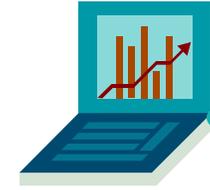


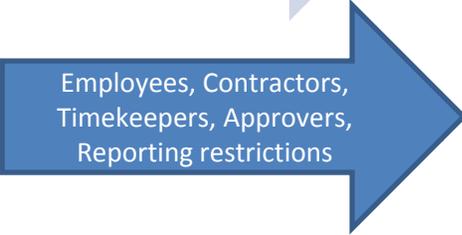
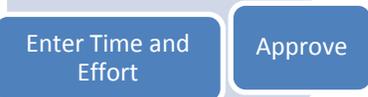
Operational Readiness
Walkthrough/Review of FTL
technology and business processes

Vicky White

3/11/09



1



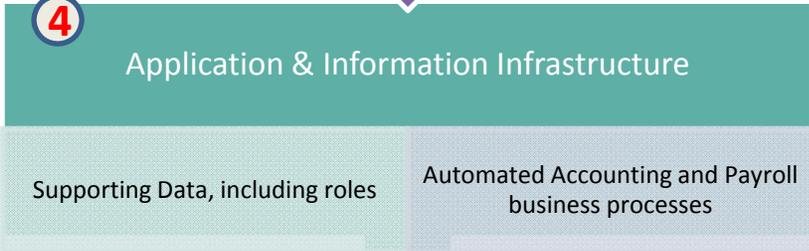
2



5



4



3



FTL



7

Cyber Security,
Disaster Recovery
and Business
Continuity Plans

Why hold an Operational Readiness Review?

- To uncover and put in perspective all the issues that need to be addressed for a successful rollout of FTL to the entire lab
 - The project is late and has run into several unexpected difficulties en route (some explainable by furloughs etc)
 - The project has never been reviewed by outsiders
- To have new eyes look at the whole system (as with any review process)
- To engage more people in understanding what CD, as an organization, is taking on and so is committed to make successful
- To assess the state of readiness of the divisions and see what else needs to be done to help them be ready for this rather major change in their time and effort reporting procedures.

For each functional area find out

- Are there adequate policies, procedures, trained staff and tools in place to accomplish the goals of the functional area?
- Are there well-identified owners for the various business processes?
- Will the system perform as intended?

Inputs

- Project documents (as needed)
- Current list of known risks and issues and their current levels, impacts and plans for dealing with them

Deliverables for each functional area (brief – not a tome)

- Findings i.e. Facts (overview description of functional area).
May include some or all of
 - How things are supposed to work
 - Policies and procedures
 - Flow charts for processes
 - Technical details - if useful to record
 - Service details (SLA, incident management process, etc.)
 - Roles, responsibilities
- Observations
- Recommendations (if any) categorized by
 - a. To be addressed before any division uses the system
 - b. To be addressed before go-live with non-exempts
 - c. To be addressed after all employees are using the system

Organization

- Small team for each functional area consisting of at most *
 - Team leader – not a member of FTL project
 - FTL project member
 - Technical expert
 - FTL Core team or FTL Management team member
 - Representative from a Division or Accounting (depending on the process area) if needed

* Some teams might need fewer people than this

Process

- Team meets to “walk through” the functional area and to explore the questions (~ 2-3 hours)
- Team asks for specific additional input from FTL project or divisions or payroll/accounting - as necessary
- Team meets again to digest all input and develop deliverables (< half day)
- All teams to be done with their reports by 3/25/09 (is this do-able?)

Review Teams

- I am asking Bill Boroski and Rich Karuhn, to set up the 7 teams and oversee the operational review process
 - The Cyber Security review team may be special
- Some people may be on more than one team
 - Teams meet at different times convenient to them and to those they might wish to bring in to talk to

Effort and Benefit

- Total FTE effort involved in this review is of the order of 4.5X6X7 (210) FTE hours - .037% of the division's hours worked for the year.
 - Compare this to effort expended on an external project review where we might send several people for a 3 day review
- Reviews **are helpful** and call out things that people very close to the system (especially those that have been involved for a long time) simply do not see
- Many more people in CD (including myself) will gain a better understanding of the FTL system. CD will be in a better position to take full responsibility as an organization for the operation of this vital service of the lab.

Functional Areas

1. End user Processes

- Process for designating and validating attributes in employee records
 - Timekeepers
 - Supervisors
 - Approvers
 - Etc.
- Process for defining which activities or task codes an employee is allowed to charge time
- Entering and approving timecards
 - Timekeepers, Supervisors and Timecard approvals roles and workflow
- Division/Section/Lab policies
- Ownership of business processes and procedures

Functional Areas

2. Financial Management Processes

- Reviewing employee effort and initiating corrections
 - Line management
 - Project managers or Activity owners
- Roles, responsibilities, and authorities for making effort corrections
 - Employees
 - Timekeepers
 - Approvers
 - Project managers
- Effort correction/reconciliation process
 - Proper reviews and controls in place?
 - Role of supervisors, financial managers, project managers?

Functional Areas

3. Technical Infrastructure

- Monitoring
- Server administration and patching
- Availability
- Incident management
- Database backups
- Firewall
- Role-based processes and privileges
- Etc.....

Functional Areas

4. Application and Information Infrastructure

- Procedures (human and automated) for maintaining and updated information
- Automated business procedures
- Maintenance of roles and access privileges
- And more?....

Functional Areas

5. User Access and User IT Infrastructure

- User interface for
 - Timecard, timekeeper, supervisor, timecard approver
- Reports and reporting interface and technology
- Browser support
- Kiosks?
- Vpn or terminal server desktop infrastructure
- Usability
- Passwords and password resets
- Incident management (BSS helpdesk or CD helpdesk?)
- Availability
- FAQs/Knowledgebase
- And more....

Functional Areas

6. Payroll and Accounting processes

- Reports
- Other user interfaces?
- QA and QC processes
- Manual processes
- Change request and feedback mechanisms
- Decision process for severity of bugs/fixes
- And more...

Functional Areas

7. Cyber Security, Disaster Recovery and Business Continuity plans
 - Cyber security controls and testing of controls
 - DR plan for FTL (if any)
 - Business continuity plan - to paper?
 - Other issues?