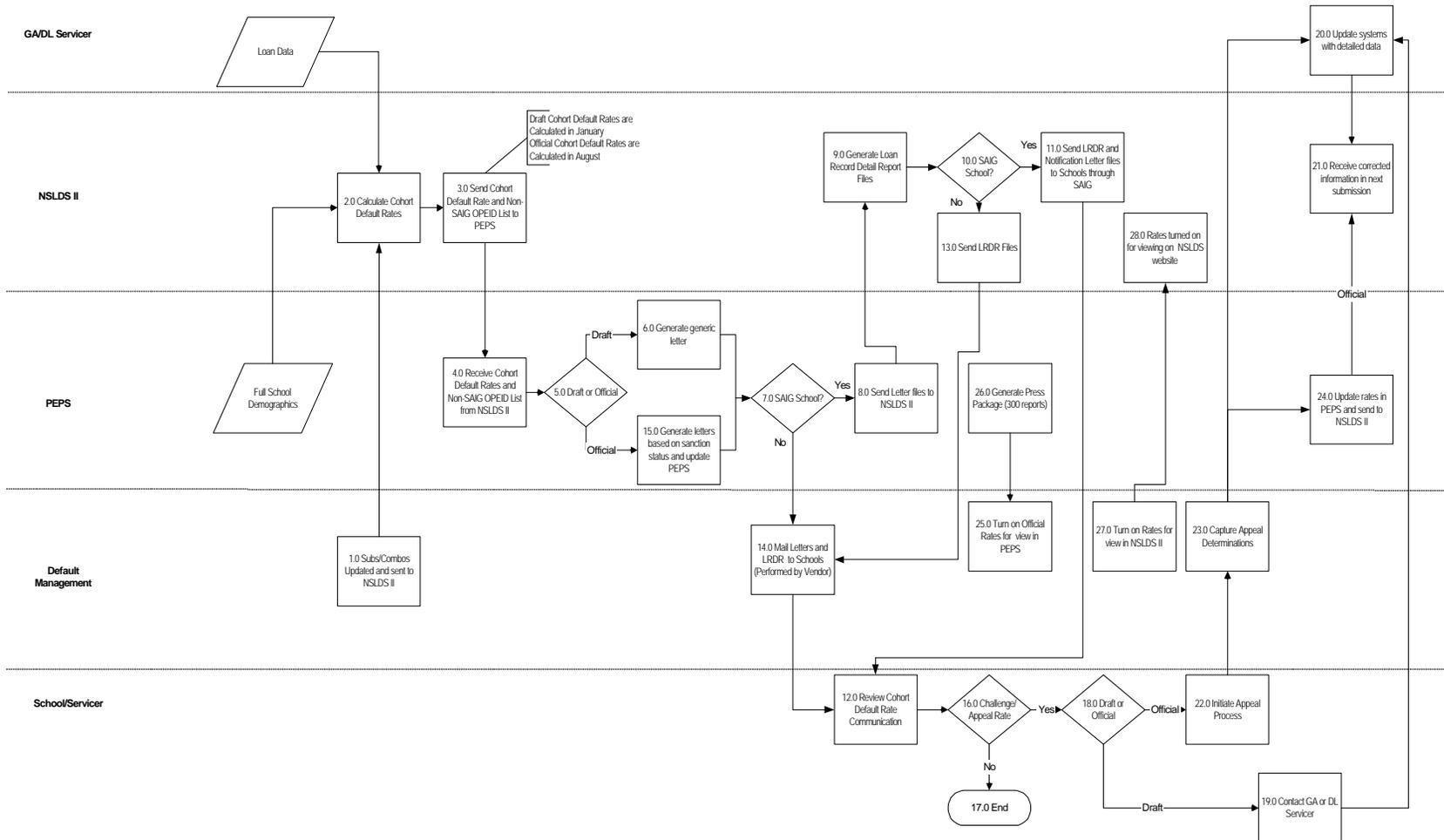
A CDR is also calculated and published for each lender and GA. There are currently no consequences or benefits associated with lender and GA CDRs. Due to this lack of consequences, Lenders and GAs cannot appeal their rates. (Note: Data corrections by schools, made by GAs, would be reflected in Lender and GA rates.) Also at this point, lenders and GAs are not part of the eCDR initiative.

7.2 Integration Points Across Modernization

Future releases of NSLDS II, beyond Release 1, will coordinate with other FSA Modernization efforts regarding the following point of integration concerning Cohort Default Rate Calculation and Distribution:

- While certain functions performed by the PEPS system are being examined for inclusion in the implementation of CRM4FSA system, others may logically fit into future releases of NSLDS II. Specifically, those PEPS functions surrounding the distribution, management and display of Cohort Default Rate information (e.g., case management comments and history) should be targeted.

7.2 Logical Workflow – Cohort Default Rate



8 Enrollment Tracking/Reporting

The Enrollment Tracking/Reporting process, previously known as the Student Status Confirmation Report (SSCR) process, involves the verification of enrollment status for FFEL and Direct Loan recipients, and the reporting of newly certified enrollment data to the appropriate GA. Because loan repayment is triggered by the completion of a student's course of studies, or a student's falling below half time enrollment status, it is vital for loan holders to have accurate and timely information on changes in a student's enrollment status. Enrollment Tracking/Reporting is, therefore, one of the key business areas of NSLDS II, and, as such, plays an important role in the ability of the system to fulfill its congressional mandate to reduce the administrative burden of administering Title IV aid.

Updated student enrollment data is forwarded to the GAs weekly. In addition, NSLDS II will support contractual reporting based on holder requests. Currently such a contract exists with the Direct Loan Servicer (DL Servicer) the National Student Loan Clearinghouse (the Clearinghouse) and NSLDS II. This process involves providing student enrollment data based on a list provided by the DL Servicer, rather than waiting for the Clearinghouse to respond to rosters from NSLDS II.

Enhancements/Changes

- A subsequent phase of the NSLDS II reengineering effort will focus more specifically on enrollment tracking functionality. The NSLDS II reengineering team will continue tracking issues uncovered during the first phase of the NSLDS II reengineering effort.
- Continue to promote practice of updating status online through the NSLDS FAP site.
- Explore other mechanism for using online technology in the enrollment reporting process.

8.1 Logical Workflow Summary

The Enrollment Tracking/Reporting process can be undertaken either online or in a file batch mode with NSLDS II. To update status online, schools/school servicers log into the NSLDS FAP website to certify enrollment for an individual student or their entire portfolio. Schools with any size populations may now update the entire roster on line. Schools with large student populations can use the Enrollment web pages on the NSLDS FAP site to instantly update enrollment changes outside the normal reporting schedule. Schools can also use the online capability to quickly correct records that erred in their most recent batch file submission. The majority of schools/school servicers at the present time use the batch file mechanism to update status. However, the use of the web pages for enrollment updates has grown dramatically since the enhanced capability was implemented in January of 2002.

The first step in the batch enrollment reporting process is the identification of students with loans and the association of those students with a school. NSLDS II generates and provides through the SAIG an electronic roster file based on a school's reporting schedule. For schools using the Clearinghouse, the files are provided via tape. The default schedule is for a school to

receive a file every two months. A school can also create a roster schedule that fits their operational schedule, and receive rosters, date specific, as frequently as weekly. Schools/school servicers are required to review the data contained in the file, update student data where appropriate, and certify all data in the file with the certification date, and return the file to NSLDS II within thirty days.

If a school/servicer fails to either return the roster file within 30 days or make updates online 30 days after their scheduled update date, a series of three late roster notification letters are generated and sent to the school. The letter frequencies and distribution are listed below:

- The first letter is sent 34 days after roster file creation or scheduled update date. Letter is sent to financial aid administrator at the school and the registrar's office.
- The second letter is sent 48 days after roster file creation or scheduled update date. Letter is sent to above group and school president or CEO.
- The third letter is sent 58 days after roster file creation or scheduled update date. Letter is sent to above group and school president or CEO.

The roster file contains the most current student information provided by the school to NSLDS II. For each student, the roster file contains the following information:

- Social Security Number
- Last name
- First name
- Middle Initial
- Date of Birth
- Anticipated Completion Date (updateable)
- Enrollment Status (updateable)
- Enrollment Status Effective Date (updateable)

Schools have the option of adding additional records to the file for students not on the roster. In this instance, they provide all the fields listed above, although NSLDS II should be able to derive the information based on an SSN from records in the system if such data exists.

Reviewed and completed files are submitted via SAIG with a header record indicating the school's certification date. The files will be retrieved by NSLDS II and processed using agreed-upon community-based edits, and the NSLDS II database is updated. NSLDS II generates an Acknowledgment/Error file after each roster submission and transmits this back to the submitting school/servicer. If no errors are sent back by NSLDS II in this file, the file can be kept as confirmation that the file has been successfully processed by NSLDS II. If errors are identified in the file, schools are required to make corrections either online, or by submitting an Error correction file to NSLDS II within ten days. An Acknowledgment/Error File will be sent back to the school after submission of an Error Correction file until no errors are encountered in the file submission.

Each week (and as frequently as daily if they wish) NSLDS II provides GA's and the DL Servicer a file of all enrollment certifications submitted by the school for students in their portfolio¹. The GA's then update their system and forward updates to the appropriate lenders.

The contract for enrollment reporting between the DLSS and the Clearinghouse consists of the Department of Education paying the Clearinghouse to provide enrollment data on students with Direct Loans from the schools that it services in a more timely manner. The first step in the process is for NSLDS II to send a file containing enrollment updates for Direct Loan recipients to the DL Servicer on a daily basis. The DL Servicer then sends the Clearinghouse a monthly file containing a list of students to be monitored for the receipt of enrollment data. When the Clearinghouse receives school data and identifies a DL student, they provide the enrollment update in a weekly file to NSLDS II. NSLDS II is updated and the changes are included in the daily file to the DL Servicer. If the student also has a FFEL loan, the GA holding those loans will also receive the change notification. This process allows enrollment changes to be sent to NSLDS II in a timelier manner than the process of the Clearinghouse responding to a roster file sent based on the schedule they provide to NSLDS II.

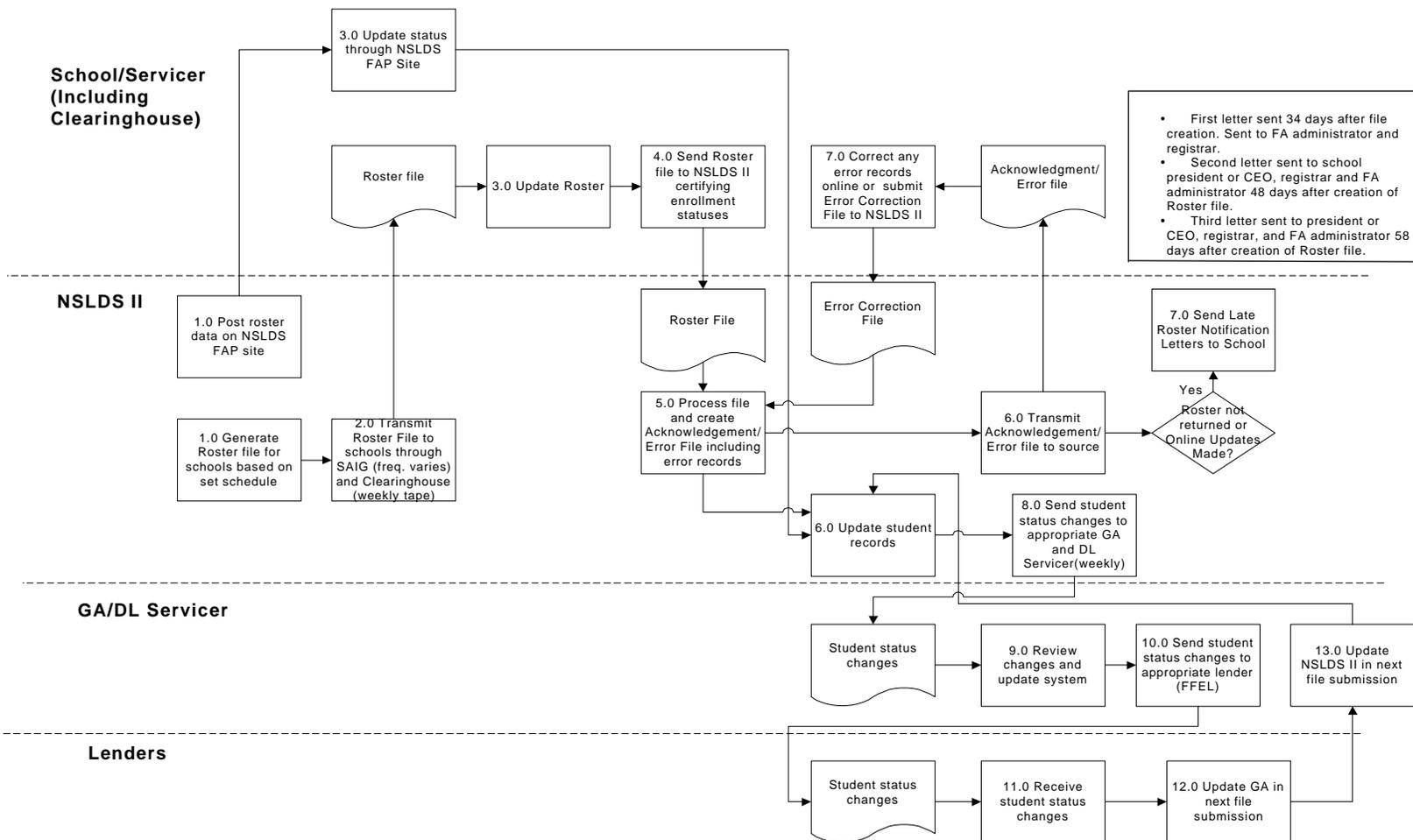
8.2 Integration Points Across Modernization

Future releases of NSLDS II, beyond Release 1, will coordinate with other FSA Modernization efforts regarding the following points of integration concerning Enrollment Tracking / Reporting:

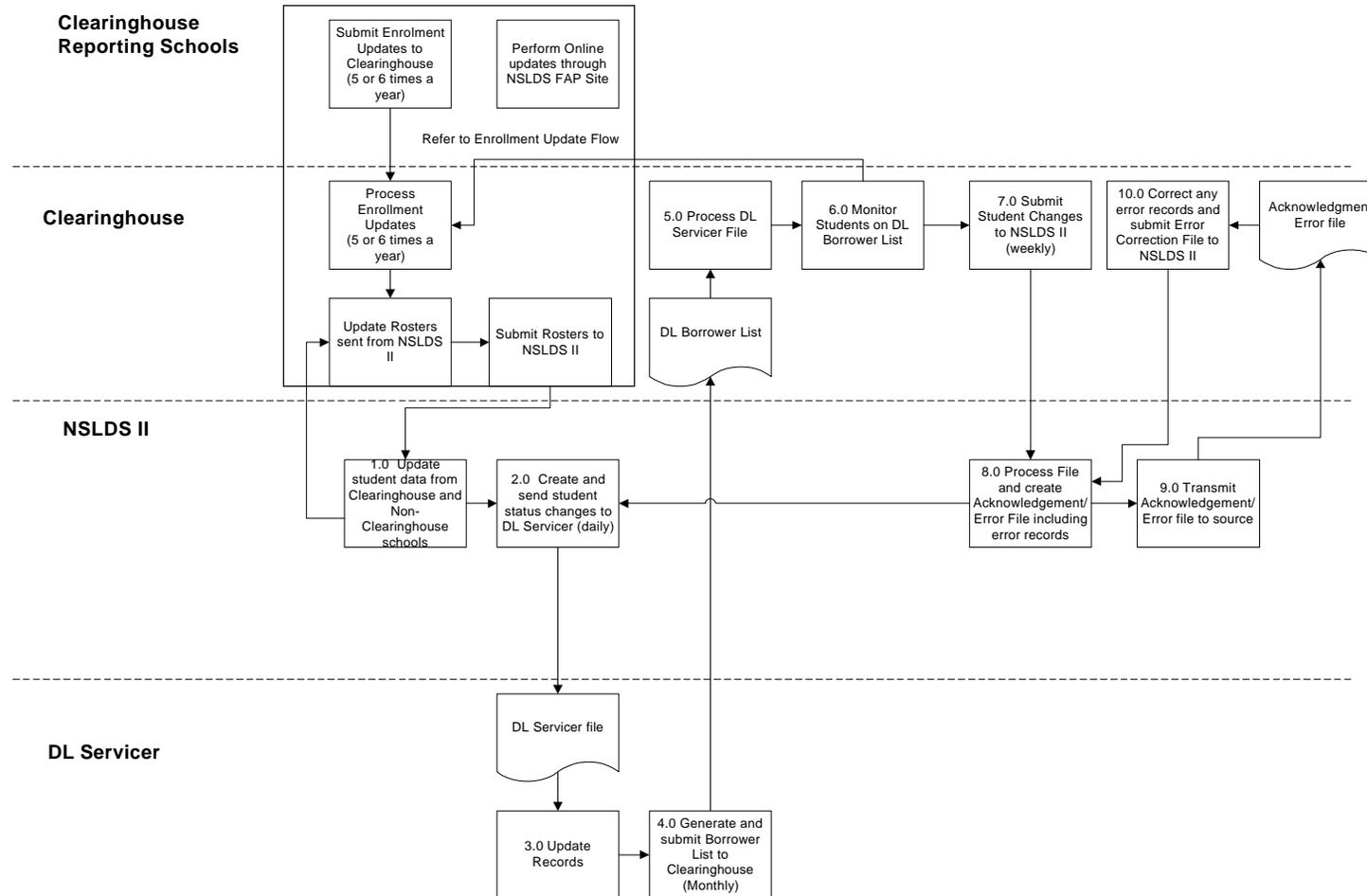
- As DLSS is examined for reengineering, the role of the Clearinghouse and NSLDS II in the tracking and update of enrollment information may evolve to achieve efficiencies in processing and maintenance.
- Later releases of NSLDS II have already targeted Enrollment Tracking/Reporting as an area where outsourcing and/or streamlining may achieve efficiencies for FSA. As these options are examined, impacts to other systems reengineering efforts, like CSfB, should also be considered.

¹ NSLDS successfully completed a pilot project to submit files directly to lenders. Formal approval to fully implement program has not been received from the Department. NSLDS II functionality in Release One will not include sending enrollment update files directly to lenders.

8.2 Logical Workflow – Enrollment Tracking
8.2.1 Enrollment Update Process



8.2 2 Clearinghouse Monitoring of Direct Loan Recipients



9 Audit and Program Review

ED uses audits and program reviews to ensure that schools/servicers (including participating foreign schools), lenders/servicers and guaranty agencies are using correct procedures to award, disburse, and account for the use of federal funds. An audit may consist of a compliance and/or a financial review. A compliance audit assesses how well an entity follows federal requirements for administering federal student aid programs. A financial audit assesses the financial statements of an entity. A program review covers many of the same areas as an audit, including fiscal operations and accounting procedures. However, program reviews tend to focus more on regulatory requirements that are specific to Title IV programs.

NSLDS supports audits and program reviews by providing program auditors with data on specific organizations to facilitate scheduling and maximizing the effectiveness of reviews.

A program review is conducted for each Title IV participant to ensure compliance with Title IV rules and regulations. This includes conducting a program review for each of the 36 GAs annually, as well as participating schools, lenders and servicers. With the assistance of FSA, guarantors conduct biennial on-site reviews of each school and lender that meets criteria specified in federal regulations. The review ends when a satisfactory response is reached to the review findings from the school, lender, or servicer. The following list provides sample selection criteria for program review participants:

Schools/Servicers

- More than 20% cohort default rate in either of the last two years
- Loan volume trends (such as substantial increase decrease over the past year)
- Complaints from lenders, borrowers, or students
- At the GAs discretion, review schools that:
 - Experienced a major increase or decrease in cohort default rate over the previous year
 - Are suspected of violating ED regulations based on supporting evidence

Lenders/ Servicers

- Have 2% or more of the loan volume of FFEL loans guaranteed by the GA (by dollar volume)
- In the top 10 in loan volume (by dollar volume) for the GA
- Have \$10M or greater in loans held by the GA
- At the GA's discretion, review a servicer/lender that:
 - Experienced a major increase or decrease in CDR over the previous year
 - Are suspected of violating the ED regulations on supporting evidence

Guaranty Agencies - An audit and review is performed on each of the 36 GAs annually

The main tasks associated with this functional area are:

- Preliminary Review
- On-Site Review
- Issuance of a Program Review report
- Review Close Out

9.1 Logical Workflow Summary

NSLDS II will support the audit and program review process by providing ad hoc querying capability to auditors and reviewers. They will be able to access relevant information related to the entity that has been selected for an audit or program review. In the current NSLDS technical architecture, users access this data through QMF. Users must currently be familiar with SQL, NSLDS data model, and QMF. In the NSLDS II technical architecture, users will have the ability to access the same information without the knowledge of SQL, QMF, or a detailed understanding of the NSLDS II data model.

Lender/Servicer Program Review

A program auditor contacts the lender or servicer once it has been selected for review. As mentioned previously, a lender or servicer is selected for review based on certain evaluation criteria. Along with the notification that they have been selected for a program review, they are also notified of the date of the on-site review.

In preparation of the on-site review, the program auditor creates a review plan for the selected organization. The review plan is created by obtaining specific administrative and financial information from NSLDS II, other internal FSA systems, GAs, and the selected lender or servicer. This profile is used to acquaint an auditor with the institution and to expedite an efficient and thorough review.

The on-site review consists of the following three key components:

- **Entrance Interview** – The lender or servicer is informed about the review process and given the opportunity to present questions or concerns to the auditor. Representatives of the selected organization are made available to answer questions or supply additional material if necessary.
- **Review of Borrower Files and Supporting Documentation** - The on-site review of selected borrower files, and of all materials and procedures related to the entity's participation in the Title IV program is performed to evaluate compliance with federal regulations. The review also identifies areas where additional training or corrective action may be appropriate. During the review of borrower files and other documentation, entity representatives may be informed of major concerns and issues needing clarification.

- **Exit Interview** - The exit interview is used to inform the lender or servicer of any concerns or findings of noncompliance. In addition, the exit interview allows the entity an opportunity to clarify remaining issues and ask questions.

Upon completion of the program review, the lender is provided a program review report detailing the findings of the review. The lender or servicer may either agree with the findings or appeal them. If the lender or servicer agrees with the program review findings, they will take any corrective actions listed in the program review report and make any liability payments. If the lender or servicer appeals the findings, the appeal will then be conducted with the Financial Partners Channel. The process of closing a program review ends when all required actions are completed and a close letter is issued to the lender or servicer notifying them that the review has been successfully completed.

GA Program Review

The process for conducting a GA Program Review is very similar the Lender/Servicer program review documented above. The only difference is the sources of obtaining information in order to create the review plan.

School Program Review

The process for conducting a school program review is initiated when the Case Management Team selects a school to review based on certain criteria. They have the option of either conducting an announced or unannounced review. In cases where an announced review is conducted, the school is notified ahead of time regarding the program review and the date of review. In cases where an unannounced review is conducted, a surprise visit is made to the school to conduct the program review.

Similar to lender/servicer and GA reviews, information regarding the selected entity is gathered from various sources to develop a profile. For a school review, this includes, NSLDS II, internal FSA systems, and the school itself (if it is not an unannounced visit). An on-site review is conducted at the school. Based on the review, the school is provided a program review report detailing the findings of the review. The school may either agree with the findings or appeal them. If the school agrees with the program review findings, they will take any corrective actions listed in the program review report and make any liability payments. If the school appeals the findings, the appeal will then be conducted with the Administration and Actions Appeals Division. The process of closing a program review ends when all required actions are completed and a close letter is issued to the school notifying them that the review has been successfully completed.

Audit

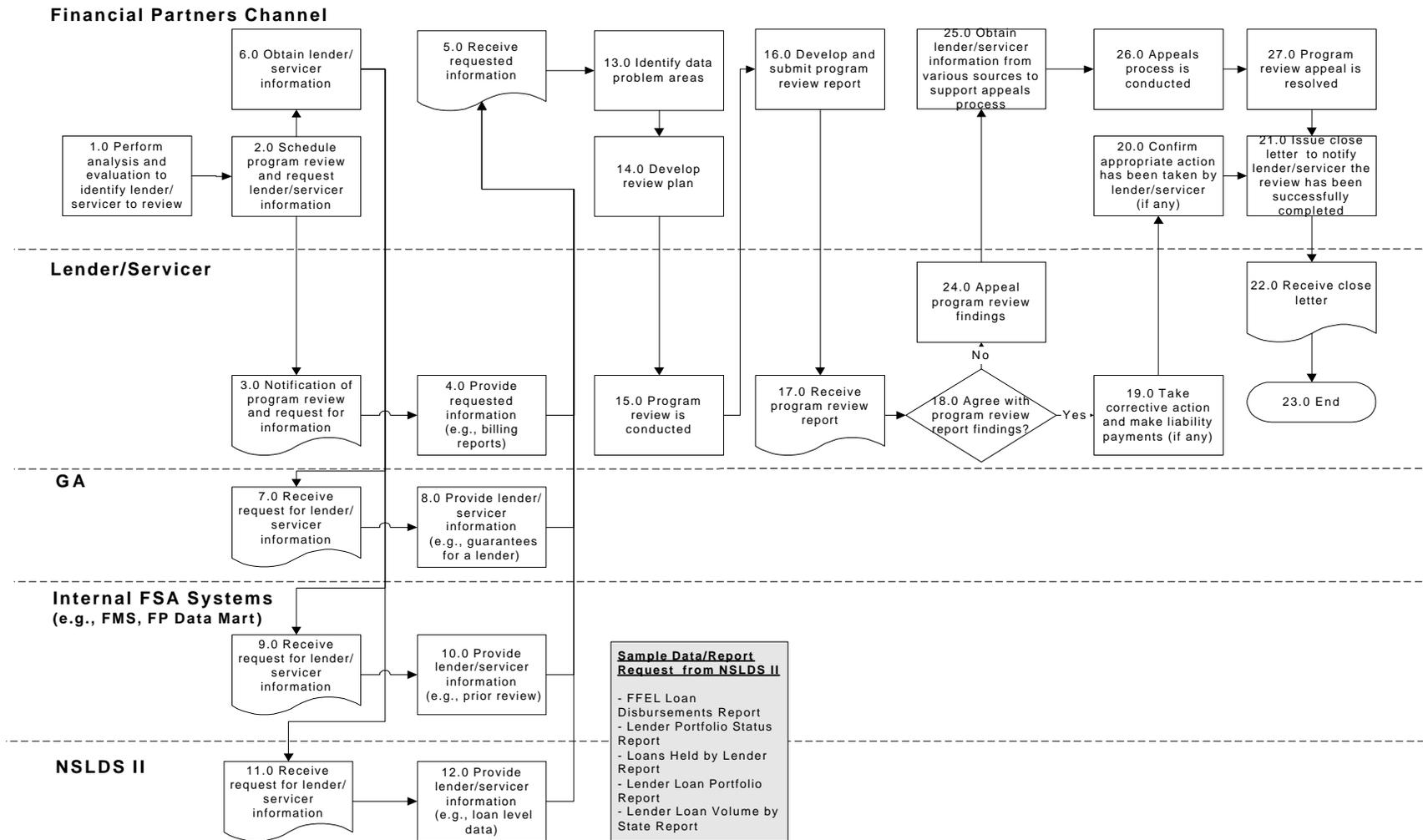
The audit process flow is still being developed through the cooperative efforts of staff from both FSA and ED OIG. The process flow will be finalized upon discussions with these business owners.

9.2 Integration Points Across Modernization

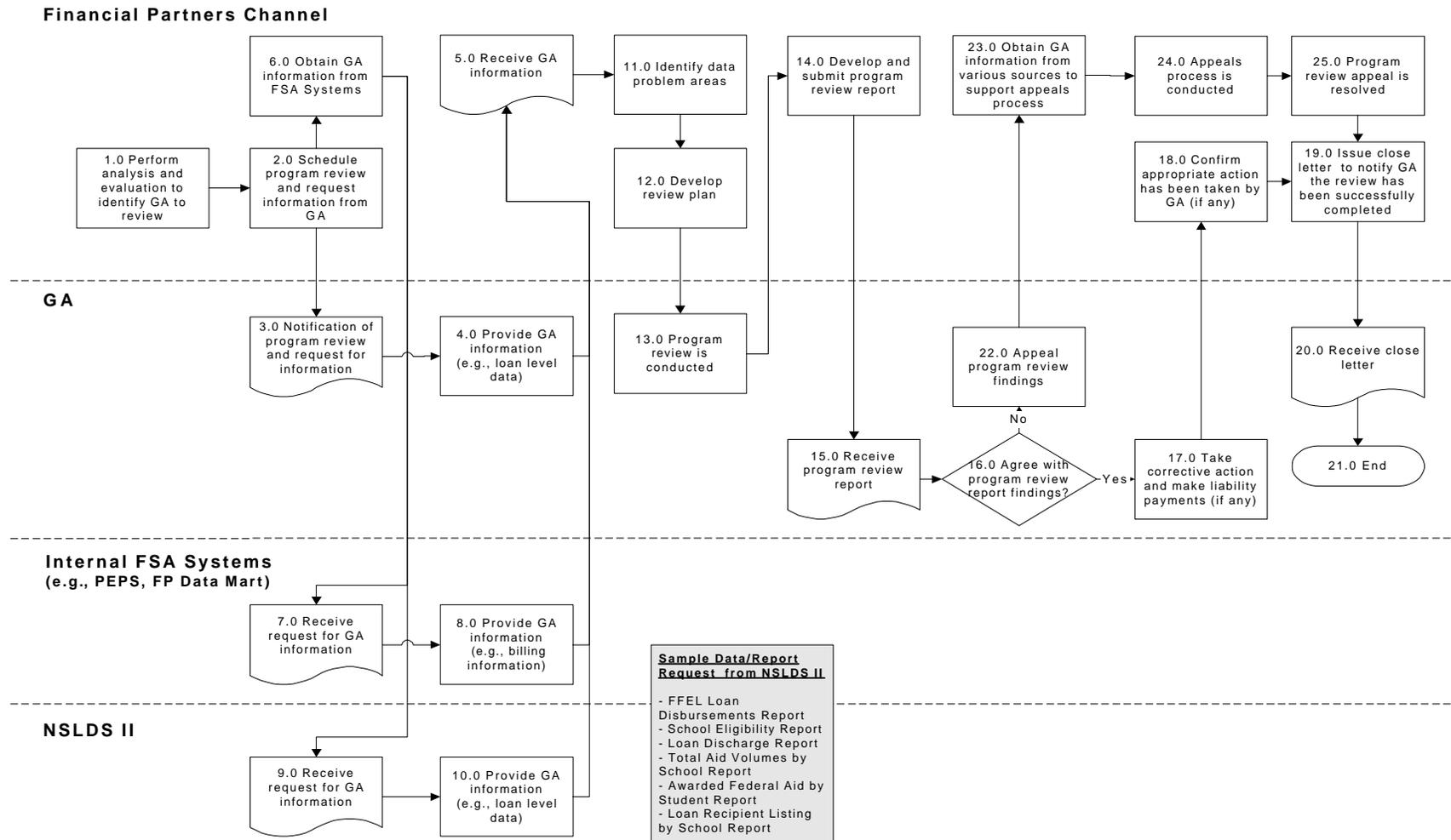
At this time there are no known major points of integration related to the Audit and Program Review function of NSLDS II and other FSA Modernization initiatives. If any are identified, future releases of NSLDS II, beyond Release 1, will examine ways to coordinate their impact on other FSA Modernization efforts.

9.2 Logical Workflow – Audit and Program Review

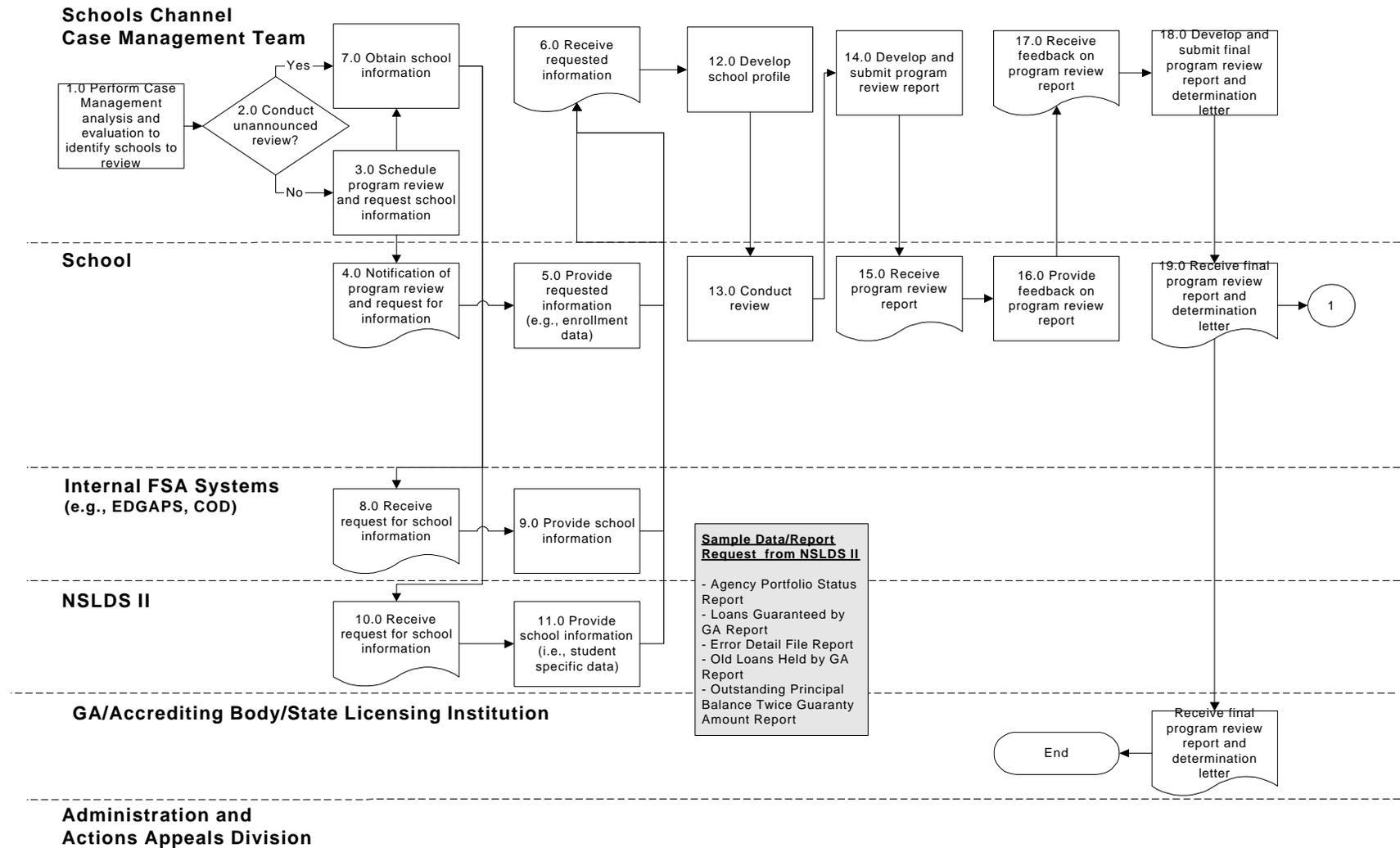
9.2.1 Lender/Service Program Review



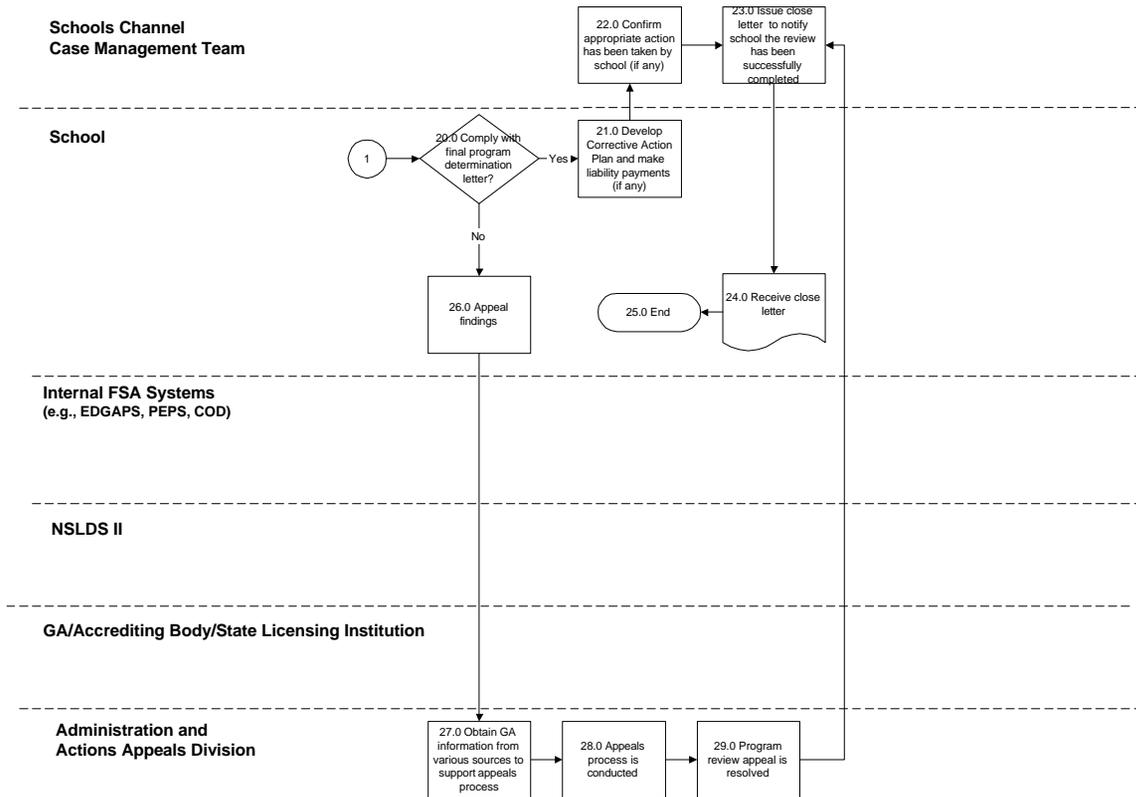
9.2.2 GA Program Review



9.2.3 School Review



9.2.3 School Review (continued)



10 Research and Policy Development

NSLDS serves as FSA's central data warehouse system for storing Title IV financial aid data. It has been maintaining information about loans, grants, students, borrowers, lenders, GAs, schools, and servicers since 1965. It provides an integrated view of Title IV loans and grants during all stages of their life cycle, which includes aid approval, disbursement, repayment, delinquency, and closure. The large amount of data collected over time has resulted in NSLDS being used for many analytical functions including research and policy development. Users accessing data from NSLDS for research purposes include ED personnel, other federal agencies, guaranty agencies, lenders, schools, and independent researchers.

NSLDS provides data to users through ad hoc queries, predefined reports, and extracts. Ad hoc queries range from simple queries, pertaining to a single student for relatively small amounts of data, to complex queries requiring NSLDS to summarize large amounts of data. Ad hoc queries are executed by a variety of ED users including, but not limited to, personnel from the Financial Partners channel, FSA Program Analysis group, ED OPE, and ED Budget Service. NSLDS also provides data through predefined reports, which consists of data formatted and customized based on the user needs. Predefined reports are currently accessed through the Financial Aid Professionals website by ED personnel, GAs, lenders, and schools.

NSLDS also provides data extracts to users, which consists of a flat file containing large amounts of unformatted NSLDS data. An example of a commonly used extract is the STAB extract, which is executed on a quarterly basis. It contains a subset of data from NSLDS used for modeling, trending, testing, and analysis purposes. This smaller subset of the data is based upon 1.5 million students and consists of about 5 million records that are used to reflect a representative sample of the 40 million plus students under the various loan programs.

The main tasks associated with this functional area are:

- Research Development (General) - The process of acquiring data from NSLDS to support ad hoc queries. During the NSLDS II detail design, we will continue to identify business units and personnel that utilize the database for research purposes.
- Research Development (Program Analysis) - The process of acquiring data from NSLDS to support various analytical functions for ED and FSA.
- Policy Development (OPE) - The process of developing policies to support and enhance ED and FSA's business operations.

10.1 Logical Workflow Summary

Research Development (General)

NSLDS II will support the Research Development function by maintaining Title IV data within a central repository. It will receive data from a number of external and internal sources, which

will allow it to continue to be an ideal system for performing detailed analysis and comparisons for Title IV data.

There are three levels of ad hoc querying capability that will be supported by MicroStrategy: data prompts, object wizards, and full ad hoc querying capability. Most end users will have the ability to query NSLDS II on an ad hoc basis through data prompts or object wizards. Data prompts are report templates (i.e., attributes and metrics for the report have been defined) that allow users to select from a predefined list of fields, which are used for filtering purposes. For example, in the Loans Held by Lender report, a user should be able to select a lender from a predefined list and receive a report specific to that lender. In common practice, the majority of the end users have this type of access.

Object wizards are a more flexible than data prompts because they allow users to select from a larger pool of data set. An object (e.g., school, lender, student) is usually mapped to one or multiple attributes in a table related to that object. For example, for a school object, a user can query on School ID, School Name, or State (assuming the attributes have been mapped to the object).

The last type of ad hoc querying capability consists of users having the ability to query on any data or objects within NSLDS II. This privilege is limited to specific users (e.g., power users) who have the need to access a broad data set.

Research Development (Program Analysis)

Research development is a broad and dynamic function due to the variety of users and the nature of their data requests. There are instances in which users will not have the ability to satisfy their data requests on their own (e.g., complex query). Depending on the information request, a user may either seek support from the Program Analysis Division (PAD) or from the NSLDS II Operations Support. If the user request is more analytical in nature, they would most likely seek assistance from the PAD group. In other instances, they would seek assistance from the NSLDS II Operations Support.

Policy Development (OPE)

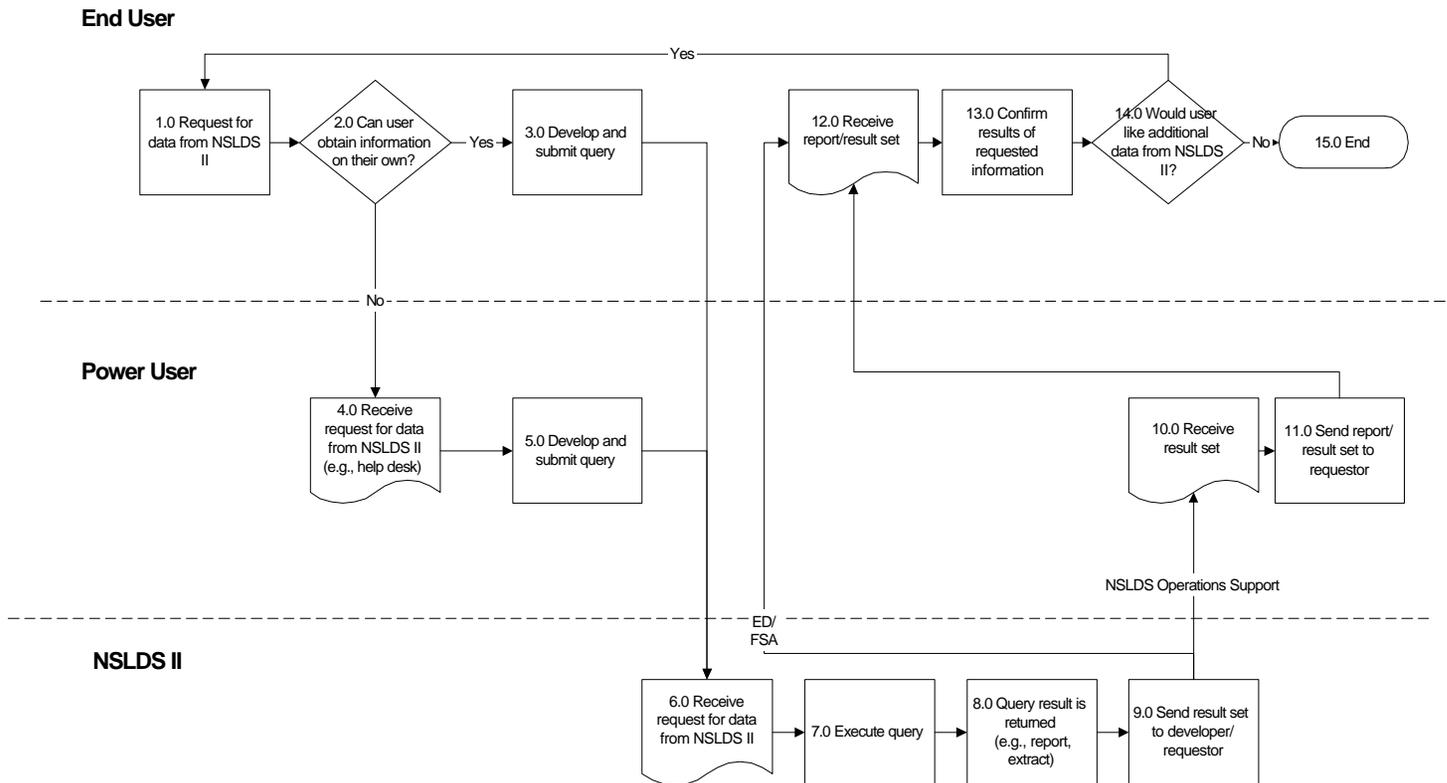
A policy may seek to satisfy a variety of objectives, which may include improving current business processes, mitigating potential risks, or complying with legislation. If it is determined that a new policy affecting the Title IV financial aid program is needed, detailed analysis is conducted in an attempt to identify the optimal policy. This analysis is based upon data gathered from various sources that include, NSLDS, CPS, CMDM, Bureau of Labor Statistics (BLS) data, ED data, and interagency data. Upon implementation of the approved policy, the impacts of the policy are monitored.

NSLDS II will seek to enhance the user experience of querying data from NSLDS by providing a user-friendly data-reporting tool. This will allow a user to query and customize the data based on their specific needs. The new data model will also reduce the time needed to generate queries and respond to ad hoc requests.

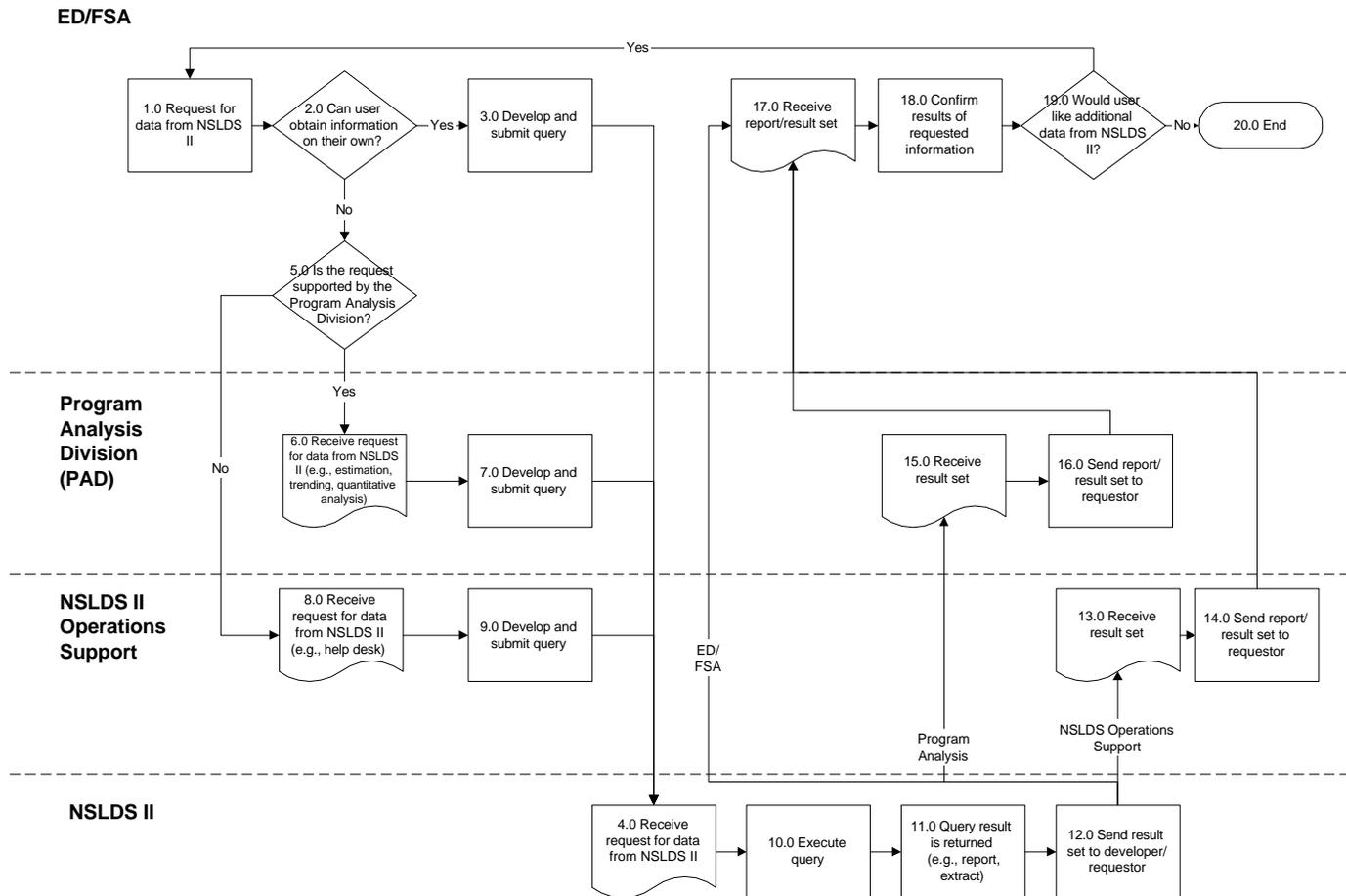
10.2 Integration Points Across Modernization

At this time there are no known major points of integration related to the Research and Policy Development function of NSLDS II and other FSA Modernization initiatives. However, as NSLDS II evolves into more of an Enterprise Data Warehouse, functionality, redundancy, usefulness, and consolidation of other FSA Data Marts should be explored, especially as they relate to adhoc research. If any other major points are identified, future releases of NSLDS II, beyond Release 1, will examine ways to coordinate their impact on other FSA Modernization efforts.

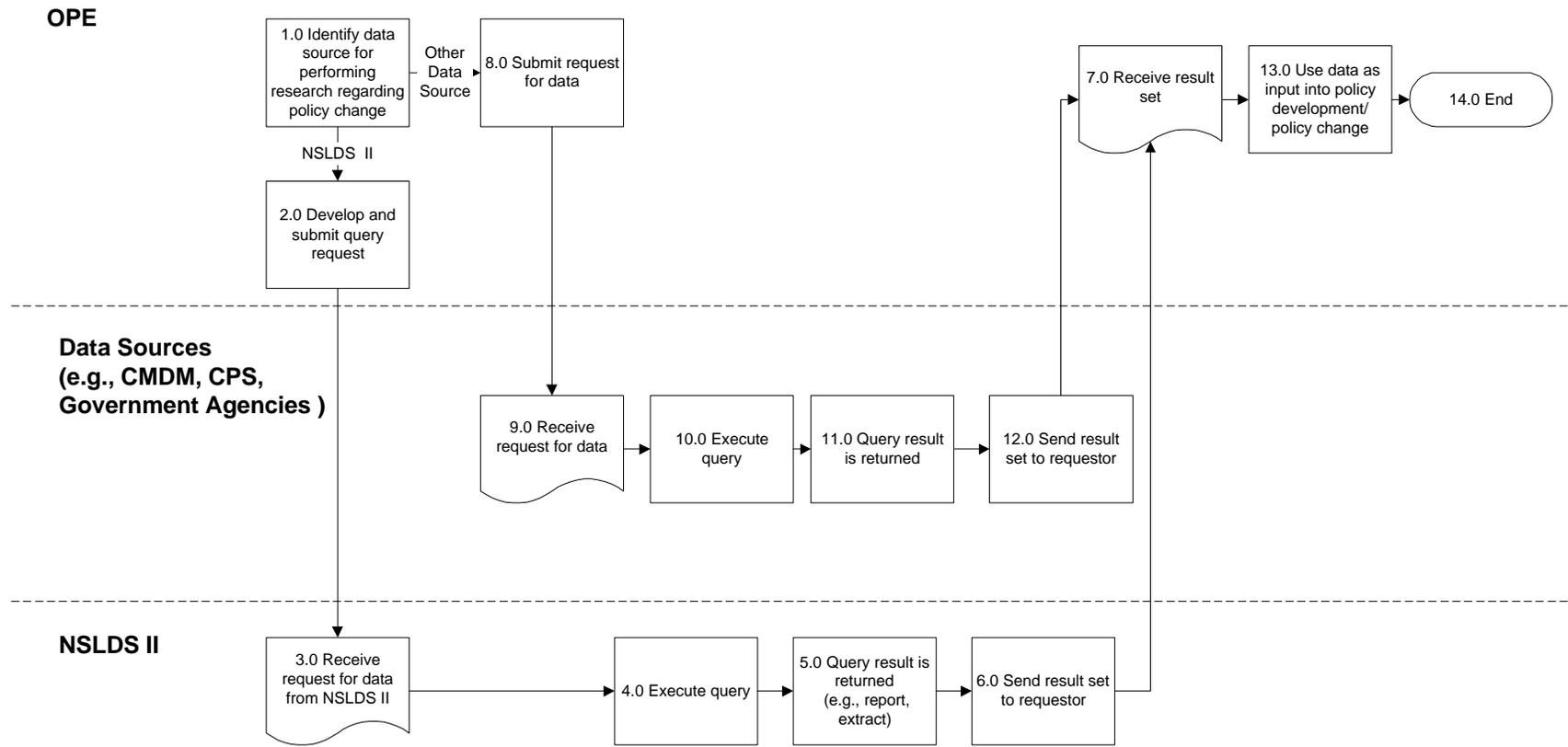
10.2 Logical Workflow – Research and Policy Development
10.2.1 Research Development – General



10.2.2 Research Development – Program Analysis



10.2.3 Policy Development – OPE



11 Budget Formulation and Execution

The Budget Formulation and Execution function consists of three major phases: budget formulation, budget presentation and budget execution. Budget formulation is the process of developing input for the President's budget based, in part, on projected loan program costs. The second phase of the budget process, budget presentation, includes presenting the budget request to Congress and soliciting approval. Budget execution is the process of executing the budget so that money is disbursed as allocated.

To support these phases, NSLDS provides reporting, display, and extract capabilities to determine loan program historical costs. It enables trending analysis of Title IV-related aggregate amounts (e.g., loan disbursements, collections, defaults) to facilitate the projection of future costs during budget preparation. In addition, it aids budget analysis, which is the process of responding to ad hoc budget-related questions from entities within the Department of Education (ED) as well as Office of Management & Budget (OMB) and Congressional Budget Office (CBO).

NSLDS II will continue to provide and enhance these capabilities through improved analytical tools and aggregated data. These enhancements will be made with the objectives of allowing users to perform more precise trend analysis and to reduce the time needed to generate queries and respond to ad hoc budgetary questions.

11.1 Logical Workflow Summary Budget Formulation and Execution

ED's Budget Service and Cost Estimation and Analysis Division (CEAD) use NSLDS data to assist them with forecasting the loan program costs for the FFEL and Direct Loan programs. In the current NSLDS technical architecture, the CEAD group uses QMF to execute ad hoc queries, predefined queries (e.g., loan volume), and extracts (e.g., CEAD STAB) for accessing NSLDS loan level data. In the NSLDS II technical architecture, this data will be accessible through MicroStrategy.

Upon receiving the requested data from NSLDS, the CEAD group loads the data into their data analysis tools (e.g., SAS, MS Access) and executes a number of statistical models to formulate assumptions. These assumptions are categorized into the following three areas: major assumptions, loan volume, and minor assumptions. Major assumptions are derived using the CEAD STAB and include default rates and distributions, enter repayment rates and distributions, collection rates and distributions. Loan volumes are obtained from a number of predefined queries established by the CEAD group. Minor assumptions are based on the CEAD STAB, as well as the active NSLDS database and include items like disbursement rates and debt distributions. These assumptions are then updated in the CEAD Loan Model, which is used to develop estimates for loan program costs that will be included as part of the President's Budget.

At the same time, actuals need to be collected for reporting in the President's Budget. This process involves gathering data from the department's financial systems and then disaggregating the figures using data from subsidiary systems, one of which is NSLDS. An example of this activity would be the outstanding balance reporting. Overall totals by loan program for outstanding principal balance is obtained from FMSS, the department's accounting system. The budget, however, calls for further categorization by loan type. NSLDS queries are run to supply the loan type detail necessary for the budget reporting. Similar queries are used to support the disaggregation of other items directly in the accounting system.

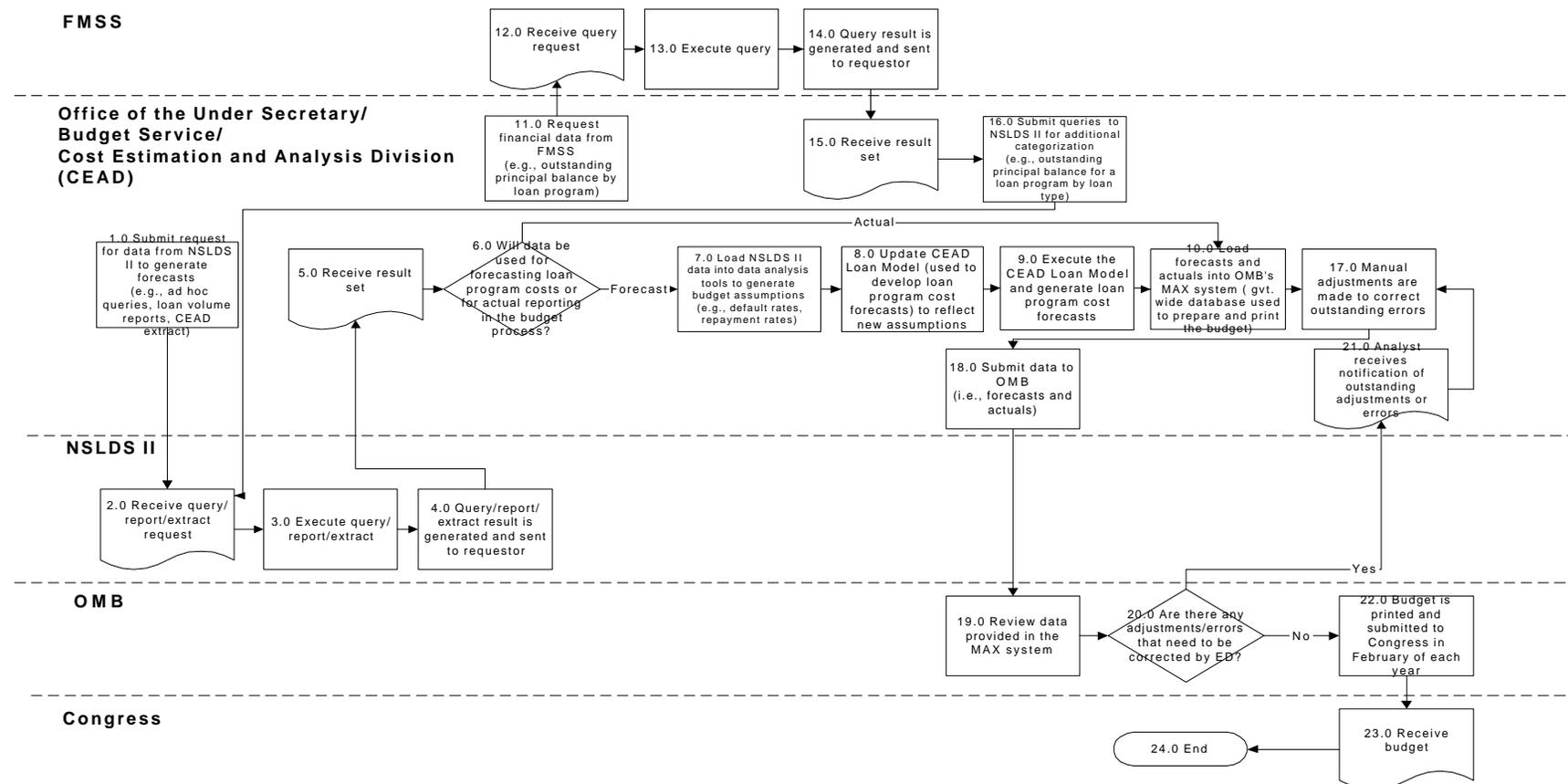
After the actuals and estimates are prepared, they are loaded into OMB's MAX system. This system is OMB's government wide database used to prepare and print the budget. OMB reviews the figures provided in the MAX system, as they are loaded. After the system is "balanced," the budget is printed and submitted to Congress in February of each year. In July, an update of the budget is performed. As part of mid-session review, only estimates are revised based on new economic assumptions and other new information. The budget is resubmitted to Congress.

11.1 Integration Points Across Modernization

At this time there are no known major points of integration related to the Budget Formulation and Execution function of NSLDS II and other FSA Modernization initiatives. If any are identified, future releases of NSLDS II, beyond Release 1, will examine ways to coordinate their impact on other FSA Modernization efforts.

11.2 Logical Workflow – Budget Formulation and Execution

11.2.1 Budget Formulation and Execution



12 Technical Requirements

The technical requirements are driven by the business and functional requirements. This section was developed with the goal of identifying technology for NSLDS II where cost savings can be achieved, and providing enabling tools and technical infrastructure to support not only the immediate NSLDS II Release 1 initiative, but the entire NSLDS reengineering strategy. For example, an easier to use data access tool, in which the user does not need understanding of the underlying database or query language, will enhance customer and employee satisfaction.

To fully understand the benefits of the new architecture, it is important to understand the three technical components of any analytical repository:

- **Data Acquisition** - includes the infrastructure related to data feeds, and the architectures to support various data feed frequencies, data file formats, edits and error handling
- **Data Storage** - includes database design, database tool capabilities, archiving, indexing, and data segmentation
- **Data Access** - includes query/reporting architecture and tools

The diagram below illustrates how the previously defined business functions drive data areas, which in turn drive technology requirements.

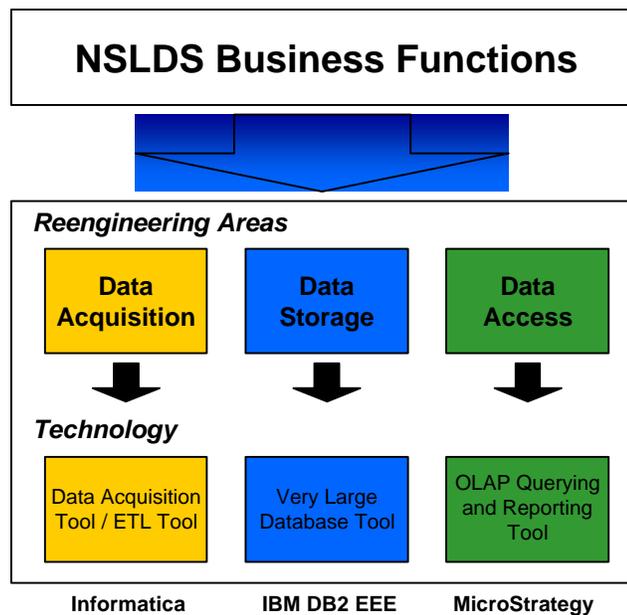


Figure 1, Business Function, Reengineering Areas, and Technology Relationship Diagram

The technology recommendations and requirements that are part of the NSLDS II Release 1 effort build on this framework using modern data warehouse tools and architecture. They represent a combination of both Modernization Partner and industry experience. The following technical requirements were drafted to build a modernized NSLDS II that will deliver higher data quality and customer satisfaction at a lower operational cost.

The following chart describes the layout for each technical requirement:

Column	Description
Function	Name of the NSLDS II technical area.
Function Description	Describes the function of the technical area.
Key Considerations	Lists the technical needs and gaps that should be considered in the release of NSLDS II.
Target Architecture Considerations	Lists the technical requirements to address the needs and gaps identified in the Key Considerations section of this chart.
Target Architecture Chosen	Identifies the product(s) chosen to perform the Function in NSLDS II and its subsequent releases.

Function:	12.1 Data Acquisition
Function Description:	Data acquisition includes both data feed process reengineering and the technical tools and infrastructure. A data acquisition tool should provide a complete, flexible solution to handle large and multiple data feeds, with extensive editing and “transformation” capabilities so that it is suitable for loading into NSLDS.
Key Considerations:	Currently, NSLDS uses COOL:Gen generated COBOL to perform edits and transformations, and to create reject records. COOL:Gen costs, skill set availability in the marketplace and compatibility with the EAI tool are key considerations in this area.
Target Architecture Considerations:	<p>Key requirements for the data acquisition tool, also known as an extract-transform-load tool (ETL) are:</p> <ol style="list-style-type: none"> 1. Ability to handle large volumes of data feeds, with extensive editing and transformations required for data scrubbing. 2. Ability to be compatible with MQ-Series (EAI Bus). This is important because under modernization, most data exchanges are envisioned to happen on EAI. 3. Ability to quickly and efficiently add more data feeds. 4. Ability to reduce the overall cost of the ETL tool. <ul style="list-style-type: none"> • Ability to lower licensing and license maintenance costs. • Ability to lower ETL development and maintenance costs. 5. Ability to have lower-cost hardware affinity.
Target Architecture Chosen	Informatica running on the UNIX operating system. This is the standard target architecture for ETL tools supporting FSA Modernization efforts.

Function:	12.2 Data Storage
Function Description:	The Data storage area should be focused on users and delivering functions. Doing this efficiently on a very large database requires solid database design, and archiving and data segmentation strategies.
Key Considerations:	<p>NSLDS currently runs on DB2 on a mainframe platform. The data model is in 3rd normal form, atypical of query/report systems. This design needs to move to a “star” or a “snowflake” schema for more efficient query and report processing.</p> <p>Another consideration is having a database engine that can efficiently handle very large databases. The leading database vendors are IBM, NCR Teradata, Oracle, Sybase and Microsoft.</p>
Target Architecture Considerations:	<p>Key database tool requirements for this area are:</p> <ol style="list-style-type: none"> 1. Ability to quickly load bulk information, without interrupting users’ ability to perform queries. 2. Ability to be compatible with multiple industry-leading ETL tools, including Informatica. 3. Ability to perform fast queries on a very large multi-terabyte database. 4. Ability to handle several thousand to several million users. This is important as NSLDS II could be accessed by hundreds of customer service representatives, students and schools to varying degrees. 5. Ability to handle multiple data modeling techniques (normalized, star, and snowflake schemas). 6. Ability to be compatible with multiple industry-leading query/report tools, including MicroStrategy. 7. Ability to lower overall cost. <ul style="list-style-type: none"> • Licensing and license maintenance costs. • Database development and maintenance costs. • Hardware affinity costs.

Target Architecture Chosen	<p>IBM DB2 Enterprise Extended Edition (EEE), running on a cluster of mid-range UNIX servers.</p> <p>Based on a rigorous RFP, proposal, evaluation and selection process, IBM was chosen as the preferred solution for the NSLDS II Reengineering platform. Several items including credentials, cost, research, and technology were the key factors. Oracle, the standard target architecture for other FSA Modernization efforts, as well as Microsoft and Sybase, were eliminated based on their lack of relevant experience. This experience requirement, related to successful multi-terabyte data warehouse implementations narrowed the field to NCR Teradata and the eventual selection, IBM EEE.</p>
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Function:	12.3 Data Access
Function Description:	The data access area should provide an easy and efficient way for users to get access to NSLDS II data. This also implies improved database design, a robust query and reporting architecture (web, client/server access, etc), as well as a powerful and easy to use tool.
Key Considerations:	<p>NSLDS provides self-service queries through the mainframe QMF tool or through pre-defined reports. QMF is difficult to learn and users reportedly must also have a detailed working knowledge of how the NSLDS database is organized as well as many its detailed codes. Also, many of the pre-defined reports do not yield quick results, and users often get unexpected result sets.</p> <p>Users can also make requests of the NSLDS support staff for reports to be run on their behalf. However, this requires filing a request, waiting on assignment and development, and finally testing and execution. As with any “one-off” development cycle, this process can prove be expensive not only in terms of development cost but in lost time as well.</p> <p>A key consideration in this area is to move to a self-service model, where users can access data directly from NSLDS with little or no support from the NSLDS support staff.</p>
Target Architecture Considerations:	<p>Key requirements for the data access tool are:</p> <ol style="list-style-type: none"> 1. Ability to have intuitive user interface, with anytime, anywhere access. This is important because self-service user access to NSLDS is currently difficult. 2. Ability to create ad-hoc queries without significant knowledge of SQL or database design. 3. Ability to handle multiple data models or schemas (star, snowflake or 3rd normal) 4. Ability for performance and compatibility with very large database engines. 5. Ability to make quick changes, as user needs change and more users are added with new needs. 6. Ability to lower overall cost.

	<ul style="list-style-type: none">• Licensing and license maintenance costs.• Application development and maintenance costs.• Lower-cost hardware affinity.
Target Architecture Chosen	<p>MicroStrategy, running on the Windows NT platform, accessible via the Internet. . This is the standard target architecture for Business Intelligence tools supporting FSA Modernization efforts.</p> <p>Access to NSLDS II functions and data will also be provided via the NSLDS FAP and Student Access Web Sites.</p>

13 Deployment Requirements

The purpose of the NSLDS II Deployment Requirements is to identify processes and procedures that will assist in successfully implementing NSLDS II for the student financial aid community. The deployment requirements will provide a framework to be followed when transferring NSLDS II from the development stage into the production environment.

The deployment requirements for NSLDS II are developed to support the following objectives:

- FSA’s main business concerns are addressed
- Regulatory, statutory, and compliance requirements are met
- Adequate security design, planning and testing are performed
- FSA quality assurance standards are observed
- System operates as designed
- Data integrity is upheld and improved
- End users have the ability to operate the system
- End users are willing to use the new system; “buy-in” has been generated
- Support and maintenance personnel are in place

The deployment requirements have been categorized into the following areas:

- Management
- Regulatory, Statutory, and Compliance
- Security
- Quality Assurance
- Testing
- Conversion
- Training
- Implementation
- Stabilization

The following chart describes the layout for each deployment requirement:

Column	Description
Function	Name of the NSLDS II core business function.
Function Description	Describes the background and objective of the function.
Key Point Impacts	Lists the deployment needs that should be addressed in the release of NSLDS II.

Function:	13.1 Management
Function Description:	FSA business owners must be involved in the conceptual design and support of the new processes implemented as a result of NSLDS reengineering efforts. This requires continuous monitoring of the impacts to the student financial aid community, providing status updates to the student financial aid community when appropriate, and addressing concerns from external and internal stakeholders.
Key Point Impacts:	<ol style="list-style-type: none"> 1. Ability to meet with ED executives and inform them about NSLDS II progress and solicit feedback. <ul style="list-style-type: none"> - Steering Committee (FSA and ED Executives) - FSA Management Council 2. Ability to have executive influence and support from all channels (i.e. business owners) affected by NSLDS II. These business owners include: <ul style="list-style-type: none"> • CIO • CFO • Students Channel • Schools Channel • Financial Partners 3. Ability to have active participation from key decision makers within each of the channels/business units. 4. Ability for NSLDS II to be signed off by the following key stakeholders: <ul style="list-style-type: none"> • Harry Feely • Michael Fillinich

Function:	13.2 Regulatory, Statutory, and Compliance
Function Description:	NSLDS II must comply with all directly or indirectly related federal regulations. Direct regulations consist of policies that specifically refer to NSLDS (e.g. only Title IV data may be stored within NSLDS). Indirect regulations consist of policies that are not specifically targeting NSLDS but still affect the business processes it supports (e.g. GPEA).
Key Point Impacts:	<ol style="list-style-type: none"> 1. Ability for NSLDS II to comply with the following directives: <ul style="list-style-type: none"> • Higher Education Act of 1965, as amended • Credit Reform Act of 1992 • Section 508 compliance standards • Government Paperwork Elimination Act (GPEA)

Function:	13.3 Security
Function Description:	Adequate security design, planning and testing of NSLDS II is a critical component to the system's ability to "go-live" and function for FSA.
Key Point Impacts:	<ol style="list-style-type: none"> 1. Ability to develop and execute a high quality security plan that addresses the necessary requirements established by the Department and FSA which is based primarily on the following publications and guidelines: <ul style="list-style-type: none"> • FSA Technology Standards and Products Guide • Computer Security Act of 1987 • Office of Management and Budget (OMB) Circular A-130 • National Institute of Standards and Technology (NIST) 800-18

Function:	13.4 Quality Assurance
Function Description:	Quality assurance (QA) is the process of verifying that standards are followed when developing the system. Standards help promote quality and consistency during system development.
Key Point Impacts:	<ol style="list-style-type: none"> 2. Ability to develop and execute a quality assurance plan that addresses the criteria and standards outlined in the: <ul style="list-style-type: none"> • FSA Technology Standards and Products Guide

Function:	13.5 Testing
Function Description:	Testing is the process of verifying the system meets FSA's business and technical requirements, functions as designed, and serves FSA's business processes.
Key Point Impacts:	<ol style="list-style-type: none"> 1. Ability to develop and execute a test plan that includes unit, system, performance, and end-user testing. 2. Ability for the test plan to address at least the following open issues: <ul style="list-style-type: none"> • Performance testing to handle data greater than one terabyte • Coordinate interface test with large financial community • Coordinate testing with modernized systems as they roll out in advance to NSLDS II implementation 3. Ability to establish a separate development, test, and production environment.

Function:	13.6 Conversion
Function Description:	Data conversion is the process of migrating data from the existing system database to new platforms. Data conversion includes the process of determining which data will be deleted, archived, or transferred to the new system database. It also identifies needed measures to clean, correct, and repair existing data to the extent practical and necessary.
Key Point Impacts:	<ol style="list-style-type: none"> 1. Ability to develop and execute a data conversion plan. 2. Ability for the data conversion plan to address at least the following open issues: <ul style="list-style-type: none"> • Size of the data (greater than one terabyte) • Current interfacing applications • Data sanitization • Fully paid loans • Unique identifiers • Potential use of EAI bus for data internal to FSA • Use of other data marts • Platform implications • Archiving criteria

Function:	13.7 Training
Function Description:	Training is the process of educating end-users about the new system so that they are able to continue performing tasks effectively. Training will allow users to understand the overall process changes and to prepare for the changes that specifically impact, either directly or indirectly, their tasks or area of responsibility. Training also enables a smoother transition to the new system.
Key Point Impacts:	<ol style="list-style-type: none"> 1. Ability to identify training audiences, including maintenance and support personnel. 2. Ability to develop and execute a training plan. 3. Ability to develop and deliver clear and concise training materials to the appropriate audiences.

Function:	13.8 Implementation
Function Description:	Implementation of NSLDS II encompasses activities associated with the “roll-out” of the new system to the student financial aid community. The implementation timeframes should consider the implementation schedule of other FSA modernized systems when developing the implementation strategy. This will allow for a smooth transition and minimize impact to the user community.
Key Point Impacts:	<ol style="list-style-type: none"> 1. Ability to develop and execute an implementation strategy that identifies rollout phases and a timeline. 2. Ability to develop a communication plan to notify internal/external personnel of implementation. 3. Ability to deploy NSLDS II to a pilot group. 4. Ability to determine criteria for retiring NSLDS.

Function:	13.9 Stabilization
Function Description:	<p>After NSLDS II is implemented, a team of personnel will maintain and support the system through stabilization of the NSLDS II environment. This team will fulfill the following duties:</p> <ul style="list-style-type: none"> • Monitor the system and troubleshoot problems • Answer end-user questions • Retire NSLDS once NSLDS II retirement criteria is met • Depending on funding and resource availability – implement small enhancements to the system. Large enhancements will be provided for in future releases of the system.
Key Point Impacts:	<ol style="list-style-type: none"> 1. Ability to incorporate NSLDS II central call center support as part of the Customer Relationship Management for FSA (CRM4FSA). 2. Ability to develop and monitor service level agreements (SLAs) for performance and reliability with hardware/software vendors. 3. Ability for SLAs to address at least the following open issues: <ul style="list-style-type: none"> • Backup recovery • Disaster recovery • Response time for query execution • System reliability 4. Ability to develop a resource allocation plan to maintain and support NSLDS II. 5. Ability to develop processes to establish proper maintenance and support capability after “go-live.”

Appendix A: Business Functions Matrix

Appendix B: NSLDS II Detailed Requirements Matrix

NSLDS II Reengineering
Appendix A: Business Functions Matrix

Appendix A: Business Function Matrix

The Business Function Matrix contains a list of high-level functional requirements that should be addressed by NSLDS II.

The layout of the matrix is as follows:

Business Function Matrix Heading	Description
Business Driver	Categorizes the functional requirements. The following NSLDS reengineering business driver categories were identified: Data Integrity, Financial Integrity, Customer Satisfaction, and Operational Cost.
Requirement Number	Functional requirement number.
Functional Requirement	Describes the functional requirement.
Requirement Status	Identifies whether the requirement is a new or existing requirement. A new requirement is functionality or a process that is currently not supported (e.g., Ability for schools to submit Title IV student enrollment information to a single enrollment repository). An existing requirement is functionality or a process that is currently supported but may not be performing to the satisfaction of the end user(s).
NSLDS II Functional Requirement Areas	Documents the core NSLDS functions that are impacted by the functional requirement. Each requirement contains an "X" in bold, indicating to which requirement area is the requirement most aligned.
NSLDS II Reengineering Solutions	Identifies which proposed NSLDS II Reengineering Solution(s) may satisfy the functional requirement.
Priority	Prioritizes the functional requirements. The following priority categories were identified: <ul style="list-style-type: none"> - High Priority: Critical requirements that must be supported by NSLDS II as soon as possible. - Medium Priority: Very important requirements that should be supported by NSLDS II in the near term. - Low Priority: Important requirements that but do not have to be supported by NSLDS II in the immediate future.
Source	Identifies the name of the resource providing the requirement. The sources include focus groups, as well as NSLDS manuals and documents.
Comments	Provides examples and/or additional clarification regarding the functional requirement.

NSLDS II Reengineering
Appendix A: Business Functions Matrix

Requirement Type	Business Driver	Req. Number	Requirement	Requirement Status		NSLDS II Functional Requirement Areas											NSLDS II Reengineering Solutions				Priority			Source	Comments
				New Requirement	Existing Requirement	Student Aid Eligibility	Financial Aid History	Student Transfer Monitoring	Loan Transfer Tracking	FP Payment/Payment Reasonability	Cohort Default Rates	Enrollment Tracking	Audit & Program Reviews	Research & Policy Development	Budget Formulation & Execution	FP Data Feed Reengineering	Outsourced Enrollment Tracking	Internal FSA Direct Access	Data Warehousing	High	Medium	Low			
		1.1.8	Ability to track and access demographic information about loan records in NSLDS II.	X		X	X	X	X	X		X	X	X				X	X			Program Analysis; Ombudsman	- An audit trail tracking changes to loan data would help gauge the accuracy of the data (e.g., date of last update, source of last update). - NSLDS II should post the date when the loan record was last updated on the user interface.		
		1.1.9	Ability to distinguish each type of Title IV aid within NSLDS II.		X		X					X	X	X							X	Ombudsman	- HEAL loans do not have a unique identifier in NSLDS II. They appear as large FFEL unsubsidized loans.		
	No Details	1.1.10	Ability to associate underlying loans and their detailed information to the overall consolidated loan.		X	X	X		X	X	X	X	X	X							X	CIO; Financial Partners; CFO; Schools; Students; Ombudsman	- Because no tie exists between the underlying loans and the consolidated loan, there is no way to determine the loan status of the underlying loans to verify they were properly closed.		
		1.1.11	Ability to store the accurate status for a loan.		X	X	X		X	X	X										X	CIO; Financial Partners; Schools; Ombudsman	- Accurate loan status is a problem with consolidated loans. In some cases, the underlying loans of a consolidated loan do not have a "closed" status.		
		1.1.12	Ability for a class of users to have full access to the financial aid data (includes updates).		X	X	X		X		X	X	X								X	Schools	- When a school closes, the school's servicer often does not transfer the loan to ED as it should or continue to service it. Because ED does not have ownership of the loan and the servicer is no longer assuming ownership of the loan, no changes can be made to it. -Schools always have a need to correct data.		
		1.1.13	Ability for each loan to have a single unique key identifier.	X		X	X		X	X	X			X	X						X	X	Ombudsman; OMB; Schools	- Loan identifiers are often missing in the data submissions by Servicers.	
		1.1.14	Ability to determine the borrower's Title IV aid history.		X	X	X	X							X						X	SFA Handbook: Student Eligibility; Common Manual; Unified Student Loan Policy; NSLDS II Federal GA Data Provider Instructions	- Title IV aid history includes: open and closed loans and grants, original and remaining balances, disbursement dates, enrollment information, etc. - The dependency status of the borrower should be tracked as it impacts the amount of eligible aid for an applicant. - NSLDS II should create a loan history record, similar to a college transcript, where all loans are listed for a student and the changes to the student's loan record tracked.		
		1.1.15	Ability to determine if an aid applicant/borrower is in default on an existing Title IV loan.		X	X	X			X					X						X	SFA Handbook: Student Eligibility; Common Manual; Unified Student Loan Policy; Students; Ombudsman	- This criteria is validated during pre-screening of an aid applicant.		
		1.1.16	Ability to determine if an aid applicant/borrower owes overpayments on Title IV aid.		X	X	X								X						X	SFA Handbook: Student Eligibility; Common Manual; Unified Student Loan Policy; Students; Ombudsman	- This criteria is validated during pre-screening of an aid applicant.		
		1.1.17	Ability to determine if an aid applicant has borrowed the maximum amount allowed based on annual loan limits received.		X	X	X								X						X	SFA Handbook: Student Eligibility; Common Manual; Unified Student Loan Policy; Students; Ombudsman	- This criteria is validated during pre-screening of an aid applicant.		
		1.1.18	Ability to determine if an aid applicant has borrowed the maximum amount allowed based on aggregated loan limits received in prior award years (based on unpaid principal balances) .		X	X	X								X						X	SFA Handbook: Student Eligibility; Common Manual; Unified Student Loan Policy; Students; Ombudsman	- This criteria is validated during pre-screening of an aid applicant.		

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		1.1.19	Ability to determine if an aid applicant is in default on an existing Title IV loan after pre-screening/post-screening has been conducted.		X	X	X										X		X				SFA Handbook: Student Eligibility; Students; Ombudsman	- This criteria is validated during post-screening of an aid applicant.
		1.1.20	Ability to determine if an aid applicant owes overpayment on an existing Title IV aid after pre-screening/post-screening has been conducted.		X	X	X										X		X				SFA Handbook: Student Eligibility; Students; Ombudsman	- This criteria is validated during post-screening of an aid applicant.
		1.1.21	Ability to respond to requests for monitoring transfers of student borrowers.		X			X										X	X				SFA Handbook: Student Eligibility; CFO	- NSLDS II needs to be able to monitor student borrower transfers at any point in an award year (i.e., beginning of semester, mid-semester, end of semester).
		1.1.22	Ability to notify appropriate systems and people if an aid applicant/borrower's financial aid history has had a substantial change affecting eligibility.		X	X	X				X							X	X				SFA Handbook: Student Eligibility; CFO	
		1.1.23	Ability to track a borrower's enrollment status overtime, retaining a history of updates received.		X	X					X	X						X	X				Common Manual: Unified Student Loan Policy; Schools; Ombudsman; Students	- When the school does not report that a student is enrolled after the expected graduation date, the status of withdrew is automatically applied to this student by the Clearinghouse. The Clearinghouse does not verify this enrollment status with the school, leading to inaccurate enrollment status stored in NSLDS II.
		1.1.24	Ability to accurately track the current holder of a loan.		X	X			X	X	X						X		X				Financial Partners Act of 1965	- Reconciliation of loans is very difficult when the loan holder cannot be located.
		1.1.25	Ability to track the history of loan holders.		X				X										X				NSLDS II Federal GA Data Provider Instructions	- Transferred loans may result in the appearance of duplicate records within NSLDS II during the transitory period between the seller and buyer submitting their loan details.
1.2 Financial Integrity																								
No Details		1.2.1	Ability to receive loan summary information by cohort year, risk category, and loan type.	X							X	X	X	X			X		X				CFO	- This information is used to prepare various required reports as well as provide Budget Service necessary information to compute subsidy estimates
No Details		1.2.2	Ability to receive and store data to reconcile/calculate detailed loan data submitted by GAs with the Form 799 loan summary submission by lenders/servicers.		X					X			X				X						Ombudsman; CFO	- Lenders and Servicers receive interest subsidy and special allowance payments based on their submitted 799 summary form.
		1.2.3	Ability to reconcile issuance and maintenance fee payments to the GAs (i.e., LPIF and AMF).		X					X							X		X				NSLDS II Federal GA Data Provider Instructions	
		1.2.4	Ability to receive and store loan data to reconcile/calculate reinsurance payments to the GAs.		X					X							X		X				NSLDS II Federal GA Data Provider Instructions	
No Details		1.2.5	Ability to reconcile default payments to GAs with loan level details before reinsurance payment.	X						X							X			X			CFO	- The CFO group would like to perform reasonability analysis before loan default payments are disbursed. Currently, FSA pays the GA's "on demand" (i.e., as soon as the claim is received - Form 2000). It can take up to six months to receive all of the loan data to perform a proper reasonability analysis.
No Details		1.2.6	Ability to notify GAs and the direct loan servicing system of student enrollment changes.		X						X	X						X					Common Manual: Unified Student Loan Policy	- Student enrollment changes directly impact when a student must begin repaying their loan.
No Details		1.2.7	Ability for loan holders to provide timely updates when a loan transfers from one loan holder to another.		X			X	X	X	X						X						Financial Partners	
		1.2.8	Ability to track delinquent loans that are not yet in default.	X						X	X	X							X	X			CFO; Schools	- Tracking delinquent loans would insert some control measures in the default collections process.
		1.2.9	Ability to provide schools the loan details to substantiate a calculated draft or official cohort default rate.		X						X								X				Common Manual: Unified Student Loan Policy	

NSLDS II Reengineering
Appendix A: Business Functions Matrix

Requirement Type	Business Driver	Req. Number	Requirement	Requirement Status		NSLDS II Functional Requirement Areas										NSLDS II Reengineering Solutions				Priority		Source	Comments					
				New Requirement	Existing Requirement	Student Aid Eligibility	Financial Aid History	Student Transfer Monitoring	Loan Transfer Tracking	FP Payment/Payment Reasonability	Cohort Default Rates	Enrollment Tracking	Audit & Program Reviews	Research & Policy Development	Budget Formulation & Execution	FP Data Feed Reengineering	Outsourced Enrollment Tracking	Internal FSA Direct Access	Data Warehousing	High	Medium			Low				
		1.2.10	Ability to calculate and analyze an official CDR for a school, GA or lender.		X																				Schools			
		1.2.11	Ability to communicate the calculated CDR information (and supporting LRDR for schools) to schools, GAs or lenders.		X																					Schools		
		1.2.12	Ability to generate a Repayment Information Report (notional CDR) on demand.		X																					Schools		
		1.2.13	Ability to support the appeals / challenges process by maintaining a history of default rates and backup data.		X																					Schools		
		1.2.14	Ability to compute and provide state and national CDR averages for schools to PEPS. A default history summarizing statewide and national rates should be maintained and accessible.		X																					Schools		
		1.2.15	Ability to secure the data in such a way that an organization may only have access to the default rate and supporting data for itself and those organizations with which it shares an ownership relationship.		X																							
		1.2.16	Ability to calculate a CDR using a comprehensive dataset from the cohort fiscal year.		X													X								Schools	- Until the loan details are stored in NSLDS II, they will not be included when calculating a CDR. - Loan details are submitted by lenders/Serviceers quarterly to the GAs. The GAs submit these details to NSLDS II monthly. Edits may occur between each of these data exchanges resulting in loan information being delayed before posting to NSLDS II. This delay may result in CDR errors.	
		1.2.17	Ability to perform hypothetical analysis for reporting purposes.		X	X		X			X	X														Students	- Currently there is no way to identify a relationship between aid applicants who misreport on their FAFSA and who also default on their loan.	
		1.2.18	Ability to provide loan details for all loans and/or a subset of loans held by a specific organization (i.e., schools, servicers, lenders) for audit and program review purposes.		X																					NSLDS II Federal Perkins Data Provider Instructions; NSLDS II Federal GA Data Provider; Instructions Financial Partners; Schools	- If an audit or program review is being conducted on a large lender/servicer/GA, then only a sample of the data from NSLDS II is used during the audit or program review.	
		1.2.19	Ability to provide GAs, lenders, servicers and schools with reports for researching and assessing their own performance in administering student aid programs.		X																					NSLDS II Federal Perkins Data Provider Instructions; NSLDS II Federal GA Data Provider Instructions		
		1.2.20	Ability to easily format query results.		X																					Audit and Program Review		
		1.2.21	Ability to provide all student information currently accessible through the FAP screens within a single report.	X																						NSLDS II Federal Perkins Data Provider Instructions; NSLDS II Federal GA Data Provider Instructions		
		1.3 Customer Satisfaction																										
		1.3.1	Ability to maintain or reduce the number of data exchanges in the loan details submission process that involves the lenders/servicers, GAs, and NSLDS II.	X			X	X	X	X		X	X	X	X												Financial Partners; Schools; CFO; CIO	- Adding another layer of data exchange would add another layer of reconciliation and another entity for review and possibly create additional errors.
		1.3.2	Ability to generate reports in a timely manner.		X																					Financial Partners; Program Analysis	- Some program review reports are generated up to a month before the review is conducted. - Results received from executing queries are not logically categorized. A lot of time is spent formatting and editing the data into a useful report format.	

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Appendix A: Business Functions Matrix

Requirement Type	Business Driver	Req. Number	Requirement	Requirement Status		NSLDS II Functional Requirement Areas											NSLDS II Reengineering Solutions				Priority			Source	Comments	
				New Requirement	Existing Requirement	Student Aid Eligibility	Financial Aid History	Student Transfer Monitoring	Loan Transfer Tracking	FP Payment/Payment Reasonability	Cohort Default Rates	Enrollment Tracking	Audit & Program Reviews	Research & Policy Development	Budget Formulation & Execution	FP Data Feed Reengineering	Outsourced Enrollment Tracking	Internal FSA Direct Access	Data Warehousing	High	Medium	Low				
		1.3.3	Ability for schools to update enrollment history for its student borrowers online.		X																				SFA Handbook: Student Eligibility; CIO; Schools	- Schools are required to submit student enrollment information twice a year or if the enrollment status of a student changes. Most submit their enrollment updates between 5-6 times a year. - Schools enrolling a small number of students who receive Title IV aid tend to submit their enrollment updates online.
		1.3.4	Ability for schools to identify loan/grant overpayments for its student borrowers online.		X																				SFA Handbook: Student Eligibility; CIO; Schools	- Schools are required to submit student enrollment information twice a year or if the enrollment status of a student changes. Most submit their enrollment updates between 5-6 times a year. - Schools enrolling a small number of students who receive Title IV aid tend to submit their enrollment updates online.
		1.3.5	Ability to provide relevant data to schools throughout the student lifecycle.	X		X	X											X	X	X				Schools	- Schools receive more data than is necessary because the student lifecycle has not been analyzed when designing systems to determine specific information needs and exactly at which point in the process this information is needed.	
		1.3.6	Ability for borrower to view their Title IV student aid history online.		X		X	X	X																NSLDS II Federal Perkins Data Provider Instructions NSLDS User Documentation	
		1.3.7	Ability to have access to the GA loan detail reporting schedule online.		X	X	X		X	X	X		X	X	X										Ombudsman; Financial Partners	- The GA reporting schedule assists in determining when the last update was made to a loan record and when the next update will occur. Knowing this schedule will help the Ombudsman respond to questions about a borrower's financial aid history. It will also help program reviewers and auditors to determine when the audit or program reports should be generated.
		1.3.8	Ability to view or update Title IV data online.		X	X	X	X	X	X	X	X	X	X											CIO NSLDS User Documentation	
		1.3.9	Ability to support an electronic solution for distributing draft and official CDR notification packages.	X							X														Schools	
		1.3.10	Ability to search and locate a loan when key data fields are missing.	X		X	X		X	X	X		X	X	X										Ombudsman	

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Appendix A: Business Functions Matrix

Requirement Type	Business Driver	Req. Number	Requirement	Requirement Status		NSLDS II Functional Requirement Areas										NSLDS II Reengineering Solutions				Priority			Source	Comments
				New Requirement	Existing Requirement	Student Aid Eligibility	Financial Aid History	Student Transfer Monitoring	Loan Transfer Tracking	FP Payment/Payment Reasonability	Cohort Default Rates	Enrollment Tracking	Audit & Program Reviews	Research & Policy Development	Budget Formulation & Execution	FP Data Feed Reengineering	Outsourced Enrollment Tracking	Internal FSA Direct Access	Data Warehousing	High	Medium	Low		
		1.3.11	Ability to search and locate a loan using a single unique key identifier.	X		X	X		X	X	X			X	X			X	X		Ombudsman; Schools	- When searching the loan records using the current three identifiers (i.e., SSN, DOB, and last name), only a few records are returned and often the sought loan is not returned in the query results. - A single unique loan ID number is needed. This number would assist in reconciling loan data between lenders/Serviceers, GAS, and NSLDS II. NSLDS II could either capture and store this identifier or be told where to look for it in the source system.		
		1.3.12	Ability to have access to specific loan detail data elements.		X		X							X	X					X	Financial Partners	- Only certain fields on a loan are reviewed during an audit or program review (e.g., loan holder, loan status, amount guaranteed, and outstanding principal balance).		
	No Details	1.3.13	Ability to determine student eligibility real time when a corrected FAFSA is submitted.	X		X										X			X	Student	- Once an aid applicant's identity has been verified, the student could know its eligibility immediately after submitting a corrected FAFSA if CPS and NSLDS II were designed to provide and receive real time data, instead of batched data.			
		1.3.14	Ability to view/access query results in a timely manner.		X					X				X	X				X	Financial Partners; Program Analysis	- Execution time of most queries is 1-2 hours but can last as long as overnight. - Queries results are received in batch format. - Query results are not promptly received for multi-joined queries.			
		1.3.15	Ability to receive data from NSLDS II without limiting the size of a query result.	X							X			X	X	X			X	Financial Partners	- Some query results are incomplete due to data download limits in NSLDS II.			
1.4 Operational Cost																								
		1.4.1	Ability to make case-by-case edits to data marked as historical (i.e., before a determined date).	X		X	X												X	X	Ombudsman	- The majority of NSLDS II's data integrity issues are found in the data that is 10-15 years old. - As much as half of the data in NSLDS II originates before 10/1/89. - Data inaccuracy in NSLDS II requires a significant learning curve, extensive data knowledge, and time-consuming validation and verification (V&V). - There are gaps in the historical data within NSLDS II.		
		1.4.2	Ability to provide data that can be used to develop reliable, sound forecasts and program estimates.		X					X					X	X	X	X		NSLDS II Federal GA Data Provider Instructions	- Data that is old could jeopardize the quality of reports, analysis, and policies.			
		1.4.3	Ability to access data from NSLDS II through a single reporting tool.		X					X				X	X			X		Program Analysis				
		1.4.4	Ability to provide a query tool that allows an end user to perform ad hoc queries.		X					X				X	X			X		Financial Partners; Program Analysis	- The process of having an NSLDS II contractor to generate and execute complex ad hoc queries is time-consuming. - Access to data requires the extensive knowledge of NSLDS II data organizational codes and exceptions, ability to write advanced SQL code, and the ability to use query batch tool.			
		1.4.5	Ability to compare data for accurate "snapshot in time" data analysis.		X					X				X	X			X		Program Analysis; CFO	- Varying data feed frequency into NSLDS II results in inconsistent data comparisons.			
	No Details	1.4.6	Ability to store all Title IV participant enrollment information in a single repository.		X			X		X				X	X					Program Analysis; CIO; Financial Partners; CFO; Students; Ombudsman	- At least 80% of all Title IV student enrollment information is collected by the NSC.			
2.0 Technical																								

NSLDS II Reengineering
Appendix B: NSLDS II Detailed Requirements Matrix

Type	Detailed Req Number	Detailed Requirement	New/Existing Requirement	Mapping to High Level Requirement	NSLDS II Functional Areas										Source	Comments
					Student Aid Eligibility	Financial Aid History	Student Transfer Monitoring	Loan Transfer Tracking	FP Payment/Payment Reasonability	Cohort Default Rates	Enrollment Tracking	Audit & Program Reviews	Research & Policy Development	Budget Formulation & Execution		
2.0 Report																
	2.001	Ability to provide an extract listing FFEL loan disbursements for lenders within a specified period of time.	Existing	1.2.18, 1.4.5									X		NSLDS; NSLDS User Documentation, 4/5/02	- This requirement aligns to report APR001 in NSLDS.
	2.002	Ability to provide an extract listing FFEL loan disbursements for schools within a specified period of time.	Existing	1.2.18, 1.4.5									X		NSLDS; NSLDS User Documentation, 4/5/02	- This requirement aligns to report APR001 in NSLDS.
	2.003	Ability to provide an extract listing loans in a guaranty agency's portfolio and the status of each loan.	Existing	1.2.18, 1.4.5									X		NSLDS; NSLDS User Documentation, 4/5/02	- This requirement aligns to report APR002 in NSLDS.
	2.004	Ability to provide an extract listing loans in a lender's portfolio and the status of each loan.	Existing	1.2.18, 1.4.5									X		NSLDS; NSLDS User Documentation, 4/5/02	- This requirement aligns to report APR003 in NSLDS in NSLDS.
	2.005	Ability to provide an extract listing detailed loan information of loans held by a specific lender within a specified loan guaranty period of time.	Existing	1.2.18, 1.4.5				X					X		NSLDS; NSLDS User Documentation, 4/5/02	- This requirement aligns to report APR028 in NSLDS.
	2.006	Ability to provide a report listing detail loan information of loans originated during a specified fiscal year and report quarter for lenders, or a specific lender or lender servicer.	Existing	1.2.18, 1.4.5				X					X		NSLDS; NSLDS System/Subsystem Specifications, 8/18/00	- This requirement aligns to report APR029 in NSLDS.
	2.007	Ability to provide reports identifying loans suspected of being rolled-up and reported to NSLDS II at the account level.	Existing	1.2.18, 1.1.10, 1.4.5				X					X		Technical Update GA--2001-06, 8/23/01	- This requirement aligns to DPOSU Query #3 in NSLDS.
	2.008	Ability to identify loans that may have been consolidated but have an open status in NSLDS II or are coded as paid in full.	Existing	1.2.18, 1.1.10, 1.4.5				X	X				X		Technical Update GA--2001-06, 8/23/01	- This requirement aligns to DPOSU Query #4E in NSLDS.
	2.009	Ability to provide list of open loans for a specific lender.	Existing	1.2.18, 1.4.5									X		Technical Update GA--2001-06, 8/23/01	- This requirement aligns to DPOSU Query #19 in NSLDS.
	2.010	Ability to provide list of total number of loans, guaranty amounts, outstanding principal balance (OPB), disbursements, and cancellations by lender ID.	Existing	1.2.18, 1.4.5									X		Technical Update GA--2001-06, 8/23/01	- This requirement aligns to DPOSU Query #20 in NSLDS.
	2.011	Ability to identify open loans that have not been updated with a current outstanding principal balance (OPB).	Existing	1.2.18, 1.4.5									X		Technical Update GA--2001-06, 8/23/01	- This requirement aligns to DPOSU Query #6 in NSLDS.
	2.012	Ability to identify loans that have an open status but have zero principal, interest, and fee balances.	Existing	1.2.18, 1.4.5									X		Technical Update GA--2001-06, 8/23/01	- This requirement aligns to DPOSU Query #7 in NSLDS.
	2.013	Ability to identify 'neglected' loans in repayment more than twelve years that are held by the GA and have not been updated in the past year.	Existing	1.2.18, 1.4.5					X	X			X		Technical Update GA--2001-06, 8/23/01	- This requirement aligns to DPOSU Query #9 in NSLDS.
	2.014	Ability to identify loans that have been open longer than the normal repayment period.	Existing	1.2.18, 1.4.5					X				X		Technical Update GA--2001-06, 8/23/01	- This requirement aligns to DPOSU Query #10 in NSLDS.
	2.015	Ability to identify loans with no disbursement data in NSLDS II.	Existing	1.2.18, 1.4.5									X		Technical Update GA--2001-06, 8/23/01	- This requirement aligns to DPOSU Query #11 in NSLDS.
	2.016	Ability to identify loans held by lenders that may be missing repurchase data in NSLDS II.	Existing	1.2.18, 1.4.5				X					X		Technical Update GA--2001-06, 8/23/01	- This requirement aligns to DPOSU Query #12 in NSLDS.
	2.017	excess of loan amount plus capitalized interest (estimated standard amount).	Existing	1.2.18, 1.4.5									X		Technical Update GA--2001-06, 8/23/01	- This requirement aligns to DPOSU Query #13 in NSLDS.
	2.018	Ability to identify loans on which LPIF may be overpaid.	Existing	1.2.18, 1.2.3, 1.4.5					X				X		Technical Update GA--2001-06, 8/23/01	- This requirement aligns to DPOSU Query #24L in NSLDS.
	2.019	Ability to identify loans on which AMF may be overpaid.	Existing	1.2.18, 1.2.3, 1.4.5					X				X		Technical Update GA--2001-06, 8/23/01	- This requirement aligns to DPOSU Query #32 in NSLDS.
	2.020	Ability to identify loans with moving outstanding principal balance (OPB) dates but static outstanding principal balance (OPB) amounts.	Existing	1.2.18, 1.4.5									X		Technical Update GA--2001-06, 8/23/01	- This requirement aligns to DPOSU Query #35 in NSLDS.
	2.021	Ability to identify old loans in repayment more than twelve years with outstanding principal balance (OPB) not updated in the past 4.5 years.	Existing	1.2.18, 1.4.5									X		Technical Update GA--2001-06, 8/23/01	- This requirement aligns to DPOSU Query #36 in NSLDS.
	2.022	Ability to provide a list of student borrowers with loan history who are scheduled to go into repayment during the specified date range. Borrowers returned will be in current attendance a the requestor's school.	Existing	1.4.5									X		CIO	- This requirement aligns to report DER001 and DER002 in NSLDS.

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Appendix B: NSLDS II Detailed Requirements Matrix

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					Student Aid Eligibility	Financial Aid History	Student Transfer Monitoring	Loan Transfer Tracking	FP Payment/Payment Reasonability	Cohort Default Rates	Enrollment Tracking	Audit & Program Reviews	Research & Policy Development	Budget Formulation & Execution		
	2.023	Ability to provide a report and an extract listing the current repayment status of borrowers in the FFEL and Direct Loan programs who attended a school during a specified period.	Existing	1.2.18, 1.4.5							X		X		NSLDS; NSLDS User Documentation, 4/5/02	- This requirement aligns to report DRC010 and DRC015 in NSLDS.
	2.024	Ability to provide a report and an extract listing the Cohort Default Rates for schools, guaranty agencies, or lenders and the loan records that made up the requested Cohort Default Rate.	Existing	1.2.9, 1.4.5						X					NSLDS; NSLDS User Documentation, 4/5/02	- This requirement aligns to report DRC029, DRC030, DRC031, DRC035, DRC040, DRC045 in NSLDS.
	2.025	Ability to provide national level summary reports for repayment history (notionals).	Existing	1.2.9, 1.4.5						X					NSLDS Contractor	- This requirement aligns to report DRC075 in NSLDS.
	2.026	Ability to provide national level summary reports for a Cohort Default Rate preview.	Existing	1.2.9, 1.4.5						X					NSLDS Contractor	- This requirement aligns to report DRC076 in NSLDS.
	2.027	Ability to provide national level summary reports for the official and draft Cohort Default Rate calculation.	Existing	1.2.9, 1.4.5						X					NSLDS Contractor	- This requirement aligns to report DRC080 in NSLDS.
	2.028	Ability to provide an extract to Postsecondary Education Participant System (PEPS) that identifies schools, GAs, and lenders whose record submittals are missing or currently outstanding.	Existing	1.2.18, 1.1.2, 1.4.2, 1.4.5									X		NSLDS; NSLDS User Documentation, 4/5/02	- This requirement aligns to report EBA005 in NSLDS.
	2.029	Ability to provide a report and an extract listing financial aid history for selected students during a specified award year.	Existing	1.2.18, 1.2.19, 1.4.5		X									NSLDS; CIO	- This requirement aligns to report FAT001 in NSLDS. - CAMS should be able to execute this report.
	2.030	Ability to provide a report listing the monthly error rates for one or all GAs and shows the top ten errors.	Existing	1.2.18, 1.2.19, 1.4.5								X			NSLDS; NSLDS User Documentation, 4/5/02	- This requirement aligns to report GAERRS2 in NSLDS.
	2.031	Ability to provide a report and an extract listing complete loan histories for borrowers whose loans are serviced by a specific GA.	Existing	1.2.18, 1.2.19, 1.4.5		X									NSLDS; NSLDS User Documentation, 4/5/02	- This requirement aligns to report GA005A in NSLDS.
	2.032	Ability to provide loan information on loans guaranteed by a GA in areas correlating to the Form 2000 line items AR-1 to AR-11.	Existing	1.2.18, 1.2.4, 1.4.5					X						NSLDS; CIO	- This requirement aligns to report MBR006 in NSLDS.
	2.033	Ability to generate loan details correlating with AMF payments made to GA(s) during a specified fiscal year.	Existing	1.2.18, 1.2.3, 1.4.5					X						NSLDS; CIO	- This requirement aligns to report MBR007 in NSLDS.
	2.034	Ability to generate loan details correlating with LPIF payments made to GA(s) during a specified fiscal year.	Existing	1.2.18, 1.2.3, 1.4.5					X						NSLDS; CIO	- This requirement aligns to report MBR008 in NSLDS.
	2.035	Ability to generate a data backup of the loan details correlating with AMF and LPIF payments made to GA(s) during a specified fiscal quarter.	Existing	1.2.18, 1.2.3, 1.4.5					X						NSLDS; CIO	- This requirement aligns to report MBR009 in NSLDS.
	2.036	Ability to generate loan information on loans guaranteed by a GA in the areas that correlate to the Form 2000 line items AR-12 to AR-13.	Existing	1.2.18, 1.2.4, 1.4.5					X						NSLDS; CIO	- This requirement aligns to report MBR010 in NSLDS.
	2.037	Ability to generate a data backup of the loan details correlating with AMF and LPIF payments made to GA(s) during a specified fiscal year.	Existing	1.2.18, 1.2.3, 1.4.5					X						NSLDS; CIO	- This requirement aligns to report MBR011 in NSLDS.
	2.038	Ability to provide a report listing ED receivables held by the GA.	Existing	1.2.18, 1.4.5					X						NSLDS; CIO	- This requirement aligns to report MBR012 in NSLDS.
	2.039	Ability to provide a report providing a comparison of information submitted on the ED Form 2000 to NSLDS II data.	Existing	1.2.18, 1.2.4, 1.4.5					X						NSLDS; CIO	- This requirement aligns to report MBR016 in NSLDS.
	2.040	Ability to provide a report for monthly reconciliation of Form 2000.	New	1.2.4, 1.4.5					X						CFO	
	2.041	Ability to provide a report for monthly reconciliation of Form 799.	New	1.2.2, 1.4.5					X						CFO	
	2.042	Ability to provide a report and an extract listing overpayments stored in NSLDS II for a specific school.	Existing	1.2.18, 1.2.19, 1.4.5								X			CIO	- This requirement aligns to report OVP001 and OVP002 in NSLDS.
	2.043	Ability to provide a report listing the loans cancelled by a lender or a lender branch within a specified period of time.	Existing	1.2.18, 1.4.5				X	X						NSLDS; NSLDS User Documentation, 4/5/02	- This requirement aligns to report RCS002 in NSLDS.

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	2.044	Ability to provide a report and an extract listing current aid information (e.g., loan amounts, lender, servicer, originating school, etc.) for a specific SSN of a student attending a specified school.	Existing	1.2.18, 1.2.19, 1.4.5								X			NSLDS; NSLDS User Documentation, 4/5/02	- This requirement aligns to report SCH01A in NSLDS.
	2.045	Ability to provide a report listing current aid information (e.g., loan amounts, lender, servicer, originating school, etc.) for a specific student attending a specific school and whose anticipated completion date occurs within a specified date range.	Existing	1.2.18, 1.2.19, 1.4.5								X			NSLDS; NSLDS User Documentation, 4/5/02	- This requirement aligns to report SCH01B and SCH01C in NSLDS.
	2.046	Ability to provide a report listing student's SSNs who were on the school's Transfer Monitoring record during a specified period of time.	Existing	1.2.18, 1.2.19, 1.4.5			X								NSLDS; NSLDS User Documentation, 4/5/02	- This requirement aligns to report SCH07A and SCH07B in NSLDS.
	2.047	Ability to provide a chronology of enrollment reporting events for the requested school. Reporting events include when a roster was sent, school updates, type of update, number of valid records, error records, total records, and transfer records.	Existing	1.1.23, 1.4.5								X			CIO	- This requirement aligns to report SCHER1 and SCHER2 in NSLDS.
	2.048	Ability to provide complete file of GA records in NSLDS II identified in the GA submittal file where submitted record is not in NSLDS II.	Existing	1.2.18, 1.1.1, 1.4.5		X	X	X	X	X		X			Technical Update GA--2001-06, 8/23/01	- This requirement aligns to DPOSU Query #1 in NSLDS.
	2.049	Ability to identify loans guaranteed by the GA that may have been consolidated but have an open status in NSLDS II or are coded as paid in full.	Existing	1.2.18, 1.1.1, 1.4.5					X			X			Technical Update GA--2001-06, 8/23/01	- This requirement aligns to DPOSU Query #2 in NSLDS.
	2.050	Ability to identify loans guaranteed by the GA that may have been consolidated but have an open status in NSLDS II or are coded as paid in full.	Existing	1.2.18, 1.1.10, 1.4.5				X	X			X			Technical Update GA--2001-06, 8/23/01	- This requirement aligns to DPOSU Query #4 in NSLDS.
	2.051	Ability to identify accounts that may have been transferred to Debt Collections but loans in account may not have been transferred in NSLDS II.	Existing	1.2.18, 1.1.1, 1.4.5					X			X			Technical Update GA--2001-06, 8/23/01	- This requirement aligns to DPOSU Query #5 in NSLDS.
	2.052	Ability to identify 'neglected' loans in repayment more than twelve years that are held by the lender/servicer and have not been updated in the past year.	Existing	1.2.18, 1.4.5					X	X		X			Technical Update GA--2001-06, 8/23/01	- This requirement aligns to DPOSU Query #8 in NSLDS.
	2.053	Ability to identify loans that occur more than once in NSLDS II.	Existing	1.2.18, 1.1.6, 1.4.5					X			X			Technical Update GA--2001-06, 8/23/01	- This requirement aligns to DPOSU Query #14 in NSLDS.
	2.054	Ability to generate full file of loans meeting criteria of GLOS samples sent to GAs in June 1999.	Existing	1.2.18, 1.4.5								X			Technical Update GA--2001-06, 8/23/01	- Samples were originally produced for GLOS on 4/26/99. Two sets of samples were created: 1) OLD loans with no outstanding principal balance (OPB) updates since NSLDS inception; and 2) MOVING outstanding principal balance (OPB) loans with outstanding pr
	2.055	Ability to generate file of loans (i.e. all loans, open only, or closed only) that do not have a data provider ID.	Existing	1.2.18, 1.4.5				X	X			X			Technical Update GA--2001-06, 8/23/01	- This requirement aligns to DPOSU Query #16 in NSLDS.
	2.056	Ability to produce report count of GA record errors identified during the edit check process, by field and error code.	Existing	1.2.18, 1.1.1, 1.1.2, 1.4.5								X			Technical Update GA--2001-06, 8/23/01	- This requirement aligns to DPOSU Query #18 in NSLDS.
	2.057	Ability to produce list of GA record errors identified during the edit check process for which the record update is not in NSLDS II.	Existing	1.2.18, 1.1.1, 1.1.2, 1.4.5								X			Technical Update GA--2001-06, 8/23/01	- This requirement aligns to DPOSU Query #21 in NSLDS.
	2.058	Ability to produce detail of SSCR benchmark totals.	Existing	1.2.18, 1.4.5								X	X		Technical Update GA--2001-06, 8/23/01	- This requirement aligns to DPOSU Query #22 in NSLDS.
	2.059	Ability to identify closed loans for which the Date Entered Repayment (DER) has potentially been moved forward in error.	Existing	1.2.18, 1.4.5					X			X			Technical Update GA--2001-06, 8/23/01	- This requirement aligns to DPOSU Query #23 in NSLDS.
	2.060	Ability to identify loans for which the sum of total disbursed plus total cancelled exceeds the guaranty amount; \$3 tolerance allowed.	Existing	1.2.18, 1.4.5					X			X			Technical Update GA--2001-06, 8/23/01	- This requirement aligns to DPOSU Query #24 in NSLDS.
	2.061	Ability to identify loans with insurance amounts but no reinsurance amounts.	Existing	1.2.18, 1.4.5					X			X			Technical Update GA--2001-06, 8/23/01	- This requirement aligns to DPOSU Query #25 in NSLDS.

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	2.062	Ability to identify loans with reinsurance amounts but no insurance amounts.	Existing	1.2.18, 1.4.5					X				X		Technical Update GA--2001-06, 8/23/01	- This requirement aligns to DPOSU Query #26 in NSLDS.
	2.063	Ability to identify closed loans with non-zero outstanding principal balance (OPB).	Existing	1.2.18, 1.4.5					X				X		Technical Update GA--2001-06, 8/23/01	- This requirement aligns to DPOSU Query #27 in NSLDS.
	2.064	Ability to identify open loans with school code = 999999.	Existing	1.2.18, 1.4.5				X					X		Technical Update GA--2001-06, 8/23/01	- This requirement aligns to DPOSU Query #28 in NSLDS.
	2.065	Ability to produce summary of loan status codes by loan type.	Existing	1.2.18, 1.4.5									X		Technical Update GA--2001-06, 8/23/01	- This requirement aligns to DPOSU Query #29 in NSLDS.
	2.066	Ability to identify loans with guaranty amount greater than that allowed for the academic level reported.	Existing	1.2.18, 1.4.5					X				X		Technical Update GA--2001-06, 8/23/01	- This requirement aligns to DPOSU Query #30 in NSLDS.
	2.067	Ability to identify loans that have an open status but have zero principal, interest, and fee balances.	Existing	1.2.18, 1.4.5									X		Technical Update GA--2001-06, 8/23/01	- This requirement aligns to DPOSU Query #31 in NSLDS.
	2.068	Ability to produce list of loans with claim paid in past 12 months with claim date within GA's reasonability period.	Existing	1.2.18, 1.4.5					X				X		Technical Update GA--2001-06, 8/23/01	- This requirement aligns to DPOSU Query #33 in NSLDS.
	2.069	Ability to produce list of loans with current Claim Reason = 'DF' and principal/interest collections.	Existing	1.2.18, 1.4.5					X				X		Technical Update GA--2001-06, 8/23/01	- This requirement aligns to DPOSU Query #34 in NSLDS.
	2.070	Ability to produce summary of loan volumes for specified schools for specified GA(s) and/or lender(s).	Existing	1.2.18, 1.4.5									X		Technical Update GA--2001-06, 8/23/01	- This requirement aligns to DPOSU Query #37 in NSLDS.
	2.071	Ability to provide count of currently eligible main campuses & additional locations by case management team.	Existing	1.2.18, 1.4.5									X		Schools	- This is an ad hoc query shared and regularly used by members of the Case Management Team.
	2.072	Ability to provide count of currently eligible main campuses of historically black colleges & universities & tribally controlled institutions.	Existing	1.2.18, 1.4.5									X		Schools	- This is an ad hoc query shared and regularly used by members of the Case Management Team.
	2.073	Ability to provide total amount of Pell grants and loans per student for a school during specified award year(s).	Existing	1.2.18, 1.4.5									X		Schools	- This is an ad hoc query shared and regularly used by members of the Case Management Team.
	2.074	Ability to provide listing Pell Grant recipients for specified award year(s).	Existing	1.2.18, 1.4.5									X		Schools	#NAME?
	2.075	Ability to provide list of Pell Grant recipients receiving dependency overrides for specified award year(s).	Existing	1.2.18, 1.4.5									X		Schools	- This is an ad hoc query shared and regularly used by members of the Case Management Team.
	2.076	Ability to provide Pell Grant amounts paid to date for a specified award year for borrowers with a date of birth before a specified date.	Existing	1.2.18, 1.4.5									X		Schools	- This is an ad hoc query shared and regularly used by members of the Case Management Team.
	2.077	Ability to provide a listing of Pell funding by school by state.	Existing	1.2.18, 1.4.5									X		Schools	- This is an ad hoc query shared and regularly used by members of the Case Management Team.
	2.078	Ability to provide listing of loans made by FFEL and direct loan program for a specified period of time, including fiscal and award years.	Existing	1.2.18, 1.4.2, 1.4.5									X	X	Schools	- This is an ad hoc query shared and regularly used by members of the Case Management Team.
	2.079	Ability to provide a summary of loan disbursements made from a lender during a specified fiscal year to a specified school.	Existing	1.2.18, 1.4.2, 1.4.5									X		Schools	- This is an ad hoc query shared and regularly used by members of the Case Management Team.
	2.080	Ability for schools to determine the percentage of direct loans and FFEL loans processed by a school within a specified time period and compare this percentage with the percentages of other peer schools.	New	1.2.19, 1.4.5									X		Schools	
	2.081	Ability to provide listing of loan recipients at a school with loan period beginning dates between a specified period of time.	Existing	1.2.18, 1.4.5									X		Schools	- This is an ad hoc query shared and regularly used by members of the Case Management Team.
	2.082	Ability to provide list of borrowers reported by guaranty agencies as receiving a closed school discharge for attendance at a specified school.	Existing	1.2.18, 1.4.5									X		Schools	- This is an ad hoc query shared and regularly used by members of the Case Management Team.

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	2.083	Ability to provide list of borrowers reported by guaranty agencies as receiving a false certification discharge for attendance at a specified school.	Existing	1.2.18, 1.4.5									X		Schools	- This is an ad hoc query shared and regularly used by members of the Case Management Team.
	2.090	Ability to provide total loan disbursements by a foreign school within a given specified fiscal year.	Existing	1.2.18, 1.4.5									X		Schools	- This is an ad hoc query shared and regularly used by members of the Case Management Team.
	2.091	Ability to provide report displaying all borrowers who have received a FFEL/DL, loan period, guaranty date, and loan status for a specified school for a specified period of time.	Existing	1.2.13, 1.4.5						X					Schools	- This query is used by the Default Management Team when working Participation Rate Index (PRI) appeals.
	2.092	Ability to determine the amount of time a lender is holding a loan.	Existing	1.2.18, 1.4.5									X		Schools	- This requirement is currently satisfied by blending results from APR001 & APR028.
	2.093	Ability to generate a profile for various school types (e.g., HBC, proprietary, etc.) that includes loan processing trends and CDRs.	New	1.2.18, 1.4.2, 1.4.5										X	Schools	- This audience profile would be helpful to senior executives when preparing for conferences.
	2.094	Ability to generate a report to match NSLDS II data to data in GA system.	New	1.1.5, 1.4.5									X		Financial Partners	- For audit and program review purposes, being able to generate a report to match specific data in NSLDS II to the data in the GA system (e.g. status codes).
	2.095	Ability to provide an extract listing detailed loan information of Perkins loans associated with a specific school within a specified period of time.	New	1.2.18, 1.4.5									X		Schools	- Report is needed similar to APR028, except for schools.
	2.096	Ability to provide an extract listing a sample of FFEL loans guaranteed by a GA within a specified period of time.	New	1.2.18, 1.4.5					X				X		Schools	- Report is needed similar to APR028, except for GAS.
	2.097	Ability to provide an extract listing detailed loan information of a sample of loans guaranteed by a specific GA within a specified loan guaranty period of time.	New	1.2.18, 1.4.5									X		Schools	- Report is needed similar to APR028, except for GAS.
	2.098	Ability to identify loan information on borrowers who have a specific last name(s) or first name(s).	Existing	1.1.14, 1.4.5									X		Schools	- This is an ad hoc query shared and regularly used by members of the Case Management Team.
	2.099	Ability to provide a report listing a borrower's address.	New	1.1.14, 1.4.5									X		Schools; Financial Partners	
	2.100	Ability to provide a report listing a borrower's date of birth.	New	1.1.14, 1.4.5									X		Schools	
	2.101	Ability to provide a list of OPB of loans held by lender with GA and loan status associated for each loan.	Existing	1.2.18, 1.4.5									X		Financial Partners	- This is an ad hoc query regularly used by a member of the Partner Services Team.
	2.102	and the loan status who have loans with a specific lender and the associated GAs.	Existing	1.2.18, 1.4.5									X		Financial Partners	- This is an ad hoc query regularly used by a member of the Partner Services Team.
	2.103	Ability to provide a list of the GAs that guarantee loans (OPB) for lender or for a group of lenders.	Existing	1.2.18, 1.4.5									X		Financial Partners	- This is an ad hoc query regularly used by a member of the Partner Services Team.
	2.104	Ability to provide a list of lenders and their loans (OPB) in a specific state.	Existing	1.2.18, 1.4.5									X		Financial Partners	- This is an ad hoc query regularly used by a member of the Partner Services Team.
	2.105	Ability to identify current loans (OPB) held by lender with loan type, borrower info, and the date the lender acquired the loan.	Existing	1.2.18, 1.4.5									X		Financial Partners	- This is an ad hoc query regularly used by a member of the Partner Services Team.
	2.106	Ability to provide a list of lenders who service or have serviced their own loans.	Existing	1.2.18, 1.4.5									X		Financial Partners	- This is an ad hoc query regularly used by a member of the Partner Services Team.
	2.107	Ability to provide a list of loan types and volume processed by schools in a specific state for loans including Direct Loans and Perkins.	Existing	1.2.18, 1.4.5									X		Financial Partners	- This is an ad hoc query regularly used by a member of the Partner Services Team.
	2.108	Ability to provide a list of loans being serviced on which an insurance payment has not been made, loans that are not paid in full, and loans that have not been subrogated to the Department of Education.	Existing	1.2.18, 1.4.5									X		Financial Partners	- This is an ad hoc query regularly used by a member of the Partner Services Team.
	2.109	Ability to generate a report that assists in determining which borrowers have entered repayment for both FFEL and direct loans within a specified month.	Existing	1.1.14, 1.4.5						X					Schools	

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Appendix B: NSLDS II Detailed Requirements Matrix

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					Student Aid Eligibility	Financial Aid History	Student Transfer Monitoring	Loan Transfer Tracking	FP Payment/Payment Reasonability	Cohort Default Rates	Enrollment Tracking	Audit & Program Reviews	Research & Policy Development	Budget Formulation & Execution		
	2.110	Ability to provide a list of forbearance and deferment for a particular school within a specific date range.	Existing	1.2.10, 1.4.5							X				Schools	- This is an ad hoc query regularly used by a member of the Default Management Division.
	2.111	Ability to provide the totals of last reported enrollment status codes by school for students who received loans during a specified period of time.	Existing	1.1.1, 1.4.5								X			Schools	- This is an ad hoc query shared and regularly used by members of the Case Management Team.
	2.112	Ability to provide a summary of NSLDS content.	Existing	1.1.1, 1.4.5											NSLDS Contractor	- This requirement does not map to a specific NSLDS II functional area since it supports internal NSLDS data integrity improvement processes.
	2.113	Ability to provide the status of GA submittals to NSLDS.	Existing	1.1.1, 1.1.2, 1.4.5											NSLDS Contractor	- This requirement does not map to a NSLDS II functional area since it supports internal NSLDS data integrity improvement processes.
	2.114	Ability to provide a list of errors identified during the edit checks by NSLDS of the GA's data monthly submission.	Existing	1.1.1, 1.4.5											NSLDS Contractor	- This requirement does not map to a NSLDS II functional area since it supports internal NSLDS data integrity improvement processes.
	2.115	Ability to provide a cumulative list of errors identified during the edit checks by NSLDS of the GAs' data monthly submissions.	Existing	1.1.1, 1.4.5											NSLDS Contractor	- This requirement does not map to a NSLDS II functional area since it supports internal NSLDS data integrity improvement processes.
	2.116	Ability to provide a summary of the loan portfolio activity of GAs during the current fiscal year, including guarantees, cancellations and disbursements.	Existing	1.1.1, 1.4.5											NSLDS Contractor	- This requirement does not map to a NSLDS II functional area since it supports internal NSLDS data integrity improvement processes.
	2.117	Ability to provide the total loan amounts refunded by GAs within the current fiscal year.	Existing	1.1.1, 1.4.5											NSLDS Contractor	- This requirement does not map to a NSLDS II functional area since it supports internal NSLDS data integrity improvement processes.
	2.118	Ability to provide a summary of the loan portfolio activity of GAs during the previous fiscal year, including guarantees, cancellations and disbursements.	Existing	1.1.1, 1.4.5											NSLDS Contractor	- This requirement does not map to a NSLDS II functional area since it supports internal NSLDS data integrity improvement processes.
	2.119	Ability to provide the total loan amounts refunded by GAs within the previous fiscal year.	Existing	1.1.1, 1.4.5											NSLDS Contractor	- This requirement does not map to a NSLDS II functional area since it supports internal NSLDS data integrity improvement processes.
	2.120	Ability to provide a summary of the open loan portfolio activity of GAs, including loan guarantees, cancellations, principal balances, interest balances, and disbursements.	Existing	1.1.1, 1.4.5											NSLDS Contractor	- This requirement does not map to a NSLDS II functional area since it supports internal NSLDS data integrity improvement processes.
	2.121	Ability to provide the number of GA loans in deferment when the latest enrollment status reported by any school is withdrawn or graduated.	Existing	1.1.1, 1.4.5											NSLDS Contractor	- This requirement does not map to a NSLDS II functional area since it supports internal NSLDS data integrity improvement processes.
	2.122	Ability to provide the number of GA loans in default when the latest enrollment status reported by any school is withdrawn, less than half time, or graduated.	Existing	1.1.1, 1.4.5											NSLDS Contractor	- This requirement does not map to a NSLDS II functional area since it supports internal NSLDS data integrity improvement processes.
	2.123	Ability to provide the number of loans and loan amount guaranteed by GAs by each loan status and loan type.	Existing	1.1.1, 1.4.5											NSLDS Contractor	- This requirement does not map to a NSLDS II functional area since it supports internal NSLDS data integrity improvement processes.
	2.124	Ability to provide the number of loans guaranteed by GAs with a specific loan status.	Existing	1.1.1, 1.4.5											NSLDS Contractor	- This requirement does not map to a NSLDS II functional area since it supports internal NSLDS data integrity improvement processes.
	2.125	Ability to provide the number of loans guaranteed by GAs that have had the outstanding principal balance updated in the past month.	Existing	1.1.1, 1.4.5											NSLDS Contractor	- This requirement does not map to a NSLDS II functional area since it supports internal NSLDS data integrity improvement processes.
	2.126	Ability to provide the number of loans guaranteed by GAs.	Existing	1.1.1, 1.4.5											NSLDS Contractor	- This requirement does not map to a NSLDS II functional area since it supports internal NSLDS data integrity improvement processes.
	2.127	Ability to provide an overview of guaranty, cancellation, and disbursement activity conducted by a GA for the current quarter in the fiscal year.	Existing	1.1.1, 1.4.5											NSLDS Contractor	- This requirement does not map to a NSLDS II functional area since it supports internal NSLDS data integrity improvement processes.

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	2.128	Ability to provide an overview of guaranty refund activity conducted by a GA for a quarter in the current fiscal year.	Existing	1.1.1, 1.4.5												NSLDS Contractor	- This requirement does not map to a NSLDS II functional area since it supports internal NSLDS data integrity improvement processes.
	2.129	Ability to provide an overview of guaranty, cancellation, and disbursement activity conducted by a GA for a quarter in the previous fiscal year.	Existing	1.1.1, 1.4.5												NSLDS Contractor	- This requirement does not map to a NSLDS II functional area since it supports internal NSLDS data integrity improvement processes.
	2.130	Ability to provide an overview of guaranty refund activity conducted by a GA for a quarter in the previous fiscal year.	Existing	1.1.1, 1.4.5												NSLDS Contractor	- This requirement does not map to a NSLDS II functional area since it supports internal NSLDS data integrity improvement processes.
	2.131	Ability to provide a summary of the open loan portfolio activity of a GA during a specified quarter, including loan guarantees, cancellations, principal balances, interest balances, and disbursements.	Existing	1.1.1, 1.4.5												NSLDS Contractor	- This requirement does not map to a NSLDS II functional area since it supports internal NSLDS data integrity improvement processes.
	2.132	Ability to provide a summary of the direct loans that were cancelled during an academic year.	Existing	1.1.1, 1.4.5												NSLDS Contractor	- This requirement does not map to a NSLDS II functional area since it supports internal NSLDS data integrity improvement processes.
	2.133	Ability to provide a summary of the direct loans that were disbursed during an academic year.	Existing	1.1.1, 1.4.5												NSLDS Contractor	- This requirement does not map to a NSLDS II functional area since it supports internal NSLDS data integrity improvement processes.
	2.134	Ability to provide a summary of the direct loan amounts of an academic year.	Existing	1.1.1, 1.4.5												NSLDS Contractor	- This requirement does not map to a NSLDS II functional area since it supports internal NSLDS data integrity improvement processes.
	2.135	Ability to provide a summary of the direct loans that were refunded during an academic year.	Existing	1.1.1, 1.4.5												NSLDS Contractor	- This requirement does not map to a NSLDS II functional area since it supports internal NSLDS data integrity improvement processes.
	2.136	Ability to provide a profile on open direct loans, including loan amount, outstanding principal balance, and outstanding interest balance.	Existing	1.1.1, 1.4.5												NSLDS Contractor	- This requirement does not map to a NSLDS II functional area since it supports internal NSLDS data integrity improvement processes.
	2.137	Ability to provide the number of direct loans with zero balance.	Existing	1.1.1, 1.4.5												NSLDS Contractor	- This requirement does not map to a NSLDS II functional area since it supports internal NSLDS data integrity improvement processes.
	2.138	Ability to provide a list of direct loans in deferment status when the latest SSCR indicates that the student has been out of school for nine months.	Existing	1.1.1, 1.4.5												NSLDS Contractor	- This requirement does not map to a NSLDS II functional area since it supports internal NSLDS data integrity improvement processes.
	2.139	Ability to provide a list of direct loans in grace period status when the latest SSCR indicates that the student has been out of school for five months.	Existing	1.1.1, 1.4.5												NSLDS Contractor	- This requirement does not map to a NSLDS II functional area since it supports internal NSLDS data integrity improvement processes.
	2.140	Ability to provide the cumulative number of direct loans with an error in the data submission to NSLDS.	Existing	1.1.1, 1.4.5												NSLDS Contractor	- This requirement does not map to a NSLDS II functional area since it supports internal NSLDS data integrity improvement processes.
	2.141	Ability to provide the total number of direct loans with an error generated in the data submission to NSLDS during the last month.	Existing	1.1.1, 1.4.5												NSLDS Contractor	- This requirement does not map to a NSLDS II functional area since it supports internal NSLDS data integrity improvement processes.
	2.142	Ability to provide a summary of direct loan submissions to NSLDS.	Existing	1.1.1, 1.1.2, 1.4.5												NSLDS Contractor	- This requirement does not map to a NSLDS II functional area since it supports internal NSLDS data integrity improvement processes.
	2.143	Ability to provide the edit passage rate and error rate calculation for FDLP submissions.	Existing	1.1.1, 1.4.5												NSLDS Contractor	- This requirement does not map to a NSLDS II functional area since it supports internal NSLDS data integrity improvement processes.
	2.144	Ability to provide the cumulative number of defaulted loans with an error in the data submission to NSLDS.	Existing	1.1.1, 1.4.5												NSLDS Contractor	- This requirement does not map to a NSLDS II functional area since it supports internal NSLDS data integrity improvement processes.
	2.145	Ability to provide summary on defaulted loans, including outstanding principal balance, outstanding interest balance, and supplemental fee balances.	Existing	1.1.1, 1.4.5												NSLDS Contractor	- This requirement does not map to a NSLDS II functional area since it supports internal NSLDS data integrity improvement processes.

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	2.146	Ability to provide the number of defaulted loans with zero balances.	Existing	1.1.1, 1.4.5												NSLDS Contractor	- This requirement does not map to a NSLDS II functional area since it supports internal NSLDS data integrity improvement processes.
	2.147	Ability to provide a summary on closed Perkins loans with outstanding principal balances.	Existing	1.1.1, 1.4.5												NSLDS Contractor	- This requirement does not map to a NSLDS II functional area since it supports internal NSLDS data integrity improvement processes.
	2.148	Ability to provide a list of students attending a specific school who have outstanding principal balances on Perkins loans above a specified dollar amount.	Existing	1.1.1, 1.4.5												NSLDS Contractor	- This requirement does not map to a NSLDS II functional area since it supports internal NSLDS data integrity improvement processes.
	2.149	Ability to provide a summary on open Perkins loans with no outstanding principal balance.	Existing	1.1.1, 1.4.5												NSLDS Contractor	- This requirement does not map to a NSLDS II functional area since it supports internal NSLDS data integrity improvement processes.
	2.150	Ability to provide a summary on Perkins loans, including loan amount and outstanding principal balance.	Existing	1.1.1, 1.4.5												NSLDS Contractor	- This requirement does not map to a NSLDS II functional area since it supports internal NSLDS data integrity improvement processes.
	2.151	Ability to provide the number of schools/servicers reporting monthly on Perkins loans and the error passage rate.	Existing	1.1.1, 1.1.2, 1.4.5												NSLDS Contractor	- This requirement does not map to a NSLDS II functional area since it supports internal NSLDS data integrity improvement processes.
	2.152	Ability to provide a list of the number of errors for each school by error type.	Existing	1.1.1, 1.4.5												NSLDS Contractor	- This requirement does not map to a NSLDS II functional area since it supports internal NSLDS data integrity improvement processes.
	2.153	Ability to provide borrower information, including the date of birth, for the submittal records that indicate a date of birth error.	Existing	1.1.1, 1.4.5												NSLDS Contractor	- This requirement does not map to a NSLDS II functional area since it supports internal NSLDS data integrity improvement processes.
	2.154	Ability to identify the number of duplicated Perkins loans by date of first disbursement.	Existing	1.1.1, 1.1.6, 1.4.5												NSLDS Contractor	- This requirement does not map to a NSLDS II functional area since it supports internal NSLDS data integrity improvement processes.
	2.155	Ability to identify the number of duplicated Perkins loans by loan type.	Existing	1.1.1, 1.1.6, 1.4.5												NSLDS Contractor	- This requirement does not map to a NSLDS II functional area since it supports internal NSLDS data integrity improvement processes.
	2.156	Ability to identify the number of duplicated Perkins loans by school code.	Existing	1.1.1, 1.1.6, 1.4.5												NSLDS Contractor	- This requirement does not map to a NSLDS II functional area since it supports internal NSLDS data integrity improvement processes.
	2.157	Ability to provide a list of the monthly error rates for all Perkins Providers and shows the top ten field-in-error/error code combinations.	Existing	1.1.1, 1.1.6, 1.4.5												NSLDS Contractor	- This requirement does not map to a NSLDS II functional area since it supports internal NSLDS data integrity improvement processes.
	2.158	Ability to design standard reports.	Existing	1.4.3	X	X	X	X	X	X	X	X	X	X	NSLDS User Documentation, 4/5/02		
	2.159	Ability to create new reports using SQL code.	Existing	1.4.4	X	X	X	X	X	X	X	X	X	X	Schools		
	2.160	Ability to create new reports without using SQL code.	New	2.3.4, 2.2.1, 1.2.17, 1.4.4, 2.3.5, 1.4.3	X	X	X	X	X	X	X	X	X	X	Schools		
	2.161	Ability to design reports using prompts to identify specific report parameters.	Existing	2.3.1, 1.4.3	X	X	X	X	X	X	X	X	X	X	NSLDS User Documentation, 4/5/02		
	2.162	Ability to select report parameters prior to executing a report.	Existing	1.4.3	X	X	X	X	X	X	X	X	X	X	NSLDS User Documentation, 4/5/02		
	2.163	Ability to select sort criteria prior to executing a report.	Existing	1.4.3	X	X	X	X	X	X	X	X	X	X	NSLDS User Documentation, 4/5/02		
	2.164	Ability to view information about report parameters before executing a predesigned report.	New	2.3.1, 1.4.3	X	X	X	X	X	X	X	X	X	X	ED Organizational Structure and Offices		
	2.165	Ability to access detailed description for each predesigned report.	New	2.3.1, 1.4.3	X	X	X	X	X	X	X	X	X	X	Schools		
	2.166	Ability for users to generate online ad hoc reports.	New	1.3.17, 1.4.3	X	X	X	X	X	X	X	X	X	X	Schools; Financial Partners; CIO		

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	2.167	Ability to generate file extracts that can be access and downloaded by the user.	Existing	1.4.3	X	X	X	X	X	X	X	X	X	X	CIO	
	2.168	Ability to execute report that loads data into NSLDS II.	Existing	1.4.3					X						CIO	
	2.169	Ability to execute more than one report query concurrently.	New	2.2.1, 2.3.4	X	X	X	X	X	X	X	X	X	X	CFO	
	2.170	Ability to inform user if a problem occurs during the execution of the report.	New	2.2.1, 2.3.4	X	X	X	X	X	X	X	X	X	X	Financial Partners	
	2.171	Ability to access querying code for reports to determine the database tables and attributes used to create the report result set.	New	2.3.1	X	X	X	X	X	X	X	X	X	X	Schools	
	2.172	Ability to easily delete a generated report result set, including a saved report result set.	New	1.2.20	X	X	X	X	X	X	X	X	X	X	Schools	
	2.173	Ability to request additional information related to the information available in the report result set.	New	1.4.4, 1.2.17	X	X	X	X	X	X	X	X	X	X	Financial Partners	- Some users are blending data result sets from reports to produce needed information.
	2.174	Ability to manipulate and format the data after report result set is generated without having to download the result set into another application.	New	1.3.12, 1.2.20, 1.2.17, 1.4.4	X	X	X	X	X	X	X	X	X	X	Financial Partners; Schools	
	2.175	Ability to filter data from a report result set.	New	1.3.12, 1.2.20	X	X	X	X	X	X	X	X	X	X	Financial Partners	
	2.176	Ability to sort the report result set without having to download the result set into another application.	New	1.2.20	X	X	X	X	X	X	X	X	X	X	Schools	
	2.177	Ability for generated report result sets to have intuitive names (where applicable).	New	2.3.1	X	X	X	X	X	X	X	X	X	X	Financial Partners; Schools	
	2.178	Ability to save report result set to personal computer and shared drives.	Existing	1.2.20	X	X	X	X	X	X	X	X	X	X	Schools	
	2.179	Ability for users to export the report result set to Excel and Access.	Existing	1.2.20	X	X	X	X	X	X	X	X	X	X	Department of Education Organizational Structure and Offices; Schools	
	2.180	Ability to print the formatted report result set.	Existing	1.2.20	X	X	X	X	X	X	X	X	X	X	NSLDS User Documentation, 4/5/02	
	2.181	Ability to directly share a report results set online with another user or group of users (i.e. internal, external partners).	New	1.3.14, 1.3.17	X	X	X	X	X	X	X	X	X	X	Schools	
	2.182	Ability to schedule reports to be executed on specific time intervals.	Existing	1.3.17	X	X	X	X	X	X	X	X	X	X	CIO	
	2.183	Ability to track a report history, including name of request user, date of request, and time report was generated.	Existing	1.3.14, 1.3.17	X	X	X	X	X	X	X	X	X	X	NSLDS User Documentation, 4/5/02	

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1.0 Screen																
Financial Aid Professional (FAP)																
	1.001	Ability to allow schools, lenders, GAs, servicers, ED employees, and state agencies to log on to the FAP website.	Existing	1.1.12, 1.3.8											NSLDS User Documentation, April 5, 2002	This requirement is currently supported by the System Log On screen in the FAP website.
	1.002	Ability for a user to acknowledge they have read and agree with the Privacy Act after each log on for the FAP website.	Existing	1.1.12, 3.1.1											NSLDS User Documentation, April 5, 2002	This screen is currently supported by the Privacy Act screen in the FAP website.
	1.003	Ability to access help information online.	Existing	1.1.12, 1.3.8											NSLDS User Documentation, April 5, 2002	This screen is currently supported by the Help screen in the FAP website.
	1.004	Ability to access a glossary consisting of FAP website terms.	Existing	1.1.12, 1.3.8											NSLDS User Documentation, April 5, 2002	This screen is currently supported by the Help screen in the FAP website.
	1.005	Allows user the ability to navigate to the Message Detail, Financial Aid, Enrollment, Organization, Report, Transfer Monitoring, and Support screens (depending on authorization).	Existing	1.1.9, 1.1.11, 1.1.12, 1.1.13, 1.1.14, 1.1.15, 1.1.16, 1.1.17, 1.1.18, 1.1.19, 1.1.20, 1.1.21, 1.1.22, 1.1.23, 1.1.24, 1.1.25, 1.2.9, 1.2.10, 1.2.11, 1.2.12, 1.2.13, 1.2.14, 1.2.15, 1.2.16, 1.2.17, 1.2.18, 1.2.19, 1.2.21, 1.3.3, 1.3.4, 1.3.7, 1.3.8, 1.3.11, 1.3.12, 1.3.14, 1.3.15, 1.3.10, 1.3.17, 1.4.3, 1.4.4, 2.3.1, 2.3.4, 2.3.5										NSLDS User Documentation, April 5, 2002	This screen is currently supported by the Menu screen in the FAP website.	
	1.006	Ability to allow a user to change their FAP password.	Existing	1.3.8											NSLDS User Documentation, April 5, 2002	This screen is currently supported by the Change Password screen in the FAP website.
	1.007	Ability to access system requirement information for the FAP website online.	Existing	1.3.8											NSLDS User Documentation, April 5, 2002	This screen is currently supported by the System Requirements screen in the FAP website.
	1.008	Ability to access contact information online.	Existing	1.3.8											NSLDS User Documentation, April 5, 2002	This screen is currently supported by the Contact Us screen in the FAP website.
	1.009	Ability to access FAQ information online for the FAP website.	Existing	1.3.8											NSLDS User Documentation, April 5, 2002	This screen is currently supported by the FAQ screen in the FAP website.
	1.010	Ability to view news or updates in detail for the user community online.	Existing	1.1.12, 1.3.8											NSLDS User Documentation, April 5, 2002	This screen is currently supported by the Message Detail screen in the FAP website.
		Ability to view website security information.	Existing													
	1.011	Ability to view a borrower's Title IV financial aid history information (Aggregate Loan Information and Loan Summary).	Existing	1.1.9, 1.1.11, 1.1.12, 1.1.14, 1.1.15, 1.1.16, 1.1.17, 1.1.18, 1.1.19, 1.1.20, 1.1.21, 1.1.23, 1.1.24, 1.1.25, 1.3.4, 1.3.8	X	X	X								NSLDS User Documentation, April 5, 2002	This screen is currently supported by the Loan History screen in the FAP website.
	1.012	Ability to display the date/timestamp associated with each loan, as it is stored within NSLDS II.	New	1.1.1, 1.1.2, 1.1.4, 1.1.12, 1.1.24		X									Ombudsman	This information should be accessible from the Loan Summary screen.

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Type	Detailed Req Number	Detailed Requirement	New/Existing Requirement	Mapping to High Level Requirement	NSLDS II Functional Areas										Source	Comments	
					Student Aid Eligibility	Financial Aid History	Student Transfer Monitoring	Loan Transfer Tracking	FP Payment/Payment Reasonability	Cohort Default Rates	Enrollment Tracking	Audit & Program Reviews	Research & Policy Development	Budget Formulation & Execution			
	1.013	Ability to search for records by complete or partial name, rather than SSN.	Existing	1.1.12, 1.3.8, 1.3.14		X	X									NSLDS User Documentation, April 5, 2002	This screen is currently supported by the Student/PLUS Borrower Name Search screen in the FAP website.
	1.014	Ability to view name changes for a borrower in the NSLDS II database.	Existing	1.1.12, 1.3.8, 1.3.14		X	X									NSLDS User Documentation, April 5, 2002	This screen is currently supported by the Borrower Name History screen in the FAP website.
	1.015	Ability to view SSN changes for a borrower in the NSLDS II database.	Existing	1.1.12, 1.3.8, 1.3.14		X	X									NSLDS User Documentation, April 5, 2002	This screen is currently supported by the Borrower SSN History screen in the FAP website.
	1.016	Ability to view detailed loan information for a particular loan, which includes, loan amounts, loan activity, loan status changes, and the GA, Lender, and/or Servicer history.	Existing	1.1.11, 1.1.12, 1.1.14, 1.1.15, 1.1.16, 1.1.17, 1.1.8, 1.1.19, 1.1.20, 1.1.24, 1.1.25, 1.2.9, 1.2.18, 1.3.4, 1.3.5, 1.3.6, 1.3.8, 1.3.12	X	X	X	X								NSLDS User Documentation, April 5, 2002	This screen currently supported by the Loan Detail screen in the FAP website.
	1.017	Ability to view overpayment information reported to NSLDS II for a student.	Existing	1.1.12, 1.1.16, 1.1.20, 1.3.8, 1.3.12	X	X										NSLDS User Documentation, April 5, 2002	This screen is currently supported by the Overpayment History screen in the FAP website.
	1.018	Ability to enter information about students who owe an overpayment on a Title IV grant or a Perkins loan.	Existing	1.1.12, 1.1.16, 1.1.20, 1.3.8, 1.3.12	X	X										NSLDS User Documentation, April 5, 2002	This screen is currently supported by the Overpayment Add screen in the FAP website.
	1.019	Ability to receive a notification confirming the update of overpayment information for a student.	Existing	1.1.12, 1.1.16, 1.1.20, 1.3.8, 1.3.12	X	X										NSLDS User Documentation, April 5, 2002	This screen is currently supported by the Overpayment Add screen in the FAP website.
	1.020	Ability to update overpayment information for a student.	Existing	1.1.12, 1.1.16, 1.1.20, 1.3.8, 1.3.12	X	X										NSLDS User Documentation, April 5, 2002	This screen is currently supported by the Overpayment update screen in the FAP website.
	1.021	Ability to delete overpayment information for a student.	Existing	1.1.12, 1.3.8	X	X										NSLDS User Documentation, April 5, 2002	This screen is currently supported by the Overpayment Delete screen in the FAP website.
	1.022	Ability for a user to receive a notification to ensure the deletion of overpayment information.	Existing	1.1.12, 1.1.3.8	X	X										NSLDS User Documentation, April 5, 2002	This screen is currently supported by the Overpayment Delete screen in the FAP website.
	1.023	Ability to update student identifier and overpayment information for a student who owes an overpayment on a Title IV grant or a Perkins loan.	Existing	1.1.12, 1.1.16, 1.1.20, 1.3.8, 1.3.12	X	X										NSLDS User Documentation, April 5, 2002	This screen is currently supported by the Overpayment Add and Student Add screen in the FAP website.
	1.024	Ability to view Pell grants that a student has been awarded.	Existing	1.1.9, 1.1.12, 1.1.14, 1.3.8		X									X	NSLDS User Documentation, April 5, 2002	This screen is currently supported by the Pell Grant History screen in the FAP website.
	1.025	Ability for a user to view the date a borrower attended a specific school.	New	1.1.12, 1.1.14, 1.1.17, 1.1.23, 1.3.3, 1.3.8		X										CIO	This information should be accessible from the Pell Grant History screen in the FAP website.
	1.026	Ability to view a borrower's financial aid records as the borrower would view them.	Existing	1.1.12, 1.1.14, 1.3.8		X										NSLDS User Documentation, April 5, 2002	This screen is currently supported by the Student Access Interface screen in the FAP website.
	1.027	Ability to view a student's most recent status at every school where enrollment has been reported for that student.	Existing	1.1.12, 1.1.23, 1.3.3, 1.3.8								X				NSLDS User Documentation, April 5, 2002	This screen is currently supported by the Enrollment Summary screen in the FAP website.
	1.028	Ability to display a detailed history of a student's enrollment status at one or more schools.	Existing	1.1.12, 1.1.23, 1.3.3, 1.3.8								X				NSLDS User Documentation, April 5, 2002	This screen is currently supported by the Enrollment Detail screen in the FAP website.
	1.029	Ability to view a chronological view of a student's enrollment history.	Existing	1.1.12, 1.1.23, 1.3.3, 1.3.8								X				NSLDS User Documentation, April 5, 2002	This screen is currently supported by the Enrollment Timeline screen in the FAP website.
	1.030	Ability for school users to update the enrollment information for students attending their school.	Existing	1.1.12, 1.3.3, 1.3.8								X				NSLDS User Documentation, April 5, 2002	This screen is currently supported by the Enrollment Maintenance screen in the FAP website.

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	1.031	Ability for a user to receive a notification before updated student enrollment information is submitted.	Existing	1.1.12, 1.3.3, 1.3.8								X			NSLDS User Documentation, April 5, 2002	This screen is currently supported by the Enrollment Maintenance screen in the FAP website.
	1.032	Ability to add enrollment information for a student.	Existing	1.1.12, 1.3.3, 1.3.8								X			NSLDS User Documentation, April 5, 2002	This screen is currently supported by the Enrollment Add screen in the FAP website.
	1.033	Ability to retrieve enrollment information for a student for update purposes.	Existing	1.1.12, 1.3.3, 1.3.8								X			NSLDS User Documentation, April 5, 2002	This screen is currently supported by the Enrollment Add screen in the FAP website.
	1.034	Ability to update enrollment information for a student.	Existing	1.1.12, 1.3.3, 1.3.8								X			NSLDS User Documentation, April 5, 2002	This screen is currently supported by the Enrollment Update screen in the FAP website.
	1.035	Ability to receive confirmation after updating enrollment information.	Existing	1.1.12, 1.3.8								X			NSLDS User Documentation, April 5, 2002	This screen is currently supported by the Enrollment Update screen in the FAP website.
	1.036	Ability to display the enrollment schedule for a school. The schedule should extend one year into the future and one year into the past.	Existing	1.1.12, 1.3.8								X			NSLDS User Documentation, April 5, 2002	This screen is currently supported by the Enrollment Reporting Schedule screen in the FAP website.
	1.037	Ability for a user to create a new schedule for their organization to receive enrollment status files from NSLDS II.	Existing	1.1.1, 1.1.4, 1.1.12, 1.3.8								X			NSLDS User Documentation, April 5, 2002	This screen is currently supported by the Enrollment Reporting Schedule Create screen in the FAP website.
	1.038	Ability for NSLDS II to request confirmation from a user before creating a new schedule.	Existing	1.1.12, 1.3.8								X			NSLDS User Documentation, April 5, 2002	This screen is currently supported by the System screen in the FAP website.
	1.039	Ability for a user to modify their organization's current schedule for receiving enrollment status files from NSLDS II.	Existing	1.1.1, 1.1.4, 1.1.12, 1.3.8								X			NSLDS User Documentation, April 5, 2002	This screen is currently supported by the Enrollment Schedule Modify screen in the FAP website.
	1.040	Ability for NSLDS II to request confirmation from a user before updating the enrollment reporting schedule.	Existing	1.1.12, 1.3.8								X			NSLDS User Documentation, April 5, 2002	This screen is currently supported by the Enrollment Schedule Modify screen in the FAP website.
	1.041	Ability to display the organization and summary contact information.	Existing	1.1.12, 1.1.22, 1.3.8				X					X		NSLDS User Documentation, April 5, 2002	This screen is currently supported by the Organization Contact List screen in the FAP website.
	1.042	Ability to view detailed contact information for an organization.	Existing	1.1.12, 1.1.22, 1.3.8				X					X		NSLDS User Documentation, April 5, 2002	This screen is currently supported by the Organization Contact Detail screen in the FAP website.
	1.043	Ability to update contact information for an organization.	Existing	1.1.12, 1.1.22, 1.3.8				X					X		NSLDS User Documentation, April 5, 2002	This screen is currently supported by the Organization Contact Update screen in the FAP website.
	1.044	Ability to delete a contact for an organization.	Existing	1.1.12, 1.1.22, 1.3.8				X					X		NSLDS User Documentation, April 5, 2002	This screen is currently supported by the Organization Contact Delete screen in the FAP website.
	1.045	Ability to search for contact information for an organization.	Existing	1.1.12, 1.1.22.1.3.8				X					X		NSLDS User Documentation, April 5, 2002	This screen is currently supported by the Organization Search screen in the FAP website.
	1.046	Ability to add new contact information for an organization.	Existing	1.1.12, 1.1.22, 1.3.8				X					X		NSLDS User Documentation, April 5, 2002	This screen is currently supported by the Organization Add screen in the FAP website.
	1.047	Ability to select "Bankruptcy Issues" from the "Available Functions" drop down list.	New	1.1.12, 1.1.22, 1.3.9				X							OGC	
	1.048	Ability to view current, past, and future scheduled data provider submittals.	Existing	1.1.12, 1.3.7, 1.3.8					X						NSLDS User Documentation, April 5, 2002	This screen is currently supported by the Data Provider screen in the FAP website.
	1.049	Ability to view the current repayment status of certain borrowers in FFEL and Direct Loan (DL) programs who attended a school during a specific period.	Existing	1.1.11, 1.1.12, 1.1.23, 1.3.8					X						NSLDS User Documentation, April 5, 2002	This screen is currently supported by the Repayment Information screen in the FAP website.
	1.050	Ability to view a history of the default rates for the selected organization and request loan details.	Existing	1.1.12, 1.2.10, 1.2.11, 1.2.16						X			X		NSLDS User Documentation, April 5, 2002	This screen is currently supported by the Cohort Default Rate History List screen in the FAP website.

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					Student Aid Eligibility	Financial Aid History	Student Transfer Monitoring	Loan Transfer Tracking	FP Payment/Payment Reasonability	Cohort Default Rates	Enrollment Tracking	Audit & Program Reviews	Research & Policy Development	Budget Formulation & Execution		
	1.051	Ability for a user to view the "School Num", "School Denom" and "Rate".	New	1.2.9, 1.2.10, 1.2.11, 1.2.16, 1.3.8						X					DMD	This information should be accessible from the Cohort Default Rate History List screen.
	1.052	Ability to view a school's profile. The school profile should include Title IV grant and loan programs information, as well as the academic and program schedule information.	Existing	1.1.1, 1.1.12, 1.2.19, 1.3.8								X		NSLDS User Documentation, April 5, 2002	This screen is currently supported by the School Profile screen in the FAP website.	
	1.053	Ability to list all transfer students submitted by the school to be monitored by NSLDS II for reported changes.	Existing	1.1.12, 1.1.21, 1.3.8			X						X	NSLDS User Documentation, April 5, 2002	This screen is currently supported by the Transfer Monitoring List screen in the FAP website.	
	1.054	Ability to add a student to the transfer monitoring list.	Existing	1.1.12, 1.1.21, 1.3.8			X							NSLDS User Documentation, April 5, 2002	This screen is currently supported by the Student Monitoring Add screen in the FAP website.	
	1.055	Ability to view, update, or delete detailed transfer monitoring student information.	Existing	1.1.12, 1.1.21, 1.3.8			X							NSLDS User Documentation, April 5, 2002	This screen is currently supported by the Student Monitoring Detail screen in the FAP website.	
	1.056	Ability for NSLDS II to request confirmation from a user before deleting a student from the transfer monitoring list.	Existing	1.1.12, 1.1.21, 1.3.8			X							NSLDS User Documentation, April 5, 2002	This screen is currently supported by the Student Monitoring Delete screen in the FAP website.	
	1.057	Ability for the user to be notified after a student has been successfully deleted from the transfer monitoring list.	Existing	1.1.12, 1.1.21, 1.3.8			X							NSLDS User Documentation, April 5, 2002	This screen is currently supported by the Student Monitoring Delete screen in the FAP website.	
	1.058	Ability to list all transfer students on a school's transfer monitoring list to which changes have been reported.	Existing	1.1.12, 1.1.21, 1.3.8			X							NSLDS User Documentation, April 5, 2002	This screen is currently supported by the Monitoring Alert Review screen in the FAP website.	
	1.059	Ability to display information about the school contact for the Transfer Monitoring process. It should show how the school is set up to submit Inform files and receive Alert notifications.	Existing	1.1.12, 1.1.21, 1.3.8											This screen is currently supported by the Student Transfer Profile screen in the FAP website.	
	1.060	Ability to create or add a school transfer profile.	Existing	1.1.1, 1.1.12, 1.2.19, 1.3.8			X							NSLDS User Documentation, April 5, 2002	This screen is currently supported by the Student Transfer Add screen in the FAP website.	
	1.061	Ability to update a school transfer profile.	Existing	1.1.1, 1.1.12, 1.2.19, 1.3.8			X							NSLDS User Documentation, April 5, 2002	This screen is currently supported by the Student Transfer Update screen in the FAP website.	
	1.062	Ability for a user to grant waivers to schools for not reporting enrollment information in a timely manner.	Existing	1.1.4, 1.1.8, 1.1.12, 1.1.23, 1.3.8							X			CICS	This screen is currently supported by the Enrollment Waiver screen in CICS.	
	1.063	Ability for a user to apply the official default rates from one organization to another organization.	Existing	1.1.12, 1.2.10, 1.2.11, 1.2.13, 1.2.14, 1.2.16, 1.3.8						X				CICS	This screen is currently supported by the Rate Substitution screen in CICS.	
	1.064	Ability to merge data in NSLDS II for schools that have undergone a change in status.	Existing	1.1.12, 1.2.10, 1.2.11, 1.2.13, 1.2.14, 1.2.16, 1.3.						X				CICS	This screen is currently supported by the Rate Combination screen in CICS.	
	1.065	Ability to indicate suspended or "Blacked Out" rates for a given cohort year.	Existing	1.1.12, 1.2.10, 1.2.11, 1.2.13, 1.2.14, 1.2.16, 1.3.8						X				CICS	This screen is currently supported by the Suspend Default Rates screen in CICS.	
	1.066	Ability to indicate suspended or "Blacked Out" rates for a given cohort year.	Existing	1.1.12, 1.2.10, 1.2.11, 1.2.13, 1.2.14, 1.2.16, 1.3.8						X				CICS	This screen is currently supported by the Suspend Default Rates screen in CICS.	
Student Access Financial Aid Review (SAFAR)																
	1.068	Ability for a Title IV borrower to view their Title IV aid history online.	Existing	1.1.12, 1.1.14, 1.1.15, 1.1.16, 1.1.19, 1.1.23, 1.1.24, 1.1.25, 1.3.6, 1.3.8, 1.3.12			X									This screen is currently supported by the Loan Summary and Loan Detail screens in the SAFAR website.
	1.069	Ability to access FAQ information online.	Existing	1.3.6, 1.3.8										SAFAR website	This screen is currently supported by the FAQ screen in the SAFAR website.	

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	1.070	Ability to view the browser requirements online.	Existing	1.3.6, 1.3.8											SAFAR website	This screen is currently supported by the Browser Information screen in the SAFAR website.
	1.071	Ability to download a browser from online.	Existing	1.3.6, 1.3.8											SAFAR website	This screen is currently supported by the Browser Setup screen in the SAFAR website.
	1.072	Ability to confirm a user is using a domestic browser.	Existing	1.3.6, 1.3.8											SAFAR website	This screen is currently supported by the Download Browser screen in the SAFAR website.
	1.073	Ability to access system requirement information for the SAFAR website online.	Existing	1.3.6, 1.3.8											SAFAR website	This screen is currently supported by the System Requirements screen in the SAFAR website.
	1.074	Ability for a Title IV financial aid borrower to acknowledge they have read and agree with the Privacy Act after each log on for the SAFAR website.	Existing	1.1.12, 3.1.1											SAFAR website	This screen is currently supported by the Privacy Act screen in the SAFAR website.
	1.075	Ability for a Title IV financial aid borrower to confirm their identity and access their loan information.	Existing	1.1.12., 1.1.14, 1.1.15, 1.1.16, 1.1.19, 1.1.23, 1.1.24, 1.1.25, 1.3.6, 1.3.8, 1.3.12											SAFAR website	This screen is currently supported by the PIN Request and Information screen in the SAFAR website.
	1.076	Ability for a Title IV financial aid borrower to obtain contact information regarding the SAFAR website.	Existing	1.3.6, 1.3.8											SAFAR website	This screen is currently supported by the Contact Us screen in the SAFAR website.
	1.077	Ability for a Title IV financial aid borrower to access GA, Lender, and Servicer websites.	Existing	1.3.6, 1.3.8											SAFAR website	This screen is currently supported by the Loan Summary screen in the SAFAR website.
	1.078	Ability for a Title IV financial aid borrower to view his/her loan information at a summary level.	Existing	1.1.12., 1.1.14, 1.1.15, 1.1.16, 1.1.19, 1.1.24, 1.3.6, 1.3.8, 1.3.12		X									SAFAR website	This screen is currently supported by the Loan screen in the SAFAR website.
	1.079	Ability for a Title IV financial aid borrower to view his/her loan information at a detail level.	Existing	1.1.12., 1.1.14, 1.1.15, 1.1.16, 1.1.19, 1.1.23, 1.1.24, 1.1.25, 1.3.6, 1.3.8, 1.3.12		X		X							SAFAR website	This screen is currently supported by the Loan Detail screen in the SAFAR website.
	1.080	Ability to access a glossary consisting of SAFAR website terms.	Existing	1.1.12, 1.3.6, 1.3.8											SAFAR website	This screen is currently supported by the Glossary screen in the SAFAR website.
	1.081	Ability for a user to log off the SAFAR website.	Existing	1.3.6, 1.3.8											SAFAR website	This screen is currently supported by the Logoff screen in the SAFAR website.

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3.0 Deployment																
	3.001	NSLDS II needs to comply with the Higher Education Act of 1965, as amended.	Existing	3.1.1											NSLDS II	
	3.002	NSLDS II needs to comply with the Credit Reform Act of 1992.	Existing	3.1.1											NSLDS II	
	3.003	NSLDS II needs to comply with the Credit Reform Act of 1992.	Existing	3.1.1											NSLDS II	
	3.004	NSLDS II needs to comply with Section 508 compliance standards	Existing	3.1.1											NSLDS II	
	3.005	NSLDS II needs to comply with the Government Paperwork Elimination Act (GPEA).	Existing	3.1.1											NSLDS II	
	3.006	NSLDS II needs to comply with applicable security regulation.	Existing	3.1.1											NSLDS II	
	3.007	Develop a NSLDS II Configuration Management Plan.	New	3.1.2											NSLDS II	
	3.008	The NSLDS II Configuration Management Plan will address the criteria and standards outlined in the FSA Technology Standards and Products Guide.	New	3.1.2											NSLDS II	
	3.009	Develop a NSLDS II Release 1 Test Plan.	New	3.1.3											NSLDS II	
	3.010	The NSLDS II Release 1 Test Plan will define the approach and objectives of the unit test phase.	New	3.1.3											NSLDS II	
	3.011	The NSLDS II Release 1 Test Plan will define the approach and objectives of the integration test phase.	New	3.1.3											NSLDS II	
	3.012	The NSLDS II Release 1 Test Plan will define the approach and objectives of the system test phase.	New	3.1.3											NSLDS II	
	3.013	The NSLDS II Release 1 Test Plan will define the approach and objectives of the performance test phase.	New	3.1.3											NSLDS II	
	3.014	The NSLDS II Release 1 Test Plan will define the approach and objectives of the user acceptance test phase.	New	3.1.3											NSLDS II	
	3.015	The NSLDS II Release 1 Test Plan will discuss the need for performance testing to handle data greater than one terabyte.	New	3.1.4											NSLDS II	
	3.016	The NSLDS II Release 1 Test Plan will discuss the coordination of the interface test with the financial community.	New	3.1.4											NSLDS II	
	3.017	The NSLDS II Release 1 Test Plan will discuss the coordination of testing with modernized systems as they roll out in advance to NSLDS II implementation.	New	3.1.4											NSLDS II	
	3.018	The NSLDS II Release 1 Test Plan will discuss the need for and use of separate development, test, and production environments	New	3.1.5											NSLDS II	
	3.019	Develop a NSLDS II Conversion Approach as part of the Data Conversion and Migration Strategy that outline the approach for managing the data extraction, transformation, and load.	New	3.1.6											NSLDS II	
	3.020	Develop a NSLDS II Data Conversion Plan as part of the Data Conversion and Migration Strategy that outlines the process for performing the data extraction, transformation, and load.	New	3.1.6											NSLDS II	
	3.021	The Data Conversion and Migration Strategy will address the converting a large volume data (greater than one terabyte).	New	3.1.7											NSLDS II	

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	3.022	The Data Conversion and Migration Strategy will address the method for interfacing existing applications to NSLDS II.	New	3.1.7											NSLDS II	
	3.023	The Data Conversion and Migration Strategy will address NSLDS data sanitization.	New	3.1.7											NSLDS II	
	3.024	The Data Conversion and Migration Strategy will address the potential use of EAI bus for data internal to FSA.	New	3.1.7											NSLDS II	
	3.025	The Data Conversion and Migration Strategy will address the implication of selecting various platforms for NSLDS II: Archiving criteria.	New	3.1.7											NSLDS II	
	3.026	The Data Conversion and Migration Strategy will outline a data archiving strategy for closed student/borrower accounts.	New	3.1.7											NSLDS II	
	3.027	Document the change control process that will be followed when updates the NSLDS II database need to be made.	Existing	3.3.8											NSLDS II	

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4.0 Application Functionality															
	4.001	Ability for NSLDS II to send email alerts to requesting schools.	Existing	1.1.21			X							Various Sources	
	4.002	Ability to have access to the GA loan detail reporting schedule online.	Existing	1.1.25			X							Various Sources	
	4.003	Ability to accommodate School Code changes.	Existing	1.2.10, 1.2.11, 1.2.12, 1.2.13, 1.2.14, 1.2.15, 1.2.16						X				Various Sources	
	4.004	Ability to accommodate school, lender, and GA status changes.	Existing	1.2.12, 1.2.13, 1.2.14, 1.2.15, 1.2.16						X				Various Sources	
	4.005	Ability to accommodate (legislative, programmatic) requirements changes from year to year.	Existing	1.2.10, 1.2.11, 1.2.12, 1.2.13, 1.2.14, 1.2.15, 1.2.16						X				Various Sources	
	4.006	Ability to accommodate business requirement changes to the PEPS system.	Existing	1.2.10, 1.2.11, 1.2.12, 1.2.13, 1.2.14, 1.2.15, 1.2.16						X				Various Sources	
	4.007	Ability to track statistics on enrollment data provided to NSLDS II including percentage of portfolios certified within certain time periods, percentage of error-free records in rosters returned, and date and source of data received.	Existing	1.1.23							X			CIO SME representative	
	4.008	Ability for schools to create or modify their enrollment reporting schedules online.	Existing	1.1.23							X			CIO SME representative	
	4.009	Ability for selected ED users to waive a school roster submission via user interface screens.	Existing	1.1.23							X			CIO SME representative	
	4.010	Ability to suspend activity for any organization participating in the enrollment process.	Existing	1.1.23							X			CIO SME representative	
	4.011	Allow for edits of historical data in NSLDS II.	New	1.4.1											

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5.0 Technical Architecture																	
	Technology																
	5.001	Ability to provide a scaleable architecture to support projected growth in transactions and interfaces.	Existing	2.1.7												Various Sources	- The size of the existing NSLDS legacy system is approximately two terabytes of raw data. This includes information about approximately 45 million students, 140 million loans, and almost five billion records in total. The NSLDS system is expected to grow 50 - 100% each year.
	5.002	Ability for the NSLDS II technical architecture to be seamlessly integrated into the FSA architecture.	Existing	2.1.7												Various Sources	
	5.003	Ability to comply and integrate with current and future FSA/ED standards.	Existing	2.1.7												Various Sources	
	5.004	Ability to conform to industry standard system development life cycle procedures.	Existing	2.1.7												Various Sources	
	5.005	Ability for software/hardware to be upgraded easily and quickly.	Existing	2.1.7												Various Sources	
	Data Acquisition																
	5.006	Ability to acquire data via batch file interfaces.	Existing	2.1.6												Various Sources	
	5.007	Ability to acquire data via real-time data interchange.	Existing	2.1.6												Various Sources	
	Data Storage																
	5.008	Ability to provide a centralized repository that will support end user reporting and analysis.	Existing	2.1.8												Various Sources	
	5.009	Ability to store data received from various independent application systems.	Existing	2.1.8												Various Sources	
	5.010	Ability to use aggregate tables to improve performance.	Existing	2.1.8												Various Sources	
	5.011	Ability to partition large tables.	Existing	2.1.8												Various Sources	
	5.012	Ability to store data based on facts.	Existing	2.1.8												Various Sources	
	5.013	Ability to use subject matter specific tables.	Existing	2.1.8												Various Sources	
	5.014	Ability for data within NSLDS II to have a date/time stamp.	Existing	2.1.8												Various Sources	
	Data Access																
	5.015	Ability for users to access data through a web enabled tool.	Existing	2.1.9												Various Sources	
	5.016	Ability to retrieve data from NSLDS II without using SQL.	Existing	2.1.9												Various Sources	
	5.017	Ability to reformat report results with minimum processing requirements on the database.	Existing	2.1.9												Various Sources	
	5.018	Ability to timeout queries after a specified amount of time.	Existing	2.1.9												Various Sources	
	5.019	Ability for data stored within NSLDS to be accessible 24 X 7.	Existing	2.1.9												Various Sources	
	5.020	Ability to return predefined reports results within a reasonable amount of time.	Existing	2.1.9												Various Sources	
	5.021	Ability to return complex queries within a reasonable amount of time.	Existing	2.1.9												Various Sources	
	Execution																
	Batch																
	5.022	Ability to allow batch processing of system requested jobs or reports.	Existing	2.1.1												Various Sources	
	5.023	Ability to comply with online and batch capacity performance requirements.	Existing	2.1.10												Various Sources	
	Interfaces																

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	5.024	Ability to process daily inbound batch pre-screening file from the Central Processing System (CPS).	Existing	1.1.15, 1.1.16, 1.1.17, 1.1.18, 1.1.19, 1.1.20, 1.1.22	X											Various Sources	
	5.025	Ability to produce and send daily pre-screening results file to the CPS.	Existing	1.1.15, 1.1.16, 1.1.17, 1.1.18, 1.1.19, 1.1.20, 1.1.22	X											Various Sources	
	5.026	Ability to produce and send post-screening results file to CPS weekly.	Existing	1.1.15, 1.1.16, 1.1.17, 1.1.18, 1.1.19, 1.1.20, 1.1.22	X											Various Sources	
	5.027	Ability to receive and process post-screening error file sent from CPS weekly if applicable.	Existing	1.1.15, 1.1.16, 1.1.17, 1.1.18, 1.1.19, 1.1.20, 1.1.22	X											Various Sources	
	5.028	Ability to process daily inbound demographic file from CPS daily.	Existing	1.1.15, 1.1.16, 1.1.17, 1.1.18, 1.1.19, 1.1.20, 1.1.22	X							X	X	X		Various Sources	
	5.029	Ability to process daily inbound batch financial aid history request file received from schools/servicers.	Existing	1.1.1, 1.1.2, 1.1.4		X										Various Sources	
	5.030	Ability to produce and send financial aid history result files to schools/servicers as needed.	Existing	1.1.1, 1.1.2, 1.1.4		X										Various Sources	
	5.031	Ability to process incoming batch transfer monitoring request files coming from schools/servicers as needed.	Existing	1.1.21, 1.1.6, 1.1.24, 1.1.25, 1.2.7			X	X								Various Sources	
	5.032	Ability to produce and send transfer monitoring results files to schools/servicers as needed.	Existing	1.1.21, 1.1.6, 1.1.24, 1.1.25, 1.2.7			X	X				X	X	X		Various Sources	
	5.033	Ability to process monthly inbound files from the schools (Perkins Loan data).	Existing	1.1.21, 1.1.6, 1.1.24, 1.1.25, 1.2.7			X	X				X	X	X		Various Sources	
	5.034	Ability to produce and send error notification file to schools for monthly file submittals.	Existing	1.1.21, 1.1.6, 1.1.24, 1.1.25, 1.2.7			X	X				X	X	X		Various Sources	
	5.035	Ability to process monthly inbound files sent from the Guaranty Agencies (36)	Existing	1.1.21, 1.1.6, 1.1.24, 1.1.25, 1.2.7			X	X		X		X	X	X		Various Sources	
	5.036	Ability to generate and send an error file from the GA submittals.	Existing	1.1.21, 1.1.6, 1.1.24, 1.1.25, 1.2.7			X	X		X		X	X	X		Various Sources	
	5.037	Ability to process daily DL Servicer file.	Existing	1.1.21, 1.1.6, 1.1.24, 1.1.25, 1.2.7				X				X	X	X		Various Sources	
	5.038	Ability to produce and send quarterly file to Financial Management System (FMS) that includes data for calculation of LPIF by FMS.	Existing	1.1.10, 1.2.2, 1.2.3, 1.2.4, 1.2.5					X							Various Sources	
	5.039	Ability to produce and send annual file to FMS that includes data for calculation of AMF by FMS.	Existing	1.1.10, 1.2.2, 1.2.3, 1.2.4, 1.2.5					X							Various Sources	
	5.040	Ability to send backup data for LPIF calculations quarterly in tape format to each GA (36).	Existing	1.1.10, 1.2.2, 1.2.3, 1.2.4, 1.2.5					X							Various Sources	
	5.041	Ability to send backup data for AMF calculations annually in tape format to each GA (36).	Existing	1.1.10, 1.2.2, 1.2.3, 1.2.4, 1.2.5					X							Various Sources	
	5.042	Ability to process daily inbound file containing school data from the Post Secondary Education Processing System (PEPS).	Existing	1.1.10, 1.2.2, 1.2.3, 1.2.4, 1.2.5		X										Various Sources	

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	5.043	Ability to produce and send an error file to PEPS resulting from submission of the daily file sent from PEPS.	Existing	1.1.10, 1.2.2, 1.2.3, 1.2.4, 1.2.5		X										Various Sources	
	5.044	Ability to produce and send draft school cohort default rate file to PEPS annually.	Existing	1.2.8, 1.2.9, 1.2.10, 1.2.11, 1.2.12, 1.2.13, 1.2.14, 1.2.15, 1.2.16						X						Various Sources	
	5.045	Ability to produce and send official school cohort default rate file to PEPS annually.	Existing	1.2.8, 1.2.9, 1.2.10, 1.2.11, 1.2.12, 1.2.13, 1.2.14, 1.2.15, 1.2.16						X						Various Sources	
	5.046	Ability to receive and process incoming Student Status Confirmation Report (SSCR) files from schools/ servicers as needed.	Existing	1.1.23, 1.2.6, 1.3.3, 1.3.4, 1.4.6							X	X	X	X		Various Sources	
	5.047	Ability to produce and send SSCR roster file to specific schools at a frequency defined by the school/ servicer/ Clearinghouse.	Existing	1.1.23, 1.2.6, 1.3.3, 1.3.4, 1.4.6							X					Various Sources	
	5.048	Ability to receive and process incoming Student Status Confirmation Report (SSCR) files from schools/ servicers/ Clearinghouse as needed.	Existing	1.1.23, 1.2.6, 1.3.3, 1.3.4, 1.4.6							X					Various Sources	
	5.049	Ability to receive and process enrollment data sent by the Clearinghouse and GAs weekly in file format and in tape format if necessary.	Existing	1.1.23, 1.2.6, 1.3.3, 1.3.4, 1.4.6							X					Various Sources	
	5.050	Ability to produce and send weekly update file to the Clearinghouse.	Existing	1.1.23, 1.2.6, 1.3.3, 1.3.4, 1.4.6							X					Various Sources	
	5.051	Ability to produce and send monthly files (loan-level data) to GA's.	Existing	1.1.23, 1.2.6, 1.3.3, 1.3.4, 1.4.6							X					Various Sources	
	5.052	Ability to receive and process daily file from the Common Origination and Disbursement (COD) system.	Existing	1.1.1		X										Various Sources	
	5.053	Ability to produce and send error file to COD resulting from the daily incoming file sent by COD.	Existing	1.1.1		X										Various Sources	
	5.054	Ability to receive daily file from the Debt Management Collection System (DMCS).	Existing	1.1.1, 1.1.15, 1.2.8		X						X	X	X		Various Sources	
	5.055	Ability to receive and process data from the DMCS in tape format if necessary.	Existing	1.1.1, 1.1.15, 1.2.8		X						X	X	X		Various Sources	
	5.056	Ability to receive and process file sent from AFSA to support the Total and Permanent Disability Discharge Procedures initiative.	New	1.1.1		X					X	X	X	X		Dear Colleague Letter (May, 2002)	
	5.057	Ability to produce and send Lender Cohort Default Rates Interface to FP Data Mart.	New	1.1.4					X							Various Sources	
	5.058	Ability to produce and send Form 2000 Data to FP Data Mart.	New	1.1.4					X							Various Sources	
	5.059	Ability to produce and send Default Claim Data to FP Data Mart.	New	1.1.4					X							Various Sources	
	5.060	Ability to produce and send FFEL Loan Data to FP Data Mart.	New	1.1.4					X							Various Sources	

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	5.061	Ability to produce and send GA/VFA Data to FP Data Mart.	New	1.1.4					X							Various Sources	
	5.062	Ability to process Student Data Requests from the Ombudsman system.	Existing	1.1.1	X	X					X					Various Sources	
	5.063	Ability to produce and send Student Data Responses to the Ombudsman System.	Existing	1.1.4	X	X					X					Various Sources	
	5.064	Ability to process incoming FFEL Lender Demographics from FMS.	Existing	1.1.1					X	X						Various Sources	
	5.065	Ability to process incoming Lender Special Allowance data from FMS.	Existing	1.1.1					X							Various Sources	
	5.066	Ability to process incoming Lender Interest data from FMS.	Existing	1.1.1					X	X						Various Sources	
	5.067	Ability to process inbound Destination Files from SAIG.	Existing	1.1.1	X	X	X	X	X	X	X					Various Sources	
	5.068	Ability to produce and send Loan - Non-SAIG OPEID list to PEPS.	New	1.1.4												Various Sources	
	5.069	Ability to process inbound Loan - Letter files from PEPS.	New	1.1.1												Various Sources	
	5.070	Ability to process incoming Loan data from DLSS.	Existing	1.1.1	X	X	X	X	X	X						Various Sources	
	5.071	Ability to produce and send Direct Loan Enrollment Status Updates to DLSS.	Existing	1.1.4	X	X	X	X	X	X						Various Sources	
	5.072	Ability to process Exit Counselling Update Requests (FFEL Data) to DLSS.	Existing	1.1.1	X	X	X	X	X	X						Various Sources	
	5.073	Ability to produce and send Exit Counseling Update Responses (FFEL Data) to DLSS.	Existing	1.1.4	X	X	X	X	X	X						Various Sources	
	Operations																
	Support																
	5.074	Ability to provide help desk support to address any technical or end user issues after deployment.	Existing	2.1.11												NSLDS II	
	5.080	Ability to monitor the production environment machine memory availability and utilization	Existing	2.1.5												NSLDS II	
	5.081	Ability to monitor the production environment machine CPUs availability and utilization	Existing	2.1.5												NSLDS II	
	5.082	Ability to handle peak loads for all batch interfaces.	Existing	2.1.5												NSLDS II	
	System Administration																
	5.083	Ability to establish profiles based on an individual user and/or group.	Existing	2.1.10												NSLDS II	
	5.084	Ability to add, modify, or remove users access to NSLDS II data.	Existing	2.1.10												NSLDS II	
	5.085	Ability to log all transactions performed on NSLDS II for administration purposes.	Existing	2.1.10												NSLDS II	
	5.086	Ability to analyze database usage, report usage, user statistics.	Existing	2.1.10												NSLDS II	
	5.087	Ability to monitor the response time for report, extract and query user requests.	Existing	2.1.5												NSLDS II	
	5.088	Ability to monitor transaction volumes.	Existing	2.1.5												NSLDS II	

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	5.089	Ability to monitor service level agreements.	Existing	2.1.5											NSLDS II	
	5.090	Ability to notify all NSLDS II related support centers of scheduled and unscheduled downtime and system status changes. This requirement may be met via established procedures.	Existing	2.1.5											NSLDS II	
	5.091	Ability to incorporate the operations monitoring solution into the overall EAI operations monitoring architecture and provide real-time data feeds to provide error and alarm notifications.	Existing	2.1.5											NSLDS II	
	5.092	Ability to incorporate administrative scripts into the start up and shut down processes.	Existing	2.1.10											NSLDS II	
		Data Recovery														
	5.093	Ability for data recovery services to be in effect prior to production.	Existing	2.1.12											NSLDS II	
	5.094	Ability to recover from a disaster via a disaster recovery plan to restore any potential system operations failure. Individual server failures shall be restored within 8 hours. Any database failure shall be restored within 4 hours. Full system wide failure shall be restored within 48 hours. This can be accomplished by: -The ability to run from a disaster recovery center -24X7 HW maintenance contracts -Redundant HW Configurations	Existing	2.1.12											NSLDS II	
	5.095	Ability to incorporate incremental transaction logs into the database to enable a complete restore from the last back-up taken with no loss of data.	Existing	2.1.12											NSLDS II	
		Error Logging														
	5.096	Ability to log any critical error to error notification.	Existing	2.1.13											NSLDS II	
		System Management														
	5.097	Ability to back-up and archive services to an external storage medium (e.g., tapes) on a configurable schedule.	Existing	2.1.12											NSLDS II	
	5.098	Ability to name objects (machines, tables, MQSeries queues, tape volumes, etc.) in the development and execution environments in a consistent and meaningful manner via a published standard naming convention.	Existing	2.1.7											NSLDS II	
	5.099	Ability to be available 24X7 with the exception of scheduled downtime.	Existing	2.1.14											NSLDS II	
		Session Management														
	5.100	Ability to utilize access control rights to maintain user authentication information for application functionality access restriction/enablement.	Existing	2.1.17											NSLDS II	
		Source Code Control														
	5.101	Ability to implement strict user access controls over updates to the application system information.	Existing	2.1.15, 2.1.17											NSLDS II	
	5.102	Ability to revert to a previous version of application source code in the even of an unexpected error within a reasonable amount of time depending on the problem, to be coordinated via clearly defined deployment procedures.	Existing	2.1.13, 2.1.17											NSLDS II	
		Environment Upgrades														

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	5.103	Ability to validate any software enhancements prior to deployment into production via a production-configured staging environment.	Existing	2.1.17												NSLDS II	
		Reporting															
	5.104	Ability to provide incremental reporting on all abnormally logged items. Error logging reporting shall be provided on a daily, monthly, quarterly and annual basis.	Existing	2.1.13												NSLDS II	
		Auditing															
	5.105	Ability to have regular security audits of all audit logs.	Existing	2.1.15												NSLDS II	
		Machine Maintenance															
	5.106	Ability to apply all operational patches required to keep the system in good working order in a timely manner.	Existing	2.1.14												NSLDS II	
		Hardware Maintenance															
	5.107	Ability to keep routers, switches and firewall patches and to provide notification of planning and completion of installation of such patches.	Existing	2.1.14												NSLDS II	
		Redundancy															
	5.108	Ability to eliminate a single point of failure in the system through the use of redundant routers, switches and firewalls.	Existing	2.1.14												NSLDS II	
		User Security															
	5.109	Ability to allow System Administrators 4 hours to secure systems upon notification by management or human resources of the transfer, change of responsibility, leave of absence or termination of an end user.	Existing	2.1.15												NSLDS II	
		Notification															
	5.110	Ability for the application servers to provide notification when any component reaches 50% capacity utilization on any hardware unit for the web based application and EAI layer.	New	2.1.10												NSLDS II	
	5.111	Ability to provide alarming when any component reaches 80% capacity utilization for the web based application and EAI layer.	New	2.1.10												NSLDS II	
		Error Handling															
	5.112	Ability to maintain a log of all errors users experience.	Existing	2.1.13												NSLDS II	
	5.113	Ability to alert administrators when critical errors occur.	Existing	2.1.13												NSLDS II	
	5.114	Ability to return a record of errors associated with each transaction.	Existing	2.1.13												NSLDS II	
	5.115	Ability to supply a list of NSLDS II system and application error codes along with severity levels and descriptions.	Existing	2.1.13												NSLDS II	
	5.116	Ability to rollback transactions when errors occur which impact data integrity.	Existing	2.1.13												NSLDS II	
	5.117	Ability to report errors back to the originating system. For example, if errors occur as a result of the CPS interface, the system will notify CPS of the errors.	Existing	2.1.13												NSLDS II	
	5.118	Ability not to lose any data during interface-based data transfer.	Existing	2.1.13												NSLDS II	
	5.119	Ability to provide an error code for each interaction point.	Existing	2.1.13												NSLDS II	

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	5.120	Ability for NSLDS II to ensure batch file integrity and ensure that no data is lost for any interface-based transfer. Any errors will be logged within the system and reported back to the originating system.	Existing	2.1.13												NSLDS II		
	Security																	
	5.121	Ability to prevent unauthorized access to NSLDS II data.	Existing	2.1.15													NSLDS II	
	5.122	Ability to provide security monitoring (e.g., expired password, unauthorized access, invalid requests).	Existing	2.1.15													NSLDS II	
	5.123	Ability for users to view data based on their security privileges.	Existing	2.1.15													NSLDS II	
	5.124	Ability to securely transmit NSLDS II data.	Existing	2.1.15													NSLDS II	
	5.125	Ability to establish application access security for internal control.	Existing	2.1.15													NSLDS II	
	5.126	Ability for security to be established at different user levels.	Existing	2.1.15													NSLDS II	
	5.127	Ability to limit NSLDS II functionality based on security/access level.	Existing	2.1.15													NSLDS II	
	5.128	Ability to detect unauthorized access to NSLDS II data.	Existing	2.1.15													NSLDS II	
	5.130	Ability to authenticate each user when logging on to the FAP website.	Existing	2.1.15													NSLDS II	
	5.131	Ability to authenticate each user when logging on to the SAFAR website.	Existing	2.1.15													NSLDS II	
	5.132	Ability to require a secure login.	Existing	2.1.15													NSLDS II	
	5.133	Ability to provide a configurable number of attempts to be allowed prior to invalidating the login ID and password for any logged-on user permission.	Existing	2.1.15													NSLDS II	
	5.134	Ability to provide an individually assigned User ID and Password for System authentication purposes.	Existing	2.1.15													NSLDS II	
	5.135	Ability to not share hardware with other non-FSA related systems.	Existing	2.1.15													NSLDS II	
	5.136	Ability to determine access rights based on the individual users.	Existing	2.1.15													NSLDS II	
	5.137	Ability to provide an administrative ability to manage User ID's and Passwords.	Existing	2.1.15													NSLDS II	
	5.138	Ability to keep all sensitive data secure.	Existing	2.1.15													NSLDS II	
	5.139	Ability to allow a user to choose a password that is already associated with another User ID. The system shall provide no indication that a password is already associated with another user ID.	Existing	2.1.15													NSLDS II	
	5.140	Ability to store passwords in a one-way encrypted format.	Existing	2.1.15													NSLDS II	
	5.141	Ability to automatically suppress or fully blot out the clear-text representation of the password on the data entry/display device.	Existing	2.1.15													NSLDS II	
	5.142	Ability to prohibit the use of null passwords during normal operation by default.	Existing	2.1.15													NSLDS II	
	5.143	Ability to provide a mechanism for users to change their password.	Existing	2.1.15													NSLDS II	
	5.144	Ability to provide a mechanism for administrative users to set, initialize or reinitialize user passwords.	Existing	2.1.15													NSLDS II	

NSLDS II Reengineering
Appendix B: NSLDS II Detailed Requirements Matrix

Type	Detailed Req Number	Detailed Requirement	New/Existing Requirement	Mapping to High Level Requirement	NSLDS II Functional Areas										Source	Comments	
					Student Aid Eligibility	Financial Aid History	Student Transfer Monitoring	Loan Transfer Tracking	FP Payment/Payment Reasonability	Cohort Default Rates	Enrollment Tracking	Audit & Program Reviews	Research & Policy Development	Budget Formulation & Execution			
	5.145	Ability to provide an access control mechanism to authorize users to access the system resources (based on authenticated user-Ids), revoke users from accessing the system, and modify the security information associated with users.	Existing	2.1.15												NSLDS II	
	5.146	Ability to timeout a user's session after a configurable amount of inactivity.	Existing	2.1.15												NSLDS II	
	5.147	Ability to provide a method to obtain an access control list for the application (consisting of User ID's, groups, and access groups). This requirement may be met through a system administration process (script).	Existing	2.1.15												NSLDS II	
	5.148	Ability to log changes to the Access Control Lists.	Existing	2.1.15												NSLDS II	
	5.149	Ability to track, via a set of processes or procedures, notification by Management or Human Resources to system administrators changes of responsibility, leaves of absence, or termination of an end user.	Existing	2.1.15												NSLDS II	
	5.150	Ability to generate a security audit trail that contains information to support after-the-fact investigation of loss or impropriety and appropriate management response.	Existing	2.1.15												NSLDS II	
	5.151	Ability to protect the security audit trail logs from unauthorized access.	Existing	2.1.15												NSLDS II	
	5.152	Ability to provide a mechanism for reporting alarms and specify how alarms are handled.	Existing	2.1.15												NSLDS II	
	5.153	Ability to define procedures to minimize damage to FSA assets/intellectual property via a Security Approach.	Existing	2.1.15												NSLDS II	
	5.154	Ability to manage intrusion detection.	Existing	2.1.15												NSLDS II	
	5.155	Ability to protect against denial of service attacks.	Existing	2.1.15												NSLDS II	
	5.156	Ability to require the user to change their password in a configurable time period.	Existing	2.1.15												NSLDS II	
	5.157	Ability to store the last three passwords a user has used and not allow them to be reused.	New	2.1.15												NSLDS II	
	5.158	Ability to ensure auditing and logging are run on all systems and applications.	Existing	2.1.15												NSLDS II	
	5.159	Ability to provide an activity log that contains sufficient information for after-the-fact investigation of unauthorized activity or loss.	Existing	2.1.15												NSLDS II	
	5.160	Ability to securely log all significant computer security relevant events. Log entries must provide sufficient data to support comprehensive audits of the effectiveness of, and compliance with Information Security measures.	Existing	2.1.15												NSLDS II	
	5.161	Ability to ensure actual or attempted authentication information, (e.g., passwords, PINs and clear-text cryptographic keys) will never appear as part of the audit record.	Existing	2.1.15												NSLDS II	
	5.162	Ability to have commands issued by computer system operators/administrators that are traceable to specific individuals via the use of comprehensive logs.	Existing	2.1.15												NSLDS II	
	5.163	Ability to ensure access to Network Systems documentation is restricted.	Existing	2.1.15												NSLDS II	
	5.164	Ability to ensure all networking equipment is protected against environmental conditions such as water, fire, etc.	Existing	2.1.15												NSLDS II	

NSLDS II Reengineering
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Type	Detailed Req Number	Detailed Requirement	New/Existing Requirement	Mapping to High Level Requirement	NSLDS II Functional Areas									Source	Comments	
					Student Aid Eligibility	Financial Aid History	Student Transfer Monitoring	Loan Transfer Tracking	FP Payment/Payment Reasonability	Cohort Default Rates	Enrollment Tracking	Audit & Program Reviews	Research & Policy Development			Budget Formulation & Execution
	5.165	Ability to not allow users access to sensitive data until background checks are performed on each user.	Existing	2.1.15											NSLDS II	
	5.166	Ability to have login/logout procedures for users.	Existing	2.1.15											NSLDS II	
	5.167	Ability to provide a secure web interaction for users.	Existing	2.1.15											NSLDS II	
	5.168	Ability to provide different levels of access for different kinds of users via the web interface.	Existing	2.1.15											NSLDS II	
	5.169	Ability to allow System Administrators to reset passwords for other users.	Existing	2.1.15											NSLDS II	
	5.170	Ability to keep track of the identity of a user during the session's audit trail.	Existing	2.1.15											NSLDS II	