

## **Step 10B:**

# **Incorporate Major Recommendations Into Investment Request (as necessary)**

Version 1.0, February 2005

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### **1 Step Description/Objectives:**

Step 10B, *Incorporate Major Recommendations Into Investment Request (as necessary)*, is an optional step that is only performed when you have recommendations that cannot be carried out using O&M funding for existing systems and investments (in other words, a new investment is required). During this step, you will create the documents required to get an investment started in the CPIC process, including the OMB Exhibit 300. **It is vital to synchronize this task with the budget process (you must complete this step prior to the annual Budget Call to Bureaus in April) to avoid unnecessary delays in implementing the blueprint.** This step is intended to provide input to the CPIC process, not to replace any portion of it.

#### **Objectives:**

- Formally define and initiate any needed investments through the CPIC process
  - Gain funding and sponsorship for major recommendations
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### **2 Step Purpose:**

Step 2 is performed for the following purposes:

- Secure needed funding for the recommended changes in the modernization blueprint

#### **Impact of Not Performing this Step**

Step 2 creates the necessary investment documents to initiate new projects that implement the blueprint. If Step 2 is not performed:

- Funding will not be secured or will be delayed
  - Implementation of the blueprint will fail or be delayed
  - Any minor recommendations dependant on these projects will also fail or be delayed
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### **3 Tasks to Perform Step:**

Step 2 starts with the following inputs:

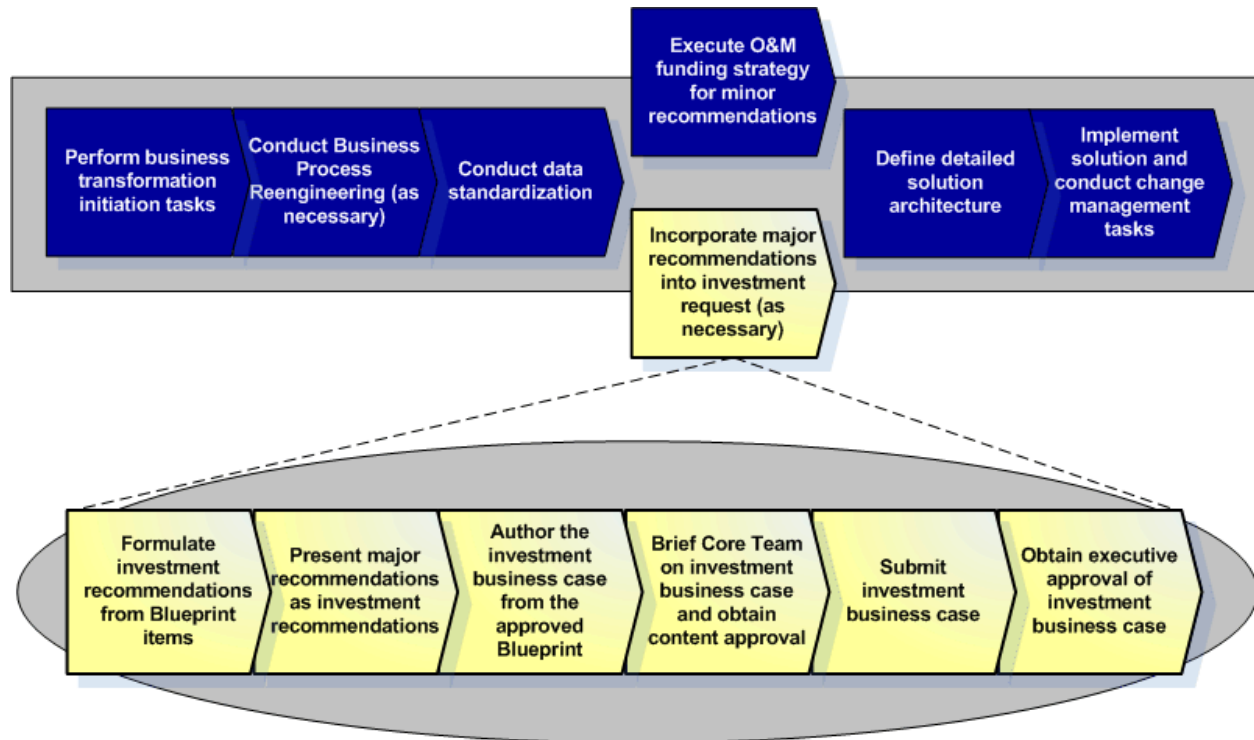
#### **Inputs:**

- Final Modernization Blueprint
- Modernization Blueprint Presentation: Recommendations and Findings

#### **Detail:**

## Step 10B Guidance: Incorporate Major Recommendations Into Investment Request (as necessary)

Within this step, there are six major Tasks, each associated with sub-activities:



### Task 1: *Formulate CPIC pre-select recommendations from Blueprint items funded outside of O&M.*

You will work with the Portfolio Owner to complete investment proposals to implement the recommendations in the Blueprint. Each proposal contains a reduced set of the information required to create an OMB Exhibit 300 and follows the same format, with some sections being reserved. You will need to complete the sections describing the business purpose of the investment, its data and technologies. At this stage it is acceptable to be somewhat vague, as not all the details are known. You are simply seeking approval to proceed further.

Using the prioritized recommendation list, create as many investment proposal documents as are necessary to implement the recommendations. There may not be a one to one correspondence between investments and recommendations; an investment proposal may combine several recommendations or a single recommendation may require several investments to properly implement. Or you may only need a single capstone investment to cover all recommendations. The information required for an investment proposal will be contained in the blueprint. Your agency or DOI CPIC personnel should be able assist you in the creation of these documents, as well as deciding how many to create.

#### Communication:

None Required.

## **Step 10B Guidance: Incorporate Major Recommendations Into Investment Request (as necessary)**

### **Activities:**

1. Complete investment proposals by completing the sections that describe the business purpose of the investment, its data and technologies.
2. Create as many investment proposal documents as are necessary based on the information in the Modernization Blueprint.

### **Task Outputs:**

- CPIC pre-select Documents (Investment Proposals)

**Task 2: *Present major recommendations as pre-select candidates to IRB.*** Using the existing Modernization Blueprint presentation and Investment Proposals, create a briefing describing the proposed investments that will implement the Blueprint's recommendations. Clearly identify dependencies between the investments. As the IRB has already approved the recommendations, gaining approval for the Updated Investment Proposals should be relatively straight forward.

Present the briefing to the IRB and await approval or feedback on the Updated Investment Proposals.

### **Communication:**

As a part of this task, you will communicate with the IRB

### **Activities:**

1. Create briefing, describing proposed investments necessary to implement the Blueprint's recommendations (identify dependencies between recommendations).
2. Present briefing to IRB.
3. Collect feedback.

### **Task Outputs:**

- IRB Briefing
- Updated Investment Proposals

**Task 3. *Author the Exhibit 300 from the approved Blueprint.*** Using the Modernization Blueprint and additional information from DEAR, work with the Portfolio Owner to expand the approved Investment Proposal to a full Exhibit 300. The Exhibit 300 is a complex document that incorporates many sections and requires input from many sources. There are many resources available to help you with this task. For a list, see the DOI CPIC web site at <http://www.doi.gov/ocio/cp/index.html>. The Exhibit 300 changes from year to year - please consult this site and your CPIC personnel to assist you.

### **Communication:**

Communicate as needed. You may require assistance from various offices within DOI or the Bureaus to create the sections.

## **Step 10B Guidance: Incorporate Major Recommendations Into Investment Request (as necessary)**

### **Activities:**

1. Use approved Investment Proposal to create a draft Exhibit 300.

### **Task Output:**

- Draft Exhibit 300

### **Task 4. *Brief Core Team on Exhibit 300 and obtain content approval.***

### **Communication:**

Internal with Core Team

### **Activities:**

1. Brief the Core Team on the previously created Exhibit 300.
2. Allow a period for feedback and incorporate appropriate feedback into the Exhibit 300.

### **Task Outputs:**

- Updated Draft Exhibit 300

**Task 5. *Submit Exhibit 300 to CPIC.*** Once you have the internally approved Exhibit 300, the Portfolio Owner will submit it for the CPIC process. This process will involve reviews by DOI, its CPIC Support contractor(s), and the OMB. Since you have used the information in the Blueprint, your Exhibit 300 should receive a strong score. You may be asked to revise the 300 based on these evaluations. If so, incorporate these revisions. This process can take several months to more than a year to complete.

### **Communication:**

You will communicate to submit the draft 300.

### **Activities:**

1. Submit internally approved Exhibit 300 for CPIC process.

### **Task Outputs:**

- Updated Draft Exhibit 300

**Task 6. *Obtain approval of Exhibit 300.*** This task is simply a milestone indicating that your Exhibit 300 has been approved.

### **Communication:**

None required.

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### **Activities:**

None required.

### **Task Outputs:**

- Approved Exhibit 300

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## **4 Step Participants: (Use Bullets)**

- **Core Team:** Org
- **Enterprise Architect:** Person
- **Investment Review Board:** Org
- **Portfolio Owner:** Person
- **Portfolio Management:** Org

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## **5 Dependencies:**

The Blueprint must be created by the team and approved by the IRB. The recommendations must be correctly categorized as to whether they require new investments. The Portfolio Owner must be ready and willing to implement the recommendations in the Modernization Blueprint. **Tasks one through four must be completed prior to April or there may be a one year delay due to synchronization with the budget cycle.**

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## **6 Step Deliverables:**

**CPIC Pre-select Documents (Investment Proposals)** – A subset of the Exhibit 300 containing the business justification for the investment.

- **TEMPLATE :** Hyperlink to Template (**Deliverable Type: Word Document**)
- **TEMPLATE :** Hyperlink to Template (**Deliverable Type: PDF Format**)

**IRB Briefing** – Briefing describing mapping between Blueprint recommendations and Investment proposals.

- **TEMPLATE :** Hyperlink to Template (**Deliverable Type: PowerPoint Presentation**)

**Draft and Final OMB Exhibit 300** – Document required for OMB approval of IT Investment.

- **TEMPLATE :** Hyperlink to Template (**Deliverable Type: Word Document**)
- **TEMPLATE :** Hyperlink to Template (**Deliverable Type: PDF Format**)

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## **7 Communications Considerations:**

This Step, *Incorporate Major Recommendations Into Investment Request (as necessary)*, involves communication with the IRB and IT Capital Planning personnel. Other communication will be completed as needed to complete the Exhibit 300.

## **8 References:**

DOI CPIC web site at <http://www.doi.gov/ocio/cp/index.html>.