

## OASAM - SHIMS (Safety and Health Information Management System)

### Exhibit 300: Capital Asset Plan and Business Case Summary

#### Part I: Summary Information and Justification (All Capital Assets)

##### Section A: Overview (All Capital Assets)

Date of Submission	9/11/2006
Agency	Department of Labor
Bureau	DM - OASAM
Name of this Capital Asset	OASAM - SHIMS (Safety and Health Information Management System)
OMB Investment Type	01 - Major Investment
What kind of investment will this be in this Budget Year?	Mixed Life Cycle

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:

The Safety and Health Information Management System (SHIMS) Initiative, is a Web based E-Filing System responsible for the collection, submission and tracking of CA1 (Notice of Traumatic Injury and Claim for Continuation of Pay/Compensation) and CA2 (Notice of Occupational Disease and claim for Compensation) forms for the Department of Labor (DOL). SHIMS includes functions that collect Office of Safety and Health Administration's (OSHA) incident reports and eliminate manual reporting functions to OSHA. The initiative was developed and implemented specifically to comply with Federal on-the-job injury and illness reporting requirements under the Federal Employee Safety and Injury Initiative. SHIMS implements the goals of the President's Management Agenda (PMA) E-Government initiative, by providing accessible electronic services for workers to file injury and illness claims. It has been developed with reuse by all federal agencies in mind and has already been used by DOL, Transportation Security Administration, Department of Education, and Federal Air Marshals. Progress has been made towards expanding its use throughout the federal government. This provides a standardized, efficient way to report injury / illness claims to the Office of Workers Compensation at DOL.

SHIMS directly supports the Department's Strategic Goals of:

- Safe and Secure Workplaces -- by maximizing the use of reports and statistics, which will be more timely and accurate, to improve workplaces thus minimizing the opportunity for injury and absences; and
- Federal Government Efficiency - Reduce overall spending for workers compensation

SHIMS aligns with the President's Management Agenda in the areas of Expanding e-Government and Improving Financial Performance. SHIMS reuse is being actively pursued with other federal agencies in order to expand e-Government, such as Department of Health and Human Services. The increased timeliness of claims and reduction of overall spending supports the improvement in financial performance.

The specific goals of this Initiative are to:

- Reduce Lost Production Days by 1% (from previous year), per SHARE initiative
- Increase previous year timeliness rate by 5%, per SHARE initiative;
- Reduce overall spending for workers compensation by 1% (from previous year);
- Reduce total injury case rates and lost time case rates by 3% each per year;
- Increase the number of participating agencies by 3 agencies (per year)

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, Financial Performance
Is this investment for information technology?	Yes
Briefly describe how this asset directly supports the identified initiative(s)?	The use of SHIMS advances the goals of the E-Government initiative, by providing accessible electronic services for workers to file injury and illness claims.

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):	(1) Project manager has been validated as qualified for this investment
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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
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Are the records produced by this investment appropriately scheduled with the National Archives and Records Administration's approval?	No
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## 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	1.083	0.938	1.367	1.018

**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)**

*Sensitive Data*

\*\*\* SENSITIVE DATA: This information was omitted completely \*\*\*

**Section D: Performance Information (All Capital Assets)**

*Sensitive Data*

\*\*\* SENSITIVE DATA: This information was omitted completely \*\*\*

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

*Sensitive Data*

\*\*\* SENSITIVE DATA: This information was omitted completely \*\*\*

**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? Yes

What is the date of the risk management plan? 7/10/2006

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

*Sensitive Data*

\*\*\* SENSITIVE DATA: This information was omitted completely \*\*\*