

# Case Management and Reporting System (CMRS)

Budget year: FY2002

Agency: 393

Exhibit 300: Capital Asset Plan and Business Case Summary

Part I: Summary Information And Justification

Section A: Overview

1. Date of submission: **Dec 14, 2006**
2. Agency: **393**
3. Bureau: **00**
4. Name of this Capital Asset: **Case Management and Reporting System (CMRS)**
5. Unique Project (Investment) Identifier: **393-00-01-04-01-0004-00**
6. What kind of investment will this be in FY2008? **Operations and Maintenance**
7. What was the first budget year this investment was submitted to OMB? **FY2002**
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 National Personnel Records Center (NPRC) in St. Louis, Missouri is a component of the Federal Record Center Program (FRCP) which is a fee-for-service program. CMRS O and M costs are fully funded by the Department of Defense (DoD). NPRC is the largest component of NARA and services the personnel records of former military and civilian Federal personnel. Since 1960, the Military Personnel Records Center (MPR) in St. Louis, Missouri, has served as the primary source for military service information that 20th-century veterans and their families need to obtain such rights and benefits as health care, home loan guaranties, education, employment, service-connected injury compensation, and burial allowances. The information is found in the more than 55.5 million personnel and medical case files or 39 million auxiliary records in the center's custody. MPR experienced a significant backlog problem that resulted in response times to customer exceeding 16 weeks. A Business Process Re-engineering (BPR) project was conducted in 1997. An Information Technology (IT) solution (CMRS) to the case backlog was proposed to support the reconfiguration of two other aspects of the MPR reference process: human resources and the work process. CMRS provides IT functionality to automate the end-to-end case processing for military records. It includes a robust web portal so that veterans can request their military records on-line. Requests received via mail, phone, fax, or walk-in are scanned and merged into a single processing stream. CMRS then automates several steps that assist the MPR**

**staff in locating the record, selecting the required documents, preparing the response to the customers and advising the customer of the status of their request.**

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

a. If "yes," what was the date of this approval? **Aug 28, 2006**

10. Did the Project Manager review this Exhibit? **yes**

11. Contact information of Project Manager?

Name **Linda Ferro**

Phone Number **314- 801-0957**

E-mail **Linda.ferro@nara.gov**

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

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

b. Is this investment for new construction or major retrofit of a Federal building or facility? (answer applicable to non-IT assets only) **no**

1. If "yes," is an ESPC or UESC being used to help fund this investment?  
**[Not answered]**

2. If "yes," will this investment meet sustainable design principles? **[Not answered]**

3. If "yes," is it designed to be 30% more energy efficient than relevant code? **[Not answered]**

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

**Expanded E-Government**

a. Briefly describe how this asset directly supports the identified initiative(s)?  
**Expanded Electronic Government: Before CMRS, all military veterans' requests were either mailed to MPR or through walk-in to the center. CMRS now provides a web form for veterans to request and receive military records services electronically in addition to the mail and walk-in options. MPR receives 45% of requests through the web portal.**

14. Does this investment support a program assessed using the Program Assessment Rating Tool (PART)? (For more information about the PART, visit [www.whitehouse.gov/omb/part](http://www.whitehouse.gov/omb/part).) **yes**

a. If "yes," does this investment address a weakness found during a PART review?  
**no**

- b. If "yes," what is the name of the PARTed program? **Records Services Program**
- c. If "yes," what rating did the PART receive? **Adequate**

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

For information technology investments only:

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

17. What project management qualifications does the Project Manager have? (per CIO Council PM Guidance) **(2) Project manager qualification is under review for this investment**

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

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

- a. If "yes," does this investment address a FFMIA compliance area? [**Not answered**]
  - 1. If "yes," which compliance area: [**Not answered**]
  - 2. If "no," what does it address? [**Not answered**]
- b. If "yes," please identify the system name(s) and system acronym(s) as reported in the most recent financial systems inventory update required by Circular A-11 section 52 [**Not answered**]

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

Hardware	<b>5</b>
Software	<b>30</b>
Services	<b>65</b>
Other	<b>0</b>

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

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

Name **Gary M Stern**

Phone Number **301.837.3026**

Title **Senior Official for Privacy Policy**

E-mail **GaryM.Stern@nara.gov**

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

Section B: Summary of Spending

1.

<b>Table 1: SUMMARY OF SPENDING FOR PROJECT PHASES (REPORTED IN MILLIONS)</b>				
	<b>PY-1 and earlier</b>	<b>PY 2006</b>	<b>CY 2007</b>	<b>BY 2008</b>
Planning:	0.4	0	0	0
Acquisition:	11.9	0	0	0
Subtotal Planning & Acquisition:	12.3	0	0	0
Operations & Maintenance:	2.5	1.1	1.9	1.1
<b>TOTAL:</b>	<b>14.8</b>	<b>1.1</b>	<b>1.9</b>	<b>1.1</b>
<b>Government FTE Costs should not be included in the amounts provided above.</b>				
Government FTE Costs	0.4	0.125	0.125	0.125
Number of FTE represented by Costs:	6	1	1	1

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

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

3. If the summary of spending has changed from the FY2007 President's budget request, briefly explain those changes: **Operations and Maintenance Costs were increased. In 2007, CMRS will be upgraded from Siebel version 6.3 to Siebel version 7.8. The upgrade will ensure that CMRS is operating within the approved NARA EA framework and CMRS will be operating on a fully supported version of the Siebel Call Center software. The cost estimate for the upgrade is \$.8M.**

Section C: Acquisition/Contract Strategy

<b>Contracts/Task Orders Table:</b>	
<b>Contract or Task Order Number</b>	NAMA-02-F-0075

<b>Type of Contract/Task Order</b>	Time and Materials
<b>Has the contract been awarded</b>	yes
<b>If so what is the date of the award? If not, what is the planned award date?</b>	Sep 24, 2002
<b>Start date of Contract/Task Order</b>	Sep 30, 2002
<b>End date of Contract/Task Order</b>	Feb 12, 2007
<b>Total Value of Contract/ Task Order (\$M)</b>	0.601
<b>Is this an Interagency Acquisition?</b>	no
<b>Is it performance based?</b>	no
<b>Competitively awarded?</b>	yes
<b>What, if any, alternative financing option is being used?</b>	NA
<b>Is EVM in the contract?</b>	no
<b>Does the contract include the required security &amp; privacy clauses?</b>	yes
<b>Name of CO</b>	Rhonda Propst
<b>CO Contact information</b>	301-837-2077 Rhonda.Propst@nara.gov
<b>Contracting Officer Certification Level</b>	NA
<b>If N/A, has the agency determined the CO assigned has the competencies and skills necessary to support this acquisition?</b>	yes
<b>Contract or Task Order Number</b>	NAMA-03-F-0033
<b>Type of Contract/Task Order</b>	Time and Materials
<b>Has the contract been awarded</b>	yes

<b>If so what is the date of the award? If not, what is the planned award date?</b>	Apr 29, 2003
<b>Start date of Contract/Task Order</b>	May 1, 2003
<b>End date of Contract/Task Order</b>	Apr 30, 2007
<b>Total Value of Contract/ Task Order (\$M)</b>	55.998
<b>Is this an Interagency Acquisition?</b>	no
<b>Is it performance based?</b>	yes
<b>Competitively awarded?</b>	yes
<b>What, if any, alternative financing option is being used?</b>	NA
<b>Is EVM in the contract?</b>	no
<b>Does the contract include the required security &amp; privacy clauses?</b>	yes
<b>Name of CO</b>	Laverne Fields
<b>CO Contact information</b>	301-837-3063 LaVerne.Fields@nara.gov
<b>Contracting Officer Certification Level</b>	2
<b>If N/A, has the agency determined the CO assigned has the competencies and skills necessary to support this acquisition?</b>	yes

1. If earned value is not required or will not be a contract requirement for any of the contracts or task orders above, explain why: **The remaining option year on this contract is for Operations and Maintenance tasks only.**
2. Do the contracts ensure Section 508 compliance? **yes**
  - a. Explain why: **NARA specifies Section 508 compliance in all contracts, including small acquisitions to ensure that assistive technology, devices, and services are available to all NARA employees and members of the public with disabilities who use NARA Information Technology equipment in NARA**

**facilities. Contractors are required to design, develop, implement, maintain and upgrade all technologies to demonstrate full compliance with all existing accessibility legislation.**

3. Is there an acquisition plan which has been approved in accordance with agency requirements? **yes**
  - a. If "yes," what is the date? **Nov 26, 2002**
  - b. If "no," will an acquisition plan be developed? [**Not answered**]
    1. If "no," briefly explain why: [**Not answered**]

Section D: Performance Information

<b>Performance Information Table 1:</b>					
<b>Fiscal Year</b>	<b>Strategic Goal(s) Supported</b>	<b>Performance Measure</b>	<b>Actual/baseline (from Previous Year)</b>	<b>Planned performance Metric (Target)</b>	<b>Performance Metric Results (Actual)</b>
2004	Goal: 3. Essential evidence is easy to access regardless of where it is or where users are for as long as needed.	Percent of separation requests answered within 10 working days	37.00%	70.00%	74.56%
2005	Goal: 3. Essential evidence is easy to access regardless of where it is or where users are for as long as needed.	Percent of separation requests answered within 10 working days	74.6%	95%.	88%
2006	Goal: 3. Essential evidence is easy to access regardless of where it is or where users are for as long as needed.	Percent of separation requests answered within 10 working days	88%	95%	91% through July 31
2007	Goal: 4 We will provide prompt easy and secure access to our holdings anywhere, anytime	Answer xx percent of written requests to the National Personnel Records Center within 10 working days	91% through July 31	75%	[Not answered]

2008	Goal: 4 We will provide prompt easy and secure access to our holdings anywhere, anytime	Answer xx percent of written requests to the National Personnel Records Center within 10 working days	TBD. Base line for FY2008 is collected in FY2007.	90%	[Not answered]
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Performance Information Table 2:						
Fiscal Year	Measurement Area	Measurement Grouping	Measurement Indicator	Baseline	Planned Improvement to the Baseline	Actual Results
<i>There are no performance goals.</i>						

Section E: Security and Privacy

1. Have the IT security costs for the system(s) been identified and integrated into the overall costs of the investment: **yes**
  - a. If "yes," provide the "Percentage IT Security" for the budget year: **3**
2. Is identifying and assessing security and privacy risks a part of the overall risk management effort for each system supporting or part of this investment. **yes**

3. Systems in Planning - Security Table:			
Name of System	Agency/ or Contractor Operated System?	Planned Operational Date	Planned or Actual C&A Completion Date
ENOS	Government Only	Sep 30, 2008	Sep 30, 2008
RCPBS	Government Only	Sep 30, 2008	Sep 30, 2008
RCPOS	Government Only	Sep 30, 2007	Sep 30, 2007

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

		<b>level</b>	<b>800-37?</b>		<b>Controls tests?</b>	<b>Testing</b>	

5. Have any weaknesses, not yet remediate, related to any of the systems part of or supporting this investment been identified by the agency or IG? **yes**
  - a. If "yes," have those weaknesses been incorporated into the agency's plan of action and milestone process? **yes**
6. Indicate whether an increase in IT security funding is requested to remediate IT security weaknesses? **no**
  - a. If "yes," specify the amount, provide a general description of the weakness, and explain how the funding request will remediate the weakness. [**Not answered**]
7. How is contractor security procedures monitored, verified, and validated by the agency for the contractor systems above? [**Not answered**]

<b>8. Planning &amp; Operational Systems - Privacy Table:</b>					
<b>Name of System</b>	<b>Is this a new system?</b>	<b>Is there a Privacy Impact Assessment (PIA) that covers this system?</b>	<b>Is the PIA available to the public?</b>	<b>Is a System of Records Notice (SORN) required for this system?</b>	<b>Was a new or amended SORN published in FY 06?</b>
ENOS	no	1. Yes.	1. Yes.	yes	3. No, because the existing Privacy Act system of records was not substantially revised in FY 06.
RCPBS	yes	1. Yes.	1. Yes.	yes	1. Yes, because this is a newly established Privacy Act system of records.
RCPOS	yes	2. No.	2. No, because a PIA is not yet required to be completed at this time.	no	5. No, because the system is not a Privacy Act system of records.
AAC	yes	1. Yes.	1. Yes.	no	5. No, because the system is not a Privacy Act system

					of records.
CMRS	no	1. Yes.	1. Yes.	yes	3. No, because the existing Privacy Act system of records was not substantially revised in FY 06.

Section F: Enterprise Architecture (EA)

1. Is this investment included in your agency's target enterprise architecture? **yes**
  - a. If "no," please explain why? [**Not answered**]
2. Is this investment included in the agency's EA Transition Strategy? **yes**
  - a. If "yes," provide the investment name as identified in the Transition Strategy provided in the agency's most recent annual EA Assessment. **CMRS**
  - b. If "no," please explain why? [**Not answered**]

3. Service Component Reference Model (SRM) Table :							
Agency Component Name	Agency Component Description	FEA SRM Service Type	FEA SRM Component	Service Component Reused		Internal or External Reuse?	BY Funding Percentage
				Component Name	UPI		
CMRS	This system will provide improved workload management and processes related to fulfilling requests for military records.	Customer Relationship Management	Customer / Account Management	[Not answered]	[Not answered]	Internal	100

4. Technical Reference Model (TRM) Table:				
FEA SRM Component	FEA TRM Service Area	FEA TRM Service Category	FEA TRM Service Standard	Service Specification
Customer / Account	Service Access and Delivery	Access Channels	Web Browser	Microsoft Explorer

Management				
Customer / Account Management	Service Access and Delivery	Delivery Channels	Internet	Verizon UUNET
Customer / Account Management	Service Access and Delivery	Service Transport	Service Transport	TCP/IP
Customer / Account Management	Service Access and Delivery	Service Requirements	Authentication / Single Sign-on	LDAP
Customer / Account Management	Service Platform and Infrastructure	Delivery Servers	Web Servers	Siebel CRM
Customer / Account Management	Service Platform and Infrastructure	Hardware / Infrastructure	Servers / Computers	Sun / Compaq
Customer / Account Management	Service Platform and Infrastructure	Database / Storage	Database	Oracle and MS SQL Server
Customer / Account Management	Component Framework	Presentation / Interface	Dynamic Server-Side Display	Siebel CRM
Customer / Account Management	Component Framework	Business Logic	Platform Independent	Siebel CRM
Customer / Account Management	Component Framework	Data Management	Reporting and Analysis	Siebel e-Analytics
Customer / Account Management	Component Framework	Data Interchange	Data Exchange	Siebel CRM
Customer / Account Management	Service Interface and Integration	Interoperability	Data Types / Validation	Siebel CRM

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

- a. If "yes," please describe. [**Not answered**]
6. Does this investment provide the public with access to a government automated information system? **yes**
  - a. If "yes," does customer access require specific software (e.g., a specific web browser version)? **no**
    1. If "yes," provide the specific product name(s) and version number(s) of the required software and the date when the public will be able to access this investment by any software (i.e. to ensure equitable and timely access of government information and services). [**Not answered**]

Part III: For "Operation and Maintenance" investments ONLY (Steady State)  
Section A: Risk Management

1. Does the investment have a Risk Management Plan? **yes**
  - a. If "yes," what is the date of the plan? **Dec 21, 2006**
  - b. Has the Risk Management Plan been significantly changed since last year's submission to OMB? **Yes**
  - c. If "yes," describe any significant changes: **Formal Risk Management Plan developed and approved.**
2. If there currently is no plan, will a plan be developed? [**Not answered**]
  - a. If "yes," what is the planned completion date? [**Not answered**]
  - b. If "no," what is the strategy for managing the risks? [**Not answered**]

Section B: Cost and Schedule Performance

1. Was operational analysis conducted? **yes**
  - a. If "yes," provide the date the analysis was completed. **Jun 11, 2004**
  - b. If "yes," what were the results? **CMRS enabled NPRC to transition from an internally focused to a customer focused operation. As of 2004, this resulted in a savings of \$1.8 million annually and a potential for improvement of an additional \$3.2 million. Requests completed within 10 days improved from 44% to 57%, the backlog was reduced by 700 requests each week, and NPRC could process 3,900 requests daily up from 3,400 daily before CMRS. The CMRS technology allows the system to automatically refer all eligible cases to the correct records repository, and, as of 2004, more than 30% of the requests were received electronically via the web. Finally customer satisfaction has increased by 4.6%. Since 2004, results have continued to improve. As of July 2006, 91% of separation requests are completed within 10 days, 40% of requests are received electronically, and NPRC can now process more than 4,100 requests daily.**

- c. If "no," please explain why it was not conducted and if there are any plans to conduct operational analysis in the future: **[Not answered]**
- a. What costs are included in the reported Cost/Schedule Performance information (Government Only/Contractor Only/Both)? **Contractor Only**

<b>2. b Comparison of Plan vs. Actual Performance Table:</b>						
<b>Description of Milestone</b>	<b>Planned</b>		<b>Actual</b>		<b>Variance</b>	
	<b>Completion Date</b>	<b>Total Cost (\$M)</b>	<b>Completion Date</b>	<b>Total Cost (\$M)</b>	<b>Schedule/Cost (# days/\$M)</b>	
CMRS Phase I	Mar 31, 2003	6.1	Apr 30, 2003	2.4	30	4.5
CMRS Phase II	Dec 31, 2006	3.7	Jun 30, 2006	3.7	182	3.9
CMRS Operations and Maintenance	Sep 30, 2007	1.9	[Not answered]	[Not answered]	[Not answered]	[Not answered]
CMRS Operations and Maintenance	Sep 30, 2008	1.1	[Not answered]	[Not answered]	[Not answered]	[Not answered]
CMRS Operations and Maintenance	Sep 30, 2009	1.1	[Not answered]	[Not answered]	[Not answered]	[Not answered]
CMRS Operations and Maintenance	Sep 30, 2010	1.1	[Not answered]	[Not answered]	[Not answered]	[Not answered]
CMRS Operations and Maintenance	Sep 30, 2011	1.1	[Not answered]	[Not answered]	[Not answered]	[Not answered]
CMRS Operations and Maintenance	Sep 30, 2015	6.6	[Not answered]	[Not answered]	[Not answered]	[Not answered]