

DG DEVCO

Task Force for Knowledge, Performance and Results

Unit "Operational Information Systems"

Business Case

**OPSYS Project 2A: "Actions and Level 1 Commitments management"**

Date: 13/05/2016

Doc. Version: v06



*PM² Template v2.1.2 (Dec. 2013)*

**Document Control Information**

|  |  |
| --- | --- |
| **Settings** | **Value** |
| **Document Title:** | Business Case |
| **Project Title:** | OPSYS Project 2A: "Actions and Level 1 Commitments management" |
| **Document Author:** | Carmelo INFOSINO, Fabian VERHOEVEN |
| **Project Owner:** | Thierry MATHISSE |
| **Project Manager:** | Carmelo INFOSINO |
| **Doc. Version:** | v06 |
| **Sensitivity:** | Basic |
| **Date:** | 13/05/2016 |

**Document Approver(s) and Reviewer(s):**

NOTE: All Approvers are required. Records of each approver must be maintained. All Reviewers in the list are considered required unless explicitly listed as Optional.

|  |  |  |  |
| --- | --- | --- | --- |
| **Name** | **Role** | **Action** | **Date** |
| Denis THIEULIN |  | *Review* |  |
| Paul RIEMBAULT | OPSYS Programme Manager | *Review* |  |
| Thierry MATHISSE | Project owner | *Approve* |  |
| Fernando CENTURIONE | IT supplier | *Approve* |  |

**Document history:**

The Document Author is authorized to make the following types of changes to the document without requiring that the document be re-approved:

* Editorial, formatting, and spelling
* Clarification

To request a change to this document, contact the Document Author or Owner.

Changes to this document are summarized in the following table in reverse chronological order (latest version first).

|  |  |  |  |
| --- | --- | --- | --- |
| **Revision** | **Date** | **Created by** | **Short Description of Changes** |
| V0.5 | 13/05/2016 | Jan TEN BLOEMENDAL | General revision and update |
| V0.4 | 02/05/2015 | Denis THIEULIN | General revision and update |
| V0.3 | 24/04/2015 | Fabian VERHOEVEN | Consolidated Draft |
| V0.2 | 22/04/2015 | Carmelo INFOSINO | Costs and planning estimations added  Description of the technical solutions |
| V0.1 | 04/03/2015 | Fabian VERHOEVEN | First Draft |

**Configuration Management: Document Location**

The latest version of this controlled document is stored in *https://webgate.ec.europa.eu/CITnet/confluence/display/OPSYS/*

TABLE OF CONTENTS

1 Project Initiation Request Information 4

Glossary 5

2 Context 7

2.1 Situation Description and Urgency 7

2.2 Situation Impact 8

2.2.1 Impact on Processes and the Organization 8

2.2.2 Impact on Stakeholders and Users 9

2.3 Interrelations and Interdependencies 10

3 Expected Outcomes 11

4 Possible Alternatives 12

4.1 Alternative A: Do nothing 13

4.2 Alternative B: re-using of GMS (Grant Management System) from DG RTD 13

4.3 Alternative C: use of the DG NEAR MIS/Results solution 14

4.4 Alternative D : Develop “Opsys phase 1” on a Java Platform including re-use of MIS elements 14

5 Solution Description 16

5.1 Legal Basis 16

5.2 Benefits 17

5.3 Success Criteria 18

5.4 Scope 18

5.5 Solution impact 20

5.6 Deliverables 20

5.7 Assumptions 21

5.8 Constraints 21

5.9 Risks 22

5.10 Costs, Effort and Funding Source 23

5.11 Roadmap for Opsys project 2A 24

5.12 Synergies and Interdependencies 24

5.13 Enablers 25

6 Governance 26

6.1 Project Owner (PO) 26

6.2 Key business actors 26

Units in charge of the coordination of results management business processes are: 26

6.3 Solution Provider (SP) 26

6.4 Approving Authority 26

Appendix1: References and Related Documents 27

# Project Initiation Request Information

|  |  |  |  |
| --- | --- | --- | --- |
| **Project Title:** | *Action and Level 1 commitments management (Opsys phase 2A)* | | |
| **Initiator:** | *Thierry MATHISSE* | **DG / Unit:** | *DEVCO 05* |
| **Date of Request:** | *2016* | **Target Delivery Date:** | *December 2017* |
| **Type of Delivery:** | X **In-house** ☐Outsourced ☐Mix☐ Not-known | | |

# Glossary

|  |  |
| --- | --- |
| **ABAC** | **A**ccrual **B**ased **Ac**counting; Commission accounting system |
| **Action** | Group of coherent activities intended to achieve a defined policy objective. An Action also specifies expected results, methods of implementation, budget and indicative timetable, any associated support measures and performance monitoring arrangements. |
| **Annual Action Programme** | AAPs are Commission financing decisions adopted at the formaulation stage and required to fund one or more Actions. AAPs are composed of one or more Action Documents (ie documents which describe the objectives, justification, activities and implementation issues of an Action) |
| **(SAP) BPC** | Business Planning & Consolidation – application used by DG DEVCO to cover the financial forecasting process and data |
| **Budgetary commitment** | Operation by which the appropriation necessary to cover subsequent payments to honour legal commitments is reserved. |
| **CBA** | Cost Benefit Analysis |
| **CRIS** | Common Relex Information System, main information system used by DG DEVCO/DG NEAR/FPI |
| **DECIDE** | Portal of the Commission decision-making process covering the planning, inter service consultation and adoption steps and built on different applications |
| **DWH** | Data Ware House |
| **EDF** | European Development Fund |
| **EVAL** | EVAL is the DEVCO information system under developmentdesign to manage project, sector and country and strategic evaluations |
| **EUD** | EU Delegation |
| **FWC** | FrameWork Contract |
| **GIS** | Geolocalisation information system, used internally at DEVCO based on COMM/DIGIT standards |
| **HERMES** | is a technological platform which harmonises the Commission's various digital document and file management applications in acommon structure |
| **HQ** | Headquarters |
| **IATI** | International Aid Transparency Initiative |
| **Lead Programme** | Sum of Programmes and/or Projects. A set of projects put under the overall framework of a common objective. |
| **Legal Commitment** | A legal commitment is the act whereby the authorising officer enters into or establishes an obligation which results in a charge. |
| **Level 1 Commitment** | Budgetary commitment for which at least one of the elements necessary to identify the individual commitment (ie. 1. the beneficiary; 2. the amount of the expenditure) are not known. |
| **MIP** | Multi-annual Indicative Programme (programming document, as a proxy for National Indicative Programme, Regional Indicative Programme, Single Support Framework, Indicative Strategy Paper..) |
| **MIS** | DG NEAR’s Management Information System |
| **MoSCoW** | Methodology to prioritize needs (Must, Should, Could, Would):  Must: essential needs; the organization will face serious shortcomings without  Should: important needs however non-essential; the organization can cope without  Could: useful needs, would be an asset for the organization to have them  Would: nice to have needs, with or without will not make a difference |
| **PADOR** | Information system for applicants' registration for grants, used at DEVCO |
| **Pivot entity** | The two main central operational entities of the OpSys system: 1) project and 2) programme. The cycle of operation (programming; identification; formulation; implementation; evaluation and audit) is centred around these two entities. This also includes: monitoring; reporting; communication and knowledge management; Geographical Information System; Transparency and accountability. |
| **Project** | A series of activities aimed to achieve clearly specified objectives within a defined time-period and with a defined budget. |
| **Programme** | A series of activities aimed to achieve clearly specified objectives within a defined time-period and with a defined budget. A programme always sets up a clear line of responsibility internally and with the external partner. A programme might have a wide meaning and scope than a project : a) it might be a set of projects put under the overall framework of a common Overall Objective Goal; b) it might be an ongoing set of initiatives/services that support common objectives (eg primary health care programme) c) it might be a Sector Programme, which is defined by the responsible government's sector policy (ie health sector programmes). |
| **PROSPECT** | Information system for call for proposals management including their evaluation, used by DEVCO and NEAR |
| **PCM** | Project Cycle Management (key driver for business processes at DEVCO/NEAR/FPI) |
| **Operational Entity** | An Operational Entity is an object which represents a standard unit of work during a given phase of the cycle of operations. Operational entities differ from financial entities, with whom they are linked to, typically: the Commitment Level 1 and Level 2. |
| **QSG** | Quality Support Group |
| **REFDATA** | Reference data; information system providing common references for data shared by several information systems at DEVCO |
| **ROM** | Results Oriented Monitoring; ROM is the DEVCO information system for the management of external project reviews implemented under the DEVCO/NEAR ROM (technical assistance) system in support of regular internal monitoring by EUD/HQ operational services monitoring activities at DEVCOand NEAR |

# Context

## Situation Description and Urgency

Opsys is a programme aiming at (1) building a new information system addressing CRIS gaps and supporting DEVCO/NEAR/FPI core strategies, (2) making all information systems inter-operable (no-reencoding) and (3) helping improving/simplifying our business processes. Opsys is covering the CRIS ABAC rationalisation objectives and particularly the phase out of CRIS Decision and CRIS Contract. The financial part of CRIS (management of invoices and payments) already migrated to ABAC since the 18th of April 2016.

Opsys programme has been adopted by DEVCO (27/04/2015), NEAR (09/07/2015) and FPI (02/06/2015). Opsys is split into 6 core projects (see Opsys structure in annex).

“Actions and Level 1 Commitments management” is the first part (Project 2A) of the Project on Operational backbones of the OPSYS programme which will be a cross DGs programme serving the needs of DEVCO, NEAR, FPI and also of DG ECHO (B envelop of the European Development Fund) and SG (Task Force for the Turkish Cypriot Community), DEVCO being in the lead.

The Programme global vision has been presented to the IT Board on 17/09/2015 under the format of a general business case and phases 1 and 2A have received a green light from the IT Board on 20/01/2016.

Project 2A will take the new Operational entities' architecture which will be implemented during OPSYS Project 1 into consideration. If Project 1 will enables to create all operational entities in OpSys including Actions, Project 2A will enable the user to create new Actions in the System.

When creating an Action, the user should specify the operational perimeter of the project/programme to be used for operational management purpose (portfolio, results management, monitoring).

It will therefore not only cover the functionalities and data from the current CRIS Decisions module. Decisions as they exist in CRIS will be removed and replaced in OPSYS by Actions which will embrace a larger scope: besides the ABAC data related to level 1 commitments and the current functionalities from the CRIS Decisions module, some key operational data encoded during the Identification and Formulation phases of the PCM - which were previously not encoded in CRIS or any IT system - will be integrated in the future OPSYS Action module in a structured way. 'Decisions' in OPSYS will only refer to the Commission (Implementing) Decisions. The excat scope of the Release will be detailed below.

These additional operational data are some of the ones which are part of official documents such as the Action Document (AD), the Financing Agreements (FA) and other supporting documents (TAPs, annexes…). However Project 2A will not include all the data displayed in the AD and its annexes in OPSYS yet and will therefore not enable the user to generate the document from the system for the time being. This will be part of the OPSYS Project 4, expected in 2019. The generation and most of the validation process of the AD (through QSG) and of the Indicative Programming documents (through DECIDE) are not covered by Release 2A.

Project 2A will ensure that the System offers the possibility to link the Action to an Indicative multiannual Programming document (MIP, NIP, RIP) and to register in OpSys the minimum financial forecasting data required for level 1 commitments and/or to be linked to financial forecasting (BPC and MIS before that it is integrated in OpSys through Project 4). Various Actions financed under one single (financing) Commission Decision could also be linked between each other.

Project 2A is highly dependent on Project 1 mainly for the creation of the Operational entities and on project 2B which will manage the level 2 commitments which is closely linked. Project 1 is expected to be implemented as a pilot phase early-2017 while the results of a cost benefit analysis (CBA) on the reuse of IT corporate solutions to manage the level 2 commitments are expected in June 2016. The calendar of project 2B will depend on this CBA and might have an impact on the delivery of project 2A.

Finally CRIS cannot cover all operational needs linked to CRIS Decision, would it be in terms on document management, sector tagging or links with operational entities. Moreover the interaction with ABAC has to be improved in line with the CRIS ABAC rationalisation exercise. Evolutive maintenance of CRIS has been stopped, needs for aggregation of data, sector tagging and link with operational entities lead to additional work mainly done on an ad hoc basis and manually. Therefore getting Opsys project 2A is a necessity.

## Situation Impact

### Impact on Processes and the Organization

Implementing Project 2A will have the following impacts on the current processes:

1. Program management:
   1. Doing things manually and proliferation of work have led the users to set up local solutions requiring re-encoding (e.g. excel tables for functionalities such as the analytical breakdown, planning…) or which are not registered in any system (AD, FA…) which makes processes more complex. This makes it difficult to update and to share the information and leads to numerous re-encoding inefficiencies.

It also hampers interoperability with existing systems. More automation within OPSYS and more interoperability with other IT systems (ABAC, AUDIT, ROM, EVAL, BPC, MIS, EuropeAid, NEAR and FPI websites…) is required to improve the Data quality, facilitate the management of the operational entities and reduce the time that the users will have to spend to encode and/or validate data and thus improve the conditions for ensuring data quality.

* 1. Users' effort to access various operational information systems must be avoided (no one stop shop, no unified user experience). OPSYS should ensure smooth adaptation to evolving needs: the current business and IT architectures do not allow to easily adapt systems to new needs.
  2. Additional effort is required for operational portfolio management: existing systems do not offer display and storage of an aggregation of data by Action, Programme or Project.
  3. Tagging, statistics& reporting: additional effort is required for aggregate and non-aggregate reporting and statistics on sectors or countries. Data are often either not available or not up to date into the system; aggregation by portfolio, by programming level or by sector is not possible.

1. Financial management: an improved interoperability with ABAC avoiding duplication of data/rules in a local system and a focus of OPSYS on the operational aspects of the Project cycle management

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **Process Category** | **Yes/No** |  | **Process Category** | **Yes/No** |
| Statistics Management (Analyses, Databases, Statistics) | No |  | Legislation Lifecycle | No |
| Case Management | No |  | Coordination | No |
| Trans-European Services and Infrastructure Management | No |  | Program Management | Yes |
| Structured Data Exchange Management (Star Systems) | No |  | Financial Management | Yes |
| Crisis Management (Alert systems) | No |  | Procurement | No |
| Grant Management | No |  | Document Management | No |
| Communication and Dissemination (external) | No |  | Asset Management | No |
| Communication and Dissemination (internal) | No |  | Audit | No |
| Strategic Management | No |  | Human Resources | No |
| IT | No |  |  |  |

The following table describes the impacted business processes and the implications for the process owners and users.

| **Process Category[[1]](#footnote-2)** | **Domain[[2]](#footnote-3)** | **Sub-domain[[3]](#footnote-4)** | **Macro Process**[[4]](#footnote-5) | **Process[[5]](#footnote-6)** | **Situation**  **Impact Description** | **Impact to Process Owners and Users** |
| --- | --- | --- | --- | --- | --- | --- |
| 1. Programme management | External cooperation and action | Operations management | Project cycle management | 1. Part of the indicative multi-annual (high level) programming  2. Part of the identification and formulation of individual actions  3. implementation  4. aggregate reporting/statistics | People in Delegations and at Headquarters are spending a lot of time on inefficient IT systems and are faced to multiple local systems; They cannot fully focus on the management of their operational entities and spend too many times on administrative tasks.  The system must ensure a good internal communication between its various modules and interoperability with other IT systems | Major |
| 3. Financial management | External cooperation and action | Operations management | Level 1 commitment | Level 1 commitment management excluding financial transactions managed directly in ABAC | The financial process and the visa chains are currently complex. The current relationship with ABAC does not allow a smooth management of data linked to financial transactions. | Major |

### Impact on Stakeholders and Users

"Users" refers to the group of actors responsible for data inputs including the use of data for management purpose whereas "Stakeholders" refers to the group of actors that takes an interest in the information provided from data input.

The user population is mainly DG DEVCO, DG NEAR and FPI staff at Headquarters and in EU Delegations (about 4,100 users[[6]](#footnote-7)), using CRIS system and from which a part is using ABAC for financial modules from April 2016. Many users have ended up developing their own local systems and/or tools to capture and follow the management of some operational functionalities such as the budget breakdown and follow-up, the statistical breakdown, the CRIS Action/Project module or the statistical and sector tagging and the results management with the exception of IPA II (enlargement) region where specific reporting needs are covered since 2015 by NEAR local IT tool (MIS). Other functionalities such as the financial forecasting had to be removed from CRIS because it was not appropriate anymore and had been integrated in BPC for DEVCO or in MIS for NEAR.

For the time being, the internal users mainly encode the data related to the level 1 commitments in CRIS through the Decisions module while the Action management is done outside any system: the Action document and the Financing agreements are WORD documents. Currently no data is retrieved from CRIS while some data encoded in the System is part of the AD and of the FA.

The new System should rationalise the whole Action & level 1 commitments' module and ensure a better use of all its components by offering more relevant tools to the users which should be integrated in a single System / Platform to avoid that the users faces too many interfaces with different ways to access.

Two other categories of stakeholders are impacted:

* Implementing partners (EU Member States, civil society, partner governments, international organisations, financial institutions), with no easy access to updated DGs data and almost no possibility to proceed by e-documents; there is no existing system in use, except for civil society registration (PADOR).
* EU institutions, International community, beneficiaries (included third countries) and the public with difficult access to data on programmes, reporting and statistics, according to their specific needs. Court of Auditors and EEAS have a more limited access to CRIS in terms of use (consultation but not encoding).

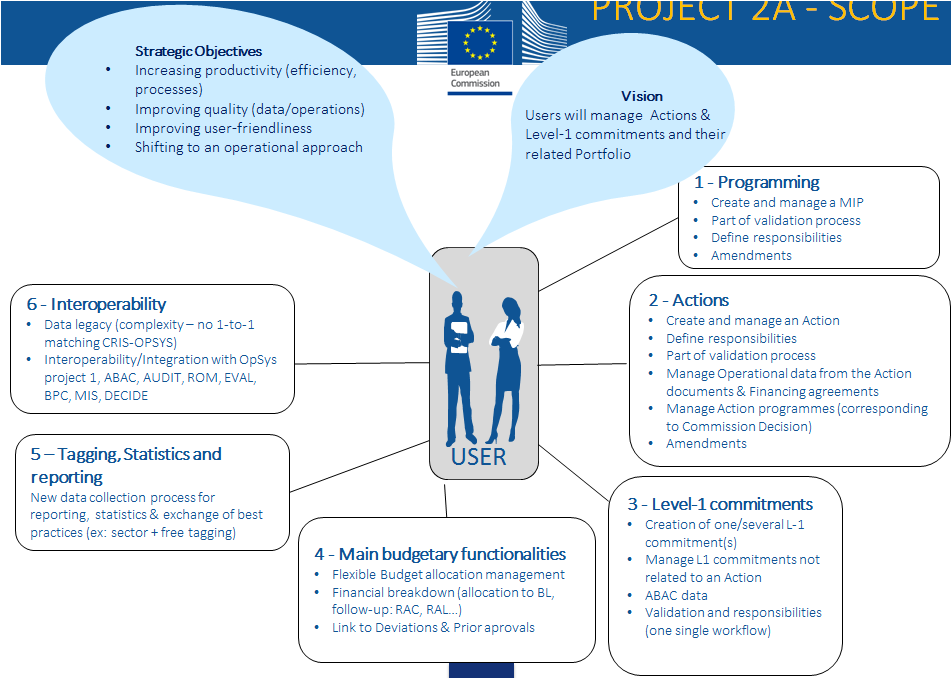
International organisations such as OECD and IATI are provided with row data through the data warehouse and public has access to raw data published by them as well as to fragmented information provided though the websites (DGs and project websites).

## Interrelations and Interdependencies

1. (Opportunity, inside): OPSYS project 2A (as well as project 2B) comes in the continuity of the feasibility study on the rationalisation and on the possible phasing-out of CRIS. In 2014 the Management decided to launch this study to investigate if level 1 and level 2 commitments could be better managed in ABAC and OPSYS than in CRIS. The study confirmed that the phasing-out of the CRIS Decisions and Contracts modules is relevant if technical solutions such as web services (mainly from ABAC) or the reuse of existing IT tools (such as COMPASS) can be adapted to the RELX-family needs. This study has now been integrated in the OPSYS programme and more specifically in the Projects 2A and 2B.
2. (Opportunity, inside): the shift from a mainly financial management based IT systems to a more operational management based system will allow to fill the gap in terms of operational portfolio management (actions, lead-, programmes, projects).
3. (Need, inside) High complexity of DEVCO/NEAR/FPI working environment:
   1. Variety of instruments (12 different legal basis are in use): some can be used for specific countries, regions or being thematic (targeting third countries around the world);
   2. Variety of types of level 1 commitments: with or without Financing agreements, provisional commitments
   3. Variety of types of aid and of FA templates: budget support/project type; EDF/BUDGET
   4. Variety of types of relations between Actions and level 1 commitments: one Action with one level 1 commitment, corresponding to one programme; one Action covering several level 1 commitments corresponding to one Lead programme; one Action covering several level 1 commitments corresponding each to one specific programme; several Actions covered by one level 1 commitment; one level 1 commitment without any Action (ex: Administrative costs, Support measure);
   5. Need to have legal level 1 commitments in ABAC which don't exist for the time being to better fit RELEX-family business: requires ABAC developments
   6. Variety of implementing partners: partner countries, Member States, Executive Agencies, International Organisations, Public law bodies, Private law bodies with a public service mission, Trust Funds, European Investment Bank, European Investment Fund, Public Private Partnerships (PPP), NGOs…
   7. The high number of concerned EU delegations managing cooperation resources around the world (+/- 120), in different time zones
   8. Needs of harmonisation in terminology: specificities by DG and by instrument (FPI, IPA…)
   9. Most business units and programme managers are confronted with the complexity described above and shouldn’t be confronted with the same diversity in terms of information systems
4. (Need, inside): project 2A is dependent of project 1 (results management and operational entities) which will build the foundations for project entities, and interdependent with project 2B (commitment level 2) for its interaction with ABAC;
5. (Problem, inside) The lack of information and reliable data is feeding a lack of trust between group of internal users (managers versus task managers, Headquarter versus EU delegations, operational staff versus financial staff and thematic staff versus geographic staff)
6. (Need, outside) reporting on sectors, implementation modalities, countries and results: international initiatives and organisations such as IATI and OECD require more frequent availability or more data. EU Member States are also requesting more information about what is done with their financial contribution, particularly on results and/or by sector of concentration.

# Expected Outcomes

The global scope of the DEVCO, NEAR and FPI’s key desired outcomes to improve the management of their Actions and level 1 commitments can be represented as follows:



Based on this, the main expected outcomes are:

1. To offer users a single entry point for operational information systems (internal portal). Reduce as much as possible the various user interfaces not only to manage the Action and level 1 commitments but also to have an harmonised interface with the other OPSYS Projects mainly the level 2 commitments;
2. To ensure that the technical solution adopted will avoid duplication of ABAC developments in OpSys to answer one of the IT rationalisation's main objectives.
3. To improve the management (create, update, close and delete) of Actions and level 1 commitments through an integrated and automated approach:
4. To automatically retrieve relevant data between various PCM phases. This will avoid that users must encode several times the same data (The list of all the fields to be automatically retrieved will be identified at a later stage);
5. To facilitate the encoding, collect and update of the data at Action/L 1 level by implementing guiding tools to help the users to encode their data properly;
6. To integrate the management of Action(s) with their level 1 commitments within the new architecture of Operational entities which will be implemented through OPSYS Project 1;
7. To capture currently missing data (including an appropriate statistical, sector and geographical tagging);
8. To allow more interoperability and/or integration with others systems: ABAC, DWH, MIS, BPC, AUDIT, ROM, EVAL, EuropeAid, NEAR and FPI websites…

# Possible Alternatives

Detailed analyses have been provided for the possible alternatives at the time of the vision (see general business case for the all Opsys programme, dated 19/08/2015).

The joint gap analysis done with DIGIT end of 2015 has concluded that there is no opportunity for corporate re-use for project 2A.

The work done in the framework of the CRIS ABAC rationalisation for CRIS decision and CRIS contract has led to a management decision in July 2015 to reject the possibility for operational staff to work directly in ABAC, preferring the options of interacting with ABAC through web-services.

During the first semester of 2016, a joint work is currently done with DIGIT and DG RTD, in the perspective of a possible re-use of GMS (Grant Management Suite) from DG RTD, built on the SYGMA and COMPASS solutions for the Management of the level 2 commitments. Depending on the results of this joint gap analysis it might be envisaged to use COMPASS for Actions management. This option, as well as the use of web services provided by DG BUDG for the management of the financial part of the level 1 commitments are the two most eligible options.

In between DG NEAR has worked on its MIS system in order to integrate some high level functionalities for managing sectors of concentration for the IPA instrument which will be extended in 2016 to ENI. Whatever will be the technical option selected, it should ensure that the main MIS functionalities are implemented in the new System and that the technical solution is investigated in collaboration with DG NEAR IT and Business Units.

Hence, we propose to analyse, from a comparison perspective, the 4 options as follows, alternatives being defined according to the way to interact with ABAC.

1. Do nothing;
2. Own Relex Opsys Action and level 1 commitment solution
3. Re-using Compass;
4. Using the ABAC web services in OPSYS;

## Alternative A: Do nothing

**General Description**

In this scenario, CRIS DECISION is kept in the current state with the know business and technical limitations.

**SWOT Analysis**

|  |  |
| --- | --- |
| **Strengths** | **Weaknesses** |
| * No project costs. * No effort for users to enter into a new system. | * Depend on ABAC lifecycle. * CRIS ABAC rationalisation objectives not reached * No improvement in the management of Actions and L1 commitments for users: no automation, double encoding required… * "Actions" (operational aspects) stay out of any IT system |
| **Opportunities** | **Threats** |
|  | * Technology out of date and CRIS to be phased out in coming years. * No improvement of the data quality * Missed key opportunity for a shift of mindset from financial inputs to operational based management |

## 

## Alternative B:Own 'RELEX' OPSYS Action & L1 commitment solution

**General Description**

Consist of a solution fully developed by DG DEVCO based on well-known technology stack (JAVA) but without benefitting from the ABAC web services and without reusing corporate solutions.

**SWOT Analysis**

|  |  |
| --- | --- |
| **Strengths** | **Weaknesses** |
| * Future proof platform. * Not depending on other stakeholders * unique user interface fully responding to users' needs * improvement in the management of Actions and L1 commitments for users: automation, no double encoding * Improved data quality * supports a shift of mindset from financial inputs to operational based management | * Rationalisation objectives not fully reached. Remaining tightly coupled with ABAC releases. * Substantial developments required |
| **Opportunities** | **Threats** |
| * Revision of the current business process to have a better fit | * Duplication of the same rules in various systems (ABAC / OPSYS) * No corporate reuse possible |

## Alternative C: 'RELEX' OPSYS Action & L1 commitment +COMPASS from DG RTD

**General Description**

Consist of a solution developed by DG DEVCO combined with the COMPASS solution from DG RTD. Compass is offering Workflow, ABAC interface, Document management and orchestration facility.

**SWOT Analysis**

|  |  |
| --- | --- |
| **Strengths** | **Weaknesses** |
| * ABAC Interface rationalisation * Adaptable to all OPSYS modules * unique user interface fully responding to users' needs (coming beyond COMPASS)   improvement in the management of Actions and L1 commitments for users: automation, no double encoding **Architecture**   * Compass has an IT architecture that is EC JEE standard and is compatible with the DG DEVCO IT architecture; indeed the Compass WFMS allows applications to use its web services to manage the workflows. * The Compass Workflow Application could be used by any application implementing the requested web services interfaces (even CRIS could); these application interfaces perform the steps of a specific dossier executing the BR to checks the errors and, if the case, advance in the WF calling the web services of Compass WFMS. | * DEVCO will depend on RTD availability * Compass UI not in line with DEVCO Business view and requires additional interface development |
| **Opportunities** | **Threats** |
| * Powerful workflow engine * Revision of the current business process to have a better fit * Reliability and sustainability : re-use of a corporate solution * Benefitting from DG RTD experience * Numerous numbers of available features in COMPASS: can be parametrised according to our specific needs * Might be a useful intermediary step before availability of ABAC web services | * Need a common governance with DG RTD * Ability to provide flexible solutions for the requirements * Uncertainty with regard to the Total Cost of Ownership of the solution; |

## Alternative D: DG BUDG (ABAC) web services

**General Description**

Consist of an OPSYS solution that will make use a set of BUDG services to get, set and validate financial data in a real time mode. In this scenario, the rationalisation objective is reached but unfortunately those are not in the current BUDG plan for at least the next two years.

Thus, this is an alternative that should be considered as an evolution.

**SWOT Analysis**

|  |  |
| --- | --- |
| **Strengths** | **Weaknesses** |
| * Financial rationalisation fully reached * Reuse of a corporate solution * No dependencies in OPSYS to ABAC releases * unique user-interface better responding to users' needs * improvement in the management of Actions and L1 commitments for users: automation, no double encoding * Improved data quality * supports a shift of mindset from financial inputs to operational based management | * Not in the current planning of DG BUDG |
| **Opportunities** | **Threats** |
| * Improved data quality * supports a shift of mindset from financial inputs to operational based management * Can be seen as a long-term solution (depending on DG BUDG availabilities) |  |

**Summary of qualitative assessment:**

The scenarios are evaluated across five criteria on the above analysis of alternatives

|  |  |  |
| --- | --- | --- |
| **Criteria** | **Weight** | **Description** |
| Functional Fit | 30% | Degree of how well solutions supports functional requirements |
| Time-to-Market | 10% | The length of time it takes from a functional requirements to the implementation of the solution |
| Risk to implement | 20% | Business continuity risk; degree of risk of disruption to critical (urgent) organization functions/activities. |
| Adaptability | 10% | Ease of adding additional functionality to an existing application. |
| Total Cost of Ownership | 30% | The total cost of IT including hardware and software acquisition, management and support. |
| **TOTAL** | 100% |  |

Table 1Scenario scoring criteria

|  |  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| **Legend**  Harvey Balls in the tables indicate relative levels of fit for each of the criteria   |  |  | | --- | --- | |  | **Insufficient** | |  | **Limited** | |  | **Partial** | |  | **Good** | |  | **Excellent** | |

Table 2 Scenario scoring levels of fit

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| criteria | A - Do nothing | B- own 'RELEX' | C- RELEX + COMPASS | D- ABAC web services |
| Functional fit |  |  |  |  |
| Time to Market |  |  |  |  |
| Risk to implement |  |  |  |  |
| Adaptability |  |  |  |  |
| TCO |  |  | \* | \* |
| total | 17.5 % | 45 % | 60 % | 57.5 % |

\*¨The Cost Ownership for scenarios C and D are still unknown and will require more detailed estimations. First estimations for Scenario C will be given in the framework of the CBA related to Project 2B. More detailed estimations from DG BUDG are also required on Scenario D. Due to this uncertainty they received an estimate 50% note for the TCO criteria.

To conclude, based on the above analysis of alternatives, the recommended solution is to start with Scenario C – depending on acceptable estimations in terms of costs and short-term planning from DG RTD. Scenario D could be plugged afterwards to replace or to strengthen Scenario C. The final decision is also highly dependent on the results of the CBA on OPSYS Project 2B and particularly on the possible reuse of COMPASS to manage the workflow for level 2 commitments.

# Solution Description

## Legal Basis

Business for DG DEVCO, DG NEAR and FPI is governed by a set of 12 Legal bases and Financial regulations, Council Decision and international agreement as indicated below. It reflects the complexity of operations management for DEVCO/NEAR/FPI. The proposed solution should be compliant with it.

1. Regulation (EU) No 236/2014 of the European Parliament and of the Council of 11 March 2014 establishing **common rules and procedures** for the implementation of the Union's instruments for **external action**.
2. Regulation (EU) No 231/2014 of the European Parliament and of the Council of 11 March 2014 establishing an Instrument for Pre-accession Assistance (**IPA II**) (Financial envelope for 2014-2020: 11.70 billion EUR).
3. Regulation (EU) No 232/2014 of the European Parliament and of the Council of 11 March 2014 establishing a **European Neighbourhood Instrument** (Financial envelope for 2014-2020: 15.43 billion EUR).
4. Regulation (EU) No 233/2014 of the European Parliament and of the Council of 11 March 2014 establishing a financing instrument for **development cooperation** for the period 2014-2020 (Financial envelope for 2014-2020: 19.66 billion EUR).
5. Council Decision 2014/137/EU of 14 March 2014 on relations between the European Union on the one hand, and **Greenland** and the Kingdom of Denmark on the other (Financial envelope for 2014-2020: 217.8 million EUR).
6. Regulation (EU) No 235/2014 of the European Parliament and of the Council of 11 March 2014 establishing a financing instrument for **democracy and human rights** worldwide (Financial envelope for 2014-2020: 1.33 billion EUR).
7. Regulation (EU) No 230/2014 of the European Parliament and of the Council of 11 March 2014 establishing an Instrument contributing to **stability and peace** (Financial envelope for 2014-2020: 2.34 billion EUR).
8. Council Regulation (EURATOM) No 237/2014 establishing an Instrument for **Nuclear Safety Cooperation** (Financial envelope for 2014-2020: 225 million EUR).
9. Regulation (EU) No 234/2014 of the European Parliament and of the Council of 11 March 2014 establishing a **Partnership Instrument** for cooperation with third countries (Financial envelope for 2014-2020: 954 million EUR).
10. **ACP-EC Partnership Agreement** signed on 23 June 2000 in Cotonou by the Member States of the European Union (ACP), amended by an agreement signed by the same States on 25 June 2005 in Luxembourg, by Decision No 1/2008 of the ACP-EU Council of Ministers of 13 June 2008 regarding the revision of the terms and conditions of financing for short-term fluctuations in export earnings, by Decision No 3/2008 of the ACP-EU Council of Ministers of 15 December 2008 adopting amendments to Annex IV to the Cotonou Agreement concerning awarding contracts, awarding grants and performing contracts, and by an agreement signed (except for Equatorial Guinea, South Sudan and Sudan) on 22 June 2010 in Ouagadougou
11. The **EDF Implementation Regulation**: Council Regulation (EU) 2015/322 of 2 March 2015 on the implementation of the 11th European Development Fund (Financial envelope for 2014-2020: 30.506 billion EUR)
12. Common Foreign and Security Policy (CFSP): Title V of the Treaty of the European Union

## Benefits

The benefits are various, and mainly business focused:

Main benefits:

1. Data quality will improve: Automation will improve the encoding and the data quality (avoid manual errors and encoding duplications; enable easier aggregation of data);
2. Easier reporting, monitoring and business intelligence:
   1. Many data are currently not encoded in any system will be captured and structured in OPSYS and could be easily reused and/or compared (ex: Action document, Financial agreements, statistical, sector and free tagging…);
   2. Actions in OPSYS will embrace a larger scope than CRIS Decisions and it will cover a bigger scope of the PCM (Part of Identification and formulation; Action and Annual Action Programmes) in a more structured way. Project 2A will also partially cover the Programming phase and is part of the chain that will enable structured links between all the PCM phases;
   3. More oriented on the operational user needs: it includes a new appropriate matching between EU sectors of concentration and the OECD DAC codes; aggregation of data is reliable; improve reporting capacities and exchange of best practices and possibility for users to capture their own statistics (new system of free tagging)
   4. Reporting to Management, end users and to other stakeholders including institutional reporting (Annual report, OECD, IATI…)is improved and facilitated.
   5. About action documents (AD): Project 2A will allow the user to encode structured data of the AD and of the Indicative Programming documents in OpSys. The exact scope to be integrated in the system will be further detailed in the Project Charter.

At a further stage OPSYS Project 4 will enable to manage the validation process of the Action documents directly in the system (submission of the AD to QSG through OPSYS) and to offer the possibility to various users to collaborate on the document. It could also enable to manage the validation process of the Programming documents as well as the Annual Action programmes.

1. Greater time efficiency for users and easier work with the system:
   1. Dynamic user interface: collection of necessary data only, depending on the type/nature of the entity selected (ex: EDF or Budget, Budget support or not…);
   2. User-centric IT system: support when encoding; guidance tool; personal parametrisation of the system based on user's preferences; system of notification;
2. Business changes can be easily considered: Reliability and sustainability: DIGIT standards compliant and market best of breed; architecture designed in a way that the module is easily adaptable;
3. Improvement of the time efficiency (less time spent on non-productive tasks);
4. CRIS ABAC rationalisation has progressed: Encoding the ABAC data in a way which enables to respect the IT rationalisation objective aiming at avoiding the duplication of ABAC developments

## Success Criteria

High level success criteria by which the proposed solution will be considered as a success or a failure are:

1. Satisfaction of users: Buy-in and satisfaction (real added-value perceived) by the different categories of users (end users, management, corporate partners) on the new way to manage Actions and on user friendliness, efficiency, quick wins…

Business requirements flagged as "Must" or "Should" implemented at least at 80% (MoSCoW)

1. Quality of interaction with ABAC and other interfaces
2. Improved data quality including a proper data migration
3. Rationalisation leads to lower maintenance costs, or at least same or additional costs lead to a clear added value for users

Moreover in order to have a successful project, and in this perspective, the deliverables “on time, on budget, on scope and on quality", the identified key factors of success are:

1. Availability of resources from business side for mainly DEVCO, FPI and DG NEAR (business experts, user representatives including from EU delegations), as well as from IT side and appropriate staff allocation;
2. An appropriate collaboration between all IT departments from the DG's involved in order to implement quickly and properly the required interfaces and web services;
3. A strong sponsorship at management level to overcome business harmonisation and optimisation issues;
4. An appropriate Change management strategy including an efficient communication (clear and regular) to the various users and to other stakeholders; sufficient number of users trained and the availability of the relevant documentation (user's manuals) when the Project is implemented;
5. Complementarity and full interoperability with the other OPSYS modules, especially with Projects 1 and 2B: OPSYS Project 1 will create the new Operational entities in the System.
6. Success data migration from CRIS, mainly from the Decision module, ensuring the historicity of CRIS data for Action and level 1 commitments;

## Scope

The scope of the Project2A will exceed the current scope of the CRIS Decision module. It will cover additional operational aspects through its Action component, ABAC data through the level 1 commitment component as well as the current operational and financial functionalities of the CRIS Decision module. The main functionalities to be covered are:

1. Indicative Programming:
   1. Enable to easily create and update indicative multiannual Programming entities in the system, to encode a set of data and to split the EU contribution into sectors of concentration. The encoded data should be reused and automatically retrieved at a later stage (identification, formulation and implementation).
   2. Enable the user to partially validate the indicative multiannual Programming entity/document (MIP) through the system.

The MIP generation and validation process will be initiated in OPSYS Project 2A and will be completed by Project IV.

1. Actions:
   1. Need to be able to easily create, update, validate, cancel, close/reopen an Action.
   2. Include and structure in the Action module relevant data which are part of the Action document and of the Financing agreement and which are currently not encoded in any System
   3. Defining the perimeter of their operational portfolio by linking an Action to other operational entities (Lead-programmes, Programmes, Projects)
   4. Enable the System to easily adapt its tools to the specificities of the various Instruments (ex: IPA, EDF) or DGs.
   5. Enable the user to link various Actions into one Annual Action programme,to link individual Actions to an Indicative multiannual Programming document and automatically retrieve some structured data encoded at this level.
   6. Allow the relevant users (Data owners) to easily manage their list of data such as the sectors of concentrations, DAC codes… (create, update, delete)
   7. Need to enable the user to partially validate their Action documents and to submit them to the QSG through OPSYS.

The Action document generation and validation process will be initiated in OPSYS Project 2A but will be completed by Project IV.

1. Level 1 commitments: the management of the level 1 commitment will be done at Action level in OpSys.
   1. Include the specific ABAC data within the scope of an Action if any or without linking it to any Action if it doesn't have any operational component (ex: administrative costs). It includes some data currently encoded in the CRIS Decisions' Initial (IN) riders.
   2. Enable that one Action covers one level 1 commitment;
   3. Enable that one Action covers several level 1 commitments;
   4. Enable that several Actions are covered by one level 1 commitment;
   5. Enable the creation of a level 1 commitment without any Action;
   6. Create legal level 1 commitments which currently don't exist in ABAC
2. Improve and go beyond the current CRIS functionalities from the Decision module:
   1. Budget follow-up: enable the user to define and easily update a budgetary allocation (analytical breakdown) with high flexibility which will enable him to easily ensure their follow-up through the lifetime of the Action.

At the creation of the commitment level 1, a default analytical breakdown will be created, copying the one available from the AD and modifiable. If no Analytical Breakdown (AB) is available from the AD, a simplified template will be presented (Total Cost, EU contribution, Other contribution) automatically filled in with amounts. User will then have the possibility either to update this AB in the system, or to leave it as it is. A very limited set of controls will be implemented.

* 1. Improve the Data collection process for reporting and statistics which correspond to and go beyond the current DAC form and Statistical breakdown:
     + Be more user-oriented:
       - develop a new sector tagging system more adapted to the users' needs and mapped on the DAC codes
       - develop a new and optional free-tagging system to system helping the user to freely manage his personal/Unit/Delegation portfolio of entities (actions, programmes, projects)
       - easier way to reuse and compare data and to easily extract data for internal and external reporting.
     + Improve the institutional reporting capacities (annual report, OECD, IATI…) and the collect process of the required data such as the various aid and implementation modalities and the transversal tagging
     + Ensure a proper interoperability with DWH
  2. Enable to encode the Financial breakdown and to automatically update the budget consumption of the commitment (amounts allocated, contracted, paid, reste-à-contracter/RAC, reste-à-liquider/RAL)
  3. Link easily Actions/level 1 commitments to Deviations and prior approvals
  4. Ensure that the financial forecasting required at level 1 commitment level can be initiated in the system (interoperability with BPC and MIS as long as the financial forecasting component is implemented by OpSys Project 4)
  5. Enable to link the Action/L 1 commitment to the Monitoring, Evaluation and Audits systems/modules.
  6. Enable to create level 2 commitments directly from an Action/level 1 commitment when it is finalised

1. Ensure the Data migration of the current existing data from CRIS (Decisions modules) and MIS or other relevant systems dealing with data from Actions and level 1 commitments.
2. User experience:
   1. Internal portal: One stop shop grouping all operational information systems;
   2. User interface in conformity with the one designed in the framework of OpSys Project 1 to ensure one single user interface for all OpSys modules;
   3. Improve the data quality including by implementing guiding tools enabling the user to better understand what he encodes
3. Change management: communication, documentation and training for the new users.
4. Technical side:
   1. Easy to maintain and to evolve: The sub-system and the IT architecture are designed in a way that the sub-system is easy to adapt to evolving needs;
   2. Implementation of the roles and associated access rights compliant with the DIGIT standard (ECAS authentication, XSEC,…)
   3. Future proof architecture, making OPSYS easy to be adapted to new needs

## Solution impact

The main affected process for OPSYS phase 2A will be Action and level 1 commitments management (Identification and Formulation phases) and partly Programming and Implementation. The solution will address identified impacts through:

* Capturing, managing and sharing data from Programming to Identification and Formulation phases
* Linking these various phases to shape personal operational portfolio
* Allowing the reuse of data
* Offering to operational manager the use of encoded data for their own needs and offering a greater user experience, therefore increasing the sense of ownership on MIP, Actions/level 1 commitments and contributing to the shift from financial management to a more operational focused management.

## Deliverables

The Opsys Phase 2A“Actions management and level 1 commitments” solution aims at delivering a second Opsys module serving DEVCO, NEAR and FPI in order to:

1. Manage Indicative multiannual Programming entities in a structured format and to link them to Annual Action Programmes and/or to Actions;
2. Manage Action programmes in a structured format and enable to link them to Indicative multiannual Programming documents and/or individual Actions;
3. Manage Actions and possibly the corresponding level 1 commitments in a structured format: including sector and free tagging, the collect of data for personal and institutional reporting, the budget follow-up, the encoding of operational and required financial data;
4. Validate Action documents in the system and submit them to the QSG;
5. Link Actions to Indicative multiannual Programming documents and/or to Annual Action Programmes and/or to projects and/or to level 2 commitments;
6. Ensure an integration with the following existing systems: CRIS, BPC and MIS (temporarily if required including if level 1 and level 2 commitments – namely framework contracts - are not fully implemented simultaneously in OPSYS), ABAC, DWH, AUDIT, ROM, EVAL, EuropeAid, NEAR and FPI websites;
7. Ensure coherence in term of user experience with what will be done in Project 1 and 2B: internal portal, unified user interface…
8. Provide assistance to users in terms of trainings, support and communication on the scope managed by Project 2A but also on the OpSys programme.

A prioritisation and ponderation of the deliverables will be done based on the MoSCoW methodology in the Project Charter.

## Assumptions

Key assumptions for the solution are as follows:

1. Prerequisites from project 1 (ex: new operational entities defined, implemented and usable in OPSYS) are fulfilled when project 2A goes to production
2. All the technical options to implement Project 2A are taken into consideration and are properly evaluated (reuse of corporate solutions, availability of ABAC web services, integration of MIS functionalities)
3. The results of the reuse analysis on corporate solutions are provided timely and taken into consideration for project 2B and it ensures coherence for management of level 1 and level 2 commitments
4. COMPASS proof of concept is conclusive and does not delay phase 2A
5. Estimations (cost and planning) for reuse of COMPASS and/or availability of web services are affordable
6. Business/Process owner units (DEVCO, NEAR, FPI) and Delegations will dedicate enough time for their business experts and users to be part of user groups and bilateral discussions
7. Strong internal support throughout the development process is ensured at various levels, OPSYS sponsorship is mobilised and enough visibility is given to OPSYS programme
8. As the OpSys vision is to include the DG Near requirements as well as team in the build-up of the Project 2A, a clear synergy with the DG Near technical team will be required.

## Constraints

Key constraints are as follows:

1. The available budget for 2016 and further
2. The exact cost and planning estimations for both COMPASS (if selected through the CBA) and ABAC web services are not known at the time of drafting the business case
3. The learning curve for agile methodology both for the IT supplier (DEVCO R6) and business side on such a large Project (only one ongoing experience on PADOR and an ongoing one on OpSys Project 1 which started in 2016)

## Risks

The following key risks have been initially identified at this stage (H=High, M=Medium, L=Low); the two crucial risks are linked to Opsys complexity and resistance to change, while a few other risks are important (absorption capacity, scalability of Opsys unit, budget overrun, interdependence with ABAC, technology choices, right methodology, migration of data and reputation).

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **Reference** | **Type** | **Description** | **Likelihood** | **Impact** | **Comment/Mitigation** |
| **1** | **Technical** | **Complexity** linked to the high number of stakeholders  NEAR, FPI requiring an Harmonisation work   * EU delegations * role for implementing partners | **H** | **H** | Mitigation:   * Possibility to shift non-essential identified needs to other phases * Inclusiveness of Domain user groups and Programme user and steering committee |
| **2** | **Manage-ment** | **Resistance to change** linked to:   * Effort to enter into development of a new system with a too long time perspective for operationalisation * Mistrust outside usual ways of working; * Resistance to change by existing CRIS/MIS users | **H** | **H** | Mitigation:   * Efforts on clear operational concepts and processes * Comprehensive change management strategy encompassing: * Communication plan and activities upstream * Training on time and continuous support * Strong and inclusive involvement of users since the beginning including EU delegations * Relevant documentation available on time |
| **3** | **Manage-ment** | **Business involvement into needs definition and testing**: recent staff cuts have increased the sense of negative priorities | **H** | **H** | Mitigation: strong sponsorship in DEVCO, NEAR, and FPI, in order to make OpSys a positive priority |
| **4** | **Manage-ment** | **Scalability of the Opsys unit 05 and of the IT supplier R6**: allocation of staff resources and finding/building the right competences may have an input on timing and scope | **H** | **H** | Mitigation:   * 05: right mix of statutory staff and intra muros experts * 05 and R6: appropriate training * Budgetary and planning revision after programme charter |
| **6** | **Technical** | **Interaction with ABAC:** DG BUDG may delay the offer for extended web-services | **H** | **M** | Mitigation:   * a temporary solution might be found as for using COMPASS and JAgate, pending ongoing cost benefits analysis * a mixed DEVCO-BUDG team will be set-up in order to assess the requirements in term of web services |
| **7** | **Technical** | **Dependency on the decision taken for the CBA of OpSys Project 2B:**   * impact on the technical solution, the costs and the planning of Project 2A. It would not be relevant to take different technical options for Project 2A and 2B in terms of rationalisation and of user experience. * It is not conceivable to have the phase-out of the CRIS Decisions' and Contracts' modules not simultaneously. | **H** | **H** | Mitigation   * take as soon as possible the results and the estimations (cost and planning) of the CBA into consideration for Project 2A * apply the same IT solution and planning for Project 2A and 2B |
| **8** | **Technical** | **Wrong technology choices for the enterprise architecture** (development technology, IT components) | **L** | **M** | Mitigation:   * recruitment of a team of experts (business and IT architect) in order to work on and advise on architecture orientations * work with DEVCO IT unit and DIGIT B1 to ensure the full IT architecture coherence with Opsys needs, associating NEAR IT Unit |
| **9** | **Technical** | **Complexity for integrating and migrating data** from existing tools to preserve the data legacy; complexity due to not a systematic 1-to-1 matching between CRIS, MIS and OPSYS transactions (DEC vs Action/L1); Action (document) is currently not recorded in any IT system;  integration of existing tools like CRIS, MIS, BPC,… | **M** | **H** | Mitigation:   * prioritisation and if necessary postponement of less prior integration to further Opsys phases |

## Costs, Effort and Funding Source

From an IT development perspective, in relation with the Schema Directeur as well as with the technical assessment, we can synthetize the IT costs as follows, (for 2017 and further, these are high level assessments and this will depend on the evolution of the pilot phase);

Opsys is primarily financed for 2016 by admin credits (90% admin, 10% EVA –operational credits).

NOTA: The following planning is still under discussion; it leads to a final delivery of project 2A (full roll out) mid 2019 against an initial tentative planning for end of 2017/early 2018; main justifications are a delay in starting IT development (September 2016 against early 2016: re-use analysis constraint and slower set up of Opsys team) and the dependencies with other projects now further analysed and known (COMPASS, ABAC, project 2B).

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **Solution Implementation Costs** | **2016** | **2017** | **2018** | **2019** | **2020** |
| Solution Development | 405 | 1.115 | 1.115 | 305 |  |
| Solution Maintenance |  |  |  | 200 | 400 |
| Support |  |  |  | 100 | 150 |
| Training |  |  | 150 | 150 | 150 |
| Infrastructure and related operations | 40 | 40 | 40 | 40 | 40 |
| **TOTAL in k€** | **445** | **1.155** | **1.305** | **795** | **740** |

The estimation is valid for Alternative B & C. However, in the scenario C, **the estimation covers only the integration of Compass to be made by DG DEVCO. If required, the necessary effort to use and/or modify COMPASS should be estimated separately by DG RTD**.

The final estimates and associated TCO of COMPASS integration within DEVCO landscape will be provided by the CBA (Cost Benefit Analysis)

The amounts estimated for the solution development of the OPSYS Project 2A should be considered with a possible margin error of 20%.

|  |  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| **Intra muros: Solution Development.** | | | | | | | | | | |
| *–* ***external providers*** *in Work Days &* ***officials*** *in FTE–* | | | | | | | | | | |
| **Year** | **2016** | | **2017** | | **2018** | | **2019** | | **2020** | |
| **Solution Development** | WD | FTE | WD | FTE | WD | FTE | WD | FTE | WD | FTE |
| *Project Management* | 40 |  | 110 |  | 110 |  | 30 |  |  |  |
| *Product Owner* | 80 |  | 220 |  | 220 |  | 60 |  |  |  |
| *Scrum Master* | 80 |  | 220 |  | 220 |  | 60 |  |  |  |
| *Development* | 240 |  | 660 |  | 660 |  | 180 |  |  |  |
| *Testing* | 80 |  | 220 |  | 220 |  | 60 |  |  |  |
| *Architecture* | 80 |  | 220 |  | 220 |  | 60 |  |  |  |
| *Web design* | 80 |  | 220 |  | 220 |  | 60 |  |  |  |
| ***Sub-total Development*** | **680** |  | **1870** |  | **1870** |  | **510** |  |  |  |
| **TOTAL WORK DAYS** | **680** |  | **1870** |  | **1870** |  | **510** |  |  |  |

Nota: The following figures regarding business implementation costs are rough estimations and will be further analysed with the project charter. Change management costs (training costs) are high as almost all DEVCO FPI and NEAR staff are impacted and would decrease in case of synchronisation with the roll out planning of project 2B.

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **Business Implementation Costs** | **2016** | **2017** | **2018** | **2019** | **2020** |
| Business managers/experts | 350 | 650 | 900 | 500 | 200 |
| Change management |  | 50 | 100 | 50 | 50 |
| Start-up costs |  |  |  |  |  |
| Coordination |  |  |  |  |  |
| Training |  |  | 200 | 1800 |  |
| **TOTAL in k€** | 350 | 700 | 1200 | 2350 | 250 |

## Roadmap for OPSYS Project 2A:

Start date: As soon as the project charter is validated by the IT steering committee, expected by July 2016 and that the IT Board gives a positive opinion on the technical solution for Project 2B.

Expected delivery date: it is too early to commit at this stage on an accurate calendar as it will highly depend on the results of the CBA for release 2B.

## Synergies and Interdependencies

OpSys Phase 2A"Actions and level 1 commitments management" will have to be managed in close relationship with the other phases of the OpSys programme as well as with the CRIS currently existing modules and associated projects.

The decision of the CBA on the possible reuse of corporate systems for Project 2B (Contracts and level 2 commitments) and particularly of COMPASS and JAgate will have a key impact on the decision related to the technical solution chosen to implement Project 2A. It is essential (including for the users) to harmonise the way to manage the level 1 and level 2 commitments in OpSys.

Actions and level 1 commitments management, taking mainly place at Identification and Formulation PCM phases, is in close relationship with the:

* new Operational entities which will be implemented through OPSYS Project I
* indicative multi-annual Programming documents (MIP,NIP,RIP..) objects and data, currently (partially) stored in the CRIS system.
* related Decisions (Commitments Level 1) currently stored in CRIS and MIS and which will be migrated to OPSYS.
* related Contracts (Commitments Level 2), also currently stored in CRIS and MIS and which will be migrated to OPSYS through Project 2B.
* other synchronisation must also take place with the project managers of the other modules that are supposed to be connected with Actions such as Deviations and Prior approvals, Framework contracts…
* the full integration of the Action document (and possibly of the QSG organisation) in OPSYS through its Project IV and a wider integration of Programming in OPSYS
* the integration of Financial forecasting in OPSYS through Project IV

## Enablers

|  |  |  |  |
| --- | --- | --- | --- |
| **Enabler** | **Yes/No** | **Reference** | **If No, briefly explain the reason** |
| PM² | Yes | <http://www.cc.cec/wikis/display/PM2> | Project Management Methodology; PM2 is underlying the IT governance at DEVCO |
| BPM | Yes | <http://www.cc.cec/wikis/display/bpmatec> | Business Process modelling: the intention is update the existing business models of DEVCO according to the to be situation |
| Other |  |  |  |
| IT Related | | | |
| RUP@EC | Yes | <http://www.cc.cec/RUPatEC> | Rational Unified Process: already used in Opsys work (eg RUP format for the drafting of business requirements) |
| Agile RUP@EC | Yes | <http://www.cc.cec/RUPatEC_Agile> | Though the document is still at draft stage it brings a useful approach for Opsys |
| CEAF | No | <http://www.cc.cec/wikis/display/CEAF> | Two different models have been used so far:   * Gartner model as presented in the final report (business capability model) * Trasys model (for the work on IT architecture)   The plan is to merge the two approaches, avoiding to use a third model.  However basic principles of CEAF [Commission Enterprise IT Architecture Framework] are applied (setting up an enterprise and business architectures) |
| SMP@EC | Yes | http://www.cc.cec/wikis/display/SMPAtEC/What+is+SMP@EC | Service Modelling Practice: it is de facto part of Opsys ambition to be service oriented (starting with DEVCO, NEAR, FPI), so requirements and user support will be drafted and designed with that service orientation in mind. |
| VAST | Yes | <http://ec.europa.eu/dgs/informatics/vast> | Value Assessment: it is planned to do every 6 months that exercise in the framework of Opsys programme management |
| CMMI | Yes | <https://en.wikipedia.org/wiki/Capability_Maturity_Model_Integration> | A first reflection was conducted with Gartner with regard to our level of maturity and our evolution objective |

# Governance

## Project Owner (PO)

Please find here below the reference to the roles and responsibilities inside the project, from the business perspective as well as from the IT perspective.

Sponsor for Opsys programme: Deputy Director General 2 of DEVCO, Marjeta JAGER

System owner: DEVCO 05, Project Owner: Thierry MATHISSE

Programme manager for Opsys: DEVCO 05, Denis THIEULIN

Coordinator of Business managers for Opsys programme: DEVCO 05, Paul RIEMBAULT

IT Project manager for project 2A: DEVCO R6,Carmelo INFOSINO

Business manager for project 2A: DEVCO 05, Fabian VERHOEVEN

## Key business actors

## Units in charge of the coordination of main business processes covered by release 2A , relating to three of the four phases of the project and programme cycle (Indicative multi-annual programming, and the Identification and Formulation of the individual actions (laid down in Action documents) are:

* DEVCO 06 (**Process owner** in the meaning of DEVCO IT governance).
* NEAR (tbd)
* FPI (tbd)

## Units in charge of the coordination of the business processes relating to the decision making process for individual actions and support measures and the related budgetary commitment process (level-1 commitments and CRIS Decision) are:

* DEVCO, R3, 06, R1, 05
* NEAR (tbd)
* FPI (tbd)

## Solution Provider (SP)

* IT supplier for project 2A: DEVCO R6 is the System supplier with assistance of NEAR/R3 and with DIGIT cooperation for IT architecture where relevant
* IT Programme Manager for OPSYS : DEVCO R6, Dris RACHIK
* IT Project Manager for OPSYS Project 2A : DEVCO R6, Carmelo INFOSINO

## Approving Authority

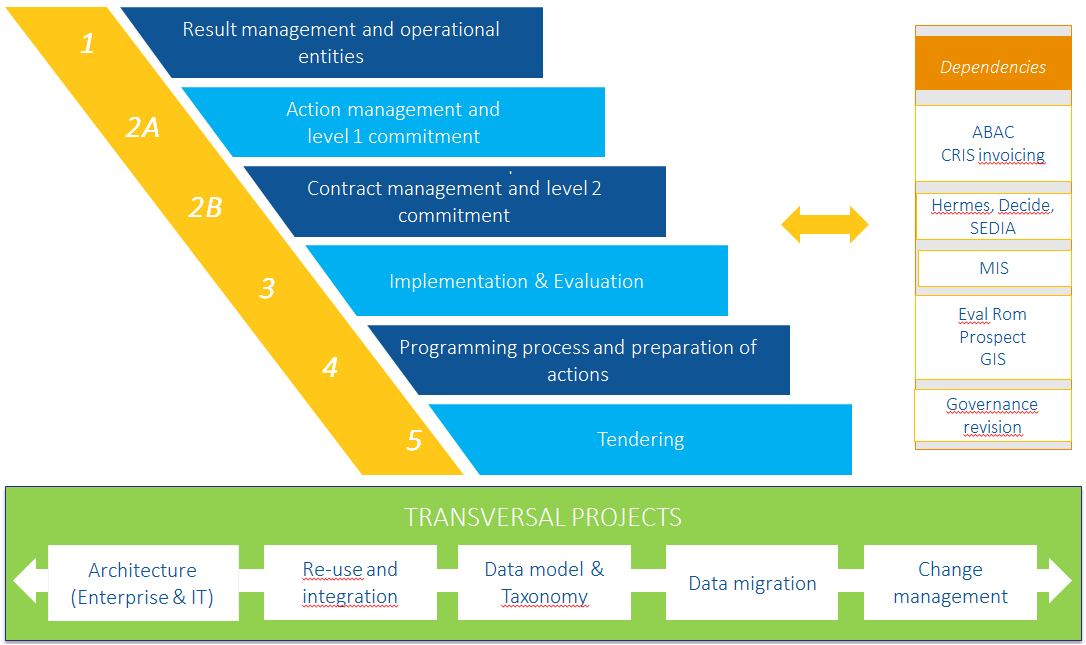
Project owner, Thierry MATHISSE, Head of Unit DEVCO 05

Appendix1: References and Related Documents

|  |  |  |
| --- | --- | --- |
| **ID** | **Reference or Related Document** | **Source or Link/Location** |
| 1 | *GeneralOPSYS Business case09-2015* | *GOVIS* |
| 2 | *OPSYS report "lets move to the 21st century"04-2015* | *GOVIS* |
| 3 | *OPSYS reply to the concerns of the IT Board from 23/12/2015* | *Ares 4133831* |
| 4 | *Business case on OPSYS Project 1* |  |

**ANNEXES**

**GENERAL OPSYS SCOPE**



****

1. **Process Category** - The EC processes are classified in 18 process categories as follows: Asset Management, Audit, Communication & Dissemination, Coordination, Document Management, Financial Management, Grant Management, Human Resources, IT, Legislation Lifecycle, Statistics Management (Analyses, Databases, Statistics), Case Management, Trans-European Services and Infrastructure Management, Structured Data Exchange Management (Star Systems), Crisis Management (Alert systems), Procurement, Program Management, Strategic Planning [↑](#footnote-ref-2)
2. **Domain** - The domain is the cutting of the highest level of activities of the Commission. A DG has only a few areas of activities, sometimes only one. In some cases, a domain is shared by several DGs, and even by all DGs [↑](#footnote-ref-3)
3. **Sub-Domain** - A Sub-Domain is a subset of areas of activities that meets a set of common objectives and constraints [↑](#footnote-ref-4)
4. **Macro-process** -A macro-process is a set of processes related to a sub-domain. It corresponds to a grouping of activities according to a common business logic. Sometimes the consolidation process corresponds to the sequential execution of many processes [↑](#footnote-ref-5)
5. **Process** - The CEAF defines a process as an organised and repetitive sequence of actions involving resources which aims at producing a result to satisfy a client’s need [↑](#footnote-ref-6)
6. In August 2015: 3,757 active users and 4,095 users including passive users (consultation only) [↑](#footnote-ref-7)