



DEPARTMENT OF THE TREASURY  
WASHINGTON, D.C. 20220

OFFICE OF  
INSPECTOR GENERAL

June 28, 2016

OIG-CA-16-027

MEMORANDUM FOR SANJEEV "SONNY" BHAGOWALIA,  
DEPUTY ASSISTANT SECRETARY FOR INFORMATION  
SYSTEMS AND CHIEF INFORMATION OFFICER

FROM: Kieu T. Rubb /s/  
Audit Director

SUBJECT: Termination Memorandum – Audit of the Enterprise Content  
Management System

In November 2010, we initiated an audit of the Enterprise Content Management (ECM) system. The objectives of our audit were to determine whether (1) the ECM project business case was based on appropriate and supportable assumptions and cost/benefit estimates, (2) sound project management principles were followed in carrying out the project, and (3) efforts were coordinated with the Department of the Treasury's (Treasury) planning for document management systems Treasury-wide.

We are terminating this audit because ECM management has taken certain actions to address our preliminary conclusions. Furthermore, the scope and direction of the ECM project changed significantly from that anticipated by our audit.

With regard to our preliminary conclusions, the ECM project business case was based on appropriate and supportable assumptions and efforts were coordinated for a Treasury-wide document management system. However, sound project management principles were not always followed as the ECM program office did not establish baseline measures for performance metrics or program costs savings. In response, ECM management stated that performance metrics continue to be refined as initiatives are completed, launched, and implemented. The ECM program office requested that bureaus establish baseline metrics for their processes and review inventories to identify program cost savings.

During the rollout of the ECM program, Treasury elected to delay the case management initiative until it gained the potential for broader use across Treasury. Further, in March 2011, Financial Crimes Enforcement Network (FinCEN) management told us that they have addressed their need for a case management

system through its Bank Secrecy Act Information Technology Modernization Project.

The objectives of the ECM project had evolved from being a request from FinCEN in 2006 for a new case management system, to a basic content services technology platform to support the following Treasury-wide initiatives in 2010:

- *Records Management* - to support electronic records management, retention, and disposition.
- *Correspondence Tracking* - for capturing, processing, and storing executive correspondence.
- *Freedom of Information Act (FOIA)/e-Discovery* - to exploit the capabilities of e-Discovery and search disparate yet common sources of data.
- *Evidence Management* - to consolidate sources of evidence into one repository.
- *Collaborative Space* - to jointly work on investigations through their life cycle.
- *Paper Reduction* - to reduce paper-based processes and establish records management practices, while adhering to retention schedules.
- *Case Management* - to manage unstructured data associated with cases.

Accordingly, we will reassess the ECM program as part our audit planning process.

We appreciate the courtesies and assistance provided by your staff. If you have any questions concerning this audit, please contact me at (202) 927-5904.

cc: Gyapong Amoako-Atta, Audit Liaison