

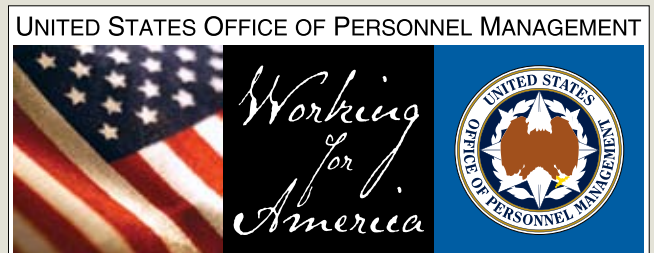


UNITED STATES OFFICE OF PERSONNEL MANAGEMENT

# INFORMATION TECHNOLOGY (IT) STRATEGIC PLAN

FY 2006 - FY 2010

November 2006



## Revision Sheet

Release No.	Date	Revision Description
Rev. 1.0	05/1/05	Version 2
Rev 1.1	02/24/06	Version 3 – Draft revision
Rev 1.2	02/28/06	Version 3
Rev 1.3	03/31/06	<p>Version 4</p> <ul style="list-style-type: none"> <li>-Document updated according to 2006-2010 OPM Strategic Plan Section 2.1</li> <li>-updated Mission Statement</li> <li>-updated major activities performed by OPM</li> <li>-inserted paragraph on retirement modernization efforts</li> <li>-updated OPM Strategic goals</li> </ul> <p>Section 2.2</p> <ul style="list-style-type: none"> <li>-organizational chart updated</li> </ul>
Rev 1.4	4/30/06	<p>Version 4</p> <ul style="list-style-type: none"> <li>- Added message from the CIO</li> <li>-Section 2               <ul style="list-style-type: none"> <li>• -vision and mission re-worked to support new OPM Mission</li> <li>• --revised text to remove sections of repetitive/non-essential text</li> <li>• --revised IT Management Goals slightly to focus on OPM</li> <li>• Added summary table of IT Strat Goals</li> <li>• Added mapping of IT Goals to OPM Goals</li> </ul> </li> <li>-Section 5.3-changed CIS performance goals/objectives to map to IT management and OPM; removed performance measure mappings.</li> <li>- Section 6.0 – added description and reworked language</li> <li>- Section 7.0 – added a summary paragraph to the document</li> </ul>
Rev 1.5	11/30/06	<p>Version 5</p> <ul style="list-style-type: none"> <li>- Updated the FY06 results for CIS performance measures and the balanced scorecard</li> <li>- Updated ASG, BSG, NMG, and DSG milestones and results</li> <li>- Discussed Retirement Systems Modernization effort in more detail</li> <li>- Highlighted the IRM and EVM PMO process updates</li> <li>- Validated the functions of CIS groups</li> <li>- Removed some of the CPIC appendices; items will be covered in CPIC Guide</li> </ul>

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## MESSAGE FROM THE CHIEF INFORMATION OFFICER

*Following closely on the heels of the OPM Strategic and Operational Plan 2006 - 2010, I am pleased to present the Office of Personnel Management's new Information Technology Strategic Plan FY 2006 - FY 2010. In keeping with our strategic objective of being a model of performance for other Federal agencies, OPM is dedicated to designing and establishing an IT strategic plan that utilizes industry best practices.*

*To further support the OPM Strategic and Operational Plan, we have detailed our other IT strategic objectives in areas such as support of e-Gov initiatives and tighter integration of our capital planning and investment control processes. We have also mapped our OPM Goals and Objectives directly to our IT strategic goals to ensure we fully support OPM's mission.*

*Information technology is a powerful tool and a vital asset that must be strategically deployed to ensure OPM is meeting its operational goals. This plan provides the blueprint of our approach to effectively manage our IT to help OPM meet these operational goals and move us forward in our vision to ensure, "OPM's IT investments support the achievement of OPM's strategic goals and are well-managed, cost-effective, and secure". As we move forward, dedicated to making sure OPM reaches its goals, I am committed to using the power of information technology to ensure OPM's success in fulfilling this mission.*

-- Janet L. Barnes, CIO

## 1 INTRODUCTION

The Office of Personnel Management (OPM) works with the President of the United States, Congress, cabinet level departments and agencies, and other stakeholders to implement human capital policies that assist Federal agencies in meeting their strategic goals. This is accomplished by recruiting citizens to Federal service, by serving as the main portal for employment information, and connecting job applicants with Federal agencies and departments. OPM provides a broad range of support to the Federal Government by conducting background investigations, Merit Systems Principals oversight, training and development policy and services, health benefits, and retirement system management. OPM connects people, and their skills and talents to Federal agencies that need specific human resources. OPM provides these agencies with policies and guidance that enable them to capitalize on these skills and talents.

OPM's information technology assets are integral to the accomplishment of this mission. The use of Information Technology (IT) is carefully managed at the Agency through various IT management processes such as capital planning and investment control (CPIC), enterprise architecture (EA), IT governance, IT security, and Systems Development Life Cycle (SDLC) management. The IT Strategic Plan FY 2006 - FY 2010 serves to document the strategy and priorities that guide the Chief Information Officer (CIO) and other Center for Information Services (CIS) personnel in the execution of IT management and related processes in support of the Agency's mission.

This plan begins by outlining the Agency's mission and strategic goals, the stakeholders that have a vested interest in OPM, and the business that OPM performs. In addition, the plan details the roles of the CIO and CIS, outlines the e-Government initiatives that have been led by OPM for several years, and describes the multi-year operating plans for each of the CIS divisions. Finally, the plan describes the enterprise-wide IT performance measures that are detailed and the key IT management processes.

## **2 OVERVIEW OF OPM'S APPROACH TO IT MANAGEMENT**

OPM recently released its Strategic and Operational Plan 2006 – 2010. The new plan outlines OPM's goals and objectives, that are aligned more closely with Agency principles, and core business milestones. The following section details the OPM goals.

### **2.1 OPM Mission and Business Goals**

The Office of Personnel Management is responsible for fulfilling its mission:

*To ensure the Federal Government has an effective civilian workforce.*

OPM will accomplish its mission by:

- *Providing human capital advice and leadership for the President of the United States and Federal agencies.*
- *Delivering human resource policies, products and services.*
- *Ensuring compliance with merit system principles and protection from prohibited personnel practices.*
- *Holding agencies accountable for their human capital practices.*

OPM is committed to accomplishing the above mission and goals. The next section provides information on how OPM organized its program offices to achieve its mission.

## 2.2 OPM Operations

OPM’s organizational structure is shown below. The OPM employees have adapted to the business environment set forth in the OPM Strategic and Operational Plan 2006-2010 and will continue to be flexible with any operational changes. OPM will update its business environment based on any modifications that occur.

The following table provides the primary functions of OPM’s offices and divisions.

**Table 2-1: OPM Office / Division Functions**

OPM Office or Division	OPM Office Functions
Office of the Director	<ul style="list-style-type: none"> <li>• Plan, coordinate, and direct a comprehensive effort to inform Congress of the President’s and Director’s goals, plans, and activities that have a bearing on proposed or desired legislation.</li> <li>• Counsel and advise the Director and other OPM officials on Congressional relations matters.</li> <li>• Develop strategies for achieving the President’s agenda and OPM’s legislative program.</li> </ul>
Office of the Deputy Director	<ul style="list-style-type: none"> <li>• Supports Director’s Office.</li> <li>• Represents OPM on a number of important external initiatives and internal reform efforts.</li> <li>• Chairs OPM’s critical outreach program to veterans.</li> <li>• Sits on the President’s Council on Integrity and Efficiency.</li> </ul>
Office of the Chief of Staff and Director of External Affairs	<ul style="list-style-type: none"> <li>• Internally and externally promote and defend the heritage and principles of America’s civil service.</li> <li>• Aggressively correct any misinformation that could cloud or challenge the integrity of the Federal civil service.</li> <li>• Communicate messages to the public via different techniques such as: media relations, education, internal and external communication, events, marketing, product production, and publication services.</li> </ul>
Human Capital Leadership and Merit System Accountability Division (HCLMSA)	<ul style="list-style-type: none"> <li>• Advise the Director and other senior officials regarding Congressional testimony related to human capital management and accountability.</li> <li>• Represent the Director before Congressional hearings.</li> <li>• Assess and report Agency’s results and adherence to Merit System Principles, veteran’s preference, and other Government-wide standards.</li> </ul>
Strategic Human Resources Policy Division	<ul style="list-style-type: none"> <li>• Design, develop, and promulgate merit-based employment, development, and learning systems, policies, and programs that Federal agencies use to recruit, examine, hire, train, and develop high quality employees from diverse backgrounds.</li> <li>• Approve, or prepare for approval, variations, waivers, and exceptions to established policies, rules, and regulations high quality, timely, and cost effective products and services that support recruitment, assessment, staffing, effective organizational environment and appropriate use of Human Resources including automated systems, technical assistance, training management assistance, and development.</li> </ul>



OPM Office or Division	OPM Office Functions
Office of Communications and Public Liaison (OCPL)	<ul style="list-style-type: none"> <li>Internally and externally promote and defend the heritage and principles of America's civil service.</li> <li>Aggressively correct any misinformation that could cloud or challenge the integrity of the Federal civil service.</li> <li>Communicate messages to the public via different techniques such as: media relations, education, internal and external communication, events, marketing, product production, and publication services.</li> </ul>
Office of Congressional Relations (OCR)	<ul style="list-style-type: none"> <li>Advise the OPM Director on the views of Congress on OPM initiatives and programs.</li> <li>Educate, respond, interact, and advise Congress and serve the needs of the OPM Director, the Administration, and Congress.</li> <li>Advise the OPM Director on the views of Congress on OPM initiatives and programs.</li> </ul>
Office of the Inspector General (OIG)	<ul style="list-style-type: none"> <li>Conduct comprehensive and independent audits, investigations, and evaluations relating to OPM programs and operations.</li> <li>Responsible for administrative actions against health care providers who commit sanctionable offenses with respect to the Federal Employees' Health Benefits Program or other Federal programs.</li> <li>Inform the Director and Congress about problems and deficiencies in the administration of Agency programs and operations, and the necessity for corrective action.</li> </ul>
Federal Investigative Services Division (FISD)	<ul style="list-style-type: none"> <li>Provide personnel investigation services for Federal Government workforce.</li> </ul>
Human Resources Products and Services Division (HRPS)	<ul style="list-style-type: none"> <li>Provide high-quality, cost-effective products and services that help OPM customers recruit and retain the best talent.</li> </ul>
Management Services Division (MSD)	<ul style="list-style-type: none"> <li>Implement OPM's management strategy and the President's Management Agenda within the Agency.</li> <li>Define and lead the transformation of OPM's target state and transition strategy</li> <li>Determine and ensure that the appropriate programs, technologies and other recourses receive funding.</li> <li>Provide information technology, human resources, and administrative services.</li> </ul>
Office of the Chief Financial Officer (OCFO)	<ul style="list-style-type: none"> <li>Implement OPM's financial strategy and the President's Management Agenda within the agency.</li> <li>Determine and ensure that OPM's programs and technologies receive funding</li> <li>Provide agency wide financial services.</li> <li>Coordinate the measurement and evaluation of OPM programs.</li> </ul>
Office of General Counsel (OGC)	<ul style="list-style-type: none"> <li>Provide timely and accurate legal advice to the Director, Deputy Director, and program offices to further their missions.</li> <li>Provide timely and effective litigation services to the Director, the Agency, and its components by representing the Agency in administrative tribunals and assisting the Department of Justice (DOJ) in its representation of OPM and other agencies facing litigation implicating human resource issues.</li> </ul>
Executive Director and Senior Counselor	<ul style="list-style-type: none"> <li>Executive Director of OPM, reporting to the Director.</li> </ul>

OPM Office or Division	OPM Office Functions
Senior Policy Advisors	<ul style="list-style-type: none"> <li>• Advise the OPM Director on the views of Congress on OPM initiatives and programs.</li> <li>• Educate, respond, interact, and advise the Congress and to serve the needs of the OPM Director, the Administration, and the Congress.</li> <li>• Advise the OPM Director on the views of Congress on OPM initiatives and programs.</li> </ul>
Office of Human Resources Line of Business (HR LOB)	<ul style="list-style-type: none"> <li>• Manage and implement the Human Resources Line of Business (HR LOB).</li> <li>• Create a framework for Government-wide, modern, cost effective, standardized, and interoperable HR solutions that provide common core functionality and maximize the automation of processes to support the strategic management of Human Capital.</li> <li>• Apply the principles of e-Government to develop automated HR solutions that better serve citizens and achieve improvements through refined business practices and more efficient management of information technology resources.</li> </ul>
Federal Prevailing Rate Advisory Committee (FPRAC)	<ul style="list-style-type: none"> <li>• The Federal Prevailing Rate Advisory Committee studies the prevailing rate system and other matters pertinent to the establishment of prevailing rates for blue-collar federal employees and advises the Director of OPM on the issue.</li> </ul>

### **2.2.1 OPM Stakeholders and Business Partners**

All OPM programs are ultimately focused on benefiting citizens, Federal employees and retirees, either through direct or indirect means. OPM's stakeholders are those individuals and groups in the public and private sectors interested in or affected by the Agency's activities and decisions.

Key OPM stakeholders include:

- The President of the United States is one of the stakeholders in the business operations of OPM. OPM serves the President by functioning as the corporate human capital organization in the Federal Government.
- OPM serves Federal Employees, families, and annuitants through human capital policies and by administering retirement, health benefits, long-term care and life insurance programs.
- The American public benefits directly from OPM's service offerings through the recruitment, selection, and retention of the Federal workforce and other human capital policies designed to help agencies improve the effectiveness of the workforce.

Key OPM business partners include:

- Other Federal Agencies that OPM serves by providing human resources management services that improve their ability to build high performance organizations and meet their missions.
- Financial Institutions that utilize financial applications from OPM to facilitate income security for retired employees and ensure that payments are received in a timely and accurate manner.
- Insurance Programs that receive feedback from employees regarding health plan performance and insurance programs information materials and training.

OPM is committed to meeting the needs of all stakeholders.

## **2.3 Role of the Chief Information Officer (CIO) and Information Technology at OPM**

The Clinger-Cohen Act requires executive agency Chief Information Officers to promote "the effective and efficient design and operation of all major information resources management processes for the executive agency, including improvements to work processes of the executive agency." The following sections detail how the OPM CIO will to meet this objective.

### **2.3.1 OPM's IT Vision**

In support of OPM's Mission to "ensure the Federal Government has an effective civilian workforce", CIS continues to advance OPM's IT infrastructure and systems through a rigorous IT management program. The IT management program enables OPM to find solutions and manage IT resources effectively. To be successful in this mission, OPM will continue its work to update and implement systems of critical importance to government operations and to successfully maintain and upgrade the IT infrastructure.

To support its Mission OPM has adopted this IT Vision:

*OPM's IT investments support the achievement of OPM's strategic goals and are well-managed, cost-effective, and secure.*

### **2.3.2 CIO Relationship to Organization**

The CIO defines IT policies and procedures and helps ensure OPM's strategic goals are accomplished through the effective use of information technology. In accordance with the Office of Management and Budget (OMB) Circular A-130, these policies and this IT Strategic Plan support OPM's strategic direction by integrating IT decisions with organizational planning, budget, procurement, financial management, human capital management, and program decisions to improve Agency and program performance.

CIS provides the critical day-to-day IT support and services to the Agency through:

- The Data Center Group that manages and operates the mainframe/enterprise servers and performs production processing activities.
- The Application Systems Group that designs, develops, and maintains application systems in support of most program offices, and e-Government projects.
- The Benefits Systems Group that designs, develops, and maintains application systems for the Center for Retirement and Insurance Services.
- The Network Management Group that manages and operates network and data communications functions, including personal computers/workstations, local and wide area networks, data communications, and web sites.

The CIS groups listed above provide services that include: establishing Agency-wide IT policy, plans, standards, and budgets; coordinating IT capital investments; developing and maintaining OPM's integrated Agency-wide IT architecture; and promoting improvements in work processes and IT skills and resources. In addition, CIS responds to Agency-wide information resources management requirements imposed by law and central management agencies, and provides Agency-wide policy, advice, and services on the Freedom of Information Act, Privacy Act, reports, forms, and records management. The CIS activities are funded through the OPM general fund; trust fund transfers, advancements and reimbursements; and the revolving fund.

## **2.4 Current Status of IT at OPM**

OPM's information technology infrastructure and architecture have evolved dramatically since the early-1990s. The Agency has migrated from a very decentralized and stove-piped environment to one that today is highly integrated, standardized, and centrally managed. By the mid-1990s, OPM, as was true for many agencies at the time, had multiple, customer- or application-centric mainframe data centers that were managed by program organizations. OPM also had multiple local area and wide area networks that were also organization-centric and managed independently. OPM's hardware, including mainframes, servers, desktops, and routers and switches, was a collection of disparate technologies, many of which were not interoperable. The network and desktop operating system software, desktop productivity software and even email systems were not standardized, uniformly deployed and available OPM's telecommunications network was a collection of non-integrated systems. OPM had significant problems sharing information within the Agency and was viewed as having "islands of automation".

This situation began to change in 1995. Downsizing at OPM, driven by severe budget reductions, forced the beginning of a re-evaluation of IT and resulted in the initiation of consolidation of IT management. At about the same time, the Clinger-Cohen Act was passed, and OPM appointed its first CIO, which further emphasized the need for central accountability for IT. One of the CIO's first actions was to begin the process of developing an Architecture Vision. This Vision, which has now evolved into the Enterprise

Architecture, defined OPM’s IT management principles, goals, and objectives, and established the overall roadmap to centralize and manage OPM’s IT infrastructure as a single network so the Agency could gain the benefits of technology.

By following this Architecture Vision, OPM has already achieved a high level of integration and standardization. OPM now has a single data center, managed by CIS, that provides Agency-wide services. OPM has a backbone wide area network (WAN) and local area network (LAN) segments with compatible technology, which are centrally managed by CIS. The Agency has standardized its hardware and software environments, including operating systems, office automation tools and email, and centrally manages and administers technology refreshment. OPM has centralized its help desk, network engineering, and network administration. Finally, OPM has established an Agency-wide Enterprise Architecture, an Agency-wide IT security program, and an Agency-wide systems development lifecycle management approach.

Together, the OPM Strategic Plan, the Enterprise Architecture, the IT Strategic Plan, and OPM’s Annual Performance Plan provide the ongoing guidance for improving the use and management of technology to support the accomplishment of OPM’s mission. OPM is committed to meeting its Annual Performance Objectives that calls for CIS to support OPM’s mission by providing information technology advice, guidance, and services that are secure, efficient and effective.

## 2.5 IT Goals and Management

OPM’s overarching IT management goal is to strengthen Agency IT management processes and effectively use IT resources. The Enterprise Architecture (EA) and Capital Planning and Investment Control (CPIC) efforts are the two key integrated components of the Agency’s IT management effort. OPM is transitioning from a current state architecture to its target state through the implementation of sound CPIC decisions, analysis, and data. Conversely, the CPIC process draws reference information from the target architecture and the migration plan to ensure that the IT portfolio remains aligned with overall Agency goals. The following list provides specific examples of the relationship between EA and CPIC:

- The target architecture contains information on business objectives and functions, and maps them to OPM organizational lines of business and business processes. The IT CPIC process validates that IT initiatives remain aligned with these goals and functions.
- The EA provides a comprehensive list of technology standards and/or products that have been approved for use. IT initiatives in the OPM portfolio must conform to the standards and products.
- EA provides a transition plan for migrating from the baseline to target architecture. Modifications to existing applications and technology components are addressed in the transition plan. The CPIC process validates that all IT initiatives are moving OPM towards its target architecture and are aligned with the strategies and schedules in the transition plan.

OPM has developed IT Strategic goals and objectives that will guide how OPM manages its investments and process to track and achieve tangible results. They are summarized in the table below:

**Table 2-2: IT Strategic Goals**

<b>IT Goal 1</b>	<b>Ensure OPM’s IT operations are cost-effective, reliable, and responsive to customer needs.</b>
Objective 1.1	Ensure every OPM employee has access to necessary IT hardware and applications to reach peak efficiency.

Objective 1.2	Ensure IT System Support is available and timely in responding to OPM needs.
Objective 1.3	Recruit, develop, and maintain a qualified, professional IT workforce.
Objective 1.4	Ensure that OPM customers and stakeholders are satisfied with OPM provided IT products and services.
<b>IT Goal 2</b>	<b>Standardize OPM's technical infrastructure and evolve it to meet a changing environment.</b>
Objective 2.1	Maintain consistent availability of OPM technical infrastructure
Objective 2.2	Expand effectiveness of e-Government initiatives
Objective 2.3	Ensure the advancement of OPM's tools, applications, and technical standards through periodic updates
<b>IT Goal 3</b>	<b>Ensure OPM's data, systems, and IT equipment are safe from destruction, loss and abuse.</b>
Objective 3.1	Ensure OPM IT equipment is monitored and secured.
Objective 3.2	Properly safeguard IT equipment with regular maintenance and care.
Objective 3.3	Ensure OPM IT users are familiar with proper use and maintenance of OPM systems and hardware, as well as proper methods for data handling and storage.
<b>IT Goal 4</b>	<b>Ensure IT Policies are current, easy to understand, and compliant with legal and regulatory requirements.</b>
Objective 4.1	Ensure all OPM Policy documents are updated as necessary.
Objective 4.2	Populate information through proper communication channels.
Objective 4.3	Request feedback on usability and perceived value of OPM IT documents.
<b>IT Goal 5</b>	<b>Drive IT Transformation that will improve program service and delivery speed and flexibility</b>
Objective 5.1	Ensure all OPM led e-Gov solutions are on schedule and within operating budget.
Objective 5.2	Evolve the integration between EA, Capital Planning Investment Control (CPIC), the Information Technology Systems Manager (ITSM) processes, and information technology strategic planning.
Objective 5.3	Continue initiatives identified in the EA transition plan through the CPIC process in accordance with the OPM's IT management approach.

**IT Goal 1.0 – OPM's IT operations are cost-effective, reliable, and responsive to customer needs.**

OPM aims to respond to their customer's needs with the expansion of the e-government programs. CIS seeks to aid this mission by ensuring all systems are cost-effective, and a system support staff is available to respond quickly to any application problems that may occur. OPM seeks to recruit talented individuals that are dedicated to the OPM mission and to aid the Federal Government in recruiting a workforce capable of meeting future demands.

**IT Goal 2.0** – Standardize OPM's technical infrastructure and evolve it to meet a changing environment.

CIS seeks to support OPM stakeholders and employees by standardizing OPM's technical infrastructure and implementing a standardized method of IT acquisition in accordance with the OPM Enterprise Architecture (EA) version 8. This process is achieved through routine updates and system analysis.

**IT Goal 3.0** – OPM's data, systems, and IT equipment are safe from destruction, loss and abuse.

The safe operation of IT equipment is paramount to the success of OPM services. Not only does a decrease in equipment damage and loss effect cost savings of IT equipment, but improves employee efficiency. The following objectives will help ensure the safety of OPM IT equipment.

**IT Goal 4.0** – OPM's IT Policies are current, easy to understand, and compliant with legal and regulatory requirements.

CIS will work with OPM to ensure all IT documents are up to date and are widely socialized throughout the Agency. Communication of OPM policies throughout CIS and OPM aids employees in supporting the Agency mission and working across agencies in the Federal government. With full understanding of governance and policy documents all employees can work together towards creating a successful IT office at OPM.

**IT Goal 5.0** – Drive IT Transformation that will improve program service and delivery, speed and flexibility.

Implementation of OPM's E-Gov initiatives has enabled the Agency to support the Presidential Priority E-Gov Initiatives and the Federal Government's Lines of Business (LOB) Initiatives. Effective E-Gov partnerships result in Government cost reductions, services to citizens, improvements, and business-process standardization. OPM continues to conceptualize, design, and implement streamlined systems for the Federal Government in the areas of security clearances, payroll, retirement benefits and other human resource services. As a result, the Government will realize significant cost savings, reduce duplicative systems, standardize business processes, and improve customer service.

### **3 PRESIDENT'S MANAGEMENT AGENDA (PMA) AND GOVERNMENT-WIDE INITIATIVES**

The President's Management Agenda has given OPM the opportunity to expand crosscutting activities with agencies and the Department of Homeland Security. As the President's human capital management advisor, OPM has accepted the challenge of leading agencies to improve the strategic management of the Federal workforce. The human capital initiative focuses on ensuring the right person is in the right job and prepared to provide top quality service to American citizens. OPM has also emerged as a leader in the President's initiative to expand e-Government.

OPM leads six of the 24 major e-Government projects identified by OMB. OPM has worked with agencies to produce Capital Asset Plans and strategies to fund these initiatives and reduce duplication. OPM centrally manages these e-Government initiatives, which are all related to the human capital life cycle, from hiring through retirement. To carry out the responsibilities, OPM will provide the best possible human resources tools, guidance and expertise available. The following subsections contain brief descriptions of the six E-Gov initiatives OPM leads. More information about each initiative can be found on the OPM website at <http://www.opm.gov/egov>.

#### **3.1 E-Clearance**

The Office of Personnel Management e-Gov's e-Clearance initiative streamlines the investigation process for an employee's security clearance. OPM is a committed player in the process to enhance national security. The e-Clearance Initiative will implement three new components to improve the current security clearance process. The Electronic Questionnaires for Investigations Processing (e-QIP) is an automated online version of the security clearance application (SF-86). With e-QIP, certain current work processes will change from a paper-based environment to an electronic environment. The second component of the e-Clearance initiative is the development and the implementation of a cross-agency Clearance Verification System (CVS). The CVS initiative captures the concept of providing access for all agency authorized users to the personnel security investigation and clearance records of the government. The third component of e-Clearance is to image investigative records held by the myriad investigative agencies and make them available, among all authorized federal users, electronically.

The new electronic form eliminates the need to re-enter information that has not changed since a person's last clearance. e-QIP will save the government and private industry time and resources, and is estimated to save the taxpayers about \$260 million over 10 years.

#### **3.2 E-Payroll**

The e-Payroll vision for the transformation of Federal payroll is "Simple, easy to use, cost effective, standardized, integrated e-HR/Payroll services to support the mission and employees of the Federal Government." The e-Payroll Initiative has standardized and consolidated Government-wide Federal civilian payroll services and processes by simplifying and standardizing HR/payroll policies and procedures and better integrating payroll, human resources, and finance functions.

The E-Payroll Initiative is leading the effort to the consolidate twenty-six Executive Branch Federal payroll providers, standardize payroll policies and procedures, implement new technology for payroll service delivery, and develop a Federal Enterprise Architecture for payroll in support of the Human Resources Line of Business. The E-Payroll system solutions will make Federal payroll processing far more efficient, with a projected savings of \$1.1 billion over 10 years.



### **3.3 E-Training**

The e-Training Initiative is creating a premier Government-wide e-Training environment that supports the development of the Federal workforce. USALearning (<http://www.golearn.gov>), which serves as the portal site, utilizes competency management tools and targets curriculum based on both individual and agency needs. This allows agencies to focus their training efforts on specific needs and to match employee professional and individual development to courses and services.

By providing agencies with on-demand competency management, e-learning tools and services, and training data management, the government is better able to attract, retain, manage and continuously educate the highly skilled professionals needed for a flexible and high-performing government workforce. The e-Training Initiative is projected to provide taxpayers about \$784 million over the next 10 years.

### **3.4 Enterprise Human Resources Integration (EHRI)**

Enterprise Human Resources Integration is a comprehensive electronic personnel record keeping and analysis system that supports human resource (HR) management across the Federal government. EHRI is a collaborative e-Government initiative designed to transform the way Federal HR Specialists and Managers access human resource information and the way all Federal employees access their personnel file information.

EHRI will replace the current Official Personnel Folder (OPF) with an electronic employee record for all Executive Branch employees, resulting in a comprehensive electronic personnel data repository covering the entire life cycle of Federal employment. EHRI will provide HR managers and specialists with a data warehouse and workforce planning and analysis capabilities that are currently not possible with a paper-based system. With these tools, trends for retirement, promotions and reassignments can be accurately forecast. Personnel transactions across the Federal government that currently take weeks to finalize will take days. EHRI offers the taxpayer a potential savings estimated at \$740M over 10 years.

### **3.5 Human Resources Line of Business (HR LOB)**

The Office of Management and Budget has asked the Office of Personnel Management to be the managing partner for the Human Resources Line of Business (HR LOB) – a collaborative, Federal-wide human resources Line of Business (LOB) initiative. The HR LOB is supporting the President's Management Agenda by transforming the current Federal human resource information system (HRIS) environment into one that is modern, cost-effective, standardized and integrated with other management information systems and e-Gov initiatives across the entire Federal Government.

Today, 22 Executive Branch agencies invest in potentially duplicative HR systems performing core personnel transaction processing (PTP), resulting in agency-specific customization, non-standard requirements and increased costs to taxpayers. As the managing partner for the HR LOB initiative, OPM established and led several collaborative focus group sessions to develop a shared vision and practical approach for achieving Federal HRIS from a Government-wide perspective. The HR LOB aims to remove unnecessary duplication, overlap, and redundancies while improving workforce performance by developing formal specifications for certified, modernized and integrated Federal HRIS performing core PTP.

### **3.6 USAJOBS**

The Recruitment One-Stop initiative, which is now referred to as USAJOBS, simplifies the process of locating and applying for Federal jobs by being the Federal Government's official one-stop source for jobs and employment information. Through a series of enhancements, the USAJOBS website ([www.usajobs.opm.gov](http://www.usajobs.opm.gov)) delivers a "create once, use many" basic job resume to apply to multiple

vacancies, agencies and systems. A resume mining feature that also allows fast, cost efficient candidate sourcing by Federal managers and HR specialists; and online, real-time application status tracking.

The USAJOBS initiative has increased job seeker satisfaction with the Federal job application process with improved job searching; clean, concise, understandable and attractive job announcements, and improved response times.

### **3.7 Retirement Systems Modernization (RSM)**

The RSM program is a long-term strategic initiative targeted at improving the efficiency and effectiveness of OPM's Retirement Program. In addition to current Federal employees, the Retirement Program serves former employees vested to receive benefits in the future, retired employees (annuitants), and annuitants' survivors and beneficiaries. Retirement benefits are a key component of participants' financial security. These benefits also serve as an important tool in helping the Federal government compete with the private sector in attracting and retaining highly skilled employees. In addition to its strategic effect on the Retirement Program, RSM is a critical supporting system that will allow HR service centers developed under the HR LOB initiative to function efficiently and effectively.

RSM is critical for two primary reasons. First, the overall workload of Retirement Program staff has grown significantly over the past several years and is projected to increase further as more Federal employees become eligible to retire. Second, the Retirement Program's existing legacy systems and paper-based processes are 30-40 years old and have limited capabilities. These limitations make it increasingly difficult to meet the most fundamental business needs of the program – providing timely and accurate benefit payments to more than 2.4 million annuitants and their families. In the current environment, data is stored in multiple facilities (e.g., current employing agency, OPM's Retirement Operations Center in Pennsylvania, and with the participant themselves) and moves from electronic to paper formats instead of maintaining its electronic form, which leads to processing delays and inaccurate data entry. The manual processes associated with collecting and transferring data require significant OPM and agency resources.

## 4 IT SUPPORT AND SERVICES AT OPM

As described in Section 2.3, CIS provides the critical day-to-day IT support and services to the Agency through:

- The Data Center Group
- The Application Systems Group
- The Benefits Systems Group
- The Network Management Group

A listing of key milestones for each of these Groups for the FY 2006 through FY 2010 timeframe can be found in Appendix B. In addition, CIS leads the development of OPM's IT strategic plans, policies and enterprise architecture.

### 4.1 Data Center Group (DCG)

#### 4.1.1 Overview of DCG

The Data Center Group (DCG) manages the enterprise service, an IBM Z900 running the OS operating system. The DCG is comprised of two branches and two teams organized to provide information technology services for the various program offices within the Office of Personnel Management. DCG functions in a 7 x 24 environment and has staff in Washington, D.C. and Boyers, PA.

- The Computer Operations Branch operates the enterprise servers (mainframe), data center network, printers and peripheral systems which serve all OPM program areas.
- The Production Control Branch manages production software libraries, provides support to application development projects, manages the production processing schedules on enterprise servers (mainframe) and Windows servers, executes production and test programs, monitors application software performance, diagnoses and corrects application problems, and distributes printed output.
- The Security Administrator Team develops security policies, controls security administration, and provides auditing support for the enterprise servers (mainframe).
- The System Software Team performs selection, testing, installation, implementation, and maintenance of all enterprise server (mainframe) operating system software and program products and performs system tuning to ensure optimal performance. This team is responsible for developing the DCG backup and recovery procedures, including disaster recovery, and is responsible for executing the platform recovery procedures when necessary. Also, this team works with internal and external customers to convert systems to the use of electronic data transmission techniques and to make other improvements to the applications, and they provide enterprise server (mainframe) related training to other organizations.

#### 4.1.2 DCG Activities

DCG provides a full spectrum of IT services including operating system support, computer operations, production application processing and development support, security administration, computer facilities management and customer support. While all OPM program areas use these services, there is an especially high level of support provided to the Federal Investigative Services Division (FISD), the Center for Retirement and Insurance Services Program, and the OPM administrative offices. The Data Center contains large scale Enterprise Server systems performing both legacy (mainframe) system tasks and web-enabled server tasks, and it houses associated network equipment to provide connectivity to customers and business partners nationwide. The systems and services are protected by a world-class disaster recovery plan that is fully exercised annually.

## 4.2 Application Systems Group (ASG)

### 4.2.1 Overview of ASG

The Applications Systems Group (ASG) is comprised of two branches and four teams organized to provide customer and technical focus. The Investigations Systems Support Branch provides support for the Federal Investigative Services Division and the Program Office Support Branch provides application services for administrative systems for all other program offices. The Web Systems Support Team provides web services for OPM's presence on the Internet and for the Agency's Intranet. The Financial Systems Project Leader manages the contract staff supporting the OPM accounting and procurement system. The Quality Assurance Team provides for management and training for OPM's system development methodology, the IT Systems Manager and the Data Base Administration Team is responsible for all mainframe and distributed systems databases for the applications supported by the ASG.

The Applications Systems Group designs, develops, and maintains mainframe, distributed and browser-based systems to support OPM program offices that are not related to Retirement and Insurance Services. ASG Services include the following:

- Custom application development and maintenance.
- Systems analysis and project planning.
- Development of tracking systems using COTS products.
- Comparative analysis of product offerings.
- IT Project Management.
- Development and management of web-based surveys/questionnaires.
- Development and publication of special reports and data sets.

ASG delivers services through two branches and three technical teams.

**Investigations Systems Support Branch** – ISSB supports the field and headquarters staff requirements for assigning, tracking and managing the background investigation process for federal employees, military personnel, and contractors. These services include application systems to process personnel security investigations, administrative systems to allow executives to manage and monitor the Investigations Program, and other support systems that allow automated data transfer and field data collection functionality.

**Program Office Support Branch** – POSB provides administrative systems using COTS and browser-based applications for branches within OPM that are not directly involved with investigations management, retirement processing or financial management. Systems include the Central Personnel Data File, the Executive and Schedule C System, Management Dashboard, numerous tracking systems, and software development portals.

**Web Systems Support Team** – The web team supports OPM's Web Master and the public-facing OPM website: [www.OPM.gov](http://www.OPM.gov). The team manages the 80,000 page site and develops web pages and content to continually refresh and enhance the site.

**Financial Systems Project** – ASG staff provides project management oversight for the AMS-CGI-developed Financial Management System Momentum, known at OPM as GFIS, including the Procurement Desktop. Staff also manages the PIPS Financial Interface System (PFIS) that supports the interface between the financial systems the Personnel Investigations Processing System (PIPS).

**The Database Team** – The Database team supports ASG with the Oracle and ADABAS expertise necessary to develop and maintain ASG systems.

## 4.2.2 ASG Activities

ASG develops and maintains mainframe and distributed systems and services to meet customer's requirements. ASG receives between 800 - 1000 change and enhancement requests per year. Requests for program maintenance, report development and system enhancements fall into the following categories and are governed by the Information Technology Systems Manager (ITSM):

- **Ad Hoc Request** - Includes requests for specific information in the form of a report or file extract, or a request for correction of records or information.
- **Annual Request** – Includes 400-500 standard reports delivered to Workforce Information analysts and published for government-wide consumption.
- **Data Import/Export** - Primarily used to import/export data for use by external or companion systems.
- **Enhancement** - Request for changes that enhance the performance of the system by adding new functionality.
- **Internal Request** - Requests generated by the ASG staff. These requests may reflect problems uncovered by the staff during system monitoring and testing or the identification of additional analysis required on a system. This category may also be used by the staff to enter requests that optimize performance of the system without changing functionality.
- **Legislative Requirement** - Requests requiring system changes due to new legislative requirements or changes in legislative requirements. These requests are usually time sensitive.
- **Management Request** - Requests generated by upper management for a specific need requiring turnaround in a short timeframe (requests for data extracts, reports on specific type data, etc.).
- **Modification** - Request for modification of a specified system or function. These requests usually identify what is to be modified and suggest a solution of how it should be modified (screen tag changed, report redesigned, run frequency changed, expand a field, JCL changes, etc.)
- **New Development** - Requests for the creation of a new system that requires new source code to be written in concert with OPM's system development lifecycle, ITSM.
- **Problem Report** - Request for analysis of unexpected data results or correction to incorrect data output from system processing. This report could also address or request a fix to correct data input into the system by the customer. These requests usually require immediate attention or have the potential for critical impact on the system.
- **Documentation** – Internal requests track system documentation efforts for new and legacy systems, including Quick Start Guides and User Manuals.
- **Survey Requests** – These requests generate surveys internally and externally. ASG supports Society of Human Resource Professional's Federal Human Capital Survey and other survey requests from OPM program offices.

## 4.3 Benefit Systems Group (BSG)

### 4.3.1 Overview of BSG

The Benefits Systems Group (BSG) provides innovative solutions and quality information technology (IT) services to meet the business needs of its customers, and their clients. BSG's mandate is to be its customer's primary Information Technology solutions provider. BSG strives to:

- Deliver products of superior quality
- Use innovative technology
- Provide on-line, real-time, and on-time systems
- Develop systems using a standard life cycle methodology

- Ensure strong communications with BSG customers
- Be goal and customer oriented
- Invest in BSG's future by investing in its employees
- Have a highly skilled and fully trained staff

BSG has four branches that maintain and enhance a large portfolio of systems:

- **Annuity Systems/Systems Redesign Branch (ASB/SRB)** - Designs, modernizes, tests, implements, and maintains the automated systems that process CSRS and FERS monthly annuity payments, online updates, and annual actions that affect the entire annuity roll population; and to provide information technology services for ad-hoc information needs. ASB/SRB provides BSG's customers with accurate, current and easily accessed retirement and benefits information.
- **Retirement Financial Systems Branch (RFSB)** - Designs, develops, installs, and modernizes information technology systems which support the Retirement and Insurance Trust Fund financial management programs (such as SF2812 system, Federal Financial System, etc.). RFSB provides quantitative and statistical support for retirement system actuary activities and information technology support for Retirement and Insurance Services program integrity activities (such as computer matching initiatives with other Federal agencies). RFSB provides database management services include designing, implementing, and maintaining secure critical databases while protecting the integrity of the data. This area assists all of BSG to provide innovative and quality data management services in support of the overall mission of our customers.
- **GUI/Client Server Branch (GUI/CS)** - Provides high quality reports for BSG's customers and uses up-to-date technology for developing and enhancing our client-server systems. These systems provide client-server access to legacy databases. The GUI Branch provides client server programs that support the Federal Employee Health Benefits Program including the contracting process, the tracking of correspondence, and the public online Health Plan Comparison Tool on OPM's web site.
- **Quality Assurance, Testing, and Documentation Branch (QATD)** - Ensure compliance with existing standards throughout each phase of the System Development Life Cycle (SDLC) methodology. QATD provides the necessary quality assurance oversight to ensure the integrity of systems development to user requirements. QATD also implements change control and configuration management procedures.

BSG recently developed and implemented a large project as part of modernization efforts. One example, The Federal Annuity Claims Expert System (FACES), is a secure system designed for retirement counselors to calculate estimates for employees subject to the Civil Service Retirement System (CSRS) and the Federal Employees' Retirement System (FERS) Plans. This system is used to compute annuity and death benefits.

#### 4.3.2 BSG Activities

BSG maintains a large portfolio of systems and services that meet customer's requirements. BSG receives and completes approximately 600 change and enhancement requests per year. Requests for program maintenance and modernization activities are categorized as follows:

- **Ad Hoc Request** - Used for one-time requests of specific information in the form of a report or file format, or a request for correction of a specified set of records.

- **Annual Request** - Recurring annual updates to system information such as interest rate tables, tax tables, health benefit rates, 1099R processing, COLA rates, scheduled data imports/exports, etc.
- **Data Import/Export** - Primarily used to import/export data (tables, rates, etc.).
- **Enhancement** - Request for changes that enhance the performance of the system by adding new functionality.
- **Internal Request** - Requests generated by the BSG staff. These requests may reflect problems uncovered by the staff during system monitoring and testing or the identification of additional analysis required on a system. This category may also be used by the staff to enter requests that optimize performance of the system without changing functionality.
- **Legislative Requirement** - Requests requiring system changes due to new legislative requirements or changes in legislative requirements. These requests are usually time sensitive.
- **Management Request** - Requests generated by upper management for a specific need requiring turnaround in a short timeframe (requests for data extracts, reports on specific type data, etc.).
- **Modification** - Request for modification of a specified system or function. These requests usually identify what is to be modified and suggest a solution of how it should be modified (screen tag changed, report redesigned, run frequency changed, expand a field, JCL changes, etc.).
- **New Development** - Requests for the creation of a new system that requires new source code to be written.
- **Problem Report** - Request for analysis of unexpected data results or correction to incorrect data output from system processing. This report could also address or request a fix to correct data input into the system by the customer. These requests usually require immediate attention or have the potential for critical impact on the system.
- **Support Requests** – Requests generated by a need for one branch to do work in support of a request assigned to another branch. (Changes to Xerox printing as a result of programming changes or changes to ORION as a result of changes to a CICS screen, daily cycle changes that impact the monthly cycle and vice versa, etc.).
- **Documentation** – Internal requests track system documentation efforts for new and legacy systems. BSG established minimum documentation requirements for existing system and this area tracks those tasks.

## 4.4 Network Management Group (NMG)

### 4.4.1 Overview of NMG

The Network Management Group (NMG) manages and operates the agency-wide IT infrastructure including personal computers/workstations, local and wide area networks (WAN), data communications, and web sites.

### 4.4.2 NMG Activities

NMG provides network design, implementation planning, and operation and maintenance for the entire communications and distributed computing platforms. The platforms support email and desktop computers for 5,000 OPM staff members. NMG also provides virus and spam prevention, network and distributed oracle environment management services and help desk functions for all trouble called Tier 1 support.

Tier 1 support is responsible for taking all incoming calls and directing those requests to the correct support team if they are unable to resolve issues. In addition Tier 1 resets numerous network and mainframe passwords; configures Outlook profiles; resolve email issues, printing issues, Microsoft application issues; diagnoses hardware issues and troubleshoot Citrix connectivity issues. Tier 1 is also

responsible for new user account creations, email creation and maintaining the network user database, as well as account management.

Tier II addresses desktop related issues, hardware, connectivity, network issues as well as software installs. Tier II is responsible for the maintenance of virus vulnerabilities using LANDesk to update and patch workstations for the entire Agency as necessary. Tier II is also responsible for the administration of network printers and printer support.

Tier III is responsible for maintaining, and ensuring the security, integrity and recoverability of the network infrastructure, including servers, domain controllers, firewalls, cabling plant and associated telecommunications equipment. Tier III manages the Telework Program, maintaining the servers, training end-users and responding to trouble calls.



## 5 PERFORMANCE MEASUREMENT AT OPM

Performance measurement is an iterative and continuous process used by OPM to gauge and communicate progress in delivering products and services linked to Agency strategic and IT management goals and objectives. Performance measurement is not an end, but rather the means to achieving better management results. OPM utilizes performance measurement methodology and best practices to drive improvements and successfully translate strategy into action. Characteristics of successful performance measurement at OPM include:

- A conceptual framework for the performance measurement system that is understood by all levels of the organization and that supports objectives and the collection of results.
- Results and progress toward program commitments that are openly shared with employees, customers and stakeholders.
- Accountability for results that are clearly assigned and well understood by all participants.
- A series of measures that relate to strategic organizational goals and objectives, and that provide timely, relevant and concise information for use by decision makers at all levels—to assess progress toward achieving predetermined goals.
- A "balanced" set of measures to ensure one area of performance is not emphasized at the expense of another.
- Offices and divisions aligning their investments, business functions, and processes to the OPM mission and strategic goals.

Performance metrics play a key role in ensuring that desired outcomes are achieved at both the Agency and program levels.

OPM will continuously monitor individual project and enterprise-wide progress against performance measures. CIS conducts quarterly and annual progress reviews in which progress against IT goals is assessed. In these reviews, CIS will assess actual performance against planned performance. With each annual update of the IT Strategic Plan, OPM will provide an update of actual performance results for each of the identified enterprise-wide performance measures.

### 5.1 Balanced Scorecard Approach

The Balanced Scorecard approach is used by CIS to promote performance measurement in alignment with strategic objectives, and drive success as defined from multiple perspectives. Some of the key principles associated with balanced measures are that the measures:

- View organizational performance from multiple perspectives (e.g. financial, customer, internal business process, learning and growth and mission)
- Focus on "Outcomes" and "Drivers"
- Include quantitative (objective) measures

The Balanced Scorecard classifications for performance measurement are listed below:

- Customer Measure
- Internal Business Measure
- Innovative and Learning Measure
- Financial Measure

The IT performance measures are detailed in the proceeding sections.

## 5.2 OPM Performance Measurement Framework

Building a performance measurement hierarchy that links business enablers with the enterprise architecture through the business systems and, ultimately, to the strategic goals of the Agency allows both IT and business project managers to improve the business operations.

## 5.3 CIS Performance Measures

This section identifies and details the performance goals for CIS. The detailed information for each performance measure including FY 2006 performance baselines and FY 2007 performance targets can be found in OPM's Balanced Scorecard Performance Measurement Dictionary. OPM will update this section of the IT strategic plan annually to provide actual performance results for each of the identified enterprise-wide performance measures.

The following table identifies OPM's performance measure and demonstrates alignment with both the CIS performance goals and the Balanced Scorecard.

**Table 5-1: Balanced Scorecard**

#	Measures	IT Goal 1.0	IT Goal 2.0	IT Goal 3.0	IT Goal 4.0	IT Goal 5.0
<b>Customer Measures</b>						
1	Desktop Availability		✓			
2	Email Availability	✓				
3	Blackberry Availability	✓				
4	Help Desk Tier 1 Response Time	✓				
5	Timeliness of applications work within negotiated delivery dates	✓				
6	Internet Availability	✓				
7	Financial Systems (GFIS/PFIS) Availability	✓				
8	Investigations Systems (PIPS) Availability (Mainframe only)	✓				
9	Retirement and Insurance System Availability (Mainframe only)	✓				
10	Network Access	✓				
	Increase the annual number of e-Training Initiative courses completed by: 150,000		✓			
	Percentage of OPM network users who have Microsoft Windows 2000 and Microsoft Office XP software suite loaded on PCs		✓			
<b>Internal Business Measures - Performance</b>						
18	Percent bandwidth utilized	✓				
19	Percent mainframe processor availability	✓	✓			
	Migration of OPM networking infrastructure to IPv6		✓			
	Review IT Security Policy Document (last revised November 2004) and update as necessary				✓	
	Review IT Use Policy Document (last revised August 2003) and update as necessary				✓	
	Review IT Procurement Policy Document				✓	

	(last revised November 2004) and update as necessary					
	e-Clearance effort on time and within budget (#11)					✓
	e-Payroll effort on time and within budget (#12)					✓
	e-Training effort on time and within budget (#13)					✓
	HR LoB effort on time and within budget (#14)					✓
	EHRI effort on time and within budget (#15)					✓
	Recruitment One Stop effort on time and within budget (#16)					✓
	Retirement Systems Modernization effort on time and within budget (#17)					✓
<b>Internal Business Measures – Workload</b>						
20	Percent CPU utilization by customer	✓				
21	Number of Help Desk requests	✓				
22	Number of emails	✓				
23	Number of active network accounts	✓				
24	Number of mainframe accounts	✓				
25	Number of personal computers replaced	✓				
26	Number of personal computers supported	✓				
27	Number of peripherals supported	✓				
28	Number of servers supported	✓				
29	Number of intrusions prevented			✓		
30	Number of teleworker accounts	✓				
31	Number of patches applied			✓		
32	Percent active network users with telework accounts	✓				
33	Number of claims processed	✓				
34	Number of payments processed	✓				
35	Number of retirement transactions processed	✓				
36	Number of investigation transactions processed	✓				
37	Number of financial transactions processed	✓				
38	Dollar value of payments processed	✓				
39	Number of investigations processed	✓				
<b>Financial Measures</b>						
40	Ratio of CIS Network support staff and contractors to OPM network users	✓				
41	Ratio of CIS Network support staff and contractors to the number of network connected workstations	✓				
42	CIS IT budget as a percent of OPM budget	✓				
43	Ratio of CIS mainframe support staff and contractors to mainframe accounts	✓				
<b>Innovation and Learning Measures</b>						
44	Percent of OPM employees receiving IT Security Training			✓		

45	Number of training sessions completed by CIS staff	✓				
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## 6 OPM IT MANAGEMENT PROCESSES

OPM has defined and implemented a number of management processes to ensure its current and planned information technology conforms to the strategic plan and, more importantly, helps OPM move toward fulfillment of its mission and operational goals.

### 6.1 IT Capital Planning and Investment Control (CPIC)

As defined by OMB Circular A-11, “*Capital planning and investment control is a systematic approach to managing the risks and returns of IT investments for a given mission. It is an integrated management process which provides for the continuous selection, control, and life-cycle management and evaluation of IT investments and is focused on achieving a desired business outcome.*” OPM is dedicated to the continuance of a sound and repeatable CPIC process to ensure OPM funds investments that support the mission and strategic goals of the Agency.

OPM has implemented a capital planning process to ensure that its portfolio of IT projects adequately addresses OPM's business strategies, and are managed to achieve expected benefits in accordance with accurate and complete cost, schedule, technical, and performance baselines. Monitoring and controlling investments is as important to success as selecting the right portfolio of projects or investments. Control mechanisms have been established to minimize the likelihood of project failure or excessive cost and schedule overruns.

#### 6.1.1 Portfolio Selection and Consolidation

In FY 2005, OPM strengthened its investment review process by defining a more structured and active role for the Investment Review Board (IRB). A formal charter was developed for the IRB that is consistent with Clinger-Cohen Act requirements, and reflects responsibilities in selecting, controlling, and evaluating IT investments. Beginning with the FY 2007 budget formation process, OPM's IRB has coordinated the development of the OPM's IT portfolio. The selection of IT investments for establishment of the portfolio has been conducted in conjunction with the FY 2007 OMB Exhibit 300 preparation process. The IRB requires specific investment documentation, which defined into the Information Technology System Manager (ITSM). Selection scoring criteria is consistent with the criteria specified in OMB Circular A-11.

The Associate Director of each office ensures the proposed major investments are compliant with applicable policies and consistent with their organization's mission and goals. During the investment selection process, which generally occurs during preparation of OPM's budget submission, the Associate Director responsible for each investment will discuss the office's IT investment proposals with the IRB. The IRB prioritizes individual investments, makes recommendations for inclusion into the IT portfolio, and forwards the recommended IT portfolio, along with funding recommendations to the Director for approval. The OPM Director makes final funding decisions and forwards them to OMB as part of the budget process.

In FY 2005, OPM implemented the guidelines specified in OMB Circular A-11 to classify IT projects as major and non-major. Per A-11, “*Major IT investment means a system or investment that requires special management attention because of its importance to an Agency's mission; investment was a major investment in the FY 2005 submission and is continuing; investment is for financial management and spends more than \$500,000; investment is directly tied to the top two layers of the Federal Enterprise Architecture (Services to Citizens and Mode of Delivery); investment is an integral part of the Agency's modernization blueprint (EA); investment has significant program or policy implications; investment has high executive visibility; investment is defined as major by the Agency's capital planning and investment control process.*”

A recent OMB mandated policy to migrate the entire Agencies' networking to the newer Internet Protocol version 6 (IPv6) will impact OPM's entire IT infrastructure. In order to comply with this mandate, OPM's IT support services will structure their portfolio accordingly.

Additional information about the portfolio consolidation process can be found in Appendix C.

### **6.1.2 Portfolio Control Mechanisms**

OPM is continuing to refine its process for conducting quarterly reviews of IT investments. The review of IT investments is part of the quarterly budget review is conducted by the Office of the CFO. As part of the review process, the performance of each major IT investment is assessed against planned cost, schedule and performance baselines. This assessment ensures that each initiative is on track and identifies issues or deficiencies that require corrective action.

Problem areas that are identified during this assessment are referred back to the IT project managers, who are then required to submit a corrective action plan using the relevant sections of OPM's corrective actions template. The template is available in the OPM's ITSM, and requires project managers to identify issues and plan resolution strategies. This template also provides project managers with a standardized format for reporting planned milestones as well as actual performance towards achieving those milestones.

The corrective action plan for the initiative is reviewed and approved by the IRB. Upon approval of the plan, the initiative's project manager coordinates the implementation and execution of the corrective actions. Progress against actions specified in the corrective action plan for a troubled project is then evaluated by the IRB At each of the quarterly IRB meetings until the problem is resolved.

## **6.2 Information Technology Systems Manager (ITSM)**

OPM utilizes its Information Technology Systems Manager (ITSM) for the management and development of information technology solutions for OPM and as the mechanism to assure that systems under development are engineered to satisfy the user's requirements, within established cost, schedule and quality guidelines. The ITSM serves as the Software Development Lifecycle (SDLC) guide for OPM. It provides a structured approach to managing information systems projects, beginning with establishing the need for a systems development or maintenance effort, through development and deployment, and concluding with decommissioning of the system. OPM uses the ITSM combined with the CPIC process not only to manage its IT portfolio, but also as a complement to the budget process.

In FY 2005, OPM incorporated the ITSM into the Agency's intranet portal, THEO, to ensure that IT goals and best practices are communicated across the agency. The ITSM establishes a disciplined environment for the development and maintenance of OPM systems. The ITSM is OPM's repository for clearly defined sets of templates, standard operating procedures, and checklists used throughout the investment lifecycle.

OPM requires the use of Commercial Off-the-Shelf (COTS) software products as the first choice in addressing software needs, unless the effectiveness of developing custom software is clear and has been validated through pilot projects or prototypes. System life cycle development policies in the ITSM have been updated to require that COTS packages be considered as a first priority. The second specified alternative is the use of adaptors with COTS products--defined as the creation of minimal interfaces between COTS products to achieve the desired functionality. Custom software development is the last alternative, when neither COTS tools nor adaptors will satisfy the software requirements. All software acquisition efforts, including those that use COTS products, must be thoroughly reviewed by CIS component managers and the OPM Chief IT Architect in order to ensure conformance with OPM standards in the "as-is" architecture environment, as well as compatibility with the "to-be" architecture environment. The next few points highlight ITSM policy and use within OPM.

- OPM has mandated the use of ITSM for all IT related projects through its ITSM Use Policy. As stated in the policy: All OPM information system development and maintenance activities will use and comply with the processes and procedures of the ITSM.

- The ITSM also contains management tools to allow for the audit and verification of IT program compliance with the ITSM.
- OPM requires via the ITSM that all applications development be designed so that the discrete components of functionality can be delivered incrementally.
- The ITSM states that “systems development projects under government and/or contractor development should be managed to ensure the delivery, implementation, and testing of a workable system or solution in discrete increments or modules.” Iterative development involves implementing manageable, fully functional modules that provide value and contribution to performance earlier and consistently throughout the software development lifecycle.
- Representatives from CIS work with the OPM contracting staff in reviewing all IT investment statements of work to ensure that ITSM principles and practices are used in the acquisition of IT systems. This practice helps in the management of projects and enhances the likelihood of achieving workable solutions.

### 6.3 Enterprise Architecture (EA)

OPM has had an EA in place since 1997, and continually maintains an architecture is consistent with all current guidance. OPM's current revision clearly defines its business, performance, applications, data, and technology that support the achievement of the Agency's mission. A primary component of the OPM EA methodology is that business needs drive the requirement for applications and technology. The EA provides a modernization blueprint and vision aligned with the Agency's strategic goals. The OPM EA enables the informed management of change and ensures compliance with legislative and regulatory drivers, such as OMB Circular A-130 and the Clinger-Cohen Act. OPM has instituted several activities in support of the EA program and the IT management process. The following items highlight those activities.

- OPM is advancing an EA Communications Strategy to ensure consistency in IT Management messages and themes communicated to project and program managers, staff and stakeholders, throughout the agency.
- OPM maintains an EA Configuration Management Plan that defines the procedures for developing, implementing, and editing EA artifacts. This plan identifies the individuals responsible for and tools used in maintaining OPM EA artifacts.
- All OPM program offices and divisions must adhere to the most current approved versions of the OPM's EA Program and Governance Plans in their IT solutions and implementations. The EA Program and Governance Plans drive the EA and how it is managed, used and governed to achieve the maximum results towards program business/mission outcomes.
- The EA enables high-level views of the Agency's business priorities and guides the cost-effective application of IT in support of those priorities. The EA will help eradicate stovepipe operations and systems, highlighting needless duplication and incompatible technologies, as well as additional – and unnecessary – costs.
- OPM will continue efforts to institutionalize EA as an element of the strategic IT management culture in order to eliminate redundancies, focus on citizen services, and integrate information for improved decision-making. Further, continuing the Agency's efforts to evolve the EA and map the as-is blueprint and IT investments to the federal reference models will allow OPM to take advantage of information integration and sharing across all levels of government.

- Segment architecture will enable OPM to improve discovery and re-use of business processes, service components, and technologies across the Agency, as well as E-Gov and LOB initiatives. By conducting this “blueprinting” process, segment architecture fosters comprehensive definition, validation, and refinement of OPM’s baseline and target architecture. The segment architecture team plans to look at the FEHB processes and perform an architecture deep dive into the processes where the business owners identified some performance issues.

## 6.4 IT Governance

Governance is defined as the policies, processes, and procedures through which OPM exercises authority and control of IT activities. A Governance plan defines the rules by which the organization conducts its business, identifies the domains of decision-making, and linkages (transitions) among levels, and formalizes the management processes that execute decision-making.

IT Governance is a basic mechanism for the review and approval or rejection of IT capital asset plans as they move through the Agency’s management structure. A sound governance process allows the Agency to provide improved services to its constituents, to make well-reasoned resource allocation decisions, and to create strong business cases for those decisions in budget submissions. By implementing IT Governance, OPM enables the development of a comprehensive approach for managing its assets, including information resources.

The consolidation of projects from the development to the final approval by the OPM Director is depicted in Appendix C, along with an explanation of the OPM project selection process.

The Investment Review Board (IRB) plays a key role in the Governance process at OPM. The IRB helps ensure major IT investments are: closely tied to the mission objectives of the Agency, cost-effective, appropriately integrated within the defined EA, and delivered according to schedule and within budget.

The IRB has implemented a standard operating procedure and meets quarterly to review new and ongoing IT investments, and make recommendations to the Director of OPM. The IRB uses a scoring system to govern the process of IT reviews, and reviews each investment based on 10 major areas. Meeting minutes and scorecards are released to appropriate parties.

At a program level, each major IT initiative is reviewed by the Executive Steering Committee (ESC). The purpose of the ESC is to ensure that the project is delivering the results promised within acceptable cost and schedule parameters, to resolve issues, confirm compliance with IT management policies and standards, and to prioritize tasks for completion.

## 6.5 IT Security and Privacy

OPM has fully implemented and institutionalized an Agency-wide information security program. The program was implemented in 1999 at an approximate cost of \$20 million. This contributed to OPM achieving “green” on the e-Government element of the President’s Management Agenda scorecard in 2004. For the past three years, OPM has maintained certifications and accreditations of over 90 percent of its systems.

The OPM IT Security Policy defines authorities, responsibilities and security controls necessary for implementing the IT Security Program. The objectives of the program include the following:

- Establish and maintain adequate and cost-effective security measures that will ensure the protection of critical information and resources.
- Provide centralized leadership, guidance, security policies, standards and direction to all OPM elements.



- Ensure that appropriate resources, including personnel, training and funding, are allocated to the IT Security Program as part of OPM's IT budget process.

All of OPM's information, applications, systems, networks and information technology infrastructure and resources must be protected from loss, misuse, unauthorized modification, disclosure or access. The security controls are cost-effectively chosen based on assessment of the risk and potential impact, should any assets or information be compromised in any way. OPM uses carefully chosen management, operational and technical security controls to protect sensitive and critical assets.

## **6.6 Software Piracy**

In fall 2004, OPM completed an assessment of current software piracy prevention policies and procedures. As part of this assessment, OPM has taken initial steps to identify relevant performance measures to assess compliance against OPM's software piracy policy. The Data Center Group (DCG) has established "zero-tolerance" performance metrics for software piracy. The DCG will conduct random and periodic audits to assess performance and ensure compliance with OPM's software piracy policy. Based on lessons learned from DCG, CIS will assist other service areas in developing appropriate software piracy performance measures and monitoring plans.

For the Distributed Network, the threat of unauthorized or pirated software being loaded on a workstation has been mitigated by current workstation configuration settings. To further ensure software license compliance, LANDesk has been implemented. LANDesk is a software product that will enable the production of reports of all software running on all workstations. The initial execution of the software compilation process was completed in the first quarter of FY 2005. Based on a thorough analysis of the findings, performance metrics will be defined to assess the adequacy and effectiveness of the piracy controls.

## **6.7 Internet Protocol version 6 (IPv6) Migration**

Since June 2003, the US Government has issued several policy directives outlining the importance of adapting inter- and intra-network resources to the newer IPv6 standard. This culminated in August 2005 with the OMB issuing a policy memorandum directing all agency infrastructures to use and interface with IPv6 by June 2008. The OMB mandate justifies the inclusion IPv6 and all associated transition activities into the EA and IT Strategic Plan.

The driving force for this policy is to enhance the Agencies' ability to achieve their respective strategic mission objectives and prepare the government infrastructure for the future.

In accordance with the OMB directive, OPM has begun to take the steps necessary to meet this directive. An OPM IPv6 Transition Office has been assigned to lead, coordinate and report on IPv6 activities within the organization. An initial inventory of network systems was performed and a preliminary impact analysis was completed to define operational and fiscal impacts as well as risk identification. The efforts for the IPv6 migration will continue through FY 2007 with establishing an IPv6 test bed and pilot testing and continued support of the Transition Office.

## **7 SUMMARY**

OPM's IT Strategic Plan provides the strategy for utilizing IT management processes and infrastructure to support the Agency's overall strategic mission and goals. By showing a line of site between the OPM Strategic Plan, IT strategic mission and goals, and actual IT initiatives that support these strategies, OPM and the CIS are providing a framework for managing its information resources.

## Appendix A Key OPM FY 2006 Accomplishments

FY 2006 Planned Objectives	FY 2006 Actual Accomplishments
<b>BSG</b>	
Update and maintain systems to meet customer requirements for rate changes [e.g., Cost of living (COLA), Health Benefits, and Insurance rates] that change periodically.	This project has been completed.
Continue project to redesign the entire Health Benefits code system from three digits to seven digits (the numbering system will run out of codes by 2008).	This project was cancelled. BSG/RFSB developed an archival process for unused codes. We archived 176 codes to cover FY2007 Federal Employee Health Benefit (FEHB) carriers. The result contributed to the decision we did not need the multi-million dollar project at this time to expand the code from 3 characters to 10 characters.
Coordinate with OPM IPv6 Transition Office to assist with inventory of related hardware and software for IPv6 compliance and impact assessment.	Assistance and Inventories have been provided.
Create new plan comparison web site in support of new dental/vision plans.	This project has been completed.
Modernize the service credit system.	This project has been completed and installed.
Transfer 8000 annuitants to a new health insurance plan when their carrier was dropped from the FEHB program.	This project has been completed.
Support Retirement Systems Modernization efforts for transition to Defined Benefit Technology Solution.	On-going support is being provided. Two FTE's have been devoted to this project to provide support.
<b>DCG</b>	
Provide ongoing, strong, stable operating environment.	Only 2 outages, both due to TRP power loss.
Refine IT security policies and practices.	Completed 800-53 self assessment to define areas needing improvement.
Support E-Gov initiatives.	Provided support for EHRI.
Support Retirement System Modernization initiative	Completed contractor selection.
Perform engineering study and feasibility assessment of installing backup generator for computer equipment in TRB.	No funding for this task.
Deploy system fail-over capability that will enable continued operations if one Enterprise Server system fails.	This project was completed for both systems.
Decommission IBM 3466 storage management equipment.	This project was completed.
Coordinate with OPM IPv6 Transition Office to assist with inventory of related hardware and software for IPv6 compliance and impact.	z/9 and z/OS 1.8 deployment will provide necessary hardware and software.

FY 2006 Planned Objectives	FY 2006 Actual Accomplishments
assessment	
Coordinate with OPM IPv6 Transition Office to prioritize IPv6 migration of related hardware and software.	DCG should be capable of supporting IPv6 by 3rd quarter '07.
<b>NMG</b>	
Provide an environment for testing new releases of COTS products to prevent service and network disruptions.	The DTP environment has been created and implemented.
Identity Management	
Change Control.	Began the implementation of change control methodologies. Scheduled completion in 2007.
Intrusion Detection System implementation.	Phase 1 of IDS project completed on schedule and within budget.
AD 2003 Upgrade	This project has started. ECD: 9/07
Proactive Wireless Scanning System (i.e. RedAlert).	This project was completed and incorporated into a quarterly security audit process.
Enterprise Management System.	This project was completed.
Delegate a single Point of Contact for OPM's IPv6 transition efforts.	This project was completed.
Establish an IPv6 Transition Office.	This project was completed. IPv6 transition office/team has been established within CIS/CIO.
Perform an initial inventory and impact analysis for IPv6 of WAN equipment and operating systems.	This project was completed.
Coordinate migration efforts with OPM IT services, e-Government initiatives, and external service interests.	This project has been completed as it relates to the eClearance system and other agencies using eQIP.
Perform a comprehensive inventory and impact analysis for IPv6 of remaining OPM equipment and applications.	This project was completed.
Complete an IPv6 Transition Plan	This project was completed.
Provide IPv6 input to CPIC process	This project was completed.
<b>ASG</b>	
Document Management: Complete pilot system assessment report and develop implementation strategy, first quarter 2006.	
Personnel Investigations Processing System (PIPS): Complete Alternatives Analysis for PIPS application modernization, first quarter 2006.	
PIPS: Complete Capital Asset Plan for PIPS application modernization, first quarter 2006.	
Integration of Document Imaging into the PIPS workflow: Integrate FOIA/P workflows, first quarter 2006.	
Integration of Document Imaging into the PIPS workflow: Integrate Pre-Review workflows, second quarter 2006.	
Web Enhancement: Complete subsequent phases of OPM intranet redesign, first quarter 2006.	
Quality Assurance: Complete Phase I of CMMI Level 2 plan, second quarter 2006.	

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<b>FY 2006 Planned Objectives</b>	<b>FY 2006 Actual Accomplishments</b>
Program Office Support: Complete Phase I development for the Human Capital Asset repository, first quarter 2006.	
Integrate the close case review process in the PIPS workflow, first quarter 2006.	
Coordinate with OPM IPv6 Transition Office to assist with inventory of related hardware and software for IPv6 compliance and impact assessment.	This project has been completed.
Coordinate with OPM IPv6 Transition Office to prioritize IPv6 migration of related hardware and software.	This project has been completed.

## Appendix B CIS Planned Objectives and Milestones, 2007-2010

### Data Center Group Milestones

<b>DCG – FY 2007- FY 2010 Key Milestones</b>
• Provide ongoing IT services and support
• Upgrade to z/9 Enterprise Servers
• Upgrade to z/OS 1.8
• Perform Certification and Accreditation of Enterprise Server platform
• Support E-Gov initiatives
• Support Retirement System Modernization initiative
• Decommission IBM 3475 front end processor equipment in Macon, GA
• Decommission IBM 3475 front end processor equipment in Boyer, PA
• Decommission IBM 3475 front end processor equipment in Washington, DC
• Provide continuing support to OPM IPv6 Transition Office

### Application Systems Group Milestones

<b>ASG – FY 2007- FY 2010 Key Milestones</b>
• Document Management: Complete implementation of agency-wide Correspondence Tracking component of Document Management. Begin phased implementation of agency-wide Records Management
• Personnel Investigations Processing System: Begin phased implementation of PIPS technology refreshment
• Web Enhancement: Complete implementation of automated web content management
• Integration of Document Imaging into the PIPS workflow: Complete integration of imaging and workflow support for open case processing
• Provide continuing support to OPM IPv6 Transition Office

### Benefit Systems Group Milestones

<b>BSG -- FY 2007– FY 2010 Key Milestones</b>
• Update and maintain systems to meet customer requirements for rate changes (e.g., Cost of living (COLA), Health Benefits, and Insurance rates) that change periodically
• Modernize the Check Cancellation Accounting System
• Modernize the Voluntary Contributions System
• Design a Write Off System for OCFO
• Support Retirement Systems Modernization efforts for transition to Defined Benefit Technology Solution
• Build interfaces between DBTS and the remaining or new retirement or financial systems
• Begin to decommission systems that are absorbed by Retirement Systems Modernization

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## Network Management Group Milestones

<b>NMG -- FY 2007– FY 2010 Key Milestones</b>
• Desktop Video Conferencing
• Establish IPv6 test bed and pilot testing
• Workgroup Collaboration
• Dual stack IPv4/IPv6 operation on WAN routers

## Appendix C OPM Monitoring and Control

All major investments will be reviewed in the areas of Project Management Certification, Cost Variance, Schedule Variance, Performance Goals, and Security. The Chief Information Officer reserves the right to require any IT project to regularly report, as deemed necessary.

### Establish And Maintain Initiative Cost, Schedule, And Technical Baselines

The project manager has the responsibility for establishing project management and execution plans, procedures, and practices to support initiative monitoring activities. The project manager is also required to report to the Associate Director, the Chief Financial Officer (CFO), and the Chief Information Officer (CIO) on the status of the initiative's cost, schedule, and technical baselines each quarter or at key milestones. Baselines provide both the framework and sufficient detail to assess the status of the initiative's major milestones, decisions, activities, and work products and deliverables.

The OMB requirements for appropriate project control of major IT initiatives include the implementation of an EVMS that meets ANSI/EIA Standard 748. Earned value management provides an indication of how well an investment is meeting the cost and schedule goals defined prior to the outset of the investment. The determination of earned value begins with an estimate of the costs and schedule dates associated with completing investment milestones. Earned value is an assessment of the dollar value of the work actually accomplished based on the original cost estimates to complete the work. The earned value is compared to (1) the planned value, which is comprised of the original cost and schedule estimates, and (2) actual costs to determine schedule and cost variances, respectively. The two major objectives of employing earned value are to provide:

- An effective internal cost and schedule management tool for use by project managers
- Review boards with a mechanism for evaluating initiative progress

All IT initiatives must be planned, budgeted, and scheduled in measurable and phased "value-added" increments. OPM mandates that all major IT initiatives use earned-value management, as required by OMB A-11.

### Review of Ongoing IT Investments

During the implementation/execution of the investment, the project managers conduct frequent reviews of their initiatives to assess progress against planned cost, schedule, and performance baselines. The primary purpose of these assessments is to ensure that the initiative is on track, and to identify issues or deficiencies that require corrective action. As part of this process, each project office will provide a status of all projects via updates to their Associate Director either quarterly or at the completion of each key milestone.

To help OPM's IT project managers meet this reporting requirement, a Control Review Template has been developed. The template will be stored in the ITSM and can be retrieved from project managers at any time. This template provides project managers with a standardized format for reporting cost and schedule variances for the investments. The Associate Director receives the templates and conducts a preliminary analysis on the data. The templates and the analysis are then provided to the CFO and CIO for their review. The principal objectives of the CFO/CIO review are as follows:

- Determine whether investments under review continue to support mission and business functions.



- Assess the extent to which investments continue to meet planned cost, schedule, and technical baselines.
- Identify deficiencies and track the completion of corrective actions.
- Reach and document the decision for each investment to “continue-as-is” or be “modified” in order to improve its overall performance.
- Score investments based on their status for the following five criteria: Project Manager Certification, Cost Variance, Schedule Variance, Performance Goals, and Security

IT projects that are within acceptable ranges of the planned cost and schedule baseline and are continuing to achieve their planned performance goals, are not likely to be subject to a high level of scrutiny. Greater scrutiny will be given to initiatives that with greater cost and schedule variances or fail to achieve their performance goals.

Project managers should determine if their investments either “continue-as-is” or the baseline milestones be “modified”. The recommendation to “modify” denotes two types of actions, the re-baselining of milestones or the implementation of corrective actions to address poor performing aspects of the investment.

In the event an investment continues to perform poorly over multiple review cycles, the CFO/CIO may recommend to the Associate Director that the investment be referred to the OPM Director for further review. The OPM Director is then responsible for taking the necessary action on the investment. These actions may include:

- Accelerate: External factors require the initiative to be completed sooner than expected or initiative resources are available that can enable an acceleration of initiative schedule.
- Decelerate: The initiative timetable or funding needs to be reduced in order to allow the initiative an opportunity to regain acceptable cost, schedule, and/or performance levels. Or, external factors, such as dependence on another initiative, require extending the investment life cycle.
- Suspend: It is not cost-effective to proceed with further development or ongoing activity until problems stemming from resource shortfalls, initiative performance, system dependencies, or other external issues are resolved. In addition, a realignment of Agency priorities among existing IT initiatives may result in the suspension of an initiative.
- Cancel: The initiative is no longer required or there is a low probability that it will ever meet acceptable cost, schedule or performance levels.

### **Identify and Prioritize Deficiencies for Corrective Action**

The project manager will develop a strategy to address problems or issues related to their investments. For example, the project risk may have increased substantially due to delays in technology that were needed to complete the investment. Thus, funding also may need to be increased, which might impact multiple areas, such as staffing, investment management, and other IT investments. The resolution of all issues will be documented and corrective actions tracked. Corrective actions will be defined in a corrective action plan that is provided to the CIO for review and approval. The Corrective Action Template is stored in the ITSM. Given approval of the plan, the initiative’s Project Manager will coordinate the implementation and execution of the corrective actions. Typical corrective actions for major deficiencies are described below.

- Eliminate or avoid the specific deficiency, usually by selecting a corrective action that eliminates the cause. Corrective action to resolve deficiencies depends on the extent of change that would be required to the initiative's overall project plan, considering the cost (in terms of dollars and/or time) to make the change, and the calculated severity of the deficiency. As a general rule, elimination should be pursued when the deficiency cannot be managed, or the deficiency is costly to the initiative.
- Reduce the expected cost associated with the deficiency through corrective action. The option is employed when the elimination or avoidance of the deficiency is not likely. Instead, attention is focused on minimizing the consequences of the problem.
- Accept that a deficiency will occur and develop contingency plans to be executed should the deficiency occur. Contingency plans are pre-defined action steps to be taken prior to and if an identified deficiency should occur.

## Appendix D CIS Balanced Scorecard

#	Customer Measures	FY05 Results	FY06 Results	FY07 Target
1	Desktop Availability	100.00%	100.00%	97%
2	Email Availability	100.00%	100.00%	97%
3	Blackberry Availability	99.95%	100.00%	97%
4	Help Desk Tier 1 Response Time		2 min	TBD
5	Timeliness of applications work within negotiated delivery dates	95.00%	95.26%	90%
6	Internet Availability	99.98%	100.00%	97%
7	Financial Systems (GFIS/PFIS) Availability	99.71%	99.64%	97%
8	Investigations Systems (PIPS) Availability (Mainframe only)	99.99%	99.85%	97%
9	Retirement and Insurance System Availability (Mainframe only)	99.94%	99.82%	97%
10	Network Access	100.00%	100.00%	95%
#	Internal Business Measures	FY05 Results	FY06 Results	FY07 Target
<b>PERFORMANCE MEASURES</b>				
18	Percent bandwidth utilized	55%	50%	30-70%
19	Percent mainframe processor availability	100.00%	87.42%	99%
<b>WORKLOAD MEASURES</b>				
20	Percent CPU utilization by customer	67.68% (RIS) 100% (IS)	80.60% (RIS) 100% (IS)	
21	Number of Help Desk requests	40,998	52,791	
22	Number of emails	34,226,470	33,011,546	
23	Number of active network accounts			
24	Number of mainframe accounts			
25	Number of personal computers replaced	1,225	533	
26	Number of personal computers supported			
27	Number of peripherals supported			
28	Number of servers supported			
29	Number of intrusions prevented	8,260,328	15,868,416	
30	Number of teleworker accounts			
31	Number of patches applied	180,648	209,752	
32	Percent active network users with telework accounts			
33	Number of claims processed	137,676	141,493	
34	Number of payments processed	29,849,205	30,126,402	
35	Number of retirement transactions processed	106,342,829	104,608,822	
36	Number of investigation transactions processed	461,268,208	575,007,548	
37	Number of financial transactions processed	482,948	792,871	
38	Dollar value of payments processed	\$112,724,247,126	\$122,687,454,921	
39	Number of investigations processed	3,158,362	3,392,264	
#	Financial Measures	FY05 Results	FY06 Results	FY07 Target
40	Ratio of CIS Network support staff and contractors to OPM network users	1:146	1:128	TBD

41	Ratio of CIS Network support staff and contractors to the number of network connected workstations	1:134	1:106	TBD
42	CIS IT budget as a percent of OPM budget			N/A
43	Ratio of CIS mainframe support staff and contractors to mainframe accounts	1:192	1:235	N/A
<b>#</b>	<b>Innovation &amp; Learning Measures</b>	<b>FY05 Results</b>	<b>FY06 Results</b>	<b>FY07 Target</b>
44	Percent of OPM employees receiving IT Security Training	100%	100%	100%
45	Number of training sessions completed by CIS staff	211	189	200