

**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:**

IT Operations Assurance BY 10

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

016-00-02-00-01-2128-00

**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.)**

Mixed Life Cycle

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

FY2005

**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 IT Operations Assurance (ITOA) project reduces the risk associated with the loss or unavailability of the SSA's National Computer Center (NCC). SSA's current disaster recovery (DR) plan does not have the capability to meet acceptable recovery times and reduce hours of lost work (data) prior to the DR event. The current DR plan does not provide acceptable provisions for phone, network or communication recovery. Additionally, other Agencies in the Government have come to rely on SSA's IT infrastructure. Almost all wage and tax reporting for American Citizens passes through the SSA before reaching the IRS. SSA also serves as the data repository for Homeland Security's E-Verify program that allows employers to verify the employment eligibility of workers. Without this infrastructure, the IRS and Homeland Security would be unable to complete their missions. On a monetary scale, SSA estimates that administrative costs alone for an outage at over 25 million dollars per day. ITOA will lessen the impact of a DR event by establishing a second, fully functional, co-processing data center located in Durham, NC (the Durham Support Center - DSC). At completion of the project in FY 2012, each center will process a portion of SSA's critical and non-critical workloads. Each center will back up the data assets of the other. In a DR event, phone, network and communication functions will automatically fail-over to the remaining site, which will also assume all of the critical workloads of the other site within 24 hours. SSA will lose one hour or less of work (data). The functional site will expand existing infrastructure to support non-critical workloads. ITOA will enable the Agency to achieve the desired recovery time objectives and ensure that SSA remains operational. The project represents a phased plan aimed at proving new technology before putting it into production at the DSC, allowing ITOA to build critical parts of the new infrastructure in the NCC before moving them to the DSC. This approach will effectively spread costs over multiple fiscal years, maximize the value of new technology and determine all critical hardware, software and human resources to ensure failover between both data centers. The performance milestones are detailed in the Performance Information Table (I.D)

**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?**

Senior/Expert/DAWIA-Level 3

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

6/22/2008

**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?**

9/5/2008

**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

Human Capital

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?) ITOA provides for a higher percentage availability of Government electronic services by elimination of single points of failure. It ensures reliable infrastructure to provide fast services to the public via the Internet. It provides the necessary tools to increase productivity and improve job satisfaction, thus developing a high-performing workforce. It allows workers to provide more overall services to the public at a faster rate with few errors, and reduces the likelihood of extended outages.

**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)**

(1) Project manager has been validated as qualified for this investment

**18. Is this investment or any project(s) within this investment identified as "high risk" on the Q4 - FY 2008 agency high risk report (per OMB Memorandum M-05-23)**

Yes

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

No

a. If "yes," does this investment address a 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

53.910000

Software

28.630000

Services

17.460000

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	0	0					
Acquisition:	12.593	8.767	47.459	15.784					
Subtotal Planning & Acquisition:	12.593	8.867	47.459	15.784					
Operations & Maintenance:	0	0	0	15.744					
<b>TOTAL:</b>	<b>12.593</b>	<b>8.867</b>	<b>47.459</b>	<b>31.528</b>					
<b>Government FTE Costs should not be included in the amounts provided above.</b>									
Government FTE Costs	1.923	3.843	6.38	6.757					
Number of FTE represented by Costs:	18	36	55	54					

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?**

Yes

**a. If "yes," How many and in what year?**

In FY 2008 19 FTE's were added to support the Project. In FY 2009, another 11 FTE are planned to support the project. In 2010 another 1 FTE is planned to support the project.

**3. If the summary of spending has changed from the FY2009 President's budget request, briefly explain those changes:**

ITOA moved the unspent budget for FY 2008 into FY 2009 to reflect the delay in occupying the DSC. GSA could not provide ITOA physical access to the DSC as scheduled (November 2007) in the FY 2008 President's budget request. GSA and the lessor encountered delays in obtaining the required permits to begin construction. ITOA's project manager (PM) worked closely with GSA and the lessor to resolve permit problems, and they have provided SSA with a schedule that indicates that we will have access to the DSC in January 2009. This represented a major change to the overall project schedule plans. ITOA's PM is monitoring construction progress. The SSA is working closely with GSA and the lessor to ensure that no avoidable delays occur in the future.

SSA has used the delay to perform much of the testing originally scheduled to occur at the DSC in the NCC. NCC testing is less costly to the project because there is a pre-established testing environment and no additional travel costs for specialized technicians are required. ITOA is also using these delays to pre-configure equipment for rapid installation once access to the DSC is available. Pre-configured equipment is also less costly for the reasons as listed above. Performing testing in the NCC and pre-configuring equipment allows ITOA to compress the schedule in FY 2009, however the project

completion date now extends into FY 2012. The original life-cycle cost of the project will remain essentially the same, with some labor costs increases expected during the compression in FY 2009.

ITOA has deferred purchasing equipment we cannot pre-configure for the DSC planned for FY 2008 until FY 2009. SSA considered funding hardware acquisitions with FY 2008 funds for delivery to the DCS as originally planned. However, purchasing equipment at this time for future delivery to the second data center represents a technological risk to the Agency. The current schedule estimates that SSA will not gain access to DSC until FY 2009, and some of the equipment purchased in FY 2008 would be approaching its' useable half-life, or near technological obsolescence by the time SSA took delivery.

## **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)
BPA Contract SS00-07-31209 Tape Silos & Equipment	Firm Fixed Price	No	1/1/2008	1/1/2008	10/1/2012	14.364	No	Yes	Yes	NA	No	Yes	Burgeson, Michelle	410-965-9462 / michelle.burgeson@ssa.gov	Level 3	
BPA Contract SS00-06-40015 Mainframe	Firm Fixed Price	No	8/1/2006	1/1/2008	10/1/2012	40.044	No	Yes	Yes	NA	No	Yes	Burgeson, Michelle	410-965-9462 / michelle.burgeson@ssa.gov	Level 3	
FTS2001	Firm Fixed Price	Yes	1/1/2001	1/1/2008	10/1/2012	13.889	No	Yes	Yes	NA	No	Yes	Burgeson, Michelle	410-965-9462 / michelle.burgeson@ssa.gov	Level 3	
GSA Schedule	Firm Fixed Price	No	1/1/2008	1/1/2008	10/1/2012	52.742	No	Yes	Yes	NA	No	Yes	Burgeson, Michelle	410-965-9462 / michelle.burgeson@ssa.gov	Level 3	
BPA Contract SS00-06-60133 DASD	Firm Fixed Price	No	1/1/2008	1/1/2008	10/1/2012	14.823	No	Yes	Yes	NA	No	Yes	Burgeson, Michelle	410-965-9462 / michelle.burgeson@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.

An example of the second case is the Lockheed Martin (LM) AWSSC Task Order contract where LM provides SSA with IT labor support. AWSSC task orders are issued annually on a fixed hour and dollar basis with very detailed work scopes, deliverables and schedules. In these scenarios SSA realizes efficiency advantages by mandating that LM utilize SSA's EVMS, which includes more consolidated and consistent tracking of program level resources and lower contractor costs. SSA's IT Advisory Board allocates these contractors to projects at the same time that it allocates Federal IT employees to the same projects. This is due to the fact that these contractors work side by side with federal employees, charge to the same work break down codes and perform the same work according to SSA mandated schedules, budgets and scope agreements. SSA has an in-house, program level EVMS that produces data attributable to the component and sub-component levels, thereby enabling these contractor's efforts to be easily separately monitored. The LM AWSSC Task Order contract also has many related progress, schedule and cost monitoring tools. Finally, instead of having contractor reporting be a month behind government reporting (as the case would be if we waited for separate contractor EVM reports) this process allows for expedited time reporting.

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.

**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 offerors are fully compliant or as compliant as possible based on the state of the technology in the marketplace. This is accomplished through review of technical documentation as well as through actual testing of the product.

**4. Is there an acquisition plan which 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
2009	Service - To deliver high-quality, citizen-centered service	Customer Results	Service Quality	Accuracy of Service or Product Delivered	Percent of original Social Security Numbers issued	FY 2006 Actual 97.9%	95%	Actual results will be available in FY 2010

Exhibit 300: IT Operations Assurance BY 10 (Revision 8)

Fiscal Year	Strategic Goal(s) Supported	Measurement Area	Measurement Category	Measurement Grouping	Measurement Indicator	Baseline	Target	Actual Results
					that we correctly assign			
2009	Service - To deliver high-quality, citizen-centered service	Mission and Business Results	Disaster Management	Disaster Repair and Restore	Hours needed to restore critical systems (Recovery Time)	80 hours	60 hours	Actual results will be available in FY 2010
2009	Service - To deliver high-quality, citizen-centered service	Mission and Business Results	Income Security	General Retirement and Disability	Percent of Retirement and Survivors Insurance claims receipts processed up to the budgeted level	2007 Actual 100.7% (3,863,813)	100% (4,338,000)	Actual results will be available in FY 2010
2009	Stewardship - To ensure superior stewardship of Social Security programs and resource	Processes and Activities	Cycle Time and Timeliness	Cycle Time	Percent of Social Security Number receipts processed up to the budgeted level	FY 2007 Actual 97% 17,644,840	96% (budgeted level 18,000,000)	Actual results will be available in FY 2010
2009	Stewardship - To ensure superior stewardship of Social Security programs and resource	Technology	Reliability and Availability	Availability	Hours of lost transactions (Recovery Point)	16 hours	8 hours	Actual results will be available in FY 2010
2010	Service - To deliver high-quality, citizen-centered service	Customer Results	Service Quality	Accuracy of Service or Product Delivered	Percent of original Social Security Numbers issued that we correctly assign	FY 2006 Actual 97.9%	TBD	Actual results will be available in FY 2011
2010	Service - To deliver high-quality, citizen-centered service	Mission and Business Results	Disaster Management	Disaster Repair and Restore	Hours needed to restore critical systems (Recovery Time)	60 hours	40 hours	Actual results will be available in FY 2011
2010	Service - To deliver high-quality, citizen-centered service	Mission and Business Results	Income Security	General Retirement and Disability	Percent of Retirement and Survivors Insurance claims receipts processed up to the budgeted level	2007 Actual 100.7% (3,863,813)	100% (4,505,000)	Actual results will be available in FY 2011
2010	Service - To deliver high-quality, citizen-centered service	Mission and Business Results	Workforce Management	Labor Rights Management	Provide off loading capability of Help desk services at the NCC to the DSC	24 hour availability	Provide 24 hr staffing	Actual results will be available in FY 2011
2010	Stewardship - To ensure superior stewardship of Social Security programs and resource	Processes and Activities	Cycle Time and Timeliness	Cycle Time	Percent of Social Security Number receipts processed up to the budgeted level	FY 2007 Actual 97% 17,644,840	96% (budgeted level 18,000,000)	Actual results will be available in FY 2011
2010	Stewardship - To ensure superior stewardship of Social Security programs and resource	Technology	Reliability and Availability	Availability	Hours of lost transactions (Recovery Point)	8 hours	2 hours	Actual results will be available in FY 2011

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

In order to successfully address this area of the business case, each question below must be answered at the system/application level, not at a program or agency level. Systems supporting this investment on the planning and operational systems security tables should match the systems on the privacy table below. Systems on the Operational Security Table must be included on your agency FISMA system inventory and should be easily referenced in the inventory (i.e., should use the same name or identifier).

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

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

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

Please respond to the questions below and verify the system owner took the following actions:

**1. Have the IT security costs for the system(s) been identified and integrated into the overall costs of the investment?:**

Yes

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

100.00

**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 and 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 and 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?WAISdocID=892243506305+0+0+0&amp;WAISaction=retrieve">http://frwebgate5.access.gpo.gov/cgi-bin/waisgate.cgi?WAISdocID=892243506305+0+0+0&amp;WAISaction=retrieve</a> [SOR 60-0241 - Personal

Exhibit 300: IT Operations Assurance BY 10 (Revision 8)

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

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

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

**1. Is this investment included in your agency's target enterprise architecture?**

Yes

a. If "no," please explain why?

**2. Is this investment included in the agency's EA Transition Strategy?**

Yes

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

Information Technology Operational Assurance

b. If "no," please explain why?

**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>.

012-000

**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)
SFA	Sunflower Asset System is the COTS package used to manage SSA physical assets.	Back Office Services	Asset / Materials Management	Property / Asset Management	Property / Asset Management	016-00-01-01-02-2129-00	Internal	0
RAID, RMF	Redundant Array of Independent Disks. This disk subsystem architecture uses multiple hard drives to write data to achieving redundancy and enhancing fault resilience. RMF (Resource Measurement Facility) operates exclusively on IBM's Multiple Virtual Space (MVS) operating systems. RMF measures performance, utilization,	Back Office Services	Data Management	Data Recovery	Data Recovery	016-00-02-00-01-2210-00	Internal	0

Exhibit 300: IT Operations Assurance BY 10 (Revision 8)

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)
	resource consumption, and workload levels for MVS systems.							
PA I/O Driver	Performance Associates software used to generate transaction traffic in an effort to simulate higher volume workloads for testing of throughput thresholds.	Back Office Services	Development and Integration	Instrumentation and Testing	Instrumentation and Testing	016-00-02-00-01-2210-00	Internal	0
DMA	Document Management Architecture and ORS which is the Online Retrieval System (ORS) that provides the ability to view any notice that has been sent to a customer. ORS also stores the notices in an exact image of the original, thus allowing SSA to adhere to Federal regulations on retention of documents, and move closer to an efficient, paperless environment.	Business Analytical Services	Visualization	Imagery	Imagery	016-00-02-00-01-2210-00	Internal	0
QA2	QA2 enforces the completion of an System Release Certification through its interface with the online and batch release processes.	Business Management Services	Management of Processes	Configuration Management	Configuration Management	016-00-03-00-02-2133-00	Internal	0
Omegamon	IBM Tivoli Monitoring is an enterprise-class, easy-to-use solution that optimizes the performance and availability of your entire IT infrastructure. Through a single customizable workspace portal, you can proactively manage the health and availability of your IT infrastructure, end-to-end, including operating systems, databases and servers, across distributed and host environments.	Business Management Services	Organizational Management	Network Management	Network Management	016-00-02-00-01-2210-00	Internal	0
SSASy	SSA's Streamlined Acquisition System (SSASy)	Business Management Services	Supply Chain Management	Ordering / Purchasing	Ordering / Purchasing	016-00-01-01-02-2129-00	Internal	0

Exhibit 300: IT Operations Assurance BY 10 (Revision 8)

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)
	is a paperless, electronic tool used to prepare, submit and process purchase requests.							
FECS	The Front-End Capture System (FECS) is the software used to provide the front-end capture capabilities needed to process unstructured data.	Digital Asset Services	Document Management	Document Imaging and OCR	Document Imaging and OCR	016-00-02-00-01-2210-00	Internal	0
Nokia and Netscreen Firewalls, VPN	Virtual Private Networking (VPN) is a facility that allows a user to access SSA's mainframe computers, Local Area Networks, or e-mail from a remote location. Firewalls are specially-fortified hosts which sit between two networks and control access from one network to another via a set of rules.	Support Services	Security Management	Access Control	Access Control	016-00-02-00-01-2210-00	Internal	0
S/MIME	S/MIME is a public key encryption protocol for securely sending Multi-purpose Internet Mail Extension (MIME) attachments. eTrust SSO provides internal SSA end users a login option (leveraging Microsoft Active Directory login) that allows them to more effectively manage UserIDs and passwords for multiple applications (Internet, Intranet and/or CISC) - each one with unique sign-on requirements.	Support Services	Security Management	Access Control	Access Control	016-00-02-00-01-2210-00	Internal	0
eTrust	eTrust SSO provides internal SSA end users a login option (leveraging Microsoft Active Directory login) that allows them to more effectively manage UserIDs and passwords for multiple applications (Internet, Intranet and/or	Support Services	Security Management	Access Control	Access Control	016-00-03-00-02-2133-00	Internal	0

Exhibit 300: IT Operations Assurance BY 10 (Revision 8)

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)
	CISC) - each one with unique sign-on requirements.							
SSL	Secure Sockets Layer (SSL) is a protocol developed by Netscape for transmitting private documents via the Internet. SSL uses a cryptographic system that uses two keys to encrypt data - a public key known to everyone and a private or secret key known only to the recipient of the message.	Support Services	Security Management	Cryptography	Cryptography	016-00-03-00-02-2133-00	Internal	0
Top Secret	TOP SECRET is the security software running on all of SSA's mainframe systems.	Support Services	Security Management	Identification and Authentication	Identification and Authentication	016-00-02-00-01-2210-00	Internal	0
SSASy	SSA's Streamlined Acquisition System (SSASy) is a paperless, electronic tool used to prepare, submit and process purchase requests.	Support Services	Systems Management	License Management	License Management	016-00-01-01-02-2129-00	Internal	0
Omegamon, Directory Services	IBM Tivoli Monitoring is an enterprise-class, easy-to-use solution that optimizes the performance and availability of your entire IT infrastructure. Through a single customizable workspace portal, you can proactively manage the health and availability of your IT infrastructure, end-to-end, including operating systems, databases and servers, across distributed and host environments.	Support Services	Systems Management	Remote Systems Control	Remote Systems Control	016-00-02-00-01-2210-00	Internal	0
Omegamon	IBM Tivoli Monitoring is an enterprise-class, easy-to-use solution that optimizes the performance and availability of your entire IT infrastructure. Through a single customizable workspace portal, you can proactively	Support Services	Systems Management	System Resource Monitoring	System Resource Monitoring	016-00-02-00-01-2210-00	Internal	0

Exhibit 300: IT Operations Assurance BY 10 (Revision 8)

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)
	manage the health and availability of your IT infrastructure, end-to-end, including operating systems, databases and servers, across distributed and host environments.							

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)
Configuration Management	Component Framework	Business Logic	Platform Dependent Technologies	Visual Basic .Net (VB.Net)
Configuration Management	Component Framework	Data Management	Database Connectivity	Active Data Objects .Net (ADO.Net)
Imagery	Component Framework	Data Management	Database Connectivity	Java Database Connectivity (JDBC)
Configuration Management	Component Framework	Data Management	Database Connectivity	Open Database Connectivity (ODBC)
Document Imaging and OCR	Component Framework	Security	Supporting Security Services	Secure Multipurpose Internet Mail Extensions (S/MIME)
Access Control	Component Framework	Security	Supporting Security Services	Secure Multipurpose Internet Mail Extensions (S/MIME)
Identification and Authentication	Component Framework	Security	Supporting Security Services	TopSecret
Document Imaging and OCR	Component Framework	Security	Supporting Security Services	Transport Layer Security (TLS)
Configuration Management	Component Framework	User Presentation / Interface	Dynamic Server-Side Display	Active Server Pages .Net (ASP.Net)
Document Imaging and OCR	Service Access and Delivery	Access Channels	Collaboration / Communications	Electronic Mail (E-mail)
Document Imaging and OCR	Service Access and Delivery	Access Channels	Collaboration / Communications	Facsimile (Fax)
Access Control	Service Access and Delivery	Access Channels	Other Electronic Channels	System to System
Instrumentation and Testing	Service Access and Delivery	Access Channels	Other Electronic Channels	System to System
Imagery	Service Access and Delivery	Access Channels	Other Electronic Channels	Web Service
Imagery	Service Access and Delivery	Service Requirements	Hosting	Internal (within Agency)
Document Imaging and OCR	Service Access and Delivery	Service Requirements	Hosting	Internal (within Agency)
Remote Systems Control	Service Access and Delivery	Service Requirements	Hosting	Internal (within Agency)
Access Control	Service Access and Delivery	Service Requirements	Hosting	Internal (within Agency)
Intrusion Detection	Service Access and Delivery	Service Requirements	Hosting	Internal (within Agency)
System Resource Monitoring	Service Access and Delivery	Service Requirements	Hosting	Internal (within Agency)
Instrumentation and Testing	Service Access and Delivery	Service Requirements	Hosting	Internal (within Agency)
Configuration Management	Service Access and Delivery	Service Requirements	Hosting	Internal (within Agency)
Software Distribution	Service Access and Delivery	Service Requirements	Hosting	Internal (within Agency)
Identification and Authentication	Service Access and Delivery	Service Requirements	Hosting	Internal (within Agency)
Network Management	Service Access and Delivery	Service Requirements	Hosting	Internal (within Agency)
Property / Asset Management	Service Access and Delivery	Service Requirements	Hosting	Internal (within Agency)
Access Control	Service Access and Delivery	Service Requirements	Legislative / Compliance	Security
Identification and	Service Access and Delivery	Service Requirements	Legislative / Compliance	Security

Exhibit 300: IT Operations Assurance BY 10 (Revision 8)

FEA SRM Component (a)	FEA TRM Service Area	FEA TRM Service Category	FEA TRM Service Standard	Service Specification (b) (i.e., vendor and product name)
Authentication				
Document Imaging and OCR	Service Access and Delivery	Service Transport	Service Transport	File Transfer Protocol (FTP)
Document Imaging and OCR	Service Access and Delivery	Service Transport	Supporting Network Services	Multipurpose Internet Mail Extensions (MIME)
Document Imaging and OCR	Service Access and Delivery	Service Transport	Supporting Network Services	Simple Mail Transfer Protocol (SMTP)
Identification and Authentication	Service Interface and Integration	Integration	Middleware	CICS
Imagery	Service Platform and Infrastructure	Database / Storage	Database	Content Manager
Ordering / Purchasing	Service Platform and Infrastructure	Delivery Servers	Application Servers	
Cryptography	Service Platform and Infrastructure	Delivery Servers	Application Servers	
Property / Asset Management	Service Platform and Infrastructure	Delivery Servers	Application Servers	
Property / Asset Management	Service Platform and Infrastructure	Delivery Servers	Application Servers	
Ordering / Purchasing	Service Platform and Infrastructure	Hardware / Infrastructure	Embedded Technology Devices	Hard Disk Drive
Cryptography	Service Platform and Infrastructure	Hardware / Infrastructure	Embedded Technology Devices	Hard Disk Drive
Property / Asset Management	Service Platform and Infrastructure	Hardware / Infrastructure	Embedded Technology Devices	Hard Disk Drive
Property / Asset Management	Service Platform and Infrastructure	Hardware / Infrastructure	Embedded Technology Devices	Hard Disk Drive
Data Recovery	Service Platform and Infrastructure	Hardware / Infrastructure	Embedded Technology Devices	Redundant Array of Independent Disks (RAID)
Intrusion Detection	Service Platform and Infrastructure	Hardware / Infrastructure	Network Devices / Standards	Firewall
Imagery	Service Platform and Infrastructure	Hardware / Infrastructure	Peripherals	Direct Access Storage Device (DASD)
Instrumentation and Testing	Service Platform and Infrastructure	Hardware / Infrastructure	Peripherals	Direct Access Storage Device (DASD)
Identification and Authentication	Service Platform and Infrastructure	Hardware / Infrastructure	Peripherals	Direct Access Storage Device (DASD)
Identification and Authentication	Service Platform and Infrastructure	Hardware / Infrastructure	Peripherals	Mainframe
Document Imaging and OCR	Service Platform and Infrastructure	Hardware / Infrastructure	Peripherals	Scanner
Remote Systems Control	Service Platform and Infrastructure	Hardware / Infrastructure	Servers / Computers	Enterprise Server
Access Control	Service Platform and Infrastructure	Hardware / Infrastructure	Servers / Computers	Enterprise Server
System Resource Monitoring	Service Platform and Infrastructure	Hardware / Infrastructure	Servers / Computers	Enterprise Server
Software Distribution	Service Platform and Infrastructure	Hardware / Infrastructure	Servers / Computers	Enterprise Server
Network Management	Service Platform and Infrastructure	Hardware / Infrastructure	Servers / Computers	Enterprise Server
Remote Systems Control	Service Platform and Infrastructure	Hardware / Infrastructure	Servers / Computers	Mainframe
System Resource Monitoring	Service Platform and Infrastructure	Hardware / Infrastructure	Servers / Computers	Mainframe
Instrumentation and Testing	Service Platform and Infrastructure	Hardware / Infrastructure	Servers / Computers	Mainframe
Network Management	Service Platform and Infrastructure	Hardware / Infrastructure	Servers / Computers	Mainframe
Network Management	Service Platform and Infrastructure	Hardware / Infrastructure	Wide Area Network (WAN)	Frame Relay
Instrumentation and Testing	Service Platform and Infrastructure	Software Engineering	Software Configuration Management	Configuration Testing
Instrumentation and Testing	Service Platform and Infrastructure	Software Engineering	Software Configuration Management	Installation Testing
Instrumentation and Testing	Service Platform and Infrastructure	Software Engineering	Software Configuration Management	Load/Stress/Volume Testing
Instrumentation and Testing	Service Platform and Infrastructure	Software Engineering	Software Configuration Management	Performance Profiling
Instrumentation and Testing	Service Platform and Infrastructure	Software Engineering	Software Configuration Management	Reliability Testing
Imagery	Service Platform and Infrastructure	Support Platforms	Independent Platform	Java 2 Platform Enterprise Edition (J2EE)

Exhibit 300: IT Operations Assurance BY 10 (Revision 8)

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?**

8/13/2008

**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
1. Accelerated Dual Site	Alternative is essentially the same as the Dual Site Phase, only the schedule would be accelerated so that the project would be completed in one year. This alternative would compress the schedule significantly to allow SSA to receive benefits at an earlier date (within one year).	239.778	496.622
2. Decelerated Dual Site	Alternative is essentially the same as the Dual Site Phase, only the schedule would be decelerated so that the project would extend three years, till 2015. This alternative would allow for greater testing of equipment, processes and procedures to reduce some areas of risk in moving workloads.	187.269	549.131
3. Dual Site Phased - Contracted	Alternative is essentially the same as the Dual Site Phase, only the provisioning and operation of the center would be contracted out to vendors.	232.022	504.378
Chosen Alternative - Status Quo - Dual Site Phased	SSA leased facility - moderate risk-adjusted cost factor. Similar to the Accelerated Dual Site alternative, except that for the phased-in implementation of dual site capability. It scales back the redundancy in the dual site and utilizes larger volumes of tape. The dual site provides the SSA	151.169	585.231

Exhibit 300: IT Operations Assurance BY 10 (Revision 8)

Alternative Analyzed	Description of Alternative	Risk Adjusted Lifecycle Costs estimate	Risk Adjusted Lifecycle Benefits estimate
	with an alternative that spreads the single point of failure risks over two locations. It is configured with the necessary system hardware, supporting infrastructure, and support personnel.		

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

The chosen alternative is the Status Quo. The Program conducted a Value Measurement Methodology (VMM) comparison of the current progress of the program, (status quo) and three other alternatives. VMM provides the structure, tools, and techniques to form a quantitative analysis of benefits, cost and risk. All alternatives assume that the SSA use the DSC as a dual processing site, and that the currently planned workloads will migrate to the center. The three alternatives considered contracting out all activities at the DSC, accelerating the remaining 3 years of the program into one, or adding an additional 3 years to the program. The VMM measured Cost Estimate Structures (CES), Risk and Value. The VMM created the following scores for the status quo and each alternative. The status quo was the chosen alternative because it yielded the lowest risk adjusted CES and the highest risk adjusted value (RAV) score (91.88) when compared to the other three alternatives. The risk adjusted value to cost ration (VCR) was .62, with a risk adjusted benefit to cost ratio (BCR) of 5.04. The status quo high scores are understandable given the extensive planning and testing that the ITOA project has completed to date. The dual phased contracted option had a higher risk adjusted CES, and a RAV score of (66.33). The risk adjusted VCR was .34, with a risk adjusted BCR of 3.28. SSA could not realize savings under this alternative and risk to the Agency increased. A contracted site increases the number of SSA task managers, yet decreases the actual level of control the Agency maintains over infrastructure. The dual phased accelerated option had the highest risk adjusted CES, and the lowest RAV score (34.46). The risk adjusted VCR was .26, with a risk adjusted BCR of 3.18. Accelerating the program would require additional resources that create risk, along with increasing the likelihood that the program would fail to meet processing requirements. These alternatives reduced the likelihood that the DSC would leverage the latest technology and have innovation opportunities that the current schedule provides. The dual phased decelerated option had low risk adjusted CES, and the second highest RAV score (75.31). The risk adjusted VCR was .44, with a risk adjusted BCR of 4.07. Extending the program at this point in the lifecycle also extends maintenance costs, and would present overall risks if an actual disaster occurred in the NCC.

**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?**

ITOA based the qualitative benefits analysis on the VMM normalized scale for integrating objective and subjective perspectives on value into a single metric. The five areas considered are Customer, Social, Operational, Strategic/Political and Financial. Customer value is demonstrated by the amount of time users spend when conducting transactions with the government. An outage at the NCC would create a significant disruption to the customer valued both in time and money. Without a DR strategy that meets acceptable RTO, customers will experience diminished value from SSA. Social: Although not the primary focus of this initiative, the ITOA has ensured that the project is consistent with the President's Management Agenda in the following areas: Stewardship of public funds; Prevention or detection of fraud, waste, or abuse; and Government accountability. Other social benefits include trust in the Government in the event of a disaster and improved data security. Financial: The ITOA project has a direct impact on SSA and other Federal government budgets. The quality of pass through data to other Agencies (IRS) would have a direct effect on the financial stability of the Federal Government. Operational Value: The project's primary focus is ensuring that SSA protects capacity and infrastructure that provides value to the Government. Benefits include operational continuity during a disaster, severe weather events, the opportunity for true 24x7 service to the public via the Internet, expanded hours of systems availability, and improved access for Foreign Service Posts. By splitting the IT infrastructure, benefits also accrue in the area of performance management as problems affecting one facility's computing environment are unlikely to affect the other. With planned IT infrastructure expansions occurring in two locations, SSA mitigates operational risks by placing new infrastructure in two different locations. Strategic/Political Value - ITOA's strategic and political value aligns with projected performance to the targets defined in the SSA's strategic plan. This investment shows tangible benefits in the event of a disaster, including the deliver of high-quality, citizen-centered service, and ensuring the integrity of Social Security programs through the protection of critical assets.

**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	406.2		FY 2009 project plans include the completion of the DSC Structure, SSA personnel

Exhibit 300: IT Operations Assurance BY 10 (Revision 8)

	Budgeted Cost Savings	Cost Avoidance	Justification for Budgeted Cost Savings	Justification for Budgeted Cost Avoidance
				access to DSC (January 2009 target date), the installation of core business mainframes and movement of some critical workloads. SSA will also build out the vital communication network back to the NCC, install local backup and restore capacity, and move some critical distributed applications to run at the DSC. This infrastructure build out will reduce the cost of an outage from 30 days - \$761.8M to 14 days \$355.6M.
BY 2010	0	177.9		FY 2010 project plans include a mature second Call Center, journaling from the NCC to the DSC, full staffing the DSC for operations capability, an ISeries mainframe installation to back up other sites, progressive backing up of the workloads running in the DSC to the NCC, testing the recovery of the DSC at the NCC, and the elimination of multiple single points of failure. This infrastructure build out will reduce the cost of an outage from 14 days - \$355.6M to 7 days \$177.8M
BY + 1 2011	0	101.5		FY 2011 project plans include the installation of a VTC redundancy system, Client/Server equipment designated for the DSC and the data-share failover, additional staffing of the DSC for operations capability and VCCC Help Desk, backing up NCC data at the DSC, testing the recovery of the NCC at the DSC, and the elimination of most single points of failure. This infrastructure build out will reduce the cost of an outage from 7 days - \$177.8M to 3 days \$76.2M
BY + 2 2012	0	50.8		FY 2012 project plans include the final testing of complete data center to data center backup. Workloads will be swapped and tested between sites. Both sites will be fully provisioned to back up the assets of the other site. Two-

Exhibit 300: IT Operations Assurance BY 10 (Revision 8)

	Budgeted Cost Savings	Cost Avoidance	Justification for Budgeted Cost Savings	Justification for Budgeted Cost Avoidance
				way backup completed - Reduces the cost of an outage from 3 days - \$76.2M to 1 day \$25.4M
BY + 3 2013	0	0		
BY + 4 2014 & Beyond	0	0		
Total LCC Benefit	0	736.4	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 of 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?

7/30/2008

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.

The investment's phased implementation reflects a life cycle cost spread over several years. The project's primary risk dependency is the occupation of the DSC. Until ITOA can begin the initial stocking and installation of equipment at the DSC, the only costs to the project are FTE costs for planning and testing, with minor IT purchases to support proof of concept efforts. Therefore, the ITS budget at project completion will not be significantly affected by minor delays to DSC occupation. Historically, ITOA has responded to delays in occupying the DSC by re-

scheduling budgets for individual years to reflect those delays. ITOA recognizes that occupation of a second data center is a critical milestone and represented a major risk to the project. ITOA formulated a contingency plan that would allow the project to move forward and position itself for a later occupancy date than planned. ITOA designed the contingency plan to minimize risk to the project and the Agency, while accomplishing verifiable milestones that are not dependent on the occupation of a second data center. ITOA is now implementing that plan, and intends to gain access to the DSC for initial stocking and installation of equipment in FY 2009. ITOA will test the internal IT cabling, the stability of the electrical systems, the back up power, the telecommunications and network infrastructure, the physical security systems, and install the IT equipment to meet the specific mission of ITOA. ITOA will begin transferring live workloads to the DSC in the second quarter of FY 2009. FY 2010 and 2011 will include the phased transfer of additional workloads and personnel into the DSC. FY 2012 will feature the final transition on planned workloads along with the establishment of a fully functional, stabilized infrastructure that is capable of serving as an alternate processing center for SSA's IT requirements.

## 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:

The acquisition schedule was adjusted to account for the delay in determining the second data center's location.

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

Yes

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

8/29/2008

### 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	ITOA FY 06	9/30/2006	\$4.721700	9/30/2006	9/30/2006	\$4.240300	\$4.363000	0	-\$0.122800	100.00%
1.1	ITOA Planning Phase	9/30/2006	\$0.428200	9/30/2006	9/30/2006	\$0.528000	\$0.550200	0	-\$0.022200	100.00%
1.1.1	Separate and isolate the internet and intranet	9/30/2006	\$0.085640	9/30/2006	9/30/2006	\$0.105600	\$0.109200	0	-\$0.003600	100.00%

Exhibit 300: IT Operations Assurance BY 10 (Revision 8)

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			
	application architectures (e.g., SHE, WebSphere, Cold Fusion, etc) determine which applications will be moved to the 2nd data center and ensure enough equipment in both sites to run critical application.									
1.1.2	Separate and isolate the Electronic Messaging (eMail) architecture housed in the NCC then determine infrastructure for each data center.	9/30/2006	\$0.064230	9/30/2006	9/30/2006	\$0.079200	\$0.083000	0	-\$0.003800	100.00%
1.1.3	Determine how to move mainframe systems 91 and 92 to the 2nd data center.	9/30/2006	\$0.107050	9/30/2006	9/30/2006	\$0.132000	\$0.138000	0	-\$0.006000	100.00%
1.1.4	Engineer 2-way remote vaulting, remote journal vaulting.	9/30/2006	\$0.171280	9/30/2006	9/30/2006	\$0.211200	\$0.220000	0	-\$0.008800	100.00%
1.1.5	Award the offsite storage facility contract for the new data center.	9/30/2006	\$0.000000	9/30/2006	9/30/2006	\$0.000000	\$0.000000	0	\$0.000000	100.00%
1.2	Purchasing Phase	9/30/2006	\$4.020900	9/30/2006	9/30/2006	\$3.659400	\$3.758500	0	-\$0.099100	100.00%
1.2.1	Bandwidth: CEs, tape and DASD; UUNet internet and WAN connections.	9/30/2006	\$4.020900	9/30/2006	9/30/2006	\$3.659400	\$3.758500	0	-\$0.099100	100.00%
1.3	ITOA Provisioning Phase	9/30/2006	\$0.174700	9/30/2006	9/30/2006	\$0.026500	\$0.026500	0	-\$0.000100	100.00%
1.3.1	Take possession of a building.	9/30/2006	\$0.034900	9/30/2006	9/30/2006	\$0.005300	\$0.005000	0	\$0.000280	100.00%
1.3.2	Move: Internet equipment from the Chicago ROCC to the new data center, Active Directory (AD) backup equipment from the Philadelphia ROCC to the new data center.	9/30/2006	\$0.026200	9/30/2006	9/30/2006	\$0.004000	\$0.004000	0	-\$0.000040	100.00%
1.3.3	Install: System 93; Links: CEs, WAN, and Internet; Equipment: WAN and Internet network; Internet Content, Email, Blackberry, and remote-access VPN infrastructures, and accommodations for on-site	9/30/2006	\$0.043700	9/30/2006	9/30/2006	\$0.006600	\$0.006500	0	\$0.000100	100.00%

Exhibit 300: IT Operations Assurance BY 10 (Revision 8)

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			
	staff, including LAN equipment and Telephones.									
1.3.4	Establish capability for a second SSN card print facility in the 2nd data center	9/30/2006	\$0.069900	9/30/2006	9/30/2006	\$0.010600	\$0.011000	0	-\$0.000440	100.00%
1.4	ITOA - Proving Phase	9/30/2006	\$0.097900	9/30/2006	9/30/2006	\$0.026400	\$0.027800	0	-\$0.001400	100.00%
1.4.1	Using the duplicate OTSO Test Complex and the SEF, ensure that all processes are fully functional and operational then shut down NCC OTSO Test Complex and SEF.	9/30/2006	\$0.097900	9/30/2006	9/30/2006	\$0.026400	\$0.027800	0	-\$0.001400	100.00%
2	ITOA FY 07	9/30/2007	\$43.784200	9/30/2007	9/30/2007	\$5.013059	\$5.243800	0	-\$0.230741	100.00%
2.1	Planning Activities	9/30/2007	\$2.141000	9/30/2007	9/30/2007	\$1.045517	\$1.065900	0	-\$0.020383	100.00%
2.2	Purchasing Activities	9/30/2006	\$41.370600	9/30/2007	9/30/2007	\$3.834935	\$4.045900	0	-\$0.210965	100.00%
2.3	Provisioning	9/30/2007	\$0.174700	9/30/2007	9/30/2007	\$0.060276	\$0.060200	0	\$0.000076	100.00%
2.4	Proving	9/30/2007	\$0.097900	9/30/2007	9/30/2007	\$0.072331	\$0.071800	0	\$0.000531	100.00%
3	FY 2008 ITOA Planning Package	9/30/2008	\$21.352900	9/30/2008		\$8.761758	\$3.535385	0	\$0.000000	40.35%
3.1	Planning Activities	9/30/2008	\$2.141000	9/30/2008		\$1.033085	\$0.920362	0	\$0.000000	89.09%
3.2	Purchasing Activities	9/30/2008	\$18.939300	9/30/2008		\$7.617836	\$2.525682	0	\$0.000000	33.16%
3.2.1	Telecommunications	9/30/2008	\$0.378563	9/30/2008		\$0.152267	\$0.139131	0	\$0.000000	91.37%
3.2.2	Equip stage and configure at NCC	9/30/2008	\$0.661052	9/30/2008		\$0.265891	\$0.250129	0	\$0.000000	94.07%
3.2.3	Install and test networks	9/30/2008	\$0.975532	9/30/2008		\$0.392382	\$0.379685	0	\$0.000000	96.76%
3.2.4	Proc, testing, final burn in, contractors	9/30/2008	\$16.924153	9/30/2008		\$6.807296	\$1.756737	0	\$0.000000	25.81%
3.3	Provisioning	9/30/2008	\$0.174700	9/30/2008		\$0.054264	\$0.038975	0	\$0.000000	71.82%
3.4	Proving	9/30/2008	\$0.097900	9/30/2008		\$0.056573	\$0.050366	0	\$0.000000	89.03%
4	FY 2009 ITOA Planning Package	9/30/2009	\$22.186500	9/30/2009		\$68.660124				0.00%
4.1	Planning Activities	9/30/2009	\$2.141000	9/30/2009		\$2.662090				0.00%
4.2	Purchasing Activities	9/30/2009	\$19.772900	9/30/2009		\$61.616877				0.00%
4.3	Provisioning	9/30/2009	\$0.174700	9/30/2009		\$3.765815				0.00%
4.4	Proving	9/30/2009	\$0.097900	9/30/2009		\$0.615342				0.00%

Exhibit 300: IT Operations Assurance BY 10 (Revision 8)

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			
5	FY 2010 ITOA Planning Package	9/30/2010	\$25.203300	9/30/2010		\$31.753773			0.00%	
6	FY2011 ITOA Planning Package	9/30/2011		9/30/2011					0.00%	
<b>Project Totals</b>		<b>9/30/2011</b>		<b>9/30/2011</b>	<b>9/30/2007</b>				<b>8.55%</b>	