



Small Business Administration

SBA Human Capital Management Segment Architecture

FINAL Strategic Roadmap

Version 1.00

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Revision Sheet

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HCM Segment Architecture Target State

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***NOTE* TABLE 37, TABLE 38, AND TABLE 39 HAVE BEEN REDACTED FOR PUBLICATION**

1 Executive Summary

The Roadmap for the U.S. Small Business Administration's (SBA) Human Capital Management (HCM) segment is the result of a three-step architecture analysis. First, the existing technology and process of HCM operations were examined in the "Current State" document, followed by the "Target State" analysis, which presented future HCM operations. The Roadmap outlines the progression from the "as-is" state to the desired "to-be" state.

The path to HCM future operations will be characterized by automating certain manual processes, growing a true enterprise architecture with an emphasis on human resources (HR) data and layering front-end services on top of this foundation that provide needed or mandated functionality.

SBA's Office of Human Capital (OHCM) manages most of the Agency's human resources transactions, and needs to manage HR data at every point during the lifecycle. As a foundation for the target state, then, effective collection, management and use of this data will allow HCM to be successful in fulfilling its role and meeting its strategic goals.

The various tasks associated with establishing this firm data foundation have been collected into a Data Management Initiative. This initiative involves first identifying and defining the types of HR data needed to support the office's mission. A standardized set of data definitions are then used to construct a data warehouse which serves as the authoritative source for all the necessary HR data. Although these data sets may be operationally acted upon within other IT systems, the data warehouse is a foundational component that contains the holistic set of HR data. In order to leverage this data, a comprehensive set of standard data services will be constructed to allow heterogeneous front-end systems to access and use the data in the warehouse. Lastly, sets of enterprise tooling will be introduced to allow reporting and analysis to be conducted in support of strategic planning.

An application rationalization initiative will be an important aspect of the realization of the target state. This initiative seeks to identify existing business processes and existing IT systems and establish a relationship between them. This will allow gaps and overlaps to be identified and corrected. It will also establish a governance model to ensure future investments map to and support business functions.

There are several parts of the target state that represent initiatives undertaken to comply with government mandates that are part of the President's Management Agenda (PMA). These initiatives will give OHCM the tools to automate HCM processes. The first step of these initiatives is to establish the proposed system in order to provide needed or mandated functionality. As time progresses, however, the roadmap specifies additional phases that will leverage the data warehouse, associated tooling, and self-service components as they are implemented. This will be achieved via integration services developed for that purpose. These initiatives are:

- Electronic Official Personnel File (e-OPF)
- Workforce Planning System
- Learning Management System
- Personnel Action Request (PAR) processing
- e-Clearance

The roadmap also describes enhancements to HCM with technology tools that automate existing processes. These systems will also need to fit into the data management architecture, and support HCM strategy. Additionally, these tools provide comprehensive employee self-

service via secure web-based interfaces and access to tools based on roles authorized by their job functions. These initiatives are

- Workers' Compensation Case Management/Safety Incident Reporting System (WCCM/SIRS)
- Time and Attendance
- Labor and Employee Relations
- Performance Management
- Self-Service Portal

The completion of the initiatives described in the roadmap will bring about the target state, characterized by the flow of data and the influence of that data on HCM strategy.

2 Scope

This document provides a strategic roadmap for SBA's HCM segment by identifying the gaps at the performance, business, service component, data, and technical architecture layers between the current, as-is architecture and target, to-be architecture. The document proposes several initiatives to fill these gaps and creates a high-level sequencing plan for these initiatives.

3 Gap Analysis

The target state architecture describes future business needs, the data required to support future business capabilities, the services required to manage data and automate business processes, and the technologies that will provide the infrastructure for high performance business applications, data management, and communications.

This section describes the gaps between the HCM target state architecture relative to the current state architecture for the performance, business, service components, and data architecture layers. The architectural recommendations describe the transition plan from the current state to the target state and form the basis of the initiatives described in the following sections.

3.1 Performance Architecture Gap Analysis

3.1.1 Summary of Current State

HCM has established metrics for measuring performance as reflected on the performance scorecard. The set of metrics that exists is in a state of flux with changes, deletions and additions. The goal of defining and redefining these metrics is to align them with and gear them toward supporting the top priority goals and objectives of the SBA.

The gap between the current performance architecture and target performance architecture is likely to become clearer as these metrics are defined, ratified and promulgated.

3.1.2 Mission, Goals and Objectives

The OHCM's mission is to "*partner with SBA leaders to develop strategic solutions to human capital issues and create a work environment that attracts and retains the talented and high performance workforce that SBA needs to accomplish its mission.*" To that end, HCM goals are most closely aligned with at least one SBA goal in the current state that supports this mission.

In the target state, OHCM has established four goals and mapped them to objectives derived from the FY 2009-2010 Performance Budget. These mappings are further tied directly to SBA long term objectives.

These updated goals and objectives have been outlined in detail in the OHCM Target State Segment Architecture document.

3.1.3 Performance Measures

Defining measures for the target state is challenging and subject to ongoing modification, particularly if OMB releases a Performance Reference Model (PRM) for HCM functions. Existing measurements are defined on the M&A Scorecard and are listed in the current state analysis.

The target state envisions a new set of results-based metrics that, once achieved, will have contributed to the realization of the defined goals. In this manner, the measurements are directly mapped to related HCM goals and thereby to SBA goals.

The updated performance metrics and measures are detailed in the HCM Target State Segment Architecture document.

3.2 Business Architecture Gap Analysis

3.2.1 Summary

There is no gap between HCM's current state business functions and the target state versions; HCM will still perform the same high level functions. The differences are in the detailed way each function is performed.

The target state envisions the creation of services that map directly to existing business functions. These services will provide the automation and eGov compliance that is needed to modernize the HCM's HR functions. Existing paper and manual processes will be phased out and replaced with integrated systems that perform the basic function with much more robust capabilities for reporting, tracking, auditing and analysis.

3.2.2 Business Services

To achieve the intended target state, OHCM will need to add a number of new business services that do not exist in the current state. These business services enable a number of important capabilities that don't currently exist but are necessary for achieving target state performance measures and OHCM goals.

These business services are grouped by phases in the HCM lifecycle:

- Planning
- Recruiting
- Sustain/Transition/Career Management
- Performance
- Education and Development

The proposed services enable specific functions within each HCM lifecycle phase that are currently nonexistent or extremely manual.

These business services are:

- HR Strategy
- Organization & Position Management
- Labor Relations Management
- Employee Relations Management
- Staff Acquisition
- Compensation Management
- Benefits Management
- Separation Management
- Performance Management
- HR Development

Each of these service areas are enabled by specific technical systems proposed in the technical architecture of the target state. Additionally, each of these business services directly impact the realization of proposed HCM goals as measure by the proposed performance metrics.

3.3 Service Component Architecture

The current state consists of service components that support the existing business processes. These components are not technical systems, but manual paper-driven processes. The target state envisions new technical architectures to automate these manual processes and the service components themselves undergo redefinition to align with this new approach.

A list of the service components can be found in the Target State document.

1. Enterprise Service Components

Described on the diagrams in the target state document as 'support services,' these enterprise-wide components exist to support all HR functions of HCM. Most of these components don't exist in the current state. In those cases where they do exist, they are highly manual, siloed and paper-based. The target state envisions a holistic approach to constructing these services to align with the SBA EA Blueprint.

2. Data Service Components

In the target state, a new class of data elements is introduced. These components exist to provide structured, defined and standardized data in easily accessible locations. For compliance, reporting and analysis purposes, the implementation of components dedicated to organizing the HR data is of paramount importance and is central to the vision of the target state.

3. Front-End Service Components

The existing business functions are manual in nature. There exists no 'user interface' for these systems because they are not technical systems. To comply with eGov initiatives and to bring self-service to the management of HR functions, a series of front end services will be constructed in the target state. These will primarily consist of web-based interfaces to the enterprise components described above. This will introduce a true layered approach to the architecture that does not exist today.

4. Integration Components

Tying the various front end components to the enterprise and data components will be a layer of integration components. These services will form an abstraction layer that negate the need for monolithic solutions or 'suites' that in any event are unrealistic and often too costly. This approach complies with the SBA EA Blueprint and enterprise architecture principles in general. Additionally, it provides the greatest degree of flexibility for SBA to move forward with new services/systems in the future.

3.4 Data Architecture Gap Analysis

There is no broad view of data 'architecture' in the current state. There are various data repositories that are often isolated, and, in many cases, consist of paper forms and file folders.

The target state describes a technical approach to automating the manual business processes. Along with that will be a series of data services that support a newly defined architecture that is compliant with the SBA EA Blueprint and various mandated initiatives.

This data architecture will consist of several components that support the target state services. The primary ones are:

- Data Warehouse (archive, retention, taxonomy, classification)
- Data Integration (extract/transform/load, standardization, services bus)

- Data Analysis (reporting, modeling)

These services are described in the Target State document.

The services form the foundational layer that organizes, standardizes and stores the data upon which all HR functions rest. The data layer also provides the interfaces for the business analytics tools such as workforce planning to interact with the stored data.

Note that the way in which this is architected makes it mostly irrelevant where and how the data is actually stored. Whether it is at SBA or hosted by a third-party makes no difference in terms of how the architecture is described.

An important aspect of the data architecture is that some elements of it may be included or absorbed by other enterprise service components. For example, most of the solutions that describe workforce planning involve a data warehouse and the associated tooling for conducting reporting and analysis. The data architecture denotes a specific data warehouse that may in reality be part of the workforce planning service component. The target state data architecture does not necessarily demand that a separate and unique system called a 'data warehouse' be constructed, only that the services described as data warehouse be provided by some mechanism (such as the workforce planning component).

3.5 Technical Architecture Gap Analysis

The current state lacks a defined technical architecture that considers all aspects of the HR functions. The target state remedies this by describing a series of technical components, architectural layers and underlying support systems and infrastructure that support the realization of OHCM goals.

1. Electronic Systems

The target state envisions e-centric applications replacing the paper-driven processes of today. The ultimate goal is to eliminate siloed client-server application software and paper forms and file folders with standardized web applications conforming to the SBA EA.

2. Self Service

Existing HR processes are typically handled by specific personnel in the current state. Job classifications exist to process paper forms and handle basic HR admin functions. The target state devolves these tasks to the employee in the form of a self-service portal that enables the newly automated and integrated business processes to be initiated and managed by the employee functioning in a given role.

3. Integration Services

Knitting together the proposed technical architecture are web services that form abstraction layers between the various components. This provides a highly flexible structure that enables the use of mixed services such as in-house hosting, hosting at the National Finance Center, third party hosting, etc., all while maintaining control, security and alignment with EA principles as described in the SBA EA Blueprint. Though initial cost to construct these integration buses may be greater, the long term impact is a much reduced cost of maintenance and operations versus stove-piped systems that do not talk to each other and do not conform to standard EA principles.

The list of proposed technical systems for the target state is listed in the Target State document.

4 Business Change Initiatives

The initiatives below represent the programs and/or projects SBA should undertake to reach the HCM target state. A guiding principle throughout all initiatives is the consideration of a Federal Shared Service Provider (SSP) as the primary solution, especially for areas governed by the Human Resources Line of Business (HRLoB).

4.1 Initiative #1: Data Management

4.1.1 Concept Summary

4.1.1.1 Background

The HCM functions at SBA utilize large amounts of data to provide services to employees throughout the employment lifecycle. However, for HCM data to be useful to the SBA, it must be structured so that it is easy to describe, classify, store, retrieve, manipulate, report on and analyze. Currently, OHCM has an array of data silos that cannot communicate or share information. Extracting data from these silos and making practical use of it in analysis or reporting is a complex and manual process.

SBA has a need to consolidate this disparate data, stored in various formats, and unify how it is organized, described, classified and recorded. This initiative addresses these issues by first standardizing and normalizing HR data, constructing a data warehouse to manage this data and developing services that will provide integration points between the various disparate systems in use. It is important to note that the existing disparate systems themselves are difficult to integrate. It is therefore the goal of this initiative to integrate the data that provisions these systems. This can be done by first standardizing the data schemas used by the various IT systems, assembling this data into a warehouse and finally providing common data web services that will form an abstraction layer between the data itself and the various front-end components that use that data.

Management of this disparate data will be the foundational component for all HCM functions.

This initiative will incorporate three work tracks:

1. Data Standardization;
2. Data Warehouse; and
3. Data Integration.

4.1.1.2 Solution Description

This initiative presents a solution to the challenges presented by SBA's current environment of siloed HCM data stored in separate systems. The solution will create an authoritative source for HR data in standard format with standard interfaces. Various disparate systems may continue to hold their own local copy of data (in the case of COTS solutions this may be in a black box proprietary format). However, these local data 'marts' will simply be stores of operational data that feed their contents back to the authoritative source for all data, the data warehouse.

Note that it is not necessary to have proposed IT systems from other initiatives complete prior to the launch of the first work track. In fact, identifying and standardizing data used in HCM processes precedes implementation of other target state IT systems.

4.1.2 Benefits

4.1.2.1 Qualitative Benefits

- Accurate, standard HR data in an easily accessible central repository.

- Alignment with SBA EA Blueprint and establishment of a flexible platform for future capabilities.
- Compliance with federal mandates.
- Ability to repurpose staff away from manual tasks.
- Improved strategic planning based on clearer employee data.

4.1.2.2 Financial Benefits

- Minimize the cost and time required to analyze data.
- Reduced recruiting costs associated with more targeted recruiting and better strategic planning.
- Automation of tasks will reduce cost associated with administrative tasks (i.e. data entry, filing) and error reduction.
- Report development will take less time in an automated environment.

4.1.3 Dependencies and Assumptions

4.1.3.1 Dependencies

- Data Standardization (work track #1) has no dependencies, although each subtask is dependent on the previous.
- The Data Warehouse track (#2) is dependent on the completion of #1.
- The Data Integration track (#3) depends on completion of track #2.

4.1.3.2 Assumptions

- To the extent possible, the data warehouse provided by the HR LoB will be utilized.
- All work tracks must be completed for full functionality of other initiatives, though other initiatives should proceed and will provide benefit even before full data warehouse implementation.
- Some data activities that may be ongoing in other initiatives may require future activity in the data integration area.
- The selected solutions will allow the necessary changes to data structure, schema, data elements, etc. While it may be difficult to alter data schemas in 'black box' COTS solutions, the authoritative source is the data warehouse and greater control of the schema can be exercised there.
- Database skills exist, will be developed or obtained in order to perform the needed analysis and hands-on work. This may involve bringing in contractors or hiring data experts or utilizing shared service center resources.
- Development skills will be needed upfront and on an ongoing basis to design, construct and implement the necessary data services.
- Data management tracks can begin and establish sufficient foundation for the other initiatives to start up. As the various initiatives are being pursued, data management initiatives continue to become more robust.

4.1.4 High Level Implementation Plan

4.1.4.1 Work Tracks

1. Work Track 1: Data Standardization

The first work track will trace existing business processes to identify all existing data sources that contain HR data in use by SBA. HR data will be described by a standard set of attributes in a standard schema that can contain any and all necessary data for use by SBA HCM IT systems (existing and planned). The sub-tracks are:

- Locate and identify data sources
- Compose standardized schema for data
- Normalize data

This work should be done in conjunction with the on-going data governance activities being conducted by the EA program office within OCIO.

2. Work Track 2: Data Warehouse

The second work track will construct (or provision from a shared service center) a database and reporting infrastructure to house the HR data identified in work track 1. This will be followed by capturing and storing this data in the repository and implementation of reporting and analysis tooling.

- Obtain/construct warehouse
- Capture and store data
- Implement analysis, reporting tools

3. Work Track 3: Data Integration

The third work track will establish the base web services that are common to most HR IT systems and will be used to link front-end systems to the data layer. These services will be built to industry standards to provide the greatest degree of flexibility when tying together data from disparate COTS solutions, hosted solutions and shared service center solutions.

- Development of basic services

4.1.5 Key Resources

- 1. Project Sponsors:** OHCM executives will have to establish the value of the system and develop buy-in with other executives.
- 2. Project Managers:** Resources able to manage the business and technical aspects of an implementation, as well as generate buy-in from internal and external stakeholders. Project Managers are subject to change to accommodate the technical and business complexities.
- 3. Development Resources:** Person(s) able to implement the tools and support systems described in this initiative.
- 4. Implementation Project Team (IPT):** A cadre of OHCM and OCIO employees able to address process and technology/standards questions for the development team.

4.1.6 Key Issues and Risks

Execution risks relevant to this initiative and their mitigation strategies are listed below.

TABLE 1: INITIATIVE #1 RISKS AND MITIGATIONS

Risks	Mitigation Strategies
Scope creep: without careful planning, data warehouse implementation can easily become an enormous project that takes too long and costs too much to create and is not useful when it is complete. Benefits are not seen for many years.	Rapid, incremental construction of data warehouse (either in house or outside SBA) will allow realization of benefits almost immediately. Utilization of existing solutions that have already conducted these types of activities will ease the implementation process and reduce risk.

4.1.7 Cross Reference with Opportunities

This initiative helps realize the following opportunities in the target state.

TABLE 2: INITIATIVE #1 OPPORTUNITY MAPPINGS

#	Opportunity
6	Create points of interface between systems as possible and necessary and educate users on data sharing
28	Reduce processing time for all OHCM processes
33	Implement and maintain a centralized, master personnel data store
37	Move away from SSN as unique identifier on HCM systems
42	Use historical, current and trend data to predict future workforce at the SBA and consequently plan its strategic budgetary, recruiting and training requirements based on the insight gained
43	The ability to conduct analysis of current workforce information, create required reports and implement strategic human capital planning
58	The ability to obtain relevant data automatically and develop and distribute electronic employee performance reports
60	The ability to create the necessary reports efficiently based on trend data and effectively gauge corrective measures for the future
66	Enhance security of employee personnel data
69	Standardize HR data for employee actions and history
72	Standardize and centralize HR guidelines for form completion

4.1.8 Cross Reference with Performance Metrics

This initiative targets the achievement of the following performance metrics.

TABLE 3: INITIATIVE #1 PERFORMANCE METRIC MAPPINGS

#	Performance Indicator
1.1.1	Percent of mission critical occupations where competency gaps have been addressed
1.1.2	Ratio of SBA employees in non-mission critical occupations trained in mission critical functions to number of mission critical occupations
1.2.1	Percent of training classes offered fulfilling IDPs
1.2.2	Percent of SBA employees with tracked and automated IDPs
1.2.3	Percent of SBA workforce participating in job-specific training
1.3.3	Percent of HR tasks initiated on-line
1.3.4	Automated transaction audit rate
1.5.1	Percent of SBA employees with performance measures and targets available for report
1.6.2	Percent of SBA employees with demographic data available for ad hoc search and query
1.6.3	Percent of SBA employees with training data available for ad hoc search and query
1.6.4	Percent of SBA employees with access to an automated personnel data for ad hoc search and query
3.1.4	Percent of positions where competency data collection has been automated

*It should be noted that the Data Management initiatives are prerequisites for all of the other initiatives. As such they can be seen as mapping to ALL performance metrics since they serve as foundational enablers.

4.2 Initiative #2: Application Rationalization

4.2.1 Concept Summary

4.2.1.1 Background

The target state envisions an employee self-service environment that enables accountability and auditing and a much more efficient mechanism for users to access everyday HR functions. To this end, redundant, ad hoc and unofficial applications that exist today must be identified and rationalized. Once this has occurred, future solutions under consideration can be better matched up against existing gaps.

Additionally, establishing a relationship between IT investment in small-user base applications (such as the ones typically used by HR) and business processes will allow OHCM to avoid future cost and inefficiency resulting from overlap.

4.2.1.2 Solution Description

This initiative will involve HR IT asset discovery, IT asset mapping and chunking, IT asset valuation, overall portfolio analysis, strategies for rationalization of the overall HCM suite and finally a set of governance rules for maintenance of the suite and enforcement of the guiding principles going forward.

4.2.2 Benefits

4.2.2.1 Qualitative Benefits

- An assessment of organizational processes and their contribution to business results.
- A mapping of IT applications and infrastructure to business processes.
- The ability to allocate costs and business value by asset area and business process.
- The ability to plot the relative cost and performance of major asset areas.
- Reduction in overlap and costs resulting in additional business value.
- Establishment of a rationalized 'base' against which future investment can be weighed, gaps identified and filled.

4.2.3 Dependencies and Assumptions

4.2.3.1 Dependencies

- No external dependencies.
- Work tracks are sequential.
- While there is no explicit linkage between these tracks and other initiatives, there is an efficiency gain and potential cost-benefit of eliminating redundant work in other initiatives. Therefore this initiative should be viewed as a soft prerequisite to the initiatives that follow.
- The governance model established here serves as a guiding force throughout the implementation of the remaining initiatives.

4.2.3.2 Assumptions

- Applications in the portfolio are identifiable and 'owned' by SBA (i.e. they can be eliminated or cost-avoided if it is determined they are redundant or obsolete).
- A Governance body (or office) exists that can devise and enforce rules going forward.
- Business processes are definable and can be mapped to IT assets.

4.2.4 High Level Implementation Plan

4.2.4.1 Work Tracks

1. Work Track 1: Application Rationalization

This track will work with business analysts to identify the existing business process and their contribution to overall results. These processes will then be mapped to supporting IT assets in the portfolio. Gaps and overlaps in coverage of business processes by automated IT systems, both enterprise systems and point solutions, will then be identified. Redundant IT systems will be eliminated and/or consolidated and gaps will be

closed by implementing the systems contained in other initiatives in the target state. As such, this initiative informs the solution selections in the other target state initiatives. A governing body will be established to guide future initiatives in selecting systems that fill gaps and do not overlap existing functionality.

4.2.5 Key Resources

1. **Project Sponsors:** OHCM executives will have to establish the value of the system and develop buy-in with other executives.
2. **Project Managers:** Resources able to manage the business and technical aspects of an implementation, as well as generate buy-in from internal and external stakeholders. Project Managers are subject to change to accommodate the technical and business complexities.
3. **Subject Matter Experts:** Technical resources from OCIO would be needed to conduct discovery of IT assets. Business analysts would be required to conduct initial business process discovery and subsequent mapping to IT assets.
4. **Executive/Managerial:** Guidance Board with authority to establish guidelines and maintain them will need to be organized. The probable location for this authority over IT assets would be OCIO.

4.2.6 Key Issues and Risks

Execution risks relevant to this initiative and their mitigation strategies are listed below.

TABLE 4: INITIATIVE #2 RISKS AND MITIGATIONS

Risks	Mitigation Strategies
There is a risk that this initiative will take too long. This could potentially lead to various initiatives selecting technologies that do not map cleanly to business process and/or duplicate existing technologies or that conflict with technologies being considered by other initiatives.	Careful project management with focus on completing the business process mapping and asset inventory tracks will keep this initiative to a quick timeline and not delay other projects.
Governance is not enforced going forward.	An office within SBA, such as OCIO, should take ownership of the IT assets and provide oversight and governance.

4.2.7 Cross Reference with Opportunities

This initiative helps realize the following opportunities in the target state.

TABLE 5: INITIATIVE #2 OPPORTUNITY MAPPINGS

#	Opportunity
49	Evaluate the HCM staffing levels in context of implemented systems

4.2.8 Cross Reference with Performance Metrics

This initiative targets the achievement of the following performance metrics.

TABLE 6: INITIATIVE #2 PERFORMANCE METRIC MAPPINGS

#	Performance Indicator
1.1.1	Percent of mission critical occupations where competency gaps have been addressed
1.1.2	Ratio of SBA employees in non-mission critical occupations trained in mission critical functions to number of mission critical occupations

*There is no direct correlation between this initiative and any performance metrics. The rationalization effort enables the other initiatives to achieve their performance milestones.

4.3 Initiative #3: Electronic Official Personnel File (e-OPF)

4.3.1 Concept Summary

4.3.1.1 Background

e-OPF is part of the Enterprise Human Resources Integration (EHRI) eGov initiative. This mandate directs the Federal Government to convert paper employee files to optically scanned digital objects contained in a data warehouse-like central repository. Included in this initiative is the elimination of paper files once they have been scanned and converted.

Within SBA, this initiative is underway and partially complete. As of June 2008, a compliance assessment conducted by the Office of Personnel Management (OPM) is ready to begin. Additionally, SBA has signed a memo of understanding (MOU) for follow-on phases, although funding is partially complete. SBA had funded \$295,000 of \$937,000 required.

4.3.1.2 Solution Description

The target state envisions e-OPF as a web-based repository of images of employment documents. The images will be organized by their function—benefits elections, personnel actions, emergency contacts, etc. Role-based access will be granted to view e-OPFs. SBA will also have to determine the best solution for hosting the system as well as acquire the hardware to support the tool.

The e-OPF will contain data in the form of document images of SF 50s, benefits elections and other HR documents that go into an OPF. As the system matures, data elements, rather than images, will be captured and stored. This data may be transferred to a data warehouse for long-term storage within an employee's profile. Data may also be transferred for payroll or benefits management.

An important aspect of this initiative to note is the pre-existence of a data warehouse-like service within the shared service center (SSC) to be used by SBA. This SSC at OPM provides many of the features described by the Data Management initiative above. In fact, the implementation of e-OPF and the utilization of the OPM-provided data warehouse may be the first step in realizing the data management initiative. An analysis should be conducted as part of that data initiative to ascertain whether or not the full Data Management initiative can be realized by utilizing these shared services. The close relationship between these two initiatives demonstrates the integrated nature of the HCM systems and the underlying HR data and the importance of realizing the goals of the Data Management initiative and the Application Rationalization work track.

4.3.2 Benefits

4.3.2.1 Financial Benefits

- Increase efficiency of recordkeeping staff.
- Reduce costs for file archiving and storage.

4.3.2.2 Qualitative Benefits

- Enable strategic decisions with more accurate HR data.
- Conversion from paper to electronic files will improve recordkeeping (fewer filing mistakes, more timely filing, etc.).
- Streamline government-wide workforce reporting and data analysis.
- Provide timely and accurate data for retirement claims processing.
- Provide electronic exchange of standardized HR data for inter- and intra-agency transfer of civilian employees.
- Enable management to report benefits and transfer HR data electronically throughout the Federal employee's lifecycle.

4.3.3 Dependencies and Assumptions

4.3.3.1 Dependencies

- Completion of this project depends on complete funding to start the implementation and scanning.
- e-OPF will not reach its full potential without the complete implementation of the data management activities (Note: there is a tight relationship between data warehousing in e-OPF and the Data Management initiative described above).

4.3.3.2 Assumptions

- Complete funding will be made available.
- SBA employees with access to e-OPF will use the system rather than the paper file.

4.3.4 High Level Implementation Plan

4.3.4.1 Work Tracks

1. Work Track 1: Planning & Assessment

- Create Exhibit 300 for implementation costs.
- Develop assessment plan and determine readiness for implementation.
- Gather and define agency-specific requirements for e-OPF.
- Evaluate data capture approach and any specific needs for future integration with other data-heavy initiatives.
- Evaluate and define back-file load process and paper elimination process.
- Establish change management process.
- Produce e-OPF Assessment Decision Report and procure OPM services.

2. Work Track 2: Implement

- Define data schemas, classifications and taxonomies (in conjunction with Data Management initiative).
- Implement scanning tools.
- Digitize paper files.
- Manage e-OPF upgrades as necessary.

3. Work Track 3: Integration

Once the initial system is stood up, the mandate will be met and functionality will exist for HCM to utilize the system. However, this system will exist as a siloed structure. As the target state matures, new opportunities will arise for integrating data across the suite of HCM tools and integrating the user interface under the self-service portal umbrella. As such, there will be a need for resources to construct integration services on an ongoing basis to achieve the full target state.

4.3.5 Key Resources

1. **Project Sponsors:** Executive leaders who can gain support for e-OPF at every level of SBA, particularly during the capital investment process.
2. **Project Managers:** Resource to manage the business and technical aspects of the assessment, the implementation and the backfile conversion. Additionally, this person will be the main liaison between the OPM teams and SBA. Project Managers are subject to change to accommodate the technical and business complexities.
3. **Development Resources:** Person(s) able to implement the tools and support systems described in this initiative.

4.3.6 Key Issues and Risks

Execution risks relevant to this initiative and their mitigation strategies are listed below.

TABLE 7: INITIATIVE #3 RISKS AND MITIGATIONS

Risks	Mitigation Strategies
OPM Assessment team determines that SBA cannot adapt to e-OPF due to organizational resistance, inconsistent data, lack of technology or unachievable metrics.	Prepare OHCM staff and internal stakeholders for assessment, including their responsibilities, as outlined in the MOU. Determine process points that may raise concerns prior to the assessment. Establish the technology that may be necessary to support transition to e-OPF. Review OPM existing requirements prior to assessment and determine how to meet them.
Hosting at SBA Headquarters data center is unavailable.	Determine alternative hosting site, considering ODA hosting environment or Denver Financial Center, as well as other Federal sites, as potential hosts.
Implementation not funded.	Develop business case for complete funding, present aggressively to governance bodies.

4.3.7 Cross Reference with Opportunities

This initiative helps realize the following opportunities in the target state.

TABLE 8: INITIATIVE #3 OPPORTUNITY MAPPINGS

#	Opportunity
41	Minimize the risk of loss, destruction and breach of Federal employee information by moving away from the paper-based records
42	Use historical, current and trend data to predict future workforce at the SBA and consequently plan its strategic budgetary, recruiting and training requirements based on the insight gained
57	The ability to efficiently report and transfer Federal employee history and benefits data within and between agencies
61	Provide the ability to electronically access employee data by employees and/or managers
69	Standardize HR data for employee actions and history

4.3.8 Cross Reference with Performance Metrics

This initiative targets the achievement of the following performance metrics.

TABLE 9: INITIATIVE #3 PERFORMANCE METRIC MAPPINGS

#	Performance Indicator
1.1.1	Percent of mission critical occupations where competency gaps have been addressed
1.1.2	Ratio of SBA employees in non-mission critical occupations trained in mission critical functions to number of mission critical occupations
1.2.1	Percent of training classes offered fulfilling IDPs
1.2.2	Percent of SBA employees with tracked and automated IDPs
1.2.3	Percent of SBA workforce participating in job-specific training
1.3.3	Percent of HR tasks initiated on-line
1.3.4	Automated transaction audit rate
1.5.1	Percent of SBA employees with performance measures and targets available for report
1.6.2	Percent of SBA employees with demographic data available for ad hoc search and query
1.6.3	Percent of SBA employees with training data available for ad hoc search and query
1.6.4	Percent of SBA employees with access to an automated personnel data for ad hoc search and query
3.1.4	Percent of positions where competency data collection has been automated

4.4 Initiative #4: Workforce Planning System (WPS)

4.4.1 Concept Summary

4.4.1.1 Background

Workforce planning conducted by OHCM today is a manual process that involves tedious gathering of disparate data into spreadsheets and performing manual analysis along with batch reporting. Conducting strategic HR planning in this manner has proved difficult.

4.4.1.2 Solution Description

This initiative will provide the analytical capability to measure and compare the current workforce with the future workforce. A WPS will allow management to model and predict future workforce needs and will enable proper matches between employee skills to job function.

Workforce management involves data aggregation and analysis, and, as such, it is dependent upon the elements described in the Data Management initiative. WPS will play a key role in OHCM's personnel development, strategic planning, budgeting, recruitment and employee training, so success will depend on establishing integration services to link it with the necessary data sources and any other applications that may share this data.

Data will be accessed through a web-based front end and later phases will make this available via the employee self-service portal. Employees with the proper roles will be given access to data and reports that can provide both visibility into existing HCM operations and future staff needs.

4.4.2 Benefits

4.4.2.1 Financial Benefits

- Reduced staffing costs based on improved recruiting.

4.4.2.2 Qualitative Benefits

- Ability to easily forecast future HCM needs.
- Ability to easily model different scenarios, based on varied inputs.
- Clear visibility into existing staff needs and the links between them.

4.4.3 Dependencies and Assumptions

4.4.3.1 Dependencies

- The WPS implementation depends on some level of completion of the Data Management initiative. While the entire data initiative will not need to be completed in order to begin this one, fully robust functionality and tight integration with other components will require the warehouse to be complete, the various data sources integrated and the appropriate tools in place for reporting and analysis.
- Dependencies may exist on Learning Management, e-OPF and others in later phases of data integration. For example, Workforce Planning may inform or depend upon elements of Learning Management. Integration services will need to be developed to link the data elements of these two systems together in order to share data. In this way, a dependency exists.
- SBA will look first to the WPS solution provided under the shared services model.
- Completion of the portal infrastructure will be required prior to integrating WPS with that system.
- Incomplete funding can stop the WPS implementation.

4.4.3.2 Assumptions

- Available data elements will inform strategic planning.
- SBA and external (i.e. Census, NFC or other agencies) systems can sufficiently integrate to support WPS.

4.4.4 High Level Implementation Plan

4.4.4.1 Work Tracks

1. Current Activities
 - Planning is underway. An Exhibit 53 was submitted in 2008.
2. Work Track 1: Planning
 - Concept definition and obtain funding for planning activities.
 - Develop business case.

- Gather requirements for WPS system, including data integration points.
 - Develop detailed project plan.
 - Determine which SBA employees should be given access.
3. Work Track 2: Implement
- System implementation.
 - Train employees with WPS access.
 - Monitor performance and alter course as necessary.
4. Work Track 3: Integration
- As the target state is implemented and matures, points of interface will be developed to knit the data elements of this system to other systems so that they may share relevant information with each other and with the data warehouse. Additionally, as the portal infrastructure is implemented, services will need to be developed to integrate this system under that umbrella of common user interface and access control.

4.4.5 Key Resources

1. **Project Sponsors:** An OHCM leader who can represent the vision for this system and how it will support Agency-wide operations and SBA's governance bodies.
2. **Project Managers:** Resources from the OHCM staff who can implement the business and technology components of this project, in the most effective sequence. Project Managers are subject to change to accommodate the technical and business complexities.
3. **Developers:** Resources with the technical knowledge to build the proper data interfaces and system interfaces as the target state matures.

4.4.6 Key Issues and Risks

Execution risks relevant to this initiative and their mitigation strategies are listed below.

TABLE 10: INITIATIVE #4 RISKS AND MITIGATIONS

Risks	Mitigation Strategies
EHRI systems prove inflexible and difficult to use.	Pilot the use of systems for particular programs before deploying agency-wide to determine pain-points.
EHRI systems do not meet the specific needs of the SBA.	Design and validate process changes prior to implementation, perhaps leveraging the experience of other federal agencies.
Inadequate funding leads to ineffective or incomplete implementations.	Develop contingency plan for deployment in non-integrated fashion. Determine what other options exist to promote harmony between systems if direct integration is not possible.
Integration of EHRI systems with other SBA systems proves challenging.	Do not move forward with new systems if positive benefits require full system integration and risks of full system integration cannot be mitigated.

4.4.7 Cross Reference with Opportunities

This initiative helps realize the following opportunities in the target state.

TABLE 11: INITIATIVE #4 OPPORTUNITY MAPPINGS

#	Opportunity
1	Automate personnel actions throughout the employee HR lifecycle
23	Create trend data to monitor the employees' competencies and performances throughout their careers and establish reward targets
32	Embrace and integrate with e-Gov systems for personnel management
42	Use historical, current and trend data to predict future workforce at the SBA and consequently plan its strategic budgetary, recruiting and training requirements based on the insight gained
43	The ability to conduct analysis of current workforce information, create required reports and implement strategic human capital planning
54	Enable tracking of status of benefits changes
61	Provide the ability to electronically access employee data by employees and/or managers

4.4.8 Cross Reference with Performance Metrics

This initiative targets the achievement of the following performance metrics.

TABLE 12: INITIATIVE #4 PERFORMANCE METRIC MAPPINGS

#	Performance Indicator
1.1.1	Percent of mission critical occupations where competency gaps have been addressed
1.1.2	Ratio of SBA employees in non-mission critical occupations trained in mission critical functions to number of mission critical occupations
1.2.1	Percent of training classes offered fulfilling IDPs
1.2.2	Percent of SBA employees with tracked and automated IDPs
1.2.3	Percent of SBA workforce participating in job-specific training
1.3.3	Percent of HR tasks initiated on-line
1.3.4	Automated transaction audit rate
1.5.1	Percent of SBA employees with performance measures and targets available for report
1.6.2	Percent of SBA employees with demographic data available for ad hoc search and query
1.6.3	Percent of SBA employees with training data available for ad hoc search and query
1.6.4	Percent of SBA employees with access to an automated personnel data for ad hoc search and query
3.1.4	Percent of positions where competency data collection has been automated

4.5 Initiative #5: Learning Management System

4.5.1 Concept Summary

4.5.1.1 Background

This initiative outlines the system SBA will use to manage employee training and OPM training reporting requirements. This initiative also fulfills Federal electronic training (e-training) requirements, as part of the e-Gov initiatives tied to the PMA. The initiative also includes the monthly delivery of training data feeds to OPM. OHCM has been considering a shared service agreement with OPM to provide the online training and learning management as well as necessary compliance with EHRI. A Learning Management System (LMS) will use a shared service provider, and integration with SBA's data management systems would be crucial. The mandated EHRI training data feed to OPM will continue, although it may be automated further.

4.5.1.2 Solution Description

LMS, in the target state, utilizes data established and maintained by the Data Management initiatives described in section 4.1. As such, it interacts with this data via the data abstraction layer and exchanges data with the appropriate applications (performance management, workforce planning, etc) via these custom services.

The LMS is envisioned as a web-based application with authentication/authorization and auditing provisioned via the self-service portal. The portal will provide single sign-on, single point of entry to the system while the data services provide integration with the data back end. The LMS will capture and store data about employee's training needs according to his or her position, and the classes available, and the status of each employee's progress toward fulfilling the position's requirements. The LMS will transfer that data to the data warehouse, where it will be added to the employee's profile.

4.5.2 Benefits

4.5.2.1 Financial Benefits

- Achieve economies of scale by consolidating Agency training.
- Decrease costs by utilizing online training to the fullest extent possible.

4.5.2.2 Qualitative Benefits

- Training readily available and easily accessible to SBA employees.
- Training options can be tailored to SBA mission.
- Specific training courses can be presented to individuals based on their needs.
- Training data can be easily linked to performance metrics.
- Training data can be efficiently collected and delivered to regulatory agencies.

4.5.3 Dependencies and Assumptions

4.5.3.1 Dependencies

- Complete deployment of LMS initiative depends on deployment of the Data Management initiative.

- Lack of funding could derail LMS project at any point.
- SBA's first choice would be the LMS provided under the HR LoB.

4.5.3.2 Assumptions

- Data elements from LMS will inform other systems, such as the Workforce Planning System.
- The LMS will interface with other systems.
- SBA employees will participate in online learning.

4.5.4 High Level Implementation Plan

4.5.4.1 Work Tracks

1. Work Track 1: Planning

- Concept definition and obtain funding for planning activities.
- Develop plan to expand the e-Learning to include data activities.
- Develop Exhibit 300, if necessary, to request funding for Data Management initiative.

2. Work Track 2: Implementation

- Gather the requirements for data interface(s).
- Expand e-Learning capabilities.
- Train SBA employees on the value and operation of the LMS.
- Initiate data management activities (ongoing as LMS matures.)
- Measure results and adapt if necessary.

3. Work Track 3: Integration

As the target state is implemented and matures, points of interface will be developed to knit the data elements of this system to other systems so that they may share relevant information with each other and with the data warehouse. Additionally, as the portal infrastructure is implemented, services will need to be developed to integrate this system under that umbrella of common user interface and access control.

4.5.5 Key Resources

1. **Project Sponsors:** An executive from OHCM who can engage other SBA executives and explain the value of a LMS.
2. **Subject Matter Experts (SMEs):** Resources who can guide training development. The individual or group chosen may depend on the educational topic.
3. **Project Managers:** Resources who can manage the business and technical implementation of an LMS system, as well as serve as a liaison between the SME's and the vendor. Project Managers are subject to change to accommodate the technical and business complexities.
4. **Developers:** Resources with the technical knowledge to develop the system based on the specification.
5. **OPM Contact:** A project manager at OPM who can validate requirements and solutions.

4.5.6 Key Issues and Risks

Execution risks relevant to this initiative and their mitigation strategies are listed below.

TABLE 13: INITIATIVE #5 RISKS AND MITIGATIONS

Risks	Mitigation Strategies
Inadequate funding leads to ineffective or incomplete implementations.	Prepare business cases to emphasize need for complete funding.
OPM discontinues learning vendors.	Develop system requirements that include as much data flexibility as possible.

4.5.7 Cross Reference with Opportunities

This initiative helps realize the following opportunities in the target state.

TABLE 14: INITIATIVE #5 OPPORTUNITY MAPPINGS

#	Opportunity
15	Track mandated training courses
18	Introduce e-Learning as a user-friendly, error-free, and cost- and time-effective one-stop shop to high quality courses for SBA employees
19	The ability to utilize existing process and technology components within the Federal domain to offer relevant online courses that have already been developed
22	Enable employees to develop competency development plans and managers to identify skills gaps that need to be addressed
23	Create trend data to monitor the employees' competencies and performances throughout their careers and establish reward targets
24	The ability to train supervisors and employees at SBA to create career objectives and IDPs
25	Increase emphasis development of team skills
26	Increase emphasis development of team skills
32	Embrace and integrate with e-Gov systems for personnel management
62	Provide agency-wide education on proper completion of forms
63	Provide education on an agency-wide basis to train employees to use self-service
64	Provide education on proper benefits management record keeping
65	Implement standardized IT systems, training

4.5.8 Cross Reference with Performance Metrics

This initiative targets the achievement of the following performance metrics.

TABLE 15: INITIATIVE #5 PERFORMANCE METRIC MAPPINGS

#	Performance Indicator
1.1.1	Percent of mission critical occupations where competency gaps have been addressed
1.1.2	Ratio of SBA employees in non-mission critical occupations trained in mission critical functions to number of mission critical occupations
1.2.1	Percent of training classes offered fulfilling IDPs
1.2.2	Percent of SBA employees with tracked and automated IDPs
1.2.3	Percent of SBA workforce participating in job-specific training
1.3.3	Percent of HR tasks initiated on-line
1.3.4	Automated transaction audit rate
1.5.1	Percent of SBA employees with performance measures and targets available for report
1.6.3	Percent of SBA employees with training data available for ad hoc search and query
1.6.4	Percent of SBA employees with access to an automated personnel data for ad hoc search and query (training data only)
3.1.4	Percent of positions where competency data collection has been automated
4.1.1	Percent training dollars spent to total payroll

4.6 Initiative #6: Personnel Action Request (PAR) Processing

4.6.1 Concept Summary

4.6.1.1 Background

SBA currently processes PARs to initiate and document many personnel actions, with a hybrid of manual and electronic efforts. Most efforts within the Agency are manual, with data entry and automation occurring after the request has been approved. This initiative consists of adoption of a system to automate PAR processes and gathering PAR data. The system will give SBA managers the ability to automatically initiate, track and finalize PARs. This activity is currently a manual process, with little visibility into the actions or the data. The target state will provide both.

4.6.1.2 Solution Description

SBA will use a PAR system from the Standard Form 52 (SF 52) initiation through the final approval for the action. A manager or supervisor will access the form on the employee portal and electronically complete it. The system will also support the approval workflow based on roles assigned to specific positions.

The PAR system will capture the request data on the SF 52, as well as the approval data. This information will be shared with the personnel and payroll system and NFC.

4.6.2 Benefits

4.6.2.1 Financial Benefits

- Lessened cost per PAR as the process is automated.
- Reduced costs within OHCM as managers initiate SF 52s and track their status.

4.6.2.2 Qualitative Benefits

- Visibility of PAR status throughout the process.
- Clearer roles and responsibilities for all stakeholders.
- Automated process will allow for more quality assurance audits.
- Reduce manual filing when used in conjunction with e-OPF.

4.6.3 Dependencies and Assumptions

4.6.3.1 Dependencies

- Full functionality of a PAR system requires completion of the Data Management initiative.

4.6.3.2 Assumptions

- SBA managers will use an automated system.

4.6.4 High Level Implementation Plan

4.6.4.1 Work Tracks

1. Work Track 1: Planning

- Develop business case and project plan for implementation.

2. Work Track 2: Implementation

- Define business and technical requirements for system (solution architecture).
- Review implementations from other agencies.
- Deploy system.
- Train users.
- Evaluate performance metrics and adapt as necessary.

3. Work Track 3: Integration

As the target state is implemented and matures, points of interface will be developed to knit the data elements of this system to other systems so that they may share relevant information with each other and with the data warehouse. Additionally, as the portal infrastructure is implemented, services will need to be developed to integrate this system under that umbrella of common user interface and access control.

4.6.5 Key Resources

1. **Project Sponsors:** An OHCM executive or director who can help other executives understand the cost saving and value associated with a PAR system.
2. **Project Managers:** A resource with the ability to manage the business and technical implications of the PAR implementation. Project Managers are subject to change to accommodate the technical and business complexities.
3. **Developers:** Resources with the technical knowledge to develop the system based on the specification.

4.6.6 Key Issues and Risks

Execution risks relevant to this initiative and their mitigation strategies are listed below.

TABLE 16: INITIATIVE #6 RISKS AND MITIGATIONS

Risks	Mitigation Strategies
SBA managers will not participate in the PAR system.	Develop brief guidance for SBA managers to show them the value of a PAR system.
Inability to integrate data with other systems.	Develop requirements for data integration and review the activities of other agencies to mitigate data issues.

4.6.7 Cross Reference with Opportunities

This initiative helps realize the following opportunities in the target state.

TABLE 17: INITIATIVE #6 OPPORTUNITY MAPPINGS

#	Opportunity
1	Automate personnel actions throughout the employee HR lifecycle
3	Automate error-checking and validation
32	Embrace and integrate with e-Gov systems for personnel management
41	Minimize the risk of loss, destruction and breach of Federal employee information by moving away from the paper-based records
54	Enable tracking of status of benefits changes
57	The ability to efficiently report and transfer Federal employee history and benefits data within and between agencies
61	Provide the ability to electronically access employee data by employees and/or managers
69	Standardize HR data for employee actions and history

4.6.8 Cross Reference with Performance Metrics

This initiative targets the achievement of the following performance metrics.

TABLE 18: INITIATIVE #6 PERFORMANCE METRIC MAPPINGS

#	Performance Indicator
1.3.3	Percent of HR tasks initiated on-line
1.3.4	Automated transaction audit rate
1.5.1	Percent of SBA employees with performance measures and targets available for report
1.6.2	Percent of SBA employees with demographic data available for ad hoc search and query
1.6.4	Percent of SBA employees with access to an automated personnel data for ad hoc search and query

4.7 Initiative #7: E-Clearance

4.7.1 Concept Summary

4.7.1.1 Background

SBA currently participates in one component of the e-Clearance initiative, the Clearance Verification System (CVS), and must begin to use the other, the electronic Questionnaire for Investigations Processing (e-QIP). The two web-based systems complement one another's functionality; the CVS system provides government-wide access to security investigations and clearance records while e-QIP automates the collection of data on the Standard Form 86. SBA Office of the Inspector General (OIG) currently uses paper forms to collect data and conducts their own investigations. The use of e-QIP, in conjunction with CVS, will streamline investigations and avoid duplicate investigations.

4.7.1.2 Solution Description

SBA will use e-QIP to automate the data collection process as new hires and contractors are granted access to various SBA locations and systems. The OIG contact will request a user name and log-in for anyone needing clearance, and that individual will enter his or her own information in the system, giving OIG the ability to analyze the data, rather than collect it.

The data in the e-QIP and CVS systems are unlikely to be exchanged, as the privacy and security concerns prohibit the transfer of data out of either system.

4.7.2 Benefits

4.7.2.1 Financial Benefits

- Lessened cost per investigation as individuals take responsibility for their own data entry.
- Reduced costs associated with tracking paper forms throughout the Agency.

4.7.2.2 Qualitative Benefits

- Improved accuracy of data as individuals are prohibited from entering certain inaccurate data.

- Streamlined investigations.

4.7.3 Dependencies and Assumptions

4.7.3.1 Dependencies

- None, as the e-Clearance systems do not interact with any other systems.

4.7.3.2 Assumptions

- Those being investigated will use an electronic data collection system.
- Data management activities will not affect the deployment or use of e-QIP or CVS.

4.7.4 High Level Implementation Plan

4.7.4.1 Work Tracks

1. Current Activities

- Implementation is underway, All Portal and e-QIP accounts established for authorized users.

2. Work Track 1: Implement

- Gain access to the e-QIP system for SBA's authorized users.
- Train authorized users to assist perspective employees and contractors with clearances required for employment and/or access.

4.7.5 Key Resources

1. **Project Sponsors:** An OHCM executive or director who can help other executives understand the cost saving and value associated with e-Clearance.
2. **Project Manager:** An OHCM resource member who can manage the launch and implementation of e-QIP.

4.7.6 Key Issues and Risks

Execution risks relevant to this initiative and their mitigation strategies are listed below.

TABLE 19: INITIATIVE #7 RISKS AND MITIGATIONS

Risks	Mitigation Strategies
Those being investigated may be reluctant to participate and employment or access may be denied.	HR Specialists and authorized users will reinforce security and privacy safeguards.

4.7.7 Cross Reference with Opportunities

This initiative helps realize the following opportunities in the target state.

TABLE 20: INITIATIVE #7 OPPORTUNITY MAPPINGS

#	Opportunity
4	Automate data collection including login information generation for the clearance process
20	The ability to train SBA personnel on the usage and benefits of the automated E-Clearance processes
29	Reduce duplicate background checks
30	Align with private sector expectations for background checks
39	The ability to achieve EHRI performance targets of accurate investigation submissions
40	The ability to achieve agency goal of allowing all Federal agencies access to SBA's investigations
70	Establish requirements for digital clearance information

4.7.8 Cross Reference with Performance Metrics

This initiative targets the achievement of the following performance metrics.

TABLE 21: INITIATIVE #7 PERFORMANCE METRIC MAPPINGS

#	Performance Indicator
1.3.3	Percent of HR tasks (investigations) initiated on-line
1.6.2	Percent of SBA employees with demographic data available for ad hoc search and query
1.6.3	Percent of SBA employees with training data available for ad hoc search and query
1.6.4	Percent of SBA employees with access to an automated personnel data for ad hoc search and query

4.8 Initiative #8: Workers' Compensation Case Management and Safety Incident Reporting System (WCCM/SIRS)

4.8.1 Concept Summary

4.8.1.1 Background

SBA is required by Federal regulation to collect, maintain, and report to the Department of Labor (DOL) on data related to occupational injuries and illnesses, safety incidents, and Workers Compensation claims. Currently, the SBA is unable to meet all of the established requirements, because of data challenges, laborious manual processes, and lack of tools and support. SBA requires an up-to-date, electronic data management system to enable the agency's safety and health program to provide timely and efficient handling of workers' compensation claims from initial reporting, to investigation and final determination.

WCCM/SIRS is a proposed solution for capturing and tracking occupational and non-occupational injuries and illnesses. The system will also track short and long-term disability,

return to work activities and ongoing workers' compensation statistics. By tracking and reporting on safety incidents, the goal is to reduce them overall.

An OMB Exhibit 53 from 2008 proposed a specific COTS package.

4.8.1.2 Solution Description

WCCM/SIRS is a proposed solution for an electronic data management and case management system that is capable of providing timely and accurate capture of workers' compensation and safety and health data across the SBA, enabling real-time analysis, reporting, and effective decision-making.

Any solution for this HR functional area will involve several integration points. Any package will need to interact with data sources and other applications that may need to publish to or consume data from this safety system. Additionally, this system will need to interact with components hosted and owned outside the agency, including those at DOL

The target state envisions that whatever solution is selected, the interface will be web-based and access will be controlled via the employee portal. Workers' compensation data will be captured and stored within WCCM/SIRS and transferred out as necessary to DOL or payroll.

4.8.2 Benefits

4.8.2.1 Financial Benefits

- The SBA currently pays over \$2.5 million in workers' compensation claims annually, and the trend is increasing. It is estimated, based on results at other agencies, that SBA could reduce cases by 35%-40%, or \$875,000 or more annually.
- Reductions come from:
 - Fraud reductions of 25-30%.
 - Proactive prevention of most common illnesses and injuries.
 - Faster return to duty due to faster claim review.

4.8.2.2 Qualitative Benefits

- The ability to comply with federal regulation and provide timely reporting.
- Proactive rather than reactive treatment of worker safety and health issues.
- Better corrective actions.
- Better training.
- Reduced claims processing time.
- Faster return to duty.
- Statistical analysis, trend analysis.

4.8.3 Dependencies and Assumptions

4.8.3.1 Dependencies

- Data Standardization: once data standards have been initially defined and application rationalization is complete, the safety and health solution should be revisited to ensure it is fully integrated.

- Data Warehouse: once the data warehouse is defined, safety and health information can be pulled into it to facilitate trend analysis and system integration.
- Data Integration: standards for data service integration should be applied to the interfaces between this system and others (e.g. payroll, e-OPF).

4.8.3.2 Assumptions

- Any selected solution will have the necessary interoperability with the DOL systems and any other required government systems.
- Any selected solution will rely on shared services/HRLOB solutions where they exist.

4.8.4 High Level Implementation Plan

4.8.4.1 Work Tracks

1. Current Activities:

Planning is already underway. An Exhibit 53 was submitted in FY 2008.

2. Work Track 1: Acquisition

3. Work Track 2: Implementation

- Requirements definition and system configuration.
- Testing.
- Training.

4. Work Track 3: Integration

- Address data standardization implications.
- Data warehouse integration.
- Data services integration: utilize practices adopted in Data Services to update as necessary any interfaces for employee data and personnel actions.

4.8.5 Key Resources

1. **Project Sponsor:** An OHCM executive or director who can help other executives understand the cost saving and value associated with WCCM/SIRS.
2. **Subject Matter Experts:** OHCM resources expert in the process, requirements, and regulations around workers compensation and health and safety issues.
3. **Project Managers:** An OHCM resource responsible for the overall program execution, including schedule, quality, and budget. Project Managers are subject to change to accommodate the technical and business complexities.
4. **Developers:** Resources with the technical knowledge to develop the system based on the specification.

4.8.6 Key Issues and Risks

Execution risks relevant to this initiative and their mitigation strategies are listed below.

TABLE 22: INITIATIVE #8 RISKS AND MITIGATIONS

Risks	Mitigation Strategies
If a solution is selected and implemented without regard for data standardization or integration with other HR systems, it will quickly become stove-piped, isolated, and out of synch.	Ensure solution architecture accounts for data standardization and integration with other systems. Negotiate with vendor for rights to database and data schema.
Any COTS solution has the risk of requiring customization, especially for integration with other systems.	Minimize customization; adjust processes to accommodate system functionality.

4.8.7 Cross Reference with Opportunities

This initiative helps realize the following opportunities in the target state.

TABLE 23: INITIATIVE #8 OPPORTUNITY MAPPINGS

#	Opportunity
7	Automate submission and management of safety incident reports
8	Automate SBA employees submission and tracking of workers' comp claims
9	Automate SBA's reporting and management of workers' comp claims
10	Automate submission of claims to DOL
31	Decrease workload/FTE cost placed on OHCM
44	Reduce workers' compensation claims
45	Access to real-time safety and health data and allow analytic capabilities to introduce policies that help diminish work related injuries
55	Enhance capability to report and track claims that have been submitted to DOL
56	Enable stakeholders at SBA to monitor ongoing workers' claims for potential fraud
59	The ability to efficiently create relevant OSHA reports for and minimize the risk of missing key submission dates

4.8.8 Cross Reference with Performance Metrics

This initiative targets the achievement of the following performance metrics.

TABLE 24: INITIATIVE #8 PERFORMANCE METRIC MAPPINGS

#	Performance Indicator
1.3.2	Workers' compensation costs, year to year, Chargeback
1.3.3	Percent of HR tasks (workers' compensation claims) initiated on-line

4.9 Initiative #9: Time and Attendance (T&A)

4.9.1 Concept Summary

4.9.1.1 Background

T&A is currently entered manually via timekeepers who commit the paper timecards to the web-based STAR system hosted at NFC. This manual process causes supervisors to sign timecards twice, once to approve the specific time card and once to approve electronic transmission. Additionally, the current manual system complicates leave authorization, as supervisors often do not have the time to review paper records to check leave balances. The future state process will automate the approval process and leave authorization, as well as provide self-service time entry for employees.

A pilot program is currently underway at SBA to test the STAR system to serve as an employee self-service application. SBA already pays NFC for the use of STAR, and it will likely be the future-state system.

4.9.1.2 Solution Description

The target state envisions a time and attendance system that is web-based and integrated with the appropriate data back-ends via the data integration services. This system will share and exchange data with relevant systems via these specially written services.

Users, individual employees, will manage their time via this system rather than via paper timecards. The system will be accessed via the self-service portal interface and has all of the auditing, authentication and role-based security provided by that platform. It will capture data related to time on the job, leave requests and other attendance information. This data will be transferred to the employee's profile in the data warehouse and shared with the payroll system.

4.9.2 Benefits

4.9.2.1 Financial Benefits

- Reduced costs associated with time keeping as process is automated.
- Reduced costs associated with time-keeping errors due to automation.

4.9.2.2 Qualitative Benefits

- Improved on-time submission of timecards.
- Leave deficits avoided.
- Payroll cycles less demanding on staff.
- Time and attendance data easily available for evaluation and forecasting.

4.9.3 Dependencies and Assumptions

4.9.3.1 Dependencies

- This initiative depends on data integration for all T&A data points with enterprise-wide systems.

4.9.3.2 Assumptions

- SBA employees can be compelled to use a self-service application.
- Data can be integrated between the T&A systems and other HCM systems.
- STAR is the most likely solution.

4.9.4 High Level Implementation Plan

4.9.4.1 Work Tracks

1. Work Track 1: Planning

- Launch pilot of self-service option(ongoing).
- Evaluate pilot results, adapt Agency-wide plan as necessary.
- Develop a communications plan to explain operations and value of system.

2. Work Track 2: Implementation

- Train SBA employees on their roles and responsibilities.
- Launch Agency-wide T&A application.
- Evaluate performance and determine alternatives, if necessary.

3. Work Track 3: Integration

As the target state is implemented and matures, points of interface will be developed to knit the data elements of this system to other systems so that they may share relevant information with each other and with the data warehouse. Additionally, as the portal infrastructure is implemented, services will need to be developed to integrate this system under that umbrella of common user interface and access control.

4.9.5 Key Resources

1. **Project Sponsors:** OHCM executives who can lead other executives to participation in the new T&A system. The project sponsor will also play a role in change management, as SBA employees may hesitate to use a self-service system.
2. **Project Managers:** An OHCM staff member who can manage the business and technical aspects of the pilot and the eventual Agency-wide STAR rollout. This person will also be the primary liaison between SBA and NFC. Project Managers are subject to change to accommodate the technical and business complexities.
3. **SBA Employees:** All SBA will play a role in the successful implementation of a self-service T&A application, as they will have to participate in the process. All SBA will enter their time online, and supervisors will electronically approve timesheets and leave requests.
4. **Developers:** Resources with the technical knowledge to develop the system based on the specification.

4.9.6 Key Issues and Risks

Execution risks relevant to this initiative and their mitigation strategies are listed below.

TABLE 25: INITIATIVE #9 RISKS AND MITIGATIONS

Risks	Mitigation Strategies
SBA employees will refuse to use self-service timekeeping system.	Develop communication and training plans that clearly define the operations and value of self-service.
Data integration will not be possible.	Include data standardization and integration efforts in requirements gathering, and review integration efforts from other agencies to establish a plan to overcome data inconsistencies.

4.9.7 Cross Reference with Opportunities

This initiative helps realize the following opportunities in the target state.

TABLE 26: INITIATIVE #9 OPPORTUNITY MAPPINGS

#	Opportunity
2	Automate timecard workflow
3	Automate error-checking and timecard validation
17	Provide education for employees on proper completion of timecards

4.9.8 Cross Reference with Performance Metrics

This initiative targets the achievement of the following performance metrics.

TABLE 27: INITIATIVE #9 PERFORMANCE METRIC MAPPINGS

#	Performance Indicator
1.3.1	Completed automated time and attendance submissions
1.3.3	Percent of HR tasks initiated on-line
1.3.4	Automated transaction audit rate

4.10 Initiative #10: Labor Relations/Employee Relations Management

4.10.1 Concept Summary

4.10.1.1 Background

Currently, SBA maintains a hybrid of MS Excel and paper process for LR/ER issues. The paper process makes information access difficult and poses a potential privacy and security risks. A LR/ER system will be deployed in FY 2009 and it will provide case processing monitoring and workload distribution. This initiative is to first complete the deployment of the LR/ER system and then to fully integrate LR/ER into the target state HCM environment.

4.10.1.2 Solution Description

The initiative will include deployment of the existing system. The system will only be used by LR/ER office for case management. The case management data within the LR/ER system will not be exchanged with any other application or data warehouse.

The future-state interface to this system will again be provided by the employee self-service portal, based on an employee's roles and responsibilities.

4.10.2 Benefits

4.10.2.1 Financial Benefits

- Reduced SBA staff costs associated with managing LR/ER issues due to automation of process.
- Reduced legal costs due to easier overall management of LR/ER issues.

4.10.2.2 Qualitative Benefits

- Streamlined access to LR/ER data via electronic storage/retrieval.
- Reduced likelihood of PII release.
- Ability to uncover LR/ER trends, useful for taking steps to stem future LR/ER issues.

4.10.3 Dependencies and Assumptions

4.10.3.1 Dependencies

- Complete functionality of the LR/ER system depends on the completion of the data management activities.

4.10.3.2 Assumptions

- Investments used to complete the current LR/ER implementation will produce positive value.
- The LR/ER system case management data will not be interfaced with any other application or data warehouse.

4.10.4 High Level Implementation Plan

4.10.4.1 Work Tracks

1. Work Track 1: Implement

- Complete LR/ER deployment.
- Load historical data.
- Implement the system for current operations.

2. Work Track 2: Integration

As the portal infrastructure is implemented, services may needed to integrate this system under an umbrella of common user interface and access control.

4.10.5 Key Resources

1. **Project Sponsors:** an OCHM executive who can show the value of an investment in a LR/ER system to SBA.

2. **Project Managers:** HCM staff member with the ability to launch the new system as well as manage the business implications of a new LR/ER case processing system. Project Managers are subject to change to accommodate the technical and business complexities.
3. **SBA Subject Matter Experts:** SBA staff familiar with LR/ER business process who can define the requirements of the system
4. **Developers:** Resources with the technical knowledge to develop the system based on the specification.

4.10.6 Key Issues and Risks

Execution risks relevant to this initiative and their mitigation strategies are listed below.

TABLE 28: INITIATIVE #10 RISKS AND MITIGATIONS

Risks	Mitigation Strategies
Electronic tracking of LR/ER issue handling may make more information available in legal disputes.	Improved training for handling LR/ER issues, and implementation of workflow and reminder features in any LR/ER system can help promote optimal issue handling.
The current LR / ER system may not meet the data standardization needs of the SBA.	Establish data interface points and requirements of LR/ER system, and determine as early as possible if integration is possible, and develop a back-up plan to support LR/ER processes.

4.10.7 Cross Reference with Opportunities

This initiative helps realize the following opportunities in the target state.

TABLE 29: INITIATIVE #10 OPPORTUNITY MAPPINGS

#	Opportunity
14	Track ER grievances throughout lifecycle
46	Introduce LR/ER system to maintain complete current and historic electronic records of employee and labor relations, and realize the value of the already invested \$70,000
54	Enable tracking of status of benefits changes

4.10.8 Cross Reference with Performance Metrics

This initiative targets the achievement of the following performance metrics.

TABLE 30: INITIATIVE #10 PERFORMANCE METRIC MAPPINGS

#	Performance Indicator
1.4.1	Percent of overage grievance cases
1.4.2	Percent of dispute resolution at the lowest management level

4.11 Initiative #11: Performance Management

4.11.1 Concept Summary

4.11.1.1 Background

SBA is currently deploying GoalOwner to function as the performance management system. This deployment will help SBA move away from a manual, paper process for performance management toward an IT system to automate the process.

A pilot of the GoalOwner system was completed in FY 2008 for defining goals, monitoring their achievement, and reporting end results. The performance management initiative was deployed and the full Agency-wide roll-out of this system occurred in October 2008.

4.11.1.2 Solution Description

An important aspect of the successful implementation of this initiative is the ability to integrate the front-end IT system with needed data elements. Additionally, interactions with other HR systems will be necessary. The Performance Management System will likely need to interact with payroll for the granting of bonuses.

This system is envisioned as being a web-based application that is fronted and accessed via the employee self-service portal.

4.11.2 Benefits

4.11.2.1 Financial Benefits

- Improved handling of performance management resulting in fewer FTEs devoted to the process.

4.11.2.2 Qualitative Benefits

- Electronic storage and retrieval of performance data, simplifying access and reducing chance of PII release.
- Better ability to tie individual and agency performance together, yielding better agency business results.
- Improving process for performance awards, including automated delivery through the data management activities.
- Turnkey compliance with e-Gov requirements.

4.11.3 Dependencies and Assumptions

4.11.3.1 Dependencies

- Complete functionality, post-deployment, will depend on completion of the Data Management initiative.

4.11.3.2 Assumptions

- Since GoalOwner is a major IT system used in a number of different agencies, it is likely that no major integration issues will crop up as a result of performing the data standards initiative.
- Data management activities may have to be revisited following full deployment of data layer.

4.11.4 High Level Implementation Plan

4.11.4.1 Work Tracks

1. Current Activities

- Launched GoalOwner pilot, including training the participants and evaluate the outcome.
- Adapted GoalOwner as necessary.
- Trained SBA employees on their roles and responsibilities, as well as operations, of GoalOwner.
- Launched GoalOwner agency-wide.

2. Work Track 1: Evaluate

- Evaluate performance and adapt as necessary.

3. Work Track 2: Integration

As the target state is implemented and matures, points of interface will be developed to knit the data elements of this system to other systems so that they may share relevant information with each other and with the data warehouse. Additionally, as the portal infrastructure is implemented, services will need to be developed to integrate this system under that umbrella of common user interface and access control.

4.11.5 Key Resources

1. **Project Sponsors:** An OHCM executive or director who can build the business case for GoalOwner throughout the Agency.
2. **Project Managers:** An OHCM staff member who can build a new performance management process with the technological support of GoalOwner. The manager may also liaison with union as the process changes. Project Managers are subject to change to accommodate the technical and business complexities.
3. **Developers:** Resources with the technical knowledge to develop the system based on the specification.

4.11.6 Key Issues and Risks

Execution risks relevant to this initiative and their mitigation strategies are listed below.

TABLE 31: INITIATIVE #11 RISKS AND MITIGATIONS

Risks	Mitigation Strategies
Change in Agency goals could generate significant changes to performance plans.	Develop requirements that accommodate Agency-wide changes and the flexibility to respond.

4.11.7 Cross Reference with Opportunities

This initiative helps realize the following opportunities in the target state.

TABLE 32: INITIATIVE #11 OPPORTUNITY MAPPINGS

#	Opportunity
11	Introduce an automated performance management system to create accountability in employee performance
21	The ability to inculcate a performance-driven culture at the SBA while tying in employee and agency goals
32	Embrace and integrate with e-Gov systems for personnel management
53	Develop results-based performance management systems
58	The ability to obtain relevant data automatically and develop and distribute electronic employee performance reports accurately and efficiently

4.11.8 Cross Reference with Performance Metrics

This initiative targets the achievement of the following performance metrics.

TABLE 33: INITIATIVE #11 PERFORMANCE METRIC MAPPINGS

#	Performance Indicator
1.5.1	Percent of SBA employees with performance commitments available for report

4.12 Initiative #12: Self-Service Portal

4.12.1 Concept Summary

4.12.1.1 Background

There is a system called the Employee Personal Page that is hosted at NFC and provides a web page with links to various HR systems that an employee might possibly use. It is available to all of the agencies utilizing NFC systems and is utilized by SBA, however not every agency uses each application linked from the main page. Each link will prompt the end-user to log into the system being accessed. As such, the user must have login information for each of these disparate systems.

The STAR time and attendance system also provides some elements of self-service that are being piloted at SBA.

4.12.1.2 Solution Description

The target state envisions an enterprise portal platform that combines a web-based interface to every back-end application used by employees with role-based authentication and authorization systems and user management components. The portal would be flexible enough to

1. Provide support for small custom written applications.
2. Integrate access to other web applications.
3. Couple with applications such as STAR that may meet all current requirements.

The vision is for a single sign-on mechanism to provide a common look and feel web experience for the end user. Devolving management of common HR functions to the employees is an efficiency gain. The true realization of value is in the flexibility realized by the layering of the enterprise suite into discrete blocks that service data, integration, business logic and front-end presentation services.

4.12.2 Benefits

4.12.2.1 Financial Benefits

- Full-Time Equivalents (FTEs) can be reclassified away from administrative support functions.

4.12.2.2 Qualitative Benefits

- Single sign-on to HR systems.
- Employee initiation, management and ownership of HR tasks.
- Faster turnaround in HR processes.
- Reduced chance for error.

4.12.3 Dependencies and Assumptions

4.12.3.1 Dependencies

- Architecture of the portal framework is dependent on the application rationalization initiative.
- Each phase of the initiative is dependent on the one prior to it.
- Ongoing integration of other services into the framework is dependent on the implementation of other initiatives.

4.12.3.2 Assumptions

- Applications obtained or implemented by other initiatives are capable of having the front-end integrated into a portal structure.
- Other initiatives are guided by industry standards, the SBA EA Blueprint and best practices when selecting IT assets.
- Governance arising from the application rationalization initiative is able to enforce the utilization of the portal and associated security systems.

4.12.4 High Level Implementation Plan

4.12.4.1 Work Tracks

1. Work Track 1: Pre-planning
 - Concept definition and obtain funding for planning activities.
 - Project initiation activities, including business case development.
2. Work Track 2: Architect portal framework
 - Map desired points of integration.
 - Identify possible solutions that fit SBA EA Blueprint.
 - Gather the requirements.
 - Detailed project plan and project charter.
3. Work Track 3: Portal implementation
 - Foundational systems.
 - Security/User management components.
4. Work Track 4: Portal integration
 - Initial coupling to existing systems.
 - Tighter integration with legacy systems and newly implemented systems.

4.12.5 Key Resources

1. **Project Sponsors:** an OHCM executive or director who can build the business case for the portal throughout the Agency.
2. **Project Managers:** an OHCM or OCIO staff member who can manage the development and integration of the project. Project Managers are subject to change to accommodate the technical and business complexities.
3. **Subject Matter Experts:** Business analysts to assess desired integration points. IT Architects for solution design. Vendor/hosting provider technical resources for implementation of system.
4. **Development Resources:** Ongoing integration of systems coming online over the next 5-10 years will require staffed development resources (either OCIO/internal or supplied by vendor/hosting provider).
5. **Third Party System Experts:** Integration of existing third-party applications will require resources with technical knowledge of those third party systems.

4.12.6 Key Issues and Risks

Execution risks relevant to this initiative and their mitigation strategies are listed below.

TABLE 34: INITIATIVE #12 RISKS AND MITIGATIONS

Risks	Mitigation Strategies
Lack of appropriate skills.	Skills must be identified and obtained, managed by efficient project management.
Phase out of alternative system interfaces does not take place and users just continue using the systems the way they always have.	Plan for phase out of paper-based processes must be devised. Additionally, the application rationalization initiative will help identify one-off systems and other access points that would circumvent the single user interface.

4.12.7 Cross Reference with Opportunities

This initiative helps realize the following opportunities in the target state.

TABLE 35: INITIATIVE #12 OPPORTUNITY MAPPINGS

#	Opportunity
1	Automate personnel actions throughout the employee HR lifecycle
2	Automate timecard workflow
3	Automate error-checking and timecard validation
5	Provide for Employee Self-service, including the ODA reserve force
8	Automate SBA employees submission and tracking of workers' compensation claims
9	Automate SBA's reporting and management of workers' compensation claims
11	Introduce an automated performance management system to create accountability in employee performance
14	Track ER grievances throughout lifecycle
15	Track mandated training courses
18	Introduce e-Learning as a user-friendly, error-free, and cost- and time-effective one-stop shop to high quality courses for SBA employees
19	The ability to utilize existing process and technology components within the Federal domain to offer relevant online courses that have already been developed
22	Enable employees to develop individual development plans and managers to identify skills gaps that need to be addressed
24	The ability to train supervisors and employees at SBA to create career objectives and IDPs
45	Access to real-time safety and health data and allow analytic capabilities to introduce policies that help diminish work related injuries
54	Enable tracking of status of benefits changes

#	Opportunity
63	Provide education on an Agency-wide basis to train employees to use self-service
65	Implement standardized IT systems, training

4.12.8 Cross Reference with Performance Metrics

This initiative targets the achievement of the following performance metrics.

TABLE 36: INITIATIVE #12 PERFORMANCE METRIC MAPPINGS

#	Performance Indicator
1.2.1	Percent of training classes offered fulfilling IDPs
1.2.2	Percent of SBA employees with tracked and automated IDPs
1.2.3	Percent of SBA workforce participating in job-specific training
1.3.1	Completed automated time and attendance submissions
1.3.3	Percent of HR tasks initiated on-line
1.3.4	Automated transaction audit rate
1.5.1	Percent of SBA employees with performance commitment and targets available for report
1.6.2	Percent of SBA employees with demographic data available for ad hoc search and query
1.6.3	Percent of SBA employees with training data available for ad hoc search and query
1.6.4	Percent of SBA employees with access to an automated personnel data for ad hoc search and query
2.2.2	Turnover percentage variance against Federal standards
3.1.4	Percent of positions where competency data collection has been automated

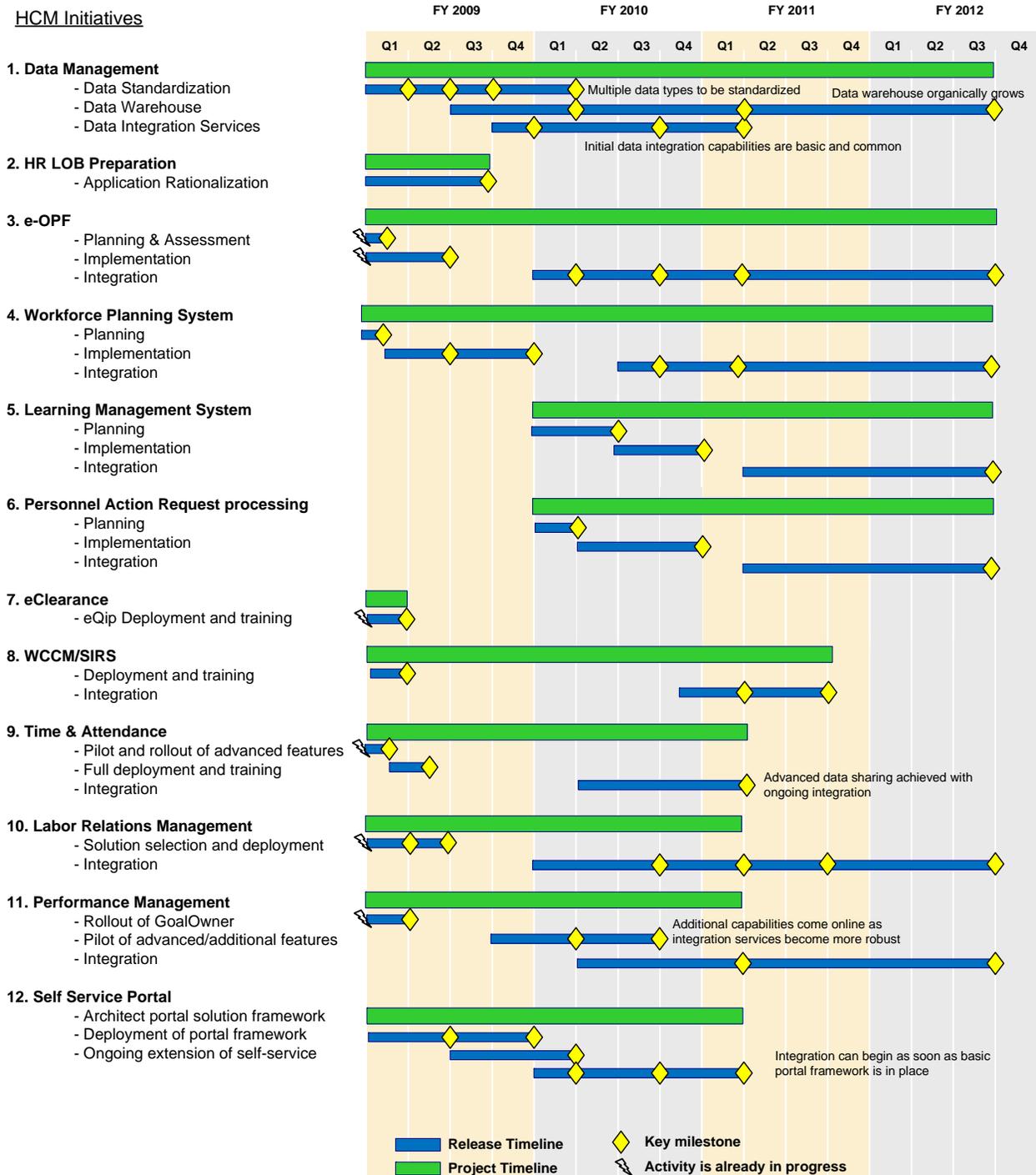
5 Sequencing Plan

The initiatives were ordered into a sequence based on benefits/value, priorities, dependencies, execution constraints, and risk-adjusted pace of execution. Additionally, a number of initiatives are already underway and they were sequenced appropriately. The six initiatives that are identified are sequenced for implementation based upon following ranked considerations:

- **Business Critical/Compliance initiatives** such as Workforce Planning, Learning Management, e-OPF, e-Clearance, GoalOwner.
- **Underway initiatives** such as the Time and Attendance, WCCM/SIRS, LR/ER System, PAR Processing.
- **Dependencies** between projects such as the need for Data Management as a foundational layer prior to completion of other initiatives.
- **Resource dependencies** on specific type of resources, both labor and financial, needed to execute projects.

The sequenced initiatives in the following diagram include overall timelines and intermediate milestones as a particular initiative is executed over time. Each initiative is then further broken down into work tracks along with associated timelines and milestones. This sequencing plan can be used by the program offices in budgeting and planning their activities. It would enable program offices to stay focused on achieving target state and to dedicate resources accordingly.

FIGURE 1: INITIATIVE SEQUENCING



6 Business Justification

For each of the twelve initiatives, a financial analysis was developed that includes a high level estimate of costs. Building the required capabilities will require a total program investment of approximately \$4.5M - \$6M over seven years. However, this does not include inflationary costs. This estimate includes both the upfront costs for each initiative as well as operations and maintenance expenses in the post implementation years as reflected in current-year dollars.

Each initiative was modeled to determine a total cost of ownership, including government employee cost, cost of hardware and software, and contractor costs. Estimates were based on current SBA figures, industry benchmarks, and subject matter expert input. As each initiative proceeds, a more detailed business case and solution architecture will be required for each.

TABLE 37: INITIATIVE COST BREAKDOWN (FY 2008 - FY 2014)

	Internal Labor	Contractor	Software	Hardware	Yearly Expense	Total Cost
Initiative 1, Data Management						
Initiative 2, Application Rationalization						
Initiative 3, e-OPF						
Initiative 4, WPS						
Initiative 5, LMS						
Initiative 6, PAR						
Initiative 7, e-Clearance						
Initiative 8, WCCM/SIRS						
Initiative 9, T&A						
Initiative 10, LR/ER						
Initiative 11, Performance Management						
Initiative 12, Employee Self-Service Portal						

TABLE 38: PROJECTED COST BREAKDOWN BY YEAR

	Year 1	Year 2	Year 3	Year 4	Year 5	Year 6	Year 7
Implementation							
Maintenance							
Total							

As with any financial projections, several assumptions had to be made to arrive at figures. A summary of those assumptions follows.

TABLE 39: FINANCIAL MODEL ASSUMPTIONS

Category	Assumption	Comments	Source
FTE Costs (Internal)			
FTE Costs (External)			
Soft Benefits			
Length of Time			

7 Risk Management

In addition to the specific risks described in each initiative description above, there are several general risks that cross the entire roadmap. The table below summarizes some of the risks evident at this point, together with strategies for mitigating those risks. New and different risks will appear and must be tracked and resolved as HCM moves through the roadmap towards the target state.

TABLE 40: CROSS-INITIATIVE RISKS AND MITIGATIONS

Risks	Mitigation
Budget and Resources	
<ul style="list-style-type: none"> • Margin of error in high-level estimates due to complexity and duration of initiatives. • Key resources required for project development and on-going operations. HCM will likely have to rely on external and SBA OCIO resources. 	<ul style="list-style-type: none"> • Include project contingencies, where appropriate. • Perform detailed analysis and design prior to launching initiatives. If possible, obtain seed funding for planning, so that proper alternatives analysis and solution architecture can be defined before significant investments are made. • Utilization of proper mix of internal & external resources with appropriate skill sets.
Technology	
<ul style="list-style-type: none"> • High level technical solutions as envisioned by the target state are not feasible once implementation begins. • Shared service solutions, as mandated by HR LoB, do not fit SBA processes. 	<ul style="list-style-type: none"> • Develop complete solution architectures for each initiative in advance of making major investments. • Identify alternative solutions during architecture phase. • SBA may need to readjust processes to accommodate shared service solutions.
Compliance/Policy/Law	
<ul style="list-style-type: none"> • Failure to implement specific requirements or enhancements could result in regulatory or legal non-compliance. 	<ul style="list-style-type: none"> • Perform detailed functional assessment and data mapping reviews to ensure compliance. • Understand legal requirements and implications of functional requirements, data, and implementation strategies. • Stay involved with the HR LoB and OPM as they determine best practices and policy for new areas.
Communication	
<ul style="list-style-type: none"> • External project dependencies could delay the completion of initiatives. 	<ul style="list-style-type: none"> • Ensure collaboration and proactive communication with external and internal constituents. Solicit feedback throughout requirements definition and testing phases. • Track and communicate cross-project dependencies.

8 Next Steps

There is a significant amount of work for HCM and OCIO to accomplish in order to achieve the target state. Several immediate next steps span all the initiatives and will help get the transition underway.

1. Establish Integrated Project Teams (IPTs) and mobilize resources.

- Identify an executive sponsor and steering committee membership for each initiative.
- Establish the mix of internal and external resources for planning phases.
- Identify resources for shared services and PMO lead positions and assess internal staff availability.
- Develop HCM specific governance structures, processes, tools, roles and responsibilities in line with existing SBA CPIC processes.
- Define, prepare and launch communication plan.
- Develop Program Management Plans for each initiative.

2. Confirm scope and sequencing of initiatives.

- Confirm initiative priority and sequencing.
- Evaluate in-flight and/or planned projects from 2008 and 2009 budgets. Determine the projects that need to proceed, be repurposed, or cancelled and apply scope changes as necessary to align with the objectives. Identify any change orders or contracting needs.
- Develop detailed project charters, scope, budget and plans for 2009 and 2010 initiatives.

3. Define plan for architecture alignment and financial metrics management.

- Develop processes for working with OCIO and the Technical Review Board (TRB) to ensure solution architecture is compliant with the enterprise architecture.
- Develop processes for tracking benefit; cost and portfolio spend for reporting (BTIC, OMB).

4. Begin to plan out the investment and funding strategy for each initiative.

- For each initiative that requires FY 2009 and FY 2010 funding, examine existing business cases to determine how budget request is allocated.
- For each initiative that will require funding in FY 2010, seed money should be allocated for planning, including the alternatives analysis and development of the business case.

9 Appendix A: Acronyms

The following is a list of acronyms used in this document

TABLE 41: LIST OF ACRONYMS

Acronyms	Expansion
BRM	Business Reference Model
COTS	Commercial Off-The-Shelf
ETL	Extract, Transform, Load
FEA	Federal Enterprise Architecture
FTE	Full Time Equivalent
GOTS	Government Off-The-Shelf
HCM	Human Capital Management
HR	Human Resources
IDP	Individual Development Plan
LTO	Long Term Objective
NFC	National Finance Center
OCIO	Office of the Chief Information Officer
OCR	Optical Character Recognition
ODA	Office of Disaster Assistance
OHCM	Office of Human Capital Management
OIG	Office of the Inspector General
OMB	Office of Management and Budget
OPF	Official Personnel File
OPM	Office of Personnel Management
OSHA	Occupational Safety & Health Administration
PMO	Program Management Office
SBA	Small Business Administration
SRM	Service Component Reference Model
TRM	Technical Reference Model

TRB	Technical Review Board
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10 Appendix B: Strategic Alignment

The table below maps initiatives from the Roadmap to any relevant cross agency initiatives.

TABLE 42: INITIATIVES MAPPED TO CROSS-AGENCY INITIATIVES

#	Initiative	Cross-Agency Initiative
3	e-OPF	EHRI
4	Workforce Planning System	EHRI
5	Learning Management System	EHRI
7	e-Clearance	EHRI

11 APPENDIX C: List of Documents Reviewed

- SBA Strategic Plan FY 2008-2013
- SBA IT Strategic Plan 2007-2011
- Enterprise Architecture Blueprint v2.04
- SBA EA Transition Plan v2.00
- FEA Practice Guidance, November 2007
- FEA Consolidated Reference Model Document Version 2.3
- FEA Data Reference Model 2.0
- www.sba.gov
- www.egov.gov
- SBA Performance Budget 2008 and 2009
- HCM Scorecard
- WCCM/SIRS Needs Statement
- WCCM/SIRS Exhibit 53
- HCM High Risk Areas
- NFC documentation
- HR LoB description, requirements
- WPS Exhibit 53