

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: 9/15/2008
- 2. Agency: Environmental Protection Agency
- 3. Bureau: Office Of Environmental Information
- 4. Name of this Capital Asset: 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 FY 2010? (Please NOTE: Investments moving to O&M in FY 2010, with Planning/Acquisition activities prior to FY 2010 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 information to make informed, quality, timely decisions and be responsive to citizens. The Enterprise Content Management System (ECMS) fulfills this need by capturing information (word processing documents, e-mails, spreadsheets, graphic images, official records, etc.) into a single, searchable repository. Each employee contributes to ECMS' repository and accesses 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 and court fines. ECMS reduces inefficiencies by providing a scalable document repository for the management of Agency information. ECMS automates EPA's records and document management activities and provides its 23,622 employees and contractors the capability to query and find information quickly while ensuring integrity, consistency and accuracy of information. ECMS provides a secure method of Web posting, content creation and management. Based on our recent alternative analysis it is expected that EPA could realize savings of over ----- a year based on system adaption and usage. ECMS was included as a mandatory Working Capital Fund (WCF) Service in FY07. Region/Program specific applications may leverage the content management 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, etc.). In FY07, EPA staff were provided the capability to archive email records. Between FY 08 and 10, additional functionality is being developed and expanded to include other record types and other content management capabilities. The initially planned system capability is expected to be completed by 2012 with continued enhancement in the following years. Therefore, a formal re-baselining request will be submitted after the BY 2010 Exhibit 300 submittal.
- 9. Did the Agency's Executive/Investment Committee approve this request? Yes
 - a. If "yes," what was the date of this approval? 8/28/2008
- 10. Did the Project Manager review this Exhibit? Yes
- 11. Contact information of Program/Project Manager?
 Name
 Phone Number
 Email
- a. What is the current FAC-P/PM (for civilian agencies) or DAWIA (for defense agencies) certification level of the program/project manager?
- b. When was the Program/Project Manager Assigned? 6/2/2008
- c. What date did the Program/Project Manager receive the FAC-P/PM certification? If the certification has not been issued, what is the anticipated date for certification? 8/28/2009
- 12. Has the agency developed and/or promoted cost Yes

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effective, energy-efficient and environmentally sustainable techniques or practices for this project?

a. Will this investment include electronic assets (including computers)? Yes

b. Is this investment for new construction or major retrofit of a Federal building or facility? (answer applicable to non-IT assets only) No

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 Management 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. In addition to the answer in 11(a), what project management qualifications does the Project Manager have? (per CIO Council PM Guidance)

18. Is this investment or any project(s) within this investment identified as "high risk" on the Q4 - FY 2008 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 FFIA compliance area?

1. If "yes," which compliance area:

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 FY2010 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

Phone Number

Title

E-mail

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 2008	CY 2009	BY 2010	BY+1 2011	BY+2 2012	BY+3 2013	BY+4 and beyond	Total
Planning:	1.24	0.28	0.28	0.28					
Acquisition:	5.545	3.064	3.064	3.071					
Subtotal Planning & Acquisition:	6.785	3.344	3.344	3.351					
Operations & Maintenance:	0.891	0.893	0.894	0.895					
TOTAL:	7.676	4.237	4.238	4.246					
Government FTE Costs should not be included in the amounts provided above.									
Government FTE Costs	0.4	0.2	0.2	0.2					
Number of FTE represented by Costs:	6	3	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?

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

3. If the summary of spending has changed from the FY2009 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 (In accordance with FAR Part 16)	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 FAC-C or DAWIA 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	Cost Plus Fixed Fee	Yes	3/17/2005	5/2/2005	1/31/2013		No	Yes	Yes	NA	Yes	Yes				
4W-2732-YBWX	Software Purchase Plan (SPP)	Yes	11/10/2005	6/28/2006	10/31/2011		No	No	Yes	NA	No	Yes				

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?

a. Explain why not or how this is being done?

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 ECMS system and training meet the needs of 508 users.

4. Is there an acquisition plan which reflects the requirements of FAR Subpart 7.1 and has been approved in accordance with agency requirements? Yes

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

7/17/2008

1. Is it Current?

Yes

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

Yes

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 the next President's Budget.

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	The total number of customer calls per month to the ECMS Call Center by EPA employees and contractors	200	30	75
2007	Cross-Goal Strategies	Customer Results	Service Coverage	Service Efficiency	The % of total customers serviced on their first call to ECMS Call Center.	0%	50%	40%
2007	Cross-Goal Strategies	Mission and Business Results	Information and Technology Management	Record Retention	The % of EPA staff and contractors transitioned to ECMS for saving email records.	0%	50%	33%
2007	Cross-Goal Strategies	Technology	Efficiency	Accessibility	The % reduction in manual processes based on technology and application delivery or improvements.	0%	50%	33%
2008	Cross-Goal Strategies	Customer Results	Customer Benefit	Customer Impact or Burden	The total number of customer calls per month to the ECMS Call Center by EPA employees and contractors	100	50	Information expected November 2008.

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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
2008	Cross-Goal Strategies	Customer Results	Service Coverage	Frequency and Depth	% of eligible customers serviced on their first call to the ECMS Call Center.	0%	35%	Information expected November 2008.
2008	Cross-Goal Strategies	Mission and Business Results	Information and Technology Management	IT Infrastructure Maintenance	% of EPA staff and contractors transitioned to ECMS for saving email records.	33%	50%	Information expected November 2008.
2008	Cross-Goal Strategies	Technology	Efficiency	Accessibility	% reduction in manual processes based on technology and application delivery or improvements.	33%	50%	Information expected November 2008.
2009	Cross-Goal Strategies	Customer Results	Service Coverage	Service Efficiency	% of eligible customers serviced on their first call to the ECMS Call Center.	35%	50%	Information expected November 2009.
2009	Cross-Goal Strategies	Mission and Business Results	Information and Technology Management	Record Retention	% of EPA staff and contractors transitioned to ECMS for saving unstructured forms of electronic records.	10%	20%	Information expected November 2009.
2009	Cross-Goal Strategies	Processes and Activities	Quality	Complaints	Time to complete relevant processes and/or produce or deliver products or results.	50%	60%	Information expected November 2009.
2009	Cross-Goal Strategies	Technology	Information and Data	Data Storage	Amount of electronic storage used to store records.	500 Mb	1 GB	Information expected November 2009.
2010	Cross-Goal Strategies	Customer Results	Service Coverage	Service Efficiency	% of eligible customers serviced on first call to Call Center	50%	75%	Information expected November 2010.
2010	Cross-Goal Strategies	Mission and Business Results	Information and Technology Management	Record Retention	% of EPA staff and contractors transitioned to ECMS for saving unstructured forms of electronic records.	20%	30%	Information expected November 2010.
2010	Cross-Goal Strategies	Processes and Activities	Quality	Complaints	Decrease in the amount of time to complete the relevant process step(s) and/or produce or deliver products and services.	25%	50%	Information expected November 2010.
2010	Cross-Goal Strategies	Technology	Information and Data	Data Storage	Amount of electronic storage used to store records.	500 MB	1 GB	Information expected November 2010.
2011								
2011								
2011								
2011								

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

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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 and integrated into the overall costs of the investment? Yes

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

2. 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

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, Other, N/A)	Date Completed: Security Control Testing	Date the contingency plan tested
ECMS	Contractor and Government	Low	yes	10/26/2006	FIPS 200 / NIST 800-53	9/25/2007	10/1/2007

5. 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

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

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

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

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	A SORN is not required for this system because the system is not a Privacy Act system of records.
<p>Details for Text Options:</p> <p>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.</p> <p>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.</p> <p>Note: Working links must be provided to specific documents not general privacy websites. Non-working links will be considered as a blank field.</p>					

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 enterprise architecture? Yes
 - 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 and approved segment architecture? No
 - a. If "yes," provide the six digit code corresponding to the agency segment architecture. The segment architecture codes are maintained by the agency Chief Architect. For detailed guidance regarding segment architecture codes, please refer to <http://www.egov.gov>.

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	Library / Storage	020-00-01-16-03-0240-24	Internal	10
Foundation Services	Centralizes and uses a single infrastructure to eliminate redundant	Digital Asset Services	Knowledge Management	Information Sharing			No Reuse	15

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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)
	operations.							
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			No Reuse	25
Foundation Services	Pre-formatted templates that allow users to easily develop standardized documents.	Digital Asset Services	Records Management	Record Linking / Association	Record Linking / Association	020-00-01-16-03-0240-24	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	Process Tracking	020-00-01-16-03-0240-24	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 organization.	Support Services	Search	Classification	Classification	020-00-01-16-03-0240-24	Internal	10
Document Management	Provides greater search capabilities within the repository through the website.	Support Services	Search	Query	Query	020-00-01-16-03-0240-24	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 Technologies	
Classification	Component Framework	Business Logic	Platform Independent Technologies	

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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)
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., USA.gov, 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: * Costs in millions			
Use the results of your alternatives analysis to complete the following table:			
Alternative Analyzed	Description of Alternative	Risk Adjusted Lifecycle Costs estimate	Risk Adjusted Lifecycle Benefits estimate
1 - COTS Enterprise Solution	Deployment of software tools for Content Management and Records Management. Certified DoD 5015.5 Electronic Records Management Solution. Hosted centrally at the NCC/RTP.	20	120
2 - COTS Distributed Local Solution	Design custom solution for content and records management. Selection and implementation of COTS content and records management software solution left up to local office/region discretion. Locally hosted solutions with no centralized management.	58.75	96.25
3 - Custom Developed Enterprise Solution	Reject COTS capabilities and design custom solution for content and records management. Incorporate all regional and separate program office requirements. Host solution centrally.	25.5	48.125
4 - Status Quo Print to Paper System	Manual process for content management and recordkeeping through print to paper solution. No additional program investment required. Not compliant with DoD 5015.5 Electronic Records Management requirements.	133.333	0

3. Which alternative was selected by the Agency's Executive/Investment Committee and why was it chosen?

COTS #1 -- In 2003, EPA began to research electronic document management systems for use by the Agency. EPA developed its requirements and began identifying and assessing commercial-off-the-shelf (COTS) applications that met the requirements and that would perform well in the EPA infrastructure. The Agency evaluated the suitability of more than eighteen COTS records and document management applications. The National Archives and Records Administration (NARA) recommended that federal agencies use the DOD's 5015.2 standard to evaluate electronic records management applications. EPA therefore 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 was based on several major areas: functional requirements, technical requirements, integration requirements, deployment, and market presence. COTS #1 was chosen due to its strong performance in all the areas reviewed as well as its compatibility with several major EPA systems already in use, its cost efficiency and potential for return on investment. The COTS #1 offered many more advantages over any other alternative (i.e., in a recent report, the Gartner Group identified Documentum as the number one content management system available.)

- a. What year will the investment breakeven? (Specifically, when the budgeted costs savings exceed the cumulative costs.)

4. 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

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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. this opportunity using ECMS to manage their e-mail records for the first time. As a result, the benefit of the E-mail Records application has been largely one of enabling EPA to meet it's statutory requirement to manage e-mail records, rather than avoiding the cost of having to print e-mail records to paper.

5. Federal Quantitative Benefits				
What specific quantitative benefits will be realized (using current dollars) Use the results of your alternatives analysis to complete the following table:				
	Budgeted Cost Savings	Cost Avoidance	Justification for Budgeted Cost Savings	Justification for Budgeted Cost Avoidance
PY - 1 2007 & Prior	0.0115	0.024063	Cost savings versus implementation of alternative number 2.	Cost avoidance over print to paper solution of alternative #4.
PY 2008	0.0115	0.024063	Cost savings versus implementation of alternative number 2.	Cost avoidance over print to paper solution of alternative #4.
CY 2009	0.0115	0.024063	Cost savings versus implementation of alternative number 2.	Cost avoidance over print to paper solution of alternative #4.
BY 2010	0.0115	0.024063	Cost savings versus implementation of alternative number 2.	Cost avoidance over print to paper solution of alternative #4.
BY + 1 2011				
BY + 2 2012				
BY + 3 2013				
BY + 4 2014 & Beyond				
Total LCC Benefit			LCC = Life-cycle Cost	

6. 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:

5b. 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

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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?

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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	\$0.30			\$3.05	\$1.98			50%
2	Dev/Deployment Phase I - Design and development of ECMS infrastructure	12/30/2005	\$0.70	12/30/2006	12/30/2006	\$0.45	\$1.12	0		100%
3	Dev/Deployment Phase II - Costs associated with application in staging environment.	9/30/2006	\$14.30	3/17/2007	3/15/2007	\$2.45	\$2.69	2		100%
4	Dev/Deployment Phase III - Costs associated with actual deployment of email records application.	9/30/2007	\$12.30	9/30/2007	9/30/2007	\$4.02	\$4.38	0		100%
5	Dev/Deployment Phase IV - Costs associated with the development of new tools (i.e., MyECMS, etc.)	9/30/2008	\$12.30	9/30/2008		\$4.43	\$3.85			50%
6	Dev/Deployment Phase V - Costs associated with the development of future work in outyears.	9/30/2009	\$12.30	9/30/2009		\$4.43				0%
7	Dev/Deployment Phase VI - Costs associated with future work in outyears.	9/30/2010	\$12.30	9/30/2010		\$3.45				0%
2a	C&A			12/30/2006	12/30/2006			0		0%

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			
3a	C&A			3/15/2007	3/15/2007			0		0%
4a	C&A			9/30/2007	9/30/2007			0		0%
Project Totals										