

**Exhibit 300: Capital Asset Plan and Business Case Summary**

**Part I: Summary Information And Justification (All Capital Assets)Section A: Overview (All Capital Assets)**

**1. Date of Submission:**

9/10/2007

**2. Agency:**

Social Security Administration

**3. Bureau:**

Systems

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

IDib (Intelligent Disability)

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

016-00-01-02-01-2140-00

**6. What kind of investment will this be in FY2009? (Please NOTE: Investments moving to O&M in FY2009, with Planning/Acquisition activities prior to FY2009 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?**

FY2009

**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 investment directly supports the Commissioner's goal of reducing SSA's disability claims backlog, and takes into account the broader need to process initial disability claims. SSA receives more than 2.5M initial disability claims a year. The enormous eligibility requirements and medical documentation that support the claimant's allegations making this a complex, time-consuming process. An efficient, streamlined system is needed to quickly process workloads to meet the needs of the disabled public. In his May 2007 testimony to Congress, Comm. Astrue indicated 4 areas with the most promise for reducing backlogs and preventing them from recurring: 1. Compassionate allowances 2. Improve hearing procedures 3. Increase adjudicatory capacity 4. Increase efficiencies with automation and business process. IDib will directly support #1 and #4 and provide indirect support to #2 by focusing on developing and maintaining systems in line with 3 main IT efforts:

1) Reduce Hearing Office Backlogs- IDib efforts: Provide case processing and management system for the Office of Disability Adjudication and Review to support business process & develop an interface to the electronic folder; ODAR Case Preparation Initiative; Appeals Council Case Processing System (ARPS); ERE Enhancements- Assistance For Reducing Hearing Office Backlogs

2) Complete Electronic Disability Case Processing- IDib efforts: Expand Internet to provide capability for more types of claimants to complete disability reports via Internet- Improve Electronic Disability Collection System Functionality

3) Support & Enhance Efficiencies of Disability Claims Process- IDib efforts: Enhance automated systems that capture data collected during the disability interview to support all types of claims- Improve Document Management Architecture Functionality

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

Yes

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

7/23/2007

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

Yes

**11. Removed**

**a. What is the current FAC-P/PM certification level of the project/program manager?**

TBD

**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 directly support one of the PMA initiatives?**

Yes

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

Eliminating Improper Payments

**a. Briefly and specifically describe for each selected how this asset directly supports the identified initiative(s)? (e.g. If E-Gov is selected, is it an approved shared service provider or the managing partner?)**

E-Government: Supports SSA's E-Folder, an application that holds all claimants' folder documentation and is accessible by all case processing components. Enables convenient sharing of data between federal and state governments and reduces the expense of doing business with the government.

Eliminating Improper Payments: IDib is an initiative designed to move the Agency toward an electronic disability process with error-reducing electronic validations designed to eliminate improper payments.

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

Yes

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

Yes

**b. If "yes," what is the name of the PARTed program?**

Disability Insurance and Supplemental Security Income

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

Moderately Effective

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

Yes

**If the answer to Question 15 is "Yes," complete questions 16-23 below. If the answer is "No," do not answer questions 16-23.**

For information technology investments only:

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

Level 3

**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 or any project(s) within this investment identified as "high risk" on the Q4 - FY 2007 agency high risk report (per OMB Memorandum M-05-23)**

Yes

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

No

**a. If "yes," does this investment address a FFMI A 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 FY2009 funding request for the following? (This should total 100%)

**Hardware**

0.938000

**Software**

0.734000

**Services**

39.980000

**Other**

58.348000

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

Question 24 must be answered by all Investments:

24. Does this investment directly support one of the GAO High Risk Areas?

Yes

## Section B: Summary of Spending (All Capital Assets)

1. 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)

	PY-1 and earlier	PY 2007	CY 2008	BY 2009
Planning:	0	0	0	0
Acquisition:	0	19.918	10.943	23.696
Subtotal Planning & Acquisition:	0	19.918	10.943	23.696
Operations & Maintenance:	0	1.048	0.576	1.247
TOTAL:	0	20.966	11.519	24.943
Government FTE Costs	0	4.428	34.039	33.179
Number of FTE represented by Costs:	0	38	293	272

Note: For the multi-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 FY2008 President's budget request, briefly explain those changes:

N/A as IDib is a new investment

## Section C: Acquisition/Contract Strategy (All Capital Assets)

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 (Y/N)	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 (\$M)	Is this an Interagency Acquisition? (Y/N)	Is it performance based? (Y/N)	Competitively awarded? (Y/N)	What, if any, alternative financing option is being used? (ESPC, UESC, EUL, N/A)	Is EVM in the contract? (Y/N)	Does the contract include the required security & privacy clauses? (Y/N)
0440-03-42036	Fixed Price Blanket Purchase Agreement (BPA) / Task Order	Yes	9/4/2003	9/4/2003	9/3/2008	2.55	No	No	Yes	NA	No	Yes
0440-03-4225A	Firm Fixed Price	Yes	6/13/2003	7/1/2003	6/30/2008	1.605	No	No	No	NA	No	Yes
SS00-04-40036	Fixed Price Blanket Purchase Agreement (BPA) / Task Order	Yes	9/14/2004	9/14/2004	9/13/2008	0.05	No	Yes	Yes	NA	No	Yes
LM - SS00-05-60011 Task Order 3-110	Indefinite Delivery/Indefinite Quantity (ID/IQ) Time & Materials (T&M) Task Order	Yes	9/30/2006	9/30/2006	9/29/2007	0.128	No	Yes	Yes	NA	No	Yes
LM - SS00-05-60011 Task Order 3-210	Indefinite Delivery/Indefinite Quantity (ID/IQ) Time & Materials (T&M) Task Order	Yes	9/30/2006	9/30/2006	9/29/2007	0.008	No	Yes	Yes	NA	No	Yes

Exhibit 300: IDib (Intelligent Disability) (Revision 0)

Contract or Task Order Number	Type of Contract/ Task Order	Has the contract been awarded (Y/N)	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 (\$M)	Is this an Interagency Acquisition ? (Y/N)	Is it performance based? (Y/N)	Competitively awarded? (Y/N)	What, if any, alternative financing option is being used? (ESPC, UESC, EUL, N/A)	Is EVM in the contract? (Y/N)	Does the contract include the required security & privacy clauses? (Y/N)
LM - SS00-05-60011 Task Order 3-223	Indefinite Delivery/Indefinite Quantity (ID/IQ) Time & Materials (T&M) Task Order	Yes	9/30/2006	9/30/2006	9/29/2007	0.393	No	Yes	Yes	NA	No	Yes
LM - SS00-05-60011 Task Order 3-224	Indefinite Delivery/Indefinite Quantity (ID/IQ) Time & Materials (T&M) Task Order	Yes	9/30/2006	9/30/2006	9/29/2007	0.184	No	Yes	Yes	NA	No	Yes
LM - SS00-05-60011 Task Order 3-232	Indefinite Delivery/Indefinite Quantity (ID/IQ) Time & Materials (T&M) Task Order	Yes	9/30/2006	9/30/2006	9/29/2007	0.067	No	Yes	Yes	NA	No	Yes
LM - SS00-05-60011 Task Order 3-240	Indefinite Delivery/Indefinite Quantity (ID/IQ) Time & Materials (T&M) Task Order	Yes	9/30/2006	9/30/2006	9/29/2007	0.116	No	Yes	Yes	NA	No	Yes
LM - SS00-05-60011 Task Order 3-250	Indefinite Delivery/Indefinite Quantity (ID/IQ) Time & Materials (T&M) Task Order	Yes	9/30/2006	9/30/2006	9/29/2007	0.022	No	Yes	Yes	NA	No	Yes
LM - SS00-05-60011 Task Order 3-260	Indefinite Delivery/Indefinite Quantity (ID/IQ) Time & Materials (T&M) Task Order	Yes	9/30/2006	9/30/2006	9/29/2007	0.028	No	Yes	Yes	NA	No	Yes

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LM - SS00-05-60011 Task Order 3-310	Indefinite Delivery/Indefinite Quantity (ID/IQ) Time & Materials (T&M) Task Order	Yes	9/30/2006	9/30/2006	9/29/2007	0.009	No	Yes	Yes	NA	No	Yes
LM - SS00-05-60011 Task Order 3-401	Indefinite Delivery/Indefinite Quantity (ID/IQ) Time & Materials (T&M) Task Order	Yes	9/30/2006	9/30/2006	9/29/2007	0.061	No	Yes	Yes	NA	No	Yes
LM - SS00-05-60011 Task Order 3-413	Indefinite Delivery/Indefinite Quantity (ID/IQ) Time & Materials (T&M) Task Order	Yes	9/30/2006	9/30/2006	9/29/2007	0.459	No	Yes	Yes	NA	No	Yes
LM - SS00-05-60011 Task Order 3-414	Indefinite Delivery/Indefinite Quantity (ID/IQ) Time & Materials (T&M) Task Order	Yes	9/30/2006	9/30/2006	9/29/2007	0.162	No	Yes	Yes	NA	No	Yes
LM - SS00-05-60011 Task Order 3-431	Indefinite Delivery/Indefinite Quantity (ID/IQ) Time & Materials (T&M) Task Order	Yes	9/30/2006	9/30/2006	9/29/2007	0.387	No	Yes	Yes	NA	No	Yes
LM - SS00-05-60011 Task Order 3-432	Indefinite Delivery/Indefinite Quantity (ID/IQ) Time & Materials (T&M) Task Order	Yes	9/30/2006	9/30/2006	9/29/2007	0.014	No	Yes	Yes	NA	No	Yes

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LM - SS00-05-60011 Task Order 3-511	Indefinite Delivery/Indefinite Quantity (ID/IQ) Time & Materials (T&M) Task Order	Yes	9/30/2006	9/30/2006	9/29/2007	0.082	No	Yes	Yes	NA	No	Yes
LM - SS00-05-60011 Task Order 3-522	Indefinite Delivery/Indefinite Quantity (ID/IQ) Time & Materials (T&M) Task Order	Yes	9/30/2006	9/30/2006	9/29/2007	0.095	No	Yes	Yes	NA	No	Yes
LM - SS00-05-60011 Task Order 3-530	Indefinite Delivery/Indefinite Quantity (ID/IQ) Time & Materials (T&M) Task Order	Yes	9/30/2006	9/30/2006	9/29/2007	0.013	No	Yes	Yes	NA	No	Yes
LM - SS00-05-60011 Task Order 3-620	Indefinite Delivery/Indefinite Quantity (ID/IQ) Time & Materials (T&M) Task Order	Yes	9/30/2006	9/30/2006	9/29/2007	0.201	No	Yes	Yes	NA	No	Yes
LM - SS00-05-60011 Task Order 3-630	Indefinite Delivery/Indefinite Quantity (ID/IQ) Time & Materials (T&M) Task Order	Yes	9/30/2006	9/30/2006	9/29/2007	0.083	No	Yes	Yes	NA	No	Yes
LM - SS00-05-60011 Task Order 3-640	Indefinite Delivery/Indefinite Quantity (ID/IQ) Time & Materials (T&M) Task Order	Yes	9/30/2006	9/30/2006	9/29/2007	0.107	No	Yes	Yes	NA	No	Yes

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LM - SS00-05-60011 Task Order 3-720	Indefinite Delivery/Indefinite Quantity (ID/IQ) Time & Materials (T&M) Task Order	Yes	9/30/2006	9/30/2006	9/29/2007	0.185	No	Yes	Yes	NA	No	Yes
LM - SS00-05-60011 Task Order 3-820	Indefinite Delivery/Indefinite Quantity (ID/IQ) Time & Materials (T&M) Task Order	Yes	9/30/2006	9/30/2006	9/29/2007	0.091	No	Yes	Yes	NA	No	Yes
LM - SS00-05-60011 Task Order 3-822	Indefinite Delivery/Indefinite Quantity (ID/IQ) Time & Materials (T&M) Task Order	Yes	9/30/2006	9/30/2006	9/29/2007	0.282	No	Yes	Yes	NA	No	Yes
LM - SS00-05-60011 Task Order 3-860	Indefinite Delivery/Indefinite Quantity (ID/IQ) Time & Materials (T&M) Task Order	Yes	9/30/2006	9/30/2006	9/29/2007	0.413	No	Yes	Yes	NA	No	Yes
LM - SS00-05-60011 Task Order 3-861	Indefinite Delivery/Indefinite Quantity (ID/IQ) Time & Materials (T&M) Task Order	Yes	9/30/2006	9/30/2006	9/29/2007	0.484	No	Yes	Yes	NA	No	Yes
LM - SS00-05-60011 Task Order 3-880	Indefinite Delivery/Indefinite Quantity (ID/IQ) Time & Materials (T&M) Task Order	Yes	9/30/2006	9/30/2006	9/29/2007	0.449	No	Yes	Yes	NA	No	Yes



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LM - SS00-05-60011 Task Order 3-881	Indefinite Delivery/Indefinite Quantity (ID/IQ) Time & Materials (T&M) Task Order	Yes	9/30/2006	9/30/2006	9/29/2007	0.562	No	Yes	Yes	NA	No	Yes
LM - SS00-05-60011 Task Order 3-882	Indefinite Delivery/Indefinite Quantity (ID/IQ) Time & Materials (T&M) Task Order	Yes	9/30/2006	9/30/2006	9/29/2007	0.281	No	Yes	Yes	NA	No	Yes
LM - SS00-05-60011 Task Order 3-890	Indefinite Delivery/Indefinite Quantity (ID/IQ) Time & Materials (T&M) Task Order	Yes	9/30/2006	9/30/2006	9/29/2007	0.289	No	Yes	Yes	NA	No	Yes
LM - SS00-05-60011 Task Order 3-891	Indefinite Delivery/Indefinite Quantity (ID/IQ) Time & Materials (T&M) Task Order	Yes	9/30/2006	9/30/2006	9/29/2007	0.43	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 and implementation has been reviewed by OMB, OIG and others and deemed consistent with OMB guidance and the ANSI standards defining a compliant EVM. SSA performs the vast majority of our work in-house, and conducts EVM and program management at the total program level including both Government costs and support contracts. 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. When applicable, 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.

An example of the second case is the Lockheed Martin AWSSC Task Order contract where LM provides SSA with IT labor support. SSA realizes efficiency advantages by mandating LM utilize SSA's EVMS, including better tracking of program level project costs.

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

Yes

**a. Explain why:**

SSA ensures that any applicable IT requirements comply with Section 508 standards. The SSA includes Section 508 contract clauses and evaluation criteria in its solicitations and contracts as appropriate and ensures during the review of technical proposals that offerors are fully compliant or as compliant as possible based on the state of the technology in the marketplace. This is accomplished through review of technical documentation as well as through actual testing of the product.

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

Yes

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

9/7/2007

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

**1. If "no," briefly explain why:**

## Section D: Performance Information (All Capital Assets)

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 (indicators) 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 the following table to report performance goals and measures for the major investment and use the Federal Enterprise Architecture (FEA) Performance Reference Model (PRM). 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 each of the four different Measurement Areas (for each fiscal year). The PRM is available at [www.egov.gov](http://www.egov.gov). The table can be extended to include performance measures for years beyond FY 2009.

### Performance Information Table

Fiscal Year	Strategic Goal(s) Supported	Measurement Area	Measurement Category	Measurement Grouping	Measurement Indicator	Baseline	Target	Actual Results
2009	Service - To deliver high-quality, citizen-centered service	Customer Results	Timeliness and Responsiveness	Delivery Time	Minimize average processing time for initial disability claims to provide timely decisions	107 days	103 days	TBD
2009	Service - To deliver high-quality, citizen-centered service	Customer Results	Timeliness and Responsiveness	Delivery Time	Achieve target percentage of hearing level cases pending over 365 days	FY 2008 target 56%	50%	TBD
2009	Service - To deliver high-quality, citizen-centered service	Mission and Business Results	Controls and Oversight	Program Monitoring	Disability Determination Services net accuracy rate allowances and denials combined for combined Initial disability.	FY 2008 target 97%	97%	TBD
2009	Service - To deliver high-quality, citizen-	Processes and Activities	Cycle Time and Resource Time	Cycle Time	Decrease the number of pending	FY 2008 target 28%	27%	TBD

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Fiscal Year	Strategic Goal(s) Supported	Measurement Area	Measurement Category	Measurement Grouping	Measurement Indicator	Baseline	Target	Actual Results
	centered service				requests for review (appeals of hearing decisions) over 365 days by 1 percent annually			
2009	Service - To deliver high-quality, citizen-centered service	Processes and Activities	Productivity and Efficiency	Efficiency	Maintain the number of SSA hearings pending (at/below FY 2008 goal)	FY 2008 target 752,000	683,000	TBD
2009	Stewardship - To ensure superior stewardship of Social Security programs and resource	Technology	Reliability and Availability	Availability	Availability of core applications	Ensure core applications (DMA) are available at least 99% of the time during the business day.	Ensure core applications (DMA) are available at least 99% of the time during the business day.	TBD

## Section E: Security and Privacy (IT Capital Assets only)

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).

For existing Mixed-Life Cycle investments where enhancement, development, and/or modernization is planned, include the investment in both the "Systems in Planning" table (Table 3) and the "Operational Systems" table (Table 4). Systems which are already operational, but have enhancement, development, and/or modernization activity, should be included in both Table 3 and Table 4. Table 3 should reflect the planned date for the system changes to be complete and operational, and the planned date for the associated C&A update. Table 4 should reflect the current status of the requirements listed. In this context, information contained within Table 3 should characterize what updates to testing and documentation will occur before implementing the enhancements; and Table 4 should characterize the current state of the materials associated with the existing system.

All systems listed in the two security tables should be identified in the privacy table. The list of systems in the "Name of System" column of the privacy table (Table 8) should match the systems listed in columns titled "Name of System" in the security tables (Tables 3 and 4). For the Privacy table, it is possible that there may not be a one-to-one ratio between the list of systems and the related privacy documents. For example, one PIA could cover multiple systems. If this is the case, a working link to the PIA may be listed in column (d) of the privacy table more than once (for each system covered by the PIA).

The questions asking whether there is a PIA which covers the system and whether a SORN is required for the system are discrete from the narrative fields. The narrative column provides an opportunity for free text explanation why a working link is not provided. For example, a SORN may be required for the system, but the system is not yet operational. In this circumstance, answer "yes" for column (e) and in the narrative in column (f), explain that because the system is not operational the SORN is not yet required to be published.

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

**a. If "yes," provide the "Percentage IT Security" for the budget year:**

removed

**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 and Undergoing Enhancement(s), Development, and/or Modernization - Security Table(s):**

Name of System	Agency/ or Contractor Operated System?	Planned Operational Date	Date of Planned C&A update (for existing mixed life cycle systems) or Planned Completion Date (for new systems)
Electronic Disability System	Government Only	1/31/2008	1/31/2008

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

Name of System	Agency/ or Contractor Operated System?	NIST FIPS 199 Risk Impact level (High, Moderate, Low)	Has C&A been Completed, using NIST 800-37? (Y/N)	Date Completed: C&A	What standards were used for the Security Controls tests? (FIPS 200/NIST 800-53, Other, N/A)	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	6/25/2007	1/17/2007

5. Have any weaknesses, not yet remediated, related to any of the systems part of or supporting this investment been identified by the agency or IG?

No

a. If "yes," have those weaknesses been incorporated into the 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, and validated by the agency for the contractor systems above?

This is not a contractor system.

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

(a) Name of System	(b) Is this a new system? (Y/N)	(c) Is there at least one Privacy Impact Assessment (PIA) which covers this system? (Y/N)	(d) Internet Link or Explanation	(e) Is a System of Records Notice (SORN) required for this system? (Y/N)	(f) Internet Link or Explanation
Electronic Disability System	No	Yes	<a href="http://www.ssa.gov/foia/piadocuments/FY07/Accelerated%20eDib%20FY07.htm">http://www.ssa.gov/foia/piadocuments/FY07/Accelerated%20eDib%20FY07.htm</a>	Yes	<a href="http://a257.g.akamaitech.net/7/257/2422/14mar20010800/edocket.access.gpo.gov/2003/pdf/03-31432.pdf">http://a257.g.akamaitech.net/7/257/2422/14mar20010800/edocket.access.gpo.gov/2003/pdf/03-31432.pdf</a>  [SOR 60-0320 - Electronic Disability Claim File; 68 F.R 71214, Dec. 22, 2003]

**Details for Text Options:**

Column (d): If yes to (c), provide the link(s) to the publicly posted PIA(s) with which this system is associated. If no to (c), provide an explanation why the PIA has not been publicly posted or why the PIA has not been conducted.

Column (f): If yes to (e), provide the link(s) to where the current and up to date SORN(s) is published in the federal register. If no to (e), provide an explanation why the SORN has not been published or why there isn't a current and up to date SORN.

Note: Working links must be provided to specific documents not general privacy websites. Non-working links will be considered as a blank field.

**Section F: Enterprise Architecture (EA) (IT Capital Assets only)**

In order to successfully address this area of the capital asset plan and business case, the investment must be included in the agency's EA and Capital Planning and Investment Control (CPIC) process and mapped to and supporting the FEA. The business case must demonstrate 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?

No

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

b. If "no," please explain why?

IDib is a new investment for SSA EA and thus is not included in the most recent EA assessment.

**3. Is this investment identified in a completed (contains a target architecture) and approved segment architecture?**

Yes

**a. If "yes," provide the name of the segment architecture as provided in the agency's most recent annual EA Assessment.**

Make the Right Dib Decision

**4. Service Component Reference Model (SRM) Table:**

Agency Component Name	Agency Component Description	FEA SRM Service Domain	FEA SRM Service Type	FEA SRM Component (a)	Service Component Reused Name (b)	Service Component Reused UPI (b)	Internal or External Reuse? (c)	BY Funding Percentage (d)
QPMS	The Quality Performance Management System (QPMS) is an Integrated Reporting Mechanism that consolidates key data extracted from multiple sources into a single tool for quality performance results.	Back Office Services	Development and Integration	Data Integration	Data Integration		Internal	1
QPMS	The Quality Performance Management System (QPMS) is an Integrated Reporting Mechanism that consolidates key data extracted from multiple sources into a single tool for quality performance results.	Business Analytical Services	Reporting	OLAP	OLAP		Internal	1
i3441	i3441 is the electronic appeals disability report used to describe changes in a person's condition, medical treatment, work activities and/or education since the last disability report was filed.	Customer Services	Customer Relationship Management	Customer / Account Management	Customer / Account Management		Internal	1
ODAR Image Management	ODAR Image Management is used to auto-classify, auto-order, or reorder documents, extract structured data, redact data, and identify and delete duplicate images.	Digital Asset Services	Document Management	Classification	Classification		Internal	1
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	Digital Asset Services	Knowledge Management	Information Retrieval	Information Retrieval	016-00-01-02-02-2130-00	Internal	0

Exhibit 300: IDib (Intelligent Disability) (Revision 0)

Agency Component Name	Agency Component Description	FEA SRM Service Domain	FEA SRM Service Type	FEA SRM Component (a)	Service Component Reused Name (b)	Service Component Reused UPI (b)	Internal or External Reuse? (c)	BY Funding Percentage (d)
	enables users involved in case processing to view and/or print the disability information contained in the Electronic Folder.							
EDCS	The Electronic Disability Collect System (EDCS) is the electronic version of the paper disability forms. Information is collected in the same sequence, using the same questions as the paper forms.	Digital Asset Services	Knowledge Management	Knowledge Capture	Knowledge Capture	016-00-01-02-02-2130-00	Internal	0
EFI	The Electronic Folder (EF) is the SSA repository of disability information used to process and review disability determinations.	Digital Asset Services	Knowledge Management	Knowledge Capture	Knowledge Capture	016-00-01-04-02-2132-00	Internal	0
ERE	Electronic Records Express is the method by which medical providers submit medical records electronically. Once electronically submitted, medical records become a part of the EF. DDS examiners can 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
ARPS	The Appeals Council Case Processing System (ARPS) is the case processing system for the appeals council which allows electronic claims to be processed at all levels. It also allows for more efficient management and processing of the workload, and streamlines electronic communications with other components	Process Automation Services	Tracking and Workflow	Case Management	Case Management		Internal	1
eRPC	Electronic processing of Requests for Program Consultation (eRPC) is a web-based application that automates the process for resolving disagreements	Process Automation Services	Tracking and Workflow	Conflict Resolution	Conflict Resolution		Internal	1

Exhibit 300: IDib (Intelligent Disability) (Revision 0)

Agency Component Name	Agency Component Description	FEA SRM Service Domain	FEA SRM Service Type	FEA SRM Component (a)	Service Component Reused Name (b)	Service Component Reused UPI (b)	Internal or External Reuse? (c)	BY Funding Percentage (d)
	between DDSs and Quality Assurance reviewers who are seeking program clarifications. It also establishes a searchable, online data base of prior RPC resolutions to support both disability examiners and QA reviewers.							
ACU	The Access Control Utility is the security architecture framework for authentication and access control for internet, and automated telephone applications. It manages internally issued credentials, external credentials, exchange credentials and information with outside parties, and defines access rights and their use to categorize and control access to services; and defines how the public will use the credentials to gain access to SSA services.	Support Services	Security Management	Identification and Authentication	Identification and Authentication	016-00-02-00-01-2210-00	Internal	0

a. Use existing SRM Components or identify as "NEW". A "NEW" component is one not already identified as a service component in the FEA SRM.

b. 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.

c. '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.

d. Please provide the percentage of the BY requested funding amount used for each service component listed in the table. If external, provide the percentage of the BY requested funding amount transferred to another agency to pay for the service. The percentages in the column can, but are not required to, add up to 100%.

**5. Technical Reference Model (TRM) Table:**

FEA SRM Component (a)	FEA TRM Service Area	FEA TRM Service Category	FEA TRM Service Standard	Service Specification (b) (i.e., vendor and product name)
Classification	Component Framework	Business Logic	Platform Independent	Enterprise Java Beans (EJB)
Library / Storage	Component Framework	Data Management	Database Connectivity	Database 2 (DB2)
OLAP	Component Framework	Data Management	Reporting and Analysis	Hyperion
Customer / Account Management	Component Framework	Presentation / Interface	Content Rendering	SSA Online Services Portal
Inbound Correspondence Management	Component Framework	Presentation / Interface	Dynamic Server-Side Display	Active Server Pages .Net (ASP.Net)
Conflict Resolution	Component Framework	Presentation / Interface	Dynamic Server-Side Display	Java Server Pages (JSP)
Information Retrieval	Service Access and Delivery	Access Channels	Other Electronic Channels	System to System
Knowledge Capture	Service Access and Delivery	Access Channels	Web Browser	Any
Identification and	Service Access and Delivery	Delivery Channels	Internet	

Exhibit 300: IDib (Intelligent Disability) (Revision 0)

FEA SRM Component (a)	FEA TRM Service Area	FEA TRM Service Category	FEA TRM Service Standard	Service Specification (b) (i.e., vendor and product name)
Authentication				
Identification and Authentication	Service Access and Delivery	Service Requirements	Legislative / Compliance	Access Control Utility
Data Integration	Service Interface and Integration	Integration	Middleware	Database Access: ISQL/w
Classification	Service Interface and Integration	Integration	Middleware	Remote Procedure Call (RPC)
Case Management	Service Interface and Integration	Integration	Middleware	WebSphere MQ
Conflict Resolution	Service Platform and Infrastructure	Database / Storage	Database	Database 2 (DB2)
Knowledge Capture	Service Platform and Infrastructure	Delivery Servers	Application Servers	
Customer / Account Management	Service Platform and Infrastructure	Software Engineering	Test Management	Security and Access Control Testing

a. 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

b. 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.

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

No

a. If "yes," please describe.



## Section A: Alternatives Analysis (All Capital Assets)

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?

8/23/2007

#### 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?

We selected Alternative Three which focuses on improving & streamlining the entire disability process. While the other alternatives directly support the Commissioner's goal of reducing SSA's disability claims backlog, it does not take into account the broader need to process initial disability claims. SSA receives more than 2.5M initial disability claims a year. The enormous eligibility requirements and medical documentation that support the claimant's allegations making this a complex, time-consuming process. An efficient, streamlined system is needed to quickly process workloads to meet the needs of the disabled public. Alternative Three includes all of these functionalities and reduces backlogs.

In his May 2007 testimony to Congress, Comm. Astrue indicated 4 areas with the most promise for reducing backlogs and preventing them from recurring: 1. Compassionate allowances 2. Improve hearing procedures 3. Increase adjudicatory capacity 4. Increase efficiencies with automation and business process. IDib will directly support #1 and #4 and provide indirect support to #2 by focusing on developing and maintaining systems in line with 3 main IT efforts:

1) Reduce Hearing Office Backlogs- IDib efforts: Provide case processing and management system for the Office of Disability Adjudication and Review to support business process & develop an interface to the electronic folder; ODAR Case Preparation Initiative; Appeals Council Case Processing System (ARPS); ERE Enhancements- Assistance For Reducing Hearing Office Backlogs

2) Complete Electronic Disability Case Processing- IDib efforts: Expand Internet to provide capability for more types of claimants to complete disability reports via Internet- Improve Electronic Disability Collection System Functionality

3) Support & Enhance Efficiencies of Disability Claims Process- IDib efforts: Enhance automated systems that capture data collected during the disability interview to support all types of claims- Improve Document Management Architecture Functionality

Alternative Three was also selected because it includes activities leading to the replacement of the 54 systems used by medical decision-makers with a single Disability Determination System, which could result in costs savings, increased efficiencies, & improved quality. Such a system could also position SSA to take advantage of the rapidly-changing areas in healthcare and technology as it streamlines its medical decision-making process.

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

The Agency will increase its capability to work with external service providers who support claimants as they develop their disability filings. By working with external entities we will potentially reduce the demands placed on our field offices while streamlining the initial filings for many thousands of claimants. Also, by fully adopting the advantages of Health IT as they become available, the Agency will be able to reduce the manual operations required to acquire and manipulate many aspects of the medical evidence we process. These advantages extend from the initial consideration of a case, where ICD codes may enable us to quickly, and nearly automatically, grant benefits to claimants in certain cases, to the further automation of the pulling of evidence in support of hearings. As case analysis tools are developed to take advantage of the standard encoding of medical evidence, we will be able to improve all of our decision making processes by more fully understanding the process and the combination of factors that lead to a granting of benefits.

The reduction in the number of exceptions that require reverting to paper cases will aid the Agency by further reducing the costs of handling the remaining paper cases (and increasing the security of the files). It will also allow our staff to focus on the electronic system without having to deviate from established and controlled processes - reducing inefficiencies.

### 5. Will the selected alternative replace a legacy system in-part or in-whole?

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No

a. If "yes," are the migration costs associated with the migration to the selected alternative included in this investment, the legacy investment, or in a separate migration investment.

b. If "yes," please provide the following information:

## Section B: Risk Management (All Capital Assets)

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?

11/30/2007

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

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:

IDib and the non-selected Alternative life cycle cost estimates have been risk adjusted to account for challenges that typically face software development projects. Factors considered in determining this risk adjustment include industry best practices and OMB guidance. However since IDib's risk management plan has yet to be developed and IDib is in the early planning stages, the schedule has yet to be risk-adjusted and the cost risk-adjustment will be revisited in FY08.

## Section C: Cost and Schedule Performance (All Capital Assets)

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

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

Yes

2. 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 CV or SV or both?

b. If "yes," explain the causes of the variance:

c. If "yes," describe the corrective actions:

3. Has the investment re-baselined during the past fiscal year?

No

- a. If "yes," when was it approved by the agency head?
4. Removed