

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:

Access to Financial Institutions (AFI)

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

016-00-01-05-01-2020-00

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?

FY2003

8. Provide a brief summary and justification for this investment, including a brief description of how this closes in part or in whole an identified agency performance gap:

The AFI investment will create a flexible automated process for asset identification/verification with financial institutions nationwide for SSA's Supplemental Security Income (SSI) program. Pilot study results indicate a potential first year SSI cost savings of approximately \$373M. This process can be readily expanded to serve the similar needs of any federal program and is a key initiative in the Improper Payments Portfolio of the President's Management Agenda.

In June 2007, the Commissioner of Social Security endorsed rollout the AFI process to all 1500 SSA field offices by FY 2010. To do so, SSA will seek necessary LAE funding in the FY 2009 President's Budget. SSA also intends to pursue with OMB a FY 2008 funding source to accelerate the nationwide rollout to FY 2009.

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?)

Addresses payment accuracy issues by aggressively pursuing strategies outlined in the SSI Corrective Action plan, such as simplifying income reporting requirements.

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 a PART review?

Yes

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

See FY06 SSI PART Q 2.8

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)?

No

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

0.000000

Software

0.000000

Services

59.830000

Other

40.170000

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?

No

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)

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

Title	PY-1 and earlier	PY 2007	CY 2008	BY 2009
Planning:	6.085	0.175	0	0
Acquisition:	0	0.72	0.88	1.224
Subtotal Planning & Acquisition:	6.085	0.895	0.88	1.224
Operations & Maintenance:	0	0.384	0.377	0.525
TOTAL:	6.085	1.279	1.257	1.749
Government FTE Costs	0.961	0.361	0.182	0.76
Number of FTE represented by Costs:	9	2	0	5

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:

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)
SS00-06-50399/000001	Firm Fixed Price	Yes	5/24/2007	6/1/2007	9/30/2007	0.258	No	No	No	NA	No	Yes
SS00-07-50151	Firm Fixed Price	Yes	5/4/2007	5/4/2007	9/28/2007	0.619	No	No	No	NA	No	Yes
SS00-07-50151/000001	Firm Fixed Price	Yes	7/26/2007	8/1/2007	3/31/2008	0.022	No	No	No	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.

The current AFI program contracts with Acuity are for fixed price, steady state services containing little risk to the Agency. SSA performs program level (in-house) EVM on AFI including the Acuity efforts. All necessary cost, schedule and performance data is provided by the contractor and reflected in SSA EVM reports.

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 offerers 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?

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. 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
2007	Stewardship - To ensure superior stewardship of Social Security programs and resource	Customer Results	Service Quality	Accuracy of Service or Product Delivered	Percent of Supplemental Security Income payments free of overpayment (O/P) and underpayment (U/P) error	FY 2006 Actual - 92.1% O/P, 97.8% U/P	95.7% O/P, 98.8% U/P	Available in June 2008.
2007	Stewardship - To ensure superior stewardship of Social Security programs and resource	Mission and Business Results	Financial Management	Accounting	Receive an unqualified opinion on SSA's financial statements from the auditors	FY 2006 Actual - Received an unqualified opinion	Receive an unqualified opinion	
2007	Stewardship - To ensure superior stewardship of Social Security programs and resource	Processes and Activities	Financial (Processes and Activities)	Savings and Cost Avoidance	Title XVI cost savings of \$22 million	FY 2006 cost savings of \$22 million (estimated)	Achieve cost savings of \$22 million	
2007	Stewardship - To ensure superior stewardship of Social Security programs and resource	Technology	Information and Data	Data Standardization or Tagging	System Impact on Agency Mission	Ensure that all SSA accredited Systems Have Been Categorized In Accordance with FIPS 199	100% Compliance with FIPS 199	
2008	Stewardship - To ensure superior stewardship of Social Security programs and resource	Customer Results	Service Quality	Accuracy of Service or Product Delivered	Percent of Supplemental Security Income payments free of overpayment (O/P) and underpayment (U/P) error	FY 2007 Target - 95.7% O/P, 98.8% U/P	96.0% O/P, 98.8% U/P	
2008	Stewardship - To ensure superior stewardship of Social Security programs and resource	Mission and Business Results	Financial Management	Accounting	Receive an unqualified opinion on SSA's financial statements from	FY 2006 Actual - Received an unqualified opinion	Receive an unqualified opinion	

Fiscal Year	Strategic Goal(s) Supported	Measurement Area	Measurement Category	Measurement Grouping	Measurement Indicator	Baseline	Target	Actual Results
	resource				the auditors			
2008	Stewardship - To ensure superior stewardship of Social Security programs and resource	Processes and Activities	Financial (Processes and Activities)	Savings and Cost Avoidance	Title XVI cost savings of \$54 million	FY 2006 cost savings of \$22 million (estimated)	Achieve cost savings of \$54 million	
2008	Stewardship - To ensure superior stewardship of Social Security programs and resource	Technology	Information and Data	Data Standardization or Tagging	System Impact on Agency Mission	Ensure that All SSA Accredited Systems Have Been Categorized in accordance with FIPS 199	100% Compliance with FIPS 199	
2009	Stewardship - To ensure superior stewardship of Social Security programs and resource	Customer Results	Service Quality	Accuracy of Service or Product Delivered	Percent of Supplemental Security Income payments free of overpayment (O/P) and underpayment (U/P) error	FY 2008 target - 96.0% O/P, 98.8% U/P	96.0% O/P, 98.8% U/P	
2009	Stewardship - To ensure superior stewardship of Social Security programs and resource	Mission and Business Results	Financial Management	Accounting	Receive an unqualified opinion on SSA's financial statements from the auditors	FY 2006 Actual - Received an unqualified opinion	Receive an unqualified opinion	
2009	Stewardship - To ensure superior stewardship of Social Security programs and resource	Processes and Activities	Financial (Processes and Activities)	Savings and Cost Avoidance	Title XVI cost savings of \$54 Million	FY 2006 cost savings of \$22 million (estimated)	Achieve Cost Savings of \$54 Million	
2009	Stewardship - To ensure superior stewardship of Social Security programs and resource	Technology	Information and Data	Data Standardization or Tagging	System Impact on Agency Mission	Ensure that All SSA Accredited Systems have been Categorized I/A/W FIPS 199	100% Compliance with FIPS 199	

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:

30.84

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)
Supplemental Security Income Record Maintenance System	Government Only	09/30/2007	09/30/2007

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
Supplemental Security Income Record Maintenance System	Government Only	Moderate	Yes	8/20/2007	FIPS 200 / NIST 800-53	6/13/2007	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
Supplemental Security Income Records Management System	No	Yes	http://www.ssa.gov/foia/piadocuments/FY07/Access%20to%20Financial%20Institution%20Info%20FY07.htm	Yes	http://a257.g.akamaitech.net/7/257/2422/01jan20061800/edocket.access.gpo.gov/2006/pdf/06-112.pdf [SOR 60-0103 - Supplemental Security Income Record and Special Veterans Benefits; 71 F.R. 1830, Jan. 11, 2006]

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?

Yes

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

Access to Financial Institutions (AFI)

b. If "no," please explain why?

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.

Manage Finances and Assets

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)
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	016-00-02-00-01-2210-00	Internal	0
QA2	QA2 enforces the completion of an System Release Certification through its interface with the online and batch release processes.	Business Management Services	Management of Processes	Configuration Management	Configuration Management	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.	Digital Asset Services	Knowledge Management	Categorization	Categorization	016-00-01-04-02-2132-00	Internal	0
SSH	Secure Shell (SSH) is a program to log into another computer over a network, to execute commands in a remote machine, and to move files from one machine to another.	Support Services	Security Management	Access Control	Access Control	016-00-01-04-02-2132-00	Internal	0
Top Secret	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

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)
Audit Trail Capture and Analysis	Component Framework	Business Logic	Platform Dependent	COBOL 3
Configuration Management	Component Framework	Business Logic	Platform Dependent	Visual Basic .Net (VB.Net)
Data Exchange	Component Framework	Data Interchange	Data Exchange	Resource Description Framework (RDF)
Configuration Management	Component Framework	Data Management	Database Connectivity	Active Data Objects .Net (ADO.Net)
Categorization	Component Framework	Data Management	Database Connectivity	DB2 Connector
Configuration Management	Component Framework	Data Management	Database Connectivity	Open Database Connectivity (ODBC)
Configuration Management	Component Framework	Presentation / Interface	Dynamic Server-Side Display	Active Server Pages .Net (ASP.Net)
Categorization	Component Framework	Security	Supporting Security Services	TopSecret
Access Control	Component Framework	Security	Supporting Security Services	TopSecret
Access Control	Service Access and Delivery	Service Requirements	Authentication / Single Sign-on	
Audit Trail Capture and Analysis	Service Access and Delivery	Service Requirements	Hosting	Internal (within Agency)
Data Exchange	Service Access and Delivery	Service Requirements	Hosting	Internal (within Agency)
Categorization	Service Access and Delivery	Service Requirements	Hosting	Internal (within Agency)
Configuration Management	Service Access and Delivery	Service Requirements	Hosting	Internal (within Agency)
Access Control	Service Access and Delivery	Service Requirements	Hosting	Internal (within Agency)
Access Control	Service Access and Delivery	Service Requirements	Legislative / Compliance	Security
Audit Trail Capture and Analysis	Service Interface and Integration	Integration	Enterprise Application Integration	CICS
Access Control	Service Interface and Integration	Integration	Middleware	CICS
Data Exchange	Service Interface and Integration	Interface	Service Description / Interface	Application Program Interface (API) / Protocol
Categorization	Service Platform and Infrastructure	Database / Storage	Database	Database 2 (DB2)
Data Exchange	Service Platform and Infrastructure	Delivery Servers	Application Servers	
Audit Trail Capture and Analysis	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)
Audit Trail Capture and Analysis	Service Platform and Infrastructure	Hardware / Infrastructure	Peripherals	Mainframe
Access Control	Service Platform and Infrastructure	Hardware / Infrastructure	Servers / Computers	Mainframe
Audit Trail Capture and Analysis	Service Platform and Infrastructure	Support Platforms	Platform Dependent	COBOL 3

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.

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

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?

7/15/2007

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?

Alternative 1 was selected because it could achieve the maximum targeted benefit and could be executed with available Operations resources. The primary risk with this alternative is that the contract funds (\$4,000,000) requested in the FY 2009 President's Budget would not be approved. Alternative 2 was not selected because Systems resources are not available to create the MSSICS interface by the targeted 2010 implementation date. Alternative 3 was dismissed because of the small cost benefit ratio and the large number of Operations resources required to implement. Alternative 4 was dismissed because of the "medium" risk that the banking community would resist operating dual systems to process SSA account verification workloads for an extended period.

4. What specific qualitative benefits will be realized?

Reduction in overpayments associated with incorrect payments. Expected benefits are under review based on pilot experience.

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

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?

9/1/2007

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 they are required.

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% = $CV/EV \times 100$; SV% = $SV/PV \times 100$)

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