

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: 4/10/2009
- 2. Agency: Environmental Protection Agency
- 3. Bureau: Office Of Solid Waste And Emergency Response
- 4. Name of this Capital Asset: BY2010 Superfund Document Management System (SDMS)
- 5. Unique Project (Investment) Identifier: (For IT investment only, see section 53. For all other, use agency ID system.) 020-00-01-13-01-1020-00
- 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.) Operations and Maintenance
- 7. What was the first budget year this investment was submitted to OMB? FY2001 or earlier

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:

SDMS is a key EPA asset used to meet responsibilities of Federal agencies, Congress, and the Public in Superfund site remediation and cleanup, and emergency response support. It addresses the Agency's performance gap for capturing, preserving, and disseminating legislatively mandated Superfund documents and records. SDMS is an electronic repository of Superfund documents routinely used to disseminate records in response to FOIA requests, Administrative Records, and for litigation support. These records provide a rich institutional "memory" of the highest importance to the Superfund Program. SDMS advances e-Government by providing reliable and easily accessible documents to citizens for making informed decisions in their communities. Beneficiaries of content exported from SDMS include ordinary citizens, States, Tribes, Congress, and the business community.

SDMS is helping establish the foundation for construction of the Superfund Enterprise Management System (SEMS). The result will be a single system for managing the Superfund program data that minimizes reporting burdens, reduces costs, and eliminates management of redundant information systems. This strategy relies on aligning SDMS with the Agency's IT Enterprise Architecture and using secure technologies. The current business case sets forth how SDMS will improve Federal Government service to the public, businesses, and agencies alike while focusing on the Agency e-government performance gap.

- 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?

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?

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?

- 12. Has the agency developed and/or promoted cost effective, energy-efficient and environmentally sustainable techniques or practices for this project? Yes
 - a. Will this investment include electronic assets (including computers)? Yes

b. Is this investment for new construction or major 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?)

SDMS allows increased access to records while reducing physical record storage. For FY2006 through FY2008 more than 78,000 e-records were captured in SDMS. SDMS fosters collaboration of information. An example is the 24,548 documents from Region 4 that were captured in SDMS for Hurricane Katrina. These digital documents, which meet the standard for e-FOIA, may be distributed to many stakeholders including States, Tribes, concerned citizens, the legal community, and other Federal agencies.

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	5
Software	5
Services	80
Other	10

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? Yes

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

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:	7.605	0.025	0	0					
Acquisition:	15.352	0.175	0	0					
Subtotal Planning & Acquisition:	22.957	0.200	0	0					
Operations & Maintenance:	21.927	3.295	1.935	1.975					
TOTAL:	44.884	3.495	1.935	1.975					
Government FTE Costs should not be included in the amounts provided above.									
Government FTE Costs	2.809	0.144	0.396	0.341					
Number of FTE represented by Costs:	25	2	2	2					

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.

Exhibit 300: BY2010 Superfund Document Management System (SDMS) (Revision 12)

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	Cost Plus Incentive Fee	Yes	9/30/2007	11/1/2007	1/7/2011	4.17	No	Yes	Yes	NA	Yes					
DW-47-93935401	Cost-Plus-Award-Fee, Cost-Plus-Fixed-Fee and Firm Fixed Price	Yes	9/1/2007	10/1/2007	9/1/2011	1.84	Yes	Yes	Yes	NA	No					

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:

For the two contract vehicles which directly support SDMS, EVM is required at the task order level. The "ITS-ESE" contract in EPA is a systems development support contract. The "ITS-EPA" contract is used operations and maintenance of the production system. The "ITS-EPA" Contract does not require EVM, the program manager has requested EVM. EVM is reported by both contractors monthly.

Note 1: The contracts total of \$3.91 million from the "Contracts/Task Orders Table" is significantly lower than the \$52.2 million overall total non-FTE spending for the investment because only currently open contracts are presented in the table. The contracts total for closed contracts (PY 2003 - 2008) is \$48.284 million which accounts for the balance of the investment expenditures.

Note 2: The "ITS-EPA" contract is a WCF expenditure.

3. Do the contracts ensure Section 508 compliance? Yes

a. Explain why not or how this is being done? Both the ITS-ESE and ITS-EPA contracts require that the EPA Web Development Guide be adhered to for all web development tasks. Contractors utilize tools that verify Section 508 compliance and the EPA Office of Public Affairs verifies and approves of all public facing web sites and applications. 508 compliance for the general system is part of the IT development Task Order itself. The EPA conducted 508 testing of SDMS. Findings were used to make numerous accessibility improvements to SDMS.

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? 6/13/2002

1. Is it Current? Yes

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

1. If "no," briefly explain why:

Section D: Performance Information (All Capital Assets)

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

Agencies must use the following table to report performance goals and measures for the major investment and use the Federal Enterprise Architecture (FEA) Performance Reference Model (PRM). Map all Measurement Indicators to the corresponding "Measurement Area" and "Measurement Grouping" identified in the PRM. There should be at least one Measurement Indicator for each of the four different Measurement Areas (for each fiscal year). The PRM is available at www.egov.gov. The table can be extended to include performance measures for years beyond 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
2008	Goal 3: Land Preservation and Restoration	Customer Results	Service Accessibility	Access	Percentage of site records that consist of core and source docs (Admin Record Collections, 5-Year Reviews, Record of Decisions) accessible via SDMS to be used for responses to FOIA requests, Congressional inquires, and Department of Justice	25%	50%	45% (As of FY2008-Q2)
2008	Goal 3: Land Preservation and Restoration	Mission and Business Results	Disaster Management	Emergency Response	Regional On-Scene Coordinators	5	10	10

Exhibit 300: BY2010 Superfund Document Management System (SDMS) (Revision 12)

Performance Information Table								
Fiscal Year	Strategic Goal(s) Supported	Measurement Area	Measurement Category	Measurement Grouping	Measurement Indicator	Baseline	Target	Actual Results
					have real time access to SDMS data via Aventail (AAA extranet)			
2008	Goal 3: Land Preservation and Restoration	Processes and Activities	Productivity	Efficiency	Deploy to the Regions a centralized document capture tool (ExpressLink) that offers workflow tracking which will streamline document processing and improve document tracking	3 Regions	5 Regions	3 Regions
2008	Goal 3: Land Preservation and Restoration	Technology	Reliability and Availability	Availability	Uptime availability of SDMS - ensuring that all end users have access to documents in SDMS during normal working hours	0	98%	98%
2009	Goal 3: Land Preservation and Restoration	Customer Results	Service Accessibility	Access	Percentage of site records that consist of core and source docs (Admin Record Collections, 5-Year Reviews, Record of Decisions) accessible via SDMS to be used for responses to FOIA requests, Congressional inquires, and Department of Justice	50%	75%	Will be reported at the end of FY2009
2009	Goal 3: Land Preservation and Restoration	Mission and Business Results	Environmental Management	Environmental Remediation	Address environmental hazards and contamination by ensuring that EPA site teams are able to use SDMS portal to access data.	0	5 Regions	Will be reported at the end of FY2009
2009	Goal 3: Land Preservation and Restoration	Processes and Activities	Productivity	Efficiency	Deploy to the Regions a centralized document capture tool (ExpressLink) that offers workflow tracking which will streamline document processing and improve document tracking	5 Regions	7 Regions	Will be reported at the end of FY2009
2009	Goal 3: Land Preservation and Restoration	Technology	Reliability and Availability	Availability	Uptime availability of SDMS - ensuring that all end users have access to documents in SDMS during normal working hours	98%	99%	Will be reported at the end of FY2009
2010	Goal 3: Land Preservation and Restoration	Customer Results	Service Accessibility	Access	Percentage of site records that consist of core and source docs (Admin Record	75%	95%	Will be reported at the end of FY2010

Performance Information Table								
Fiscal Year	Strategic Goal(s) Supported	Measurement Area	Measurement Category	Measurement Grouping	Measurement Indicator	Baseline	Target	Actual Results
					Collections, 5-Year Reviews, Record of Decisions) accessible via SDMS to be used for responses to FOIA requests, Congressional inquires, and Department of Justice			
2010	Goal 3: Land Preservation and Restoration	Mission and Business Results	Environmental Management	Environmental Remediation	Address environmental hazards and contamination by ensuring that EPA site teams are able to use SDMS portal to access data.	5 Regions	10 Regions	Will be reported at the end of FY2010
2010	Goal 3: Land Preservation and Restoration	Processes and Activities	Productivity	Efficiency	Deploy to the Regions a centralized document capture tool (ExpressLink) that offers workflow tracking which will streamline document processing and improve document tracking	7 Regions	9 Regions	Will be reported at the end of FY2010
2010	Goal 3: Land Preservation and Restoration	Technology	Information and Data	Data Standardization or Tagging	Review SDMS data for migration to SEMS - identify common and redundant data elements to align with SEMS information architecture	0	95%	Will be reported at the end of FY2010

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

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

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

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

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

not yet required to be published.

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

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

a. If "yes," provide the "Percentage IT Security" for the budget year: 5

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)

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
Superfund Document Management System	Contractor and Government	Moderate	yes	1/27/2006	FIPS 200 / NIST 800-53	9/27/2007	7/16/2008

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? Yes

a. If "yes," have those weaknesses been incorporated into the agency's plan of action and milestone process? Yes

6. Indicate whether an increase in IT security funding is requested to remediate IT security weaknesses?

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

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

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

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

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

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

Exhibit 300: BY2010 Superfund Document Management System (SDMS) (Revision 12)

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. Superfund Document Management System (SDMS)

b. If "no," please explain why?

3. Is this investment identified in a completed and approved segment architecture? Yes

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>. 325-000

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)
SDMS Metadata Management	Defines the set of capabilities that support the maintenance and administration of data that describes data.	Back Office Services	Data Management	Meta Data Management			No Reuse	9
ECMS Email Extender	SDMS captures metadata of Superfund related emails using ECMS email capture and ECMS Docbase	Back Office Services	Data Management	Meta Data Management	Meta Data Management	020-00-01-16-04-0240-24	Internal	1
SDMS Reporting	SDMS reports	Business Analytical Services	Reporting	Ad Hoc			No Reuse	2
SDMS Reporting	SDMS reports	Business Analytical Services	Reporting	Standardized / Canned			No Reuse	2
Configuration Management	Process and tools for document version and release management	Business Management Services	Management of Processes	Configuration Management	Configuration Management	020-00-01-16-04-0240-24	Internal	2
SDMS Life Cycle Management	SDMS Life Cycle Management	Business Management Services	Management of Processes	Quality Management			No Reuse	4
SDMS Portal	Integration with EPA Portal	Digital Asset Services	Content Management	Content Publishing and Delivery	Content Publishing and Delivery	020-00-01-16-02-6029-00	Internal	4
Workflow Services	Documentum Workflow Manager, ExpressLink, Business Process Manager	Digital Asset Services	Content Management	Content Review and Approval	Content Review and Approval	020-00-01-16-04-0240-24	Internal	1
SDMS Content Capture	Defines the subset of capability for conversion of document formats	Digital Asset Services	Document Management	Document Conversion			No Reuse	2
Scanning Services	Kofax Ascent Capture	Digital Asset Services	Document Management	Document Imaging and OCR			No Reuse	4
Document Management Services	Cross referencing of documents using	Digital Asset Services	Document Management	Document Referencing	Document Referencing	020-00-01-16-04-0240-24	Internal	6

Exhibit 300: BY2010 Superfund Document Management System (SDMS) (Revision 12)

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)
	Documentum							
SDMS Content Capture	Defines the set of capabilities that facilitate collection of data.	Digital Asset Services	Document Management	Indexing			No Reuse	6
SDMS Search and Retrieval	Defines the set of capabilities that support indexing for search and retrieval	Digital Asset Services	Document Management	Indexing			No Reuse	4
ECMS Repository Management	Defines the set of capabilities that support document and data warehousing and archiving.	Digital Asset Services	Document Management	Library / Storage	Library / Storage	020-00-01-16-04-0240-24	Internal	9
Document Management Services	Documentum virtual document, SDMS Collections, SDMS Central Registry	Digital Asset Services	Knowledge Management	Information Mapping / Taxonomy	Information Mapping / Taxonomy	020-00-01-16-04-0240-24	Internal	4
SDMS Search and Retrieval	Defines the set of capabilities that support selection and retrieval of records organized by shared characteristics in content or context.	Digital Asset Services	Knowledge Management	Information Retrieval			No Reuse	9
SDMS Content Sharing	Defines the capabilities to share SDMS data across the ECMS, ICTS, CERCLIS Platforms and CD-ROM media.	Digital Asset Services	Knowledge Management	Information Sharing	Information Sharing	020-00-01-16-01-6029-00	Internal	9
Workflow Services	Documentum Workflow Manager, ExpressLink, Business Process Manager	Digital Asset Services	Knowledge Management	Knowledge Capture	Knowledge Capture	020-00-01-16-04-0240-24	Internal	2
SDMS Portal	Provide access to the SDMS documents	Digital Asset Services	Knowledge Management	Knowledge Distribution and Delivery	Knowledge Distribution and Delivery	020-00-01-16-01-6006-00	Internal	1
ECMS Records Management	Defines the set of capabilities that allow classification of data and information into specific layers or types to support an organization.	Digital Asset Services	Records Management	Document Classification	Document Classification	020-00-01-16-04-0240-24	Internal	6
Records Management Services	Records Manager, SDMS (standard) File Plan, Agency-wide File Plan, Records Manager/Retention Policy Services	Digital Asset Services	Records Management	Record Linking / Association	Record Linking / Association	020-00-01-16-04-0240-24	Internal	4
Portal Collaboration	Workspaces, Content Services, Discussion Services, Calendar Services	Support Services	Collaboration	Threaded Discussions	Threaded Discussions	020-00-01-16-01-6006-00	Internal	2

Exhibit 300: BY2010 Superfund Document Management System (SDMS) (Revision 12)

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)
SDMS Identity and Access Management	Provide Authorization, Authentication and ID Provisioning Services to SDMS.	Support Services	Security Management	Identification and Authentication	Identification and Authentication	020-00-01-16-02-6006-00	Internal	6
ICTS Integration	Application integration with Institutional Controls Tracking System	Support Services	Security Management	Identification and Authentication	Identification and Authentication	020-00-01-16-02-6006-00	Internal	1

- 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)
Knowledge Capture	Component Framework	Business Logic	Platform Dependent Technologies	
Meta Data Management	Component Framework	Business Logic	Platform Dependent Technologies	
Document Referencing	Component Framework	Business Logic	Platform Dependent Technologies	
Document Classification	Component Framework	Business Logic	Platform Dependent Technologies	
Content Review and Approval	Component Framework	Business Logic	Platform Independent Technologies	
Library / Storage	Component Framework	Data Management	Database Connectivity	
Ad Hoc	Component Framework	Data Management	Reporting and Analysis	
Standardized / Canned	Component Framework	Data Management	Reporting and Analysis	
Information Sharing	Component Framework	Security	Certificates / Digital Signatures	
Identification and Authentication	Component Framework	Security	Supporting Security Services	
Identification and Authentication	Component Framework	Security	Supporting Security Services	
Knowledge Distribution and Delivery	Component Framework	User Presentation / Interface	Content Rendering	
Knowledge Distribution and Delivery	Component Framework	User Presentation / Interface	Content Rendering	
Knowledge Distribution and Delivery	Component Framework	User Presentation / Interface	Dynamic Server-Side Display	
Knowledge Distribution and Delivery	Component Framework	User Presentation / Interface	Static Display	
Threaded Discussions	Service Access and Delivery	Access Channels	Collaboration / Communications	
Knowledge Distribution and Delivery	Service Access and Delivery	Access Channels	Collaboration / Communications	
Information Sharing	Service Access and Delivery	Access Channels	Other Electronic Channels	
Knowledge Distribution and Delivery	Service Access and Delivery	Delivery Channels	Internet	
Library / Storage	Service Access and Delivery	Service Requirements	Legislative / Compliance	
Library / Storage	Service Access and Delivery	Service Requirements	Legislative / Compliance	

Exhibit 300: BY2010 Superfund Document Management System (SDMS) (Revision 12)

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)
Knowledge Distribution and Delivery	Service Access and Delivery	Service Transport	Service Transport	
Information Sharing	Service Interface and Integration	Integration	Middleware	
Information Sharing	Service Interface and Integration	Interface	Service Description / Interface	
Document Conversion	Service Interface and Integration	Interoperability	Data Transformation	
Record Linking / Association	Service Platform and Infrastructure	Database / Storage	Database	
Library / Storage	Service Platform and Infrastructure	Database / Storage	Storage	
Knowledge Distribution and Delivery	Service Platform and Infrastructure	Delivery Servers	Application Servers	
Content Publishing and Delivery	Service Platform and Infrastructure	Delivery Servers	Portal Servers	
Knowledge Distribution and Delivery	Service Platform and Infrastructure	Delivery Servers	Web Servers	
Knowledge Distribution and Delivery	Service Platform and Infrastructure	Hardware / Infrastructure	Local Area Network (LAN)	
Library / Storage	Service Platform and Infrastructure	Hardware / Infrastructure	Network Devices / Standards	
Document Imaging and OCR	Service Platform and Infrastructure	Hardware / Infrastructure	Peripherals	
Information Retrieval	Service Platform and Infrastructure	Hardware / Infrastructure	Peripherals	
Library / Storage	Service Platform and Infrastructure	Hardware / Infrastructure	Servers / Computers	
Knowledge Distribution and Delivery	Service Platform and Infrastructure	Hardware / Infrastructure	Wide Area Network (WAN)	
Configuration Management	Service Platform and Infrastructure	Software Engineering	Software Configuration Management	
Quality Management	Service Platform and Infrastructure	Software Engineering	Test Management	
Information Mapping / Taxonomy	Service Platform and Infrastructure	Support Platforms	Dependent Platform	
Library / Storage	Service Platform and Infrastructure	Support Platforms	Dependent Platform	
Indexing	Service Platform and Infrastructure	Support Platforms	Dependent Platform	
Document Imaging and OCR	Service Platform and Infrastructure	Support Platforms	Dependent Platform	
Information Sharing	Service Platform and Infrastructure	Support Platforms	Dependent Platform	
Knowledge Distribution and Delivery	Service Platform and Infrastructure	Support Platforms	Independent Platform	

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 III: For "Operation and Maintenance" investments ONLY (Steady State)**Section A: Risk Management (All Capital Assets)**

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.

1. Does the investment have a Risk Management Plan? Yes
 - a. If "yes," what is the date of the plan? 6/1/2006
 - 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?

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

1. Was an operational analysis conducted? No
 - a. If "yes," provide the date the analysis was completed.
 - b. If "yes," what were the results?

 - c. If "no," please explain why it was not conducted and if there are any plans to conduct operational analysis in the future:
SDMS will enter into O&M phase in 2009. An Operational Analysis will be conducted in Fiscal Year 2009 - Quarter 2.

2. 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).
 - a. What costs are included in the reported Cost/Schedule Performance information (Government Only/Contractor Only/Both)? Contractor and Government

Exhibit 300: BY2010 Superfund Document Management System (SDMS) (Revision 12)

2.b Comparison of Plan vs. Actual Performance Table							
Milestone Number	Description of Milestone	Planned		Actual		Variance	
		Completion Date (mm/dd/yyyy)	Total Cost(\$M)	Completion Date (mm/dd/yyyy)	Total Cost(\$M)	Schedule (# days)	Cost(\$M)
1	SDMS2: Conduct Formal Risk Assessment of OSRTI (Local) Configuration	11/15/2005	\$0.050000	11/30/2005	\$0.050000	-15	\$0.000000
2	SDMS2: Alternatives Analysis for Establishment of Centralized Repository (= SDMS2 Contingency Configuration)	11/15/2005	\$0.015000	11/23/2005	\$0.007000	-8	\$0.008000
3	SDMS2: Cost - Benefit Analysis for Selected Centralized Repository Alternative	1/15/2006	\$0.025000	2/17/2006	\$0.015000	-33	\$0.010000
4	SDMS2: Update Risk Management Plan to Include Central Repository	2/15/2006	\$0.010000	11/27/2006	\$0.006000	-285	\$0.004000
5	SDMS2: Central Repository Implementation of ExpressLink	1/31/2006	\$0.070000	9/30/2006	\$0.025000	-242	\$0.045000
6	SDMS2: Implement Central Repository (=Activation of SDMS2 Contingency Plan; Fully Operational When All Regional Datasets are Migrated and Synchronized in Central Repository	9/30/2006	\$0.100000	9/30/2006	\$0.438000	0	-\$0.338000
7	SDMS2: Conduct Risk Assessment of Central Repository with Test Instance of OSRTI Content	3/31/2006	\$0.050000	11/30/2005	\$0.050000	121	\$0.000000
8	SDMS2: Integrate Documentum's Records Management Functionalities with SDMS2	7/31/2006	\$0.265000	9/30/2006	\$0.133000	-61	\$0.132000
9	SDMS2: Create Central Registry Application	6/1/2006	\$0.270000	9/30/2006	\$0.253000	-121	\$0.017000
10	SDMS2: Sequencing Plan for Migration / Replication of Regional Content to Central Repository	4/15/2006	\$0.008000	3/31/2006	\$0.000000	15	\$0.008000
11	SDMS2: Migrate Localized Oracle Databases Instances to Central Database	9/29/2006	\$0.075000	9/30/2006	\$0.014000	-1	\$0.061000

Exhibit 300: BY2010 Superfund Document Management System (SDMS) (Revision 12)

2.b Comparison of Plan vs. Actual Performance Table							
Milestone Number	Description of Milestone	Planned		Actual		Variance	
		Completion Date (mm/dd/yyyy)	Total Cost(\$M)	Completion Date (mm/dd/yyyy)	Total Cost(\$M)	Schedule (# days)	Cost(\$M)
12	SDMS2: Management Evaluation Report of Regional SDMS Systems Uses and Dependencies in Preparation for Content Migration / Replication to Central Repository	3/31/2006	\$0.038000	3/31/2006	\$0.021000	0	\$0.017000
13	SDMS2: Migrate / Replicate Regional SDMS Content to Central Repository	2/15/2007	\$0.100000	9/30/2006	\$0.007000	138	\$0.093000
14	SDMS2: Security Plan Update	5/31/2006	\$0.025000	4/10/2006	\$0.010000	51	\$0.015000
15	SDMS3: Map Regional Business Processes and Workflows	8/31/2006	\$0.025000	3/31/2007	\$0.017000	-212	\$0.008000
16	Review PDF-A[rchive] Format as Potential Central Repository Migration Target Format	4/28/2006	\$0.010000	10/30/2006	\$0.000000	-185	\$0.010000
17	SDMS3: Cost - Benefit Analysis	3/31/2006	\$0.012000	8/24/2006	\$0.008000	-146	\$0.004000
18	SDMS3: Draft System Architecture	4/30/2006	\$0.100000	2/6/2006	\$0.002000	83	\$0.098000
19	SDMS3: Draft Disaster Recovery Plan	5/31/2006	\$0.005000	3/31/2006	\$0.001000	61	\$0.004000
20	Update Privacy Impact Assessment (FY06)	6/15/2006	\$0.001000	6/12/2006	\$0.000000	3	\$0.001000
21	Develop an inventory of current sources and contractual obligations for information security products and services	12/31/2005	\$0.002000	1/15/2006	\$0.001000	-15	\$0.001000
22	Develop migration plan for acquiring information security products and services from Centers of Excellence established under the Information Systems Security Line of Business	9/30/2006	\$0.000000	9/30/2006	\$0.000000	0	\$0.000000
23	Implement plan to migrate from current information security acquisition processes to the procurement of information security products and services from Centers of	9/30/2007	\$0.000000	9/30/2007	\$0.000000	0	\$0.000000

Exhibit 300: BY2010 Superfund Document Management System (SDMS) (Revision 12)

2.b Comparison of Plan vs. Actual Performance Table							
Milestone Number	Description of Milestone	Planned		Actual		Variance	
		Completion Date (mm/dd/yyyy)	Total Cost(\$M)	Completion Date (mm/dd/yyyy)	Total Cost(\$M)	Schedule (# days)	Cost(\$M)
	Excellence established under the Information Systems Security Line of Business						
24	Operations & Maintenance (FY06)	9/30/2006	\$0.950000	9/30/2006	\$2.188000	0	-\$1.238000
25	Security (FY06)	9/30/2006	\$0.150000	9/30/2006	\$0.066000	0	\$0.084000
26	Working Capital Fund (FY06)	9/30/2006	\$1.000000	9/30/2006	\$0.181000	0	\$0.819000
27	Update Privacy Impact Assessment (FY07)	6/30/2007	\$0.003000	6/27/2007	\$0.002000	3	\$0.001000
28	SDMS2: Central Repository Implementation of ExpressLink (FY07)	9/30/2007	\$0.045000	9/30/2007	\$0.008000	0	\$0.037000
29	SDMS2: Implement Central Repository (=Activation of SDMS2 Contingency Plan; Fully Operational When All Regional Datasets are Migrated and Synchronized in Central Repository (FY07)	9/30/2007	\$0.150000	9/30/2007	\$0.195000	0	-\$0.045000
30	SDMS2: Integrate Documentum's Records Management Functionalities with SDMS2 (FY07)	9/30/2007	\$0.225000		\$0.117000		\$0.108000
31	SDMS2: Create Central Registry Application (FY07)	9/30/2007	\$0.145000	9/30/2007	\$0.097000	0	\$0.048000
32	SDMS2: Migrate Localized Oracle Databases Instances to Central Database (FY07)	9/30/2007	\$0.090000	9/30/2007	\$0.003000	0	\$0.087000
33	SDMS2: Migrate / Replicate Regional SDMS Content to Central Repository (FY07)	9/30/2007	\$0.020000	9/30/2007	\$0.000000	0	\$0.020000
34	Incorporate Agency IT Enterprise Architecture Plan Into SDMS Development Path: Select Components to Add, such as Identity and Access Management	9/30/2008	\$0.008000		\$0.010000		-\$0.002000
35	Implement plan to migrate from current information	9/30/2008	\$0.000000				

Exhibit 300: BY2010 Superfund Document Management System (SDMS) (Revision 12)

2.b Comparison of Plan vs. Actual Performance Table							
Milestone Number	Description of Milestone	Planned		Actual		Variance	
		Completion Date (mm/dd/yyyy)	Total Cost(\$M)	Completion Date (mm/dd/yyyy)	Total Cost(\$M)	Schedule (# days)	Cost(\$M)
	security acquisition processes to the procurement of information security products and services from Centers of Excellence established under the Information Systems Security Line of Business						
36	Operations & Maintenance (FY07)	9/30/2007	\$3.397000	9/30/2007	\$0.971000	0	\$2.426000
37	Security (FY 07)	9/30/2007	\$0.241000	9/30/2007	\$0.097000	0	\$0.144000
38	Implement plan to migrate from current information security acquisition processes to the procurement of information security products and services from Centers of Excellence established under the Information Systems Security Line of Business	9/30/2009	\$0.000000				
39	Implement plan to migrate from current information security acquisition processes to the procurement of information security products and services from Centers of Excellence established under the Information Systems Security Line of Business	9/30/2010	\$0.000000				
40	Government FTE (FY07)	9/30/2007	\$0.300000	9/30/2007	\$0.150000	0	\$0.150000
41	Integration of SDMS/ICTS (FY08)	2/29/2008	\$0.670000		\$0.329000		\$0.341000
42	Integration of SDMS/EPA Portal (FY08)	12/28/2007	\$0.300000		\$0.227000		\$0.073000
43	Operations & Maintenance (FY08)	9/30/2008	\$2.100000		\$1.214000		\$0.886000
44	Security (FY08)	9/30/2008	\$0.280000		\$0.176000		\$0.104000
45	Government FTE (FY08)	9/30/2008	\$0.200000		\$0.117000		\$0.083000
46	Core System Documentation Update (FY09)	9/30/2009	\$0.150000				

Exhibit 300: BY2010 Superfund Document Management System (SDMS) (Revision 12)

2.b Comparison of Plan vs. Actual Performance Table

Milestone Number	Description of Milestone	Planned		Actual		Variance	
		Completion Date (mm/dd/yyyy)	Total Cost(\$M)	Completion Date (mm/dd/yyyy)	Total Cost(\$M)	Schedule (# days)	Cost(\$M)
47	Operations & Maintenance (FY09)	9/30/2009	\$1.700000				
48	Security (FY09)	9/30/2009	\$0.085000				
49	Government FTE (FY09)	9/30/2009	\$0.200000				
50	Operations & Maintenance (FY10)	9/30/2010	\$1.750000				
51	Security (FY10)	9/30/2010	\$0.225000				
52	Government FTE (FY10)	9/30/2010	\$0.200000				
53	Government FTE (FY11)						
54	Implement plan to migrate from current information security acquisition processes to the procurement of information security products and services from Centers of Excellence established under the Information Systems Security Line of Business	9/30/2010	\$0.000000				
55	O&M (FY2005 & Prior Costs)	9/30/2005	\$37.210000	9/30/2005	\$37.210000	0	\$0.000000
56	Government FTE (FY06 & prior)	9/30/2006	\$2.510000	9/30/2006	\$2.510000	0	\$0.000000
Project Totals				9/30/2007	\$46.926000	1461	\$8.684000