

**JMD Litigation Case Management System (LCMS)**

**Exhibit 300: Part I: Summary Information and Justification (All Capital Assets)**

**I.A. Overview**

<b>1. Date of Submission:</b>	8/31/2006
<b>2. Agency:</b>	011
<b>3. Bureau:</b>	Justice Management Division
<b>4. Name of this Capital Asset:</b>	JMD Litigation Case Management System (LCMS)
<b>5. Unique Project (Investment) Identifier: (For IT investment only, see section 53. For all other, use agency ID system.)</b>	011-03-01-10-01-1526-24
<b>6. What kind of investment will this be in FY2008? (Please NOTE: Investments moving to O&amp;M ONLY in FY2008, with Planning/Acquisition activities prior to FY2008 should not select O&amp;M. These investments should indicate their current status.)</b>	Mixed Life Cycle
<b>7. What was the first budget year this investment was submitted to OMB?</b>	FY2004
<b>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:</b>	
<p>The Litigation Case Management System (LCMS) is focused on developing and implementing a common case management solution for the 7 major DOJ litigating divisions. As part of the OMB Lines of Business (LoB) Program to develop business-driven, common solutions across agencies, the Department of Justice is leading the Case Management Common Solutions Program. LoB solutions address distinct business improvements to enhance the government's performance and services for citizens. The objective of all LoB efforts is to save taxpayer dollars, reduce administrative burden, and significantly improve service delivery to citizens. Through the Case Management Common Solutions Program, DOJ and OMB seek to provide an enterprise infrastructure for the sharing of case-related information within and between the United States Attorneys' offices, DOJ components, partner agencies, and the public by developing an enterprise case management system that will effectively store the information once, manage it centrally, and make it available to all authorized users. Using common solutions and data standards, case management information is easily and appropriately shared within and between federal and other government agencies and with citizens. This investment is focused on DOJ's litigation case management needs, in particular Phase 1 of the Litigation Case Management System. The current litigation case management environment at DOJ does not support efficient, automated information sharing or streamlined reporting abilities. Currently, each DOJ litigating division maintains its own duplicative case management system, which is not able to share information. This hampers the ability of the litigating divisions to collaborate and limits the timeliness of quality of decision support information available to Dept. leadership.</p>	
<b>9. Did the Agency's Executive/Investment Committee approve this request?</b>	Yes

<b>a. If "yes," what was the date of this approval?</b>	4/17/2006
<b>10. Did the Project Manager review this Exhibit?</b>	Yes
<b>11. Contact information of Project Manager?</b>	
<b>Name</b>	Carey, Christopher M
<b>Phone Number</b>	202-353-1900
<b>Email</b>	christopher.m.carey@usdoj.gov
<b>12. Has the agency developed and/or promoted cost effective, energy efficient and environmentally sustainable techniques or practices for this project.</b>	No
<b>a. Will this investment include electronic assets (including computers)?</b>	No
<b>b. Is this investment for new construction or major retrofit of a Federal building or facility? (answer applicable to non-IT assets only)</b>	No
<b>1. If "yes," is an ESPC or UESC being used to help fund this investment?</b>	
<b>2. If "yes," will this investment meet sustainable design principles?</b>	
<b>3. If "yes," is it designed to be 30% more energy efficient than relevant code?</b>	
<b>13. Does this investment support one of the PMA initiatives?</b>	Yes
<b>If "yes," check all that apply:</b>	Expanded E-Government
<b>13a. Briefly describe how this asset directly supports the identified initiative(s)?</b>	This initiative supports the President's Management Agenda goal of expanding electronic government. By integrating DOJ litigation case management data into a common system solution and developing data and interface standards, LCMS directly supports the President's Management Agenda's call to "share information more quickly and conveniently between federal and state, local and tribal governments."
<b>14. Does this investment support a program assessed using the Program Assessment Rating Tool (PART)? (For more information about the PART, visit <a href="http://www.whitehouse.gov/omb/part">www.whitehouse.gov/omb/part</a>.)</b>	No

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

b. If "yes," what is the name of the PART program assessed by OMB's Program Assessment Rating Tool?

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

15. Is this investment for information technology? Yes

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

For information technology investments only:

16. What is the level of the IT Project? (per CIO Council PM Guidance) Level 3

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 FFMLA 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 FY2008 funding request for the following? (This should total 100%)

Hardware 0

Software 24

Services 70

Other 6

21. If this project produces information dissemination products for the public, are these products published to the No

Internet in conformance with OMB Memorandum 05-04 and included in your agency inventory, schedules and priorities?

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

**Name**

Hitch, Vance

**Phone Number**

202-514-0507

**Title**

Chief Information Officer

**E-mail**

Vance.Hitch@smojmd.usdoj.gov

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

No

**I.B. Summary of Funding**

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 2006	CY 2007	BY 2008	BY + 1 2009	BY + 2 2010	BY + 3 2011	BY + 4 and Beyond	Total
Planning									
Budgetary Resources	3.5	2.018	3.855	3.855					
Acquisition									
Budgetary Resources	0	4.218	9.374	8.173					
Subtotal Planning & Acquisition									
Budgetary Resources	3.5	6.236	13.229	12.028					

Operations & Maintenance									
Budgetary Resources	0	0.059	0.053	1.7					
TOTAL									
Budgetary Resources	3.5	6.295	13.282	13.728					
Government FTE Costs									
Budgetary Resources	0	0.141	0.3	0.3					
Number of FTE represented by Costs:	0	1	2	2					

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

**2. Will this project require the agency to hire additional FTE's?** Yes

**a. If "yes," How many and in what year?** One additional FTE will be added in 2007, 2008, 2009 and 2010 to the existing 1 FTE in 2006.

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

The contract was awarded on May 31, 2006 and the start date of the I&I contractor was June 1, 2006. The project baseline lifecycle budget was established in July 2006 and accounts for the summary of spending changes from FY2007 estimate.

**I.C. Acquisition/Contract Strategy**

**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.**

**Contracts/Task Orders Table:**

[Contracts/Task Orders Table](#)

**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:**

Contract #2 and #3 that do not have the EVM provisions/clauses are level of effort contracts providing program management support to the LCMS program. The EVM calculations for this work is performed by the LCMS Program Management Office. Since they are level of effort contracts, EVM provisions/clauses are not required for these contracts.

**3. Do the contracts ensure Section 508 compliance?** Yes

**a. Explain why:**

The products and services purchased under these contracts comply with the Federal Acquisition Regulations (FAR) Final Rule for Section 508 (Accessibility). Contractual requirements are in the Statement of Work stating the contractor must comply with this regulation. If compliance is not applicable, a written notification must be submitted, by the contractor explaining why Section 508 does not pertain to the related task.

<b>4. Is there an acquisition plan which has been approved in accordance with agency requirements?</b>	Yes
<b>a. If "yes," what is the date?</b>	9/1/2005
<b>b. If "no," will an acquisition plan be developed?</b>	
<b>1. If "no," briefly explain why:</b>	

**I.D. Performance Information**

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 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 Table 1 below for reporting performance goals and measures for all non-IT investments and for existing IT investments that were initiated prior to FY 2005. The table can be extended to include measures for years beyond FY 2006.

Performance Information Table 1:					
Fiscal Year	Strategic Goal(s) Supported	Performance Measure	Actual/baseline (from Previous Year)	Planned Performance Metric (Target)	Performance Metric Results (Actual)
2001	Goal II: Enforce Federal Laws and Represent the Rights and Interests of the American People	Favorably Resolve 90% of Criminal Cases.	91% of Criminal Cases Favorably Resolved in FY 2000	Percent of Criminal Cases Favorably Resolved.	91% of Criminal Cases Favorably Resolved
2001	Goal II: Enforce Federal Laws and Represent the	Favorably Resolve 80% of Civil Cases	86% of Civil Cases Favorably Resolved in FY 2000	Percent of Civil Cases Favorably Resolved	86% of Civil Cases Favorably Resolved

	Rights and Interests of the American People				
2002	Goal II: Enforce Federal Laws and Represent the Rights and Interests of the American People	Favorably Resolve 90% of Criminal Cases	91% of Criminal Cases Favorably Resolved in FY 2001	Percent of Criminal Cases Favorably Resolved	91% of Criminal Cases Favorably Resolved
2002	Goal II: Enforce Federal Laws and Represent the Rights and Interests of the American People	Favorably Resolve 80% of Civil Cases	86% of Civil Cases Favorably Resolved in FY 2001	Percent of Civil Cases Favorably Resolved	86% of Civil Cases Favorably Resolved
2003	Goal II: Enforce Federal Laws and Represent the Rights and Interests of the American People	Favorably Resolve 90% of Criminal Cases	91% of Criminal Cases Favorably Resolved in FY 2002	Percent of Criminal Cases Favorably Resolved	92% of Criminal Cases Favorably Resolved
2003	Goal II: Enforce Federal Laws and Represent the Rights and Interests of the American People	Favorably Resolve 80% of Civil Cases	86% of Civil Cases Favorably Resolved in FY 2002	Percent of Civil Cases Favorably Resolved	87% of Civil Cases Favorably Resolved
2004	Goal II: Enforce Federal Laws and Represent the Rights and Interests of the American People	Favorably Resolve 90% of Criminal Cases	92% of Criminal Cases Favorably Resolved in FY 2003	Percent of Criminal Cases Favorably Resolved	91% of Criminal Cases Favorably Resolved
2004	Goal II: Enforce Federal Laws and Represent the Rights and Interests of the American People	Favorably Resolve 80% of Civil Cases	87% of Civil Cases Favorably Resolved in FY 2003	Percent of Civil Cases Favorably Resolved	85% of Civil Cases Favorably Resolved
2005	OMB LoB Vision, Goals and Objectives: Common Solution & Target Architecture	Enhance the target LCM Technical Architecture upon selection of a vendor and product solution in Q2 FY06. All architectures will be reviewed quarterly for improvements.	NA	Timely briefings to the Case Management Working Group.	The Target LCM Architecture was presented to the Case Management Working Group during the summer of 2005 and posted to a publicly accessible website.
2005	OMB LoB Vision, Goals and Objectives: Common Solution & Target Architecture	Enhance the target LCM Technical Architecture upon selection of a vendor and product solution in Q2 FY06. All architectures will be reviewed quarterly for improvements.	NA	Timely briefings to the Case Management Working Group.	The LCM Market Research summary was presented to the Case Management Working Group during the summer of 2005 and posted to a publicly accessible website.
2005	Goal II: Enforce Federal	Favorably resolve 90% of	91% of Criminal Cases	Percent of Criminal Cases	91% of cases favorably

	Laws and Represent the Rights and Interests of the American People	Criminal Cases	Favorably Resolved in FY2004	Favorably Resolved	resolved
2005	Goal II: Enforce Federal Laws and Represent the Rights and Interests of the American People	Favorably Resolve 80% of Civil Cases	85% of Civil Cases Favorably Resolved in FY2004	Percent of Civil Cases Favorably Resolved	84% of cases favorably resolved
2006	Goal II: Enforce Federal Laws and Represent the Rights and Interests of the American People	Favorably resolve 80% of civil cases	84% of civil cases favorably resolved in FY2005.	Percent of Civil Cases Favorably Resolved	Data not available until Q1 FY07
2006	Goal II: Enforce Federal Laws and Represent the Rights and Interests of the American People	Favorably Resolve 90% of Criminal Cases.	91% of criminal cases favorably resolved in FY2005.	Percent of Criminal Cases Favorably Resolved	Data not available until Q1 FY07

All new IT investments initiated for FY 2005 and beyond must use Table 2 and are required to use the Federal Enterprise Architecture (FEA) Performance Reference Model (PRM). Please use Table 2 and the PRM to identify the performance information pertaining to this major IT investment. Map all Measurement Indicators to the corresponding "Measurement Area" and "Measurement Grouping" identified in the PRM. There should be at least one Measurement Indicator for at least four different Measurement Areas (for each fiscal year). The PRM is available at [www.egov.gov](http://www.egov.gov).

Performance Information Table 2:

Fiscal Year	Measurement Area	Measurement Category	Measurement Grouping	Measurement Indicator	Baseline	Planned Improvement to the Baseline	Actual Results
2007	Mission and Business Results	Litigation and Judicial Activities	Judicial Hearings	Judicial Hearings (Judicial Trials): Percent of Criminal Cases Favorably Resolved	91% of Criminal Cases Favorably Resolved in FY2005.	Favorably Resolve 90% of Criminal Cases	Results for FY07 will be available Q1 FY08
2007	Mission and Business Results	Litigation and Judicial Activities	Judicial Hearings	Judicial Hearings (Judicial Trials): Percent of Criminal Cases Favorably Resolved	84% of Civil Cases Favorably Resolved in FY2005.	Favorably Resolve 80% of Criminal Cases	Results for FY07 will be available Q1 FY08
2007	Mission and Business Results	Litigation and Judicial Activities	Resolution Facilitation	Resolution Facilitation: Percentage of successful matters resolved through mediation (Civil Rights Division)	Baseline will be established in 2007.	Achieve the initial baseline target set for the percentage of successful matters resolved through mediation (Civil Rights Division)	Results for FY07 will be available Q1 FY08
2007	Processes and	Productivity and	Efficiency	Efficiency: Number of Criminal	Baseline will be	Achieve the initial baseline	Results for



	Activities	Efficiency		and civil active investigations and HSR (Hart-Scott-Rodino Improvements Act of 1976) transactions reviewed per FTE [Anti Trust Division]	established in 2007.	target set for Criminal and Civil active investigations and HSR transactions reviewed per FTE [Anti Trust Division]	FY07 will be available Q1 FY08
2007	Processes and Activities	Productivity and Efficiency	Efficiency	Efficiency: Average number of significant civil litigation activities to civil attorney FTE [Tax Division]	Baseline will be established in 2007.	Achieve the initial baseline target set for the average of significant civil litigation activities to civil attorney FTE (Tax Division)	Results for FY07 will be available Q1 FY08
2007	Processes and Activities	Productivity and Efficiency	Efficiency	Efficiency: Ratio of dollars defeated and recovered to dollars obligated for Litigation (Civil Division)	Baseline will be established in 2007.	Achieve the initial baseline target set for the ratio of dollars defeated and recovered to dollars obligated for Litigation [Civil Division]	Results for FY07 will be available Q1 FY08
2007	Processes and Activities	Productivity and Efficiency	Efficiency	Efficiency: Ratio of administrative support costs to program costs (Criminal Division)	Baseline will be established in 2007.	Achieve the initial baseline target set for the ratio of administrative support costs to program costs [Criminal Division]	Results for FY07 will be available Q1 FY08.
2007	Processes and Activities	Productivity and Efficiency	Efficiency	Efficiency: Total Dollars Saved the Government per \$1 of Expenditures (Defensive) [Environmental Resources Division]	Baseline will be established in 2007.	Achieve the initial baseline target set for total Dollars Saved the Government per \$1 of Expenditures (Defensive) [Environmental Resources Division]	Results for FY07 will be available Q1 FY08.
2007	Processes and Activities	Productivity and Efficiency	Efficiency	Efficiency: Total Dollars Awarded the Government per \$1 of Expenditures (Affirmative) [Environmental Resources Division]	Baseline will be established in 2007.	Achieve the initial baseline target set for total Dollars Awarded the Government per \$1 of Expenditures (Affirmative) [Environmental Resources Division]	Results for FY07 will be available Q1 FY08.
2007	Technology	Information and Data	Data Reliability and Quality	Internal Data Sharing: the number of different case management products within DOJ.	There will be eight different case management products currently deployed within the DOJ litigating divisions in FY07 including LCMS.	Seven case management systems upon the disposition of LIONS when LCMS is operational for EOUSA.	Results for FY07 will be available Q1 FY08.
2008	Mission and Business	Litigation and Judicial	Judicial Hearings	Judicial Hearings (Judicial Trials): Percent of Criminal	91% of Criminal Cases Favorably Resolved in	Favorably Resolve 90% of Criminal Cases	Results for FY08 will be

	Results	Activities		Cases Favorably Resolved	FY2005		available Q1 FY09
2008	Mission and Business Results	Litigation and Judicial Activities	Judicial Hearings	Judicial Hearings (Judicial Trials): Percent of Criminal Cases Favorably Resolved	84% of Civil Cases Favorably Resolved in FY2005	Favorably Resolve 80% of Civil Cases	Results for FY08 will be available Q1 FY09
2008	Mission and Business Results	Litigation and Judicial Activities	Judicial Hearings	Resolution Facilitation: Percentage of successful matters resolved through mediation (Civil Rights Division)	Baseline will be established in 2007.	Achieve the initial baseline target set for the percentage of successful matters resolved through mediation (CRT Division).	Results for FY08 will be available Q1 FY09.
2008	Processes and Activities	Productivity and Efficiency	Efficiency	Efficiency: Number of Criminal and Civil active investigations and HSR (Hart-Scott-Rodino Improvements Act of 1976) transactions reviewed per FTE (ATR Division).	Baseline will be established in 2007.	Achieve the initial baseline target set for Criminal and Civil active investigations and HSR transactions reviewed per FTE (ATR Division).	Results for FY08 will be available Q1 FY09.
2008	Processes and Activities	Productivity and Efficiency	Efficiency	Efficiency: Average number of significant civil litigation activities to civil attorney FTE (TAX Division).	Baseline will be established in 2007.	Achieve the initial baseline target set for the average of significant civil litigation activities to civil attorney FTE (TAX Division).	Results for FY08 will be available Q1 FY09.
2008	Processes and Activities	Productivity and Efficiency	Efficiency	Efficiency: Ratio of dollars defeated and recovered to dollars obligated for litigation (CIV) Division.	Baseline will be established in 2007.	Achieve the initial baseline target set for Ratio of dollars defeated and recovered to dollars obligated for litigation (CIV) Division.	Results for FY08 will be available Q1 FY09.
2008	Processes and Activities	Productivity and Efficiency	Efficiency	Efficiency: Ratio of administrative support costs to program costs (CRM Division).	Baseline will be established in 2007.	Achieve the initial baseline target set for Ratio of administrative support costs to program costs (CRM Division).	Results for FY08 will be available Q1 FY09.
2008	Processes and Activities	Productivity and Efficiency	Efficiency	Efficiency: Total dollars saved the Government per \$1 of Expenditures (ENRD Division).	Baseline will be established in 2007.	Achieve the initial baseline target set for total dollars saved the Government per \$1 of Expenditures (ENRD Division).	Results for FY08 will be available Q1 FY09.
2008	Processes and Activities	Productivity and Efficiency	Efficiency	Efficiency: Total dollars awarded the Government per \$1 of expenditures (Affirmative) (ENRD Division).	Baseline will be established in 2007.	Achieve the initial baseline target set for total dollars awarded the Government per \$1 of expenditures (Affirmative) (ENRD Division).	Results for FY08 will be available Q1 FY09.

2008	Technology	Information and Data	Data Reliability and Quality	Internal Data Sharing: the number of different case management products within DOJ.	We expect seven different case management products to be operational within DOJ litigating divisions in FY08.	Three case management systems upon the disposition of LawPack when LCMS is operational for Civil, Civil Rights, and Environmental and Natural Resources litigating divisions.	Results for FY08 will be available Q1 FY09.
------	------------	----------------------	------------------------------	---	---	---	---

**I.E. Security and Privacy**

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

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

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

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:	9
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
LCMS	Government Only	5/1/2007	4/30/2007

**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 related to any of the systems part of or supporting this investment been identified by the agency or IG?

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

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, validated by the agency for the contractor systems above?

NA

#### 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?
LCMS	No	No.	No, because the PIA has not been prepared.	Yes	No, because the existing Privacy Act system of records was not substantially revised in FY 06.

#### I.F. Enterprise Architecture (EA)

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

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.** Litigation Case Management System (LCMS)

**b. If "no," please explain why?**

**3. Service 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.whitehouse.gov/omb/egov/>.

Agency Component Name	Agency Component Description	Service Domain	FEA SRM Service Type	FEA SRM Component	FEA Service Component Reused Name	FEA Service Component Reused UPI	Internal or External Reuse?	BY Funding Percentage
Automated data exchanges	Support for automated data exchanges between case management activities is needed to facilitate the timely exchange of case related information with other entities. An example of an external (i.e., with respect to a litigation Component) automated data exchange is the electronic transfer of case related data from a DOJ investigative Component (such as the FBI) to a U.S. Attorney.	Back Office Services	Data Management	Data Exchange			No Reuse	0
Data Management Services	Data management services determine what data elements should be captured and how data should be used and stored. These services facilitate the storage, processing, exchange, and general administration of case-related data. The functions provided by a data management include controlling, protecting, and facilitating timely, authorized access to data.	Back Office Services	Data Management	Data Recovery			No Reuse	0
Data Management Services	Data management services determine what data elements should be captured and how data should be used and stored. These services facilitate the storage,	Back Office Services	Data Management	Extraction and Transformation			No Reuse	0

	processing, exchange, and general administration of case-related data. The functions provided by a data management include controlling, protecting, and facilitating timely, authorized access to data							
Development and Integration Support	These services concern the operation and maintenance of development and integration (including testing) environments that are used to prepare and stage enhancements (or upgrades) that are scheduled to be added to LCMS at some future date. Development and Integration Support services cover special purpose development environments and those used to enable communication between hardware/software applications, such as interfaces to the Victim Notification System (VNS) and debt collection systems.	Back Office Services	Development and Integration	Data Integration			No Reuse	0
Development and Integration Support	These services concern the operation and maintenance of development and integration (including testing) environments that are used to prepare and stage enhancements (or upgrades) that are scheduled to be added to LCMS at some future date. Development and Integration Support services cover special purpose development environments and those used to enable communication between hardware/software applications, such as interfaces to the Victim Notification System (VNS) and debt collection systems.	Back Office Services	Development and Integration	Enterprise Application Integration			No Reuse	0
Graphics Presentation	These services, limited to matter or case management support needs, provide for the automated conversion of data into graphical or picture form to include presentation of information in the form of diagrams or tables; electronic images from pictures, paper forms, or graphics for static or dynamic use; or the representation of information in more than	Business Analytical Services	Visualization	Graphing / Charting			No Reuse	0

	one form (e.g., text, graphics, and animated graphics).							
Knowledge Management Support	Limited to case management support needs, these services facilitate the handling of case-related documents and information in a multi-user operating environment. Knowledge management tools are needed to provide the ability to scan the content of all case files to glean data points that, when put together with data points from other files, form a pattern of information that informs an altogether different objective, such as Conflicts Checking (described in subsection 3.2.8).	Digital Asset Services	Knowledge Management	Knowledge Capture			No Reuse	0
Case File Management Services	This group of user-interfacing LCMS services addresses the need for the management and exchange of case information in the form of data, documents, records, and electronic media across DOJ and the extended case management enterprise. These services should include meaning, relevance, significance, sensitivity-levels, and other contextual indicators in addition to basic case file content.	Process Automation Services	Tracking and Workflow	Case Management			No Reuse	0
Search Capabilities	Internal search capabilities enable the querying, lookup, and retrieval of specific data from the LCMS matter- or case-file database. A LCMS user also can browse through the internal database to find records entered by a certain attorney, cases decided in a particular jurisdiction, or records that contain a particular term. LCMS search support services also provide an ability to request the retrieval of matter- or case-related information.	Process Automation Services	Tracking and Workflow	Case Management			No Reuse	0
Security Management and Monitoring	Internal search capabilities enable the querying, lookup, and retrieval of specific data from the LCMS matter- or case-file database. A LCMS user also can browse through the internal database to find records entered by a certain attorney,	Support Services	Security Management	Access Control			No Reuse	0

cases decided in a particular jurisdiction, or records that contain a particular term. LCMS search support services also provide an ability to request the retrieval of matter- or case-related information.								
--	--	--	--	--	--	--	--	--

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

**A reused component is one being funded by another investment, but being used by this investment. Rather than answer yes or no, identify the reused service component funded by the other investment and identify the other investment using the Unique Project Identifier (UPI) code from the OMB Ex 300 or Ex 53 submission.**

**'Internal' reuse is within an agency. For example, one agency within a department is reusing a service component provided by another agency within the same department. 'External' reuse is one agency within a department reusing a service component provided by another agency in another department. A good example of this is an E-Gov initiative service being reused by multiple organizations across the federal government.**

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

**4. 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.**

<b>FEA SRM Component</b>	<b>FEA TRM Service Area</b>	<b>FEA TRM Service Category</b>	<b>FEA TRM Service Standard</b>	<b>Service Specification (i.e. vendor or product name)</b>
Case Management	Component Framework	Business Logic	Platform Independent	
Case Management	Component Framework	Data Management	Reporting and Analysis	
Graphing / Charting	Component Framework	Presentation / Interface	Dynamic Server-Side Display	JSP
Knowledge Capture	Component Framework	Presentation / Interface	Static Display	HTML
Access Control	Component Framework	Security	Certificates / Digital Signatures	
Data Integration	Service Interface and Integration	Integration	Enterprise Application Integration	
Data Exchange	Service Interface and Integration	Interoperability	Data Format / Classification	



Extraction and Transformation	Service Interface and Integration	Interoperability	Data Transformation	
Enterprise Application Integration	Service Platform and Infrastructure	Database / Storage	Database	
Data Recovery	Service Platform and Infrastructure	Database / Storage	Database	

**Service Components identified in the previous question should be entered in this column. Please enter multiple rows for FEA SRM Components supported by multiple TRM Service Specifications**

**In the Service Specification field, Agencies should provide information on the specified technical standard or vendor product mapped to the FEA TRM Service Standard, including model or version numbers, as appropriate.**

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

**a. If "yes," please describe.**

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

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

**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).**

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

### **II.A. Alternatives Analysis**

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?	5/31/2006
b. If "no," what is the anticipated date this analysis will be completed?	
c. If no analysis is planned, please briefly explain why:	

**2. Alternative Analysis Results:**

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

Send to OMB	Alternative Analyzed	Description of Alternative	Risk Adjusted Lifecycle Costs estimate	Risk Adjusted Lifecycle Benefits estimate
True	Custom Solution	A core solution that can be provided via single vendor platform IBM Content Manager. The IBM software is not a COTS case management application. Instead, it is closer in nature to a set of development tools that would allow DOJ to create its own case management application.	103	0

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

Alternative 3, the strongest of two COTS-based solutions was selected. The selected alternative is a performance-based contractor solution to implement a software system and provide maintenance for a Department-wide litigation case management system across the seven DOJ litigating components: the Executive Office for US Attorneys (EOUSA), the Antitrust Division (ATR), the Criminal Division (CRM), the Civil Division (CIV), the Civil Rights Division (CRT), the Environment and Natural Resources Division (ENRD), and the Tax Division (TAX). The COTS solution was based on a leading industry application software suite from Siebel. That solution is best able to satisfy that varied business rules across the many divisions with a robust business rule management plan augmented with other software tools to provide greater flexibility and support for component uniqueness resulting in a system that can be used by non-technical users. The software also meets the LCMS scalability requirements. The vendor has extensive experience implementing this COTS product. They demonstrated comprehensive change management and requirements management methodologies and tools and an excellent understanding of the data migration challenges. With their solid DOJ experience, they clearly defined specific goals for the development and implementation of LCMS. The Government

has partially mitigated its cost and schedule risk through the use of the performance-based contract under which the contractor will only bill 75% rather than 100% of its labor costs. 25% of labor costs is contributed to an incentive pool which the contractor must earn by meeting specific performance criteria resulting in a true, shared risk partnership with industry. The lifecycle cost estimate million was the lowest of the alternatives that was considered to be technically sound and likely to succeed.

**4. What specific qualitative benefits will be realized?**

The following specific qualitative benefits will be realized from the selected alternative in the LCMS program: Information Sharing: Efficiently provide accurate and timely case and matter information to necessary DOJ components. Seamlessly share information within and between components and partners, and to DOJ leadership. Enables DOJ to act as a "unified law firm". Cost Savings: Obtain cost savings through economies of scale and the reduction of duplicative investments. Reduce administrative burden and increase operational efficiencies (e.g., reduce the time to retrieve and validate "non-organic" information and eliminate duplicate data entry). Capitalize on high payoff processes improvements through an effective change management process. Decision Support: Provide timely and accurate Department level litigation workload and performance reporting. Enables better performance management and decision making. Common Data Source: Provide a single data repository for litigation case management information, so data can be entered once and used often. Provides a single source for all DOJ litigation case management information across organizations. The selected option provides the advantages of Commercial Off-the-shelf Software (COTS) including lower O&M costs and a regular path to technology and functionality upgrades.

**II.B. Risk Management**

**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.**

<b>1. Does the investment have a Risk Management Plan?</b>	Yes
<b>a. If "yes," what is the date of the plan?</b>	8/4/2006
<b>b. Has the Risk Management Plan been significantly changed since last year's submission to OMB?</b>	Yes

**c. If "yes," describe any significant changes:**

A preliminary Risk Management Plan was submitted in the OMB 300 BY2007 and is updated below for the current version, OMB 300 BY2008. Contract was awarded May 31, 2006 and I&I contractor start date was June 1, 2006. The contractor has developed a comprehensive RM Plan which was finalized August 4, 2006. The contractor identified an initial set (not all inclusive) of 'Top Ten' risks in the following categories: technology, life cycle costs, privacy, end user satisfaction, security, strategic, and cost along with an accompanying mitigation strategy for each risk. Other possible risk categories include; schedule, performance, customer satisfaction, and technical obsolescence. Probability and impact with the resulting exposures (probability x impact = exposure) have been assessed for each risk. The project risk manager will review/update risks on a bi-weekly basis, at minimum. The Risk Management Board (RMB) will meet on a monthly basis with the PMO to conduct Risk Analysis Reviews (RAR) in order to verify status of each open risk The PMO has also developed its own Risk Management Plan and identified Organizational and Change Management and the accompanying resistance to change within the litigating divisions as a high priority risk. As part of its mitigation strategy, the LCMS Task Force, comprised of representatives of the litigating components, was formed at project inception and meets on a regular basis with the contractor for updates. The LCMS Executive Steering Committee, also represented by the litigating divisions, as well as the Office of the CIO is also consulted on a regular basis. In addition, strong governance and executive leadership in support of LCMS have been solicited on an

ongoing basis from the Office of Attorney General (OAG) and Office of the Deputy Attorney General (ODAG). The I&I contractor has initiated a Change Management Plan which will be completed on December 20, 2006.

**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:**

Investment Risks are reflected through current contract forecasts and long term planning. The contract Work Breakdown Structure Dictionary (WBS) establishes the Definition and assumptions associated with each product and element of work on the contract. It sets the basis for determination of risk, for example, there are definite possibilities that events could occur that require investment not covered in the assumptions. On a monthly basis, a forecast of cost at completion (called the Estimate at Completion) for the contract is prepared. This forecast includes a roll-up through the WBS of expected cost associated with each identified work element. To this roll-up is added the Project Manager's quantified best estimate of risk impact. The Project Manager uses the risk register, which contains the risk list, probability of occurrence and cost impact or cost of mitigation for each risk, to identify those risks worthy of including in the forecast estimate. Typically, risks with probability of occurrence of greater than fifty percent and significant impact are included in the forecast as well as any mitigation activities not already included in the baseline. Cost factors in the risk register are based on technical and schedule impacts to the baseline. The project's life cycle cost estimate is adjusted based on Estimate at Completion and updates to future cost estimates based on discoveries in current contract period. Overall, risks are categorized as known or unknown. When known risks occur, they must be evaluated to determine whether mitigation/impact is within the scope of the contract and handled accordingly, either with a formal contract change or through internal replanning. A management reserve account is established to budget for unknown risks.

**II.C. Cost and Schedule Performance**

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

Yes

**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)?**

1610821

**b. What is the Earned Value (EV)?**

1610821

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

1589224

**d. What costs are included in the reported Cost/Schedule Performance information (Government Only/Contractor**

Contractor and Government

**Only/Both)?**

e. "As of" date:	7/31/2006
3. What is the calculated Schedule Performance Index (SPI = EV/PV)?	1
4. What is the schedule variance (SV = EV-PV)?	0
5. What is the calculated Cost Performance Index (CPI = EV/AC)?	1.01
6. What is the cost variance (CV=EV-AC)?	21597
7. 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
b. If "yes," explain the variance:	
The LCMS contract was awarded May 31, 2006 and the start date of the I&I contractor was June 1, 2006. EVM is as of June 30, 2006. 20% CV of \$177,635 resulted from contractor initial staffing delays during the first month of the project.	
c. If "yes," what corrective actions are being taken?	
Staffing should be completed by last week of July. Although August EVM report of July data will show improvement in Cost Variance, September report of August data will reflect full up staffing and current period reconciliation to plan.	
d. What is most current "Estimate at Completion"?	
8. Have any significant changes been made to the baseline during the past fiscal year?	No
8. If "yes," when was it approved by OMB?	No

**Comparison of Initial Baseline and Current Approved Baseline**

Milestone Number	Description of Milestone	Initial Baseline		Current Baseline				Current Baseline Variance		Percent Complete
		Planned Completion Date	Total Cost (Estimated)	Completion Date		Total Cost		Schedule (# days)	Cost	
				Planned	Actual	Planned	Actual			
1	Software Development: Critical Design Review	10/04/2006	\$4.968	10/04/2006		\$4.968				84%
2	Software Development: Development and	03/05/2007	\$8.536	03/05/2007		\$8.536				%

