

**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:**

9/8/2008

**2. Agency:**

Social Security Administration

**3. Bureau:**

Systems

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

Continuous Availability

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

016-00-01-02-01-2143-00

**6. What kind of investment will this be in FY 2010? (Please NOTE: Investments moving to O&M in FY 2010, with Planning/Acquisition activities prior to FY 2010 should not select O&M. These investments should indicate their current status.)**

Planning

**7. What was the first budget year this investment was submitted to OMB?**

FY2010

**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 Continuous Availability (CA) investment will deliver high quality citizen-centered service by ensuring availability of core business functions via enhanced critical systems infrastructure, systems software, new and/or redesigned programmatic-applications software, use of more modern database technologies, and operational enhancements at the Durham Support Center (DSC) and the National Computer Center (NCC). The project supports the Agency's goal of achieving continuous service availability in providing a citizen-focused, technology-enabled e-services suite that is available, stable, changeable, and secure. This strategy covers a broad swath of the Agency's IT landscape and addresses fundamental modernization of IT investments made over the past decades. In order to achieve the objectives of this investment the Social Security Administration (SSA) has developed an investment plan centered on five modernization goals to achieve this end:

1. Provide a continuously-available computing environment - utilizing the co-processing capabilities of the DSC and the NCC, and making fundamental changes to core programmatic systems, to ensure that SSA systems are able to fail-over to the alternative facility with an acceptable impact on the Agency's operational capability;
2. Reengineer internal and external-facing software applications to take advantage of current technologies and improve productivity - modernize SSA's existing systems infrastructure to leverage modern web-based user-centric development approaches;
3. Modernize the foundation on which the Agency's data assets rest - update the fundamental technology on which SSA data systems run, increasing the Agency's ability to develop systems using new technologies;
4. Add computing capacity to accommodate increasing service demand - build the capability to continue to respond to both new work loads and growth in existing work loads;
5. Encrypt all Agency data at rest and in transit.- take additional steps to protect the data held by SSA on behalf of the American public.

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

Yes

a. If "yes," what was the date of this approval? 8/4/2008

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

Yes

**11. Contact information of Program/Project Manager?**

Name

Phone Number

Email

**a. What is the current FAC-P/PM (for civilian agencies) or DAWIA (for defense agencies) certification level of the program/project manager?**

New Program Manager

**b. When was the Program/Project Manager Assigned?**

4/23/2008

**c. What date did the Program/Project Manager receive the FAC-P/PM certification? If the certification has not been issued, what is the anticipated date for certification?**

1/2/2009

**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: Expanded E-Government

Budget Performance Integration

**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?)**

Budget Performance Integration: The Continuous Availability project will support the Agency's goal of achieving near 100 percent continuous service availability by adding redundancy to the system. This will improve the productivity of SSA since work across the Agency is brought to a standstill when the systems are slow or unavailable.

Expanded E-Government: These initiatives will allow the Agency to provide continuous 24X7 (or near 24X7), legitimate systems availability provided to the public.

**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).)**

No

- a. If "yes," does this investment address a weakness found during a PART review?
- b. If "yes," what is the name of the PARTed program?
- c. If "yes," what rating did the PART receive?

**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. In addition to the answer in 11(a), what project management qualifications does the Project Manager have?** (per CIO Council PM Guidance)

(2) Project manager qualification is under review for this investment

**18. Is this investment or any project(s) within this investment identified as "high risk" on the Q4 - FY 2008 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 FFIA 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 FY2010 funding request for the following? (This should total 100%)**

Hardware	76.600000
Software	1.400000
Services	22.000000
Other	0.000000

**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. Contact information of individual responsible for privacy related questions:**

Name

Phone Number

Title

Lead Social Insurance Specialist

E-mail

**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)

	PY-1 and earlier	PY 2008	CY 2009	BY 2010	BY+1 2011	BY+2 2012	BY+3 2013	BY+4 and beyond	Total
Planning:	0	0.275	0.035	0					
Acquisition:	0	0	0	70.456					
Subtotal Planning & Acquisition:	0	0.275	0.035	70.456					
Operations & Maintenance:	0	0	0	0					
TOTAL:	0	0.275	0.035	70.456					
<b>Government FTE Costs should not be included in the amounts provided above.</b>									
Government FTE Costs	0	0	1.387	0.775					
Number of FTE represented by Costs:	0	0	12	7					

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 FY2009 President's budget request, briefly explain those changes:

N/A, this is a new project.

## 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 (In accordance with FAR Part 16)	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)	Name of CO	CO Contact information (phone/email)	Contracting Officer FAC-C or DAWIA Certification Level (Level 1, 2, 3, N/A)	If N/A, has the agency determined the CO assigned has the competencies and skills necessary to support this acquisition ? (Y/N)
Feasibility Study	Firm Fixed Price	No	12/1/2008	12/1/2008	9/30/2009	7	No	Yes	Yes	NA	Yes	Yes	Michelle Burgesen	410-965-9462 /Michelle.Burgesen@ssa.gov	Level 3	
CICS VSAM Recovery Version 3 License and Annual Maintenance item	Firm Fixed Price	No	1/31/2009	10/1/2009	9/30/2019	4	No	Yes	Yes	NA	Yes	Yes	Michelle Burgesen	410-965-9462 / Michelle.Burgesen@ssa.gov	Level 3	
Hardware	Firm Fixed Price	No	1/31/2009	10/1/2009	9/30/2019	885	No	Yes	Yes	NA	No	Yes	Michelle Burgesen	410-965-9462 / Michelle.Burgesen@ssa.gov	Level 3	
Software	Firm Fixed Price	No	1/31/2009	10/1/2009	9/30/2019	20	No	Yes	Yes	NA	No	Yes	Michelle Burgesen	410-965-9462 / Michelle.Burgesen@ssa.gov	Level 3	
Services	Firm Fixed Price	No	1/31/2009	10/1/2009	9/30/2019	528	No	Yes	Yes	NA	Yes	Yes	Michelle Burgesen	410-965-9462 / Michelle.Burgesen@ssa.gov	Level 3	
Maintenance	Firm Fixed Price	No	1/31/2009	10/1/2009	9/30/2019	26	No	Yes	Yes	NA	No	Yes	Michelle Burgesen	410-965-9462 / Michelle.Burgesen@ssa.gov	Level 3	

**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 the intent of OMB guidance and the ANSI standards which define a compliant EVM. SSA performs the vast majority of our work in-house, and thus conducts EVM and program management at the total program level which includes 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 per policy, earned value management requirements are applied to SSA contractors in one of two ways. The first is to require the contractor to satisfy requirements utilizing their own earned value management system (EVMS) in accordance with FAR 52.234. The second is for the contractor to provide necessary data directly into SSA's in-house EVMS.

The supply, maintenance and steady state services contracts listed in the above table generally have little or no Development, Modernization or Enhancement (DME) components, and therefore do not warrant the inclusion of a separate contractor EVMS. These contracts may be subject (as applicable, based on DME content, risk and other policy factors) to SSA EVMS. Required EVM data is furnished by the contractor and included within the program level EVM.

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

Yes

**a. Explain why not or how this is being done?**

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 reflects the requirements of FAR Subpart 7.1 and has been approved in accordance with agency requirements?**

Yes

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

9/5/2008

**1. Is it Current?**

Yes

**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 the next President's Budget.

**Performance Information Table**

Fiscal Year	Strategic Goal(s) Supported	Measurement Area	Measurement Category	Measurement Grouping	Measurement Indicator	Baseline	Target	Actual Results
2010	Service - To deliver high-quality, citizen-centered service	Customer Results	Customer Benefit	Customer Satisfaction	Percent of individuals who do business with SSA rating the overall service as excellent, very good, or good	FY 2007 Actual 81%	TBD	Actual results will be available 2011
2010	Service - To deliver high-quality, citizen-centered service	Customer Results	Service Accessibility	Service Availability	Achieve near 100 percent continuous service availability for the SSA website	To be est. in FY09	To be est. in FY09	Actual results will be available 2011
2010	Stewardship - To ensure superior stewardship of Social Security	Mission and Business Results	Income Security	General Retirement and Disability	Percent of Social Security Number receipts processed up to	To be est. in FY09	To be est. in FY09	Actual results will be available 2011



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:

0.00

**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)
Enterprise Wide Area Network & Services System	Government Only	7/18/2009	7/18/2009

**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 Completed: Security Control Testing	Date the contingency plan tested
Enterprise Wide Area Network & Services System	Government Only	Moderate	yes	7/18/2006	FIPS 200 / NIST 800-53	6/27/2008	1/12/2008

**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?**

Yes

a. If "yes," have those weaknesses been incorporated into the agency's plan of action and milestone process?

Yes

**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
Enterprise Wide Area Network and Services System	No	Yes	The System does not require a PIA under the E-Gov. Act of 2002 as it collects, maintains, or disseminates personally identifiable information only about employees and contractors. <a href="http://www.socialsecurity.gov/foia/html/pia.htm">http://www.socialsecurity.gov/foia/html/pia.htm</a>	Yes	Although this major IT Investment itself does not require a Privacy Act SORN, this System is covered by a Privacy Act SORN. <a href="http://frwebgate5.access.gpo.gov/cgi-bin/waisgate.cgi?WAISSoCID=892243506305+0+0+0&amp;WAISSaction=retrieve">http://frwebgate5.access.gpo.gov/cgi-bin/waisgate.cgi?WAISSoCID=892243506305+0+0+0&amp;WAISSaction=retrieve</a> [SOR 60-0241 - Personal Identification Number (PINFile); 59 F.R. 46441, September 8, 1994]

**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.

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(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
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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?

This investment is new this year. SSA's Transition Strategy will be updated to include this investment for our annual EA Assessment for 02/2009.

### 3. Is this investment identified in a completed and approved segment architecture?

Yes

a. If "yes," provide the six digit code corresponding to the agency segment architecture. The segment architecture codes are maintained by the agency Chief Architect. For detailed guidance regarding segment architecture codes, please refer to <http://www.egov.gov>. 002-000

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

Identify the service components funded by this major IT investment (e.g., knowledge management, content management, customer relationship management, etc.). Provide this information in the format of the following table. For detailed guidance regarding components, please refer to <http://www.egov.gov>.

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)
Case Adjudication Facility	The Case Adjudication Facility will ensure the availability of workload processing for ODAR and the DDSs.	Back Office Services	Data Management	Data Exchange	Data Exchange		Internal	0
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
CICS VSAM Recovery	CICS VSAM Recovery (VR) performs forward recovery of CICS VSAM files. This capacity is needed to restore data within 1 hour of point of failure.	Back Office Services	Data Management	Data Recovery	Data Recovery	016-00-03-00-02-2133-00	Internal	0
eServices	eServices provides a web-based portal for clients to do business with SSA over the Internet.	Back Office Services	Data Management	Extraction and Transformation	Extraction and Transformation	016-00-01-02-02-2130-00	Internal	0
Case Adjudication	The Case Adjudication	Back Office Services	Development and Integration	Data Integration	Data Integration		Internal	0

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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)
Facility	Facility will ensure the availability of workload processing for ODAR and the DDSs.							
Social Security Number Application Process	Social Security Number Application Process (SSNAP) will be a new centralized application that will have essential enumeration functionality from two existing systems: the Modernized Enumeration System (MES) and the New York developed SS-5 Assistant.	Back Office Services	Development and Integration	Legacy Integration	Legacy Integration	016-00-01-03-02-2136-00	Internal	0
eServices	eServices provides a web-based portal for clients to do business with SSA over the Internet.	Customer Services	Customer Relationship Management	Customer / Account Management	Customer / Account Management	016-00-01-02-02-2130-00	Internal	0
Electronic Records Express	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.	Digital Asset Services	Records Management	Document Classification	Document Classification	016-00-01-02-02-2130-00	Internal	0
Electronic Records Express	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
Pointsec Media Encryption (PME)	Pointsec Media Encryption (PME) provides encryption for removal media	Support Services	Security Management	Cryptography	Cryptography	016-00-03-00-02-2133-00	Internal	0
ACU	The Access Control Utility is the security architecture framework for authentication and access	Support Services	Security Management	Identification and Authentication	Identification and Authentication	016-00-02-00-01-2210-00	Internal	0

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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)
	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.							
IRES	Integration Registration Services (IRES) is an internet application that provides registration, authentication and authorization gateway services for Business-to-Government (B2G) suites of services. IRES allows users to register for a User ID and password, request access to applications within the B2G suite of services, and provides access control to B2G applications.	Support Services	Security Management	Identification and Authentication	Identification and Authentication	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:**

To demonstrate how this major IT investment aligns with the FEA Technical Reference Model (TRM), please list the Service Areas, Categories, Standards, and Service Specifications supporting this IT investment.

FEA SRM Component (a)	FEA TRM Service Area	FEA TRM Service Category	FEA TRM Service Standard	Service Specification (b) (i.e., vendor and product name)
Legacy Integration	Component Framework	Business Logic	Platform Dependent Technologies	Java Servlet (JSR 53)
Inbound Correspondence Management	Component Framework	Business Logic	Platform Dependent Technologies	Java Servlet (JSR 53)
Document Classification	Component Framework	Data Management	Database Connectivity	DB2 Connector
Extraction and Transformation	Component Framework	Data Management	Database Connectivity	Open Database Connectivity (ODBC)
Customer / Account Management	Component Framework	User Presentation / Interface	Content Rendering	SSA Online Services Portal

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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)
Data Integration	Service Access and Delivery	Access Channels	Other Electronic Channels	System to System
Identification and Authentication	Service Access and Delivery	Delivery Channels	Internet	
Identification and Authentication	Service Access and Delivery	Service Requirements	Legislative / Compliance	ACU
Cryptography	Service Access and Delivery	Service Requirements	Legislative / Compliance	Pointsec
Data Exchange	Service Interface and Integration	Interface	Service Description / Interface	Application Program Interface (API) / Protocol
Data Recovery	Service Platform and Infrastructure	Hardware / Infrastructure	Embedded Technology Devices	Redundant Array of Independent Disks (RAID)

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., USA.gov, 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? 8/15/2008
  - b. If "no," what is the anticipated date this analysis will be completed?
  - c. If no analysis is planned, please briefly explain why:

**2. Alternative Analysis Results:**

Use the results of your alternatives analysis to complete the following table:

\* Costs in millions

Alternative Analyzed	Description of Alternative	Risk Adjusted Lifecycle Costs estimate	Risk Adjusted Lifecycle Benefits estimate
Alternative 1: High Availability	SSA is able to build high availability into the demanding lines of the business, provide support for the non-systems developed applications and improve the concurrent change controls and release-rollback ability	116.902	1150.28
Alternative 2: High Availability & Always-on Internet	SSA is able to build high availability into the demanding lines of the business, provide support for the non-systems developed applications, improve the concurrent change controls and release-rollback ability, modernize the software development and testing environment and provide always-on internet services	568.995	1150.28
Alternative 3: Continuous Availability	The CA project mitigates the internally identified risks associated with single points of failure at the National Computer Center (NCC) by leveraging availability of a second, fully functional, co-processing data center. Each center will process a portion of SSA's critical and non-critical workloads and back up the data assets of the other. In the event of a disaster, one center will assume the critical workloads of the other. This would include Alternatives 1 and 2.	1437.31	1519.882
Status Quo	SSA would continue to be unable to provide 24X7 (or near 24X7) availability, but would continue to modernize applications.	442.135	0

**3. Which alternative was selected by the Agency's Executive/Investment Committee and why was it chosen?**

Alternative 3: Continuous Availability (CA) was chosen because its phased approach spreads costs over multiple years and mitigates risk. A key benefit of this phased approach is that it will enable the Agency to take advantage of emerging new technologies that will increase capabilities while reducing the costs of data storage and transmission. CA contributes to key strategic objectives in SSA's Annual Performance Plan and directly supports the e-Gov initiative by ensuring continuous availability of SSA's core business functions to the public via an enhanced critical systems infrastructure, systems software, new and/or redesigned programmatic applications software, modern database technologies, and operational functionality at the Agency's Data Support Centers.

In preparation for the anticipated growth of Agency workloads, CA will increase mainframe capacity to accommodate normal growth and expected new workloads. CA also includes server architecture upgrades to better deliver critical applications and services with increased efficiency to the American public and supports the Agency's objectives to protect the sensitive information housed on every American. Additionally, CA is aimed to modernize software development and testing environment, build high availability into demanding lines of business, provide always-on internet services, reduce high risk vulnerabilities in electronic services, provide redundancy in the physical systems infrastructure, provide support for non-systems developed applications, and improve concurrent change controls and release-rollback ability.

Over the next ten year life cycle, CA will provide SSA in approximately \$1.4 billion in benefits. This is approximately a 26% additional increase in benefits over Alternative 1, High Availability and a 24% additional increase in benefits over Alternative 2, High Availability and Always-On Internet. While the other alternatives support the Agency's strategic objectives, unlike CA, they do not provide the comprehensive solution described above.

**a. What year will the investment breakeven? (Specifically, when the budgeted costs savings exceed the cumulative costs.)** Beyond 2021

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

Continuous Availability supports the Agency's goal of achieving near 100 percent continuous service availability for its technology-enabled suite of services that is stable, easily changeable, and secure. This initiative will deliver high quality customer-centered service by ensuring availability of SSA's core business functions via an enhanced critical systems infrastructure, systems software, new and/or redesigned programmatic applications software, modern database technologies, and operational functionality at the Agency's Data Support Centers, i.e., the Durham Support Center (DSC) and the National Computer Center (NCC). Through it, each of the Agency's data centers will be leveraged to back up the data assets of the other and each center will process a portion of SSA's critical and non-critical workloads. Also, in the event of a disaster, one center will assume the critical workloads of the other. Additionally, a more robust software development and testing environment will be created to provide thorough application and performance testing to ensure new and modified applications are error free.

In 2007, more than 16 million customer transactions were completed on the Internet or using automated voice response services through the Social Security national 800 number. The anticipated increase in demand for SSA's internet and telephone services places an enormous amount of pressure that can not be absorbed by SSA's current mainframe capacity and server architecture. Thus, Continuous Availability includes a strategy to increase mainframe capacity to accommodate normal growth and expected new workloads. Additional mainframe capacity may be required for unplanned initiatives, such as those resulting from immigration reform or other non-mission related workload. Continuous Availability also includes planned server architecture upgrades to better deliver critical applications and services with increased efficiency to the American public. This initiative will therefore allow SSA to expand the availability of automated services the agency offers.

Finally, this initiative will improve the productivity of the Agency by keeping select critical systems available 24X7 (or near 24X7), thereby driving downtime to zero and increasing the number of automated transactions, leading to higher productivity.

**5. Federal Quantitative Benefits**

What specific quantitative benefits will be realized (using current dollars) Use the results of your alternatives analysis to complete the following table:

	Budgeted Cost Savings	Cost Avoidance	Justification for Budgeted Cost Savings	Justification for Budgeted Cost Avoidance
PY - 1 2007 & Prior	0	0		
PY 2008	0	0		
CY 2009	0	0	N/A	N/A
BY 2010	0	152.394	N/A	- Reduced unproductive man hours due to system being down - Reduced number of operator assisted calls by increasing internet service to 24X7X365

Exhibit 300: Continuous Availability (Revision 3)

	Budgeted Cost Savings	Cost Avoidance	Justification for Budgeted Cost Savings	Justification for Budgeted Cost Avoidance
				<ul style="list-style-type: none"> <li>- Decreased number of hours dedicated to demanding Lines of Business</li> <li>- Decreased risk of software problems that may lead to outages</li> </ul>
BY + 1 2011	0		N/A	<ul style="list-style-type: none"> <li>- Reduced unproductive man hours due to system being down</li> <li>- Reduced number of operator assisted calls by increasing internet service to 24X7X365</li> <li>- Decreased number of hours dedicated to demanding Lines of Business</li> <li>- Decreased risk of software problems that may lead to outages</li> </ul>
BY + 2 2012	0		N/A	<ul style="list-style-type: none"> <li>- Reduced unproductive man hours due to system being down</li> <li>- Reduced number of operator assisted calls by increasing internet service to 24X7X365</li> <li>- Decreased number of hours dedicated to demanding Lines of Business</li> <li>- Decreased risk of software problems that may lead to outages</li> </ul>
BY + 3 2013	0		N/A	<ul style="list-style-type: none"> <li>- Reduced unproductive man hours due to system being down</li> <li>- Reduced number of operator assisted calls by increasing internet service to 24X7X365</li> <li>- Decreased number of hours dedicated to demanding Lines of Business</li> <li>- Decreased risk of software problems that may lead to outages</li> </ul>
BY + 4 2014 & Beyond	0		N/A	<ul style="list-style-type: none"> <li>- Reduced unproductive man hours due to system being down</li> <li>- Reduced number of operator assisted calls by increasing internet service to 24X7X365</li> <li>- Decreased number of hours dedicated to demanding Lines of Business</li> </ul>

Exhibit 300: Continuous Availability (Revision 3)

	Budgeted Cost Savings	Cost Avoidance	Justification for Budgeted Cost Savings	Justification for Budgeted Cost Avoidance
				- Decreased risk of software problems that may lead to outages
Total LCC Benefit	0		LCC = Life-cycle Cost	

**6. 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:

**5b. List of Legacy Investment or Systems**

Name of the Legacy Investment or Systems	UPI if available	Date of the System Retirement
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## 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? 8/15/2008

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. Since SSA performs IT work in-house program cost and schedule estimates are developed internally. SSA estimators have at their disposal parametric data and numerous sizing and estimating tools which offer an excellent basis to assess and account for 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 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. Comparison of Initial Baseline and Current Approved Baseline**

Complete the following table to compare actual performance against the current performance baseline and to the initial performance baseline. In the Current Baseline section, for all milestones listed, you should provide both the baseline and actual completion dates (e.g., "03/23/2003"/ "04/28/2004") and the baseline and actual total costs (in \$ Millions). In the event that a milestone is not found in both the initial and current baseline, leave the associated cells blank. Note that the 'Description of Milestone' and 'Percent Complete' fields are required. Indicate '0' for any milestone no longer active.

Milestone Number	Description of Milestone	Initial Baseline		Current Baseline				Current Baseline Variance		Percent Complete
		Planned Completion Date (mm/dd/yyyy)	Total Cost (\$M) Estimated	Completion Date (mm/dd/yyyy)		Total Cost (\$M)		Schedule (# days)	Cost (\$M)	
				Planned	Actual	Planned	Actual			
1	Continuous Availability FY09	9/30/2009	\$7.965564	9/30/2009		\$7.965564			0.00%	
1.1	CICS VSAM Recovery (VR) - Recovery License and Maintenance	9/30/2009	\$1.464364	9/30/2009		\$1.464364			0.00%	
1.2	Planning and Analysis	9/30/2009	\$6.501200	9/30/2009		\$6.501200			0.00%	
1.2.1	Early Adopters	5/31/2009	\$0.591675	5/31/2009		\$0.591675			0.00%	
1.2.1.1	Early Adopters Identification	5/31/2009	\$0.118335	5/31/2009		\$0.118335			0.00%	
1.2.1.2	Social Security Number Application Process (SSNAP)	5/31/2009	\$0.118335	5/31/2009		\$0.118335			0.00%	
1.2.1.3	Electronic Records Express	5/31/2009	\$0.118335	5/31/2009		\$0.118335			0.00%	
1.2.1.4	Integrated Registration Services (IRES)	5/31/2009	\$0.118335	5/31/2009		\$0.118335			0.00%	
1.2.1.5	Case Adjudication Facility (CAF)	5/31/2009	\$0.118335	5/31/2009		\$0.118335			0.00%	
1.2.2	System, Technical, Program Support	9/30/2009	\$0.351182	9/30/2009		\$0.351182			0.00%	
1.2.3	Feasibility Study	9/30/2009	\$5.558343	9/30/2009		\$5.558343			0.00%	
1.2.3.1	Project Kick-off	1/31/2009	\$0.082037	1/31/2009		\$0.082037			0.00%	
1.2.3.2	Application Review	6/30/2009	\$0.080127	6/30/2009		\$0.080127			0.00%	
1.2.3.3	Infrastructure/Database Systems Analysis	6/30/2009	\$0.745127	6/30/2009		\$0.745127			0.00%	
1.2.3.4	Network Analysis	6/30/2009	\$0.746679	6/30/2009		\$0.746679			0.00%	
1.2.3.5	Capacity Analysis Mainframe (M/F)	6/30/2009	\$0.747127	6/30/2009		\$0.747127			0.00%	

Exhibit 300: Continuous Availability (Revision 3)

Milestone Number	Description of Milestone	Initial Baseline		Current Baseline				Current Baseline Variance		Percent Complete
		Planned Completion Date (mm/dd/yyyy)	Total Cost (\$M) Estimated	Completion Date (mm/dd/yyyy)		Total Cost (\$M)		Schedule (# days)	Cost (\$M)	
				Planned	Actual	Planned	Actual			
1.2.3.6	Duel Data Center Support	6/30/2009	\$0.747127	6/30/2009		\$0.747127			0.00%	
1.2.3.7	Websphere Analysis	6/30/2009	\$0.747127	6/30/2009		\$0.747127			0.00%	
1.2.3.8	Lessons Learned & Findings	7/31/2009	\$0.703881	7/31/2009		\$0.703881			0.00%	
1.2.3.9	SSA Feasability Result Analysis	9/30/2009	\$0.959111	9/30/2009		\$0.959111			0.00%	
2	Continuous Availability FY10	9/30/2010	\$146.699932	9/30/2010		\$146.699932			0.00%	
2.1	System Analysis, Institutionalization, Support	9/30/2010	\$2.218414	9/30/2010		\$2.218414			0.00%	
2.2	Modernize Pre-Production Applications Testing	9/30/2010	\$44.400000	9/30/2010		\$44.400000			0.00%	
2.3	Build High Availability Into Productivity Demanding Lines Of Businesses	9/30/2010	\$13.496140	9/30/2010		\$13.496140			0.00%	
2.4	Provide Always On Intranet Transactional Services	9/30/2010	\$1.000000	9/30/2010		\$1.000000			0.00%	
2.5	Abate Known High Availability / High Risk Vulnerabilities in Existing Systems	9/30/2010	\$6.209378	9/30/2010		\$6.209378			0.00%	
2.6	Engineer Redundancy Physical Systems Infrastructure	9/30/2010	\$78.376000	9/30/2010		\$78.376000			0.00%	
2.7	Assess and Offer High Availability to All SSANet Apps	9/30/2010	\$0.500000	9/30/2010		\$0.500000			0.00%	
2.8	Improve Concurrent Change Controls and Release Rollback	9/30/2010	\$0.500000	9/30/2010		\$0.500000			0.00%	
3	Continuous Availability FY11	9/30/2011		9/30/2011					0.00%	
4	Continuous Availability FY12	9/30/2012		9/30/2012					0.00%	
5	Continuous Availability FY13	9/30/2013		9/30/2013					0.00%	
6	Continuous Availability FY14	9/30/2014		9/30/2014					0.00%	
<b>Project Totals</b>		<b>9/30/2014</b>		<b>9/30/2014</b>					<b>0.00%</b>	