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:
Digital Recording
5. Unique Project (Investment) Identifier: (For IT investment only, see section 53. For all other, use agency ID system.)
016-00-01-02-01-2065-00
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?
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:
This project has replaced unsupported and obsolete analog recording technology with digital recording technology in support of administrative hearings by Administrative Law Judges (ALJ) in SSA's Office of Disability Adjudication and Review (ODAR), formerly known as the Office of Hearings and Appeals (OHA). The investment, now fully implemented in all OHA Hearing Offices nationwide, addresses several agency performance goals. Improved quality of OHA hearings will facilitate SSA's detection of fraudulent claims. In addition, by replacing the obsolete equipment with a PC-based system, the project has led to improvements in employee computer skills and alignment of employees with the forward-looking electronic folder vision. The initiative creates a more modern and efficient work environment, and the increased use of technology also facilitates recruiting highly skilled and motivated employment candidates. Additionally, the project will decrease the number of remands due to lost and inaudible cassettes, improving customer service and reducing processing times for many of the citizens served by SSA's disability program.
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.
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?

    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:

Competitive Sourcing, Expanded E-Government, Eliminating Improper Payments, Human Capital, Financial Performance

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

Human Capital: Develops computer skills, making SSA a better place to work and attracting more tech-savvy employees. Financial Performance: Reduces lost and inaudible cassettes, which cost SSA millions in remands. Expand E-Government: Enables potential online download of information to the public. Competitive Sourcing: Contract procured via competitive sourcing. Eliminating Improper Payments: Better quality audio cassettes that are more easily managed facilitate fraud identification.

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?

See FY 05 DI PART (e-Dib reference) Q 3.4, 3.7; See FY 06 SSI PART (e-Dib reference) Q 2.1, 2.6, 3.4, 3.7

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 FFMIA 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
7.824000

Software
2.608000

Services
48.681000

Other
40.887000

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?

No

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 and Earlier	PY 2006	CY 2007	BY 2008
Planning Budgetary Resources	3.811	0	0	0
Acquisition Budgetary Resources	15.479	1.091	0	0
Subtotal Planning & Acquisition Budgetary Resources	19.29	1.091	0	0
Operations & Maintenance Budgetary Resources	0.674	0.727	1.598	1.543
TOTAL Budgetary Resources	19.964	1.818	1.598	1.543
Government FTE Costs Budgetary Resources	1.516	0.223	0.119	0.128
Number of FTE represented by Costs:	16	2	1	1

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:

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?
SS00-04-40027	FFP	Yes	8/27/2004	8/27/2004	8/27/2009	13967.395	No	No	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)
2005	Service - To deliver high-quality, citizen-centered service	Number of SSA hearings processed	(2004 - 497,379) (2003 - 493,923)	525,000	519,359

Fiscal Year	Strategic Goal(s) Supported	Performance Measure	Actual/baseline (from Previous Year)	Planned Performance Metric (Target)	Performance Metric Results (Actual)
2005	Service - To deliver high-quality, citizen-centered service	Average processing time for hearings	(2004 - 391 days) (2003 - 344 days)	442 days	415 days
2005	Service - To deliver high-quality, citizen-centered service	Average processing time for hearings appeals	(2004 - 251 days) (2003 - 294 days)	250 days	242 days
2005	Stewardship - To ensure superior stewardship of Social Security programs and resources	SSA hearings case production per workyear	(2004 - 100) (2003 - 103)	103	102
2005	Stewardship - To ensure superior stewardship of Social Security programs and resources	Continue to achieve 2%, on average, annual productivity improvements	(2004 - 2.2%) (2003 - 2.1%)	2%	2.8%
2006	Stewardship - To ensure superior stewardship of Social Security programs and resources	Continue to achieve 2%, on average, annual productivity improvements	2.8%	2%	2.49% on average
2006	Service - To deliver high-quality, citizen-centered service	Number of SSA hearings processed	519,359	560,000	558,978
2006	Service - To deliver high-quality, citizen-centered service	Average processing time for hearings	415 days	467 days	483 days
2006	Service - To deliver high-quality, citizen-centered service	Average processing time for hearings appeals	242 days	242 days	203 days
2006	Stewardship - To ensure superior stewardship of Social Security programs and resources	SSA hearings case production per workyear	102	104	100
2007	Service - To deliver high-quality, citizen-centered service	Number of SSA hearings processed	558,978	541,000	
2007	Service - To deliver high-quality, citizen-centered service	Average processing time for SSA hearings	483 days	524 days	
2007	Service - To deliver high-quality, citizen-centered service	Average processing time for hearings appeals	203 days	242 days	
2007	Stewardship - To protect the integrity of Social Security programs through superior Stewardship	Continue to achieve 2%, on average, annual productivity improvements	2006 - 2.49% on Average	2% on average	
2007	Stewardship - To	SSA hearings case	100	106	

Fiscal Year	Strategic Goal(s) Supported	Performance Measure	Actual/baseline (from Previous Year)	Planned Performance Metric (Target)	Performance Metric Results (Actual)
	protect the integrity of Social Security programs through superior Stewardship	production per workyear			
2008	Service - To deliver high-quality, citizen-centered service	Number of SSA hearings processed	TBD	548,000	
2008	Service - To deliver high-quality, citizen-centered service	Average processing time for SSA hearings	TBD	541 days	
2008	Service - To deliver high-quality, citizen-centered service	Average processing time for hearings appeals	TBD	290 days	
2008	Stewardship - To protect the integrity of Social Security programs through superior Stewardship	Continue to achieve 2%, on average, annual productivity improvements	TBD	2% on average	
2008	Stewardship - To protect the integrity of Social Security programs through superior Stewardship	SSA hearings case production per workyear	TBD	108	

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.

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	10/13/2006	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.

Digital Audio for ALJ Hearings

   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
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.	Back Office Services	Data Management	Loading and Archiving	Loading and Archiving	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	Content Management	Tagging and Aggregation	Tagging and Aggregation	016-00-02-00-01-2210-00	Internal	0
DCU	Document Conversion	Digital Asset	Document Management	Document Conversion	Document Conversion	016-00-01-04-02-	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
	Utility (DCU) is the software used for formatting a source document into an allowable SSA standard format for storage.	Services				2132-00		
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
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.	Digital Asset Services	Knowledge Management	Information Retrieval	Information Retrieval	016-00-01-02-02-2130-00	Internal	0
Digital Recording Application	This is the capability for digitally recording official proceedings for SSA records.	Digital Asset Services	Knowledge Management	Knowledge Capture	Knowledge Capture	016-00-01-02-02-2130-00	Internal	0
DMA	The Document Management Architecture (DMA) is the	Digital Asset Services	Records Management	Document Classification	Document Classification	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
	part of the Electronic Folder (EF) that provides the capability to hold images, documents, and forms that previously have been housed in paper folders.							
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
iESI	iESI is Internet/Intranet Enterprise Security Interface.	Support Services	Security Management	Access Control	Access Control	016-00-02-00-01-2210-00	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

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)
Library / Storage	Component Framework	Data Management	Database Connectivity	DB2 Connector
Document Classification	Component Framework	Data Management	Database Connectivity	DB2 Connector
Indexing	Component Framework	Data Management	Database Connectivity	DB2 Connector
Library / Storage	Component Framework	Data Management	Database Connectivity	Java Database Connectivity (JDBC)
Document Classification	Component Framework	Data Management	Database Connectivity	Java Database Connectivity (JDBC)
Indexing	Component Framework	Data Management	Database Connectivity	Java Database Connectivity (JDBC)
Tagging and Aggregation	Component Framework	Data Management	Database Connectivity	Java Database Connectivity (JDBC)
Access Control	Component Framework	Security	Supporting Security Services	Secure Multipurpose Internet Mail Extensions (S/MIME)
Access Control	Component Framework	Security	Supporting Security Services	TopSecret
Identification and Authentication	Component Framework	Security	Supporting Security Services	TopSecret
Information Retrieval	Service Access and Delivery	Access Channels	Other Electronic Channels	System to System
Loading and Archiving	Service Access and Delivery	Access Channels	Other Electronic Channels	Web Service
Tagging and Aggregation	Service Access and Delivery	Access Channels	Web Browser	Internet Explorer
Access Control	Service Access and Delivery	Service Requirements	Authentication / Single Sign-on	
Loading and Archiving	Service Access and Delivery	Service Requirements	Hosting	Internal (within Agency)
Tagging and Aggregation	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 Classification	Service Access and Delivery	Service Requirements	Hosting	Internal (within Agency)
Document Conversion	Service Access and Delivery	Service Requirements	Hosting	Internal (within Agency)
Knowledge Capture	Service Access and Delivery	Service Requirements	Hosting	Internal (within Agency)
Information Retrieval	Service Access and Delivery	Service Requirements	Hosting	Internal (within Agency)
Identification and Authentication	Service Access and Delivery	Service Requirements	Legislative / Compliance	Security
Loading and Archiving	Service Access and Delivery	Service Transport	Service Transport	Internet Protocol (IP)
Information Retrieval	Service Access and Delivery	Service Transport	Service Transport	Internet Protocol (IP)
Loading and Archiving	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)
Access Control	Service Interface and Integration	Integration	Middleware	CICS

FEA SRM Component	FEA TRM Service Area	FEA TRM Service Category	FEA TRM Service Standard	Service Specification (i.e. vendor or product name)
Identification and Authentication	Service Interface and Integration	Integration	Middleware	CICS
Tagging and Aggregation	Service Platform and Infrastructure	Database / Storage	Database	Content Manager
Library / Storage	Service Platform and Infrastructure	Database / Storage	Database	Content Manager
Document Classification	Service Platform and Infrastructure	Database / Storage	Database	Content Manager
Indexing	Service Platform and Infrastructure	Database / Storage	Database	Database 2 (DB2)
Library / Storage	Service Platform and Infrastructure	Database / Storage	Database	Database 2 (DB2)
Document Classification	Service Platform and Infrastructure	Database / Storage	Database	Database 2 (DB2)
Document Conversion	Service Platform and Infrastructure	Delivery Servers	Application Servers	
Knowledge Capture	Service Platform and Infrastructure	Delivery Servers	Application Servers	
Document Conversion	Service Platform and Infrastructure	Hardware / Infrastructure	Embedded Technology Devices	Hard Disk Drive
Knowledge Capture	Service Platform and Infrastructure	Hardware / Infrastructure	Embedded Technology Devices	Internal (within Agency)
Loading and Archiving	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)
Library / Storage	Service Platform and Infrastructure	Hardware / Infrastructure	Peripherals	Direct Access Storage Device (DASD)
Document Classification	Service Platform and Infrastructure	Hardware / Infrastructure	Peripherals	Direct Access Storage Device (DASD)
Tagging and Aggregation	Service Platform and Infrastructure	Hardware / Infrastructure	Peripherals	Direct Access Storage Device (DASD)
Identification and Authentication	Service Platform and Infrastructure	Hardware / Infrastructure	Peripherals	Direct Access Storage Device (DASD)
Indexing	Service Platform and Infrastructure	Hardware / Infrastructure	Servers / Computers	Mainframe
Library / Storage	Service Platform and Infrastructure	Hardware / Infrastructure	Servers / Computers	Mainframe
Access Control	Service Platform and Infrastructure	Hardware / Infrastructure	Servers / Computers	Mainframe
Identification and Authentication	Service Platform and Infrastructure	Hardware / Infrastructure	Servers / Computers	Mainframe
Tagging and Aggregation	Service Platform and Infrastructure	Support Platforms	Platform Independent	Java 2 Platform Enterprise Edition (J2EE)
Document Classification	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:
2. Removed
3. Which alternative was selected by the Agency's Executive/Investment Committee and why was it chosen?
The alternative that was chosen involved the replacement of the current analog system with PC-based digital recording system, but store recorded hearings online, as opposed to CD. The CCL is phased out, remands due to both lost and inaudible cassettes are reduced, all recordings will fit onto a single CD, and a fully electronic folder with no tangible media is enabled. The alternative gains the benefits of superior sound quality, which reduces remands, and also makes the recordings easier to play back, since they can be reviewed on any PC with a CD-ROM drive, while the cassettes require a special cassette player for review. However, it requires CDs and cassettes to be maintained in a dual environment, which does not eliminate many of the processing time delays, and still results in the separation of the recording from the folder, which is the primary cause of remands. Alternative 2 decreases the number of remands due to lost folders, but increases storage costs, and still requires the recording to be available in tangible, hard copy media, and does not eliminate time delays for people waiting to receive the CD to review the hearing. Alternative 3 eliminates both remands and processing time delays, and is consistent with the SSA eDib vision. For the claim folder to be entirely electronic, Alternative 3 must be selected. For this reason, and for the reason that this alternative produced the highest return on investment, Alternative 3 was chosen as the desired end-state.

4. What specific qualitative benefits will be realized?
Improved Sound Quality - leads to less frustration among internal and external parties reviewing the hearings Improved Customer Service - reduction of avoidable remands that cause long case processing delays helps SSA better serve its customers, decreasing average processing time and also making better copies of hearing recordings more easily available to the public Increased Decisional Consistency and Accuracy - better quality recordings for review will lead to more accurate and consistent agency decisions Integrating Technology into the Workplace - the initiative gives SSA employees technology that makes their jobs easier and reduces time spent looking for, and through, the recordings for the information they need Improved Internal Sharing of Information - since multiple agency employees can access the hearing recording simultaneously, there is no longer a need to rush review of an audio recording Ease of Use - once the new system is learned, it makes recordings easier to access and navigate for SSA personnel

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?
1/1/2006

   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)?
1.575000
   b. What is the Earned Value (EV)?
1.575000
   c. What is the actual cost of work performed (AC)?
1.585000
   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)?
1.000000
4. What is the schedule variance (SV = EV-PV)?
0
5. What is the calculated Cost Performance Index (CPI = EV/AC)?
0.990000
6. What is the cost variance (CV=EV-AC)?
-0.010000
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?
No