

FSA FY 2003 DETAILED ANNUAL PLANNING MATRIX - FUNDED

Priority #	FSA ID No.	MIT No.	Dept Stg Plan No.	High Risk Plan	Sys Int Plan	Initial FSA ID No.	ACTION ITEMS	RESP PERS	RESP AREA	BUSINESS NEED	SUCCESS MEASURES	COMPLETION DATE	Objectives				
													1 - FSA Systems Integration and Technology Solution Initiatives	2 - Improve Program Integrity	3 - Reduce Cost	4 - Improve Human Capital Management	5 - Improve Products and Services
1	1	19		HR1		CFO-1	Obtain a clean audit opinion on FSA's financial statements	Bateman	CFO	Meet government-wide accounting and financial management requirements issued by Federal Accounting Standards Advisory Board (FASAB), OMB, and Treasury.	Receive Department-wide Clean Audit Opinion on January 31, 2003.	1/31/2003		X			X
1	1.1			HR1		CFO-1.1	Work with the Department to obtain a clean audit opinion	Bateman	CFO			1/31/2003		X			X
1	1.2			HR1		CFO-1.2	Work with the Department and auditors to assure full compliance with Federal Financial Managers Improvement Act (FFMIA), Federal Managers Financial Integrity Act (FMFIA), and other laws and regulations	Bateman	CFO			1/31/2003		X			X
1	1.3			HR1		CFO-1.3	Work with the Department to correct all material internal control weaknesses identified in the financial statement audit report	Bateman	CFO			1/31/2003		X			X
1	1.4			HR1		CFO-1.4	Review internal controls in Financial Management System (FMS) to ensure that data is accurate, reliable, available and timely to maintain adequate stewardship and accountability	Bateman	CFO			1/31/2003		X			X
1	1.5			HR1		CFO-1.5	Participate with Budget Services in determining credit reform subsidy estimates	Bateman	CFO			1/31/2003		X			X
1	1.6			HR1		CFO-1.5.1	Enhance 'Splitter' process in Financial Management System (FMS). Review FMS and Accounting Division Operations processing	Bateman	CFO			1/31/2003		X			X
1	1.7			HR1		CFO-1.6	Assist in the preparation of all Department-wide financial statements	Bateman	CFO			1/31/2003		X			X
2	2		6.4.1			HRSK-1	Develop and execute an FY03 plan to get off the GAO High Risk List	Paulsen	COO	FSA has been designated as a high risk program since 1990 when the GAO first identified programs that were " high risk" due to vulnerabilities to fraud, waste, abuse and mismanagement. The issues that GAO raised were: inadequacy of financial management systems, lack of business systems continuity plan, high default costs, vulnerabilities to student fraud, and issues related to the appropriate forms of school monitoring. On August 1, 2001, GAO provided further clarification around three central issues: i) improved financial management and internal controls, ii) efficient and effective integrated information systems that provide high quality service, and iii) maintain a balanced management approach that minimizes noncompliance and default rates while providing widespread use of the program.	Remove FSA from the GAO High Risk List by 9/30/03. FSA will document its plans to achieve this goal in the FY 2003 High Risk Plan which will be developed and shared with GAO, OMB and other internal stakeholders by 11/30/02. The FY 2003 High Risk Plan is an extract of the action/sub action items from the FSA FY2003 Performance Plan that are being undertaken by FSA to address the GAO High Risk items. This action item is intended to address FSA items only. Other Department-wide initiatives and/or corrective actions may be required to remove the Department from the GAO High Risk List.	9/30/2003	X	X	X	X	X
2	2.1					HRSK-1.1	Review GAO Guidance, OMB concerns and FY 2002 High Risk Plan outcomes and status	Paulsen	COO			11/30/2002					

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2	2.2					HRSK-1.2	Determine necessary action items for FY 2003 and update plan	Paulsen	COO			11/30/2002					
2	2.3					HRSK-1.3	Validate plan with FSA Senior Leaders, Department Advisors and share with GAO and OIG	Paulsen	COO			11/30/2002					
2	2.4					HRSK-1.4	Finalize plan	Paulsen	COO			11/30/2002					
2	2.5					HRSK-1.5	Demonstrate progress in having implemented corrective measures through improved accountability mechanism assuring addresses necessary reporting requirements for Performance Plan, Department's Strategic Plan, MIT and President's Management Agenda	Paulsen	COO								
2	2.6					HRSK-1.6	Develop internal communications infrastructure	Paulsen	COO								
2	2.7					HRSK-1.7	Update plan monthly as necessary	Paulsen	COO			9/30/2003					
2	2.8					HRSK-1.8	Meet with and/or inform GAO and OMB on progress and internal monitoring regularly	Paulsen	COO			9/30/2003					
3	3	46	6.4.4	HR1		CFO-3	Reconcile FSA accounts to Department's general ledger within 30 days after month-end by 9/30/03	Bateman	CFO	FSA needs to improve its financial management internal controls by being able to effectively reconcile all FSA accounts to the Department of Education's general ledger in a timely manner. This action contributes greatly to our goal of achieving a clean audit opinion.	Reduce the number of days FSA accounts are reconciled to the Department's General Ledger from 45 days in FY02 to 30 days by FY 03. This goal will be achieved in two phases: 1. All Standard General Ledger (SGL) accounts for FSA appropriations will be reconciled with immaterial differences by the 40th day after the month-end close by March 30, 2003. 2. All SGL accounts for FSA appropriations are reconciled with immaterial differences by the 30th day after the month-end close by September 30, 2003.	9/30/2003	X	X	X		
3	3.1			HR1		CFO-3.1	Complete FSA reconciliations for FY03 for all Balance Sheet accounts using Standard General Ledger (SGL)	Bateman	CFO			9/30/2003	X	X	X		
3	3.2			HR1		CFO-3.2	Transition FSA reconciliations to FSA Accounting Division Staff	Bateman	CFO			9/30/2003	X	X	X		
3	3.3			HR1		CFO-3.3	Identify resources and FTE's needed for FY03 reconciliation effort	Bateman	CFO			9/30/2003	X	X	X		
3	3.4			HR1		CFO-3.4	Review current reconciliation process to improve audit trail of data from Operating Partners to FMS to Financial Management System Software (FMSS) and from FMS to/from Grant Administration and Payment System (GAPS)	Bateman	CFO			9/30/2003	X	X	X		
3	3.5			HR1		CFO-3.5	Develop an automated methodology to reconcile cash transactions in FMS to the Treasury banking system	Bateman	CFO			9/30/2003	X	X	X		
3	3.6			HR1		CFO-3.6	Coordinate with OCFO to reconcile all Standard General Ledger (SGL) accounts for FSA appropriations	Bateman	CFO			Ongoing - Monthly	X	X	X		
3	3.7			HR1		CFO-3.7	Work with FSA system owners and Operating Partners to research and resolve any reconciling differences	Bateman	CFO			Ongoing - Monthly	X	X	X		
3	3.8			HR1		CFO-3.8	Work with FSA system owners and Operating Partners to resolve any systemic issues	Bateman	CFO			Ongoing - Monthly	X	X	X		
3	3.9			HR1		CFO-3.9	Enhance FMS to populate all attributes needed for reconciliation	Bateman	CFO			Ongoing - Monthly	X	X	X		
3	3.10			HR1		CFO-3.10	Enhance FMS to integrate the transaction ID from GAPS	Bateman	CFO			Ongoing - Monthly	X	X	X		

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4	4	22		HR1		CFO-4	Implement the proper accounting structure and appropriate internal controls in all systems impacted by FSA's system integration and technology solution initiatives	Bateman	CFO	CFO must apply the proper accounting treatment and appropriate internal controls to any new FSA system that generates financial transactions. To ensure this is achieved, a review board comprised of program operations and financial management experts should be established to examine the financial management structure and identify and resolve deficiencies.	Establish the FSA Accounting Review Board (ARB) by 12/31/02. Demonstrate specific results in the account validation of FSA and the Department's accounting, such as compliance w/Federal Accounting Standards Advisory Board (FASAB) standards, GAAP and other federal guidelines for any FSA financial system change. No additional internal control issues will be identified by GAO or OIG.	9/30/2003	X	X	X		X
4	4.1			HR1		CFO-4.1	Establish board members to include operating and system accountants	Bateman	CFO			12/31/2002	X	X	X		X
4	4.2			HR1		CFO-4.2	Establish meeting frequency	Bateman	CFO			12/31/2002	X	X	X		X
4	4.3			HR1		CFO-4.3	Develop account validation framework for system development and ongoing certification of accounting and program systems providing financial management data	Bateman	CFO			6/30/2003	X	X	X		X
4	4.4			HR1		CFO-4.3.1	Review all accounting treatment to ensure compliance with Standard General Ledger (SGL) accounting	Bateman	CFO			9/30/2003	X	X	X		X
4	4.5			HR1		CFO-4.4	Develop framework for measuring whether the accounting validation is working by performing independent post production validation	Bateman	CFO			6/30/2003	X	X	X		X
5	5	17		HR1		CFO-6	Develop trial balance capability for each operating partner (ACS, Raytheon, EDS, COD) to facilitate and expedite the reconciliation process	Bateman	CFO	Currently, systems are not uniform in design, reporting software, and configuration. This diminishes FSA's ability to retrieve data, report financial management information, and reconcile accounts and provide information to the auditors.	Develop trial balance reporting capability for each of the operating partners by 9/30/03.	9/30/2003	X	X	X		X
5	5.1			HR1		CFO-6.1	Establish a system development workgroup, including ED-OCFO, FSA-CFO, FSA Management and Program Area, Operating Partners, to develop detail requirements specific to each program area	Bateman	CFO			1/31/2003	X	X	X		X
5	5.1.1			HR1		CFO-6.1.1	Review and document each operating system (providing for consistency among and within systems)	Bateman	CFO			6/30/2003	X	X	X		X
5	5.2			HR1		CFO-6.2	Develop chart of accounts for each operating partner (sub-accounts is pre-requisite) in FMS	Bateman	CFO			1/31/2003	X	X	X		X
5	5.2.1			HR1		CFO-6.2.1	Develop Trial Balance at each Operating Partner	Bateman	CFO			9/30/2003	X	X	X		X
5	5.3			HR1		CFO-6.3	Utilize an automated tool to balance and reconcile all financial transactions received from Operating Partners	Bateman	CFO			6/30/2003	X	X	X		X
5	5.4			HR1		CFO-6.4	Work with Operating Partner to balance and reconcile all financial transactions	Bateman	CFO			6/30/2003	X	X	X		X
5	5.5			HR1		CFO-6.5	Roll up support balances in Financial Statements	Bateman	CFO			6/30/2003	X	X	X		X
5	5.6			HR1		ST-2.9	Debt Management Collection System (DMCS) complies with FMS subsidiary ledger reconciliation requirements	Douglas/Phillips	Students			9/30/2003	X	X	X		X
6	6	19		HR1		CFO-9	Address material weaknesses and reportable conditions in audits	Bateman	CFO	We need to address weaknesses and conditions to ensure financial integrity, improved customer confidence, and improved data for management decision making.	FSA obtains a clean opinion and is removed from GAO High Risk List by 9/30/03, and has internal processes and controls in place to sustain a clean opinion and non-high risk status.	9/30/2003	X	X	X	X	X

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6	6.1			HR1	CFO-9.1	Strengthen financial reporting to ensure full compliance with OMB Circular A-123, Management Accountability and Control, and Credit Reform guidance	Bateman	CFO			9/30/2003	X	X	X	X	X
6	6.1.1			HR1	CFO-9.1.1	Ensure that the newly implemented financial management system supporting FSA's financial management and reporting needs is working effectively and adequately integrated with the Department's general ledger	Bateman	CFO			6/30/2003	X	X	X	X	X
6	6.1.2			HR1	CFO-9.1.2	Use FMSS to produce a general ledger trial balance at the reporting group level or at a consolidated level	Bateman	CFO			6/30/2003	X	X	X	X	X
6	6.1.3			HR1	CFO-9.1.3	Identify, research, and correct account differences and validate proper posting	Bateman	CFO			9/30/2003	X	X	X	X	X
6	6.1.4			HR1	CFO-9.1.4	Minimize use of manual adjustments to correct discrepancies, and maintain sufficient documentation to support accuracy and completeness of adjustments, including their preparation, review and approval	Bateman	CFO			6/30/2003	X	X	X	X	X
6	6.2			HR1	CFO-9.2	Prepare/review quarterly and annual financial statements in accordance with OMB form and content guidance 01-09	Bateman	CFO			9/30/2003	X	X	X	X	X
6	6.2.1			HR1	CFO-9.2.1	Follow established policies and procedures for preparation of quarterly financial statements, quarterly analysis of trial balance accounts and quarterly reconciliation of feeder systems to FMS and from FMS to FMSS	Bateman	CFO			9/30/2003	X	X	X	X	X
6	6.2.2			HR1	CFO-9.2.2	Define approaches to corroborate account balances for all significant accounts on a monthly or more frequent basis, as appropriate. Ensure the accuracy of reported account balances	Bateman	CFO			9/30/2003	X	X	X	X	X
6	6.2.3			HR1	CFO-9.2.3	Maintain sufficient documentation to support differences in the subsidiary records and the general ledger records	Bateman	CFO			Ongoing - Monthly	X	X	X	X	X
6	6.2.4			HR1	CFO-9.2.4	Review trial balances and financial statements for follow up on unnatural balances in financial statements	Bateman	CFO			6/30/2003	X	X	X	X	X
6	6.2.5			HR1	CFO-9.2.5	Perform proper and timely reconciliation's of financial accounting records. Identify, research, resolve and document reconciliation differences of all significant accounts, both proprietary and budgetary, general ledger (GL) and subsidiary, in a timely manner	Bateman	CFO			9/30/2003	X	X	X	X	X
6	6.2.6			HR1	CFO-9.2.6	Verify accounting processes for FMS' new Lender Reporting System (LaRS)	Bateman	CFO			7/30/2003	X	X	X	X	X
6	6.2.7			HR1	CFO-9.2.7	Prepare quarterly Schedule 9 reports for loans receivable	Bateman	CFO			Ongoing - Quarterly	X	X	X	X	X
6	6.2.8			HR1	CFO-9.2.8	Use data mining and other approaches to search for duplicate payments and research improper payments that are identified and refine internal controls in response to such efforts	Bateman	CFO			9/30/2003	X	X	X	X	X
6	6.3			HR1	CFO-9.3	With the implementation of Common Origination and Disbursement (COD), remind schools that report Pell and DL disbursement data of the requirement to complete verification of selected students	Bateman	CFO			9/30/2003	X	X	X	X	X

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6	6.4			HR1		CFO-9.4	Improve monitoring mechanism to reduce the repeat of prior material weaknesses and reportable conditions	Bateman	CFO			9/30/2003	X	X	X	X	X
6	6.4.1			HR1		CFO-9.4.1	Review auditor's report on financial statements and participate in the development of plans and actions and milestones to address any outstanding reportable conditions and Management Letter recommendations	Bateman	CFO			4/30/2003	X	X	X	X	X
6	6.4.2			HR1		CFO-9.4.2	Hold regular meetings to review and discuss status of current actions developed to respond to audit report recommendations	Bateman	CFO			Ongoing - Monthly	X	X	X	X	X
7	7			HR1 / HR2	X	FP-6	Implement Form 2000 enhancements needed since original deployment in October 2000	Hansen	Financial Partners	During the design of the initial Form 2000 deployment, certain functionality was not captured and is needed to ensure integrity of submissions, payments and reconciliation in electronic data exchange. Elimination of manual intervention steps and partial data capture in the data mart scorecards and reporting functions. Enable quality and high level of confidence financial evaluation ability. Integrate financial data and processing and enable electronic data exchange rather than manual submission processes which are still in place for corrections.	Successful testing, user acceptance and validation of enhancements by June 2003. Disaster recovery and continuity of service testing by June 2003. Augmented training and external training support by August 2003. Assessment of data and improved processing controls by August 2003. Deployment of full functionality by September 2003. Financial Partner data accuracy will be validated through on site reviews and ongoing metrics to achieve a 75% improvement in submission rates and reduce errors in system related edits by the 4th Quarter of 2003.	9/30/2003	X	X	X	X	X
7	7.1			HR1 / HR2	X	FP-6.1	Gather user comments and requirements	Hansen	Financial Partners			3/31/2003					
7	7.2			HR1 / HR2	X	FP-6.2	Validate and prioritize business requirements/enhancements	Hansen	Financial Partners			6/30/2003					
7	7.3			HR1 / HR2	X	FP-6.3	Separate operational corrective actions identified in 2001 and 2002 from enhancements	Hansen	Financial Partners			3/31/2003					
7	7.4			HR1 / HR2	X	FP-6.4	Define and compile operational and enhancement requirements	Hansen	Financial Partners			6/30/2003					
7	7.5			HR1 / HR2	X	FP-6.5	Add electronic corrections ability	Hansen	Financial Partners			9/30/2003					
7	7.6			HR1 / HR2	X	FP-6.6	Validate processing outcomes through user testing and accounting treatment verification	Hansen	Financial Partners			6/30/2003					
7	7.7			HR 1	X	FP-6.7	Begin to integrate enhancements in Data Mart Release III build to create integrated view for scorecard and submission reporting	Hansen	Financial Partners			6/30/2003					
7	7.8			HR1		FP-6.8	Manage work group and Steering Committee for business process corroboration	Hansen	Financial Partners			9/30/2003					
8	8		348	HR 2 / HR3.1	X	ST-7	Determine the scope of the Debt Management Collection System (DMCS) reengineering	Douglas/ Phillips	Students	Current Debt Collection Service contract extension with Raytheon is expiring on 6/30/03 (will be extended to using 3 3-month extensions to 3/2004).	Conduct analyses and develop decision memorandum by 3/31/03. Decide to recompet with limited re-engineering or to fully re-engineer and redeploy the system by 3/31/03.	3/31/2003		X		X	X
8	8.1			HR 2 / HR3.1	X	ST-7.1	Validate whether to recompet the contract with limited reengineering or pursue increased reengineering through FSA system integration and new technology solution initiatives	Douglas/ Phillips	Students			3/31/2003		X		X	X

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8	8.2			HR 2 / HR3.1	X	ST-7.2	Commence either a contract recompile or fully reengineering project to redeploy the system	Douglas/Phillips	Students			3/31/2003		X		X	X
9	9	49, 51	342, 231	HR3.2		SCH-3	Improve school's fund management, reconciliation, and close out processes	Jacks / Holman	Schools	The interfaces and operational procedures between COD/FMS/GAPS need to be reviewed and improved. Once funds have been received at schools they need to be accounted for quickly and efficiently.	Process 90% of the fund requests so that funds will be available to schools in GAPS within 36 hours from the time COD receives records. (This is a joint school/CFO measure). 80% of funds will be substantiated by student records within 30 days of drawdown date.	9/30/2003	X	X	X		X
9	9.1			HR3.2		SCH-3.1	Reduce time to deliver funds to schools	Jacks/Beavers	Schools			9/30/2003	X	X			X
9	9.2			HR3.2		SCH-3.2	Identify improvements and fill gaps in current operational procedures related to reconciliation	Jacks/Holman	Schools			3/31/2003	X	X			X
9	9.3			HR3.2		SCH-3.3	Implement systematic notifications and operational procedures related to disbursement to drawdown ratios	Jacks/Beavers	Schools			3/31/2003	X	X			X
9	9.4			HR 2 / HR3.2	X	SCH-3.4	Retire Pell's Recipient Financial Management System (RFMS) and the Direct Loan Origination System (DLOS)	Jacks/Beavers				9/30/2003	X		X		
10	10			HR1 / HR2	X	FP-3	Stabilize the Lender Application Process (LAP) and Lender Reporting System(LaRS)	Hansen	Financial Partners	Integration of all financial processes in a consolidated system and elimination of manual intervention to edit, verify, and authorize processing and funding. Improve the correct mapping of human capital and skills to functional support. Elimination of contractor dependency for manual and key entry processing.	Acceptance and validation of one full quarterly actual submission by accounting, operations, financial management, oversight, and budget services by February 2003. Reconfiguration of the financial management group to support the operational and customer responsiveness needs of the new systems by December 2002. Retirement of the prior FFEL support and processing system at Raytheon by December 2002. Elimination of manual interventions to edit, verify and authorize processing funding by September 2003.	9/30/2003	X	X	X	X	X
10	10.1			HR1 / HR2	X	FP-3.1	Validate submissions and financial processing through regression testing	Hansen	Financial Partners			3/31/2003					
10	10.2			HR1 / HR2	X	FP-3.2	Verify the full performance functionality of the extensions built in Oracle Financial Management System (FMS)	Hansen	Financial Partners			3/31/2003					
10	10.3			HR1 / HR2	X	FP-3.3	Establish a CFO/Financial Partners operational management and integration work group	Hansen	Financial Partners			12/31/2002					
10	10.4			HR1 / HR2	X	FP-3.4	Check and analyze the quarterly submissions for all quarters in FY03 for accuracy and proper accounting treatment and funding transactions	Hansen	Financial Partners			9/30/2003					
10	10.5			HR1 / HR2	X	FP-3.5	Coordinate submissions, outcomes, remittance processing, and data quality with regional reviews initiative scheduled for FY03	Hansen	Financial Partners			9/30/2003					

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11	11	62	130, 341, 351, 359	HR3.2		11	Enhance Program Monitoring and Oversight	Douglas/ Hansen/ Jacks / Saunders / Edwards / Phillips / Reynolds / Kingsley / Beavers / Teresa	Students/ Schools/ Financial Partners/ Analysis / SFAU	To satisfy a major requirement of the High Risk Plan, FSA must demonstrate that it pursues the appropriate balance of school monitoring and technical assistance. In addition, reducing overawards is a critical component of the President's Management Agenda. Further, as part of the Secretary's effort to improve accountability, all Department Offices are required to document the manner in which they monitor program aid recipients.	Develop and deliver Monitoring Plan by 12/31/02. Define and utilize compliance metrics to measure compliance/oversight activities, including the effectiveness of technical assistance by 12/31/02. Resolve 95% of the compliance audits within six months of receipt to meet OMB A-50 requirements (Schools & Financial Partners channels). Improve Default Recovery Rate from 7.6% to 8.0% by the end of FY 03. Reduce the amount of Pell Grant award error from 3.3% to 3.1%.	9/30/2003	X	X	X	X	X
11	11.1			HR3.2		11.1	Develop and deliver an Enterprise-wide Program Monitoring Plan	Reynolds	Schools			12/31/2002		X			
							Student Eligibility										
11	11.2			HR3.2		11.2	Student Applicant and Disbursement Data	Douglas/ Saunders/ Kingsley	Students								
11	11.2.1			HR3.2		11.2.1	Develop a plan to continue to identify, measure and monitor applicant and payment error	Douglas/ Saunders/ Kingsley	Students/ Analysis			6/30/2003		X			
11	11.2.2			HR3.2		11.2.2	Implement Phase I of the plan	Douglas/ Saunders/ Kingsley	Students/ Analysis			6/30/2003		X			
11	11.2.3			HR3.2		11.2.3	Develop and deliver training to staff on needs analysis, verification and conflicting documentation	Teresa	Schools		Trainee satisfaction surveys and supervisor ratings of increased skills and competency.	9/30/2003	X	X	X		X
11							School Oversight		Schools								
11	11.3			HR 2 / HR3.2	X	11.3	Integrate School Information Systems	Jacks/ Edwards	Schools								
11	11.3.1			HR3.2		11.3.1	Reengineer and streamline Case Management and Oversight (CMO) business processes to reduce decision making timeframe and achieve increased consistency of outcomes	Jacks/ Edwards	Schools			9/30/2003	X	X			
11	11.3.1.1			HR2	X	11.3.1.1	Implement electronic audits and financial statements	Jacks/ Edwards	Schools			6/30/2003	X	X			X
11	11.3.1.2		346	HR2	X	11.3.1.2	Define requirements and conceptual design for workflow tool to facilitate processes (most likely Postsecondary Education Participation System (PEPS) reengineering)	Jacks/ Edwards	Schools			6/30/2003	X				
11	11.3.2			HR3.2		11.3.2	Define measures for compliance/ oversight activities to demonstrate the effectiveness of case management including technical assistance	Jacks/ Edwards	Schools			12/31/2002		X			
	11.3.3					11.3.3	External Training										
11	11.3.3.1			HR3.2		11.3.3.1	Plan, design and build a "100 Series" of basic training for schools	Teresa	FSAU	Our customers have pointed out need for such training; in addition, FSA University's plans to build a series of off-the-shelf course offerings that directly address continuing customer needs begins with this '100" series of introductions to Title IV programs and concepts.	Determine the list of courses that will comprise the 100 series and create a plan for their development.	9/30/2003		X	X		X
11	11.3.3.2			HR3.2		11.3.3.2	Develop and deliver a program integrity training for schools through a combination of videoconferences , web-based training, and classroom experiences	Teresa	FSAU		Trainee satisfaction.	9/30/2003		X			X
11	11.4					11.4	Partner Oversight										

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11	11.4.1			HR2	X	11.4.1	Enhance the use of available financial partner data by implementing Phase III of the Financial Partner Data Mart	Hansen	Financial Partners	ED is currently not able to evaluate FFEL participation through a risk model or scorecard assessment tool or mechanism. The Data Mart was designed in three phases – initial definitions and structural design implementation, Guarantor and Lender data extraction from functions already moved to FMS and the implementation of a lender scorecard, and inclusion of the remaining historical data from the FFEL system and retirement of those operational components. The multiple risk scorecards as well as current data accessibility will enable ED/FSA to assess program risk areas, adequacy of oversight and technical assistance, as well as reduction of manual and contractor dependent costs. Oversight, Compliance, Trending, Data integration, Program participation, regulatory metrics, and performance measurements related to regulatory and statutory requirements	Successful testing and validation of the additional functionality by May 2003. Implement this phase by June 30th, 2003. Provide internal and external user training by August 2003 which results in increased usage. Retire the Financial Partners FFEL functions in the current system and confirm the assumption of the remaining components (DMCS and the Maintenance system) by the Students channel by July 31st.	7/31/2003	X	X	X	X	X
11	11.4.2			HR3		11.4.2	Continue enhanced oversight of lenders/servicers and guarantee agencies through improved consistency and risk management tools	Hansen	Financial Partners	Comprehensive reviews of GAs starting without review guide or communication of scope - where is risk assessment process? Continued challenge about consistency of answers/guidance.	Effective outcomes that preclude or minimize risk. Produce a mid year report that demonstrates outcome evaluation methods and risk categorization by July 2003. Improve consistency of determinations by year-end September 2003. Integrate training as a review team requirement and incorporate effectiveness and integration in GPAS or subsequent performance evaluation tool. Reduce the number of preemptive or intervention actions by 50% by year end September 2003.	9/30/2003		X	X	X	X
11	11.5			HR3.1		11.5	Risk Management and Default Prevention Strategies										
11	11.5.1			HR3.1		11.5.1	Demonstrate improved risk management and default prevention strategies	Douglas/Phillips		Avoid a "scatter gun" approach of managing the portfolio on demand. Limit the risk of default or loss for Federally guaranteed student aid obligations.	Incorporate an integrated approach across the enterprise to ensure maximum coverage and synergy of efforts. Focus on mitigating risk through educating the borrower and the parents, improving internal and external controls, identify risk attributes and implement actions to address the risk identified.	9/30/2003		X	X		
12	12			HR3		AC-1	Develop and standardize an integrated contract management approach that utilizes performance measures that are directly linked to the business case objectives	Hardesty	Contracts & Acqustns	Currently there is no standardized contract/performance management approach within FSA. This has consistently resulted in contracts not accomplishing program/business case expectations fully and with appropriate performance measures specified. Additionally, the lack of standardized contract/performance management has resulted in a finding by GAO and auditors of a lack of internal controls.	Develop, document and pilot a contract/performance management process by 3/31/03. Fully Implemented process by 04/30/03.	4/30/2003	X	X			X
12	12.1			HR3		AC-1.1	Standardize approach and processes	Hardesty	Contracts			3/31/2003	X	X	X		X
12	12.2			HR3		AC-1.2	Provide training and support to all project managers (PMs), Contracting Officer Representatives (CORs), all stakeholders and accountable contract entities on the new process and performance measures that monitor business case expectations/ outcomes against achieved results	Hardesty	Contracts			4/30/2003	X	X	X		X
12	12.3			HR3		AC-1.3	Pilot process with one project and refine process based upon pilot	Hardesty	Contracts				X	X	X		X
12	12.4			HR3		AC-1.4	Implement new process across all projects	Hardesty	Contracts			4/30/2003	X	X	X		X

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12	12.5			HR2 / HR3	X	ST-4	Establish outcome-based performance measures and framework for FSA and partners to manage performance	Douglas	Students	Need a mechanism by which performance measurement can be performed that is standardized and flexible.	Development of a FSA performance measurement framework by 9/30/03. Pilot the proposed framework on customer interaction by 6/30/03. Principles will be applied to actual contracts by 9/30/04.	9/30/2003						
12	12.5.1			HR3		ST-4.1	Convene Performance Measures Working Group	Douglas	Students			6/30/2003						
12	12.5.2			HR3		ST-4.2	Develop industry best practice framework to manage performance	Douglas	Students			9/30/2003						
12	12.5.3			HR3		ST-4.3	Pilot proposed framework on measuring customer interaction	Douglas	Students			9/30/2003						
13	13					ANA-1	Create an Enterprise-level dashboard of productivity and performance metrics	Kingsley	Analysis	FSA, as a Performance Based Organization, must document its productivity and performance trends. Currently, there is neither an Enterprise-wide set of performance metrics nor an integrated reporting mechanism for assessing productivity.	Create a dashboard of operational and other performance measurements to provide insight to FSA management on productivity and performance at the aggregate and service delivery level by August 31, 2003.	8/31/2003		X	X		X	
13	13.1					ANA-1.1	Develop a plan to identify metrics that are auditable, repeatable, can measure the quality of business services and delivery at the aggregate and service delivery level, and are compliant with the Statement of Federal Finance Accounting Concepts and Standards (SFFACS), where appropriate	Kingsley	Analysis			6/30/2003		X				X
13	13.2					ANA-1.2	Implement Phase 1 of this plan	Kingsley	Analysis			8/31/2003		X				X
14	14	197, 202, 203, 220, 225		HR3.3		HR/FSA U	Develop and/or implement workforce alignment (business processes, skills, etc.) initiatives and actions to support FSA performance goals and One-ED objectives	Teresa/ Thomas	FSAU/HR	One of the GAO High Risk items is the management of the federal human capital. To ensure that the government can employ staff with the skills to manage rapidly changing technologies and is adequately skilled to replace those retiring, ED has developed the "One ED" initiative. This initiative will help the Department obtain the skill sets it needs to manage in the 21st century.	Review and update FSA Skills Catalog by 6/30/03. Align FSA's manager excellence program with ED's manager excellence goals by 9/30/03. Create a workforce transformation strategy for the student channel business processes by 9/30/03. Develop learning tracks for case management teams by 6/30/03. Establish career counseling opportunities for employees by 6/30/03.	9/30/2003	X	X	X	X	X	
14	14.1			HR3.3		HR	Begin to align with/participate in One-ED	Thomas/ Teresa	HR/ FSAU			10/1/2002					X	
14	14.2			HR3.3		HR	Establish organization alignment teams to work across channels to determine/execute the to-be-state	Thomas	HR			9/30/2003					X	
14	14.3			HR 2 / HR3.3	X	HR	Define HR systems requirements and work with ED (Time and Attendance, Retirement)	Thomas	HR			9/30/2003					X	
14	14.4			HR3.3		FP-4	Align functions, unit configuration, and work responsibilities with new system integration and technology solutions	Douglas/ Jaks/ Hansen/ Hawald/ Bateman	Students/ Schools/ Financial Partners/ CIO/CFO	Enhanced productivity when skills are aligned with work; Validation of system support of business needs; Effective utilization of skills, program support and technology in oversight; Inconsistency elimination through use of centralized data sources and consistency in outcomes and review assessments.	Effective utilization of technology and systems in conducting reviews and analysis of trends within program management by tracking usage reports and system metrics. Deployment of training assurance by June 2003. Reduction in duplicative work and elimination of unnecessary functions by March 2003. Full system and training integration by September 2003. Improved performance outcomes through review evaluation and financial management responsiveness to risk aversion as well as integrated review approach acceptance. Ensure that the right people are in the right jobs with the right skills.	9/30/2003		X	X	X	X	

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14	14.5			HR3.3	FSAU-1	Expand Career Zone (CZ) offerings to include new system and technology solutions	Teresa	FSAU	Increase employee engagement and productivity; align staff in a common understanding of FSA's mission and business, reducing knowledge stovepipes.	Awareness of staff about the Career Zone. Customer satisfaction rating with courses.	9/30/2003					X	X
14	14.5.1			HR3.3	FSAU-1.2	Expand Career Zone offering to include Title IV basics - programs, delivery system, negotiated rulemaking. Build and deliver "Partnering for Performance" sessions	Teresa	FSAU			9/30/2003					X	
14	14.6			HR3.3	FSAU-3	Review, update and use the FSA skills catalog	Teresa/Thomas	HR/ FSAU	Reduce strategic skills gaps; increase employee engagement and productivity; create "bench strength; lower costs.	Integration of skills catalog into larger FSA human capital plan including EDPAS, training recruitment and realignment.	9/30/2003					X	
14	14.6.1			HR3.3	FSAU-3.1	Review and update FSA skills catalog	Teresa/Thomas	HR/ FSAU			9/30/2003					X	
14	14.6.2			HR3.3	FSAU-3.2	Conduct gap analyses based on skills catalog (business units TBD)	Teresa/Thomas	HR/ FSAU			9/30/2003					X	
14	14.6.3			HR3.3	FSAU-3.3	Provide learning opportunities to fill skills gaps	Teresa/Thomas	HR/ FSAU			9/30/2003					X	
14	14.7			HR3.3	FSAU-4	Develop learning track for case management teams	Teresa	FSAU	Reduce strategic skills gaps; increase employee engagement and productivity; create "bench strength; lower costs	Develop of training to support most immediate and critical skill shortages of case management staff. Overall customer satisfaction rating of 3 on a 5-point scale.	9/30/2003		X			X	
14	14.7.1			HR3.3	FSAU-4.1	Conduct research and analysis of skills needed to perform specific jobs	Teresa	FSAU			3/31/2003					X	
14	14.7.2			HR3.3	FSAU-4.2	Create the curriculum, focusing on "data driven" approach	Teresa	FSAU			9/30/2003					X	
14	14.7.3			HR3.3	FSAU-4.4	Conduct skills assessment	Teresa	FSAU			9/30/2003					X	
14	14.7.4			HR3.3	FSAU-4.5	Provide learning options to fill gaps	Teresa	FSAU			9/30/2003					X	
14	14.8			HR3.3	FSAU-8	Align Manager Excellence Training to focus on Performance and Accountability	Teresa	FSAU	This program responds directly to the Blueprint for Management Excellence, Goal 6 of the Strategic Plan, and FSA's emphasis on Performance Accountability.	Revised training program by 4/30/03. All rating officials/supervisors trained by 9/30/03.	9/30/2003		X	X	X	X	X
14	14.9			HR3.3	HR-1	Assess the feasibility of implementing web-based Performance Management Process (PMP) that incorporates Education Department Performance Appraisal System (EDPAS) and Individual Develop Plan (IDP)	Thomas	HR	Currently, there is no readily accessible, fully integrated, performance management system or tool to help FSA employees manage and maximize their growth and development. We need to help and encourage employees to develop and grow in their current roles and build new skills for the future. This needs to align with the One-ED process.	The feasibility analysis will be completed 3/31/03.	3/31/2003	X				X	X
14	14.10			HR3.3	HR-2	Add the career counseling component to FSA Career Zone	Thomas	HR	As we continue to integrate and stream line our systems and adapt best business practices, there will be an on-going need for new skills and high performing employees. This service/function will enhance our ability to get the right people with the right skills in the right jobs at the right time.	Impacted employees are successfully placed in grade sustaining roles in government or private sector.	9/30/2003			X	X	X	X
14	14.10.1			HR3.3	HR-2.2	Obtain adequate funding	Thomas	HR			12/31/2002					X	
14	14.10.2			HR3.3	HR-2.1	Determine the order of magnitude of the impacted employees	Thomas	HR			3/31/2003					X	
14	14.10.3			HR3.3	HR-2.2	Identify relevant employee support needs	Thomas	HR			6/30/2003					X	
14	14.10.4			HR3.3	HR-2.4	Work with Acquisitions and Contract Performance (ACP) to develop Statement of Work (SOW) and the feasibility of interagency agreements.	Thomas	HR			6/30/2003					X	
14	14.10.5			HR3.3	HR-2.5	Award contract	Thomas	HR			7/31/2003					X	
14	14.10.6			HR3.3	HR-2.7	Develop/execute communications plan	Thomas	HR			6/30/2003					X	
14	14.11			HR3.3	HR-2.6	Ensure availability of physical space for service providers	Thomas	HR			3/31/2003					X	

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15	15			HR2	X	CIO-3 & SCH-14	Implement integrated project management oversight for FSA's system integration initiatives	Hawald/Jacks	CIO/Schools	A project management office is required to ensure that there is overarching leadership, direction setting and contract management for the modernization and reintegration activities.	Create an internal project management support function within FSA by 12/31/02. All system integration initiatives identified in FY 2003 Performance Plan will be delivered in accordance with the established project plans and milestones for each initiative.	1/31/2003	X	X		X
15	15.1			HR2	X	CIO-3	Provide program management support for FSA system integration and new technology solution initiatives	Hawald/Seifert	CIO			12/31/2002	X	X		X
15	15.1.1			HR2	X	CIO-3.1	Issue a task order under the Modernization Partner Contract to ensure continued support for integration, leadership, direction setting, reporting and contract/subcontract management	Hawald/Seifert	CIO			1/31/2001	X	X		
15	15.2			HR2	X	SCH-14	Formalize FSA Integration Group	Jacks	Schools/CIO			1/15/2003	X			
16	16	90, 96		HR2	X	16	Define an enterprise-wide data strategy and high-level implementation approach that addresses the business flow of data across the enterprise, architecture, primary ownership, standards, management, access methods, and quality	Hawald/Douglas/Jacks/Hansen/Bateman	Schools/Students/Financial Partners/CIO/CFO	We need a systematic and integrated way of looking at the entirety of our data in order to be able to make informed decisions and improve program integrity within FSA. FSA can improve program compliance, program monitoring, and program integrity with a consistent and integrated business intelligence infrastructure.	Establish a cross-functional project team by 12/31/02. Deliver a statement of strategic focus by 1/31/03. Deliver an enterprise-wide data strategy by 04/30/03. Develop business requirements by 03/31/03. Develop a data quality process by 06/30/03. Develop an XML Technical Architecture Framework by 03/31/03. Develop enterprise vision and strategy for data warehouse and data marts by 06/30/03. Develop technical standards, conventions, and data management guidelines by 09/30/03.	9/30/2003	X	X	X	X
16	16.1			HR2	X	16.1	Identify the strategic focus areas necessary to develop a cohesive enterprise-wide data strategy	Hawald			Deliver a statement of Strategic Focus by 01/31/03.	1/31/2003				
16	16.2			HR2	X	16.2	Collaborate with all internal Department stakeholders and external stakeholders to identify business needs and requirements with respect to the data provided to FSA by others, provided by FSA to others, and managed by FSA	Hawald/Douglas/Jacks/Hansen/Bateman			Establish a cross-functional project team by 12/31/02 to develop business requirements. Develop business requirements by 3/31/03.	6/30/2003				
16	16.2.1			HR2	X	16.2.1	Map the current state and future state business flow of data, as applicable, across the enterprise	Hawald			Develop current and target state business flow maps in 03/31/03.	3/31/2003				
16	16.2.1.1			HR2	X	16.2.1.1	Inventory legacy/operational data, including different databases and data stores, to identify redundancy	Hawald			Complete an inventory of legacy/operational data and a summary identifying redundant data by 02/28/03.	2/28/2003				
16	16.2.1.2			HR2	X	16.2.1.2	Determine where business data should be integrated	Hawald			Complete target state assessment for integration of business data by 03/31/03.	3/31/2003				
16	16.2.2			HR2	X	16.4.3.1	Develop requirements and initial design for Common Identifiers for School and Students.	Hawald/Pirina/Hill			Develop requirements and initial design for all common identifiers by 06/30/03.	6/30/2003				
16	16.3			HR2	X	16.3	Determine Current Data Quality and Establish Target State Plan and Quality Assurance Process	Hawald/Pirina			Complete assessment of current state data quality by 04/30/03 and establish a Quality Assurance process by 06/30/03.	6/30/2003				
16	16.3.1			HR2	X	16.3.1	Evaluate and identify data quality problems and identify correct source of data	Hawald/Pirina			Complete assessment of current state data quality by 05/31/03.	5/31/2003				
16	16.3.2			HR2	X	16.3.2	Develop a data cleansing plan based on cost, value and urgency	Hawald/Pirina			Develop cleansing plan by 04/30/03.	4/30/2003				
16	16.3.3			HR2	X	16.3.3	Develop and administer a data quality process which ensures the FSA projects implement enterprise data standards and quality standards	Hawald/Pirina			Develop a data quality process by 06/30/03.	6/30/2003				

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16	16.3.4			HR2	X	16.3.4	Establish an FSA data quality committee comprised of both business and technical subject matter experts to ensure that enterprise data standards are addressed within each project	Hawald/ Pirina			Establish a data quality committee by 06/30/03.	6/30/2003					
16	16.4			HR2	X	16.4	Develop and enterprise-wide extensible markup language (XML) Technical Architecture Framework to enhance data sharing and standardization with our external customers	Hawald/ Pirina/ Hill			Develop an XML Technical Architecture Framework by 03/31/03.	3/31/2003					
16	16.4.1			HR2	X	16.4.1	Develop an XML framework including: and FSA XML Vision, XML standards, governance process, methodology, XML technical core components, sector libraries, and schemas	Hawald/ Pirina/ Hill			Develop an XML Technical Architecture Framework by 03/31/03.	3/31/2003					
16	16.4.2			HR2	X	16.4.2	Develop and integrated sequencing plan that identifies when and how each initiative will implement the XML framework as part of an overall enterprise data integration plan	Hawald/ Pirina/ Hill			Develop an XML framework sequencing migration plan for each initiative by 03/31/03.	3/31/2003					
16	16.4.3			HR2	X	16.4.3	Establish Common Record XML format	Hawald/ Pirina/ Hill			Develop Common Record XML format by 03/31/03.	3/31/2003					
16	16.4.4			HR2	X	16.4.4	Identify initial requirements and initial design for XML Institutional Student Information Report (ISIR)	Hawald/ Pirina/ Saunders			Develop requirements and initial design for XML Institutional Student Information report (ISIR) by 03/31/03.	3/31/2003					
16	16.4.5			HR2	X	16.4.5	Complete development activities to implement XML for ISIR for 2004-05	Douglas/ Saunders				9/30/2003					
16	16.5			HR2	X	16.5	Develop integrated Data warehouse and data mart strategy	Hawald/ Greene			Develop integrated Data warehouse and data mart strategy by 06/30/03.	6/30/2003					
16	16.5.1			HR2	X	16.5.1	Develop Data Warehouse and Data Mart Vision	Hawald/ Greene			Develop vision document by 03/31/03.	3/31/2003					
16	16.5.2			HR2	X	16.5.2	Develop Data Warehouse and Data Mart Framework	Hawald/ Greene			Develop Framework by 04/30/03.	4/30/2003					
16	16.5.3			HR2	X	16.5.3	Develop technical standards and guidelines	Hawald/ Greene			Develop standards and guidelines by 05/30/03.	5/30/2003					
16	16.5.4			HR2	X	16.5.4	Develop a strategy for enterprise wide data sharing and distribution (data storage, management and access rights)	Hawald/ Greene			Develop data sharing strategy by 05/30/03.	5/30/2003					
16	16.6			HR2	X	16.6	Develop technical standards, conventions, and data management guidelines	Hawald			Develop technical standards, conventions, and data management guidelines by 09/30/03.	9/30/2003					
16	16.7			HR2	X	16.7	Review Security and Privacy Procedures and revise as necessary	Hawald/ Boots			On going process.	9/30/2003					
16	16.8			HR2	X	16.8	Develop an enterprise web services/portal strategy	Hawald			Develop a web services/portal strategy by 06/30/03.	6/30/2003					
17	17			HR2	X	ST-6.3a	Analyze Personal Identification Number (PIN) issues related to enterprise wide management/architecture strategy	Douglas/ Saunders	Students		Recommend Personal Identification Number (PIN) solution by 6/30/03. Develop PIN implementation plan by 9/30/03.	9/30/2003	X				X
18	18	93		HR1		CIO-4	Create an overall FSA integrated security and privacy architecture	Hawald/ Boots	CIO	Each FSA project creates security and privacy protections anew, with cross-fertilization limited to the technical understanding of the personnel working on the development effort. Conflicts between cost savings and security/privacy are not explicitly considered.	Agreement on a security and privacy architecture/standards document, including review and approval by the Architecture Working Group by March 2003. Implementation of one or more proof-of-concept security services as part of the Integrated Technical Architecture by end of FY03.	9/30/2003	X	X	X		X
18	18.1			HR1		CIO-4.1	Convene FSA security and privacy architecture working group and provide support for meetings and deliberations	Hawald/ Boots	CIO			9/30/2003					
18	18.2			HR1		CIO-4.2	Review past work plan and update the plan with the latest business and technical developments that are applicable	Hawald/ Boots	CIO			12/31/2002					

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18	18.3			HR1		CIO-4.3	Integrate FSA needs with Departmental and government wide initiatives (e.g. Critical Infrastructure Protection, Enterprise Architecture, eAuthentication, etc.)	Hawald/ Boots	CIO			12/31/2002				
18	18.4			HR1		CIO-4.5	Recommend technical approaches to each of the security services (e.g., encryption, authentication etc.) required by FSA (and partner organizations)	Hawald/ Boots	CIO			3/31/2003				
18	18.5			HR1		CIO-4.7	Identify and estimate the cost of all FSA projects that will require modification to fit within the proposed enterprise security/privacy standards	Hawald/ Boots	CIO			3/31/2003				
18	18.6			HR1		CIO-4.8	Implement one or more proof-of-concept infrastructure improvements, with specific intention to develop an identity management infrastructure (enrollment, use of school or lender XML identity credentials, Single Sign-On) to support business-facing (school/lender/GA, not Personal Identification Number-based (PIN-based) student/borrower) applications	Hawald/ Boots	CIO			9/30/2003				