

Capital Planning and Investment Control Checklists

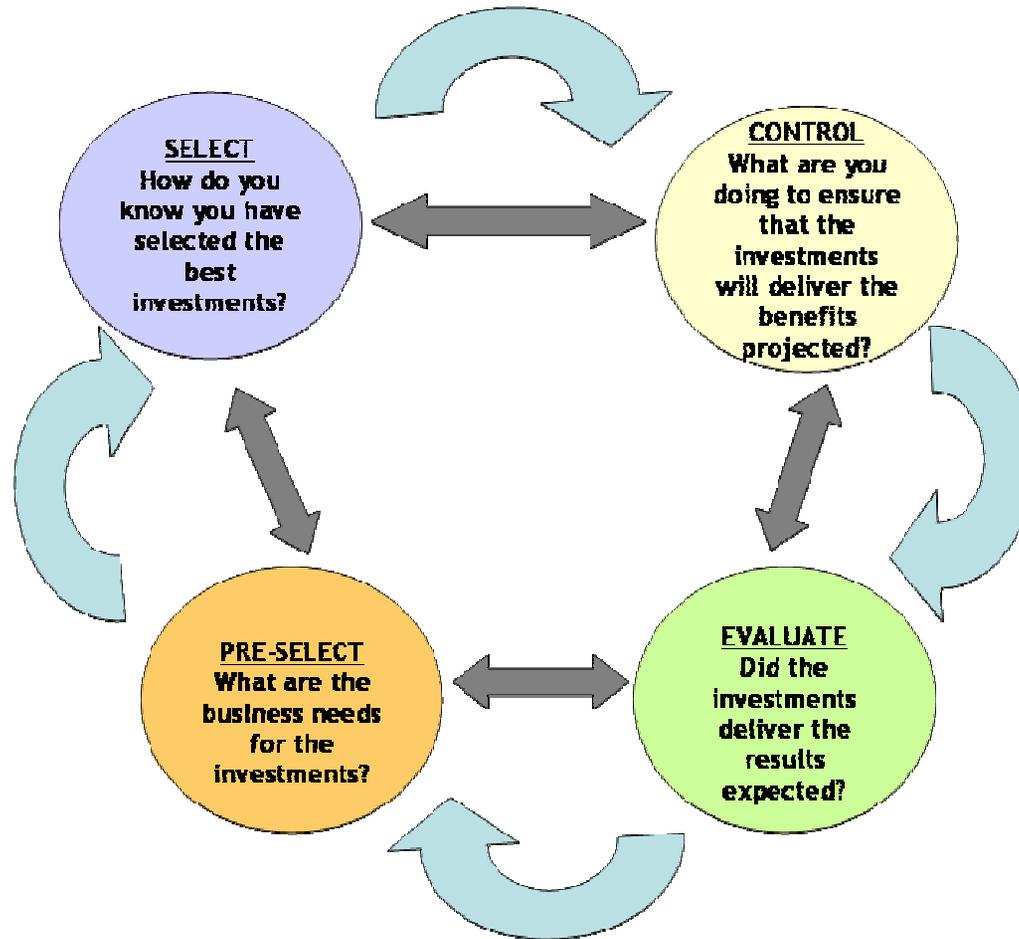
Introduction

The following four checklists were developed to help Federal IT staff, Records Managers, and Program Managers identify records management and recordkeeping requirements as they plan, develop, operate, and replace or upgrade IT investments and information systems, within the government-wide Capital Planning and Investment Control (CPIC) lifecycle process. Often systems are funded, designed, and implemented without adequate thought about how records will be managed over their lifecycle, which puts agency programs at greater risk of not complying with Federal records management statutes and regulations, and not meeting the public's performance and accountability expectations.

Incorporating these checklists into a uniform and consistent CPIC review and approval framework that is used government-wide will help embed records management into new systems being development and foster a systematic, consistent approach to help identify and articulate records management and recordkeeping requirements for IT investments throughout the life of the information system. The checklists draw from the concepts described in the Federal Enterprise Architecture Records Management Profile, records management standard ISO 15489, and similar checklists developed by other agencies.

Four checklists are provided, and a sample CPIC process diagram illustrating the CPIC lifecycle process that is common to many Federal agencies. These checklists are intended to be a starting point for a more detailed discussion with agency records managers, IT and CPIC staff, and program managers and staff that will help identify recordkeeping requirements in a business process redesign project. Because individual agency business processes and CPIC policies vary widely, these checklists are not designed to be used as the only checklist an agency might need, or even a "one size fits all" approach to identifying recordkeeping requirements. Rather, the checklists demonstrate a widely used methodology used to track IT investments and plan and develop new IT systems. They may serve as a model or template that individual agencies should revise or tailor to their own unique CPIC process and IT and systems development policies. Some agencies use a five-step CPIC process, and others use a three-step process. Agencies should review and modify the checklists and assure that they conform to the specific CPIC policies and procedures used in the agency. For more information please contact your agency's records management point of contact at NARA at <http://www.archives.gov/records-mgmt/appraisal/work-group-all.html>.

Capital Planning and Investment Control (CPIC) Process



No.	“Pre-Select Phase” RM Checklist Question	Comments/Explanations
1.	Have you discussed records management/electronic recordkeeping requirements with your bureau or agency records officer or manager? Please explain.	
2.	Does the proposed electronic system create data or information that can be identified as a Federal record under the Federal Records Act and in accordance with NARA regulations, (44 U.S.C. Chapter 3301 and 36 C.F.R. Parts 1220 and 1228)? Please explain.	
3.	Does the proposed system provide for appropriate management of records over the full records lifecycle (e.g., creation and receipt, maintenance and use, and final disposition) in electronic format? Please explain.	
4.	If records management functionality is not presently part of the proposed system, how will this mandatory requirement be addressed? Please explain.	
5.	Will the proposed electronic system be compatible with other e-record systems in your bureau or department? Please explain.	

Note: The main deliverables in this phase of the CPIC process is usually a Concept of Operations document and the Exhibit 300 Business Case.

No.	“Select Phase” RM Checklist Question	Comments/Explanations
1.	Have you discussed these questions with your bureau or agency records officer or manager? Please explain.	
2.	Does the planned electronic system (new, upgrade, or replacement system) manage documents, create data, or store information that can be identified as Federal records under 44 U.S.C. Chapter 3301 (Codified in 36 C.F.R. Parts 1220, 1228, and 1234)? Please explain.	
3.	Will the planned electronic system (new, upgrade, or replacement system) manage these records in their original digital format(s) during the entire retention period? Please explain.	
4.	Are the records, in all formats, to be managed by the planned electronic system (new, upgrade, or replacement system) appropriately scheduled under an existing NARA approved records schedule? Please explain.	
5.	Will (or have) all records management and recordkeeping requirements for the planned system be documented in a formal System Requirements Document? Please explain.	

Note: The main deliverable in this phase is a report containing recommendations to the Technical Investment Review Board (TIRB) based on scores for each investment in accordance with the 10 Investment Principles and other investment criteria.

No.	“Control Phase” RM Checklist Question	Comments/Explanations
1.	Have you discussed records management and electronic recordkeeping requirements, risks, benefits, and performance goals with your bureau or agency records officer or manager? Please explain.	
2.	Are the records management requirements focusing on and/or helping ensure that cost, schedule, and performance goals for the investment are being met? Please explain.	
3.	Are records management requirements focusing on and/or helping ensure that risks are minimized and managed? Please explain.	
4.	Are records management requirements focusing on and/or ensuring that the investment continues to meet strategic needs? Please explain.	
5.	Are the records management requirements focusing on and/or helping ensure that projected benefits of the investment are being realized? Please explain.	

Note: A Quarterly Control Review Report that tracks investment costs and development progress is usually required for all selected IT investments.

No.	“Evaluate Phase” RM Checklist Question	Comments/Explanations
1.	Have performance goals and user needs for records management and electronic recordkeeping been discussed during this quarter with your bureau or agency records officer or manager? Please explain.	
2.	Have the records management functionality and lessons learned been incorporated into the PIR (Post Implementation Review)? Please explain.	
3.	Has the records management functionality been analyzed to ensure that the strategic and performance goals and user/customer needs are being met as provided for in the OA (Operational Analysis) report? Please explain.	
4.	Do the records management and electronic recordkeeping functionalities need to be modified, upgraded, or replaced? If so, will a new preliminary business case need to be prepared (for entry into the Pre-Select phase)? Please explain.	

Note: A Post-Implementation Review (PIR) is usually submitted after a new IT investment implemented and is operational, usually in the first 6-18 months. An Operational Analysis (OA) is submitted to determine if a mature IT investment continues to meet user needs and performance goals.