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**OFFICE OF  
THE INSPECTOR GENERAL**

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**SOCIAL SECURITY ADMINISTRATION**

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**THE SOCIAL SECURITY ADMINISTRATION'S  
INFORMATION RESOURCES MANAGEMENT  
STRATEGIC PLAN**

September 2007

A-14-07-27133

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**AUDIT REPORT**

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## **Mission**

**By conducting independent and objective audits, evaluations and investigations, we inspire public confidence in the integrity and security of SSA's programs and operations and protect them against fraud, waste and abuse. We provide timely, useful and reliable information and advice to Administration officials, Congress and the public.**

## **Authority**

**The Inspector General Act created independent audit and investigative units, called the Office of Inspector General (OIG). The mission of the OIG, as spelled out in the Act, is to:**

- Conduct and supervise independent and objective audits and investigations relating to agency programs and operations.**
- Promote economy, effectiveness, and efficiency within the agency.**
- Prevent and detect fraud, waste, and abuse in agency programs and operations.**
- Review and make recommendations regarding existing and proposed legislation and regulations relating to agency programs and operations.**
- Keep the agency head and the Congress fully and currently informed of problems in agency programs and operations.**

**To ensure objectivity, the IG Act empowers the IG with:**

- Independence to determine what reviews to perform.**
- Access to all information necessary for the reviews.**
- Authority to publish findings and recommendations based on the reviews.**

## **Vision**

**We strive for continual improvement in SSA's programs, operations and management by proactively seeking new ways to prevent and deter fraud, waste and abuse. We commit to integrity and excellence by supporting an environment that provides a valuable public service while encouraging employee development and retention and fostering diversity and innovation.**



# SOCIAL SECURITY

## MEMORANDUM

Date: September 28, 2007

Refer To:

To: The Commissioner

From: Inspector General

Subject: The Social Security Administration's Information Resources Management Strategic Plan (A-14-07-27133)

## OBJECTIVE

The objective of our review was to evaluate the Social Security Administration's (SSA) Information Resources Management (IRM) Strategic Plan (IRM Plan) in comparison to best practices and Federal requirements.

## BACKGROUND

### Purpose of an IRM Plan

Agencies must develop and maintain an IRM Plan as required by the Paperwork Reduction Act of 1995 (PRA).<sup>1</sup> According to the Office of Management and Budget (OMB), IRM Plans should support an agency's Strategic Plan and provide a description of how IRM activities help accomplish its missions, and ensure that IRM decisions are integrated with organizational planning, budget, procurement, financial management, human resources management, and program decisions.<sup>2</sup>

OMB does not have guidance on the specific contents of an IRM Plan. However, an IRM Plan should be strategic in nature and address the requirements of Federal IRM as expressed in the PRA and OMB Circular A-130.<sup>3</sup>

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<sup>1</sup> 44 U.S.C. § 3506(b)(2).

<sup>2</sup> OMB Circular A-130, *Management of Federal Information Resources*, 8.b.(1)(a).

<sup>3</sup> *Id.*

## The Role of Enterprise Architecture

Agencies are also required to create an Enterprise Architecture (EA) Framework to guide strategic IRM planning.<sup>4</sup> An agency's capital planning and investment control (CPIC) process<sup>5</sup> must build from the agency's EA. An EA is the explicit description and documentation of the current and desired relationships among business and management processes and Information Technology (IT). The EA should describe the "current" and "target" architectures. In addition, the EA must provide a strategy that supports the current state of operations and also act as the roadmap for transition to its target environment through effective IRM activities.<sup>6</sup> OMB annually evaluates agencies' EA practices and recently lowered the grades of four agencies' scores on the President's Management Agenda E-gov Scorecard in early 2007 because their EA practices did not meet OMB's expectations.

## SSA IRM Strategic Planning

The most recent series of the IRM Plan replaced the Information Technology Architecture Plan (ITAP) that was last published in October 2001. The IRM Plan contains many ITAP features and its content reflects planning decisions made by the Information Technology Advisory Board (ITAB).<sup>7</sup> SSA's 2007 IRM Plan covers Fiscal Years (FY) 2006-2012. At SSA, the Office of the Chief Information Officer (OCIO) is responsible for developing SSA's IRM Plan.

The purpose of SSA's IRM Plan is to:

- describe how IRM activities help accomplish SSA's mission, goals and objectives;
- ensure IRM decisions are integrated with organizational planning, budget, procurement, financial management, human resources management, and program decisions;
- present an overview of SSA's EA; and
- serve as a key component of SSA's IT CPIC process.

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<sup>4</sup> OMB Circular A-130, *Management of Federal Information Resources*, 8.b.(2)(b).

<sup>5</sup> OMB Circular A-130, *Management of Federal Information Resources*, 6.c., defines CPIC process as "a management process for ongoing identification, selection, control, and evaluation of investments in information resources. The process links budget formulation and execution, and is focused on agency mission and achieving specific program outcomes."

<sup>6</sup> OMB Circular A-130, *Management of Federal Information Resources*, 8.b.(2)(a).

<sup>7</sup> ITAB is responsible for the development of SSA's IT Systems Plan.

## RESULTS OF REVIEW

We compared SSA's IRM Plan with other Federal agencies' to identify the best practices with regards to the IRM Plan document, given that OMB does not have guidance on the exact contents of an IRM Plan. We found that each of the agencies' IRM Plans we reviewed had strengths and weaknesses in different areas. We identified and provided examples (Appendices C, D, and E) of some practices used by other agencies that SSA can consider as a part of its IRM process. These practices, although belonging to agencies whose sizes are different from SSA, provide examples of clear presentation, relevant IRM contents, or enhanced structure.

SSA's 2007 IRM Plan provides a description of the Agency's IRM strategic objectives, its current major IT investments, the IT CPIC process, and project management practices. Among the numerous Federal agency IRM Plans we reviewed, SSA's plan has the broadest coverage. It included areas that some other agencies did not cover such as security, privacy, information dissemination, records management and IT human resources management. It also discussed SSA's efforts in developing its own versions of Federal Enterprise Architecture (FEA) reference models<sup>8</sup> to demonstrate how SSA supports the goals of FEA.

However, SSA's IRM Plan needs to be more strategic and provide a better description of how the Agency's information resources management activities will help accomplish the Agency's mission, goals and objectives. The IRM Plan would also be more useful if it informed the reader of the Agency's present position and what it sees as its future IT architecture. This can best be accomplished through a description of SSA's existing and target EA. Finally, the IRM Plan should be structured in a way to better support the Agency's Strategic Plan while providing possible solutions to its future challenges and constraints.

SSA is already in the process of taking steps to resolve these issues.

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<sup>8</sup> According to FEA Consolidated Reference Model Document, Version 2.1, FEA reference models are a set of interrelated "reference models" designed to facilitate cross-agency analysis and the identification of duplicative investments, gaps and opportunities for collaboration within and across agencies. Collectively, the reference models comprise a framework for describing important elements of the FEA in a common and consistent way.

## SSA's IRM PLAN SHOULD BE MORE STRATEGIC

SSA's FY 2007 IRM Plan needs to be more strategic and support the Agency's Strategic Plan. The Agency's IRM Plan is not strategic in the following areas:

- IRM activities and the underlying EA only span 2 years into the future, even though the IRM Plan states that it covers FYs 2006 through 2012. According to OMB, an IRM Plan should support the Strategic Plan, which must cover a minimum of 5 years.<sup>9</sup> However, SSA's IT planning process, where IT resources are allocated to projects, and the Agency's performance goals<sup>10</sup> cover only 2 years. Some of the IT projects approved by ITAB have life spans that are expected to go beyond 2 years; however, SSA's IT Systems Plan<sup>11</sup> does not have IT projects that will start 2 years in the future. We found examples of other Federal agencies, which show longer range IRM planning activities, such as the Farm Credit Administration's IRM Plan,<sup>12</sup> as shown in Appendix C and the Bureau of Land Management's IRM Plan<sup>13</sup> as shown in Appendix D. These IRM Plans include long-term planning for their system development projects. Although these are smaller agencies, we believe a similar practice could be adopted by SSA.
- Some challenges are not fully addressed. SSA's IRM Plan does not have a sufficient description about how the Agency plans to address its biggest challenge: an increased workload due to disabled and retiring baby boomers. One SSA goal is to maintain an average annual productivity improvement rate of 2 percent. However, the IRM Plan does not address if the 2 percent increase in productivity, due in part to systems enhancements, will be sufficient to allow SSA to effectively serve the baby boomers in the future, without an increase in staff. SSA needs to establish long-range strategies to fully address these and other critical challenges.

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<sup>9</sup> Government Performance and Results Act of 1993, Public Law Number 103-62, § 306 b. and c. states the strategic plan shall cover not less than 5 years forward from the FY in which the plan is submitted.

<sup>10</sup> OMB Circular A-11, *Preparation, Submission, and Execution of the Budget*, Section 200, *Overview of Strategic Plans, Performance Budgets, and Performance and Accountability Reports*, defines performance goals as performance measures with targets and timeframes. These performance measures are reported in SSA's *Performance and Accountability Report* and *Annual Performance Plan* as "Performance Indicators."

<sup>11</sup> SSA's IT Systems Plan is a product of SSA's ITAB process and contains the listing of all IT projects reviewed and approved by ITAB.

<sup>12</sup> Farm Credit Administration, *Information Resources Management, IRM Plan*, Fiscal Years 2007-2012.

<sup>13</sup> United States Department of the Interior, Bureau of Land Management, *Information Resources Management Strategic Plan 2002-2005*, May, 2002.

Because SSA's IRM strategic planning does not go beyond 2 years, its IRM Plan does not provide a clear strategic vision of what the Agency needs or plans to do over the next few years to address its critical challenges. For SSA's IRM Plan to serve its strategic purpose, SSA needs to establish a long-range IRM strategic planning process that covers a period consistent with the Agency's Strategic Plan.

## **PRESENTATION OF ENTERPRISE ARCHITECTURE COULD BE IMPROVED**

EA is the blueprint that guides the Agency's IRM strategic planning and is instrumental to the Agency's CPIC process. An EA is considered the blueprint because it provides both the "current architecture" and "target architecture." Thus, these two descriptions enable an agency to support its current state and also act as the roadmap for transition to its target environment through IRM activities. As a result, EA can establish a clear line of sight from investments to measurable performance improvements.<sup>14</sup>

The current EA section of SSA's IRM Plan focuses on SSA's EA process description and its effort of developing FEA reference models. It does not provide a description of SSA's existing and target EA as the roadmap for reaching the Agency's mission and goals. In 2002, SSA developed a document with the Agency's existing and target architecture.<sup>15</sup> SSA's April 2003 IRM Plan included the Agency's then existing and target architecture; however, they have not been included in the Agency's IRM Plan since that time.

Without a proper description of SSA's current and future EA in its IRM Plan, readers are not informed of the Agency's present and target IT environment. Thus the reader is left without the knowledge of what SSA plans or needs to achieve over the next few years to meet the strategic mission and goals that should be integrated in a target EA. SSA is required to architect first and then use the architecture to guide its IT investment planning.<sup>16</sup> SSA's EA should describe its existing and target EA and provide a strategy that acts as the roadmap for transition to its target environments.

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<sup>14</sup> OMB *FEA Practice Guidance*.

<sup>15</sup> SSA *Enterprise Information Technology Architecture, SSA Application Architecture*, Version 1.0, December 16, 2002.

<sup>16</sup> OMB *FEA Practice Guidance*.

The Office of Systems will include the following information in the next IRM Plan:

- the existing and target EA diagrams;
- a verbal description of the fundamental differences between the current and future diagrams; and
- a transition strategy that documents the EA segmentation as well as the projects to manage the orderly transition from the current to the future state.

We commend the Office of Systems for its proactive approach to updating the Agency's IRM Plan.

## **THE IRM PLAN COULD BE BETTER STRUCTURED TO ADDRESS ITS RESOURCE NEEDS, CHALLENGES AND CONSTRAINTS**

### **IRM Plan Structure and Agency Strategic Plan Structure**

SSA's IRM Plan chapter 3, in discussing its IT initiatives, should be structured to better support the Agency's Strategic Plan. SSA's Strategic Plan is organized using the Agency's four strategic goals with the strategic objectives related to each of the four goals. For each of the strategic objectives, SSA's Strategic Plan includes the expected long-term outcomes, and a discussion of possible issues, external factors, and SSA's means and strategies for reaching its objectives.

The IRM Plan includes a chapter where it discusses its 15 major IT initiatives and related strategies. However, this chapter does not discuss these initiatives and strategies in a manner which creates a vision of how SSA uses IT projects to achieve its goals and objectives as defined in its Strategic Plan. An example of an IRM formatting structure that provides such a structure is used by the Department of the Interior's, Fish & Wildlife Service.<sup>17</sup> We have included an example of a section of its IRM Plan in Appendix E, where its goal, objective, target results, performance measures, annual performance goals, and responsible parties, for the future years are all linked together in a one page document. SSA's IRM Plan needs to better support the Agency's Strategic Plan as required in OMB Circular A-130, and provide a description of how IRM activities will help accomplish the Agency's mission.<sup>18</sup>

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<sup>17</sup> Department of the Interior, U.S. Fish and Wildlife Service, *Information Resources and Technology Management Strategic Plan*, version 1.0, 09/30/2005.

<sup>18</sup> OMB Circular A-130, *Management of Federal Information Resources*, 8.b.(1)(a).



## **IRM Should Provide More Information About SSA's Resource Needs and Discuss the Agency's Challenges, Constraints and Projections**

SSA's IRM Plan does not sufficiently include the information resources the Agency will need to achieve its IT initiatives and strategies. It does not adequately discuss internal and external challenges and constraints that could hinder the IT initiatives and strategies from achieving its goals. Furthermore, the IRM Plan does not include information, such as projections of various initiatives, or how SSA's IT strategies and initiatives impact the achievement of certain measurable goals. Therefore, readers cannot easily form a realistic expectation about what results can be achieved, what IT activities need to be achieved, and what challenges and constraints SSA might face in achieving its goals in the future.

OMB states an IRM Plan should be strategic in nature and address the information resources management of the agency.<sup>19</sup> OMB defines that an IRM "...encompasses both information itself and the related resources, such as personnel, equipment, funds and information technology."<sup>20</sup> SSA's IRM Plan needs to discuss challenges, constraints and projections to provide a strategic view for the audience.

To address these issues, we recommend that Chapter 3 of SSA's IRM Plan, where SSA discusses its major IT initiatives, adopt the general structure of the Agency's Strategic Plan for each of SSA's Strategic Objectives. SSA should provide the audience with a clear roadmap of how the Agency plans to reach the goals and objectives it defined by discussing areas such as the following:

- strategic goals and objectives;
- performance measures with results;
- information resources management activities (IT projects and strategies);
- major functionality targets and time frames;
- funding, technology, and IT staffing needs; and
- challenges, constraints, possible solutions, and related projections if available.

The OCIO is already taking steps to restructure Chapter 3 of SSA's IRM Plan with a focus on including more strategic information, covering a 5-year period, to tie the information to the Agency's Strategic Plan. We commend the OCIO for its proactive approach to updating the Agency's IRM Plan.

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<sup>19</sup> OMB Circular A-130 *Management of Federal Information Resources*, 8.b.(1).

<sup>20</sup> OMB Circular A-130 *Management of Federal Information Resources*, 6.p.

## CONCLUSION AND RECOMMENDATIONS

SSA's IRM Plan provides a balanced and comprehensive coverage of its IRM and activities. However, SSA can improve in a few areas to fully address the purpose of the Agency's IRM Plan and meet Federal requirements. SSA's IRM Plan needs to be more strategic and provide a better description of how IRM activities will help accomplish the Agency's mission, goals and objectives.

For issues related to SSA as a whole, we recommend SSA:

1. Establish a long range IRM strategic planning process that covers a period consistent with the Agency's Strategic Plan.

For issues specific to SSA's IRM Plan, we recommend SSA:

2. Continue plans to include conceptual diagrams and a supplemental description of SSA's existing and target EA.
3. Adopt the general structure of the Agency's Strategic Plan, in IRM Plan Chapter 3, where SSA discusses its major IT initiatives. To provide the audience with a clear roadmap of how SSA plans to achieve the goals and objectives it defined, for each of SSA's Strategic Objective Portfolios, SSA should discuss areas such as the following:
  - ✓ strategic goals and objectives;
  - ✓ performance measures with results;
  - ✓ information resources management activities (IT projects and strategies);
  - ✓ major milestones and time frames;
  - ✓ funding, technology, and IT staffing needs; and
  - ✓ challenges, constraints, possible solutions and related projections if available.

## AGENCY COMMENTS

SSA agreed with our recommendations. The Agency's comments are included in Appendix F.



Patrick P. O'Carroll, Jr.

# Appendices

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APPENDIX A – Acronyms

APPENDIX B – Scope and Methodology

APPENDIX C – *Farm Credit Administration, Information Resources Management, IRM Plan, Fiscal Years 2007-2012*

APPENDIX D – *United States Department of Interior, Bureau of Land Management Information Resources Management Strategic Plan, 2002-2005*

APPENDIX E – *U.S. Fish & Wildlife Service Information Resources and Technology Management Strategic Plan – Version 1.0, 09/30/2005*

APPENDIX F – Agency Comments

APPENDIX G – OIG Contacts and Staff Acknowledgments

### Acronyms

CPIC	Capital Planning and Investment Control
EA	Enterprise Architecture
FEA	Federal Enterprise Architecture
FY	Fiscal Year
IRM	Information Resources Management
IRM Plan	IRM Strategic Plan
IT	Information Technology
ITAB	Information Technology Advisory Board
ITAP	Information Technology Architecture Plan
NARA	National Archives and Records Administration
OCIO	Office of Chief Information Officer
OMB	Office of Management and Budget
PRA	Paperwork Reduction Act
SSA	Social Security Administration
U.S.	United States
U.S.C.	United States Code

### Scope and Methodology

The objective of our review was to evaluate the Social Security Administration's (SSA) Information Resources Management (IRM) Strategic Plan (IRM Plan) in comparison to best practices and Federal requirements.

To meet the objective of this audit, we reviewed relevant Federal laws, regulations and guidance. We reviewed SSA's documents related to IRM, SSA's Information Technology capital planning and investment control process with a focus on IRM strategic planning, and SSA's Enterprise Architecture process. We also conducted interviews to obtain an understanding for areas critical to SSA's IRM strategic planning.

We reviewed the IRM Plans of several Federal agencies. We compared SSA's IRM Plan with other Federal agencies' to identify the best practices with regards to the IRM Plan document, given that the Office of Management and Budget (OMB) does not have guidance on the exact contents of an IRM Plan. We found that for the agencies we reviewed, each has its strengths and weaknesses in different areas. We have identified and provided examples (Appendices C, D, and E) of some practices used by other agencies that could help SSA to better meet its IRM purposes. These practices, although belonging to agencies whose sizes are different from SSA, provide clearer presentation, more relevant IRM contents, or better structure.

We reviewed the following Federal laws, regulations, and guidance:

- *Clinger Cohen Act of 1996.*
- *Paperwork Reduction Act of 1995.*
- *Government Performance and Results Act of 1993.*
- *OMB Circular A-130, Management of Federal Information Resources.*
- *OMB Circular A-11, Preparation, Submission, and Execution of the Budget.*
- *OMB FEA Practice Guidance.*

We reviewed the following SSA documents:

- *SSA Information Resources Management Strategic Plans for Fiscal Years 2002 through 2007.*
- *SSA Strategic Plan FY 2006-FY 2011.*
- *SSA Annual Performance Plan for Fiscal Year 2008.*
- *SSA Target Information Technology (IT) Capital Planning and Investment Control Process (CPIC) Guide.*
- *SSA Information Technology Advisory Board meeting materials and minutes.*
- *SSA Enterprise Architecture artifacts.*

We contacted or interviewed SSA staff in the following components:

- Office of the Chief Information Officer and its Office of Information Technology Systems Review;
- Office of Systems, Office of Enterprise Support, Architecture and Engineering; and
- Office of Strategic Management.

We also reviewed IRM Plans of other Federal agencies, including the following:

1. United States (U.S.) Department of the Interior,
  - Bureau of Land Management, *Information Resources Management Strategic Plan 2002-2005, May, 2002.*
  - U.S. Fish & Wildlife Service, *Information Resources and Technology Management Strategic Plan, version 1.0, 09/30/2005.*
  - Minerals Management Service, *Information Technology Strategic Plan and Information Guide, 2005 – 2007.*
2. NASA *Information Resources Management (IRM) Strategic Plan, September 2006.*
3. U.S. Department of Transportation *FY 2006-FY 2011 Information Resources Management Plan, September 2006.*
4. U.S. Department of Energy *Information Resources Management Strategic Plan FY 2007-2009.*
5. Department of Justice *IT Strategic Plan Fiscal Years 2006-2011.*
6. Farm Credit Administration *Information Resources Management IRM Plan Fiscal Years 2007-2012.*

This audit was performed in accordance with generally accepted government auditing standards. We conducted our field work at the SSA Headquarters in Baltimore, Maryland from January through May 2007.

# Farm Credit Administration, Information Resources Management, IRM Plan Fiscal Years 2007-2012

## C. Development Projects

New system development projects further our goal of encouraging innovative uses of technology geared toward improving Agency information collection, retrieval, and distribution. This encompasses projects such as developing new or custom-designed client/server applications, providing the capacity to conduct business electronically internally and externally, assuring public access to Federal information, providing government-wide e-mail, and developing workflow applications.

New system development projects in Fiscal Year 2007 are projected to require 1,034 staff days, which is a 558-day increase from the previous year. There are 22 proposed new development projects. The dollar costs reflected for each project include Farm Credit Administration (FCA) resource costs as well as any externally purchased resources.

### 1. Infrastructure Review – Office of Management Services (OMS)

With the client/server architecture at the end of its life cycle at FCA, this project will re-evaluate the method of delivering Information Technology (IT) services at FCA to ensure delivery is effective and provided at the best cost-value. The improvements in technology, including the ability to secure information, use the Internet as a reliable highway for delivering information, and the increased need for portability and flexibility of technology delivery to FCA staff are drivers of this initiative. Newer architectures, including Web-based and Web-enabled, may offer the ability to reduce operating costs, accelerate the delivery of applications, and further empower our clients by providing them the ability to more easily access information necessary to support their decision-making processes. This project will undertake the evaluation of client/server as well as Web-based and Web-enabled architectures and their applicability to the delivery of IT services in the FCA environment.

This project will (1) evaluate the effectiveness and efficiency of delivering IT services using the client/services model, and include a review of Lotus Notes; (2) analyze other architectures including web-based and web-enabled architectures using web services; (3) evaluate the costs and benefits of moving to another architecture; (4) make a recommendation on the appropriate architecture for FCA's IT delivery; (5) evaluate and select new user and development tools to support the appropriate architecture; (6) select new tools and begin migration of legacy applications to new architecture; and (7) design architecture infrastructure

to support and optimize the selected architecture (possible infrastructure centralization).

The evaluation and selection of an appropriate IT architecture, configuration and tools improves future capacity of the Agency's IT investment to meet the changing needs of the Agency. The IT architecture hosts and delivers all applications, both critical and non critical, and is essential to efficiently providing the tools customers need to perform their duties.

	<b>FY 2007</b>	<b>FY 2008</b>	<b>FY 2009</b>	<b>FY 2010</b>	<b>FY 2011</b>	<b>FY 2012</b>	<b>Total</b>
<b>Total Cost</b>	232,050	452,420	150,850	44,150	140,050	153,950	1,173,470
<b>OMS Hours</b>	2,490	2,524	2,120	200	200	500	8,034

2. Examination Workflow Integration – Office of Examination (OE)

This project and its various components represent a significant investment in building the new OE, and as such may require substantial resources and emphasis. In fact, various components have already been discussed and resources allocated through the OE Strategic Plan initiatives. This OE Workflow Integration project takes things one step further by integrating all the various components into a common technology platform/system. There are likely other similar examples of processes that could be better integrated. It is important that as OE teams evaluate existing processes/systems or develop new ones, that the technology platform and approach used can result in easy integration with other systems, either immediately or at a later date.

The goal of this project is to improve our examination processes, risk supervision, and communications, both internally and externally. The project is focused on integrating key aspects of OE workflow using technology solutions, creating an application that will provide a central “launch pad” (i.e., graphical user interface) which seamlessly integrates disparate information and systems. The integration of these systems will allow OE to replace manual processes with more automated processes, thereby greatly increasing our efficiency, effectiveness, and consistency. We believe this will be a critical cornerstone for the “new OE.” This project will involve a number of parties within and outside OE (particularly OMS), and needs to be closely coordinated through the OE IRM Operations Committee representative.



	<b>FY 2007</b>	<b>FY 2008</b>	<b>FY 2009</b>	<b>FY 2010</b>	<b>FY 2011</b>	<b>FY 2012</b>	<b>Total</b>
<b>Total Cost</b>	105,500	105,500	55,500	35,500	35,500	35,500	373,000
<b>OMS Hours</b>	100	100	100	100	100	100	600

3. Electronic Recordkeeping-Knowledge Management - OMS

This project is to explore and recommend an electronic recordkeeping and knowledge (ERK) management system to manage the Agency's official records and institutional knowledge within appropriate legal and regulatory requirements.

An ERK capability will impact the FCA at all levels by providing timely electronic (desktop) access to Agency records for all staff members. ERK will provide an enterprise-wide strategy through which official FCA records can be managed throughout their lifecycle of document creation, management, distribution, storage, retrieval, destruction and/or transmittal to the National Archives and Records Administration (NARA). It will also enable the Agency to implement a program to manage and retain its critical institutional, technical, and operational knowledge. When implemented, a knowledge management mechanism will also negate the impact of anticipated staff retirements.

In the short-term, ERK will require a significant investment of FCA resources but will result in the realization of long-term benefits. In order for the Agency to successfully develop and implement an ERK system, it is imperative the initiatives receive visible and consistent support from senior and executive management. Any ERK system adopted by the FCA must be compliant with the Department of Defense Standard 5015.2 (DoD 5015.2), which is the current NARA-endorsed system for Federal recordkeeping.

	<b>FY 2007</b>	<b>FY 2008</b>	<b>FY 2009</b>	<b>FY 2010</b>	<b>FY 2011</b>	<b>FY 2012</b>	<b>Total</b>
<b>Total Cost</b>	183,700	187,200	107,200	99,200	99,200	191,700	868,200
<b>OMS Hours</b>	2,220	880	880	880	880	2,220	7,960

## Appendix D

### United States Department of the Interior, Bureau of Land Management, Information Resources Management Strategic Plan, 2002-2005

Goal 3: Support the Bureau's Mission by increasing the Effectiveness and Timeliness of Service Delivery and Effectiveness of its Human Capital					
Objective 2: Recruit and/or retain skilled IRM personnel that are competent in both current and emerging technologies.					
<p>As part of managing IT assets, BLM must invest in timely, appropriate, and industry-standard education and training to ensure technical staffs in national and field offices understand and can apply current and future technologies. This strategy involves both a commitment to recruit, train, and retain talented BLM personnel as well as collaborating with other agencies and organizations to fully utilize their talented individuals and share resources wherever possible. Arrangements with other agencies will also be used to share technical personnel in an era of diminishing budgets. BLM will also stay abreast of emerging trends through an ongoing program of technology evaluation. New technologies will be introduced through pilot projects where both the automation and its business benefits and costs can be evaluated prior to any Bureau-wide adoption or full-scale deployment occurs.</p>					
Outcome	Performance Measure	FY 2002 goal	FY 2003 goal	FY 2004 goal	FY 2005 goal
<i>Increased availability of IT resources</i>	Avg percentage of time that national systems are unavailable	2%	1.75%	1.5%	01.25%
<i>Increased customer confidence</i>	Customer feedback increases in value section	-	base line	+10%	+10%
<i>Improved performance of IT resources</i>	Percentage of times IT problems are resolved in one service call.	base- line	+10%	+10%	+10%
	Length of time to resolve problem.	-20%	-20%	-20%	-20%
<i>Skilled IRM support staff to manage and maintain the Bureau's systems</i>	Average length of service once employees are considered 'skilled'	base- line	+5%	+5%	+5%
Product	Action/Method	Responsible Party			Date
Baseline IT performance statistics	Conduct a study of common IT performance statistics to be collected annually	AD-500			FY02
Implementation of Innovative Personnel Management Practices for IRM staff	Conduct a study of incentives and other new alternative management practices for use in BLM	AD-500 AD-700			FY03
Development of Cross-agency sharing and other IRM efforts	Participate in Department-wide teams that are charged with Interior-wide responsibilities	AD-500			On- going

## Appendix E

### **U.S. Fish & Wildlife Service Information Resources and Technology Management Strategic Plan – Version 1.0, 09/30/2005**

Goal 3: Enhance IRTM Skills of Service Employees. Through planning, assessment, and education efforts, establish and maintain an adequately skilled workforce to optimize the productive use of IRTM. Continue to partner closely with the National Conservation Training Center (NCTC) to ensure that IRTM information is incorporated in the appropriate classes.

Objective 3.1: Recruit and retain sufficient skilled IT personnel, competent in current and emerging technologies, to optimize the productive use of IT. Ensure that the Service has an adequate number of sufficiently skilled IT personnel on an ongoing basis to realize the potential benefits from the use of IT by all employees.

<b>Target Results</b>	<b>Responsible Parties</b>	<b>Date</b>
All regions, programs, and offices assess existing IT staff, skills, workload, organization and future needs and develop workforce plans to meet those needs.	IRTM, CTO Council	2006
Improved outreach to support IT skills. Required actions include: <ul style="list-style-type: none"> <li>• Partnerships with programs, regions, and NCTC to improve outreach and education.</li> <li>• Partnership with NCTC to ensure that current IT initiatives and policies are incorporated in appropriate training classes.</li> <li>• Partnerships with DOI IT Training Team to take advantage of global training requirements and not duplicate or compete same technology among bureaus.</li> </ul>	IRTM, NCTC, CTOs	2006

<b>Performance Measures</b>	<b>FY 2005 goal</b>	<b>FY 2006 goal</b>	<b>FY 2007 goal</b>	<b>FY 2008 goal</b>
Number of Regions and programs in compliance with policy on IT skill sets.	-	Base-line		
Regions and Offices with IT workforce plans in effect	-	All	All	All

## Agency Comments



## SOCIAL SECURITY

### MEMORANDUM

**Date:** September 14, 2007 **Refer To:** S1J-3

**To:** Patrick P. O'Carroll, Jr.  
Inspector General

**From:** Larry W. Dye /s/

**Subject:** Office of the Inspector General (OIG) Draft Report, "The Social Security Administration's Information Resources Management Strategic Plan" (A-14-07-27133)--INFORMATION

We appreciate OIG's efforts in conducting this review. Our comments on the draft report content and recommendations are attached.

Please let me know if we can be of further assistance. Staff inquiries may be directed to Ms. Candace Skurnik, Director, Audit Management and Liaison Staff, at extension 54636.

Attachment:  
SSA Response

**COMMENTS ON THE OFFICE OF THE INSPECTOR GENERAL DRAFT REPORT, “THE SOCIAL SECURITY ADMINISTRATION’S INFORMATION RESOURCES MANAGEMENT STRATEGIC PLAN ”(A-14-07-27133)**

Thank you for the opportunity to review and comment on the draft report. We appreciate your conducting this audit of the Social Security Administration’s (SSA) information resources management strategic plan.

**Recommendation 1**

For issues related to SSA as a whole, SSA should establish a long range Information Resources Management (IRM) strategic planning process that covers a period consistent with the Agency’s Strategic Plan.

**Comment**

We agree to establish a long range IRM strategic planning process that covers a period consistent with the Agency’s Strategic Plan.

**Recommendation 2**

For issues specific to SSA’s IRM Plan, SSA should continue plans to include conceptual diagrams and a supplemental description of SSA’s existing and target Enterprise Architecture (EA).

**Comment**

We agree and have plans to include the following information in the 2008 IRM Strategic Plan:

- the existing and target EA diagrams;
- a verbal description of the fundamental differences between the current and future diagrams; and
- a transition strategy that documents the EA segmentation as well as the projects to manage the orderly transition from the current to the future state.

**Recommendation 3**

SSA should adopt the general structure of the Agency’s Strategic Plan, in IRM Plan Chapter 3, where SSA discusses its major information technology (IT) initiatives. To provide the audience with a clear roadmap of how SSA plans to achieve the goals and objectives it defined, for each of SSA’s Strategic Objective Portfolios, SSA should discuss areas such as the following: 1) strategic goals and objectives; 2) performance

measures with results; 3) information resources management activities (IT projects and strategies); 4) major milestones and time frames; 5) funding, technology, and IT staffing needs; and 6) challenges, constraints, possible solutions and related projections if available.

Comment

We agree and have begun taking steps to restructure Chapter 3 of SSA's 2008 IRM Strategic Plan (to be published in 2007) with a focus on including more strategic information, covering a 5-year period, to tie the information to the Agency's Strategic Plan.

## **OIG Contacts and Staff Acknowledgments**

### ***OIG Contacts***

Kitt Winter, Director, Data Analysis and Technical Audits Division, (410) 965-9702

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### ***Acknowledgments***

In addition to those named above:

Grace Chi, Senior Auditor

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## **Office of Audit**

OA conducts and/or supervises financial and performance audits of the Social Security Administration's (SSA) programs and operations and makes recommendations to ensure program objectives are achieved effectively and efficiently. Financial audits assess whether SSA's financial statements fairly present SSA's financial position, results of operations, and cash flow. Performance audits review the economy, efficiency, and effectiveness of SSA's programs and operations. OA also conducts short-term management and program evaluations and projects on issues of concern to SSA, Congress, and the general public.

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## **Office of Resource Management**

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