INITIATIVE DEFINITION BY08

Initiative Definition BY08

Template Name	IT Investment BY2008
Investment Name	ADM - 663580 - HUD Electronic Records System (HERS)
Investment Revision Number	6
Is this investment a consolidated business case?	No
Point of Contact	ECPIC, Admin
Revision Comment	
Class	IT

I.A: OVERVIEW BY08

Descriptive Information BY08

Date of Submission	9/11/2006
Agency	Department of Housing and Urban Development
Bureau	Working Capital Fund
Name of this Capital Asset	ADM - 663580 - HUD Electronic Records System (HERS)
Full UPI Code	025-00-01-05-01-1240-00
Four Digit UPI Code	1240
Two Digit UPI Code	00
Exhibit 53 Part	IT Investments by Mission Area
OMB Investment Type	01 - Major Investment
OMB Exhibit 53 Major Mission Area	05 - Enterprise Business Solutions
PY Full UPI Code	025-00-01-06-01-1010-00-404-141
What kind of investment will this be in this Budget Year?	Mixed Life Cycle
If this investment supports homeland security, Indicate by corresponding number which homeland security mission area(s) this investment supports?	
OMB Short Description	HUD's Electronic Records System (HERS) is the Department's solution for compliance with the Government Paperwork Elimination Act, which mandates agencies to implement Electronic Records Management systems.
Investment C&A Status	25 - Some or all of the systems within this investment have been through a C&A Process, some systems have been granted Full Authority to Operate

Screening Questions BY08

What was the first budget year this investment was submitted to OMB?	FY2008

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:

As part of its overall modernization plan, HUD is undertaking an enterprise office system modernization project for its records and document management. HERS planning began in FY 2003, and the Department is now ready to move forward with this effort as a Major investment for FY 2007/2008. This modernization effort supports the Presidential Management Agenda, GPEA and the E-GOV Act for HUD's Electronic Records System (HERS) initiative.

This investment will use a full feature turn-key COTS solution to provide an enterprise-wide solution for the HUD Electronic Record System (HERS) Program across the Agency's lines of business. This initiative will support the full lifecycle of document management activities and correspondence management, including the creation and processing of records, collaboration between program offices plus review, final publication, and archiving activities. Implementation of the HERS system will create on-line collaboration between program offices and HUD's business partners and clients. The HERS system will support record disposition activities as well as immediate retrieval of historical archived information.

The HERS program will improve internal efficiency and effectiveness by simplifying processing procedures through automation, and integrating functions into one consolidated system currently provided by eight (8) disparate legacy systems. Systems will be replaced as data and business functionality is incorporated into HERS.

Additional benefits to a fully funded HERS initiative include: allowing the Department to fully meet the congressional mandate of implementing the Government Paperwork Elimination Act (GPEA), and supporting the Electronic Signature (E-Sign) initiative and the Government Performance and Results Act (GPRA). The HERS solution would also allow HUD staff to directly formulate and draft their policies and directives into the HERS system, coordinate internal clearances, and notify business partners, clients and the general public by leveraging the collaboration module that is resident in the HERS system.

FY 2007 Key Activities: Correspondence Project (CTS) Expansion, HERS Pilot, FOIA Processing and Directives Tracking AND FY 2008 Key Activities: Correspondence Project (CTS) Expansion, Migrate 2 or more legacy systems, Integrate other Program Areas into HERS Electronic Signature

Did the Agency's Executive/Investment Committee approve this request?	Yes
If "yes," what was the date of this approval?	8/15/2006
Did the Project Manager review this Exhibit?	Yes
Contact information of Project Manager?	
Project Manager Name Pembleton, Edith M	
Project Manager Phone Number	2027080614 x6269
Project Manager E-mail	edith_m._pembleton@hud.gov
Has the agency developed and/or promoted cost effective, energy efficient and environmentally sustainable techniques or practices for this project.	No
Will this investment include electronic assets (including computers)?	Yes
Is this investment for new construction or major retrofit of a Federal building or facility? (answer applicable to non-IT assets only)	No
If "yes," is an ESPC or UESC being used to help fund this investment?	No
If "yes," will this investment meet sustainable design principles?	No
If "yes," is it designed to be 30% more energy efficient than relevant code?	
Does this investment directly support one of the PMA initiatives?	Yes
If "yes," check all of the PMA initiatives that apply:	Expanded E-Government
Does this investment support a program assessed using the Program Assessment Rating Tool (PART)? (For more information about the PART, visit www.whitehouse.gov/omb/part.)	No
Does this investment address a weakness found during the PART Review?	No
If "yes," what is the name of the PARTed program?	
If "yes," what PART rating did it receive?	
Is this investment for information technology?	Yes
Briefly describe how this asset directly supports the identified initiative(s)?	HERS supports the PMA by providing an enterprise-wide solution for managing electronic documents and records and by streamlining existing manual processes. The integrated solution will provide the ability for HUD staff to access all electronically-kept documents from one location, instead of the 6 separate legacy systems. The ERM solution will consolidate the separate legacy systems into one solution, eliminating the redundant and overlapping functionalities each system provided.

IT Screening Questions BY08

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.	
What is the level of the IT Project? (per CIO Council PM Guidance)	Level 2
What project management qualifications does the Project Manager have? (per CIO Council's PM Guidance):	(2) Project manager qualification is under review for this investment
Is this investment identified as "high risk" on the Q4 - FY 2006 agency high risk report (per OMB's 'high risk" memo)?	No
Is this a financial management system?	No
If "yes", does this investment address a FFMIA compliance area?	No
If "yes," which FFMIA compliance area?	
If "no," what does it address?	
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	
Provide the Percentage Financial Management for the budget year	1.170000
What is the percentage breakout for the total FY2008 funding request for the following? (This should total 100%)	100.000000
For budget year, what percentage of the total investment is for hardware?	0
For budget year, what percentage of the total investment is for software?	0
For budget year, what percentage of the total investment is for services?	100.000000
For budget year, what percentage of the total investment is for other services?	
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?	No
Contact information of individual responsible for privacy related questions:	
Privacy Officer Name Smith, Jeanette	
Privacy Officer Phone Number	202-708-2374, x8062
Privacy Officer Title	DEPARTMENTAL PRIVACY ACT OFFICER
Privacy Officer E-mail	jeanette_smith@hud.gov
Are the records produced by this investment appropriately scheduled with the National Archives and Records Administration's approval?	Yes

I.B: SUMMARY OF SPENDING BY08

Summary of Spending BY08

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.

SUMMARY OF SPENDING FOR PROJECT STAGES　　　　　　　　　　　　　　　　　* Costs in thousands

	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	0	335.73	1445	1465					

	PY - 1 and Earlier	PY 2006	CY 2007	BY 2008	BY + 1 2009	BY + 2 2010	BY + 3 2011	BY + 4 and Beyond	Total
Outlays	0	224.8	0	0					
A. Project Initiation/Planning									
Budgetary Resources	0	164.67	690	730					
Outlays	0	95.51	0	0					
B. Requirements Definition									
Budgetary Resources	0	61	280	315					
Outlays	0	39.04	0	0					
C. System Design									
Budgetary Resources	0	110.06	475	420					
Outlays	0	90.25	0	0					
Acquisition									
Budgetary Resources	0	785.73	1335	1461					
Outlays	0	126.91	0	0					
D. Software Acquisition									
Budgetary Resources	0	0	0	0					
Outlays	0	0	0	0					
E. Hardware/Infrastructure Acquisition									
Budgetary Resources	0	0	0	0					
Outlays	0	0	0	0					
F. New Development/Perfective Maintenance									
Budgetary Resources	0	65.92	605	786					
Outlays	0	27.68	0	0					
G. Systems Integration & Testing									
Budgetary Resources	0	524.16	345	335					
Outlays	0	20.97	0	0					
H. Installation & Deployment									
Budgetary Resources	0	195.65	385	340					
Outlays	0	78.26	0	0					
Subtotal Planning & Acquisition									
Budgetary Resources	0	1121.46	2780	2926					
Outlays	0	351.71	0	0					
Operations & Maintenance									
Budgetary Resources	248	362.57	220	273					
Outlays	248	132.3	0	0					
I. Systems Operation									
Budgetary Resources	248	294	140	165					
Outlays	248	132.3	0	0					
J. Corrective & Adaptive Maintenance									
Budgetary Resources	0	68.57	80	108					
Outlays	0	0	0	0					
TOTAL									
Budgetary Resources	248	1484.03	3000	3199					

	PY - 1 and Earlier	PY 2006	CY 2007	BY 2008	BY + 1 2009	BY + 2 2010	BY + 3 2011	BY + 4 and Beyond	Total
Outlays	248	484.01	0	0					
Government FTE Costs									
Budgetary Resources	0	0	392.296	387.676					
Planning									
Budgetary Resources	0	0	0	0					
Acquisition									
Budgetary Resources	0	0	0	0					
Maintenance									
Budgetary Resources	0	0	392.296	387.676					

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.

Full Time Equivalents BY08

Use the following table to provide the number of Government Full Time Equivalents (FTE) represented by the Government FTE Costs in the Summary of Spending Table. Numbers should be entered in decimal format for each of the categories listed.

FTE Table

	PY - 6 2000	PY - 5 2001	PY - 4 2002	PY - 3 2003	PY - 2 2004	PY - 1 2005	PY 2006	CY 2007	BY 2008	BY + 1 2009	BY + 2 2010	BY + 3 2011	BY + 4 2012	BY + 5 2013	BY + 6 2014	BY + 7 2015	BY + 8 2016	Total
Financial Management	0	0	0	0	0	0	0	0	0									
Security	0	0	0	0	0	0	0	0	0									
Program Management	0	0	0	0	0	0	0	0	0									
IT	0	0	0	0	0	0	0	0	2.0									
Other	0	0	0	0	0	0	0	0	0									
Total*	0	0	0	0	0	0	0	0	2.0									

*This row represents the 'Number of FTE represented by cost' from Summary of Spending table and will be sent to OMB.

Funding Questions BY08

Will this project require the agency to hire additional FTE's?	No
How many and in what year?	
If the summary of spending has changed from the FY2007 President's budget request, briefly explain those changes.	
Provide the Percent Budget Formulation (BF) for the budget year	0
Provide the Percent Budget Execution (BE) for the budget year	0

Funding Sources BY08

Funding Sources

* Costs in thousands

FS Name: MAX Code	Row Type	PY - 6 2000	PY - 5 2001	PY - 4 2002	PY - 3 2003	PY - 2 2004	PY - 1 2005	PY 2006	CY 2007	BY 2008	BY + 1 2009	BY + 2 2010	BY + 3 2011	BY + 4 2012	BY + 5 2013	BY + 6 2014	BY + 7 2015	BY + 8 2016	Total
Working Capital Fund: 025-35-4586-0 On Ex.53: **Yes**	DME	0	0	0	0	0	0	1224.03	2740	2926										
	SS	0	0	0	1080	500	7900	260	841	869										
	Total	0	0	0	1080	500	7900	1484.03	3581	3795										
Total Yearly Budgets	DME	0	0	0	0	0	0	1224.03	2740	2926										
	SS	0	0	0	1080	500	7900	260	841	869										
	Total	0	0	0	1080	500	7900	1484.03	3581	3795										

I.C: ACQUISITION/CONTRACT STRATEGY BY08

Contract/Task Order Table BY08

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.

Contract/Task Orders Table

Row Number	Contract or Task Order Number	Type of Contract/ Task Order	Has the contract been awarded?	If so what is the date of the award? If not, what is the planned award date?	Start date of Contract/ Task Order	End date of Contract/ Task Order	Total Value of Contract/ Task Order	Is this an Interagency Acquisition?	Is it performance based?	Competitively awarded?	What, if any, alternative financing option is being used?	Is EVM in the contract?	Does the contract include the required security and privacy clauses?	Name of CO	CO Contact information (phone/email)	Contracting Officer Certification Level	If N/A, has the agency determined the CO assigned has the competencies and skills necessary to support this acquisition?
1	New	FFP	No	1/1/2007	1/1/2007	1/1/2012	3000000.00	No	Yes	Yes	NA	Yes	Yes	Glymph, Kelvin	202-708-7133 / Kelvin_X._Glymph@hud.gov	Level 1	Yes
2	C-OPC-22955	FFP/T&M	Yes	12/23/2005	12/23/2005	12/23/2007	3000000.00	No	Yes	Yes	NA	Yes	Yes	Glymph, Kelvin	202-708-7133 / Kelvin_X._Glymph@hud.gov	Level 1	Yes

Contract/Task Order Questions BY08

If earned value is not required or will not be a contract requirement for any of the contracts or task orders above, explain why:

Do the contracts ensure Section 508 compliance?	Yes
Explain why (508 Compliance)?	HUD has a comprehensive, Department-wide Section 508 compliance program to ensure all systems deployed comply with access board standards. This includes a pre-acquisition certification process to ensure that appropriate Section 508 compliance provisions are included in awarded contracts.

	Delivered products require compliance inspection before they are accepted. Contracts include Section 508 technical requirements to ensure contractor compliance with all relevant aspects in their deliverables.
Is there an acquisition plan which has been approved in accordance with agency requirements?	Yes
What is the date of your acquisition plan?	12/23/2006
If "no," will an acquisition plan be developed?	
If "no," briefly explain why:	

I.D: PERFORMANCE INFORMATION BY08

Performance Goals & Measures BY08

Agencies must use the Performance Goals and Measures Table 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 Goals and Measures

Fiscal Year	Strategic Goal(s) Supported	Performance Measure	Actual/baseline (from Previous Year)	Planned Performance Metric (Target)	Performance Metric Results (Actual)
2002					
2002					
2002					

FEA Performance Reference Model (PRM) BY08

FEA PRM

Fiscal Year	Strategic Goal(s) Supported	Measurement Area	Measurement Category	Measurement Grouping	Measurement Indicator	Baseline	Planned Improvement to the Baseline	Actual Results
2006	Goal E: Embrace High Standards of Ethics, Management and Accountability	Mission and Business Results	Administrative Management	Workplace Policy Development And Management	Replace HUD's existing Automated Correspondence On Line Response Network (ACORN) mainframe system for recording, tracking and reporting on new controlled correspondence.	0	100%	65% YTD - Total results will be available December 2006
2006	Goal E: Embrace High Standards of Ethics, Management and Accountability	Mission and Business Results	Administrative Management	Workplace Policy Development And Management	Replace HUD's existing Correspondence Management System (CMS) for scanning incoming correspondence.	0	60%	65% YTD - Total results will be available December 2006
2006	Goal E: Embrace High Standards of	Mission and Business Results	Administrative Management	Workplace Policy Development	Replace HUD's existing FOIA Management	0	60%	10%

Fiscal Year	Strategic Goal(s) Supported	Measurement Area	Measurement Category	Measurement Grouping	Measurement Indicator	Baseline	Planned Improvement to the Baseline	Actual Results
	Ethics, Management and Accountability			And Management	System (FMS) for scanning incoming FOIA requests.			
2006	Goal E: Embrace High Standards of Ethics, Management and Accountability	Technology	Effectiveness	IT Contribution to Process, Customer, or Mission	Demonstrate an automated solution for tracking, managing and reporting on incoming controlled correspondence with focus on the replacement of HUD's existing ACORN mainframe system.	0	100%	100%
2006	Goal E: Embrace High Standards of Ethics, Management and Accountability	Technology	Effectiveness	IT Contribution to Process, Customer, or Mission	Establish a pilot of the proposed automated COTS solution for tracking, managing and reporting on incoming controlled correspondence.	0	100%	100%
2007	Goal E: Embrace High Standards of Ethics, Management and Accountability	Customer Results	Service Accessibility	Access	Increase the total number of CTS users	150 users	500 users	TBD
2007	Goal E: Embrace High Standards of Ethics, Management and Accountability	Mission and Business Results	Information and Technology Management	Record Retention	% of records retired on schedule	TBD	TBD	
2007	Goal E: Embrace High Standards of Ethics, Management and Accountability	Processes and Activities	Cycle Time and Resource Time	Cycle Time	Reduce total processing time for directives prior to publication	180 days	120 days	
2007	Goal E: Embrace High Standards of Ethics, Management and Accountability	Processes and Activities	Financial (Processes and Activities)	Savings and Cost Avoidance	Reduce total storage costs at NARA (paper files)	$3 million annual cost	5% reduction from baseline to $2,850,000	
2007	Goal E: Embrace High Standards of	Processes and Activities	Productivity and Efficiency	Productivity	Total percentage of FOIA requests	0	25%	

Fiscal Year	Strategic Goal(s) Supported	Measurement Area	Measurement Category	Measurement Grouping	Measurement Indicator	Baseline	Planned Improvement to the Baseline	Actual Results
	Ethics, Management and Accountability				processed			
2008	Goal E: Embrace High Standards of Ethics, Management and Accountability	Customer Results	Service Accessibility	Access	Increase the total number of CTS users	500 users	1000 users	
2008	Goal E: Embrace High Standards of Ethics, Management and Accountability	Mission and Business Results	Information and Technology Management	Record Retention	% of records retired on schedule	TBD	TBD	
2008	Goal E: Embrace High Standards of Ethics, Management and Accountability	Processes and Activities	Cycle Time and Resource Time	Cycle Time	Reduce total processing time for directives prior to publication	120 days	60 days	
2008	Goal E: Embrace High Standards of Ethics, Management and Accountability	Processes and Activities	Financial (Processes and Activities)	Savings and Cost Avoidance	Reduce total storage costs at NARA (paper files)	$2,850,000	5% reduction from baseline to $2,707,500	
2008	Goal E: Embrace High Standards of Ethics, Management and Accountability	Processes and Activities	Productivity and Efficiency	Productivity	Total percentage of FOIA requests processed	25%	40%	
2008	Goal E: Embrace High Standards of Ethics, Management and Accountability	Technology	Financial (Technology)	Overall Costs	# of record systems eliminated	0 of 8	6 of 8	TBD

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.

I.E: SECURITY AND PRIVACY BY08

Costs & Risks BY08

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:

Have the IT security costs for the system(s) been identified and integrated into the overall costs of the investment?	Yes
Provide the Percentage IT Security for the budget year	0.100000
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

Security: Planning Systems BY08

Systems in Planning - Security

Name of System	Agency/ or Contractor Operated System?	Planned Operational Date	Planned or Actual C&A Completion Date
HUD Electronic Records System (HERS) - Release 2 FOIA	Government Only	2/15/2007	2/1/2007
HUD Electronic Records System (HERS) - Release 3 Records Management	Government Only	9/30/2007	8/31/2007

Security: Operational Systems BY08

Operational Systems - Security

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
HUD Electronic Records System (HERS) - Release 1 HERS-CTS	Government Only	Moderate	Yes	9/1/2006	FIPS 200 / NIST 800-53	8/29/2006	8/29/2006

Security: Weaknesses & Contractor Procedures BY08

Have any weaknesses, not yet remediated, related to any of the systems part of or supporting this investment been identified by the agency or IG?	No
If "yes," have those weaknesses been incorporated into the agency's plan of action and milestone process?	No
Indicate whether an increase in IT security funding is requested to remediate IT security weaknesses?	No
If "yes," specify the amount, provide a general description of the weakness, and explain how the funding request will remediate the weakness.	

How are contractor security procedures monitored, verified, and validated by the agency for the contractor systems above?	
All HUD contracts are required to comply with HUD IT operations and security policy. IT data centers are reuqired to follow FISMA, A-130, A-11, and other major Federal Requirements. The HERS system will be maintained by a HUD contractor. Provisions will be included in all contracts that will include contractor	

reporting, site inspections, audits, and personnel background investigations. These will be conducted on a periodic basis to ensure contractor's compliance with all security requirements. Contractor procedures will be monitored through regular status meetings where security incidents and events, result of automated scans, and audit trails may be reviewed.

Privacy: Planning & Operational Systems BY08

Planning & Operational Systems - Privacy

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?
HUD Electronic Record System	Yes	Yes.	Yes.	No	No, because the system is not a Privacy Act system of records.

I.F: ENTERPRISE ARCHITECTURE (EA) BY08

General EA Questions BY08

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.

Is this investment included in your agency's target enterprise architecture? Yes

If "no," please explain why this investment is not included in your agency's target enterprise architecture?

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

If "yes," provide the investment name as identified in the Transition Strategy provided in the agency's most recent annual EA Assessment. HUD's target enterprise architecture suggests an eventual migration to a single enterprise electronic document/records management (EDRM) solution. This initiative is a core IT service that can be used to meet the electronic documents and records management needs across all of HUD's business areas.

If "no," please explain why this investment is not included in the agency's EA Transition Strategy?

FEA SRM BY08

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/.

Service Component Reference Model (SRM) Table

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
Workgroup / Groupware	Defines the set of capabilities that support multiple users working on related tasks.	Business Management Services	Organizational Management	Workgroup / Groupware			No Reuse	0
Surveys	Defines the set	Customer	Customer	Surveys			No	0

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
	of capabilities that are used to collect useful information from an organization's customers.	Services	Relationship Management				Reuse	
Content Authoring	Defines the capabilities that allow for the creation of tutorials, CBT courseware, Web sites, CD ROMS and other interactive programs.	Digital Asset Services	Content Management	Content Authoring			No Reuse	0
Content Publishing and Delivery	Defines the set of capabilities that allow for the propagation of interactive programs.	Digital Asset Services	Content Management	Content Publishing and Delivery			No Reuse	0
Content Review and Approval	Defines the capabilities that allow for the approval of interactive programs.	Digital Asset Services	Content Management	Content Review and Approval			No Reuse	0
Document Conversion	Defines the set of capabilities that support the changing of files from one type of format to another.	Digital Asset Services	Document Management	Document Conversion			No Reuse	0
Document Imaging and OCR	Document Imaging and OCR defines the set of capabilities that support the scanning of physical documents for use electronically.	Digital Asset Services	Document Management	Document Imaging and OCR			No Reuse	0
Document Referencing	Defines the set of capabilities that support the redirection to other documents and information for	Digital Asset Services	Document Management	Document Referencing			No Reuse	0

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
	related content.							
Document Review and Approval	Defines the set of capabilities that support the editing and commendation of documents before releasing them.	Digital Asset Services	Document Management	Document Review and Approval			No Reuse	0
Document Revisions	Defines the set of capabilities that support the versioning and editing of content and documents.	Digital Asset Services	Document Management	Document Revisions			No Reuse	0
Indexing	Defines the set of capabilities that support the rapid retrieval of documents through a structured numbering construct.	Digital Asset Services	Document Management	Indexing			No Reuse	0
Library/Storage	Support document and data warehousing and archiving.	Digital Asset Services	Document Management	Library / Storage			No Reuse	0
Categorization	Defines the set of capabilities that allow classification of data and information into specific layers of types to support an organization.	Digital Asset Services	Knowledge Management	Categorization			No Reuse	0
Information Mapping/Taxonomy	Defines the set of capabilities that support the creation and maintenance of relationship between data entities, naming standards and categorization.	Digital Asset Services	Knowledge Management	Information Mapping / Taxonomy			No Reuse	0
Information Retrieval	"Defines the set of capabilities that allow	Digital Asset Services	Knowledge Management	Information Retrieval			No Reuse	0

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
	access to data and information for use by an organization and its stakeholders."							
Information Sharing	Defines the set of capabilities that support the use of documents and data in a multi-user environment for use by an organization and its stakeholders.	Digital Asset Services	Knowledge Management	Information Sharing			No Reuse	0
Knowledge Capture	Capabilities to capture information.	Digital Asset Services	Knowledge Management	Knowledge Capture			No Reuse	0
Knowledge Distribution and Delivery	Defines the set of capabilities that support the transfer of knowledge to the end customer.	Digital Asset Services	Knowledge Management	Knowledge Distribution and Delivery			No Reuse	0
Digital Rights Management		Digital Asset Services	Records Management	Digital Rights Management			No Reuse	0
Document Classification	Defines the set of capabilities that support the categorization of documents and artifacts, both electronic and physical.	Digital Asset Services	Records Management	Document Classification			No Reuse	0
Document Retirement	Defines the set of capabilities that support the termination or cancellation of documents and artifacts used by an organization and its stakeholders.	Digital Asset Services	Records Management	Document Retirement			No Reuse	0
Record Linking/Association	Defines the set of capabilities that support the correlation between logical data and	Digital Asset Services	Records Management	Record Linking / Association			No Reuse	0

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
	information sets.							
Inbound Correspondence Management	Defines the set of capabilities for the management of externally initiated communication between an organization and its stateholders.	Process Automation Services	Routing and Scheduling	Inbound Correspondence Management			No Reuse	0
Outbound Correspondence Management	Defines the set of capabilities for the management of internally initiated communication between an organization and its stakeholders.	Process Automation Services	Routing and Scheduling	Outbound Correspondence Management			No Reuse	0
Case/Isssue Management	Defines the set of capabilities for managing the life cycle of a particular claim or investigation within an organization to include creating, routing, tracing assignment and closing of a case as well as collaboration among case handlers.	Process Automation Services	Tracking and Workflow	Case Management			No Reuse	0
Document Library	Defines the set of capabilities that support the grouping and archiving of files and records on a server.	Support Services	Collaboration	Document Library			No Reuse	0
Forms Modification	Forms Modification defines the set of capabilities that support the maintenance	Support Services	Forms Management	Forms Modification			No Reuse	0

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
	of electronic or physical forms, templates and their respective elements and fields.							
Audit Trail Capture and Analysis	Audit Trail Capture and Analysis defines the set of capabilities that support the identification and monitoring of activities within an application or system.	Support Services	Security Management	Audit Trail Capture and Analysis			No Reuse	0

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.

FEA TRM BY08

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.

Technical Reference Model (TRM) Table

FEA SRM Component	FEA TRM Service Area	FEA TRM Service Category	FEA TRM Service Standard	Service Specification (i.e. vendor or product name)
Audit Trail Capture and Analysis	Component Framework	Business Logic	Platform Dependent	Documentum, RedactXpress, CATXpress, FOIAXpress, ScanXpress
Content Authoring	Component Framework	Business Logic	Platform Independent	Documentum, CATXpress, FOIAXpress, RedactXpress, ScanXpress
Categorization	Component Framework	Business Logic	Platform Independent	Documentum, CATXpress, FOIAXpress, RedactXpress, ScanXpress,
Content Publishing and Delivery	Component Framework	Business Logic	Platform Independent	Documentum, RedactXpress, CATXpress, FOIAXpress, ScanXpress
Content Review and Approval	Component Framework	Business Logic	Platform Independent	Documentum, RedactXpress, CATXpress, FOIAXpress, ScanXpress
Digital Rights	Component	Business Logic	Platform	Documentum,

FEA SRM Component	FEA TRM Service Area	FEA TRM Service Category	FEA TRM Service Standard	Service Specification (i.e. vendor or product name)
Management	Framework		Independent	RedactXpress, CATXpress, FOIAXpress, ScanXpress
Document Classification	Component Framework	Business Logic	Platform Independent	Documentum, RedactXpress, CATXpress, FOIAXpress, ScanXpress
Document Conversion	Component Framework	Business Logic	Platform Independent	Documentum, RedactXpress, CATXpress, FOIAXpress, ScanXpress
Document Imaging and OCR	Component Framework	Business Logic	Platform Independent	Documentum, RedactXpress, CATXpress, FOIAXpress, ScanXpress
Document Library	Component Framework	Business Logic	Platform Independent	Documentum, RedactXpress, CATXpress, FOIAXpress, ScanXpress
Document Referencing	Component Framework	Business Logic	Platform Independent	Documentum, RedactXpress, CATXpress, FOIAXpress, ScanXpress
Document Retirement	Component Framework	Business Logic	Platform Independent	Documentum, RedactXpress, CATXpress, FOIAXpress, ScanXpress
Document Review and Approval	Component Framework	Business Logic	Platform Independent	Documentum, RedactXpress, CATXpress, FOIAXpress, ScanXpress
Document Revisions	Component Framework	Business Logic	Platform Independent	Documentum, RedactXpress, CATXpress, FOIAXpress, ScanXpress
Forms Modification	Component Framework	Business Logic	Platform Independent	Documentum, RedactXpress, CATXpress, FOIAXpress, ScanXpress
Inbound Correspondence Management	Component Framework	Business Logic	Platform Independent	Documentum, RedactXpress, CATXpress, FOIAXpress, ScanXpress
Indexing	Component Framework	Business Logic	Platform Independent	Documentum, RedactXpress, CATXpress, FOIAXpress, ScanXpress
Information Mapping / Taxonomy	Component Framework	Business Logic	Platform Independent	Documentum, RedactXpress, CATXpress, FOIAXpress, ScanXpress
Information Retrieval	Component Framework	Business Logic	Platform Independent	Documentum, RedactXpress, CATXpress, FOIAXpress, ScanXpress
Information Sharing	Component Framework	Business Logic	Platform Independent	Documentum, RedactXpress, CATXpress, FOIAXpress, ScanXpress
Knowledge Capture	Component Framework	Business Logic	Platform Independent	Documentum, RedactXpress, CATXpress, FOIAXpress, ScanXpress
Knowledge Distribution and Delivery	Component Framework	Business Logic	Platform Independent	Documentum, RedactXpress, CATXpress, FOIAXpress, ScanXpress
Library / Storage	Component Framework	Business Logic	Platform Independent	Documentum, RedactXpress, CATXpress, FOIAXpress, ScanXpress
Outbound Correspondence Management	Component Framework	Business Logic	Platform Independent	Documentum, RedactXpress, CATXpress, FOIAXpress, ScanXpress
Record Linking / Association	Component Framework	Business Logic	Platform Independent	Documentum, RedactXpress, CATXpress,

FEA SRM Component	FEA TRM Service Area	FEA TRM Service Category	FEA TRM Service Standard	Service Specification (i.e. vendor or product name)
				FOIAXpress, ScanXpress
Workgroup / Groupware	Component Framework	Business Logic	Platform Independent	Documentum, RedactXpress, CATXpress, FOIAXpress, ScanXpress
Audit Trail Capture and Analysis	Component Framework	Security	Supporting Security Services	Silanias ApproveIT (planned)
Categorization	Component Framework	Security	Supporting Security Services	Silanias ApproveIT (planned)
Content Authoring	Component Framework	Security	Supporting Security Services	Silanias ApproveIT (planned)
Content Publishing and Delivery	Component Framework	Security	Supporting Security Services	Silanias ApproveIT (planned)
Content Review and Approval	Component Framework	Security	Supporting Security Services	Silanias ApproveIT (planned)
Digital Rights Management	Component Framework	Security	Supporting Security Services	Silanias ApproveIT (planned)
Document Classification	Component Framework	Security	Supporting Security Services	Silanias ApproveIT (planned)
Document Conversion	Component Framework	Security	Supporting Security Services	Silanias ApproveIT (planned)
Document Imaging and OCR	Component Framework	Security	Supporting Security Services	Silanias ApproveIT (planned)
Document Library	Component Framework	Security	Supporting Security Services	Silanias ApproveIT (planned)
Document Referencing	Component Framework	Security	Supporting Security Services	Silanias ApproveIT (planned)
Document Retirement	Component Framework	Security	Supporting Security Services	Silanias ApproveIT (planned)
Document Review and Approval	Component Framework	Security	Supporting Security Services	Silanias ApproveIT (planned)
Document Revisions	Component Framework	Security	Supporting Security Services	Silanias ApproveIT (planned)
Forms Modification	Component Framework	Security	Supporting Security Services	Silanias ApproveIT (planned)
Inbound Correspondence Management	Component Framework	Security	Supporting Security Services	Silanias ApproveIT (planned)
Indexing	Component Framework	Security	Supporting Security Services	Silanias ApproveIT (planned)
Information Mapping / Taxonomy	Component Framework	Security	Supporting Security Services	Silanias ApproveIT (planned)

FEA SRM Component	FEA TRM Service Area	FEA TRM Service Category	FEA TRM Service Standard	Service Specification (i.e. vendor or product name)
Information Retrieval	Component Framework	Security	Supporting Security Services	Silanias ApproveIT (planned)
Information Sharing	Component Framework	Security	Supporting Security Services	Silanias ApproveIT (planned)
Knowledge Capture	Component Framework	Security	Supporting Security Services	Silanias ApproveIT (planned)
Knowledge Distribution and Delivery	Component Framework	Security	Supporting Security Services	Silanias ApproveIT (planned)
Library / Storage	Component Framework	Security	Supporting Security Services	Silanias ApproveIT (planned)
Outbound Correspondence Management	Component Framework	Security	Supporting Security Services	Silanias ApproveIT (planned)
Record Linking / Association	Component Framework	Security	Supporting Security Services	Silanias ApproveIT (planned)
Workgroup / Groupware	Component Framework	Security	Supporting Security Services	Silanias ApproveIT (planned)
Audit Trail Capture and Analysis	Service Platform and Infrastructure	Database / Storage	Database	Oracle 8i
Categorization	Service Platform and Infrastructure	Database / Storage	Database	Oracle 8i
Content Authoring	Service Platform and Infrastructure	Database / Storage	Database	Oracle 8i
Content Publishing and Delivery	Service Platform and Infrastructure	Database / Storage	Database	Oracle 8i
Content Review and Approval	Service Platform and Infrastructure	Database / Storage	Database	Oracle 8i
Digital Rights Management	Service Platform and Infrastructure	Database / Storage	Database	Oracle 8i
Document Classification	Service Platform and Infrastructure	Database / Storage	Database	Oracle 8i
Document Conversion	Service Platform and Infrastructure	Database / Storage	Database	Oracle 8i
Document Imaging and OCR	Service Platform and Infrastructure	Database / Storage	Database	Oracle 8i
Document Library	Service Platform and Infrastructure	Database / Storage	Database	Oracle 8i
Document Referencing	Service Platform and Infrastructure	Database / Storage	Database	Oracle 8i
Document Retirement	Service Platform and Infrastructure	Database / Storage	Database	Oracle 8i
Document Review and Approval	Service Platform and Infrastructure	Database / Storage	Database	Oracle 8i
Document Revisions	Service Platform and Infrastructure	Database / Storage	Database	Oracle 8i
Forms Modification	Service Platform and Infrastructure	Database / Storage	Database	Oracle 8i
Inbound Correspondence	Service Platform and Infrastructure	Database / Storage	Database	Oracle 8i

FEA SRM Component	FEA TRM Service Area	FEA TRM Service Category	FEA TRM Service Standard	Service Specification (i.e. vendor or product name)
Management				
Information Mapping / Taxonomy	Service Platform and Infrastructure	Database / Storage	Database	Oracle 8i
Information Retrieval	Service Platform and Infrastructure	Database / Storage	Database	Oracle 8i
Information Sharing	Service Platform and Infrastructure	Database / Storage	Database	Oracle 8i
Knowledge Capture	Service Platform and Infrastructure	Database / Storage	Database	Oracle 8i
Knowledge Distribution and Delivery	Service Platform and Infrastructure	Database / Storage	Database	Oracle 8i
Library / Storage	Service Platform and Infrastructure	Database / Storage	Database	Oracle 8i
Outbound Correspondence Management	Service Platform and Infrastructure	Database / Storage	Database	Oracle 8i
Record Linking / Association	Service Platform and Infrastructure	Database / Storage	Database	Oracle 8i
Workgroup / Groupware	Service Platform and Infrastructure	Database / Storage	Database	Oracle 8i
Audit Trail Capture and Analysis	Service Platform and Infrastructure	Hardware / Infrastructure	Servers / Computers	Solaris, Windows 2000
Categorization	Service Platform and Infrastructure	Hardware / Infrastructure	Servers / Computers	Solaris, Windows 2000
Content Authoring	Service Platform and Infrastructure	Hardware / Infrastructure	Servers / Computers	Solaris, Windows 2000
Content Publishing and Delivery	Service Platform and Infrastructure	Hardware / Infrastructure	Servers / Computers	Solaris, Windows 2000
Content Review and Approval	Service Platform and Infrastructure	Hardware / Infrastructure	Servers / Computers	Solaris, Windows 2000
Digital Rights Management	Service Platform and Infrastructure	Hardware / Infrastructure	Servers / Computers	Solaris, Windows 2000
Document Classification	Service Platform and Infrastructure	Hardware / Infrastructure	Servers / Computers	Solaris, Windows 2000
Document Conversion	Service Platform and Infrastructure	Hardware / Infrastructure	Servers / Computers	Solaris, Windows 2000
Document Imaging and OCR	Service Platform and Infrastructure	Hardware / Infrastructure	Servers / Computers	Solaris, Windows 2000
Document Library	Service Platform and Infrastructure	Hardware / Infrastructure	Servers / Computers	Solaris, Windows 2000
Document Referencing	Service Platform and Infrastructure	Hardware / Infrastructure	Servers / Computers	Solaris, Windows 2000
Document Retirement	Service Platform and Infrastructure	Hardware / Infrastructure	Servers / Computers	Solaris, Windows 2000
Document Review and Approval	Service Platform and Infrastructure	Hardware / Infrastructure	Servers / Computers	Solaris, Windows 2000
Document Revisions	Service Platform and Infrastructure	Hardware / Infrastructure	Servers / Computers	Solaris, Windows 2000
Forms Modification	Service Platform and Infrastructure	Hardware / Infrastructure	Servers / Computers	Solaris, Windows 2000
Inbound Correspondence Management	Service Platform and Infrastructure	Hardware / Infrastructure	Servers / Computers	Solaris, Windows 2000
Indexing	Service Platform	Hardware /	Servers /	Solaris, Windows 2000

FEA SRM Component	FEA TRM Service Area	FEA TRM Service Category	FEA TRM Service Standard	Service Specification (i.e. vendor or product name)
	and Infrastructure	Infrastructure	Computers	
Information Mapping / Taxonomy	Service Platform and Infrastructure	Hardware / Infrastructure	Servers / Computers	Solaris, Windows 2000
Information Retrieval	Service Platform and Infrastructure	Hardware / Infrastructure	Servers / Computers	Solaris, Windows 2000
Information Sharing	Service Platform and Infrastructure	Hardware / Infrastructure	Servers / Computers	Solaris, Windows 2000
Knowledge Capture	Service Platform and Infrastructure	Hardware / Infrastructure	Servers / Computers	Solaris, Windows 2000
Knowledge Distribution and Delivery	Service Platform and Infrastructure	Hardware / Infrastructure	Servers / Computers	Solaris, Windows 2000
Library / Storage	Service Platform and Infrastructure	Hardware / Infrastructure	Servers / Computers	Solaris, Windows 2000
Outbound Correspondence Management	Service Platform and Infrastructure	Hardware / Infrastructure	Servers / Computers	Solaris, Windows 2000
Record Linking / Association	Service Platform and Infrastructure	Hardware / Infrastructure	Servers / Computers	Solaris, Windows 2000
Workgroup / Groupware	Service Platform and Infrastructure	Hardware / Infrastructure	Servers / Computers	Solaris, Windows 2000

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.

Reuse & Information Sharing BY08

Will the application leverage existing components and/or applications across the Government (i.e., FirstGov, Pay.Gov, etc)?	No
If "yes," please describe how the application will leverage existing components and/or applications across the Government.	
Does this investment provide the public with access to a government automated information system?	Yes
If "yes," does customer access require specific software (e.g., a specific web browser version)?	No
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).	

FEA Primary Mapping BY08

FEA Primary Mapping

Reference Model:	BRM
Business Area:	Management of Government Resources
Line of Business:	Information and Technology Management
Sub Function:	Record Retention
Mapping Code:	404141

II.A: ALTERNATIVES ANALYSIS BY08

Analysis Background BY08

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.

Did you conduct an alternatives analysis for this project?	Yes
If "yes," what is the date of the analysis?	8/31/2005
If "no," what is the anticipated date this analysis will be completed?	

If no analysis is planned, please briefly explain why:

Alternatives Table BY08

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

Alternatives Analysis Results

Send to OMB	Alternative Analyzed	Description of Alternative	Risk Adjusted Lifecycle Costs estimate	Risk Adjusted Lifecycle Benefits estimate
True	4 - HERS implementation at Headquarters only, with no Field implementation.	HERS implementation at Headquarters (HQ) only, with no Field implementation. The COTS product will provide and support a small amount of electronic documents only for HQ personnel. HERS would only be used by designated employees in major program offices. Scanning equipment would not be purchased.	15.0	0.230
True	1 - Status Quo	Maintain eight existing disparate legacy systems, which currently provide records management and/or manual business workflows support across the Department. Current legacy systems are isolated and unable to cross communicate, process and transmit documents, and have outdated platforms. The current records management support does not meet the GPEA mandate, Electronic Signature (E-Sign) legislative requirement, and GPRA mandates nor EO 13352 for FOIA tracking, management and reporting.	22.0	2.0
True	2 - Procure a Commercial Off the Shelf (COTS) product to provide and support the full range of electronic document and records management processes.	Provides a comprehensive system that re-engineers Electronic Records Management, correspondence, FOIA and Directives tracking, managing and reporting processes within HUD. It will integrate all of the program areas under a single solution allowing seamless processing of documents and standardized lines of business processing procedures. Would also allow HUD to meet GPEA mandates, E-Sign legislative requirements, and GPRA mandates and the recent EO 13352 for FOIA tracking.	31.0	6.8
True	3 - Redesign of current legacy systems by utilizing a Software Development Life Cycle (SDLC) approach and methodology; not utilizing COTS.	Create all new modules based upon the logical SDLC methodology. Does not utilize any COTS ERP solutions. This methodology would likely require multiple service providers and contracts to encompass the following phases: Strategic Definition, Requirements Analysis, Prototype, Design, Build, Deploy/Implementation/Production, Training, Documentation, Operations and Maintenance Support.	25.0	0.5

Selected Alternative BY08

Which alternative was selected by the Initiative Governance process and why was it chosen?

Alternative 2, Procure a Commercial Off the Shelf (COTS) product. was chosen for several reasons. This alternative eliminates six separate, duplicative, and redundant systems into an Enterprise solution to address Departmental Imaging,

Document Management and Records Management. Alternative 2 will also allow HUD to realize the benefits and streamlined processes that come with a fully functional ERM solution. This includes: achieve full functional integration, standardize data, reduce maintenance costs, automate manual interfaces, consolidate project tracking functions, improved management reporting, improved utilization of resources, single source for IT systems information, automated history records of system releases, and standardized project level IT investment information.

The benefits of this alternative, of $6.8M, are the greatest of all the alternatives. Although the cost is higher as well, once this one-time cost is incurred, the higher, recurring benefits will continue to accumulate compared to the other alternatives.

COTS product will provide and support the full range of electronic document and records management processes as well as the full range of tracking, managing and reporting of correspondence, FOIA and Directives. The COTS product will be used enterprise-wide as a common solution for all HUD program areas. This approach will provide a comprehensive system that re-engineers the ERM, correspondence, FOIA and Directives tracking, managing and reporting processes within HUD. It will integrate all of the program areas under a single solution which will allow seamless processing of documents and standardized lines of business processing procedures. This alternative would also allow HUD to meet GPEA mandates, E-Sign legislative requirements, and GPRA mandates and the recent EO 13352 for FOIA tracking, management and reporting.

Alternative 3 was not chosen because it would not utilize a COTS solution, and thus leverage latest technology, but also would require multiple service providers. The benefits for this alternative are negligible, so there will be minimal accrual of benefits over time.

Alternative 4 was not chosen because it would provide support only for a small number of electronic documents for HQ personnel. Thus it would only be able to be used by major Program Offices, rather than in the field as well. The quantitative benefits will be negligible, so there will be minimal accrual of benefits over time

What specific qualitative benefits will be realized?

Alternative 2, Procure a Commercial Off the Shelf (COTS) product, will provide a number of qualitative benefits, shown below.

Â· Provision of full ERM lifecycle management of information that includes Enterprise Document Imaging, Document Management, Workflow, Collaboration and Records Management,
Â· Tmproved internal efficiencies and simplified processing procedures through automation,
Â· Timeliness in retrieval of archived information,
Â· Consolidation of six separate legacy systems,
Â· Consistency across the department in records management,
Â· Support of Electronic Signature capability,
Â· Facilitating of HUD staff to directly formulate and draft their policies and directives, into the ERM system, coordinate internal clearances, and
Â· Support of full compliance with GPEA and GPRA.

II.B: RISK MANAGEMENT BY08

Risk Management Plan BY08

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.

Does the investment have a Risk Management Plan?	Yes
What is the date of the risk management plan?	9/7/2006
Has the Risk Management Plan been significantly changed since last year's submission to OMB?	No
If "yes," describe any significant changes to the Risk Management Plan:	
If there currently is no risk plan, will a plan be developed?	
If "yes," what is the planned completion date of the risk plan?	
If "no," what is the strategy for managing the risks?	

Investment Risks BY08

Briefly describe how investment risks are reflected in the life cycle cost estimate and investment schedule:

Life Cycle Cost Estimate: A cost benefit analysis has been completed and all initial costs have been identified. Reevaluating

in October 2006. The HERS initiative has identified all costs associated from start to finish and documented in its cost benefit analysis. Life cycle costs will be reevaluated in October 2006.

Investment Schedule: A Detailed project plan was updated in April 2006. An Integrated Project Team has been formed to assist us in our project schedule and system requirements. A strategic approach to business solution definition is ongoing to identify business changes and align/define ERM IT functionality requirements. EA coordination activities are ongoing to define Electronic Records Management business solutions and needed system support functions to ensure alignment with HUD's mission needs.

II.C: COST AND SCHEDULE PERFORMANCE BY08

Earned Value BY08

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

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):

What is the Planned Value (PV)?	0.100000
What is the Earned Value (EV)?	0.050000
What is the actual cost of work performed (AC)?	326.200000
What costs are included in the reported Cost/Schedule Performance information (Government Only/Contractor Only/Both)?	Contractor Only
EVMS "As of" date:	4/21/2006
What is the calculated Schedule Performance Index (SPI = EV/PV)?	55.000000
What is the schedule variance (SV = EV-PV)?	66.000000
What is the calculated Cost Performance Index (CPI = EV/AC)?	88.000000
What is the cost variance (CV = EV-AC)?	11.900000

EVM is required only on DME portions of investments. For mixed lifecycle investments, O&M milestones should still be included in the table (Comparison of Initial Baseline and Current Approved Baseline). This table should accurately reflect the milestones in the initial baseline, as well as milestones in the current baseline.

Cost/Schedule Variance BY08

Is the CV% or SV% greater than 10%? (CV%= CV/EV x 100; SV%= SV/PV x 100)	No
If "yes," was it the CV or SV or both?	
If "yes," explain the variance:	
If "yes," what corrective actions are being taken?	
What is the most current "Estimate at Completion"?	23.905000

Performance Baseline BY08

Have any significant changes been made to the baseline during the past fiscal year?	Yes

Complete the following table to compare actual performance against the current performance baseline and to the initial performance baseline. In the Current Baseline section, for all milestones listed, you should provide both the baseline and actual completion dates (e.g., "03/23/2003"/ "04/28/2004") and the baseline and actual total costs (in $ Millions). In the event that a milestone is not found in both the initial and current baseline, leave the associated cells blank. Note that the 'Description of Milestone' and 'Percent Complete' fields are required. Indicate 0 for any milestone no longer active.

If "yes," when was it approved by OMB?	

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	HERS Project	10/30/2011	$25.813	10/30/2011		$25.813	$0.562		$25.251	2.17%
1.1	CTS Project Initial Implementation	06/29/2007	$1.484	06/29/2007		$1.484	$0.562		$0.922	37.75%

1.1.1	Security documentation, C&A, Correspondence, and Migration	12/21/2006	$0.238	12/21/2006		$0.238				0%
1.1.2	Definitions	10/30/2006	$0.090	10/30/2006		$0.090	$0.057		$0.033	55.00%
1.1.3	Workflows Configured	12/04/2006	$0.160	12/04/2006		$0.160	$0.130		$0.030	86.00%
1.1.4	Additional Development	12/29/2006	$0.095	12/29/2006		$0.095	$0.039		$0.056	48.00%
1.1.5	Testing	11/15/2006	$0.085	11/15/2006		$0.085	$0.031		$0.054	32.00%
1.1.6	Training and Deployment	12/22/2006	$0.286	12/22/2006		$0.286	$0.113		$0.173	30.00%
1.1.7	Operations	12/21/2006	$0.429	12/21/2006		$0.429	$0.192		$0.237	50.00%
1.1.8	Maintenance	06/29/2007	$0.101	06/29/2007		$0.101				0%
1.2	Migration of Legacy Data	09/30/2007	$0.540	09/30/2007		$0.540				0%
1.3	FOIA HQ & Field	09/30/2007	$0.485	09/30/2007		$0.485				0%
1.4	Implementation of all Directives - HERS Pilot of Records Management and Integrated System	09/30/2007	$0.535	09/30/2007		$0.535				0%
1.5	CTS Expansion - Additional Workflows	09/30/2007	$1.440	09/30/2007		$1.440				0%
1.6	Additional Users & eSignature	09/30/2008	$0.430	01/16/2009		$0.430				0%
1.7	FOIA eSignature	09/05/2008	$0.200	09/05/2008		$0.200				0%
1.9	Records Management	09/30/2008	$1.192	09/30/2008		$1.192				0%
1.10	Systems	09/30/2008	$0.715	09/30/2008		$0.715				0%
1.11	Integration of other program areas	09/30/2008	$0.477	09/30/2008		$0.477				0%
1.12	ACP Systems and Program Integration	10/30/2011	$18.130	10/30/2011		$18.130				0%
1.8	Enterprise Directives eSignature	06/18/2008	$0.185	06/18/2008		$0.185				0%
Project Totals		**10/30/2011**	**$25.813**	**10/30/2011**		**$25.813**	**$0.562**		**$25.251**	**2.17**

III.A: RISK MANAGEMENT BY08

Risk Management Plan BY08

Part III should be completed only for investments identified as "Operation and Maintenance" (Steady State) in response to Question 6 in Part I, Section A above.

You should have performed a risk assessment during the early planning and initial concept phase of this investment's life-cycle, developed a risk-adjusted life-cycle cost estimate and a plan to eliminate, mitigate or manage risk, and be actively managing risk throughout the investment's life-cycle.

Does the investment have a Risk Management Plan?	Yes
What is the date of the risk management plan?	9/7/2006
Has the Risk Management Plan been significantly changed since last year's submission to OMB?	No
If "yes," describe any significant changes to the Risk Management Plan:	
If there currently is no risk plan, will a plan be developed?	
If "yes," what is the planned completion date of the risk plan?	
If "no," what is the strategy for managing the risks?	

III.B: COST AND SCHEDULE PERFORMANCE BY08

Operational Analysis BY08

Was operational analysis conducted?	
If "yes," provide the date the operational analysis was completed.	
Please provide a brief summary of the operational analysis results.	

If "no," please explain why it was not conducted and if there are any plans to conduct operational analysis in the future:

Performance Baseline BY08

Complete the following table to compare actual cost performance against the planned cost performance baseline. Milestones reported may include specific individual scheduled preventative and predictable corrective maintenance activities, or may be the total of planned annual operation and maintenance efforts.

What costs are included in the reported Cost/Schedule Performance information (Government Only/Contractor Only/Both)?	Contractor Only

Comparison of Plan vs. Actual Performance Table

Milestone Number	Description of Milestone	Planned		Actual		Variance	
		Completion Date	Total Cost	Completion Date	Total Cost	Schedule (# days)	Cost
Project Totals							

IV.A: E-GOV AND LINES OF BUSINESS OVERSIGHT BY08

Partners BY08

Part IV should be completed only for investments identified as an E-Gov initiative or a Line of Business(LOB), i.e., selected the E-Gov and LOB Oversight choice in response to Question 6 in Part I, Section A above. Investments identified as E-Gov and LOB Oversight will complete only Parts I and IV of the exhibit 300.

Multi-agency initiatives, such as E-Gov and LOB initiatives, should develop a joint exhibit 300.

As a joint exhibit 300, please identify the agency stakeholders. Provide the partner agency and partner agency approval date for this joint exhibit 300.

Stakeholder Table

Partner Agency Name	Partner Agency	Joint Exhibit Approval Date

Partnering Strategies BY08

Provide the partnering strategies you are implementing with the participating agencies and organizations. Identify all partner agency capital assets supporting the common solution; Managing Partner capital assets should also be included in this joint exhibit 300. These capital assets should be included in the Summary of Spending table of Part I, Section B. (Partner Agency Asset UPIs should also appear on the Partner Agency's exhibit 53)

Partner Capital Assets within this Investment

Partner Agency Name	Partner Agency	Partner Agency Asset Title	Partner Agency Exhibit 53 UPI (BY2008)

Partner Funding BY08

For jointly funded initiative activities, provide in the "Partner Funding Strategies Table": the name(s) of partner agencies; the UPI of the partner agency investments; and the partner agency contributions for CY and BY. Please indicate partner contribution amounts (in-kind contributions should also be included in this amount) and fee-for-service amounts. (Partner Agency Asset UPIs should also appear on the Partner Agency's exhibit 53. For non-IT fee-for-service amounts the Partner exhibit 53 UPI can be left blank)

Partner Funding Strategies

Partner Agency Name	Partner Agency	Partner exhibit 53 UPI (BY2008)	CY Contribution	CY Fee-for-Service	BY Contribution	BY Fee-for-Service

Analysis Background BY08

An Alternatives Analysis for E-Gov and LOB initiatives should also be obtained. At least three viable alternatives, in addition to the current baseline (i.e., the status quo), should be included in the joint exhibit 300. 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.

Did you conduct an alternatives analysis for this project?	Yes
If "yes," what is the date of the analysis?	8/31/2005
If "no," what is the anticipated date this analysis will be completed?	
If no analysis is planned, please briefly explain why:	

Alternatives Table BY08

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

Alternatives Analysis Results

Send to OMB	Alternative Analyzed	Description of Alternative	Risk Adjusted Lifecycle Costs estimate	Risk Adjusted Lifecycle Benefits estimate
True	4 - HERS implementation at Headquarters only, with no Field implementation.	HERS implementation at Headquarters (HQ) only, with no Field implementation. The COTS product will provide and support a small amount of electronic documents only for HQ personnel. HERS would only be used by designated employees in major program offices. Scanning equipment would not be purchased.	15.0	0.230
True	1 - Status Quo	Maintain eight existing disparate legacy systems, which currently provide records management and/or manual business workflows support across the Department. Current legacy systems are isolated and unable to cross communicate, process and transmit documents, and have outdated platforms. The current records management support does not meet the GPEA mandate, Electronic Signature (E-Sign) legislative requirement, and GPRA mandates nor EO 13352 for FOIA tracking, management and reporting.	22.0	2.0
True	2 - Procure a Commercial Off the Shelf (COTS) product to provide and support the full range of electronic document and records management processes.	Provides a comprehensive system that re-engineers Electronic Records Management, correspondence, FOIA and Directives tracking, managing and reporting processes within HUD. It will integrate all of the program areas under a single solution allowing seamless processing of documents and standardized lines of business processing procedures. Would also allow HUD to meet GPEA mandates, E-Sign legislative requirements, and GPRA mandates and the recent EO 13352 for FOIA tracking.	31.0	6.8
True	3 - Redesign of current	Create all new modules based upon the logical SDLC	25.0	0.5

Send to OMB	Alternative Analyzed	Description of Alternative	Risk Adjusted Lifecycle Costs estimate	Risk Adjusted Lifecycle Benefits estimate
	legacy systems by utilizing a Software Development Life Cycle (SDLC) approach and methodology; not utilizing COTS.	methodology. Does not utilize any COTS ERP solutions. This methodology would likely require multiple service providers and contracts to encompass the following phases: Strategic Definition, Requirements Analysis, Prototype, Design, Build, Deploy/Implementation/Production, Training, Documentation, Operations and Maintenance Support.		

Selected Alternative BY08

Which alternative was selected by the Initiative Governance process and why was it chosen?

Alternative 2, Procure a Commercial Off the Shelf (COTS) product. was chosen for several reasons. This alternative eliminates six separate, duplicative, and redundant systems into an Enterprise solution to address Departmental Imaging, Document Management and Records Management. Alternative 2 will also allow HUD to realize the benefits and streamlined processes that come with a fully functional ERM solution. This includes: achieve full functional integration, standardize data, reduce maintenance costs, automate manual interfaces, consolidate project tracking functions, improved management reporting, improved utilization of resources, single source for IT systems information, automated history records of system releases, and standardized project level IT investment information.

The benefits of this alternative, of $6.8M, are the greatest of all the alternatives. Although the cost is higher as well, once this one-time cost is incurred, the higher, recurring benefits will continue to accumulate compared to the other alternatives.

COTS product will provide and support the full range of electronic document and records management processes as well as the full range of tracking, managing and reporting of correspondence, FOIA and Directives. The COTS product will be used enterprise-wide as a common solution for all HUD program areas. This approach will provide a comprehensive system that re-engineers the ERM, correspondence, FOIA and Directives tracking, managing and reporting processes within HUD. It will integrate all of the program areas under a single solution which will allow seamless processing of documents and standardized lines of business processing procedures. This alternative would also allow HUD to meet GPEA mandates, E-Sign legislative requirements, and GPRA mandates and the recent EO 13352 for FOIA tracking, management and reporting.

Alternative 3 was not chosen because it would not utilize a COTS solution, and thus leverage latest technology, but also would require multiple service providers. The benefits for this alternative are negligible, so there will be minimal accrual of benefits over time.

Alternative 4 was not chosen because it would provide support only for a small number of electronic documents for HQ personnel. Thus it would only be able to be used by major Program Offices, rather than in the field as well. The quantitative benefits will be negligible, so there will be minimal accrual of benefits over time

What specific qualitative benefits will be realized?

Alternative 2, Procure a Commercial Off the Shelf (COTS) product, will provide a number of qualitative benefits, shown below.

Â· Provision of full ERM lifecycle management of information that includes Enterprise Document Imaging, Document Management, Workflow, Collaboration and Records Management,
Â· Tmproved internal efficiencies and simplified processing procedures through automation,
Â· Timeliness in retrieval of archived information,
Â· Consolidation of six separate legacy systems,
Â· Consistency across the department in records management,
Â· Support of Electronic Signature capability,
Â· Facilitating of HUD staff to directly formulate and draft their policies and directives, into the ERM system, coordinate internal clearances, and
Â· Support of full compliance with GPEA and GPRA.

Quantitative Benefits BY08

What specific quantitative benefits will be realized (using current dollars) Use the results of your alternatives analysis to complete the following table:

Federal Quantitative Benefits

	Budgeted Cost Savings	Cost Avoidance	Justification for Budgeted Cost Savings	Justification for Cost Avoidance
PY - 6 2000	0	0		
PY - 5 2001	0	0		
PY - 4 2002	0	0		
PY - 3 2003	0	0		
PY - 2 2004	0	0		
PY - 1 2005	0	0		
PY 2006	0	0		
CY 2007	0	0		
BY 2008	0	0		
Total LLC Benefit	0	0		

IV.B: RISK MANAGEMENT BY08

Risk Management Plan BY08

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.

Does the investment have a Risk Management Plan?	Yes
What is the date of the risk management plan?	9/7/2006
Has the Risk Management Plan been significantly changed since last year's submission to OMB?	No

If "yes," describe any significant changes to the Risk Management Plan:

If there currently is no risk plan, will a plan be developed?
If "yes," what is the planned completion date of the risk plan?
If "no," what is the strategy for managing the risks?

Investment Risks BY08

Briefly describe how investment risks are reflected in the life cycle cost estimate and investment schedule:

Life Cycle Cost Estimate: A cost benefit analysis has been completed and all initial costs have been identified. Reevaluating in October 2006. The HERS initiative has identified all costs associated from start to finish and documented in its cost benefit analysis. Life cycle costs will be reevaluated in October 2006.

Investment Schedule: A Detailed project plan was updated in April 2006. An Integrated Project Team has been formed to assist us in our project schedule and system requirements. A strategic approach to business solution definition is ongoing to identify business changes and align/define ERM IT functionality requirements. EA coordination activities are ongoing to define Electronic Records Management business solutions and needed system support functions to ensure alignment with HUD's mission needs.

IV.C: COST AND SCHEDULE PERFORMANCE BY08

Earned Value BY08

You should also periodically be measuring the performance of operational assets against the baseline established during the planning or full acquisition phase (i.e., operational analysis), and be properly operating and maintaining the asset to maximize its useful life. Operational analysis may identify the need to redesign or modify an asset by identifying previously undetected faults in design, construction, or installation/integration, highlighting whether actual operation and maintenance costs vary significantly from budgeted costs, or documenting that the asset is failing to meet program requirements.

Answer the following questions about the status of this investment. Include information on all appropriate capital assets supporting this investment except for assets in which the performance information is reported in a separate Exhibit 300.

Are you using EVM to manage this investment?	Yes
Does the earned value management system meet the criteria in ANSI/EIA Standard - 748?	Yes
If "no," explain plans to implement EVM:	

Please provide a brief summary of the operational analysis results.

This sub-sections questions are NOT applicable for capital assets with ONLY O&M

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):

What costs are included in the reported Cost/Schedule Performance information (Government Only/Contractor Only/Both)?	Contractor Only
EVMS "As of" date:	4/21/2006
What is the Planned Value (PV)?	0.100000
What is the Earned Value (EV)?	0.050000
What is the actual cost of work performed (AC)?	326.200000
What is the calculated Schedule Performance Index (SPI = EV/PV)?	55.000000
What is the schedule variance (SV = EV-PV)?	66.000000
What is the calculated Cost Performance Index (CPI = EV/AC)?	88.000000
What is the cost variance (CV = EV-AC)?	11.900000

EVM is required only on DME portions of investments. For mixed lifecycle investments, O&M milestones should still be included in the table (Comparison of Initial Baseline and Current Approved Baseline). This table should accurately reflect the milestones in the initial baseline, as well as milestones in the current baseline.

Cost/Schedule Variance BY08

Is the CV% or SV% greater than 10%? (CV%= CV/EV x 100; SV%= SV/PV x 100)	No
If "yes," was it the CV or SV or both?	
If "yes," explain the variance:	
If "yes," what corrective actions are being taken?	
What is the most current "Estimate at Completion"?	23.905000

Performance Baseline BY08

This sub-sections questions are applicable to ALL capital assets.

Have any significant changes been made to the baseline during the past fiscal year?	Yes

Complete the following table to compare actual performance against the current performance baseline and to the initial performance baseline. In the Current Baseline section, for all milestones listed, you should provide both the baseline and actual completion dates (e.g., "03/23/2003"/ "04/28/2004") and the baseline and actual total costs (in $ Millions). In the event that a milestone is not found in both the initial and current baseline, leave the associated cells blank. Note that the 'Description of Milestone' and 'Percent Complete' fields are required. Indicate 0 for any milestone no longer active.

If "yes," when was it approved by OMB?

Comparison of Initial Baseline and Current Approved Baseline (EGov)

Milestone Number	Description of Milestone	Initial Baseline		Current Baseline		Current Baseline Variance		Percent Complete	Agency Responsible For Activity
		Planned Completion	Total Cost (Estimated)	Completion Date	Total Cost	Schedule (# days)	Cost		

Project											