

I.A.: OVERVIEW BY09

Descriptive Information BY09

Template Name	BY2009
Investment Name	OASAM - DOL-Document Management/Records Management (DM/RM)
Investment Revision Number	2
Is this investment a consolidated business case?	No
Point of Contact	Sullivan, Pete
Revision Comment	
Date of Submission	9/10/2007
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 Infrastructure, Office Automation, and Telecommunications
OMB Investment Type	01 - Major Investment
OMB Exhibit 53 Major Mission Area	
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 BY09

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 objective of the Document Management / Records Management (DM/RM) initiative is to establish an enterprise-wide electronic record and document management system at Department of Labor (DOL). This initiative seeks to close existing performance gaps and to address legislative requirements including:

- * To efficiently and effectively manage all DOL electronic information 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 respond to a common need for DM and RM functionalities that has been identified through DOL Agency Target Enterprise Architectures.
- * To comply 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 OMB Circular A-130(1)(k), that requires all new information systems to incorporate records management and archival functions into their design, development, and implementation.

The DM/RM initiative will provide the framework for the modernization and integration of all DOL electronic records and document management applications. The Department of Labor's Target Enterprise Architecture has identified Document and Records Management as an enterprise-wide business service based on information that has been reported through the Department's Enterprise Architecture Management System (DEAMS). The DOL Enterprise Architecture Program Office's analysis of DM-RM service components indicate that approximately 66 independent document management services and business functions can potentially be integrated and/or consolidated into the Department's Universal Document and Records Management solution. Further requirements and cost benefit analysis will be performed to determine whether the universal solution is suitable to meet the specific needs of an Agency investment.

This initiative is currently in the Planning & Requirements Phase of the SDLC. FY2008 activities consist of further development of the cost benefit analysis. FY2009 dollars will be utilized for acquisition / product selection activities, pilot planning and detailed design.

Did the Agency's Executive/Investment Committee approve this request?	Yes
If "yes," what was the date of this approval?	7/5/2007
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 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 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 BY09

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
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 BY09

Summary of Spending BY09

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.

REDACTED EXHIBIT 300 DME/Mixed BY09: OASAM - DOL-Document Management/Record...

	2001	2002	2003	2004	2005	2006	PY 2007	CY 2008	BY 2009
Planning									
Budgetary Resources	0	0	0	0	0	14	641	0	1850
Acquisition									
Budgetary Resources	0	0	0	0	0	0	0	0	2150
Subtotal Planning & Acquisition									
Budgetary Resources	0	0	0	0	0	14	641	0	4000
Operations & Maintenance									
Budgetary Resources	0	0	0	0	0	0	0	0	0
TOTAL									
Budgetary Resources	0	0	0	0	0	14	641	0	4000
Government FTE Costs									
Budgetary Resources	0	0	0	0	0	0	27	0	108
Planning									
Budgetary Resources	0	0	0	0	0	0	27	0	0
Acquisition									
Budgetary Resources	0	0	0	0	0	0	0	0	0
Maintenance									
Budgetary Resources	0	0	0	0	0	0	0	0	108

Full time Equivalents BY09

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.

	2001	2002	2003	2004	2005	2006	PY 2007	CY 2008	BY 2009
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	1
Other	0	0	0	0	0	0	0	0	0
Total*	0	0	0	0	0	0	.25	0	1

I.C.: ACQUISITION/CONTRACT STRATEGY BY09

Sensitive Data

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

I.D.: PERFORMANCE INFORMATION BY09

Sensitive Data

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

I.E.: SECURITY AND PRIVACY BY09

Sensitive Data

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

I.F.: ENTERPRISE ARCHITECTURE (EA) BY09

General EA Questions BY09

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., FirstGov, 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 BY09

Analysis Background BY09

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 project? Yes

II.B.: RISK MANAGEMENT BY09

Risk Management Plan BY09

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? 12/1/2006

II.C.: COST AND SCHEDULE PERFORMANCE BY09

Sensitive Data

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