Information Technology Strategy and Benefits
Fiscal Year 2010

The Railroad Retirement Board is actively pursuing further automation and modernization of its various claims processing systems in accordance with the principles identified in the agency's Enterprise Architecture. Ongoing and planned projects will further increase and enhance the efficiency and effectiveness of our benefit payments and program administration. Automation initiatives in recent years have also significantly improved operations and allowed the agency to reduce staffing in certain areas.

Key capital initiatives for fiscal year 2010 are described below. Additional information concerning each capital element is provided on pages 71 through 76.

Technology Infrastructure and Administrative Support -- These investments are required to establish a firm foundation for the technology advances we have planned in accordance with the agency's target enterprise architecture, and to maintain our operational readiness. The specific investments in fiscal year 2010 include:

- *Infrastructure Replacement* ($250,000)
  This item provides funding for the continued upgrading and scheduled replacement of the agency's IT infrastructure equipment and related software. The upgrades and replacements follow the RRB's *IT Equipment Replacement Policy* for modernizing and securing the agency's computer operations.

- *FFS Conversion Study* ($200,000)
  This capital item represents the resources needed to fund a study to convert the legacy Federal Financial System (FFS) to a new certified system, either in-house or at a Center of Excellence designated by the Office of Management and Budget. The study will determine the most cost effective approach for the RRB in view of the condition and status of the current system and establish a time frame for future migration.

Application Design Services -- Initiatives in this category are required to provide electronic services to the public, as mandated by the Government Paperwork Elimination Act of 1998, and other Federal directives/mandates. They are also needed to achieve our strategic objective of providing our customers with more flexible service delivery options.

- *E-Government* ($250,000)
  In 2010, we will continue to use contactor assistance to augment work on the Employer Reporting System (ERS). The focus will be on providing additional automated notifications to employers. We also plan to develop an automated referral process in ERS to notify the employers of errors or the need for additional information and provide a means for correcting the data.

- *Systems Modernization* ($336,287)
  Building on the DB2 Data Optimization project, the next step is systems modernization. The data optimization process pointed out opportunities to modernize our systems, many of which are old and complex and require a large investment in maintenance. In fiscal year 2010, with contractor assistance, we will continue modernizing high value/high risk applications using knowledge gained from the system redesign efforts started in fiscal year 2009.

Risk Management Services **--** In the face of a changing risk environment, a comprehensive security program requires continuous management to control the risks that threaten the agency's critical assets. Complementary use of both technology and well-trained personnel can effectively reduce those risks to an acceptable level.

- *Information Security and Privacy* ($375,000)
  The main projects for fiscal year 2010 focus on certification and accreditation of agency systems; automation of Federal Information Security Management Act (FISMA) evaluation and reporting processes; providing specialized training related to security and privacy; and implementing specialized hardware and software to ensure that agency information is kept secure and private.

- *Continuity of Operations ($240,000)*
  Federal Emergency Management Agency and Homeland Security Department directives require agencies to create and maintain a Continuity of Operations (COOP) plan. The COOP plan ensures that the agency can carry on all essential functions in case of a natural or man-made disruption or disaster. The focus for fiscal year 2010 will be on availability of data in an emergency through remote disk backup (data replication or data mirroring) to the agency's secondary backup center for critical information that needs to be continuously available. Other projects may also be included as a part of this capital item.

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Technology Infrastructure and Administrative Support

Capital Element: **Infrastructure Replacement**

Fiscal Year 2010 Cost: **$250,000**

IT infrastructure is the critical foundation for business applications. Life cycle replacement of infrastructure equipment is a direct cost but reduces indirect, hidden costs such as lost end-user productivity and downtime. This capital element provides for the continued upgrading and scheduled replacement of the agency's network equipment and its attendant software. Upgrades and cyclical replacements follow the RRB's IT Replacement Policy for modernizing and securing the agency's computer operations.

Core information technology infrastructure elements identified in the IT Replacement Policy include:

• Imaging jukeboxes • Laptops • Monitors • Personal digital assistants (PDA's) • Personal computers • Network printers	• Personal printers • Portable printers • Routers/switches • Scanners (imaging) • Scanners (personal) • Servers

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Technology Infrasructure and Administrative Support

Capital Element: **FFS Conversion Study**

Fiscal Year 2010 Cost: **$200,000**

This capital element represents resources needed to fund a study to convert the legacy Federal Financial System (FFS) to a new certified system, either in-house or at a Center of Excellence designated by the Office of Management and Budget. New releases of the FFS software were discontinued in fiscal year 2003, an indication that the product is reaching the end of its life cycle. While FFS continues to meet the financial processing and reporting requirements of the RRB, the agency must have an up-to-date and reliable financial management system in the future. Thus, in fiscal year 2010, we plan to perform an analysis of how best to convert the system and to identify the requirements and related costs prior to the time it becomes prudent to migrate.

Pending completion of this initiative, RRB staff will continue to monitor the status of the RRB's FFS software to ensure that it meets agency needs. They will also monitor how the Centers of Excellence are doing in terms of the cost, effort, and experience of agencies undergoing the migration process.

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Application Design Services

Capital Element: **E-Government**

Fiscal Year 2010 Cost: **$250,000**

The RRB's long-term IT strategy calls for expanded use of the Internet for services to our customers. We plan to use contractor services to augment existing agency staff to expand the electronic services available to the railroad public via the RRB's website. This goal is consistent with the agency's overall goal to address our customers' needs and expectations, providing them with a range of choices for conducting business with us, including more Internet options that are private and secure. The benefits of these initiatives will be realized in increased efficiency and accuracy of business transactions between rail employees/employers and the RRB.

We will expand the Internet-based Employer Reporting System to:

- Provide additional notifications to rail employers, and
- Notify rail employers of errors and provide means for correcting data.

Information Technology Strategy and Benefits
Fiscal Year 2010

Application Design Services

Capital Element: **Systems Modernization**

Fiscal Year 2010 Cost: **$336,287**

In fiscal year 2009, the RRB will use contractor services to assist us in evaluating, choosing and creating a project plan for our first system to modernize. The selected system will serve as a pilot for further modernization efforts.

This item provides fiscal year 2010 funding for contractor services to evaluate the pilot project's business requirements. The contractor will identify possible solutions, analyze them and then recommend one for implementation. Key to this examination will be the requirement to use optimized data so that data redundancy is reduced to the lowest practical level. To save development costs, the contractor will also investigate incorporating any of the pilot project's processes into already existing RRB applications. Additionally, the contractor will explore the possibility of locating the pilot on a non-mainframe-based computer platform.

Moving away from mainframe technologies will help the RRB recruit development staff with more modern skill sets to replace its retiring workforce. Development of the pilot began during fiscal year 2009. RRB and contractor staff will perform the work.

Information Technology Strategy and Benefits
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Risk Management Services

Capital Element: **Information Security and Privacy**

Fiscal Year 2010 Cost: **$375,000**

In the face of a changing risk environment, a comprehensive security program requires continuous management to control the risks that threaten the agency's critical assets. Complementary use of both technology and well-trained personnel can effectively reduce those risks to an acceptable level.

Funding for information security will provide for a variety of information security program activities. These include initiatives to:

- Continue certification and accreditation of agency systems.
- Provide security awareness training. The agency will take advantage of shared service center agencies/vendors participating in the Presidential Information Systems Security Line of Business initiative.
- Acquire role-based comprehensive specialized security training for personnel with direct responsibilities for protecting IT systems.
- Acquire a Federal Information Security Management Act (FISMA) Reporting Solution to automate FISMA evaluation and reporting processes. The agency will take advantage of shared service center agencies/vendors participating in the Presidential Information Systems Security Line of Business initiative.
- Replace equipment in accordance with life-cycle standards.
- Acquire a digital evidence forensic workstation and automated malicious code analysis software/tools.
- Continue efforts to improve other processes to incorporate security program principles into all aspects of IT system operations.

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Risk Management Services

Capital Element: **Continuity of Operations Improvements**

Fiscal Year 2010 Cost: **$240,000**

Federal Emergency Management Agency and Homeland Security Department directives (Federal Continuity Directives 1 and 2) require Federal agencies to create and maintain a Continuity of Operations (COOP) plan. The COOP plan ensures that the agency can carry on all essential functions in case of a natural or man-made disruption or disaster.

Information technology plays a key role in the continuation of the agency's operations by assisting in the quick recovery of critical and essential government operations during any major disruption. For example, short-term disruption such as a power outage or failure can be quickly resolved by employing a backup capability for systems, personnel, processes and other needs. It can also be longer term, such as in the case of a major weather event or earthquake where services are impacted for several days or, in some cases, weeks. For this long-term disruption of services, the agency may require the ability to relocate and operate at an alternative facility. Investments in this capital item will ensure that the agency would be able to respond quickly with minimal interruption to services and resume normal operations no matter what the emergency or disruption.

The focus for fiscal year 2010 will be on ensuring the availability of data in an emergency. Accordingly, the major initiative for this capital item is as follows.

Remote disk backup – The agency has many mission and time-critical applications that require immediate data restoration in the event of a man-made or natural disruption or disaster. This initiative will provide disk backup (data replication or data mirroring) to the agency's secondary backup center for critical information that needs to be continuously available. In addition to the backup of data, the capability of data availability and restoration via the use of this application will assist in a speedier return to normal operations as well as provide for secure storage.