

Electronic Editing and Publishing System (eDOCS)

Budget year: FY2001 or earlier

Agency: 393

Exhibit 300: Capital Asset Plan and Business Case Summary

Part I: Summary Information And Justification

Section A: Overview

1. Date of submission: **Dec 14, 2006**
2. Agency: **393**
3. Bureau: **00**
4. Name of this Capital Asset: **Electronic Editing and Publishing System (eDOCS)**
5. Unique Project (Investment) Identifier: **393-00-01-04-01-0007-00**
6. What kind of investment will this be in FY2008? **Mixed Life Cycle**
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: **The Electronic Editing and Publishing System (eDOCS) is a single, multi-module web based electronic system available to all Office of the Federal Register staff involved in the processing of material for publication in the daily Federal Register. The system allows: a. Federal agencies to submit rulemaking and other documents electronically for publication in the *Federal Register*, b. *Federal Register* editorial staff to process documents and perform their duties in an electronic mode, and c. the electronic transmission of data to the Government Printing Office for publication. The eDOCS project team has provided on-going strategic briefings to the CIO's office. At these briefings, the team provides information on the status of the eDOCS project, how this project relates to NARA's strategic goals, life cycle schedule, financial status, identified risks, and corrective actions. The eDOCS Project Manager provides monthly project updates to the CIO's office.**
9. Did the Agency's Executive/Investment Committee approve this request? **yes**
 - a. If "yes," what was the date of this approval? **Aug 28, 2006**
10. Did the Project Manager review this Exhibit? **yes**
11. Contact information of Project Manager?

Name **Thomas McAndrew**

Phone Number **301-837-1955**

E-mail **Thomas.mcandrew@nara.gov**

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? **[Not answered]**
 2. If "yes," will this investment meet sustainable design principles? **[Not answered]**
 3. If "yes," is it designed to be 30% more energy efficient than relevant code? **[Not answered]**

13. Does this investment directly support one of the PMA initiatives? **yes**
Expanded E-Government

- a. Briefly describe how this asset directly supports the identified initiative(s)? **The goal of expanded Electronic Government is to champion citizen-centered electronic government that will result in a major improvement in the federal government's value to the citizen. eDOCS is the repository for all documents created and submitted by Federal agencies that are published in the *Federal Register*, and makes publication of them more efficient, and makes delivery of them from agencies cheaper and simpler.**

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.) **yes**
- a. If "yes," does this investment address a weakness found during a PART review? **no**
 - b. If "yes," what is the name of the PARTed program? **Records Services Program**
 - c. If "yes," what rating did the PART receive? **Adequate**

15. Is this investment for information technology? **yes**

For information technology investments only:

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

17. What project management qualifications does the Project Manager have? (per CIO Council PM Guidance) **(1) Project manager has been validated as qualified for this investment**

18. Is this investment identified as "high risk" on the Q4 - FY 2006 agency high risk report (per OMB's "high risk" memo)? **yes**

19. Is this a financial management system? **no**

a. If "yes," does this investment address a FFMIA compliance area? **[Not answered]**

1. If "yes," which compliance area: **[Not answered]**

2. If "no," what does it address? **[Not answered]**

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 **[Not answered]**

20. What is the percentage breakout for the total FY2008 funding request for the following?

Hardware **0**

Software **10**

Services **90**

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? **yes**

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

Name **Gary M Stern**

Phone Number **301.837.3026**

Title **Senior Officer for Privacy**

E-mail **garym.stern@nara.gov**

23. Are the records produced by this investment appropriately scheduled with the National Archives and Records Administration's approval? **no**

Section B: Summary of Spending

1.

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 2006	CY 2007	BY 2008
Planning:	0.7	0	0	0
Acquisition:	2.63	0.56	0.55	0.2
Subtotal Planning & Acquisition:	3.33	0.56	0.55	0.2
Operations & Maintenance:	1.01	0.34	0.35	0.35
TOTAL:	4.34	0.9	0.9	0.55
Government FTE Costs should not be included in the amounts provided above.				
Government FTE Costs	1.065	0.285	0.285	0.285
Number of FTE represented by Costs:	7	3	3	3

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

a. If "yes", How many and in what year? [**Not answered**]

3. If the summary of spending has changed from the FY2007 President's budget request, briefly explain those changes: [**Not answered**]

Section C: Acquisition/Contract Strategy

Contracts/Task Orders Table:	
Contract or Task Order Number	GS-35F-4863G
Type of Contract/Task Order	Time and Materials and Fixed Price
Has the contract been awarded	yes
If so what is the date of the award? If not, what is the planned award date?	Mar 15, 2005

Start date of Contract/Task Order	Mar 22, 2005
End date of Contract/Task Order	Mar 22, 2010
Total Value of Contract/ Task Order (\$M)	2.7
Is this an Interagency Acquisition?	no
Is it performance based?	no
Competitively awarded?	yes
What, if any, alternative financing option is being used?	NA
Is EVM in the contract?	no
Does the contract include the required security & privacy clauses?	yes
Name of CO	Laverne Fields
CO Contact information	301-837-3063 Laverne.Fields@nara.gov
Contracting Officer Certification Level	2
If N/A, has the agency determined the CO assigned has the competencies and skills necessary to support this acquisition?	N/A

1. If earned value is not required or will not be a contract requirement for any of the contracts or task orders above, explain why: **O and M portion of the contract is fixed price**
2. Do the contracts ensure Section 508 compliance? **yes**
 - a. Explain why: **NARA specifies Section 508 compliance in all contracts, including small acquisitions, to ensure that assistive technology, devices, and services are available to all NARA employees and members of the public with disabilities who use NARA Information Technology equipment in NARA facilities. Contractors are required to design, develop, implement, maintain, and upgrade all technologies to demonstrate full compliance with all existing accessibility legislation.**

3. Is there an acquisition plan which has been approved in accordance with agency requirements? **yes**
- a. If "yes," what is the date? **Dec 7, 1999**
- b. If "no," will an acquisition plan be developed? [**Not answered**]
1. If "no," briefly explain why: [**Not answered**]

Section D: Performance Information

Performance Information Table 1:					
Fiscal Year	Strategic Goal(s) Supported	Performance Measure	Actual/baseline (from Previous Year)	Planned performance Metric (Target)	Performance Metric Results (Actual)
2005	Goal: 3 Essential Evidence is easy to access regardless of where it is or where users are	Number of agencies submitting digitally signed electronic documents increases	5 agencies	Increase the number of agencies submitting digitally signed electronic documents to 12	15 agencies
2005	Goal: 5 NARA strategically manages and aligns staff, technology, and processes to achieve mission	Increase percentage of documents handled electronically	9.3%	Increase percentage of documents handled electronically by 4%	21.79%
2006	Goal: 1 Essential Evidence created, identified, appropriately scheduled, and managed for as long as needed.	The amount of time needed to report <i>Federal Register</i> statistics decreases	15%	Decrease the amount of time needed to report monthly, quarterly, and yearly statistics by 10%	17% as of June 30, 2006
2006	Goal: 3 Essential Evidence is easy to access regardless of where it is or where users are	Increase availability of <i>Federal Register</i> documents to the public	174 million	Increase number of documents retrieved online	317 million

2006	Goal: 3 Essential Evidence is easy to access regardless of where it is or where users are	Number of agencies submitting digitally signed electronic documents increases	15 agencies	Increase the number of agencies submitting digitally signed electronic documents to all agencies.	Available to all agencies as of Sept. 30, 2006
2006	Goal: 5 NARA strategically manages and aligns staff, technology, and processes to achieve mission	Increase percentage of documents handled electronically	21.79%	Increase percentage of documents handled electronically by 4%	75% as of Sept. 30, 2006
2007	Goal: 1 As the Nation's record keeper, we will ensure the continuity and effective operations of Federal programs by expanding our leadership and services in managing the Government's records.	The amount of time needed to report <i>Federal Register</i> statistics decreases	17% based on partial year data	Decrease the amount of time needed to report monthly, quarterly, and yearly statistics by 10%	TBD
2007	Goal: 1 As the Nation's record keeper, we will ensure the continuity and effective operations of Federal programs by expanding our leadership and services in managing the Government's records.	Increase availability of <i>Federal Register</i> documents to the public	317 million	Increase number of documents retrieved online	TBD
2007	Goal: 1 As the Nation's record keeper, we will	Number of agencies submitting	17 agencies based on partial year data	Increase the number of agencies submitting digitally signed	TBD

	ensure the continuity and effective operations of Federal programs by expanding our leadership and services in managing the Government's records.	digitally signed electronic documents increases		electronic documents to all agencies.	
2007	Goal: 1 As the nation's record keeper, we will ensure the continuity and effective operations of Federal programs by expanding our leadership and services in managing the Government's records.	Increase percentage of documents handled electronically	67% based on partial year data	Increase percentage of documents handled electronically by 4%	TBD
2008	Goal: 1 As the Nation's record keeper, we will ensure the continuity and effective operations of Federal programs by expanding our leadership and services in managing the Government's records.	Increase availability of <i>Federal Register</i> documents to the public	TBD	Increase number of documents retrieved online	TBD
2008	Goal: 1 As the Nation's record keeper, we will ensure the continuity and effective operations of Federal programs by	Number of agencies submitting digitally signed electronic documents increases	TBD	Increase the number of agencies submitting digitally signed electronic documents to all agencies.	TBD

	expanding our leadership and services in managing the Government's records.				
2008	Goal: 1 As the Nation's record keeper, we will ensure the continuity and effective operations of Federal programs by expanding our leadership and services in managing the Government's records.	Increase percentage of documents handled electronically	TBD	Increase percentage of documents handled electronically by 4%	TBD

Performance Information Table 2:						
Fiscal Year	Measurement Area	Measurement Grouping	Measurement Indicator	Baseline	Planned Improvement to the Baseline	Actual Results
<i>There are no performance goals.</i>						

Section E: Security and Privacy

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: **10**
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 - Security Table:			
Name of System	Agency/ or Contractor Operated System?	Planned Operational Date	Planned or Actual C&A Completion Date
eDOCS	Government Only	Sep 30, 2008	Sep 30, 2008

4. Operational Systems - Security Table:							
Name of System	Agency/ or Contractor Operated System?	NIST FIPS 199 Risk Impact level	Has C&A been Completed, using NIST 800-37?	Date C&A Complete	What standards were used for the Security Controls tests?	Date Complete(d): Security Control Testing	Date the contingency plan tested

5. Have any weaknesses, not yet remediate, 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? [**Not answered**]
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. [**Not answered**]
7. How is contractor security procedures monitored, verified, and validated by the agency for the contractor systems above? [**Not answered**]

8. Planning & Operational Systems - Privacy Table:					
Name of System	Is this a new system?	Is there a Privacy Impact Assessment (PIA) that covers this system?	Is the PIA available to the public?	Is a System of Records Notice (SORN) required for this system?	Was a new or amended SORN published in FY 06?
eDOCS	no	1. Yes.	1. Yes.	no	5. No, because the system is not a Privacy Act system of records.

Section F: Enterprise Architecture (EA)

1. Is this investment included in your agency's target enterprise architecture? **yes**
 - a. If "no," please explain why? [**Not answered**]
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. **Electronic Editing and Publishing System (eDOCS)**
- b. If "no," please explain why? [Not answered]

3. Service Component Reference Model (SRM) Table :							
Agency Component Name	Agency Component Description	FEA SRM Service Type	FEA SRM Component	Service Component Reused		Internal or External Reuse?	BY Funding Percentage
				Component Name	UPI		
eDOCS	Business process reengineering effort to consolidate and automate current Federal Register processes into one integrated system.	Document Management	Document Review and Approval	[Not answered]	[Not answered]	Internal	100

4. Technical Reference Model (TRM) Table:				
FEA SRM Component	FEA TRM Service Area	FEA TRM Service Category	FEA TRM Service Standard	Service Specification
Document Review and Approval	Service Access and Delivery	Access Channels	Web Browser	Internet Explorer and Netscape Communicator
Document Review and Approval	Service Access and Delivery	Delivery Channels	Other Electronic Channels	XML Transfer
Document Review and Approval	Component Framework	Security	Certificates / Digital Signatures	PKI
Document Review and Approval	Service Interface and Integration	Interoperability	Data Types / Validation	Oracle

5. Will the application leverage existing components and/or applications across the Government (i.e., FirstGov, Pay.Gov, etc)? **yes**
 - a. If "yes," please describe. **eDOCS provides a metadata feed on rules/proposed rules that are open for comment to Regulations.gov, but does not interface with OMB's ROCIS system.**
6. Does this investment provide the public with access to a government automated information system? **yes**
 - a. If "yes," does customer access require specific software (e.g., a specific web browser version)? **no**
 1. If "yes," provide the specific product name(s) and version number(s) of the required software and the date when the public will be able to access this investment by any software (i.e. to ensure equitable and timely access of government information and services). **[Not answered]**

Part II: Planning, Acquisition And Performance Information

Section A: Alternatives Analysis

1. Did you conduct an alternatives analysis for this project? **no**
 - a. If "yes," provide the date the analysis was completed? **[Not answered]**
 - b. If "no," what is the anticipated date this analysis will be completed? **[Not answered]**
 - c. If no analysis is planned, please briefly explain why: **The eDOCS system is predominately in an O and M phase and no significant upgrades are planned for the system between 2007 and 2010. After that, an alternatives analysis will be performed.**

2. Alternatives Analysis Results:			
Alternative Analyzed	Description of Alternative	Risk Adjusted Lifecycle Costs estimate	Risk Adjusted Lifecycle Benefits estimate
Baseline	Status quo	0	0
Alternative 1 _ Status Quo	The Office of the Federal Register will continue to process paper documents.	0	0

Alternative 2 _ Contract out editorial work.	The Office of the Federal Register reviews documents for compliance with the Federal Register Act, the Administrative Procedure Act, and Title 1 of the Code of Federal Regulations. This is an essential and inherently governmental function. Taking this into consideration, the only activity that could be contracted out is that portion of the publication program which involves adding limited, basic SGML coding before documents are sent to GPO for printing.	0	0
Alternative 3 _ Shift Burden to Agencies	The Administrative Committee of the Federal Register could propose regulations requiring agencies to prepare documents in precise publishable format.	0	0
Alternative 4 _ Develop a New System	The Office of the Federal Register could contract out to have an application developed that will meet the business and customer requirements.	0	0

3. Which alternative was selected by the Agency's Executive/Investment Committee and why was it chosen? **Alternative 4 _ Develop a new System was selected because it meets the following requirements: a. complies with the Federal Register and Administrative Procedure Act b. allows for electronic submission of documents proposed for publication in the Federal Register c. provides information for the eRulemaking initiative In addition, except for "status quo," it is the least expensive alternative. The Federal Register Act (44 U.S.C. Chapter 15), does not permit alternative sources, either public or private, to perform the processes for publishing the *Federal Register*. The Office of the Federal Register is responsible for publishing the daily *Federal Register*. By law, the Office of the Federal Register must partner in this process with the Government Printing Office. The Government Printing Office is the printer and distributor of the *Federal Register* in its printed and electronic formats.**

4. What specific qualitative benefits will be realized? **Federal Agencies will save significant delivery and mailing costs and the public will save significant copying costs and have electronic access to documents on public inspection. Electronic review and editing of documents will provide cost savings to the Office of the Federal Register in staff hours spent reviewing paper documents and making editorial changes. GPO will receive costs savings in receiving electronic documents for their publication system. A web based Public Inspection Desk will provide the public and Federal Agencies with uniform search and retrieval capabilities of documents scheduled for publishing in the *Federal Register*. eDOCS will provide metadata to the eRulemaking initiative that will provide Federal Agencies and the public with the ability to electronically review rules and submit comments. This will provide the public with the ability to download documents thus saving copy costs.**

1. Does the investment have a Risk Management Plan? **yes**
 - a. If "yes," what is the date of the plan? **Oct 30, 2006**
 - b. Has the Risk Management Plan been significantly changed since last year's submission to OMB? [**Not answered**]
 - c. If "yes," describe any significant changes: [**Not answered**]
2. If there currently is no plan, will a plan be developed? [**Not answered**]
 - a. If "yes," what is the planned completion date? [**Not answered**]
 - b. If "no," what is the strategy for managing the risks? [**Not answered**]
3. Briefly describe how investment risks are reflected in the life cycle cost estimate and investment schedule: **Risks are not reflected in the lifecycle costs**

Section C: Cost and Schedule Performance

1. Does the earned value management system meet the criteria in ANSI/EIA Standard - 748? **no**
2. Answer the following questions about current cumulative cost and schedule performance. The numbers reported below should reflect current actual information. (Per OMB requirements Cost/Schedule Performance information should include both Government and Contractor Costs):
 - a. What is the Planned Value (PV)? **4.486242**
 - b. What is the Earned Value (EV)? **4.343647**
 - c. What is the actual cost of work performed (AC)? **4.426847**
 - d. What costs are included in the reported Cost/Schedule Performance information (Government Only/Contractor Only/Both)? **Contractor Only**
 - e. "As of" date: **Jun 22, 2006**
3. What is the calculated Schedule Performance Index (SPI= EV/PV)? **0.97**
4. What is the schedule variance (SV = EV-PV)? **-142.595**
5. What is the calculated Cost Performance Index (CPI = EV/AC)? **0.98**
6. What is the cost variance (CV = EV-AC)? **-0.0832**
7. Is the CV% or SV% greater than $\pm 10\%$? (CV%= CV/EV x 100; SV%= SV/PV x 100) **no**
 - a. If "yes," was it the? [**Not answered**]
 - b. If "yes," explain the variance: [**Not answered**]

- c. If "yes," what corrective actions are being taken? **[Not answered]**
 - d. What is most current "Estimate at Completion"? **2.285748**
8. Have any significant changes been made to the baseline during the past fiscal year? **no**
- a. If "yes," when was it approved by OMB? **[Not answered]**

9. Comparison of Initial Baseline and Current Approved Baseline:									
Description of Milestone	Initial Baseline		Current Baseline				Current Baseline Variance		Percent Complete
	Planned Completion Date	Total Cost (\$M) Estimated	Completion Date Planned/Actual		Total Cost (\$M) Planned/Actual		Schedule/Cost (# days/\$M)		
Process Analysis and System Design	Sep 26, 2000	0.59	Sep 26, 2000	Sep 26, 2001	0.59	0.59	0	0	100
Contract Award	Oct 1, 2001	0	Oct 1, 2001	Dec 31, 2001	0	0	0	0	100
Development of System	Jan 21, 2001	1.51	Jan 21, 2001	Sep 1, 2003	1.51	1.51	0	0	100
Testing _ Pilot System	Jan 23, 2003	0.55	Jan 23, 2003	Sep 30, 2003	0.55	0.55	0	0	100
Pilot System Implemented	Sep 1, 2003	0.1	Sep 1, 2003	Sep 30, 2003	0.1	0.1	0	0	100
Beta System Implemented	Oct 1, 2003	0.2	Oct 1, 2003	Dec 31, 2003	0.2	0.2	0	0	100
Production System Implemented	Jan 1, 2004	0.55	Mar 1, 2005	Aug 1, 2005	0.55	0.55	0	0	100
Operations and Maintenance	Apr 1, 2004	0.3	Apr 1, 2004	Mar 31, 2005	0.3	0.3	0	0	100
System	Apr 1, 2004	0.5	Aug 1,	Dec 28,	0.5	0.5	0	0	100

Enhancements			2005	2004					
Operations and Maintenance	Apr 1, 2005	0.35	Apr 1, 2005	Mar 31, 2006	0.35	0.35	0	0	100
System Enhancements	Apr 1, 2005	0.25	Apr 1, 2005	Mar 31, 2006	0.25	0.25	0	0	100
Operations and Maintenance	Apr 1, 2006	0.35	Apr 1, 2006	[Not answered]	0.35	0.15	0	0	100
System Enhancements	Apr 1, 2006	0.24	Apr 1, 2006	[Not answered]	0.24	0.15	0	0	100
Operations and Maintenance	Apr 1, 2007	0.35	[Not answered]	[Not answered]	0.35	[Not answered]	0	0	0
System Enhancements	Apr 1, 2007	0.24	[Not answered]	[Not answered]	0.24	[Not answered]	0	0	0
Operations and Maintenance	Apr 1, 2008	0.35	[Not answered]	[Not answered]	0.35	[Not answered]	0	0	0
System Enhancements	Apr 1, 2008	0.09	[Not answered]	[Not answered]	0.09	[Not answered]	0	0	0