



Small Business Administration

SBA Human Capital Management Segment Architecture

Target State

Version 1

November 21, 2008



Revision Sheet

Revision History/Change Log HCM Segment Architecture Target State

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1.0 Executive Summary

1.1 Context

The United States Small Business Administration (SBA), like other federal agencies, faces a changing world of technology, customer demands and regulations for delivery of its services. Customers expect transparent and real-time service. Regulations tighten and technology evolves every second. The single consistent element in this demanding environment is the people that power the strategic and tactical deployment of SBA's services. SBA's employees drive the overall success of the Agency.

SBA's human capital management (HCM) supports the Agency's mission by providing the people, processes and systems that deliver, sustain and manage the human capital of all Agency goals. SBA's HCM efforts, again mirroring the Federal situation, have often been the last initiatives supported by the Agency in terms of training, funding or executive endorsement. However, SBA has begun to develop a strategy for HCM, based on their own needs and the influence of regulations and mandates, particularly the mandated e-Government (e-Gov) initiatives and the goals and objectives outlined in the President's Management Agenda (PMA). HCM functions underpin the Agency's ability to fulfill its mission, so careful planning is required.

A robust segment architecture, a component of Federal Enterprise Architecture (FEA), is one element of balanced strategic planning. While enterprise architecture (EA) studies the broad goals of an agency, a segment architecture delves deep into a discrete group of functions.

SBA's HCM functions align with this model. The Office of Human Capital Management (OHCM) performs the functions for most permanent staff, while the HR Division of the Office of the Inspector General (OIG) generally recruits and trains its own staff, but uses OHCM to process personnel and payroll actions. The HR Division of the Office of Disaster Assistance (ODA) supports their permanent employees and also deploys and manages a large, flexible temporary workforce for disaster response. ODA performs all of its own processing. All the Offices interact with the National Finance Center (NFC) for final processing of personnel or payroll actions.

1.2 Key Themes

Several key findings form the basic framework for the HCM target state segment architecture. These ideas emerged during the current state assessment of HCM business and technology environment, arising again and again in interviews with key stakeholders. Many of these findings are also mentioned in OMB or OPM documents regarding business operations and IT capabilities.

A recurring theme throughout the analysis was a need for the capability to capture, store, manage and model employee data at all points during the HCM lifecycle. This data exists now, although using it is very difficult, as it is mostly stored in paper form. The evolution of this data into a digital format will expand SBA's ability to analyze trends and forecast HCM needs.

A number of additional findings illustrate existing successes, which lend themselves to future strategic improvements.

- **Impact of New Leadership:** New human capital leadership was brought in during the first quarter of FY 2008. This has leveraged intellectual diversity to achieve the HR mission with new ideas. With this leadership comes a fresh perspective for human capital management at the Agency, as well as experience and knowledge of best practices from other federal agencies.

- **Pursuit of Improvement Initiatives:** A number of recently started initiatives are gaining traction. Examples include the rollout of individual development plans (IDPs), the completion of 360 degree feedback, and the implementation of GoalOwner to promote meaningful performance management.

ODA and OHCM have begun modernizing and automating SBA processes, particularly in response to the Human Resources Line of Business (HRLOB) and the Enterprise Human Resources Integration (EHRI) mandates. OHCM launched several initiatives that will serve that Office and OIG, while ODA plans to expand their Disaster Credit Management System (DCMS) module, Resource Management (RM), to accommodate additional personnel functions.

The following improvement themes will drive strategic technological decisions. These themes arise from HCM's challenges—issues that are presently uncertain and serve as a basis for future improvements.

- **Automation:** The biggest improvement will be automating data management activities to gather baseline data for strategic planning. OHCM has tried to optimize its manual processes to the extent possible, but redundancies, data re-entry and other difficulties remain due to the lack of funding.
- **Data Management:** SBA is unable to easily capture, store, report on, manipulate or model HCM data, and a lack of data hobbles any type of integrated strategic planning. Automation combined with formal data management tools will create dramatic improvements.
- **Technology Training:** The necessary training to provide needed technology skills will enable OHCM to fully leverage new technology investments. OHCM staff and all SBA employees must be trained to use automated tools and to understand their value.

The transformation in business processes and supporting technology necessary to build and use employee profiles will bring unprecedented change. All staff in HCM roles, and all SBA employees, will be affected. Successful deployment of the new processes and tools will require aggressive change management strategies to take full advantage of technology investments.

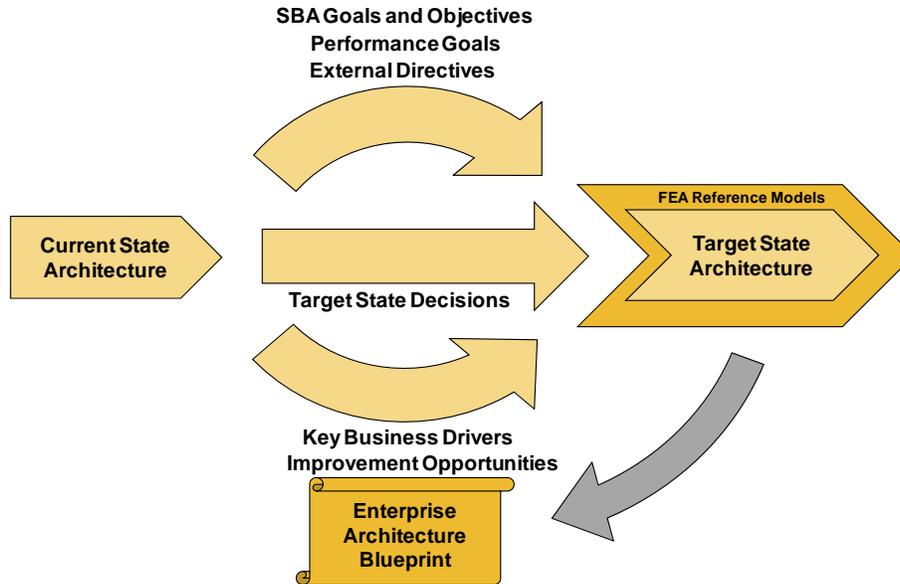
2.0 Document Scope

This document provides a description of the target state business strategy for SBA HCM business services based on the current state assessment of HCM business operations and technology. The information in this document is gathered from interviews with stakeholders and review of various planning, process and technology artifacts.

3.0 Target State Drivers

The target state architecture is a blueprint for future business operations and supporting technology and describes the desired capabilities, information needs, and IT services. Figure 1 illustrates how the current state, SBA’s agency-wide strategic planning outlining drivers and performance goals, improvement opportunities and EA guidance come together in this target state.

FIGURE 1: CREATION OF TARGET STATE SEGMENT ARCHITECTURE



OCHM developed a set of performance metrics to guide the target state, as no official Performance Reference Model (PRM) has been released by the Office of Management and Budget’s (OMB) OCIO. The PRM is a framework for a specific segment that uses measurable outcomes to evaluate technology investments. OMB has released a PRM for other segments, but has not yet provided guidance for government-wide HCM measurements.

The target state will therefore be driven by other performance measures such as agency goals and objectives, performance goals, external directives and mandates, key business drivers, improvement opportunities, and enterprise architecture standards. The main HCM improvement driver in the next few years will be the development of an overall strategy, based on valid data. The actual performance metrics that appear in SBA’s next HCM strategy may differ from those that are presented in this segment architecture.

Each driver is discussed at greater length in the sections shown in Table 1.

TABLE 1: TARGET STATE DRIVERS

Target State Driver	Location
SBA Goals and Objectives	Section 4.1.1, Appendix D
Performance Goals	Sections 4.1.2, 4.1.3
External Directives	Appendix D
Key Business Drivers	Appendix D
Improvement Opportunities	Section 3.1, Appendix G
Enterprise Architecture Blueprint	Appendix
Target State Decisions	Section 3.2

3.1 Opportunities for Improvement

SBA's primary improvement opportunity is the development of a HCM strategy that incorporates appropriate and concrete performance measures. The FEA relies on business-driven performance measurements to express achievement of the goals and objectives that support the Agency's mission.

An innovative HCM strategy for SBA will integrate existing or short-term investments into a dynamic, flexible, data-driven vision for the future. The strategy will prioritize opportunities according to the hierarchy of needs in Figure 2, with investments that support strategic data management taking the highest priority. Accurate data capture, at every level, will inform other levels.

A list of all the identified improvement opportunities identified through interviews, research and analysis is included in Appendix G.

3.1.1 Key Decision Points

The path from current state to target state will be marked by decision points regarding strategic data management. The ongoing regulatory context may change, but the need for a HCM strategy, driven by data, will remain constant. Several key decisions will affect how SBA's HCM Offices develop a strategy that achieves the target state, including:

- **Data Management:** Success in the target state will rely on SBA's ability to extract data for strategic planning. Data management, as defined by OHCM, will include five main activities, below.
 1. **Capture:** SBA must capture data about job applicants, interviewees and employees. This data can be used to improve job descriptions, KSAs and other recruiting efforts. Additionally, data regarding new hires will be easily transferred into a data warehouse.
 2. **Store:** SBA will store employee data in the form of an employee profile, which may require development to support to SBA's specific needs. New hire's profile will start with data provided when an individual applies for a job. Profiles for existing employees will be created with data from NFC, Department of Treasury or other agencies, and updated via the NFC's self-service portal, such as Employee Personal Page (EPP).

3. **Report:** SBA will use employee profile data to track the needs of existing employees for internal use and various external stakeholders.
 4. **Manipulate:** SBA will develop classifications and taxonomies for large amounts of employee data to create an Agency-wide employee profile.
 5. **Model:** SBA will use data collected at every step of the process to forecast recruiting needs.
- **PMA Mandates:** A strategic plan will also need a mechanism to accommodate future PMA mandates, similar to ongoing projects like e-OPF or e-Clearance.
 - **Centralized or decentralized technology model:** Determining the technology model (centralized or decentralized) and the best approach (internal development, COTS/GOTS, outsourced, etc.) for supporting data management will be a foundational decision for the entire HCM strategy.
 - **Datastore selection:** Selecting a datastore to support data management activities.
 - **Balancing Operations:** Prioritizing automation efforts, balancing PMA initiatives, regulation, and resources that serve ongoing and current operations.
 - **Self-Service:** Implementing employee self-service, including change management and training, is critical for improvements in HCM efficiency.
 - **Data Integration:** Establishing the integration points between a workforce management process and other systems.
 - **Workers' Compensation:** Developing automated processes for Workers' Compensation functions.
 - **Automation:** Determining the best strategy for automating employee development and performance including change management.

3.1.2 *Implementation Hierarchy of Needs*

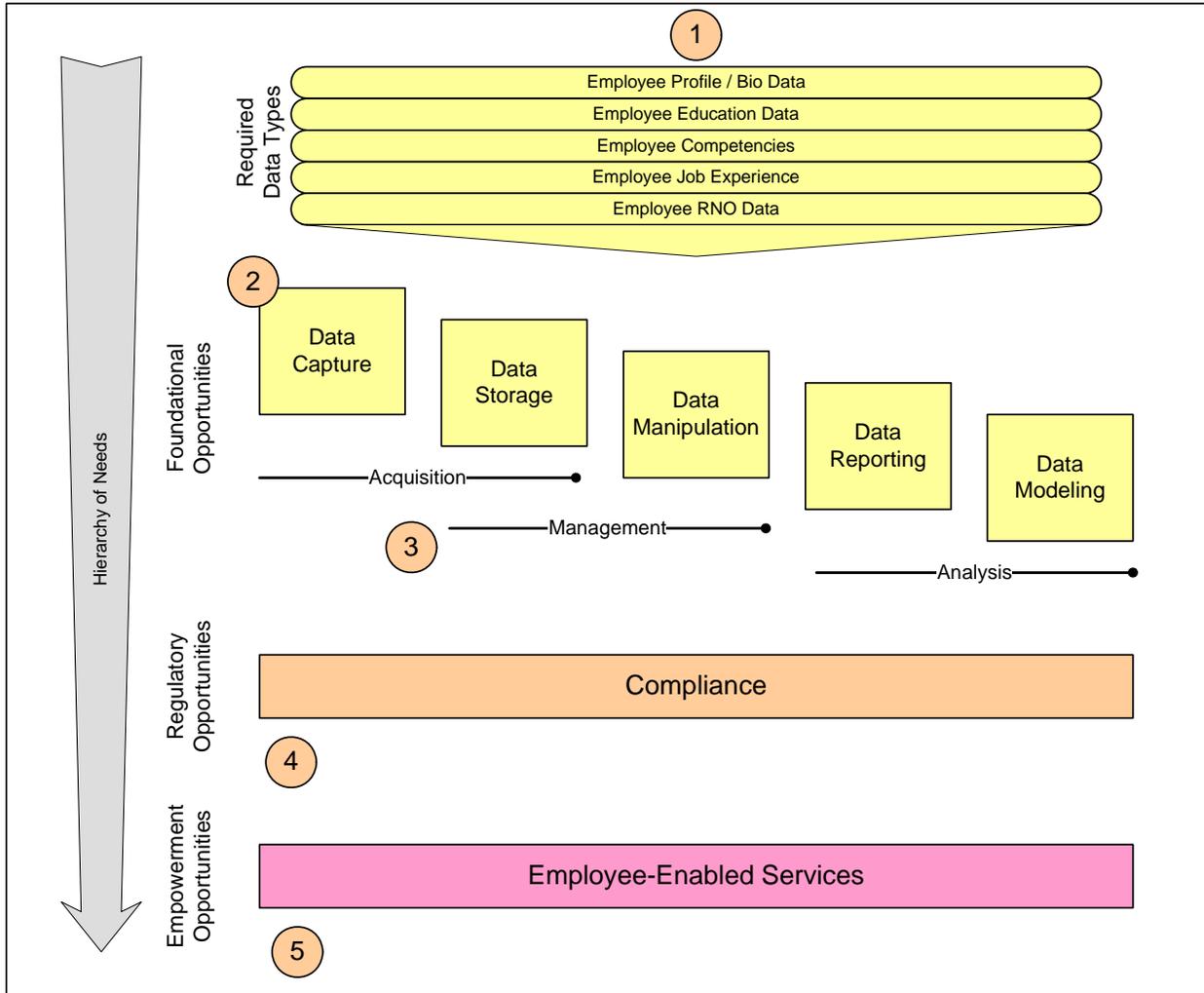
The target state recognizes that every opportunity and need cannot be immediately budgeted. To that end, the target state provides a hierarchy of needs, shown in Figure 2, that defines the approximate order in which services can be introduced. The following points describe Figure 2:

1. The primary or foundational opportunities focus on the need to gather and organize data as a precursor to the introduction of any other service. The data required to begin the transition to target state are, in order of priority: basic employee profile data, education data, competencies, job experience and race and national origin (RNO) data.
2. Once the data sources are identified, the process of realizing the foundational opportunities can begin. These opportunities are broken out over five phases as described in the previous section. In order of implementation these are: Data capture, data storage, data manipulation, data reporting and data modeling.
3. These five phases can be assigned to 3 functional categories: data acquisition, data management and data analysis. This point, taken together with points 1 and 2, collectively represent the opportunities that exist in the data space. Examples include data integration and warehousing.
4. Once the foundational opportunities are realized and the data is captured and organized, compliance opportunities can be realized.

- The final layer of opportunities involves self-service and includes the employee self-service portal.

These five points taken as a whole represent the approach to introducing each opportunity for improvement in a manner that meets budgetary and dependency limitations.

FIGURE 2: IMPLEMENTATION HIERARCHY OF NEEDS



3.2 Target State Implications

The key current-state analysis gave the decision points in section 3.2 and each decision has implications for HCM's future success. Each decision will require all HR Director's commitment to the SBA EA Blueprint and standards defined by the Enterprise Architecture.

TABLE 2: OBSERVATIONS AND IMPLICATIONS

Observation	Target State Implications
<p>Manual Processes: HCM staff transfer data from paper to systems, or from system to system manually. The results of this include:</p> <ul style="list-style-type: none"> • Increase in errors and/or data inconsistency. • Inefficiency. • Redundant work/data entry (e.g. leave data reconciliation). 	<p>The target state includes an HCM strategy that automates processes and prioritizes initiatives while responding to internal and external drivers.</p> <p>These automated processes are largely devolved to user-level initiation and management. The processes become more efficient via employee empowerment.</p>
<p>Limited Data Interchange: most communication and processing is done via paper forms. As a result, HCM has:</p> <ul style="list-style-type: none"> • Increased processing time and expense. • Multiple handoffs for single functions (e.g. time entry). • Difficulty storing and accessing data. Access to key data is limited, which limits cross function communication. • Minimal visibility into current status or performance metrics. 	<p>Business, service and data architecture plans in the target state include data exchange points.</p> <p>Data warehousing and integration will require deep business and technical understanding of its processes, systems and software. This will include in-house resources with technical expertise, and, potentially, in-house component hosting.</p> <p>Additionally, a series of services will be introduced that provide integration capabilities between disparate applications and data sources. These bridges become the backbone of target state capabilities.</p>
<p>Imprecise Performance Metrics: OHCM is overburdened by reporting requirements, and many of the required metrics do not provide the most valuable measurements of HR functions. Additionally, hard-copy data is difficult to access and model for accurate key metrics.</p>	<p>The target state maps performance measures to HCM functions, however, the target state may also be affected by OMB's release of the PRM.</p>
<p>Accountability: SBA is challenged by a lack of accountability for HR/HCM functions among program and line managers. Many managers do not understand and have inadequate training</p>	<p>The target state allows for significant improvements in processes and analysis, which will provide greater information about operations. Additionally, training efforts will help all SBA employees</p>

<p>in their personnel responsibilities. Additionally, senior leaders do not understand the value of adopting modernized systems.</p>	<p>understand their roles and responsibilities.</p>
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4.0 HCM Target State Architecture

4.1 Target State Performance Architecture

The overarching theme behind the FEA is that performance measurement drives operation, which in turn drives IT investment. One aspect of performance relates to performing in compliance with applicable regulation, such as those items discussed in the previous section. The other aspect relates to taking affirmative steps to help the agency achieve performance-based results. The starting point for a segment architecture target state is thus the mission and vision relevant to the segment in question. Realization of its vision (and accomplishment of its mission) is broken down into goals and objectives. Success of the organization in achieving these objectives is measured through performance indicators.

4.1.1 Mission and Vision

OHCM's current mission, driven by SBA's goals, is:

"The Office of HCM partners with SBA leaders to develop strategic solutions to human capital issues and create a work environment that attracts and retains the talented and high performance workforce SBA needs to accomplish its mission."

ODA and OIG HR do not have mission statements.

4.1.2 HCM Goals and Long Term Objectives

OHCM's four goals can be mapped to objectives derived from the Fiscal Year (FY) 2009 Performance Budget, stakeholder interviews and regulatory guidance.

TABLE 2: HCM GOALS AND OBJECTIVES

#	Goal	#	Objective	Mapped SBA #
1	Improve organizational effectiveness	1.1	Improve succession planning at the SBA through a more rigid workforce planning process, a systematic approach to identifying mission-critical occupations, and the capture of the expertise and experience of the current workforce to aid in developing the next generation.	4.3
		1.2	Invest in employee, manager, and leadership training and development programs as a part of the strategic imperative.	4.1
		1.3	Implement efficient and robust HR processes and systems utilizing self-service, paperless transactions, and automated workflow.	4.3
		1.4	Maintain high customer satisfaction with OHCM.	4.3
		1.5	Fully integrate the performance management system to create strategic alignment of the Agency mission and employee responsibility. Focus on creating a results oriented performance culture through the Agency.	4.3
		1.6	Align human capital plans, strategies, systems, and data collection & analysis to achieve organizational effectiveness and mission accomplishments.	4.1
2	Heighten engagement and retention	2.1	Provide Agency leadership with retention-related metrics and training to support mission critical operations.	4.1
		2.2	Provide training to SBA employees to improve their performance and prepare for future technology and organizational change.	4.1
3	Strengthen recruitment and diversity	3.1	Implement effective recruitment processes that promotes a solid applicant pool for SBA positions.	4.3
		3.2	Utilize recruitment channels that target underserved employee segments.	4.3
4	Enhance Agency-wide technology skills	4.1	Invest in employee technology training and development.	4.1

4.1.3 HCM Performance Indicators

Measuring the extent to which goals and objectives are accomplished requires the adoption of performance indicators that capture the key drivers of success. Each of the above objectives, therefore, has one or more indicators that can be used to measure success and to promote the achievement of their supported goals. These performance indicators include:

- Measurement Areas – The high-level organizing framework of the PRM capturing aspects of performance at the output levels.
- Measurement Categories – Collections within each measurement area describing the attribute or characteristic to be measured.
- Measurement Groupings – Further refinement of categories into specific types of measurement indicators.

Table 3: HCM Goals, Objectives And Performance Measures

Current State Metrics
 Target State Metrics

#	Ob #	Performance Measure	Meas. Area	Meas. Category	Meas. Grouping	FY 2010 Target	FY2014 Target
1.1.1	1.1	Percent of mission critical occupations where competency gaps have been addressed	Management of Government Resources	Human Resources Management	Org & Position Management	25%	90%
1.1.2	1.1	Ratio of SBA employees in non-mission critical occupations trained in mission critical functions to number of mission critical occupations	Management of Government Resources	Human Resources Management	Org & Position Management	10%	30%
1.2.1	1.2	Percent of training classes offered fulfilling IDPs	Management of Government Resources	Human Resources Management	Org & Position Management	100%	100%
1.2.2	1.2	Percent of SBA employees with tracked and automated IDPs	Management of Government Resources	Human Resources Management	Org & Position Management	25%	90%
1.2.3	1.2	Percent of SBA workforce participating in job-specific training	Management of Government Resources	Human Resources Management	Org & Position Management	25%	90%
1.3.1	1.3	Completed automated time and attendance submissions	Management of Government Resources	Human Resources Management	Compensation Management	90%	100%

1.3.2	1.3	Workers Compensation Costs year-to-year, Chargeback	Management of Government Resources	Human Resources Management	Benefits Management	Reduced	Reduced
1.3.3	1.3	Percent of HR tasks initiated on-line	Management of Government Resources	Human Resources Management	Organization and Position Management	25%	85%
1.3.4	1.3	Automated transaction audit rate	Management of Government Resources	Human Resources Management	Organization and Position Management	5%	75%
1.4.1		Percent of overage grievance cases	Management of Government Resources	Human Resources Management	Organization and Position Management	20%	15%
1.4.2		Percent of dispute resolution at the lowest management level	Management of Government Resources	Human Resources Management	Organization and Position Management	50%	80%
1.5.1	1.5	Percent of SBA employees with performance measures and targets available for report	Management of Government Resource	Human Resources Management	Employee Performance Management	0%	5%
1.6.1	1.6	Percent of non-pay/reserve personnel with tracked profiles in DCMS	Management of Government Resource	Human Resources Management	Organization and Position Management	50%	100%
1.6.2	1.6	Percent of SBA employees with demographic data available for ad hoc search and query	Management of Government Resource	Human Resources Management	Organization and Position Management	0%	90%
1.6.3	1.6	Percent of SBA employees with training data available for ad hoc search and query	Management of Government Resource	Human Resources Management	Organization and Position Management	0%	90%
1.6.4	1.6	Percent of SBA employees with access to an automated personnel data for ad hoc search and query	Management of Government Resource	Human Resources Management	Organization and Position Management	0%	90%
2.1.1	2.1	Percentage of new hires offered a recruitment bonus	Management of Government Resource	Human Resources Management	Staff Acquisition	TBD pending baseline analysis	TBD pending baseline analysis

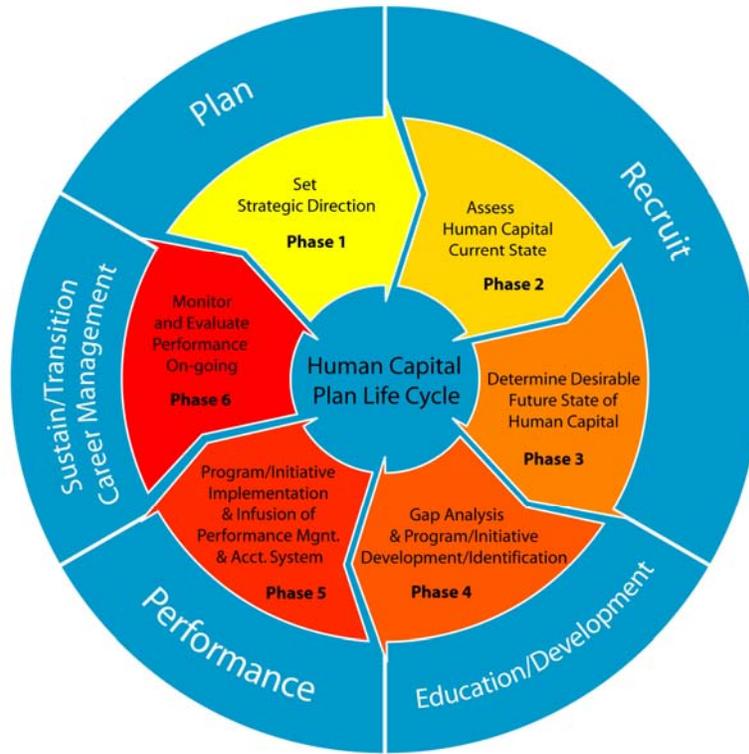
2.1.2	2.1	Percentage of new hires offered a relocation bonus	Management of Government Resource	Human Resources Management	Staff Acquisition	TBD pending baseline analysis	TBD pending baseline analysis
2.1.4	2.1	Percentage of existing employees offered a relocation bonus	Management of Government Resource	Human Resources Management	Benefits Management	TBD pending baseline analysis	TBD pending baseline analysis
2.2.1	2.2	Percentage of SES- and Director-level positions that have a minimum of 3 potential replacements among SBA staff.	Management of Government Resource	Human Resources Management	Organization and Position Management	50%	75%
2.2.2	2.2	Turnover percentage variance against Federal standards	Management of Government Resource	Human Resources Management	Organization and Position Management	25%	10%
3.1.1	3.1	Variance of time to hire against Federal requirement	Management of Government Resource	Human Resources Management	Staff Acquisition	20 working days	15 working days
3.1.2	3.1	Percentage of applicants notified of hiring decision	Management of Government Resource	Human Resources Management	Staff Acquisition	30%	90%
3.1.3	3.1	Percent of SES occupations filled by SBA CDP candidates employees	Management of Government Resource	Human Resources Management	Staff Acquisition	10%	20%
3.1.4	3.1	Percent of positions where competency data collection has been automated	Management of Government Resource	Human Resources Management	Staff Acquisition	25%	90%
3.2.1	3.2	Number recruitment channels used to target underserved employee segments	Management of Government Resource	Human Resources Management	Staff Acquisition	100	10000
4.1.1	4.1	Percent training dollars spent to total payroll	Management of Government Resource	Human Resources Management	Human Resources Development	5%	50%

4.2 Target State Business Architecture

OHCM's lifecycle and planning lifecycle, shown in Figure 4, shows the basic HCM lifecycle which will be used in the target state. The blue ring of the diagram illustrates the steps in the functional lifecycle and informs the strategic planning cycle, the orange-yellow inner ring. Data

and processes cross the borders between the circles and cross from one function to the next.

FIGURE 3: OHCM TARGET-STATE LIFECYCLE



The functions in the lifecycle map to FEA’s Business Reference Model (BRM) spell out and the objectives in the target state as shown in the following table:

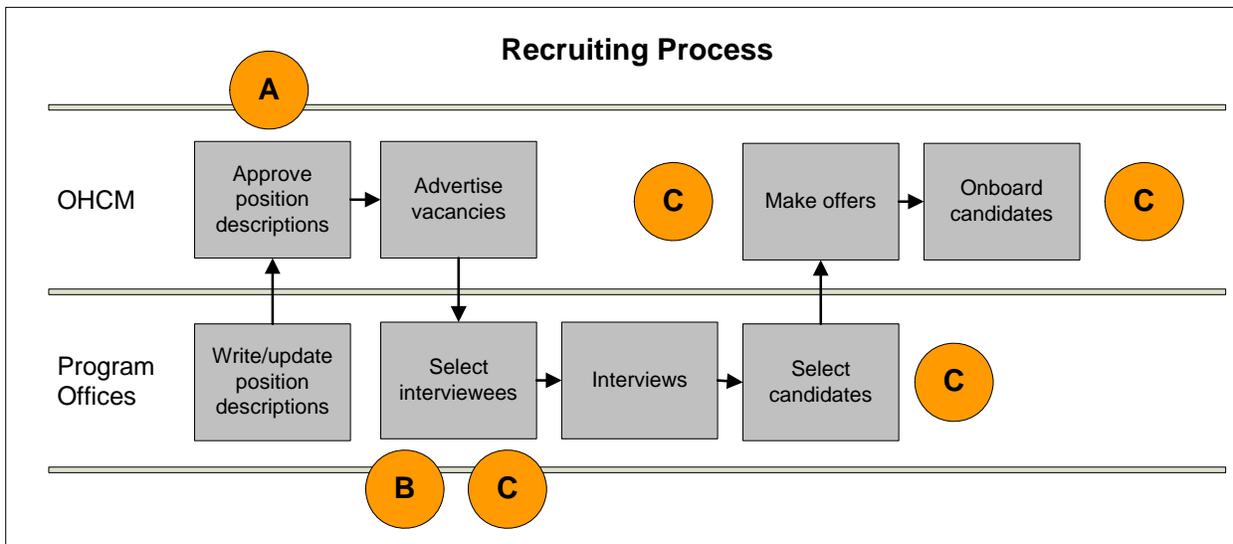
TABLE 4: BRM, HCM LIFECYCLE AND OBJECTIVES

BRM- Management of Government Resources	OHCM-Human Capital Lifecycle	Obj.
HR Strategy	Plan	1.3, 1.6
Organization and Position Management		
Employee Relations		
Labor Relations		
Staff Acquisition	Recruit	3.1, 3.2
Compensation Management	Sustain/Transition/ Career management	1.1, 2.1, 2.2
Benefits Management		
Separation Management		
Employee Performance Management	Education/Development & Performance	1.2, 1.5, 4.1

Human Resources Development		
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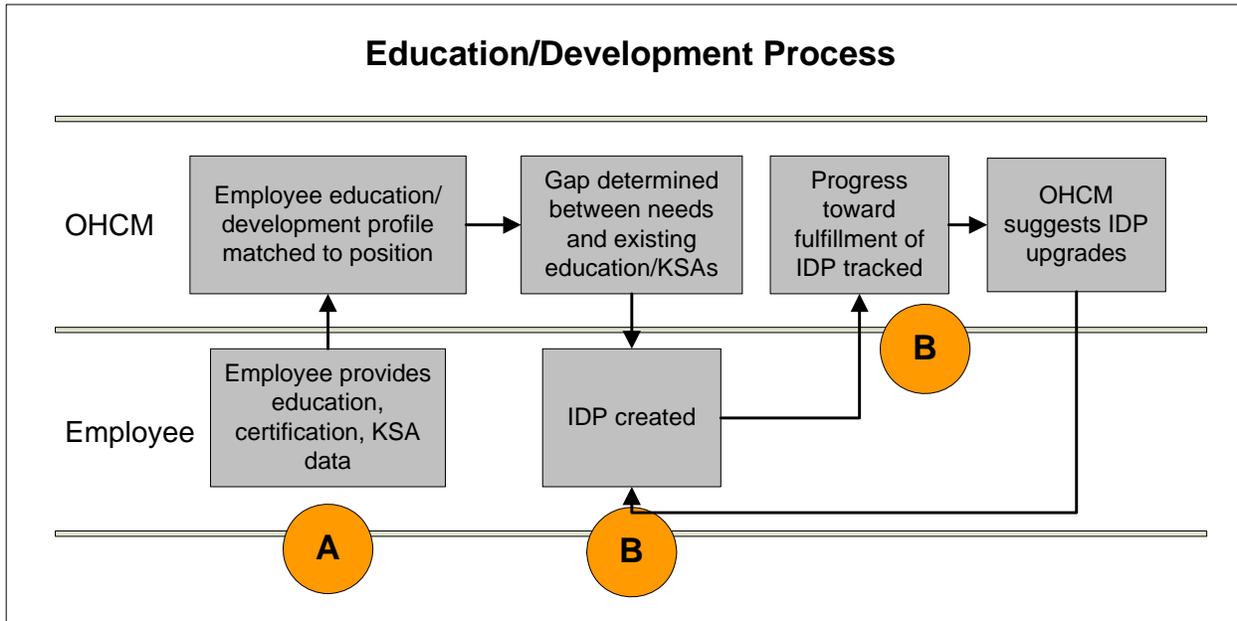
Each target-state business function is outlined in the tables below, with target-state process functions noted. SBA's objectives are mapped to each function.

Business Function 1: Recruit	
Description	Program Office determines the need for additional staff, based on increase workload or a need for specific skills or both. PO updates/writes position description, forwards to OHCM for classification.
Actors	Program Offices, OHCM, ODA, OIG
Inputs	Position descriptions, applications
Outputs	Approved candidates, employee profile data
Objectives	3.1, 3.2
BRM Mappings	251, 252, 228
Metrics Impacted	2.1.1, 2.2.1, 2.2.2, 3.1.1, 3.1.2, 3.1.3, 3.1.4, 3.2.1



Reference	"Process" Comment
A	<ul style="list-style-type: none"> The position description will be managed with a web-based recruiting system complemented by a PAR processing system
B	<ul style="list-style-type: none"> Selection of candidates for interview will be completed in a web-based system
C	<ul style="list-style-type: none"> Data on interviewees/candidates will be captured by web-based system and forwarded to data store
D	<ul style="list-style-type: none"> An automated PAR process will be used to process new candidate, drawing data from the recruiting tool or the data storage tool

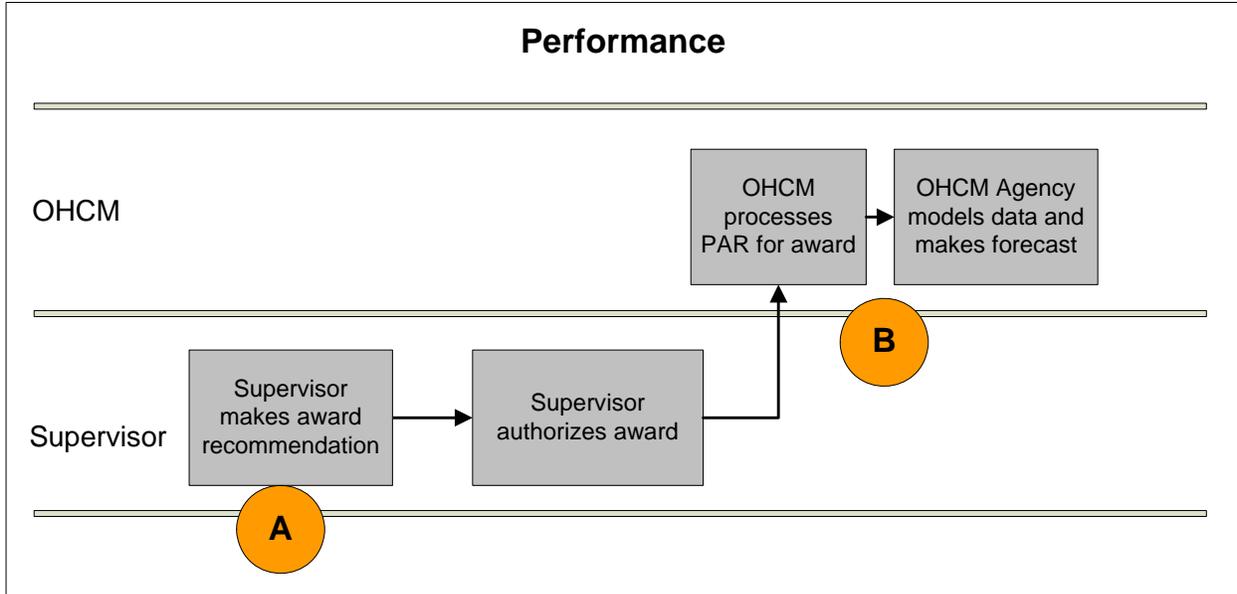
Business Function 2: Education/Development	
Description	OHCM provides training and development for all SBA employees, currently help POs acquire training
Actors	Program Offices, SBA managers, SBA employees, OHCM, ODA, OIG
Inputs	Existing education and certification data, KSAs
Outputs	IDP, Agency-wide gap analysis of training needs
Objectives	1.2, 1.5, 2.1
BRM Mappings	252, 253, 255, 258
Metrics Impacted	1.2.1, 1.2.2, 1.2.3, 1.5.1, 1.6.1, 1.6.2, 1.6.4



Reference	"Education/Development" Comment
A	<ul style="list-style-type: none"> The education, certification and KSA data will be forwarded from a recruiting tool or from the datastore
B	<ul style="list-style-type: none"> IDPs will be created managed within a learning management tool

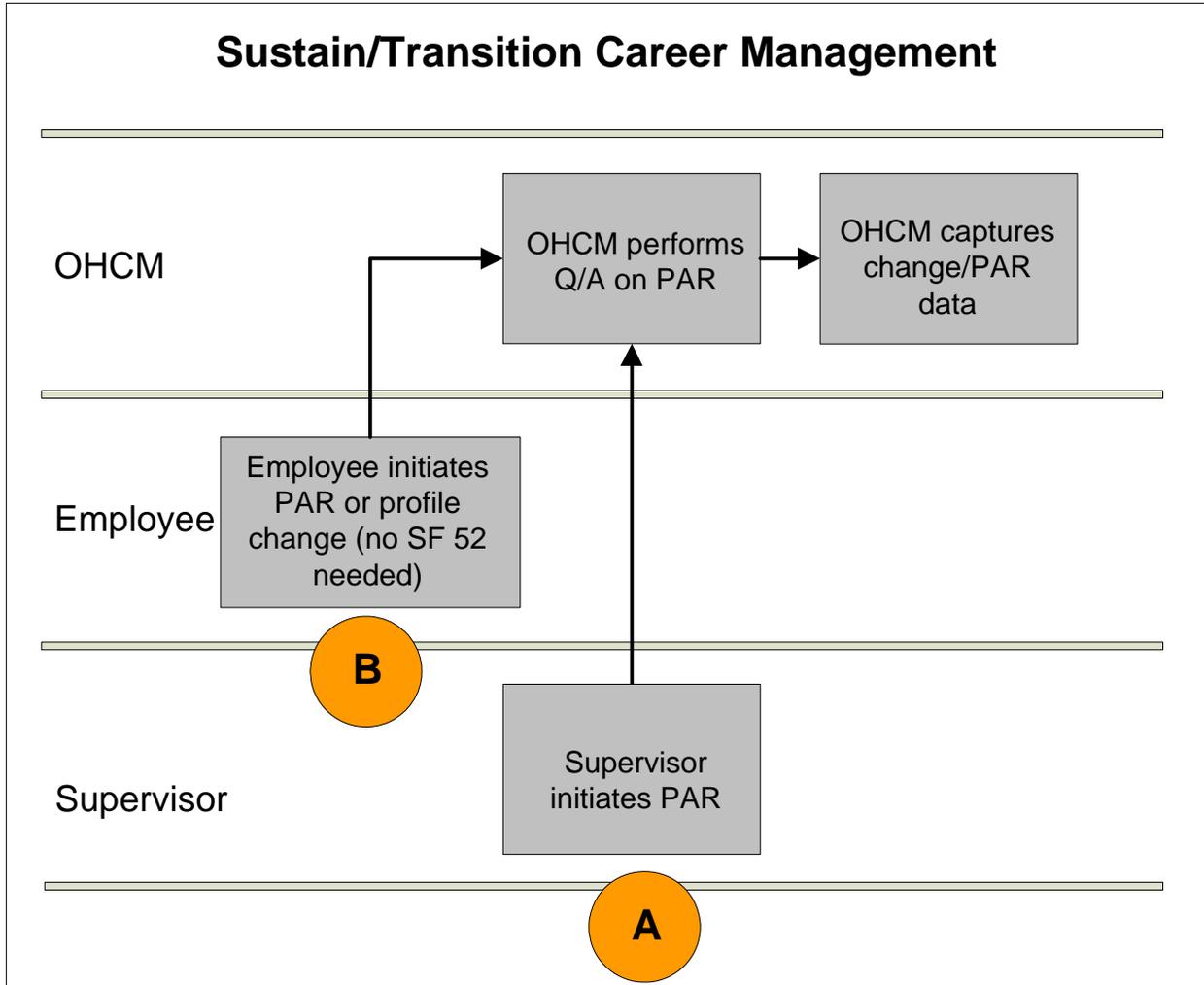
Business Function 3: Performance	
Description	Performance measured, from individuals to POs to Agency-wide, will be linked to SBA goals and objectives. Awards and promotions will be linked to completion of goal-linked personal business commitment plans.
Actors	Employees, Supervisors, OHCM, ODA, OIG
Inputs	PBCP, position descriptions
Outputs	Awards and promotions, Agency-wide performance assessment

Objectives	1.2, 1.5, 2.1, 2.2
BRM Mappings	228, 252, 253, 255, 256,
Metrics Impacted	1.1.1, 1.1.2, 1.2.1, 1.2.2, 1.2.3, 1.5.1, 1.6.1, 1.6.2, 1.6.4, 2.1.1, 4.1.1



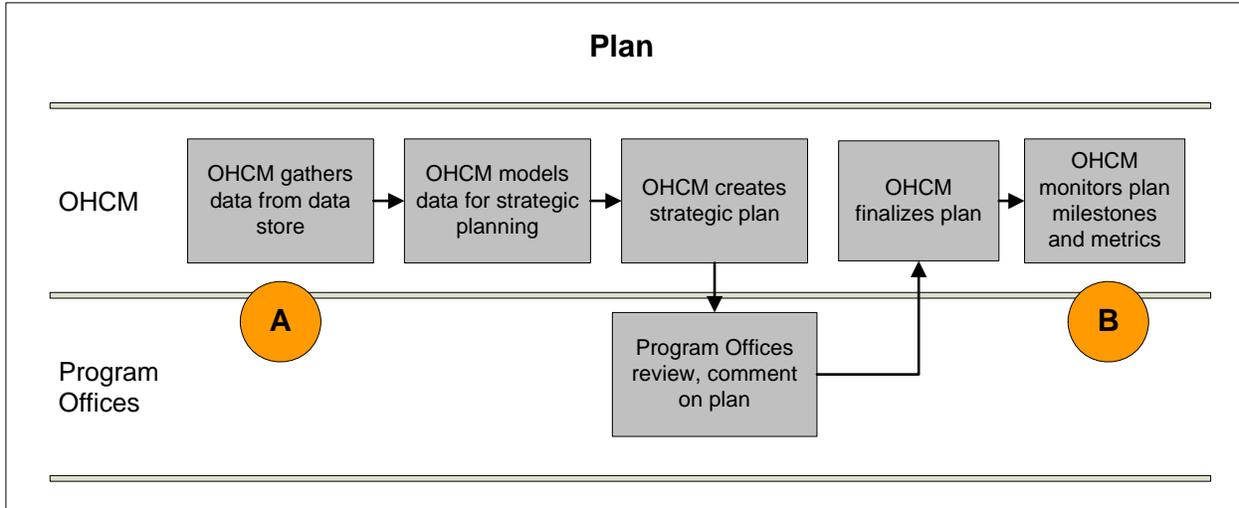
Reference	"Performance" Comment
A	<ul style="list-style-type: none"> Awards will be automated using the PAR system
B	<ul style="list-style-type: none"> Data capture regarding data awards will be automatically added to an employee profile

Business Function 4: Sustain/Transition Career Management	
Description	Processing of all personnel or payroll issues, management of collective bargaining units, safety and health concerns, time and attendance collection or any other HCM functions
Actors	Employees, Supervisors, OHCM, ODA, OIG
Inputs	PAR data, performance data
Outputs	Completed PARs
Objectives	1.3, 1.4, 1.6, 4.1
BRM Mappings	228, 252, 253, 254, 257
Metrics Impacted	1.1.1, 1.1.2, 1.3.1, 1.3.2, 1.3.3, 1.3.4, 1.4.1, 1.4.2, 2.1.1, 2.2.1, 2.2.2, 4.1.1



Reference	“Sustain/Transition Career Management” Comment
A	<ul style="list-style-type: none"> As appropriate, supervisor uses PAR tool to request action
B	<ul style="list-style-type: none"> As appropriate, employee uses self-service web-based tool to request action or profile update

Business Function 5: Plan	
Description	OHCM set strategic direction for SBA employees
Actors	OHCM, Program Offices
Inputs	Accurate employee data from other lifecycle steps
Outputs	Strategic plans, scorecard
Objectives	All
BRM Mappings	All
Metrics Impacted	All



Reference	"Plan" Comment
A	<ul style="list-style-type: none"> Data store and/or employee profiles modeled used to forecast strategic direction.
B	<ul style="list-style-type: none"> Milestones and metrics managed in workflow tool. The outcomes are evaluated in context of external and internal drivers and fed back into the cycle.

4.2.1 HCM Operational Business Model

Supporting each of these distinct areas are common services provided by external hosting providers or other Federal agencies.

The SBA offices have a particular set of users or actors while the externalized providers in turn have a different set of actors.

The following diagram describes the Target State organization of the business areas/categories, the supporting services and their respective users.

FIGURE 4: HCM TARGET STATE OPERATIONAL BUSINESS MODEL

4.2.2 Business Services List

The following table catalogs the primary business services present in the target state. While the functions have not changed from the current state, the way in which functions executed in the target state have changed.

TABLE 5: TARGET STATE BUSINESS SERVICES

Lifecycle Mapping	ID	Business Service	Description
Plan	1	HR Strategy	Develops effective human capital management strategies to ensure federal organizations are able to recruit, select, develop, train, and manage a high-quality, productive workforce in accordance with merit system principles.
	2	Organization & Position Management	Designs, develops, and implements organizational and position structures that create a high-performance, competency-driven framework that both advances the agency mission and serves Agency human capital needs.
	3	Labor Relations	Manages the relationship between the agency and its unions and bargaining units.
	4	Employee Relations	Designs, develops, and implements programs that strive to maintain an effective employer-employee relationship that balance the Agency's needs against its employees' rights.
Recruiting	5	Staff Acquisition	Establishes procedures for recruiting and selecting high-quality, productive employees with the right skills and competencies, in accordance with merit system principles.
Sustain / Transition / Career Management	6	Compensation Management	Designs, develops, and implements compensation programs that attract, retain and fairly compensate agency employees. In addition, designs, develops, and implements pay for performance compensation programs to recognize and reward high performance, with both base pay increases and performance bonus payments.
	7	Benefits Management	Designs, develops, and implements benefit programs that attract, retain and support current and former Agency employees.
	8	Separation Management	Conducts efficient and effective employee separation programs that assist employees in transitioning to non-Federal employment; facilitates the removal of unproductive, non-performing employees; and assists employees in transitioning to retirement.
Performance	9	Performance Management	Designs, develops, and implements a comprehensive employee development approach to ensure that agency employees have the right competencies and skills for current and future work assignments. Designs, develops, and implements a comprehensive performance management strategy that enables managers to make distinctions in performance and links individual performance to Agency goal and mission accomplishment.
Education / Development	10	HR Development	Designs, develops, and implements a comprehensive employee development approach to ensure that Agency employees have the right competencies and skills for current and future work assignments.

4.3 Target State Service Component Architecture

4.3.1 Summary

The target state service component architecture describes how IT applications and services will support the realization of the identified opportunities and enable the business to meet its strategic goals.

The future-state architecture will support OCHM's four strategic goals:

- Organizational effectiveness;
- Streamlined recruitment and promotion of diversity;
- Employee satisfaction and retention; and
- Enhancement of technology skills

Future technology will also promote reuse, build flexibility, leverage data and technology assets across the enterprise and reduce the total cost of ownership of IT services. To this end, the service components must enable the identified business services in keeping with SBA EA standards.

The prevalence of manual, paper-based processes within the HR functions indicate a highly underdeveloped architecture, due to ongoing lack of funding. The FEA service component reference model provides guidance for SBA to identify, categorize, build and surface services that can be leveraged throughout the HR lifecycle.

4.3.2 Key Transformations

Several key transformations will be implemented for HCM to achieve the target state:

1. Create the essential enterprise services for HCM. These services will provide the foundational components such as customer relationship management, reporting, process automation and tracking that will *enable* the capabilities identified by the program office.
2. Create common data services that can be used across HCM functions within SBA and external government systems. The high level data services will form the basis for facilitating information exchange. This may be largely outside the ability of SBA to influence as most of the target state data services are provided by NFC.
3. Improve the existing business services by introducing front-end application services for the new capabilities. These applications will leverage the underlying enterprise and data services. Examples include an employee portal, e-OPF and the Workforce Planning System.
4. Implement an enterprise application integration and data integration 'bus' that will enable disparate systems, some of them legacy systems, to work in concert with the same data. This is not a COTS or GOTS package that can be installed. It is largely a custom internal effort to provide points of interface that will enable HCM to achieve the target state.

4.3.3 Front End Services

As part of the above transformations, a new-to-SBA delivery of services are introduced. This class is the "Front End Services" grouping that describes elements of the target state that are currently made up of manual, paper-based processes.

The target state envisions paper forms completed by hand, file folders and manual movement of paper from one office to another will be replaced by largely self-service web systems and other COTS or purpose-built applications.

The introduction of front-end services to the target state provide the following benefits:

- Reduction in FTE
- Decreased turnaround time (processing time)
- Compliance
- Increased security, reliability and accuracy of data
- Defined and concrete mechanisms to meet defined long term objectives

TABLE 6: TARGET STATE FRONT END SERVICES

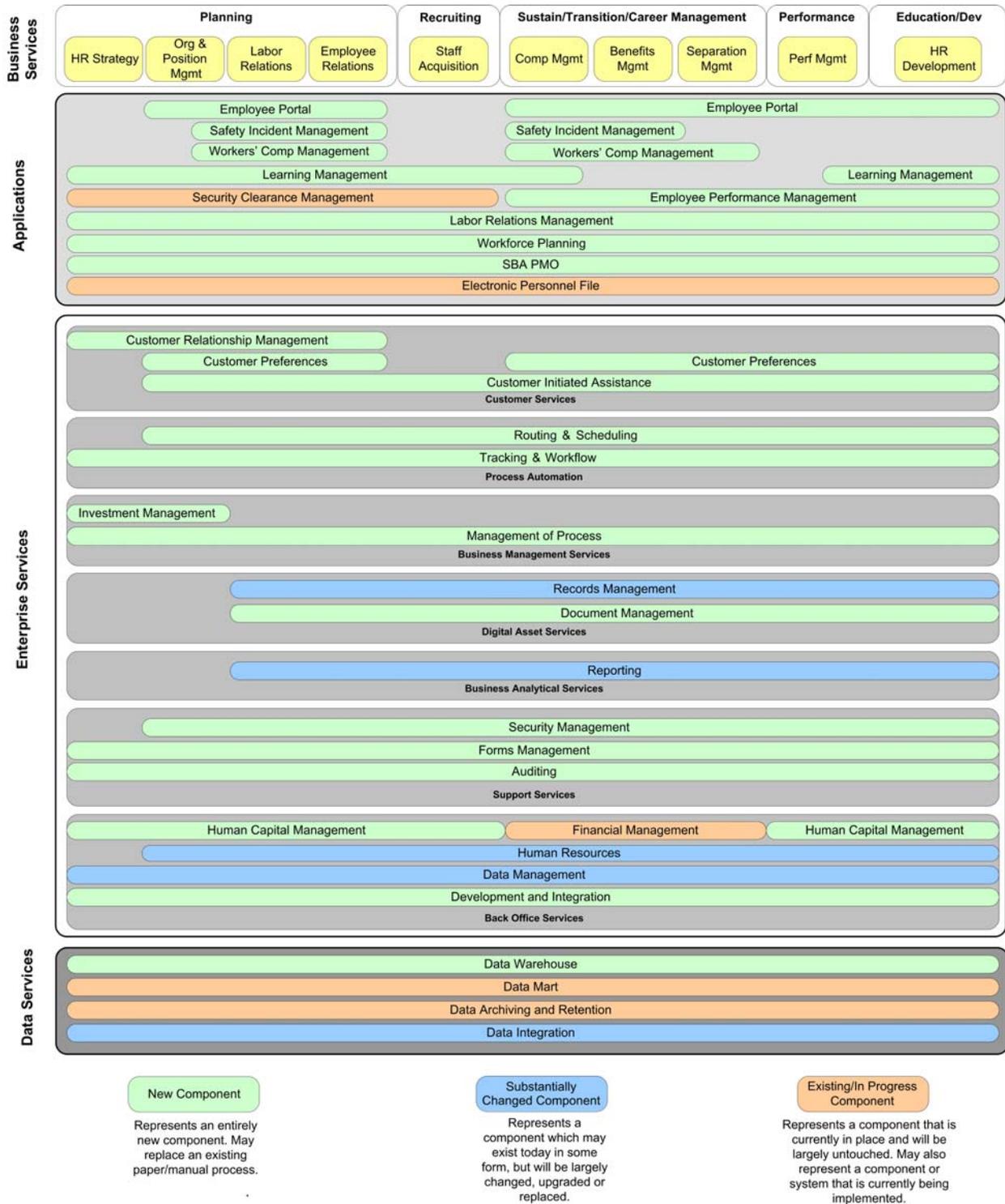
Front End Service	Description	Business Service Mapping (Refer to Section 4.2.2)	Objective Mapping (Refer to Section 4.1.2)
Employee Portal	A paperless, browser-based web application that provides a single point of entry to all the HCM processes an employee would need to utilize. Typically includes single sign-on for any back-end applications that are being accessed. Examples would be employee managing their own benefits information, timekeeping, payroll deductions, home address, etc. Note that the Portal is only the launch pad and is not envisioned to contain any application or business logic in and of itself.	2, 3, 4, 5, 6, 7, 8, 9	1.2, 1.3, 1.4, 1.5, 1.6, 2.1, 2.2, 4.1
Safety Incident Management	A paperless, electronic application (perhaps a web application, perhaps not), that automates the submission, collection, reporting and analysis of data regarding accidents and other safety incidents. Must include a point of integration with the Workers' Comp service described below for accurate tracking of accidents and related claims.	2, 3, 4, 6, 7	1.2, 1.3, 1.6
Workers' Compensation Management	A paperless, electronic application for submission, collection, reporting and analysis of data regarding worker's compensation claims. Prepares data for electronic submission to Dept of Labor for processing. Interacts with Safety Incident Management data to ensure consistency and enable cross-referencing.	2, 3, 4, 6, 7, 8	1.1, 1.3, 1.6, 2.2

Front End Service	Description	Business Service Mapping (Refer to Section 4.2.2)	Objective Mapping (Refer to Section 4.1.2)
Learning Management	A paperless web application for capturing employee skills, goals and professional education and managing IDPs.	1, 2, 3, 4, 5, 6	1.1, 1.2, 1.3, 1.4, 1.5, 1.6, 2.1, 2.2, 4.1
Employee Performance Management	A paperless, electronic application for capturing employee performance information and managing the workforce based on that data. Includes ability to provide incentives and rewards based on performance. Must also have point of interface with payroll for payout of bonuses and other performance-based compensation.	6, 7, 8, 9, 10	1.1, 1.2, 1.3, 1.5, 1.6, 2.1, 2.2, 4.1
Labor Relations/ Employee Relations Management	A paperless, electronic application for capturing, tracking and reporting on labor relations incidents and issues.	1, 2, 3, 4, 5, 6, 7, 8, 9, 10	1.1, 1.2, 1.3, 1.5, 1.6, 2.1, 2.2, 4.1
Workforce Planning System	A paperless, electronic application for managing strategic and tactical aspects of HR as it relates to workforce planning and analysis.	1, 2, 3, 4, 5, 6, 7, 8, 9, 10	1.1, 1.2, 1.3, 1.5, 1.6, 2.1, 2.2, 4.1
SBA PMO	A centralized organization with SBA that leverages standard project management applications and applies them to the effective management of all SBA projects.	1, 2, 3, 4, 5, 6, 7, 8, 9, 10	1.1, 1.2, 1.3, 1.4, 1.6
Electronic Personnel File	A paperless, electronic application for the acquisition, storing, managing, reporting and updating of employee personnel files. Integrates with self-service portal for those actions that can be initiated/acted upon by the employee themselves.	1, 2, 3, 4, 5, 6, 7, 8, 9, 10	1.1, 1.3, 1.6, 2.2
Security Clearance Management	A paperless, electronic suite of tools for the application and processing of security background checks and clearances for new and existing employees.	1, 2, 3, 4, 5	1.3, 1.6, 3.1, 3.2

4.3.4 Service Component Diagram

The diagram below describes the existing and proposed services and the supporting service components.

FIGURE 5: TARGET STATE SERVICE COMPONENTS



4.3.5 Service Component List

The following table provides a high level description of each of these components, how they map to the FEA Service Component Reference Model and which business services they support.

TABLE 7: TARGET STATE SERVICE COMPONENTS TABLE

ID	Service Domain	Service Type	Service Component	Business Service Mapping (Refer to Section 4.2.2)	Objective Mapping (Refer to Section 4.1.2)
1	Customer Services	Customer Relationship Management	Survey	3, 4	1.4, 2.1, 2.2
2	Customer Services	Customer Relationship Management	Partner Relationship Management	1	1.3, 1.4, 1.6
3	Customer Services	Customer Relationship Management	Customer / Account Management	2, 3, 4	1.3, 1.4, 1.6
4	Customer Services	Customer Preferences	Personalization	2, 3, 4, 6, 7, 8, 9, 10	1.3, 1.4, 1.6
5	Customer Services	Customer Preferences	Alerts and Notifications	3, 4	1.3, 1.4, 1.6
6	Customer Services	Customer Initiated Assistance	Self-Service	2, 3, 4, 5, 6, 7, 8, 9, 10	1.1, 1.2, 1.3, 1.4, 1.5, 1.6, 2.1, 2.2, 4.1
7	Customer Services	Customer Initiated Assistance	Online Tutorials	10	1.2, 2.1
8	Customer Services	Customer Initiated Assistance	Assistance Request	2, 3, 4, 5, 6, 7, 8, 9, 10	1.4, 2.1
9	Process Automation Services	Tracking and Workflow	Process Tracking	1, 2, 3, 4, 5, 6, 7, 8, 9, 10	1.3
10	Process Automation Services	Tracking and Workflow	Case Management	2, 3, 4, 5, 6, 7, 8, 9, 10	1.4, 1.6, 2.1
11	Process Automation Services	Routing and Scheduling	Inbound Correspondence Management	2, 3, 4, 5, 6, 7, 8, 9, 10	1.3, 1.6

ID	Service Domain	Service Type	Service Component	Business Service Mapping (Refer to Section 4.2.2)	Objective Mapping (Refer to Section 4.1.2)
12	Process Automation Services	Routing and Scheduling	Outbound Correspondence Management	2, 3, 4, 5, 6, 7, 8, 9, 10	1.3, 1.6
13	Business Management Services	Management of Process	Program / Project Management	1, 2, 3, 4, 5, 6, 7, 8, 9, 10	1.3, 1.6
14	Business Management Services	Management of Process	Governance / Policy Management	1, 2, 3, 4, 5, 6, 7, 8, 9, 10	1.3, 1.6
15	Business Management Services	Management of Process	HR Data Standardization	1, 2	1.3, 1.6
16	Business Management Services	Investment Management	Strategic Planning and Management	1, 2	1.3, 1.6
17	Business Management Services	Investment Management	Performance Management	9	1.1, 1.3, 1.4, 1.5, 1.6, 2.1, 2.2, 4.1
18	Digital Asset Services	Document Management	Document Imaging and OCR	3, 4, 5, 6, 7, 8, 9, 10	1.3, 1.6
19	Digital Asset Services	Document Management	Document Referencing	3, 4, 5, 6, 7, 8, 9, 10	1.3, 1.6
20	Digital Asset Services	Document Management	Library / Storage	3, 4, 5, 6, 7, 8, 9, 10	1.3, 1.6
21	Digital Asset Services	Document Management	Document Conversion	3, 4, 5, 6, 7, 8, 9, 10	1.3, 1.6
22	Digital Asset Services	Document Management	Document Review / Approval	3, 4, 5, 6, 7, 8, 9, 10	1.3, 1.6
23	Digital Asset Services	Document Management	Document Classification	3, 4, 5, 6, 7, 8, 9, 10	1.3, 1.6
24	Digital Asset Services	Document Management	Indexing	3, 4, 5, 6, 7, 8, 9, 10	1.3, 1.6
25	Digital Asset Services	Records Management	Records Classification and Filing	3, 4, 5, 6, 7, 8, 9, 10	1.3, 1.6
26	Digital Asset Services	Records Management	Records Archiving	3, 4, 5, 6, 7, 8, 9, 10	1.3, 1.6

ID	Service Domain	Service Type	Service Component	Business Service Mapping (Refer to Section 4.2.2)	Objective Mapping (Refer to Section 4.1.2)
27	Business Analytical Services	Reporting	Standardized Report	3, 4, 5, 6, 7, 8, 9, 10	1.3, 1.6
28	Business Analytical Services	Reporting	Ad Hoc Report	3, 4, 5, 6, 7, 8, 9, 10	1.3, 1.6
29	Support Services	Security Management	Identification and Authentication	2, 3, 4, 5, 6, 7, 8, 9, 10	1.3, 1.6
30	Support Services	Security Management	Access Control	2, 3, 4, 6, 7, 8, 9, 10	1.3, 1.6
31	Support Services	Security Management	User Management	2, 3, 4, 6, 7, 8, 9, 10	1.3, 1.6
32	Support Services	Security Management	Auditing	1, 2, 3, 4, 5, 6, 7, 8, 9, 10	1.3, 1.6
33	Support Services	Forms Management	Forms Creation	1, 2, 3, 4, 5, 6, 7, 8, 9, 10	1.3, 1.6
34	Support Services	Forms Management	Forms Modification	1, 2, 3, 4, 5, 6, 7, 8, 9, 10	1.3, 1.6
35	Back Office Services	Data Management	Data Exchange	3, 4, 5, 6, 7, 8, 9, 10	1.3, 1.6
36	Back Office Services	Data Management	Data Mart	1, 2, 3, 4, 5, 6, 7, 8, 9, 10	1.3, 1.6
37	Back Office Services	Data Management	Data Warehouse	1, 2, 3, 4, 5, 6, 7, 8, 9, 10	1.3, 1.6
38	Back Office Services	Data Management	Data Cleansing	6, 7, 8	1.3, 1.6
39	Back Office Services	Data Management	Data Extraction, Transformation, Loading	3, 4, 5, 6, 7, 8, 9, 10	1.3, 1.6
40	Back Office Services	Human Resources	Recruiting	4, 5	1.1, 1.3, 1.6, 3.1, 3.2
41	Back Office Services	Human Resources	Resume Management	3, 4, 5	1.1, 1.3, 1.6, 3.1, 3.2
42	Back Office Services	Human Resources	Career Development and Retention	9, 10	1.1, 1.2, 1.3, 1.6, 2.1, 2.2, 4.1

ID	Service Domain	Service Type	Service Component	Business Service Mapping (Refer to Section 4.2.2)	Objective Mapping (Refer to Section 4.1.2)
43	Back Office Services	Human Resources	Time Reporting	6, 7	1.1, 1.3, 1.6
44	Back Office Services	Human Resources	Awards Management	6, 7, 8, 9, 10	1.3, 1.5, 1.6
45	Back Office Services	Human Resources	Benefit Management	7	1.3, 1.6, 2.2
46	Back Office Services	Human Resources	Retirement Management	6, 7, 8	1.3, 1.6, 2.2
47	Back Office Services	Human Resources	Personnel Admin	6, 7, 8, 9, 10	1.3, 1.6
48	Back Office Services	Human Resources	Education / Training	9, 10	1.1, 1.2, 1.3, 1.5, 1.6, 2.1, 2.2, 4.1
49	Back Office Services	Human Resources	Health and Safety	6, 7	1.1, 1.2, 1.3, 1.5, 1.6, 2.1, 2.2, 4.1
50	Back Office Services	Financial Management	Payroll	6, 7, 8	1.3, 1.6
51	Back Office Services	Development and Integration	Enterprise Application Integration	1, 2, 3, 4, 5, 6, 7, 8, 9, 10	1.3, 1.6
52	Back Office Services	Development and Integration	Data Integration	1, 2, 3, 4, 5, 6, 7, 8, 9, 10	1.3, 1.6
53	Back Office Services	Human Capital / Workforce Management	Resource Planning	1, 2	1.1, 1.3, 1.6
54	Back Office Services	Human Capital / Workforce Management	Skills Management	9, 10	1.1, 1.2, 1.3, 1.4, 1.5, 1.6, 2.1, 2.2, 4.1
55	Back Office Services	Human Capital / Workforce Management	Workforce Directory	1, 2, 3, 4, 5	1.1, 1.3, 1.6
56	Back Office Services	Human Capital / Workforce Management	Team / Org Management	1, 2, 3, 4, 5	1.1, 1.3, 1.6

ID	Service Domain	Service Type	Service Component	Business Service Mapping (Refer to Section 4.2.2)	Objective Mapping (Refer to Section 4.1.2)
57	Back Office Services	Human Capital / Workforce Management	Contingent Workforce Management	1, 2, 3, 4, 5	1.1, 1.3, 1.6
58	Back Office Services	Human Capital / Workforce Management	Workforce Acquisition / Optimization	1, 2, 3, 4, 5	1.1, 1.3, 1.6

4.4 Target State Data Architecture

4.4.1 Summary of FEA Data Reference Model (DRM)

The target state data architecture is represented by DRM as defined by the FEA. The DRM provides a standard means by which data may be described, categorized, and shared within agencies and across the Federal Government. These are reflected within each of the DRM's three standardization areas:

Data Description: Provides a means to uniformly describe data, thereby supporting its discovery and sharing.

Data Context: Facilitate discovery of data throughout an approach to the categorization of data according to taxonomies.

Data Sharing: Supports the access and exchange of data where access consists of ad-hoc requests (such as a query if a data asset), and exchange consists of fixed, recurring transactions between parties.

In the context of HCM at SBA, these areas have more narrow focus. Data Description is to be provided by Data Warehousing, Data Taxonomy and Classification services. Data Context is supported by the Data Taxonomy and Classification, and Data Integration services. Data Sharing is supported by Data Warehousing, Data Mart and Data Integration services.

4.4.2 Target State Benefits

The current manual system does not allow finding, synthesizing and analyzing/reporting on its employee data. The target state places focus on Data Integration and Data Warehousing as a means to resolve this issue.

Data Integration will provide the services that form a layer of abstraction between a front-end service and the data itself. Since all of the data is unlikely to be moved and placed in one location, these services will be designed to provide the knowledge of where data is located and how it needs to be accessed in order to satisfy the requirements of the requesting application. In this way, Data Integration services form a bus or bridge that separate the application and business logic from the data itself. In other words, the front-end systems have no need to know where the data is located, only how to interact with the bus.

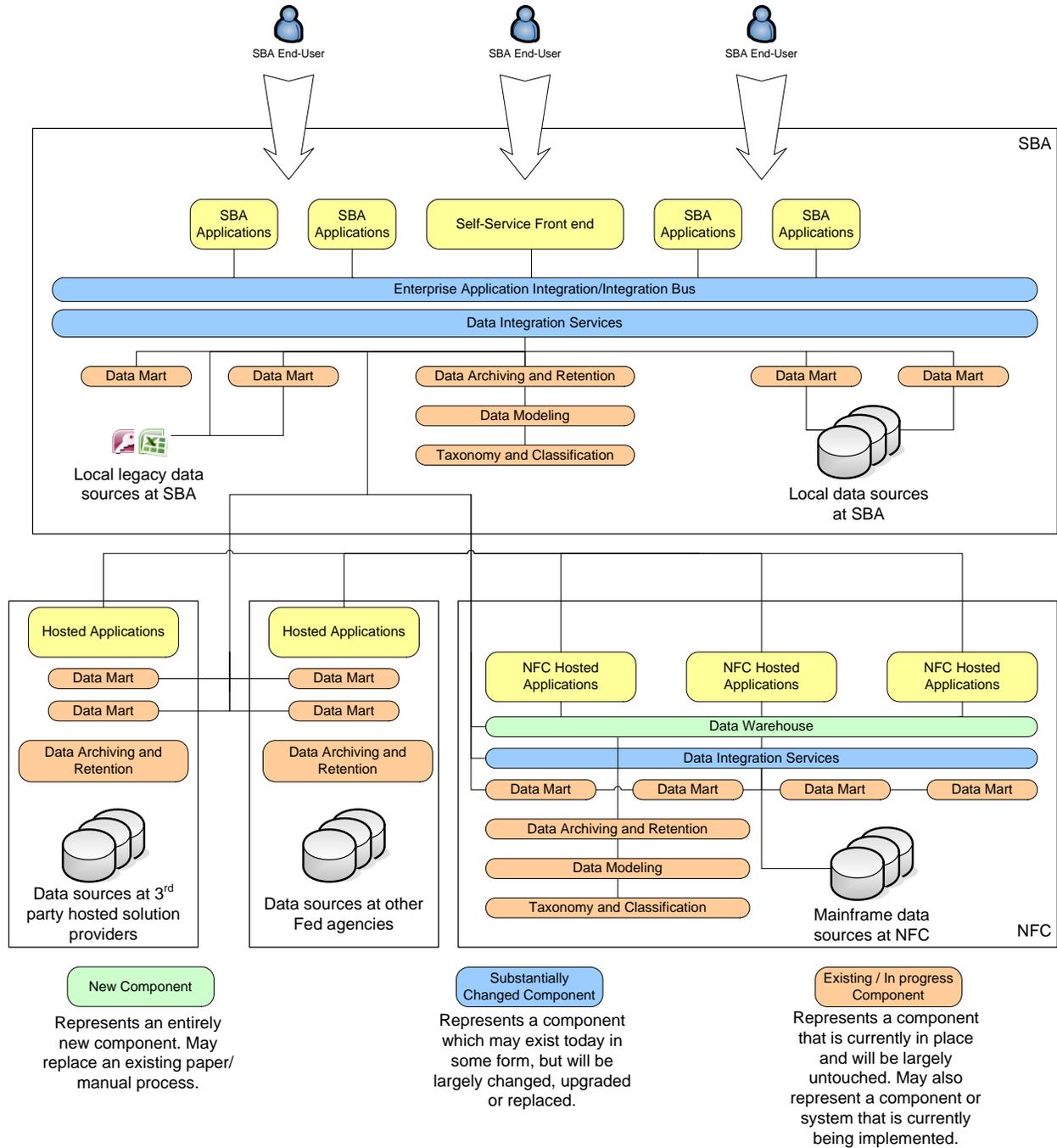
Data Warehousing primarily deals with how the data is stored. Additionally, the warehouse works in conjunction with the Integration Bus to provide the means of retrieving and analyzing



the data, to extract, transform and load data, and to manage how the data is classified and described.

4.4.3 Data Architecture Diagram

FIGURE 6: TARGET STATE DATA ARCHITECTURE



4.4.4 Data Services List

The sources of data listed in the aforementioned section can be found in the following systems:

TABLE 8: TARGET STATE DATA SERVICES TABLE

Data Service	Description	Business Service Mapping (Refer to Section 4.2.2)	Objective Mapping (Refer to Section 4.1.2)
Data Warehouse	A data warehouse is a single, consistent store of data obtained from multiple sources, and made available to end users in a way that they can understand and use in a business context. This warehouse is designed to support a broad range of strategic decision support and analytical processing needs across functional areas of the enterprise.	1, 2, 3, 4, 5, 6, 7, 8, 9, 10	1.1, 1.2, 1.3, 1.4, 1.5, 1.6, 2.1, 2.2, 4.1
Data Mart	A data mart is a subset of the central data warehouse that is designed to meet the decision support or analytical processing needs of a specific functional area. Views of the data are customized to meet a specific business need, unlike the central data warehouse, which is designed to meet a broad range of cross-functional needs.	1, 2, 3, 4, 5, 6, 7, 8, 9, 10	1.1, 1.2, 1.3, 1.4, 1.5, 1.6, 2.1, 2.2, 4.1
Data Archiving and Retention	<p>This service provides a means for consolidating and moving data from a primary online storage medium such as a disk array to off-line storage medium. In the case of compliance, archiving emphasizes data longevity and authenticity.</p> <p>Archiving presupposes rapid access to data, coupled with robust search and retrieval capabilities.</p>	1, 2, 3, 4, 5, 6, 7, 8, 9, 10	1.1, 1.2, 1.3, 1.4, 1.5, 1.6, 2.1, 2.2, 4.1
Data Integration	Data integration involves the extraction, cleansing and summarization of data from multiple data stores to create a unified, enterprise view. Data is then transformed into data structures that are supported by standardized data access interfaces.	1, 2, 3, 4, 5, 6, 7, 8, 9, 10	1.1, 1.2, 1.3, 1.4, 1.5, 1.6, 2.1, 2.2, 4.1
Data Modeling	Services for analyzing data elements and mapping their relationships to each other. Key to efficient structuring of data for easier indexing, searching and retrieval as well as for more graceful integration with other data sources.	1, 2, 3, 4, 5, 6, 7, 8, 9, 10	1.1, 1.2, 1.3, 1.4, 1.5, 1.6, 2.1, 2.2, 4.1

Data Taxonomy and Classification	Data Taxonomy is a method of hierarchically classifying data to better organize and understand it. The services behind taxonomy enhance communication by establishing a common ground data exchange.	1, 2, 3, 4, 5, 6, 7, 8, 9, 10	1.1, 1.2, 1.3, 1.4, 1.5, 1.6, 2.1, 2.2, 4.1
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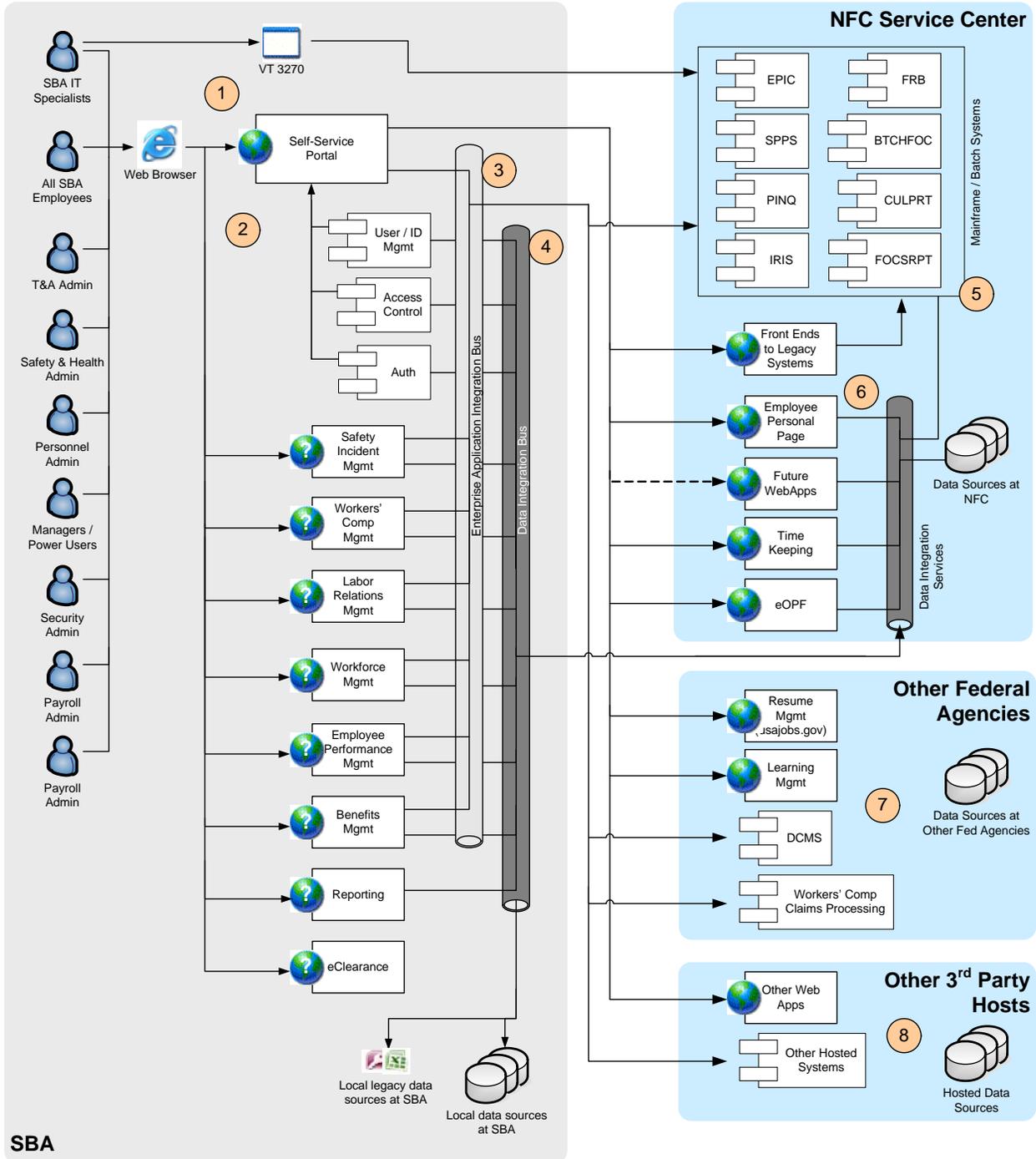
4.5 Target State Technology Architecture

4.5.1 Summary

The technology architecture is used to specify the standards and technologies to support and enable the delivery of service components. The SBA Enterprise Architecture Blueprint describes SBA's technology standards in detail. Unless there is a strong business justification for HCM to deviate from the EA Standards, this segment should align with the current EA Blueprint as it plans its future IT investments and implementations.

4.5.2 Technology Reference Model (TRM)

FIGURE 7: TARGET STATE TECHNICAL ARCHITECTURE



- Web Application
- Possible Web Application

1. The target state envisions e-centric applications replacing the paper-driven processes of today. In this scenario, every task or tool or process is accessed via a web browser. In the event that tools are selected which do not conform to this model, distinct client software may substitute. The goal, however, is to eliminate siloed client-server application software with disparate costs, maintenance and upgrades, as well as strive for standardized web applications conforming to the SBA EA. In certain cases, IT Specialists may need to utilize virtual terminal software for accessing mainframe tools at NFC.
2. The word Portal has several connotations. It implies a centralized access point from which the user can access all of the tools they need in order to do their job through a single point of entry with a single sign-on. Access control is managed centrally and interacts with a centralized user repository to permit/deny role-based access to back-end applications. This target state envisions portal serving as a central 'launchpad' that permits the centralized user control (access control, authentication) but then merely passes the user along to the actual existing back end application.
3. The concept of the Enterprise Application Integration (EAI) Bus is introduced. This provides a standardized approach to providing integration points for applications that may be COTS, GOTS, hosted or internally developed. These various forms of application delivery are unlikely to integrate with each other. However, selecting solutions that have standard interfaces will provide the ability to custom develop services that form the EAI bus and allow applications to share information.
4. In the same way that the EAI Bus serves as an abstraction layer and enables disparate applications to interact, the Data Integration Bus performs a similar role for the data that is utilized by the target state applications. The target state envisions a series of services designed to provide the bridge between SBA and the various data marts and data warehouses that contain the necessary data.
5. Existing NFC tools include a number that are non-web based and can only be utilized by way of thick client or virtual terminal. While these applications remain in the target state, their use is more restricted to power users and IT specialists with deep knowledge of the inner workings of these tools. For the remaining users that would need to access these applications, a new set of front-end services are envisioned that will enable the necessary web-access or access via the EAI Bus. For example, whereas today many users may use a virtual terminal to access FOCSRPT, the target state envisions that those users would instead utilize a standardize web-interface via tools, such as Cognos or Crystal Reports, to access the same data and reports generation.
6. The target state projects future web applications that will appear at NFC or other external hosts. Such applications would easily be integrated into the architecture by way of the self-service portal interface and the EAI / Data Bus.
7. Several applications that are projected to be utilized in the target state reside at Federal agencies other than NFC. Similar integrations at an application and data layer would be established and access would be provided via web interface (preferably).
8. Third party, non-governmental hosting parties are likely to exist in the target state. As with NFC and other Federal agencies, integration points will be provided that allow SBA applications to speak to and read from externally hosted applications if necessary.

4.5.3 TRM Services

Service Areas: represent a technical tier supporting the secure construction, exchange, and delivery of Service Components. Each Service Area aggregates the standards and technologies of lower-level functional areas and consists of multiple Service Categories and Service Standards.

Service Categories: classify lower levels of technologies and standards with respect to the business or technology function they serve. In turn, each Service Category is comprised of one or more Service Standards.

Service Standards: define the standards and technologies that support a Service Category.

The following table includes the FEA Technical Reference Model Service Areas, Service Categories and Service Standards and cross-references the corresponding section in the SBA Enterprise Architecture Blueprint

TABLE 9: TRM SERVICE AREAS WITH CROSS REFERENCE

Service Area	Service Category	Service Standards	EA Blueprint Cross-Reference	Service Component Mapping (Refer to Section 4.3.5)
Service Access and Delivery	Access Channels	Web Browser	5.3.6	1, 4, 6, 7, 8, 43, 48
Service Access and Delivery	Access Channels	Other Electronic Channels	5.3.4, 5.3.6	All
Service Access and Delivery	Delivery Channels	Intranet	5.3.2, 5.3.4, 5.3.6	All
Service Access and Delivery	Delivery Channels	Extranet	5.3.2, 5.3.4, 5.3.6	2, 11, 12, 18, 19, 20, 21, 22, 23, 24, 25, 26, 27, 28, 35, 36, 37, 38, 39, 43, 44, 45, 46, 47, 48, 49, 50, 51, 52, 55
Service Access and Delivery	Service Requirements	Legislative / Compliance	5.3.5, 5.3.7	2, 5, 11, 12, 15, 18, 19, 20, 21, 22, 23, 24, 25, 26, 30, 32, 47
Service Access and Delivery	Service Requirements	Authentication / Single Sign On	5.3.2, 5.3.7	4, 5, 6, 29, 30, 31, 32, 55
Service Access and Delivery	Service Requirements	Hosting	5.3.4, 5.3.5, 5.3.6, 5.3.7	2, 11, 12, 18, 19, 20, 21, 22, 23, 24, 25, 26, 27, 28, 35, 36, 37, 38, 39, 43, 44, 45, 46, 47, 48, 49, 50, 51, 52, 55

Service Area	Service Category	Service Standards	EA Blueprint Cross-Reference	Service Component Mapping (Refer to Section 4.3.5)
Service Access and Delivery	Service Transports	Supporting Network Services	5.3.2, 5.3.4	All
Service Access and Delivery	Service Transports	Service Transport	5.3.2, 5.3.4	All
Service Platform and Infrastructure	Support Platforms	Platform Dependent	5.3.3, 5.3.6, 5.3.7	-
Service Platform and Infrastructure	Support Platforms	Platform Independent	5.3.3, 5.3.6, 5.3.7	-
Service Platform and Infrastructure	Delivery Servers	Web Servers	5.3.3, 5.3.6	1, 4, 6, 7, 8, 43, 48
Service Platform and Infrastructure	Delivery Servers	Application Servers	5.3.3, 5.3.4, 5.3.6	1, 2, 3, 4, 5, 6, 7, 8, 9, 10, 11, 12, 17, 27, 28, 31, 40, 41, 42, 43, 44, 45, 46, 47, 48, 49, 50, 51, 54, 55, 56, 57, 58
Service Platform and Infrastructure	Delivery Servers	Portal Servers	5.3.3, 5.3.4, 5.3.6	6
Service Platform and Infrastructure	Hardware / Infrastructure	Servers	5.3.3, 5.3.6, 5.3.7	All
Service Platform and Infrastructure	Hardware / Infrastructure	Wide Area Network	5.3.2, 5.3.6, 5.3.7	2, 11, 12, 18, 19, 20, 21, 22, 23, 24, 25, 26, 27, 28, 35, 36, 37, 38, 39, 43, 44, 45, 46, 47, 48, 49, 50, 51, 52, 55
Service Platform and Infrastructure	Hardware / Infrastructure	Local Area Network	5.3.2, 5.3.6, 5.3.7	All
Service Platform and Infrastructure	Software Engineering	Integrated Dev Environment	5.3.3, 5.3.6	13, 14, 16
Service Platform and Infrastructure	Software Engineering	Software Configuration Management	5.3.6	13, 14, 16

Service Area	Service Category	Service Standards	EA Blueprint Cross-Reference	Service Component Mapping (Refer to Section 4.3.5)
Service Platform and Infrastructure	Software Engineering	Test Management	5.3.6	13, 14, 16
Service Platform and Infrastructure	Software Engineering	Modeling	5.3.5, 5.3.6	13, 14, 16
Service Platform and Infrastructure	Database / Storage	Database	5.3.5	1, 2, 3, 4, 5, 10, 11, 12, 17, 19, 20, 23, 24, 25, 26, 27, 28, 29, 31, 35, 36, 37, 38, 39, 40, 41, 42, 43, 44, 45, 46, 47, 48, 49, 50, 51, 52, 53, 54, 55, 56, 57
Service Platform and Infrastructure	Database / Storage	Storage	5.3.3, 5.3.5	1, 2, 3, 4, 5, 10, 11, 12, 17, 19, 20, 23, 24, 25, 26, 27, 28, 29, 31, 35, 36, 37, 38, 39, 40, 41, 42, 43, 44, 45, 46, 47, 48, 49, 50, 51, 52, 53, 54, 55, 56, 57
Component Framework	Security	Certificates / Digital Signature	5.3.7	1, 2, 6, 11, 12, 14, 20, 25, 26, 29, 30, 32
Component Framework	Security	Supporting Security Devices	5.3.7	1, 2, 6, 11, 12, 14, 20, 25, 26, 29, 30, 32
Component Framework	Presentation / Interface	Static Display	5.3.6	-
Component Framework	Presentation / Interface	Dynamic Server-Side Display	5.3.6	-
Component Framework	Business Logic	Platform Dependent	5.3.6	-
Component Framework	Business Logic	Platform Independent	5.3.6	-
Component Framework	Data Management	Database Connectivity	5.3.3, 5.3.5, 5.3.6	1, 2, 3, 4, 5, 10, 11, 12, 17, 19, 20, 23, 24, 25, 26, 27, 28, 29, 31, 35, 36, 37, 38, 39, 40, 41, 42, 43, 44, 45, 46, 47, 48, 49, 50, 51, 52, 53, 54, 55, 56, 57

Service Area	Service Category	Service Standards	EA Blueprint Cross-Reference	Service Component Mapping (Refer to Section 4.3.5)
Component Framework	Data Management	Reporting and Analysis	5.3.5	1, 9, 10, 11, 12, 13, 16, 17, 27, 28, 32, 41, 42, 43, 44, 45, 46, 47, 48, 49, 50, 51, 52, 53, 54, 55, 56, 57, 58
Component Framework	Data Interchange	Data Exchange	5.3.5, 5.3.6	35, 36, 37, 38, 39, 52
Service Interface and Integration	Integration	Middleware	5.3.4, 5.3.5	All
Service Interface and Integration	Integration	Enterprise Application Integration	5.3.4, 5.3.5, 5.3.6	All
Service Interface and Integration	Interoperability	Data Format / Classification	5.3.5	19, 20, 21, 22, 23, 24, 25, 26, 35, 36, 37, 38, 39, 52
Service Interface and Integration	Interoperability	Data Types / Validation	5.3.5	19, 20, 21, 22, 23, 24, 25, 26, 35, 36, 37, 38, 39, 52
Service Interface and Integration	Interoperability	Data Transformation	5.3.5	21, 39
Service Interface and Integration	Interface	Service Discovery	5.3.4, 5.3.6	All

5.0 Appendix A: Acronyms

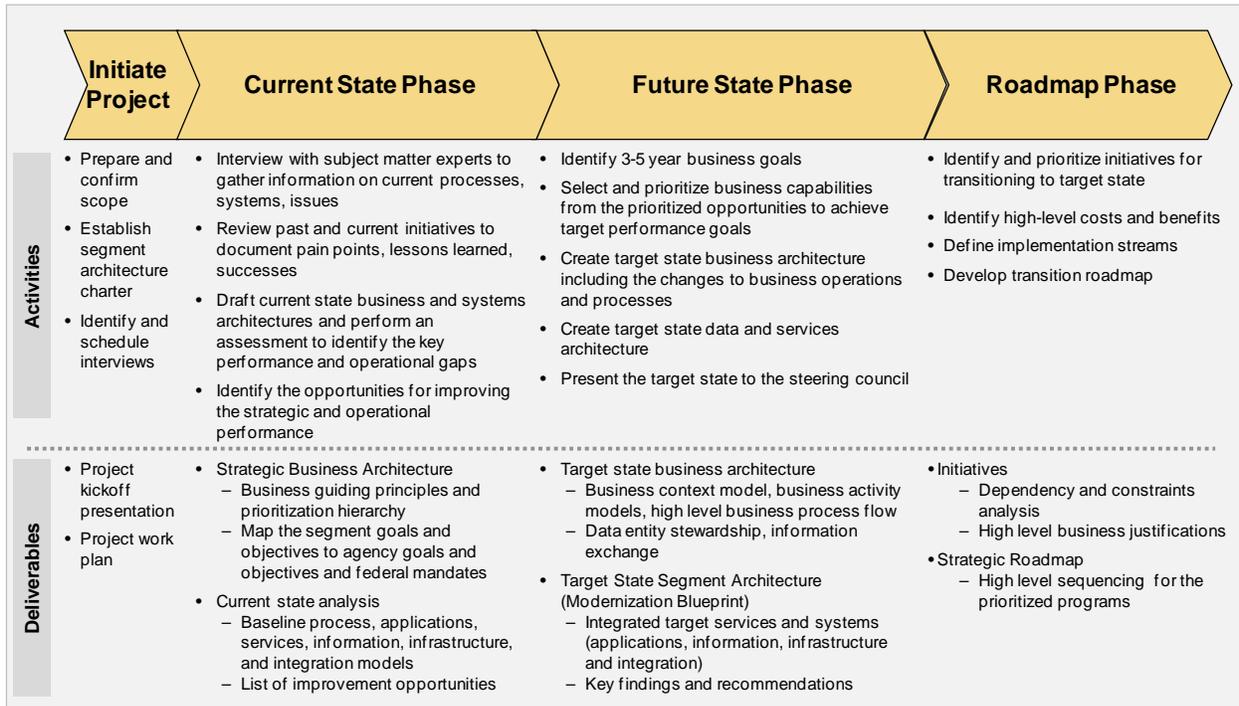
TABLE 10: ACRONYMS

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

6.0 Appendix B: Stages of Segment Architecture Process

The HCM segment architecture is being defined through a three-step methodology based on OMB's Segment Architecture guidance. First, the current state business and technology architecture are documented, based on stakeholder input and documented program processes, organization, and technology. The current state assessment forms the basis for the future or desired state. The future state is also influenced by internal and external business drivers. Finally, a transition roadmap is developed, enumerating a set of initiatives to close the gap between current and future states and guiding stakeholders through the transition.

FIGURE 8: SEGMENT ARCHITECTURE PROCESS



6.1 Segment Architecture Overview

A segment architecture provides a business-driven, results-oriented blueprint of a manageable portion of an enterprise. While the scope of an Enterprise Architecture focuses on aligning the Agency resources with the Agency's mission and strategic goals, a segment architecture focuses on a particular mission area or business service within the Agency.

This segment architecture endeavor is a collaborative process between those that perform HCM functions, the SBA program offices, and the OCIO. It provides the critical bridge between the SBA's strategic vision and medium-term business and IT plans. The future state architecture was derived from analysis of the current state and strategic planning expertise from OHCM staff members.

The future state architecture links business needs to strategic decisions on HCM direction. The FEA reference framework uses business functions to drive strategy and investments, based on SBA's mission, vision and goals. Business needs can therefore be traced from measurable goals to the HCM lifecycle, which then supports SBA's Agency-wide goals.

All HCM analysis may be affected by the release of the FEA Performance Reference Model (PRM), which will provide specific measurements for HCM functions. However, given that HCM does not yet have a PRM, SBA's HCM future state will rely heavily on existing performance measures as well as those derived from the Business Reference Model and other HR laws and regulations such Chapter 5 of Code of Federal Regulations (5 CFR), section 250.

6.1.1 Use of Segment Architecture

The segment architecture will be the "blueprint" for investment and implementation of information technology that will support the target state of HCM business operations. The methodology facilitates informed decisions about the nature and dependencies between the future-state themes uncovered during the research. The information derived throughout the process supports selection of business and information management solutions that will assist in the achievement of target performance goals.

6.1.2 Ownership

The segment architecture is owned, maintained, and used by OHCM, OCIO, the HCM staff in ODA and OIG, as well as the stakeholders of the segment, with contributions from EA program staff members. The segment architecture blueprint may evolve over time to reflect changing internal and external factors.

7.0 Appendix C: HCM Organization

The functions of human capital management, “all activities associated with the recruitment and management of personnel,” are performed by three HR Offices within SBA. OHCM manages human capital for most of the agency, with the exceptions of ODA and some aspects of personnel functions for OIG. Office of Personnel Management (OPM) delegated authority resides with SBA’s Chief Human Capital Officer (CHCO).

ODA’s HR department performs functions to acquire, sustain and separate employees for that Office, while OIG manages its some activities for its own personnel but uses OHCM for most processing. ODA HR accommodates a staffing level that fluctuates widely in response to disasters; OIG has a steady staffing level of approximately 100 people.

8.0 Appendix D: Key Business Drivers for HCM

The critical business driver, reported by staff at all levels of OHCM, ODA and OIG, is the need for strategic HCM planning throughout the lifecycle. However, the basic tools to gather the data in support of a workable strategy are not deployed at SBA due to a lack of funding. Most processes utilize hard-copy paper documents with data entry performed by administrative staff. The future must include resources to support the ability to develop strategic HCM plans.

8.1.1 Internal Drivers

- Administrator's Priority Initiatives: The SBA Administrator has several priority initiatives that have or will impact HCM, including the institutionalization of SBA University and a focus on individual learning through Individual Development Plans (IDPs).
- Workforce and culture: SBA's workforce has a fairly high tenure and a culture that is slow to adopt change. This affects SBA's ability to adapt to technological change, to develop a recruiting strategy, and prepare for the eventual retirement of that workforce and the knowledge that will leave the Agency.
- Increased emphasis on performance measures: Federal entities like OPM have increasingly recommended performance-based investments and OHCM will have to adapt its metrics to show the need for future investments.
- Delivery of personnel: ODA is particularly driven to deliver a large number of staff to specific areas in the US for disaster response.
- Need for self-service: All Offices performing HCM functions indicated that overwhelming paper processes, which affect performance times across the board, show a need for employees to manage their own time and attendance or health benefit changes.

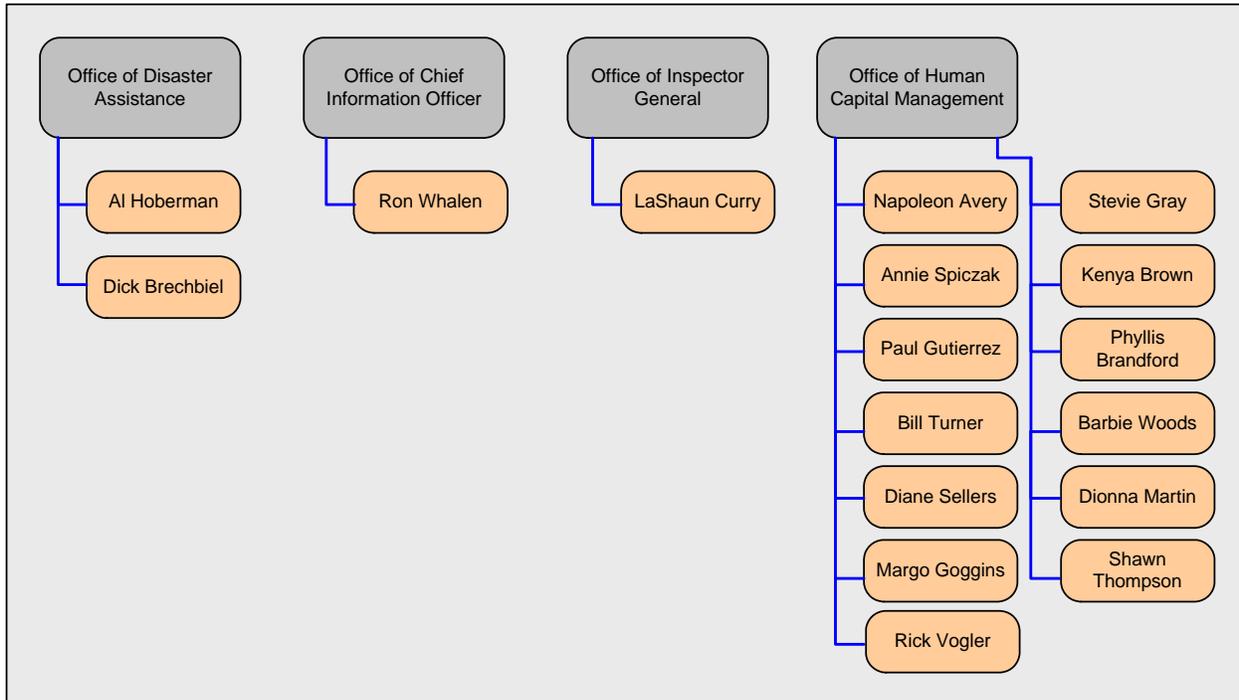
8.1.2 External Drivers

- E-Government: Many of the federal e-Gov initiatives are targeted at human resources functions and consolidating them across agencies. SBA's HCM functions have been and will be required to comply with or to use many e-Gov solutions.
- President's Management Agenda: the PMA has an explicit category for human capital management, with which SBA must be in compliance.
- OMB: OMB has mandated the use of EHRI tools and provides guidance, often during passback, for SBA to participate in EHRI initiatives.
- Federal law: Many HCM functions are governed by stringent federal law regarding all aspects of federal personnel.
- Bargaining unit contracts: Many SBA employees are bargaining unit employees.
- Office of Personnel Management (OPM) regulations: OPM regulates many HCM functions.

9.0 Appendix E: Stakeholder Input

Key individuals from the OHCM, internal SBA program offices, and relevant OCIO staff provided information on the existing business environment, processes, technology and opportunities for improvement.

FIGURE 9: STAKEHOLDER INTERVIEW LIST



10.0 Appendix F: SBA Goals and Directives

SPACING PROBLEM ABOVE

The following table outlines SBA goals and long term objectives as specified in the SBA Strategic Plan FY 2008-2013.

TABLE 11: SBA GOALS AND LONG TERM OBJECTIVES (2008 – 2013)

Goal	Long Term Objective
1. Expand America's ownership society, particularly in underserved markets	1.1 Improve access to SBA programs and services by small businesses to drive business formation, job growth, and economic activity
	1.2 Support entrepreneurship in markets with higher poverty and unemployment, and in our military community
	1.3 Ensure stewardship and accountability over taxpayer dollars through prudent financial portfolio management and oversight
2. Provide timely financial assistance to homeowners, renters, nonprofit organizations and businesses affected by disaster	2.1 Respond quickly, efficiently and effectively to disaster applicants
3. Improve the economic environment for small business	3.1 Protect, strengthen and effectively represent the Nation's small businesses to minimize the regulatory burden
	3.2 Foster a more small-business friendly environment
4. Ensure management and organizational excellence to increase responsiveness to customers, streamline processes, and improve compliance and controls	4.1 Deploy a skilled workforce capable of executing high quality programs
	4.2 Provide a safe and secure information system environment to support business decisions and Agency operations
	4.3 Provide financial and performance management services to support efficient and effective program delivery

Government-wide directives, in addition to civil laws outlined in 5 CFR affect Federal HCM including:

Enterprise Human Resources Integration (EHRI) mandates, one of the E-Government Initiatives of the Presidential Management Agenda (PMA), which calls for enterprise-wide HCM solutions;

Human Resources Line of Business (HRLOB), another part of the PMA, which transforms HCM functions from agency-specific to shared services;

Federal Occupational Series, maintained by OPM, that outline particular skills or competencies required for specific roles, like the "Economist" series or the "HR Specialist" series.

11.0 Appendix G: List of Opportunities

Opportunities for improvement were uncovered through stakeholder interviews and group discussion. They have been logically grouped into categories, which became the improvement themes. Each opportunity was also rated on business need and difficulty by program stakeholders. A business need rating of 1 indicates highest priority; the larger the rating, the less important it is to the organization. A difficulty rating of 1 indicates straightforward implementation; the higher the difficulty rating, the greater the complexity and cost to implement.

TABLE 12: OPPORTUNITY MAPPINGS

#	Opportunity	Initiative Mapping	Performance Metric Mapping
1	Automate personnel actions throughout the employee HR lifecycle	Workforce Planning, Self-Service Portal, PAR	1.2.2, 1.3.1, 1.3.3, 1.3.4, 1.6.4
2	Automate timecard workflow	T&A, Self-Service Portal, PAR	1.3.1, 1.3.3
3	Automate error-checking and timecard validation	T&A, Self-Service Portal, PAR	1.3.1, 1.3.3, 1.3.4
4	Automate data collection including login information generation for the clearance process	e-Clearance	1.6.2
5	Provide for Employee Self-service, including the ODA reserve force	Self-Service Portal, PAR	1.3.3
6	Create points of interface between systems as possible and necessary and educate users on data sharing	Data Management	1.3.3, 1.3.4, 1.6.2, 1.6.3, 1.6.4
7	Automate submission and management of safety incident reports	WCCM/SIRS, Self-Service Portal, PAR	1.3.2, 1.3.3
8	Automate SBA employees submission and tracking of workers' comp claims.	WCCM/SIRS, Self-Service Portal, PAR	1.3.2, 1.3.3
9	Automate SBA's reporting and management of workers' comp claims	WCCM/SIRS, Self-Service Portal, PAR	1.3.2, 1.3.3
10	Automate submission of claims to DOL	WCCM/SIRS	1.3.2, 1.3.3
11	Introduce an automated performance management system to create accountability in employee performance	Performance Management, Self-Service Portal, PAR	1.2.2, 1.3.3, 1.5.1, 1.6.2, 1.6.3, 1.6.4

#	Opportunity	Initiative Mapping	Performance Metric Mapping
12	Implement mandated e-Gov initiatives		
13	Encrypt e-mail as necessary to transmit PII		
14	Track ER grievances throughout lifecycle	Labor Relations Management, Self-Service Portal, PAR	1.3.3, 1.6.4, 2.2.2
15	Track mandated training courses	Learning Management, Self-Service Portal, PAR	1.2.2, 1.3.3
16	Expand RM (part of DCMS) to include workflow management		
17	Provide education for employees on proper completion of timecards	T&A	1.2.1, 1.2.3, 1.3.3
18	Introduce e-Learning as a user-friendly, error-free, and cost- and time-effective one-stop shop to high quality courses for SBA employees	Learning Management, Self-Service Portal, PAR	1.2.1, 1.2.2, 1.2.3, 1.3.3, 1.6.3
19	The ability to utilize existing process and technology components within the Federal domain to offer relevant online courses that have already been developed	Learning Management, Self-Service Portal	1.2.1, 1.2.2, 1.2.3, 1.3.3, 1.6.3
20	The ability to train SBA personnel on the usage and benefits of the automated E-Clearance processes	e-Clearance	1.2.1, 1.2.2, 1.2.3, 1.3.3, 1.6.3
21	The ability to inculcate a performance-driven culture at the SBA while tying in employee and agency goals	Performance Management	1.2.2, 1.3.3, 1.5.1, 1.6.2, 1.6.3, 1.6.4
22	Enable employees to develop competency development plans and managers to identify skills gaps that need to be addressed	Learning Management, Self-Service Portal	1.1.1, 1.1.2, 1.2.2, 1.2.3, 4.1.1
23	Create trend data to monitor the employees' competencies and performances throughout their careers and establish reward targets	Workforce Planning, Performance Management, Learning Management	1.2.2, 1.3.3, 1.5.1, 1.6.2, 1.6.3, 1.6.4
24	The ability to train supervisors and employees at SBA to create career objectives and IDPs	Learning Management, Self-Service Portal	1.1.1, 1.1.2, 1.2.3, 4.1.1

#	Opportunity	Initiative Mapping	Performance Metric Mapping
25	Increase emphasis development of team skills	Learning Management	1.2.3
26	Expand SBA U, eventually to virtual campus	Learning Management	1.2.1, 1.2.3,
27	Need to link employee goals to organizational goals	Performance Management	1.2.2, 1.5.1, 1.6.3
28	Reduce processing time for all OHCM processes	Data Management	1.3.3, 1.3.4
29	Reduce duplicate background checks	e-Clearance	
30	Align with private sector expectations for background checks	e-Clearance	
31	Decrease workload / FTE cost placed on Safety Office.	WCCM/SIRS	1.3.3, 1.3.4,
32	Embrace and integrate with eGov systems for personnel management	Learning Management, Workforce Planning, Performance Management, PAR	1.1.1, 1.1.2, 1.2.1, 1.2.2, 1.2.3, 1.3.1, 1.3.3, 1.3.4, 1.5.1, 1.6.2, 1.6.3, 1.6.4, 3.1.4, 4.1.1
33	Implement and maintain a centralized, master personnel data store	Data Management	1.3.4, 1.6.2, 1.6.3, 1.6.4, 3.1.4
34	Improve the security parameters of all HR systems		
35	Eliminate manual entry of data	PAR	
36	Eliminate one-off systems		
37	Move away from SSN as unique identifier on HCM systems	Data Management	
38	Improve project management within HCM and integrate it into a potentially independent PMO		
39	The ability to achieve EHRI performance targets of accurate investigation submissions	e-Clearance	
40	The ability to achieve agency goal of allowing all Federal agencies access to SBA's	e-Clearance	

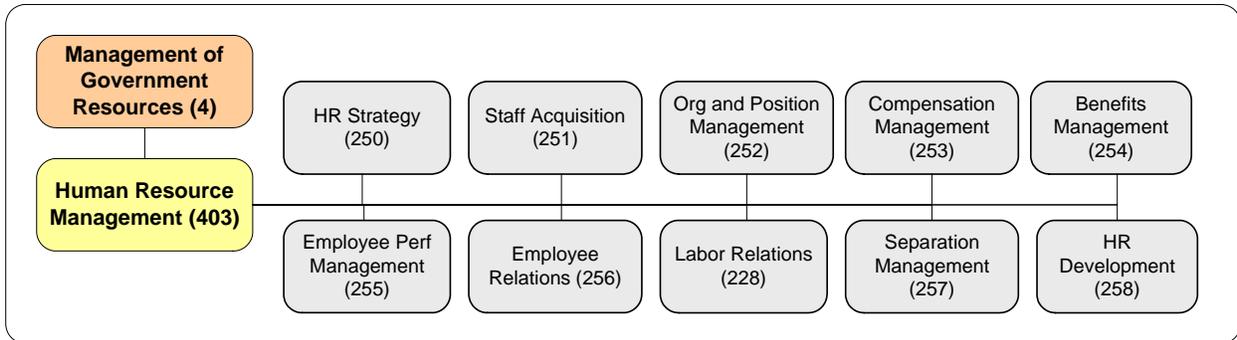
#	Opportunity	Initiative Mapping	Performance Metric Mapping
	investigations		
41	Minimize the risk of loss, destruction and breach of Federal employee information by moving away from the paper-based records	e-OPF, PAR	1.3.1, 1.3.3, 1.3.4, 1.6.2, 1.6.3, 1.6.4, 3.1.4
42	Use historical (from the past 30 years) and trend (promotions, retirements, etc.) data to predict future workforce at the SBA and consequently plan its strategic budgetary, recruiting and training requirements based on the insight gained	e-OPF, Workforce Planning, Data Management, PAR	1.1.1, 1.1.2, 1.2.1, 1.2.2, 1.2.3, 1.3.3, 1.3.4, 1.5.1, 1.6.2, 1.6.3, 1.6.4, 3.1.4
43	The ability to conduct analysis of current workforce information, create required reports and implement strategic human capital planning	Workforce Planning, Data Management, PAR	1.1.1, 1.1.2, 1.2.1, 1.2.2, 1.2.3, 1.3.3, 1.3.4, 1.5.1, 1.6.2, 1.6.3, 1.6.4, 3.1.4
44	Save \$2.5million/year on workers' compensation claims	WCCM/SIRS	1.3.2
45	Access to real-time safety and health data and allow analytic capabilities to introduce policies that help diminish work related injuries	WCCM/SIRS, Self-Service Portal	1.3.2, 1.3.3
46	Introduce LR/ER system to maintain complete current and historic electronic records of employee and labor relations, and realize the value of the already invested \$70,000	Labor Relations Management	1.3.3, 1.4.1, 1.4.2, 2.2.2
47	Develop a recruiting/staffing strategy		
48	Develop accountability culture at SBA		
49	Evaluate the HCM staffing levels in context of implemented systems	Application Rationalization, Workforce Planning	1.1.1, 1.1.2
50	Improve morale		

#	Opportunity	Initiative Mapping	Performance Metric Mapping
51	Establish HR-related systems as a priority within the organization		
52	Develop HR policies that support SBA mission		
53	Develop results-based performance mgmt systems	Performance Management	1.3.3, 1.5.1
54	Enable tracking of status of benefits changes	Workforce Planning, Labor Relations Management, Self-Service Portal, PAR	1.3.3, 2.1.1, 2.1.2, 2.1.4, 2.2.2
55	Enhance capability to report and track claims that have been submitted to DOL.	WCCM/SIRS, Labor Relations Management	1.3.2, 1.3.3
56	Enable stakeholders at SBA to monitor ongoing workers' claims for potential fraud	WCCM/SIRS, Labor Relations Management	1.3.2, 1.3.3
57	The ability to efficiently report and transfer Federal employee history and benefits data within and between agencies	e-OPF, Data Management, PAR	1.1.1, 1.1.2, 1.2.1, 1.2.2, 1.2.3, 1.3.3, 1.3.4, 1.5.1, 1.6.2, 1.6.3, 1.6.4, 3.1.4
58	The ability to obtain relevant data automatically and develop and distribute electronic employee performance reports accurately and efficiently	Performance Management, Data Management, PAR	1.3.3, 1.5.1
59	The ability to efficiently create relevant OSHA reports for and minimize the risk of missing key submission dates	WCCM/SIRS	1.3.3, 1.3.4
60	The ability to create the necessary reports efficiently based on trend data and effectively gauge corrective measures for the future	Data Management, Workforce Planning, PAR	1.3.3, 1.3.4
61	Provide the ability to electronically access employee data by employees and/or managers	e-OPF, Workforce Planning, Self-Service Portal, PAR	1.3.3, 1.6.2, 1.6.3, 1.6.4
62	Provide agency-wide education on proper completion of forms	Learning Management	1.2.1, 1.2.3
63	Provide education on an agency-wide basis to train employees to use self-service	Learning Management, Self-Service Portal	1.2.1, 1.2.3
64	Provide education on proper benefits management record keeping	Learning Management	1.2.1, 1.2.3

#	Opportunity	Initiative Mapping	Performance Metric Mapping
65	Implement standardized IT systems, training	Learning Management, Self-Service Portal	1.2.1, 1.2.3, 1.3.3
66	Enhance the security of employee personnel files	e-OPF, Data Management	1.6.2, 1.6.3, 1.6.4
67	Enable and enforce IT's audit role within the agency		
68	Conduct audit of existing and proposed HCM systems for security certification Federal security guidelines		
69	Standardize HR data for employee actions and history	e-OPF, Data Management, PAR	1.6.2, 1.6.3, 1.6.4
70	Establish requirements for digital clearance information	e-Clearance	
71	Standardize HR data	e-OPF, Data Management, PAR	1.6.2, 1.6.3, 1.6.4
72	Standardize and centralize HR guidelines for form completion (i.e. personnel acquisitions)	Data Management	1.6.2, 1.6.3, 1.6.4

12.0 Appendix H: HCM-BRM Alignment

FIGURE 10: HCM - BRM ALIGNMENT



13.0 Appendix I: Documents Reviewed

1. SBA Strategic Plan FY 2008-2013
2. SBA IT Strategic Plan 2007-2011
3. Enterprise Architecture Blueprint v2.04
4. SBA Enterprise Architecture Transition Plan, February 2008
5. FEA Practice Guidance, November 2007
6. FEA Consolidated Reference Model Document Version 2.3
7. FEA Data Reference Model 2.0
8. HR LOB
9. www.SBA.gov

14.0 Appendix J: Current State

14.1 HCM Business Architecture

The business architecture defines SBA's top HCM business priorities, including the mission, goals, objectives and specific performance measures. Business architecture also explains the functional processes that an organization uses to perform its mission.

OHCM's role at SBA encompasses every aspect of Federal HR.

14.1.1 Mission, Goals and Long Term Objectives

OHCM's mission, goals, and objectives are derived from SBA's:

The mission of SBA is to maintain and strengthen the Nation's economy by enabling the establishment and viability of small businesses and by assisting in the economic recovery of communities after disasters.

However, the Agency's overall goals frame additional goals for HCM functions. The 2008 SBA Strategic Plan outlines the Agency's core values and four broad goals. In general, HCM goals are most closely aligned with SBA Goal 4, Objective 1.

TABLE 13: RELEVANT SBA GOALS AND OBJECTIVES

Goal #	Goal	LTO #	Long Term Objective
4	Ensure management and organizational excellence to increase responsiveness to customers, streamline processes, and improve compliance and controls	4.1	Deploy a skilled workforce capable of executing high-quality programs
		4.3	Provide financial and performance management services to support efficient and effective program delivery

A full listing of SBA goals is in Appendix C.

OHCM's mission is:

"The Office of HCM partners with SBA leaders to develop strategic solutions to human capital issues and create a work environment that attracts and retains the talented and high performance workforce SBA needs to accomplish its mission."

Table 14 highlights the HCM long term objectives that support SBA's goal to deploy a skilled workforce capable of executing high-quality programs.

TABLE 14: HCM GOALS AND OBJECTIVES

Goal	HCM Goal	HCM Long Term Objective	SBA LTO#
1	Deploy a skilled workforce capable of executing high-quality programs	1.1 Refine the number of identified mission-critical occupations and competencies through a more rigid, systematic workforce planning process.	4.1
		1.2 Invest in employee, manager, and leadership training and development programs as a part of the strategic imperative.	4.1
		1.3 Use enabling technology to reinvigorate training and development programs when it maximizes value and minimizes performance risk.	4.1
		1.4 Capture and make available the wealth of expertise and experience of the current workforce to aid in developing the next generation of managers and technicians	4.1
		1.5 Align human capital plans, strategies and systems to achieve organizational effectiveness and mission accomplishments	4.1
		1.6 Fully integrate the performance management system to create strategic alignment of the Agency mission and employee responsibility. Focus on creating a results oriented performance culture through the Agency.	4.3
		1.7 The SBA will maintain a rating of Yellow for competitive sourcing on the PMA.	4.1

14.1.2 Performance Measurement

The Outcome Measures in the Performance Budget provide the performance goals that SBA will measure itself against in FY 2009 and 2010. The FEA Performance Reference Model has not yet been published for human capital management. OHCM measures its own performance on an internal scorecard.

Some OHCM performance measures can be linked to some measurement categories, as shown in Table 15. Neither OIG nor ODA have independent HCM measures.

TABLE 15: OHCM PERFORMANCE MEASURES

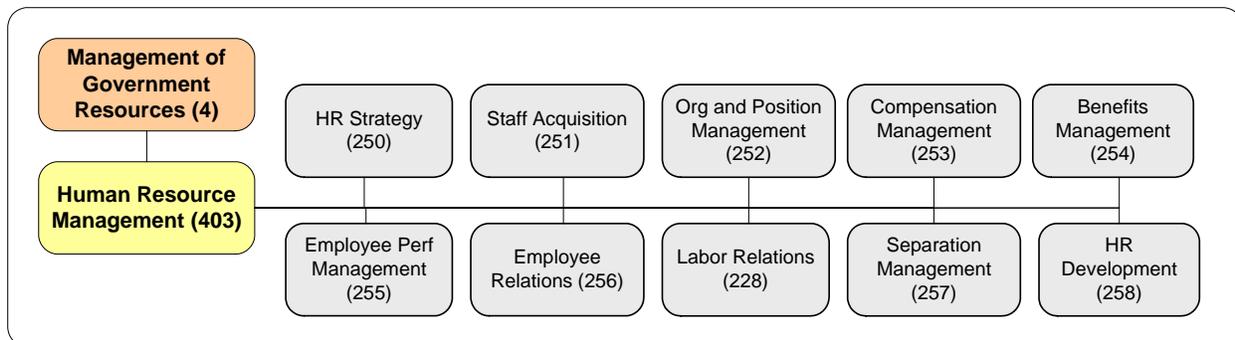
Measurement Indicator	Source	Measurement Area	Measurement Category	Measurement Grouping	Corresponding SBA Objective
4.1 Deploy a skilled workforce capable of executing high-quality programs	SBA Strategic Plan	Management of Government Resources	Human Resources Management	HR Strategy	Deploy a skilled workforce capable of executing high-quality programs
SBA U available to a percentage of Headquarters staff	M&A Scorecard	Management of Government Resources	Human Resources Management	Employee Performance Management	Deploy a skilled workforce capable of executing high-quality program
Design long-term plan for SBA U	M&A Scorecard	Management of Government Resources	Human Resources Management	Employee Performance Management	Deploy a skilled workforce capable of executing high-quality program
Completion of Individual Development Plans	M&A Scorecard	Management of Government Resources	Human Resources Management	Employee Performance Management	Deploy a skilled workforce capable of executing high-quality program
Complete 360 Leadership Assessments	M&A Scorecard	Management of Government Resources	Human Resources Management	Employee Performance Management	Deploy a skilled workforce capable of executing high-quality program
Performance Management: GoalOwner	M&A Scorecard	Management of Government Resources	Human Resources Management	Employee Performance Management	Deploy a skilled workforce capable of executing high-quality program
SES Candidate Program	M&A Scorecard	Management of Government Resources	Human Resources Management	Employee Performance Management	Deploy a skilled workforce capable of executing high-quality

Measurement Indicator	Source	Measurement Area	Measurement Category	Measurement Grouping	Corresponding SBA Objective
					program
LEAD Training for Supervisors	M&A Scorecard	Management of Government Resources	Human Resources Management	Employee Performance Management	Deploy a skilled workforce capable of executing high-quality program
Annual SBA Human Capital Survey	M&A Scorecard	Management of Government Resources	Human Resources Management	Separation Management	Deploy a skilled workforce capable of executing high-quality program
Mid-level Development Program	M&A Scorecard	Management of Government Resources	Human Resources Management	Employee Performance Management	Deploy a skilled workforce capable of executing high-quality program

14.1.3 Business Reference Model

The Business Reference Model (BRM), as outlined by OMB, shows how a segment functions on a day-to-day basis. The HCM model shows human capital operations using a “functionally-driven approach” to analyze the HCM lifecycle. The HCM BRM is shown in Figure 1.

FIGURE 11: HCM BUSINESS REFERENCE MODEL



These components form the BRM for SBA’s HCM, including the operations of the OHCM as well as those of ODA and OIG.

The BRM breaks HCM functions into

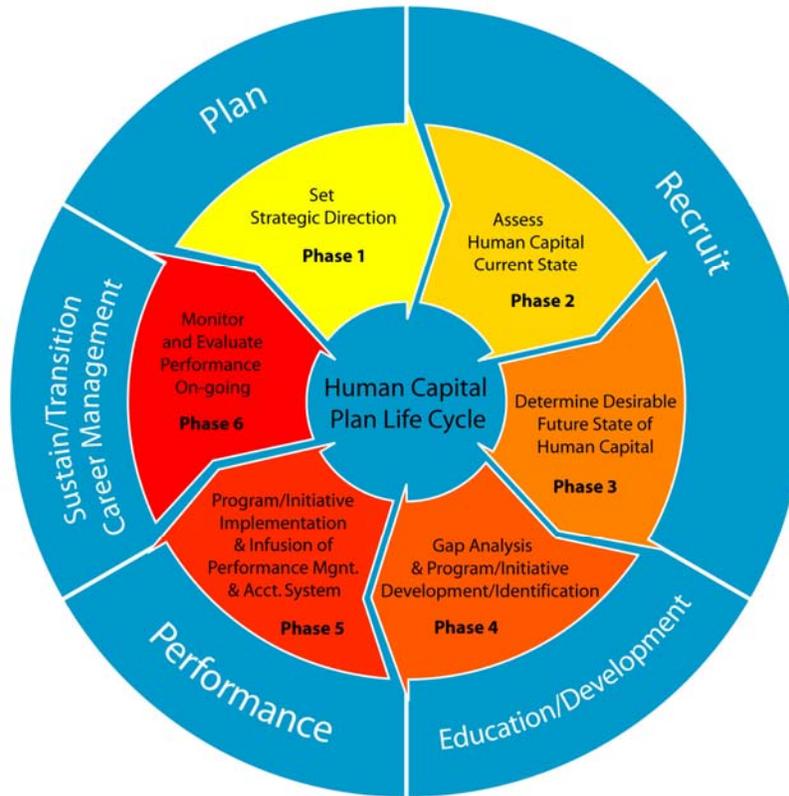
- **Labor Relations:** Manages the relationship between the Agency and its unions.

- **HR Strategy:** Develops effective human capital management strategies to ensure Federal organizations are able to recruit, select, develop, train, and manage a high-quality, productive workforce in accordance with Merit System Principles. Workforce planning is also a sub-function of HR strategy.
- **Staff Acquisition:** Establishes procedures for recruiting and selecting high-quality, productive employees with the right skills and competencies, in accordance with merit system principles.
- **Organization and Position Management:** Designs, develops, and implements organizational and position structures that create a high-performance, competency-driven framework that both advances the Agency mission and serves Agency human capital needs.
- **Compensation Management:** Designs, develops, and implements compensation programs that attract, retain and fairly compensate Agency employees. In addition, designs, develops, and implements pay for performance compensation programs to recognize and reward high performance, with both base pay increases and performance bonus payments.
- **Benefits Management:** Designs, develops, and implements benefit programs that attract, retain and support current and former Agency employees.
- **Employee Performance Management:** Designs, develops, and implements a comprehensive performance management approach to ensure Agency employees are demonstrating competencies required of their work assignments. Design, develop and implement a comprehensive performance management strategy that enables managers to make distinctions in performance and links individual performance to Agency goal and mission accomplishment.
- **Employee Relations:** Designs, develops, and implements programs that strive to maintain an effective employer-employee relationship that balance the Agency's needs against its employees' rights.
- **Separation Management:** Conducts efficient and effective employee separation programs that assist employees in transitioning to non-Federal employment; facilitates the removal of unproductive, non-performing employees; and assists employees in transitioning to retirement.
- **Human Resources Development:** Designs, develops, and implements a comprehensive employee development approach to ensure that Agency employees have the right competencies and skills for current and future work assignments. This sub-function includes conducting employee development needs assessments; designing employee development programs; administering and delivering employee development programs; and evaluating the overall effectiveness of the Agency's employee development approach.

14.1.4 Operational Model

HCM uses a lifecycle that has five major components as illustrated in Figure 12.

FIGURE 12: OHCM BUSINESS ARCHITECTURE



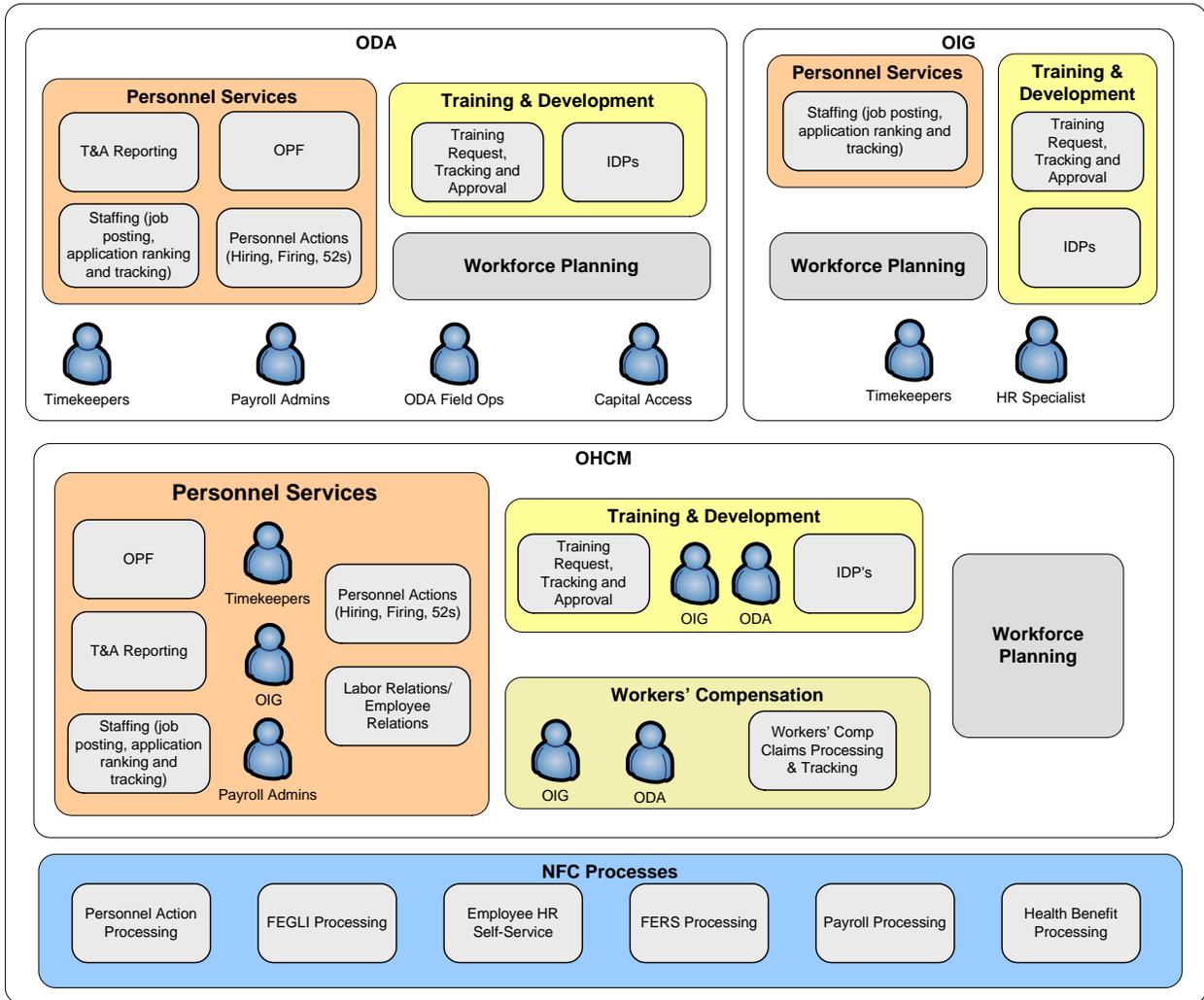
14.1.5 Functional Elements of the HCM Operational Model

HCM functions fall within the “Management of Government Resources” area as defined in the BRM. Management of Government Resources is further divided into several activities. The HR lifecycle also defines HCM’s activities. The relationship between the Management of Government Resources measurement areas and the HR lifecycle is mapped in Table 16, while a diagram of functional elements is shown in Figure 13.

TABLE 16: BRM AND HCM LIFECYCLE

BRM- Management of Government Resources	OHCM-Human Capital Lifecycle
HR Strategy	Plan
Organization and Position Management	
Employee Relations	
Labor Relations	
Staff Acquisition	Recruit
Compensation Management	Sustain/Transition/ Career Management
Benefits Management	
Separation Management	
Employee Performance Management	Education/Development & Performance
Human Resources Development	

FIGURE 13: HCM OPERATIONAL BUSINESS ARCHITECTURE



14.1.6 Plan Plan

Key Function	<ul style="list-style-type: none"> • Develop HR Strategy • Determine staffing levels and position requirements • Determine systems necessary to support SBA HCM • Establish budget requirements for staff and systems • Determine labor-management relations
Participants	OHCM, ODA, OIG
Input	Federal law, organized labor contracts, staffing requirements, budget documents
Output	Organizational effectiveness, based on strategic deployment of staff, business processes and solutions throughout the Agency marked by: <ol style="list-style-type: none"> 1. Appropriate, diverse staffing levels 2. Highly effective workforce 3. Dynamic technology tools for HR processes

Recruit

Key Function	Attract and acquire appropriate and diverse staff
Participants	SBA Hiring Officials (managers, directors, etc.), OHCM, ODA, OIG, USAjobs.com (OPM)
Input	Authorized ceiling, position descriptions, SF 52
Output	<ol style="list-style-type: none"> 4. Complete staff complement 5. Flexible staffing in response to disasters (ODA only) 6. Interact with USAJobs.com 7. Determine clearance needs

Education/Development

Key Function	Training for all SBA employees
Participants	OHCM, ODA, OIG, SBA employees and managers
Input	Budget allocations, training requests
Output	<ol style="list-style-type: none"> 8. Complete IDP for each employee 9. IDP approval, tracking and management 10. Fully trained, highly-effective employees

Performance

Key Function	Define and track performance measures for all employees Provide accountability for all employees
Participants	OHCM, ODA, OIG, SBA employees and managers
Input	Federal law, position descriptions, mission-critical operations position analysis
Output	11. Specific performance measures linked to responsibilities with supervisory involvement

Sustain/Transition/Career Management

Key Function	Manage all payroll and personnel actions
Participants	OHCM, ODA, OIG, SBA employees and managers
Input	Federal law, SF 52s
Output	12. Personnel actions (benefits changes, promotions, pay changes, etc.) 13. Payroll processing 14. Workers' Compensation claims and tracking 15. Clearance management

14.1.7 HCM Current Investments

OHCM has invested in several initiatives, as described in the FY 2009 Exhibit 53s, that affect ODA and OIG. ODA does not have any specific investment planned for HCM functions, although DCMS funding may be applied to the RM module.

TABLE 17: HCM CURRENT INVESTMENTS

Funded Initiative	Description	Objectives	Status
e-Gov/e-Training	Contribution to OPM (Managing Partner) to e-Training	Provide high-quality learning environment for SBA Employees	Ongoing contribution; OPM has given OHCM a no-cost "wrapper" to help track training records.
e-OPF	Contributions to OPM for e-OPF	Digitize OPFs for entire Agency	Full compliance expected FY 2008
e-Recruitment	Contribution for Recruitment One-Stop	Support for and access to USAJobs.com	Ongoing contribution
e-Clearance	Contribution for expanding SBA's clearance processes to include e-QIP	Increase data sharing and clearance process by implementing a government-wide clearance system.	Ongoing contribution; full compliance expected FY 2008
GoalOwner	System to support performance management	Improve training throughout Agency by improving management of training materials	Initial modules deployed in April 2008, additional modules to follow
Workforce Planning	Analytical and systemic process for measuring and comparing current workforce with future needs	Build the relevant skills and capacity needed for organizational success	Initial implementation FY 2008

14.1.8 Business Architecture Key Observations

The human capital management functions at SBA are challenged by several issues that will need to be addressed over the next several years. The reliance on manual or paper processes is the single most important challenge to HCM, and many of the key findings are related to that source.

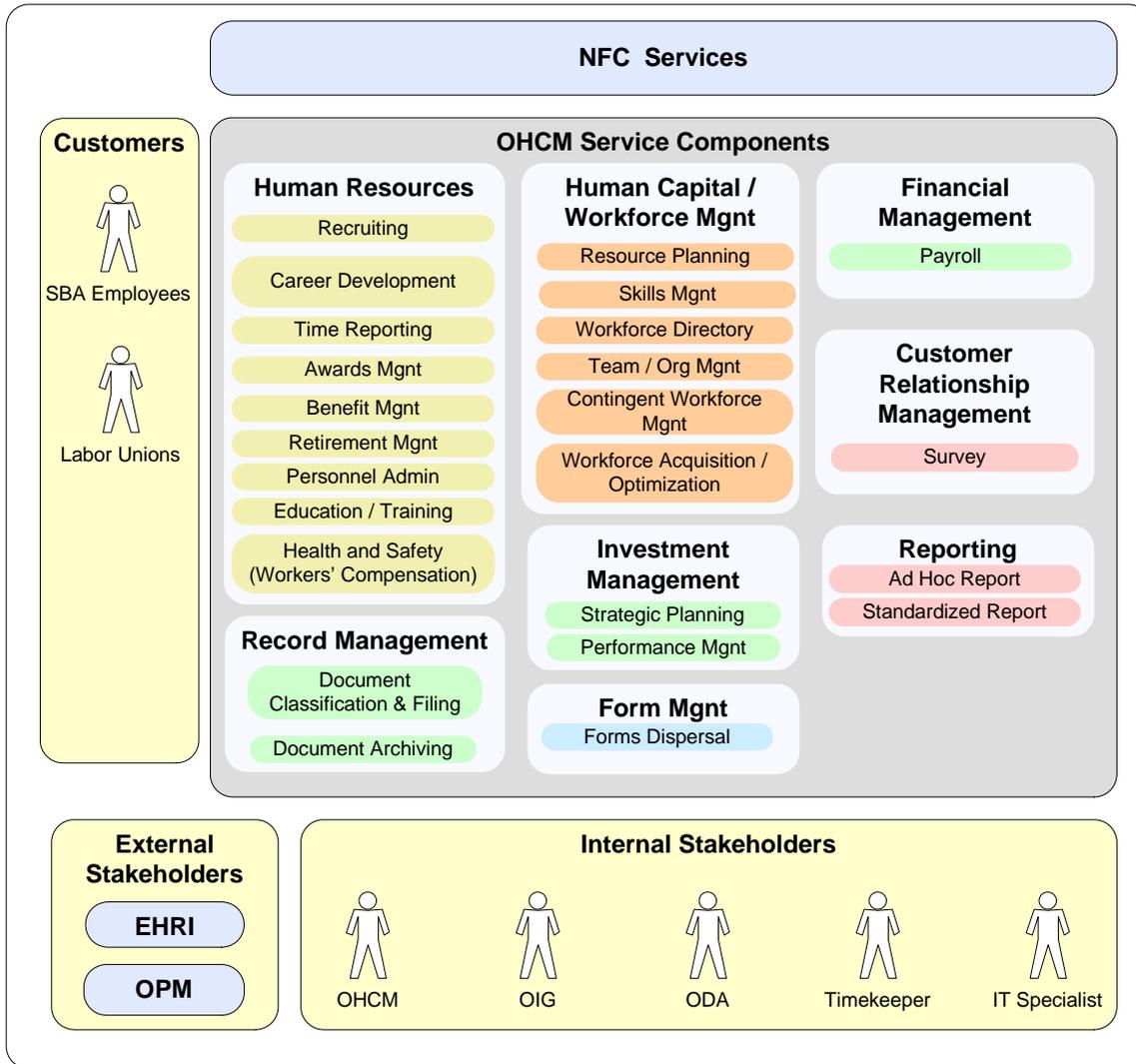
1. Manual Entry: HCM staff often have to transfer data from paper to systems, or from system to system by hand. The results of this include:
 - Increase in errors and/or data inconsistency
 - Increase in processing time
 - Inefficiency
 - Redundant work/data entry (e.g. leave data reconciliation)
2. Limited Data Interchange: most communication and processing is done via paper forms
As a result, HCM has:
 - Increased processing time and expense
 - Multiple handoffs for single functions (e.g. time entry)
 - Difficulty storing and accessing data. Access to key data is limited, which limits cross-functional collaboration and data integration.
 - Minimal visibility into current status or performance metrics
3. Unclear Performance Metrics: Though it does have a scorecard, HCM does not have automated measurable performance metrics with targets. The capability to measure drives attention and the ability to improve. This is compounded by the difficulty generating and accessing data that would provide key metrics.
4. Accountability: SBA is challenged a lack of accountability for HR/HCM functions among program and line managers. Many managers do not understand and have inadequate training in their HR responsibilities.
5. Inadequate Funding: As a support services function, rather than a business operations function, HCM must continually fight for adequate funding and executive support, and has suffered from a historical lack of investment or support required to modernize.

14.2 HCM System Architecture

14.2.1 Current State Service Component Architecture

The HCM logical architecture describes the high level application components that comprise the HCM organizations' application environment. It provides a platform and technology independent visualization of business and application services that make up the solution. The logical architecture is described by the interaction of customers and the SBA's HCM function using a service component model. Service components are aligned to the FEA Service Component Reference Model (SRM), which denote specific service domains. A major purpose of performing this alignment is to help identify components for reuse and to inform future architecture efforts at the SBA. See Figure 14.

FIGURE 14: HCM SERVICE COMPONENT ARCHITECTURE



14.2.1.1 Service Components

Various services exist that can all be potentially leveraged across the enterprise. Today, the advantages of reuse throughout SBA are not being realized. The mapping of Service Components and the Business Functions they support (as described in Section 3.5.1) is provided in Table 18.

TABLE 18: MAPPING OF BUSINESS FUNCTIONS TO SERVICE COMPONENTS AND SRM ALIGNMENT

Service Domain	Service Type	Service Components	Business Services <small>(numbers correspond to lines in tables in Section 3.5.1)</small>
Back Office Services	Human Resources	Recruiting	1, 4, 5, 6
Back Office Services	Human Resources	Career Development and Retention	2, 8, 9, 10
Back Office Services	Human Resources	Time Reporting	13, 14
Back Office Services	Human Resources	Awards Management	13, 14
Back Office Services	Human Resources	Benefit Management	13
Back Office Services	Human Resources	Retirement Management	13
Back Office Services	Human Resources	Personnel Admin	8 - 16
Back Office Services	Human Resources	Education / Training	8, 9, 10, 13
Back Office Services	Human Resources	Health and Safety	15
Back Office Services	Human Capital / Workforce Management	Resource Planning	1 - 10
Back Office Services	Human Capital / Workforce Management	Skills Management	8, 9, 10, 11
Back Office Services	Human Capital / Workforce Management	Workforce Directory	3, 5
Back Office Services	Human Capital / Workforce Management	Team / Org Management	1, 2
Back Office Services	Human Capital / Workforce Management	Contingent Workforce Management (ODA)	3, 4, 5
Back Office	Human Capital /	Workforce Acquisition /	1, 2, 3, 4, 5, 6, 7

Service Domain	Service Type	Service Components	Business Services (numbers correspond to lines in tables in Section 3.5.1)
Services	Workforce Management	Optimization	
Back Office Services	Financial Management	Payroll	14
Business Management Services	Investment Management	Strategic Planning and Management	1, 2, 3, 4, 5
Business Management Services	Investment Management	Performance Management	1, 2, 11
Digital Asset Services	Records Management	Document Classification and Filing	8, 9, 10, 11, 13, 14, 15, 16
Digital Asset Services	Records Management	Document Archiving	8, 9, 10, 11, 13, 14, 15, 16
Support Services	Forms Management	Forms Dispersal	13 - 16
Customer Services	Customer Relationship Management	Survey	12
Business Analytical Services	Reporting	Standardized Report	1 - 16
Business Analytical Services	Reporting	Ad Hoc Report	1 - 16

14.2.2 HCM Application Inventory

The table below lists the current systems and/or manual processes in use by OHCM.

TABLE 19: HCM APPLICATION INVENTORY

Office	System	Description
OHCM	Paper/File storage based OPF	Paper-based process, not an automated system
	Paper/File storage based Time and Attendance	Not an automated system
	Paper/File storage based Staffing	Not an automated system
	Paper/File storage based Workers' Compensation	Not an automated system
	Paper/File storage based Clearance	Not an automated system
	Paper/File storage based Grievance Tracking	Excel, not an automated system
	Paper/File storage based Labor Relation	Excel, not an automated system
	Usajobs.gov	Web application for posting and managing internal job openings
	GoalOwner	Fully implemented at the end of FY 2008. It is a web-based system hosted externally by contractor
	Paper/File storage based training record, training history and IDPs	Not an automated system
ODA	Connect Direct	A non-web-based application provided by OPM to track training records.
	DCMS	RM function in DCMS provides staffing function for ODA to track its employees
OIG	Other tracking	ODA uses Excel, Word and Access to track data
	Training Request, Record and IDP	Access application. Will transition to GoalOwner system if the Agency goes that

Office	System	Description
		way

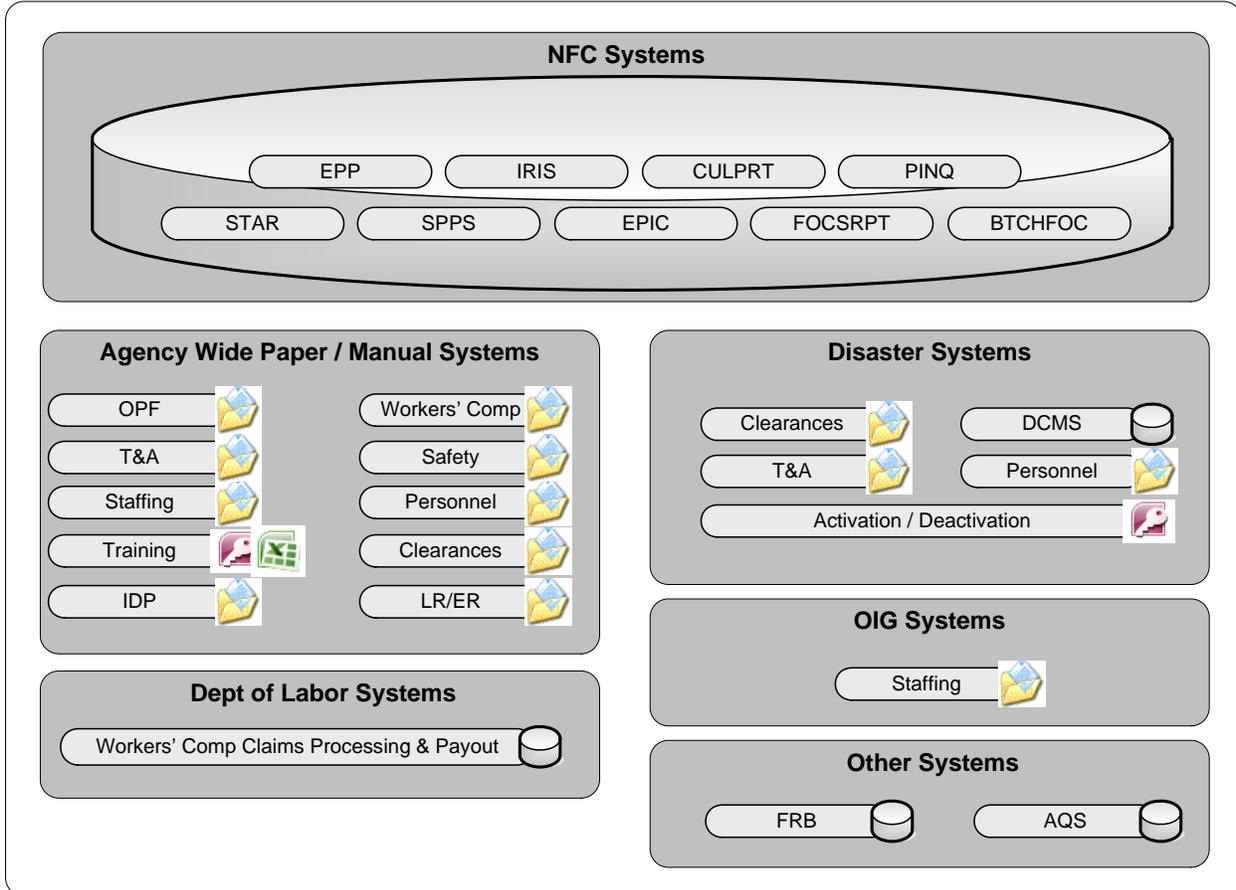
14.2.3 Key Observations

1. **Paper/Manual processes:** The majority of HR functions involve paper and file folders that move through workflow via manual processes. Automated workflow is almost non-existent due to lack of funding. Critical functions such as timekeeping and updating benefits information involve people filling out forms and carrying paper from one place to another. Even in cases where systems provide some e-capability, data is still entered manually, tracked by paper reports and corrected by paper form. The various processes are error-prone and FTE cost is high. The role of the Timekeepers and payroll administrative staff, for example, consists of manually entering data into NFC systems. Opportunities exist for streamlining existing processes, and in some cases simply making better utilization of existing electronic systems (such as STAR for timekeeping).
2. **Employee Self Service:** SBA employees tend to rely on a paper-based processes, rather than take advantage of available technology. This represents an area where great gains can be achieved in efficiency. For example, SBA employees do not currently make full use of the options provided by the NFC personnel self-service site. This issue highlights SBA's cultural resistance to using new technology.
3. **Technology:** Technology upgrades for HCM functions have traditionally not been supported by Agency executives, so the basic technology supporting HCM functions is out of date. Additionally, interactions with NFC are limited to a few people, and not well understood throughout the Office or even the Agency. OHCM has unlimited access to NFC data and only three people with the skills and access to run reports. Opportunities exist for full utilization of NFC's applications.

14.3 Current State Data Architecture

The current state data architecture describes the key informational entities in the HCM applications or processes. This architecture designates the general location of data stores and their relationships with applications utilized by SBA as illustrated in Figure 15.

FIGURE 15: HCM INFORMATION SOURCES



14.3.1 Key Observations

1. **Data stored as paper:** The majority of data is stored as paper in file folders as opposed to structured data in a relational database. This leads to the photocopying of records in order to distribute information internally, making the SBA vulnerable to breach of Personally Identifiable Information (PII). Opportunity exists to promote the use of proper database systems and the sun-setting of paper as the primary source of record (as allowed by law/regulation).
2. **Siloed and point solutions:** End-user computing solutions in Access and Excel for the storage and tracking and auditing of critical data opens the Agency to risk and prevents data sharing. Opportunity exists to migrate Access and Excel files to database systems and possibly to integrate the data.

3. Inability to perform data analysis: With data maintained mostly on paper, it is impossible to conduct trend analysis or data analytics on information not maintained through payroll or present in yearly reports. As such, it is difficult to forecast the future human capital needs or the likely impacts of policy changes.

14.4 Current State Technical Architecture

The technical architecture provides a view into the key software and hardware technologies that provide the infrastructure for the services described in the logical architecture.

Table 20 provides a mapping of the services and the supporting key technologies. Table 21 provides a map of the technical components with TRM. Figure 16 provides the HCM technical architecture.

TABLE 20: MAP OF SERVICE COMPONENTS (SRM) WITH THE TECHNOLOGY COMPONENTS

Service Components	Technology
Recruiting	Paper, USAJobs
Career Development and Retention	Paper
Time Reporting	Paper, STAR
Awards Management	Paper
Benefit Management	Paper, FRB, EPIC, EPP
Retirement Management	Paper, FRB, EPIC, EPP
Personnel Admin	Paper
Education / Training	Paper
Health and Safety (Workers'	Paper, Dept of Labor batch
Resource Planning	Paper
Skills Management	Paper
Workforce Directory	Paper
Team / Org Management	Paper
Contingent Workforce Management	Paper
Workforce Acquisition / Optimization	Paper, USAJobs
Payroll	Paper, SPPS, PINQ
Strategic Planning and Management	Paper
Performance Management	Paper
Document Classification and Filing	Paper
Document Archiving	Paper, Manual
Forms Dispersal	Paper, Manual
Survey	Paper
Standardized Report	Paper
Ad Hoc Report	Paper

FIGURE 16: HCM TECHNICAL ARCHITECTURE

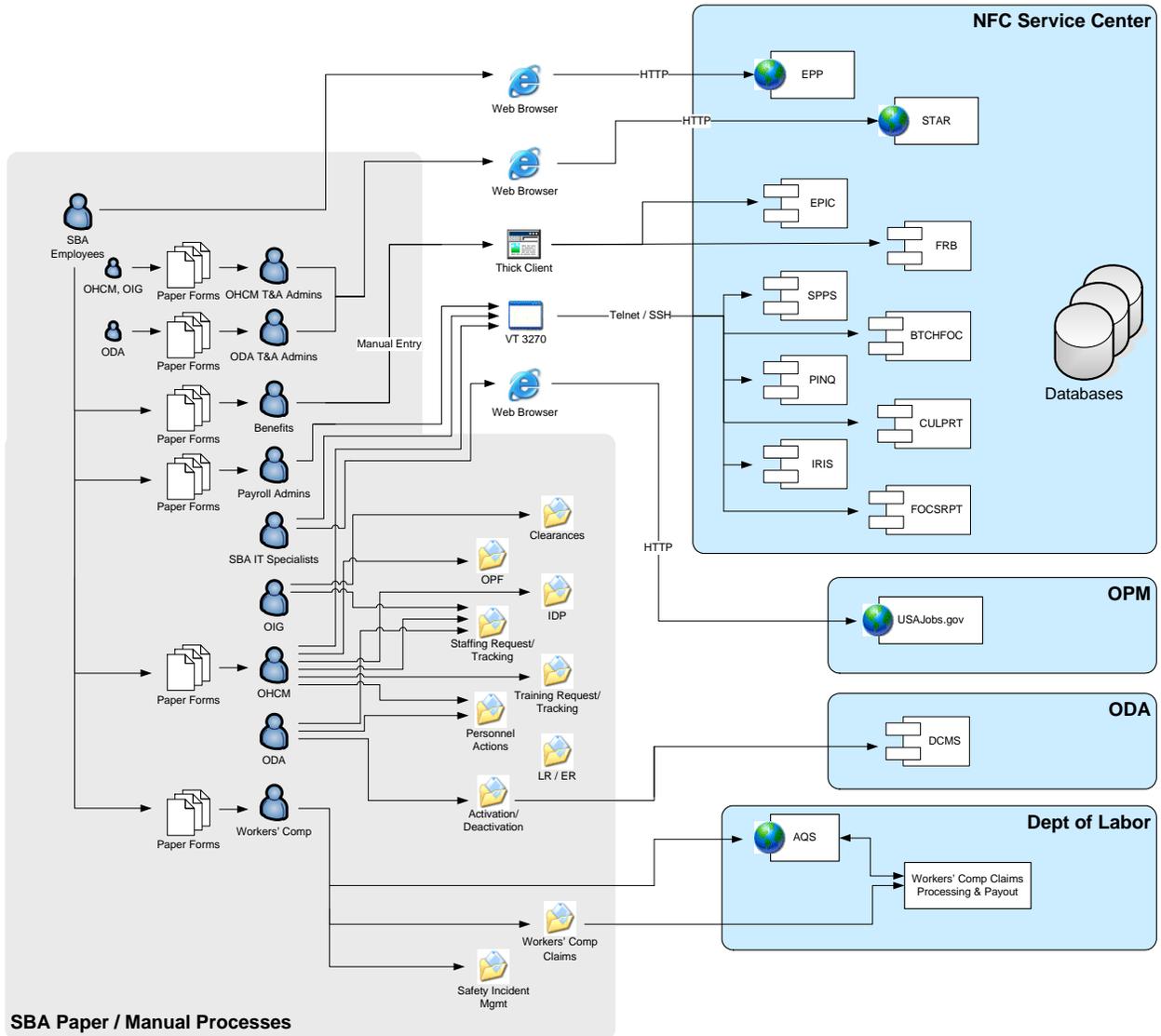


TABLE 21: MAP OF THE TECHNOLOGY COMPONENTS WITH THE TRM

Service Area	Service Category	Service Standards	Technology Used
Service Access & Delivery	Access Channels	Web Browser	IE
		Other Electronic Channels	VT3270, Thick Clients
	Delivery Channels	Extranet	
	Service Requirements	Hosting	NFC
	Service Transport	Service Transport	HTTP, Telnet, proprietary client-server
Service Platform and Infrastructure	Delivery Servers	Web Servers	Unknown at NFC
	Database / Storage	Database	Unknown at NFC
		Storage	Unknown at NFC, Paper at SBA
Component Framework	Data Management	Reporting and Analysis	FOCSRPT, PINQ, CULPRT, IRIS, STAR, Paper

14.4.1 Key Observations

1. Paper Forms: A large amount of paper manually managed is error-prone and requires high volume of FTE work hours. While the paper data is sometimes entered into electronic systems, the official source, as far as the Agency is concerned, typically remains the paper files.
2. NFC: With the majority of electronic systems residing at NFC, remote hosting of the critical applications requires remote access via older vt3270 and thick client systems.
3. Education: Opportunity exists to provide employee education and promote the use of EPP and other self-service systems to streamline processes and eliminate redundancies and errors.