



HR LOB Federal Enterprise Architecture

Working for America

UNITED STATES OFFICE OF PERSONNEL MANAGEMENT



A Message From The President...



White House photo by Eric Draper

“The [e-Government] Act will also assist in expanding the use of the Internet and computer resources in order to deliver Government services, consistent with the reform principles I outlined on July 10, 2002, for a citizen-centered, results-oriented, and market-based Government.”

President George W. Bush

A Message From The Director



"President George W. Bush is committed to streamlined, customer oriented government. OPM is quickly moving toward a true "e-Government", one that uses technology to improve procedures for moving federal workers through the employee lifecycle - beginning with recruitment and background investigations, continuing through all aspects of employment and training, and culminating with retirement. Some merely imagine a world where information moves at the speed of light - OPM is creating it."

Kay Coles James, Director
U.S. Office of Personnel Management

Lines of Business Opportunities

OMB and the Line of Business Task Forces are focused on a business-driven, common solution developed through architectural processes.

- The following LOBs share core business requirements and similar business processes.
 - **Financial Management (FM)**
 - **Human Resources Management (HR)**
 - **Grants Management (GM)**
 - **Federal Health Architecture (FHA)**
 - **Case Management (CM)**

Common Solution: A business process and/or technology based shared service made available to government agencies.

Business Driven (vs. Technology Driven): Solutions address distinct business improvements that directly impact LoB performance goals.

Developed Through Architectural Processes: Solutions are developed through a set of common and repeatable processes and tools.

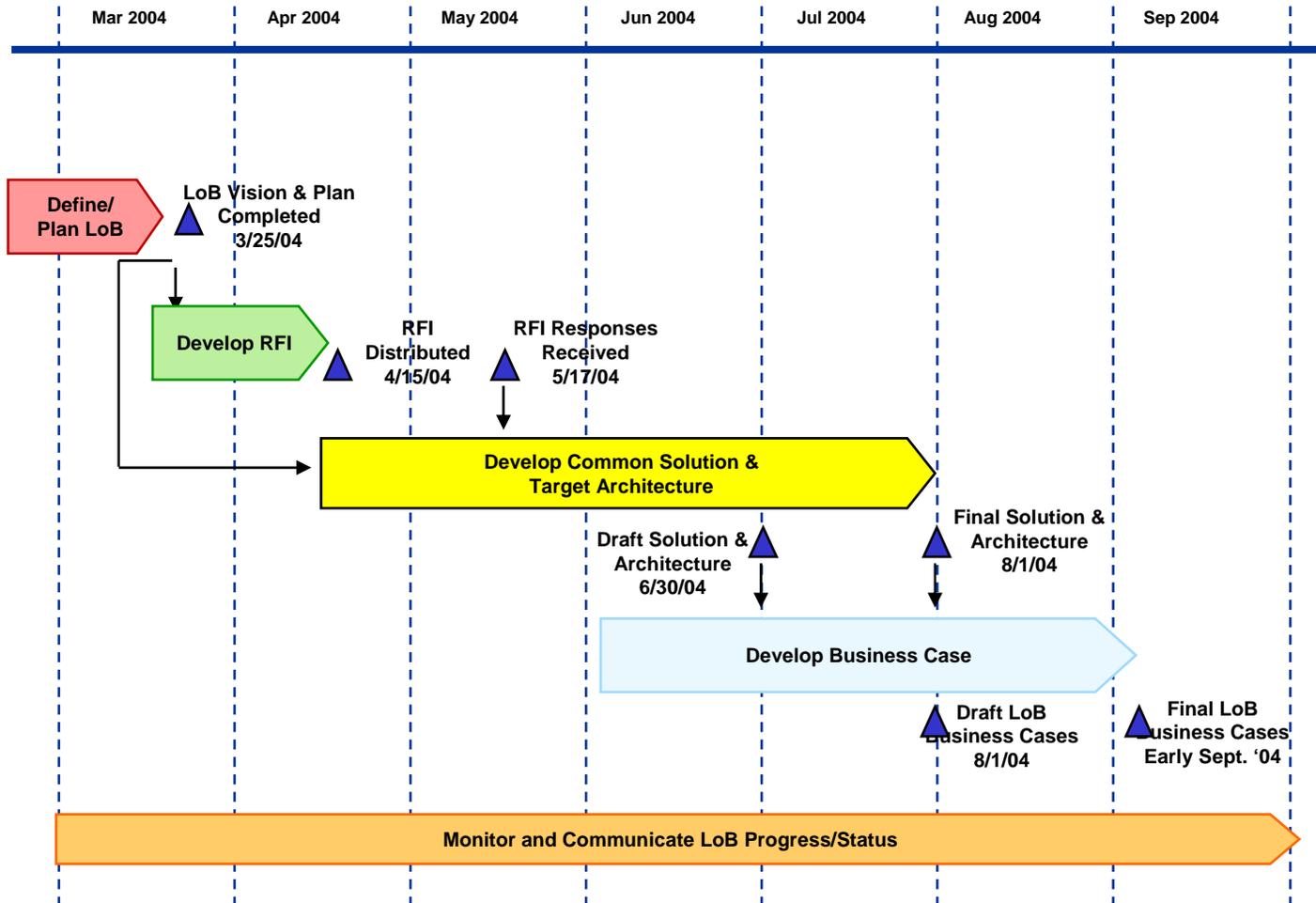
Governance

- Developing business-driven solutions and target architectures for five Lines of Business (LOBs) that support the Federal government. The LOBs share core business requirements and similar business processes. Lead agencies:
 - Financial Management (FM)– DOE and DOL
 - Human Resources Management (HR) – OPM
 - Grants Management – NSF and ED
 - Case Management (CM) - DOJ
 - Federal Health Architecture (FHA) – HHS

- LOB task forces using Federal Enterprise Architecture principles – FEAPMO

- Executive Champions: Karen Evans, Linda Springer, Kay Coles James

HR LOB Schedule / Roadmap



HR LOB Agency Participation

PARTICIPATING FEDERAL AGENCIES

Human Resources Management Line of Business

Executive Sponsor: Office of Management and Budget

Managing Partner: Office of Personnel Management

DOT	VA	ED	DOI	SSA
DOD	EPA	Treasury	DOC	HHS
GSA	NASA	USAID	DOE	USDA
DHS	NSF	State	DOJ	DOL

Human Resources LOB

Vision and Goals	
Vision	<ul style="list-style-type: none">• Governmentwide, modern, cost effective, standardized, and interoperable Human Resource (HR) solutions providing common core functionality to support the strategic management of Human Capital.
Goals	<ul style="list-style-type: none">• Improve the governmentwide strategic management of human capital• Achieve or increase operational efficiencies in the acquisition, development, implementation and operation of human resources management and supporting systems• Achieve or increase cost savings/avoidance from HR solution activities• Improve customer service

HR LOB Primary Goals

Improved Management

- Improve the governmentwide strategic management of human capital (*faster decision making, more informed policy making, more effective workforce management, improved resource alignment with agency missions.*)

Operational Efficiencies

- Achieve or increase operational efficiencies in the acquisition, development, implementation and operation of human resources management and supporting systems (*improved servicing ratio/response times, reduced cycle times, improved automated reporting.*)

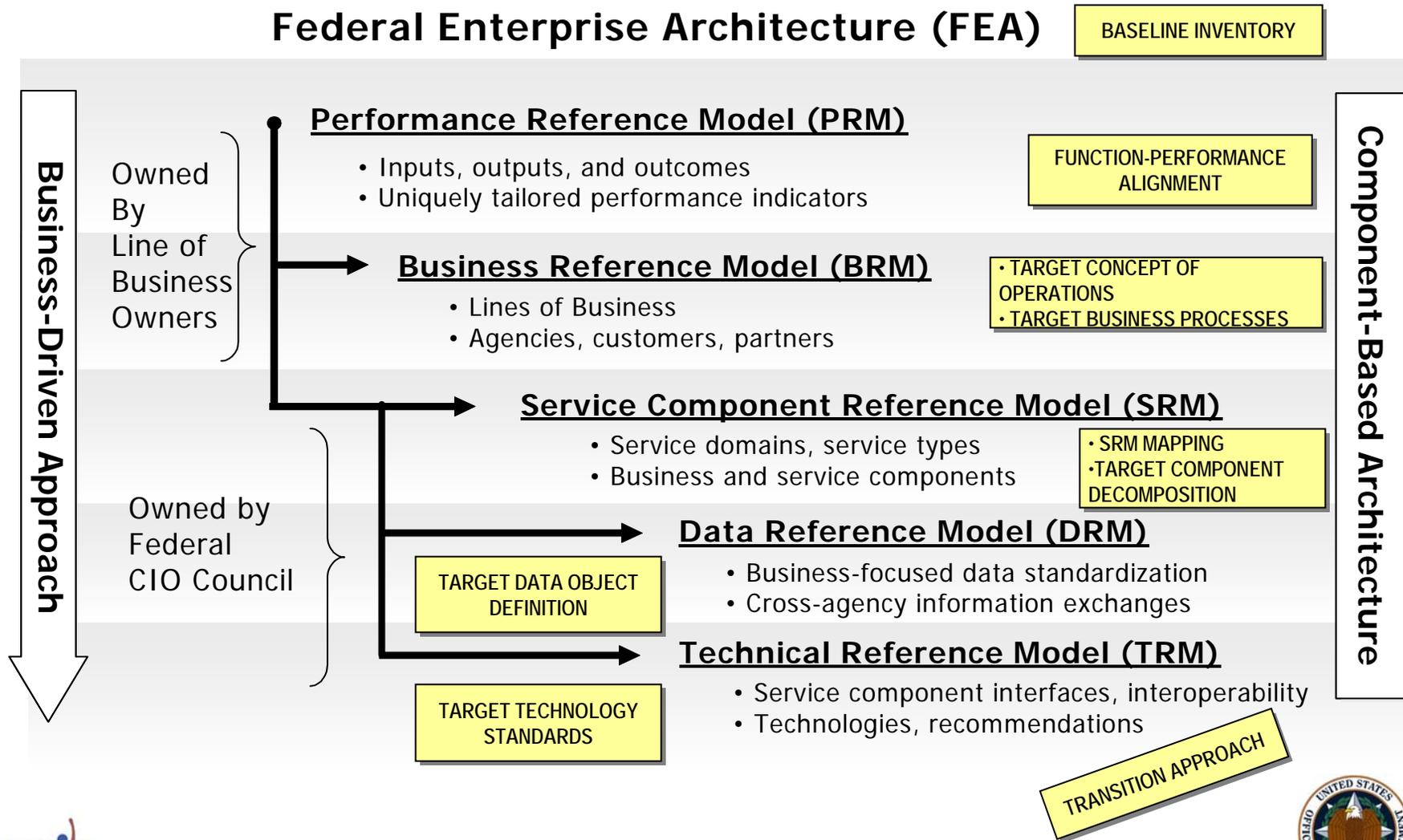
Cost Savings/Avoidance

- Achieve or increase cost savings/avoidance from HR solution activities (*reduced duplicative software/hardware/operations/labor resources, increased competitive environment.*)

Improved Customer Service

- Improve customer service (*increased accessibility to client and value, improved communication and responsiveness, enhanced quality, timeliness, accuracy and consistency.*)

HR LOB Target Architecture Documents Follow the Federal Enterprise Architecture Model



Target Architecture

❖ What did we learn from the Enterprise Architecture experience?

- Enterprise Architecture (EA) helped illuminate **business** opportunities and issues across a full spectrum of enterprise components ...
 - Strategy
 - Process
 - Information
 - Organization
 - Applications
 - Technology infrastructure
- ... provided **visibility** on the interdependences between them ...
- ... became a **catalyst for cross-agency** (from different agencies and backgrounds) **collaboration** ...
- ... made it possible for participants to develop a **shared understanding** of the vision ...
- ... put a foundation in place to begin to talk a **common language**, and ...
- ... provided the framework for the **HR LOB common solution(s)**

A Systematic View of HR Was Developed

- Develop a holistic view of government HR to create the context to understand the details
 - Analyzed existing documentation, work and best practices – government and industry
- Identified stakeholder groups and their needs and linked the HR Vision and Goals to them
- Looked at the details to bring them up to a logical and high-level organization and facilitate better downstream decision-making
- Linked existing work to the appropriate level



Stakeholder Needs <i>(consolidated)</i>	HR LOB Vision	HR LOB Goals
<ul style="list-style-type: none"> ➤ Assistance to employees ➤ Assistance to managers ➤ Management of personnel inflow and outflow ➤ Transparent access to HR services ➤ Alignment and building of competencies to mission(s) ➤ Marketplace competitiveness ➤ Reduced oversight complexity 	<p>Government-wide, modern, cost effective, standardized and interoperable HR solutions providing common core functionality to support the strategic management of human capital</p>	<ul style="list-style-type: none"> ➤ Improved management ➤ Operational efficiencies ➤ Cost savings / avoidance ➤ Improved customer service

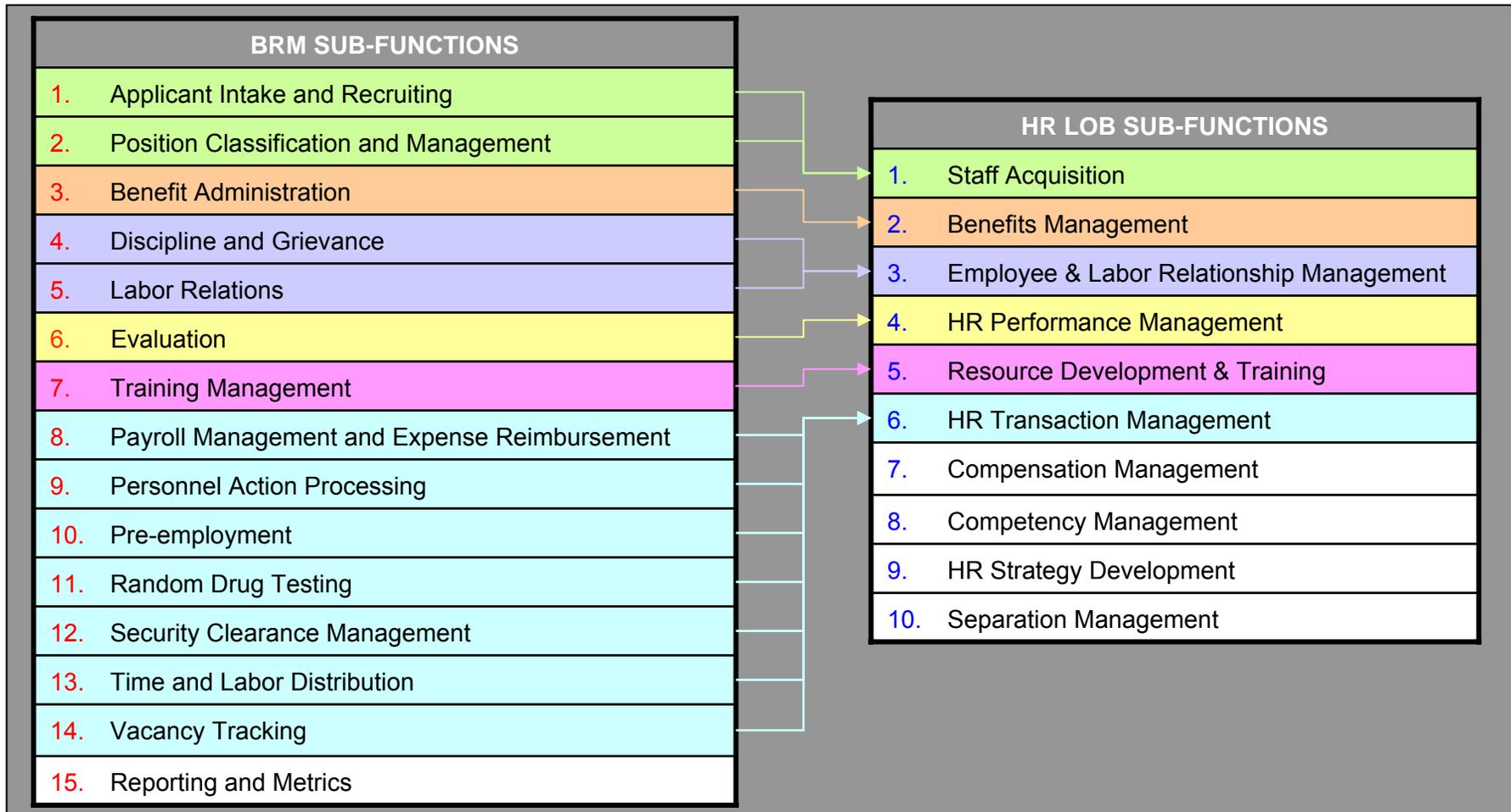
HR LOB Sub-Functions & Activities 27

Activities Across 10 Sub-functions

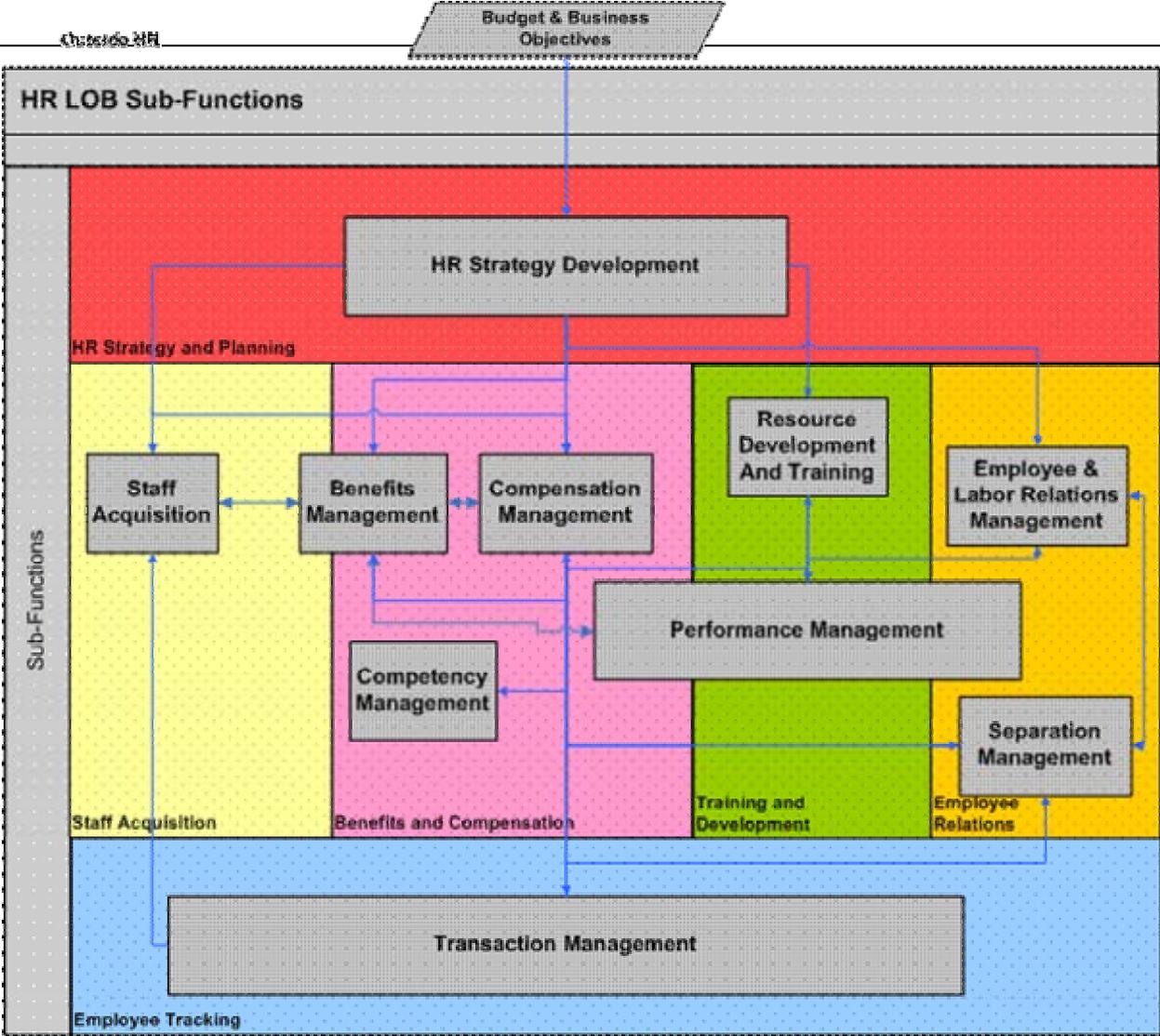
Sub-Functitons										
	Benefits Mgmt	Compensation Mgmt	Competency Mgmt	Employee and Labor Relationship Mgmt	HR Strategy Development	HR Transaction Mgmt	Performance Mgmt	Resource Training and Development	Separation Mgmt	Staff Acquisition
Activities	Administer Benefits	Administer Compensation	Track Competency	Administer Employee and Labor Relations	Conduct External Environment Analysis	Distribute Labor	Administer Employee Performance	Plan Employee Development	Administer Separation	Manage Recruitment Strategy
		Manage Payroll			Conduct FTE Planning and Management	Execute Security Clearances/Suitability	Administer Operations Performance	Administer Training		Conduct Recruiting
					Manage HR Budget	Process Personnel Action				Evaluate Applicant
					Manage HR Policy	Conduct Testing and Tracking				Conduct Hiring
					Provide HR Strategy Consultation	Time and Attendance				Classify and Manage Positions
					Conduct Workforce & Succession Planning	Track Vacancies				

- Core Common Solution (Common Processing Center Functions)
- Core Multiple Solutions (Shared Service Functions)
- No Clear Govt-wide Solution
- Data dependent activity with few transactional needs OR Management Activity

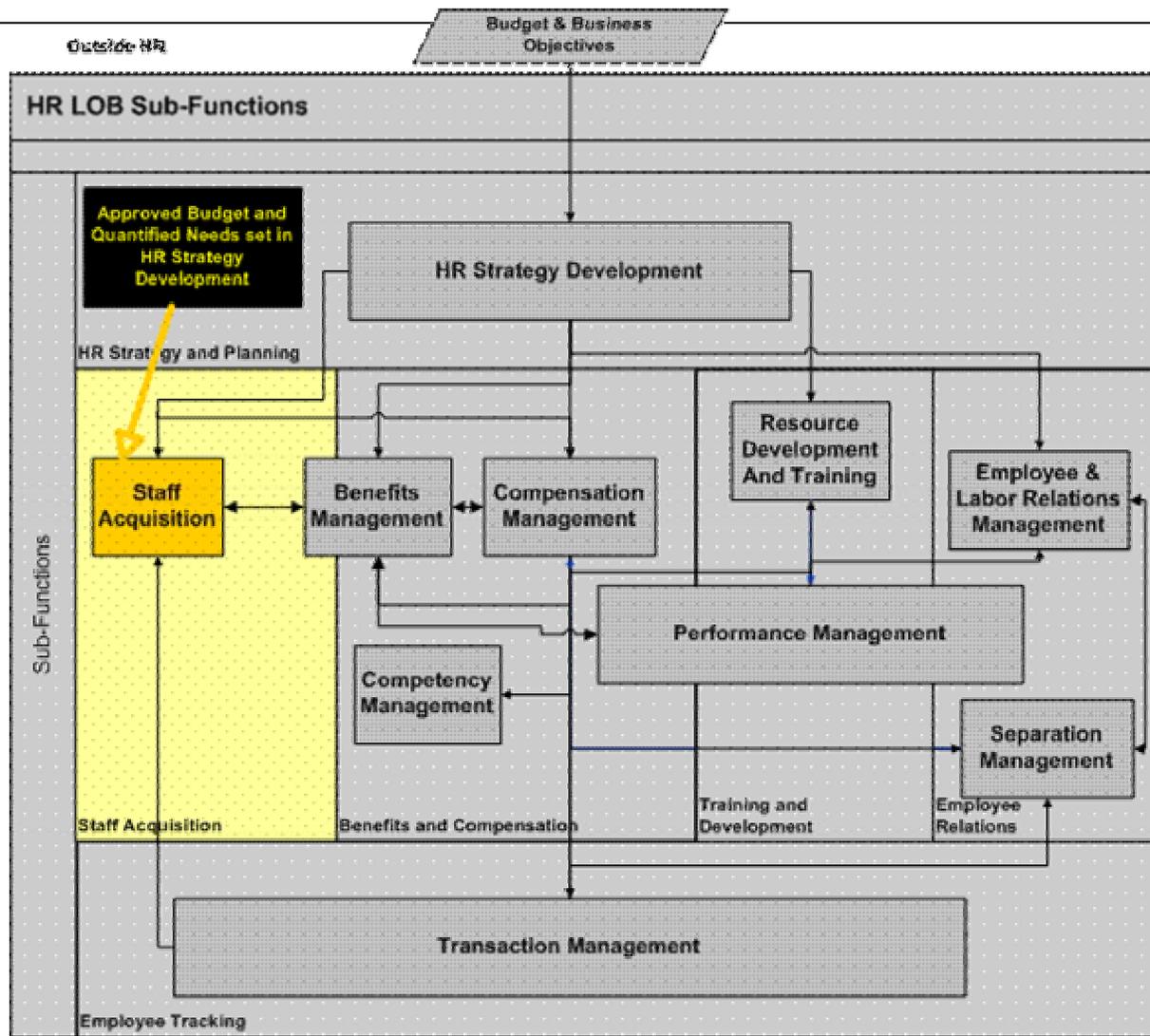
Business Reference Model (BRM) vs. HR LOB Subfunction Crosswalk



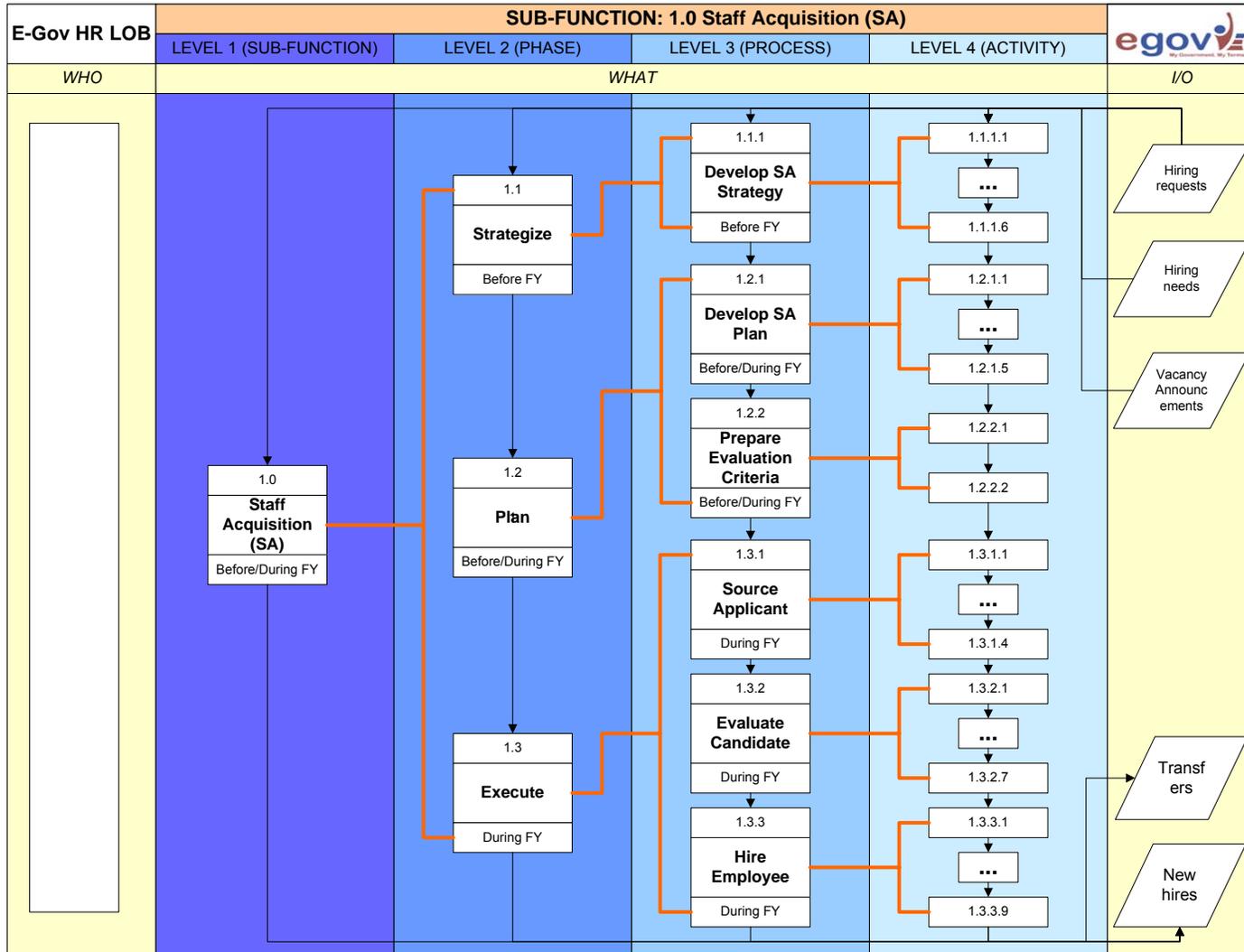
HR LOB Functional Structure



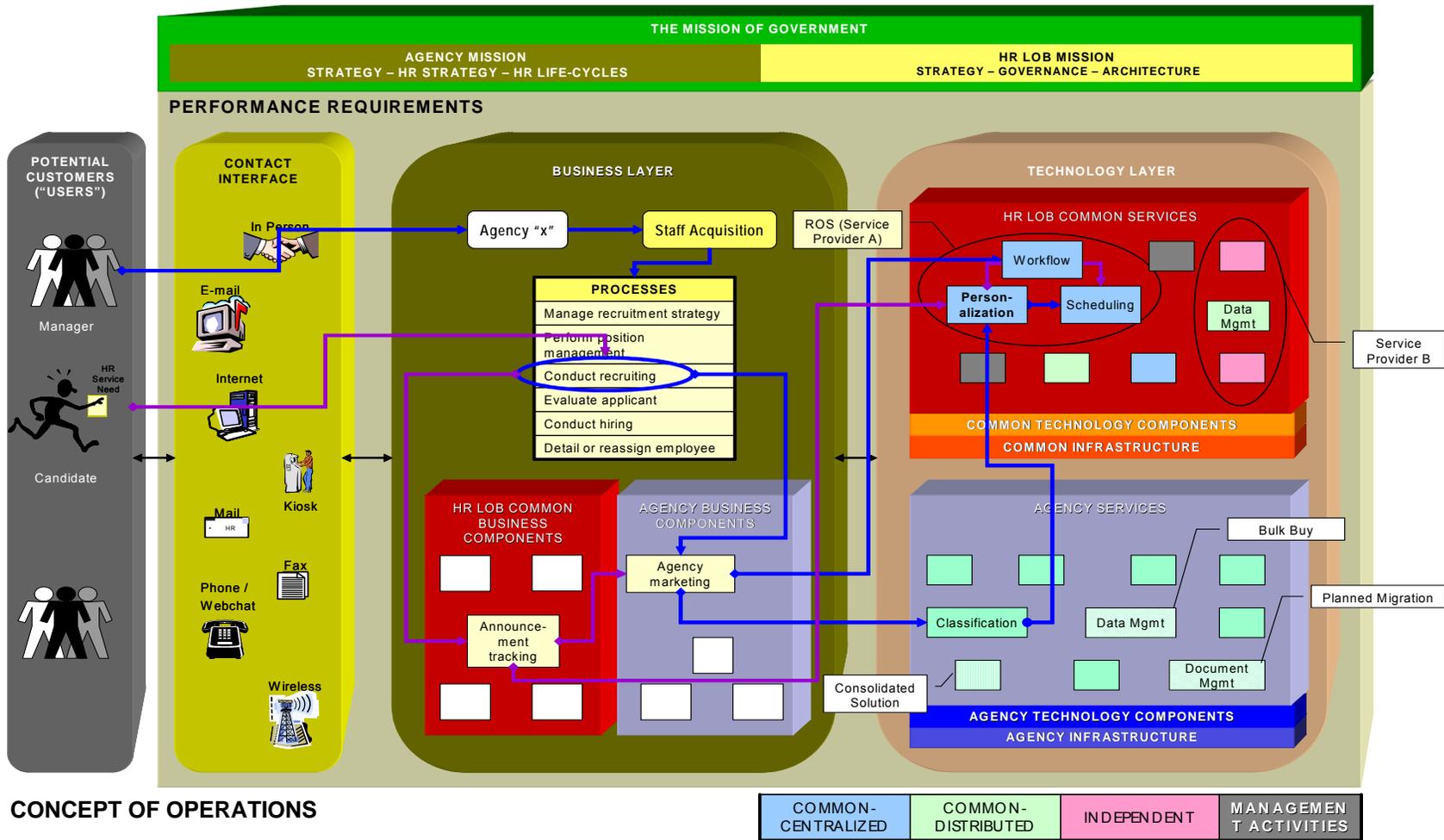
Staff Acquisition Key Inputs



Staff Acquisition Process Hierarchy Diagram



Common service components complement agency-specific HR components so that agencies can focus on strategic, differentiating HR activities



Deliverable: Service Component Referencing Model (SRM) Mapping

- Described relevant SRM components and provided rationale for components as they relate to the sub-functions
- Provided an example for a sub-function – *Staff Acquisition*

EXAMPLE – CUSTOMER SERVICES DOMAIN (highest level of the SRM)

Service Type	Component	Manage Benefits	Create HR Strategy	Acquire Staff	Manage Compensation	Manage Competencies	Manage Performance	Develop and Train Resources	Manage Employee & Labor Relations	Manage Separations	Manage HR Transactions
Customer Relationship Mgmt.	Call Center Management	X		X	X			X			X
	Customer Analytics	X	X	X			X	X	X	X	
	Sales and Marketing	X									
	Product Management	X									
	Brand Management	X		X							
	Customer/Account Management	X	X	X	X	X	X	X	X	X	X
	Contact Management	X	X	X	X	X	X	X	X	X	X
	Partner Relationship Management	X	X	X	X	X	X	X	X	X	X
Customer Preferences	Customer Feedback	X	X	X	X	X	X	X	X	X	X
	Surveys	X	X	X	X	X	X	X	X	X	X
	Personalization	X	X	X	X	X	X	X	X	X	X
	Subscriptions	X	X					X			X
	Alerts and Notifications	X	X					X			X
Customer Initiated Assistance	Profile Management	X	X		X			X			
	Online Help	X	X		X			X			
	Online Tutorials	X			X			X			
	Self-Service	X						X			
	Reservations/Registration	X	X					X			
	Multi-Lingual Support	X	X					X			
	Assistance Request	X	X	X		X	X	X	X	X	X
	Scheduling	X	X	X	X	X	X	X	X	X	X

Workshop 1

Staff Acquisition

- **Manage Recruitment Strategy**
 - Determine appropriate applicant sources
 - Establish recruitment plan
 - Monitor progress against recruitment plan
- **Perform position management**
 - Develop position description
 - Classify position
 - Audit position
- **Detail or reassign employee**
 - Determine assignment requirements
 - Identify employee
 - Determine length of temporary assignment
 - Determine employee's return rights
 - Determine financial arrangements
- **Track vacancies**
 - Identify vacancies
 - Determine budget availability for all vacant positions prior to recruitment
 - Close vacancy announcement
- **Conduct recruiting**
 - Develop crediting plan
 - Market position
 - Validate KSAs and qualifications
 - Determine position announcement approach
 - Create position announcement
 - Receive Applications
 - Identify qualified applicants
- **Evaluate Applicant**
 - Determine selection method
 - Rate and rank to determine best qualified candidates
 - Make selection
 - Conduct reference checks
 - Extend offer
- **Conduct hiring**
 - Notify candidates about selection decision
 - Arrange relocation
 - Process employee

Workshop 2

HR Strategy Development

- **Conduct external environmental analysis**
 - Define analysis scope and criteria
 - Develop research design model
 - Analyze scope and industry standards
 - Identify data collection protocol
 - Identify priorities of analysis
 - Define research questions
 - Develop data analysis plan
 - Define desired outcomes
- **Conduct FTE, Workforce Planning and Succession Management**
 - Identify program staffing requirements
 - Conduct workforce assessment
 - Project FTE requirements
 - Allocate FTE assignments
 - Develop agency future requirements
- **Provide HR strategic consultation**
 - Distribute reports
 - Establish knowledge networks
- **Manage HR budget**
 - Formulate HR budget
 - Submit HR budget
 - Record against HR budget
 - Project HR budget
 - Management FTE budget
- **Manage HR policy**
 - Establish HR policies
 - Develop HR policies
 - Establish HR guidelines
 - Establish HR procedures
 - Maintain HR policies
 - Maintain HR Guidelines
 - Maintain HR procedures
 - Educate agency on HR policy and procedure
- **Develop HR strategic plan**
 - Draft and revise agency HR strategic plan
 - Review and revise HR strategic plan

Workshop 3

HR Transaction Management #1

- **Maintain time and attendance**
 - Configure T&A workflow
 - Establish employees in T&A system
 - Submit time
 - Approve time
 - Pass data to payroll
 - Audit data
 - Correct data
 - Trouble-shoot issues
- **Manage Payroll**
 - Manage annual leave balance
 - Track employee leave and absence
 - Management enterprise level payroll data
 - Manage employee level payroll data
 - Prepare payroll for processing
 - Process on-cycle payroll
 - Process off-cycle payroll
 - Process disbursements and third parties
 - Distribute labor costs
 - Provide payroll data to financial management functions
 - Perform periodic tax reporting

Workshop 4

HR Transaction Management #2

- **Process personnel action**
 - Establish standard PA process and procedures
 - Initiate personnel action
 - Determine authorizer and approver
 - Establish workflow
 - Effect personnel action
 - Conduct quality control
- **Conduct testing and tracking**
 - Identify positions (drug testing requirement)
 - Create random position testing strategy
 - Provide testing information for employees
 - Administer drug tests
 - Receive and assess results
 - Initiate positive drug test results procedures
- **Distribute Labor**
 - Create labor distribution by position
 - Collect actual labor hours
 - Reconcile hours and costs each pay cycle
- **Execute security clearance and suitability**
 - Scope position for sensitivity
 - Conduct investigation
 - Determine suitability
 - Adjudicate security clearance

Workshop 5

Training & Development & Competency Management

- **Training and Development**
 - **Establish and manage development program**
 - Determine program objectives
 - Design program
 - Develop implementation plan
 - Execute program
 - **Plan employee development**
 - Establish employee development approach
 - Align employee development framework to organization
 - **Administer employee development program**
 - Create employee development plan
 - Select development and training opportunity
 - Compile training needs assessment
 - Assess performance
 - **Execute training program**
 - Determine training approach
 - Identify course performance measures
 - Design training program implementation plan
 - Procure training course
 - Create training course
 - Administer training course
 - Assess training
 - **Assess development or training program**
 - Select program for review
- **Competency Management**
 - **Establish and management competency program**
 - Determine program objectives
 - Design program
 - Develop implementation plan
 - Execute program
 - **Identify mission-aligned agency competencies**
 - Analyze agency mission and strategy
 - Align competencies to mission
 - Develop competency portfolio
 - **Determine position competencies**
 - Identify position competencies
 - Establish related proficiency requirements
 - Track competencies
 - **Identify individual competencies and proficiency levels**
 - Determine job category, occupation or position to be assessed
 - Compare competencies to position competency and proficiency levels
 - Confirm individual competency alignment
 - Maintain employee competency

Workshop 6

Separation Management

- Generate separation package
 - Collect/monitor separation material
 - Create annuity calculation
- Provide counseling support
 - Conduct retirement seminar
 - Provide mid-career counseling
- Provide outplacement support
 - Provide training
 - Provide resume creation
 - Provide unemployment guidance
- Process separation
 - Process retirement separations
 - Process intergovernmental transfer
 - Process separation from federal service
 - Manage employee death
 - Manage Reduction-In-Force

Workshop 7

Benefits Administration

- Establish and manage benefits programs
 - Monitor performance and usage of existing programs
 - Recommend and implement new benefits or changes existing programs
 - Establish benefits eligibility rules
 - Manage benefits providers
- Provide benefits information
 - Publish benefits communications material
 - Counsel employees
- Process benefits actions
 - Capture benefits information
 - Validate benefits information
 - Provide employee benefit information to providers

Workshop 8

Employee and Labor Relations, Performance Management, and Compensation Management

- **Employee and Labor Relations**
 - **Negotiate collective bargaining contracts/agreements**
 - Understand Union strategic requirements
 - Communicate with union representatives
 - Prepare for collective bargaining
 - Negotiate contract
 - Administer contract
 - **Manage employee performance and conduct**
 - Establish employee performance and conduct expectations
 - Address employee performance and conduct deficiencies
 - Execute formal action
 - **Manage employee grievances**
 - Review employee allegations
 - Advise employees of applicable avenues of appeal
 - Recommend resolution of grievances
 - **Provide reasonable accommodations**
 - Clarify reasonable accommodation need
 - Evaluate reasonable accommodation request
 - Put reasonable accommodation in place
 - **Administer employee assistance program**
 - Procure and monitor EAP contract services
 - Make referrals to professional service providers
 - Provide direct counseling
- **Performance Management**
 - **Establish and manage performance management system**
 - Design system
 - Implement system
 - Assess system
 - Update system
 - **Determine Performance measures and metrics**
 - Establish individual performance requirements
 - Reach agreement on individual performance requirements
 - **Track performance**
 - Conduct feedback session
 - Document results of feedback session
 - **Evaluate Performance**
 - Conduct appraisal
 - Reach agreement on appraisal
 - **Identify Performance Related Actions**
 - Identify relevant actions
 - Select appropriate action
- **Compensation Management**
 - **Understand environmental factors**
 - Determine supply and demand for human capital
 - Review salary demands within marketplace
 - **Develop compensation plan**
 - Project overall compensation budget parameters
 - Create and validate compensation plan
 - **Administer bonus and monetary awards program**
 - Determine eligibility for bonus or award
 - Set bonus or award
 - **Administer step and grade increases**
 - Identify employees to receive annual increase
 - Update employee step/grade

A Subset of Target Business Processes Represents the HR LOB PRM

- A clear line of sight actively aligns strategy to execution through performance management
- The target architecture complements the common solution(s)
 - Illuminates the service component needs (business and technology) that common solution(s) would fulfill
- The common solution(s) uses 4 overall segments of solution delivery (2 depicted to the right). Segments are used to describe logical groupings of candidate HR LOB activities that make up the HR LOB PRM
 - The Function and Performance Alignment identifies high-level measures based on this

"ACTIVITY" (as of June 11)	SEGMENT	CLASSIFIED / RE-CAST AT THE "PROCESS" LEVEL AND SUB-FUNCTION
Administer benefits	Common centralized	BENEFITS MANAGEMENT <ul style="list-style-type: none"> ▪ Provide benefits information ▪ Process benefits action
Administer compensation	Common centralized	COMPENSATION MANAGEMENT <ul style="list-style-type: none"> ▪ Administer step and grade increases
Conduct workforce and succession planning	Common distributed	HR STRATEGY DEVELOPMENT <ul style="list-style-type: none"> ▪ Conduct FTE and workforce and succession planning
Manage payroll	Common centralized	HR TRANSACTION MANAGEMENT <ul style="list-style-type: none"> ▪ Manage payroll ▪ Distribute labor ▪ Execute security classification and suitability ▪ Process personnel action ▪ Manage time and attendance
Distribute labor	Common centralized	
Execute security clearances / suitability	Common centralized	
Process personnel action	Common centralized	
Manage time and attendance	Common centralized	
Administer separation	Common distributed	SEPARATION MANAGEMENT <ul style="list-style-type: none"> ▪ Process separation
Manage recruitment strategy	Common distributed	STAFF ACQUISITION <ul style="list-style-type: none"> ▪ Manage recruitment strategy ▪ Conduct recruiting ▪ Evaluate applicant
Conduct recruiting	Common distributed	
Evaluate applicant	Common distributed	

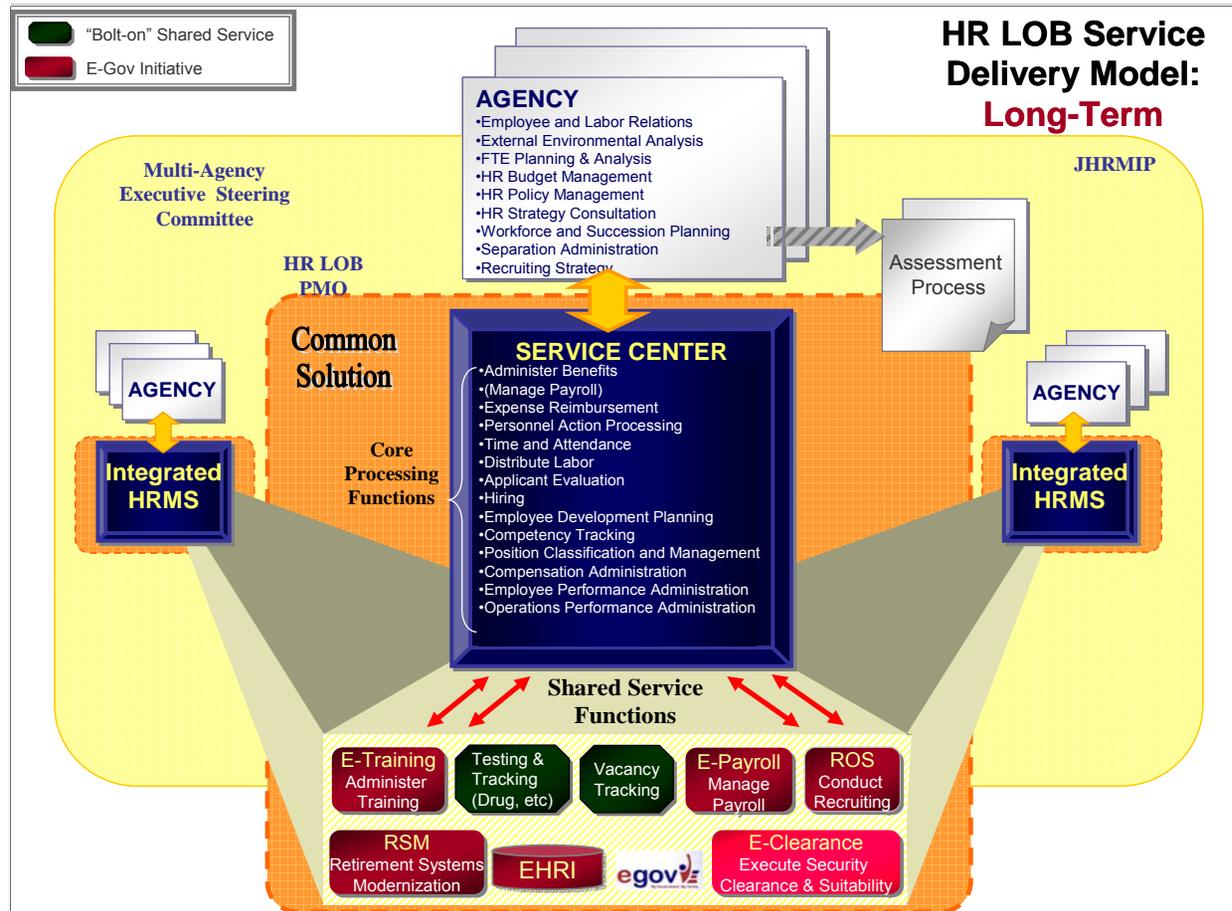
Four Solution Segments:

- Common Centralized
- Common Distributed
- Management Activity
- No Clear Governmentwide Solution

Shared Service Center Model

Establish governmentwide shared Service Centers to support multiple agencies in HR management and back office activities. Multiple “Service Centers” will be established through competitive procurement among public and private sectors to leverage economies of scale, reduce costs, and increase the quality and consistency of service provided.

Shared Services Model, the Concept of Operations for the HR LOB



- Multiple shared Service Centers
- IT hosting services including hardware, software and infrastructure support
- Governance structure - multi-agency executive steering committee
- Joint Human Resources Management Improvement Program (J-HRMIP)
- Standardize policies, procedures and requirements (functional, technical, and data requirements) for all HR LOB functions

HR LOB Common Solution Concept of Operations

- The Shared Service Centers will take a phased approach to delivering HR services.
- At a minimum, all service centers will offer the same common, core functionalities.
- The solutions that operate at these service centers will be selected by a multi-agency steering committee that stresses scalability, interoperability, and portability.
- Shared Service center solutions can be COTS or GOTS and will be selected on a competitive basis.
- Continuous technology refreshment will occur as better solutions become available.

HR LOB Common Solution Concept of Operations

- Primary concept for the Shared Service Centers is technology service centers, but does not preclude the centers from offering optional services.
- These service centers can be “virtual” centers that are accessed through a common portal.
- Agencies will have choices: they can shop around for the service centers that best meet their needs.
- The shared service centers will leverage “plug and play” architecture concepts.

The HR LOB Common Solution(s) Roadmap shows the evolution of the HR LOB to the envisioned Target Architecture

