

I.A.: OVERVIEW BY10

Descriptive Information BY10

Template Name	BY2010
Investment Name	OASAM - DOL-Document Management/Records Management (DM/RM)
Investment Revision Number	3
Is this investment a consolidated business case?	No
Point of Contact	Sullivan, Pete
Revision Comment	
Date of Submission	4/10/2009
Agency	Department of Labor
Bureau	DM - OASAM
Name of this Capital Asset	OASAM - DOL-Document Management/Records Management (DM/RM)
Exhibit 53 Part	IT Investments for Enterprise Architecture and Planning
OMB Investment Type	01 - Major Investment
OMB Exhibit 53 Major Mission Area	- None Specified -
What kind of investment will this be in this Budget Year?	Planning
OMB Short Description	To establish an enterprise-wide electronic record and document management system. To efficiently and effectively manage mission critical information and records in compliance with the Federal Records Act, NARA guidance, E-Gov Act, and the E-Records PPI.

Screening Questions BY10

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 goal of the Document Management /Records Management (DM/RM) investment is to establish a federated and standardized enterprise-wide electronic DM/RM system that fulfills the Department's electronic information management business needs and legislative and functional requirements. The objectives of the DM/RM investment are:

- * To efficiently and effectively manage all DOL electronic information including emails and records according to the Federal Records Act and NARA guidance.
- * To efficiently and effectively manage mission-critical information including storage, versioning, ownership, vertical and horizontal sharing, and search and retrieval capabilities.
- * To assist in complying with the E-Government Act of 2002, Section 207(e) which requires NARA-approved records schedules for all records in existing electronic information systems by September 30, 2009.
- * To comply with new DM/RM related legislation including for example the proposed H.R. 5811, the "Electronic Communications Preservation Act," which will likely require federal agencies' to capture, manage and preserve e-mail records in a manner that both complies with records disposition requirements in Title 44 and allows for retrieval of such information through electronic searches.

The DM/RM investment is currently in the Planning & Requirements Phase of the SDLC. A comprehensive DM/RM CBA was completed in December 2007 and was updated on December 4, 2008. On December 9, 2008, the DOL Technical Review Board approved the recommendation of the DM/RM Working Group (which includes members from each DOL Agency) to pursue the implementation of CBA Alternative #2; a hybrid hosting and unified concept of operations solution as it best fulfills the Departments DM/RM needs in a federated (i.e., unified and standardized) approach. In March 2009, administrative updates were made to the DM/RM CBA incorporating actual funding for FY08 and adjustments to the FY09 budget for PMO support and performing acquisition and procurement activities. FY10 dollars will be utilized for completing vendor/integrator procurement activities, defining Agency DM/RM related workflow processes, completing phased deployment plans, and completing detailed design activities.

Did the Agency's Executive/Investment Committee approve this request?	Yes
If "yes," what was the date of this approval?	12/8/2008
Did the Project Manager review this Exhibit?	Yes
Has the agency developed and/or promoted cost effective, energy efficient and environmentally sustainable techniques	No

or practices for this project.

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 and specifically describe for each selected how this asset directly supports the identified initiative(s)? (e.g. If E-Gov is selected, is it an approved shared service provider or the managing partner?)	In line with the goal of Expanded Electronic Government and the E-Records Management Presidential Initiative, the DOL's enterprise wide electronic records and document management system will efficiently and effectively manage mission critical information and records for the Department in compliance with the Federal Records Act, NARA guidance, OMB mandates and the E-Government Act of 2002.

IT Screening Questions BY10

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.

In addition to the Project/Program Manager FAC-P/PM or DAWIA certification level, what project management qualifications does the Project Manager have? (per CIO Council 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?	N/A
Are the records produced by this investment appropriately scheduled with the National Archives and Records Administration's approval?	Yes

I.B.: SUMMARY OF SPENDING BY10

Summary of Spending BY10

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.

SUMMARY OF SPENDING FOR PROJECT STAGES

* Costs in thousands

	2002 and Prior	2003	2004	2005	2006	2007	PY 2008	CY 2009	BY 2010
Planning									
Budgetary Resources	0	0	0	0	14	791	150	375	0
Acquisition									
Budgetary Resources	0	0	0	0	0	0	0	825	7200
Subtotal Planning & Acquisition									
Budgetary Resources	0	0	0	0	14	791	150	1200	7200
Operations & Maintenance									
Budgetary Resources	0	0	0	0	0	0	0	0	650
TOTAL									
Budgetary Resources	0	0	0	0	14	791	150	1200	7850
Government FTE Costs									
Budgetary Resources	0	0	0	0	0	27	39	77	154
Planning									
Budgetary Resources	0	0	0	0	0	27	39	0	0
Acquisition									
Budgetary Resources	0	0	0	0	0	0	0	77	154
Maintenance									
Budgetary Resources	0	0	0	0	0	0	0	0	0

Full time Equivalent BY10

Use the following table to provide the number of Government Full Time Equivalents (FTE) represented by the Government FTE Costs in the Summary of Spending Table. Numbers should be entered in decimal format for each of the categories listed.

FTE Table

	2002 and Prior	2003	2004	2005	2006	2007	PY 2008	CY 2009	BY 2010
Security	0	0	0	0	0	0	0	0	0
IT	0	0	0	0	0	0	0	0	0
Financial Management	0	0	0	0	0	0	0	0	0
Program Management	0	0	0	0	0	0.25	0.25	0.5	1
Other	0	0	0	0	0	0	0	0	0
Total*	0	0	0	0	0	0.25	0.25	0.5	1

I.C.: ACQUISITION/CONTRACT STRATEGY BY10

Sensitive Data

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

I.D.: PERFORMANCE INFORMATION BY10

Sensitive Data

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

I.E.: SECURITY AND PRIVACY BY10

Sensitive Data

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

I.F.: ENTERPRISE ARCHITECTURE (EA) BY10

General EA Questions BY10

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 the agency's EA Transition Strategy?

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., USA.gov, Pay.Gov, etc)? No

If "yes," please describe how the application will leverage existing components and/or applications across the Government.

II.A.: ALTERNATIVES ANALYSIS BY10

Analysis Background BY10

Part II is completed only for investments identified as "Planning" or "Full Acquisition" or "Mixed Life-Cycle" investments in response to Part I above.

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 investment? Yes

II.B.: RISK MANAGEMENT BY10

Risk Management Plan BY10

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? 8/8/2008

II.C.: COST AND SCHEDULE PERFORMANCE BY10

Sensitive Data

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