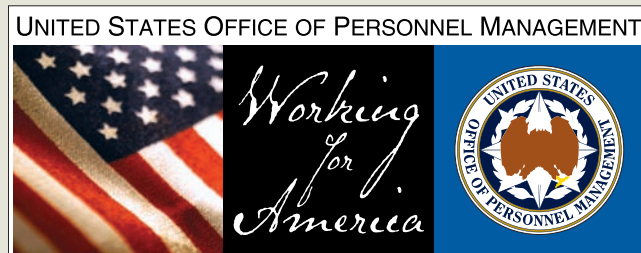


# MIGRATION PLANNING GUIDANCE ATTACHMENT B

## STATEMENT OF OBJECTIVES (SOO)

May 23, 2008



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# 1 Background

In the spring of 2004 the United States Office of Management and Budget (OMB) established five lines of business to fulfill the President's Management Agenda (PMA) through an enterprise-driven approach to electronic government. The Human Resources Line of Business (HR LOB), led by the U.S. Office of Personnel Management (OPM), was launched in 2004 to realize the potential of electronic government and fundamentally redefine human resources service delivery for all civilian employees of the Executive branch of the Federal Government. The HR LOB Concept of Operations (CONOPS) proposes a service delivery model that preserves some HR functions at the agency level and moves other HR functions to a shared service center. Over time, as the HR service centers evolve and expand their capabilities, more and more functions will shift to the service center delivery.

## 1.1 HR LOB Background (Government-wide)

The HR LOB service delivery model is guided by the concept of “shared services”. Shared services generally are defined as the consolidation of administrative non-mission critical processes into a stand-alone business enterprise that provides those services to other business units in an organization. The shared services delivery model for the U.S. Federal Government will involve taking common HR information systems and some HR processes out of agencies and moving them into separate shared services organizations – Shared Service Centers (SSCs). This approach will allow agencies to focus on their core missions, while the core mission of the SSCs will be to deliver administrative services efficiently in a cost effective manner with a focus on the customer and service quality.

Moving HR information systems operations and some HR services to a SSC will enable a shift in emphasis within the agencies from administrative processing to customer service and strategic planning. In doing so, the HR LOB program seeks to achieve the following goals and objectives:

GOALS	OBJECTIVES
<p><b>Improved Management of Human Capital</b>                      Improve the Government wide Strategic Management of Human Capital</p>	<ul style="list-style-type: none"> <li>▪ Faster decision making</li> <li>▪ More informed policy making</li> <li>▪ More effective workforce management</li> <li>▪ Improved resource alignment with agency missions</li> </ul>
<p><b>Operational Efficiencies</b>                      Achieve or increase operational efficiencies in the acquisition, development, implementation and operation of human resources management systems</p>	<ul style="list-style-type: none"> <li>▪ Improved servicing ratio / response times</li> <li>▪ Reduced cycle times</li> <li>▪ Improved automated reporting</li> </ul>
<p><b>Cost Savings / Avoidance</b>                      Achieve or increase cost savings/avoidance from HR solution activities</p>	<ul style="list-style-type: none"> <li>▪ Reduced duplicative software / hardware / operations / labor resources</li> <li>▪ Increased competitive environment</li> </ul>

<p><b>Improved Customer Service</b> Improve customer services</p>	<ul style="list-style-type: none"> <li>▪ Increased accessibility to client and value</li> <li>▪ Improved communication and responsiveness</li> <li>▪ Enhanced quality</li> <li>▪ Enhanced timeliness</li> <li>▪ Enhanced accuracy</li> <li>▪ Enhanced consistency</li> </ul>

**Table 1. HR LOB Goals and Objectives**

During the second half of 2004, OPM sponsored multi-agency workshops to improve the modeling of human resources baseline processes and sub-processes and to define the Business Reference Model (BRM) for the HR LOB. The collaboration achieved during the workshops is a model for the development of HR information system operations that was carried over to the development of the HR LOB Target Requirements for Shared Service Centers version 2. The detailed target requirements describe the role of the SSC in the HR process and provide specifications for the efficient and successful delivery of services and solutions. Federal Enterprise Architecture (FEA) standards guide HR LOB efforts. The BRM provides an end-to-end process view of human resources for the Executive branch of the U.S. Federal Government.

During the development of the BRM, OPM and OMB identified Payroll as one of the core business processes within the HR LOB. This decision resulted in the integration of the e-Payroll e-Government initiative and the larger HR LOB initiative. The e-Payroll Initiative was originally established to standardize and consolidate Government-wide Federal civilian payroll services and delivery and to improve the integration of payroll, human resources, and finance functions. There are currently four agency centers that are approved payroll providers for the Executive branch of the Government; the Department of Agriculture’s National Finance Center (NFC), the Department of Interior’s National Business Center (NBC), the Department of Defense’s Finance and Accounting Service (DFAS), and the General Services Administration’s Heartland Finance Center (HFC).

In August 2005, the OPM Director announced the selection of five Federal HR LOB SSCs. The five Federal SSCs are Agriculture’s National Finance Center (NFC), Interior’s National Business Center (NBC), the Defense’s Civilian Personnel Management Service (CPMS), Health and Human Services, and Treasury. Payroll operations will be provided by the National Business Center and the National Finance Center as part of their shared service center offerings. The General Services Administration and the Defense Finance and Accounting Service will continue to exist as stand alone payroll providers and will offer payroll operations through partnerships with shared service centers.

In January 2008, GSA and OPM announced the selection of four private sector SSCs:

- Accenture National Security Services (Accenture)
- Allied Technology Group, Inc. (Allied)
- Carahsoft Technology Corporation (Carahsoft)
- International Business Machines (IBM)

Accenture offers all of the mandatory core and non-core SSC functions. IBM offers the mandatory core functions for Personnel Action Processing and Benefits Management services and all non-core SSC functions, but it is not approved at this time to deliver core Compensation Management services. The service offering information for Allied and Carahsoft is not available at this time.

The objective of this solicitation is to establish a contract under which [Agency Name] will procure services from one of the HR LOB SSCs offering government-wide solutions to agencies seeking to increase efficiency and cost-effectiveness in their human resource operations. HR LOB SSCs will provide the agency with a range of human resources and payroll services on a government-wide basis using a common, open, and reusable architecture.

## **1.2 HR Operating Environment (Agency Specific)**

**[Note to Agency: The primary goals of this section are to: a) provide a shared understanding of the current, or as-is, state; and (b) highlight the areas for improvement.]**

**The agency supplied information for this section should be gathered from already available documentation such as from its current OMB Exhibit 300 submission, business case or other capital asset planning documentation. The agency should briefly discuss its current application architecture for its human resource management systems. The agency should use this section to provide Offerors a high level understanding of the “As is” state of the agency’s current HR systems, as well as any major issues it seeks to address with the procurement.**

**It is the intent of the agency to identify an Offeror who can provide services which, at a minimum, supports the business activities defined in this section. This information is the baseline business process functionality sought by the agency under this SOO.]**

## 2 Objectives and Goals (Agency Specific)

**[Note to Agency: This section describes the Objectives and Goals of the agency SSC procurement effort. Agencies should review the objectives and goals below and state what they wish to obtain from an SSC.]**

The agency is seeking Offeror support in the areas of ### (Note: Agency should specify what is being sought in terms of the HR LOB BRM sub-functions) The selected Offeror will provide comprehensive services in ### with minimum customization, for the support and/or replacement of the human resource enterprise systems currently used by this agency.

Since the approximately ##### (Note: Agency specific) of employee workforce is located in over ### (Note: Agency specific) duty locations and serviced by ## (Note: Agency specific) Human Resources Offices (both in Washington DC and Regional cities), it is imperative that these systems be integrated and provide real-time processing, and real-time availability, of departmental data.

In addition to the specific agency functional requirements and organizational objectives defined in this SOO, the Offeror selected shall support the objectives and requirements defined within the following documents:

- HR LOB Target Requirements for Shared Service Centers version 2.0 – September 29, 2006
- HR LOB Business Reference Model (BRM) version 2 - January 31, 2006
- HR LOB Service Component Model (SCM) version 2 – September 28, 2007
- HR LOB Performance Model (PM) version 1 – June 30, 2006
- HR LOB Technical Model (TM) version 1 – FY2008

Links to these documents are provided in the ‘References’ section at the end of this SOO.

Included in this effort, the agency will require the selected Offeror to implement their proposed services and solution, conduct necessary data migration, provide ongoing program management support and operations maintenance, provide end-user training support, and provide required helpdesk support to agency users.

### 3 Scope of Work (Agency Specific)

[Note to Agency: The sections below currently describe all of the core and non-core functionality that could be requested as part of the procurement. Agencies should review the functionality descriptions below and determine which capabilities they wish to procure for their agency. Agencies should also note here any other functional requirements they wish to procure in addition to the core and non-core items listed below.]

#### 3.1 Functional Requirements

Listed below are the specific high level core and non-core functional requirement summaries that pertain to this SOO. Target requirements for core and non-core functions are provided in the HR LOB Target Requirements for Shared Service Centers version 2.0. The target requirements describe the agency's expectations of SSCs and shall be accommodated by the Offeror's proposed solution and services.

In addition to the specific agency functions outlined in the Statement of Objectives (SOO), the Offeror selected shall also support the objectives and requirements defined within the HR LOB Business Reference Model (BRM) version 2 - January 31, 2006 and HR LOB Target Requirements for Shared Service Centers version 2.0 - September 29, 2006.

##### 3.1.1 Core HR Functions

The Core HR and Payroll functions described below will be procured.

###### 1) Personnel Action Processing

The OPM's *Guide to Processing Personnel Actions* defines a Personnel Action as the process necessary to appoint, separate or make other personnel changes. The concept of personnel action is not specific to a single BRM sub-function. Rather, it is a concept that converges with multiple activities across the BRM -- activities that result in a change to employee status or other key employee data.

As part of this mandatory core service, HR LOB SSCs will provide a personnel action processing solution that offers the capability to initiate and process a personnel action. The solution will use automated workflow to route the personnel action through its approval sequence and provide appropriate notifications. Personnel action processing is a capability that supports multiple HR LOB BRM sub-functions. Agency personnel will continue to initiate and approve personnel actions. Employees will receive electronic notification of personnel actions that have been processed on their behalf. Agency personnel will also continue to perform manual processing, should any remain. SSCs will provide the tools that will automate the process. SSCs will also capture and retain raw data to enable performance tracking. The personnel action processing services that the Offeror shall provide are defined in detail in Appendix A of *HR LOB Target Requirements for Shared Service Centers version 2.0*. Specific SSC requirements are denoted by the text "Mandatory" in the column labeled *Priority* and the text "Shared Service Center" in the column labeled *Who*.



2) Compensation Management

The HR LOB BRM defines the Compensation Management sub-function as the adoption of nondiscretionary (government-wide), agency discretionary and alternative compensation programs that are fair, equitable and promote employee retention. Award and bonus payout strategies are devised and administered. Work schedules are established and time worked is recorded and approved. Leave taken is reconciled against leave accrued to determine leave balances. Payroll is processed and reconciled and employee pay and other third party disbursements are generated. Labor costs are distributed, as appropriate, to the appropriate cost accounts.

Although not mandatory, the HR LOB SSCs may provide a compensation management solution for agencies that includes tools to support manager's pay and award decisions, leave processing, and end-to-end payroll processing (setup, processing, disbursement support, annual pay adjustment processing, reporting, compliance) using self-service and automated workflow to manage time reporting and approval and payroll processing. The Compensation Management services the Offeror may provide are defined in detail in Appendix B to the document *HR LOB Target Requirements for Shared Service Centers version 2*. Specific SSC requirements are denoted by the text "Mandatory" in the column labeled Priority and the text "Shared Service Center" in the column labeled "Who." If the Offeror does not offer Compensation Management/Payroll Services, the Offeror shall discuss how their solution can integrate with an external payroll system.

3) Benefits Management

The HR LOB BRM defines the Benefits Management sub-function as the design, development and implementation of benefit programs that attract, retain and support current and former agency employees. This sub-function includes: establishing and communicating benefits programs; processing benefits actions; and interacting as necessary with third party benefits providers.

As part of this mandatory core service, HR LOB SSCs will provide a benefits solution that offers web-based employee self-service capabilities for benefits enrollment. Specific functionality includes: activate benefits enrollments based on predefined business rules and make benefits participation data available to payroll and to benefits providers. SSCs will also deliver benefits communication. SSCs will support both government-wide and agency-specific benefits programs. For agency-specific benefits programs, SSCs will provide consulting support to agencies on communication content and approach and will provide facilities and media to deliver benefits communication to employees. The Benefits Management services the Offeror shall provide are defined in detail in Appendix C to the document *HR LOB Target Requirements for Shared Service Centers version 2*. Specific SSC requirements are denoted by the text "Mandatory" in the column labeled Priority and the text "Shared Service Center" in the column labeled *Who*.

### 3.1.2 Non-Core HR Functions

In order to provide a comprehensive set of HR functionality, Offerors are encouraged to offer non-core HR solutions and other services in support of HR business process activities. As part of these optional non-core services, HR LOB SSCs could provide consulting support, administrative support, change management, knowledge management and automated tool support for the non-core HR sub-functions identified in the BRM. SSCs can also provide additional technical and professional support. The Offeror may propose additional services to support the non-core functions (HR Strategy, Organization and Position Management, Staff Acquisition, Performance Management, Compensation Management (non-core), HR Development, Employee Relations, Labor Relations and/or Separation Management) which address other functionalities identified in the BRM if those services are currently available.

The nine non-core HR functions described below will be procured.

#### 4) HR Strategy

The BRM defines the HR Strategy sub-function as the development of effective human capital management strategies that ensure Federal organizations are able to recruit, select, develop, train and manage a high quality, productive workforce in accordance with merit system principles. This sub-function includes: conducting both internal and external environmental scans; developing human resources and human capital strategies and plans; establishing human resources policy and practices; managing current and future work force competencies; developing workforce plans; developing succession plans; managing the human resources budget; providing human resources and human capital consulting support; and measuring and improving human resources performance.

The HR Strategy services the Offeror shall provide are defined in detail in Appendix D to the document *HR LOB Target Requirements for Shared Service Centers version 2*. Some example activities HR LOB SSCs may perform within this sub-function are:

- Support the collection of data relevant to the Human Capital planning process, including competency management data
- Provide automated processes to support succession planning and workforce and human capital information requests
- Make analysis results data available electronically to the appropriate managers and provide self-service tools to support ad-hoc requests
- Advise agencies on data sources and collection approaches, capitalizing on their cross-agency experience and supply consulting support to make recommendations about analysis practice and techniques
- Analyze data on strategies, trends, issues and events relevant to the human capital strategic planning process using predefined data analysis protocols
- Provide services for the development and implementation of the competency model and ongoing competency management
- Help track and analyze the agency's workforce trends based on predefined tracking and analysis protocols and using SSC-resident data

5) Organization and Position Management

The HR LOB BRM defines the Organization and Position Management sub-function as the design, development and implementation of organizational and position structures that create a high performance, competency-driven framework that both advances the agency mission and serves agency human capital needs.

The Organization and Position Management services that the Offeror shall provide are defined in detail in Appendix E to the document *HR LOB Target Requirements for Shared Service Centers version 2*. Some examples of activities HR LOB SSCs may perform within this sub-function are:

- Provide consulting support on the agency's organizational design
- Submit requirements for SES position authorizations to OPM and ensure SES positions are authorized
- Maintain the agency's standards for documenting and evaluating positions against OPM and agency standards for general schedule positions
- Identify tasks to be performed by an individual in a given position and the competences and qualifications needed to perform the tasks
- Process appeals in accordance with OPM and agency guidance
- Propose the classification of positions in accordance with applicable standards and apply classification standards consistently
- Record classification judgments and verify that authorizations for positions exist

6) Staff Acquisition

The HR LOB BRM defines the Staff Acquisition sub-function as the establishment of procedures for recruiting and selecting high quality, productive employees with the right skills and competencies, in accordance with merit system principles. This sub-function includes: developing a staffing strategy and plan; establishing an applicant evaluation approach; announcing the vacancy, sourcing and evaluating candidates against the competency requirements for the position; initiating pre-employment activities; and hiring employees.

The Staff Acquisition services the Offeror shall provide are defined in detail in Appendix F to the document *HR LOB Target Requirements for Shared Service Centers version 2*. Some example activities HR LOB SSCs may perform within this sub-function are:

- Work with customer agency to compile and understand the data necessary to establish a staff acquisition strategy and / or staff acquisition plan
- Support an agency in the development of sourcing strategies to produce an applicant pool that meets the agency's strategic workforce needs
- Work with the customer agency to establish employment practices that are developed and used without discrimination

- Work with the customer agency over time to track return on investment of recruitment marketing activities
- Support the development of an agency's staff acquisition plan that sets recruiting goals for building a workforce that meets the agency's strategic business needs
- Support the development and application of valid candidate selection procedures and assessment tools, ensuring they are job-related
- Provide a facility to post vacancy announcements, reflecting the agency-specified 'look-and-feel' in all vacancy announcement media
- Provide a tool to:
  - (1) Allow potential applicants to register to receive job announcements when new announcements are posted
  - (2) Allow applicants to search job postings by job characteristics
  - (3) Notify applicants of application status and automatically close vacancies based on pre-determined business rules
- Provide the capability to receive applications and supporting documentation in multiple media formats, and make all materials available in a searchable database that allows for ad-hoc reporting of applicant data
- Provide tools to allow managers to search against applicant and employee databases for qualified candidates
- Provide automated tools that facilitate the interview cycle

#### 7) Performance Management

The HR LOB BRM defines the Performance Management sub-function as the design, development and implementation of a comprehensive employee performance management approach to ensure agency employees are demonstrating competencies required of their work assignments. This sub-function includes: Design, develop and implement a comprehensive performance management strategy that enables managers to make distinctions in performance and links individual performance to agency goal and mission accomplishment. This sub-function also includes managing employee performance at the individual level and evaluating the overall effectiveness of the agency's employee development approach.

The Performance Management services that the Offeror shall provide are defined in detail in Appendix G to the document *HR LOB Target Requirements for Shared Service Centers version 2*. Some example activities HR LOB SSCs may perform within this sub-function are:

- Perform a consulting role in the design of an agency-wide competency-based performance management approach
- Design a performance management framework, use methods to make distinctions among employees or groups of employees and support the development of performance management systems for SES and non SES employees
- Support the development of performance standards, and the development of guidelines for measuring performance against identified expectations
- Develop communication materials explaining the performance management process

- and performance appraisal system(s) and programs(s) to appropriate individuals
- Provide the automated tools to capture employee input and document employee accomplishments online, set appraisal cycle parameters, and use automated workflow to support the performance management process, including archiving performance management information
- Notify individuals of performance management events, and support the development of guidelines for measuring performance against identified expectations
- Provide consulting support to supervisors during the performance management process, and conduct performance management training,
- Maintain a performance appraisal system electronically including help-desk support
- Provide automated workflow to support the performance management process, and make performance management appraisal information available to other HR systems

8) Compensation Management (non-core)

The Compensation Management sub-function definition is the same as stated under “core” services, however this section focuses on non-core services that SSCs may provide. These non-core services are defined in detail in Appendix H to the document *HR LOB Target Requirements for Shared Service Centers version 2*. Some example activities HR LOB SSCs may perform within this sub-function include:

- Assist in tracking compensation trends in accordance with applicable guidance
- Provide support in conducting and analyzing market-based pay surveys
- Support the administration of a variety of programs including special rates, student loans, leave, and allowances, and alternative compensation
- Provide training on compensation management
- Support the implementation of corrective actions related to an agency’s awards programs and assist in awards program related training
- Develop automated tools to provide managers with the information they need to determine eligibility for Bonus and Awards, and capture agency Bonus and Awards decisions in a payroll or other system
- Provide automated tools to determine eligibility for and calculate amounts in the administration of differentials, equivalent increases, student loan repayments, allowances and leave and to notify individuals of changes
- Provide automated tools that would allow an agency to define work schedules of employees based on project and / or work requirements and support leave administration related to those work schedules and maintain the recorded leaves and schedules
- Provide automated tools that allow an agency to review and approve schedules and requests for leave and that allow individuals with approving authority to certify time worked or leave taken (attendance)
- Provide automated tools to support reporting requirements

9) Human Resources Development

The HR LOB BRM defines the Human Resources Development sub-function as the

design, development, and implementation of a comprehensive employee development approach to ensure that agency employees have the right competencies and skills for current and future work assignments. This sub-function includes conducting employee development needs assessments; designing employee development programs; administering and delivering employee development programs; and evaluating the overall effectiveness of the agency's employee development approach.

The Human Resources Development services that the Offeror shall provide are defined in detail in Appendix I to the document *HR LOB Target Requirements for Shared Service Centers version 2*. Some example activities HR LOB SSCs may perform within this sub-function are:

- Identify performance criteria for measuring desired results
- Provide tools to gather competency input, provide consulting support that can be used to determine competencies, and support building and revising competency models
- Provide tools for agencies to document their training needs, devise learning and development strategies, identify learning objective programs, and track employee development and training needs
- Measure work processes to identify improvement opportunities, identify knowledge management databases
- Develop human resource development (HRD) program content and materials, and determine the frequency and timing of HRD programs
- Manage the administrative and logistical aspects of delivering a training program including managing providers as necessary
- Provide the capability for agencies to run reports on employee training, capture and report course evaluation results
- Track participation by types of training, track attendance, cancellations and absences, and summarize completed program evaluation
- Provide knowledge-sharing opportunities, allow for integration of learning and development content with knowledge management
- Provide mechanisms to communicate feedback, measure the skills attained and progress made against individual development plans
- Manage expenses related to training and provide mechanisms to determine the learning ROI, the improvement in employee work performance, and the impact on agency success

#### 10) Employee Relations

The HR LOB BRM defines the Employee Relations sub-function as the design, development and implementation of programs that strive to maintain an effective employer-employee relationship that balances the agency's needs against its employees' rights. This sub-function includes: addressing employee misconduct; addressing employee performance problems; managing administrative grievances; providing employee accommodation; administering employee assistance programs; participating in administrative third party proceedings; and determining candidate / employee suitability based on information collected outside of the HR process (e.g., background investigation,

drug testing, etc.).

The Employee Relations Development services that the Offeror shall provide are defined in detail in Appendix J to the document *HR LOB Target Requirements for Shared Service Centers version 2*. Some example activities HR LOB SSCs may perform within this sub-function are

- Provide training on the standards employees are required to meet
- Process the removal of an employee from a sensitive position for drug use and return an employee to a position after treatment
- Assist in placing an employee in a non-duty status, processing adverse and administrative actions and inform employees of appeal rights
- Assist an agency in administering/maintaining a grievance system including alternative means of dispute resolution (ADR)
- Track decisions regarding administrative grievances,
- Use automated tools to track and close accommodation cases
- Monitor Employee Assistance Programs (EAP) usage and recommend adjustments
- Assist an agency with the filing with a third party as part of the overall management of third party appeals and their resolution
- Provide support to hearings, presenting evidence, responding to requests for stays, submitting written arguments and responses regarding agency decisions as part of the overall management of third party appeals and their resolution
- Assist in taking corrective action to carry out third party decisions, provide full relief, and comply with orders granting a stay.

#### 11) Labor Relations

The HR LOB BRM defines the Labor Relations sub-function as the management of the relationship between the agency and its unions and bargaining units. This includes negotiating and administering labor contracts and collective bargaining agreements; managing negotiated grievances; and participating in negotiated third party proceedings.

The Labor Relations Development services that the Offeror shall provide are defined in detail in Appendix K to the document *HR LOB Target Requirements for Shared Service Centers version 2*. Some example activities HR LOB SSCs may perform within this sub-function are

- Assist an agency in identifying and clarifying which organization and employees should be included in the appropriate defined bargaining unit and help resolve recognition issues as required
- Establish or support the establishment of the relationship for ongoing communication between unions and management
- Assist an agency in applying techniques for negotiating agreements and/or conduct negotiations on behalf of the agency when allowed
- Provide automated tools that allow recording Collective Bargaining Agreements (CBR) in specified databases

- Support the implementation of agreements, process union dues deductions, capture contract administration data, and provide systems that support the agency's strategy
- Notify appropriate entities of adjustments to alternative HR systems including providing notices of change to individuals and organizations
- Support the filing of grievances and alternative measures of labor grievance resolution
- Support filing statements with Federal Labor Relations Authority and provide agency information for a labor dispute under appeal
- Attend hearings, present evidence and select and prepare witnesses on behalf of an agency
- Assist management in filing a petition for review of a Federal Labor Relations Authority's final order in the appropriate US Court of Appeals

## 12) Separation Management

The HR LOB BRM defines the Separation Management sub-function as those activities that take place when an employee leaves an agency. This includes handling the appropriate notifications and determining the terms of the separation. Interactions take place to ensure knowledge transfer occurs between the separating employee and remaining employees. Separating employees are offered transition counseling and support.

The Separation Management services that the Offeror shall provide are defined in detail in Appendix L to the document *HR LOB Target Requirements for Shared Service Centers version 2*. Some example activities HR LOB SSCs may perform within this sub-function are

- Develop and support automated tools which agency personnel would use to fulfill their data entry and notification responsibilities
- Assist an agency in conducting Reductions in Force and/or assist in completing an interagency transfer of function,
- Provide automated tools that allow agency personnel to review the reason for separation and determine the terms of separation including proposed effective date and entitlements
- Provide transition and outplacement counseling and document the results and work with separating employees to assist in document completion
- Provide automated tools that describe the separation process, provide agency points of contact, and answer frequently asked questions
- Provide automated tools to capture institutional knowledge, intellectual capital, job-related information and status of current and pending assignments,
- Assist separating parties in completing exit checklists and collecting agency property
- Collect and analyze departing employee feedback to identify trends and develop appropriate intervention strategies to improve retention
- Notify appropriate third parties of the separation event and of any further coordination responsibilities



- Gather and distribute appropriate materials to assist employees and their family members with the separation

### 3.2 Technical Requirements

The Offeror must demonstrate a complete and thorough understanding of the stated technical requirements and objectives of the services and solution sought by the agency. The Offeror must describe how it supports the agency's stated technical, interface, integration and security objectives and requirements. In addition, Offerors should review Attachment A "Management, Operational, and Technical Constraints, and Other Considerations" for more information on specific agency constraints related to this procurement.

### 3.3 Service Delivery

**[Note to Agency: The agency should describe their service delivery expectations using the HR LOB Service Component Model. Agencies should also describe how their service delivery expectations will be tied to eventual Service Level Agreements (SLAs) and monitored during the post selection stage.]**

The HR LOB Service Component Model (SCM) "establishes a standard universe of services from which providers will select to form their services portfolio, or menu. Customer agencies in turn will determine which services they will purchase from providers, selecting from the menu." As noted in SCM version 2, "the SCM provides the framework and vocabulary that will be the conceptual foundation for this performance-driven line of business."

The HR LOB Service Component Model identifies and classifies **service components** that can be leveraged across the government. A service component is a self-contained capability that is in place to support the HR LOB BRM business processes and assists agencies and Shared Service Centers in accomplishing their missions and performance objectives. The SCM also provides a Service Delivery Model that recommends delivery expectations for each service component. The Service Delivery Model identifies how each service may be made available to customers.

The Offeror should review the service components that comprise the service types – **Human Resources** and **Human Capital Management**, under the service domain Back Office Services. Using the SCM taxonomy and service delivery model, the Offeror should describe what services or service components it is offering and how these services will be delivered to the customer.

### 3.4 Performance

**[Note for Agencies: Agencies should review the PM, Migration Roadmap, and the requirements for the core and non-core functions they wish to procure. Agencies should then determine the target performance measures/guidelines they want potential Offerors to meet. These target performance measures will be tied to eventual Service Level Agreements (SLAs) and monitored during the post selection stage. Agencies should identify the performance measures they want to track and tie them to the requirements section of the eventual RFP. Once the agency has determined the appropriate target performance guidelines for its associated requirements, the agency should list the target performance guidelines within the SOO Performance section.]**

The HR LOB Performance Model (PM) provides a framework for performance measurement and identifies a common set of HR performance measures to be used throughout the Federal Government. This framework can be used to measure human capital strategic outcomes and agency mission results.

The PM addresses the Measurement Indicators for the HR LOB core functions. The Performance Model focuses on the outcomes of the common HR processes and activities defined by the BRM. In accordance with OMB's Federal Enterprise Architecture Performance Reference Model (PRM) guidance, the performance measures covered in this PRM are aligned with business results. As Agencies and SSCs move forward in developing and formalizing their relationships, the PRM provides input and a common vocabulary for those discussions.

## **4 Constraints**

The Offeror should be aware of the following constraints that will have an impact on the services it proposes.

### **4.1 Management, Operational, and Technical Constraints and Other Considerations**

There are several management, operational, technical constraints and other considerations that may have an impact on the services that the Offeror will propose. More information about the following topics can be found in Attachment A.

#### Management Constraints

- Security Planning
- Risk Assessment
- Certifications and Commitment
- Security Certification, Accreditation, and Security Assessments
- System and Services Acquisition
- Earned Value Management Reporting
- Training
- Ownership Rights

#### Operational Constraints

- Personnel Security
- Physical and Environmental Protection
- Continuity of Operations Planning and Contingency Planning
- Configuration Management
- System Maintenance
- System Information and Integrity
- Media Protection
- Incident Response
- Security Awareness and Training

#### Technical Constraints

- Identification and Authentication
- Access Control
- Audit and Accountability
- System and Communication Protection
- Use of Mobile Code

#### Other Considerations

- Privacy Protection
- Information Technology Accessibility Standards

- Section 508 Requirements
- IV&V Testing and User Acceptance Testing
- Data Storage Management

**Offerors are required to adhere to all of the constraints and the corresponding details provided in Attachment A.**

## **5 Attachments**

Attachment A: Management, Operational, and Technical Constraints and Other Considerations

## 6 References

The most current versions of the HR LOB EA documents are available at <http://www.opm.gov/egov>. Individual links to documents are also provided. A brief description of each model follows:

**Business Reference Model:** The HR LOB Business Reference Model (BRM) is the foundation of the enterprise architecture. The BRM provides an end-to-end description of the HR business processes to describe the Federal Government. The BRM has become the acknowledged standard used by public and private entities to understanding the HR processes of the Federal Government. ([http://www.opm.gov/egov/documents/architecture/BRM\\_Report\\_V2.pdf](http://www.opm.gov/egov/documents/architecture/BRM_Report_V2.pdf))

**Data Model:** The objective of the HR LOB Data Model (DM) is to identify the data needed to execute the HR LOB BRM processes. The HR LOB DM is depicted at the conceptual and logical levels to describe the data in as much detail as possible, but it does not specify how the data will be physically implemented in a database. The DM will enable the Federal Government to communicate more accurately and efficiently about the structure, content and purpose of HR data by encouraging standardization of data description, data context and data sharing. ([http://www.opm.gov/egov/documents/architecture/HRLOB\\_DM.pdf](http://www.opm.gov/egov/documents/architecture/HRLOB_DM.pdf))

**Performance Model:** The HR LOB Performance Model (PM) provides a framework for performance measurement and identifies a common set of HR performance measures to be used throughout the Federal Government. This framework can be used to measure human capital strategic outcomes and agency mission results. ([http://www.opm.gov/egov/documents/architecture/HRLOB\\_PM\\_6.30.06.pdf](http://www.opm.gov/egov/documents/architecture/HRLOB_PM_6.30.06.pdf)).

**Service Component Model:** The HR LOB Service Component Model (SCM) identifies HR services – *service components* – and proposes the means for providing them to its customers – *service delivery*. It provides a framework and vocabulary for guiding discussions between service providers and customer agencies and is meant to be a catalyst for true cross-agency collaboration. (<http://www.opm.gov/egov/documents/architecture/HRLOBSCMv2.pdf>)

**Technical Model:** Version 1 of the HR LOB Technical Model (TM) will be developed and published during 2008. This initial version will delineate the key technical requirements for the enabling technologies that underlie HR LOB services. These requirements will provide the foundation for technology standardization and the resulting reuse of technology and service components across the Federal Government.

**The Federal Transition Framework:** The HR LOB Federal Transition Framework (FTF), pilot version document was published in June 2006. This document provides clear and consistent information that describes the Government wide IT policy objectives and cross-agency initiatives. The FTF does not create policy; rather, it provides a structure to organize and publish information. The enterprise architecture described in the above documents supports FTF objectives. The HR LOB FTF document is available at: [http://www.whitehouse.gov/omb/egov/documents/FTF\\_Catalog\\_PDF\\_Ver10\\_Final\\_Dec\\_2006.pdf](http://www.whitehouse.gov/omb/egov/documents/FTF_Catalog_PDF_Ver10_Final_Dec_2006.pdf).

Additional information about the FTF is available at: <http://www.whitehouse.gov/omb/egov/a-2-EAFTF.html>.

**Target Requirements:** In September 2006, the Target Requirements for Shared Service Centers Report, version 2, was published, establishing expectations of SSCs with regard to delivery of HR services and systems.

OMB and OPM have established expectations that all SSCs have to meet mandatory requirements for the core areas. SSCs may offer non-core functions; if they do, they must meet the mandatory requirements associated with the non-core areas. Critical requirements may become mandatory requirements over time. New legislation and policies may accelerate the change in requirements designation. SSCs will not be required to meet all useful requirements, but useful requirements will distinguish solutions and services in the marketplace. Over time, market forces will compel SSCs to meet useful requirements.

In order to become an approved SSC, providers will be required to pass two levels of examination:

- Self-evaluation – SSCs will evaluate themselves against all published requirements and indicate whether they meet them or not.
- Demonstration – SSCs will demonstrate their capabilities to meet mandatory requirements for the core areas.

The Target Requirements for Shared Service Centers Report, version 2, is available at <http://www.opm.gov/egov/documents/requirements/Reqv2.pdf>.

## **Attachment A: Management, Operational, and Technical Constraints and Other Considerations**

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In preparing its response, the Offeror should be aware of a number of constraints that may have an impact on the Offeror's proposal. Many of the constraints were derived from the Federal Information Processing Standards (FIPS), Federal Information Security Management Act (FISMA), and National Institute of Standards and Technology (NIST). The Offeror's proposal should describe how their approach takes into account the constraints listed in this attachment.

### A2.1 IT Resources

The following list of resources provides additional information that may be helpful to Offeror in preparing their responses to this solicitation:

Category	Title	Website
Legislative	Computer Security Act of 1987	<a href="http://www.cdt.org/crypto/admin/computer.security.act.html">http://www.cdt.org/crypto/admin/computer.security.act.html</a>
	Federal Enterprise Architecture website	<a href="http://www.whitehouse.gov/omb/egov/a-1-fea.html">http://www.whitehouse.gov/omb/egov/a-1-fea.html</a>
	Office of Management and Budget (OMB) guidelines on The E-Federal government Act of 2002, Sec. 208 on Privacy Provisions (see Privacy Impact Assessment requirements)	<a href="http://www.whitehouse.gov/omb/memoranda/m03-22.html">http://www.whitehouse.gov/omb/memoranda/m03-22.html</a>
	Title XVII-Federal Government Paperwork Elimination Act	<a href="http://www.whitehouse.gov/omb/fedreg/gpea2.html">http://www.whitehouse.gov/omb/fedreg/gpea2.html</a>
Policies, Regulations and Directives	Department of Defense: Directive on Information Assurance	<a href="http://niap.bahialab.com/cc-scheme/policy/dod/d85001p.pdf">http://niap.bahialab.com/cc-scheme/policy/dod/d85001p.pdf</a>
	Department of Defense: National Security Agency Common Criteria Evaluation and Validation Scheme (CCEVS) security	<a href="http://niap.bahialab.com/cc-scheme/index.cfm">http://niap.bahialab.com/cc-scheme/index.cfm</a>
	Instruction on Information Assurance	<a href="http://niap.bahialab.com/cc-scheme/policy/dod/d85002p.pdf">http://niap.bahialab.com/cc-scheme/policy/dod/d85002p.pdf</a>
	M-06-16, Protection of Sensitive Agency Information	<a href="http://www.whitehouse.gov/omb/memoranda/fy2006/m06-16.pdf">http://www.whitehouse.gov/omb/memoranda/fy2006/m06-16.pdf</a>
	National Security Telecommunications and Information Systems Security Policy (NSTISSP) No. 11, National Information Assurance Acquisition Policy	<a href="http://niap.bahialab.com/cc-scheme/nstissp-faqs.cfm">http://niap.bahialab.com/cc-scheme/nstissp-faqs.cfm</a>
	Office of Management and Budget (OMB) Circular No. A-130,	<a href="http://www.whitehouse.gov/omb/circulars/a130/a130trans4.html">http://www.whitehouse.gov/omb/circulars/a130/a130trans4.html</a>

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Category	Title	Website
	Management of Federal Information Resources OMB Circular A-130 (34 FR 6428), Security of Federal Automated Information Resources" (Appendix III), Feb 96	<a href="http://www.whitehouse.gov/omb/circulars/a130/a130appendix_iii.html">http://www.whitehouse.gov/omb/circulars/a130/a130appendix_iii.html</a>
	OMB Circulars, Memorandums, and Policy Documents	<a href="http://www.whitehouse.gov/omb">www.whitehouse.gov/omb</a>
	PDD 63, Protecting America's Critical Infrastructures	<a href="http://www.fas.org/irp/offdocs/pdd-63.htm">http://www.fas.org/irp/offdocs/pdd-63.htm</a>
	Promoting Information Privacy	<a href="http://www.whitehouse.gov/omb/egov/documents/Promoting_Information_Privacy_Sec208.pdf">http://www.whitehouse.gov/omb/egov/documents/Promoting_Information_Privacy_Sec208.pdf</a>

	Federal Information Security Management Act (FISMA)	<a href="http://www.cio.gov/documents/e_gov_act_2002.pdf">http://www.cio.gov/documents/e_gov_act_2002.pdf</a>
Standards	Federal Information Processing Standards	<a href="http://csrc.nist.gov/publications/fips">http://csrc.nist.gov/publications/fips</a>
	FIPS 199	<a href="http://csrc.nist.gov/publications/fips/fips199/FIPS-PUB-199-final.pdf">http://csrc.nist.gov/publications/fips/fips199/FIPS-PUB-199-final.pdf</a>
	IEEE Standard 1362-1998 , IEEE Guide for Information Technology-System Definition-Concept of Operation (ConOps) document	<a href="http://standards.ieee.org/reading/ieee/std_public/description/se/1362-1998_desc.html">http://standards.ieee.org/reading/ieee/std_public/description/se/1362-1998_desc.html</a>
	NIST Security Publication 800-23, Guideline to Federal Organizations on Security Assurance and Acquisition/Use of Tested/Evaluated Products	<a href="http://csrc.nist.gov/publications/nistpubs/800-23/sp800-23.pdf">http://csrc.nist.gov/publications/nistpubs/800-23/sp800-23.pdf</a>
	NIST Special Publication 800-12, An Introduction to Computer Security	<a href="http://csrc.nist.gov/publications/nistpubs/800-12/handbook.pdf">http://csrc.nist.gov/publications/nistpubs/800-12/handbook.pdf</a>
	NIST Special Publication 800-14, Generally Accepted Principles and Practices for Securing Information Technology Systems	<a href="http://csrc.nist.gov/publications/nistpubs/800-14/800-14.pdf">http://csrc.nist.gov/publications/nistpubs/800-14/800-14.pdf</a>
	NIST Special	<a href="http://csrc.nist.gov/publications/nistpubs/800-16/800-16.pdf">http://csrc.nist.gov/publications/nistpubs/800-16/800-16.pdf</a> ,

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Category	Title	Website
	Publication 800-16, Information Technology Security Training Requirements: A Role- and Performance-Based Model	<a href="http://csrc.nist.gov/publications/nistpubs/800-16/AppendixA-D.pdf">http://csrc.nist.gov/publications/nistpubs/800-16/AppendixA-D.pdf</a> , <a href="http://csrc.nist.gov/publications/nistpubs/800-16/Appendix_E.pdf">http://csrc.nist.gov/publications/nistpubs/800-16/Appendix_E.pdf</a>
	NIST Special Publication 800-18, Guide for Developing Security Plans for Information Technology Systems	<a href="http://csrc.nist.gov/publications/nistpubs/800-18-Rev1/sp800-18-Rev1-final.pdf">http://csrc.nist.gov/publications/nistpubs/800-18-Rev1/sp800-18-Rev1-final.pdf</a>
	NIST Special Publication 800-28, Guidelines on Active Content and Mobile Code	<a href="http://csrc.nist.gov/publications/nistpubs/800-28/sp800-28.pdf">http://csrc.nist.gov/publications/nistpubs/800-28/sp800-28.pdf</a>
	NIST Special Publication 800-30, Risk Management Guide for Information Technology Systems	<a href="http://csrc.nist.gov/publications/nistpubs/800-30/sp800-30.pdf">http://csrc.nist.gov/publications/nistpubs/800-30/sp800-30.pdf</a>
	NIST Special Publication 800-34, Contingency Planning Guide for Information Systems	<a href="http://csrc.nist.gov/publications/nistpubs/800-34/sp800-34.pdf">http://csrc.nist.gov/publications/nistpubs/800-34/sp800-34.pdf</a>
	NIST Special Publication 800-37, Guide for the Security Certification and Accreditation of Federal Information Systems	<a href="http://csrc.nist.gov/publications/nistpubs/800-37/SP800-37-final.pdf">http://csrc.nist.gov/publications/nistpubs/800-37/SP800-37-final.pdf</a>
	NIST Special Publication 800-44, Guidelines on Securing Public Web Servers	<a href="http://csrc.nist.gov/publications/nistpubs/800-44/sp800-44.pdf">http://csrc.nist.gov/publications/nistpubs/800-44/sp800-44.pdf</a>
	NIST Special Publication 800-46, Security for Telecommuting and Broadband Communications	<a href="http://csrc.nist.gov/publications/nistpubs/800-46/sp800-46.pdf">http://csrc.nist.gov/publications/nistpubs/800-46/sp800-46.pdf</a>
	NIST Special Publication 800-47, Security Guide for Interconnecting Information Technology Systems	<a href="http://csrc.nist.gov/publications/nistpubs/800-47/sp800-47.pdf">http://csrc.nist.gov/publications/nistpubs/800-47/sp800-47.pdf</a>
	NIST Special Publication 800-53,	<a href="http://csrc.nist.gov/publications/nistpubs/800-53-Rev1/800-53-rev1-final-clean-sz.pdf">http://csrc.nist.gov/publications/nistpubs/800-53-Rev1/800-53-rev1-final-clean-sz.pdf</a>

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Category	Title	Website
	Revision 1, Recommended Security Controls for Federal Information Systems	
	NIST Special Publication 800- 53A, Guide to Assessing the Security Controls In Federal Information Systems	<a href="http://csrc.nist.gov/publications/drafts/SP800-53A-spd.pdf">http://csrc.nist.gov/publications/drafts/SP800-53A-spd.pdf</a>
	NIST Special Publication 800-60, Version 2, Guide for Mapping Types of Information and Information Systems to Security Categories	<a href="http://csrc.nist.gov/publications/nistpubs/800-60/SP800-60V1-final.pdf">http://csrc.nist.gov/publications/nistpubs/800-60/SP800-60V1-final.pdf</a>
	NIST Special Publication 800-61, Computer Security Incident Handling Guide	<a href="http://csrc.nist.gov/publications/nistpubs/800-61/sp800-61.pdf">http://csrc.nist.gov/publications/nistpubs/800-61/sp800-61.pdf</a>
	NIST Special Publication 800-63 Version 1.0.2, Electronic Authentication Guideline	<a href="http://csrc.nist.gov/publications/nistpubs/800-63/SP800-63V1_0_2.pdf">http://csrc.nist.gov/publications/nistpubs/800-63/SP800-63V1_0_2.pdf</a>
	NIST Special Publication 800-80, Guide for Developing Performance Metrics for Information Security	<a href="http://csrc.nist.gov/publications/drafts/draft-sp800-80-ipd.pdf">http://csrc.nist.gov/publications/drafts/draft-sp800-80-ipd.pdf</a>
	NIST Special Publication SP800- 64, Security Considerations in the Information System Development Life Cycle	<a href="http://csrc.nist.gov/publications/nistpubs/800-64/NIST-SP800-64.pdf">http://csrc.nist.gov/publications/nistpubs/800-64/NIST-SP800-64.pdf</a>
	SAS-70, Statement of Auditing Standards (SAS) No. 70 developed by the American Institute of Certified Public Accountants (AICPA)	<a href="http://www.sas70.com">http://www.sas70.com</a>
	Section 508	<a href="http://www.section508.gov">www.section508.gov</a>

FISMA requires the Offeror to have plans/strategies for information security programs to assure adequate information security for networks, facilities, and information systems which includes the protection of sensitive information processed, transmitted, and stored by information systems. Agencies are required to assess and report their performance in implementing and managing information security programs.

FISMA mandated NIST to develop and promulgate standards and guidance pertaining to federal information systems. NIST developed and published NIST SP 800-53, *Recommended Security Controls for Federal Information Systems*, which identifies minimum security controls for federal information systems. Agencies must define and implement the minimum security controls based on sensitivity of data processed, stored, and transmitted on their information systems. As such, the Offeror will be required to describe their information security program to include planning, implementing, monitoring, and reporting on the implementation and effectiveness of these information system security controls and show how the HR LOB SSC solution shall meet the Federal government's security requirements. Offerors of COTS products should match the features of the packages to government specifications and address assurance. For complex system development efforts, this strategy should include a plan for incorporating and assuring security throughout the development lifecycle.

FIPS Publication 199 documents the approach for establishing security categories (SC) for an organization and/or information system. For this proposal, the Offeror should address the security controls designated for a "moderate" security categorization. However, each government agency will make its own final decision on the security category.

### **A2.2 Management Constraints**

The Offeror should respond to the following management constraints in the Mission Capability - Management section.

#### *A2.2.1 Security Planning*

The Offeror will be required to develop, document, periodically update, and implement security plans for organizational information systems that describes the security controls in place or planned for the information systems and the rules of behavior for individuals accessing the information systems. The system security plan shall meet Appendix III to OMB Circular No. A-130 and NIST standards.

#### *A2.2.2 Risk Assessment*

FISMA mandates government agencies to identify and assess risks to their information security systems and define and implement appropriate security controls to protect their information resources. FISMA requires the agencies to report quarterly and annually on the status of their information security programs. The Offeror will be required to perform periodic risk assessments to the assets and operations.

The Offeror should describe their approach for identifying, documenting, and mitigating risk as mandated by NIST 800-53 and NIST 800-30. At a minimum, the approach should include how the Offeror will assess and mitigate risks to the HR LOB SCC solution.

#### *A2.2.3 Certifications and Commitment*

The Offeror shall provide any certification that may be of value in the evaluation process (e.g. professional certifications, SEI, CMM/CMMI, SAS70, ISO 9001, appraisal disclosure statement). The Offeror shall identify which Offeror (Prime or Sub) holds the certifications. The Offeror shall also provide letters of commitment from major subcontractors.

##### *A2.2.3.1 Security Certification, Accreditation, and Security Assessments*

FISMA requires periodic and continuous testing and evaluation of the security controls in an information system to ensure that the controls are effective in their application. Hence, the Offeror will be required to develop, document, periodically update, and implement security plans for organizational information systems that describe the security controls in place or planned for the information systems and the rules of behavior for individuals accessing the information systems. The Offeror should adhere to all interconnectivity security agreements.

The Offeror should describe their approach to acquiring security certification as mandated by Appendix III to OMB Circular No. A-130, NIST 800-53, NIST 800-37. At a minimum, the approach should describe the frequency of security assessments, process for addressing security control deficiencies, processes for authorizing information systems and managing any associated information system connections; and processes used to monitor system security controls on an ongoing basis. The Offeror should describe any weaknesses identified in the latest security assessment and how those weaknesses are being resolved.

#### *A2.2.4 System and Services Acquisition*

The Offeror should describe how the Offeror handles system and services acquisitions. At a minimum, the Offeror should describe: (1) how the Offeror allocates sufficient resources (hardware, people, etc.) to adequately protect organizational information systems; (2) what is the system development life cycle methodology and how the

methodology incorporates information security considerations; (3) how does the Offeror enforce software usage and installation restrictions; and (4) how will the Offeror ensure that third-party providers employ adequate security measures to protect information, applications, and/or services outsourced from the organization.

### *A2.2.5 Earned Value Management Reporting*

As part of a larger effort by OMB to implement Earned Value Management System (EVMS) requirements Federal government-wide (FAR Part 34.2), Offerors will be required to fully participate in government agency EVMS programs. The Offeror will be required to monitor cost, schedule, and technical performance for program and project-level schedules. The Offeror shall use activity-based costing and other cost performance monitoring tools, such as an Earned Value Management System (EVMS). The Contractor shall use an EVMS that complies with ANSI/EIA Standard EIA-748-A and shall flow EVM requirements to its subcontractors. The Offeror shall assess, quantify, and forecast trends; analyze variances; and facilitate development and implementation of corrective actions. The Offeror shall be certified by a Cognizant Federal Agency (CFA). The certification shall be for the functional organization performing the work on the task order.

In the performance of this contract, the Offeror shall create and follow a System Description for their Program Management Control System (PMCS). This Government-approved document shall describe how the Offeror manages cost and schedule on the program in an EVM-compliant manner. The System Description shall comply with the EVM Guidelines (ANSI/EIA Standard EIA-748-A).

The Offeror shall provide the Federal government with access to all pertinent records and data requested by the Contracting Officer or a duly authorized representative as necessary to ensure that the EVMS conforms to the Federal government EVM practices.

The Offeror shall ensure that its major subcontractors, and other program suppliers comply with the intent of the EVM Guidelines.

Additional information on EVM can be found in OMB Circular No. A-11 (2004), Section 300-3, which can be found at: [http://www.whitehouse.gov/omb/circulars/a11/current\\_year/s300.pdf](http://www.whitehouse.gov/omb/circulars/a11/current_year/s300.pdf).

### *A2.2.6 Training*

The Offeror will ensure that their staff is fully trained and qualified to perform assigned duties and responsibilities under this contract. If the Offeror provides technical staff with applicable certifications, the Offeror shall assure that its staff maintains such certification throughout the life of the contract. The Federal government expects the Offeror to provide staffing with expertise that is current to maintain a satisfactory level of knowledge and skills necessary to perform assigned tasks. The Offeror is responsible for all training expenses incurred by the Offeror personnel.

### *A2.2.7 Ownership Rights*

FAR Clause 52.227-14 is hereby incorporated by reference. At the task order level, data and/or other Enterprise Architecture rights may be addressed in more detail.

## **A2.3 Operational Constraints**

The Offeror should respond to the following constraints in the Mission Capability - Technical Proposal Narrative section.

### *A2.3.1 Personnel Security*

The Offeror shall perform personnel screening as part of granting access to the computer systems. In accordance to Appendix III to OMB Circular No. A-130, the Offeror is expected to review each position and assign a level of risk. The level of risk should have a type of screening appropriate to the personnel who are required to perform each position.

The Offeror should describe their approach which meets NIST personnel security requirements. At a minimum, the Offeror should describe how personnel security is managed, tracked and enforced.

### *A2.3.2 Physical and Environmental Protection*

The Offeror shall provide physical security for computer systems to prevent theft, tampering, and destruction. In addition, the Offeror shall have a plan for protecting the information systems against environment hazards. The

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Offeror should describe the mechanisms in place for physical and environment protection as prescribed by NIST 800-53.

### *A2.3.3 Continuity of Operations Planning and Contingency Planning*

The Offeror will be required to develop Continuity of Operations (COOP) plans that comply with the guidance contained in the Federal Preparedness Circular 65 (FPC-65) for providing continuity of operations in the event of an emergency or disaster. These plans focus on maintaining the continuity of the shared services provided to agencies. If a government agency categorizes the HR LOB SSC solution as essential, the Offeror shall be able to have the HR LOB SSC solution operational within 12 hours of COOP activation.

The Offeror will be required to perform an annual test of the Offeror's Disaster Recovery Plan. That test shall meet Federal standards and any applicable agency customer standards. The results of that test, and any resulting plan for changes to the DRP, should be made available to customer agencies after the conclusion of the test. The Federal government reserves the right to observe the Offeror's Disaster Recovery testing process.

The Offeror should describe their approach for contingency planning as required by Appendix III to OMB Circular No. A-130, NIST 800-53 and NIST 800-34. At a minimum, this approach should discuss the planning, testing and training the contingency plan, back-up operations, alternate storage and processing sites, alternate telecommunication services. The Offeror should also describe the scope and results of the latest disaster recovery exercise, any deficiencies and how those deficiencies are being resolved.

### *A2.3.4 Configuration Management*

The Offeror shall have formal configuration management and change control processes around their hardware, software, and firmware components. Information systems will typically be in a constant state of migration with upgrades and these changes can have a significant impact on the security of the system. The Federal government will require the Offeror to document information system changes to the hardware, software, and firmware and to assess the potential impact on the security of the system on an ongoing basis is an essential aspect of maintaining the security accreditation.

The Offeror should describe their approach for configuration management and configuration control procedures. At a minimum, the approach should describe how the Offeror: (1) establishes and maintains baseline configurations on hardware, software, firmware and documentation for the HR LOB SSC solution and (2) manages change through the development lifecycle.

### *A2.3.5 System Maintenance*

The Offeror shall perform routine preventative and regular maintenance on the components of the information system in accordance with manufacturer or vendor specifications and/or organizational requirements.

The Offeror should describe their approach for performing system maintenance as required by NIST 800-53. At a minimum, this approach should describe: (1) how the Offeror performs periodic maintenance on information systems and what type of maintenance logs are produced; and (2) how the Offeror provides effective controls on the tools, techniques, mechanisms, and personnel used to conduct information system maintenance.

### *A2.3.6 System Information and Integrity*

The Offeror shall have implemented controls that ensure the integrity of the information systems. The Federal government defines an incident as a violation or imminent threat of violation of computer security policies, acceptable use policies, or standard security practices. Examples of incidents include: the denial of service (e.g., an attacker sends specially crafted packets to a Web server, causing it to crash); malicious code (e.g., a worm uses open file shares to quickly infect several hundred workstations within an organization); unauthorized access (e.g., an attacker runs an exploit tool to gain access to a server's password file), inappropriate usage (e.g., a user provides illegal copies of software to others through peer-to-peer file sharing services)

The Offeror should describe their approach to ensuring system integrity as required by NIST 800-53. At a minimum, the approach should describe how the Offeror: identifies, reports, and corrects information and information system flaws; protects the system from malicious code; and monitors information system security alerts and advisories and take appropriate actions.

The process of tracking and responding to the incident is addressed in the incident response section.

### *A2.3.7 Media Protection*

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The Offeror shall provide media protection on the information systems. An attacker wishing to gain access to an organization's sensitive data may choose to recover supposedly deleted data from media or memory. This residual data may allow unauthorized individuals to reconstruct and thereby gain access to sensitive information.

The Offeror should describe their approach to providing media protection as identified in NIST 800-53. At a minimum, the approach should describe the mechanisms in place for protecting information system media, limiting access to information, and sanitizing the information system media before disposal.

### *A2.3.8 Incident Response*

The Offeror shall have a formal incident response process. Incident response has become necessary because attacks frequently cause the compromise of personal and business data. Malicious code incidents have disrupted or damaged millions of systems and networks around the world. In response to these threats, the Federal government has accepted the concept of computer security incident response. Federal agencies must comply with law, regulations, and policy directing a coordinated, effective defense against information security threats. Some policies include:

- OMB's Circular No. A-130, Appendix III, which directs Federal agencies to "ensure that there is a capability to provide help to users when a security incident occurs in the system and to share information concerning common vulnerabilities and threats. This capability shall share information with other organizations ... and should assist the agency in pursuing appropriate legal action, consistent with Department of Justice guidance."
- FISMA, which requires agencies to have "procedures for detecting, reporting, and responding to security incidents" and establishes a centralized Federal information security incident center, in part to—
  - "Provide timely technical assistance to operators of agency information systems ... including guidance on detecting and handling information security incidents ...
  - Compile and analyze information about incidents that threaten information security ...
  - Inform operators of agency information systems about current and potential information security threats, and vulnerabilities ... ."

The Offeror should describe their approach for responding to incidents as defined in the NIST 800-53 and 800-61. At a minimum, the approach should describe the agency plans to handle incidents (e.g., the reporting, tracking, documenting, monitoring and notification processes).

### *A2.3.9 Security Awareness and Training*

The Offeror shall ensure that the Offeror's and subcontractor's personnel involved in the management, use and operation of HR LOB SSC solution have received training appropriate to their assignment in accordance with NIST 800-53, NIST SP 800-50, and Appendix III to OMB Circular No. A-130. The Offeror should describe their security awareness training program.

## **A2.4 Technical Constraints**

The Offeror should respond to the following constraints in the Mission Capability - Technical Proposal Narrative section.

### *A2.4.1 Identification and Authentication*

The Offeror's HR LOB SSC solution shall provide identification and authentication controls. Identification and authentication are the basic building blocks of security features in systems. To enforce accountability and access control, all users (e.g., people, devices, invoked processes) shall identify and authenticate themselves before access to particular functions within the system. The Offeror should describe the mechanisms used in their HR LOB SSC solution for identification and authentication controls which meet NIST 800-53 and NIST 800-63.

### *A2.4.2 Access Control*

The Offeror's HR LOB SSC solution shall provide access control. Access control ensures that all access to resources is authorized where necessary. Access control protects confidentiality and integrity and supports the principles of legitimate use, least privilege, and separation of duty. The Offeror should describe how their HR LOB SSC solution performs access control and ensures separation of duty for users, devices, or process invoked on behalf of a user.

### *A2.4.3 Audit and Accountability*

The Offeror's HR LOB SSC solution shall provide audit and accountability controls. Auditing provides protection by enabling organizations to record meaningful actions within the system and to hold the user accountable for each action. The recorded audit data (e.g., audit trail) can assist the system security officer in determining who is responsible for a problem (e.g., accountability) or how a problem was caused.



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The Offeror should describe the granularity of audit records and how HR LOB SSC solution meets NIST 800-53 audit and accountability controls. The approach should indicate whether the Offeror (or Federal government) can monitor, analyze, investigate and report the unlawful, unauthorized, or inappropriate information system activity and whether the HR LOB SSC solution generates records that can be uniquely traced to originating users so that they can be held accountable for their actions. The Offeror should also describe how they manage audit storage capacity and audit processing failures.

The Federal government reserves the right to audit the Offeror's services both before implementation and in operation. The Offeror shall be available to support an audit. The Audit may include, but is not limited to, security and controls audit and audit of the Offeror's performance metric monitoring processes and results.

### *A2.4.4 System and Communication Protection*

The Offeror's HR LOB SSC solution shall provide system and communication protection as defined by NIST 800-53. The Offeror should describe how their solution provides application partitioning, boundary protection, and transmission integrity. In addition, the Offeror should state if mobile code is used and mobile code safeguards (i.e., preventing unauthorized access, manipulation of resources, and malicious actions using user's identity, etc.)

If the Offeror's solution uses cryptography, the Offeror shall meet the requirements defined in NIST SP 800-21, *Guideline for Implementing Cryptography in the Federal government*; FIPS PUB 140-2, *Security Requirements for Cryptographic Modules*,

#### *A2.4.4.1 Use of Mobile Code*

The Offeror shall abide the Department of Defense (DOD) policy on the use of mobile code. The DOD policy identifies three categories of mobile code and the characteristics which are permitted for each category. DOD recognizes that if mobile code's risk is assigned using the categories and characteristics described above, the risk of allowing mobile code through a firewall may be reduced. The following table summarizes DOD's recommendations for use of mobile code.

Broad functionality	Signed	Trusted source	Approved PKI signing certificate	Unsigned requires waiver
Full functionality with limited control	Signed	Trusted source	Over an "assured channel"	
Limited functionality	Unsigned	Stand-alone computers only		
	May be used			

NIST has been concerned with accessing public as oppose to private or sensitive information. Thus, the focus has been on protecting government systems from mobile code threats. NIST recommends deploying the lowest risk mobile code technology on websites and disabling risky mobile code technologies on browsers. The Offeror should review NIST SP800-28, NIST SP800-44, and NIST SP800-46 for additional guidance for mobile code.

### **A2.5 Other Considerations**

The Offeror should consider the following constraints when responding to the RFP.

#### *A2.5.1 Privacy Protection*

The Offeror shall ensure data confidentiality, integrity and privacy in accordance with Federal security policies. The Offeror shall prevent unauthorized access to Federal government data at all times, and shall demonstrate in its proposal how its systems and processes will prevent unauthorized access. Since the Offeror will deliver services to Federal agencies and handle Federal employee information, the Offeror and its employees will be governed by the provisions of the Federal Privacy act (FPA). Refer to the most current version of Federal Acquisition Regulations (FAR) 48 CFR Ch.1, Part 24.1 ([http://acquisition.gov/far/current/html/Subpart%2024\\_1.html](http://acquisition.gov/far/current/html/Subpart%2024_1.html)) to ensure compliance with the FPA. Additionally, for the purposes of the 5 U.S.C. 552a(i) (US Code for records maintained on individuals) the Offeror and its employees will be held to the same standards as Federal employees.

Any information system developed and/or operated for the Federal government under the terms of this solicitation shall be developed and/or operated so as to comply with all relevant provisions of the Federal Privacy Act of 1974, the Federal e-Federal government Act of 2002, and any other applicable Federal privacy statutes and regulations. At a minimum, the Offeror will create and update the Privacy Impact Assessment (PIA) for HR LOB SSC systems that gather personal information. The PIA is a checklist required by the E-Federal government Act of 2002 that should be used when designing and developing a new or amended information system that contains information on individuals.

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The purpose of the PIA is to ensure that privacy protections and Privacy Act requirements are considered in information systems.

For additional information on FPA compliance visit the OPM website dedicated to this purpose at <http://www.opm.gov/feddata/html/privacy.asp> and Federal Enterprise Architecture website at <http://www.whitehouse.gov/omb/egov/b-1-information.htmlps>.

### *A2.5.2 Information Technology Accessibility Standards*

Electronic and Information Technology (EIT) is defined as, any equipment or interconnected system or subsystem of equipment, which is used in the creation, conversion, or duplication of data or information. The term electronic and information technology includes, but is not limited to, telecommunications products (such as telephones), information kiosks and transaction machines, World Wide Web sites, multimedia, and office equipment such as copiers and fax machines.

The Offeror shall indicate whether each product or service is compliant or non-compliant with the accessibility standards at 36 CFR 1194. Further, the proposal shall indicate where full details of compliance can be found through a voluntary product accessibility template (VPAT) or other means (e.g., vendor's website or other exact locations).

All electronic and information technology (EIT) procured through this proposal shall meet the applicable accessibility standards at 36 CFR 1194, unless an agency exception to this requirement exists. 36 CFR 1194 implements Section 508 of the Rehabilitation Act of 1973, as amended. Information about this act is available at <http://www.section508.gov/index.cfm?FuseAction=Content&ID=12> and <http://www.access-board.gov/508.htm>

The following standards have been determined to be applicable to this RFP:

- 1194.21 Software applications and operating systems.
- 1194.22 Web-based intranet and Internet information and applications.
- 1194.23 Telecommunications products.
- 1194.24 Video and multimedia products.
- 1194.26 Desktop and portable computers.
- 1194.31 Functional performance criteria.
- 1194.41 Information, documentation and support.

The standards do not require the *installation* of specific accessibility-related software or the attachment of an assistive technology device, but require the EIT be compatible with such software and devices so that it can be used with assistive technology if so required by the agency in the future.

### *A2.5.3 Section 508 Requirements*

Federal agencies require all electronic and information technology (EIT) procured through this contract/order shall meet the applicable accessibility standards at 36 CFR 1194. 36 CFR 1194 implements Section 508 of the Rehabilitation Act of 1973, as amended, and is viewable at: <http://www.access-board.gov>. Section 508 of the Rehabilitation Act of 1973 requires agencies to offer access to electronic and information technology for individuals with disabilities within its employ, and for members of the public seeking information and services. This access shall be comparable to that which is offered to individuals who do not have disabilities. Standards for complying with this law are prescribed by the Architectural and Transportation Barriers Compliance Board ("The Access Board"). The enforcement provision of section 508 takes effect for contracts issued on or after June 21, 2001.

The Offeror shall abide by this law and ensure that all information created or used under this proposal conforms to the Section 508 requirements. The Offeror shall ensure that all web sites and applications which are part of the HR LOB SSC solution are compliant with Section 508 standards.

For additional information, the Offeror should visit the [www.section508.gov](http://www.section508.gov), [www.access-board.gov](http://www.access-board.gov) and [www.arnet.gov](http://www.arnet.gov).

### *A2.5.4 IV&V Testing and User Acceptance Testing*

The Federal government reserves the right to subject the Offeror's services to Independent Validation and Verification (IV&V) and/or User Acceptance testing. If any defects are identified, the Offeror will remediate the defect and the Federal government as the right to retest as required before the Federal government accepts the software.

Federal government acceptance is subject to Federal Acquisition Regulation (FAR) 52.212-4(a) Inspection/Acceptance.

### *A2.5.5 Data Storage Management*

Storage requirements for human resource (HR) and other non-payroll related records are defined in the National Archives and Records Administration (NARA) General Records Schedule (GRS) 1, which is published at <http://www.archives.gov/records-mgmt/ardor/grs01.html>. Storage requirements for payroll and pay administration records are defined in the National Archives and Records Administration (NARA) General Records Schedule (GRS) 2, which is published at <http://www.archives.gov/records-mgmt/ardor/grs02.html>.



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