

## HUD Electronic Records 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	5/21/2009
Agency	Department of Housing and Urban Development
Bureau	Working Capital Fund
Name of this Capital Asset	ADM - 663580 - HUD Electronic Records System (HERS)
What kind of investment will this be in this Budget Year?	Operations and Maintenance
<p>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:</p> <p>HUD's Electronic Records System supports several LOB of the BRM and provides alignment to the eRecords Mgmt and eGov initiatives. HERS supports the delivery of services to our program areas (PA's) and the public by providing on-line collaboration between PA's and HUD's business partners; the mgmt of Gov't. resources for IT; and responding to legislative and regulatory mandates, including 14 of the President's 24 Management Agenda items, and eGov initiatives including GPEA, GPRA and eSignature; the President's December 2007 directive for improved customer service to the general public and Executive Order 13392, Agency Goal E and contributes to Agency Goals A and D.</p> <p>HERS improves internal efficiency, effectiveness and accountability by consolidating, simplifying processing procedures through automation, integrating business functions into consolidated processes and systems, detailed tracking and more accurate reporting. As data and business functionality migrates to HERS, HERS enables the retirement of 9 legacy systems (ACORN, CMS, FMS and the 6 ASAASTS tracking databases). HERS will be fully compliant with ISO 15489-1, 9001 and 14001.</p> <p>As part of its overall modernization plan HUD is undertaking an enterprise office modernization initiative for its NARA-based records/document mgmt and to provide alignment with the eRecords Mgmt and eGov initiatives. HERS planning began in FY 03. The Dept. attempted to move forward with this effort as a Major investment for FY's 06/07/08. HERS is intended to be the cornerstone of a full enterprise document/content mgmt initiative for the Dept. and, as the first phase, to enable the retirement of 3 legacy mainframe systems for tracking, managing and reporting on the Agency's controlled correspondence and FOIA requests with a turn-key COTS product suite solution used to form the new Correspondence Tracking System (CTS), FOIA Management System2 (FMS2) and Public Access Link module (PAL). In FY 08 the initiative sustained an 80% budget cut and the same level budget cut is expected in FY's 09 and 10. The CTS/FMS2/PAL initiative phase is currently 98% complete.</p> <p>The scope of HERS has changed significantly due to several concurrent events: New mgmt in the sponsoring organization resulting in revised requirements; an 80% budget reduction; and the POC conducted for HERS confirmed that the COTS solution used for the new CTS/FMS2 solution would not suffice as an enterprise records mgmt solution, originally anticipated.</p>	
Did the Agency's Executive/Investment Committee approve this request?	Yes
If "yes," what was the date of this approval?	7/24/2008

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.	Yes
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
Briefly describe how this asset directly supports the identified initiative(s)?	HERS directly aligns and complements PMA expanded E-Gov's E-Records Mgmt Initiative particularly in the areas of Corresp Mgmt and enterprise ERM. It includes HUD's record retention sched, expanded use of official electronic recs and will direct transfer of permanent electronic and paper recs to NARA in accordance with their most recent guidance. HERS, CTS, FMS2 and PAL will utilize HUD's Documentum 5015.2 RM standard for Doc and Records Mgmt interfacing directly with the DocRecMgr.
Is this investment for information technology?	Yes
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 is the level of the IT Project? (per CIO Council PM Guidance)	Level 2
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
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?	No
Are the records produced by this investment appropriately scheduled with the National Archives and Records Administration's approval?	Yes
SENSITIVE DATA: Some of the questions/responses from this section were omitted.	

**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 thousands, 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.

<b>Table 1: SUMMARY OF SPENDING FOR PROJECT</b>			
* Costs in thousands			
	<b>PY 2008</b>	<b>CY 2009</b>	<b>BY 2010</b>
TOTAL BUDGETARY RESOURCES	.433223	.427	.368

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.

SENSITIVE DATA: Some of the questions/responses from this section were omitted.

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

SENSITIVE DATA: The information in this section was omitted completely.

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

SENSITIVE DATA: The information in this section was omitted completely.

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

SENSITIVE DATA: The information in this section was omitted completely.

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

In order to successfully address this area of the capital asset plan and business case, the investment must be included in the agency's EA and Capital Planning and Investment Control (CPIC) process and mapped to and supporting the FEA. The business case must demonstrate 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)? Yes

SENSITIVE DATA: Some of the questions/responses from this section were omitted.

**Part III: For "Operation and Maintenance" Investments ONLY (Steady State)**

**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
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What is the date of the risk management plan?	8/31/2007
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SENSITIVE DATA: Some of the questions/responses from this section were omitted.

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

SENSITIVE DATA: The information in this section was omitted completely.