Exhibit 300 (BY2009)

PART ONE	
OVERVIEW	
1. Date of Submission:	2007-06-01
2. Agency:	015
3. Bureau:	00
4. Name of this Capital Asset:	Treasury-Wide Enterprise Content Management (ECM) Services
5. Unique Project Identifier:	015-00-01-13-01-5203-24

6. What kind of investment will this be in FY2009?

Mixed Life Cycle

7. What was the first budget year this investment was submitted to OMB?

FY2008

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 Treasury Enterprise Content Management (ECM) Investment will serve as the principal records, document, case/workflow and content investment for the Department. The ECM PMO will implement an investment based on Service Oriented Architecture (SOA) and the National Information Exchange Model (NIEM) to ensure scalability and interoperability, and preserve future upgrade paths. By using the NIEM model, Treasury will be transformed into a real-time, secure services partner with information exchanging capabilities with other Federal Agencies. Treasury recognizes that there is no COTS/GOTS, one-size fits all product that can fully satisfy Treasury's record, document, case, content and work flow system business requirements, and the Department anticipates that the selected sets of products will require further but limited configuration. A three-phased approach will be employed by Treasury which consists of Phase 1 (FY07-09), Phase 2 (FY08-FY10), and Phase 3 (FY10-FY12). This approach aligns with the IT Modernization Blueprint, Volume 7: EA Transition Strategy, Feb. 2007. Phase 1 incorporates the major investments in the following Lines of Business: Law Enforcement, consisting of Internal Revenue Service-Criminal Investigation, Office of Financial Asset Control, Financial Crimes and Enforcement Network, Treasury Inspector General for Tax Administration, Financial Management Service; Public Goods, consisting of US Mint and Bureau of Engraving and Printing; and Economic Development, consisting of Office of Comptroller of the Currency and Office of Thrift Supervision. Phase 2 will incorporate existing non-major investments and integrating those requirements. Phase 3 will incorporate the remaining "Steady State" investments. Upon completion, ECM will allow all levels of Treasury Lines of Business to electronically capture, store, search/analyze, share, publish and archive information and documents from all internal and external customers, including citizens, corporations, intelligence, law enforcement and financial communities. ECM will also link information to cases; and assign, route and review cases. Finally, this investment provides the information infrastructure to comply with the Intelligence Reform and Terrorism Prevention Act, Section 1016(e) requirement by facilitating information sharing between the Treasury, Federal Agencies and Foreign Partners, and other industry and Government standards.

9. Did the Agency's Executive/Investment Committee approve this request?

yes

9.a. If "yes," what was the date of this approval?

2007-08-16

10. Did the Project Manager review this Exhibit?

yes

11. Project Manager Name:

Parker, Mike

Project Manager Phone:

202-622-0122

Project Manager Email:

Lawrence.Gross@do.treas.gov

11.a. What is the current FAC-P/PM certification level of the project/program manager?

TBD

12. Has the agency developed and/or promoted cost effective, energy-efficient and environmentally sustainable techniques or practices for this project.

yes

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

yes

12.b. Is this investment for new construction or major retrofit of a Federal building or facility? (answer applicable to non-IT assets only)

no

13. Does this investment directly support one of the PMA initiatives?

yes

If yes, select the initiatives that apply:

Expanded E-Government

13.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?)

Uses SOA and NIEM Model to provide information infrastructure to comply with the Intelligence Reform&Terrorism Prevention Act, Section 1016(e) requirement, facilitating information sharing between Treasury, other Agencies, and Foreign Partners. Provides interoperability among bureaus, with shared data capture, analysis and storage; increases citizen access; reduces burden for financial community via internet and e-business offerings.

14. Does this investment support a program assessed using the Program Assessment Rating Tool (PART)?

no

15. Is this investment for information technology?

yes

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

Level 3

17. What project management qualifications does the Project Manager have? (per CIO Council's PM Guidance)

(1) Project manager has been validated as qualified for this investment

18. Is this investment identified as high risk on the Q4 - FY 2007 agency high risk report (per OMB memorandum M-05-23)?

yes

19. Is this a financial management system?

no

19.a.2. If no, what does it address?

The Treasury Enterprise Content Management (ECM) Investment is an information technology initiative to improve the efficiency, effectiveness, and security of Treasury operations through a common set of architectural solutions for the records, document, case, content and work flow functionality of the department.

20. What is the percentage breakout for the total FY2008 funding request for the following? (This should total 100%)

Hardware	9
Software	7
Services	73
Other	11

21. If this project produces information dissemination products for the public, are these products published to the Internet in conformance with OMB Memorandum 05-04 and included in your agency inventory, schedules and priorities?

n/a

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

Name

Dale Underwood

Phone Number

202-622-0847
Title
DO Privacy Officer
Email
Dale.Underwood@do.treas.gov
23. Are the records produced by this investment appropriately scheduled with the National Archives and Records Administration's approval?
yes
24. Does this investment directly support one of the GAO High Risk Areas?
yes

SUMMARY OF SPEND

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.

All amounts represent Budget Authority

	PY-1 & Earlier	PY	CY
	-2006	2007	2008
Planning Budgetary Resources	2.747	5.895	9.222
Acquisition Budgetary Resources	5.859	5.416	1.147
Maintenance Budgetary Resources	0.763	3.010	4.644
Government FTE Cost	2.443	1.949	1.910
# of FTEs	14	13	6

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

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

OFAC: 2.5 FTE in FY2009 then 5.0 for FY2010 IRS-CI 4.5 FTE in FY2009 and 9.0 in FY2010 FinCEN: No new FTE are being requested. FinCEN will have (4) exisiting FTE in both FY 2009 & FY 2010 OCC is not requesting new FTEs; OCC will have 4.4 existing FTE in FY2009, 4.2 in FY2010, and zero in FY2011 and FY2012.

PERFORMANCE

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 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 FY 2009.

	Fiscal Year	Strategic Goal Supported	Measurement Area	Measurement Grouping	Measurement Indicator	Baseline	Planned Improvement to the Baseline	Actual Results
1	2007	Preserve the Integrity of Financial Systems	Mission and Business Results	System Development	Site deployment of WISDM	No sites currently have WISDM.	90% fully deployed with WISDM	6%
2	2007	Preserve the Integrity of Financial Systems	Mission and Business Results	Management Improvement	The percentage of documents that can be searched and retrieved.	LB SIS DM has not been implemented. All EICs are using LBIS	90% of LBS EICs support and use the LB SIS DM solution	Will not be obtained until the end of FY07
3	2008	Preserve the Integrity of Financial Systems	Mission and Business Results	System Development	Site deployment of WISDM	90% fully deployed with WISDM	100% fully deployed with WISDM	Not Observed at this time. TBD
4	2008	Preserve the Integrity of Financial Systems	Technology	Internal Data Sharing	The percentage of electronic documents stored in the central repository.	LBS document repositories are distributed across the OCC infrastructure using various storage	30% of newly created electronic documents stored in the central repository	Not Observed at this time. TBD
5	2008	Preserve the Integrity of Financial Systems	Processes and Activities	Efficiency	The percentage of documents that can be searched and retreived.	There is no document search capability in LBSIS.	30% of documents can be searched and retreived based on LBS metadata	Not Observed at this time. TBD
6	2008	Preserve the Integrity of Financial Systems	Mission and Business Results	Management Improvement	Capability to track the status of supervisory documents during the process	90% of LBS EICs support and use the LB SIS DM solution	100% of LBS EICs support and use the LB SIS DM solution	Not Observed at this time. TBD
7	2008	Preserve the Integrity of Financial Systems	Customer Results	Service Efficiency	Capability to track the status of supervisory documents during the process	There is no system capability to track the status of documents.	Provide LB management with capability to track the status 30% of the supervisory documents in the LB SIS DM solution	Not Observed at this time. TBD
8	2008	Preserve the Integrity of Financial Systems	Technology	Internal Data Sharing	The percentage of electronic documents stored in the central repository.	30% of newly created electronic documents stored in the central repository	50% of newly created electronic documents stored in the central repository	Not Observed at this time. TBD
9	2009	Preserve the Integrity of	Processes and Activities	Efficiency	The percentage of documents	30% of documents can be searched and retreived based on	50% of documents can be searched	Not Observed at this time.

#	Year							
		Financial Systems			that can be searched and retreived.	LBS metadata	and retrieved based on LBS metadata	TBD
10	2009	Preserve the Integrity of Financial Systems	Customer Results	Service Efficiency	Capability to track the status of supervisory documents during the process	Provide LB management with capability to track the status 30% of the supervisory documents in the LB SIS DM solution	Provide LB management with capability to track the status 50% of the supervisory documents in the LB SIS DM solution	Not Observed at this time. TBD
11	2010	Preserve the Integrity of Financial Systems	Technology	Internal Data Sharing	The percentage of electronic documents stored in the central repository.	50% of newly created electronic documents stored in the central repository	75% of newly created electronic documents stored in the central repository	Not Observed at this time. TBD
12	2010	Preserve the Integrity of Financial Systems	Processes and Activities	Efficiency	The percentage of documents that can be searched and retreived.	50% of documents can be searched and retreived based on LBS metadata	75% of documents can be searched and retreived based on LBS metadata	Not Observed at this time. TBD
13	2010	Preserve the Integrity of Financial Systems	Customer Results	Service Efficiency	Capability to track the status of supervisory documents during the process	Provide LB management with capability to track the status 50% of the supervisory documents in the LB SIS DM solution	Provide LB management with capability to track the status 75% of the supervisory documents in the LB SIS DM solution	Not Observed at this time. TBD
14	2011	Preserve the Integrity of Financial Systems	Technology	Internal Data Sharing	The percentage of electronic documents stored in the central repository.	75% of newly created electronic documents stored in the central repositorydocuments can be searched and retreived based on LBS metadata	100% of newly created electronic documents stored in the central repository	Not Observed at this time. TBD
15	2011	Preserve the Integrity of Financial Systems	Processes and Activities	Efficiency	The percentage of documents that can be searched and retreived.	75% of documents can be searched and retreived based on LBS metadata	100% of documents can be searched and retreived based on LBS metadata	Not Observed at this time. TBD
16	2011	Preserve the Integrity of Financial Systems	Customer Results	Service Efficiency	Capability to track the status of supervisory documents during the process	Provide LB management with capability to track the status 75% of the supervisory documents in the LB SIS DM solution	Provide LB management with capability to track the status 100% of the supervisory documents in the LB SIS DM solution	Not Observed at this time. TBD
17	2009	Preserve the Integrity of Financial	Mission and Business Results	Citizen Protection	Percent of civil penalty cases resolved within the Statute of	TBD	TBD	None Available

		Systems			Limitations period			
18	2009	Preserve the Integrity of Financial Systems	Customer Results	Customer Satisfaction	Percent increase in documents posted to FinCEN website that are accessed by the public or registered users	First measured in FY09	0% increase	None Available
19	2009	Preserve the Integrity of Financial Systems	Customer Results	Customer Satisfaction	Time between when a request is received by ALD or RPPD Regulatory Analysis and a case is assigned, plus time between when case analysis is complete and the results are disseminated	First measured in FY09	0% increase	None Available
20	2009	Preserve the Integrity of Financial Systems	Technology	Data Reliability and Quality	Percent increase in case quality rating	Percent increase in case quality rating	TBD	Increase case quality rating by 1% in FY11
21	2009	Preserve the Integrity of Financial Systems	Processes and Activities	Timeliness	Percent increase in case Direct Investigative Time	Percent increase in case Direct Investigative Time	TBD	1% increase in DIT
22	2009	Preserve the Integrity of Financial Systems	Customer Results	Customer Satisfaction	FinCEN public and registered users portal/website satisfaction rating	First measured in FY09	0%	None Available
23	2009	Preserve the Integrity of Financial Systems	Processes and Activities	Cycle Time	Percent decrease in case cycle time	Percent decrease in case cycle time	TBD	Average cycle time on legal and illegal and illegal investigations on a quarterly basis. Reduce cycle time 1% in FY11 based on level staffing.
24	2012	Preserve the Integrity of Financial Systems	Technology	Accessibility	Percent of pre-designation cases available in electronic format	TBD	TBD increase	None Available

25	2009	Preserve the Integrity of Financial Systems	Processes and Activities	Timeliness	Percent of OFAC headquarters licenses and interpretive submissions processed within 60 days	70%	75%	None Available
26	2009	Preserve the Integrity of Financial Systems	Customer Results	Response Time	Reduction in average time spent per FOIA request for OFAC business analysts	406 days	Not yet set or approved	406 days
27	2009	Preserve the Integrity of Financial Systems	Customer Results	Response Time	Percent of FOIA responses processed within the mandated timeframe	TBD	TBD	None Available
28	2009	Preserve the Integrity of Financial Systems	Technology	Accessibility	Percent of post-designation cases available in electronic format	TBD	TBD increase	None Available
29	2009	Preserve the Integrity of Financial Systems	Technology	Accessibility	Percent of pre-designation cases available in electronic format	TBD	TBD increase	None Available
30	2010	Preserve the Integrity of Financial Systems	Mission and Business Results	Citizen Protection	Percent of civil penalty cases resolved within the Statute of Limitations period	TBD	TBD	None Available
31	2010	Preserve the Integrity of Financial Systems	Customer Results	Customer Satisfaction	Percent increase in documents posted to FinCEN website that are accessed by the public or registered users	FY09 Value (not yet known)	0% increase	None Available
32	2010	Preserve the Integrity of Financial Systems	Customer Results	Customer Satisfaction	Time between when a request is received by ALD or RPPD Regulatory Analysis and a case is assigned, plus time between when case analysis is complete and the results are	FY09 Value (not yet known)	5% Reduction in Time	None Available

				disseminated			
33	2010	Preserve the Integrity of Financial Systems	Technology	Data Reliability and Quality	Percent increase in case quality rating	TBD	TBD	None Available
34	2010	Preserve the Integrity of Financial Systems	Processes and Activities	Timeliness	Percent increase in case Direct Investigative Time	TBD	TBD	None Available
35	2010	Preserve the Integrity of Financial Systems	Customer Results	Customer Satisfaction	FinCEN public and registered users portal/website satisfaction rating	73%	0% increase	None Available
36	2010	Preserve the Integrity of Financial Systems	Processes and Activities	Cycle Time	Percent decrease in case cycle time	TBD	TBD	None Available
37	2010	Preserve the Integrity of Financial Systems	Processes and Activities	Timeliness	Percent of OFAC headquarters licenses and interpretive submissions processed within 60 days	70%	80%	None Available
38	2010	Preserve the Integrity of Financial Systems	Customer Results	Response Time	Reduction in average time spent per FOIA request for OFAC business analysts	406 days	Not yest set or approved	406 days
39	2010	Preserve the Integrity of Financial Systems	Customer Results	Response Time	Percent of FOIA responses processed within the mandated timeframe	TBD	TBD	None Available
40	2010	Preserve the Integrity of Financial Systems	Technology	Accessibility	Percent of post-designation cases available in electronic format	TBD	TBD increase	None Available
41	2010	Preserve the Integrity of Financial Systems	Technology	Accessibility	Percent of pre-designation cases available in electronic format	TBD	TBD increase	None Available
42	2011	Preserve the Integrity of Financial Systems	Mission and Business Results	Citizen Protection	Percent of civil penalty cases resolved within the Statute of Limitations	TBD	TBD	None Available

					period		
43	2011	Preserve the Integrity of Financial Systems	Customer Results	Customer Satisfaction	Percent increase in documents posted to FinCEN website that are accessed by the public or registered users	FY09 Value Measured	5% increase	None Available
44	2007	Preserve the Integrity of Financial Systems	Technology	Improvement	Converting documents into records	Currently a manual process for converting documents to records	Provide LBS with the capability to electronically convert documents to records	Will not be obtained until the end of FY07
45	2007	Preserve the Integrity of Financial Systems	Processes and Activities	Efficiency	Standarding document formats within LBS	Currently individual LB divisions use different document formats and types	Provide LBS a standard template for: Company Profile; Conclusion Memo; Core Assessment-Bank; Core Assessment-Consolid. Co.; RAS; ROE-Lead Bank; ROE-Affiliate Bank; Scope Memo; Supervisory Ltr	Will not be obtained until the end of FY07
46	2009	Preserve the Integrity of Financial Systems	Mission and Business Results	Record Retention	The percentage of LBS records that will be retained electronically	Provide OCC with capability to electroncially capture and retain records.	25% of OCC participating units newly created records will be retained electronically.	Not Observed at this time. TBD
47	2010	Preserve the Integrity of Financial Systems	Mission and Business Results	Record Retention	The percentage of LBS records that will be retained electronically	25% of OCC participating units newly created records will be retained electronically.	50% of OCC participating units newly created records will be retained electronically.	Not Observed at this time. TBD
48	2011	Preserve the Integrity of Financial Systems	Mission and Business Results	Record Retention	The percentage of LBS records that will be retained electronically	50% of OCC participating units newly created records will be retained electronically.	75% of OCC participating units newly created records will be retained electronically.	Not Observed at this time. TBD
49	2007	Preserve the Integrity of Financial Systems	Customer Results	Customer Training	The percentage of LBS customers trained on WISDM	Training of LBS Examiners has not been held.	90% of LBS Examiners will have received training on WISDM	Will not be obtained until the end of FY07

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

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

yes

2.a. If yes, provide the investment name as identified in the Transition Strategy provided in the agency's most recent annual EA Assessment.

This investment is part of an ongoing but incomplete segment architecture

3. Is this investment identified in a completed (contains a target architecture) and approved segment architecture?

no

4. 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/.

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

Reused Name and UPI: 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 or External Reuse?: 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.

Funding Percentage: 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.

	Agency Component Name	Agency Component Description	Service Type	Component	Reused Component Name	Reused UPI	Internal or External Reuse?	Funding %
1	ECM - Core	Supports the use of dynamic reports on an as needed basis.	Reporting	Ad Hoc			No Reuse	2
2	ECM - Core	Supports the use of pre-conceived or pre-written reports.	Reporting	Standardized / Canned			No Reuse	2
3	ECM - Document Management	Supports the categorization of documents.	Document Management	Classification			No Reuse	2
4	ECM - Document Management	Supports the changing of files from one type of format to another.	Document Management	Document Conversion			No Reuse	1
5	ECM - Document Management	Supports the scanning, recognition, and OCRing of documents.	Document Management	Document Imaging and OCR			No Reuse	9
6	ECM - Document Management	Supports the association to other documents	Document Management	Document Referencing			No Reuse	1

		and information for related content.						
7	ECM - Document Management	Supports the editing and commendation of documents before releasing them.	Document Management	Document Review and Approval			No Reuse	10
8	ECM - Document Management	Supports the versioning and editing of content and documents.	Document Management	Document Revisions			No Reuse	7
9	ECM - Core	Supports the rapid retrieval of documents through a structured numbering construct.	Document Management	Indexing			No Reuse	2
10	ECM - Core	Supports document and data warehousing and archiving.	Document Management	Library / Storage			No Reuse	2
11	ECM - Core	Allows classification of data and information into specific layers or types to Supports an organization.	Knowledge Management	Categorization			No Reuse	3
12	ECM - Core	Supports the creation and maintenance of relationships between data entities, naming standards and categorization.	Knowledge Management	Information Mapping / Taxonomy			No Reuse	3
13	ECM - Core	Allows access to data and information for use by an organization and its stakeholders.	Knowledge Management	Information Retrieval			No Reuse	3
14	ECM - Core	Supports the use of documents and data in a multi-user environment for use by an organization and its stakeholders.	Knowledge Management	Information Sharing			No Reuse	3
15	ECM - Document Management	Supports management of externally initiated communication between an organization and its stakeholders.	Routing and Scheduling	Inbound Correspondence Management			No Reuse	2

16	ECM - Document Management	Supports management of internally initiated communication between an organization and its stakeholders.	Routing and Scheduling	Outbound Correspondence Management			No Reuse	2
17	ECM - Document Management	Supports managing the life cycle of a case/work item within an organization to include creating, routing, tracing, assignment and closing of a case as well as collaboration among case handlers.	Tracking and Workflow	Case Management			No Reuse	15
18	ECM - Document Management	Supports the conclusion of contention or differences within the business cycle.	Tracking and Workflow	Conflict Resolution			No Reuse	5
19	ECM - Document Management	Allows the monitoring of activities within the business cycle.	Tracking and Workflow	Process Tracking			No Reuse	8
20	ECM - Document Management	Supports the grouping and archiving of files and records on a server.	Collaboration	Document Library			No Reuse	2
21	ECM - Document Management	Supports the design and generation of electronic or physical forms and templates for use within the business cycle by an organization and its stakeholders.	Forms Management	Forms Creation			No Reuse	3
22	ECM - Document Management	Supports the maintenance of electronic or physical forms, templates and their respective elements and fields.	Forms Management	Forms Modification			No Reuse	2
23	ECM - Core	Supports selection and retrieval of records organized by shared characteristics in content or context.	Search	Classification			No Reuse	2

24	ECM - Core	Supports retrieval of records generated from a data source by imputing characteristics based on patterns in the content or context.	Search	Pattern Matching			No Reuse	1
25	ECM - Core	Supports selection and retrieval of records ranked to optimize precision against recall.	Search	Precision / Recall Ranking			No Reuse	2
26	ECM - Core	Supports retrieval of records that satisfy specific query selection criteria.	Search	Query			No Reuse	2
27	ECM - Core	Supports the management of permissions for ECM objects; includes user management and role/privilege management.	Security Management	Access Control			No Reuse	2
28	ECM - Core	Supports the identification and monitoring of activities within the ECM system.	Security Management	Audit Trail Capture and Analysis			No Reuse	2

5. 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: 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.

Service Specification: 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.

	SRM Component	Service Area	Service Category	Service Standard	Service Specification (i.e., vendor and product name)
1	Document Library	Service Access and Delivery	Access Channels	Web Browser	
2	Document Review and Approval	Service Access and Delivery	Access Channels	Collaboration / Communications	Products have not yet been acquired
3	Document Revisions	Service Access and Delivery	Delivery Channels	Intranet	Products have not yet been acquired
4	Access Control	Service Access and Delivery	Service Requirements	Authentication / Single Sign-on	Products have not yet been acquired
5	Library / Storage	Service Access and Delivery	Service Requirements	Hosting	Products have not yet been acquired
6	Information Sharing	Service Access and Delivery	Service Transport	Supporting Network Services	Products have not yet been acquired

7	Case Management	Service Platform and Infrastructure	Delivery Servers	Application Servers	Products have not yet been acquired
8	Document Referencing	Service Platform and Infrastructure	Database / Storage	Database	Products have not yet been acquired
9	Indexing	Service Platform and Infrastructure	Support Platforms	Platform Dependent	Products have not yet been acquired
10	Classification	Service Platform and Infrastructure	Support Platforms	Platform Independent	Products have not yet been acquired
11	Forms Creation	Service Platform and Infrastructure	Database / Storage	Storage	Products have not yet been acquired
12	Information Retrieval	Service Platform and Infrastructure	Hardware / Infrastructure	Servers / Computers	Products have not yet been acquired
13	Document Imaging and OCR	Service Platform and Infrastructure	Hardware / Infrastructure	Peripherals	Products have not yet been acquired
14	Forms Modification	Service Platform and Infrastructure	Hardware / Infrastructure	Local Area Network (LAN)	Products have not yet been acquired
15	Ad Hoc	Component Framework	Security	Supporting Security Services	Products have not yet been acquired
16	Categorization	Component Framework	Data Management	Database Connectivity	Products have not yet been acquired
17	Standardized / Canned	Component Framework	Data Management	Reporting and Analysis	Products have not yet been acquired
18	Document Conversion	Service Interface and Integration	Integration	Enterprise Application Integration	Products have not yet been acquired
19	Information Mapping / Taxonomy	Service Platform and Infrastructure	Delivery Servers	Web Servers	Products have not yet been acquired
20	Inbound Correspondence Management	Service Platform and Infrastructure	Delivery Servers	Application Servers	Products have not yet been acquired
21	Outbound Correspondence Management	Service Platform and Infrastructure	Delivery Servers	Portal Servers	Products have not yet been acquired
22	Conflict Resolution	Service Platform and Infrastructure	Software Engineering	Integrated Development Environment	Products have not yet been acquired
23	Process Tracking	Component Framework	Presentation / Interface	Static Display	Products have not yet been acquired
24	Classification	Component Framework	Presentation / Interface	Dynamic Server-Side Display	Products have not yet been acquired
25	Pattern Matching	Component Framework	Presentation / Interface	Content Rendering	Products have not yet been acquired
26	Precision / Recall Ranking	Component Framework	Business Logic	Platform Dependent	Products have not yet been acquired
27	Query	Component Framework	Data Management	Database Connectivity	Products have not yet been acquired
28	Audit Trail Capture and Analysis	Component Framework	Data Management	Reporting and Analysis	Products have not yet been acquired

6. Will the application leverage existing components and/or applications across the Government (i.e., FirstGov, Pay.Gov, etc)?

yes

6.a. If yes, please describe.
Integration into the Department's Enterprise Architecture is fundamental to the planning and execution of the ECM Services. Treasury has numerous potentially reusable components delivering services in this area. Of particular value may be the enterprise-level imaging and OCR systems in use at IRS, together with other components designed for particular purposes within other Bureaus and Offices which may prove to have enterprise-wide applicability. Informed reuse will require study, understanding, planning and execution by Treasury staff and external service providers. Treasury will also work to ensure that it reuses applicable functionality from other Departments / Agencies. Treasury ACIO E-Government has entered into a National Information Exchange Model (NIEM) discussion with the Department of Justice to glean lessons learned and enhance information sharing among agencies. Treasury will work through this investment to leverage any proven components which can meet its documented needs.

PART TWO

RISK

You should perform a risk assessment during the early planning and initial concept phase of the investment's life-cycle, develop 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.
Answer the following questions to describe how you are managing investment risks.
1. Does the investment have a Risk Management Plan?
no
2. If there is currently no plan, will a plan be developed?
yes
2.a. If yes, what is the planned completion date?
2008-01-01
3. Briefly describe how investment risks are reflected in the life cycle cost estimate and investment schedule:
Life cycle costs were developed by budgeting for factors that have been identified as higher risk/higher probability so that if an issue arises, the resources are in place to handle the issue and/or pursue a contingency plan.

COST & SCHEDULE

1. Does the earned value management system meet the criteria in ANSI/EIA Standard 748?
no
2. Is the CV% or SV% greater than Â± 10%?
2.b. If yes, explain the variance.
There are no actuals to report at this time, since project has not begun development and is still in the pre-acquisition phase. Although milestones have been planned, no milestones could yet be measured since there are no actuals to measure.
3. Has the investment re-baselined during the past fiscal year?
no