

**Attachment 2**  
**Instructions for Investment Proposal (IT Assets) Part I.**

*BLM instructions are annotated in Italics font. For an Investment Proposal (IP) or State/Center investment document, complete the sections below. A number of sections and/or questions in the Office of Management and Budget Exhibit 300 Capital Asset Plan and Business Case template are not answered at the IP Stage. These sections and/or questions were removed or are marked as reserved.*

Agency <sup>1</sup>	<i>Enter: Department of the Interior</i>				
Bureau <sup>2</sup>	<i>Enter: Bureau of Land Management</i>				
Name of Project	<i>Enter the proposed project's name and acronym (if appropriate)</i>				
Project Initiation Date	<i>Enter the date the project will start or did start. A project usually starts when the original idea receives its first management approval.</i>				
Project Planned Completion Date <i>Enter the planned end date based upon the investments phase and stage.</i>					
<ul style="list-style-type: none"> <li><i>For an IP, enter the date the IT investment will be deployed. Proposals should try to provide usable segments within 18 months. Subsequent segments should deploy every 8 to 14 months.</i></li> </ul>					
This Project is: Initial Concept <input type="checkbox"/> Planning <input type="checkbox"/> Full Acquisition <input type="checkbox"/> Steady State <input type="checkbox"/> Mixed Life Cycle <input type="checkbox"/> <b><i>Enter an X for Initial Concept at IT Clearinghouse, IP Stage of the Bureau Investment Management process.</i></b>					
Is this investment included in your agency's <sup>3</sup> annual performance plan or multiple agency annual performance plans? <b><i>Enter an X to the right of Yes or No in response to the question.</i></b>	Yes <input type="checkbox"/>		No <input type="checkbox"/>		
Does the project support homeland security goals and objectives, i.e., 1) improve border and transportation security, 2) combat bio-terrorism, 3) enhance first responder programs, 4) improve information sharing to decrease response times for actions and improve the quality of decision making? <b><i>If the answer is yes to any one of the areas, enter an X to the right of Yes. If not, enter an X to the right of No.</i></b>	Yes <input type="checkbox"/>		No <input type="checkbox"/>		
Is this project information technology? (see Section 300.4 for definition). <sup>4</sup> <b><i>Enter an X to the right of Yes and answer question below.</i></b>	Yes <input type="checkbox"/>		No <input type="checkbox"/>		

<sup>1</sup> Agency means the Department of the Interior or other establishment of the government.

<sup>2</sup> Bureau means the principal subordinate organizational units of an agency.

<sup>3</sup> Address each "agency" question from both a Departmental (DOI) as well as Bureau perspective.

<sup>4</sup> OMB Circular A-11, Section 300.4. **Information technology**, as defined by the Clinger-Cohen Act of 1996, sections 5002, 5141, and 5142, means any equipment or interconnected system or subsystem of equipment that is used in the automatic acquisition, storage, manipulation, management, movement, control, display, switching, interchange, transmission, or reception of data or information. For purposes of this definition, equipment is "used" by an agency whether the agency uses the equipment directly or it

For information technology projects only:				
Is this Project a Financial Management System? (see section 53.3 for a definition). <sup>5</sup> <i>Enter an X to the right of Yes or No in response to the question.</i>	Yes	___	No	___
If so, does this project address an FFMIA <sup>6</sup> compliance area? <i>If the answer to the question above is Yes, enter an X to the right of Yes or No.</i>	Yes	___	No	___
If yes, which compliance area? <i>Enter the compliance area from the definition list, see footnote 6.</i>				
b. Does this project implement electronic transactions or record keeping that is covered by the Government Paperwork Elimination Act (GPEA)? <i>Enter an X to the right of Yes or No.</i>	Yes	___	No	___
If so, is it included in your GPEA plan (and does not yet provide an electronic option <sup>7</sup> )? <i>If the answer to question b. above is Yes, enter an X to the right of Yes or No.</i>	Yes	___	No	___
Does the project already provide an electronic option? <i>If the answer to question b. is Yes, enter an X to the right of Yes or No.</i>	Yes	___	No	___

is used by a contractor under a contract with the agency that (1) requires the use of such equipment or (2) requires the use, to a significant extent, of such equipment in the performance of a service or the furnishing of a product. Information technology includes computers, ancillary equipment, software, firmware and similar procedures, services (including support services), and related resources. It does not include any equipment that is acquired by a Federal contractor incidental to a Federal contract.

<sup>5</sup> OMB Circular A-11, Section 53.3. **Financial management systems** are financial systems and the financial portion of mixed systems (see definitions below) that support the interrelationships and interdependencies between budget, cost and management functions, and the information associated with business activities.

**Financial systems** are comprised of one or more applications that are used for any of the following:

- . Collecting, processing, maintaining, transmitting, and reporting data about financial events;
- . Supporting financial planning or budgeting activities;
- . Accumulating and reporting cost information; or
- . Supporting the preparation of financial statements.

A financial system supports the processes necessary to record the financial consequences of events that occur as a result of business activities. Such events include information related to the receipt of appropriations or resources; acquisition of goods or services; payment or collections; recognition of guarantees, benefits to be provided, or other potential liabilities or other reportable activities.

<sup>6</sup> Federal Financial Management Improvement Act of 1996 requires agencies to implement and maintain financial management systems that are in substantial compliance with OMB Circular A-127, JFMIP requirements, Federal accounting standards, and the United States Government Standard General Ledger (SGL) at the transaction level.

<sup>7</sup> Agencies are required by GPEA to provide the option for routine electronic transactions to their transaction partners. Transaction partners are not required to use the electronic option.

c. Was a privacy impact assessment <sup>8</sup> performed for this project? <b>Enter an X to the right of Yes or No. For information, contact Bureau FOIA Officer, WO-560.</b>	Yes ___		No ___	
d. Was this project reviewed as part of the FY 2002 Government Information Security Reform Act review process? <b>Enter an X to the right of Yes or No.</b>	Yes ___		No ___	
d.1. If yes, were any weaknesses found? <b>If the response to the question about is Yes, enter an X to the right of Yes or No.</b>	Yes ___		No ___	
d.2. Have the weaknesses been incorporated into the agency's corrective action plans? <b>If the response to the question d. is Yes, enter an X to the right of Yes or No.</b>	Yes ___		No ___	
e. Has this project been identified as a national critical operation or asset by a Project Matrix <sup>9</sup> review or other agency determination? <b>Enter an X to the right of Yes or No.</b>	Yes ___		No ___	
e.1. If no, is this an agency mission critical or essential service, system, operation, or asset (such as those documented in the agency's COOP <sup>10</sup> Plan), other than those identified above as national critical infrastructures? <b>Enter an X to the right of Yes or No.</b>	Yes ___		No ___	

<sup>8</sup> Privacy Impact Assessment and Guide, Version 7.30.02, is available from the Office of the Chief Information Officer, DOI.

<sup>9</sup> Department of Commerce, Critical Infrastructure Assurance Office, developed Project Matrix that was adopted by OMB to identify and prioritize security needs for government assets. A Matrix review identifies the critical assets within an agency, prioritizes them, and then identifies interrelationships with other agencies or the private sector. More information is available at: <http://www.ciao.gov/Federal/>.

<sup>10</sup> Continuity of Operations Plans, see Continuity of Operations Program, WO IM 2002-181, May 22, 2002.

**SUMMARY OF SPENDING FOR PROJECT STAGES**  
**(In Millions)**  
**(Estimates for BY+1 and beyond are for planning purposes only**  
**and do not represent budget decisions)**

	PY-1 and Earlier	PY 2002	CY 2003	BY 2004	BY+1 2005	BY+2 2006	BY+3 2007	BY+4 & Beyond	Total
Planning:									
Budgetary Resources									
Outlays									
Acquisition:									
Budgetary Resources									
Outlays									
Total, Sum of Stages:									
Budgetary Resources									
Outlays									
Maintenance:									
Budgetary Resources									
Outlays									
Total, All Stages:									
Budgetary Resources									
Outlays									

*In the Summary of Spending for Project Stages table, above, enter the estimated funding required for the investment<sup>11</sup> by fiscal year. Provide the following breakdown:*

- *"Initial Concept" includes the IT Clearinghouse, IP, and Business Case Stages of the Select Phase, see Bureau IT Investment Management policy and the schedule in I.H.2, below. Include these costs in the "Planning" rows.*
- *"Planning" includes the Acquisition Development and Project Planning Development and Review stages in the Select Phase and the Project Definition Stage of the Control Phase. Total planning costs usually constitute 10 to 15 percent of the total project cost.*

<sup>11</sup> Include costs for operations and maintenance (O&M). Most IT investments should plan a 5-year operational life.

- *“Acquisition” includes the System or Services Acquisition, System Design, System Development or Construction, User Acceptance and Testing, and Transition and Deployment stages in the Control Phase. Acquisition costs usually constitute 25 to 50 percent of the total project cost.*
- *“Maintenance” includes the Post Deployment Review and the Operations and Maintenance stages in the Evaluate Phase. OMB also refers to maintenance as “Steady State”<sup>12</sup>. Operations and maintenance costs usually constitute 35 to 65 percent of the total costs. For a built application, maintenance can cost up to \$2 for every \$1 invested in the development.*
- *“Mixed Life Cycle” complicates the investments. Adding functionality to an existing application or system is not included as part of “Maintenance.” Additional functionality can be added through a series of originally planned software releases, but the investment then becomes a “Mixed Life Cycle” investment with concurrent spending in planning, acquisition, and maintenance. If a “Mixed Life Cycle” is planned, include costs in both the Acquisition and Maintenance cells for the overlapping fiscal years in the table.*

*Include BLM labor, all contract costs, hardware, software, travel, training, and all other direct costs from initial concept thru the final year of maintenance.*

*The following example shows a submission for FY 2004:*

*“BY” is the abbreviation for Budget Year. In the example table, the “BY” column would show FY 2004 appropriations as “budgetary resources.”*

*“CY” is the abbreviation for Current Fiscal Year. The budget document life cycle begins two or more years before Congressional action on the budget. In the example table, the “CY” column shows FY 2003 appropriations as “budgetary resources” and current spending as “outlays.”*

*“PY” is the abbreviation for Prior Fiscal Year. In the example table, the “PY” column shows FY 2002 appropriations as “budgetary resources” and prior fiscal year expenditures as “outlays.”*

*PY-1 includes the total of all Budgetary Resources for the past fiscal years excluding the PY. In the example table, the PY-1 and Earlier column contains Budgetary Resources and Outlays in millions of dollars for FY 2001 and earlier.*

*In the example table, the BY+1, BY+2, and BY+3 columns contain Budgetary Resources in millions of dollars for FY 2005, FY 2006, and FY 2007. Outlays should be left blank.*

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<sup>12</sup> “Steady State” means maintenance and operation costs at current capability and performance level including costs for personnel, maintenance of existing information systems, corrective software maintenance, voice and data communications maintenance, and replacement of broken IT equipment. Steady State does not include upgrades or enhancements of the system to meet changed requirements or meet new business needs. If upgrades or enhancements are planned, the project is a “mixed life cycle” status and costs appear in planning, acquisition, and maintenance rows of the Summary of Spending for Project Stages table.

*In the example table, the BY+4 & Beyond column contains Budgetary Resources for FY 2008 and beyond. Outlays should be left blank*

*New investments should plan to start significant work in the budget year. The ITIB must approve the business case for BY funding at least 23 months before the BY to allow proposed investment to pass through the required DOI and OMB Exhibit 300 review cycles, i.e., FY 2006 investments must be approved by the ITIB in November 2003.*

*Existing investments update the Exhibit 300 to report progress.*

*The template is a living document. Each fiscal year, information in the columns shifts to the left one column.*

*Budgetary Resources are the funds made available to the project, i.e., the "Planned Dollars" in MIS for new investments. Outlays represent the actual expenditure of funds, i.e., the "Spent" amount in MIS.*

## **I. A. Project Description**

1. Provide a brief description of this project and its status through your Capital Planning and Investment Control (CPIC) or capital programming "control" review for the current cycle.

*Provide narrative description of the project's goals and objectives, identify the project's business purpose, and summarize the business case and benefits of the project. This section focuses on the project to deliver the products described in section I.B.*

*If this is a multi-agency project, include this fact in the description of the project and identify the "managing partner" agency for the investment.*

*Discuss why is this project is proposed. Describe the project's concept, what is in and what is outside of the project scope.*

*Explain qualitative benefits versus the status quo of not doing this project.*

*Describe how the project plans to acquire or build the needed products. Describe the project proposed development method, i.e., waterfall, rapid application development, incremental, spiral, or iterative.*

*Investment proposal must identify the project work required to complete business process re-engineering and/or simplification with the Bureau Enterprise Architecture (BEA).*

*This section defines the project boundaries and sets the baseline scope of the project. Specify the exact project scope in terms of:*

- *Primary function of the system*
- *Intended customers/users (e.g., internal, external, public, specialist, managers)*
- *Estimated number and locations of sites (BLM offices) that will use the system*
- *Other existing or similar on-going projects (check the Budget Planning System as a clearinghouse for similar IT investments within the Bureau and then check potential commercial or government IT investments for alternatives)*
- *Planned modules and deliverables*
- *The products the investment will provide, i.e., the project will provide electronic records management to deliver an on-screen viewable and printable copy of any official plat produced by the Bureau.*

*Describe the high-level project strategy to complete the project. Describe how the project will be managed from an overall project management strategy.*

- *Who is the project proponent to ensure the bureau business needs are satisfied?*
- *Will the project manager be full-time?*
- *Where will the project manager be located?*
- *How will the project manager maintain communications with the project sponsor and proponent?*
- *Will there be Bureau employees whose salary and travel will need to be part of the project cost?*
- *How will the project team function?*
- *How will users, proponent, and management participate and maintain their involvement in the project?*
- *What steps will the project manager take if project costs become greater than authorized, project scope increases or decreases, or the project's baseline schedule becomes unattainable?*

## 2. What assumptions are made about this project and why?

*List all assumptions, especially the business process assumptions, included in the project. For example, if this project is dependent upon the successful outcome of another project, state this fact as an assumption here. Approved IPs must complete business process re-engineering and/or improvement work prior to Business Case submission. The BEA offers business process re-engineering through the Business Process Re-engineering (BPR) Laboratory in Denver, Colorado.*

3. Provide any other supporting information derived from research, interviews, and other documentation.

*Describe any documents already produced containing detailed material. Include them as supporting documents or state where they are available for review. Examples include: Preliminary Concept of Operations and business process acceptance of the proposed IT change.*

*Identify other Bureau programs, activities, or on-going projects that may be affected by this project. Does the project integrate work processes involving different BLM activities? If so, is this proposal supported and approved by the appropriate parties such as users, program leaders, Assistant Directors, etc.?*

### **I. B. Justification (All Assets)**

1. How does this investment support your agency's mission and strategic goals and objectives?

*This section provides the opportunity to present the idea for the IT investment. Describe how the proposed investment aligns with the DOI and Bureau core functions. Describe how the investment ties to both DOI and the Bureau Strategic Plan and the Annual Performance Plan. Identify the strategic plan goal, legislative requirement or oversight recommendation (e.g. GAO or Inspector General recommendation). Answer these questions: How does the investment support the agency's mission? How does the investment help the agency achieve the agency's goals and objectives? Be specific.*

2. How does it support the strategic goals from the President's Management Agenda<sup>13</sup>?

*Describe how this investment supports these goals. Be specific. Projects cannot just claim efficiency because the President's Management Agenda lists "cut government operating costs" as one bullet under 4. Expanded Electronic Government. This initiative seeks improvements in information-technology management, simplification of business processes, and unity in information flows across lines of business. Additional information is available from the BEA and the Federal Enterprise Architecture (FEAPMO). Links are available from the SCO home page (<http://web.blm.gov/sco>).*

3. Are there any alternative sources in the public or private sectors that could perform this function?

*Describe why BLM is required to do the business processes identified in the IT investment. Identify if other agencies or private sector sources can support this function.*

*Conduct a search of the Bureau clearinghouse in the Budget Planning System (<http://bps.blm.gov>) for other applications, systems, or tools that might meet the project's requirements. Check commercial sources and other bureaus' or agencies' applications or*

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<sup>13</sup> The Bureau maintains a web site with links to the President's Management Agenda and supporting documents at: <http://web.blm.gov/pma>.

systems. Commercial-off-the-shelf (COTS) and government-off-the-shelf (GOTS) software, if available, may reduce the costs of the project. Document the results of such searches.

4. If so, explain why your agency did not select one of these alternatives.

*If there were alternative existing sources or solutions, explain why they were not considered as viable alternatives.*

5. Who are the customers for this project?

*Identify the users and customers:*

- *Who are they? What are these users' and customers' wants and needs relative to the investment?*
- *How strong is user support for the project?*
- *What is their involvement in the development of the investment?*
- *What continued involvement will they have throughout the project's business case development?*

6. Who are the stakeholders of this project?

*Stakeholders are individuals who can influence the outcome of the project. These individuals may work outside of the Bureau. An example is: the organizational unit that will perform operations and maintenance responsibilities on the investment once it is deployed.*

7. If this is a multi-agency initiative, identify the agencies and organizations affected by this initiative.

*The Bureau may serve as the managing partner or lead agency for IT investments. If so, document all partners and impacted agencies and organizations.*

8. How will this investment reduce costs or improve efficiencies?

*Provide a brief conceptual description for the proposed investment. Are the savings from FTE? If so, discuss impacts to workforce planning.*

9. List all other assets that interface with this asset \_\_\_\_\_. Have these assets been re-engineered as part of this project? Yes\_\_\_\_, No\_\_\_\_\_.

*List potential Bureau assets, i.e., software, systems, hardware, etc., that may connect to, receive information from, or provide information to the proposed investment.*

### **I. C. Performance Goals and Measures (All Assets)**

*This section is not completed at the IP Stage.*

**I. D. Program Management [All Assets]**

*OMB uses the term “Program Management” to represent project management (PM) activities associated with the project.*

<p>1. Is there a program manager assigned to the project? If so, what is his/her name?  <i>Enter an "X" in the box after Yes and provide the names of the proponent and project manager. List the proponent's and project manager's title, office codes, and phone numbers. If no project manager is assigned, enter an "X" in the box after No.</i></p>	Yes		No	
<p>2. Is there a contracting officer assigned to the project? If so, what is his/her name? <i>Enter an "X" in the box after Yes and provide the name of the Bureau contracting officer assigned. If no contracting officer is assigned, enter an "X" in the box after No.</i></p>	Yes		No	
<p>3. Is there an Integrated Project Team (IPT)<sup>14</sup>?  <i>Enter an "X" in the box to the right of Yes if an IPT exists. List the team member names and their grade and step. If no IPT is assigned, enter an "X" in the box after No.</i></p>	Yes		No	
<p>3.A. If so, list the skill set represented.  <i>List the skills and enter the team members name, job title, and grade.</i></p>				
<p>4. Is there a sponsor/owner?  <i>All Bureau IT investments must have a sponsor. Provide the sponsor's name. List the sponsor's title, office, and phone number.</i></p>	Yes		No	

**I. E. Alternatives Analysis [All Assets]**

*This section is not completed at the IP Stage.*

**I. F. Risk Inventory and Assessment (All Assets)**

*This section is not completed at the IP Stage.*

**I. G. Acquisition Strategy**

*This section is not completed at the IP Stage.*

<sup>14</sup> Integrated Project Team (IPT) means a multi-disciplinary team led by a program manager responsible and accountable for planning, budgeting, procurement and life-cycle management of the project to achieve its cost, schedule and performance goals. Team skills include: budgetary, financial, capital planning, procurement, user, program, value management, earned value management, and other staff as appropriate. The team includes the project proponent and may include the human resource component needed to institute any work force planning changes.

## **I. H. Project and Funding Plan**

*At the IP Stage, plan the work needed to complete the Business Case. The purpose of this section is to develop realistic cost and schedule estimates at the Business Case Stage. It also provides initial estimates for the Control and Evaluate phases of the proposed IT investment.*

*The SCO staff is available to assist in the development of the above information.*

*Once established and approved by the ITIB, these high level investment phase and stage baseline cost and schedule dates will be used to determine if the investment achieves at least 90 percent of all IT project cost and schedule goals. Project variance greater or less than 10 percent in either cost or schedule must be reported to OMB for major applications, project variance greater or less than 5 percent must be reported to the Bureau's IT Investment Board and the Department.*

*Plan any pilot efforts are initial phases in the Control Phase of the project after the ITIB approves the business case. Pilot efforts may be included in the chosen development method. Pilots are usual in gathering requirements. Project may look at a Joint Application Design® (JAD) or use rapid application development (RAD) as part of a spiral development models rather than the traditional waterfall software development model. Projects may choose other successful models, i.e., incremental or iterative models. The "code and fix" model should not be chosen.*

### **I.H.1. Description of performance-based management system (PBMS):**

*This section is not completed at the IP Stage. OMB describes the use of the Earned Value Management System (EVMS) to measure project performance.*

### **I.H.2. Original baseline (OMB-approved at project outset):**

What are the cost and schedule goals for this phase or segment/module of the project (e.g., what are the major project milestones or events, when will each occur, and what is the estimated cost to accomplish each one)? Also identify the funding agency for each milestone or event if this is a multi-agency project. If this is a multi-agency project or one of the President's E-Gov initiatives, use the detailed project plan with milestones on the critical path to identify agency funding for each module or milestone. (This baseline must be included in all subsequent reports, even when there are OMB-approved baseline changes shown in I.H.3).

*Describe entrance and exit criteria, milestones, approvals and deliverables that will indicate the project has completed an identified milestone, stage, or phase. This is a summary of the information in the project schedule. Ensure the information and dates are consistent between the summary information table, see page 4, and this section. Include all ITIB approvals and coordination/review points. Required milestone are included in the high-level schedule template below. Projects must keep deliverable cycles to less than 12 to 14 months, and recognize 18 months as the maximum period OMB will approve. Refer to BLM's IT Investment Management policy for more information.*

*If multiple deliveries are scheduled, provide a schedule for each module delivery. Copy the table to create a cost and schedule goal for each phase, segment, or module of the project.*

*With the high-level WBS and the planned start and end dates for each major phase and stage, use a project management tool to develop a high level Gantt chart of planned activities, milestones and deliverables and attach it to the Business Case. Microsoft Project and Primavera are two tools available in the Bureau Technical Reference Model (TRM).*

*This section explicitly defines the project's baseline funding request by which all cost status reports will be based.*

<b>Cost and Schedule Goals: Original Baseline for a Phase/Segment/Module of Project</b>					
<b>Description of Milestone</b>	<b>Schedule</b>			<b>Planned Cost</b>	<b>Funding Agency</b>
	<b>Start Date</b>	<b>End Date</b>	<b>Duration (in days)</b>		
1.0 Initial Concept- Select Phase					
1.1 Clearinghouse Review Stage					
1.2 Investment Proposal Stage					
1.2.1 Present and Obtain ITIB Approval					
1.3 Business Case Development Stage					
1.3.1 Present and Obtain ITIB Approval					
2.0 Control Phase					
3.0 Evaluate Phase					
Estimated Project Completion date:					

**I.H.3. Proposed baseline/current baseline (applicable *only* if OMB-approved the changes):**

*This section is not completed at the IP Stage.*

**I.H.4 Actual performance and variance from OMB-approved baseline (original or current):**

A. Show for each major project the milestones or events you planned (scheduled) to accomplish and the cost and what work was actually done and the cost. If this is a new project in the FY 2004 budget year, this section will be blank for your initial submission.

*Do not complete this part for an initial IP submission. It is used to show progress in completing the Business Case stage once the IP is approved. For State/Center investments, show the current progress based on the original start date of the investment. Use of a PBMS is not required at the IP Stage.*

<b>Comparison of ITIB-Approved Baseline and Actual Outcome for Phase/Segment/Module of a Project</b>									
<b>Description of Milestone</b>	<b>OMB-Approved Baseline</b>					<b>Actual Outcome</b>			
	<b>Schedule</b>			<b>Planned Cost</b>	<b>Funding Agency</b>	<b>Schedule</b>		<b>Percent Complete</b>	<b>Actual Cost</b>
	<b>Start Date</b>	<b>End Date</b>	<b>Duration (in days)</b>			<b>Start Date</b>	<b>End Date</b>		
1.									
2.									
3.									

## Part II: Additional Business Case Criteria for Information Technology

*For Enterprise Architecture (EA) at the IP Stage, identify planned future work. At the Business Case Stage, IT investments must have engaged the architecture process for business process re-engineering and/or improvement.*

*All IT investments must address security and privacy. At the IP Stage, identify high-level requirements.*

### II. A. Enterprise Architecture

#### II.A.1 Business

A. Is this project identified in your agency's enterprise architecture? If not, why?

*Answer Yes or No to the question. If No, justify why it is not in the EA. The question requires coordination with the Departmental EA as well as the BEA. Information on the Departmental Enterprise Architecture is available at: <http://www.doi.gov/ocio/architecture/index.html>. Information on the BEA is available at: <http://web.blm.gov/bea/>.*

*The BEA may drive an IT investment. If so, the answer is Yes. If the answer at the IP Stage is No, explain in item B, below, explain the project tasks planned in order for the proposed investment to conform to the EA.*

B. Explain how this project conforms to your departmental (entire agency) enterprise architecture.

*How do the business processes or functions identified for automation in this proposed IT investment fit within the Departmental EA and BEA. The focus of the question is to ensure the Bureau does not automate obsolete and ineffective business processes or functions.*

C. Identify the Lines of Business and Sub-Functions within the Federal Enterprise Architecture Business Reference (FEAPMO) Model that will be supported by this initiative.

*Information on the FEAPMO can be found on the Federal Enterprise Management Office web site at <http://www.feapmo.gov/fea.htm>.*

D. Briefly describe how this initiative supports the identified Lines of Business and Sub-Functions of the Federal Business Architecture.

*In addition to the required description, if the proposed investment supports the same lines of business or sub-functions supported by the government-wide investments such as those proposed by the President's Management Council (commonly known as the "Quicksilver" projects) or provides an E-Gov solution, describe how the proposed investment will support these government-wide investments, or is required in addition to these government-wide investments.*

E. through I. [Reserved.]

## **II.A.2 Data**

*Rating of the IP will be based on the thoroughness of the information provided. It is important to demonstrate due diligence in searching out and providing the required information. Much of this information is available from sources such as the Corporate Metadata Repository (CMR) and Data Management ([http://web.blm.gov/internal/wo-500/Data\\_Mgt.html](http://web.blm.gov/internal/wo-500/Data_Mgt.html)), Budget Tracking and Planning System (BPS)(<http://bps.blm.gov>) or the BLM Enterprise Architecture (BEA). Contact the SCO Data Management staff and/or BEA Team for more information.*

*Where appropriate, recommendations will be made for corrections and/or additional information. The ultimate success of the IP will be dependent on addressing these recommendations.*

*Data that has value to the entire enterprise (as opposed to project specific data) will rate high. This does not imply that the value of data needed just for your project is diminished, but that there may be additional benefits for data having enterprise-wide implications.*

A. What types of data will be used in this project?

*Identify each high-level data subject area that the project is expected to use from the list of data subject areas identified by the BLM Enterprise Architecture (see Table 1).*

*If a data subject area is not listed in Table 1, describe it and justify why it should be added to the Architecture. The justification should include a description of how this data helps the Bureau fulfill its mission. Refer to the BLM Mission Strategic Plan and the information requirements identified in that plan.*

B. Does the data needed for this project already exist at the federal, state, or local level? If so, what are your plans to gain access to that data?

*If the data you require is available internally (BLM) or externally (from other agencies or data providers), describe the possible data source(s), and how the data may be obtained.*

*If data is not available, describe how the data may be obtained. Briefly describe any issues around obtaining this data, including purchase, conversion, cleanup, and maintenance costs, service agreements, security requirements, etc.*

C. Are there legal reasons why this data cannot be transferred? If so, what are they and did you address them in the barriers and risk sections above?

*For the data described in B above, please explain (in this section) any legal reasons or other issues that may prohibit access to the data or why the data cannot be shared throughout BLM or with other agencies.*

### II.A.3 Application and Technology

A. Discuss this initiative/project in relationship to the application and technology layers of the EA. Include a discussion of hardware, applications, infrastructure, etc.

*Provide a high-level functional description in terms of the system functions required to support the business process changes described in Section II.A.1. List any supporting documents that may contain additional detailed information about the system requirements. Include as supporting documents to the Business Case or state where they are available for review.*

<b>Functional Category (Examples)</b>	<b>High-Level Functional Requirement</b>
<i>Input</i>	
<i>Output</i>	
<i>Processing</i>	
<i>System Interfaces</i>	
<i>Human Factors and ADA</i>	
<i>Data Storage and Access</i>	
<i>Data Integrity</i>	
<i>Performance</i>	
<i>Security</i>	
<i>System Operations Support</i>	
<i>Training</i>	

B. Are all of the hardware, applications, and infrastructure requirements for this project included in the EA Technical Reference Model? If not, please explain.

*This section presents existing and proposed hardware/software system changes to support the system requirements described in Section II.A.3A. Provide as much information as possible based upon the proposed investment. At the IP Stage, the answers point to potential alternatives that may be addressed further at the Business Case Stage.*

*List any documents containing detailed material, regarding the IT Architecture of the proposed system.*

*Explain how this project conforms to the current version of the Bureau's Information Technology Architecture, Technical Reference Model.*

### II. B. Security and Privacy

*Describe, at a high level, how the project will include security controls that are consistent with the BEA as described in the TRM. Detailed security and privacy information requirements will*

*be covered during the Project Definition Stage, and identified in detail within the project's Security Plan and a Privacy Impact Assessment.*

NOTE: Each category below must be addressed at the project (system/application) level, not at program or agency level. Referring to security plans or other documents is not an acceptable response.

II.B.1. How is security provided and funded for this project (e.g., by program office or by the CIO through the general support system/network)?

A. What is the total dollar amount allocated to security for this project in FY 2004?

*The template is based on budgetary requests for FY 2004. If the proposed investment is for other years, provide total dollar amounts allocated to security for the appropriate fiscal years.*

II.B.2 Does the project (system/application) meet the following security requirements of the Government Information Security Reform Act, OMB policy, and NIST guidance?  
[Reserved.]

II.B.3. How does the agency ensure the effective use of security controls and authentication tools to protect privacy for those systems that promote or permit public access?  
[Reserved.]

II.B.4. How does the agency ensure the handling of personal information is consistent with relevant government-wide and agency polices?

*If the proposed system/project involves the development of a government web site, explain how it will be in compliance with OMB Memorandum, M-00-13, dated June 22, 2000, entitled "Privacy Polices and Data Collection on Federal Web Sites."*

II.B.5 If a Privacy Impact Assessment was conducted, please provide a copy of OMB.  
[Reserved.]

## **II. C. Government Paperwork Elimination Act (GPEA)**

II.C.1 If this project supports electronic transactions or record-keeping that is covered by GPEA, briefly describe the transaction or record-keeping functions and how this investment relates to your agency's GPEA plan.

*If the project provides such functions, provide a high-level response to the question.*

II.C.2 What is the date of your GPEA plan? [Reserved.]

II.C.3 Identify any OMB Paperwork Reduction Act (PRA) control numbers from information collections that are tied to this investment. [Reserved.]

Table 1

<b>DATA SUBJECT AREA</b>	<b>DEFINITION</b>
<b>ACCOUNTS</b>	Information about the financial activity within the BLM, and between the BLM and its customers, such as: customer account, general ledger, invoice and payments.
<b>ADMINISTRATIVE INTERESTS</b>	Information about the activities, matters, items, objects, etc. used to support the activities required to keep the BLM organization functioning, such as: documents (conveyance, classification, etc.), merchandise, equipment (vehicles, heavy machinery, office equipment), correspondence (requests, responses, notices, orders, questionnaires, decision documents, delegation of authority), software, hardware, etc.
<b>ASSESSMENTS</b>	Information about the result of an analytic or evaluation process, such as: Environmental Impact Studies (EIS), Environmental Assessment (EA), other environmental studies (mine study, hazardous substance study, sampling), inspections, violations, incident assessments, legal surveys, etc.
<b>BUDGETS</b>	Information about available BLM funding and how it is allocated and spent, both planned and actual.
<b>CASES</b>	Information used to record and track BLM business activities, such as: authorization, agreement, conveyance, mining claim, withdrawal, classification, law enforcement, human resources, sale, etc.
<b>CORRESPONDENCE</b>	Information about all manner of materials and information such as: notices, letters, proposals requests, responses, consents authorizations, applications, and questionnaires etc., provided to or by BLM.
<b>CULTURAL INTERESTS</b>	Information about those fragile and nonrenewable remains of human activities, occupation, and endeavors as reflected in sites, buildings, structures, or objects, including works of art, architecture, and engineering. Cultural resources are commonly discussed in terms of prehistoric and historic values; however; each period represents a part of the full continuum of cultural values from the earliest to the most recent.
<b>DOCUMENTS</b>	Information about the various written, printed, electronic or other forms of decisive information/evidence/proof managed by, used by, or distributed by the BLM.
<b>ENVIRONMENTAL INTERESTS</b>	Information about matters, items, objects, etc., that occur naturally in the external physical, social, or cultural conditions on federally owned land or land the Federal Government has interests in, such as: animals, vegetation (timber, weeds, etc.), water, etc.
<b>FACILITY INTERESTS</b>	Information about structures erected and maintained by the BLM and others (e.g., customer owned), such as: buildings, fences, culverts, bridges, dams, etc, and the materials from which they are made.
<b>GUIDANCE</b>	Information about the internal and external laws and regulations that drive BLM business, such as: Code of Federal Regulations, legislation, caselaw, mandates, Executive Orders, internal and external policies, procedures, directives, manuals, handbooks, activity plans, etc.

<b>HAZARDS</b>	Information about the various possible source of danger (health and safety) that exists on or around BLM managed land, including but not limited to, hazardous materials and substances.
<b>HUMAN RESOURCE INFORMATION</b>	Information concerning the availability of personnel, their skills, employment state, salary, training, position description, evaluation, etc.
<b>LEGAL ENTITIES</b>	Information about the individuals and organizations (agencies, companies, etc.) that interact with the BLM.
<b>LIBRARY INFORMATION</b>	Information needed to manage a collection of books, periodicals, pamphlets, etc., kept for reference, such as: the physical reference material, abstract or indexes, and actual requests, including bibliographic records, library materials, document requests, information requests, information requests and monthly alerts.
<b>LOCAL COMMUNITY INTERESTS</b>	Information about the communities that may be affected by BLM decisions or actions, related to land in their proximity.
<b>LOCATIONS</b>	Information about the legal, textual and geo-spatial description of the public land the BLM has an interest in.
<b>MANAGED RECORDS</b>	<p>Records include all books, papers, maps, photographs, machine-readable materials, or other documentary materials*, regardless of physical form or characteristics*, made* or received* by an agency of the United States Government under federal law or in connection with the transaction of public business and preserved* or appropriate for preservation* by that agency or its legitimate successor as evidence of the organization, functions, policies, decisions, procedures, operations, or other activities of the government or because of the informational value of the data in them. Library and museum material made or acquired and preserved solely for reference or exhibition purposes, extra copies of documents preserved only for convenience of reference, and stocks of publications and of processed documents are not included.</p> <p>** Documentary materials is a collective term for records, non-record materials, and personal papers that refers to all media containing recorded information, regardless of the nature of the media or the method(s) or circumstance(s) of recording.</p> <p>** Regardless of physical form or characteristics means that the medium may be paper, film, disk, or other physical type or form; and that the method of recording may be manual, mechanical, photographic, electronic, or any other combination of these or other technologies.</p> <p>** Made means the act of creating and recording information by agency personnel in the course of their official duties, regardless of the method(s) or the medium involved. The act of recording is generally identifiable by the circulation of the information to others or by placing it in files accessible to others.</p>

	<p>** Received means the acceptance or collection of documentary materials by agency personnel in the course of their official duties regardless of their origin (for example, other units of their agency, private citizens, public officials, other agencies, contractors, government grantees) and regardless of how transmitted (in person or by messenger, mail, electronic means, or by any other method). In this context, the term does not refer to misdirected materials. It may or may not refer to loaned or seized materials depending on the conditions under which such materials came into agency custody or were used by the agency. Advice of legal counsel should be sought regarding the "record" status of loaned or seized materials.</p> <p>** Preserved means the filing, storing, or any other method of systematically maintaining documentary materials by the agency. This term covers materials not only actually filed or otherwise systematically maintained but also those temporarily removed from existing filing systems.</p> <p>** Appropriate for preservation means documentary materials made or received which in the judgment of the agency should be filed, stored, or otherwise systematically maintained by an agency because of the evidence of agency activities or information they contain, even though the materials may not be covered by its current filing or maintenance procedures.</p>
<b>OBLIGATIONS</b>	Information about arrangements, formal or informal, with respect to the transfer or assignment of rights and/or interests in property (real or personal); use and/or occupancy of the land, facilities or resources; and agreements among and between departments and/or agencies concerning cooperation, coordination, actions and responsibilities, as it relates to land and mineral resources.
<b>PLANS</b>	Information about a program of action on any scale, from land use plans to individual project plans to information gathering strategies, such as: activity plan, development plan, event response plan, exploration plan, functional plan, human resources plan, IT investment plan, land use plan, management plan, monitoring plan, operational plan, project plan, public relations plan, reclamation plan, risk management plan, strategic plan, work plan, etc.
<b>PROJECTS</b>	Information about any proposed or funded activity meant to construct, improve, maintain, dispose, reclaim or correct BLM assets.

<b>RIGHTS INTERESTS</b>	Information about interests in lands which are owned by the Federal Government or that the government has interests in. Includes those rights which are excepted or reserved to non-federal parties and those rights which are acquired by the Federal Government. A just and legal claim to hold, use, enjoy, or remove something from real property, such as: Coal, Oil, Gas, Geothermal, etc.
<b>TRAINING INFORMATION</b>	Information about special instruction classes offered by the BLM (to employees and sometimes the Public). Information concerning the training level of employees, availability of training, training completion, and training needs for the future. Information about the visual aids and written handouts used as guidelines and instructions for students. Information to explain chronological events including location, times, target groups, course title and summary.