Appendix
Qualifying Systems or Projects (Ordered by Alphabet)

Adobe Connect

The Adobe Connect service is a web-based service on an Adobe-proprietary website that provides a virtual training classroom environment. The interface that Adobe Connect uses is similar to online meeting services such as Webex or Skype, where FDIC’s Corporate University (CU) instructors conduct training courses for examiners and also have leadership-type courses where they can present the material and have PowerPoint slides displayed during instruction.

CU administrators will set up and configure the virtual classrooms and are able to upload the training course material for participating students (both FDIC and non-FDIC) to download the materials for their use. Adobe Connect is regulated based on the way that the virtual classroom is configured. Some instructors will require a login, while other instructors will assign a display name along with instructions on how to use their assigned display name. Participating students will receive the virtual classroom information, including the URL, any required login information, or assigned display name information, after they are registered for the course through FDICLearn. (December 17, 2020)

Alliance for Economic Inclusion (AEI) Collaboration Tool

The Alliance for Economic Inclusion (AEI) Collaboration Tool enables FDIC and AEI members to collaborate, educate, inform, and share resources on economic inclusion and community development, which may include FDIC and AEI member-created resources, past event presentations, and upcoming event calendars. AEI members are coalitions of local financial institutions, consumer, community and local government leaders who support the goal of promoting the widespread availability and use of safe, affordable, and sustainable financial products from insured depository institutions that help people achieve financial stability and build wealth. The AEI Collaboration Tool has chat, uploading, and video teleconferencing (VTC) capabilities. The AEI Collaboration Tool collects and maintains the names, telephone numbers, and email addresses of AEI member POCs in order to grant access to the platform. (March 31, 2020)

Assessment Information Management System (AIMS)

The Assessment Information Management System (AIMS) is a web-based management application used by the Division of Finance (DOF) to invoice, manage and collect insurance premiums from more than 7,000 banks. AIMS does not have any external users. However, banks’ authorized representatives are authenticated via FDICConnect (FCX) and PDFs of their respective banks’ invoices are shared with them via a bi-directional export/import with AIMS and FCX. The only PII the AIMS system maintains is the names and email addresses of banks’ point of contact. (March 31, 2020)

Community Contacts Application (CCA)

The Federal Financial Institutions Examination Council’s (FFIEC) Community Contacts Application (CCA) provides a central location for an FFIEC user to enter information related to community contact organizations, contact personnel, and Contact Forms. CCA is designed to enable FFIEC users to enter, update, and query community contacts information related to a CRA examination and to manipulate information on community contacts for conference mailings, CRA examinations, distribution of publications, and other uses.

CCA serves essentially as a "Database" of community, consumer, religious, and other organizations around the country, and the officers and staff working there that are potential contacts to be queried related to financial institutions being examined in their communities. Internal FDIC users are provisioned through ARCS while
external users provisioned and provided access through EXTAM. There are plans for CCA to exit the Mainframe and be transferred to the cloud. This PTA does not cover future modernization effort. (December 17, 2020)

**Community Contacts Database (CCD)**

Community Contacts is part of the FFIEC examination procedures. The CRA requires banks to serve their communities. Community contacts are a method to assess compliance with the CRA. Community Contacts Database (CCD) is a centralized repository to collect and store community contact information and community organization data gathered through interviews during the examination process. This data includes bank name, examiner’s name, and the community contact’s name, work phone number, work email address, and work address and the community contact’s interview summary write-up entered by examiners.

CCD is accessible by FDIC through intranet and to Office of the Comptroller of Currency (OCC) and the Federal Reserve Board (FRB) through the extranet. Community Contacts Database will pull data from the SIMS SDC tables in Data Hub. CCD will replace the legacy on-premise application known as Community Contacts Application and will reside within the cloud on cloud.gov platform. (December 17, 2020)

**Corporate Business Information System (CBIS) – Legacy**

Corporate Business Information System (CBIS) is an FDIC Corporate Data Warehouse that contains numerous databases which are updated from multiple sources, such as the Federal Reserve Board (FRB), Office of the Comptroller of the Currency (OCC), Consumer Financial Protection Bureau (CFPB) and Federal Financial Institutions Examination Council (FFIEC), via mainframe and extract, transform, load (ETL) batch jobs. CBIS contains financial and examination data that pertains to banks, bank holding companies, savings and loans holding companies and foreign banking organizations. This data is later used to feed and refresh multiple datamarts and applications residing across multiple platforms. (March 31, 2020)

**Corporate Business Information System (CBIS) – Redesign**

CBIS Redesign is a modernization project designed to build a foundation to eliminate FDIC’s dependency on the mainframe. CBIS Redesign is a cloud-based (Cloud.gov), secure solution aligned with FDIC’s modernization roadmap and enterprise architecture, which will accelerate deployment of regulatory changes. CBIS Redesign replaces scheduled batch processing with a model of near real-time availability of data for consistent data consumption and distribution. CBIS Redesign will allow flexible and adaptable data processing to accelerate the deployment of regulatory changes. (March 31, 2020)

**Customer Service Appointment Scheduling System (APSS)**

Customer Service Appointment Scheduling System (APSS) is used by members of the Division of Resolutions and Receiverships (DRR) Customer Service Center (CSC) to schedule appointments with customers subsequent to the failure of a financial institution. To support the wide fluctuations in the number of calls being answered following a financial institution failure, DRR CSC has contracted with Call Centers to take calls and to create, update and/or delete appointments when there is insufficient FDIC staff to perform these tasks. When customers call to make an appointment, the name and telephone number are collected. Address or financial information may be collected if that is required data for the specific failure or circumstance, though this information is rarely included. (June 30, 2020)

**Customer Service Contact System (CSCS)**

The Customer Service Contact System (CSCS) is used by the Division of Resolutions and Receiverships to maintain an inventory of historical data related to failed financial institutions, (i.e., chain of title receiverships, mergers, acquisitions, changes in ownership, locating of financial successor) and applicable points of contact. Contact information related to claims, loans, real estate, subsidiaries, closings, and oversight within the FDIC is also maintained by the system. Contact information includes name, and work phone number, email address, and physical address. (July 16, 2020)
**Data Gathering Tool (DGT)**

The FDIC Data Gathering Tool (DGT) is a pre-examination tool developed by the Division of Depositor and Consumer Protection (DCP) and will be utilized by the Division of Risk Management Supervision (RMS). The DGT gathers and displays financial information and is used by examiners to define the scope of upcoming bank examinations. The only PII the DGT displays is the name of bank presidents, bank compliance officers, and a bank provided telephone number. (March 31, 2020)

**Electronic Deposit Insurance Estimator (EDIE)**

Electronic Deposit Insurance Estimator (EDIE) is designed to give an accurate deposit insurance calculation, assuming it is properly used and the account information is correctly entered. However, the results and conclusions generated by EDIE are strictly advisory. All actual claims for deposit insurance shall be governed exclusively by information set forth in the FDIC-insured institution’s records and applicable federal statutes and regulations then in effect. EDIE Estimator can calculate your FDIC insurance coverage for each FDIC-insured bank where you have deposit accounts. EDIE lets you know in a printable report for each bank whether your deposits are within or exceed coverage limits. (December 17, 2020)

**Emergency Notification System (ENS)**

The Emergency Notification System (ENS) enables the timely reporting of emergencies to FDIC employees and contractors. It provides for multiple communication device (voice, email, text) notification to registered FDIC personnel during and after local, regional or national emergency events and security incidents, disseminates time sensitive information, provides personnel accountability and status during emergency events, and conducts communication tests. ENS may contain personally identifiable information (PII) and non-PII about FDIC employees and contractors, as well as their emergency contacts, such as: full name, phone number(s), and email address. (March 31, 2020)

**Financial Institution Diversity Self-Assessment (FID-SA)**

Financial Institution Diversity Self-Assessment (FID-SA) is a portal that enables banks to complete their voluntary yearly diversity assessment. FDIC uses the information submitted by financial institutions to monitor progress and trends in the financial services industry with regards to diversity and inclusion in employment and contracting activities. The information collected by the FID-SA portal includes: financial institution name and address; points of contact information for the participating financial institution (names, titles, and work-emails/phone and fax numbers); yes/no responses with comments; and diversity data (workforce and procurement supplier). (March 31, 2020)

**Framework for Oversight of Compliance and CRA Activities User Suite (FOCUS)**

The Framework for Oversight of Compliance and CRA Activities User Suite (FOCUS) solution will be built on the intelligent Business Processing Management System (iBPMS) Common Platform which implements Appian Cloud services deployed to the Amazon Web Services (AWS) GovCloud. The iBPMS Common Platform team will enable and maintain the SSO authentication through ADFS with Active Directory. The FOCUS solution will follow the FDIC & iBPMS Common Platform’s guidelines and processes to provision access using Access Request and Certification System (ARCS). The FOCUS solution will modernize and replace the legacy SOURCE system. It will provide enhanced capabilities to support scheduling, planning, documenting and reporting on DCP supervisory activities for Compliance and Community Reinvestment Act (CRA). It will be used by compliance field supervisors, examiners, review examiners, and Washington Office policy staff. FOCUS will also be used to support reporting requirements, provides substantial task support for staff, and is a management support and decision tool. (June 30, 2020)
**Franchise Marking System (FMS)**

The Franchise Marketing System is a tool used by the Division of Resolutions and Receiverships (DRR) to help track troubled institutions being marketed to healthy insured depository institutions by marketing project. The primary components of a project include 1) defining qualification criteria and inviting and updating approved bidders, 2) tracking key dates for the project, 3) maintaining status, notes and other information related to interested bidders, 4) scheduling due diligence, 5) maintaining basic summary financial information, 6) the bidding process, and 7) providing management reporting. FMS captures the contact information of affiliated financial institutions that work with eligible bidders, including full name, email address, and phone number. (June 30, 2020)

**GovDelivery**

GovDelivery is an e-mail subscription management service enabling internal and external subscribers to sign up to receive FDIC publications, thereby reducing the load on FDIC Outlook servers. GovDelivery is a FedRAMP-authorized Software as Service (SaaS) cloud service provider, which provides an outsourced e-mail subscription service to distribute FDIC information. E-mail addresses are entered manually by users when they subscribe to a publication, which can either be work or personal e-mail addresses. GovDelivery provides subscribers the option to receive news releases, Financial Institution Letters, statistical publications and other information. (March 31, 2020)

**LLC Accounting Database (LAD)**

Limited Liability Company (LLC) is the single-purpose entity into which assets from one or more failed institutions are conveyed via an Asset Contribution (and Sale) Agreement. LLCs with single family or commercial assets are required to report detailed information about these assets on a monthly basis to the Division of Resolutions and Receiverships (DRR). The Federal Deposit Insurance Corporation (FDIC), as receiver for one or more failed institutions, owns an equity interest and/or other financial interest in structured transactions LLCs. The Pre- and Post-Closing Support Contractor (CSC) and others in the DRR monitor the financial performance of individual LLCs. Each month, the LLC uploads monthly reports and data files to FDIC’s Resolution Transaction Submission Portal (RTSP). The CSC retrieves those files and saves them to their FDIC SharePoint site, which is the official repository for all LLC documents. The CSC then performs a review of the monthly reports and, upon completion, prepares a summary report and uploads it to their SharePoint site. DRR utilizes the LLC Accounting Database (LAD), which is a repository that is used to input and store the aggregate financial and accounting data submitted monthly by each Managing Member (MM). The data that is aggregated within LAD is a subset of the entire monthly report. (June 30, 2020)

**Money Smart Game**

The Money Smart Game will be a public-facing application hosted by ICF Incorporated. The application provides financial education in the form of 14 interactive games created in Articulate Storyline. The games, with related resources, are collectively called How Money Smart Are You? Users can create an account or play without an account. If users choose to create an account, they can log in and out as often as they want and their place is saved in the game-play. Creating an account and logging in is required to receive certificates of completion. (December 17, 2020)

**Office of Complex Financial Institutions (OCFI) Documentum Enterprise (ODM)**

The Dodd-Frank Wall Street Reform and Consumer Protection Act requires that bank holding companies with total consolidated assets of $50 billion or more and nonbank financial companies designated by the Financial Stability Oversight Council (FSOC) for supervision by the Federal Reserve periodically submit resolution plans to the Federal Reserve and the Federal Deposit Insurance Corporation. OCFI Documentum Enterprise (ODM) is the system used to store, manage and analyze these 165(d) resolution plans (commonly known as living wills), plan analysis documents, recovery plans, and other artifacts containing sensitive firm-specific information related to Systemically Important Financial Institutions. ODM is a sub-component of FDIC
Enterprise Documentum (DCTM), a customized Common Off the Shelf System (COTS) application. (March 31, 2020)

**Online Ordering System (OOS)**

The FDIC offers free publications to the general public and banking industry to promote public confidence, disseminate consumer protection information, and educational material. The Online Ordering System (OOS) replaces the externally hosted web-based solution obtained through a Shared Services Agreement through the US Dept. of Treasury. The new OOS will be supported using an enterprise shared service (Salesforce) to deliver the functions necessary for a public facing Online Ordering System in which users can order print products and download digital versions of print publications. The solution will also include an internal OOS application used to manage and administrate the public facing portal. The current web-based Online Ordering System will be decommissioned once implementation of the Salesforce solution is complete. (June 30, 2020)

**Premise Tracker/Repudiations**

Premise Tracker/Repudiations (PREMISE) is a DRR web-based application that provides a centralized repository to maintain and track institution-specific information about fixed assets such as locations, premises, fixtures, etc. pertaining to real estate properties. The system utilizes a checklist to manage/track/report on the premises of failed institutions. PREMISE contains failed-institution real estate data for both owned and leased properties (e.g., institution branch locations, ATM locations, institution storage facilities or land that was planned for future institution expansion). The system will track real estate status changes (e.g. inspections completed, insurance policies updated, etc). Information collected and maintained includes contractor/vendor contact information (name, email, phone), institution name, applicable financial institution designee (name and email), financial institution appraiser (name and email), applicant/beneficiary name, and associated FDIC employees’ NTID and full name. (April 8, 2020)

**Qualtrics Research Suite**

Qualtrics Research Suite is the standard survey builder software used at the FDIC. It provides the FDIC with the ability to generate and manage web-based surveys, and offers a variety of reporting and analytics tools that allow authorized FDIC users to track survey results and easily configure custom reports to meet survey requirements. Surveys are typically used by FDIC to collect data from survey respondents, which may include personal contact information. For example, the FDIC may use surveys to collect personal contact information from individuals interested in registering for FDIC events, or in instances where a large FDIC-insured financial institution has failed, the FDIC may use surveys to notify customers/borrowers about the failure and to collect the names, email addresses, and telephone numbers of customers/borrowers having questions pertaining to the bank failure. (April 8, 2020)

**Receivership of Assets in Litigation (RAIL)**

Receivership of Assets in Litigation is the FDIC’s repository for all asset litigation. RAIL tracks, monitors and reports outstanding asset litigation related matters overseen by National Servicers, Contractors, Receivership field sites, the FDIC Legal Division and FDIC Account Officers that assists all areas of Asset Management and Marketing and Owned Real Estate (ORE) in the asset resolution process. RAIL captures a number of data elements pertaining to the tracking of assets that are involved in various types of litigation. This information includes descriptive and tracking factors such as Case Number, Asset ID Number, Advanced Legal Information System (ALIS) ID Number (System-generated), values, and applicable dates. The system also collects some PII on personnel, including the name and email of FDIC employees who access and utilize the system; ORE point of contact information; and third-party legal counsel name, address, phone number, and email. (June 26, 2020)
**ServiceNow**

ServiceNow is a cloud provider of Information Technology Service Management (ITSM) ticketing software, and is used to track information technology helpdesk tickets (Incidents, Changes, Problems, and Service Requests), and to track information technology assets and configurations. (June 30, 2020)

**Statistical CAMELS Offsite Rating (SCOR)**

Statistical CAMELS Offsite Rating (SCOR) is a financial model that uses statistical techniques, off-site data, and historical examination results to assign an off-site CAMELS rating to financial institutions and to measure the likelihood that an institution will receive a CAMELS downgrade at the next examination. As background, a CAMELS rating refers to a supervisory rating system originally developed in the U.S. to classify a financial institution's overall condition. The components, or factors, of a bank's condition that are assessed include: (C)apital adequacy, (A)sets (M)anagement Capability, (E)arnings, (L)iquidity, and (S)ensitivity (i.e., sensitivity to market risk, such as interest rate risk). (March 31, 2020)

**Structure Information Management System (SIMS) Redesign**

Structure Information Management System (SIMS) maintains all structure data for financial institutions insured, supervised, and monitored by FDIC. Structure data is used by the Data Collection and Analysis Section. It is non-financial and public in nature and encompasses attribute, classification, and ownership information. The purpose of the replacement of legacy SIMS ("SIMS Redesign"), is to automate the collection and processing of financial institution structure information. The initial release will automate 6 types of changes across 5 different source systems and track all other changes which need to be made against the legacy DB2 database. A future release, to be deployed in March of 2020, will replace DB2 with Oracle as the system of record and improve the distribution of information to the downstream applications. Once all of the downstream applications have migrated to the new Oracle interface, the legacy DB2 will be retired. The migration schedule of downstream applications to new Oracle interface will be coordinated and defined in 2020, which is part of the Mainframe Exit Strategy Initiative. (June 30, 2020)

**Sub-Contractor Reporting System (SRS)**

The Sub-Contractor Reporting System (SRS) is used to collect subcontractor information and generate reports. SRS provides a standard report that list the number (in dollars) and percentage of subcontractors and the percentage amounts based on business type for a reporting period. It also provides contracting officers with increased capability to analyze the proposed subcontractor information versus the actual contractor information. In addition, SRS identifies an automated solution that allows prime contractors to submit subcontractor information to Division of Administration (DOA) contracting officers as requested. (June 30, 2020)

**System of Uniform Reporting of Compliance and CRA Exams (SOURCE)**

System of Uniform Reporting of Compliance and CRA Exams (SOURCE) is a core system for the CRA examination program. It is extensively used by compliance field supervisors, examiners, review examiners, and Washington Office policy staff. SOURCE is used to support reporting requirements, provides substantial task support for staff, and is a management support and decision tool. The following are examples of SOURCE functionality: generating exam schedules that are used to support workload projections by incorporating quarterly planning and benchmark hours; capturing examination summary information; attaching examination documents for divisional sharing and historical reference; and support legislatively mandated reporting. The SOURCE system maintains PII such as name, telephone numbers, addresses, and email addresses from bank presidents, compliance officers, and board members in order to schedule exams. (April 8, 2020)
**Travel Administration System**

The Division of Finance (DOF) within FDIC is responsible for providing assistance to FDIC employees at all headquarters, regional and field office sites when making reservations for airline tickets, hotel accommodations, and automobile rentals for official travel. FDIC/DOF has contracted with a vendor to assist FDIC employees (travelers) in making official travel arrangements, consistent with FDIC travel policies, cost considerations, and employee preferences. The vendor provides FDIC travelers and travel specialists with a secure, self-service online booking engine (OBE) for making reservations (air, rail, lodging, car rental, etc.), preparing travel authorizations and vouchers, producing itineraries, and obtaining tickets and receipts. (March 31, 2020)

**WindRose Media**

The WindRose Media solution is Software as a Service (SaaS) based service for live WebCast events. It provides access to stored and live video content. WindRose also allows presenters and moderators to create polls, conduct and answer questions during their presentations and manage the access to the content of their presentations. Administrators on WindRose Media are able to acquire a video source from a content acquisition component that allows video signals to be captured and encoded. Those video sources could be a production camera from an auditorium, webcam, video teleconferencing equipment or pre-recorded video files. Video content is streamed directly from content delivery network (CDN) nodes on the Internet. End-users stream the video from WindRose Media, which are AES-256 encrypted at rest. TLS 1.2 is used when accessing these streams. (June 30, 2020)