

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

### I.A. Overview

**1. Date of Submission:**

9/11/2006

**2. Agency:**

Social Security Administration

**3. Bureau:**

Systems

**4. Name of this Capital Asset:**

DDS Automation

**5. Unique Project (Investment) Identifier: (For IT investment only, see section 53. For all other, use agency ID system.)**

016-00-01-02-01-2125-00

**6. What kind of investment will this be in FY2008? (Please NOTE: Investments moving to O&M ONLY in FY2008, with Planning/Acquisition activities prior to FY2008 should not select O&M. These investments should indicate their current status.)**

Mixed Life Cycle

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

FY2001 or earlier

**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:**

Social Security Administration's (SSA) Disability Determination Service offices use DDS Legacy Systems to process claims and make determinations. Instituting new regulations governing the electronic disability determination process, as proposed in the Disability Services Improvement (DSI) initiative, will transform the disability determination process significantly. In turn, the changes to the process will require modification of existing DDS legacy systems to support the electronic disability determination process. Through this effort the migration of the DDS Case Processing Legacy Systems to an IBM AS/400 Platform has been successfully completed. The IBM AS/400 provides the infrastructure for the next phase of the project, which is software development and installation. The DDS case processing systems are currently being upgraded with DSI software releases, on a region by region basis, to support the implementation of an integrated Electronic Disability Determination Process. Changes to the system will significantly reduce average disability determination processing time, increase decisional consistency and accuracy, and ensure that the right determination or decision is made as early in the process as possible. The DDS Automation project supports the strategic objective to "improve disability timeliness and accuracy" by implementing the necessary activities to have the software and infrastructure in place for electronic processing of disability claims. This is consistent with the President's Management Agenda for investments in Federal Agency IT initiatives and office operations to streamline, transform, and significantly improve Government operations. This initiative specifically supports the Agency's goal to deliver high quality "citizen centered" service to the American Public. This approach provides State DDSs with state of the art technology required to collect, decision, process, maintain, share, transmit, disseminate, store and retrieve claimant information in an efficient and effective electronic process.

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

Yes

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

7/13/2006

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

Yes

**11. Removed.**

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

No

**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?**

**2. If "yes," will this investment meet sustainable design principles?**

**3. If "yes," is it designed to be 30% more energy efficient than relevant code?**

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

Yes

**If "yes," check all that apply:**

Expanded E-Government

**13a. Briefly describe how this asset directly supports the identified initiative(s)?**

Consistent with the President's Management Agenda this project enhances the Agency's service delivery to the disabled public by ensuring that State DDSs have up-to-date IT systems required to track and manage workloads; initiate, track and manage evidence of record and consultations. The project maintains the electronic foundation on which SSA is building a completely electronic disability claims process that reduces paperwork significantly and supports the Government Paperwork Elimination Act.

**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.)**

Yes

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

Yes

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

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

Moderately Effective

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

Yes

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

For information technology investments only:

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

Level 2

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

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

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

No

**19. Is this a financial management system?**

No

**a. If "yes," does this investment address a FFIA compliance area?**

**1. If "yes," which compliance area:**

**2. If "no," what does it address?**

**b. If "yes," please identify the system name(s) and system acronym(s) as reported in the most recent financial systems inventory update required by Circular A-11 section 52**

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

Hardware

7.637

Software

45.982

Services

29.587

Other

16.794

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

N/A

**22. Removed.**

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

Yes

**I.B. Summary of Funding**

Provide the total estimated life-cycle cost for this investment by completing the following table. All amounts represent budget authority in millions, and are rounded to three decimal places. Federal personnel costs should be included only in the row designated "Government FTE Cost," and should be excluded from the amounts shown for "Planning," "Full Acquisition," and "Operation/Maintenance." The total estimated annual cost of the investment is the sum of costs for "Planning," "Full Acquisition," and "Operation/Maintenance." For Federal buildings and facilities, life-cycle costs should include long term energy, environmental, decommissioning, and/or restoration costs. The costs associated with the entire life-cycle of the investment should be included in this report.

**Table 1: SUMMARY OF SPENDING FOR PROJECT PHASES  
(REPORTED IN MILLIONS)**

(Estimates for BY+1 and beyond are for planning purposes only and do not represent budget decisions)

|   | PY - 1<br>and<br>Earlier | PY<br>2006 | CY<br>2007 | BY<br>2008 |
|---|--------------------------|------------|------------|------------|
| Planning Budgetary Resources                        | 0                        | 0          | 0          | 0          |
| Acquisition Budgetary Resources                     | 59.459                   | 17.035     | 14.999     | 14.999     |
| Subtotal Planning & Acquisition Budgetary Resources | 59.459                   | 17.035     | 14.999     | 14.999     |
| Operations & Maintenance Budgetary Resources        | 4.783                    | 5.678      | 6.428      | 6.428      |
| TOTAL Budgetary Resources                           | 64.242                   | 22.713     | 21.427     | 21.427     |
| Government FTE Costs Budgetary Resources            | 8.146                    | 1.514      | 1.876      | 4.442      |
| Number of FTE represented by Costs:                 | 91                       | 15         | 17         | 38         |

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

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

No

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

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

The Disability Determination Service offices are entities of a State government that is funded 100 % by the Federal government. The CIO has determined that DDS Automation requirements will be met through the ITS budget process. Cost estimates for FY2006-2011 are based on recent experience in DDS automation and estimates based on Agency automation plans that will affect DDSs, specifically a movement to paperless processing. SSA provides approximately \$1.4 billion per year to process disability cases. All DDSs rely heavily on their automated processing systems to meet their budgeted workload. It would be difficult to estimate the dollar impact on the DDSs if they were unable to maintain and enhance their DDS Legacy System, but it would be substantial.

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

**1. Complete the table for all (including all non-Federal) contracts and/or task orders currently in place or planned for this investment. Total Value should include all option years for each contract. Contracts and/or task orders completed do not need to be included.**

**Contracts/Task Orders Table:**

| 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? |
|-------------------------------|------------------------------|--------------------------------|--|------------------------------------|----------------------------------|-------------------------------------|-------------------------------------|--------------------------|------------------------|---|-------------------------|--|
| 0600-02-60072                 | Fixed Price                  | Yes                            | 9/22/2002  | 9/22/2002                          | 9/21/2006                        | 35575.265                           | No                                  | Yes                      | No                     | NA  | Yes                     | Yes  |
| 0600-02-60069                 | Fixed Price                  | Yes                            | 9/23/2002  | 9/23/2002                          | 9/22/2006                        | 9133.891                            | No                                  | Yes                      | No                     | NA  | Yes                     | Yes  |
| 0440-03-42000                 | Blanket Purchase Agreement   | Yes                            | 10/1/2002  | 10/1/2002                          | 9/30/2007                        | 29446.341                           | No                                  | No                       | Yes                    | NA  | No                      | Yes  |
| SS00-05-60011                 | Time & Materials             | Yes                            | 11/15/2004   | 11/15/2004                         | 9/29/2011                        | 525124.153                          | No                                  | Yes                      | Yes                    | NA  | No                      | Yes  |

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

SSA's earned value management (EVM) policy has been certified as consistent with OMB guidance and the ANSI standards defining a compliant EVM. The inclusion of earned value in SSA contracts is based on the type of contract let, the services performed, and the date when the contract was let. Earned value management requirements are applied to SSA contractors in two ways. The first is to require the contractor to satisfy requirements utilizing their own earned value management system (EVMS). The second is for the contractor to provide necessary data directly into SSA's in-house EVMS.

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

Yes

a. Explain why:

**4. Is there an acquisition plan which has been approved in accordance with agency requirements?**

Yes

a. If "yes," what is the date?

9/6/2006

b. If "no," will an acquisition plan be developed?

1. If "no," briefly explain why:

**I.D. Performance Information**

In order to successfully address this area of the exhibit 300, performance goals must be provided for the agency and be linked to the annual performance plan. The investment must discuss the agency's mission and strategic goals, and performance measures must be provided. These goals need to map to the gap in the agency's strategic goals and objectives this investment is designed to fill. They are the internal and external performance benefits this investment is expected to deliver to the agency (e.g., improve efficiency by 60 percent, increase citizen participation by 300 percent a year to achieve an overall citizen participation rate of 75 percent by FY 2xxx, etc.). The goals must be clearly measurable investment outcomes, and if applicable, investment outputs. They do not include the completion date of the module, milestones, or investment, or general goals, such as, significant, better, improved that do not have a quantitative or qualitative measure. Agencies must use Table 1 below for reporting performance goals and measures for all non-IT investments and for existing IT investments that were initiated prior to FY 2005. The table can be extended to include measures for years beyond FY 2006.

**Performance Information Table 1:**

| Fiscal Year | Strategic Goal(s) Supported  | Performance Measure   | Actual/baseline (from Previous Year) | Planned Performance Metric (Target)  | Performance Metric Results (Actual)   |
|-------------|--|---|--------------------------------------|--|---|
| 2003        | Service - to deliver high-quality citizen-centered service               | Reduce average processing time for initial disability claims.   | 2002 - 104 days                      | 2003 - 104 days  | 2003 - 97 days  |
| 2004        | To deliver high quality citizen centered service                         | Average processing time for initial disability claim  | 2003-97 days                         | 97 days  | 2004-95 days  |
| 2004        | To deliver high quality citizen centered service                         | Number of initial disability claims pending   | 2003-581,929                         | 582,000  | 624,658   |
| 2004        | To deliver high quality citizen centered service                         | DDS net accuracy rate (allowance and denials combined)  | 2003-96.1%                           | 97%  | 96.4%   |
| 2004        | To ensure superior stewardship of Social Security programs and resources | DDS Cases processed per workyear  | 2003-270                             | 272  | 273   |
| 2004        | To deliver high quality citizen-centered Service                         | Number of initial disability claims processed by DDS  | 2003- 2,526,020                      | 2,485,000  | 2,574,848   |
| 2004        | To ensure superior Stewardship of Social Security programs and resources | Increase agency productivity by 2% annually on average  | 2003-2.1%                            | 2%   | 2.2%  |
| 2004        | To deliver high quality citizen centered service                         | Percent of people who do business with SSA rating the overall service as "excellent", "very good" or "good" | 2003-84.9%                           | 83%  | 84%   |
| 2004        | To ensure superior Stewardship of Social Security programs and           | Get to "green" on three of five President's Management  | 2003-one "green"                     | 2004 - Achieve an overall rating of "green" on three of five PMA initiatives | 2004 - Achieved an overall rating of "green" on three of five PMA initiatives |

| <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>                            |
|--------------------|---|---|---|--|---|
|                    | resources   | Agenda (PMA) initiatives  |   |  |   |
| 2005               | To deliver high quality citizen-centered service  | Number of initial disability claims processed by DDS  | 2004-2,574,848  | 2005 - 2,677,000   | 2005 - 2,617,231  |
| 2005               | To deliver high quality citizen-centered service  | Average processing time for initial disability claims   | 2004-95 days  | 2005 - 93 days   | 2005 - 93 days  |
| 2005               | To ensure superior Stewardship of Social Security programs and resources  | Increase agency productivity by 2% annually on average  | 2004 - 2.2%   | 2%   | 2005 - 2.8%   |
| 2005               | To deliver high quality citizen-centered service  | Number of initial disability claims pending   | 2004-624,658  | 2005 - 592,000   | 2005 - 560,529  |
| 2005               | To deliver high quality citizen-centered service  | DDS net accuracy rate (allowance and denials combined)  | 2004-96.4%  | 2005 - 97%   | 2005 - 96%  |
| 2005               | To deliver high quality citizen-centered service  | Percent of people who do business with SSA rating the overall service as "excellent", "very good" or "good" | 2004-84%  | 2005 - 83%   | 2005 - 85%  |
| 2005               | To ensure superior Stewardship of Social Security programs and resources  | DDS Cases processed per workyear  | 2004-273  | 2005 - 278   | 2005 - 260  |
| 2005               | To ensure superior Stewardship of Social Security programs and resources  | Get to "green" on four of five PMA initiatives  | 2004 - Achieved an overall rating of "green" on three of five PMA initiatives | 2005 Achieve an overall rating of "green" on four of five PMA initiatives. | 2005 - Achieved a status of "green" on three of five PMA initiatives. |
| 2006               | To deliver high quality citizen-centered service: Make the right decision in the disability process as early as possible  | Maintain Number of initial disability claims processed by DDS   | 2005-2,617,231  | 2006 - 2,663,000   | 2006 - 2,532,264  |
| 2006               | To deliver high quality citizen-centered service: Make the right decision in the disability process as early as possible. | Maintain the number of initial disability claims pending in DDS (at or below FY 2007 goal)                  | 2005-560,529  | 2006 - 577,000   | 2006 - 555,071  |
| 2006               | To deliver high quality citizen-centered service: Make the right decision in the disability process as early as possible. | Average processing time for initial disability claims.  | 2005- 93 days   | 2006- 93 days  | 2006 - 88 days  |
| 2006               | To deliver high quality citizen-centered service: Make the right decision in the disability process as early as possible. | DDS net accuracy rate (allowance and denials combined).   | 2005-96%  | 2006 - 97%   | 2006 - 96% (Estimated)  |

| <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>                                |
|--------------------|--|--|--|--|---|
| 2006               | To deliver high quality citizen-centered service: Make the right decision in the disability process as early as possible.  | Agency decisional accuracy rate (ADA)  | 2005 - 97%   | 2006 - 97%   | 2006 - 97% (Estimated)  |
| 2006               | To deliver high-quality, citizen-centered service: Improve service through technology focusing on accuracy, security, and efficiency                             | Percent of individuals who do business with SSA rating the overall service as excellent, very good or good               | 2005 - 85%   | 2006 - 83%   | 2006 - 82%  |
| 2006               | To ensure superior stewardship of Social Security programs and resource: Detect and prevent fraudulent and improper payments and improve debt management         | Number of periodic continuing disability reviews (CDR) processed to determine continuing entitlement based on disability | 2005 - 1,515,477   | 2006 - 1,242,000   | 2006 - 1,337,638  |
| 2006               | To ensure superior stewardship of Social Security programs and resource: Manage Agency finances and assets to link resources effectively to performance outcomes | Continue to achieve 2%, on average, annual productivity improvements   | 2005 - 2.8%  | 2006 - 2%  | 2006 - 2.49% on average   |
| 2006               | To ensure superior stewardship of Social Security programs and resource: Manage Agency finances and assets to link resources effectively to performance outcomes | DDS case production per workyear   | 2005 - 260   | 2006 - 262   | 2006 - 241  |
| 2006               | To ensure superior stewardship of Social Security programs and resource: Manage Agency finances and assets to link resources effectively to performance outcomes | Get to green on four of five of the President's Management Agenda (PMA) initiatives status scores                        | 2005 - Achieved a status score of green on three of five PMA initiatives | 2006 - Achieve a status score of green on four of five PMA initiatives | 2006 - Achieved a status score of "green" on four of five PMA initiatives |
| 2007               | To deliver high quality citizen-centered service: Make the right   | Percent of initial disability claims receipts processed up to the budgeted   | 2006 - 2,532,264   | 2007 - 100% (2,530,000)  | TBD   |

| Fiscal Year | Strategic Goal(s) Supported  | Performance Measure  | Actual/baseline (from Previous Year) | Planned Performance Metric (Target) | Performance Metric Results (Actual) |
|-------------|--|--|--------------------------------------|-------------------------------------|-------------------------------------|
|             | decision in the disability process as early as possible  | level.   |                                      |                                     |                                     |
| 2007        | To deliver high quality citizen-centered service: Make the right decision in the disability process as early as possible.  | Maintain the number of initial disability claims pending in DDS (at/below FY 2007/2008 goal)                             | 2006 - 555,071                       | 2007 - 577,000                      | TBD                                 |
| 2007        | To deliver high quality citizen-centered service: Make the right decision in the disability process as early as possible   | Average processing time for initial disability claims.   | 2006 - 88 days                       | 2007 - 88 days                      | TBD                                 |
| 2007        | To deliver high quality citizen-centered service: Make the right decision in the disability process as early as possible   | DDS net accuracy rate (allowances and denials combined).   | 2006 - 96% (Estimated)               | 2007 - 97%                          | TBD                                 |
| 2007        | To deliver high quality citizen-centered service: Make the right decision in the disability process as early as possible   | Agency decisional accuracy rate (ADA)  | 2006 - 97% (Estimated)               | 2007 - 97%                          | TBD                                 |
| 2007        | To deliver high-quality, citizen-centered service: Improve service through technology focusing on accuracy, security, and efficiency                                       | Percent of individuals who do business with SSA rating the overall service as excellent, very good or good               | 2006 - 82%                           | 2007 - 83%                          | TBD                                 |
| 2007        | To protect the integrity of Social Security programs through superior Stewardship: Detect and prevent fraudulent and improper payments and improve debt management         | Number of periodic continuing disability reviews (CDR) processed to determine continuing entitlement based on disability | 2006 - 1,337,638                     | 2007 - 729,000                      | TBD                                 |
| 2007        | To protect the integrity of Social Security programs through superior Stewardship: Manage Agency finances and assets to link resources effectively to performance outcomes | Continue to achieve 2%, on average, annual productivity improvements   | 2006 - 2.49% on average              | 2007 - 2% on average                | TBD                                 |
| 2007        | To protect the integrity of Social   | DDS case production per  | 2006 - 241                           | 2007 - 252                          | TBD                                 |

| Fiscal Year | Strategic Goal(s) Supported  | Performance Measure  | Actual/baseline (from Previous Year)                                      | Planned Performance Metric (Target)                                    | Performance Metric Results (Actual) |
|-------------|--|--|---|--|-------------------------------------|
|             | Security programs through superior Stewardship   | workyear   |   |  |                                     |
| 2007        | To protect the integrity of Social Security programs through superior Stewardship: Manage Agency finances and assets to link resources effectively to performance outcomes | Get to green on five of five of the President's Management Agenda (PMA) initiatives status scores          | 2006 - Achieved a status score of "green" on four of five PMA initiatives | 2007 - Achieve a status score of green on five of five PMA initiatives | TBD                                 |
| 2008        | To deliver high quality citizen-centered service: Make the right decision in the disability process as early as possible   | Percent of initial disability claims receipts processed up to the budgeted level.                          | 2007 - TBD  | 2008 - 100% (2,462,000)  | TBD                                 |
| 2008        | To deliver high quality citizen-centered service: Make the right decision in the disability process as early as possible   | Maintain the number of initial disability claims pending in DDS (at/below FY 2007/2008 goal)               | 2007 - TBD  | 2008 - 627,000   | TBD                                 |
| 2008        | To deliver high quality citizen-centered service: Make the right decision in the disability process as early as possible   | Average processing time for initial disability claims  | 2007 - TBD  | 2008 - 90 days   | TBD                                 |
| 2008        | To deliver high quality citizen-centered service: Make the right decision in the disability process as early as possible   | DDS net accuracy rate (allowances and denials combined).   | 2007 - TBD  | 2008 - 97%   | TBD                                 |
| 2008        | To deliver high quality citizen-centered service: Make the right decision in the disability process as early as possible   | Agency decisional accuracy rate (ADA)  | 2007 - TBD  | 2008 - 97%   | TBD                                 |
| 2008        | To deliver high-quality, citizen-centered service: Improve service through technology focusing on accuracy, security, and efficiency                                       | Percent of individuals who do business with SSA rating the overall service as excellent, very good or good | 2007 - TBD  | 2008 - 83%   | TBD                                 |
| 2008        | To protect the integrity of Social Security programs through superior Stewardship: Detect and prevent  | Number of periodic continuing disability reviews (CDR) processed to  | 2007 - TBD  | 2008 - 1,118,000   | TBD                                 |



| Fiscal Year | Strategic Goal(s) Supported  | Performance Measure   | Actual/baseline (from Previous Year) | Planned Performance Metric (Target)                                     | Performance Metric Results (Actual) |
|-------------|--|---|--------------------------------------|---|-------------------------------------|
|             | fraudulent and improper payments and improve debt management   | determine continuing entitlement based on disability  |                                      |   |                                     |
| 2008        | To e protect the integrity of Social Security programs through superior Stewardship: Manage Agency finances and assets to link resources effectively to performance outcomes | Continue to achieve 2%, on average, annual productivity improvements                                | 2007 - TBD                           | 2008 -2% on average   | TBD                                 |
| 2008        | To protect the integrity of Social Security programs through superior Stewardship: Manage Agency finances and assets to link resources effectively to performance outcomes   | DDS case production per workyear  | 2007 - TBD                           | 2008 - 267  | TBD                                 |
| 2008        | To protect the integrity of Social Security programs through superior Stewardship: Manage Agency finances and assets to link resources effectively to performance outcomes   | Maintain green on five of five of the President's Management Agenda (PMA) initiatives status scores | 2007 - TBD                           | 2008 - Maintain a status score of green on five of five PMA initiatives | 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](http://www.egov.gov).

Performance Information Table 2:

| Fiscal Year | Measurement Area | Measurement Category | Measurement Grouping | Measurement Indicator | Baseline | Planned Improvement to the Baseline | Actual Results |
|-------------|------------------|----------------------|----------------------|-----------------------|----------|-------------------------------------|----------------|
|-------------|------------------|----------------------|----------------------|-----------------------|----------|-------------------------------------|----------------|

#### I.E. Security and Privacy

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

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

1. Have the IT security costs for the system(s) been identified and integrated into the overall costs of the investment:

Yes

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 |
|------------------------------|--|--------------------------|---------------------------------------|
| Electronic Disability System | Government Only                        | 1/29/2007                | 7/18/2006                             |

**4. Operational Systems - Security Table:**

| Name of System               | Agency/ or Contractor Operated System? | NIST FIPS 199 Risk Impact level | Has C&A been Completed, using NIST 800-37? | Date C&A Complete | What standards were used for the Security Controls tests? | Date Complete(d): Security Control Testing | Date the contingency plan tested |
|------------------------------|--|---------------------------------|--|-------------------|---|--|----------------------------------|
| Electronic Disability System | Government Only                        | Moderate                        | Yes  | 7/18/2006         | FIPS 200 / NIST 800-53                                    | 5/16/2006                                  | 1/13/2006                        |

5. Have any weaknesses related to any of the systems part of or supporting this investment been identified by the agency or IG?

No

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

6. Indicate whether an increase in IT security funding is requested to remediate IT security weaknesses?

No

a. If "yes," specify the amount, provide a general description of the weakness, and explain how the funding request will remediate the weakness.

7. How are contractor security procedures monitored, verified, validated by the agency for the contractor systems above?

THIS IS NOT A CONTRACTOR SYSTEM.

**8. Planning & Operational Systems - Privacy Table:**

| Name of System               | Is this a new system? | Is there a Privacy Impact Assessment (PIA) that covers this system? | Is the PIA available to the public? | Is a System of Records Notice (SORN) required for this system? | Was a new or amended SORN published in FY 06?  |
|------------------------------|-----------------------|---|-------------------------------------|--|--|
| Electronic Disability System | No                    | Yes.  | Yes.                                | Yes  | No, because the existing Privacy Act system of records was not substantially revised in FY 06. |

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

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

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

Yes

a. If "no," please explain why?

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

Yes

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

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b. If "no," please explain why?

**3. Service Reference Model (SRM) Table:**

**Identify the service components funded by this major IT investment (e.g., knowledge management, content management, customer relationship management, etc.). Provide this information in the format of the following table. For detailed guidance regarding components, please refer to <http://www.whitehouse.gov/omb/egov/>.**

| Agency Component Name | Agency Component Description  | Service Domain       | FEA SRM Service Type        | FEA SRM Component    | FEA Service Component Reused Name | FEA Service Component Reused UPI | Internal or External Reuse? | BY Funding Percentage |
|-----------------------|---|----------------------|-----------------------------|----------------------|-----------------------------------|----------------------------------|-----------------------------|-----------------------|
| Connect: Direct       | Connect: Direct automates the secure movement of large volumes of data between distributed applications within and between enterprises.   | Back Office Services | Data Management             | Data Exchange        | Data Exchange                     | 016-00-01-04-02-2132-00          | Internal                    | 0                     |
| DRMS                  | Data Resource Management System - It is a tool for designers, analysts, and programmers to use during the various phases of the Software Life Cycle. The DRMS is used to maintain data integrity. It supports programmers working with both CICS and Data Base Architecture applications. | Back Office Services | Data Management             | Meta Data Management | Meta Data Management              | 016-00-01-04-02-2132-00          | Internal                    | 0                     |
| eView                 | eView is an application that enables users involved in case processing to view and/or print the disability information contained in the Electronic Folder.  | Back Office Services | Development and Integration | Data Integration     | Data Integration                  | 016-00-01-02-02-2130-00          | Internal                    | 0                     |
| AIF                   | The AIF (Application Interface Facility) is a   | Back Office Services | Development and Integration | Legacy Integration   | Legacy Integration                | 016-00-01-04-02-2132-00          | Internal                    | 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 |
|-----------------------|--|------------------------------|-----------------------------|--------------------------|-----------------------------------|----------------------------------|-----------------------------|-----------------------|
|                       | common interface between SSA's application programs and various Database Management Systems such as IDMS and MADAM.  |                              |                             |                          |                                   |                                  |                             |                       |
| JWICS                 | Java Websphere Initiated CICS Servers (JWICS) is a set of Java Classes and resources files which allow remote procedure call communication between a Java Websphere Application Server Client and a CICS Cobol Server program. | Back Office Services         | Development and Integration | Legacy Integration       | Legacy Integration                | 016-00-01-04-02-2132-00          | Internal                    | 0                     |
| DMA                   | The Document Management Architecture (DMA) is the part of the Electronic Folder (EF) that provides the capability to hold images, documents, and forms that previously have been housed in paper folders.                      | Business Analytical Services | Visualization               | Imagery                  | Imagery                           | 016-00-02-00-01-2210-00          | Internal                    | 0                     |
| FECS                  | The Front-End Capture System (FECS) is the software used to provide the front-end capture capabilities needed to process unstructured data.  | Digital Asset Services       | Document Management         | Document Imaging and OCR | Document Imaging and OCR          | 016-00-02-00-01-2210-00          | Internal                    | 0                     |
| DMA                   | The Document Management Architecture (DMA) is the part of the Electronic Folder  | Digital Asset Services       | Document Management         | Document Revisions       | Document Revisions                | 016-00-02-00-01-2210-00          | Internal                    | 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 |
|-----------------------|---|------------------------|----------------------|-------------------|-----------------------------------|----------------------------------|-----------------------------|-----------------------|
|                       | (EF) that provides the capability to hold images, documents, and forms that previously have been housed in paper folders.   |                        |                      |                   |                                   |                                  |                             |                       |
| DMA                   | The Document Management Architecture (DMA) is the part of the Electronic Folder (EF) that provides the capability to hold images, documents, and forms that previously have been housed in paper folders.   | Digital Asset Services | Document Management  | Indexing          | Indexing                          | 016-00-02-00-01-2210-00          | Internal                    | 0                     |
| DMA                   | The Document Management Architecture (DMA) is the part of the Electronic Folder (EF) that provides the capability to hold images, documents, and forms that previously have been housed in paper folders.   | Digital Asset Services | Document Management  | Library / Storage | Library / Storage                 | 016-00-02-00-01-2210-00          | Internal                    | 0                     |
| DRMS                  | Data Resource Management System - It is a tool for designers, analysts, and programmers to use during the various phases of the Software Life Cycle. The DRMS is used to maintain data integrity. It supports programmers working with both CICS and Data Base Architecture applications. | Digital Asset Services | Knowledge Management | Categorization    | Categorization                    | 016-00-01-04-02-2132-00          | Internal                    | 0                     |
| eView                 | eView is an   | Digital                | Knowledge            | Information       | Information                       | 016-00-01-                       | Internal                    | 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 |
|----------------------------|---|-----------------------------|------------------------|-----------------------------------|-----------------------------------|----------------------------------|-----------------------------|-----------------------|
|                            | application that enables users involved in case processing to view and/or print the disability information contained in the Electronic Folder.  | Asset Services              | Management             | Retrieval                         | Retrieval                         | 02-02-2130-00                    |                             |                       |
| Electronic Records Express | Electronic Records Express is the method by which medical providers submit medical records electronically. Once electronically submitted, medical records become a part of the Electronic Folder. DDS examiners have the ability to view medical records online along with disability data collected by the Field Office. | Process Automation Services | Routing and Scheduling | Inbound Correspondence Management | Inbound Correspondence Management | 016-00-01-02-02-2130-00          | Internal                    | 0                     |
| CFRMS                      | The Claim File Records Management System (CFRMS) provides a consolidated view of the electronic claims file for the purpose of records and content management.  | Process Automation Services | Tracking and Workflow  | Case Management                   | Case Management                   | 016-00-01-02-02-2130-00          | Internal                    | 0                     |
| DMA                        | The Document Management Architecture (DMA) is the part of the Electronic Folder (EF) that provides the capability to hold images, documents, and forms that previously have been housed in paper folders.   | Support Services            | Collaboration          | Document Library                  | Document Library                  | 016-00-02-00-01-2210-00          | Internal                    | 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 |
|-----------------------|---|------------------|----------------------|-----------------------------------|-----------------------------------|----------------------------------|-----------------------------|-----------------------|
| MS Outlook            | MS Outlook is the SSA standard for email communication.   | Support Services | Collaboration        | Email                             | Email                             | 016-00-01-04-02-2132-00          | Internal                    | 0                     |
| DMA                   | The Document Management Architecture (DMA) is the part of the Electronic Folder (EF) that provides the capability to hold images, documents, and forms that previously have been housed in paper folders. | Support Services | Search               | Classification                    | Classification                    | 016-00-02-00-01-2210-00          | Internal                    | 0                     |
| S/MIME, Top Secret    | S/MIME is a public key encryption protocol for securely sending Multi-purpose Internet Mail Extension (MIME) attachments. TOP SECRET is the security software running on all of SSA's mainframe systems.  | Support Services | Security Management  | Access Control                    | Access Control                    | 016-00-02-00-01-2210-00          | Internal                    | 0                     |
| ATS                   | The purpose of the Audit Trail System (ATS) is to provide an effective tool to deter, detect, investigate and prosecute instances of fraud and abuse.   | Support Services | Security Management  | Audit Trail Capture and Analysis  | Audit Trail Capture and Analysis  | 016-00-01-02-02-2130-00          | Internal                    | 0                     |
| Top Secret            | TOP SECRET is the security software running on all of SSA's mainframe systems.  | Support Services | Security Management  | Identification and Authentication | Identification and Authentication | 016-00-02-00-01-2210-00          | Internal                    | 0                     |
| iESI                  | iESI is Internet/Intranet Enterprise Security Interface.  | Support Services | Security Management  | Identification and Authentication | Identification and Authentication | 016-00-02-00-01-2210-00          | Internal                    | 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.

#### 4. Technical Reference Model (TRM) Table:

To demonstrate how this major IT investment aligns with the FEA Technical Reference Model (TRM), please list the Service Areas, Categories, Standards, and Service Specifications supporting this IT investment.

| 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          | COBOL 3   |
| Inbound Correspondence Management | Component Framework  | Business Logic           | Platform Independent        | Enterprise Java Beans(EJB)                          |
| Inbound Correspondence Management | Component Framework  | Business Logic           | Platform Independent        | Java Servlet (JSR 53)                               |
| Legacy Integration                | Component Framework  | Business Logic           | Platform Independent        | Java Servlet (JSR 53)                               |
| Information Retrieval             | Component Framework  | Business Logic           | Platform Independent        | Java Servlet (JSR 53)                               |
| Data Exchange                     | Component Framework  | Data Interchange         | Data Exchange               | Resource Description Framework (RDF)                |
| Inbound Correspondence Management | Component Framework  | Data Interchange         | Data Exchange               | Web Services User Interface (WSUI)                  |
| Library / Storage                 | Component Framework  | Data Management          | Database Connectivity       | DB2 Connector                                       |
| Classification                    | Component Framework  | Data Management          | Database Connectivity       | DB2 Connector                                       |
| Indexing                          | Component Framework  | Data Management          | Database Connectivity       | DB2 Connector                                       |
| Meta Data Management              | Component Framework  | Data Management          | Database Connectivity       | DB2 Connector                                       |
| Categorization                    | Component Framework  | Data Management          | Database Connectivity       | DB2 Connector                                       |
| Classification                    | Component Framework  | Data Management          | Database Connectivity       | Java Database Connectivity (JDBC)                   |
| Indexing                          | Component Framework  | Data Management          | Database Connectivity       | Java Database Connectivity (JDBC)                   |
| Imagery                           | Component Framework  | Data Management          | Database Connectivity       | Java Database Connectivity (JDBC)                   |
| Document Revisions                | Component Framework  | Data Management          | Database Connectivity       | Java Database Connectivity (JDBC)                   |
| Library / Storage                 | Component Framework  | Data Management          | Database Connectivity       | Java Database Connectivity (JDBC)                   |
| Email                             | Component Framework  | Data Management          | Database Connectivity       | Object Linking and Embedding/Database (OLE/DB)      |
| Change Management                 | Component Framework  | Presentation / Interface | Dynamic Server-Side Display | Active Server Pages .Net (ASP.Net)                  |
| Case Management                   | Component Framework  | Presentation / Interface | Dynamic Server-Side Display | Active Server Pages .Net (ASP.Net)                  |



| <b>FEA SRM Component</b>          | <b>FEA TRM Service Area</b> | <b>FEA TRM Service Category</b> | <b>FEA TRM Service Standard</b> | <b>Service Specification (i.e. vendor or product name)</b> |
|-----------------------------------|-----------------------------|---------------------------------|---------------------------------|--|
| Inbound Correspondence Management | Component Framework         | Presentation / Interface        | Dynamic Server-Side Display     | Java Server Pages (JSP)                                    |
| Document Imaging and OCR          | Component Framework         | Security                        | Supporting Security Services    | Secure Multipurpose Internet Mail Extensions (S/MIME)      |
| Access Control                    | Component Framework         | Security                        | Supporting Security Services    | Secure Multipurpose Internet Mail Extensions (S/MIME)      |
| Meta Data Management              | Component Framework         | Security                        | Supporting Security Services    | TopSecret  |
| Categorization                    | Component Framework         | Security                        | Supporting Security Services    | TopSecret  |
| Access Control                    | Component Framework         | Security                        | Supporting Security Services    | TopSecret  |
| Identification and Authentication | Component Framework         | Security                        | Supporting Security Services    | TopSecret  |
| Document Imaging and OCR          | Component Framework         | Security                        | Supporting Security Services    | Transport Layer Security (TLS)                             |
| Legacy Integration                | Component Framework         | Security                        | Supporting Security Services    | Transport Layer Security (TLS)                             |
| Document Imaging and OCR          | Service Access and Delivery | Access Channels                 | Collaboration / Communications  | Electronic Mail (E-mail)                                   |
| Email                             | Service Access and Delivery | Access Channels                 | Collaboration / Communications  | Electronic Mail (E-mail)                                   |
| Document Imaging and OCR          | Service Access and Delivery | Access Channels                 | Collaboration / Communications  | Facsimile (Fax)  |
| Change Management                 | Service Access and Delivery | Access Channels                 | Other Electronic Channels       | System to System   |
| Case Management                   | Service Access and Delivery | Access Channels                 | Other Electronic Channels       | System to System   |
| Information Retrieval             | Service Access and Delivery | Access Channels                 | Other Electronic Channels       | System to System   |
| Imagery                           | Service Access and Delivery | Access Channels                 | Other Electronic Channels       | Web Service  |
| Change Management                 | Service Access and Delivery | Access Channels                 | Web Browser                     | Internet Explorer  |
| Document Revisions                | Service Access and Delivery | Access Channels                 | Web Browser                     | Internet Explorer  |
| Case Management                   | Service Access and Delivery | Access Channels                 | Web Browser                     | Internet Explorer  |
| Inbound Correspondence Management | Service Access and Delivery | Delivery Channels               | Internet                        |  |
| Access Control                    | Service Access and Delivery | Service Requirements            | Authentication / Single Sign-on |  |
| Classification                    | Service Access and Delivery | Service Requirements            | Hosting                         | Internal (within Agency)                                   |
| Imagery                           | Service Access and Delivery | Service Requirements            | Hosting                         | Internal (within Agency)                                   |
| Document Revisions                | Service Access and Delivery | Service Requirements            | Hosting                         | Internal (within Agency)                                   |
| Indexing                          | Service Access and Delivery | Service Requirements            | Hosting                         | Internal (within Agency)                                   |
| Library / Storage                 | Service Access and Delivery | Service Requirements            | Hosting                         | Internal (within Agency)                                   |
| Document Library                  | Service Access and Delivery | Service Requirements            | Hosting                         | Internal (within Agency)                                   |
| Document Imaging and OCR          | Service Access and Delivery | Service Requirements            | Hosting                         | Internal (within Agency)                                   |
| Information Retrieval             | Service Access and Delivery | Service Requirements            | Hosting                         | Internal (within Agency)                                   |
| Access Control                    | Service Access and Delivery | Service Requirements            | Legislative / Compliance        | Security   |

| <b>FEA SRM Component</b>          | <b>FEA TRM Service Area</b>         | <b>FEA TRM Service Category</b> | <b>FEA TRM Service Standard</b> | <b>Service Specification (i.e. vendor or product name)</b> |
|-----------------------------------|-------------------------------------|---------------------------------|---------------------------------|--|
| Identification and Authentication | Service Access and Delivery         | Service Requirements            | Legislative / Compliance        | Security   |
| Document Imaging and OCR          | Service Access and Delivery         | Service Transport               | Service Transport               | File Transfer Protocol (TCP)                               |
| Inbound Correspondence Management | Service Access and Delivery         | Service Transport               | Service Transport               | Internet Protocol (IP)                                     |
| Legacy Integration                | Service Access and Delivery         | Service Transport               | Service Transport               | Internet Protocol (IP)                                     |
| Information Retrieval             | Service Access and Delivery         | Service Transport               | Service Transport               | Internet Protocol (IP)                                     |
| Inbound Correspondence Management | Service Access and Delivery         | Service Transport               | Service Transport               | Transport Control Protocol (TCP)                           |
| Legacy Integration                | Service Access and Delivery         | Service Transport               | Service Transport               | Transport Control Protocol (TCP)                           |
| Information Retrieval             | Service Access and Delivery         | Service Transport               | Service Transport               | Transport Control Protocol (TCP)                           |
| Document Imaging and OCR          | Service Access and Delivery         | Service Transport               | Supporting Network Services     | Multipurpose Internet Mail Extensions (MIME)               |
| Document Imaging and OCR          | Service Access and Delivery         | Service Transport               | Supporting Network Services     | Simple Mail Transfer Protocol (SMTP)                       |
| Audit Trail Capture and Analysis  | Service Interface and Integration   | Integration                     | Middleware                      | CICS   |
| Access Control                    | Service Interface and Integration   | Integration                     | Middleware                      | CICS   |
| Identification and Authentication | Service Interface and Integration   | Integration                     | Middleware                      | CICS   |
| Inbound Correspondence Management | Service Interface and Integration   | Integration                     | Middleware                      | Message-Oriented Middleware (MOM): IBM Websphere MQ        |
| Data Exchange                     | Service Interface and Integration   | Interface                       | Service Description / Interface | Application Program Interface (API) / Protocol             |
| Inbound Correspondence Management | Service Interface and Integration   | Interface                       | Service Description / Interface | Web Services Description Language (WSDL)                   |
| Imagery                           | Service Platform and Infrastructure | Database / Storage              | Database                        | Content Manager  |
| Document Revisions                | Service Platform and Infrastructure | Database / Storage              | Database                        | Content Manager  |
| Library / Storage                 | Service Platform and Infrastructure | Database / Storage              | Database                        | Content Manager  |
| Classification                    | Service Platform and Infrastructure | Database / Storage              | Database                        | Database 2 (DB2)   |
| Indexing                          | Service Platform and Infrastructure | Database / Storage              | Database                        | Database 2 (DB2)   |
| Library / Storage                 | Service Platform and Infrastructure | Database / Storage              | Database                        | Database 2 (DB2)   |
| Meta Data Management              | Service Platform and Infrastructure | Database / Storage              | Database                        | Database 2 (DB2)   |
| Categorization                    | Service Platform and Infrastructure | Database / Storage              | Database                        | Database 2 (DB2)   |
| Data Exchange                     | Service Platform and Infrastructure | Delivery Servers                | Application Servers             |  |
| Change Management                 | Service Platform and Infrastructure | Delivery Servers                | Web Servers                     | Internet Information Server (IIS)                          |
| Case Management                   | Service Platform and Infrastructure | Delivery Servers                | Web Servers                     | Internet Information Server (IIS)                          |
| Classification                    | Service Platform and Infrastructure | Hardware / Infrastructure       | Peripherals                     | Direct Access Storage Device (DASD)                        |
| Indexing                          | Service Platform and Infrastructure | Hardware / Infrastructure       | Peripherals                     | Direct Access Storage Device (DASD)                        |

| FEA SRM Component                | FEA TRM Service Area                | FEA TRM Service Category  | FEA TRM Service Standard | Service Specification (i.e. vendor or product name) |
|----------------------------------|-------------------------------------|---------------------------|--------------------------|---|
| Imagery                          | Service Platform and Infrastructure | Hardware / Infrastructure | Peripherals              | Direct Access Storage Device (DASD)                 |
| Document Library                 | Service Platform and Infrastructure | Hardware / Infrastructure | Peripherals              | Direct Access Storage Device (DASD)                 |
| Audit Trail Capture and Analysis | Service Platform and Infrastructure | Hardware / Infrastructure | Peripherals              | Direct Access Storage Device (DASD)                 |
| Meta Data Management             | Service Platform and Infrastructure | Hardware / Infrastructure | Peripherals              | Direct Access Storage Device (DASD)                 |
| Categorization                   | Service Platform and Infrastructure | Hardware / Infrastructure | Peripherals              | Direct Access Storage Device (DASD)                 |
| Document Imaging and OCR         | Service Platform and Infrastructure | Hardware / Infrastructure | Peripherals              | Scanner   |
| Email                            | Service Platform and Infrastructure | Hardware / Infrastructure | Servers / Computers      | Enterprise Server                                   |
| Classification                   | Service Platform and Infrastructure | Hardware / Infrastructure | Servers / Computers      | Mainframe   |
| Indexing                         | Service Platform and Infrastructure | Hardware / Infrastructure | Servers / Computers      | Mainframe   |
| Library / Storage                | Service Platform and Infrastructure | Hardware / Infrastructure | Servers / Computers      | Mainframe   |
| Audit Trail Capture and Analysis | Service Platform and Infrastructure | Hardware / Infrastructure | Servers / Computers      | Mainframe   |
| Audit Trail Capture and Analysis | Service Platform and Infrastructure | Support Platforms         | Platform Dependent       | COBOL 3   |
| Change Management                | Service Platform and Infrastructure | Support Platforms         | Platform Dependent       | Windows .Net  |
| Case Management                  | Service Platform and Infrastructure | Support Platforms         | Platform Dependent       | Windows .Net  |
| Imagery                          | Service Platform and Infrastructure | Support Platforms         | Platform Independent     | Java 2 Platform Enterprise Edition (J2EE)           |
| Document Revisions               | Service Platform and Infrastructure | Support Platforms         | Platform Independent     | Java 2 Platform Enterprise Edition (J2EE)           |
| Legacy Integration               | Service Platform and Infrastructure | Support Platforms         | Platform Independent     | Java 2 Platform Enterprise Edition (J2EE)           |
| Information Retrieval            | Service Platform and Infrastructure | Support Platforms         | Platform Independent     | Java 2 Platform Enterprise Edition (J2EE)           |

Service Components identified in the previous question should be entered in this column. Please enter multiple rows for FEA SRM Components supported by multiple TRM Service Specifications  
In the Service Specification field, Agencies should provide information on the specified technical standard or vendor product mapped to the FEA TRM Service Standard, including model or version numbers, as appropriate.

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

No

a. If "yes," please describe.

6. Does this investment provide the public with access to a government automated information system?

No

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

1. If "yes," provide the specific product name(s) and version number(s) of the required software and the date when the public will be able to access this investment by any software (i.e. to ensure equitable and timely access of government information and services).

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

### II.A. Alternatives Analysis

Part II should be completed only for investments identified as "Planning" or "Full Acquisition," or "Mixed Life-Cycle" investments in response to Question 6 in Part I, Section A above.

In selecting the best capital asset, you should identify and consider at least three viable alternatives, in addition to the current baseline, i.e., the status quo. Use OMB Circular A- 94 for all investments, and the Clinger Cohen Act of 1996 for IT investments, to determine the criteria you should use in your Benefit/Cost Analysis.

**1. Did you conduct an alternatives analysis for this project?**

Yes

**a. If "yes," provide the date the analysis was completed?**

6/30/2006

**b. If "no," what is the anticipated date this analysis will be completed?**

**c. If no analysis is planned, please briefly explain why:**

Since the CIO directed that DDS Automation Projects be funded through the ITS budget process, no alternative approaches have been explored. What should be the verbiage here

**2. Removed.**

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

Status Quo - DSI Release with National Rollout was selected. This option provided the most technically feasible alternative. The web-based Electronic Disability software is currently in production. SSA's objectives are being realized using a phased in approach for delivering the DSI Software releases. This approach had the most manageable level of risks considering current objectives, Federal/State regulatory requirements and industry best practices. This initiative incorporates software enhancements that support the Disability Service Improvement (DSI) process and the Agency's goal of providing a fully integrated Electronic Disability Claims Process. The major automation efforts include ongoing hardware/software upgrades and enhancements to the DDS mid-range processors, IBM training, IBM technical support, ISeries 400 performance assessments, infrastructure upgrades (printers, software tools), vendor application support, and vendor contracts to facilitate application changes. Lastly, it will help SSA to better utilize IT infrastructure to achieve the mission goals, performance objectives, and support levels by streamlining processes and utilizing the Agency's Federal Enterprise Architecture (FEA). DDS Automation will be an on-going program to implement various components of the electronic claims process at varying intervals. With continued software/hardware enhancements DDS users will be able to collect information electronically about a person's disabling condition and transfer the data to an electronic folder. Disability forms will be signed electronically and stored in a secure electronic folder. Disability adjudicators will be able to request, respond and follow-up on customers medical evidence electronically. Determination information can be electronically routed from office to office, rather than faxed or mailed. Users can process transactions electronically to and from the FO. A Quick Disability Determination process will be implemented to ensure beneficiaries who are clearly disabled receive determinations within 20 calendar days or less of receiving claimant's application. Claims can be routed to different jurisdictions if customer has moved. Alert notices and messages can be sent immediately to any SSA office. Assistance requests can be created and routed to appropriate SSA areas.

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

DDS Automation will realize benefits in the following areas: (1) Paperless: Day-to-day operations and processes will be converted to an electronic process where employees can easily access claimant information, make determinations based on stored documents in an electronic folder and route decisions to proper SSA personnel. This equates to a better document management process and increases productivity when processing claims. (2) Goals and objectives: Several legislative acts will be incorporated into the Electronic Disability Determination System Process. The legislative acts that will be utilized are: a. Information Technology Management Reform Act (ITMRA/Clinger-Cohen Act). b. Government Performance and Results Act of 1993 (GPRA). c. Federal Acquisition Streamlining Act of 1994 (FASA), and d. Government Paperwork Elimination Act (GPEA). (3) Improvements: This initiative will show significant improvements in implementing the President's management initiative of expanding Electronic Government by streamlining government to government transactions. (4) Integrated infrastructure: The integrated Electronic Disability Determination Process will significantly reduce average disability determination processing time, increase decisional consistency and accuracy, and ensure that the right determination or decision is made as early in the process as possible.

**II.B. Risk Management**

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

**1. Does the investment have a Risk Management Plan?**

Yes

**a. If "yes," what is the date of the plan?**

8/30/2006

**b. Has the Risk Management Plan been significantly changed since last year's submission to OMB?**

No

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

**2. If there currently is no plan, will a plan be developed?**

**a. If "yes," what is the planned completion date?**

**b. If "no," what is the strategy for managing the risks?**

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

SSA's baselines are risk adjusted in terms of both life cycle schedule and resource estimates. Factors considered in determining baseline risk adjustments include: identification of known and types of unknown program and technology risks, the likelihood of occurrence, the impact in the event the risk occurs, and the mitigation strategy adopted to manage each risk. The intent of adopting this strategy is for the program to be able to absorb inevitable risk occurrences and still achieve end cost and schedule objectives. This practice (along with our risk management policies and procedures) has to date been a successful one at SSA. Small management reserves are held at the Deputy Commissioner level in the event required.

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

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

Yes

**2. Answer the following questions about current cumulative cost and schedule performance. The numbers reported below should reflect current actual information. (Per OMB requirements Cost/Schedule Performance information should include both Government and Contractor Costs):**

**a. What is the Planned Value (PV)?**

22.672000

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

22.375000

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

23.208000

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

Contractor and Government

**e. "As of" date:**

9/30/2006

**3. What is the calculated Schedule Performance Index (SPI = EV/PV)?**

0.990000

**4. What is the schedule variance (SV = EV-PV)?**

-0.296000

**5. What is the calculated Cost Performance Index (CPI = EV/AC)?**

0.960000

**6. What is the cost variance (CV=EV-AC)?**

-0.833000

**7. Is the CV% or SV% greater than +/- 10%? (CV% = CV/EV x 100; SV% = SV/PV x 100)**

No

**a. If "yes," was it the?**

**b. If "yes," explain the variance:**

**c. If "yes," what corrective actions are being taken?**

**8. Have any significant changes been made to the baseline during the past fiscal year?**

Yes

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

09/2006