

**STATEMENT OF WORK 2**

**ME17-076-002**

**Project Name:** Document Intake  
**Service Provider Project Manager:** Francisco Padilla  
**Company Project Manager:** Edward "Art" Wetmore

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This Statement of Work ("SOW 2") dated February 14, 2019 is entered into pursuant to Master Services Agreement (ME17-076), executed by DATAMARK, Inc. ("Contractor") and Pennsylvania Higher Education Assistance Agency ("Client" or "PHEAA") dated July 17, 2018, as amended (collectively, the "Agreement").

**I. DEFINITIONS AND ATTACHMENTS**

- (a) Capitalized terms not otherwise herein defined shall have the meanings ascribed to them in the Agreement (including its Exhibits 1-5).
- (b) The following documents are attached to, and are hereby integrated into, this SOW 2. In the case of a conflict between the documents, the following order of precedence shall apply:
  - 1. Attachment 1 – Service Level Agreements
  - 2. Attachment 2 – Security Requirements
  - 3. Attachment 3 – Site Floor Plan
  - 4. Attachment 4 – Architecture Diagram
  - 5. Attachment 5 – Service Description Supplement

**II. NOTICE AND APPROVAL OF SUBCONTRACTORS**

No subcontractors will be used by the Contractor under this SOW 2.

**III. HIGH-LEVEL REQUIREMENTS (DELIVERABLES AND SERVICES)**

To transition Records Management Document Intake functions utilizing PHEAA's current legacy systems, in accordance with this SOW 2, the Agreement and SOW 1, from PHEAA's Headquarters location to a new DATAMARK location at 4000 Crums Mill Road, Suite 103, Harrisburg, PA 17112 (the "Facility") within 120 calendar days of execution of this SOW 2, and to continue to provide those functions and services at the Facility. SOW 1 remains valid and applicable except to the extent that it conflicts with this SOW 2. A change of operational location from the Facility requires prior written approval of PHEAA.

**IV. DETAILED REQUIREMENTS (DELIVERABLES AND SERVICES)**

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- (a) Contractor shall comply with the Security Requirements set forth in Attachment 2, as may be updated and revised by Client from time to time.
- (b) Client preserves the right to audit Contractor's operations and physical structure of the Facility for compliance with the Security Requirements at any time as set forth in the Agreement.
- (c) SOW 2 activities will be added to the current Project Plan within two weeks of execution of SOW 2.
- (d) The updated Project Plan will contain the activities, durations and assigned resources for:
  - a. Site Implementation
  - b. Technology Deployment
  - c. Human Resources Relocation
  - d. Process Changes to Support Relocation
  - e. FISMA Moderate Controls Implementation
- (e) The following Services shall be provided by the Contractor to the Client.
  - a. Site Setup:
    - i. Contractor shall lease the Facility.
    - ii. Contractor shall build out the Facility to support the Records Management operations currently being provided by Contractor's personnel at Client's Headquarter Fifth floor location, as specified within Attachment 3 – Site Floor Plan. Any changes to the Floor Plan require approval by both Client and Contractor.
    - iii. Contractor shall build out the Facility to meet Client's Enterprise Security Office requirements as specified within Attachment 2 ("Security Requirements"). Contractor shall complete the build out within 90 calendar days of execution of this SOW 2. During the buildout, Client ESO and Contractor shall engage in ongoing discussions regarding the completion status of the build out pursuant to the Security Requirements. A compliance checklist will be utilized by Client ESO to track activities achieved during the build out. At completion of the buildout, and within five (5) days of notice from Contractor, Client ESO will view and audit the Facility for risk assessment, validate whether controls are in place and evaluation of compliance with the Security Requirements. Client and Contractor will work in good faith to address any deficiencies in a mutually agreed manner and timeframe. Contractor shall not transition any of the Services to the Facility until authorized by Client.
    - iv. During the term of this SOW 2, Client and Contractor will work in good faith and in a mutually agreed manner and timeframe to make any corrections to the Facilities and Contractor's operations as may be required to comply with the Security Requirements, as may be updated by the Client from time to time. Any changes to Attachment 2 - Security Requirements that could have an impact on cost or process will go through the Change Control process detailed in Section 12 of the MSA for evaluation, cost impact and approval by both parties.

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- v. Contractor will acquire, as necessary, and prepare the information technology infrastructure as specified within Attachment 4 – Architecture Diagram. Client supporting activities are listed within the Project Plan. Infrastructure includes, but is not limited to, the following items:
    - 1. Network Connectivity
    - 2. Telecom
    - 3. Citrix Desktops
    - 4. Scanning Workstations
    - 5. Commercial Workspace
    - 6. Federal Workspace
  - vi. Contractor and Client agree to develop an equipment list specifying equipment that will be transferred by Client and equipment that will be procured by Contractor, and ownership dispositions. Any additional equipment procured by the Contractor will be at the Contractor's expense.
  - vii. Contractor and Client agree to develop a mutual test plan to guarantee operations as specified within Records Management Operations section.
  - viii. Client will perform an audit to provide Enterprise Security approval before transition of any Contractor personnel within 5 days of being notified by Contractor that the site is ready to be audited.
  - ix. Contractor and Client shall prepare a transition plan within two months of the begin date of the SOW 2 in order to relocate Contractor personnel to the Facility.
- b. Records Management Operations:
- i. The transition from Client's Headquarters to Contractors location shall maintain "As-Is" operations as defined within SOW 1, including , but not limited to, the following:
    - 1. FLS Mail Processing
    - 2. Commercial Servicing Mail
    - 3. Credit Dispute Mail
    - 4. Scanning / Indexing
    - 5. Loan Asset Management Mail and Faxes
    - 6. Loan Origination and Network Consolidation Mail
    - 7. FLS Direct Lending Consolidation
    - 8. Receipt Operations (AES and FLS)
    - 9. Document Disposition
    - 10. Logging Errors and Script Errors
    - 11. Invalid Mail
    - 12. Archive
    - 13. Tracking, Reporting, and Communicating Updates
    - 14. Grants Mail and Faxes
    - 15. Loan Origination, Commercial Servicing, FLS Fax Processing
    - 16. Death, Disability, and Bankruptcy Processing
  - ii. With the following exceptions:

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1. Contractor shall provide a daily mail run, no later than 11:00am, to deliver and pick-up non-scannable or mail belonging to Client's personnel located at HQ.
  2. Disposition – Starting on the date of Contractor's personnel operating at the Facility on PHEAA's system until the date of Contractor's Solution Go-Live, the Contractor shall bring shreddable documents that are older than thirty (30) days from the scan date, to Client HQ to shred. Contractor shall coordinate with Client's Facilities department on how shredding will take place.
  3. Any changes to Client's current processes must be approved by both Client and Contractor. Standard Operating Procedures must be updated prior to rollout of any process change.
- c. Contractor and Client shall validate that the current systems are fully functional using Citrix connection. This will be verified as a part of testing.
  - d. The Parties agree and acknowledge that any references to SOW 2 in SOW 1 shall now be considered SOW 3.
  - e. Personnel engaged in operations designated as part of the Federal contract require clearance before given access to federal content or workstreams. All others require PHEAA non-cleared onboard and would be restricted to non-cleared processes.
  - f. Examples of functions that can be performed by personnel who do not have SC Security Clearances include:
    - i. Commercial Scan and Index
      1. Commercial Servicing, Loan Origination, Network Consolidation, Commercial Adjustments, AES and PHEAA Credit Disputes, Grants, Loan Asset Management
    - ii. Processing, Scanning, and Indexing of AES and PHEAA Archive, to include GIR Archive and AES Conversions
    - iii. Disposition and Envelope Quality Assurance
    - iv. Sorting of Undeliverable Mail and Processing of PHEAA Undeliverable Mail
    - v. AES and PHEAA Reporting
  - g. If the average time for SC clearance exceeds 20 days (as measured by the time from submission of the clearance to the federal authorities TO the date of the calculation for all then-incomplete clearances), Contractor will make best effort to meet SLA's but if SLA's are missed, Service Level Credits which are impacted by the delayed clearances will be waived. Notwithstanding the foregoing, if it appears to the Contractor that the SLA targets may be missed, Contractor shall notify Client at the earliest opportunity so that Client assistance may be offered.

(f) The processes, tools and information contained in Attachment #5 provide a high level overview of certain portions of Contractor's responsibilities and is designed to serve as a supplement to the Contractor's duties as outlined herein and in SOW #1. Notwithstanding the inclusion of Attachment #5, Contractor shall continue to follow Client's processes, procedures,

protocols and controls as set forth in SOW #1, and SOW #1 shall take precedence over Attachment #5 in the case of an inconsistency or conflict.

#### **V. ASSUMPTIONS AND DEPENDENCIES**

- (a) If the Citrix solution is not fully functional and cannot be verified as part of testing, an alternative solution must be agreed upon by the Contractor and Client. Client's plan to mitigate this risk will be to do some early 'feasibility' testing around the application stack through Citrix.
- (b) The begin date for this SOW 2 will be the point of SOW 2 execution.
- (c) Parties agree and acknowledge that:
  - a. PHEAA will maintain ownership of the Kodak scanners;
  - b. maintenance on the scanners from SOW 1 (ME17-076-001) was paid for by PHEAA through February 28, 2019. DATAMARK applied the credit to PHEAA for those costs.
  - c. PHEAA will renew the maintenance on the Kodak scanners for a period of six (6) months, from March 1, 2019 through August 31, 2019, and DATAMARK will issue a credit back to PHEAA at the time of the renewal in March 2019. The Parties will discuss and agree upon needs and responsibilities for the scanner maintenance renewal for any period beyond 8/31/19.
  - d. PHEAA will not renew maintenance contract for the five (5) Kodak scanners beyond August 31, 2019 without notifying Contractor. Contractor will advise PHEAA whether or not it is necessary to renew.
- (d) Printing capabilities required by the Business Unit will be provided at the Facility using Citrix.
- (e) Additional cost to move Client scanners from current PHEAA HQ location to the Facility will be paid by Client.
- (f) Client-owned equipment cannot be utilized by the Contractor for activities outside of 'As-Is' operations.

#### **VI. TERM**

- i. This SOW 2 shall remain effective for a period of five (5) years.
- ii. SOW 1, ME 17-076-001, shall remain effective, as changed by SOW 2, for the duration of SOW 2.

#### **VII. CONTRACTOR QUALITY CONTROL AND AUDIT PROCESS**

As agreed upon in SOW 1, Contractor will audit its processes and, during its ongoing meetings with Client, provide feedback weekly to Client on all performance metrics. Client and Contractor will calibrate quality results monthly to ensure both Parties are measuring quality based on the same standards.

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VIII. **FEES**

- (a) The fees and payments schedule as specified within SOW 1, Section IX. Fees and Payments Schedule, will remain in effect for SOW 2 with the following exceptions:

Approximate hardware maintenance costs to be assumed by DATAMARK:	
*Image Access Corporation ( Start March 1, 2019 with Expiration 08/30/2019)	
Kodak 1860 Duplex Color Scanner (5) @ \$6125 ea.	
Approximate scanner move costs to be assumed by PHEAA:	
*Kodak	
Move 1 - Kodak 1860 Duplex Color Scanner (1)	
Move 2 - Kodak 1860 Duplex Color Scanner (4)	

- (b) Contractor will provide an invoice credit to Client for support provided to Contractor by Client personnel, as "invoiced" by Client, where that support expense was pre-approved by Contractor. Amounts of such credit shall be as agreed to by the Parties in advance of the provision of the support by the Client. **Client will not charge back to Contractor anything that is not mutually agreed upon in a writing.**
- (c) Contractor will invoice Client a flat monthly fee of \$18,900.00, with zero (0) markup, for the off-site location starting at the time of occupancy of the off-site facility. This Fee will be invoiced only until Contractor's transactional pricing is in place and able to be invoiced, but in no case shall this fee be payable in the invoice covering the fees for the offsite location prior to the month of April, 2019. All costs, including those associated with the Services and the off-site location, will be incorporated into the transactional pricing in SOW 3.
- (d) The Parties have agreed in SOW #1, at Section IV(i), that cost-savings are a material part of the bargain incentivizing entry into the MSA and any SOW. Assuming the volumes and the data capture requirements remain the same, the monthly invoice under the transaction pricing will be less than the current monthly invoice under the hourly rate plus the off-site flat fee.

IX. **SERVICE LEVEL AGREEMENTS and CREDITS/Incentives:**

- a. Contractor shall comply with the Service Level Agreements and Credits/Incentives as provided as Attachment 1 – Service Level Agreements.
- b. If <n> is specified in hours, the due date/time shall be measured from the date/time received by calculating the equivalent number of hours forward

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from the date/time of receipt, based on the relevant work type. Receipt Time, and SLA listed in Table I.

ACCEPTED AND AGREED as of the first date above written by the following authorized party representatives.

DATAMARK, INC.

By: Matt Lockman  
Name: Matt Lockman  
Title: Vice President

PENNSYLVANIA HIGHER EDUCATION ASSISTANCE AGENCY

By: Kathleen Y Witten  
Name: Kathleen Y Witten  
Title: VP Accounting Operations

Approved as to form and legality

Linda Randby  
PHEAA Legal Counsel

### Service Level Agreements

#### I. Service Level Agreements and Credits/Incentives

The following are Service Level Agreements and Credits to the SOW 2. If Contractor fails to comply with the Performance Requirement for each Performance Metric, Contractor shall provide Client with the Service Level Credit against the next invoice as set forth in the chart below:

Performance Metric	Goal	Performance Requirements	Calculation	Frequency of Review	Service Level Credits (Applicable to all Service Level Agreements)	Incentives (Applicable to all Service Level Agreements)																								
All correspondence for Commercial Servicing (Workflow) is processed within defined SLAs	Varies (See SLA chart)	100%	Defined by hours, the due date/time shall be measured from the date/time received by calculating the equivalent number of hours forward from the date/time of receipt based on relevant work type, Receipt Time, and	A weekly review will be performed to monitor the prior week's activities and ensure SLAs were met for the prior week.	<p>Individual SLA achievement levels will be calculated monthly as a percentage.</p> <p>Percentages will be averaged.</p> <p>If Monthly average of all SLA achievement levels is below 94%, the following Service Level Credit will apply:</p> <table border="1"> <tr> <td>93%-93.9%</td> <td>-1.25%</td> <td>99.1% - 100%</td> <td>+5.0%</td> </tr> <tr> <td>92%-92.9%</td> <td>-2.50%</td> <td>98.1% - 99.0%</td> <td>+3.75%</td> </tr> <tr> <td>91%-91.9%</td> <td>-3.75%</td> <td>97.1% - 98%</td> <td>+2.50%</td> </tr> <tr> <td>90%-90.9%</td> <td>-5.0%</td> <td>96.1% - 97%</td> <td>+1.25%</td> </tr> </table>	93%-93.9%	-1.25%	99.1% - 100%	+5.0%	92%-92.9%	-2.50%	98.1% - 99.0%	+3.75%	91%-91.9%	-3.75%	97.1% - 98%	+2.50%	90%-90.9%	-5.0%	96.1% - 97%	+1.25%	<p>Individual SLA achievement levels will be calculated monthly as a percentage.</p> <p>Percentages will be averaged.</p> <p>If Monthly average of all SLA achievement levels exceeds 96%, a Service Level Incentive will apply:</p> <table border="1"> <tr> <td>99.1% - 100%</td> <td>+5.0%</td> </tr> <tr> <td>98.1% - 99.0%</td> <td>+3.75%</td> </tr> <tr> <td>97.1% - 98%</td> <td>+2.50%</td> </tr> <tr> <td>96.1% - 97%</td> <td>+1.25%</td> </tr> </table>	99.1% - 100%	+5.0%	98.1% - 99.0%	+3.75%	97.1% - 98%	+2.50%	96.1% - 97%	+1.25%
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	<b>Performance Metric</b>	<b>Goal</b>	<b>Performance Requirements</b>	<b>Calculation</b>	<b>Frequency of Review</b>	<b>Service Level Credits (Applicable to all Service Level Agreements)</b>	<b>Incentives (Applicable to all Service Level Agreements)</b>
				SLAs listed in Table 1.			
2	All correspondence for FedLoan Servicing (Workflow) Business Line is processed within defined SLAs	Varies (See SLA chart)	100%	If defined by hours, the due date/time shall be measured from the date/time received by calculating the equivalent number of hours forward from the date/time of receipt based on relevant work type, Receipt Time, and SLAs listed in Table 1.	A weekly review will be performed to monitor the prior week's activities and ensure SLAs were met for the prior week.		
3	All correspondence for Public Service (Workflow) is processed within defined	Varies (See SLA chart)	100%	If defined by hours, the due date/time shall be measured from the date/time received by	A weekly review will be performed to monitor the prior week's activities and ensure SLAs		

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	<b>Performance Metric</b>	<b>Goal</b>	<b>Performance Requirements</b>	<b>Calculation</b>	<b>Frequency of Review</b>	<b>Service Level Credits (Applicable to all Service Level Agreements)</b>	<b>Incentives (Applicable to all Service Level Agreements)</b>
	SLAs			calculating the equivalent number of hours forward from the date/time of receipt based on relevant work type. Receipt Time, and SLAs listed in Table 1.	were met for the prior week.		
4	All correspondence for PHEAA Loan Asset Management is processed within defined SLAs	Varies (See SLA chart)	100%	If defined by hours, the due date/time shall be measured from the date/time received by calculating the equivalent number of hours forward from the date/time of receipt based on relevant work type. Receipt	A weekly review will be performed to monitor the prior week's activities and ensure SLAs were met for the prior week.		

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	<b>Performance Metric</b>	<b>Goal</b>	<b>Performance Requirements</b>	<b>Calculation</b>	<b>Frequency of Review</b>	<b>Service Level Credits (Applicable to all Service Level Agreements)</b>	<b>Incentives (Applicable to all Service Level Agreements)</b>
				Time, and SLAs listed in Table I.			
5	All back-end (Archive) documents are imaged timely as defined within SLAs	Varies (See SLA chart)	100%	Defined by days, the due date/time shall be measured from the date/time received by calculating the equivalent number of days forward from the time of receipt. Receipt Time and SLAs listed in Table I.	A weekly review will be performed to monitor the prior week's activities and ensure SLAs were met for the prior week.		
6	All Undeliverable mail is addressed within defined SLAs	Varies (See SLA chart)	100%	Defined by days, the due date/time shall be measured from the date/time received by calculating the equivalent	A weekly review will be performed to monitor the prior week's activities and ensure SLAs were met for the prior		

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	Performance Metric	Goal	Performance Requirements	Calculation	Frequency of Review	Service Level Credits (Applicable to all Service Level Agreements)	Incentives (Applicable to all Service Level Agreements)
				number of days forward from the time of receipt. Receipt Time and SLAs listed in Table 1	week.		
7	All Specialized documents and processes are addressed and completed within defined SLAs	Varies (See SLA chart)	100%	Defined by days, the due date/time shall be measured from the date/time received by calculating the equivalent number of days forward from the time of receipt. Receipt Time and SLAs listed in Table 1	A weekly review will be performed to monitor the prior week's activities and ensure SLAs were met for the prior week.		

- a. Service Level Credits/Incentives shall not exceed 5% of invoice amount in any one month.
- b. All Service Levels listed are based on received volumes within the volumes detailed in Table 2 and Table 3. Should volumes exceed the expected volumes by more than 10% on a monthly average, Contractor and Client will negotiate Service Level Credits; Incentives will continue to apply.

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- c. All Service Level Credits and Incentives are valid only for the duration of time prior to the implementation of transactional pricing. "Transactional pricing" is defined as pricing by unit, as indicated in Attachment 1 to SOW 2, ME17-076-002, rather than by person hour.

**Table 1 – Service Levels**

**Contractor shall comply with the following SLAs:**

Work Type	Receipt Method	Receipt Time	SLA
<b>AES Commercial Servicing (Workflow)</b>			
Commercial Servicing (PO Box 2461)	USPS Pickup	5:30 am	1 day
Graduate Services (PO Box 2461)	USPS Pickup	5:30 am	1 day
Loan Origination (PO Box 2465)	USPS Pickup	5:30 am	1 day
Network Consolidation (PO Box 2165)	USPS Pickup	5:30 am	1 day
Commercial Adjustments (PO Box 8139)	PHEAA Home Office Pickup	7:30 am	1 day
Guarantor Insurer Relations DDB (PO Box 8183)	PHEAA Home Office Pickup	7:30 am	2 days
Commercial Servicing Faxes	Electronic	Date Stamp	1 day
Loan Origination Faxes	Electronic	Date Stamp	1 day
AES Credit Disputes	PHEAA Home Office Pickup	7:30 am	1 day

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<b>FedLoan Servicing (Workflow)</b>			
FedLoan Servicing Correspondence (PO Box 69184)	USPS Pickup	3:30 am	1 day
Federal Adjustments (PO Box 3661)	PHEAA Home Office Pickup	7:30 am	1 day
FedLoan Servicing DDB	USPS Pickup	3:30 am	1day
FedLoan Servicing Faxes	Electronic	Date Stamp	2 days
FedLoan Servicing Credit Disputes (PO Box 60610)	PHEAA Home Office Pickup	7:30 am	1 day
Direct Lending Consolidation (PO Box 69186)	USPS Pickup	3:30 am	1 day
<b>Public Service (Workflow)</b>			
Grant Status Forms (PO Box 8157)	USPS Pickup	3:30 am	6 hours
Grant Correspondence	USPS Pickup	3:30 am	6 hours
Grant Faxes	Electronic	Date Stamp	1 day
<b>PHEAA Loan Asset Management</b>			
PHEAA Loan Asset Mgmt Corr (PO Box 8147)	USPS Pickup	5:30 am	1 day
PHEAA DDB Correspondence	USPS Pickup	3:30 am	2 days
PHEAA Credit Disputes (PO Box 61017)	PHEAA Home Office Pickup	7:30 am	1 day

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AES Commercial Servicing (Archive)			
Commercial Servicing	PHEAA Home Office Pickup	11:00 am	15 days
Graduate Services	PHEAA Home Office Pickup	11:00 am	15 days
Guarantor Insurer Relations	PHEAA Home Office Pickup	11:00 am	15 days
Conversions	PHEAA Home Office Pickup	11:00 am	30 days
Loan Originations	PHEAA Home Office Pickup	11:00 am	30 days
Network Consolidation	PHEAA Home Office Pickup	11:00 am	30 days
Commercial Adjustments	PHEAA Home Office Pickup	11:00 am	30 days
FedLoan Servicing (Archive)			
FedLoan Servicing Correspondence	PHEAA Home Office Pickup	11:00 am	15 days
FedLoan Servicing DDB	PHEAA Home Office Pickup	11:00 am	15 days
FedLoan Servicing Conversions	PHEAA Home Office Pickup	11:00 am	20 days
Direct Lending Consolidation	PHEAA Home Office Pickup	11:00 am	30 days
Public Service (Archive)			
Grant Correspondence	PHEAA Home Office Pickup	11:00 am	5 days

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Undeliverable			
Commercial Servicing Undeliverable Mail	USPS Pickup	5:30 am	5 days
FedLoan Servicing Undeliverable Mail	USPS Pickup	3:30 am	5 days
PHEAA Undeliverable Mail	PHEAA Home Office Pickup	7:30 am	5 days
Specialized			
Claims	PHEAA Home Office Pickup	11:00 am	4 hours
Certified (all)	PHEAA Home Office Pickup	11:00 am	1 day
Logging Errors	Electronic		1 day
Scripts Errors	Electronic		1 day
DDB Faxes	Electronic	Date Stamp	2 days
DDB Emails	Electronic	Date Stamp	2 days

**II. Volumes**

- a. The volumes set forth below in Tables 2 and 3 are estimates based on Client's historical data. Volumes are consistent on average throughout the year, with Mondays being significantly higher in volume than any other day of the week. Client makes no representations or warranties that Contractor will experience the same volumes.

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- b. The volumes set forth below in Tables 2 and 3 were serviced by Client using 67 full time employees. If (i) the volumes decrease, or (ii) Contractor is able to provide the Services, at these volumes or lower, at the SLAs and with fewer than 67 full time employees, Contractor shall reduce the fees accordingly. Contractor shall provide Client with a report on a monthly basis of the number of full time employees used for the Services in the prior month.
- c. If the volumes increase significantly, Client and Contractor will in good faith negotiate the need for additional staff and increased fees.

**Table 2 – Paper Volumes**

Work Type	Average Weekly Volume	Average Monday Volume
<b>Workflow</b>		
Commercial Servicing	2,400 documents	850 documents
AES Credit Disputes	100 documents	30 documents
Loan Asset Management	850 documents	250 documents
PHEAA Credit Disputes	6 documents	
Grants	2,500 documents	850 documents
AES – Loan Consolidation	6 documents	
FedLoan Servicing	17,000 documents	7,000 documents
FLS – Direct Lending Consolidation	1,500 documents	300 documents
DDB	8,500 documents	3,500 documents
AES and FLS Receipt Ops – Direct Debits	550 documents	200 documents

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FLS Credit Disputes	4,200 documents	1,800 documents
Undeliverable Mail	40 trays	
<b>Archive</b>		
Commercial Servicing	16 documents	
DDB	2,500 documents	
Receipt Operations	200 documents	
Loan Asset Management	5 documents	
Grants	600 documents	
AES – Loan Consolidation	1 document	
AES – Conversions	6,000 documents	
FedLoan Servicing	3 documents	
FLS – Direct Lending Consolidation	80 documents	
FLS – Conversions	30 documents	

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**Table 3 – Fax Volumes**

The average volume per day for faxes includes weekends and holidays.

Work Type	Avg. Volume
FedLoan Servicing	4,500 / day
Commercial Servicing	450 / day
Loan Origination	1-2 / day
Loan Asset Management	60 / day
Grants	95 / day

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## SECURITY REQUIREMENTS

The following are security requirements to SOW 2

DATAMARK shall comply with these Security Requirements as they may be amended by PHEAA from time to time.

DATAMARK must demonstrate and maintain compliance with PHEAA policies by providing implementation details and procedures to PHEAA for approval. Dates will be defined pursuant to the Project Plan.

DATAMARK must engage Third Party Assessment Organization (3PAO) vendor to prepare the controls implementation documentation which will be provided to PHEAA for review.

PHEAA will determine compliance by reviewing and approving the implementation plans and procedures provided by DATAMARK, as well as, in PHEAA's discretion, by site reviews.

All references to policies and procedures will be provided by PHEAA to DATAMARK.

- **General Security:**
  - CONTRACTOR facilities and systems servicing CLIENT must adhere to NIST 800-53 Rev4 FISMA moderate security and privacy controls.
  - CONTRACTOR must follow the following CLIENT standards:
    - Encryption Standard
    - Logging Standard
    - Media Destruction Procedure
  - CONTRACTOR shall provide details about the following, and shall make changes as necessary in PHEAA's discretion to ensure compliance with law and PHEAA policy:
    - Storage location and Vault security
    - Logical and Physical Access Control
    - System communication protection
    - Data at rest protection
    - Change Management
    - Data Center Security
    - Network Security
    - Data Loss Prevention (DLP)
    - Endpoint security and encryption
    - Identity Management - Provisioning , Deprovisioning, Role Management
    - Hardware encryption
    - Mobile Device management

- **Account and Access Control:**
  - CONTRACTOR must meet CLIENT's Account and Access Control Policy.
  - CONTRACTOR must restrict information sharing to only employees, subcontractors, officers, directors, and agents who are authorized and approved, via CLIENT's Account and Access Control Policy, and who have a need to access information for business purposes (herein referred to as "Authorized Users" or "Authorized Personnel").
  - CONTRACTOR must enforce badge swipe access to ensure that only Authorized Personnel may enter the CLIENT dedicated area. No other personnel are allowed to enter CLIENT designated area.
  - Authorized Personnel must perform CLIENT work with in the designated area only.
  - Two-factor authentication, such as a smart card or token used as part of authentication in addition to username/password, must be enforced to access electronic systems.
  - Authorized Personnel performing system administrative function must have PIV-I card or soft token for two factor authentication and activity must be monitored and recorded.
  - Authorized Personnel and other personnel are not permitted to use mobile devices when they are performing work for CLIENT and/or when they are in the CLIENT dedicated work area.
  - CONTRACTOR must not allow any wireless connectivity unless approved by CLIENT for CLIENT work and work areas.
  - CONTRACTOR must not allow any remote access to CLIENT dedicated network and systems.
  - CONTRACTOR must follow CLIENT's session termination, session lock, system use notification/banner, locking after unsuccessful login attempts, Least Privilege, separation of duties requirements defined in the CLIENT access control policy.
  - CONTRACTOR employee's (and other Authorized Personnel's) access to Logical systems must be reviewed, approved by CONTRACTOR / CLIENT management staff on periodic basis (annually).
  - CONTRACTOR must provide real-time access to camera recordings for CLIENT (physical) security team.
  - CONTRACTOR must disable accounts that no longer need access in real-time or at least within 24 hours.
  - CONTRACTOR cryptographic mechanisms must be FIPS 140-2 compliant.
  
- **Audit and Accountability:**
  - CONTRACTOR must meet CLIENT's Audit and Accountability Policy.
  - CONTRACTOR must configure systems to generate audit records containing information that establishes, including but not limited to, event type, subject, timestamp, location, source and outcome to support auditing including after the fact investigations.
  - CONTRACTOR must monitor Authorized Personnel and all other employees' activity, and anomalies must be reviewed and reported to CLIENT.
  - CONTRACTOR must protect audit information from alteration and audit information must retain it in accordance with CLIENT's Records Retention Policy for 30 days.

- **Security Assessment and Authorization:**
  - CONTRACTOR must implement security assessment and authorization procedures and review annually.
  - CONTRACTOR and CLIENT must assess the enforcement of security controls in the operating environment at least annually.
  - CONTRACTOR must perform self-assessment (security assessment) annually.
  - CONTRACTOR must implement continuous monitoring program.
  - CONTRACTOR must prepare and review Interconnection Security Agreements (as defined in NIST Pub. 800-53 Rev4) for all external connections annually.
  
- **Configuration Management:**
  - CONTRACTOR must meet CLIENT's Configuration Management Policy.
  - CONTRACTOR must establish, maintain and review annually at a minimum all baseline configurations. All unnecessary and/or non-secure ports, protocols, functions, processes and services must be disabled.
  - All changes, including emergency, must be analyzed for security impact and approved by CONTRACTOR management staff.
  - CONTRACTOR must produce and maintain inventory of information systems used for CLIENT.
  - CONTRACTOR must establish a process to manage software usage restrictions and user-installed software as per CLIENT requirements.
  
- **Contingency Planning:**
  - CONTRACTOR must meet CLIENT's contingency planning policy.
  - CONTRACTOR must document a contingency plan, provide training, and test the plan and processing sites annually and/or part of CLIENT's BCP/DR plan.
  
- **Identification and Authentication:**
  - CONTRACTOR must meet CLIENT's Identification and Authentication Policy.
  - CONTRACTOR's information systems must be configured to uniquely identify and authenticate users and systems.
  - Identity should not be shared or reused and must be approved by the authorized individual prior to use.
  - CONTRACTOR must ensure PIN, password, and passphrase are encrypted, hashed, and meets CLIENT's minimum requirements such as FIPS 140-2 encryption.
  - CONTRACTOR must implement mechanisms for authentication to a cryptographic module that meets the requirements of applicable federal laws, Executive Orders, directives, policies, regulations, standards, and guidance for such authentication.
  
- **Incident Reporting:**
  - CONTRACTOR must adhere to CLIENT's Incident Response Policy.
  - CONTRACTOR must establish capability to assist, handle, monitor and report incidents and test at least annually.

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- CONTRACTOR shall report a security incident as per CLIENT Incident Response policies and procedures for unauthorized access to or disclosure of, or inappropriate handling of, CLIENT data.
- **Maintenance:**
  - CONTRACTOR must adhere to CLIENT's System Maintenance Policy.
  - CONTRACTOR must implement maintenance activity that is approved, controlled and monitored.
  - CONTRACTOR must perform all maintenance activities locally and no remote access for maintenance activities shall be allowed.
  - CONTRACTOR must ensure all connections are active only for the duration of maintenance and disabled when maintenance is completed.
  - CONTRACTOR vendor personnel must be supervised by CONTRACTOR personnel during maintenance activities and escorted in and out of the work area.
- **Media Handling and Protection:**
  - CONTRACTOR must adhere to CLIENT's Media Protection Policy.
  - Media must be stored securely within controlled areas using physical containers, locking cabinets, locked rooms, vaults and/or safes.
  - CONTRACTOR must ensure that the transport of media is tracked for accountability, controlled and protected using physical, administrative, and technical security measures.
  - CONTRACTOR shall ensure that no CLIENT data leaves the continental United States.
  - CONTRACTOR must restrict media access to only authorized employees working for CLIENT.
  - CONTRACTOR shall store all Federal documents separate from all other documents for the length of the defined retention period.
  - CONTRACTOR shall use dedicated servers and database systems separately for Federal work vs. all other work in order to ensure that there will be no co-mingling of Federal data with all other data.
  - Transit (Inbound/Outbound):
    - CONTRACTOR must provide procedures about physical transport systems, processes, and protections enforced to protect the information assets, pursuant to the Project Plan
  - Scanning
    - CONTRACTOR shall use dedicated scanners for scanning CLIENTs documents.
  - Vault
    - CONTRACTOR to provide detailed security procedures about vault and protection measures, pursuant to the Project Plan.
  - Destruction
    - CONTRACTOR must meet NIST 800-88 Guidelines for Media sanitization.
    - CONTRACTOR shall perform secure crosscut shredding under dual security controls within a week for all documents marked for destruction.
    - CONTRACTOR shall destroy all media (paper, electronic) that is past the retention time period and provide evidence of destruction, via a Certificate of Destruction, to CLIENT.

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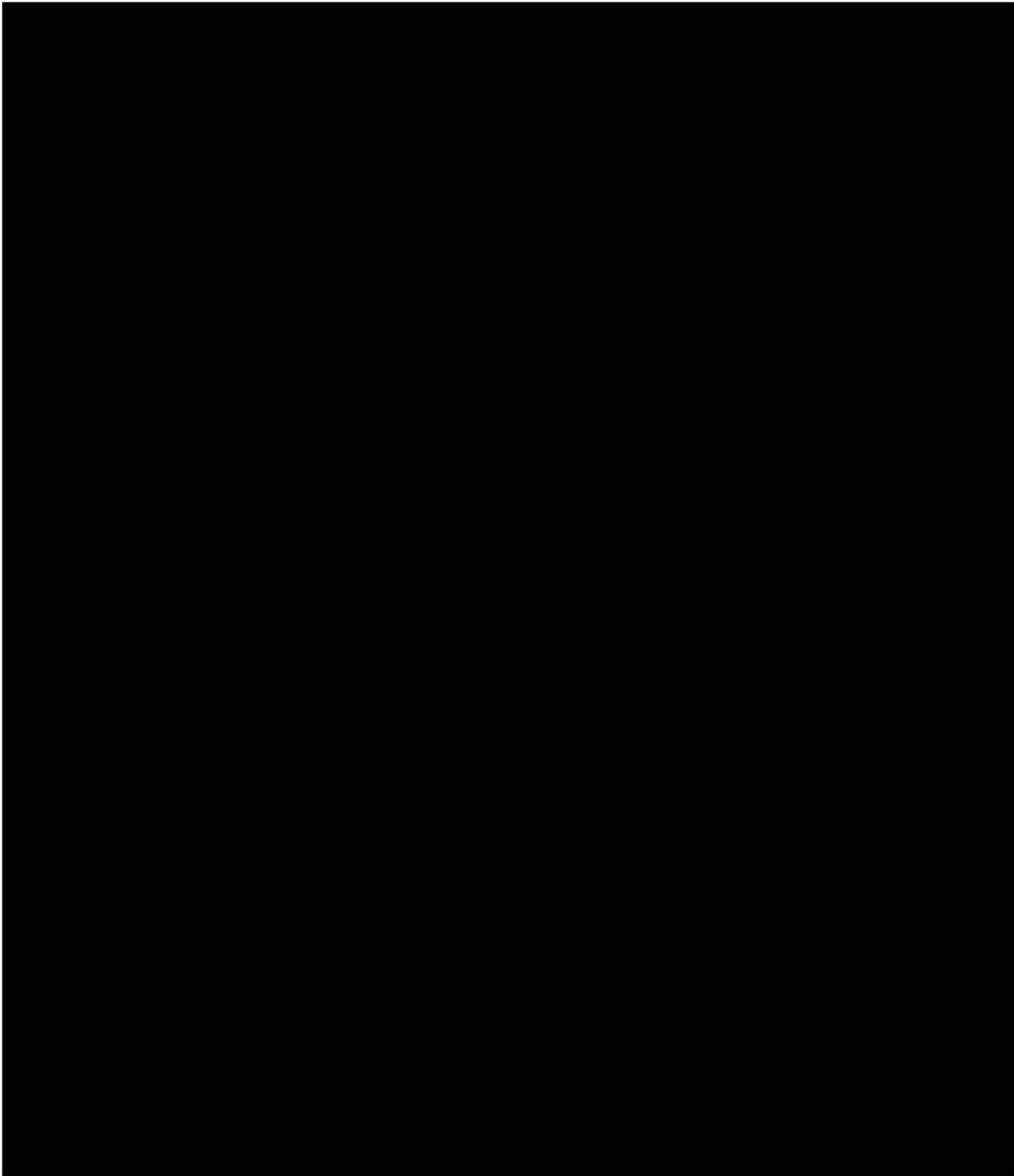
- CONTRACTOR shall document detailed media sanitization procedure and share with CLIENT for review and approval, pursuant to the Project Plan.
  - Destruction of documents shall be logged per item for comprehensive reconciliation and reporting.
- **Physical and Environmental Protection:**
  - CONTRACTOR must adhere to CLIENT's Physical and Environmental Protection Policy.
  - DATAMARK must provide Data Center and Facility Security details to PHEAA for review and approval, pursuant to the project plan.
- **Security Planning:**
  - CONTRACTOR must adhere to CLIENT's Security Planning Policy.
  - CONTRACTOR must prepare System Security Plan (SSP) for the scope of the service provided to CLIENT, reviewed and updated annually or when a material change has occurred.
- **Personnel Security:**
  - All CONTRACTOR employees must follow CLIENT's Personnel Security Policy.
  - All CONTRACTOR employees working for CLIENT are required to pass thorough background checks, as per CLIENT requirements, pursuant to the MSA.
  - All CONTRACTOR employees working for CLIENT shall work physically within the continental United States.
  - All CONTRACTOR employees who handle Federal (FLS) volume for CLIENT Data, physical or electronic, are required to obtain Federal 5C Clearance.
  - All CONTRACTOR employees who handle CLIENT data are required to complete security and awareness, Acceptable Use and Rules of Behavior Policy training, role-based training at the time of onboarding and annually at minimum and evidence must be provided.
  - Onboarding of all CONTRACTOR employees working for CLIENT must be approved by CLIENT.
  - All CLIENT's assets must be retrieved from the terminated/deactivated CONTRACTOR personnel.
- **Risk Assessment:**
  - CONTRACTOR information systems performing CLIENT services must meet the FIPS 199-200, NIST 880-60 and NIST 800-53 requirements.
  - CONTRACTOR must scan and patch information systems on periodic basis (at least monthly) as part of vulnerability and patch management process and critical and high vulnerabilities must be patched in short order.
  - CONTRACTOR must share scan results with CLIENT.
- **System and Service Acquisition:**
  - CONTRACTOR must adhere to CLIENT's System and Service Acquisition policy.
  - CONTRACTOR must follow secure Software Development Lifecycle (SDLC) as per CLIENT's requirements.

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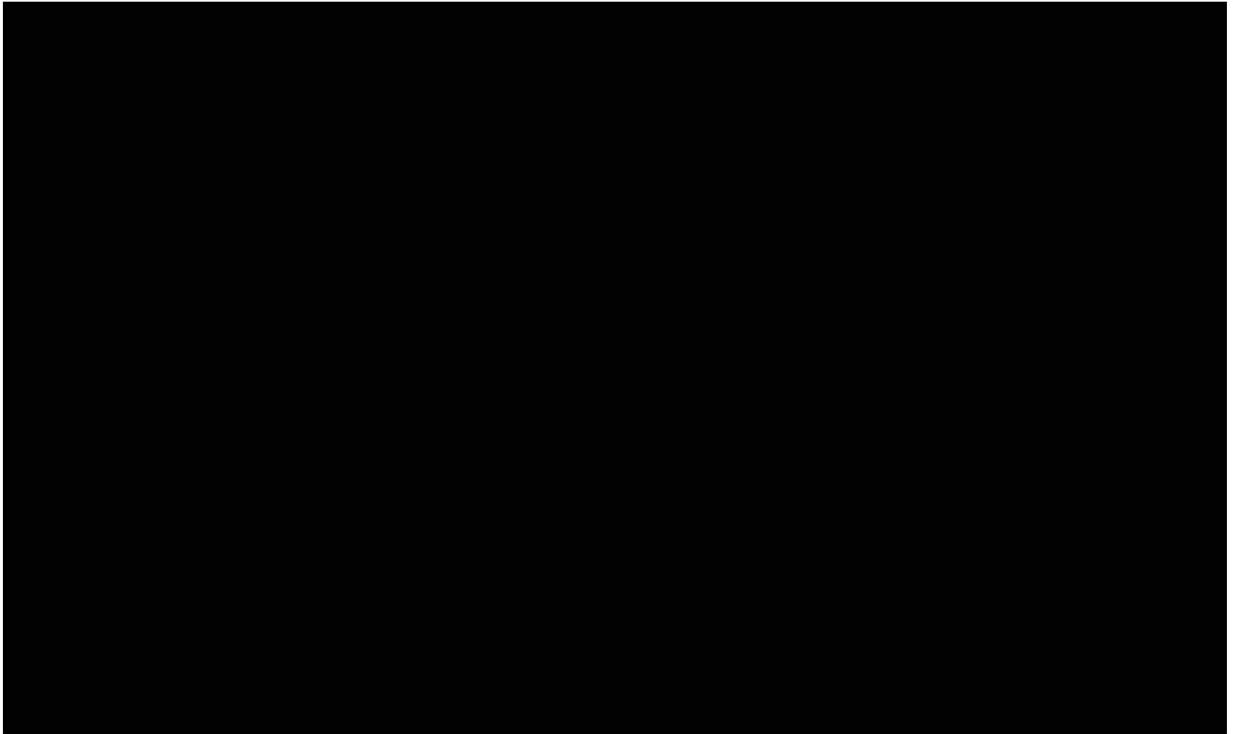


- CONTRACTOR must follow secure engineering principles in the specification, design, development, testing and deployment.
- CONTRACTOR security testing results must be reviewed and approved by CLIENT's security team, pursuant to the Project Plan.
- CONTRACTOR must deploy only FIPS-201 approved product for Personal Identity Verification capability.
- CONTRACTOR must not deploy code with identified flaws and flaws must be remediated before production deploy, particularly High and Critical flaws.
- **Systems and communication protection:**
  - CONTRACTOR must follow CLIENT's System and Communication Protection Policy.
  - CONTRACTOR facilities used to process CLIENT work shall be physically segregated (air gap) from all other CONTRACTOR projects.
  - CONTRACTOR must establish camera monitoring to ensure comprehensive visibility of work, transit and storage area.
  - CONTRACTOR shall ensure that all CLIENT data at rest is encrypted as per CLIENT encryption requirements to protect confidentiality and integrity.
  - CONTRACTOR shall ensure that all CLIENT transient data traverses only secured, hardened pathways as per CLIENTs security requirements.
  - CONTRACTOR transmission channels must meet CLIENT security (encryption) requirements.
  - CONTRACTOR must not allow any external connections other than to and from CLIENT network.
  - CONTRACTOR must employ cryptographic mechanisms, obtain applicable public key certificates from an approved vendor and managed that meets FIPS 140-2.
- **System and Information Integrity:**
  - CONTRACTOR must adhere to CLIENT's System and Information Integrity Policy.
  - CONTRACTOR must establish a security patch management process to meet, review and prioritize installation of security patches.
  - CONTRACTOR shall ensure that all technical equipment for CLIENT is up-to-date with current security patches.
  - CONTRACTOR must deploy and manage malicious code protection mechanisms.
  - CONTRACTOR must protect information integrity using information system continuous monitoring, Security Alerts, Advisories, Directives, Software and Firmware Information Integrity, Spam Protection, Error Handling, Memory Protection and Flaw remediation.

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PHEAA's Enterprise Security Office toured the Facility and provided the following suggestions/recommendations to assist in risk assessment and approval by the Federal Government.

Feedback			
Feedback	Details	Action Item(s)	Status
Secure Windows that face the exterior	There are 2 walls with windows facing outside the building and the site is located in the first floor	Options:	item reviewed with DMI security team. Will have break alarms (linked to a 3rd party security system, like ADT: #332 in MS Project)
Monitor these windows with ADT (Security Services) 24x7.			
Set Security Guards 24x7			

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Anti-Shatter Windows (Film)			
Camera System	Setup cameras to cover all areas within the site. These should not be any areas where people can hide.	Provide layout with cameras and type of cameras.	Layout reviewed with DMI security team. Layout attached shows recommended camera (Completed).
Shredding Process	Define the shredding process.	Short Term:	<ul style="list-style-type: none"> <li>- Return paper process map in progress</li> <li>- Suggested shredding machine: Destroyit 4107CC, cross cut industrial shredder. Item # 372 in MS Project</li> <li>- Hire a shredding Co. item #393 in MS Project</li> </ul>
Type of Shredding: Confetti Cut Shredding, Micro Cut Shredding	<ul style="list-style-type: none"> <li>· Return Paper to PHEAA Headquarters to shredding. The transport of paper must be secured.</li> </ul>		
	Long Term:		
	<ul style="list-style-type: none"> <li>· DMI hired a Shredding Company to do it onsite or take the paper to shred.</li> </ul>		
	<ul style="list-style-type: none"> <li>· If the paper is transported outside the Facility. it must be secured.</li> </ul>		
Data Center	Data Center is currently located at a corner with windows facing the exterior.	Setup Data Center next to Elevators. The proposed area used to be the Data Center from previous tenant, it is enclosed with no windows.	Completed in new Lay-out

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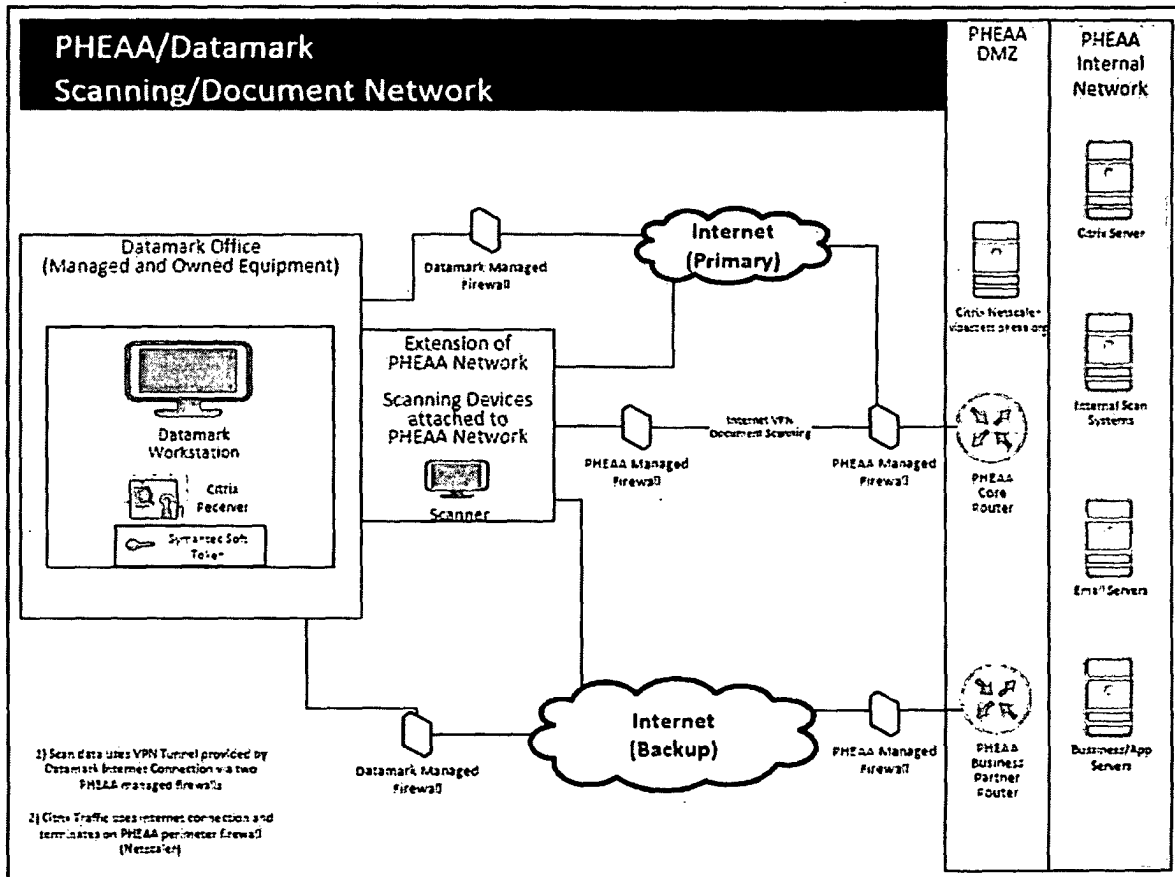
Shades in all Windows facing Exterior	It is required to have shades in all windows facing exterior, including Cafeteria.	There are shades already onsite. Validate and Include shades in our setup.	Pending to define shades specs, and include it in the build out.
Clean Desk	Setup Storage for any Work In Progress Paper at Close of Business Day.	Purchase cabinets with locks for each area that handles paper.	To be implemented by Op's (BR# DMIC-SOP-QA, in Security folder) area set up includes clean desks without personal cabinets. (Completed)
Reception / Mail Opening Area is consider Federal	It is required to get an emergency exit that bypasses the Reception / Mail Opening Area.	Apply changes in layout to build a separate Emergency Exit within the Commercial Area that is ADA Compliant.	Completed in new Lay-out
Glass Walls	All Glass walls must have film to block visibility	Include this as part of the Site Implementation.	Glass walls with frosted film have been included in the build out specs (Completed)
Metal Security Doors	It is required to have Metal Security Doors in different areas	It is required to have metal doors at the following areas:	Storage, shredding and data center will have metal security doors. Security Lay-out Completed 12/21/18. # 333 in MS Project (Completed)
30-Day Storage			
Shredding Area			
Data Center			
Door at North Side of Conference Room	Close door at north side of the conference room to block access to Federal Area	Remove door from Site Implementation.	Completed in new Lay-out

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Access Control	Setup Access Control in all Doors that face Commercial and Federal Areas with appropriate provisions.	Provide layout with access controls and access groups.	Lay-out details included in Security Lay-out (12/21/18) (Completed)
PHEAA System Access	Control System Access to PHEAA.	Work with PHEAA on defining access to their systems.	Pending review with PHEAA (BR# DMIC-SOP-QA, in Security folder)
Fire Suppression	Define how this will be implemented in new Location	Work with Landlord to get details on Fire Systems.	Building has Fire system: a) All facilities uses sprinklers. activates sprinklers in specific area as needed b) Sprinkler system + ADT + Alarm will be activated all the time b) Emergency process in progress (# 333 in MS Project)

Office layout

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1. CONTRACTOR shall setup two internet lines at CONTRACTORS location.
2. CONTRACTOR and CLIENT shall create VPN tunnel for document scanning (24 mega bites per second).
3. CONTRACTOR shall have a separate rack for scanning traffic inside the Data Center.
4. CONTRACTOR shall buy all necessary equipment.

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### Service Description

The processes, tools and information provided below under Sections I through IX provide a high level overview of Contractor's responsibilities. Notwithstanding the following, Contractor shall continue to follow Client's processes, procedures, protocols and controls as set forth in SOW 1. Where volumes exceed expected volumes by 10% or more on a monthly average (over the amounts anticipated in the Service Level Agreement Attachment), Contractor and Client will negotiate in good faith to determine the number of FTE's required to complete the related work.

#### I. Receipt of Documents for Processing

##### a. USPS Mail:

- i. Post Office Pickups:
  1. 3:30 am – Federal Mail
  2. 5:00 am – Commercial Mail
- ii. Incoming Mail Counts:
  1. Manual tray counts are taken each day by PO Box
  2. Counts are entered upon receipt into DTS for tracking purposes.
- iii. Certified Mail:
  1. All certified envelopes will be out-sorted within 1 hour of receipt for prioritized processing.
- iv. Undeliverable Mail:
  1. Mail returned due to an invalid address or insufficient postage; identified by having a yellow label attached to the envelope that indicates return to sender or includes a forwarding address
- v. Mis-Directed Mail:
  1. Mail sent to AES in error will be delivered to Mail Services at the PHEAA Home Office at 11:00 a.m. each day.
- vi. Special Handling Mail: Delivered to Mail Services at the PHEAA Home Office at 11:00 am each day
  1. Mail addressed to FedLoan Servicing Management Staff
  2. Mail addressed to CEO Executive Management Staff
  3. Letters from the Office of the Attorney General, Members of Legislature, or Congress
- vii. Collateral Mail
  1. Envelopes with checks: sorted out and kept in their original envelope with all original corresponding documentation. Check envelopes will be delivered to Mail Services at the PHEAA Home Office at 11:00 am each

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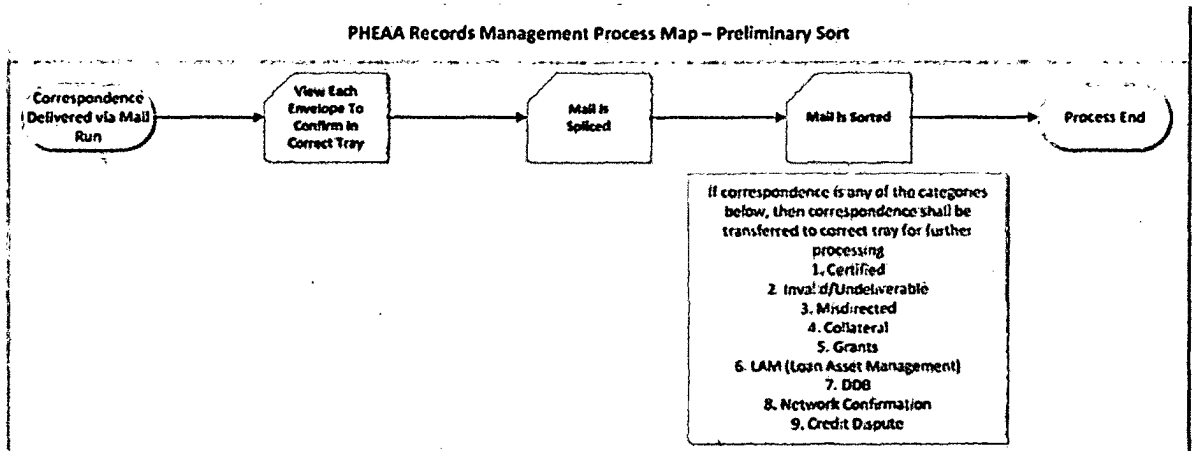


- day. A check log will be signed by a receiving agent in Mail Services to document the chain of custody of all checks.
2. Envelopes with cash: Recorded to the cash log, kept in a locked cash bag, and delivered to Mail Services at the PHEAA Home Office at 11:00 am each day. The cash log must be signed by a receiving agent in Mail Services in order to verify the chain of custody of all cash.
- b. Mail received from Mail Services:
- i. Credit Disputes:
    1. Picked up from Mail Services at the PHEAA Home Office each morning at 11:00 am
    2. Provided keys are used to unlock the bags once the bags are back at the Contractor off-site processing facility
    3. Manual counts are taken
    4. Counts are entered by 12:30 pm into the Document Tracking System (DTS) for tracking purposes
  - ii. Certified Mail:
    1. Contractor will scan each item into DTS
    2. Mail Services will be granted access to DTS in order to:
      - a. Directly record any certified mail that they receive
      - b. Search for any certified mail item by tracking number in order to retrieve its history
    3. Additional certified mail received directly by Mail Services is picked up in the Mail Services area on the first floor each morning at 11:00 am
  - iii. Other:
    1. See Table 5 for a reference to other expected documents to be picked up from Mail Services
- c. Documents received from other PHEAA Business Unit employees:
- i. Claims
    1. Box(es) are dropped off by the Claims department to the Mail Services area before 11:00 am each morning
  - ii. Consolidations
    1. Individual documents are dropped off by various people before 11:00 am to the Mail Services department
  - iii. Archive Work - Boxes dropped off periodically throughout the day/week to the Mail Services department
    1. GIR
    2. Conversions
    3. Other Archive
- II. **Paper Document Processing**
- a. Slice / Preliminary Sort (see Figure A)
    - i. Envelopes are jogged and then sliced open using high-speed slicing machines.

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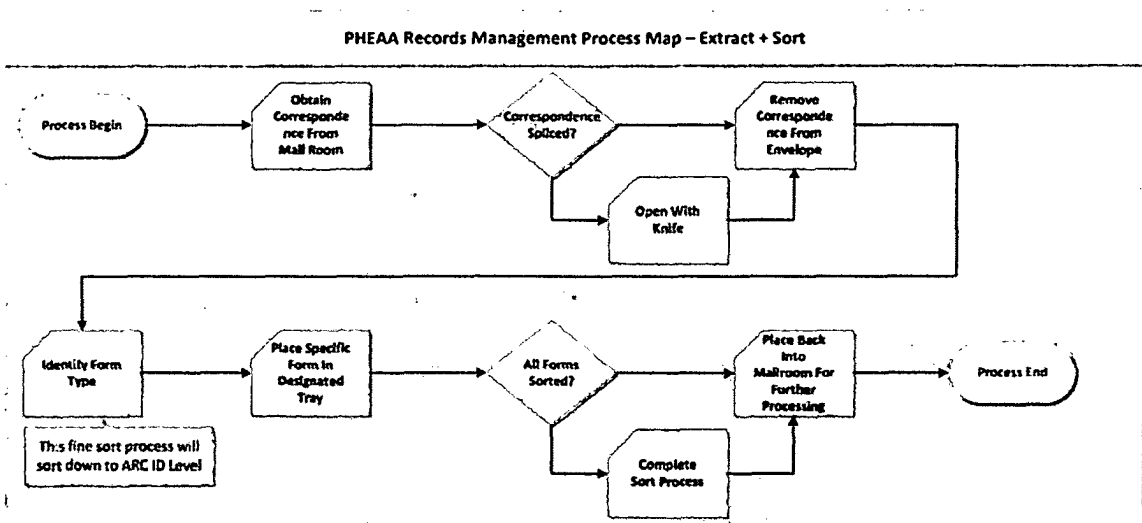
- ii. A cursory review of the envelopes is performed to separate according to high level type.

**Figure A – Preliminary Sort Workflow**



- b. Extract/Sort (see Figure B)
  - i. Envelopes are sliced open manually if required and their contents removed.
  - ii. Envelope contents are reviewed to determine the type of document and separated into appropriate stacks by type.
  - iii. The first page of the envelope contents is stamped with the applicable received date using a PHEAA-specific date stamper.
  - iv. Unnecessary blank or “boiler-plate” pages are discarded.
  - v. A document type sort is conducted to classify each document (see Table 5 for FLS sorting categories)

**Figure B – Extract Workflow**



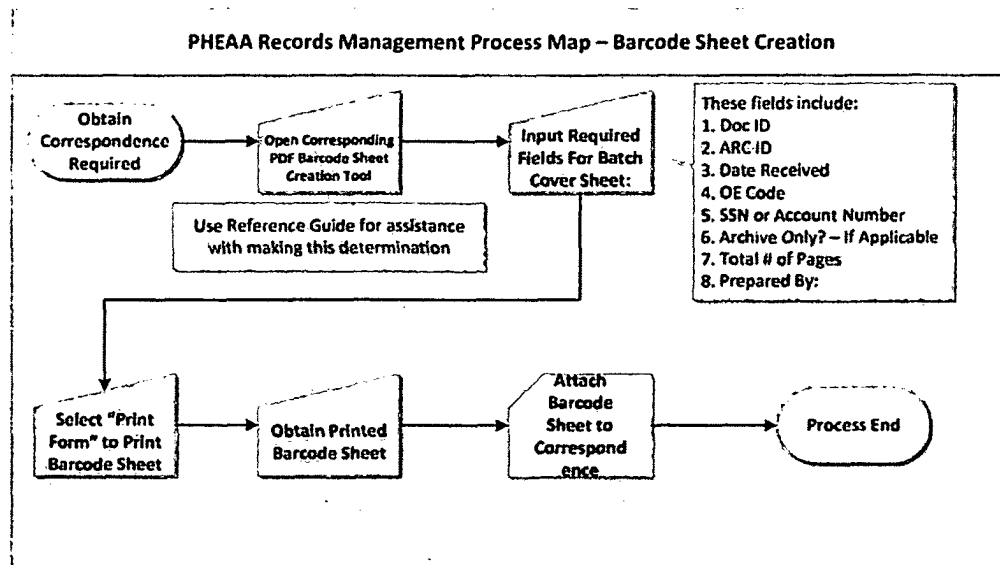
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c. Prep

i. Document Prep (see Figure C)

1. Each document is prepped for scan by ensuring that there are no staples, paper clips, tears or other elements that will harm the scanning machine during the scan process. Repair work and taping is done as needed in order to ensure a clean scan.
2. Certain documents require a document header Barcode sheet. Using PDF templates provided, the prepper will key in required values according to the document type.
3. The document header Barcode sheet is printed and is placed on top of the prepped document.
4. If the SSN is not legible on the first page of the document, but can be found elsewhere in the document, the SSN is re-written manually on the top right corner of the first page.

**Figure C – Document Preparation Workflow**



ii. Batch Prep (see Figure D)

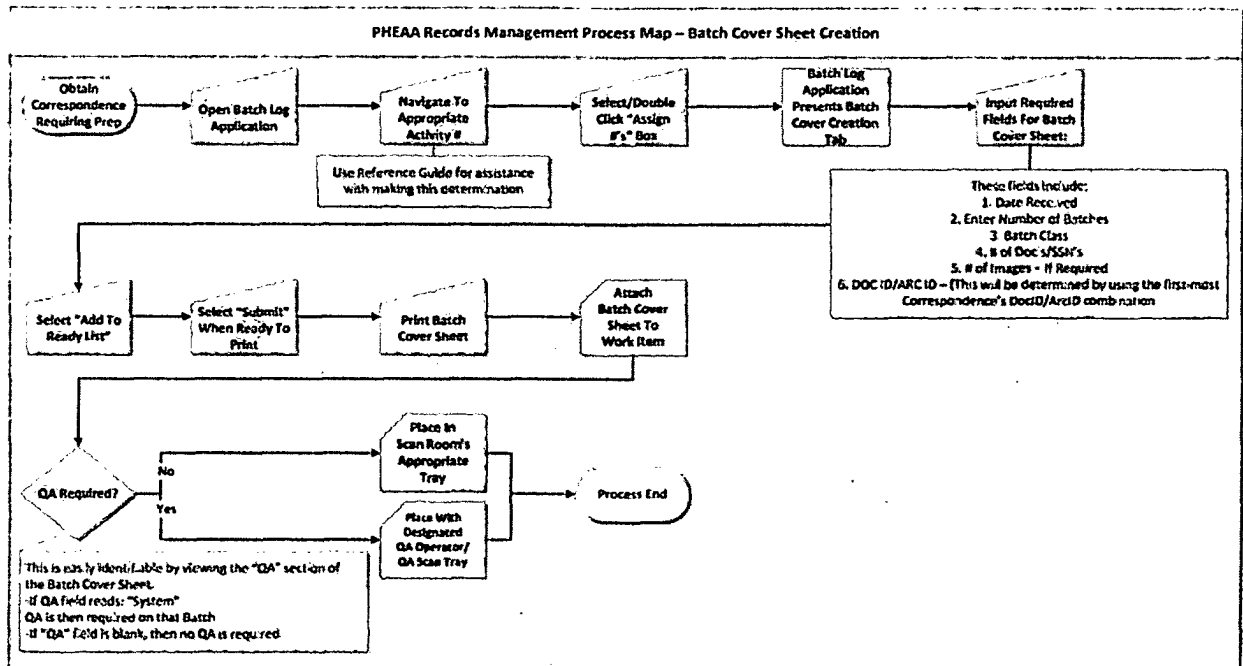
1. Documents of matching Activity, Business Unit, and Doc/Arc ID are combined together into batches.
2. Each batch is logged to the Batch Log database within the proper Activity as listed in Table 6, and according to the Batch Log Batch Class listed in Table 7. Received date, Doc/Arc IDs and document

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counts must be entered into the Batch Log module by the prep operator.

3. The batch log module will then generate a batch header sheet that is printed and placed as the first page of the group of batched documents.

**Figure D – Batch Preparation Workflow**



d. Prep QA

- i. The system decides on the back end which batches require QA after prep is complete.
- ii. If QA is required, a second person reviews the prepped batch, verifying:
  1. Correct received date
  2. Correct Batch Class
  3. Correct Doc/Arc ID
  4. Correct document count
  5. Proper cleaning and arrangement of documents in the batch
- iii. If an error is found, it must be logged as an error for the prepper using the QA tool.
- iv. If QA is not required, the batch may go straight to scanning.

e. Scan

- i. Prepped batches are scanned on the provided Kodak scanners using the Kofax Imaging software.

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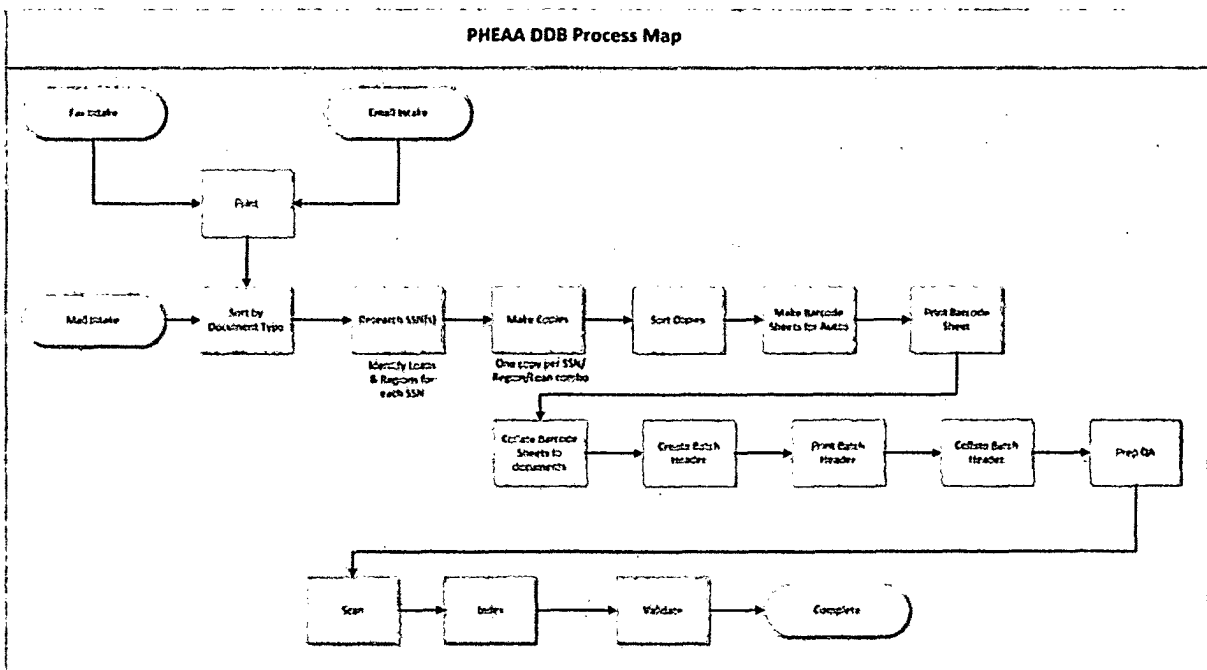
- ii. Batch classes are utilized according to the “Kofax Batch Class” column listed in Table 7.
  - iii. Scan operators must enter the Received Date, Doc/Arc ID, and Batch Number manually into the GUI, exactly as it is printed on the batch header sheets.
  - iv. Scan operators verify the quality of the scanned images and validate the document count recorded on the batch header sheet.
- f. Index
- i. Documents are keyed in the Kofax Validation module
  - ii. Field data is captured by activity and batch type, as required according to Table 8.
  - iii. If a document is determined to have a base attribute or image issue, the operator rejects the document in order to send it to QC for correction
- g. Verification
- i. The system selects certain batches at random to be validated via Kofax Verification
  - ii. Index data captured is reviewed by a second operator according to the requirements in Table 8
  - iii. If a document is determined to have a base attribute or image issue, the operator rejects the document in order to send it to QC for correction
- h. QC
- i. If a document is determined to have an issue, an operator corrects the issue in the Kofax Quality Control module, correcting data attributes and/or rescanning document pages as required
  - ii. After correction, the document is reprocessed to completion in the Indexing queue.
- i. Storage and Destruction
- i. Paper is retained for 30 days
  - ii. Processed batches are stored in banker boxes and logged into DTS such that the precise location of each batch is accurately tracked
  - iii. Each day, DTS will provide a report of all documents that have met the 30 day retention period
  - iv. Batches on the list are each located and the paper will be securely shredded on-site at the Contractor facility by PHEAA Shredding Contractor
  - v. Each shredded batch is marked within DTS as destroyed for reconciliation purposes

**III. DDB Document Processing (see Figure E)**

- a. Processing for Death, Disability, and Bankruptcy mail documents follows a specialized process and thus is itemized separately from other received mail:
  - i. Documents are sorted by high-level document types.
  - ii. Each document is researched using multiple systems in order to identify:
    - 1. The SSN of every referenced individual on the document.
    - 2. The loans held by each individual referenced on the document.

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- iii. Each individual identified must have the document singularly processed for each separate-business-unit loan field, which requires:
1. Copies are made of the entire document so each singular item has associated paper.
  2. The paper of each singular copy is marked (in pen at the top of the first page of the document) to show the singular individual (by SSN) and loan to which the document pertains.
  3. Each singular copy is:
    - a. Sorted by type
    - b. Prepped with an appropriate document header sheet
    - c. Prepped with an appropriate batch header sheet after being group with other like documents
    - d. Scanned in its prepped batch
    - e. Indexed individually
    - f. Stored appropriately for retention and destruction



**b. Figure E – DDB Workflow**

Return to Business Unit documents:

- i. Batches for the specific document types below must be returned to the Business Unit.
  1. Commercial Servicing
    - a. Chapter 7 Meeting of Creditors
    - b. Chapter 13 Meeting of Creditors
    - c. Chapter 7 Discharge of Debtors

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- d. Chapter 13 Discharge of Debtors
  - e. Chapter 7 Bank Supporting Documentation
  - f. Chapter 13 Bank Supporting Documentation
  - g. Chapter 7 Proof of Claims
  - h. Chapter 13 Proof of Claims
  - i. Adversary
  - j. Objection to Claims
  - k. Cease and Desist Letters
  - l. Canadian Bankruptcy
  - m. Loan Discharge – School Closure, False Certification, Unpaid Refund, Victims of Sept 11, 2001
  - n. Identity Theft/Fraud Discharge Applications
  - o. Death Certificates
  - p. Death Supporting Documentation
  - q. Disability Certificates and Supporting Documentation received for Private Loans
- 2. FedLoan Servicing
    - a. Loan Discharge – School Closure, False Certification, Unpaid Refund, Victims of Sept 11, 2001
    - b. Identity Theft/Fraud Discharge Applications
    - c. Death Certificates
  - ii. Along with each batch returned, a transmittal is generated automatically by the system which lists the SSN for every document in each.
  - iii. All completed batches will be delivered to Mail Services at the PHEAA Home Office at 11:00 am each morning.

**IV. Credit Disputes Processing**

- a. Mail is received in locked bags from Mail Services
- b. Chain of custody is tracked and counts are recorded
- c. Each document goes through “ITS-ing” process using the ITSing tool via the WAPC Launch Pad module. This process is performed to identify the region and loan type, ensure that the SSN or Account Number is valid, and determine the correct region to assign the Doc/Arc ID to.
- d. After ITS process is complete, documents and batches are prepped per paper processing procedures.

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**V. Archive Document Processing**

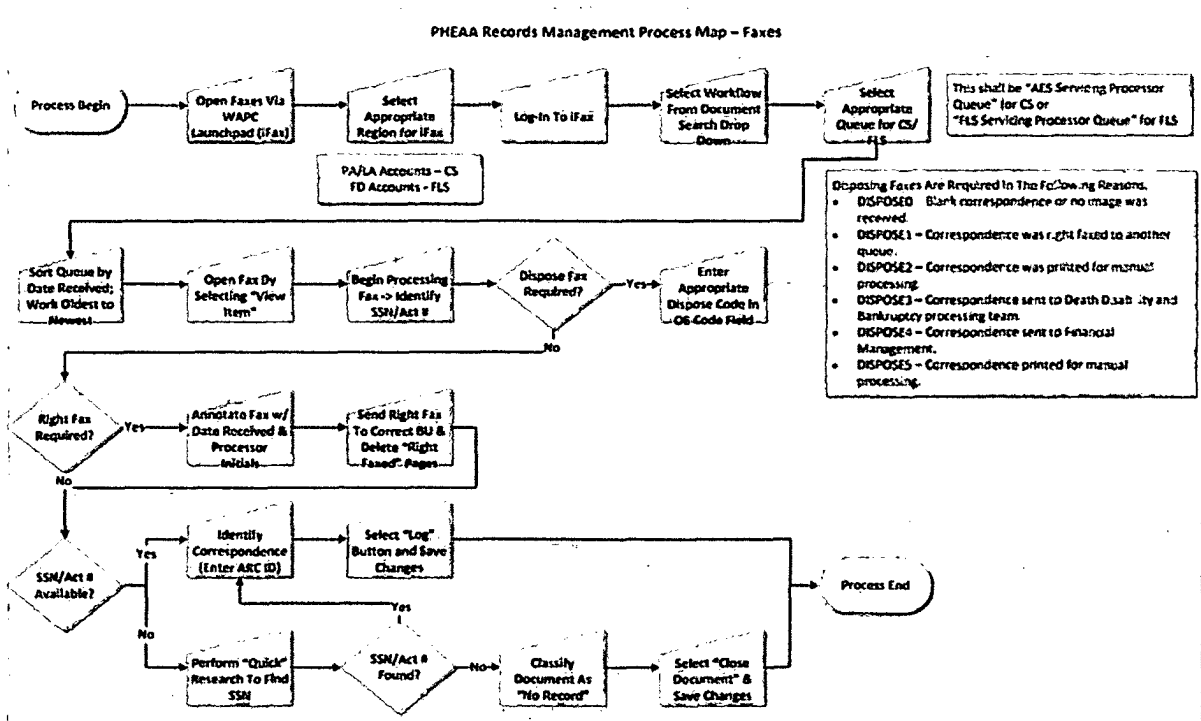
- a. Boxes of received archive work are logged to the system via the Batch Log module
- b. Archive documents may or may not be individually prepped upon delivery
- c. If documents are prepped, they must be verified to be accurate per archive processing procedures
- d. If documents are not prepped, they must be prepped following appropriate Document Prepping procedures.
- e. Documents of like types are combined into batches per Batch Prepping procedures

**VI. Undeliverable Mail Processing**

- a. Received items are separated by items that include a forwarding address or not
- b. These are then scanned using the 2D barcode hand-held scanners.
- c. Depending upon the results of the scan, the address is invalidated, the account is commented with the appropriate action, or the document is extracted, prepped, scanned, and indexed for full processing.

**VII. Electronic Document Processing**

- a. Faxes (see Figure F)
  - i. Fax documents are processed in iFax, which is launched via WAPC Launch Pad.
  - ii. Documents are processed according to the Fax flow below.
  - iii. Fax operators key in the SSN or Account Number in order to auto-populate additional information by the system.
  - iv. Fax operators classify each document by entering the ARC ID.



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**b. Logging Errors**

- i. A logging error is when a document has incorrect attribute information (Doc ID, ARC, SSN, etc.) and thus has had an incorrect Task logged to the system for PHEAA processors.
- ii. Logging errors are identified by the business unit during the processing of the correspondence and can be associated with:
  1. Paper documents received in the mailroom.
  2. Fax documents received.
  3. Documents directly uploaded to PHEAA systems by members (NOTE: this represents the majority of the volume of errors.)
- iii. Each error is opened and the image and information reviewed to verify validity, make necessary corrections, and re-log the correspondence. This will route the documentation to the proper processing queue with the updated attributes.
- iv. Logging errors are worked directly in FileNet by opening the Review queue and filtering for documents with a Doc Comment of "LOGGING ERROR".
- v. The original incorrect task must be deleted in COMPASS as appropriate.
- vi. Document information is corrected and the document is logged again in FileNet.
- vii. For certain documents (eg. Documents that represent multiple documents in one image), the error can not be corrected in FileNet and so is printed and processed through the paper mail flow.

**c. Script Errors**

- i. A script error is when a mailroom document (fax or electronic) is captured with incorrect data such that the correct individual/loan can not be identified by the system and thus a task can not be logged within COMPASS when the overnight script to log tasks automatically runs
- ii. Errors are processed in the DCN Error Log queue via WAPC Launch Pad
- iii. The operator reviews each error to make necessary corrections to date, DCN, SSN, or Doc/ArcID so that the document can be logged during the next nightly script.
- iv. In some cases, tasks must be logged manually according to SOPs.

**VIII. Reporting**

- a. All Reports listed in Table 4 are provided via email every Business Day.

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**Table 4 - Reports**

Report Name	Description
EOD Production Snapshot (SOS Snapshot)	Email that provides comprehensive pending volumes per process by received date, indicating compliance to turn-around-time requirements
RM Workload – Conversions	Email that provides the oldest received date for pending: <ul style="list-style-type: none"> <li>• Conversions Archive work</li> </ul>
RM Workload - Grants	Email that provides the oldest received date for pending: <ul style="list-style-type: none"> <li>• Grants Correspondence</li> <li>• Grants Status Notices</li> </ul>
RM Workload – FLS Workflow	Email that provides: <ul style="list-style-type: none"> <li>• For FLS Correspondence: Provides the oldest received date for pending mail.</li> <li>• For FLS Faxes: Provides the pending volume for each pending received date.</li> </ul>
RM Workload Status - PHEAA Loan Correspondence	Email that provides the oldest received date for pending: <ul style="list-style-type: none"> <li>• PHEAA Loan Correspondence.</li> </ul>
RM Workload – Treasury Adjustments	Email that provides the oldest received date for pending: <ul style="list-style-type: none"> <li>• Federal Adjustments</li> <li>• Commercial Adjustments</li> </ul>
RM Workload Status - Commercial Servicing & GIR (Archive)	Email that provides the oldest received date for pending: <ul style="list-style-type: none"> <li>• Loan Servicing</li> <li>• GIR</li> <li>• GPS</li> </ul>
RM Workload Status - Archive Treasury Adjustments	Email that provides the oldest received date for pending: <ul style="list-style-type: none"> <li>• Commercial Adjustments</li> <li>• FLS Treasury Archive</li> </ul>
Records Management Workload – DLCO	Email that provides the oldest received date for pending: <ul style="list-style-type: none"> <li>• DLCO Correspondence</li> <li>• DLCO Faxes</li> </ul>
RM Workload – AES Servicing	<ul style="list-style-type: none"> <li>• For AES Loan Servicing Correspondence: Provides the oldest received date of pending mail</li> <li>• For AES Servicing Faxes: Provides the pending volume for each pending received date</li> </ul>

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RM Workload – Undeliverable Mail	Email that provides the pending total tray count and oldest received date for pending: <ul style="list-style-type: none"> <li>• FLS Undeliverable Mail</li> <li>• CS Undeliverable Mail</li> </ul>
RM Workload – DDB Processing	Email that provides the oldest received date for pending: <ul style="list-style-type: none"> <li>• DDB Processing</li> <li>• DDB Error Log</li> </ul>
RM Workload – Credit Disputes	Email that provides the oldest received date for pending: <ul style="list-style-type: none"> <li>• Commercial Credit Disputes</li> <li>• Federal Credit Disputes</li> <li>• PHEAA Credit Disputes</li> </ul>
Incoming Mail Report	Email that provides a screen shot of the report generated out of DTS that lists incoming mail tray counts for: <ul style="list-style-type: none"> <li>• FLS Servicing (PO Box 69184)</li> <li>• FLS Undeliverable (PO Box 69184)</li> <li>• AES Servicing (PO Box 2461)</li> <li>• AES Undeliverable Mail (PO Box 2461)</li> <li>• PHEAA Credit Disputes (PO Box 61017)</li> <li>• PHEAA (PO Box 8147)</li> <li>• Grants (PO Box 8157)</li> <li>• DDB (PO Box 8183)</li> <li>• AES Network Consolidation (PO Box 8139)</li> <li>• AES Credit Disputes (PO Box 61047)</li> <li>• FLS Credit Disputes (PO Box 60610)</li> <li>• FLS Direct Debits (PO Box 3661)</li> <li>• FLS DLCO (PO Box 69186)</li> </ul>
RTB	Email that provides the count of FD and GIR Return-To-Business batches for the given day.

b. TRS (Time Reporting System)

- i. All employees assigned to process work in the mailroom may use the TRS module to report their working time per process
- ii. The system automatically tracks volumes for certain processes, but for other processes, volumes completed must be manually entered
- iii. The following entries are used by PHEAA staff for assessing completed process functions and so are considered critical for entry:
  1. Boxing of batches for storage
  2. Disposal of batches

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- iv. The following entries are used by DATAMARK staff for assessing Fax productivity (since TRS is the only source of fax volumes processed by date in the current system) and so are critical for entry:
  - 1. FLS Faxes
  - 2. Commercial Faxes
  - 3. Other Faxes

**IX. Quality Assurance**

- a. The QA Tool module is used to record errors identified during quality check at various stages of the process.
- b. Quality checking steps:
  - i. Envelope QA: Extracted envelopes are reviewed to ensure that no documents are inadvertently left inside the envelope.
  - ii. Prep QA: Prepped batches are reviewed to ensure proper sorting and prepping procedures have been followed per document type.
  - iii. Indexing QA: Indexed batches are verified to ensure keyed data is correct.
  - iv. Script Error Processing: Identifies errors in document attribute data found after market.
  - v. Logging Error Processing: Identifies errors in document attribute data found after market.
- c. When an error is identified, it is logged to the applicable operator that made the error using the QA Tool and entering data values requested at entry.
- d. Errors are routed to the operator's supervisor for review and acceptance.
- e. Upon acceptance by the supervisor, errors are routed to the operator for review and acceptance.
- f. Upon acceptance by the operator, the error is considered by the system when calculating quality stats for that user. These quality stats are used by the system to determine the percentage of work processed by that operator that needs to be automatically sent to a QA queue.

**Table 5 – FLS Sort Categories**

List of FLS Sorts		
IDR Good	Military	Skip Trace
IDR Bad	Direct Debit	Economic Hardship
PSLF Employment	School Correspondence	Teacher Loan Forgiveness
Name Change	Tax Returns & Paystubs	Teach Grant
PIV	Borrower Correspondence	In-School Deferment
Forbearance	Consolidation	Unemployment Deferment

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Mandatory Forbearance	Borrower Contact	Misc. Deferment
TPERM	Miscellaneous	BCCRC "Credit"
BLIST		PSLF Apps

**Table 6 – Work Types by Activity**

Correspondence Type	Corresponding Activity # (In Batch Log Application)
LS/CS – PA Region	<ul style="list-style-type: none"> <li>• 100 LS Workflow</li> </ul>
LC/CS – LA Region	<ul style="list-style-type: none"> <li>• 541 GLC Workflow</li> </ul>
FLS	<ul style="list-style-type: none"> <li>• 600 Workflow</li> </ul>
Credit Dispute – Loans/P.O. Box 6017	<ul style="list-style-type: none"> <li>• 200 – Loans Workflow</li> </ul>
Credit Dispute – PA Region	<ul style="list-style-type: none"> <li>• 100 LS Workflow</li> </ul>
Credit Dispute – LA Region	<ul style="list-style-type: none"> <li>• 541 GLC Workflow</li> </ul>
Credit Dispute – FD Region	<ul style="list-style-type: none"> <li>• 600 Workflow</li> </ul>
Loan Asset Management	<ul style="list-style-type: none"> <li>• 200 Loans Workflow</li> </ul>
Network Consolidation	<ul style="list-style-type: none"> <li>• 335 Workflow</li> <li>• 999 Workflow (Valid Affirmation Letter)</li> </ul>
DDB - AES	<ul style="list-style-type: none"> <li>• 100 GIR Workflow</li> </ul>
DDB – FLS	<ul style="list-style-type: none"> <li>• 600 FLS DDB Workflow</li> </ul>
FLS – Disability	<ul style="list-style-type: none"> <li>• 600 FLS Workflow</li> </ul>
DDB – LGS	<ul style="list-style-type: none"> <li>• 200 LGS DDB Workflow</li> </ul>

**Table 7 – Batch Rules**

Batch Name	Batch Log Batch Class	Kofax Batch Class
100-LS-W	Loan Servicing SP/SS	Loan Servicing Single-page SS
	Loan Servicing 2P/SS	Loan Servicing 2-page SS
	SLSC Loan Servicing SP/DS	SLSC LS Single-Page Double Sided
	SLSC Loan Servicing 2PG/DS	SLSC LS 2-Page Double Sided

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	Loan Servicing AUTO	Loan Servicing Multi-page AUTO
	OCA-AES	OCA-AES
<b>100-GIR-W</b>	SP/DS	Guar Ins Rltns Single-page DS
	2PG/DS	Guar Ins Rltns 2-page DS
	AUTO	Guar Ins Rltns Multi-page AUTO
<b>100-FM-W</b>	Direct Debit OCR Web V.0109 SP/SS	Direct Debit OCR Web V.0109 SP/SS
	SP/DS	FM Rec Ops Single-page DS
	2PG/DS	FM Rec Ops Single-page DS
	AUTO	FM Rec Ops Multi-page AUTO
<b>101-LS-A</b>	Loan Servicing SP/SS	
	Loan Servicing 2P/SS	
	SLSC Loan Servicing SD/DS	
	SLSC Loan Servicing 2PG/DS	
	Loan Servicing AUTO	
<b>101-GIR-A</b>	SP/DS	Guar Ins Rltns Single-page DS
	2PG/DS	Guar Ins Rltns 2-page DS
	AUTO	Guar Ins Rltns Multi-page AUTO
<b>101-FM-A</b>	SP/DS	FM Rec Ops Single-page DS
	2PG/DS	FM Rec Ops Single-page DS
	AUTO	FM Rec Ops Multi-page AUTO
<b>200-LNS-W</b>	Corr Single-page Double Sided	Corr Single-page Double Sided
	Corr 2 PG/Double Sided	Corr Single-page Double Sided
	Corr AUTO	Corr Multi-page AUTO
	OCA-PHEAA	OCA-PHEAA

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<b>200-LNS-A</b>	Corr Single-page Double Sided	Corr Single-page Double Sided
	Corr 2 PG/Double Sided	Corr Single-page Double Sided
	Corr AUTO	Corr Multi-page AUTO
<b>200-GDDB-W</b>	Corr Single-page Double Sided	Corr Single-page Double Sided
	Corr 2 PG/Double Sided	Corr Single-page Double Sided
	Corr AUTO	Corr Multi-page AUTO
<b>200-GDDB-A</b>	Corr Single-page Double Sided	Corr Single-page Double Sided
	Corr 2 PG/Double Sided	Corr Single-page Double Sided
	Corr AUTO	Corr Multi-page AUTO
<b>299-GDPN-A</b>	Corr Single-page Double Sided	Corr Single-page Double Sided
	Corr AUTO	Corr Multi-page AUTO
<b>301-GRN-W</b>	Grants Independent SP/SS OCR	Grants SN TSIG-WEB-I-V-1.00 SPSS
	Grants Dependent SP/SS OCR	Grants SN TSIG-WEB-D-V-1.00 SPSS
	Grants Status Notice MP OCR	Grants Status Notices OCR MP
	Grants MRDF SP/DS	Grants MRDF Single-Page DS
	Grants SP/DS	Grants Single-page Double Sided
	Grants 2PG/DS	Grants Single-page Double Sided
	Grants AUTO	Grants Multi-page AUTO
<b>301-GRN-A</b>	Grants SP/DS	Grants Single-page Double Sided
	Grants 2PG/DS	Grants Single-page Double Sided
	Grants AUTO	Grants Multi-page AUTO
<b>335-NET-W</b>	SP/DS	SLSC LO Legal
	2PG/DS	SLSC LO Legal
	AUTO	Loan Origination Multi-page AUTO

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<b>335-NET-A</b>	SP/DS	SLSC LO Legal
	2PG/DS	SLSC LO Legal
	AUTO	Loan Origination Multi-page AUTO
<b>500-AP-W</b>	AUTO	FM Accts Payable Multi-Page AUTO
<b>541-GLC-W</b>	SP/DS	SLSC GLC Single-Page Double-Side
	2PG/DS	SLSC GLC 2-Page Double-Side
	AUTO	Graduate Services Multi-page AUTO
<b>541-GLC-A</b>	SP/DS	SLSC GLC Single-Page Double-Side
	2PG/DS	SLSC GLC 2-Page Double-Side
	AUTO	Graduate Services Multi-page AUTO
<b>562-CONV-A</b>	SP/DS	SLSC Conversions Single-page DS
	2PG/DS	SLSC Conversions 2-page DS
	AUTO	Conversions Multi-page AUTO
<b>600-FLS-W</b>	FLS Servicing SP/DS	FLS Servicing Single-Page DS
	FLS Servicing 2PG/DS	FLS Servicing 2PG/DS
	FLS IDR AUTO	FLS IDR
	FLS PSLF AUTO	FLS PSLF
	FLS Servicing AUTO	FLS Servicing Multi-page AUTO
	FLS Treasury AUTO	FLS Treasury AUTO
	FLS OCA	FLS OCA
<b>600-FLS-A</b>	FLS Servicing SP/DS	FLS Servicing Single-Page DS
	FLS Servicing 2PG/DS	FLS Servicing 2PG/DS
	FLS Servicing AUTO	FLS Servicing Multi-page AUTO

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	FLS Treasury AUTO	FLS Treasury AUTO
<b>600-FDDB-W</b>	FLS Servicing SP/DS	FLS Servicing Single-Page DS
	FLS Servicing 2PG/DS	FLS Servicing 2PG/DS
	FLS Servicing AUTO	FLS Servicing Multi-page AUTO
<b>600-FDRO-W</b>	FLS Direct Debit OCR Web	FLS Direct Debit OCR Web
	FLS Receipt Ops SP/DS	FLS Receipt Ops Single-Page DS
	FLS Receipt Ops 2PG/DS	FLS Receipt Ops Single-Page DS
	FLS Receipt Ops AUTO	FLS Rec Ops Multi-page AUTO
<b>635-FCLD-W</b>	FLS Servicing SP/DS	FLS Servicing Single-Page DS
	FLS Servicing 2PG/DS	FLS Servicing 2PG/DS
	FLS Servicing AUTO	FLS Servicing Multi-page AUTO
<b>635-FCLD-A</b>	FLS Servicing SP/DS	FLS Servicing Single-Page DS
	FLS Servicing 2PG/DS	FLS Servicing 2PG/DS
	FLS Servicing AUTO	FLS Servicing Multi-page AUTO
<b>662-FCON-W</b>	SP/DS	FLS Conversions Single-page DS
	2PG/DS	FLS Conversions Single-page DS
	AUTO	FLS Conversions Multi-page AUTO
<b>662-FCON-A</b>	SP/DS	FLS Conversions Single-page DS
	2PG/DS	FLS Conversions Single-page DS
	AUTO	FLS Conversions Multi-page AUTO
<b>800-LEG-A</b>	AUTO	Legislative
<b>801-ESG-W</b>	AUTO	Contracts and Agreements
<b>999-GIR-A</b>	SP/DS	Guar Ins Rltns Single-page DS
	AUTO	Guar Ins Rltns Multi-page AUTO

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<b>999-NET-W</b>	SP/DS	SLSC LO Legal
	AUTO	Loan Origination Multi-page AUTO
<b>999-NET-A</b>	SP/DS	SLSC LO Legal
	AUTO	Loan Origination Multi-page AUTO
<b>999-CONV-A</b>	SP/DS	SLSC Conversions Single-page DS
	AUTO	Conversions Multi-page AUTO
<b>999-FCLD-W</b>	FLS Servicing SP/DS	FLS Servicing Single-Page DS
	FLS Servicing 2PG/DS	FLS Servicing 2PG/DS
	FLS Servicing AUTO	FLS Servicing Multi-page AUTO
<b>999-FCLD-A</b>	FLS Servicing SP/DS	FLS Servicing Single-Page DS
	FLS Servicing 2PG/DS	FLS Servicing 2PG/DS
	FLS Servicing AUTO	FLS Servicing Multi-page AUTO
<b>999-FCON-W</b>	SP/DS	FLS Conversions Single-page DS
	2PG/DS	FLS Conversions Single-page DS
	AUTO	FLS Conversions Multi-page AUTO
<b>999-FCON-A</b>	SP/DS	FLS Conversions Single-page DS
	2PG/DS	FLS Conversions Single-page DS
	AUTO	FLS Conversions Multi-page AUTO
<b>999-GRN-A</b>	Grants AUTO	Grants Multi-page AUTO
<b>Date &amp; Time</b>	SPIV	Corr Single-page Double Sided
	AINV	Loan Servicing Single-page SS
	XINV	FLS Servicing Single-Page DS
	DACH	Corr Single-page Single Sided
	DEPC	Corr Single-page Single Sided

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	Contracts and Agreements	Contracts and Agreements
	HR	Human Resources
	Payroll	FM Payroll Multi-page AUTO
	ESM	ESM Multi-page AUTO
	Exit Interviews	Corr Single-page Double Sided
	Compliance	Compliance Multi-page AUTO
	GDPNs (Archive bin) SP/DS	Corr Single-page Double Sided
	GDPNs (Archive bin) AUTO	Corr Multi-page AUTO

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**Table 8 – Indexing Rules**

Activity	W/A	Indexing Rules	Additional Guidelines
100-LS	Workflow	a. Either 1) SSN ( <i>always the preferred value</i> ), 2) Account Number, or 3) OE Code → All numeric b. Date Received (Validate if auto-captured / capture if blank from RM Mailroom date stamp) → All numeric MMDDYYYY c. Doc ID & Arc ID (System auto-filled)	- Send to QC for missing Acct or SSN. - If month and day are switched when entering MMDDYYYY, delete the entry and enter as DDMMYYYY, then confirm the correct date is accepted.
100-GIR	Workflow	a. Either 1) SSN or 2) Account Number → All numeric b. Date Received (From RM Mailroom date stamp) → All numeric MMDDYYYY c. Doc ID (System auto-filled)	- Send to QC for missing Acct or SSN. - If month and day are switched when entering MMDDYYYY, delete the entry and enter as DDMMYYYY, then confirm the correct date is accepted.
100-FM Direct Debit OCR	Workflow	Most fields should be automatically captured. Manually capture or validate the following fields:  a. Either 1) Student Loan Account Number or 2) SSN (9s if value not present on document except for documents with the FDAL DocID) → All numeric b. Date Received (From RM Mailroom date stamp) → All numeric MMDDYYYY c. Checking or Savings Account (Capture "X" in the applicable account type field and leave the other account type field blank) → All Alpha; 1 character or Blank accepted d. ABA/Routing Information → All numeric e. Checking/Savings Account Number → All numeric f. Monthly Installment Amount or Monthly Installment Amount Plus (Capture "X" in the applicable amount field and leave the other amount field blank) → All Alpha; 1 character or Blank accepted g. Additional Amount (only capture dollar amount if present on the document and/or the Monthly Installment Amount Plus option is selected) → Numeric + "." character for dollar amt or Blank accepted h. Repay A, B, or C (Capture "X" in the applicable repay type field and leave the other repay type fields blank) → All Alpha; 1 character or Blank accepted i. Borrower Signature → Dropdown-box for Yes/No option selection j. Date Signed (leave field blank if incomplete or missing) → Enter MMDDYYYY or MM/DD/YYYY if the data format isn't automatically set.	- If month and day are switched when entering MMDDYYYY, delete the entry and enter as DDMMYYYY, then confirm the correct date is accepted.
100-FM Receipt Operations	Workflow	a. Either 1) SSN or 2) Account Number (9s if value not present on document except for documents with the FDAL DocID) → All numeric b. Date Received (Validate if auto-captured / capture if blank from RM Mailroom date stamp) → All numeric MMDDYYYY c. Doc ID (System auto-filled)	- If month and day are switched when entering MMDDYYYY, delete the entry and enter as DDMMYYYY, then confirm the correct date is accepted.
101-LS-Archive	Archive	a. Either 1) SSN, 2) Account Number, or 3) OE Code → All numeric b. Date Received (From RM Mailroom date stamp) → All numeric MMDDYYYY c. Doc ID (System auto-filled)	- Send to QC for missing Acct or SSN. - If month and day are switched when entering MMDDYYYY, delete the entry and enter as DDMMYYYY, then confirm the correct date is accepted.

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101-GIR- Archive	Archive	a. Either 1) SSN, 2) Account Number, 3) Lender Code, or 4) Guarantor Code → All numeric b. Date Received (From RM Mailroom date stamp or handwritten on document) → All numeric MMDDYYYY c. Doc ID (System auto-filled)	- Send to QC for missing Acct or SSN. - If month and day are switched when entering MMDDYYYY, delete the entry and enter as DDMMYYYY, then confirm the correct date is accepted.
101-FM- Archive Receipt Operations	Archive	a. Either 1) SSN, 2) Account Number, or 3) Batch ID → All numeric b. Date Received (From RM Mailroom date stamp) → All numeric MMDDYYYY c. Doc ID (System auto-filled)	- Send to QC for missing Acct or SSN. - If month and day are switched when entering MMDDYYYY, delete the entry and enter as DDMMYYYY, then confirm the correct date is accepted.
200-LNS (Loan Guaranty)	Workflow	a. Either 1) SSN, 2) Account Number, or 3) OE Code → All numeric b. Doc ID (System auto-filled)	- 0s for SSN if SSN, Acct Number, or OE Code not present on document
200-GDDB (Guaranty Death Disability and Bankruptcy)	Workflow	a. Either 1) SSN or 2) Account Number → All numeric b. Doc ID (System auto-filled)	- Send to QC for missing Acct or SSN
200-LNS- Archive	Archive	a. Either 1) SSN or 2) Account Number → All numeric b. Doc ID (System auto-filled)	- Send to QC for missing Acct or SSN
299-GDPN- Archive (Guaranty Defaulted Promissory Note)	Archive	a. Either SSN → All numeric b. Doc ID (System auto-filled)	- Send to QC for missing SSN
301-GRN (Grants)	Workflow	a. Either 1) SSN, 2) Account Number, or 3) OE Code → All numeric b. Doc ID, Date Received, and Academic Year (System auto-filled)	- 8s for SSN if SSN or Acct Number not present on document AND Doc ID is TCORR - All other Doc IDs, send to QC for missing Acct or SSN. - If month and day are switched when entering MMDDYYYY, delete the entry and enter as DDMMYYYY, then confirm the correct date is accepted.
301-GRN-TSIG Web Dependent	Workflow	a. Date Received (From RM Mailroom date stamp) → All numeric MMDDYYYY b. OCR Data Line (System auto-filled) → All numeric c. SSN Lookup (System auto-filled) d. Student Signed → Dropdown-box for Yes/No option selection e. Parent Signed → Dropdown-box for Yes/No option selection f. Stray Comments → Dropdown-box for Yes/No option selection	- If month and day are switched when entering MMDDYYYY, delete the entry and enter as DDMMYYYY, then confirm the correct date is accepted. - If OCR data line requires manual capture, capture machine-printed value from bottom right-hand corner of document first page. - Stray comments = any handwritten comments located outside of existing document fields.

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301-GRN-TSIG Web Independent	Workflow	<p>a. Date Received (From RM Mailroom date stamp) → All numeric MMDDYYYY</p> <p>b. OCR Data Line (System auto-filled) → All numeric</p> <p>c. SSN Lookup (System auto-filled)</p> <p>d. Student Signed → Dropdown-box for Yes/No option selection</p> <p>e. Stray Comments → Dropdown-box for Yes/No option selection</p>	<p>- If month and day are switched when entering MMDDYYYY, delete the entry and enter as DDMMYYYY, then confirm the correct date is accepted.</p> <p>- If OCR data line requires manual capture, capture machine-printed value from bottom right-hand corner of document first page.</p> <p>- Stray comments = any handwritten comments located outside of existing document fields.</p>
301-Grants Status Notices OCR MP (Multi-page docs and Mixture of Web Dependent and Independent)	Workflow	<p>a. Date Received (From RM Mailroom date stamp) → All numeric MMDDYYYY</p> <p>b. OCR Data Line (System auto-filled) → All numeric</p> <p>c. SSN Lookup (System auto-filled)</p> <p>d. Student Signed → Dropdown-box for Yes/No option selection</p> <p>e. Stray Comments → Dropdown-box for Yes/No option selection; Always select "Yes"</p>	<p>- If month and day are switched when entering MMDDYYYY, delete the entry and enter as DDMMYYYY, then confirm the correct date is accepted.</p> <p>- If OCR data line requires manual capture, capture machine-printed value from bottom right-hand corner of document first page.</p> <p>- Stray comments = any handwritten comments located outside of existing document fields.</p>
301-GRN- MRDF	Workflow	<p>a. MRDF Barcode → All numeric; If missing, enter SSN or Acct Number</p> <p>b. Either 1) SSN or 2) Account Number → All numeric (only if MRDF value is not present on the document)</p> <p>c. Doc ID (System auto-filled)</p> <p>d. Date Received (System auto-filled)</p> <p>e. Academic Year (System auto-filled)</p>	<p>- Date Received and Academic Year will be auto-filled based on confirmation of pop-box that should be presented by the system upon opening the batch.</p>
335-NET (Network Consolidation)	Workflow	<p>a. Either 1) SSN, 2) Account Number, or 3) Batch ID → All numeric</p> <p>b. Date Received (From RM Mailroom date stamp) → All numeric MMDDYYYY</p> <p>c. Doc ID (System auto-filled)</p>	<p>- Send to QC for missing Acct or SSN.</p> <p>- If month and day are switched when entering MMDDYYYY, delete the entry and enter as DDMMYYYY, then confirm the correct date is accepted.</p>
541-GLC (Graduate and Professional Services)	Workflow	<p>a. Either 1) SSN, 2) Account Number, or 3) OE Code → All numeric</p> <p>b. Date Received (From RM Mailroom date stamp) → All numeric MMDDYYYY</p> <p>c. Doc ID and ARC ID (System auto-filled)</p>	<p>- Send to QC for missing Acct or SSN.</p> <p>- If month and day are switched when entering MMDDYYYY, delete the entry and enter as DDMMYYYY, then confirm the correct date is accepted.</p>
562-CONV	Workflow	<p>a. Major Batch → All numeric (handwritten on the first page in a document)</p> <p>b. Minor Batch → All numeric (handwritten on the first page in a document)</p> <p>c. Either 1) SSN → All numeric</p> <p>d. Doc ID (System auto-filled)</p>	<p>- Minor batch value should be left blank if 0s are handwritten on the document</p> <p>- Send to QC for missing SSN.</p>
600-FLS	Workflow	<p>a. Either 1) SSN, 2) Account Number, or 3) OE Code → All numeric</p> <p>b. Date Received (From RM Mailroom date stamp) → All numeric MMDDYYYY</p> <p>c. Doc ID and ARC ID (System auto-filled)</p>	<p>- 9s for SSN if SSN or Acct Number not present on document</p> <p>- Send to QC for missing Acct or SSN.</p> <p>- If month and day are switched when entering MMDDYYYY, delete the entry and enter as DDMMYYYY, then confirm the correct date is accepted.</p>

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600-FLS  
(PSLF ECF)

Workflow

- a. Date Received → All numeric MMDDYYYY
- b. Check Info Changed (Capture "X" in the applicable account type field and leave the other account type field blank) → All Alpha; 1 character or Blank accepted
- c. Borrower SSN → All numeric
- d. Borrower DOB → All numeric MMDDYYYY
- e. Borrower First Name → All alpha and all caps
- f. Borrower MI → All Alpha; 1 character or Blank accepted
- g. Borrower Last Name → All alpha and all caps
- h. Borrower Suffix → Alphanumeric and all caps
- i. Borrower Street → Alphanumeric (Street Number\_Street Name) and all caps
- j. Borrower City → All alpha and all caps
- k. Borrower State → All alpha, 2 characters, and all caps
- l. Borrower Zip → All numeric
- m. Borrower Primary Phone → All numeric
- n. Borrower Alternate Phone → All numeric
- o. Borrower Email → Alphanumeric / Special Characters and all caps
- p. Check Cannot Obtain → Dropdown-box for Yes/No option selection
- q. Borrower Signature → Dropdown-box for Yes/No option selection
- r. Borrower Sign Date → All numeric MMDDYYYY
- s. Stray Comments on Page 1 → Dropdown-box for Yes/No option selection
- t. SSN on Page 2 Header → All numeric
- u. Employer Name → All alpha and all caps
- v. FEIN → All numeric
- w. Employer Address (Street) → Alphanumeric (Street Number\_Street Name) and all caps
- x. Employer Address (City) → All alpha and all caps
- y. Employer Address (State) → All alpha, 2 characters, and all caps
- z. Employer Address (Zip) → All numeric
- ab. Employer Website → Alphanumeric / Special Characters and all caps
- bb. Employment Begin Date → All numeric MMDDYYYY
- cb. Employment End Date → All numeric MMDDYYYY
- db. Still Employed → All Alpha; 1 character ("X" only) or Blank accepted

- 9s for SSN if missing
- If month and day are switched when entering MMDDYYYY, delete the entry and enter as DDMMYYYY, then confirm the correct date is accepted.
- If set for OCR, system will attempt auto-capture. In the event that the system incorrectly completes (enters X when the field is actually blank or enters blank when a field is actually completed) a checkbox field, the employee will need to manually correct it.
- For manual correction, turn off "Auto-tabbing" option (set this field to N at the very top of the indexing field list)

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600-FLS  
(PSLF ECF) -  
cont.

Workflow

eb. Full-Time → All Alpha; 1 character ("X" only) or Blank accepted  
fb. Part-Time → All Alpha; 1 character ("X" only) or Blank accepted  
gb. Hours per Week → All numeric  
hb. Govt Org Yes → All Alpha; 1 character ("X" only) or Blank accepted  
ib. Govt Org No → All Alpha; 1 character ("X" only) or Blank accepted  
jb. Tax Exempt Yes → All Alpha; 1 character ("X" only) or Blank accepted  
kb. Tax Exempt No → All Alpha; 1 character ("X" only) or Blank accepted  
lb. Non Profit Yes → All Alpha; 1 character ("X" only) or Blank accepted  
mb. Non Profit No → All Alpha; 1 character ("X" only) or Blank accepted  
nb. Political Org Yes → All Alpha; 1 character ("X" only) or Blank accepted  
ob. Political Org No → All Alpha; 1 character ("X" only) or Blank accepted  
pb. Emergency Management → All Alpha; 1 character ("X" only) or Blank accepted  
qb. Military Service → All Alpha; 1 character ("X" only) or Blank accepted  
rb. Public Safety → All Alpha; 1 character ("X" only) or Blank accepted  
sb. Law Enforcement → All Alpha; 1 character ("X" only) or Blank accepted  
tb. Public Interest → All Alpha; 1 character ("X" only) or Blank accepted  
ub. Early Childhood → All Alpha; 1 character ("X" only) or Blank accepted  
vb. Disabilities → All Alpha; 1 character ("X" only) or Blank accepted  
wb. Elderly → All Alpha; 1 character ("X" only) or Blank accepted  
xb. Public Health → All Alpha; 1 character ("X" only) or Blank accepted  
yb. Public Education → All Alpha; 1 character ("X" only) or Blank accepted  
zb. Public Library → All Alpha; 1 character ("X" only) or Blank accepted  
hb. Govt Org Yes → All Alpha; 1 character ("X" only) or Blank accepted  
ib. Govt Org No → All Alpha; 1 character ("X" only) or Blank accepted  
jb. Tax Exempt Yes → All Alpha; 1 character ("X" only) or Blank accepted  
kb. Tax Exempt No → All Alpha; 1 character ("X" only) or Blank accepted  
lb. Non Profit Yes → All Alpha; 1 character ("X" only) or Blank accepted  
mb. Non Profit No → All Alpha; 1 character ("X" only) or Blank accepted  
nb. Political Org Yes → All Alpha; 1 character ("X" only) or Blank accepted  
ob. Political Org No → All Alpha; 1 character ("X" only) or

- 9s for SSN if missing  
- If month and day are switched when entering MMDDYYYY, delete the entry and enter as DDMMYYYY, then confirm the correct date is accepted.  
- If set for OCR, system will attempt auto-capture. In the event that the system incorrectly completes (enters X when the field is actually blank or enters blank when a field is actually completed) a checkbox field, the employee will need to manually correct it.  
-- For manual correction, turn off "Auto-tabling" option (set this field to N at the very top of the indexing field list)

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		Blank accepted pb. Emergency Management → All Alpha; 1 character ("X" only) or Blank accepted	
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<p>600-FLS (PSLF ECF) - cont.</p>	<p>Workflow</p>	<p>qb. Military Service → All Alpha; 1 character ("X" only) or Blank accepted  rb. Public Safety → All Alpha; 1 character ("X" only) or Blank accepted  sb. Law Enforcement → All Alpha; 1 character ("X" only) or Blank accepted  tb. Public Interest → All Alpha; 1 character ("X" only) or Blank accepted  ub. Early Childhood → All Alpha; 1 character ("X" only) or Blank accepted  vb. Disabilities → All Alpha; 1 character ("X" only) or Blank accepted  wb. Elderly → All Alpha; 1 character ("X" only) or Blank accepted  xb. Public Health → All Alpha; 1 character ("X" only) or Blank accepted  yb. Public Education → All Alpha; 1 character ("X" only) or Blank accepted  zb. Public Library → All Alpha; 1 character ("X" only) or Blank accepted  ac. School Library → All Alpha; 1 character ("X" only) or Blank accepted  bc. Other School-based → All Alpha; 1 character ("X" only) or Blank accepted  dc. None → All Alpha; 1 character ("X" only) or Blank accepted  ec. Official's Name → All alpha and all caps  fc. Official's Title → All alpha and all caps  gc. Official's Signature → Dropdown-box for Yes/No option selection  hc. Official's Phone → All numeric  ic. Official's Email → Alphanumeric / Special Characters and all caps  jc. Date → All numeric MMDDYYYY  kc. Stray Comments on Page 2 → Dropdown-box for Yes/No option selection</p>	<p>- 9s for SSN if missing  - If month and day are switched when entering MMDDYYYY, delete the entry and enter as DDMMYYYY, then confirm the correct date is accepted.  - If set for OCR, system will attempt auto-capture. In the event that the system incorrectly completes (enters X when the field is actually blank or enters blank when a field is actually completed) a checkbox field, the employee will need to manually correct it.  -- For manual correction, turn off "Auto-tabbing" option (set this field to N at the very top of the indexing field list)</p>
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<p>600-FLS (IDR)</p>	<p>Workflow</p>	<ul style="list-style-type: none"> <li>a. FED_APP_ID → System auto-fill and All numeric</li> <li>b. Date Received → All numeric MMDDYYYY</li> <li>c. Borrower's SSN → All numeric</li> <li>d. Information has Changed → All Alpha; 1 character ("X" only) or Blank accepted</li> <li>e. Borrower First Name → All alpha and all caps</li> <li>f. Borrower MI → All Alpha; 1 character or Blank accepted</li> <li>g. Borrower Last Name → All alpha and all caps</li> <li>h. Borrower Suffix → Alphanumeric and all caps</li> <li>i. Borrower Street → Alphanumeric (Street Number_Street Name) and all caps</li> <li>j. Borrower City → All alpha and all caps</li> <li>k. Borrower State → All alpha, 2 characters, and all caps</li> <li>l. Borrower Zip → All numeric</li> <li>m. Borrower Primary Phone → All numeric</li> <li>n. Borrower Alternate Phone → All numeric</li> <li>o. Borrower Email → Alphanumeric / Special Characters and all caps</li> <li>p. Check 1A → All Alpha; 1 character ("X" only) or Blank accepted</li> <li>q. Check 1B → All Alpha; 1 character ("X" only) or Blank accepted</li> <li>r. Check 1C → All Alpha; 1 character ("X" only) or Blank accepted</li> <li>s. Check 1D → All Alpha; 1 character ("X" only) or Blank accepted</li> <li>t. Check 2 Recommended → All Alpha; 1 character ("X" only) or Blank accepted</li> <li>u. Check 2 REPAYE → All Alpha; 1 character ("X" only) or Blank accepted</li> <li>v. Check 2 IBR → All Alpha; 1 character ("X" only) or Blank accepted</li> <li>w. Check 2 PAYE → All Alpha; 1 character ("X" only) or Blank accepted</li> </ul>	<ul style="list-style-type: none"> <li>- 9s for SSN if missing</li> <li>- If month and day are switched when entering MMDDYYYY, delete the entry and enter as DDMMYYYY, then confirm the correct date is accepted.</li> <li>- If set for OCR, system will attempt auto-capture. In the event that the system incorrectly completes (enters X when the field is actually blank or enters blank when a field is actually completed) a checkbox field, the employee will need to manually correct it.</li> <li>-- For manual correction, turn off "Auto-tabbing" option (set this field to N at the very top of the indexing field list)</li> </ul>
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<p>600-FLS (IDR) - cont</p>	<p>Workflow</p>	<p>x. Check 2 ICR → All Alpha; 1 character ("X" only) or Blank accepted  y. Check 3 Multiple Servicers - Yes → All Alpha; 1 character ("X" only) or Blank accepted  z. Check 3 Multiple Servicers - No → All Alpha; 1 character ("X" only) or Blank accepted  ab. Check 4 Deferment - No → All Alpha; 1 character ("X" only) or Blank accepted  bb. Check 4 Deferment - Yes Want → All Alpha; 1 character ("X" only) or Blank accepted  cb. Check 4 Deferment - Yes Don't Want → All Alpha; 1 character ("X" only) or Blank accepted  db. Number of Children → All Numeric  eb. Number of People → All Numeric  fb. Stray Comments on Page 1 → Dropdown-box for Yes/No option selection  gb. Check 7 Single → All Alpha; 1 character ("X" only) or Blank accepted  hb. Check 7 Married → All Alpha; 1 character ("X" only) or Blank accepted  ib. Check 7 Separated → All Alpha; 1 character ("X" only) or Blank accepted  jb. Check 7 Married, but no contact → All Alpha; 1 character ("X" only) or Blank accepted  kb. Check 8 Spouse loans - Yes → All Alpha; 1 character ("X" only) or Blank accepted  lb. Check 8 Spouse loans - No → All Alpha; 1 character ("X" only) or Blank accepted  mb. Spouse's SSN → All Numeric  nb. Spouse's First Name → All Alpha and all caps  ob. Spouse's Last Name → All Alpha and all caps  pb. Spouse's Suffix → All Alpha and all caps  qb. Spouse's DOB  rb. Check 10 Joint Filing - Yes → All Alpha; 1 character ("X" only) or Blank accepted</p>	<p>- 9s for SSN if missing  - If month and day are switched when entering MMDDYYYY, delete the entry and enter as DDMMYYYY, then confirm the correct date is accepted.  - If set for OCR, system will attempt auto-capture. In the event that the system incorrectly completes (enters X when the field is actually blank or enters blank when a field is actually completed) a checkbox field, the employee will need to manually correct it.  -- For manual correction, turn off "Auto-tabling" option (set this field to N at the very top of the indexing field list)</p>
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<p>600-FLS (IDR) - cont</p>	<p>Workflow</p>	<p>sb. Check 10 Joint Filing - No → All Alpha; 1 character ("X" only) or Blank accepted  tb. Check 11 Income Changed - Yes → All Alpha; 1 character ("X" only) or Blank accepted  ub. Check 11 Income Changed - No → All Alpha; 1 character ("X" only) or Blank accepted  vb. Check 11 Income Changed - Haven't Filed → All Alpha; 1 character ("X" only) or Blank accepted  wb. Check 12 Taxable Income - Yes → All Alpha; 1 character ("X" only) or Blank accepted  xb. Check 12 Taxable Income - No → All Alpha; 1 character ("X" only) or Blank accepted  yb. Check 13 Income Changed - Yes → All Alpha; 1 character ("X" only) or Blank accepted  zb. Check 13 Income Changed - No → All Alpha; 1 character ("X" only) or Blank accepted  ãc. Check 13 Income Changed - Haven't Filed → All Alpha; 1 character ("X" only) or Blank accepted  bc. Check 14 Spouse income changed - Yes → All Alpha; 1 character ("X" only) or Blank accepted  cc. Check 14 Spouse income changed - No → All Alpha; 1 character ("X" only) or Blank accepted  dc. Check 15 Taxable income - Yes → All Alpha; 1 character ("X" only) or Blank accepted  ec. Check 15 Taxable income - No → All Alpha; 1 character ("X" only) or Blank accepted  fc. Check 16 Spouse taxable income - Yes → All Alpha; 1 character ("X" only) or Blank accepted  gc. Check 16 Spouse taxable income - No → All Alpha; 1 character ("X" only) or Blank accepted</p>	<p>- 9s for SSN if missing  - If month and day are switched when entering MMDDYYYY, delete the entry and enter as DDMMYYYY, then confirm the correct date is accepted.  - If set for OCR, system will attempt auto-capture. In the event that the system incorrectly completes (enters X when the field is actually blank or enters blank when a field is actually completed) a checkbox field, the employee will need to manually correct it.  -- For manual correction, turn off "Auto-tabling" option (set this field to N at the very top of the indexing field list)</p>
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600-FLS (IDR) - cont	Workflow	<p>hc. Stray Comments on Page 2 → Dropdown-box for Yes/No option selection</p> <p>ic. Check 17 Income Changed - Yes → All Alpha; 1 character ("X" only) or Blank accepted</p> <p>jc. Check 17 Income Changed - No → All Alpha; 1 character ("X" only) or Blank accepted</p> <p>kc. Check 17 Income Changed - Didn't File → All Alpha; 1 character ("X" only) or Blank accepted</p> <p>lc. Check 18 Taxable Income - Yes → All Alpha; 1 character ("X" only) or Blank accepted</p> <p>mc. Check 18 Taxable Income - No → All Alpha; 1 character ("X" only) or Blank accepted</p> <p>nc. Check 19 Spouse income changed - Yes → All Alpha; 1 character ("X" only) or Blank accepted</p> <p>oc. Check 19 Spouse income changed - No → All Alpha; 1 character ("X" only) or Blank accepted</p> <p>pc. Check 19 Spouse income changed - Didn't file → All Alpha; 1 character ("X" only) or Blank accepted</p> <p>qc. Check 20 Spouse taxable income - Yes → All Alpha; 1 character ("X" only) or Blank accepted</p> <p>rc. Check 20 Spouse taxable income - No → All Alpha; 1 character ("X" only) or Blank accepted</p> <p>sc. Stray Comments on Page 3 → Dropdown-box for Yes/No option selection</p> <p>tc. Reduced Payment → All Alpha; 1 character ("X" only) or Blank accepted</p> <p>uc. Reduced Payment Amount → Numeric + "." character for dollar amt or Blank accepted</p> <p>vc. Borrower's Signature → Dropdown-box for Yes/No option selection</p> <p>wc. Date Borrowed Signed → All Numeric MMDDYYYY</p> <p>xc. Spouse's Signature → Dropdown-box for Yes/No option selection</p> <p>yc. Date Spouse Signed → All Numeric MMDDYYYY</p> <p>zc. Stray Comments of Page 4 → Dropdown-box for Yes/No option selection</p>	<p>- 9s for SSN if missing</p> <p>- If month and day are switched when entering MMDDYYYY, delete the entry and enter as DDMMYYYY, then confirm the correct date is accepted.</p> <p>- If set for OCR, system will attempt auto-capture. In the event that the system incorrectly completes (enters X when the field is actually blank or enters blank when a field is actually completed) a checkbox field, the employee will need to manually correct it.</p> <p>-- For manual correction, turn off "Auto-tabbing" option (set this field to N at the very top of the indexing field list)</p>
600-FDDB (FLS Death Disability and Bankruptcy)	Workflow	<p>a. Either SSN → All numeric</p> <p>b. Date Received (From RM Mailroom date stamp) → All numeric MMDDYYYY</p> <p>c. Doc ID and ARC ID (System auto-filled)</p>	<p>- Send to QC for missing Acct or SSN.</p> <p>- If month and day are switched when entering MMDDYYYY, delete the entry and enter as DDMMYYYY, then confirm the correct date is accepted.</p>

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<b>600-FDRO (FLS Receipt Operations) Direct Debit OCR</b>	Workflow	<p>Most fields should be automatically captured. Manually capture or validate the following fields:</p> <ul style="list-style-type: none"> <li>a. Either 1) Student Loan Account Number or 2) SSN → All numeric</li> <li>b. Date Received (From RM Mailroom date stamp) → All numeric MMDDYYYY</li> <li>c. Checking or Savings Account (Capture "X" in the applicable account type field and leave the other account type field blank) → All Alpha; 1 character or Blank accepted</li> <li>d. ABA/Routing Information → All numeric</li> <li>e. Checking/Savings Account Number → All numeric</li> <li>f. Monthly Installment Amount or Monthly Installment Amount Plus (Capture "X" in the applicable amount field and leave the other amount field blank) → All Alpha; 1 character or Blank accepted</li> <li>g. Additional Amount (only capture dollar amount if present on the document and/or the Monthly Installment Amount Plus option is selected) → Numeric + "." character for dollar amt or Blank accepted</li> <li>h. Borrower Signature → Dropdown-box for Yes/No option selection</li> <li>i. Date Signed (leave field blank if incomplete or missing) → Enter MMDDYYYY</li> </ul>	<ul style="list-style-type: none"> <li>- 9s for SSN if SSN or Acct Number not present on document</li> <li>- Capturing Received Date on the first document in a batch should capture it for subsequent documents in that batch</li> <li>- If month and day are switched when entering MMDDYYYY, delete the entry and enter as DDMMYYYY, then confirm the correct date is accepted.</li> </ul>
<b>600-FDRO (FLS Receipt Operations) NON Direct Debit OCR</b>	Workflow	<ul style="list-style-type: none"> <li>a. Either 1) SSN or 2) Account Number → All numeric</li> <li>b. Date Received (From RM Mailroom date stamp) → All numeric MMDDYYYY</li> <li>c. Doc ID (System auto-filled)</li> </ul>	<ul style="list-style-type: none"> <li>- 9s for SSN if SSN or Acct Number not present on document</li> <li>- If month and day are switched when entering MMDDYYYY, delete the entry and enter as DDMMYYYY, then confirm the correct date is accepted.</li> </ul>
<b>635-FCLD (FedLoan Consolidation)</b>	Workflow	<ul style="list-style-type: none"> <li>a. Either 1) SSN, 2) Account Number, or 3) OE Code → All numeric</li> <li>b. Date Received (From RM Mailroom date stamp) → All numeric MMDDYYYY</li> <li>c. Doc ID and ARC ID (System auto-filled)</li> </ul>	<ul style="list-style-type: none"> <li>- Send to QC for missing Acct or SSN.</li> <li>- If month and day are switched when entering MMDDYYYY, delete the entry and enter as DDMMYYYY, then confirm the correct date is accepted.</li> </ul>
<b>999- Conversions</b>	Archive	<ul style="list-style-type: none"> <li>a. Major Batch → All numeric</li> <li>b. Minor Batch → All numeric (leave blank if value on the document is 0s)</li> <li>c. Either SSN → All numeric</li> <li>d. Doc ID (System auto-filled)</li> <li>e. File Number → All numeric</li> </ul>	<ul style="list-style-type: none"> <li>- Send to QC for missing Acct or SSN.</li> <li>- If month and day are switched when entering MMDDYYYY, delete the entry and enter as DDMMYYYY, then confirm the correct date is accepted.</li> </ul>
<b>999-Network File Number</b>	Archive	<ul style="list-style-type: none"> <li>a. Either SSN → All numeric</li> <li>b. Date Received (From RM Mailroom date stamp) → All numeric MMDDYYYY</li> <li>c. Doc ID (System auto-filled)</li> <li>d. File Number → All numeric</li> </ul>	<ul style="list-style-type: none"> <li>- Send to QC for missing Acct or SSN.</li> <li>- If month and day are switched when entering MMDDYYYY, delete the entry and enter as DDMMYYYY, then confirm the correct date is accepted.</li> </ul>
<b>999-FLS Consolidation File Number</b>	Archive	<ul style="list-style-type: none"> <li>a. Either 1) SSN, 2) Account Number → All numeric</li> <li>b. Date Received (System auto-filled) → All numeric MMDDYYYY</li> <li>c. Doc ID and ARC ID (System auto-filled)</li> </ul>	<ul style="list-style-type: none"> <li>- Send to QC for missing Acct or SSN.</li> <li>- If month and day are switched when entering MMDDYYYY, delete the entry and enter as DDMMYYYY, then confirm the correct date is accepted.</li> </ul>