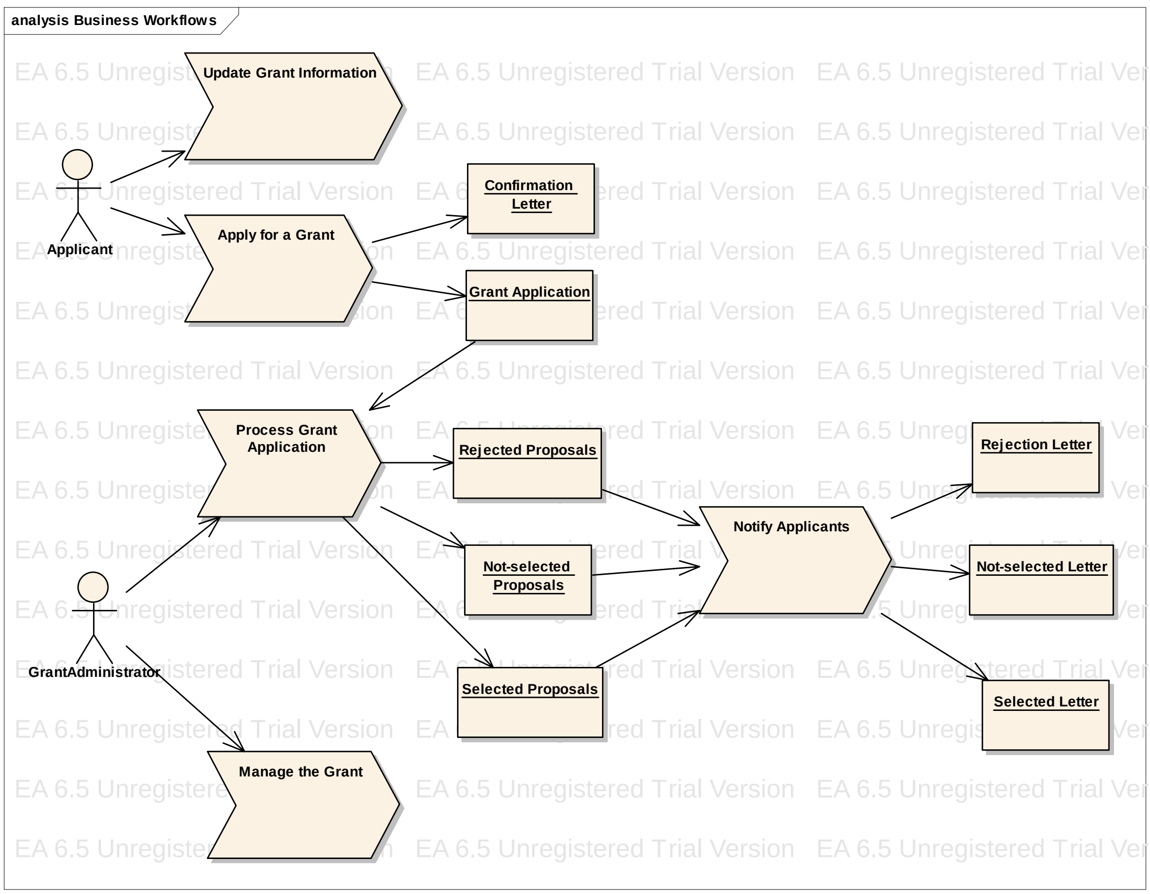
Bureau of Grant Applications

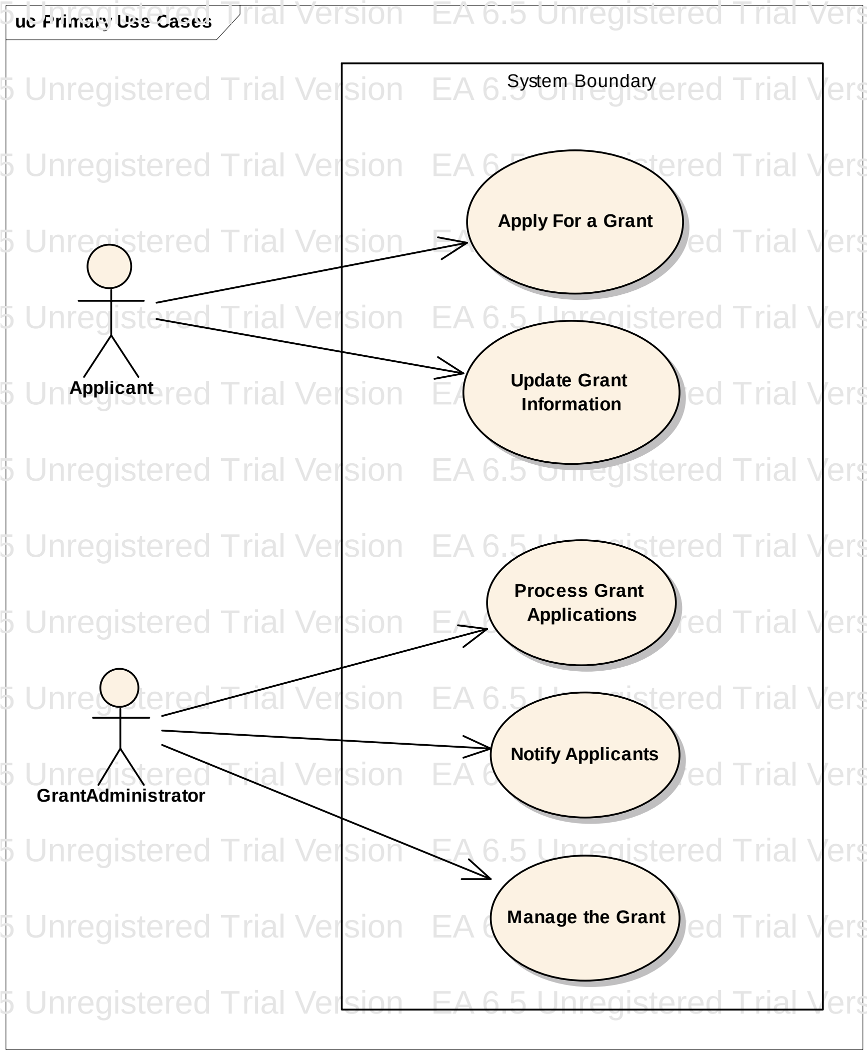
Our current method for handling grant applications is a labor intensive, error prone process using paper forms and a Wang mainframe with DB2 and CICS. We desire to make changes to the Enterprise Architecture to allow for a more efficient, and yet secure, process. We also have a need to make changes to satisfy current regulatory requirements of the Federal Government.

We are a small agency, about 20 people. We do not handle financial or medical information.

Current Enterprise Architecture, October 31, 2006

Business Processes





<u>Apply for a Grant</u>

1. The applicant requests a grant application from a grant administrator. The request may be by email or letter.
2. The grant administrator mails a grant application to the applicant.
3. The applicant enters required information into the grant application.
4. The applicant mails the grant application to the grant administrator.
5. The grant administrator reviews the grant application for required information.
6. The grant administrator enters the required information into the Wang mainframe.
7. The grant administrator sends a confirmation letter to the applicant.

Alternatives:

Grant information is incomplete

If the grant application does not contain all required information, the grant administrator sends a letter to the applicant requesting the missing information. If the applicant sends the missing information, then the grant administrator enters the required information into the Wang mainframe and sends a confirmation letter to the applicant.

Process Grant Application

1. The grant administrator waits until the end of the submission period for the request for proposal (RFP) to which he or she is assigned.
2. The grant administrator prints out copies of all grant applications for that RFP.
3. The grant administrator reviews all of the grant application and evaluates each one against the RFP.
4. If a grant proposal does not meet the basic requirements for the RFP, the grant administrator puts the grant application in the pile of rejected proposals.
5. The grant administrator makes copies of all remaining grant applications.
6. The grant administrator mails the grant applications to the peer review committee.
7. The peer review committee reviews the grant applications and selects a number of them to be funded as specified in the RFP.
8. The peer review committee sends the grant administrator a list of their selections, and comments on each application.
9. The grant administrator puts the rejected grant applications and their comments in the pile of not-selected applications.
10. The grant administrator puts the selected grant applications and their comments in the pile of selected applications.

Notify Applicants

1. For each grant application in the rejected proposals pile, the grant administrator sends a form letter to the applicant stating that the reason for the rejection was non-compliance with the terms of the RFP.
2. For each grant application in the not-selected pile, the grant administrator creates a packet of information for the applicant.
    a. The grant administrator puts in the packet a form letter to the applicant stating that the proposal was not selected and inviting the applicant to apply again the next cycle.
    b. The grant administrator copies the peer review committee comments for this grant application.
    c. The grant administrator adds a copy of the peer review committee comments to the packet.
    d. The grant administrator sends the packet to the applicant.
3. For each grant application in the selected pile, the grant administrator creates a packet of information for the applicant.
    a. The grant administrator puts in the packet a personal letter to the applicant stating that the proposal was selected, welcoming the applicant to the grant program, and giving contact information for the grant administrator.
    b. The grant administrator puts in the packet the set of information sheets for new grant holders.

c. The grant administrator copies the peer review committee comments for this grant application.
d. The grant administrator adds a copy of the peer review committee comments to the packet.
e. The grant administrator sends the packet to the applicant.
f. After two weeks, the grant administrator calls the applicant to personally welcome him or her to the program, and requests a time for an initial meeting.

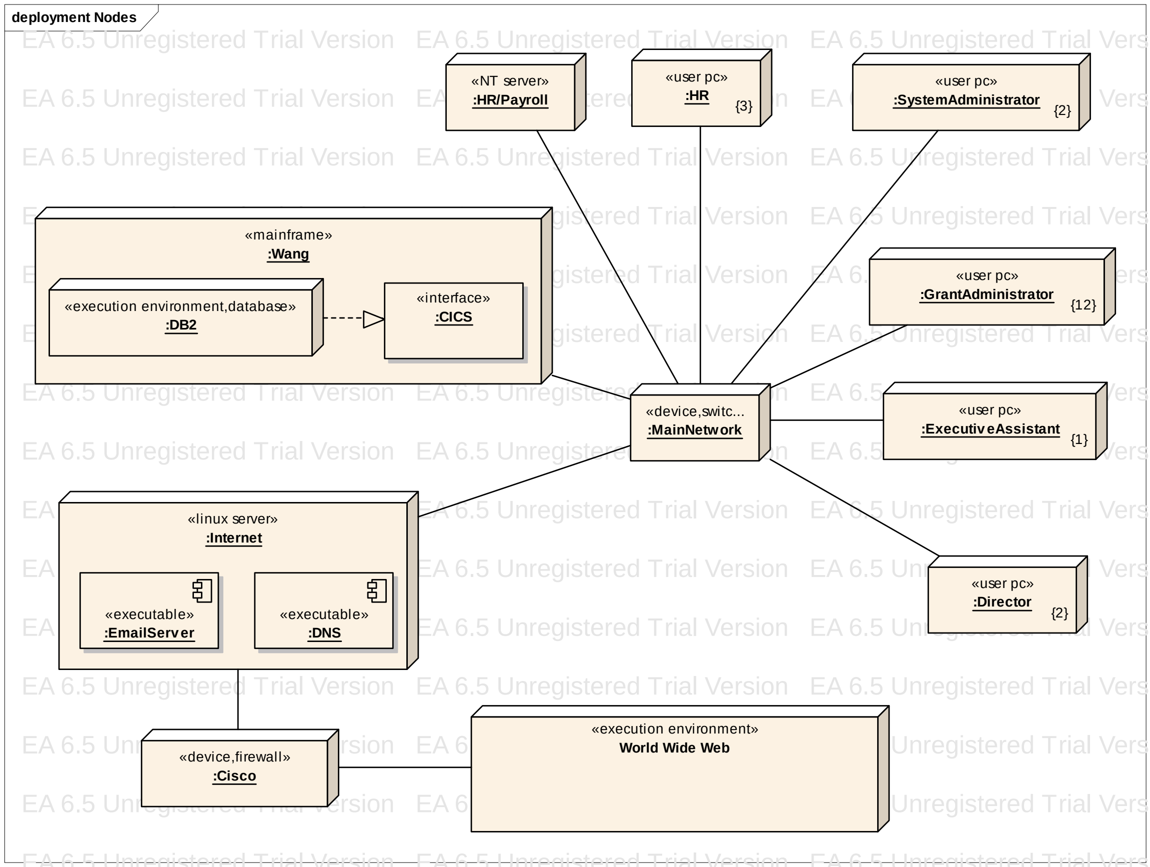
Manage the Grant

1. In the initial meeting, the grant administrator sets up a payment schedule with the applicant, and makes an appointment for an auditor to visit the applicant to certify the applicant's accounting system.
2. In the first week of each month of the grant, applicant writes a report on the current status of the project. The applicant sends the report to the grant administrator. The grant administrator puts the report in a file of information for the RFP.
3. At the end of the grant schedule, the applicant sends a final status report to the grant administrator. The grant administrator puts the final status report into the file for the RFP. The grant administrator makes an appointment with the applicant to see the final result of the project.
4. At the scheduled date, the grant administrator visits the applicant. The applicant shows the grant administrator the final result of the project. The grant administrator writes a final report containing his or her impressions of the result of the project.
5. After all projects have been reviewed, the grant administrator reviews all of the information in the file for the RFP. The grant administrator writes a report for the agency director containing the results of the projects, and recommendations on whether the RFP was a success or failure, if any of the projects should continue to the next phase of development, and if the RFP should be issued again to get a different set of projects to evaluate.

Update Grant Information

1. Any applicant that is accepted into the grant program is responsible for maintaining current information with the agency.
2. If any information on the grant application changes, the applicant sends the new information to the grant administrator for the grant.
3. The grant administrator changes the applicant's information in the Wang mainframe.

Hardware and Network



Issues

1. We need improved security of our systems. Current regulations require us to isolate the HR/Payroll system from the main network, only allowing access to people with the need to know.
2. We also need better security in the interface to the World Wide Web. We need to avoid having hackers access the grant data.
3. We want a more automated process. This is possible with the Wang mainframe by providing a translation layer between the mainframe and more modern software tools. Over time, it is preferable to have a modern database server that communicates more efficiently with other software (rather than going through a translation layer each time we need to access the database).
4. We want to accept grant applications electronically and allow applicants to manage their grants electronically. This would include submitting status reports, updating applicant information, and getting status on the process of their applications electronically.
5. We do not want to convert the whole DB2 database to a new database. However, we continue to need access to the data on the Wang. We would like to continue to

manage current grants under the old process, but put any new grants into a new system. When the old grants are complete, then the data on the Wang should become read-only as an archive of information about past grants and applicants.

6. We have no need today for employees to access the systems outside of work, nor do we need a wireless network. These may be needs in the future.

Proposed Enterprise Architecture

Business Processes

The current overall business process flow and set of use cases will stay the same. However, the flow of each use case will be updated to match the new automated systems.

New Use Cases TBD

Wyyzzk, Inc.

Hardware and Network