

**U.S. Department of Labor
Office of the Chief Information Officer**



OFFICE OF THE CHIEF INFORMATION OFFICER

**FY18 IT Spend Plan Guidance
October 2017**



PREFACE

The United States Department of Labor (DOL or the Department) spends over \$500 million annually on a portfolio of information technology (IT) investments, which support the Department's mission and the delivery of customer services. This level of spending requires the Department to develop and implement a comprehensive approach to responsible management of these IT assets. This document, the DOL Fiscal Year (FY) 2017 Information Technology

(IT) Spend Plan Guidance, is to assist and support DOL Agency IT leaders and decision makers and IT investment stakeholders in developing, planning, managing, and reporting their annual agency IT spend plans.

The annual DOL IT Spend Plan process is supported and managed by the DOL Office of the Chief Information Officer (OCIO). For further information about this document or the DOL Capital Planning and Investment Control (CPIC) process, please contact the Department of Labor's OCIO, Room N1301, 200 Constitution Avenue, NW, Washington, DC 20210 or send an email to OCIOCapitalPlanning@dol.gov.



TABLE OF CONTENTS

PREFACE.....	I
TABLE OF CONTENTS.....	II
1 INTRODUCTION.....	3
1.1 PURPOSE.....	3
1.2 PREREQUISITES FOR COMPLETING THE IT SPEND PLAN.....	3
1.3 DOCUMENT REVISION HISTORY.....	4
2 GUIDANCE FOR COMPLETING THE IT SPEND PLAN.....	5
2.1 IT SPEND PLAN COMPLETION	5
2.1.1 INPUT AND/OR EDIT FY18 IT SPEND PLAN DATA DIRECTLY INTO eCPIC.....	5
2.1.2 INSTRUCTIONS FOR COMPLETING EACH FY18 IT SPEND PLAN DATA FIELD	6
2.1.3 INPUT AND/OR EDIT FY18 IT SPEND PLAN DATA DIRECTLY INTO eCPIC.....	10
2.2 AGENCY FY18 IT SPEND PLAN REVIEW AND APPROVAL.....	11

LIST OF FIGURES

Figure 1: Screen View of the IT Spend Plan Data Entry Fields in eCPIC	6
Figure 2: Screen shot of the “Save” button in eCPIC.....	10



1 INTRODUCTION

1.1 Purpose

As part of the Department's budgeting process, agencies are required to develop Information Technology (IT) spend plans capturing all planned agency IT acquisitions and correlate them to a major or non-major investment in the DOL IT Investment Portfolio Summary (ITIPS). These spend plans will assist agency decision making for planned IT expenditures and help manage acquisition requests.

Completed IT spend plans will be leveraged by the IT Acquisition Review Board (ITARB) to increase the efficiency and reduce the burden of individual agency ITARB requests. The ITARB will review completed agency IT spend plans and pre-approve agency IT acquisitions that have been determined by the CIO to need no further review. These pre-approved agency IT acquisitions will be able to proceed without having to prepare additional ITARB requests, thus reducing the number of individual ITARB requests while providing management visibility and oversight into IT acquisitions.

The FY 2018 IT Spend Plan template is located in the Electronic Capital Planning Investment Control (eCPIC) system. The development of an Agency IT Spend Plan is now an automated process. By automating the IT Spend Plan process Agencies will be able to:

- Easily enter IT purchase requests into a central shared database within the eCPIC System
- Utilize version control
- Central repository of data and improved access to their information
- Perform real time updates
- Maintain historical records of IT requests

1.2 Prerequisites for Completing the IT Spend Plan

Since the IT Spend Plan template is located in the DOL eCPIC system, DOL agencies will need to identify one or more personnel to establish an eCPIC user account (i.e., a user ID and password). To establish an eCPIC account, please contact the DOL eCPIC help desk by sending an email to the following address: eCPIC.Help.Desk@dol.gov. Agencies that have established users in eCPIC for past Spend Plan submissions do not need to request a new user ID.

Going forward, if you have any issues accessing your agency IT Spend Plan template or need assistance with eCPIC, please contact the DOL eCPIC help desk by sending an email to eCPIC.Help.Desk@dol.gov.



1.3 Document Revision History

Version	Date	Author	Description of Changes
6.0	10/04/2017	DOL OCIO	The initial version of this document was developed.
6.1	10/12/2017	DOL OCIO	Added pull down options for IT Tower, DOL Strategic Goal and Capability.
6.2	10/17/2017	DOL OCIO	Updated document to NEW CIO Format.
6.3	10/18/2017	DOL OCIO	Added eCPIC graphic. Updated definitions for IT Towers, DOL Strategic Goal and Capability.
6.4	10/20/2017	DOL OCIO	DOL Strategic Goal and Capability updates, QC review and edits of document.
6.5	10/23/2017	DOL OCIO	Pre-508 compliance check and updates.
6.6	10/24/2017	DOL OCIO	Added section '2.1.2 Export eCPIC Table to Excel' and section '2.1.3 Import eCPIC Table to Excel'. Added Figure 3 and Figure 4.
6.7	10/25/2017	DOL OCIO	Removed sections '2.1.2' and '2.1.3'. Added DOL IT Strategic Goal and Capability definitions. Added description for multi-select list box.
6.8	10/26/2017	DOL OCIO	Added 'Other' to Capabilities data field. Updated 'Figure 1' to show updated fields.
6.9	10/26/2017	DOL OCIO	508 compliance validation. Final version.



2 Guidance For Completing the IT Spend Plan

This section provides specific guidance for DOL agencies on how to develop and complete their individual FY18 IT Spend Plan.

2.1 IT Spend Plan Completion

DOL agencies' users who have an eCPIC account and permissions to their agency IT Spend Plan template will be able to input and/or edit FY18 IT Spend Plan data directly in eCPIC.

More detailed instructions on how to login and access the table are described in the subsections below.

2.1.1 Input and/or Edit FY18 IT Spend Plan Data Directly into eCPIC

Use the following instructions to enter information into the IT Spend Plan template within eCPIC using the data table feature.

1. Login to eCPIC using the assigned eCPIC account in lower case. If an eCPIC account is needed, please contact the eCPIC help Desk.
2. Once a user has logged in, eCPIC will display a screen showing an agency IT investment, which contains the agency IT Spend Plans. The user should select the agency IT Investment to open it.
3. Once an IT investment is opened, select the "Browse Sections" item at the top of the IT investment window and navigate down the drop-down menu to select the "FY 18 IT Spend Plan" option. Select the plus sign (+) to expand the menu options. Within the "FY 18 IT Spend Plan" section, select the "FY18 IT Spend Plan" subsection to see and open the agency IT Spend Plan table.
4. To add a line item or single entry into the agency spend plan table, click the "Insert New Row". A window will open with the required fields for population. Figure 1 below shows a screen view of the IT Spend Plan fields a user will need to populate, within eCPIC, to add a new spend plan contract item.
5. The window will contain a mixture of drop-down menus and open fields. All populated data will represent your planned IT purchase and a line item on your IT Spend Plan.
6. Enter data into the applicable fields. Note: Every field is required must contain data before the table can be saved. Enter one IT acquisition per line. Section 2.1.2 below provides specific definitions for completing each IT Spend Plan field. This information is also contained in eCPIC IT Spend Plan module under the 'IT Spend Plan Field Descriptions'.



Spend Plan ID (Admin Use Only)	<input type="text"/>	Agency Submitter	<input type="text"/>
	250 characters remaining		250 characters remaining
Region or Location	<div>Please Select Atlanta Boston Chicago</div>	DOL Acquisition Number	<input type="text"/>
			250 characters remaining
Product or Vendor Name	<input type="text"/>	IT Tower	<div>Please Select Compute End User Data Center</div>
	250 characters remaining		
Description	<input type="text"/>	Anticipated Award Date	<div>Please Select 1st Qtr 2nd Qtr 3rd Qtr</div>
	250 characters remaining		
FY Acquisition Value (in dollars, not total contract value)	<input type="text"/>	Agency & Investment Name	<div>Please Select ALJ - ALJ Case Tracking System (CTS) ASP - Data Exchange and Analytics Platfor ASP - ELAWS (Employment Laws Assistanc</div>
	20 characters remaining		
Agency & Ull	<div>Please Select ALJ - 012-000003180 ASP - 012-000000053 ASP - 012-000002485</div>	Funding Source	<div>Please Select DM SE: 012-25-0165-0 BLS SE: 012-20-0200-0 DOL - IT Modernization: 012-25-0162-0</div>
Type of Request	<div>Please Select Existing Request New Request</div>	DOL IT Strategic Goals	<div>Please Select Create Enterprise Platforms Modernize Legacy Applications Secure and Enhance the Infrastructure</div>
Capability	<div>Please Select Case Management Cloud Hosting Data Analytics</div>	ITARB Status (Admin Use Only)	<div>Please Select Approved Deferred</div>
<div>Update Cancel</div>			

Figure 1: Screen View of the IT Spend Plan Data Entry Fields in eCPIC

2.1.2 Instructions for Completing Each FY18 IT Spend Plan Data Field

Each of the IT Spend Plan data fields are listed below with instructions for completing. All data fields listed below are required fields to be entered by the user unless indicated by “Admin Use Only”.

Spend Plan ID (Admin Use Only)

Instructions: This is a System Administrator field that will be completed by the eCPIC Administrator once the FY18 IT Spend Plan review has been completed. The assigned unique ID is to identify each individual IT Spend plan line item.

Agency Submitter

Instructions: Enter the first and last name of the person completing and submitting this IT Spend Plan template in eCPIC. This is a text field that can accommodate up to 250 characters.



Region or Location

Instructions: Select from the drop down menu the primary region or location in which the IT acquisition or contract will be managed and/or applies. If the acquisition or contract is based out of the DOL National Office, then select National Office (FPB), where FPB = Francis Perkins Building at 200 Constitution Avenue, NW, Washington D.C.

The drop-down menu for this field includes the following choices:

- Atlanta
- Boston
- Chicago
- Dallas
- Denver
- Kansas City
- New York
- National Office (FPB)
- Philadelphia
- San Francisco
- Seattle.

DOL Acquisition Number

Instructions: Enter the DOL Acquisition No. from your contract documentation or contact your contracting officer for the assigned DOL acquisition number. If a DOL acquisition number has not yet been assigned, then indicate "TBD". This is a text field that can accommodate up to 250 characters.

Product or Vendor

Instructions: Enter the primary vendor name responsible for the IT acquisition or contract.

IT Tower

Instructions: IT Tower Taxonomy is a breakdown of costs at a more granular level. This is a Multi Select List Box where one or more options can be selected from the list. The list drop-down menu for this field includes the following choices:

- Compute - Physical and virtual servers running a version of Microsoft's Windows Server or the Linux operating system; includes hardware, software, labor and support services. Optional Level 3 categories include: Windows, Linux and Public Cloud Compute.
- End User - Client compute physical desktops, portable laptops, thin client machines, peripherals (including monitors, pointer devices and attached personal printers) used by individuals to perform work.
- Data Center - Purpose-built data center facilities that house and protect critical IT equipment including the space, power, environment controls, racks, cabling, and "smart hand" support.
- IT Management - IT management and administration resources; typically CIO, senior IT leaders and administrative support including centralized IT strategy and planning.
- IT Security & Compliance - IT Security resources setting policy, establishing process & means, measuring compliance and responding to security breaches.
- Network - Physical and wireless local area network connecting equipment within the core data centers and connecting end users in office working areas to the company's broader networks. Wide area network equipment, labor and



support services directly connecting data centers, offices and third parties (excludes telecom and communication services).

- Output - Central print services; often provided to support customer billing or customer documentation support processes.
- Storage - Central storage such as SAN, NAS and similar technologies for the distributed compute infrastructure; includes the equipment, software and labor to run and operate. Optional Level 3 categories include: On-Prem, Public Cloud Storage.

Description

Instructions: Provide a brief description of the purpose and scope of the acquisition, contract, or purchase request. The description and scope should be clear and understandable to anyone not familiar with the acquisition or contract. All of the hardware, software, services, and/or other materials being acquired as part of the contract should be described. All acronyms should be spelled out the first time they appear in the description. Recommend the description be cut and pasted from the purchase request or SOW, SOO, or PWS for consistency. This is a text field that can accommodate up to 250 characters.

Anticipated Award Date

Instructions: Select from the drop down menu the fiscal year quarter in which you anticipate awarding a contract. Note it is assumed the award data will be in the fiscal year of this IT Spend Plan. Contracts with anticipated award dates beyond the fiscal year of this IT Spend Plan should not be entered into the Spend Plan.

The drop-down menu for this field includes the following choices:

- 1st Qtr.
- 2nd Qtr.
- 3rd Qtr.
- 4th Qtr.

FY Acquisition Value in dollars (\$) – not total contract value.

Instructions: Enter the acquisition value (i.e., approved funding amount) for the acquisition or contract in dollars for the fiscal year of the IT Spend Plan. The funding amount should be consistent with the value reported and approved in the funding document or purchase request. Do not enter the total contract value (or ceiling value) or IGCE annual values since these values are considered estimates.

This data field is a numeric field where users enter the acquisition value in dollars. For example: 987,654,321 is entered representing the number nine hundred eighty seven million, six hundred fifty four thousand, and three hundred twenty one

Agency & Investment Name

Instructions: Select from the drop down menu the applicable IT Agency and Investment Name associated with the acquisition or contract. DOL IT investments include major and non-major IT platforms, systems, services, applications, projects, and/or activities. DOL's IT investments are identified in the DOL IT Investment Portfolio Summary (ITIPS) and are reported to OMB on an annual basis via the DOL OCIO Capital Planning and Investment Control (CPIC) process. To identify and select the correct investment name, you will need to identify the IT platform, system, service, application, project, or activity the acquisition or contract is associated with and then identify the applicable IT name from the project or program manager (PM). The PM should be able to identify the IT investment name from the DOL ITIPS spreadsheet. The latest copy of the DOL ITIPS spreadsheet can be found in the OCIO Resource Library on LaborNet. The Agency name precedes the Investment Name to assist agency submitters in identifying the correct entry.



See the drop-down menu in the IT Spend Plan in eCPIC for the list of Agency & IT investment Names

Agency & UII

Instructions: Select from the drop down menu the applicable IT Agency and UII (Unique Investment Identifier) associated with the acquisition or contract. DOL's IT investments UII are identified in the DOL IT Investment Portfolio Summary (ITIPS) and are reported to OMB on an annual basis via the DOL OCIO Capital Planning and Investment Control (CPIC) process. To identify and select the correct investment UII, you will need to identify the IT platform, system, service, application, project, or activity the acquisition or contract is associated with and then identify the applicable IT name from the project or program manager (PM). The PM should be able to identify the IT investment name and its associated UII from the DOL ITIPS spreadsheet. The latest copy of the DOL ITIPS spreadsheet can be found in the OCIO Resource Library on LaborNet. The Agency name precedes the UII to assist agency submitters in identifying the correct entry.

See the drop-down menu in the IT Spend Plan in eCPIC for the list of Agency & UII.

Funding Source

Instructions: Select from the drop down menu the applicable funding source associated with the acquisition or contract. The funding source represents the planned budget account upon which approved funds will be used to pay for goods and services acquired via an acquisition or contract. Per DOL Office of Procurement Service (OPS) policies, an acquisition or contract cannot be awarded without funding approval. Funding approval requires identifying the funding source from DOL Department Budget Center (DBC) or the OCFO.

See the drop-down menu in the IT Spend Plan in eCPIC for the list of Funding Sources.

Type of Request

Instructions: Select from the drop down menu the type of request. The two choices include: (1) Existing Request, which is an acquisition that has been previously procured by the agency (2) New Request, which is an acquisition that has not been previously procured by an agency so has no existing contract number or is a new task order associated with an existing contract number.

The drop-down menu for this field includes the following choices:

- Existing Request
- New Request.

DOL IT Strategic Goal

Instructions: Select from the drop down menu the DOL Strategic goal this acquisition maps to. DOL OCIO identified guiding principles for prioritizing IT initiatives required by the Department, planned for the enterprise and requested by DOL agency customers.

This is a Multi Select List Box where one or more options can be selected from the list. The list drop-down menu for this field includes the following choices:

- Create Enterprise Platforms - Create a common environment for the enterprise platform standards, processes, and governance.
- Modernize Legacy Applications - Facilitate the modernization of legacy applications through the formation of business partnerships with mission agencies and the implementation of technical standards.
- Secure and Enhance the Infrastructure - Modernize and standardize DOL's infrastructure.
- Transform the Customer Experience - Modernize and standardize information systems, equipment and services.
- N/A – Not Applicable.

Capability

Instructions: Select from the drop down menu the capability this IT acquisition aligns with. The capability is attributed to the IT function that is being performed. This is a Multi Select List Box where one or more options can be selected from the list. The list drop-down menu for this field includes the following choices:

- Case Management - is the process of handling of case (or claim)-related work through the use of technologies.
- Cloud Hosting - Cloud hosting is when an organization outsources its cloud storage to a service provider. The cloud provider oversees setup, infrastructure, security and maintenance, while possibly allowing the clients to customize hardware and applications and scale servers online.
- Data Analytics - the process of examining data sets in order to draw conclusions about the information they contain, increasingly with the aid of specialized systems and software.
- IT Modernization – describes activities and efforts towards transforming information technology so Agencies can achieve mission goals, reduce operating costs, and improve performance.
- Legacy System – described as systems that are end-of-life, systems have limited threat detection capabilities, carry a high cost of ownership, are difficult to modify to meet business demands and and consume a high percentage of IT budget and human resources.
- Other – IT Acquisition does not completely align.

ITAR Status (Admin Use Only)

Instructions: This is a Read Only field that will be completed by the eCPIC Administrator once the FY18 IT Spend Plan review has been completed. The available options are as followed: (1) Approved or (2) Deferred. If a line item is clarified as Approved, then an ITARB request is not required. If a line item is clarified as a Deferred, then an ITARB request is required and should be submitted.

2.1.3 Input and/or Edit FY18 IT Spend Plan Data Directly into eCPIC

Once an agency has completed entering all planned IT purchases for FY18, select the SAVE icon, as shown in a red circle in Figure 2 below, to save and store the data in eCPIC.

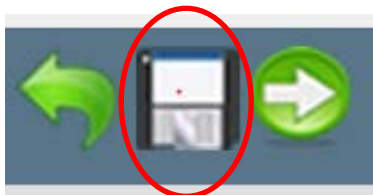


Figure 2: Screen shot of the “Save” button in eCPIC

When an agency’s IT Spend Plan is complete, please send an email to ITIM@dol.gov, notifying the OCIO your FY18 IT Spend Plan has been finalized and ready for review.



2.2 Agency FY18 IT Spend Plan Review and Approval

The OCIO will then review each submitted FY18 IT Spend Plan and each individual line item will be assigned the following:

1. Spend Plan ID
2. ITARB Status

Note: This information will be shown in eCPIC after the pre-approval process.

Once the OCIO has reviewed each agencies submitted IT Spend Plan, a FY18 IT Spend Plan evaluation will be returned to each agency submitter.