

Integrating Records Management and the Capital Planning Process



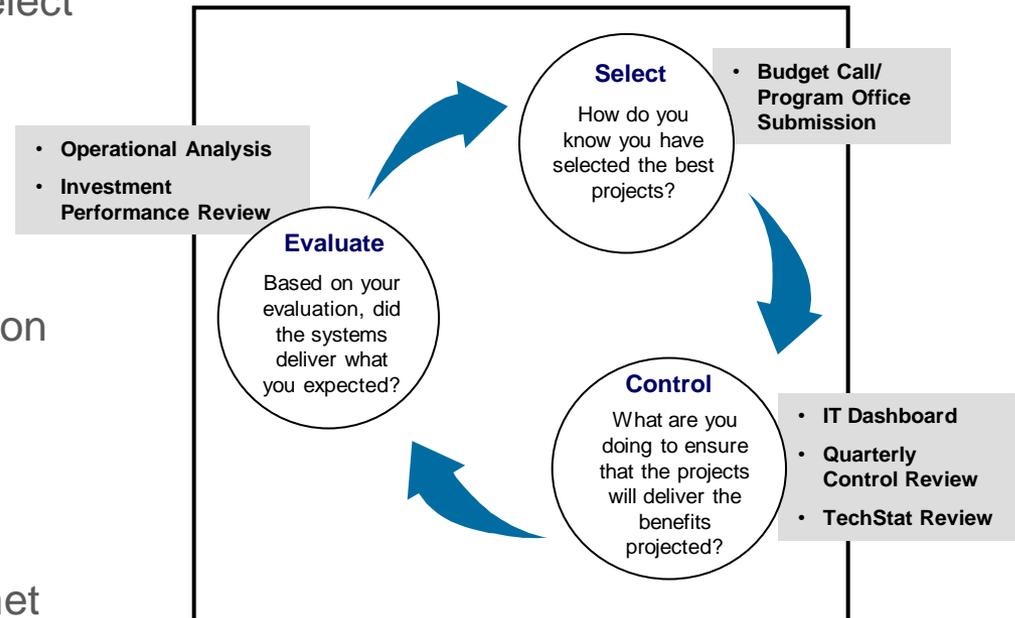
Transformation
through Partnerships

Carol Blackston & Michael Pupjak

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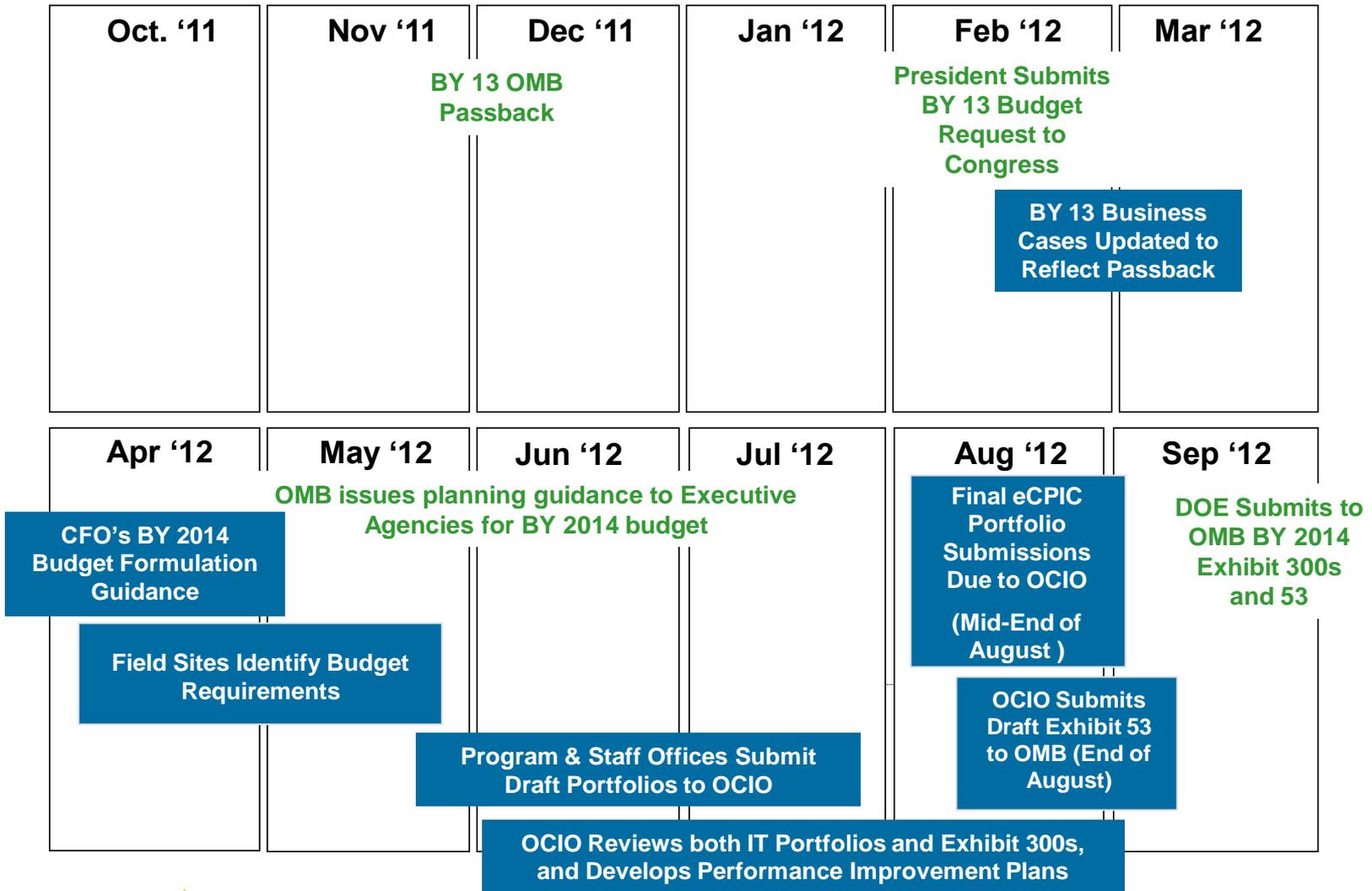
- DOE's Capital Planning and Investment Control (CPIC) process is an annual cycle comprised of the Select, Control and Evaluate processes.
 - The purpose of the **Select Phase** is to assess the costs/benefits of all proposed investments and to select the optimal portfolio of IT investments.
 - During the **Control Phase**, the IT portfolio is monitored for performance and corrective action is applied where needed.
 - In the **Evaluate Phase**, implemented investments are reviewed to assure they have met their intended objectives and yielded expected benefits as outlined in the business case.

Phases of DOE's CPIC Process



Managing Records Management Applications

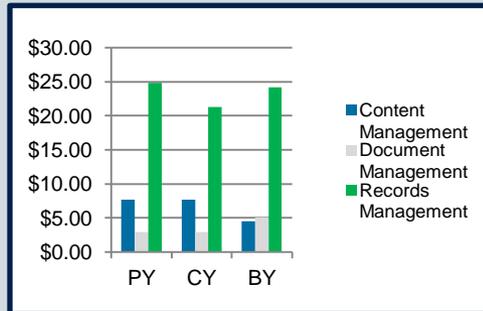
Tentative BY 2014 Budget Reporting Timeline



BASELINE

TARGET

FY 2012 Records Management Portfolio

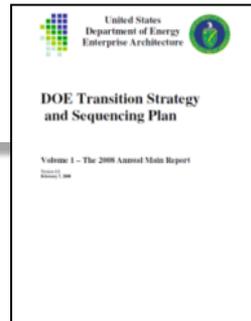


▪ Total 2012 (CY) Funding: \$36M ¹

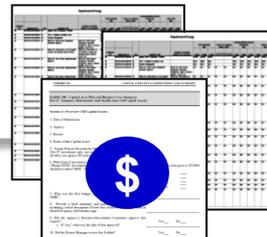
▪ Total Investments: 30

- Content Management: 10/ \$12M
- Document Management: 9/\$3M
- Records Management: 11/\$21M

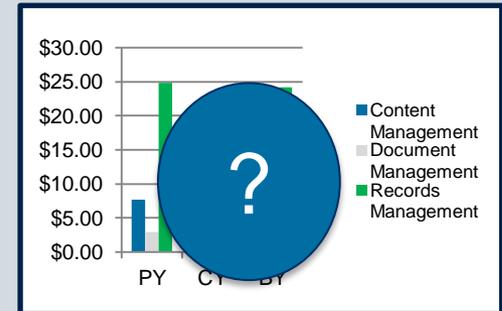
Transition Plans



CAPITAL PLANNING



Records Revitalization Portfolio



▪ Total Future Funding: TBD

▪ Total Investments: TBD

- Content Management: x/ \$
- Document Management: x/\$
- Records Management: x/\$

Budget Alignment

Budget Formulation

¹ Total is based on investments' alignment to SRM categories per final BY 2013 budget. Total does not take into account that only a portion of an investment may be related to records management. If an investment aligned itself to an SRM, the entire cost of the investment was included in the total.

1. How does the investment provide electronic recordkeeping functionality and controls to support the management of records over the full records lifecycle in electronic format?

- Built-in records management lifecycle support
- Records management capability provided by a separate records management application (provide investment name, vendor, and version)

2. Do you have a plan(s) for how the investment will ensure:

- a) electronic records remain retrievable, usable, and shareable for as long as needed to conduct agency business;
- b) hardware and software dependencies of electronic records are appropriately mitigated when records must be retained beyond the life of the investment in which they were created;
- c) the records can be transferred to the National Archives and Records Administration in accordance with 36 CFR Subchapter B, Part 1235?

Yes (please state the name of the plan)

No

3. Identify the approved NARA records disposition schedule(s) to be applied to the investment's records; and, if the investment will be used for information collection, the OMB control number.

- OCIO will offer a series of series of CPIC and eCPIC trainings over the next few months to cover BY 2014 IT reporting requirements:
 - Information Management Conference
 - What's New in Capital Planning? (April 16th, 2 PM – 3 PM CST)
 - Hands-on eCPIC Training (April 16th, 4 PM – 5 PM CST)
 - Please bring your own laptop and air card to access the Internet.*
 - CPIC (Exhibit 300 and Exhibit 53) and eCPIC Training
 - May 2nd (9AM – 4PM EST): Germantown F-017 (one-day course)
 - May 8 & 9th (9AM – 4PM EST): Forrestal GE-016 (two-day course)

To register for any of the courses, please send an email to the DOE CPIC Mailbox at DOE.CPICMailbox@hq.doe.gov, indicating which days you would like to attend or if you are interested in attending via WebEx.