

HUD Electronic Records System (HERS)

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	4/13/2007
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?	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:

As part of its overall modernization plan, HUD is undertaking an enterprise office system modernization project for its records and document management. HUD's Electronic Records System (HERS) planning began in FY 2003, and the Department is now moving forward with this effort as a Major investment for FY 2007/2008. The HERS effort supports and permits HUD compliance with the PMA, GPEA, GPRA and the E-GOV ACT ERM and e-Sign initiatives.

This investment will use a full feature turn-key COTS solution including Documentum and the CAT/FOIA/SCAN/REDACT Xpress suite to provide an enterprise-wide solution for the HUD Electronic Record System (HERS). HERS supports two lines of business of the BRM: Supporting the delivery of services to our program areas by providing on-line collaboration between program offices and HUD's business partners; and the management of Government resources for information and technology. This initiative will support the full lifecycle of document, records, and correspondence management activities from creation to processing, collaboration, review, final publication, and archiving/record disposition activities (internal and to NARA) as well as audit trails and immediate retrieval of recent and historical archived information.

The HERS initiative will reduce processing times to close correspondence and FOIA requests, clear directives, and reduce the number of document/record management systems by eight (8). The HERS initiative will decrease the volume of paper for official records for correspondence and other documents resulting in reduced paper storage costs at NARA and at HUD. Valuable office space will become available to support the technology workforce and carryout the strategic goals and mission of the Department.

HERS will improve internal efficiency and effectiveness by simplifying processing procedures through automation, and integrating functions into one consolidated system. Systems will be replaced as data and business functionality is incorporated into HERS.

HERS will be fully compliant with ISO 15489-1, 9001 and 14001. Guidance/meetings/lessons learned documents provided by NARA and E-Gov participants are being used. Other agencies will be contacted as the Records Management function progresses.

Did the Agency's Executive/Investment Committee approve this request?	Yes
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If "yes," what was the date of this approval?	7/14/2007
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?	No
If "yes," will this investment meet sustainable design principles?	No
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 upcoming systems 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.

Table 1: SUMMARY OF SPENDING FOR PROJECT			
* Costs in thousands			
	PY 2007	CY 2008	BY 2009
TOTAL BUDGETARY RESOURCES	2499	254.057	427.000

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 II: Planning, Acquisition And Performance Information

Section A: Alternatives Analysis (All Capital Assets)

Did you conduct an alternatives analysis for this project? Yes

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.

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

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? 8/31/2007

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

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

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