OASAM - DOL-Document Management/Records Management (DM/RM)

Exhibit 300: Capital Asset Plan and Business Case
Part I: Summary Information and Justification (All Capital Assets)

Section A: Overview (All Capital Assets)

Date of Submission	9/11/2006
Agency	012
Bureau	DM - OASAM
Name of this Capital Asset	OASAM - DOL-Document Management/Records Management (DM/RM)
OMB Investment Type	01 - Major Investment
What kind of investment will this be in this Budget Year?	Planning

Provide a brief summary and justification for this investment, including a brief description of how this closes in part or in whole an identified agency performance gap:

To reduce costs, increase efficiencies and advance the goals of the eGov initiative, E-Records Management, DOL will implement a Department-wide Document Management/Records Management (DM/RM) system. The DM/RM system will enable DOL to establish an electronic record keeping and document management system to close the existing performance gaps. Section 207(e) of the E-Government Act of 2002 requires agencies' current electronic records to have NARA-approved records schedules for all records in existing electronic information systems by September 30, 2009. OMB Circular A-130(1)(k) requires all new electronic records systems to incorporate records management and archival functions into the design, development, and implementation of information systems. DOL does not currently have an electronic record keeping system to manage documents or email. DOL is currently experiencing needless retention and under retention of both records and electronic information in general. DOL is retaining information that has no legal retention obligation or ongoing business value while information that may have a legal retention obligation due to the Federal Records Act and E-Discovery runs the risk of being destroyed prematurely. A second performance gap includes a common need involving multiple IT Initiatives across the Department for a document and records management component. The initiatives requiring a DM/RM component will plug into this solution to meet their own mission, customer, business and NARA requirements. The DM/RM system will help DOL organize and control all of the Department's unstructured information such as documents, images, audio/video files, emails, and faxes while restricting accumulation of information that is deemed no longer useful, producing significant cost savings. The Department's Target Enterprise Architecture and Transition Sequencing Plan have identified DM/RM as an enterprise-wide business need and have included it in the 2006 DOL Enterprise Architecture. This initiative is in the Conceptual Planning Phase. FY2006 and FY2007 budget dollars will be used for conceptual planning, requirements gathering and market research. In FY2008, DOL will make an initial acquisition of the chosen solution and pilot the system to three LOBs. Following successful pilot and testing, DOL will roll-out the system Department-wide.

Did the Agency's Executive/Investment Committee approve this request?	Yes
If "yes," what was the date of this approval?	6/29/2006
Did the Project Manager review this Exhibit?	Yes
Has the agency developed and/or promoted cost effective, energy efficient and environmentally sustainable techniques or practices for this project.	No

Will this investment include electronic assets (including computers)?	Yes
Is this investment for new construction or major retrofit of a Federal building or facility? (answer applicable to non-IT assets only)	No
If "yes," is an ESPC or UESC being used to help fund this investment?	
If "yes," will this investment meet sustainable design principles?	
If "yes," is it designed to be 30% more energy efficient than relevant code?	
Does this investment directly support one of the PMA initiatives?	Yes
If "yes," check all of the PMA initiatives that apply:	Expanded E-Government
Is this investment for information technology?	Yes
Briefly describe how this asset directly supports the identified initiative(s)?	In line with the goal of Expanded Electronic Government and the E-Records Management Presidential Initiative, the DM/RM system will provide greater self-service and transparent access of information and records for citizens and stakeholders. It will also enable E-Discovery. Internally, DM/RM will enable knowledge workers to centrally, efficiently and effectively manage and access the Department's mission-critical information.

For information technology investments only:	
If the answer to Question, "Is this investment for information technology?" was "Yes," complete this sub-section. If the answer is "No," do not answer this sub-section.	
What project management qualifications does the Project Manager have? (per CIO Council's PM Guidance):	(2) Project manager qualification is under review for this investment
If this project produces information dissemination products for the public, are these products published to the Internet in conformance with OMB Memorandum 05-04 and included in your agency inventory, schedules and priorities?	N/A
Are the records produced by this investment appropriately scheduled with the National Archives and Records Administration's approval?	Yes

Section B: Summary of Spending (All Capital Assets)

Provide the total estimated life-cycle cost for this investment by completing the following table. All amounts represent budget authority in millions, and are rounded to three decimal places. Federal personnel costs should be included only in the row designated "Government FTE Cost," and should be excluded from the amounts shown for "Planning," "Full Acquisition," and "Operation/Maintenance." The "TOTAL" estimated annual cost of the investment is the sum of costs for "Planning," "Full Acquisition," and "Operation/Maintenance." For Federal buildings and facilities, life-cycle costs should include long term energy, environmental, decommissioning, and/or restoration costs. The costs associated with the entire life-cycle of the investment should be included in this report.

Table 1: SUMMARY OF SPENDING FOR PROJECT PHASES (REPORTED IN MILLIONS) (Estimates for BY+1 and beyond are for planning purposes only and do not represent budget decisions)				
	PY - 1 and Earlier	**PY 2006**	**CY 2007**	**BY 2008**
Total Budgetary Resources	0	0.0545	1.1	2

Note: For the cross-agency investments, this table should include all funding (both managing partner and partner agencies). Government FTE Costs should not be included as part of the TOTAL represented.

Section C: Acquisition/Contract Strategy (All Capital Assets)

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Section D: Performance Information (All Capital Assets)

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Section E: Security and Privacy (IT Capital Assets Only)

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Section F: Enterprise Architecture (EA) (IT Capital Assets Only)

In order to successfully address this area of the business case and capital asset plan you must ensure the investment is included in the agency's EA and Capital Planning and Investment Control (CPIC) process, and is mapped to and supports the FEA. You must also ensure the business case demonstrates the relationship between the investment and the business, performance, data, services, application, and technology layers of the agency's EA.

Is this investment included in your agency's target enterprise architecture?	Yes

If "no," please explain why this investment is not included in your agency's target enterprise architecture?

Is this investment included in the agency's EA Transition Strategy?	Yes

Will the application leverage existing components and/or applications across the Government (i.e., FirstGov, Pay.Gov, etc)?
No
If "yes," please describe.

Does this investment provide the public with access to a government automated information system?	No
If "yes," does customer access require specific software (e.g., a specific web browser version)?	
If "yes," provide the specific product name(s) and version number(s) of the required software and the date when the public will be able to access this investment by any software (i.e. to ensure equitable and timely access of government information and services).	

Part II: Planning, Acquisition and Performance Information

Part II should be completed only for investments identified as "Planning" or "Full Acquisition" or "Mixed Life-Cycle" investments in response to Part I, Section A above.

Section A: Alternatives Analysis (All Capital Assets)

In selecting the best capital asset, you should identify and consider at least three viable alternatives, in addition to the current baseline, i.e., the status quo. Use OMB Circular A-94 for all investments, and the Clinger Cohen Act of 1996 for IT investments, to determine the criteria you should use in your Benefit/Cost Analysis.

Did you conduct an alternatives analysis for this project?	Yes

Section B: Risk Management (All Capital Assets)

You should have performed a risk assessment during the early planning and initial concept phase of this investment's life-cycle, developed a risk-adjusted life-cycle cost estimate and a plan to eliminate, mitigate or manage risk, and be actively managing risk throughout the investment's life-cycle.

Does the investment have a Risk Management Plan?	No
What is the date of the risk management plan?	

Section C: Cost and Schedule Performance (All Capital Assets)

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