

ANNEX E
BASELINE PLAN (BP)

CEEMIS BASELINE CHANGE LOG

This control log summarizes changes to the program baseline document. It will provide a brief description of changes, cost and schedule adjustments.

<u>Date</u>	<u>Type Change</u>	<u>Adjustment</u>	<u>Funding Cap</u>	<u>Reference</u>
July 98	Update	Original baseline established using un-proven “rules of thumb”	N/A	Original baseline

DEFERRED PROGRAM CONTENT ATTACHMENT

This attachment shall be used for any elements of the CEEMIS program content that program participants agree must be withdrawn from the program baseline due to funding or schedule constraints, but shall be re-entered to compete for resources in the Planning, Programming, Budgeting and Execution System (PPBES). Program participants must agree that these program contents are required to satisfy a requirement stated in the program baseline.

ELEMENT	REASON FOR WITHDRAWAL FROM BASELINE

**CORPS OF ENGINEERS ENTERPRISE MANAGEMENT
INFORMATION SYSTEM (CEEMIS)
BASELINE PLAN**

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SECTION 1.0 CEEMIS BASELINE OVERVIEW

The following documents provided guidelines for developing this Baseline Plan:

- AR 25-3 – Army Life Cycle Management of Information Systems, June 1989
- DoD Instruction 7920.4 - Baselineing of Automated Information Systems (AIS), March 1988
- DoD Directive 8120.1 - Life Cycle Management of Automated Information Systems, January 1993
- ER 25-1-2 – Life Cycle Management of Information Systems.

This plan identifies the baseline upon which CEEMIS development will be managed. CEEMIS development will satisfy a demonstrated need for upward reporting capabilities.

The CEEMIS design will serve as a corporate-level database ensuring the timeliness and integrity of financial data and providing simple access to one common location for all Corps financial reports, execution data, and managerial performance indicators. CEEMIS will provide the capability for CEEMIS sites to generate and submit financial reports via database table-to-table transfers without the need for data files or human intervention. Reports will be generated directly from CEEMIS databases; data is edited and reconciled, thus providing data integrity and consistency.

This system will be designed to provide essential and accurate data. It will significantly speed up the flow of complete and accurate electronic upward reported financial information transactions through its mechanized pipeline, while eliminating the paper flow of hard copy vouchers and reports from financial reporting to accountable centers. CEEMIS will provide visibility to all CE activities while significantly reducing operating costs.

CEEMIS will be comprised of three increments. The first increment is Phase 1 and it will be developed to provide an initial upward reporting financial information capability with the goal of improving the quality of upward reported financial information data and reducing cycle time, paper flow, and handling costs. Increment Phase 2 (P2) will provide a complete financial reporting capability that will develop and implement a complete system that handles all CE-level financial reporting core functions. Increment B-1 is the third increment that will provide a reengineered (P2) system using Oracle's Designer 2000 CASE tool suite.

CEEMIS will interface with the Corps of Engineers Financial Management System (CEFMS) and the Project and Resource Information System for Management (PRISM). External system interfaces include the Defense Finance and Accounting System (DFAS) which includes the Program Budget Accounting System (PBAS) and ELECTRA, and the Treasury's Government On-line Accounting Link System (GOALS).

This plan addresses baseline requirements upon which development and management decisions of CEEMIS will be based. Included in this plan are sections which address program requirements, program contents, program milestone schedule and approved funding.

A Baseline Change Log and Deferred Program Content Attachment are provided in the front of this document. These forms may be used throughout the life cycle management (LCM) to formally document changes to the baseline. After system implementation:

- the procedures in the CEEMIS Configuration Management (CM) Plan will be employed to document system changes
- the Baseline Plan will additionally be maintained when a change impacts the baseline.

SECTION 2.0 PROGRAM REQUIREMENTS

2.1 Functional Needs. To fulfill the objectives of this Baseline Plan, CEEMIS must be able to perform the following tasks:

- Communicate with legacy systems in legacy file formats
- Handle multiple external file formats
- Preserve linkages between financial data integrity and accounting and reporting systems
- Supplant some existing report transmissions
- Handle interfund transactions
- Perform Treasury reporting.

2.2 Operational Needs. CEEMIS will operate in the existing Corps of Engineers Automation Plan (CEAP-IA). This network will link two regional processing centers and create a data communications network to be used for all Corps digital communication traffic. This network will consist of a backbone segment, which acts as a highway connecting the major nodes on the network to the three processing centers, and "tail circuits". The tail circuits will connect the remote Corps locations to the backbone segment and provide them with processing capability. The following hardware is necessary to support CEEMIS:

- SUN 2000 at CPC23
- IBM Pentiums
- CE Local Area Network (LAN) running Novell Netware
- Laser printers
- High-Speed line printers.

2.3 Supportability. The following software and communications are necessary to support CEEMIS.

- ORACLE 7.3 Relational Database Management System (RDBMS)
- TCP/IP Protocol
- Graphical User Interface (GUI)
- Powerbuilder 5.03
- PFC
- PL/SQL, Cognos Impromptu, Powerplay

SECTION 3.0 PROGRAM CONTENTS

3.1 System Design. To fulfill the operational and functional requirements the software application will be structured in such a way that development will be divided into three phases.

- PHASE 1 (P1)
- PHASE 2 (P2)
- Increment B-1

At this point in the development of CEEMIS, emphasis is placed on Phase 1 (P1). The three major functions P1 must satisfy include:

1. Capture

- Capture loadable, pertinent upward reporting financial information transactions from all identified sources, including manual input and off-line processes
 - “Out-of-scope” status – transactions received from mechanized sources that are not pertinent to CEEMIS P1 and, therefore, are not processed further
 - “Unloadable” status – transactions that cannot be loaded to the database because they do not conform to either data type conventions or referential integrity rules
- Capture transactions via file transfer (legacy formats) where a mechanized source is available
- Capture transactions via key entry where mechanized source data is unavailable
- Convert transactions into a standard Project Specific Elements (PSE) record format when loading data into the CEEMIS Phase 1 database
 - BACC – the Budget and Accounting Classification Code is the designated standard architecture to be used within CE financial systems
 - PSE – the Project Specific Elements of CEEMIS Phase 1 include elements that map directly to BACC as well as required elements that cannot be satisfied by BACC
- Verify Treasury-level required data elements (including subhead)
 - “Invalid Treasury-level LOA” status – loaded transactions that have failed Treasury-level LOA edits and, because of this, are retained for audit purposed but not processed further

- Hold transactions in *awaiting supplemental data* status to allow supplemental data to be entered to preclude the need for distributing hard copy vouchers
 - “Awaiting supplemental data entry” status – loaded transactions that have passed Treasury-level LOA edits and are therefore ready for supplemental data entry
- Provide online facilities for completing items in awaiting supplemental data status.

2. Validate

- Check for potential duplicate and duplicate vouchers
 - “Potential duplicate” status – a voucher which has a financial reporting station number, voucher date, and voucher number identical to a voucher already within the CEEMIS Phase 1 database and, because of this, represents a potential duplicate voucher
 - “Duplicate” status – a potential duplicate voucher that has been cleared by an authorized user to be a duplicate in fact.
- Validate captured data against appropriate master edit tables
 - DFAS-IN, PBAS
 - DFAS-IN Expenditure edit tables
 - ER37-2-10 and AR37-100-XX tables
- Hold transactions in rejected status until validations are passed
 - “Rejected Status” – transactions which have **failed** supplemental data edits and have not yet been corrected
 - “Distributable” status – transactions that have **passed** supplemental data edits and are therefore eligible for distribution
- Provide online facilities for correcting items in work suspense status

3. Distribute

- Convert transactions from PSE record format to legacy formats required for posting to accounting systems
- Distribute transactions daily, or when required

- “Distributed” status – a single transaction that has been distributed to the responsible accounting center
- “Complete” status – a voucher that is not a potential duplicate or duplicate and for which **all** transactions have a status of “distributed”, “invalid Treasure-level LOA”, or “out-of-scope”
- Distribute transactions to centers for redistribution to accounting stations via:
 - Mechanized transaction files or
 - Hard copy listings/report image files
- Provide feedback and special interest extracts
- Meet ad hoc information needs.

3.2 Interface Requirements. CEEMIS will interoperate with other systems via automated interfaces. Each interface system will operate independently of CEEMIS. Data will be automatically transferred to and from CEEMIS, where applicable, as depicted in Figure 3-1. CEEMIS will offer electronic interface capability with the following systems:

- Corps of Engineers Financial Management System (CEFMS)
- Project and Resource Information System (PRISM)
- Defense Finance and Accounting System (DFAS)
- Program Budget Accounting System (PBAS)
- ELECTRA
- Government On-line Accounting Link System (GOALS)

3.3 Performance Requirements. Performance requirements for CEEMIS include:

- Capability to communicate with other systems electronically without human intervention
- Capability to accommodate concurrent users
- Capability to generate upward reporting on demand.

3.4 Test Strategy. A Test and Evaluation Master Plan (TEMP) will be developed for CEEMIS. Testing strategy includes plans for both developmental and operational test and evaluation.

Developmental tests will include a System Develop Test (SDT) whereby modular evaluation of each of the increments is tested for conformance to functional requirements; a Software Qualification Test (SQT) will be performed to ensure that system capabilities as well as functional and technical requirements are fulfilled.

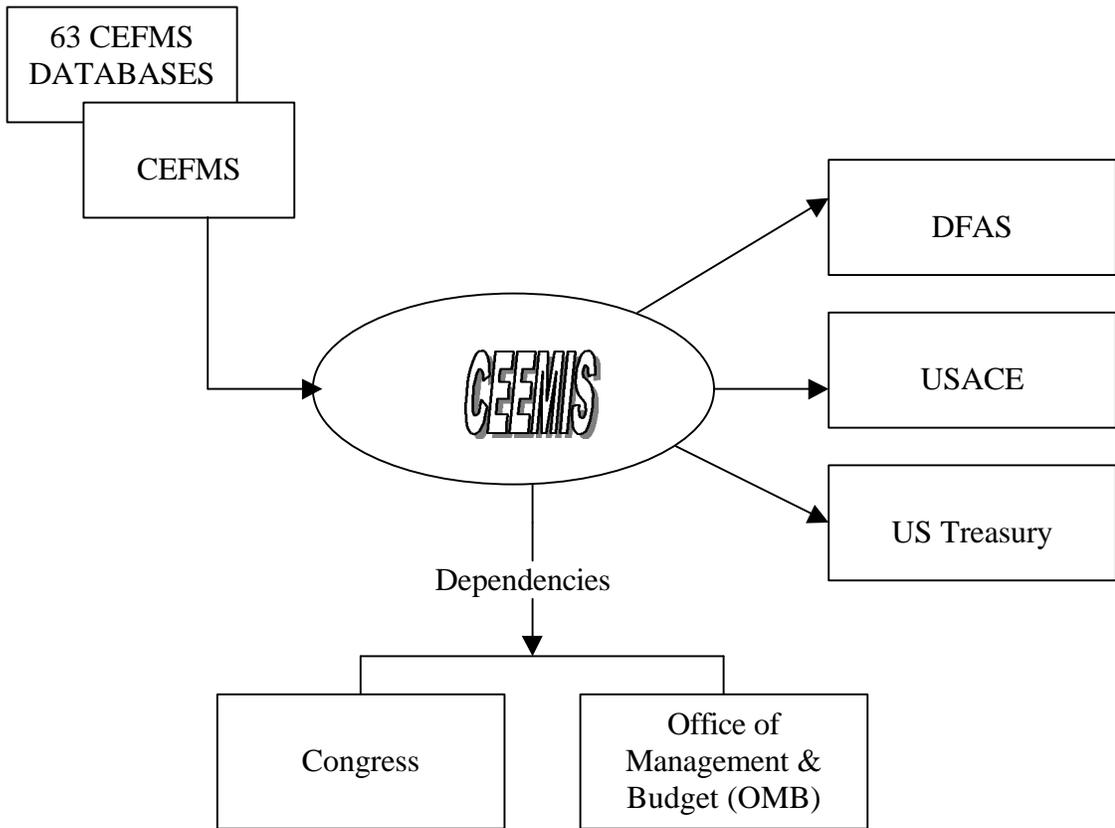


Figure 3-1. CEEEMIS Interfaces

Operational test and evaluations will include a Software Acceptance Test (SAT) performed after CEEMIS is fielded/deployed at each site. An operational test and evaluation will be conducted.

3.5 Training Requirements. A CEEMIS training curriculum will be designed and developed to accommodate all users.

3.5.1 Training Schedule. The CEEMIS training schedule will be developed and coordinated with the deployment schedule.

3.6 Product Baseline. CEEMIS will produce several types of upward reporting financial information transactions including:

- DELMAR 302 – Statement of Transactions
- DELMAR 304 – Statement of TBO Clearances
- DELMAR 1219 – Statement of Accountability
- Military General Ledger Trial Balance
- Revolving Fund Cash Reconciliation
- PRIP – Plant Replace/Improve Program
- Chief Financial Officer Financial Statements
- ENG3011B – Status of Work Allowances-Command Level Reports
- S and A Reports
- HAF 7801 Flash
- ENG3017 – Revolving Fund General Ledgers by Appropriation
- SF1220 Cumulative Report
- SF224 – Statement of Transactions and Accountability
- ENG3017C – Schedule of Plant, Properties, and Equipment
- HAF 7801 (BY FOA)
- ENG3021 – Results of Operation
- Payments to States
- CIVCON – Civil Works Construction Costs by CCS
- SF133 – Report on Budget Execution
- ENG3021 – Results from Operation by Work Item
- Warehouse Stock
- ENG3046 – Aging of Accounts Receivable
- Check Issue
- Information Management Cost
- Revolving Funds Cost
- ENG3011A – Status of Work Allowances
- SF1179 – BLK CTRL Totals CHKS Issued and Schedule Confirmed Dep
- ENG3011A – Status of Work Allowances – Command Level Reports
- Schedule D Revolving Fund Assets
- Natural Resource and Recreational Management Cost
- Real Estates Receipts
- Congressional Cash Flow Statement
- Congressional Financial Position Statement

- Postclose General Ledgers
- Cost of Doing Business Reports
- (submenu) Directorate of Civil Works Report
- (submenu) Housing and Urban Development Report
- (submenu) Environmental Reports
- (submenu) EPA Construction Grants Reports
- (submenu) Directorate of Resource Management Reports
- Embassy Vouchers
- Schedule 9 Accounts Receivable Due from the Public
- 56Y – Standard General Ledgers by Appropriation
- Prompt Pay Act Reporting
- Roads and Bridges Construction Costs

The system will offer monthly, quarterly, annual and on-demand reports, thus providing fiscal and other valuable information and guidance to all levels of management.

System and user documentation will consist of all materials produced for maintenance and operation of the system. These documents, at a minimum, will include the Users Manual, Security Plan, Quality Assurance Plan, and Configuration Management Plan.

SECTION 4.0 PROGRAM MILESTONE SCHEDULES

PROGRAM MILESTONE SCHEDULES								
MILESTONE	EVENT	COMPLETION (FY)						
		92	93/94	95	96	97	98	99
0	Concept Development							
I	Demonstration							
	System Qual. Test (SQT)							
	System Acceptance Test (SAT)							
II	Development							
	Operational Test & Eval							
III	Production & Deployment							
IV	Operations & Support							

Figure 4-1. CEEMIS MILESTONE SCHEDULE

SECTION 5.0 APPROVED FUNDING

Initially CEEMIS was funded through the Corps of Engineers Management Information System (COEMIS) Automated Information System (AIS) since it was regarded as the replacement for the upward reporting capability for a system slated for demise. In FY98 CEEMIS was funded on a fee-for-service basis through the AIS billing system administered by CERM. This funding is split on a percentage basis of 60/40 between civil and military sources, respectively.