



CORPORATE HUMAN RESOURCE INFORMATION SYSTEM

PROGRAM MANAGEMENT PLAN



Fiscal Years 2001 - 2005

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Corporate Human Resource Information System Program Management Plan: Fiscal Years 2001 - 2005

Executive Summary

The Department of Energy's (DOE) workforce is its most valuable asset in performing the missions related to the human resources business practices and business information needs of the Department's five business lines: Energy Resources, National Security, Environmental Quality, Science and Technology, and Corporate Management. It is necessary that the Department manage its workforce as a capital asset by using accurate, timely, and integrated human resources information to support effective business processes, increase efficiencies in operations, reduce paperwork, eliminate redundant information systems and non-value added work, and obtain information needed by management to make sound, reasoned decisions.

Human resource management for DOE employees is administered by human resource professionals in 20 Servicing Personnel Offices. In an effort to transform human resources management and improve the service delivery of human resource information throughout the Department, the Department obtained the PeopleSoft commercial off-the-shelf (COTS) product for Federal HRMS. Using this product, in September 1998, the Corporate Human Resource Information System (CHRIS) was implemented to replace the legacy PERS portion of the PAYPERS system which was approaching the end of its life-cycle and was not Y2K compliant. Using a phased implementation approach, the Department-wide initiative is creating a single, integrated HR system to provide the highest quality HR information and services to the Department's executives, managers, and employees. The primary objectives of CHRIS are to:

- enhance operational efficiencies,
- reduce paperwork,
- eliminate redundant information systems,
- eliminate non-value added work, and
- provide information necessary to make sound human resource decisions.

Phased implementation of CHRIS functionalities and reengineering efforts are based on the following strategy:

- prioritized customer and Departmental needs,
- organizational readiness,
- criticality of the processes, and
- software/technology feasibility and readiness.

Chronology of Events

In 1996, a Department-wide team of human resource and information professionals completed a Strategic

Information Management (SIM) process. A survey of field sites and program offices conducted during the SIM identified 85 locally developed automated systems which could be eliminated through implementation of a fully integrated human resource information system. An Analysis of Benefits and Costs prepared from data gathered during the SIM predicted a return-on-investment (ROI) of 52%, or savings of \$9 million over six years primarily based on the elimination of duplicative information systems, avoidance of future maintenance and upgrades to these independent systems (the vast majority of which were not Year 2000 compliant), and saved resources currently devoted to entering and maintaining data in multiple systems.

In September 1998, the personnel and base benefits modules of CHRIS were implemented as DOE's official personnel system. During this period, a decision was made to purchase the Payroll and Time/Labor modules of PeopleSoft in order to support an integrated HR/Payroll system and replace the legacy PAYS system. The Employee Self Service system was implemented in December 1998 as a web-based component of CHRIS to provide employees the capability to update personnel and payroll documents online and access to their personal and payroll information.

In September 1999, the Training Administration function was implemented. In October 2000, the Competency Management function was implemented. During this period, significant enhancements were made to the functionality for HR, Benefits, Training, and Competencies. In addition, the Employee Self Service system was enhanced to provide view capability for training information as well as additional update capabilities for personnel and payroll information. A high level fit/gap review of PS Time and Labor and a detailed fit/gap review of PS Payroll concluded that the payroll, time and attendance and labor cost distribution functionalities are not sufficiently mature in the PeopleSoft product to be implemented economically for DOE. An evaluation is underway to determine the cost effectiveness of outsourcing the payroll, time and attendance and labor distribution functions to the General Services Administration.

The life cycle costs initially submitted for the CHRIS project were \$8 million. During FY'98 through FY'00, funding for CHRIS was provided by the Corporate Management Information Program (CMIP) funds which was used to sustain the current operations as well as development. For FY'01, operations and maintenance funding for CHRIS was established under the Office of Management and Administration and beginning in FY'02 and subsequent years, the Working Capital Fund. Developmental funds continue to be provided by the CMIP through FY'05. During FY'02 through FY'05, CHRIS will continue the phased implementation of product functionality, as well as keep current with future product releases, including enhanced Federal functionality and improved technologies.

In developing and deploying CHRIS, various factors have resulted in the project costing more than projected and requiring additional time to fully implement the system and potentially affecting the return on investment (ROI). These factors include the complexities of the software, the architecture of the Department, increased customer expectations and needs, changes in customer focus, lack of mature Federal functionality, and limited resources to support the reengineering process. In addition, a recent IG audit report on CHRIS, DOE/IG-0494, dated February 2001, provided recommendations to aid the Department in satisfying its objective of deploying a fully integrated human resources system. Steps are

being taken to fully implement these recommendations and to share the lessons learned from the development of CHRIS with others to avoid future problems in software development.

I. Introduction

This Program Plan outlines the work scope, budget, strategy, management and implementation schedule for the DOE Corporate Human Resource Information System (CHRIS) Program. The goal of this Program is to establish a corporate, integrated technology infrastructure to support the Department's human resource (HR) missions. In 1998, the CHRIS Program was expanded to encompass the implementation of Payroll, and Time and Labor in concert with the ongoing efforts to implement the HRMS and Benefits packages. However, recent cost benefit analysis and availability of other Federal out-sourcing services have resulted in Departmental officials revisiting this decision. The updated version of this Plan only addresses the HR component of CHRIS and excludes the implementation of PeopleSoft's Payroll and Time/Labor.

CHRIS replaced the PERS side of the Department's PAY/PERS system in September 1998, which was nearing the end of its life cycle. It is the intent of CHRIS to eventually replace more than 80 redundant or outdated HR information systems throughout DOE. It has also provided a standardized platform with instant access to HR data through the Employee Self Service system using the latest web-based technology. The modules for Training Administration and Competency Management were implemented in September 1999 and September 2000, respectively. Since its inception in December 1998, ESS provides extensive capabilities for employees to view and update their personal, personnel, and payroll information. An online Position Description library has also been developed containing over 200 standardized positions.

CHRIS is being developed in phases over the next five years and will include such features as recruitment, health and safety, employee relations, EEO tracking, performance management, and career and succession planning as well as further expansion of ESS update capabilities.

These functionalities will enable the HR community to respond more effectively and efficiently to the needs of DOE managers and employees and to provide more timely and accurate information on which decisions may be based. In addition, it will eliminate non-value added tasks currently performed by the HR staff and provide a paperless environment for the conduct of HR business processes.

To ensure that all necessary steps are taken toward successful implementation, this document follows the Program Plan format recommended in the DOE Software Engineering Methodology Guide.

A. Assumptions

This planning effort is based on the following assumptions:

- < CHRIS phased implementation remains a high organizational objective for the CFO, CIO, and HR.
- < Adequate Federal program management, leadership, and team resources will be designated and continually funded by HR, CFO, and CIO.
- < Dedicated Program staff (Federal and contractors) will provide corporate institutional knowledge, continuity, and a high level of functional and technical skills, abilities, and knowledge.
- < Federal and contractor resources are available, accessible, and planned.
- < Adequate funding will continue from the CIO Investment Fund and the Working Capital Fund.
- < Stakeholders/customers embrace and support business process reengineering by providing matrix resources for this activity and accept new business processes when implemented.
- < Appropriate Departmental policies will be developed, reviewed, and/or revised to support reengineered business processes.
- < CIO assures a complex-wide infrastructure to support corporate systems.
- < Program and Field Offices meet minimum hardware and software requirements for PeopleSoft operation.
- < Senior Departmental officials support the efforts of the corporate system and reduce the reliance and development and maintenance of duplicative HR systems.
- < PeopleSoft Federal will meet release schedules and the software is production ready when delivered.
- < Internal and external influences will not have a significant negative impact on the Program (e.g., budget, reduction-in-force, union negotiations, major Departmental mission/function changes or transfers).
- < Personnel and payroll operations will continue without interruption while functional and technical development and implementation of the integrated systems solution is on-going.

B. CHRIS Program Guiding Principles

- < CHRIS is a corporate, DOE-wide integrated Program with heavy stakeholder involvement.

- < CHRIS is a customer driven and supported Program.
- < A board comprising of senior management officials from the CIO, CFO, and HR offices will provide timely support and direction to the Program.
- < The CHRIS Project Manager will have the authority and resources needed to do the job and be held accountable for results.
- < Accomplishment of CHRIS assignments will be the highest priority of matrixed team members (including Team Leaders), unless an exception is agreed to by the Board.
- < HR, CFO, and CIO commit to provide adequate staff resources to the CHRIS Program (dedicated or matrixed).
- < All assigned resources commit to working Program issues within the program and not exclusively within their home organizational chain.
- < The CHRIS program team will focus on corporate results as reflected in the program plan.
- < Roles and responsibilities of the Project Manager, Team Leaders, and Team Members will be clearly defined.
- < The team will employ open, honest and constructive communications and address disagreements in a timely and professional manner.
- < Recognition of CHRIS Program successes will focus on the team and not individuals.
- < Resolution of problems will focus on issues as opposed to individuals.
- < The CHRIS Program will employ proven project management principles.
- < Responsibilities for addressing urgent and unexpected priorities will be assigned by the Project Manager.
- < Changes in the Program plan will be made by the Project Manager, in consultation with the Board as appropriate.
- < When it appears that sufficient resources are not available, the Team Leaders may modify assignments of Team Members and/or request additional resources after consultation with the Project Manager.

- < Unresolved issues and problems will be addressed by the Board of Directors in a timely and corporate manner.

II. Background/History

A. Integrated Payroll/Personnel System Initiative

In 1994, the Department of Energy (DOE) conducted an analysis of alternatives to its in-house automated Payroll/Personnel System (PAY/PERS). PAY/PERS was nearing the end of its intended life and was not Year 2000 compliant. The human resources team, working as one of five separate functional teams analyzing technical and functional requirements for cross-servicing, developed business requirements and attended product demonstrations by the potential cross-servicing providers in 1995. Through this extensive study, it was apparent that none of the external service providers could meet the business and information management needs of the human resource professionals and program managers.

In 1996, a Human Resources Strategic Information Management (SIM) study was conducted under the aegis of the Department's Chief Information Officer (CIO). The SIM process conformed to planning requirements of the Information Technology Management Reform Act of 1996 (Clinger-Cohen Act) and the Information Management Section of the Department's Strategic Alignment Initiative. The HR SIM identified the information needed to support the human resource business processes, achieve efficiencies in operation, reduce paper work, eliminate redundant information systems, eliminate non-value added work by human resource professionals, and provide the information needed by management to make sound, reasoned human resource decisions.

The HR SIM also produced an Analysis of Benefits and Costs comparing the cost of continuing without a Corporate Human Resource Information System to the cost of acquiring and implementing such a system, over a six-year period. The analysis predicted a return on investment (internal rate of return) of 52%, or a potential savings of more than \$9 million over a six-year life span. It is anticipated that this net savings will be achieved largely through the elimination of redundant systems, including cost avoidance of funding future maintenance and system upgrades and saved personnel time from reduced data entry and maintenance requirements. Additional savings will accrue by avoiding the high cost of modifying many of these systems to accommodate Year 2000 dates. The majority of these savings will occur in the out years as additional human resource functionality is implemented in CHRIS and redundant systems are eliminated.

The final recommendation of the HR SIM was to pursue implementation of an integrated human resources management information system.

B. Software Evaluation, Selection, and Purchase

A workshop to develop software evaluation criteria was held in July 1996. The attendees adopted high-level attributes for software evaluation recommended by the Gartner Group, a firm of highly respected Information Management industry analysts. A formal evaluation

process was conducted by a Department-wide evaluation team, resulting in a recommendation to acquire PeopleSoft's Human Resources Management System (HRMS Federal), a commercial off-the-shelf software package. This software was purchased in September 1996.

C. The CHRIS Role in Departmental Initiatives

CHRIS is critical to the Secretary's business line goal for Corporate Management, "organizational excellence in corporate management systems and approaches." It provides a state-of-the-art solution to the human resources business practices and business information needs of the Department's five business lines -- Energy Resources, National Security, Environmental Quality, Science and Technology, and Corporate Management. Expected outcomes include better support to business processes, efficiencies in operations, reduction in paperwork, elimination of redundant information systems and non-value added work, and provision of information needed by management to make sound, reasoned decisions. Since 1998, the Secretary's Performance Plan with the President has included objectives related to corporate HR automated efforts.

This objective is cascaded into the Strategic Plan of the Office of Human Resources and Administration and performance objectives of HR senior management. In addition, CHRIS supported the Department-wide requirement to implement Year 2000 date change compliant mission-essential computer systems. With the Strategic Implementation Management process soon to be undertaken for the Business Management Information System (BMIS), implementation of CHRIS will provide for interoperability and integration with this very key, mission critical system.

III. Benefits of CHRIS Implementation

A. Benefits to the Agency

The following benefits of full CHRIS implementation to the Department of Energy have been identified:

- < Provides direct access to human resource information to DOE managers and employees. Increases ownership of the human resource process (recruitment, position descriptions, promotions, evaluations, development, status changes, benefits, beneficiaries, payroll deductions, etc.).
- < Maintains human resource information in a centralized location and eliminates redundant data entry efforts, thus increasing reliability and data integrity and provides better access to information.

- < Enables a corporate approach to reengineering human resource processes to take maximum advantage of best business practices inherent in the commercial off-the-shelf software. Is a catalyst for changes in business policies and practices as additional system functionality is introduced.
- < Provides decision support capabilities by allowing managers to perform “what if” analyses to determine the impact on budget and mission of proposed changes in staffing levels and organizational structure.
- < Reduces turnaround time in completing personnel, benefits, and payroll transactions, enabling human resource professionals to provide top quality customer service while the Department’s core administrative staffs continue extensive downsizing.
- < Meets tracking and reporting requirements of the Defense Nuclear Facilities Safety Board (DNFSB), such as the Certification of Facility Representatives.
- < Complies with the Department’s Information Architecture and with Year 2000 date requirements; provides functionality beyond personnel processing, supporting training, accident and Workers’ Compensation reporting, personal property tracking, benefits, etc.
- < Allows for the creation of a data base of potential applicants for DOE positions and for the matching of applicant skills with position requirements. This will assist DOE in meeting workforce diversity and Welfare-to-Work goals.
- < Facilitates a paperless working environment for many of the core human resource and administrative systems and processes.
- < Provides a uniform, centralized reporting and trending information environment.

B. Benefits to Managers and Employees

Full implementation of CHRIS will allow DOE managers and supervisors to:

- < Access personnel information on their employees and organizations from the desktop.
- < Perform ‘what-if’ analyses to determine impact of proposed human resource changes on budget, organizational structure, etc.
- < Initiate and submit Requests for Personnel Action, SF-52, electronically via a paperless, automated work flow.
- < Search the data base for skills, education, experience, etc.

Implementation of CHRIS will empower DOE employees by providing:

- < The capability to access or change a variety of human resource-related personal information from the desktop (i.e., home address, payroll deductions, benefit changes, education information, etc.) thereby further reducing the burden on human resource staff that originally processed these actions.
- < A paperless process for completing certain forms and processes.

C. CHRIS-related Cost Savings/Avoidance

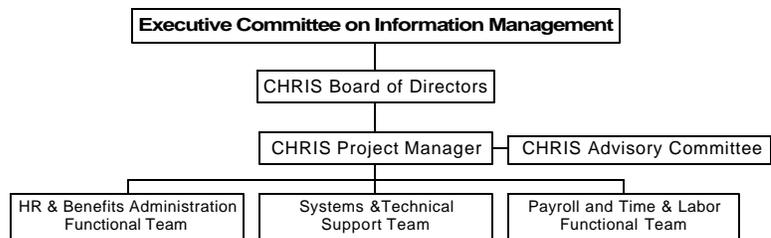
- < Eliminating support staff costs for redundant automated systems.
- < Eliminating redundant data entry into multiple systems.
- < Integrating functionality that currently exists in multiple standalone systems.
- < Avoiding 'Year 2000' transition problems and costs.
- < Reducing paperwork through the use of automated work flow and web-enabled capabilities.
- < Eliminating 'non-value-added' work by human resource professionals.

IV. Program Organization

A. Program Management Structure

In 1997, a managerial structure was established to provide corporate oversight of the implementation process, make decisions concerning how CHRIS will be used throughout the Department, coordinate implementation at all sites, improve business practices to take maximum advantage of automated capabilities, and track project costs, savings, and tasks. Within the structure, the majority of matrixed resources are expected to be part-time in nature and will be donated by field and program offices to ensure that system decisions represent the cross-Departmental needs of stakeholders, customers, and management. With the exception of a small core team that will work directly on the corporate effort, participation in the phased implementation of CHRIS will be either for brief intensive periods to work specific implementation issues or part-time over an extended period. The current matrix organization is presented below.

CHRIS Project Structure



B. Governance Structure

The CHRIS program will use a participative approach to defining the major priorities for the phased implementation with input from multiple sources including the Human Resource Directors, Training Managers, the CIO, the CFO and the CMIP Board. Routine decisions regarding the program activities are made by the Project Manager in conjunction with the Team Leaders. Issues requiring a higher level authority which have a major impact on the overall direction of the program are referred to the CHRIS Board of Directors and, as needed, made in consultation with the ECIM.

1. Executive Committee on Information Management (ECIM)

The existing Executive Committee on Information Management will serve as the senior advisory board for the Program. This Committee, chaired by the Deputy Secretary and comprised of senior program and staff officers of the Department, focuses managerial attention on the value of information, which needs to be managed as a corporate asset. The CIO serves as the Executive Secretary to the Committee as it focuses on directing the use and sharing of corporate information. The Committee sets priorities to ensure the IM program is consistent with the Department's strategic vision and serve as the final arbitration point for any disputes not resolved at lower management levels. Through periodic reviews, they assure the Secretary that the Department's information management program and investments are being based on mission-oriented performance measures and that sound business practices, consistent with applicable laws and regulations, are being used.

2. CHRIS Board of Directors

The Deputy Chief Financial Officer, Chief Information Officer, and Director of the Office of Human Resources serve as the Executive Directors of the Board to the CHRIS Program. The CHRIS Project Manager reports to the Board. They provide strategic vision and guidance, serve as chief advocates to Departmental senior management on Program issues, provide functional leadership in their respective areas, and serve as stewards for Program activities with field and Headquarters counterparts. The Executive Directors provide **ownership, vision, leadership, advocacy, mediation, barrier busters, communications, decisions, arbitration, administrative supervision (Project Manager reports administratively to the Director of the Office of Human Resources)** for the project and provide program plan approvals, conflict resolution, technical/programmatic expectations, internal/external senior management support, and resources.

3. CHRIS Project Manager

A full-time Project Manager will lead the effort, supported by a small permanent project staff. The Project Manager is responsible for project leadership, advocacy, communication, oversight, collaboration, evaluation and coordination of the overall project, project plan,

budget, resource needs, and internal and external relationships. The Project Manager will be equally accountable to all three Executive Directors for project accomplishments but reports administratively to only one of them.

4. CHRIS Advisory Committee

The Advisory Committee serves as a corporate advisory body to the Project Manager representing the views and interests of stakeholders and customers for implementation and operation of CHRIS and is comprised of corporate-wide HR, CFO, and CIO representatives. Responsibilities of the Committee include providing both general oversight to the matrixed activities and serving as a check and balance point for the Program's leadership. The CHRIS Project Manager serves as the Committee Chair and is delegated a high level of authority to manage the day-to-day aspects of the Program.

5. Team Leaders

Three Team Leaders -- Human Resources and Benefits Administration Functional, Systems and Technical Support, and Payroll and Time and Labor Functional -- will be responsible for team leadership, advocacy, communication, oversight, collaboration, execution, evaluation and coordination of task assignments, milestones, commitments, project plan, budget, resources needs, internal and external relationships, reengineering strategies and securing reengineering champions, subject matter expertise, technology vision, and customer and stakeholder needs. Team Leaders may be devoted full-time to the program or be matrixed, carrying out project duties concurrently with normal day-to-day responsibilities.

6. Team Members

Staff resources to carry out the various tasks related to CHRIS implementation will consist of a combination of Federal and contractor employees. Federal staff will be provided within existing resources from the CFO, CIO, HR, specifically, and as needed by Program and Field Offices, either as dedicated full-time staff or matrixed part-time while carrying out regular day-to-day responsibilities. Team member responsibilities include execution, communication, prioritization, advocacy, collaboration, reengineering, research, analysis, and integration of the tasks, subject matter and technical expertise, awareness of other areas, cross-cutting solutions, customer and stakeholder needs, processes, and benchmarks. Team members also provide operations and maintenance support to the functional modules deployed. The fluid nature of this structure will allow the project to expand, shrink, or redirect as necessary to support the project's phased implementation.

With the recent departure of the CHRIS Project Manager in December 2000 and the draft payroll business case report issued in March 2001 by Booz Allen recommending the outsourcing of the payroll, time and attendance, and labor distribution functions rather than implementing PeopleSoft's Payroll and Time/Labor products, the current governance structure is being reviewed

by the CHRIS Board of Directors. Other factors being considered in determining the structure are the recent IG audit of CHRIS, issued December 2000 and the establishment of CHRIS as a business line in the Working Capital Fund.

V. CHRIS Program Strategies and Scope

A. Phased Implementation Strategy

Implementation of CHRIS will be accomplished in a number of phases. Roll out of added functionalities will be prioritized annually based on customer and Departmental needs, readiness of the Federalized software for implementation, reengineering priorities, and criticality of the processes. The phases are detailed in the master program plan attached. Input is obtained from the HR Directors, Training Managers, CHRIS users, employees and managers on the enhancements and new functionalities. HR Directors are requested to rank the major CHRIS development priorities which will help them achieve mission and organizational objectives. At the beginning of each fiscal year, CHRIS functional and technical team members will develop a detailed project plan which factors the functional priorities, available resources and funding, and technical requirements. Assessments will also be made of new technologies affecting Departmental architecture and system infrastructure.

B. Funding Strategies

Operations and maintenance (O&M) expenses for the CHRIS program will be funded by the Office of Management and Administration (MA) in FY'01 and, beginning in FY'02, the Working Capital Fund for all O&M expenses except for Federal salaries and travel. Federal salaries and travel will continue to be funded by MA. The CIO's Corporate Management Investment Program (CMIP) Fund will provide funding for product development activities, related system infrastructure expenses, and deployment of the new functionalities.

C. Project Staffing Strategies

The CHRIS Project will be managed by a project manager reporting to a Board of Directors and supported by an Advisory Committee and three Team Leaders. Team Leaders will be assigned responsibility for the following areas:

- < Human Resources and Benefits Administration Functional
- < Systems and Technical Support
- < Payroll/Time and Labor Functional

Team Leaders will be responsible for securing the necessary resources to staff their teams and to meet the commitments identified in this project plan. Team Leaders can be assigned either full-time or part-time and will be matrixed to the project from their home organizations.

1. Operations and Maintenance

Limited Federal resources are available for maintaining and operating the system and for performing design, development and implementation activities. The majority of management and technical support expertise will be provided by contractors. CHRIS will require services from a contractor to support the following:

- maintenance of released functionality,
- application and database support, including telecommunications support
- security administration,
- system performance monitoring,
- application of software fixes and patches,
- system modifications,
- maintenance of system documentation, and
- problem/resolution tracking.

Contractor support will also include the operation and maintenance of the CHRIS production website and the CHRIS/Employee Self Service (ESS) system, including the ESS helpdesk. Other support services may be acquired as needed, such as, but not limited to, transition planning support, program assessment, risk evaluation, training for new users and development of user manuals, or other areas.

2. Required Skills

In addition to the corporate staff, team leaders, and team members, some specific skills will be needed during CHRIS implementation and/or on a continuing basis. These include Local Area Network (LAN) and Wide Area Network (WAN) support, database administration (DBA), system administration, security administration, functional area experts, trainers and user support staff, re-engineering specialists and systems analysts/integrators. In addition, PeopleSoft consultants will be used on a limited basis on issues specific to the product (i.e., upgrade management).

D. Training Strategy

As teams are formed to support new functionality implementation, these teams will be provided training as necessary to support the phased implementation. No new training development is expected for these team members. Training will be secured for this very small group from service providers approved to provide the requisite training. Based on the size of the end user community, training for end users will, to the greatest extent possible, will be accommodated through technology-supported learning. As technology matures, it is expected that training will migrate to web-enabled training accessible via the Online Learning Center.

E. Business Process Reengineering Strategy

A “just-in-time” business process reengineering strategy has been adopted for CHRIS implementation to assure that energies are focused on the right processes at the right time. The PeopleSoft functionality is extremely robust, supporting some thirty different human resource programs; however, Federalization of their commercial product is occurring over time dependent on the expressed needs, desires, and priorities of Federal customers. Throughout the CHRIS implementation, DOE will realign and reengineer business processes and streamline operations to effect improvement opportunities identified in the HR SIM and based on examination of best business practices inherent in the PeopleSoft Federal HRMS and Benefits software. It is the intent to continue the phased approach to establishing reengineering priorities on a yearly basis and implementing additional system functionality through Fiscal Year 2005 and continuing over the life of the Project.

On at least an annual basis, an assessment will be conducted to:

- < Determine the status of on-going reengineering and implementation activities.
- < Assure the readiness and availability of project functional and technical resources based on the status of the current project phase to take on added support requirements.
- < Determine the state of production readiness of the PeopleSoft Federal functionalities.
- < Benchmark current business practices against the PeopleSoft Federal functionality as to the potential level of impact on current DOE policy and practices.
- < Gather information from stakeholders and customers on their priorities for added software functionality to more efficiently conduct their business.

Based on this assessment, a report will be provided with recommendations on reengineering priorities to be established for the next phase for consideration and a consensus decision.

Once reengineering priorities have been approved for a particular phase, a volunteer reengineering champion will be identified for each functionality to establish and lead a matrix reengineering team to document the current process, identify opportunities for improvement, and report those opportunities to the CHRIS project. The Human Resources and Benefits Administration Team will serve as liaison to the reengineering team to ensure consistency in approach and to provide subject matter and/or technical expertise on the software.

- < Reengineering efforts will include:
 - Assessing current HR business environment and processes;
 - Gathering and analyzing system requirements;
 - Performing fit/gap sessions;
 - Ensuring that adequate internal controls, audit trails, and retention periods are sufficient for HR information, records, procedures, and other related resources;
 - Identifying and analyzing issues, opportunities and improvements;
 - Identifying benchmarks to be used to measure system and process improvements;
 - Sponsoring organizational change initiatives;
 - Designing an improved HR business environment, processes, and procedures based on the new technology; and
 - Presenting detailed plans and strategies for change management and transition management.

- < Implementation of Reengineered Processes - All recommendations for design of reengineered processes will take into account information generated from the previous steps and documentation will address both system and process changes needed to accommodate the business needs of the Department of Energy. Process flow charts and step-by-step procedures will be prepared to support implementation of reengineered processes following appropriate buy-in from stakeholders and customers. Any policy changes required to support reengineered business practices will be coordinated as appropriate with those individuals responsible for the development and approval of Departmental policy. Customizations to the software will be reviewed and staffed and approved in accordance with CHRIS customization control procedures.

F. Roles and Responsibilities of Reengineering Team Members

The following roles and responsibilities have been established for CHRIS reengineering efforts:

- < **The Reengineering Champion and CHRIS Functional Team Leader will work together to:**
 - < Establish and lead a corporate process reengineering team
 - < Guide team efforts
 - < Ensure involvement and input is obtained from all CHRIS stakeholders/customers
 - < Identify and obtain necessary resources

- < Analyze team member recommendations
- < Communicate progress of reengineering efforts to the CHRIS Project Manager
- < Ensure appropriate buy-in to business process reengineering efforts across the complex
- < Ensure that reengineered business processes appropriately meet the needs of CHRIS stakeholders/customers
- < **The CHRIS Liaison will:**
 - < Serve as a key member of process reengineering team
 - < Set the tone for deliverables
 - < Facilitate reengineering efforts
 - < Provide subject matter and/or technical expertise on the software
 - < Track progress of reengineering efforts
 - < Test the reengineered process against the CHRIS scope
 - < Communicate progress of reengineering efforts to the CHRIS Functional Team Leader
- < **Reengineering Team Members will:**
 - < Carry out project tasks under the leadership of the Champion and Functional Team Leader
 - < Communicate with each other to ensure reengineering efforts are on target
 - < Analyze root causes of problems as they arise
 - < Search for alternative solutions to problems
 - < Analyze alternative solutions for the best fit
 - < Assist with testing the reengineered process
 - < Recommend viable reengineering strategies to the Champion and Functional Team Leader
- < **Stakeholders/Customers will ensure:**
 - < Accurate information is provided to aid in reengineering efforts
 - < Staff /budget are available to support corporate reengineering efforts

VI. Implementation Schedule

A. Implementation Schedule for Fiscal Year 2001 and Beyond

CHRIS functionalities will continue to be implemented on a phased approach through FY 2005. Within the work breakdown structure, a definitive requirement will be established to assure, at a minimum, an annual review of this documentation so that schedules and activities

will be amended timely and as appropriate.

B. Objectives

1. Provide for increases in system demand and provide access to information in the system to all DOE employees and managers.
2. Continue to investigate and prioritize the roll out of additional system functionalities; coordinate corporate reengineering efforts to support expanded system functionality.
3. Identify and plan for the elimination of those external systems which CHRIS can replace, ensuring their needs will be met by CHRIS.

C. Major Milestones

- < Identify candidate business processes for reengineering and incorporation into CHRIS;
- < Provide DOE employees and managers with desktop on-line access to information contained in the corporate system;
- < Continue efforts to identify information and processing systems whose requirements can be handled by CHRIS; work with system owners to shut down;
- < Phase out as many duplicative HR information systems as feasible and plan for replacement by CHRIS.

VII. Program Management and Control

A. Strategic Planning

Strategic planning involves the review of the HR business case, the definition of the business organizational structure, the evaluation and definition of program scope and objectives, the definition of governance processes, and the creation of master program plan schedules and budget. Planning activities include financial management of funding sources, seeking alternative funding sources, assessing new technologies and industry trends to determine their impact on CHRIS.

B. Program Plan

The Program Plan is the governing document for the implementation of CHRIS. The Plan includes or will be revised to include all activities to implement the HRMS and Benefits

functions and to ensure an appropriate interface with corporate Departmental systems, such as BMIS/Phoenix and the payroll system. The Plan will be reviewed and revised at least annually (or more frequently as changing conditions dictate) by key technical and functional leaders and members of the CHRIS program team. The Plan text will be updated to keep pace with changes to the project direction and strategies. Such changes will be reflected in the Work Breakdown Structure contained herein. The Project Manager is responsible for the Program Plan and its revisions. Additional planning documents may be encompassed by the Program Plan as new CHRIS functionality is undertaken and schedules for functionality implementation developed.

C. Work Breakdown Structure and Master Project Schedule

The CHRIS Work Breakdown Structure (WBS) and Master Schedule have been developed in Microsoft Project. The Master Schedule includes all tasks identified in the Work Breakdown Structure (WBS) that must be completed for all phases of implementation at the corporate level. The Project Manager will maintain and update the WBS and Master Schedule and will notify the appropriate levels of management of any slippages as soon as they are detected. Individuals responsible for specific tasks must report status, time worked and progress on their tasks, on a regular basis, to the Project Manager.

Each HQ and Field Element will be responsible for identifying, planning and scheduling all activities required for local implementation.

1. Status Reporting

Project status and accomplishments will be reported to the Project Manager by the CHRIS Team Leaders on at least a monthly basis. These will be compiled and forwarded to the appropriate levels of management or to external organizations requiring updates on expenditures and/or accomplishments. Status reports will also be used to inform senior management and advisors to the project such as the Board of Directors, HR Directors, CMIP Board, WCF Board, and the CIO's CMIP Quarterly Briefings to solicit guidance on future direction.

Accomplishments will be reported via the CHRIS bulletins, annual CMIP reports to OMB, CHRIS web page, E-mail, telephone/video conferences, or meetings. Reports will also be submitted to HR Directors and the entire CHRIS matrix structure as necessary. Project costs, savings, and return on investment (ROI) will also be tracked and reported on a periodic basis consistent with existing or future reporting requirements.

As a result of status reports, the Project Management Team will follow-up on issues of potential impact to project success at the corporate level. Team Leaders will have

responsibility for resolving specific issues. Status reports will form the basis for risk assessment and risk avoidance. Issues identified in these reports will be tracked to resolution.

2. Project Milestones

Milestones will be reviewed with the CIO, WCF Board, and CHRIS Board of Directors during periodic meetings. Decisions will be made as needed to assure that the project remains on schedule. Formal evaluations may be conducted at various times as directed by the Board.

3. Remedies for Project Schedule Slippages

Some slippage in individual site schedules can be absorbed without compromising the overall project schedule, but if many sites fall behind, major milestone dates could be affected. The Team Leaders will monitor the progress of corporate activities and of all sites and will inform the Project Manager of any slippages. The Corporate Project Team will assist individual sites, if necessary, to ensure that Program goals are met.

D. Project Planning, Funding and Performance

1. Annual Planning

Departmental Planning is performed through the **DOE Strategic Plan** and updated annually through the **Secretary of Energy Performance Agreement with the President**. Each Assistant Secretary in turn negotiates a performance agreement with the Secretary. Each Assistant Secretary's performance agreement supports the Secretary's agreement with the President by identifying organization-specific performance goals and indicators. The CHRIS Project Manager is responsible for gaging CHRIS project performance and this information is included as part of the Assistant Secretary for Human Resources and Administration's reporting to the Secretary.

Another annual planning process accompanies the budget formulation process in late Spring when the Office of Policy evaluates **Five Year Plans** which match Departmental performance commitments against funding targets for the next five fiscal years. This process ensures that budget decisions in the budget year do not impinge on Departmental priorities in the outyears. Instructions and deadlines for this process are signed out concurrently by the CFO and Assistant Secretary of the Office of Policy in April.

During the **Budget Formulation** process which begins in April with a call for programs to

identify their funding requirements for the budget year two fiscal years beyond the current fiscal year, the CHRIS budget needs identified during the annual program planning meeting will be provided to the Office of Management and Administration, the Working Capital Fund Board, and the CMIP Board. Instructions for this process originate in HR and are complemented by the Formulation call signed out by the CFO in May.

Other Planning is necessary to respond to ad hoc calls for information or changes in the planning assumptions or environment. This project can anticipate frequent need to perform analysis on outsourcing options, DOE as a service provider, CIO planning, and strategies to support operations and development, for example, sharing user resources (service center). Because of the need to upgrade many Departmental systems this project will need to evaluate **interface with other DOE Corporate systems**. Maintaining the **work break-down structure (WBS)** up-to-date will facilitate all planning efforts. The WBS will be the basis of performance and resource requirement analysis.

2. Performance Evaluation

Based on Secretarial and Assistant Secretary's agreement criteria and actual schedule performance on the project, the project will evaluate its performance **annually** to record its actual accomplishments.

To anticipate its annual accomplishments the project will perform a **mid-year review** to determine whether it is on target to accomplish the goals it set out in its planning and agreements with higher level organizations or managers.

Beginning in FY 2001, CHRIS will use a 'balanced scorecard' approach to performance measurement. The balanced scorecard provides a concise set of measures for a fast and comprehensive view of CHRIS from the following four perspectives:

- Financial: Cost effectiveness of CHRIS investments
- Customer: Improvement in level of CHRIS customer satisfaction with accuracy, timeliness, and business value
- Internal: Adherence to scheduled baselines and program outcomes
- Innovation and Learning: Training and development provided to program staff and employees served by CHRIS.

As the program life cycle evolves, additional metrics will be collected and monitored.

The management and disbursement of allocated funding by the project are **budget execution**. Beginning in August of the prior fiscal year annual funding plans are created to allocate the available funds to project objectives. These funds are identified by source, Departmental location for obligation (for example, Morgantown), and objective (for

example, CHRIS interface with PAYS). The Department uses the Approved Funding Process (AFP) to ensure that funds are available at the intended location in time to procure the desired goods and services. The initial AFP is created in August and revised in September for issuance in October. AFPs can be altered on a monthly basis.

Resource acquisition will be performed on a regular basis. Failure to acquire the necessary resources could jeopardize the project. The Project's management is in a better position than team leaders to negotiate with senior management and acquire scarce resources. Plans for resources as established by the WBS will be evaluated regularly to determine if the schedule is still effective and goals are being met.

3. Change Control

The process formal and systematic change control will ensure the integrity of the WBS and assure senior management that the project is capable of achieving the desired results. There is a formal change control process with various outcomes including notification of management when the project requires redirection or additional resources or expects delays in scheduled milestones.

The formal process is simple and straightforward. Any changes in cost, schedule, scope, or performance beyond the designated thresholds require approval from the project manager and notification of the cognizant project finance, technical, and control managers affected. The impact of the changes will be evaluated and recommendations forwarded to the project manager for decision. Impacts on the approved WBS will be required in the recommendation and if approved the WBS will be altered to correspond to the approved change. If the change impacts the project significantly, then the Departmental principals will be notified of the impact to the project and consulted if necessary for help in resolving any significant issues.

4. Risk Management

Successful management of complex programs requires informed, proactive management of risks. Identification and analysis of risks and the development of and/or updates to the mitigation plans are performed quarterly and reported during the CMIP review meetings with the CIO.

VIII. Communications and Outreach

A. The DOE Community

The CHRIS Project Office has established a CHRIS web site at <http://chris.inel.gov> that

includes documents and other information related to CHRIS. The website allows singular, centralized access to management and employee information, training, CHRIS project communication, CHRIS project management tools and information for all communities of interest. The website will also be used to report project progress.

Mechanisms, such as bi-monthly CHRIS conference calls and quarterly HR Directors meetings, have been established to solicit customer needs and feedback and to communicate with Departmental organizations on the plans for and progress of the CHRIS project. Partnerships will be established with other corporate system efforts.

B. PeopleSoft Federal Users Network

PeopleSoft sponsors a Federal Users Network separate and distinct from the Users Group for PeopleSoft's commercial products. DOE participates fully in the Federal Users Network (FUN), as well as on established FUN workgroups, using it as a forum for Government agencies to identify and concur on modifications and/or expanded functionality to be requested from PeopleSoft in future releases.

IX. Technical Implementation

The CHRIS Systems and Technical Support Team handles all issues related to technical implementation. This team is composed of computer network and information management experts who are familiar with DOE's business systems and PeopleSoft's application modules. Responsibilities of the Team will be to provide guidance and assistance to the core corporate staff on:

1. Development of a CHRIS Systems Manual
2. Timely resolution of network and application problems
3. Server and application maintenance and upgrades
4. IT-related recommendations
5. Data security and disaster recovery
6. Capacity planning, system performance management, and system testing
7. Ensuring compliance with DOE architecture standards

The CHRIS Systems Manual will contain procedures and descriptions that address:

1. Network configuration and hardware requirements
2. System and data security
3. Disaster recovery
4. Hotline maintenance
5. Capacity planning

6. Upgrades
7. Initial data loads
8. Operations
9. Training

A. Server Configuration

The server is a DecAlpha 8200 Unix platform with Oracle 8 as the database management system. National Energy Technology Laboratory (NETL) provides technical support for the corporate database and the server portion of the CHRIS application. Sites using CHRIS will communicate with the server at NETL via the DOE Network (DOENet) utilizing frame relay transmission protocol. Network upgrades and support services to support the CHRIS implementation must be funded by the CHRIS project. Connectivity for sites not using this network must be provided.

The current version of PeopleSoft's Federal HRMS software is 7.5.

B. Site Connections to CHRIS

Each site will be responsible for providing CHRIS users with appropriate hardware and software, and for establishing and testing the site's connectivity to NETL at Morgantown, utilizing the DOENet communications line. Site security and firewall issues must also be addressed and resolved.

C. Networking Services

CHRIS currently uses DOENet for local site access to the corporate database server. CHRIS will share the network with other DOE applications, both program specific and corporate. Ongoing evaluations will be done of the DOENet usage as the CHRIS architecture changes to a web-based application and due to the potential change in the payroll services provider.

D. Technical Support Services

At Headquarters, contractor support services have been established due to complexity of establishing connections for CHRIS users in over 25 HQ program and staff offices. The contractor will assist sites in establishing connectivity, conducting network testing and resolving site security (firewall) issues.

The CHRIS application, database and web servers are operated and maintained by **NETL**. A Memorandum of Understanding (MOU) has been negotiated between the CHRIS Program and NETL to document each party's responsibilities, financial obligations, Federal staffing

support and services to be provided.

E. Security and Disaster Recovery

The CHRIS database will contain sensitive personnel information, subject to Privacy Act requirements, which will need to be protected. Access to this data will be controlled via the use of PeopleSoft's application security procedures. In line with Departmental Information Architecture principles, security is inherent in the existing product design as provided by PeopleSoft.

Security and Disaster Recovery will be addressed at two levels:

- < Corporate system - this includes all of the "centralized" functions of the system and will address issues including data security and telecommunications security. CHRIS data will be covered under the NETL Computer Security and Disaster Recovery Plans. The DOENet network provides end-to-end control of data.
- < Site implementation - this includes all of the functions and activity at the site level. Each site will be responsible for ensuring that the site's security plan addresses issues pertinent to CHRIS. Since CHRIS data will be stored centrally at NETL, sites do not have to consider data loss and recovery. However, they should incorporate items in their Disaster Recovery and Security Plans that are specifically identified in the CHRIS Security Plan. Individual Memorandums of Understanding may be necessary to ensure the security of personnel data at the "client" end.

1. Data Integrity

Data integrity measures are intended to assure that information is accurate, reliable, and timely, and that only persons with appropriate authority have access to the data for either viewing or modifying the data. The CHRIS implementation conforms with Departmental Information Architecture principles regarding protection, access, and integrity of data.

2. User Ids

PeopleSoft's security measures will be utilized to the fullest to provide access to specific data only to persons with appropriate authority. Application security is based on user identification and passwords. Access to personnel information is subject to protections specified in the Privacy Act of 1974. Users are required to submit a written request for a User ID which must be signed by the appropriate official.

F. Configuration Management

Configuration management addresses the computer hardware and software infrastructure supporting the application, the information architecture, the communications network, the version (or release number) of the application software, and custom modifications to the software. Configuration management procedures must be developed to anticipate the impact and manage the coordination, testing and acceptance of changes or modifications in any of these areas. These procedures are addressed in the CHRIS Systems Manual.

1. Customization Control Process

Benefits of implementing a corporate system, based on commercial-off-the-shelf technology, are predicated to a large extent on minimizing customization during product implementation. To this end, efforts will be expended, working through PeopleSoft's Federal Users Network, to bring requests for changes and enhancements to PeopleSoft for implementation in a future release of the Federal products, rather than making individual customizations to Energy's software.

However, customization or modification may be required to ensure the Department's needs are met by PeopleSoft's Federal products. The Customization Control Board (CCB) procedures issued in October 1999 describe the process for evaluating and approving changes to the software. Estimated costs and resources required to effect changes, as well as impact on the project schedule, must be included. Accepted changes will be prioritized and incorporated into the project schedule. Customization to the production database will be made only after extensive testing in a "test bed" environment.

As needed, the CCB structure will be revised and approved to conform to the current project organizational structure. The Board is empowered to make determinations on those customization requests that are of low impact to the system, as well as for those that are a result of changes in regulation or legal authorities. If needed, major decisions will be referred to the Project Manager or Board for consideration.

2. Testing Strategy

The project testing strategy must include network connectivity tests, functionality tests, system performance tests and application security tests. System testing will include testing for completeness of functionality and operation of the system in its intended production environment, and will include the generation and execution of test cases, mapping to requirements, and tracking and reporting of defects. All customizations, including both the testing and individually-related programs and modules will be subjected to system integration testing. All pertinent information documenting the integration test results will be

maintained on the modification log. The test results will be analyzed to ensure that the product/functionality satisfies the users' requirements.

G. Training and User Support

CHRIS end-users will attend either vendor-provided training from PeopleSoft or in-house end-user training developed specifically for DOE purposes. Project Team members, site-designated "power users" and HR/IM representatives will receive vendor training as needed following a prescribed curriculum specifically approved based on their respective roles in the project. Typical vendor courses to be attended by project team members include: PeopleSoft Introduction to Federal HRMS, PeopleTools, and Query (Crystal Reports) training.

To meet the needs of most end-users, the recommended method will be the development of in-house training courses consistent with the project training strategy of technology-supported learning. Ongoing training development plans, developed by the Team Leaders, will be required as additional functionality is introduced and as access to the system is expanded to larger audiences. Update training may also be acquired or developed for subsequent PeopleSoft upgrades.

A user support network, including assistance from local PowerUsers, networking with other system users from around the complex, and sharing of valuable lessons learned feedback, will be relied upon. In addition, formal help desk assistance for both functional and technical problems are provided to system users. As needed, separate functional help desk contacts will be established as the various modules are implemented. Automated tools to support and diversify the help desk will be explored as the technology matures. Bulletins are issued via email and posted on the CHRIS website to update users, provide information on new enhancements, and to supplement information on issues or problem areas.

H. Documentation

Documentation of all modifications to CHRIS as well as all project records will be stored in a master file maintained in a uniquely named directory. PeopleSoft documentation, titled "PeopleBooks," was provided to DOE on CD-ROM, with authorization for copies for DOE internal use. The National Energy Technology Laboratory (NETL) at Morgantown has provided copies of the current PeopleBooks to all CHRIS sites. A master filing system, cross-referencing corporate and NETL files, will be maintained by NETL. Other project documentation on the CHRIS budget allocations and expenditures and project schedules and program plans will be maintained by the CHRIS Project Manager.

