

**BY08 - Enterprise Content Management System (ECMS)****INITIATIVE DEFINITION BY08***Initiative Definition BY08*

Template Name	IT Investment BY2008
Investment Name	BY08 - Enterprise Content Management System (ECMS)
Investment Revision Number	5
Is this investment a consolidated business case?	No
Point of Contact	Hilton, Patricia
Revision Comment	
Class	IT

**I.A: OVERVIEW BY08***Descriptive Information BY08*

Date of Submission	9/11/2006
Agency	Environmental Protection Agency
Bureau	Office of Environmental Information
Name of this Capital Asset	BY08 - Enterprise Content Management System (ECMS)
Full UPI Code	020-00-01-16-01-0240-00
Four Digit UPI Code	0240
Two Digit UPI Code	00
Exhibit 53 Part	IT Investments by Mission Area
OMB Investment Type	01 - Major Investment
OMB Exhibit 53 Major Mission Area	Multi-Goal IT Investments
PY Full UPI Code	020-00-01-16-01-0240-24-404-141
What kind of investment will this be in this Budget Year?	Mixed Life Cycle
If this investment supports homeland security, Indicate by corresponding number which homeland security mission area(s) this investment supports?	
OMB Short Description	Allows agency to manage electronic records in a legally accepted manner-meets GPEA requirements.
Investment C&A Status	02 - None of the systems have gone through the C&A process or have been granted Full Authority to Operate (for operational investments)

*Screening Questions BY08*

What was the first budget year this investment was submitted to OMB?	FY2002
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:	
<p>EPA has no central mechanism to organize, store and legally manage its information, and EPA's mission is often diverted to finding and recreating information. Thus, there is need to provide Agency-wide access to content. EPA employees must have access to a vast array of environmental info to make informed, quality, timely decisions and be responsive to citizens. ECMS, a Documentum COTS solution, 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 and access the repository from their desktop. Also, the 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. Documents are often difficult to locate when employees change jobs/leave the Agency. EPA's inability to quickly produce documents has cost millions of dollars in staff time and court fines. ECMS reduces inefficiencies by providing a scalable document repository for the mgmt. of Agency info. ECMS automates EPA's records and document mgt activities &amp; provides its 25,000 employees the capability to query &amp; find information quickly while ensuring integrity, consistency and accuracy of information - faster &amp; more organized access to information with significant public benefits. ECMS provides a secure method of Web posting, content creation &amp; mgmt.</p>	

A 2006 CBA revealed that EPA will realize significant savings using ECMS to manage records, 5% - 50% reduction in the current \$14M+ cost in 5-7 years. ECMS was included as a mandatory Working Capital Fund Service in FY2007. Software, hardware, shared processing, storage & infrastructure for EPA records

mgt. costs are covered by fund contributions. Region/Program specific apps may leverage the content mgt. license and core processing infrastructure. Developmental costs for these apps. are not covered under this investment.

In FY07, EPA employees will have the capability to archive e-mail records. In FY08, functionality will be expanded to include all other record types & Web content mgmt. Full system capability is expected by 2010. In 2008, this investment is in the development & deployment phase. Current contract's period of performance will be extended past Jan. 2007, as new funding is received.

Did the Agency's Executive/Investment Committee approve this request?	Yes
If "yes," what was the date of this approval?	5/11/2006
Did the Project Manager review this Exhibit?	Yes
Contact information of Project Manager?	

Project Manager Name	
Medina, Ron	
Project Manager Phone Number	202-566-1640
Project Manager E-mail	Downs.constance@epa.gov
Has the agency developed and/or promoted cost effective, energy efficient and environmentally sustainable techniques or practices for this project.	Yes
Will this investment include electronic assets (including computers)?	Yes
Is this investment for new construction or major retrofit of a Federal building or facility? (answer applicable to non-IT assets only)	No
If "yes," is an ESPC or UESC being used to help fund this investment?	
If "yes," will this investment meet sustainable design principles?	
If "yes," is it designed to be 30% more energy efficient than relevant code?	
Does this investment directly support one of the PMA initiatives?	Yes
If "yes," check all of the PMA initiatives that apply:	Expanded E-Government
Does this investment support a program assessed using the Program Assessment Rating Tool (PART)? (For more information about the PART, visit <a href="http://www.whitehouse.gov/omb/part">www.whitehouse.gov/omb/part</a> .)	No
Does this investment address a weakness found during the PART Review?	No
If "yes," what is the name of the PARTed program?	
If "yes," what PART rating did it receive?	
Is this investment for information technology?	Yes
Briefly describe how this asset directly supports the identified initiative(s)?	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.

*IT Screening Questions BY08*

If the answer to Question: "Is this investment for information technology?" was "Yes," complete this sub-section. If the answer is "No," do not answer this sub-section.

What is the level of the IT Project? (per CIO Council PM Guidance)	Level 2
What project management qualifications does the Project Manager have? (per CIO Council's PM Guidance):	(1) Project manager has been validated as qualified for this investment
Is this investment identified as "high risk" on the Q4 - FY 2006 agency high risk report (per OMB's "high risk" memo)?	No

Is this a financial management system?	No
If "yes", does this investment address a FFMI compliance area?	
If "yes," which FFMI compliance area?	N/A
If "no," what does it address?	
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	
Provide the Percentage Financial Management for the budget year	0
What is the percentage breakout for the total FY2008 funding request for the following? (This should total 100%)	100
For budget year, what percentage of the total investment is for hardware?	10
For budget year, what percentage of the total investment is for software?	38
For budget year, what percentage of the total investment is for services?	52
For budget year, what percentage of the total investment is for other services?	0
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?	No
Contact information of individual responsible for privacy related questions:	
Privacy Officer Name	
Hutt, Judy	
Privacy Officer Phone Number	202-566-1668
Privacy Officer Title	Agency Privacy Act Officer
Privacy Officer E-mail	hutt.judy@epa.gov
Are the records produced by this investment appropriately scheduled with the National Archives and Records Administration's approval?	Yes

**I.B: SUMMARY OF SPENDING BY08**

*Summary of Spending BY08*

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.

\* Costs in thousands

SUMMARY OF SPENDING FOR PROJECT STAGES

	PY - 1 and Earlier	PY 2006	CY 2007	BY 2008	BY + 1 2009	BY + 2 2010	BY + 3 2011	BY + 4 and Beyond	Total
<b>Planning</b>									
Budgetary Resources	700	270	270	280	0	0	0	0	0
Outlays	0	0	0	0	0	0	0	0	0
<b>Preliminary Design</b>									
Budgetary Resources	700	270	270	280	0	0	0	0	0
Outlays	0	0	0	0	0	0	0	0	0
<b>Contract Services</b>									
Budgetary Resources	0	0	0	0	0	0	0	0	0
Outlays	0	0	0	0	0	0	0	0	0
<b>Acquisition</b>									
Budgetary Resources	0	2530	3222	3264	0	0	0	0	0
Outlays	0	0	0	0	0	0	0	0	0
<b>Development</b>									
Budgetary Resources	0	2530	3222	3264	0	0	0	0	0
Outlays	0	0	0	0	0	0	0	0	0
<b>Government FTE</b>									
Budgetary Resources	0	0	0	0	0	0	0	0	0
Outlays	0	0	0	0	0	0	0	0	0
<b>Infrastructure Expenses</b>									
Budgetary Resources	0	0	0	0	0	0	0	0	0
Outlays	0	0	0	0	0	0	0	0	0
<b>Subtotal Planning &amp; Acquisition</b>									
Budgetary Resources	700	2800	3492	3544	0	0	0	0	0
Outlays	0	0	0	0	0	0	0	0	0
<b>Operations &amp; Maintenance</b>									
Budgetary Resources	0	0	891	893	0	0	0	0	0
Outlays	0	0	0	0	0	0	0	0	0
<b>TOTAL</b>									
Budgetary Resources	700	2800	4383	4437	0	0	0	0	0
Outlays	0	0	0	0	0	0	0	0	0
<b>Government FTE Costs</b>									
Budgetary Resources	200	200	200	200	0	0	0	0	0
<b>Planning</b>									
Budgetary Resources	0	0	0	0	0	0	0	0	0
<b>Acquisition</b>									
Budgetary Resources	0	0	0	0	0	0	0	0	0
<b>Maintenance</b>									
Budgetary Resources	200	200	200	200	0	0	0	0	0

Note: For the cross-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.

Full Time Equivalent BY08

Use the following table to provide the number of Government Full Time Equivalents (FTE) represented by the Government FTE Costs in the Summary of Spending Table. Numbers should be entered in decimal format for each of the categories listed.

FTE Table

	PY - 6 2000	PY - 5 2001	PY - 4 2002	PY - 3 2003	PY - 2 2004	PY - 1 2005	PY 2006	CY 2007	BY 2008	BY + 1 2009	BY + 2 2010	BY + 3 2011	BY + 4 2012	BY + 5 2013	BY + 6 2014	BY + 7 2015	BY + 8 2016	Total
Financial Management	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
Security	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
Program Management	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
IT	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
Other	0	0	0	0	0	2	2	2	2	2	2	2	2	0	0	0	0	16
<b>Total*</b>	0	0	0	0	0	2	2	2	2	2	2	2	2	0	0	0	0	16

\*This row represents the 'Number of FTE represented by cost' from Summary of Spending table and will be sent to OMB.

*Funding Questions BY08*

Will this project require the agency to hire additional FTE's?

How many and in what year?

If the summary of spending has changed from the FY2007 President's budget request, briefly explain those changes.

Due to a change in the scope of this investment, a rebaseline request was submitted to OMB.

Provide the Percent Budget Formulation (BF) for the budget year

Provide the Percent Budget Execution (BE) for the budget year

*Funding Sources BY08*

Funding Sources

\* Costs in thousands

FS Name: MAX Code	Row Type	PY - 6 2000	PY - 5 2001	PY - 4 2002	PY - 3 2003	PY - 2 2004	PY - 1 2005	PY 2006	CY 2007	BY 2008	BY + 1 2009	BY + 2 2010	BY + 3 2011	BY + 4 2012	BY + 5 2013	BY + 6 2014	BY + 7 2015	BY + 8 2016	Total
Total	DME	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
Yearly Budgets	SS	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
	Total	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0

**I.C: ACQUISITION/CONTRACT STRATEGY BY08**

*Contract/Task Order Table BY08*

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.

Contract/Task Orders Table

Row Number	Contract or Task Order Number	Type of Contract/ Task Order	Has the contract been awarded?	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	Is this an Interagency Acquisition?	Is it performance based?	Competitively awarded?	What, if any, alternative financing option is being used?	Is EVM in the contract?	Does the contract include the required security and privacy clauses?	Name of CO	CO Contact information (phone/email)	Contracting Officer Certification Level	If N/A, has the agency determined the CO assigned has the competencies and skills necessary to support this acquisition?
1	68-W-04-005	Performance Based	Yes	5/2/2005	5/2/2005	1/31/2007	4300	No	Yes	Yes	NA	Yes	Yes	Paul, Dawson	202-564-4473 / dawson.paul@epa.gov	Level 3	

*Contract/Task Order Questions BY08*

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

Do the contracts ensure Section 508 compliance? Yes

Explain why (508 Compliance)? 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, EPA Offices, Regions, Labs, and Centers have established procedures to further ensure 508-compliance.

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

What is the date of your acquisition plan? 7/15/2004

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

If "no," briefly explain why:

***I.D: PERFORMANCE INFORMATION BY08***

*Performance Goals & Measures BY08*

Agencies must use the Performance Goals and Measures Table below for reporting performance goals and measures for all non-IT investments and for existing IT investments that were initiated prior to FY 2005. The table can be extended to include measures for years beyond FY 2006.

Performance Goals and Measures

Fiscal Year	Strategic Goal(s) Supported	Performance Measure	Actual/baseline (from Previous Year)	Planned Performance Metric (Target)	Performance Metric Results (Actual)
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*FEA Performance Reference Model (PRM) BY08*

FEA PRM

Fiscal Year	Strategic Goal(s) Supported	Measurement Area	Measurement Category	Measurement Grouping	Measurement Indicator	Baseline	Planned Improvement to the Baseline	Actual Results
2006		Customer Results	Service Coverage	New Customers and Market Penetration	Customers using ECMS	EPA employees and contractors do not have access to the functionality of ECMS for electronic content and records management.	By December 31, 2006, a minimum of 400 EPA employees and Contractors within EPA's Region 6 and OPPT will have access to ECMS for electronic content and records management.	On schedule.
2006		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 to	By August 31, 2006, 200 of 1,100 Region 6 employees and	On schedule.

						Region 6, the transition from paper to electronic system of record will occur.	contractors will transition to ECMS and preserve the official record electronically in ECMS instead of paper copy.	
2006		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.	Currently, EPA business processes are paper-based and person-intensive, requiring, in most cases, weeks to months to complete. OPPT reports that one of its existing business processes (Inventory Update Rule currently takes 18/24 mos to complete.	By December 31, 2006, Region 6 and OPPT will have begun automating their respective person-intensive, business processes in ECMS. By December, 31, 2006, Region 6 will have converted 7 manual business processes to automated workflows within ECMS.	On Schedule.
2006		Technology	Efficiency	Response Time	% 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 December 31, 2006, a minimum of 8 business processes (7 in Region 6 and 1 in OPPT) will have been converted to automated workflows.	On Schedule.
2007		Customer Results	Service Coverage	Service Efficiency	% of eligible customers serviced	18,000 EPA employees and contractors do not have access to the functionality of ECMS for electronic content and records management.	By August 31, 2007, a minimum of 15% EPA employees and Contractors will have access to ECMS for electronic content and records management.	On Schedule.
2007		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	By September 30, 2007, 20% of the Agency's	Transition to preserve email records

						of ECMS to Region 6, the transition from paper to electronic system of record will occur. By August 31, 2006, 200 of 1,100 Region 6 employees and contractors will have transitioned to ECMS.	18,000 employees and contractor workforce will transition to ECMS and preserve the official record electronically in ECMS instead of paper copy.	schedule for 4/07.
2007		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.	Reg.6 and OPPT are automating bus. processes in ECMS. By 12/31/2006, Reg.6 will convert 7 manual processes to automated workflows in ECMS. OPPT will convert the Inventory Update Rule (IUR) process (18-24 mnths manually) to automated eIUR workflow.	By September 30, 2007, Region 6 will have converted 15 additional business processes to automated workflows within ECMS. OPPT will have converted 15 additional business processes to automated workflows within ECMS	On Schedule.
2007		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 December 31, 2006, a minimum of 8 business processes ( 7 in Region 6 and 1 in OPPT) will have been converted to automated workflows.	By 09/30/2007, 22 manual, person-intensive business processes by Reg. 6 will be converted to automated workflows within ECMS. Also, 16 manual business processes by OPPT will be converted to automated workflows within ECMS.	On Schedule.
2008		Customer Results	Service Coverage	Frequency and Depth	% of eligible customers serviced	18,000 EPA employees and	By August 31, 2008, a minimum of	On Schedule.

						contractors do not have access to the functionality of ECMS for electronic content and records management.	35% EPA employees and Contractors will have access to ECMS for electronic content and records management.	
2008		Mission and Business Results	Information and Technology Management	IT Infrastructure Maintenance	Record Retention Using technology adoption rates	EPA's Official Record is paper. With the deployment of ECMS to Region's 1, 3, 6,8 and the Offices of OPPTS and OEI/OIC, the transition from paper to electronic system of record will have occurred.	By September 30, 2008, 35% of the Agency's 18,000 employees and contractor workforce will have transitioned to ECMS and begin preserving their official records electronically in ECMS instead of paper copy.	On Schedule. ECMS will be deployed to 35% of workforce in FY-08.
2008		Processes and Activities	Cycle Time and Resource Time	Cycle Time	Time to complete the relevant step(s) and/or produce or deliver products and services.	By 09/30/2007, Region's 1, 3, 6, 8 and Offices of OPPTS and OEI/OIC will have automated most their respective person-intensive, business processes in ECMS. and will begin using ECMS, on a day-forward approach as their official System of Record.	By 09/30/2008, Region 1, 4, 6, 8 and the Offices of OPPTS and OEI/OIC will have converted all their manual, person-intensive business processes to automated workflows within ECMS and will depend exclusively on ECMS as their official System of Record.	On Schedule.
2008		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-	By September 30, 2008, Region's 1, 3, 6, 8 and Offices of OPPTS and OEI/OIC will have	On Schedule.

						intensive. By December 31, 2006, a minimum of 8 business processes ( 7 in Region 6 and 1 in OPPT) will have been converted to automated workflows.	automated their respective person-intensive, business processes in ECMS and will depend on ECMS exclusively as their official System of Record.	
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All new IT investments initiated for FY 2005 and beyond must use Table 2 and are required to use the Federal Enterprise Architecture (FEA) Performance Reference Model (PRM). Please use Table 2 and the PRM to identify the performance information pertaining to this major IT investment. 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 at least four different Measurement Areas (for each fiscal year). The PRM is available at [www.egov.gov](http://www.egov.gov).

***I.E: SECURITY AND PRIVACY BY08***

***Costs & Risks BY08***

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).

All systems supporting and/or part of this investment should be included in the tables below, inclusive of both agency owned systems and contractor systems. For IT investments under development, security and privacy planning must proceed in parallel with the development of the system/s to ensure IT security and privacy requirements and costs are identified and incorporated into the overall lifecycle of the system/s.

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

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

Provide the Percentage IT Security for the budget year

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

***Security: Planning Systems BY08***

Systems in Planning - Security

Name of System	Agency/ or Contractor Operated System?	Planned Operational Date	Planned or Actual C&A Completion Date
ECMS	Government Only		

***Security: Operational Systems BY08***

Operational Systems - Security

Name of System	Agency/ or Contractor Operated System?	NIST FIPS 199 Risk Impact level	Has C&A been Completed, using NIST 800-37?	Date C&A Complete	What standards were used for the Security Controls tests?	Date Complete(d): Security Control Testing	Date the contingency plan tested
ECMS	Government	Moderate	Yes	8/23/2006	FIPS 200 /	8/25/2006	11/13/2006

	Only				NIST 800-53		
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**Security: Weaknesses & Contractor Procedures BY08**

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

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

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

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

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

**Privacy: Planning & Operational Systems BY08**

Planning & Operational Systems - Privacy

Name of System	Is this a new system?	Is there a Privacy Impact Assessment (PIA) that covers this system?	Is the PIA available to the public?	Is a System of Records Notice (SORN) required for this system?	Was a new or amended SORN published in FY 06?
ECMS	No	Yes.	Yes.	No	No, because the system is not a Privacy Act system of records.

**I.F: ENTERPRISE ARCHITECTURE (EA) BY08**

**General EA Questions BY08**

In order to successfully address this area of the business case and capital asset plan you must ensure the investment is included in the agency's EA and Capital Planning and Investment Control (CPIC) process, and is mapped to and supports the FEA. You must also ensure the business case demonstrates the relationship between the investment and the business, performance, data, services, application, and technology layers of the agency's EA.

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

If "no," please explain why this investment is not included in your agency's target enterprise architecture?

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

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)

If "no," please explain why this investment is not included in the agency's EA Transition Strategy?

**FEA SRM BY08**

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.whitehouse.gov/omb/egov/>.

Service Component Reference Model (SRM) Table

Agency Component Name	Agency Component Description	Service Domain	FEA SRM Service Type	FEA SRM Component	FEA Service Component Reused Name	FEA Service Component Reused UPI	Internal or External Reuse?	BY Funding Percentage
Foundation Services	Centralizes and uses a single infrastructure to eliminate redundant operations.	Digital Asset Services	Knowledge Management	Information Sharing			Internal	10
Email 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	50
Foundation Services	Pre-formatted templates that allow users to easily develop standardized documents.	Digital Asset Services	Records Management	Record Linking / Association			Internal	5
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 within the	Support Services	Search	Classification			Internal	10

	organization.							
Email Records	Provides greater search capabilities within the repository through the website.	Support Services	Search	Query			Internal	5

Use existing SRM Components or identify as "NEW". A "NEW" component is one not already identified as a service component in the FEA SRM.

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.

'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.

Please provide the percentage of the BY requested funding amount used for each service component listed in the table. If external, provide the funding level transferred to another agency to pay for the service.

**FEA TRM BY08**

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.

Technical Reference Model (TRM) Table

FEA SRM Component	FEA TRM Service Area	FEA TRM Service Category	FEA TRM Service Standard	Service Specification (i.e. vendor or product name)
Classification	Component Framework	Business Logic	Platform Dependent	
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	

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

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.

**Reuse & Information Sharing BY08**

Will the application leverage existing components and/or No applications across the Government (i.e., FirstGov, Pay.Gov, etc)?

If "yes," please describe how the application will leverage existing components and/or applications across the Government.

Does this investment provide the public with access to a No government automated information system?

If "yes," does customer access require specific software (e.g., a specific web browser version)?

If "yes," provide the specific product name(s) and version number(s) of the required software and the date when the public will be able to access this investment by

any software (i.e. to ensure equitable and timely access of government information and services).

*FEA Primary Mapping BY08*

FEA Primary Mapping  
 Reference Model: BRM  
 Business Area: Management of Government Resources  
 Line of Business: Information and Technology Management  
 Sub Function: Record Retention  
 Mapping Code: 404141

**II.A: ALTERNATIVES ANALYSIS BY08**

*Analysis Background BY08*

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.

Did you conduct an alternatives analysis for this project? Yes  
 If "yes," what is the date of the analysis? 2/4/2004  
 If "no," what is the anticipated date this analysis will be completed?  
 If no analysis is planned, please briefly explain why:

*Alternatives Table BY08*

Use the results of your alternatives analysis to complete the following table:

Alternatives Analysis Results

Send to OMB	Alternative Analyzed	Description of Alternative	Risk Adjusted Lifecycle Costs estimate	Risk Adjusted Lifecycle Benefits estimate
True	1 " Stellent® Universal Content Management",			
True	2 " EMC Documentum			
True	3 " Hummingbird Enterprise",			

*Selected Alternative BY08*

Which alternative was selected by the Initiative Governance process and why was it chosen?

What specific qualitative benefits will be realized?

**II.B: RISK MANAGEMENT BY08**

*Risk Management Plan BY08*

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.

Does the investment have a Risk Management Plan? Yes  
 What is the date of the risk management plan? 4/13/2006  
 Has the Risk Management Plan been significantly changed since last year's submission to OMB? No

If "yes," describe any significant changes to the Risk Management Plan:

If there currently is no risk plan, will a plan be developed?

If "yes," what is the planned completion date of the risk plan?

If "no," what is the strategy for managing the risks?

*Investment Risks BY08*

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

**II.C: COST AND SCHEDULE PERFORMANCE BY08**

*Earned Value BY08*

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

Answer the following questions about current cumulative cost and schedule performance. The numbers reported below should reflect current actual information. (Per OMB requirements Cost/Schedule Performance information should include both Government and Contractor Costs):

What is the Planned Value (PV)?

What is the Earned Value (EV)?

What is the actual cost of work performed (AC)?

What costs are included in the reported Cost/Schedule Performance information (Government Only/Contractor Only/Both)? Contractor and Government

EVMS "As of" date: 6/30/2006

What is the calculated Schedule Performance Index (SPI = EV/PV)?

What is the schedule variance (SV = EV-PV)?

What is the calculated Cost Performance Index (CPI = EV/AC)?

What is the cost variance (CV = EV-AC)?

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.

Answer the following questions about the status of this investment. Include information on all appropriate capital assets supporting this investment except for assets in which the performance information is reported in a separate exhibit 300.

*Cost/Schedule Variance BY08*

Is the CV% or SV% greater than 10%? (CV%= CV/EV x 100; SV%= SV/PV x 100) Yes

If "yes," was it the CV or SV or both? SV

If "yes," explain the variance:

Schedule slippage for Foundation Services Deployment.

If "yes," what corrective actions are being taken?

Add technical staff to complete deployment readiness.

What is the most current "Estimate at Completion"?

*Performance Baseline BY08*

Have any significant changes been made to the baseline during the past fiscal year? Yes

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.

If "yes," when was it approved by OMB? ECMS is requesting a rebaseline from OMB in August, 2006.

Comparison of Initial Baseline and Current Approved Baseline

Milestone Number	Description of Milestone	Initial Baseline		Current Baseline				Current Baseline Variance		Percent Complete
		Planned Completion Date	Total Cost (Estimated)	Completion Date		Total Cost		Schedule (# days)	Cost	
				Planned	Actual	Planned	Actual			
1	Project Planning	09/30/2004	\$0.300	09/30/2010	09/30/2010					0.5%
2	Spiral Dev/Deployment Phase 1	12/30/2005	\$0.700	12/30/2006		\$0.450				90%
3	Spiral Dev/Deploy Phase II	09/30/2006	\$14.300	03/17/2007		\$2.450				0.5%
4	Spiral Dev/Deploy Phase III	09/30/2007	\$12.300	09/30/2007		\$4.022				0%
5	Spiral Dev/Deploy Phase IV	09/30/2008	\$12.300	09/30/2008		\$4.064				0%
2a	C&A Phase I			12/30/2006						%
3a	C&A Phase II			03/15/2007						0%
4a	C&A Phase III			09/30/2007						0%
5a	C&A Phase IV			09/30/2008						0%
<b>Project Totals</b>										

**III.A: RISK MANAGEMENT BY08**

*Risk Management Plan BY08*

Part III should be completed only for investments identified as "Operation and Maintenance" (Steady State) in response to Question 6 in Part I, Section A above.

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.

Does the investment have a Risk Management Plan? Yes

What is the date of the risk management plan? 4/13/2006

Has the Risk Management Plan been significantly changed since last year's submission to OMB? No

If "yes," describe any significant changes to the Risk Management Plan:

If there currently is no risk plan, will a plan be developed?

If "yes," what is the planned completion date of the risk plan?

If "no," what is the strategy for managing the risks?

**III.B: COST AND SCHEDULE PERFORMANCE BY08**

*Operational Analysis BY08*

Was operational analysis conducted?

If "yes," provide the date the operational analysis was completed.

Please provide a brief summary of the operational analysis results.

If "no," please explain why it was not conducted and if there are any plans to conduct operational analysis in the future:

*Performance Baseline BY08*

Complete the following table to compare actual cost performance against the planned cost performance baseline. Milestones reported may include specific individual scheduled preventative and predictable corrective maintenance activities, or may be the total of planned annual operation and maintenance efforts.

What costs are included in the reported Cost/Schedule Performance information (Government Only/Contractor Only/Both)? Contractor and Government

Comparison of Plan vs. Actual Performance Table

Milestone Number	Description of Milestone	Planned		Actual		Variance	
		Completion Date	Total Cost	Completion Date	Total Cost	Schedule (# days)	Cost
<b>Project Totals</b>							

**IV.A: E-GOV AND LINES OF BUSINESS OVERSIGHT BY08**

*Partners BY08*

Part IV should be completed only for investments identified as an E-Gov initiative or a Line of Business(LOB), i.e., selected the "E-Gov and LOB Oversight" choice in response to Question 6 in Part I, Section A above. Investments identified as "E-Gov and LOB Oversight" will complete only Parts I and IV of the exhibit 300.

Multi-agency initiatives, such as E-Gov and LOB initiatives, should develop a joint exhibit 300.

As a joint exhibit 300, please identify the agency stakeholders. Provide the partner agency and partner agency approval date for this joint exhibit 300.

Stakeholder Table

Partner Agency Name	Partner Agency	Joint Exhibit Approval Date
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*Partnering Strategies BY08*

Provide the partnering strategies you are implementing with the participating agencies and organizations. Identify all partner agency capital assets supporting the common solution; Managing Partner capital assets should also be included in this joint exhibit 300. These capital assets should be included in the Summary of Spending table of Part I, Section B. (Partner Agency Asset UPIs should also appear on the Partner Agency’s exhibit 53)

Partner Capital Assets within this Investment

Partner Agency Name	Partner Agency	Partner Agency Asset Title	Partner Agency Exhibit 53 UPI (BY2008)
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*Partner Funding BY08*

For jointly funded initiative activities, provide in the "Partner Funding Strategies Table": the name(s) of partner agencies; the UPI of the partner agency investments; and the partner agency contributions for CY and BY. Please indicate partner contribution amounts (in-kind contributions should also be included in this amount) and fee-for-service amounts. (Partner Agency Asset UPIs should also appear on the Partner Agency's exhibit 53. For non-IT fee-for-service amounts the Partner exhibit 53 UPI can be left blank)

Partner Funding Strategies

Partner Agency Name	Partner Agency	Partner exhibit 53 UPI (BY2008)	CY Contribution	CY Fee-for-Service	BY Contribution	BY Fee-for-Service
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*Analysis Background BY08*

An Alternatives Analysis for E-Gov and LOB initiatives should also be obtained. At least three viable alternatives, in addition to the current baseline (i.e., the status quo), should be included in the joint exhibit 300. 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.

Did you conduct an alternatives analysis for this project? Yes

If "yes," what is the date of the analysis? 2/4/2004  
 If "no," what is the anticipated date this analysis will be completed?  
 If no analysis is planned, please briefly explain why:

*Alternatives Table BY08*

Use the results of your alternatives analysis to complete the following table:

Alternatives Analysis Results

Send to OMB	Alternative Analyzed	Description of Alternative	Risk Adjusted Lifecycle Costs estimate	Risk Adjusted Lifecycle Benefits estimate
True				
True				
True				

*Selected Alternative BY08*

Which alternative was selected by the Initiative Governance process and why was it chosen?

Alternative #2 - EMC Documentum

Time which should be devoted to pursuing EPA’s mission is often diverted to finding and recreating information. Many offices have implemented isolated document mgmt systems (DMS) and established paper record libraries. There is no central mechanism to either organize and manage the data, provide Agency-wide access to content or manage the lifecycle of Agency records electronically. EPA’s inability to quickly produce documents has cost millions of dollars in staff time and court fines.

In 2002, EPA identified the performance gaps, developed its requirements and began identifying and assessing COTS applications that met the requirements and that would perform well in the EPA infrastructure. The Agency evaluated the suitability of more than eighteen commercial-off-the-shelf (COTS) records and document management applications. EPA developed its functional requirements using the DoD 5015.2 (standards for electronic records management applications). NARA recommends federal agencies use the DOD’s 5055.2 standard to evaluate electronic records management applications. EPA evaluated only those COTS products that met the DOD standard as these products represent best practices and best of breed across the public and private sector.

The COTS evaluation focused on several major areas:

- Functional reqs. (electronic document and records management functionality)
- Technical reqs. (infrastructure requirements, web-based capabilities, security, scalability, ease of use, desktop application integration, etc.)
- Integration reqs. (the number of proven integrations with third-party software)
- Deployment (costs, training, professional services)
- Market presence (products currently being used in EPA, viability of vendor, and success of the application in other federal agencies)

In the final analysis, all products demonstrated they could meet the performance gap and final evaluation scores were very close. There was only a 2-3 point difference between the top three ranked products, with Documentum ranking in the top three. The closeness in scores indicated no significant difference between the top products in terms of overall capabilities and cost factors. Therefore, since the Agency was desirous of moving to a common platform for managing docs and records and offices had already begun to dev non-integrated DMS using Documentum software, Documentum was chosen as the enterprise solution for records and documents management.

What specific qualitative benefits will be realized?

Non-quantifiable benefits include improved productivity, quality, timeliness, and improved correspondence and document processing abilities. ECMS will also reduce paper consumption and eliminate the burdens, time delays, redundant data entry, and document quality problems associated with existing (electronic/non-electronic) business process across the Agency. Additional non-quantifiable benefits include ability to quickly respond to discovery and litigation inquiries, increased confidence in the results of FOIA searches and faster FOIA processing times, improved management of mission-related processing activities, and compliance with National Archives and Records Administration electronic record keeping mandates. ECMS will allow employees to search, query, and find information quickly, while ensuring the integrity, consistency and accuracy of the information. Records stored in ECMS will be available to employees from their desktops - eliminating the need to go to records centers to retrieve needed

information, thereby, reducing time and delays associated with information access. Agency-wide access to records and documents, regardless of their origin, will contribute to more informed and better decision-making.

ECMS will serve as a systematic and streamlined solution to the critical challenge that eBusiness solutions face - delivering rich, up-to-date and personalized content from multiple sources (internal and external) to content customers within the organization.

*Quantitative Benefits BY08*

What specific quantitative benefits will be realized (using current dollars) Use the results of your alternatives analysis to complete the following table:

Federal Quantitative Benefits

	Budgeted Cost Savings	Cost Avoidance	Justification for Budgeted Cost Savings	Justification for Cost Avoidance
PY - 6 2000	0	0		
PY - 5 2001	0	0		
PY - 4 2002	0	0		
PY - 3 2003	0	0		
PY - 2 2004	0	0		
PY - 1 2005	0	0		
PY 2006	0	0		
CY 2007	0	0		
BY 2008	0	0		
BY + 1 2009	0	0		
BY + 2 2010	0	0		
BY + 3 2011	0	0		
BY + 4 2012	0	0		
BY + 5 2013	0	0		
BY + 6 2014	0	0		
BY + 7 2015	0	0		
BY + 8 2016	0	0		
Total LLC Benefit	0	0		

**IV.B: RISK MANAGEMENT BY08**

*Risk Management Plan BY08*

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.



Have any significant changes been made to the baseline during the past Yes  
fiscal year?

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.

If "yes," when was it approved by OMB? ECMS is requesting a rebaseline from OMB in August, 2006.

Answer the following questions about the status of this investment. Include information on all appropriate capital assets supporting this investment except for assets in which the performance information is reported in a separate exhibit 300.

Comparison of Initial Baseline and Current Approved Baseline (EGov)

Milestone Number	Description of Milestone	Initial Baseline		Current Baseline				Current Baseline Variance		Percent Complete	Agency Responsible For Activity
		Planned Completion Date	Total Cost (Estimated)	Completion Date		Total Cost		Schedule (# days)	Cost		
				Planned	Actual	Planned	Actual				
<b>Project</b>											