

Exhibit 300: Capital Asset Plan and Business Case Summary

Part I: Summary Information And Justification (All Capital Assets)

Section A: Overview (All Capital Assets)

- 1. Date of Submission: 9/10/2007
- 2. Agency: Environmental Protection Agency
- 3. Bureau: Office Of Environmental Information
- 4. Name of this Capital Asset: BY09 Passback - Enterprise Content Management System (ECMS)
- 5. Unique Project (Investment) Identifier: (For IT investment only, see section 53. For all other, use agency ID system.) 020-00-01-16-01-0240-00
- 6. What kind of investment will this be in FY2009? (Please NOTE: Investments moving to O&M in FY2009, with Planning/Acquisition activities prior to FY2009 should not select O&M. These investments should indicate their current status.) Mixed Life Cycle
- 7. What was the first budget year this investment was submitted to OMB? FY2002
- 8. Provide a brief summary and justification for this investment, including a brief description of how this closes in part or in whole an identified agency performance gap:

EPA has not had a central mechanism to organize, store and legally manage its information, and EPA's mission is often diverted to finding and recreating information. There is need to provide Agency-wide access to content, including documents and records. EPA employees must have access to a vast array of environmental info to make informed, quality, timely decisions and be responsive to citizens. The Enterprise Content Management Sys. (ECMS) will fulfill this need by capturing information (word processing documents, e-mails, spreadsheets, graphics images, official records, etc) into a single, searchable repository. Each employee will contribute to ECMS' repository & access it from their desktop. Also, the prevailing requirement to print records to paper in the absence of an electronic recordkeeping system places EPA at risk when not adhered to by its employees. EPA's inability to quickly produce documents has cost millions of dollars in staff time & court fines. ECMS reduces inefficiencies by providing a scalable document repository for the mgt. of Agency info. ECMS automates EPA's records & document mgt. activities & provides its 23,622 employees & contractors the capability to query & find information quickly while ensuring integrity, consistency & accuracy of information. ECMS provides a secure method of Web posting, content creation & mgt. A 2006 value analysis revealed that EPA will realize significant savings using ECMS to manage records, 5% - 50% reduction in the current \$14M+ cost in 5-7 yrs. ECMS was included as a mandatory Working Capital Fund (WCF) Service in FY07. Software, hardware, shared processing, storage & infrastructure for EPA records mgt. costs are covered by fund contributions. Contract support is covered under Contracts Acquisition in this document but contract support provided as a WCF service is not. Region/Program specific apps may leverage the content mgt. license and core processing infrastructure. Developmental costs for these Program applications are not covered under this investment (e.g., electronic Inventory Update Rule, Web CMS). In FY07, EPA staff have the capability to archive email records. In FY08, functionality will be expanded to include all other record types & other content mgt. capabilities.
- 9. Did the Agency's Executive/Investment Committee approve this request? Yes
 - a. If "yes," what was the date of this approval? 8/29/2007
- 10. Did the Project Manager review this Exhibit? Yes
- 11. Contact information of Project Manager?
 - Name Downs, Constance
 - Phone Number 202-566-1640
 - Email downs.constance@epa.gov
- a. What is the current FAC-P/PM certification level of the project/program manager? TBD
- 12. Has the agency developed and/or promoted cost effective, energy-efficient and environmentally sustainable techniques or practices for this project? Yes
 - a. Will this investment include electronic assets (including computers)? Yes
 - b. Is this investment for new construction or major No

retrofit of a Federal building or facility? (answer applicable to non-IT assets only)

1. If "yes," is an ESPC or UESC being used to help fund this investment?

2. If "yes," will this investment meet sustainable design principles?

3. If "yes," is it designed to be 30% more energy efficient than relevant code?

13. Does this investment directly support one of the PMA initiatives? Yes

If "yes," check all that apply:

Expanded E-Government

a. Briefly and specifically describe for each selected how this asset directly supports the identified initiative(s)? (e.g. If E-Gov is selected, is it an approved shared service provider or the managing partner?)

ECMS is leading the Enterprise-wide E-Records Mgt. issue area under NARA's E-Records, E-gov Init. NARA & OMB designated ECMS as the proof of concept pilot for e-records mgt. EPA led an effort to develop the procedures, policy and infrastructure req. to implement e-records across the Fed Govt, producing 4 deliverables: (1) Guidance-Evaluating ERM CPIC, (2) Proposals, (3) Methodology-Determine agency unique req. for ERM sys., (4) Guidance-Designing an ERM proj, as well as Lessons Learned.

14. Does this investment support a program assessed using the Program Assessment Rating Tool (PART)? (For more information about the PART, visit www.whitehouse.gov/omb/part.) No

a. If "yes," does this investment address a weakness found during a PART review?

b. If "yes," what is the name of the PARTed program?

c. If "yes," what rating did the PART receive?

15. Is this investment for information technology? Yes

If the answer to Question 15 is "Yes," complete questions 16-23 below. If the answer is "No," do not answer questions 16-23.

For information technology investments only:

16. What is the level of the IT Project? (per CIO Council PM Guidance) Level 2

17. What project management qualifications does the Project Manager have? (per CIO Council PM Guidance)

(1) Project manager has been validated as qualified for this investment

18. Is this investment or any project(s) within this investment identified as "high risk" on the Q4 - FY 2007 agency high risk report (per OMB Memorandum M-05-23)

No

19. Is this a financial management system?

No

a. If "yes," does this investment address a FFIMIA compliance area?

1. If "yes," which compliance area:

N/A

2. If "no," what does it address?

b. If "yes," please identify the system name(s) and system acronym(s) as reported in the most recent financial systems inventory update required by Circular A-11 section 52

20. What is the percentage breakout for the total FY2009 funding request for the following? (This should total 100%)

Hardware	10
Software	38
Services	52
Other	0

21. If this project produces information dissemination products for the public, are these products published to the Internet in conformance with OMB Memorandum 05-04 and included in your agency inventory, schedules and priorities? N/A

22. Contact information of individual responsible for privacy related questions:

Name Hutt, Judy
 Phone Number 202-566-1668
 Title Agency Privacy Act Officer
 E-mail hutt.judy@epa.gov

23. Are the records produced by this investment appropriately scheduled with the National Archives and Records Administration's approval? Yes

Question 24 must be answered by all Investments:

24. Does this investment directly support one of the GAO High Risk Areas? No

Section B: Summary of Spending (All Capital Assets)

1. Provide the total estimated life-cycle cost for this investment by completing the following table. All amounts represent budget authority in millions, and are rounded to three decimal places. Federal personnel costs should be included only in the row designated "Government FTE Cost," and should be excluded from the amounts shown for "Planning," "Full Acquisition," and "Operation/Maintenance." The "TOTAL" estimated annual cost of the investment is the sum of costs for "Planning," "Full Acquisition," and "Operation/Maintenance." For Federal buildings and facilities, life-cycle costs should include long term energy, environmental, decommissioning, and/or restoration costs. The costs associated with the entire life-cycle of the investment should be included in this report.

Table 1: SUMMARY OF SPENDING FOR PROJECT PHASES (REPORTED IN MILLIONS)									
(Estimates for BY+1 and beyond are for planning purposes only and do not represent budget decisions)									
	PY-1 and earlier	PY 2007	CY 2008	BY 2009	BY+1 2010	BY+2 2011	BY+3 2012	BY+4 and beyond	Total
Planning:	0.97	0.27	0.28	0.28					
Acquisition:	2.53	3.022	3.264	3.264					
Subtotal Planning & Acquisition:	3.50	3.292	3.544	3.544					
Operations & Maintenance:	0	0.891	0.893	0.894					
TOTAL:	3.50	4.183	4.437	4.438					
Government FTE Costs should not be included in the amounts provided above.									
Government FTE Costs	0.2	0.2	0.2	0.2					
Number of FTE represented by Costs:	4	2	3	3					

Note: For the multi-agency investments, this table should include all funding (both managing partner and partner agencies). Government FTE Costs should not be included as part of the TOTAL represented.

2. Will this project require the agency to hire additional FTE's? No

a. If "yes," How many and in what year?

3. If the summary of spending has changed from the FY2008 President's budget request, briefly explain those changes:

Section C: Acquisition/Contract Strategy (All Capital Assets)

1. Complete the table for all (including all non-Federal) contracts and/or task orders currently in place or planned for this investment. Total Value should include all option years for each contract. Contracts and/or task orders completed do not need to be included.

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Contracts/Task Orders Table:															* Costs in millions	
Contract or Task Order Number	Type of Contract/ Task Order	Has the contract been awarded (Y/N)	If so what is the date of the award? If not, what is the planned award date?	Start date of Contract/ Task Order	End date of Contract/ Task Order	Total Value of Contract/ Task Order (\$M)	Is this an Interagency Acquisition ? (Y/N)	Is it performance based? (Y/N)	Competitively awarded? (Y/N)	What, if any, alternative financing option is being used? (ESPC, UESC, EUL, N/A)	Is EVM in the contract? (Y/N)	Does the contract include the required security & privacy clauses? (Y/N)	Name of CO	CO Contact information (phone/email)	Contracting Officer Certification Level (Level 1,2,3,N/A)	If N/A, has the agency determined the CO assigned has the competencies and skills necessary to support this acquisition ? (Y/N)
68-W-04-005 #34	Level of Effort (LOE) Contract	Yes	3/17/2005	5/2/2005	1/31/2008	27.6	No	Yes	Yes	NA	Yes	Yes	Paul, Dawson	202-564-4473 / dawson.paul@epa.gov	Level 3	

2. If earned value is not required or will not be a contract requirement for any of the contracts or task orders above, explain why:

3. Do the contracts ensure Section 508 compliance? Yes

a. Explain why:

FAR requires all contracts awarded after June 25, 2001 to comply with Section 508. This requirement has been incorporated into the ECMS Task Order. In addition, the ECMS Project Management Office has worked closely with the EPA 508-compliance staff to ensure both the system and the training meet the needs of 508 users.

4. Is there an acquisition plan which has been approved in accordance with agency requirements? Yes

a. If "yes," what is the date?

6/28/2006

b. If "no," will an acquisition plan be developed?

1. If "no," briefly explain why:

Section D: Performance Information (All Capital Assets)

In order to successfully address this area of the exhibit 300, performance goals must be provided for the agency and be linked to the annual performance plan. The investment must discuss the agency's mission and strategic goals, and performance measures (indicators) must be provided. These goals need to map to the gap in the agency's strategic goals and objectives this investment is designed to fill. They are the internal and external performance benefits this investment is expected to deliver to the agency (e.g., improve efficiency by 60 percent, increase citizen participation by 300 percent a year to achieve an overall citizen participation rate of 75 percent by FY 2xxx, etc.). The goals must be clearly measurable investment outcomes, and if applicable, investment outputs. They do not include the completion date of the module, milestones, or investment, or general goals, such as, significant, better, improved that do not have a quantitative or qualitative measure.

Agencies must use the following table to report performance goals and measures for the major investment and use the Federal Enterprise Architecture (FEA) Performance Reference Model (PRM). Map all Measurement Indicators to the corresponding "Measurement Area" and "Measurement Grouping" identified in the PRM. There should be at least one Measurement Indicator for each of the four different Measurement Areas (for each fiscal year). The PRM is available at www.egov.gov. The table can be extended to include performance measures for years beyond FY 2009.

Performance Information Table								
Fiscal Year	Strategic Goal(s) Supported	Measurement Area	Measurement Category	Measurement Grouping	Measurement Indicator	Baseline	Target	Actual Results
2007	Cross-Goal Strategies	Customer Results	Customer Benefit	Customer Impact or Burden	Number of customer calls to the ECMS Call Center by EPA employees and contractors	200 phone calls per week for ECMS e-mail records	30 phone calls per week once ECMS e-mail records is fully deployed	75 phone calls per week for ECMS e-mail records
2007	Cross-Goal Strategies	Customer Results	Service Coverage	Service Efficiency	% of eligible customers serviced	0% of the 23,622 EPA staff and contractors have access to the functionality of ECMS for electronic content and records management.	By September 30, 2007, a minimum of 50% of EPA staff and contractors will have access to ECMS for email records management.	By end of FY 2007.
2007	Cross-Goal Strategies	Mission and Business Results	Information and Technology Management	Record Retention	Record Retention Using technology adoption rates	EPA's Official Record is paper. With the deployment of ECMS email rec, the transition from paper to electronic system of record will occur. By August 31, 2007, 100% of EPA staff and contractors will have email records.	By September 30, 2007, 50% of the Agency's employees and contractor workforce will transition to ECMS and preserve the official record electronically instead of paper copy.	By end of FY 2007.
2007	Cross-Goal Strategies	Processes and Activities	Cycle Time and Resource Time	Cycle Time	Time to complete the relevant process step(s) and/or produce or deliver products	Management of email records requires printing to paper and manual management in	By September 30, 2007, ECMS will be available to 50% of EPA staff and contractors to	By end of FY 2007.

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Performance Information Table								
Fiscal Year	Strategic Goal(s) Supported	Measurement Area	Measurement Category	Measurement Grouping	Measurement Indicator	Baseline	Target	Actual Results
					and services.	a recordkeeping system. ECMS will make the process of saving email records easier and will automate retention and disposition which is available to 0% of EPA staff.	capture and automatically manage email records.	
2007	Cross-Goal Strategies	Technology	Efficiency	Accessibility	% reduction in manual processes based on technology and application delivery or improvements.	Management of email records requires printing to paper and manual management in a recordkeeping system. ECMS will make the process of saving email records easier and will automate retention and disposition which is available to 0% of EPA staff.	By September 30, 2007 ECMS will be available to 50% of EPA staff and contractors to capture and automatically manage email records.	By end of FY 2007.
2008	Cross-Goal Strategies	Customer Results	Service Coverage	Frequency and Depth	% of eligible customers serviced	0% of 23,622 EPA employees and contractors do not have access to the functionality of ECMS for electronic content and records management.	By August 31, 2008, a minimum of 35% EPA employees and Contractors will have access to ECMS for electronic content and records management (non-email).	TBD
2008	Cross-Goal Strategies	Mission and Business Results	Information and Technology Management	IT Infrastructure Maintenance	Record Retention Using technology adoption rates	EPA's Official Record is paper for virtually all non-email records. With the deployment of ECMS to all EPA the transition from paper to electronic system of record will have occurred.	By September 30, 2008, 35% of EPA staff and contractors will have transitioned to ECMS and begin preserving their non-email official records electronically in ECMS instead of preserving paper copies.	TBD
2008	Cross-Goal Strategies	Processes and Activities	Cycle Time and Resource Time	Cycle Time	Time to complete the relevant process step(s) and/or produce or deliver products and services.	Many EPA business processes are currently manual. The availability of ECMS to staff and contractors will provide the option to use automated workflow capabilities.	By September 30, 2008, 50% of EPA staff and contractors will have access to automated workflow capability for discreet and simple approval and routing processes.	TBD
2008	Cross-Goal Strategies	Technology	Efficiency	Accessibility	% reduction in manual processes based on technology and application delivery or improvements.	Currently, the vast majority of business processes across the EPA are manual, person-intensive. By September 30, 2008, 50% of EPA staff and contractors will have access to automated workflow capability.	By September 30, 2008, 50% of EPA staff and contractors will have access to automated workflow capability for discreet and simple approval and routing processes, decreasing manual processes by	TBD

Performance Information Table								
Fiscal Year	Strategic Goal(s) Supported	Measurement Area	Measurement Category	Measurement Grouping	Measurement Indicator	Baseline	Target	Actual Results
							5%.	
2009	Cross-Goal Strategies	Customer Results	Service Coverage	Service Efficiency	% of eligible customers serviced	100% of 23,622 EPA staff and contractors have access to functionality in ECMS for electronic records management.	By September 30, 2009, 50% of EPA's staff and contractors will use ECMS for capturing unstructured electronic records.	TBD
2009	Cross-Goal Strategies	Mission and Business Results	Information and Technology Management	Record Retention	Record retention using technology adoption rates across agency organizations for multiple purposes.	EPA records include paper, electronic and other formats managed in multiple paper and electronic systems with no centralized repositories used.	ECMS will be used as the approved enterprise-wide electronic recordkeeping system for capturing unstructured records for 50% of EPA staff and contractors.	TBD
2009	Cross-Goal Strategies	Processes and Activities	Cycle Time and Resource Time	Cycle Time	Time to complete relevant processes and/or produce or deliver products or results.	50% of EPA staff and contractors will have access to ECMS for automated workflow capability for discreet and simple approval and routing processes.	By September 30, 2009, 60% of EPA staff and contractors will have access to automated workflow capability for discreet and simple approval and routing processes.	TBD
2009	Cross-Goal Strategies	Technology	Information and Data	Data Storage		EPA will have deployed ECMS as the electronic system of record, and 500 MG of records have been stored in the system.	At least 1 GB of electronic records will be stored in ECMS.	TBD

Section E: Security and Privacy (IT Capital Assets only)

In order to successfully address this area of the business case, each question below must be answered at the system/application level, not at a program or agency level. Systems supporting this investment on the planning and operational systems security tables should match the systems on the privacy table below. Systems on the Operational Security Table must be included on your agency FISMA system inventory and should be easily referenced in the inventory (i.e., should use the same name or identifier).

For existing Mixed-Life Cycle investments where enhancement, development, and/or modernization is planned, include the investment in both the "Systems in Planning" table (Table 3) and the "Operational Systems" table (Table 4). Systems which are already operational, but have enhancement, development, and/or modernization activity, should be included in both Table 3 and Table 4. Table 3 should reflect the planned date for the system changes to be complete and operational, and the planned date for the associated C&A update. Table 4 should reflect the current status of the requirements listed. In this context, information contained within Table 3 should characterize what updates to testing and documentation will occur before implementing the enhancements; and Table 4 should characterize the current state of the materials associated with the existing system.

All systems listed in the two security tables should be identified in the privacy table. The list of systems in the "Name of System" column of the privacy table (Table 8) should match the systems listed in columns titled "Name of System" in the security tables (Tables 3 and 4). For the Privacy table, it is possible that there may not be a one-to-one ratio between the list of systems and the related privacy documents. For example, one PIA could cover multiple systems. If this is the case, a working link to the PIA may be listed in column (d) of the privacy table more than once (for each system covered by the PIA).

The questions asking whether there is a PIA which covers the system and whether a SORN is required for the system are discrete from the narrative fields. The narrative column provides an opportunity for free text explanation why a working link is not provided. For example, a SORN may be required for the system, but the system is not yet operational. In this circumstance, answer "yes" for column (e) and in the narrative in column (f), explain that because the system is not operational the SORN is not yet required to be published.

Please respond to the questions below and verify the system owner took the following actions:

1. Have the IT security costs for the system(s) been identified Yes
and integrated into the overall costs of the investment:

a. If "yes," provide the "Percentage IT Security" for the 6
budget year:

2. Is identifying and assessing security and privacy risks a part Yes
of the overall risk management effort for each system
supporting or part of this investment.

3. Systems in Planning and Undergoing Enhancement(s), Development, and/or Modernization - Security Table(s):			
Name of System	Agency/ or Contractor Operated System?	Planned Operational Date	Date of Planned C&A update (for existing mixed life cycle systems) or Planned Completion Date (for new systems)
ECMS	Contractor and Government		

4. Operational Systems - Security Table:							
Name of System	Agency/ or Contractor Operated System?	NIST FIPS 199 Risk Impact level (High, Moderate, Low)	Has C&A been Completed, using NIST 800-37? (Y/N)	Date Completed: C&A	What standards were used for the Security Controls tests? (FIPS 200/NIST 800-53, NIST 800-26, Other, N/A)	Date Complete(d): Security Control Testing	Date the contingency plan tested
ECMS	Contractor and Government	Low	Yes	8/23/2006	FIPS 200 / NIST 800-53	9/20/2006	10/1/2007

5. Have any weaknesses, not yet remediated, related to any of No
the systems part of or supporting this investment been
identified by the agency or IG?

a. If "yes," have those weaknesses been incorporated into No
the agency's plan of action and milestone process?

6. Indicate whether an increase in IT security funding is No
requested to remediate IT security weaknesses?

a. If "yes," specify the amount, provide a general description of the weakness, and explain how the funding request will remediate the weakness.

7. How are contractor security procedures monitored, verified, and validated by the agency for the contractor systems above?

8. Planning & Operational Systems - Privacy Table:					
(a) Name of System	(b) Is this a new system? (Y/N)	(c) Is there at least one Privacy Impact Assessment (PIA) which covers this system? (Y/N)	(d) Internet Link or Explanation	(e) Is a System of Records Notice (SORN) required for this system? (Y/N)	(f) Internet Link or Explanation
ECMS	No	Yes	This system does not collect personally identifiable information on members of the public. Therefore, no PIA is required to be posted.	No	No, because the system is not a Privacy Act system of records.

Details for Text Options:
 Column (d): If yes to (c), provide the link(s) to the publicly posted PIA(s) with which this system is associated. If no to (c), provide an explanation why the PIA has not been publicly posted or why the PIA has not been conducted.
 Column (f): If yes to (e), provide the link(s) to where the current and up to date SORN(s) is published in the federal register. If no to (e), provide an explanation why the SORN has not been published or why there isn't a current and up to date SORN.
 Note: Working links must be provided to specific documents not general privacy websites. Non-working links will be considered as a blank field.

Section F: Enterprise Architecture (EA) (IT Capital Assets only)

In order to successfully address this area of the capital asset plan and business case, the investment must be included in the agency's EA and Capital Planning and Investment Control (CPIC) process and mapped to and supporting the FEA. The business case must demonstrate the relationship between the investment and the business, performance, data, services, application, and technology layers of the agency's EA.

1. Is this investment included in your agency's target Yes
enterprise architecture?

a. If "no," please explain why?

2. Is this investment included in the agency's EA Transition Strategy? Yes

a. If "yes," provide the investment name as identified in the Transition Strategy provided in the agency's most recent annual EA Assessment. Enterprise Content Management System (ECMS)

b. If "no," please explain why?

3. Is this investment identified in a completed (contains a target architecture) and approved segment architecture? No

a. If "yes," provide the name of the segment architecture as provided in the agency's most recent annual EA Assessment.

4. Service Component Reference Model (SRM) Table:
 Identify the service components funded by this major IT investment (e.g., knowledge management, content management, customer relationship management, etc.). Provide this information in the format of the following table. For detailed guidance regarding components, please refer to <http://www.egov.gov>.

Agency Component Name	Agency Component Description	FEA SRM Service Domain	FEA SRM Service Type	FEA SRM Component (a)	Service Component Reused Name (b)	Service Component Reused UPI (b)	Internal or External Reuse? (c)	BY Funding Percentage (d)
Foundation Services	Allows for ability to manage organizational information associated with individuals to manage access rights.	Customer Services	Customer Relationship Management	Customer / Account Management	Identification and Authentication	020-00-01-16-02-6037-00	Internal	5
Foundation Services	Allows for capture and management of EPA records and content as well as access to this information as needed.	Digital Asset Services	Document Management	Library / Storage			Internal	10
Foundation Services	Centralizes and uses a single infrastructure to eliminate redundant operations.	Digital Asset Services	Knowledge Management	Information Sharing			Internal	15
Electronic Records	Records capability allows users to easily identify appropriate schedules, associate both documents and records, takes advantage of automatic retention, and maintains records.	Digital Asset Services	Records Management	Document Classification			Internal	25
Foundation Services	Pre-formatted templates that allow users to easily develop standardized documents.	Digital Asset Services	Records Management	Record Linking / Association			Internal	10
Email Records	Enables employees to route and track various repeatable processes. The document can be traced and tracked to monitor progress	Process Automation Services	Tracking and Workflow	Process Tracking			Internal	20
Foundation Services	Centralizes and catalogs organized information making it easier to search and retrieve information, making it available to more groups	Support Services	Search	Classification			Internal	10

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4. Service Component Reference Model (SRM) Table: Identify the service components funded by this major IT investment (e.g., knowledge management, content management, customer relationship management, etc.). Provide this information in the format of the following table. For detailed guidance regarding components, please refer to http://www.egov.gov .								
Agency Component Name	Agency Component Description	FEA SRM Service Domain	FEA SRM Service Type	FEA SRM Component (a)	Service Component Reused Name (b)	Service Component Reused UPI (b)	Internal or External Reuse? (c)	BY Funding Percentage (d)
	within the organization.							
Document Management	Provides greater search capabilities within the repository through the website.	Support Services	Search	Query			Internal	5

- a. Use existing SRM Components or identify as "NEW". A "NEW" component is one not already identified as a service component in the FEA SRM.
- b. A reused component is one being funded by another investment, but being used by this investment. Rather than answer yes or no, identify the reused service component funded by the other investment and identify the other investment using the Unique Project Identifier (UPI) code from the OMB Ex 300 or Ex 53 submission.
- c. 'Internal' reuse is within an agency. For example, one agency within a department is reusing a service component provided by another agency within the same department. 'External' reuse is one agency within a department reusing a service component provided by another agency in another department. A good example of this is an E-Gov initiative service being reused by multiple organizations across the federal government.
- d. Please provide the percentage of the BY requested funding amount used for each service component listed in the table. If external, provide the percentage of the BY requested funding amount transferred to another agency to pay for the service. The percentages in the column can, but are not required to, add up to 100%.

5. Technical Reference Model (TRM) Table: To demonstrate how this major IT investment aligns with the FEA Technical Reference Model (TRM), please list the Service Areas, Categories, Standards, and Service Specifications supporting this IT investment.				
FEA SRM Component (a)	FEA TRM Service Area	FEA TRM Service Category	FEA TRM Service Standard	Service Specification (b) (i.e., vendor and product name)
Classification	Component Framework	Business Logic	Platform Dependent	
Classification	Component Framework	Business Logic	Platform Independent	
Library / Storage	Service Access and Delivery	Service Requirements	Hosting	
Customer / Account Management	Service Access and Delivery	Service Transport	Service Transport	
Customer / Account Management	Service Interface and Integration	Interoperability	Data Transformation	
Customer / Account Management	Service Interface and Integration	Interoperability	Data Transformation	
Query	Service Platform and Infrastructure	Database / Storage	Database	
Record Linking / Association	Service Platform and Infrastructure	Database / Storage	Database	
Document Classification	Service Platform and Infrastructure	Database / Storage	Storage	
Record Linking / Association	Service Platform and Infrastructure	Database / Storage	Storage	
Information Sharing	Service Platform and Infrastructure	Database / Storage	Storage	
Query	Service Platform and Infrastructure	Database / Storage	Storage	
Process Tracking	Service Platform and Infrastructure	Delivery Servers	Web Servers	

- a. Service Components identified in the previous question should be entered in this column. Please enter multiple rows for FEA SRM Components supported by multiple TRM Service Specifications
 - b. In the Service Specification field, agencies should provide information on the specified technical standard or vendor product mapped to the FEA TRM Service Standard, including model or version numbers, as appropriate.
6. Will the application leverage existing components and/or applications across the Government (i.e., FirstGov, Pay.Gov, etc)? No
- a. If "yes," please describe.

Exhibit 300: Part II: Planning, Acquisition and Performance Information

Section A: Alternatives Analysis (All Capital Assets)

Part II should be completed only for investments identified as "Planning" or "Full Acquisition," or "Mixed Life-Cycle" investments in response to Question 6 in Part I, Section A above.

In selecting the best capital asset, you should identify and consider at least three viable alternatives, in addition to the current baseline, i.e., the status quo. Use OMB Circular A-94 for all investments and the Clinger Cohen Act of 1996 for IT investments to determine the criteria you should use in your Benefit/Cost Analysis.

1. Did you conduct an alternatives analysis for this project? Yes
 - a. If "yes," provide the date the analysis was completed? 5/31/2007
 - b. If "no," what is the anticipated date this analysis will be completed?
 - c. If no analysis is planned, please briefly explain why:

2. Alternative Analysis Results:			
Use the results of your alternatives analysis to complete the following table:			* Costs in millions
Alternative Analyzed	Description of Alternative	Risk Adjusted Lifecycle Costs estimate	Risk Adjusted Lifecycle Benefits estimate
1 - COTS Enterprise Solution			
2 - COTS Distributed Local Solution			
3 - Custom Developed Enterprise Solution			
4 - Revert to Print to Paper Records Solution			

3. Which alternative was selected by the Agency's Executive/Investment Committee and why was it chosen?
4. What specific qualitative benefits will be realized?
5. Will the selected alternative replace a legacy system in-part or in-whole?
 - a. If "yes," are the migration costs associated with the migration to the selected alternative included in this investment, the legacy investment, or in a separate migration investment.
 - b. If "yes," please provide the following information:

List of Legacy Investment or Systems		
Name of the Legacy Investment of Systems	UPI if available	Date of the System Retirement

Section B: Risk Management (All Capital Assets)

You should have performed a risk assessment during the early planning and initial concept phase of this investment's life-cycle, developed a risk-adjusted life-cycle cost estimate and a plan to eliminate, mitigate or manage risk, and be actively managing risk throughout the investment's life-cycle.

1. Does the investment have a Risk Management Plan? Yes
 - a. If "yes," what is the date of the plan? 4/13/2006
 - b. Has the Risk Management Plan been significantly changed since last year's submission to OMB? No
- c. If "yes," describe any significant changes:
2. If there currently is no plan, will a plan be developed?
 - a. If "yes," what is the planned completion date?
 - b. If "no," what is the strategy for managing the risks?

3. Briefly describe how investment risks are reflected in the life cycle cost estimate and investment schedule:

Section C: Cost and Schedule Performance (All Capital Assets)

EVM is required only on DME portions of investments. For mixed lifecycle investments, O&M milestones should still be included in the table (Comparison of Initial Baseline and Current Approved Baseline). This table should accurately reflect the milestones in the initial baseline, as well as milestones in the current baseline.

1. Does the earned value management system meet the criteria in ANSI/EIA Standard-748? Yes

2. Is the CV% or SV% greater than +/- 10%? (CV%= CV/EV x 100; SV%= SV/PV x 100) No

- a. If "yes," was it the CV or SV or both?
- b. If "yes," explain the causes of the variance:

- c. If "yes," describe the corrective actions:

3. Has the investment re-baselined during the past fiscal year? No

- a. If "yes," when was it approved by the agency head?

4. Comparison of Initial Baseline and Current Approved Baseline

Complete the following table to compare actual performance against the current performance baseline and to the initial performance baseline. In the Current Baseline section, for all milestones listed, you should provide both the baseline and actual completion dates (e.g., "03/23/2003"/ "04/28/2004") and the baseline and actual total costs (in \$ Millions). In the event that a milestone is not found in both the initial and current baseline, leave the associated cells blank. Note that the 'Description of Milestone' and 'Percent Complete' fields are required. Indicate '0' for any milestone no longer active.

Milestone Number	Description of Milestone	Initial Baseline		Current Baseline				Current Baseline Variance		Percent Complete
		Planned Completion Date (mm/dd/yyyy)	Total Cost (\$M) Estimated	Completion Date (mm/dd/yyyy)		Total Cost (\$M)		Schedule (# days)	Cost (\$M)	
				Planned	Actual	Planned	Actual			
1	Project Planning	9/30/2004	\$0.3							
2	Dev/Deployment Phase 1	12/30/2005	\$0.7	12/30/2006	12/30/2006	\$0.45	\$1.124	0	\$-0.674	100%
3	Dev/Deployment Phase II	9/30/2006	\$14.3	3/17/2007	3/15/2007	\$2.45	\$2.185	2	\$0.265	100%
4	Dev/Deployment Phase III	9/30/2007	\$12.3	9/30/2007		\$4.022	\$3.01		\$0.0065	75%
5	Dev/Deployment Phase IV	9/30/2008	\$12.3	9/30/2008		\$4.43				0%
6	Dev/Deployment Phase V	9/30/2009	\$12.3	9/30/2009		\$4.43				0%
2a	C&A Phase I			12/30/2006	12/30/2006	\$0.009	\$0.145	0	\$-0.145	0%
3a	C&A Phase II			3/15/2007	3/15/2007	\$0.05	\$0.008	0	\$-0.008	0%
4a	C&A Phase III			9/30/2007		\$0.082				0%
5a	C&A Phase IV			9/30/2008		\$0.083				0%
6a	C&A Phase V			6/30/2009		\$0.0832				0%
Project Totals										