Systematic, Disciplined IT Capital Planning Process at Social Security Administration

January 2016
## DOCUMENT CHANGE RECORD

<table>
<thead>
<tr>
<th>Version</th>
<th>Date</th>
<th>Description</th>
<th>Major Changes</th>
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<tr>
<td>1.0</td>
<td>04/2012</td>
<td>Version 1.0</td>
<td>First Release</td>
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<tr>
<td>2.0</td>
<td>10/2013</td>
<td>Version 2.0</td>
<td>2013 Annual Updated Release</td>
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<td>3.0</td>
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<td>2014 Annual Updated Release</td>
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<td>4.0</td>
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<td>Version 4.0</td>
<td>2015 Annual Updated Release</td>
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1.0 - OVERVIEW

THE SSA IT CPICPROCESS PROVIDES THE STRUCTURE TO INTEGRATE IT PLANNING, EXECUTION AND INVESTMENT ACTIVITIES WITH AGENCY PLANS

CPIC and Enterprise Management

“Capital planning and investment control means the same as capital programming and is a decision-making process for ensuring IT investments integrate strategic planning, budgeting, procurement, and the management of IT in support of agency missions and business needs. The term comes from the Clinger-Cohen Act of 1996 and generally is used in relationship to IT management issues.” – Office of Management and Budget (OMB) Circular A-11.

Capital Planning and Investment Control (CPIC) is a structured, integrated approach to selecting and managing investments. It supports alignment of Information Technology (IT) investments to the Social Security Administration (SSA) mission and business needs while reducing risks and increasing returns throughout the investment’s lifecycle. CPIC relies on well-defined, disciplined and systematic processes to ensure each investment’s objectives are clearly stated and effectively executed.

The processes described in this document apply to the Select, Control, and Evaluate phases recommended by both the Office of Management and Budget (OMB) and Government Accountability Office (GAO) in implementing a capital planning process as required by the Clinger-Cohen Act (CCA) and FITARA. In addition, SSA has implemented a Planning phase to accommodate strategic planning. The design of the high-level CPIC process ensures the agency addresses fundamental questions at the appropriate phase of the process. Each of the four CPIC phases – Planning, Select, Control, and Evaluate - are linked with the roles and responsibilities of applicable SSA personnel.
PIC defines how SSA: 1) annually select investments for funding; 2) controls and manages capital investments to manage budget, schedule, and performance; 3) continuously assesses IT investments; and 4) evaluates metrics to ensure performance targets and SSA’s return on investments are met.

This guide describes the key elements of the agency CPIC process including the addition and impact of the Federal Information Technology Acquisition Reform Act of 2014 (FITARA). Each of the CPIC investment management phases depicted in Figure 1 – Planning, Select, Control, and Evaluate - are linked with the roles and responsibilities of SSA personnel and resources to define the various stages of the process. SSA’s CPIC process ensures broad agency involvement in IT investment through the Deputy Commissioner for Systems / Chief Information Officer (DCS/CIO) - chaired Strategic Information Technology Assessment and Review (SITAR) Board made up of senior executives, and through independently-directed review and oversight.

SSA’s CPIC process is operational in nature, supports the mission and goals identified in tactical plans like the Information Resources Management (IRM) Plan, and produces the implementation plans for the budget and current years. These plans reflect the goals of the agency’s Agency Strategic Plan (ASP), a roadmap for organizational management and operational performance based upon an analysis of customer and stakeholder needs and requirements in the current environment projected into the near and long-term future; Annual Performance Report (APR), which establishes yearly agency-level performance measures and targets and is included as part of the OMB budget request; and business planning processes. It includes capital asset plans for major IT projects and demonstrates how the agency manages its IT investments.

<table>
<thead>
<tr>
<th>PHASES</th>
<th>INPUTS -&gt;</th>
<th>PLANNING/SELECT -&gt;</th>
<th>CONTROL -&gt;</th>
<th>EVALUATE</th>
</tr>
</thead>
</table>
| SSA PROCESSES | • External Process Inputs  
• SSA Internal Drivers  
• Information Technology Framework | • Priorities  
• Classification and Rating  
• IT Budget; Special Expense Items  
• SITAR Board  
• Available resources | • Major/Non-Major Initiative Requirements  
• Oversight  
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• Actual Costs Incurred  
• Performance Measurements  
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**TABLE 1 - SSA CPIC PROCESS PHASES**

IT investment management and review span all phases of the CPIC process and include enterprise-wide, portfolio and program/project levels. Information for management and review is required by both internal agency processes and by external authorities. OMB’s requirements for IT project planning, management and investment control information include Circular A-11, the Capital Programming Guide, and Agency IT Portfolio Summary and Major IT Business Case (capital asset plans and business cases for major IT investments) instructions. Major IT initiatives are often referred to as programs, and non-majors as projects. All majors and non-majors are referred to as “proposals” during the Planning and Select phases of the CPIC process. OMB defines major IT initiative as an IT investment requiring special management attention because of its importance to the mission or function to the government; significant program or policy implications; high executive visibility; high development, operating, or maintenance costs; unusual funding mechanism; or definition as major by the agency’s capital planning and investment control process. OMB may work with the agency to declare IT investments as major investments. SSA consults with our assigned OMB analysts regarding which investments are considered major. Investments not considered major are non-major. At SSA, Major IT investments receive additional oversight through our earned value management (EVM) project status reporting, and quarterly reporting at the investment review board where the investment profiles are
shared and available for discussion. Selected major IT investments also receive DCS/CIO-directed post implementation reviews (PIR).

Once the proposal is approved, it is then referred to and managed as either a program or a project. Programs/projects are re-evaluated each year as part of the Select phase and are re-submitted as proposals for review and approval. Initiatives are also designated as Development, Modernization and Enhancement (DME); steady state; or mixed life cycle. DME refers to projects and activities leading to new IT assets/systems, as well as projects and activities that change or modify existing IT assets to substantively improve capability or performance, implement legislative or regulatory requirements, or meet an agency leadership request. DME activity may occur at any time during a program’s life cycle. As part of DME, capital costs can include hardware; software development and acquisition costs; commercial off-the-shelf acquisition costs; government labor costs; and contracted labor costs for planning, development, acquisition, system integration, direct project management, and overhead support. Operations & Maintenance (O&M) refers to expenses required to operate and maintain an IT asset that is operating in a production environment. O&M costs include costs associated with operations, maintenance activities, and maintenance projects needed to sustain the IT asset at the current capability and performance levels. It includes Federal and contracted labor costs, corrective hardware and software maintenance, voice and data communications maintenance and service, replacement of broken or obsolete IT equipment, overhead costs, and costs for the disposal of an asset. Maintenance and cyclical efforts are necessary once all DME activities are completed. Mixed Life Cycle initiatives contain both DME and O&M components.

**SSA Organizational Structure**

The SSA is headed by a Commissioner and has a workforce of about 78,000 federal and state employees supporting our programs. SSA’s central office is located in Baltimore, Maryland.

The field organization, which is decentralized to provide services at the local level, includes 10 regional offices, 6 processing centers, and approximately 1,200 field offices. Below the Commissioner are four offices (Actuary, General Counsel, Inspector General, and Strategic Officer) and eight components headed by Deputy Commissioners:

- Budget, Finance, Quality, and Management
- Communications
- Disability Adjudication and Review
- Human Resources
- Legislation and Congressional Affairs
- Operations
- Retirement and Disability Policy
- Systems

SSA is a centralized agency (no bureaus or departments) whose core programs (Old Age Survivors Insurance, Disability Insurance Program and Supplemental Security Income (SSI)) demand a large, complex, and heavily integrated IT business environment. Terms like sponsor, customer, business component and user refer (usually synonymously) to the broader SSA community that relies on IT to manage their workloads. The Office of Systems (OS) provides IT support for the rest of the agency. OS is functionally organized into two main categories consisting of eight Associate Commissioner led components:

- **Business Process Support Components**
  - Applications & SSI Systems
  - Disability Systems
  - Earnings, Enumeration & Administrative Systems
  - Retirement & Survivors Insurance Systems
- **Infrastructure/Service Components**
Enterprise Support, Architecture & Engineering
Information Security
Systems Electronic Services
Telecommunications & Systems Operations

SSA performs the vast majority of IT work in-house employing approximately 3,300 2210 series federal employees. Federal employees design, develop, integrate, maintain and manage IT programs and projects. We utilize IT contractors mainly to fill positions and skills required to complete federal workforce teams and workloads. All Personnel associated with any process or activity related to the Selection, Control, and Evaluation of SSA’s IT investments share responsibility for the CPIC policies identified in this guide. Details of the roles and responsibilities are shown in Appendix B, Agency Roles, and Responsibilities.

**IT Portfolio Management**

SSA utilizes a portfolio-based approach to IT investment. Portfolio management supports strategic goals and objectives of the agency while minimizing duplication of efforts across investments, and allows the agency to identify strategic gaps in mission areas and the initiatives needed to fill those gaps.

The IT portfolio management processes develop related SSA IT investments and assets within portfolios based on mission areas, strategic goals, objectives, and infrastructure requirements, irrespective of organizational boundaries. Processes to manage these portfolios ultimately improve visibility into the relationships and interfaces between investments, reduce duplicative investments in systems and platforms, and enable the agency to more effectively allocate resources to provide the greatest benefit.

IT portfolio managers establish business objective targets and transition plans for each portfolio, set performance goals and measure the performance of each portfolio, and continuously improve the balance of investments within each portfolio to meet agency goals and objectives. Additionally, they conduct portfolio analysis and provide recommendations as part of IT budget formulation.

Our current portfolios are the following:

- **Administrative and Missions Support** - The Administrative and Missions Support portfolio aims to develop IT capabilities that support and enable core business functions across the agency. The investments in the Administrative and Missions Support portfolio will improve our responsiveness to the American public through enhancing our services and programs, modernizing our information technology, and building a model workforce.

- **Core Services** – The Core Services Portfolio will provide innovative quality service to the public, strengthen the Integrity of our programs by ensuring reliable, secure and efficient Online and Telephone Services, increase the use of Self-Services options, and partner with other agencies and organizations to improve Customer’s Experience and Align with the Administration’s One-Government Approach. We will transform the way we deliver service to the public and enhance the customer experience.
experience by striving to complete Customer’s Business at the First Point of Contact through our online
and automated services. Core Services Portfolio investments will enhance and execute plans to
modernize our legacy systems and streamline workloads for our frontline employees, maintain system
performance, and continuously strengthen our Cyber Security Program and IT services.

- **Disability and Appeals** - The Disability and Appeals portfolio promotes efficient and effective IT
  systems that increase the quality, timeliness, and consistency of disability decisions and services. These
  systems will facilitate the accurate collection, processing, and flow, of data and information that will
  allow our employees to provide quality service to disabled applicants and beneficiaries. The portfolio
  will help ensure we make the correct disability decision at the correct time, and apply disability policy
  and procedures consistently across all adjudicative levels.

- **Program Integrity Portfolio** – The Program Integrity Portfolio supports SSA’s goals to strengthen the
  integrity of the Social Security programs, deliver innovative quality services, and ensure reliable,
  secure and efficient IT services. We seek to continually improve our comprehensive quality review and
  financial management programs in accordance with all laws and regulations. This includes accurately
  and timely paying benefits to our recipients and beneficiaries, detecting and preventing fraud
  wherever it may occur, and minimizing improper payments.

- **SSA Infrastructure Portfolio** – The Infrastructure Portfolio provides us with the information technology
  stability and flexibility that we need in order to meet and sustain current operational requirements,
  adapt to changes in business operations, and plan for future growth and demand in our workloads.
  Our reliance on information technology and electronic data continues to increase with each new
  workload and each new service delivery channel. The portfolio seeks to address the rising demands on
  our infrastructure by not only continuing to deliver high levels of end-to-end availability, stability,
  security and performance but also by instituting new and/or enhanced technologies to remain current
  with industry standards. Through anticipation of the technology demands of our strategic objectives
  and investments, the portfolio strives to ensure a ready environment with each application delivery as
  well as improvements and enhancements to application portfolios.

- **Commissioner’s Strategic Innovation** - The Commissioner’s Strategic Innovation Portfolio is used to
  incubate new strategic innovation and experimentation projects. The Commissioner’s portfolio may also
  temporarily house projects of specific interest to the Commissioner, such as projects that are highly
  visible or experiencing challenges. When stable or viable, projects are moved to an appropriate
  portfolio for development or implementation.

IT portfolio executives must be knowledgeable about all investments and systems in their portfolio, develop
effective working relationships with the project/program managers for all investments and
systems in their portfolio, and advise senior management on opportunities for synergy across their portfolio. IT
portfolio executives work with business sponsors to establish multiyear plans for initiatives in each portfolio.
Portfolios have established Vision Statements with objectives that most effectively meet agency goals and
objectives. Additionally, they conduct portfolio analysis and provide recommendations during IT budget
formulation.

The SSA IT planning process below highlights the steps and associated timeframes when the SSA Portfolio
Teams meet during the year to discuss the health of the IT Plan and new proposal submissions. On a quarterly
basis, the SITAR Board reviews the health of the IT Plan and approves adjustments to the IT Plan.
SSA established Vision 2025 on April 27, 2015 to provide a future ready roadmap for the agency in three overarching areas: superior customer experience, exceptional employees, and an innovative organization. Vision 2025, released on April 27, 2015, serves as our “north star” to guide us as we position our agency to deliver services now and in the future. Defining Vision 2025 is the first step in our long-range strategic planning process for envisioning, planning and achieving success – the “aspirational” picture of the future for SSA. The Vision reflects considerable input from a broad range of audiences and serves as the framework for addressing three priority areas: (1) Superior Customer Experience; (2) Exceptional Employees; and (3) Moving forward as an Innovative Organization. The SSA Executive Leadership team and the Executive Vision Council collaborated to identify foundational efforts (The Critical Eight) aligned with the Vision 2025 framework. These efforts serve as the critical first steps toward achieving our aspirational vision.

Further details of the Vision 2025 can be found accessing the following link:
http://ocso.ssahost.ba.ssa.gov/Vision2025.html
Alignment of SSA Vision 2025 and SSA Critical Eight Priorities

The Acting Commissioner has directed near-term implementation plans to achieve the following critical goals:

<table>
<thead>
<tr>
<th>SSA Vision 2025</th>
<th>SSA Critical Eight</th>
</tr>
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<tbody>
<tr>
<td>Superior Customer Experience</td>
<td>1. Enhance Online Customer Service</td>
</tr>
<tr>
<td></td>
<td>2. Reduce the Wait for a Hearing Decision</td>
</tr>
<tr>
<td></td>
<td>3. Educate the Public About Social Security Programs</td>
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<tr>
<td>Exceptional Employees</td>
<td>4. Improve Succession Planning</td>
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<td></td>
<td>5. Promote Employee Development and Engagement</td>
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<tr>
<td>Innovative Organization</td>
<td>6. Transform the IT Investment Process</td>
</tr>
<tr>
<td></td>
<td>7. Establish a Program Management Office</td>
</tr>
<tr>
<td></td>
<td>8. Accelerate the Use of Data-Driven Decision-Making</td>
</tr>
</tbody>
</table>

Further details of the Critical Eight can be found accessing the following link: [http://ocso.ssahost.ba.ssa.gov/CriticalEight.html](http://ocso.ssahost.ba.ssa.gov/CriticalEight.html)

Vision 2025 and Our Critical Eight Priorities

The implementation of Vision 2025 and the Critical Eight priorities are currently underway and some of the anticipated benefits include:

- Provide a higher level of service to all and spend more time with customers who need additional personal assistance;
- Access developmental opportunities and support, and see a clear growth path throughout your career;
- Gain clarity about the completion dates of IT projects you are working on, to help provide better service to your customers;
- Obtain the data you need to better manage your part of the agency’s work and provide the best possible service to our customers; and
- Use the time freed up by enhanced technology to focus on complex work and tasks that do not involve customer interaction.
IT Budget

The IT budget contains both staffing and non-staffing resources assigned to investments over a three-year reporting period, with additional resource estimates for future years provided for major investments in capital IT investments. Nomenclature for the three years follows: Prior Year = PY, Current Year = CY and Budget Year = BY. For the current budget document submission PY = FY2015, CY = FY2016 and BY = FY2017.

Information Technology Systems Resources. The non-staffing component of SSA’s IT Budget comprises over 60% of our annual IT spending for IT hardware, software, and services. The bulk of the Information Technology System (ITS) resources is consumed by and tracked within the Infrastructure portfolio in three major categories: Data Center, End User, and Telecommunications. SSA organizes ITS resources into Special Expense Items (SEIs), subject to annual review and approval by the DCS/CIO for the three-year planning horizon.

Full-Time Equivalents (FTE). The staffing component of SSA’s IT Budget makes up approximately 40% of the annual IT spending and is comprised of federal government employees, usually within the Office of Personnel Management (OPM) Federal position classification 2210 series designation for information technology professionals. The OS has about 3,300 2210 series FTEs; while the remainder of the agency (primarily in the regions) has an additional 500 FTEs.

Benefits of CPIC Implementation at SSA

SSA’s CPIC Guide is continuously evolving with new external Federal Government Laws (i.e. FITARA) and requirements and SSA’s innovative processes and approaches in implementing its CPIC Guide.

SSA uses an incremental improvement approach in seeking innovative ways to move forward with our goals in Vision 2025 and our Eight Critical. The IT investment process and associated tools have been analyzed and areas for improvement have been identified. Areas under construction include:

- **Consolidation**: Consolidating our estimating/financial tools and transition to the IMT. This will be a robust collaborative tool with one stop shop for the Agency’s use during the investment process.
- **Process Improvement**: ITIP is the evolving SSA IT Investment Process, consistent with Goal #6 of the agency’s Critical 8 Priorities within the Vision 2025 plan to transform the IT Investment Process. The Agency is committed to improvements in business planning, business cases – including better cost and return on investment data, designing and planning IT investments, out year estimation, and more transparent reporting and oversight. The goal is for all IT investments to be approved via a consensual process, but importantly the CIO (in compliance with FITARA) retains veto power. The process for managing the IT budget will not change. The CIO/DSC continues to directly manage and approve all operational IT expenditures. The ITIP Investment review board which is comprised of senior SSA management including the CIO, CFO, CSO and other designated Deputy Commissioners, will collaboratively oversee this new IT investment management process.
- **Standardization**: By developing common language and processes in our documentation across the enterprise, we will be able to respond in a more efficient manner to both our internal and external customers.

The following table highlights areas where SSA is moving forward in becoming a more innovative and efficient agency utilizing and maximizing our limited resources in producing the associated benefits.

<table>
<thead>
<tr>
<th>Area of Improvement</th>
<th>Value/Benefit</th>
</tr>
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<tbody>
<tr>
<td>Replacing SITAR process with ITIP</td>
<td>The Agency is committed to replacing the SITAR process with a new IT investment management process featuring improvements in business planning, business cases - including better cost and return on investment data, designing and planning IT investments, out year estimation, and more transparent reporting and oversight.</td>
</tr>
<tr>
<td>Process</td>
<td>Description</td>
</tr>
<tr>
<td>-------------------------------------------</td>
<td>---------------------------------------------------------------------------------------------------------------------------------------------</td>
</tr>
<tr>
<td>Upgrading IT Investment Review Process</td>
<td>Strengthen cost estimation techniques used in the development of formal business cases for all major investments</td>
</tr>
<tr>
<td>Shorter release increments (from 12 mos. down to 3 to 4 months)</td>
<td>Quicker product implementation</td>
</tr>
<tr>
<td>Replacing Prism with IMT</td>
<td>Increasing functionality capability; improved quality of estimates. Also improving transparency into project lifecycle cost</td>
</tr>
<tr>
<td>Streamlining the project management artifacts</td>
<td>More efficient use of time by shifting focus to value-add planning and control activities</td>
</tr>
<tr>
<td>Incremental development techniques (such as Agile)</td>
<td>Improvement in overall delivery time, improved team efficiency and quality of the end product.</td>
</tr>
<tr>
<td>IFCR process</td>
<td>Automated process (no paper, e-mails, scanning, wet signatures) and is linked real-time into the BER and our ITS Budget controls systems</td>
</tr>
<tr>
<td>Enterprise Software Engineering Tools (ESET) Process</td>
<td>Facilitates the effective and efficient use of tools in the SSA Enterprise Architecture while identifying and maximizing cost savings.</td>
</tr>
<tr>
<td>Laptop BP with NCST</td>
<td>Provides centralized purchasing for laptops across the enterprise — ensuring the agency is able to leverage cost savings, volume pricing and long-term maintenance support</td>
</tr>
<tr>
<td>Enterprise Mobile Provisioning Service (EMPS)</td>
<td>In FY 2016, we will complete development, deployment and operationalization of its EMPS through which we will consolidate the acquisition and provisioning of the remaining 28% under these BPAs and centrally manage under the DCS/CIO going forward.</td>
</tr>
<tr>
<td>Training IT Personnel</td>
<td>Standardization of training improves efficiency and productivity across the enterprise</td>
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</tbody>
</table>
| Budget Execution Report (BER)             | - An agency-wide management information tool used to view allocations within the CFO-approved IT operating budget, adjustments to budgets, commitments, obligations, and available balance.  
|                                           | - A dashboard that pulls data from multiple budgets and spends sources to inform all agency executives on the status of CFO and CIO allocated and approved IT spending.  
|                                           | - All DC components, including the CFO, and CSO, have visibility into each other’s IT spending via the BER.  
|                                           | - A business intelligence portal/dashboard used to inform all within the enterprise of the status of their SEI spending.                  |
2.0 – CPIC PROCESS INPUTS & CONSTRAINTS

SEVERAL INPUTS PROVIDE A FOUNDATION FOR THE CPIC PROCESS AND MANAGEMENT DELIBERATIONS AND DECISIONS REGARDING IT INVESTMENT SELECTION, CONTROL, AND EVALUATION

External CPIC Process Inputs

The SSA CPIC processes use inputs from many external sources, including legislative requirements and Executive Branch policies.

Executive Branch Policy and Direction. SSA strives to be responsive to the policy and direction of Executive Branch leadership, including requirements and goals for management and administration in the areas of IT planning and architecture, information assurance and security, privacy, IT investment and program management, shared service strategy, and other related initiatives. SSA considers these requirements and interests in selecting IT investments for the overall IT portfolio management function. IT communications come from the executive branch primarily through OMB and generally in the form of Circulars, Executive Orders and memoranda.

IT Budget – Capital Planning Guidance. OMB releases a revised version of the Budget Guidance on an annual basis. For the 2017 budget year, there were several areas of change include updates to: 1) Agency IT Portfolio Summary Requirements; 2) Agency Provisional IT Service Summary requirements; and 3) Agency Infrastructure Summary requirements; IT Portfolio Summary requirements. Significant updates were made to Major IT Business Case requirements along with Major IT Business Case Detail. Final changes were the adding of FITARA to Appendix A, Legal Regulatory Authorities. We understand that the IT Investment Portfolio Summary submissions will be used by OMB to create an overall “Federal IT Investment Portfolio” which is published as part of the President’s Budget.

Legislative, Judicial and Other Legal Requirements. SSA’s CPIC process also considers legislative requirements and court rulings/orders when determining the need and justification for individual IT investments and in prioritizing IT investments within our overall IT portfolio.

Audit Findings and Recommendations. SSA also considers the findings and recommendations of internal and external auditors, including the SSA Inspector General (IG), the GAO, and others. Audit findings and recommendations often factor into establishing the priority of various IT investments that will address those recommendations or help to eliminate weaknesses found in SSA processes, services, or program management.

Federal CIO Council. The CIO Council is the principal interagency forum on Federal agency practices for IT management. Originally established by Executive Order 13011 and later codified by the E-Government Act of 2002, the CIO Council’s mission is to improve practices related to the design, acquisition, development, modernization, use, sharing, and performance of Federal Government information resources.

SSA Constituent Expectations. SSA must meet evolving constituency volume and service delivery demands, while maintaining program and security integrity.
SSA Internal Drivers

SSA-specific inputs also provide a foundation for the CPIC process and management deliberations and decisions regarding IT investment selection, control, and evaluation.

Agency Strategic Plan (ASP). This plan provides a five-year agency roadmap for organizational management and operational performance based upon an analysis of customer and stakeholder needs and requirements in the current environment projected into the near and longer-term future. The plans contains specific strategic goals for core mission and support functions, including how we use information and systems technology to interact with people seeking or receiving social security benefits in the digital age.

SERVICES
Strategic Goal 1: Deliver Innovative, Quality Services
1. Develop and Increase the Use of Self-Service Options
2. Enhance the Customer Experience by Completing Customers’ Business at the First Point of Contact
3. Partner with Other Agencies and Organizations to Improve Customers’ Experience and Align with the Administration’s One-Government Approach
4. Evaluate Our Physical Footprint to Incorporate Improved Service Options

Strategic Goal 2: Strengthen the Integrity of Our Programs
1. Transform the Way We Record Earnings to Enhance Data Accuracy
2. Protect the Public’s Data and Provide Secure Online Services
3. Increase Payment Accuracy

Strategic Goal 3: Serve the Public through a Stronger, More Responsive Disability Program
1. Improve the Quality, Consistency, and Timeliness of Our Disability Decisions
2. Maximize Efficiencies throughout the Disability Program
3. Enhance Employment Support Programs and Create New Opportunities for Returning Beneficiaries to Work

PEOPLE
Strategic Goal 4: Build a Model Workforce to Deliver Quality Service
1. Attract and Acquire a Talented and Diverse Workforce that Reflects the Public We Serve
2. Strengthen the Competency, Agility, and Performance of Our Workforce to Align with the Needs of the Public
3. Foster an Inclusive Culture that promotes Employee Well-Being, Innovation, and Engagement
4. Enhance Planning and Alignment of Human Resources to Address Current and future Public Service Needs

INFRASTRUCTURE
Strategic Goal 5: Ensure Reliable, Secure, and Efficient Information Technology Services
1. Maintain System Performance and the Continuity of IT Services
2. Enhance and execute Plans to Modernize Our Systems
3. Incorporate Innovative Advances in Service Delivery
4. Continuously Strengthen Our Cybersecurity Program

Agency Annual Performance Plan (APP). The plan establishes annual agency-level performance measures and targets, and is included as part of our annual OMB budget request.

Information Security Policy (ISP). The policy is the foundation to support the agency’s information security program. It sets forth information security standards for the protection of the agency’s information technology resources and data. Effective October 15, 2015, the ISP replaces the Information Systems Security Handbook (ISSH).
**SSA Business Environment.** The SSA business environment drives our use of information systems in serving the needs of employees providing direct services to our various customers and business partners, as well as how SSA delivers on-line and telephone services to our customers and business partners where it makes sense to provide electronic and automated options for communications and information exchange. Factors affecting our IT direction and decisions about how to invest resources in IT initiatives and projects include functional and operational process design and workloads, the existence of current or projected hearings and case processing backlogs, the quality of our benefits and disability processing, and other factors.

**SSA IT Framework**

**Information Resource Management (IRM) Strategic Plan.** SSA’s IRM Strategic Plan provides an overall framework and description of how we plan to use IT to further the mission and organizational goals of the agency. The current plan includes information on agency programs and operations, enterprise IT management and general strategies, an assessment of our strengths and weaknesses, planning assumptions, and specific plans for various aspects of our IT program, and a discussion of program risks. This perspective provides a context for investment objectives and their priority in the investment selection process, and a mechanism for assessing investment alignment with IT program goals.

**Our Strengths**
- Strong internal controls/processes/standards’ certified project management
- Predominantly paperless business processes
- Expert, knowledgeable employee workforce model focused on mission
- High availability and very secure systems; diligent protection of sensitive data
- Cost-effective IT operations realized through economies of scale, a centralized procurement model, and effective contract negotiations
- Highly rated suite of direct service applications built with user-centered design/accessibility
- Decades of experience at large-scale computing
- Risk-conscious culture that values research, benchmarking, and critical thinking

**Our Challenges**
- Unpredictable funding levels
- Growth of our core and auxiliary workloads
- Cyber-stress, caused by increased sophistication of hackers, advanced persistent threats and a constant push to mitigate risk
- Safely transitioning our data center operations to a new building
- Modernizing our legacy applications while focusing on direct services
- Realize appropriate authentication for direct service applications
- Public wants secure online services
- Increasing platform and operating system diversity
- Managing growth and data-safety with external verifications and exchanges
- Releasing agency data assets identified as available for public release to support transparency and open data
- Managing complexity and long lead times associated with Federal IT contracting

**Our Key Planning Assumptions**
- Continued funding constraints across the agency
- Increasing growth in public transactions and subsequent storage requirements
- Expanding online options
- Support existing public services while expanding mobile options
• Continued steady progress with Health Information Technology (HIT)
• Supporting and institutionalizing the principals of open government, open data and the Digital Governments.
• Increasing number of Cybersecurity threats and their complexity.

**Enterprise Architecture (EA).** The SSA EA program describes our current and future systems, information, and technology environment at a greater level of detail than the IRM plan, based on the Federal Enterprise Architecture (FEA) Framework in use at many agencies. SSA aligns its IT investments to the FEA and our strategic and business plans. The framework facilitates CPIC investment analysis and selection by identifying areas of duplication, gaps in IT support for business processes, and opportunities to innovate and optimize our existing systems and infrastructure to support transition to our target architecture. The EA program includes EA Control and Governance and Applications Portfolio Management.

**EA Control and Governance.** SSA achieves EA control and governance through various governing boards. The Architecture Review Board (ARB) is the overarching governing body responsible for managing and enforcing compliance with the agency’s EA. The ARB reviews, approves, and provides guidance to SSA IT projects and plans to ensure their alignment with the Agency EA. There are also specialized review boards that provide guidance in the areas of application design and architecture (Design Review Board), infrastructure (Infrastructure Review Board) and enterprise data. The Design Review Board provides oversight and expertise relating to the design, development, and maintenance of internally developed applications and is responsible for defining the architectural design and development standards and enforcing. The Infrastructure Review Board provides oversight and management of the IT infrastructure used to support our systems and applications and is responsible for dealing with the IT infrastructure, systems operations and support requirements, and security, including authentication and access control.

**Application Portfolio Management.** This process involves a disciplined approach to determine the health of software applications and assess whether an application should be renovated or retired. APM examines existing application software processes and associated technology to analyze and quantify application portfolios, align them with strategic business goals and help decide which applications are eligible to retire, renovate or maintain while taking into account the risk factors involved.

**Information Security & Privacy.** SSA’s Office of Information Security (OIS) is headed by the Chief Information Security Officer, and is charged with leading a comprehensive, agency-wide program:
• Protecting the privacy of information we maintain for the individuals we serve;
• Educating employees and contractors on information security and privacy;
• Developing agency-wide IT security policies, standards, procedures, and guidelines;
• Testing the security of our systems, processes and procedures on intervals determined by federal guidelines and our dynamic operating environment; and
• Adjusting the plan to reflect changes in technology, the sensitivity of covered information and information systems, and internal or external threats to information security

SSA’s ongoing program reviews policies and processes and takes appropriate corrective action to ensure adequate safeguards to prevent misuse and unauthorized access to sensitive data, including personally identifiable information (PII). SSA has also established procedures for reporting and responding to the loss of PII and issued instructions clarifying expectations and responsibilities concerning the security of PII. As part of our information security program, we develop and maintain information security policies, procedures, and controls to address all applicable Federal Information Security Management Act (FISMA) requirements; educate our personnel on their security responsibilities and in preventing the loss of information resources; assist senior agency officials and staff in the planning and performance of their security responsibilities, and establish agency-wide standards for appropriately monitoring and responding to security incidents. We follow OMB guidance and requirements including the Federal Cyber Security Cross-Agency Priority Goals for
Trusted Internet Connections, Continuous Monitoring of Federal Information Systems and Personal Identity Verification.

Information Security Policy (ISP) is the foundation to support the agency’s information security program. It sets forth information security standards for the protection of the agency’s information technology resources and data. Effective October 15, 2015, the ISP replaces the Information Systems Security Handbook (ISSH). Following is the link to ISP. http://isp.ssahost.ba.ssa.gov/default.htm

Performance Goals. The SSA IT program develops and tracks progress towards agency and IT investment-specific performance goals as part of its annual budget process with ongoing management and oversight procedures for major IT investments and smaller-scale projects. IT performance goals for major investments include programmatic impact, customer service, and technical goals for operational IT systems developed by investment program managers in concert with business sponsors and other members of the investment’s established integrated program team. Agency management, OMB, and the Federal IT Dashboard receive performance goals reports on a monthly, quarterly, or semi-annual schedule. An investment’s performance against established goals is a key consideration in both CPIC control processes and steady state system operational analysis. The CPIC Select process considers an investment’s customer, programmatic and technical benefits in the selection process. Cost-benefit and performance measures are also key considerations.

IT Governance Processes and Tools. SSA’s CPIC processes comprise a series of procedures and tools, which in total provide the capabilities and constraints for effective management. The procedures and tools are assessed and refined, as required. For example, once OMB issued their Cloud First policy, SSA included within the EA review board processes and the resource request processes the need to address initiative cloud suitability. On the tools side, we’ve undertaken implementation of IMT, a suite of integrated tools designed to consolidate and modernize existing automated and manual processes used for IT investment management.

IT Human Capital Operating Plan. Our specialized IT workforce is critical to maintaining and modernizing our IT systems. Our IT human capital approach supports our critical mission to effectively and efficiently deliver high quality, citizen-centered services to the American public. The first enterprise-wide IT Addendum to the agency’s Human Capital Operating Plan (HCOP) addresses specific requirements, opportunities, and challenges of the IT workforce and optimizes IT human capital towards successful accomplishment of the agency’s mission, goals, and vision. It represents a shift toward a more strategic role for our IT human capital function, one that recognizes that we cannot succeed as an agency unless we strategically manage and invest in our IT staff. Our CIO will work closely with the Chief Human Capital Officer (CHCO) to integrate IT human capital management across the enterprise for use in talent identification, recruitment planning, training and development, and to foster a corporate culture that encourages a collaborative work environment across all SSA components. We will take a proactive approach to examining our current IT human capital challenges to determine the skills and expertise that will be required in the future. We will also evaluate the composition of the IT workforce with an eye toward identifying skills gaps and determining whether any technologies or skills are at risk. SSA must have a ‘future ready’, 21st century, competent, agile, and adaptable IT workforce equipped with the modern tools and technologies needed to serve the American people effectively and respond quickly to changing business needs. The IT Addendum serves as a roadmap for identifying, maintaining, and applying the right mix of talent to achieve the agency’s mission. Our employees continue to deliver the highest quality service. We are fortunate that we can rely on a skilled IT workforce committed to public service. Looking forward, it is imperative that we have an IT human capital investment strategy to attract, develop, train, and retain a highly skilled IT workforce. Having the right people, with the right skills and experiences, in the right jobs is paramount to our continued success. This addendum focuses on the 2210 job series only. Our longer-term IT addendum will be based on the agency’s 2025 vision and will be expanded to include other IT-related job series. This is the first step toward establishing an ongoing process to address IT workforce challenges and devise actionable solutions. Working in partnership with the CHCO,
we will execute the initiatives and activities in this plan to develop and carry out an integrated IT talent management model for SSA that includes strategies for enterprise-wide management of our IT human resources. Through this plan, we will bring together a unified program that maximizes our investment in IT human capital. Ultimately, its success depends on solid leadership, sound planning, adequate resources, and a continuing commitment to improving our business processes. Further details are provided in SSA’s IT Addendum, Human Capital Operating Plan, Fiscal Years 2015 – 2016.
3.0 – PLANNING / SELECT PHASES

THE PLANNING PHASE PROVIDES A PROCESS TO PRELIMINARILY ASSESS A PROPOSED INVESTMENT TO DETERMINE THE DEGREE TO WHICH IT SUPPORTS SSA’S MISSION AND OPERATING PLAN, AND IS Viable IN TERMS OF POSITIVE RETURN ON INVESTMENT, EA CONSISTENCY AND OTHER SELECTION FACTORS.

THE SELECT PHASE PROVIDES A FRAMEWORK FOR INITIATIVES TO BE SELECTED IN AN OBJECTIVE AND CONSISTENT MANNER. INITIATIVES ARE SCORED AGAINST OBJECTIVE CRITERIA AND METRICS, AND RANKED AND COMPARED TO OTHER INITIATIVES.

Planning & Select Phases

The DCS/CIO chairs the SITAR board that includes the CFO and CSO along with other senior component executives. During the Select Phase of our CPIC framework, SITAR provides guidance to help build an enterprise-portfolio of proposed IT investments designed to improve overall organizational performance. The SITAR process combines technical evaluations of project proposals with executive management business knowledge, direction, and priorities. The SITAR Board reviews and approves the prioritization of the proposed investments using the established criteria. The DCS/CIO presents the proposed Agency IT Plan for the Commissioner’s final approval. The result of this process is the approved Agency IT Plan, which guides the agency’s IT staff and allocation of IT resources. SSA’s DCS/CIO approves and monitors 100% of SSA procured/contracted IT resources and 83% of the 2210 series IT Specialists throughout the CPIC lifecycle phases.

The DCS/CIO directly manages and controls all primary IT governance processes including the ITS Budget selection and approval process, developed as Special Expense Items (SEIs).

The Agency CFO with support from the subordinate SSA Office of Budget issues the operational IT budget to the DCS/CIO including limits and conditions (such as earmarked IT funds identified via the Passback). Throughout the year, the CFO revises IT budget limits and allocates to the DCS/CIO when funds become available (examples: moving from CR to appropriated budget, or transfer of available within-agency funds due to scrubs), taking into account DCS/CIO requests for additional funding. In addition, the CFO coordinates activities between the DCS/CIO and SSA’s OMB Budget Examiners.

SSA’s CFO, Associate Commissioners in the Office of Budget and Office of Acquisitions and Grants, a representative from the Office of General Counsel, the DCS/CIO, and relevant staff meet to discuss topics that include:

- CR status updates and impacts;
• Planning for additional funds and various funding level requests;
• Upcoming, expiring, and in jeopardy procurements;
• Small business opportunities

Planning Phase. The Planning Phase makes preliminary decisions about which proposals to consider funding/resourcing during the next two fiscal years. SSA selects IT investments in adherence with the principles contained in external guidance such as the CCA, OMB’s Circular A-130 and FITARA. During this initial CPIC phase business sponsors identify a business or mission need, its relationship to the agency’s strategic planning efforts, associated capabilities, risks, benefits, and urgency of implementation. Proposed project concepts are then assessed against a uniform set of evaluation criteria. In addition, ongoing projects require an annual review to re-evaluate the business need and urgency to continue. Planning concludes with the decision whether or not to proceed with the proposal for inclusion in the agency SITAR process.

Select Phase. The starting point for the Select Phase is the screening process, in which pre-selected proposals are compared against a uniform set of criteria and thresholds in order to determine whether the proposals meet minimal requirements and to identify at which organizational level the proposals should be reviewed. The IT proposals are then assessed and compared against each other to be ranked or prioritized. The ranking criterion includes, but is not limited to cost, risk, schedule, and benefit factors, as well as an assessment of how well the project meets mission needs. Using the prioritized list as a guide, senior executives make decisions about which proposals will be submitted for funding for the upcoming year based on mission needs and agency priorities. Elements of the selection process include:

• Governance. The role of the SITAR Board, chaired by the DCS/CIO and comprised of heads of business units, and supporting units such as financial management, is to make decisions about which projects to fund for the fiscal year based on its determination of where SSA’s needs are greatest. Analyzing the gap between the SSA’s goals and objectives and SSA’s existing capacity facilitates decision for determining the next fiscal year’s needs. Integration and collaboration is facilitated through the SITAR portfolio executives and OS Associate Commissioners, who together form the Portfolio Executive Board (PEB). The PEB reviews all IT investments from an enterprise perspective, prioritize IT investments request using scoring criteria, and prepare recommendations for the SITAR Board. The PEB serves in an advisory capacity and makes recommendation to the SITAR Board. The SITAR Board makes annual investment decisions for the following fiscal year, and reviews investments and makes adjustments quarterly.

• Selection/Scoring Criteria. During the screening process, analyzing and assessing all proposal benefits, costs, schedules and risks information is done in detail. Each sponsor develops artifacts providing the sponsor’s justification for proposal submission. Prior to approval, these artifacts are validated and analyzed.

• Alignment with ASP. The Government Performance and Results Act (GPRA) of 2010 requires agencies to set goals, measure performance, and report on their accomplishments. A key tenet of GPRA is that agencies develop strategic plans, as well as annual performance plans linked to the strategic plans, that establish organizational goals, objectives and strategies for achieving those goals. As part of the IT planning process, there is an evaluation of each proposed and ongoing project to ensure they fulfill the agency’s goals described in the ASP.

• EA Alignment. By integrating the disciplines of IT architecture, investment management, and project implementation, SSA provides a foundation for sound IT management practices, end-to-end governance of IT investments, and the alignment of IT investments with SSA’s strategic goals to achieve mission outcomes and results. EA supports the CPIC process by defining the target architectural direction for future IT investments, as well as in facilitating decision-making.

• Security & Privacy. Cost effective security of information systems is an integral component of business operations and is part of the business case criteria for the review and evaluation of investments through
the CPIC process. All SSA IT investments must demonstrate incorporation of costs for appropriate IT security and privacy controls into the life cycle planning of all systems. The E-Government Act of 2002 establishes requirements for conducting Privacy Impact Assessments (PIAs) before developing or procuring IT systems or IT investments. FISMA requires integration of IT security into the capital planning and enterprise architecture processes, annual IT security reviews of all programs and systems, and reporting the results of those reviews to OMB.

- **Higher Authority Compliance and Mandate.** SSA’s CPIC process is, in part, framed by all three branches of the federal government.
  - **Legislative** – law, such as the CCA, and GAO recommendations.
  - **Executive** – through OMB directives and guidance, such as M-13-17 issued in July of 2013 detailing the President’s Management Agenda focus on using evidence and innovation to improve government performance.
  - **Judicial** – via court decisions such as American Council for the Blind (ACB) vs. Astrue requiring additional special notices options.

- The CCA requires federal agencies to focus on the results achieved through IT initiatives while concurrently streamlining their IT acquisition processes. It also mandates that agency heads implement a process for maximizing the value of IT initiatives and manage the risks of IT acquisitions, and quantitatively benchmark the performance of IT activities against comparable processes and organizations in the public or private sector. The CCA specifically states:
  
  “The Head of each executive agency shall design and implement a process for maximizing the value and assessing and managing the risk of the information technology acquisitions of the executive agency.”

**Investment Analysis (IA)/Return on Investment (ROI).** An analysis of costs and benefits is prepared for each IT proposal and updated throughout its life cycle. This analysis provides a level of detail appropriate for the size of the investment, and addresses all investment costs, measures of performance, and is consistent with the methodology described in OMB Circular No. A-94.

SSA’s Investment analysis is a systematic approach to evaluating the worth of a proposed project or initiative relative to the costs of achieving it. The technique follows the premise that there are different levels of analysis that may be necessary based on the complexity, risk and scope of the solution. There may also be alternative ways of reaching an objective and that each alternative may require different resources and produce different results. The analysis examines the costs and benefits of the investment as well as the risk and/or uncertainties of alternatives to determine the estimated return on investment (ROI).

An appropriate investment analysis is required for all new and revisited IT proposals, and amended analyses for carryover proposals with a scope change, to determine whether the proposals are the most cost-beneficial to the agency.

**Risk Management.** Risk management is the systematic process of identifying, analyzing, planning for and responding to risk. A risk is an uncertain event or condition that, if occurs, has a positive or negative effect on a project objective. The need to manage risk increases with the complexity and size of an investment. Managing risks is a key component of good project management and is required throughout the life cycle of an investment. Understanding and communicating risks help manage the expectations of senior management and other stakeholders.

**Criticality/Urgency to Operations.** IT investments are developed and assessed based on guidance within OMB Circulars A-11 and A-130, ensuring the agency is pursuing the right projects in a manner that increase probability of success. IT investments assessment ensures:

- Each investment in IT resources will support functions performed by SSA.
  
- No alternative/existing sources exist that can efficiently meet the need.
The work processes supported have been simplified or otherwise redesigned to reduce costs, improve effectiveness, and make maximum use of commercial off-the-shelf technology.

IT investments are consistent with federal and agency enterprise information technology acquisition (EITA) or have a waiver.

Cost, schedule, benefits, and risk of IT projects are identified and appropriately managed.

IT investments are linked tightly to and effectively support mission performance and service improvement goals.

**Make or Buy Criteria.** The make or buy decision requires substantial judgment to assess the wide range of tradeoffs present, to recognize all the alternatives available, and to make a decision which balances both the short- and long-term needs of SSA. Additionally, as organizational requirements and market conditions change, a decision that may have been appropriate in the past may have to be resolved in a very different manner in the future.

Make-or-buy analysis conducted at the strategic and operational level entails assessing factors such as: lowest cost and quickest delivery option, if the effort is deemed inherently governmental, if internal capacity exists, internal skill set and core competency, and availability of like product either elsewhere in government or in industry.

**ITS Budget: Special Expense Items (SEI)**

There is only one SSA IT Budget covering the entire enterprise. The CFO and the CFO/Office of Budget establish and allocate all referenced funding levels. The DCS/CIO executes against that budget via the ITS/SEI process. ITS/SEI includes for IT hardware, software, maintenance, telecommunications and contractor IT services for the entire enterprise: headquarters components, regional offices and field offices.

Using the process outlined below, the IT Budget Staff provides the DCS/CIO with the information needed to make an informed decision on ITS Budget/SEI approvals.

**ITS/SEI Budget Call.** The annual ITS/SEI “budget call” documents provide instructions for submitting ITS/SEI needs, the required contents of the request, and the schedule and guidelines for submittal. Templates further insure consistency of content. Components must provide annual ITS/SEI funding requests regardless of approval in the previous year’s budget process. Requirements include:

- Strict identification and alignment with related or dependent SITAR initiatives;
- Cross component and multiple component requests for like goods coordination and consolidation;
- Name of the product or service;
- Whether the request is new or continuing;
- Adherence to security requirements;
- Number of units and costs;
- Appropriate risk based funding level;
- Comprehensive narrative, including; issue statement, proposed strategy, costs, alternatives considered, investment analysis (IA)/return on investment (ROI) data, security compliance and costs, funding impact and dependencies, and supporting documentation.

**ITS/SEI Funding Request Analysis.** Once all components within the agency complete the ITS/SEI budget call, the IT Budget Staff analysts, management, and technical area experts review IT funding requests and evaluate against agency guidance. Analysis includes the assessment of need, appropriateness, reasonableness, and alignment with agency priorities. After assessment and review by the IT Budget Staff, the DCS/CIO shares the recommended funding levels with the requesting components for review and possible
revision. During the response process, components may provide additional justification to secure full/additional funding or modify their request and return funding they may no longer need.

**Budget Execution Report (BER).** The Budget Execution Report (BER) is an agency-wide management information tool used to view allocations within the CFO-approved IT operating budget, adjustments to budgets, commitments, obligations, and available balance. The BER is a dashboard that pulls data from multiple budgets and spend sources to inform all agency executives on the status of CFO and CIO allocated and approved IT spending. All DC components, including the CFO, and CSO, have visibility into each other’s IT spending via the BER as well. Essentially, BER is a business intelligence portal/dashboard used to inform all within the enterprise of the status of their SEI spending. The BER centralizes the information from Automated Purchase Requisition System (APRS) and Social Security Online and Accounting Reporting System (SSOARS) into a reporting dashboard.

**ITS/SEI Spending Oversight.** SSA’s Office of Acquisition and Grants with IT Budget Staff support prepare FAR 7.102 through 7.106 compliant IT Acquisition Plans.

Within each SEI, all components must develop an Advanced Procurement Plan (APP) and submit via SSA’s Streamlined Acquisition System (SSASy) for each individual contract action that meets any of the following criteria:

1. Requires a statement of work (SOW) regardless of the dollar value;
2. Supply items exceeding $150,000 (including all options);
3. Modifies an existing contract, regardless of the dollar value;
4. Exercises an option;
5. Is sensitive, critical, or highly visible;
6. Requires expedited handling; or
7. Represents an agency-sponsored conference

The APP includes information such as; description of the need, estimated cost per fiscal year, estimated total contract action cost, projected award date, and security classification.

Project officers and agency budget analysts monitor procurements and spending against these plans.

Currently, the SSA DCS/CIO approves a subset of these acquisitions plans based factors such as size or importance to Agency priorities. However, in compliance with Common Baseline element K1, SSA will formally adopt the process outlined in the implementation plan, which follows by December 31, 2015.

**Purchase Requests:** Project officers execute purchase requests in SSASy based on the approved acquisition plan for the purchase (APP). With the exception of micro purchases, all IT procurements must submit a purchase request. Required documentation includes Statement of Work, Independent Government Cost Estimate, and 508 Certification.

The IT Budget Staff reviews each purchase request to certify funding is available. If not, the budget transfer process noted in the following is initiated.

Prior to DCS/CIO review the IT Budget Staff reviews, analyzes and preliminarily approves each purchase requisition. Please note that the requisition process also includes Inter-Agency Agreements (IAAs).

The DCS/CIO reviews and approves all enterprise-wise ITS purchase requests for new contracts and purchases over $100,000, and delegates authority to direct staff for requisitions under $100,000.

**Advanced Procurement Plan.** Acquisition planning requires early communication and close coordination between each component, OB, and OAG. Coordination ensures the agency completes acquisitions timely, effectively, efficiently, and in compliance with federal acquisition regulations. Acquisition planning is separate
from the budget process. SSA implements acquisition planning through the generation of Advanced Procurement Plans in the SSA Streamlined Acquisition System for any items over $100,000.

**SITAR Process**

The Select Phase of SITAR provides guidance to help build an enterprise-portfolio of proposed IT investments designed to improve overall organizational performance. The SITAR process combines technical evaluations of project proposals with executive management business knowledge, direction, and priorities. The SITAR Board reviews and approves the prioritization of the proposed investments using the established criteria and the DCS/CIO presents the proposed Agency IT Plan for the Commissioner’s final approval. The result of this process is the approved Agency IT Plan, which guides the agency’s IT staff and allocation of IT resources.

**Selection and Resource Allocation.** Based on current agency priorities, trend data, and available resources, the SITAR Board provides leadership and direction and reviews the IT proposals.

**Proposal Formulation.** Proposal formulation is the creation of new and updated existing proposals in order to support the workloads/initiatives through the Selection/Scoring Criteria. All proposal requests include documentation addressing the proposal’s relationship to agency goals and performance objectives, alternative solutions considered, the rationale for the selection of the proposed solution, acquisition strategy, cost, benefits, schedule, return on investment and risk analysis.

**Estimation.** Estimation involves collaboration between the DCS/CIO and business sponsors to determine the level of effort required for each proposal. Estimation incorporates the knowledge of available resources and competing workloads to determine within the next two fiscal years what functionality is practical to accomplish. Estimates beyond those two years are also developed, but with slightly less rigor and detail. The CIO/DCS Project Manager and the Business Project Manager document any known assumptions, dependencies, and impacts when providing resource estimates on an IT proposal. SSA, in general accordance with the GAO Cost Estimating Guide, utilizes several estimating tools and techniques including historical data, modeling, function-point analysis and market research.

SSA’s IT cost estimation guidance and accuracy has been a DCS/CIO targeted improvement area for some time now. Our incremental improvement approach has centered on issuing better guidance and instruction through PRIDE. The PRIDE enterprise wide intranet site houses current guidance and resources for SSA’s IT project managers and estimators. Guidance is under revision to differentiate cost estimation techniques needed to support the investment lifecycle – including rough order of magnitude estimates, budget estimates and cost estimates. The agency is upgrading its IT Investment Review process to strengthen cost estimation techniques used in the development of formal business cases for all major investments.

- Recent updates to PRIDE include the following cost estimation related activities: Budget and Cost Plan definitions, Cost Plans of Record, how to develop Estimates to Complete, and enhance change management policy to include improved baseline guidance. In addition to guidance on how to estimate IT work/costs, PRIDE offers an array of references and related resources including Size Estimating Tool, Estimating by Analogy, Work Breakdown Structure (WBS) template, Project Management Guidebook, Effort Distribution Calculator, and links to applicable sections in the GAO Cost Estimating and Assessment Guide.

**Portfolio Prioritization.** Each portfolio team, using common select criteria and SITAR guidance on agency priorities, determines which proposals to include for SITAR consideration. Portfolio executives collaborate with stakeholders to identify which initiatives they will submit based on relative benefits, costs, risks, and return on investment. Prior to submission to SITAR, portfolio executives and OS portfolio representatives review the overall integrated picture and produce a final agency prioritized list of proposals that align with mission performance and service improvement goals. The SITAR Board reviews and approves the final agency prioritized list. The DCS/CIO presents the Agency IT Plan to the Commissioner for final approval. We have
provided an agenda for a recent SITAR meeting in which the board approved proposals for the upcoming fiscal year as an appendix.

**OMB Memoranda.** OMB communicates significant guidance via its memoranda page on the OMB website. During this past year, OMB released Memorandum (M-15-14) titled Management and Oversight of Federal Information Technology. This memorandum provides implementation guidance for the Federal Information Technology Acquisition Reform Act (FITARA) and related information technology (IT) management practices. FITARA along with OMB’s implementation guidance has played a significant role in our investment planning process and in the update of this CPIC guide as shown throughout the guide and associated appendices. OMB memoranda can be accessed via the following link - [https://www.whitehouse.gov/omb/memoranda_default](https://www.whitehouse.gov/omb/memoranda_default)

**Agency Strategic Plan.** With all the advances in automation, it is imperative that SSA keeps up with the changing times. As increasing numbers of customers want to conduct business with us online, we must consider technology that will enable us to meet this emerging customer expectation. In developing our goal and strategies, our guiding principal was to optimize our customers’ satisfaction by incorporating technology into our processes and to ensure efficiency and effectiveness in all we do while encouraging and assisting customers to interact most efficiently with us. The Acting Commissioner emphasizes SSA’s steadfast commitment to preserving the public’s trust by protecting SSA programs from waste, fraud and abuse. Our Agency Strategic Plan for Fiscal Years 2014-2018 is guiding us as we make bold changes in technology and enhance service delivery. This plan serves as our blueprint for achieving our mission, focusing on the areas of: a) Innovation and Quality; b) Integrity; c) Our Disability Program; d) Our Workforce; and e) Secure Information Technology. In line with the President’s Second-Term Management Agenda, we are committed to delivering a world-class customer experience, which was a driving force behind each goal and objective.
4.0 – CONTROL PHASE

MONITORING THE PROGRESS OF ONGOING IT PROJECTS AGAINST PROJECTED COST, SCHEDULE, PERFORMANCE, AND DELIVERED BENEFITS

Once selected, initiatives form the comprehensive Agency IT Systems Plan, which is a two year tactical plan comprised of specific programs and projects within portfolios. Related, more detailed plans then form the basis for IT investment baselines and control measurement. Stated another way, after selection initiatives/projects enter into the Control Phase of the CPIC process.

Monitoring the performance, progress, and status of investments depends on effective project management and execution activities, accompanied by timely and appropriate corrective actions. Projects enter the Control Phase at the point in which they start expending funds to acquire planned capabilities. The DCS/CIO conducts reviews of IT investments and key milestones in their life-cycles based on the schedule approved during the initial funding decision in the Select Phase. Project reviews address key aspects of the project, including deliverables, methodology, technical issues, schedule, costs, business alignment, and risk.

The Control Phase involves detailed analysis and review of project performance. Project Managers (PM) monitor progress and control the expenditure of funds to ensure the project delivers the documented capability in accordance with approved cost, schedule, and performance baselines.

The Control Phase continues during deployment and operations when an investment also moves to the Evaluation Phase for review of actual results and outcomes, and development of lessons learned.

The distinction between major and non-major initiatives dictates the reporting and level of oversight required during the Control Phase.

IT Investment Plans

Major IT Business Case and Major IT Business Case Detail (formerly known as an OMB Exhibit 300s).

To assist in achieving the transparency and accountability goals set by the Administration, agencies are required to submit OMB Major IT Business Case, as well as monthly progress updates to the Federal Information Technology Dashboard (ITDB). The Major IT Business Case:

- Documents all of the planning and management activities associated with a particular capital investment or project
- Represents a commitment on the agency’s part to manage the project or investment as documented in the Exhibit and to meet the cost and performance goals outlined in the Exhibit
- Coordinates OMB’s collection of agency information for its reports to Congress
- Ensures business cases for investments are made and tied to agency mission statements, long-term goals and objectives, and annual performance plans
- Ensures alignment with the Federal Enterprise Architecture (FEA) reference models
- Helps identify under-performing projects

SSA submits a refresh of the investment data each year, after the publication of the President’s Budget. This update of investment data includes the addition of new investments and comprehensive updates to existing investments. Monthly updates include changes to projects and activities, updates to contract information, performance metrics, project risks, operational risks, integrated project team (IPT) contacts, and CIO evaluations.

SSA’s DCS/CIO reviews and determines which ongoing or proposed IT investments meet the level of a major IT investment in accordance with OMB guidance. For these major IT Investments, SSA develops and maintains detailed justification and, supporting analyses. Resources devoted to projects contained in major investments comprise a majority of the collective SSA IT Budget.

Performance Measurement Baseline (PMB). The PMB is the framework for comparison of work accomplished with work scheduled, and actual cost with the value of work performed. The PMB includes direct labor, contractor labor, ITS costs (other direct costs and material costs), and indirect costs for authorized work. Resources are spread in accordance with scheduled activities either in hours or converted from hours into burdened dollars in order to formulate the PMB. The PMB therefore represents the formal plan for each project to accomplish the work agreed to within the for the time and budget allocated. Detailed line items can be hierarchically summarized at various levels up to the overall program level.

A successful PMB details the program plan (included planned value) based on the master program schedule, the resources required to achieve the scheduled objectives, and is the framework in which earned value is calculated.

Annual Performance Measures. Performance measures are a required element of the business case for each of the agency’s major IT programs. Each investment must contain:

- Results specific metrics to measure the effectiveness of the investment in delivering the desired service or support level. These metrics support the business case justification and provide the foundation of a quantitative approach to defining benefits in an investment analysis.
- Activities and technology specific metrics to measure the program against its defined process standards or technical service level agreements.

While program managers may use agency-level APP measures when appropriate, they rely primarily on program-specific metrics to build their business cases; designed to show actual results monthly, quarterly, or semi-annually and are subject to an evaluation process.

Risk Management Plans. A formal risk management plan for major investments is required to be submitted with annual reporting of risks and risk mitigation progress to OMB.

Program Schedules. At the beginning of each fiscal year, each major IT program establishes a project schedule broken down by work breakdown structure (WBS). The WBS is a hierarchical, top (summary) to bottom (detailed) depiction of proposed work and outlines line item activities and projects, planned for the upcoming fiscal year. The program team allocates work year resources and IT dollars to each project and/or activity along with estimated start and end dates. For ongoing projects, program teams provide discrete resource, IT funding, and timeframe estimates each fiscal year, or for the duration of the activity. The WBS is used to establish the PMB.

Program Charter and Integrated Project Team (IPT). SSA generates a program charter for each major IT Investment. This document is in accordance with OMB direction, and expresses the program’s purpose, scope, and roles and responsibilities.

Multiple disciplines are essential to planning and managing an acquisition through its life cycle. Integrated Program Teams (IPTs) are established in order to ensure each discipline participating in or affected by
investments is represented during the entire life cycle. IPTs typically consist of sponsors, program teams, participating OS components and contracts specialists.

**IT Budget and Management Reporting.** The IT Budget and Management Reporting (Exhibit 53) supports the CPIC implementation/control phase by examining, analyzing, and reporting prior year actual amounts; current year budget authority estimates; and budget year plans and requests. Submission of the Exhibit 53 ensures the agency meets the CCA and FITARA requirements to provide a full and accurate accounting of IT investments. The Exhibit 53 is composed of three parts.

- **Agency IT Portfolio Summary.** This summary includes all IT resources for the IT investments from all funding sources. The IT spending contains six major parts in this portfolio of which three are directly applicable to the Agency:

<table>
<thead>
<tr>
<th>Category</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Part 1. IT Investments for Mission Delivery Area and Management Support Area</td>
<td>Report IT investments that directly support the delivery of the agency’s mission. Investments in this part should be listed by the agency-designated mission delivery and management support areas. This information should map directly to the agency's strategic and annual performance plan. For IT investments that cover more than one agency, report in the mission area with oversight of the IT investment.</td>
</tr>
<tr>
<td>Part 2. IT Investments for Infrastructure, IT Security, Office Automation, and Telecommunications</td>
<td>Report all IT investments supporting common user systems, security, communications, and computing infrastructure. Add mission areas and include end-user systems and support, mainframes and servers services and support, and telecommunications services and support. All IT Investments capturing shared services are to be reported as Part 2.</td>
</tr>
<tr>
<td>Part 3. IT Investments for EA, Capital Planning, and CIO Functions</td>
<td>List all EA, IT capital planning, and CIO function investments. Any capital planning and investment control process investments may be reported separately in this section; however, agencies should ensure that investments supporting multiple Part 3 functions have the correct primary FEA mapping in order to clearly distinguish the EA investments from other planning investments.</td>
</tr>
<tr>
<td>Part 4. IT Investments for Grants Management Systems</td>
<td>Report IT investments that support grants management operations.</td>
</tr>
<tr>
<td>Part 6. Grants to State and Local IT Investments</td>
<td>Report total amounts for grants to state and local governments to be used for information technology.</td>
</tr>
</tbody>
</table>

- **Agency Provisioned IT Services Spending Summary.** This summary includes costs for provisional IT services by cloud computing deployment model by year and costs for Provisional IT Services by cloud computing service model, by year.

- **Agency Infrastructure Spending Summary.** This summary includes all IT infrastructures that the agency owns and operates or obtained via services.

**Advanced Procurement Plan.** Acquisition planning requires early communication and close coordination between each component, the Office of Budget (OB), and the Office of Acquisition and Grants (OAG). Coordination ensures the agency completes acquisitions timely, effectively, efficiently, and in compliance with federal acquisition regulations. Acquisition planning is separate from the budget process.
SSA implements acquisition planning through the generation of Advanced Procurement Plans in the SSA Streamlined Acquisition System for any items over $100,000. The DCS’s budget planning and execution staff coordinates the ITS plans for components per DCS procedures, and submits to OAG. This information helps complete project information requirements in the Automated Purchase Requisition System (APRS).

### Actuals

Well-managed, cost-efficient organizations capture direct and indirect cost information to allow managers to make informed decisions about planning, performance to date, and resource allocations. SSA employs several tools to collect and store cost account data: Resource Accounting System (RAS)/Mainframe Time and Attendance System (MTAS) captures labor cost; CARS (Contractor Accounting Reporting System); APRS captures agency ITS costs while Social Security Online and Accounting Reporting System (SSOARS) is SSA’s official accounting system.

**RASMTAS.** Every person in SSA’s OS is required to account daily for regular tour-of-duty hours and over-tour hours, including both project-related and overhead time such as management, leave, training, administrative/support, and other non-direct time. Hours are entered and stored by day, project code, task and by resource.

Using the RASMTAS system, SSA accurately distributes hours worked to the appropriate tasks within our programs and projects. The RASMTAS application requires that:

- Employees have electronic access to RASMTAS to report hours against the appropriate WBS.
- All tour of duty hours are recorded.
- Supervisory approval of subordinates' charges received.
- Charges are limited to current WBS and charge codes.
- Detailed records are stored in an accurate database with advanced reporting capability.
- Built-in checks, balances and error reporting provided, ensuring tight control.

**RAS Time Reporting Reconciliation.** On a pay period basis, the RAS Staff produces a summarized extract of full time equivalent personnel (FTE) reported year-to-date using the RASMTAS interface. On a biweekly basis, the RAS staff produces an exception report to ensure that components are reporting 100 percent of their personnel resource utilization.

**Contractor Actuals Reporting System (CARS).** This is an in-house SSA application similar to RASMTAS that houses the actual hours expended for the major OS contractors. Support contractors working with SSA employees charge their time spent working on SSA projects to the same WBS structure as SSA employees. Downloading hours and dollars by WBS from a CARS database, enables complete program IT reporting at all WBS levels.

**Acquisition Planning and Reporting System (APRS).** APRS tracks the ITS budget. It is used by the IT Budget Staff and other component budget staff to manage the ITS budget. The IT Budget Staff adds, updates and views budget data at the SEI and Project level. The budget is updated with requisition and award data through an interface to SSA’s Streamlined Acquisition System (SSAsy). The IT Budget Staff also manually enters Interagency Agreement (IAA) and micro purchase data in APRS to update the ITS budget. ITS reports are produced using the APRS data.

**Social Security Online and Accounting Reporting System.** SSOARS is a centralized automated system for recording, classifying, and summarizing information on SSA’s financial position and operation and is the financial accounting tool used by the agency to view and track all spending such as commitments, obligations, accrued expenditures, and payments. It maintains the financial records of SSA, including the general ledger, subsidiary ledgers for control and reporting, obligation, advance and receivable subsidiary records, fund availability status, audit trail of accounting activity and the payment and collection records for cash
reconciliation. SSOARS combines all of SSA’s administrative accounting, payment, and collection activities, detects and prevents improper payments, and improves debt management. Award amounts in APRS and SSOARS are reconciled weekly by the DCS Budget Staff using an Access database with input from both systems. APRS and SSOARS both store estimates and actuals at the SEI project level.

As project-level line items are created in APRS, the IT Budget Staff establishes similar line items in SSOARS. If the requested SSOARS entry is consistent with the approved budget, the IT Budget Staff will update SSOARS. If the requested SSOARS entry is not consistent, no update will occur until the issues are resolved.

**SSA Streamlined Acquisition System (SSASy).** The agency’s requisition processing system, SSASy, sends real-time update files to APRS whenever there is a change in status to a requisition. SSASy also updates SSOARS when a requisition has been budget approved by Finance as an Unliquidated Commitment and updates award information in APRS and SSOARS with a daily batch file.

**Direct Costs.** Direct costs are costs specifically identified and assigned to a program or activity and charged to specific elements within a program/project’s WBS. Examples include direct labor, direct material, other direct costs, and direct contractor costs. At SSA, direct costs are accumulated in the cost accounting systems in a manner consistent with the way the related work is planned and budgeted.

**Indirect Costs.** Indirect costs are costs incurred for common or joint objectives and/or costs that are unidentifiable with individual programs. They are not accumulated in units that are readily or economically traceable to individual cost objectives and allocated using a rational and consistent method that approximates the proportional benefit derived from the activity. Typical costs in this category are benefits, security, facilities, utilities, administrative activities such as human resources, and executive staff.

SSA’s OB determines the appropriate overhead for direct costs in order to allocate burdened costs to programs.

**Government Labor Costs.** RASMTAS captures all hours OS employees charge to specific approved and controlled charge codes. The agency's OB provides the appropriate rates for incurred hours.

The agency’s OB uses expected payroll and benefit costs to derive an average workyear cost for the OS.

**Contractor Labor Costs.** The appropriate Contract Management Staff ensures contractors performing in a collaborative manner provide actual hours charged to the Government for the same periods of performance and the same controlled charge codes as SSA employees. Contractual agreements determine rates applied to the hours.

**ITS Costs.** ITS costs are charged to the appropriate SEI and program include all non-labor direct costs to projects and programs such as software, hardware, project-specific travel and training, project-specific supplies and services, and contractor support where services are provided independently.

### Reporting and Oversight

The DCS/CIO conducts reviews of IT investments and key milestones in their life cycles based on the schedule approved during the initial funding and scope decisions made during the Select Phase. Project reviews address several aspects of the project, including deliverables, methodology, technical issues, schedule, costs, business alignment, and risk.

**Monthly EVM.** SSA performs EVM on major IT Investments that contain DME costs. Annually established for each investment, the PMB reflects resources and ITS allocations approved during the agency’s IT planning process. The investment’s program team provides monthly estimates of work year resources, IT dollars, and milestone deliverables. Monthly tracking and reporting of the program’s resource management and execution against the established PMB is provided. The program teams provide monthly IT expenditures and milestone performance and the program’s government and contractor actuals, IT expenditures, and performance are entered into the agency’s EVM System each month to generates Format 1 and Format 5 reports.
The Format 1 report summarizes the program's current month and cumulative to date planned value, earned value and actual cost by level of the WBS. The Format 1 captures the program's cumulative to-date cost and schedule variances, as well as the program's budget at completion and estimate at completion (EAC) for each level of the WBS. This information is entered into the electronic Capital Planning and Investment Control (eCPIC) application. eCPIC is used to submit the data to OMB and for display on the ITDB. Format 1 data is also part of the criteria used to determine Investment ratings for the ITDB.

The Format 5 report is used to explain cost and schedule variances from the Format 1 that are beyond a +/- 10% threshold. The Program Manager is responsible for providing an explanation of the variance, its effect on the immediate task, its effect on the total program, and the corrective actions taken or planned to address the variance on the Format 5. Program teams also use the Format 5 reports as a source for updating the Executives on existing Major IT Investments.

**Integrated Baseline Review (IBR).** IBR is a key component of EVM and performed periodically throughout a program's lifecycle. An IBR measures the accuracy, completeness, and validity of the program's baseline and therefore, the health of a project from cost, schedule, management process, resource, and technical perspectives. Ideally, qualified outside resources perform IBRs. This impartial analysis provides key quality assessments and recommendations.

**Budget Execution Report (BER).** BER is an agency-wide management information tool used to view allocations within the CFO-approved IT operating budget, adjustments to budgets, commitments, obligations, and available balance. The BER is a dashboard that pulls data from multiple budgets and spend sources to inform all agency executives on the status of CFO and CIO allocated and approved IT spending. All DC components, including the CFO, and CSO, have visibility into each other's IT spending via the BER as well. Essentially, BER is a business intelligence portal/dashboard used to inform all within the enterprise of the status of their SEI spending. The BER centralizes the information from Automated Purchase Requisition System (APRS) and Social Security Online and Accounting Reporting System (SSOARS) into a reporting dashboard.

**Federal Information Technology Dashboard (ITDB) CIO Rating.** SSA's DCS/CIO provides an overall rating for all major IT Investments. As a rule, the evaluation reflects the DCS/CIO's assessment of the risk and the investment's ability to accomplish its goals (See Figure 5). Throughout the life of the investment, DCS/CIO updates the evaluation rating as soon as new information becomes available that affects the assessment of a given investment.

<table>
<thead>
<tr>
<th>Evaluation Rating</th>
<th>Color</th>
</tr>
</thead>
<tbody>
<tr>
<td>5 Low Risk</td>
<td>Green</td>
</tr>
<tr>
<td>4 Moderately Low Risk</td>
<td>Green</td>
</tr>
<tr>
<td>3 Medium Risk</td>
<td>Yellow</td>
</tr>
<tr>
<td>2 Moderately High Risk</td>
<td>Red</td>
</tr>
<tr>
<td>1 High-Risk</td>
<td>Red</td>
</tr>
</tbody>
</table>

**FIGURE 4 - FIVE-POINT RISK SCALE**

**Quarterly Project Health Review** - On a quarterly basis, project sponsors document project issues related to design, scope, schedule, risk, functionality, and acceptance. Portfolio Executives meet with OS Associate Commissioners supporting the portfolio to review and address any project health issues, such as schedule, cost, performance and risk. In addition, Project Managers document the quarterly project accomplishments and any issues (see Appendix). The results of this process are stored on our intranet IT project health dashboard, which is available agency wide.
Quarterly SITAR board meetings - The SITAR board convenes on a quarterly basis to discuss status of IT investments, accomplishments, and portfolio summaries.

Monthly Deputy Priority/Executive Oversight Meetings - The projects selected for review receive staffing, budget, and senior management oversight and are the highest priority OS projects. Executive oversight is deemed necessary when projects are based on specific legislative mandates, the result of court cases, high risk (technology, resources availability, funding, dependency, or stakeholder issues), high cost, or high sensitivity (ACOSS priority, special interest group involvement, fraud or abuse related). The DCS/CIO and his senior management review executive oversight projects in detail once per month.

ITS Funding Change Request (IFCR). During the budget execution phase, approved SEI funding levels allocated to specific investments may require adjustment.

- The project officer submits an IT Funding Change Request (IFCR) through the IT Budget Staff’s IT Investment Management System (ITIMS). The change request requires the following for consideration:
  - Explanation and justification for the proposed adjustment
  - Impact of the change on the investment providing the additional funds
  - Impact of the change on the investment receiving the funds (if applicable)

- The DCS/CIO must approve all proposed changes to ITS/SEI funding levels. The IT Budget Staff executes the IFCR process, acting as the focal point anytime project officers or other IT budget personnel initiate a change request. DCS Budget Staff analysts review each IFCR request, provide relevant background information (why the change in funding is needed), and the impact of the transfer on other initiatives. With IT Budget Staff analysis comes a recommendation to either approve or reject the request for DCS/CIO consideration during his review. Please note that IFCRs facilitate moving money within CFO authorized IT funding limits.

- The IFCR process is automated (no paper, e-mails, scanning, wet signatures) and is linked real-time into the BER and our ITS controls systems.

TechStat. The DCS/CIO conducts TechStat sessions to address critical problems with an investment, turn around underperforming investments, or terminate investments if appropriate. If an investment has a high risk rating (red CIO evaluation in the ITDB) for three consecutive months, a TechStat is automatically triggered to take place within 30 days of the completion of the third month. SSA conducts TechStats at the discretion of OMB, the DCS/CIO, or the initiative sponsor. TechStats are primarily aim to remedy underperformance and mitigate risk, but they are also communication mechanisms whereby senior SSA executives (including the CFO and CAO) weigh in on revised execution plans for troubled projects.

PortfolioStat. In FY2012, OMB established PortfolioStat accountability sessions to engage directly with senior agency leadership to gauge the effectiveness of IT management practices and address opportunities to better manage IT resources. PortfolioStat is an evidence-based, data-driven tool, which assesses agency IT at the portfolio, or enterprise-wide level and includes: 1) consistency with CIO authority over IT governance, commodity IT systems, information security and IT program management oversight, 2) Measures to strengthen IT portfolio governance, and 3) advancing service delivery. PortfolioStat 2013 also integrated the Federal Data Center Consolidation Initiative (FDCCI), the IRM Strategic Plan and the Enterprise Architecture (EA) Roadmap into its requirements. An important element of PortfolioStat is quarterly IDC consisting of security & privacy key metrics, commodity IT baseline update, mobile contracts inventory update, cost savings/avoidance decisions, Federal Risk and Authorization Management Program (FedRAMP) key metrics, open data policy & inventory, agency points of contacts, and agency TechStat outcomes. Our quarterly IDC is provided in Appendix F. Starting in FY2015, OMB has changed PortfolioStat from being an annual review session to quarterly reviews. OMB now collects agency progress data on a quarterly basis and as such has an obligation to provide timely performance feedback throughout the year. In alignment with the Administration’s core IT objectives, PortfolioStat sessions will focus on three key areas: (1) driving value in Federal IT Investments, (2)
delivering world-class digital services, and (3) protecting Federal IT assets and information. Prior to each quarterly PortfolioStat session, OMB will be provided a scorecard including agency-specific performance metric data. Our Quarterly PortfolioStat September 2015 session also included for the first time FITARA along with some of specific deficiencies and concern in our FITARA implementation plan.

**FedStat.** Building upon successful Benchmarking and PortfolioStat reviews, this year OMB and SSA are conducting a single, coordinated FedStat meeting covering a prioritized set of mission and management issues. Per OMB guidance, in our FY2017 budget submission, we will provide an update on all action items from the FedStat meeting. Following the FedStat meeting, OMB may provide additional guidance on specifications for our FY 2017 Budget submission.

**SSA PortfolioStat/Portfolio Prioritization.** Each portfolio team, using common select criteria and SITAR guidance on agency priorities, determines which proposals to include for SITAR consideration. Portfolio executives collaborate with the stakeholders to prioritize their initiatives based on their relative benefits, costs, risks, and return on investment. Prior to submission, portfolio executives and OS portfolio representatives meet to review the overall integrated picture ensuring proposed resources and support are aligned with the IT investments that effectively support mission performance and service improvement goals. The resulting final prioritized list goes to the SITAR Board for review. The DCS/CIO presents the Agency IT Plan to the Commissioner for final approval.

SSA IT Portfolios are a collection of IT projects or programs that are grouped together to facilitate effective management of that work to meet strategic business objectives. SSA’s internal PortfolioStat Sessions are face to face evidence-based investment reviews generally two hours in length. The sessions are chaired by the DCS/CIO. Attendees include all major stakeholders (sponsor, OAG, Budget, program team, technical leads). The PortfolioStat review includes the following: (1) Portfolio description and investment principles; (2) Portfolio strategy/initiative roadmaps; (3) Key projects; (4) Review of selected business cases; (5) Highlights, challenges, opportunities and accomplishments; (6) Resource requirements and issues; (7) Cost and schedule performance; and (8) Portfolio risks. Our PortfolioStat Sessions result in action plans and lessons learned for the enterprise. In addition these sessions provide an important means of communication about Portfolio health to the SITAR Board and Senior Management.

**Performance Measurement.** With operations and maintenance activities at times consuming the majority of the total life-cycle costs of a program, it is critical to monitor its effectiveness and productivity. OMB Circular A-123 emphasizes effectiveness and efficiency of operations as one of the three core objectives. Collecting and analyzing performance data is essential to ensuring that programs continue to deliver value to the organization and the public. Performance metrics are an important element of Operational Analysis, the continued measurement of a program’s strategic and business results.

**Risk Management.** A good risk management process provides guidelines for identifying, analyzing, documenting, mitigating, and monitoring events that might affect the investment positively or negatively. This process provides procedures that serve as a basis for identifying, documenting, analyzing, and prioritizing risks associated with the investment and for developing strategies to handle those risks and enable executives and the team to monitor the investment’s health throughout its life cycle.

**Management Steering Committee (MSC).** Comprised of the DCS/CIO, the Assistant Deputy Commissioner for Systems, the Associate Commissioners in the Office of Systems and the SPI Director, the MSC meets bimonthly to define the policies and procedures regarding project management, software engineering, product development, and infrastructure support. Additionally, the MSC:

- Sponsors the Systems Process Improvement (SPI) effort
- Communicates goals, direction, roles, and responsibilities to the organization
- Determines which projects will be classified as EO. EO projects are tracked in Prism and monitored at monthly Project Managers meetings
- Coordinates with external components the impact of decisions made by the MSC
- Sets priorities on improvement plans based on other competing priorities of the organization
- Allocates resources, reviews results of assessments, and approves improvement related plans

**Incremental Development:** SSA’s increased commitment to incremental development techniques (principally agile) in FY16 is evident in part through the following (G1):

- Using SAFE Scaled Agile Framework as guidance, we have formalized the training and coaching process for those projects that we have selected for Agile.
- Agile Resource Center: The SSA Office of Enterprise Support, Architecture & Engineering has established an agency-wide Agile Resource Center web site - the hub for information about Agile methods implemented at SSA, where IT specialists and others can:
  - Get an overview of Agile basics;
  - Learn about the hybrid Agile Lifecycle used at SSA;
  - Browse and access artifacts that support our Agile process;
  - Learn about our Agile tools;
  - Request Agile training for management or teams;
  - Request hands-on support for teams implementing Agile; and
  - Access Agile-related content, such as best practices and industry white papers
- In addition to the technical aspects of incremental development techniques such as agile, we have also focused on improving administrative, business, contracting and reporting elements as well.

**Monthly DCS/CIO Procurements Meeting:** On a monthly basis, SSA’s CFO, Associate Commissioners in the Office of Budget and Office of Acquisitions and Grants, a representative from the Office of General Counsel, the DCS/CIO, and relevant staffs meet to discuss topics that include:

- CR status updates and impacts;
- Planning for additional funds and various funding level requests;
- Upcoming, expiring, and in jeopardy procurements;
- Small business opportunities

### Release Success Verification (RSV)

A RSV is a review completed by the Project Manager and the Business Program Manager to confirm whether the release was successful in satisfying the business goals, user goals, and the requirements agreed upon in the Scope Agreement.

A RSV is normally conducted once the release has been implemented and in production for 30-60 days. The RSV is required for all projects that are approved by SITAR and designated as development or cyclical, and resourced with two or more work years. The RSV contains a Defect Report, which summarizes the number and type of post-production defects tracked in the Change, Asset, and Problems Reporting System for an average of 30-60 days.
The Evaluation Phase closes the IT investment management process by comparing actual data against goals/estimates in order to assess the performance and identify areas where decision-making might be improved.

Ending Programs/Projects

Programs/Projects terminate for several reasons: (1) due to a shift in the agency goals and objectives, the current program/project is no longer an agency priority; (2) the current program/project has become irrelevant due to a new program/project that better addresses the concern or need; and (3) the status of the program/project is acceptable, fully implemented, and functioning.

There are key decision points that allow SSA to determine whether the agency should end or terminate an IT investment. The DCS/CIO monitors the performance of the agency’s IT plan, evaluate the performance of those programs on the basis of the applicable performance measurements, and advise the head of the agency regarding whether to continue, modify, or terminate a program or project. The DCS/CIO has various decision points or scenarios to assist with making the decision on whether to terminate an IT investment. Results of Planning and Analysis, TechStat Reviews, and PIRs results provide data to make the decision to continue or terminate a project or an entire investment.

Post Implementation Review (PIR)

PIRs are assessments that help determine whether an IT investment has achieved expected benefits, costs, schedules, performance and mission objectives, and a favorable level of stakeholder and user satisfaction.

PIRs retrospectively assess the program/project that make up the IT investment for successes and weaknesses, and involve input from all stakeholders. During the PIR, actual costs, benefits, schedule, and identified risks are compared to the original project estimates to assess the IT investment's performance and identify areas for improvement. Overall a PIR is essential to determine:

- an IT investment's impact on mission performance, stakeholders and customers;
- the investment's ability to deliver results and meet baseline goals and performance measures;
- if any investment or project modifications are needed; and
- if SSA's CPIC or PRIDE processes need to be revised based on lessons learned.

The results of the PIR provide the Senior Management with a better understanding of the investment’s performance, and help determine whether any additional actions need to be taken to improve further execution of SSA’s IT investments.
**Operational Analysis**

Operational Analysis is a method of examining the current and historical performance of the O&M portion of a Major IT investments and measuring that performance against an established set of cost, schedule, and performance parameters. Operational Analysis is more subjective in nature, and should trigger considerations of how to better meet objectives, save costs, provide alternative methods of achieving the same results, and determine whether the organization should even perform a particular function.

Steady State investments complete an Operational Analysis annually in the place of an Alternatives Analysis. Mixed life-cycle investments may complete an Operational Analysis annually, in addition to an Alternatives Analysis, if a significant portion of the investment is designated as O&M.

An Operational Analysis answers questions in the specific areas of:

- Customer Satisfaction
- Strategic and Business Results
- Financial Performance
- Innovation

In addressing customer satisfaction, the analysis focuses on whether the investment is fully meeting the customer's needs and whether the cost is appropriate for the results delivered. The focus here is simply on whether the investment is delivering the goods or services that it is intended to deliver.

Strategic and business results measure the effect of the investment on the performing organization itself, and should provide a measure of how well the investment is meeting business needs, whether it is contributing to the achievement of the organization's strategic goals, and whether it continues to be aligned with the organization's strategic direction.

In measuring the financial performance, the Steady State Operational Analysis should compare current performance with a pre-established cost baseline. It should also discuss the current performance of the investment. Is performance within acceptable limits of variance for cost and schedule? If not, what corrective actions are you taking to get back on track? Has executive management concurred in the planned corrective actions?

Addressing innovation in the Operational Analysis is an opportunity to conduct a qualitative analysis of the investment’s performance in terms of the three previous factors. Demonstrate that you have revisited alternative methods of achieving the same customer results and strategic goals. Operational Analysis may identify the need to redesign or modify an asset by identifying previously undetected faults in design, construction, or installation/integration, highlighting whether actual operation and maintenance costs vary significantly from budgeted costs, or documenting that the asset is failing to meet program requirements.
APPENDIX A - AGENCY TOOLS AND TRAINING

SSA SUPPORTS ITS CAPITAL PLANNING AND INVESTMENT CONTROL PROCESS WITH A VARIETY OF INTERNAL SELECTION AND CONTROL SUPPORT TOOLS

Investment Management Tool (IMT)
In November 2015 the Prism system was transformed into the Investment Management Tool (IMT). As with Prism, IMT is based upon Computer Associate’s (CA) Clarity PPM commercial-off-the-shelf (COTS) configured software package that manages agency investments. Unlike Prism the initial implementation of IMT will provide out-of-the-box Clarity functionality. It’s a tool that assists and supports the following:

- Assists Sponsors and executives in selecting and managing agency IT investments
- Supports the IT planning workflow process
- Assists Project Managers in planning and actively managing approved projects
- Assists Sponsors and executives in monitoring project, portfolio, and program health

Prism (CA Clarity™ web-based Project and Portfolio Management (PPM) application) is our data repository tool which houses non-active project data.

PRIDE is the agency’s guide for project managers and project teams. It is designed to aid in the planning and execution of project lifecycle activities and is the repository for: Project lifecycle models, Activities and work products, Work product templates and procedures, Policies and directives, and Project management resources.

Resource Accounting System/Mainframe Time & Attendance System (http://rasmtas.ba.ssa.gov/) application provides DCS with the capability to capture OS actuals at the project and life cycle stage level by individual and date.

Contractor Actuals Reporting System (CARS) is an in-house SSA application that houses the actual hours and project information expended for the major DCS contractors working on SSA projects.

IT Information Management System (ITIMS) application automates SSA ITS Funding Change Request process. This is used to request approval for reprogramming funding between Special Expense Items and requesting approval for a new SEI.

Earned Value Management System (EVMS) ensures that cost, schedule, and technical aspects of the contract or project are truly integrated and estimated, and actual progress of the project can be identified using Earned Value analysis principals.

Electronic Capital Planning and Investment Control (eCPIC) is used to gather and submit the Agency IT Portfolio Summary and Major IT Business Case and Major IT Business Case Detail to OMB. It is also used for ongoing updates and reporting to the ITDB.
SSA’s Streamlined Acquisition System (http://eis.ba.ssa.gov/oag/ssasy) is the tool used for acquisition planning, requisitions, awards, and acquisition management information reporting. SSASy enables SSA to perform secure, web enabled, advanced acquisition planning, routing, and approval of paperless purchase requests, and provide a paperless official contract file.

Automated Purchase Requisition System (http://aprs.ba.ssa.gov) is used to create, approve, and manage ITS spending. All award information, including the vendor, award amount, and planned delivery date is available from APRS.

Budget Execution Report (BER). BER is an agency-wide management information tool used to view allocations within the CFO-approved IT operating budget, adjustments to budgets, commitments, obligations, and available balance. The BER is a dashboard that pulls data from multiple budgets and spend sources to inform all agency executives on the status of CFO and CIO allocated and approved IT spending. All DC components, including the CFO, and CSO, have visibility into each other’s IT spending via the BER as well. Essentially, BER is a business intelligence portal/dashboard used to inform all within the enterprise of the status of their SEI spending. The BER centralizes the information from Automated Purchase Requisition System (APRS) and Social Security Online and Accounting Reporting System (SSOARS) into a reporting dashboard.

Training

CPIC Training. SSA’s CPIC foundational training is for the Portfolio Executives, SITAR support staff, and others as appropriate. The 2-day training session includes a CPIC Overview, functional sessions with the DCS Senior Advisors & DCS Contracting, Acquisition, Planning and Program (CAPP); DCS Planning & Management Analysis Staff (PMAS); DCS Budget; and IT Investment Management, and sessions with focus on the our Project Resource Guide (PRIDE), Prism, and the Enterprise Architecture & Review Boards.

Investment Analysis Training. The Agency conducts annual investment analysis training as needed for those project sponsors with identified investment for the upcoming fiscal year. This training is led by the IT Investment Management Staff with support from the DCS PMAS. The workshop begins with an overview on investment analysis and is followed with more detailed information and instructions for the project sponsors. The remainder of the workshop is focused on working collaboratively with the project sponsors in completing the review of the project costs and estimating and entering the project benefits – both quantitative and qualitative with supporting detail.

This annual training provides the project sponsors with any new and/or updated guidance and instructions since the prior year. In addition, it serves as new and/or refresher training for the attendees.

IT Training. Personnel within OS have multiple opportunities to complete training. The Systems Training Branch and the agency’s Office of Learning (OL) both offer in-person training classes. The OL also offers online training that employees may take at any time. In addition to training offered through SSA, employees can take courses offered by other government entities including the United States Department of Agriculture, the National Institute of Standards and Technology, and the Federal Acquisition Institute.

DCS managers identify training needs for their 2210 series employees through an annual needs assessment. For each course in the needs assessment, managers can identify both critical and non-critical staff that should complete the training. If additional courses are needed, managers can add courses to the needs assessment list. The Systems Training Branch determines what IT-specific training to offer based on their analysis of needs identified in the needs assessment, special requests from managers and instructors, instructor and room availability, and the training budget. Historically budgets have not allowed for training to cover all needs identified in the needs assessment, and there is currently no clear method of identifying which needs were met by training and which needs were met through other strategies.
Workforce Competency

Our CIO has identified enterprise-wide competency requirements for IT staff, including IT leadership positions, and developed and implemented workforce planning processes ensuring a future-ready IT staff. The CIO is responsible for the recruitment/training/retention, etc. of the agency’s 2210 series. Our IT Addendum to the Human Capital Operating Plan for 2015 – 2016 includes sections on:

- IT workforce status
- IT certifications
- IT leaders and leadership pipeline
- IT human capital gap analysis and strategies to close the gap
- Transforming the agency to an employer of choice
- Expanding leadership and core competency skill development
- Establishing an integrated and collaborative human capital management framework

The third objective stated within our IT Human Capital Operating Plan is to continue to expand leadership and core-competency skill development. Planned improvement initiatives and milestones include:

- Create Opportunities for Enterprise-wide IT Training
- Facilitate IT Certification
- Develop / Re-Invigorate IT-focused Leadership Development Programs (LDP)
- Develop IT-focused Mentoring Programs
- Make IT training courses available enterprise-wide
- Increase cost efficiencies and standardization of training across the enterprise
- Establish an enterprise-wide IT certification determination process and tracking system beginning with PM and INFOSEC positions
- Create a baseline to expand certification training opportunities to the 2210 series
- Increase opportunities to develop and grow 2210 series IT leaders
- Reduce competency gaps in IT leadership positions
- Create opportunities for IT employees to receive developmental guidance from cross-component peers and colleagues
APPENDIX B - AGENCY ROLES, RESPONSIBILITIES

ALL PERSONNEL ASSOCIATED WITH ANY PROCESS OR ACTIVITY RELATED TO THE SELECTION, CONTROL, AND EVALUATION OF SSA’S IT INVESTMENTS SHARE RESPONSIBILITY FOR THE CPIC POLICIES IDENTIFIED IN THIS GUIDE

COSS/DCOSS

The Office of the Commissioner of Social Security (COSS) and Deputy Commissioner of Social Security (DCOSS) provide executive leadership to SSA. The Office is responsible for development of policy, administrative and program direction, program interpretation and evaluation, relations with news media, research oriented to the problems of economic insecurity in American society, and development of recommendations on methods of advancing social and economic security through social insurance and related programs.

DCS/CIO

The Deputy Commissioner for Systems (DCS)/Chief Information Officer (CIO) acts as the Chair of the SITAR Board. Duties include:

- Work with the Chief Financial officer (CFO) and the Chief Acquisition Officer (CAO) to ensure IT portfolio analysis is an integral part of the yearly budget process for the agency.
- Convene the SITAR Board on a quarterly basis – once in the July timeframe to adjudicate/approve/finalize the plan for the upcoming year (CY) and the following year (BY) and three more times to track progress and handle issues and new initiatives surfacing since the prior meeting, and provide the members with necessary background information in advance of meetings.
- Lead post implementation reviews.
- Lead “TechStat” sessions; improve line-of-sight between project teams, Deputy Commissioners, and Senior Executives.
The Chief Technology Officer (CTO) position is the agency’s first. The CTO will report directly to the Deputy Commissioner for Systems/Chief Information Officer. 

Duties include:

- Key responsibility for developing an enterprise approach to how the agency explores, develops, and integrates new technology and IT solutions.
- Lead the strategy for technology direction
- Build partnerships
- Address business challenges through the deployment of technology
- Support post implementation reviews.
- Participate in “TechStat” sessions; assist in improving line-of-sight between project teams, Deputy Commissioners, and Senior Executives.
- Committed to investing in innovative, proven, and relevant technologies to meet the changing business needs and re-establish ourselves as one of the leading software development organizations in the federal government.
- The CTO’s staff is focused on technological innovation, incubation, and then once vetted, handoff to the appropriate component.
- A quarterly newsletter will provide CTO updates, highlight new capabilities and technologies, answer some frequently asked questions, and provide you access to more information. One of our commitments is consistent communication with all DCS resources.

DC/CSO

The Chief Strategic Officer (CSO) reports directly to the Acting Commissioner.

Duties include:

- Key responsibility for ensuring that SSA 2025 Vision becomes a reality.
- One of the first steps towards that reality is to create a strategic roadmap extending through the next ten years.
- Work with other leaders in our agency to identify critical milestones and outlines for our future strategic plans.
- Build partnerships
- Address business challenges through the deployment of technology
- Support post implementation reviews.
- Participate in “TechStat” sessions; assist in improving line-of-sight between project teams, Deputy Commissioners, and Senior Executives.
- Committed to investing in innovative, proven, and relevant technologies to meet the changing business needs and re-establish ourselves as one of the leading software development organizations in the federal government.
**DCBFQM/CFO**

The Chief Strategic Officer (CSO) reports directly to the Deputy Commissioner /Chief Information Officer

**Duties include:**
- Key responsibility for ensuring that SSA 2025 Vision becomes a reality.
- One of the first steps towards that reality is to create a strategic roadmap extending through the next ten years.
- Work with other leaders in our agency to identify critical milestones and outlines for our future strategic plans.
- Build partnerships
- Address business challenges through the deployment of technology
- Support post implementation reviews.
- Participate in “TechStat” sessions; assist in improving line-of-sight between project teams, Deputy Commissioners, and Senior Executives.
- Committed to investing in innovative, proven, and relevant technologies to meet the changing business needs and re-establish ourselves as one of the leading software development organizations in the federal government.

**OAG**

The Office of Acquisitions and Grants provides a centralized acquisition function. SSA uses integrated acquisition teams to ensure effective planning and execution of its IT acquisitions and deliver the expected results.

The majority of the staff is comprised of contract specialists and procurement analysts. Within the acquisition function, a core team of contract specialists supports SSA’s IT program acquisition needs throughout the systems development, operations, and maintenance life cycle. The specialized divisions of this core team are:
- IT equipment and maintenance;
- IT software and maintenance; and
- IT support services

**ODCS/CIO Front Office**

The Immediate Office of the Deputy Commissioner for Systems provides the DCS/CIO with management support on the full range of his/her responsibilities to include budget, planning, systems acquisition, audit liaison, administration, and advising.

**DCS Planning and Management Analysis Staff (PMAS)** is responsible for oversight and agency-wide support for the IT planning process. During the IT planning process, the entire agency works in partnership to establish and prioritize IT initiatives needed to accomplish the agency’s goals, objectives, and performance measures. The staff is responsible for several tools that support the IT planning process, including the IT Planning website, the Strategic Information Technology Assessment and Review website, and Prism. DCS PMAS works closely with the DCS Associate Commissioner-level offices and the DCS Budget Staff to implement SITAR Board decisions.

**DCS IT Budget Staff** directs the planning, development and execution of the agency’s IT budget, the Administrative Budget for Systems and supports the preparation of OMB Exhibits 53 and 300. The staff is responsible for the development and monitoring of annual OS component full-time equivalent work year ceilings, hiring allocations, and other...
staffing resources. They are also responsible for monitoring and tracking the actual spending of budgeted resources.

**DCS Contracting, Acquisition, Planning and Programs Staff (CAPPS)**

advises the DCS/CIO on OMB, contracts and compliance matters, and acquires and manages contractor support resources used throughout OS in support of agency IT initiatives. CAPPS coordinates the annual Agency IT Portfolio Summary (OMB Exhibit 53) and Major IT Business Case and Major IT Business Case Detail (OMB Exhibit 300) submission. CAPPS oversees the Earned Value Management System and generates and analyzes Management Information reports for each of the major IT Investments and leads the PIRs. CAPPS maintains SSA’s CPIC document.

**DCS Senior Advisors in the immediate office of DCS/CIO:**

- Provide technical advice, counsel and executive level coordination and liaison interfaces with external and internal groups including officials from other Federal agencies, State and local government, the private sector, industry, and other SSA components; and
- Prepare communications and presentations that provide authoritative DCS information and analyses.

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**Chief Enterprise Architect**

**SSA’s Office of Enterprise Support, Architecture and Engineering leads the Enterprise Architecture program.**

SSA maintains EA principles throughout the agency by using strategic objective portfolios and a formal EA governance process. SSA aligns its annual budget submissions to the FEA reference models created by the OMB and maps major IT budget requests to the EA. The Enterprise Architect’s responsibilities include:

- Ensuring that SSA interests are fully represented in the EA
- Institutionalizing the EA as an integral part of strategic planning and lifecycle development processes
- Benchmarking agency EA practices with the government and industry best practices
- Serving as EA point-of-contact with other federal agencies

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**OIS/CISO**

The Office of Information Security (OIS) is responsible for the security infrastructure as well as for managing the reporting and monitoring processes that ensure compliance with governmental policies.

FISMA provides the legislative framework for much of OIS’s efforts. OIS ensures compliance with the safeguards and management controls that protect the confidentiality, integrity, and availability of agency resources.

OIS interacts with the OMB as well as the National Institute of Standards and Technology (NIST) concerning a wide range of agency and government-wide security issues. OIS also prepares and coordinates agency responses concerning IT security issues.
**SITAR Board**

The Strategic Information Technology & Assessment Review Board provides business-driven leadership, is comprised of SSA’s Commissioner or designee, the DCS/CIO and Deputy Commissioners, and represents SSA’s business and supporting components.

The SITAR Board:
- Selects agency IT initiatives;
- Determines enterprise-wide IT planning, prioritization and IT resourcing using established evaluation criteria.
- Helps ensure proposed IT initiatives: 1) directly tie to and achieve ASP objectives; 2) meet agency business needs; 3) employ sound IT investment methodologies; 4) comply with our enterprise architecture and security frameworks; and 5) consider return on investment and risk assessment.
- Acts as the executive governing body for our IT initiatives and projects;
- Provide leadership and direction to ensure appropriate business drivers guide our IT budget, operation, and development;
- Operates within the framework of our Enterprise Architecture (EA) acquisition management requirements, capital planning requirements, security and administrative and other regulations;
- Promotes integrated planning and collaboration among our programs, IT systems, and business processes;
- Selects and resources the agency’s IT initiatives for the upcoming fiscal year and budget year.

**IT Investment Process (ITIP)**

The ITIP Investment review board which is comprised of senior SSA management including the CIO, CFO, CSO and select Deputy Commissioners, will collaboratively oversee this new IT investment management process.

The ITIP is the evolving improved SSA IT IRB. One of the agency’s Critical 8 Priorities within the Vision 2025 plan is to transform the IT Investment Process. The Agency is committed to replacing the SITAR process with a new IT investment management process featuring improvements in business planning, business cases – including better cost and return on investment data, designing and planning IT investments, out year estimation, and more transparent reporting and oversight. The goal is for all IT investments to be approved via a consensual process, but importantly the DCS/CIO (in compliance with FITARA) retains veto power. The process for managing the ITS budget will not change. The DCS/CIO continues to directly manage and approve all operational IT expenditures.

**Integrated Program/Project Team (IPT)**

<table>
<thead>
<tr>
<th>The IPTs are responsible for delivering products and services to internal and external customers, including field office employees and citizens.</th>
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<tr>
<td>The IPT evaluates all aspects of the project and ensures delivery of promised functionality. Key members of the team include the Program/Project Manager, the contract specialist, contracting officer, and the designated contractor’s officer technical representative. An acquisition career manager grants certification after a review board evaluates each candidate’s relevant application/documentation.</td>
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APPENDIX C - LAWS, REGULATIONS, AND GUIDANCE

THIS SECTION DOCUMENTS THE FEDERAL AUTHORITIES CONCERNING IT MANAGEMENT LEGISLATION AND REGULATORY GUIDANCE RELATED TO THE CPIC PROCESS

Laws

Chief Financial Officers Act (CFO) of 1990 establishes a leadership structure, provides for long-range planning, requires audited financial statements, and strengthens accountability reporting.

Clinger-Cohen Act (CCA) of 1996, formerly the Information Technology Management Reform Act of 1996 (ITMRA), supplements information resources management policies by establishing a comprehensive approach for executive agencies to improve the acquisition and management of their information resources, by: (1) focusing information resource planning to support strategic missions; (2) implementing a capital planning and investment control process that links to budget formulation and execution; and (3) rethinking and restructuring the way work is performed before investing in information systems.

The Act requires the head of each executive agency to design and implement in such agency a process for maximizing the value and assessing and managing the risks of information technology acquisitions. Directs such agency heads to utilize the same performance and results-based management practices as encouraged by the OMB Director, and to prepare an annual report to the Congress concerning progress in achieving such goals. Provides specific authority of such agency heads with respect to information technology acquisitions.

E-Government Act of 2002 requires agencies to develop performance measures for implementing E-Government. The Act also requires agencies to support Government-wide E-Government initiatives and to leverage cross-agency opportunities to further E-Government. In addition, the Act requires agencies to conduct and submit PIAs to OMB for all new IT investments administering information in identifiable form collected from or about members of the public.

Energy Independence and Security Act of 2007, including Sections 431 through 435 and 523 through 525, focuses on automobile fuel economy, development of biofuels, and energy efficiency in public buildings and lighting. Energy and Policy Act of 2005, including Sections 103, 104, 109, and 203, described by proponents as an attempt to combat growing energy problems, changed US energy policy by providing tax incentives and loan guarantees for energy production of various types. Additionally, the Act made significant changes in its Commission authority: (1) it reaffirmed a commitment to competition in wholesale power markets as national policy, the third major federal law in the last 30 years to do so; (2) it strengthened the Commission’s regulatory tools, recognizing that effective regulation is necessary to protect the consumer from exploitation and assure fair competition; and (3) it provided for development of a stronger energy infrastructure. The Act requires federal procurement of energy efficient products, sets building performance standards, and, where economically feasible and technically practicable, sets renewable energy targets.
Federal Acquisition Streamlining Act (FAS) of 1994 requires agencies to establish cost, schedule, and measurable performance goals for all major acquisition programs, and achieve on average 90 percent of those goals.

Federal Information Security Management Act (FISMA) of 2002 requires agencies to integrate IT security into their capital planning and enterprise architecture processes at the agency, conduct annual IT security reviews of all programs and systems, and report the results of those reviews to OMB.

Federal Financial Management Improvement Act of 1996 (FFMIA) is intended to increase the capability of agencies to monitor the execution of their budgets by providing better support for the preparation of reports that compare spending of resources to results of activities.

Federal Managers’ Financial Integrity Act (FMFIA) of 1982 requires agency heads to provide an annual assurance statement on whether internal control and financial systems provide reasonable assurance that the integrity of Federal programs and operations is protected.

Federal Records Act which requires agencies to establish standards and procedures to ensure efficient and effective records management. The National Archives and Records Administration (NARA) issues policies and guidance for agencies to meet their records management goals and requirements. NARA also provides policies and guidance for planning and evaluating investments in electronic records management.

Federal Information Technology Acquisition Reform Act (FITARA) of 2014 requires the heads of federal agencies to ensure that their respective CIOs have a significant role in IT decisions, including annual and multi-year planning, programming, budgeting, execution, reporting, management, governance, and oversight functions.

Government Performance and Results Act (GPRA) of 1993 established the foundation for budget decision-making to achieve strategic goals in order to meet agency mission objectives.

Government Performance and Results Act Modernization Act (GPRA) of 2010 creates a performance framework by defining a governance structure and by better connecting plans, programs, and performance information. It requires more frequent reporting and reviews intended to increase the use of performance information in program decision-making, a renewed emphasis from the federal government on strategic planning, performance reporting, and a drive to link performance data into agencies’ strategic planning and decision making process. Agencies are required to identify long-term performance and priority goals, conduct quarterly progress reviews, and post the results.

Information Technology Management Reform Act of 1996 (ITMRA) is intended to improve the ways that agencies acquire, use, and dispose of information technology (IT) and, thereby, to improve the productivity, efficiency, and effectiveness of Federal programs. The Act requires consideration of IT goals in strategic planning and IT contributions to agency goals and performance.

National Technology Transfer and Advancement Act of 1995 (P.L. 104-113) and OMB Circular A-119 states that voluntary consensus standards are the preferred type of standards for Federal Government use. When it would be inconsistent with law or otherwise impractical, agencies must submit a report to OMB through the National Institute of Standards and Technology (NIST) describing the reason(s) for the agency’s use of government-unique standards in lieu of voluntary consensus standards.

Paperwork Reduction Act (PRA) of 1995 requires that agencies perform their information resource management activities in an efficient, effective, and economical manner.

Regulations and Guidance

Capital Programming Guide provides professionals in the federal government guidance for a disciplined capital programming process, as well as techniques for planning and budgeting, acquisition, management, and disposition of capital assets. The guidance integrates the various Administration and statutory asset management initiatives (including Government Performance and Results Act, the Clinger-Cohen Act, the Federal Acquisition Reform Act, the Federal Acquisition Streamlining Act of 1994, and others) into a single, integrated capital programming process to ensure that capital assets successfully contribute to the achievement of agency strategic goals and objectives.

Common Approach to Federal Enterprise Architecture provides guidance for a common approach to the practice of Enterprise Architecture (EA) throughout the Executive Branch of the U.S. Federal Government. Federal law and policy require Agency Heads to develop and maintain an agency-wide enterprise architecture that integrates strategic drivers, business requirements, and technology solutions. The Common Approach to Federal Enterprise Architecture promotes increased levels of mission effectiveness by standardizing the development and use of architectures within and between Federal Agencies. This includes principles for using EA to help agencies eliminate waste and duplication, increase shared services, close performance gaps, and promote engagement among government, industry, and citizens.

Contracting Guidance to Support Modular Development provides agencies with contracting guidance to support modular development, as required by Information Technology (IT) Reform Action 15: Issue Contracting Guidance and Templates to Support Modular Development, 25 Point Implementation Plan to Reform Federal Information Technology Management. It also empowers agency leadership and Integrated Project Teams (IPTs) with strategies and tools to improve investment manageability and budgetary feasibility, reduce overall risk, and support rapid delivery of workable solutions.

Digital Government Strategy: Building a 21st Century Platform to Better Serve the American People, enables an increasingly mobile workforce to access high-quality digital government information and services anywhere, anytime, on any device; Ensures that as the government adjusts to this new digital world, we seize the opportunity to procure and manage devices, applications, and data in smart, secure and affordable ways; and Unlocks the power of government data to spur innovation across our Nation and improve the quality of services for the American people.

Executive Order 13011, Federal Information Technology highlights the need for agencies to improve the management of their information systems by implementing the relevant provisions of PRA, the Clinger-Cohen Act, and GPRA. Agencies are to refocus their IT management to directly support their strategic missions, implement an investment review process that drives budget formulation and execution for information systems, and rethink and restructure the way they perform their functions before investing in information technology to support that work.

Executive Order 13423, Strengthening Federal Environmental, Energy, and Transportation Management policy of the United States requires all Federal agencies conduct their environmental, transportation, and energy-related activities under the law in support of their respective missions in an environmentally, economically and fiscally sound, integrated, continuously improving, efficient, and sustainable manner.

Executive Order 13514, Federal Leadership in Environmental, Energy, and Economic Performance requires all Federal agencies to develop, implement and annually update a plan that prioritizes actions based on a positive return on investment for the American taxpayer and to meet GHG emissions, energy, water, and waste reduction targets.

Executive Order 13642, Making Open and Machine Readable the New Default for Government Information aims to require all new government data to be made available in open, machine-readable formats. The strategy is comprised of two parts: an Executive Order and a new Open Data Policy by the
Office of Science and Technology Policy and the Office of Management and Budget. Essentially, the goal is to ensure that all newly generated government data is made available in open, machine-readable formats while ensuring privacy and security.

**Federal Acquisition Regulation, including Subchapter B, Parts 5 through 12 and Part 23,** is the principal set of rules in the Federal Acquisition Regulation System. This system consists of sets of regulations issued by agencies of the federal government of the United States to govern what is called the “acquisition process”; this is the process through which the government purchases (“acquires”) goods and services. That process consists of three phases: (1) need recognition and acquisition planning, (2) contract formation, and (3) contract administration. The FAR System regulates the activities of government personnel in carrying out that process. Parts 5 through 12 cover acquisition planning, while Part 23 is concerned with Socioeconomic Programs, i.e., Environment, Energy and Water Efficiency, Renewable Energy Technologies, Occupational Safety, and Drug-Free Workplace.

**Federal Cloud Computing Strategy,** articulates the benefits, considerations, and trade-offs of cloud computing; Provide a decision framework and case examples to support agencies in migrating towards cloud computing; Highlight cloud computing implementation resources; Identify Federal Government activities and roles, and responsibilities for catalyzing cloud adoption. Mandated agencies to re-evaluate its technology sourcing strategy to include consideration and application of cloud computing solutions as part of the budget process, and to modify their IT portfolios to fully take advantage of the benefits of cloud computing in order to maximize capacity utilization, improve IT flexibility and responsiveness, and minimize cost.

**Federal Information Processing Standard (FIPS) 199, Standards for Security Categorization of Federal Information and Information Systems,** requires all unclassified federal information systems to determine the security categorization of the information system.

**Federal Information Processing Standard (FIPS) 200** requires the use of SP 800-53, which makes it mandatory for all unclassified federal information systems.

**Federal Information Technology Shared Services Strategy** provides organizations in the Executive Branch of the United States Federal Government (Federal Agencies) with policy guidance on the full range and lifecycle of intra- and inter-agency information technology (IT) shared services, which enable mission, administrative, and infrastructure-related IT functions. This strategy is part of the Office of Management and Budget (OMB) 25-Point Implementation Plan to Reform Federal IT Management1, which seeks to increase return on investment, eliminate waste and duplication, improve the effectiveness of IT solutions, and require agencies to use a shared approach to IT service delivery.

**Federal Management Regulation, including Subchapters B and C,** prescribes policies concerning property management and related administrative activities. The policies cover the acquisition, management, utilization, and disposal of real property by Federal agencies that initiate and have decision-making authority over actions for real property services.

**Information Technology Investment Management Model** promoted by the GAO is a roadmap for smarter uses of IT investments in federal agencies. Built around the select/control/evaluate approach described in the Clinger-Cohen Act of 1996, the framework provides a method for evaluating and assessing how well an agency is selecting and managing its IT resources. The framework provides a rigorous, standardized tool for internal and external evaluations of these processes; a consistent and understandable mechanism for reporting the results of assessments; and a road map to follow in improving agency processes.

**National Institutes of Standards and Technology (NIST) SP 800-12, Introduction to Computer Security: The NIST Handbook.** Specifically written for those responsible for handling sensitive systems, the handbook provides a broad overview of computer security and control areas and emphasizes the importance of the security controls and ways to implement them.

**National Institutes of Standards and Technology (NIST) Special Publication 800-146, Concepts and Definitions Regarding Cloud Computing,** provides guidelines and recommendations on how organizations
should consider the relative opportunities and risks of cloud computing, deployment models, service models, and economic considerations and security.

**National Institutes of Standards and Technology (NIST) SP 800-16, Information Technology Security Training Requirements: A Role-and Performance-Based Model, Revision 1,** describes the key approaches of an information security awareness and training program that federal departments and agencies should follow to help ensure that individuals learn the appropriate information security-related material.


**National Institutes of Standards and Technology (NIST) SP 800-64, Security Considerations in the Information System Security Development Life Cycle (SDLC),** guides the selection and acquisition of cost-effective security controls during the appropriate phases of the SDLC.

**OMB Circular A-11, Preparing and Submitting Budget Estimates,** instructs agencies on the preparation of budget submissions. Part 3 provides guidance on the planning, budgeting, and acquisition of fixed assets, which include IT capital assets; and requires agencies to provide information on these assets in budget submissions. It also provides guidance for coordinating collection of agency information for OMB reports to Congress for FASA and the CCA. Part 7 (Section 300) of the Circular establishes policy for planning, budgeting, acquisition and management of federal capital assets, budget justification, and reporting requirements for major IT investments and for major non IT capital assets.

**OMB Circular A-76, Performance of Commercial Activities,** requires that activities performed by the federal government identified as commercial in nature will be subject to competition.

**OMB Circular A-94, Guidelines and Discount Rates for Benefit-Cost Analysis of Federal Programs,** provides general guidance for conducting benefit-cost and cost effectiveness analyses and specific guidance on the discount rates used in evaluating federal programs.

**OMB Circular A-109, Major Systems Acquisitions,** establishes policies for acquiring major systems. Major systems are those programs that are critical to fulfilling an agency mission, entail the allocation of relatively large resources, and warrant special management attention.

**OMB Circular A-123, Management Accountability and Control,** provides guidance to federal managers on improving the accountability and effectiveness of federal programs and operations by establishing, assessing, correcting, and reporting on management controls.

**OMB Circular A-127, Financial Management Systems,** prescribes policies and standards for executive departments and agencies to follow in developing, operating, evaluating, and reporting on financial management systems.

(Re-Visit and update as needed) **OMB Circular A-130, Management of Federal Information Resources,** establishes policies for management of federal information resources, including procedural and analytical guidelines. Section 8B establishes additional requirements for EA, planning and control of information systems, technology investments, and performance management. Agencies must develop, implement, and use a capital programming process to develop their capital asset portfolio.
OMB Memorandum M-97-02, Funding Information Systems Investments, establishes the decision criteria with respect to the evaluation of major information system investments.

OMB Memorandum M-00-07, Incorporating and Funding Security in Information Systems Investments, reminds agencies of OMB’s principles for incorporating and funding security as part of agency information technology systems and architectures and of the decision criteria that will be used to evaluate security for information systems investments.


OMB Memorandum M-04-19, Information Technology (IT) Project Management (PM) Qualification Guidance, identifies IT investment systems requiring qualified Project Managers and requirements for certification of Project Managers.

OMB Memorandum, M-05-23, Improving Information Technology (IT) Project Planning and Execution, identifies steps agencies must take for all new major IT investments, on-going major IT developmental investments, and high-risk IT investments to ensure improved execution, performance, and oversight.

OMB Memorandum, M-04-24, Expanded Electronic Government (E-Gov) President’s Management Agenda (PMA) Scorecard Cost, Schedule and Performance Standard for Success, provides additional information on the President’s Management Agenda (PMA) Expanded Electronic Government (E-Gov) initiative and the standard for success concerning cost.

OMB Memorandum M-04-25, FY 2004 Reporting Instructions for the Federal Information Security Management Act, describes the integration of security and capital planning through the plan of action and milestone (POA&M) weakness mitigation process.

OMB Memorandum M-11-29 – Chief Information Officer Authorities clarifies the primary four areas of responsibility for Agency CIOs throughout the government, as identified in the IT Reform Plan: Governance. CIOs must drive the investment review process for IT investments and have responsibility over the entire IT portfolio for an Agency. CIOs must work with Chief Financial Officers and Chief Acquisition Officers to ensure IT portfolio analysis is an integral part of the yearly budget process for an agency. The IT Reform plan restructured the investment review boards (IRBs) by requiring Agency CIOs to lead "TechStat" sessions - actionable meetings designed to improve line-of-sight between project teams and senior executives; Commodity IT. Agency CIOs must focus on eliminating duplication and rationalize their agency’s IT investments. Agency commodity services are often duplicative and sub-scale and include services such as: IT infrastructure (data centers, networks, desktop computers and mobile devices); enterprise IT systems (e-mail, collaboration tools, identity and access management, security, and web infrastructure); and business systems (finance, human resources, and other administrative functions). The CIO shall pool their agency’s purchasing power across their entire organization to drive down costs and improve service for commodity IT. In addition, enterprise architects will support the CIO in the alignment of IT resources, to consolidate duplicative investments and applications. CIOs must show a preference for using shared services as a provider or consumer instead of standing up separate independent services; and Program Management. Agency CIOs shall improve the overall management of large Federal IT projects by identifying, recruiting, and hiring top IT program management talent. CIOs will also train and provide annual performance reviews for those leading major IT programs. CIOs will also conduct formal performance evaluations of component CIOs (e.g. bureaus, sub-agencies, etc.). CIOs will be held accountable for the performance of IT program managers based on their governance process and the IT Dashboard; and Information Security. CIOs, or senior agency officials reporting to the CIO, shall have the authority and primary responsibility to implement an agency-wide information security program and to provide information security for both the information collected and maintained by the agency, or on behalf of the agency, and for the information systems that support the operations, assets, and mission of the agency. Part of this program will include well-designed, well-managed continuous monitoring and
standardized risk assessment processes, to be supported by "CyberStat" sessions run by the Department of Homeland Security to examine implementation.


**OMB Memorandum M-13-13 - Open Data Policy-Managing Information as an Asset**, requires agencies to collect or create information in a way that supports downstream information processing and dissemination activities. This includes using machine-readable and open formats, data standards, and common core and extensible metadata for all new information creation and collection efforts. It also includes agencies ensuring information stewardship through the use of open licenses and review of information for privacy, confidentiality, security, or other restrictions to release. Additionally, it involves agencies building or modernizing information systems in a way that maximizes interoperability and information accessibility, maintains internal and external data asset inventories, enhances information safeguards, and clarifies information management responsibilities.

**OMB Memorandum M-14-08 – Fiscal Year 2014 PortfolioStat** provides guidance for the conduct of PortfolioStat sessions in the remainder of Fiscal Year (FY) 2014. PortfolioStat is a core tool used to improve both the efficiency and effectiveness of Federal Information Technology (IT) and reflects the Administration’s commitment to building a Government that focuses on results and draws on evidence-based practices to ensure that every taxpayer dollar is used wisely and to the maximum effect by focusing on four key areas: Effectiveness, Efficiency, Economic Growth, and People and Culture.

**OMB Memorandum M-15-11 – Fiscal Year 2017 Budget Guidance** provides assistance in continuing to build on the investments and reforms proposed in the FY 2016 Budget. In addition, agency budget requests should reflect management strategies that will help to deliver a Government that is more effective, efficient, and supportive of economic growth. Included in Appendix A under Additional Management Agenda Information is FedStat.

**OMB Memorandum M-15-14 – Management and Oversight of Federal Information Technology** provides implementation guidance for the Federal Information Technology Acquisition Reform Act (FITARA) and related information technology (IT) management practices.

**OMB’s 25-Point Implementation Plan to Reform Federal Information Technology Management** is an 18-month executional strategy to improve Government efficiency, effectiveness, and service delivery. The memorandum provides federal requirements to improve and streamline how agencies manage IT projects, outlines the steps to adopt cloud solutions and leverage shared services, and covers the structural areas that affect the success rates of large IT programs across government. The benefit of using such a framework is that it provides an integrated approach to ensuring system effectiveness and privacy protections from both a policy and practice perspective.

**Section 508 of the Americans with Disability Act**, requires federal agencies to make their electronic and information technology accessible to people with disabilities. Inaccessible technology interferes with an individual’s ability to obtain and use information quickly and easily. The federal government enacted Section 508 to eliminate barriers in IT, to make available new opportunities for people with disabilities, and to encourage development of technologies that will help achieve these goals. The law applies to all federal agencies when they develop, procure, maintain, or use electronic and information technology.

**Security Authorization of Information Systems in Cloud Computing Environments (FedRAMP)** provides a standardized approach to security assessment, authorization, and continuous monitoring for cloud products and services. FedRAMP serves as baseline for initiating, reviewing, granting, and revoking security authorizations for cloud services by providing a cost-effective, risk-based approach for the adoption and use of cloud services by making available to Executive departments and agencies: Standardized security requirements for the authorization and ongoing cyber security of cloud services for selected information system impact levels; A
conformity assessment program capable of producing consistent independent, third-party assessments of security controls implemented by CSPs; Authorization packages of cloud services reviewed by a Joint Authorization Board (JAB) consisting of security experts from the Department of Homeland Security (DHS), Department of Defense (DOD), and General Services Administration (GSA); Standardized contract language to help Executive departments and agencies integrate FedRAMP requirements and best practices into acquisition; and a repository of authorization packages for cloud services that can be leveraged government-wide.
APPENDIX D – FITARA

SSA’S COMMON BASELINE SELF-ASSESSMENT AND IMPLEMENTATION PLAN

In OMB Memorandum M-15-14, implementation guidance was provided for the Federal Information Technology Acquisition Reform Act (FITARA) and related information technology (IT) management practices. The details of the FITARA implementation guidance are provided in (insert link). As part of the plan, OMB asked agencies to map any gaps between FITARA requirements and current IT operations and oversight by Aug. 15. The Agency delivered on time its FITARA Common Baseline Self-Assessment and Implementation Plan. We received OMB’s improvement guidance and was pleased to present revised materials supporting in our revised submission on November 16, 2015 for OMB approval and public release.

At SSA, we have been analyzing our internal processes for areas of improvement. During this past year, the Agency established Vision 2025 to provide a future ready roadmap for the agency in three overarching areas: superior customer experience, exceptional employees, and an innovative organization. The Acting Commissioner has directed near-term implementation plans to achieve the following eight critical goals: 1) enhance online customer services, 2) reduce the wait for a hearing decision, 3) educate the public about Social Security Programs, 4) improve succession planning, 5) promote employee development and engagement, 6) transform the IT Investment process, 7) establish an enterprise-wide Program Management Office (ePMO), and 8) accelerate the use of data-driven decision-making. Most, if not all, of the critical eight goals require heavy IT involvement. With that said, we felt the need to focus on Critical Goal #6 - transform the IT Investment process.

We have also noted areas within the plan where SSA’s Vision 2025 and Critical 8 priorities contribute to FITARA goals and objectives. Our Implementation Plan now demonstrates how our Vision 2025 and many of our Critical 8 goals align with each of the four Common Baseline elements we have used an incremental improvement approach in seeking innovative ways to moving forward with our goals in Vision 2025 and our Eight Critical.

There are three areas of improvement which we are applying enterprise-wide. These areas include process improvement, standardization, and consolidation. Areas under construction include:

- **Process Improvement** - The Information Technology Investment Process (ITIP) is the evolving improved SSA IT IRB. Goal #6 of the agency’s Critical 8 Priorities within the Vision 2025 plan is to transform the IT Investment Process. The Agency is committed to replacing the SITAR process with a new IT investment management process (ITIP) featuring improvements in business planning, business cases – including better cost and return on investment data, designing and planning IT investments, out year estimation, and more transparent reporting and oversight. The goal is for all IT investments to be approved via a consensual process, but importantly the CIO (in compliance with FITARA) retains veto power. The process for managing the ITS budget will not change. The CIO/DSC continues to directly manage and...
approve all operational IT expenditures. The ITIP Investment review board which is comprised of senior SSA management including the CIO, CFO, CSO and some Deputy Commissioners, will collaboratively oversee this new IT investment management process.

- **Standardization:** By developing common language and processes in our documentation across the enterprise, we will be able to respond in a more efficient manner to both our internal and external customers.
- **Consolidation** - Consolidating our estimating/financial tools and transition to Investment Management Tool (IMT). This will be a robust collaborative tool with one stop shop for the Agency’s use during the investment process.

The following table highlights areas where SSA is moving forward in becoming a more innovative and efficient agency utilizing and maximizing our limited resources in producing the identified benefits.

<table>
<thead>
<tr>
<th>Area of Improvement</th>
<th>Value/Benefit</th>
</tr>
</thead>
<tbody>
<tr>
<td>Replacing SITAR process with IT Improvement Process (ITIP)</td>
<td>The Agency is committed to replacing the SITAR process with a new IT investment management process featuring improvements in business planning, business cases - including better cost and return on investment data, designing and planning IT investments, out year estimation, and more transparent reporting and oversight.</td>
</tr>
<tr>
<td>Upgrading IT Investment Review Process</td>
<td>Strengthen cost estimation techniques used in the development of formal business cases for all major investments</td>
</tr>
<tr>
<td>Shorter release increments (from 12 mos. down to 3 to 4 months)</td>
<td>Quicker product implementation</td>
</tr>
<tr>
<td>Replacing Prism with IMT</td>
<td>Increasing functionality capability; improved quality of estimates.</td>
</tr>
<tr>
<td>Streamlining the project management artifacts</td>
<td>More efficient use of time</td>
</tr>
<tr>
<td>Incremental development techniques (such as Agile)</td>
<td>Improvement in overall delivery time and quality of the end product.</td>
</tr>
<tr>
<td>IFCR process</td>
<td>Automated process (no paper, e-mails, scanning, wet signatures) and is linked real-time into the BER and our ITS Budget controls systems</td>
</tr>
<tr>
<td>Enterprise Software Engineering Tools (ESET) Process</td>
<td>Facilitates the effective and efficient use of tools in the SSA Enterprise Architecture while identifying and maximizing cost savings.</td>
</tr>
<tr>
<td>Laptop BP with NCST</td>
<td>Provides centralized purchasing for laptops across the enterprise – ensuring the agency is able to leverage cost savings, volume pricing and long-term maintenance support</td>
</tr>
<tr>
<td>Enterprise Mobile Provisioning Service (EMPS)</td>
<td>In FY 2016, we will complete development, deployment and operationalization of its EMPS through which we will consolidate the acquisition and provisioning of the remaining 28% under these BPAs and centrally manage under the CIO/DCS going forward.</td>
</tr>
<tr>
<td>Training IT Personnel</td>
<td>Standardization of training improves efficiency and</td>
</tr>
</tbody>
</table>
Budget Formulation and Planning

**FITARA: “The CIO has a significant role in the decision processes for all annual and multi-year planning, programming, budgeting, and execution decisions.”**

Within our centralized organization, the CIO’s Capital Planning and Investment Control (CPIC), IT Investment Review Board (IRB), IT budget formulation and execution, and enterprise architecture (EA) processes prescribe multiple layers of CIO visibility and oversight to IT resource planning and control. CIO staff utilizes results as inputs to IT CPIC processes and documents. Our Information Resource Management (IRM) Strategic Plan, Enterprise Roadmap, and CPIC Guides describe our IT organizational structure and related processes and procedures. Our CIO approves and monitors all of our procured IT resources throughout the select, control, and evaluation CPIC lifecycle phases. The vast majority of our Government IT labor (2210 series personnel) are direct reports within the CIO’s organization. Less than 15% of the agency’s IT staff reside in field offices and other headquarters components, and perform mostly overhead functions. We can improve CIO oversight processes and communications to those IT Specialists, including specific processes which emphasize and foster innovation.

We provide details of specific process improvements in this 2015 CPIC Guide. The process improvements include:

- **IT Investment Process (ITIP)** - As mentioned, one of the agency’s Critical 8 Priorities within the Vision 2025 plan is to transform the IT Investment Process. The Agency is committed to replacing the SITAR process with a new IT investment management process featuring improvements in business planning, business cases - including better cost and return on investment data, designing and planning IT investments, out year estimation, and more transparent reporting and oversight.

- **Investment Management Tool (IMT)** – replaces Prism for use during the SSA CPIC process phases.

- **IT Investment Review Process** - The agency is upgrading its IT Investment Review process to strengthen cost estimation techniques used in the development of formal business cases for all major investments.

- **Updated PRIDE** - As recently as November 10, 2015, we updated PRIDE to reflect updates to the following cost estimation related activities: Budget and Cost Plan definitions, Cost Plans of Record, how to develop Estimates to Complete, and enhance change management policy to include improved rebaseline guidance. In addition to guidance on how to estimate IT work/costs, PRIDE now offers an

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<table>
<thead>
<tr>
<th>Budget Execution Report (BER)</th>
<th>Productivity across the enterprise</th>
</tr>
</thead>
<tbody>
<tr>
<td>• An agency-wide management information tool used to view allocations within the CFO-approved IT operating budget, adjustments to budgets, commitments, obligations, and available balance.</td>
<td></td>
</tr>
<tr>
<td>• A dashboard that pulls data from multiple budget and spend sources to inform all agency executives on the status of CFO and CIO allocated and approved IT spending.</td>
<td></td>
</tr>
<tr>
<td>• All DC components, including the CFO, and CSO, have visibility into each other’s IT spending via the BER.</td>
<td></td>
</tr>
<tr>
<td>• A business intelligence portal/dashboard used to inform all within the enterprise of the status of their SEI spending.</td>
<td></td>
</tr>
</tbody>
</table>

**Quarterly IDC Instructions**

FITARA has introduced new reporting requirements for agencies and OMB. In the August 31, 2015 collection, OFCIO asked agencies to report their anticipated cost savings or avoidance from FDCCI-related strategies. Starting in the November 30, 2015 collection, OFCIO instead asks agencies to provide projected non-FDCCI PortfolioStat savings (i.e. all other savings or avoidance).

We have prepared quarterly IDC instructions document which contains three major areas: 1) recurring collections, 2) short-term collections, and other data collections. The recurring collections area includes sections on IRM Strategic Plan and Enterprise Roadmap, TechStat, and Data Improvement. The short-term collections address Microsoft Enterprise License Agreement and Projected (Non-FDCCI) Cost Savings and Avoidance. Other Data Collections includes realized cost savings and avoidance decisions, Section 508, and Agency IT Policy Archive Program. A list of the FY17 IDC Common Definitions is provided in Appendix F.
# APPENDIX E – LIST OF ACRONYMS

<table>
<thead>
<tr>
<th>A, B</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>ACB</td>
<td>American Council for the Blind</td>
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<tr>
<td>ADG</td>
<td>Architecture Design Group</td>
</tr>
<tr>
<td>ARB</td>
<td>Architecture Review Board</td>
</tr>
<tr>
<td>APP</td>
<td>Annual Performance Plan</td>
</tr>
<tr>
<td>APRS</td>
<td>Automated Purchase Requisition System</td>
</tr>
<tr>
<td>ASP</td>
<td>Agency Strategic Plan</td>
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<tr>
<td>BER</td>
<td>Budget Execution Report</td>
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</table>

<table>
<thead>
<tr>
<th>C</th>
<th>Description</th>
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</thead>
<tbody>
<tr>
<td>CAO</td>
<td>Chief Acquisition Officer</td>
</tr>
<tr>
<td>CAPPSS</td>
<td>Contracting, Acquisition, Planning and Program Staff</td>
</tr>
<tr>
<td>CARS</td>
<td>Contractor Actuals Reporting System</td>
</tr>
<tr>
<td>CBA</td>
<td>Cost Benefit Analysis</td>
</tr>
<tr>
<td>CCA</td>
<td>Clinger-Cohen Act</td>
</tr>
<tr>
<td>CFO</td>
<td>Chief Financial Officer</td>
</tr>
<tr>
<td>CIO</td>
<td>Chief Information Officer</td>
</tr>
<tr>
<td>COSS</td>
<td>Commissioner of Social Security</td>
</tr>
<tr>
<td>CPIC</td>
<td>Capital Planning and Investment Control</td>
</tr>
<tr>
<td>CTO</td>
<td>Chief Technology Officer</td>
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<thead>
<tr>
<th>D</th>
<th>Description</th>
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</thead>
<tbody>
<tr>
<td>DAWIA</td>
<td>Defense Acquisition Workforce Improvement Act</td>
</tr>
<tr>
<td>DCOSS</td>
<td>Deputy Commissioner of Social Security</td>
</tr>
<tr>
<td>DCS</td>
<td>Deputy Commissioner for Systems</td>
</tr>
<tr>
<td>Acronym</td>
<td>Description</td>
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<td>---------</td>
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</tr>
<tr>
<td>DHS</td>
<td>Department of Homeland Security</td>
</tr>
<tr>
<td>DME</td>
<td>Development, Modernization and Enhancement</td>
</tr>
<tr>
<td>DOD</td>
<td>Department of Defense</td>
</tr>
<tr>
<td>DP</td>
<td>Deputy Priority</td>
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<tr>
<td>DRB</td>
<td>Decision Review Board</td>
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<tr>
<td>EA</td>
<td>Enterprise Architecture</td>
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<tr>
<td>EAC</td>
<td>Estimate at Completion</td>
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<tr>
<td>eCPIC</td>
<td>Electronic Capital Planning &amp; Investment Control</td>
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<tr>
<td>eGov</td>
<td>Expanded Electronic Government (E-Gov)</td>
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<tr>
<td>EITA</td>
<td>Enterprise Information Technology Acquisition</td>
</tr>
<tr>
<td>EO</td>
<td>Executive Oversight</td>
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<td>EVM</td>
<td>Earned Value Management</td>
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<tr>
<td>EVMS</td>
<td>Earned Value Management System</td>
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<td>FAS</td>
<td>Federal Acquisition Streamlining Act</td>
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<td>FDCCI</td>
<td>Federal Data Center Consolidation Initiative</td>
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<td>FEA</td>
<td>Federal Enterprise Architecture</td>
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<td>FedRAMP</td>
<td>Federal Risk and Authorization Management Program</td>
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<tr>
<td>FISMA</td>
<td>Federal Information Security Management Act</td>
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<td>FITARA</td>
<td>Federal Information Technology Acquisition Reform Act</td>
</tr>
<tr>
<td>FP</td>
<td>Function Point</td>
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<tr>
<td>FTE</td>
<td>Full Time Equivalent Personnel</td>
</tr>
<tr>
<td>FY</td>
<td>Fiscal Year</td>
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<td>GAO</td>
<td>Government Accountability Office</td>
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<tr>
<td>GPEA</td>
<td>Government Paperwork Elimination Act</td>
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<td>GPRA</td>
<td>Government Performance &amp; Results Act</td>
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<td>General Services Administration</td>
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<td>Acronym</td>
<td>Description</td>
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<td>---------</td>
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</tr>
<tr>
<td>IMT</td>
<td>Investment Management Tool</td>
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<tr>
<td>IPT</td>
<td>Integrated Project Team</td>
</tr>
<tr>
<td>IRB</td>
<td>Investment Review Board</td>
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<tr>
<td>IRM</td>
<td>Information Resources Management</td>
</tr>
<tr>
<td>IT</td>
<td>Information Technology</td>
</tr>
<tr>
<td>ITDB</td>
<td>Federal Information Technology Dashboard</td>
</tr>
<tr>
<td>ITS</td>
<td>Information Technology System(s)</td>
</tr>
<tr>
<td>ITMRA</td>
<td>Information Technology Management Reform Act</td>
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<tr>
<td>JAB</td>
<td>Joint Authorization Board</td>
</tr>
<tr>
<td>KPIs</td>
<td>Key Performance Indicators</td>
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<td>LoBs</td>
<td>Lines of Business</td>
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<tr>
<td>MSC</td>
<td>Management Steering Committee</td>
</tr>
<tr>
<td>MTAS</td>
<td>Mainframe Time &amp; Attendance System</td>
</tr>
<tr>
<td>NARA</td>
<td>National Archives and Records Administration</td>
</tr>
<tr>
<td>NIST</td>
<td>National Institute of Standards and Technology</td>
</tr>
<tr>
<td>OAG</td>
<td>Office of Acquisition and Grants</td>
</tr>
<tr>
<td>OB</td>
<td>Office of Budget</td>
</tr>
<tr>
<td>OESAE</td>
<td>Office of Enterprise Support, Architecture and Engineering</td>
</tr>
<tr>
<td>OIS</td>
<td>Office of Information Security</td>
</tr>
<tr>
<td>O&amp;M</td>
<td>Operations &amp; Maintenance</td>
</tr>
<tr>
<td>OMB</td>
<td>Office of Management and Budget</td>
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<td>OPM</td>
<td>Office of Personnel Management</td>
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<td>OS</td>
<td>Office of Systems</td>
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<tr>
<td>PEB</td>
<td>Portfolio Executive Board</td>
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<td>PIA</td>
<td>Privacy Impact Assessment</td>
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<tr>
<td>PII</td>
<td>Personally Identifiable Information</td>
</tr>
<tr>
<td>PIR</td>
<td>Post Implementation Review</td>
</tr>
<tr>
<td>PM</td>
<td>Project Management (or Manager)</td>
</tr>
<tr>
<td>PMA</td>
<td>President's Management Agenda</td>
</tr>
<tr>
<td>PMAS</td>
<td>Planning &amp; Management Analysis Staff</td>
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<tr>
<td>PMB</td>
<td>Performance Management Baseline</td>
</tr>
<tr>
<td>PMO</td>
<td>Project Management Office</td>
</tr>
</tbody>
</table>
PPM  Project and Portfolio Management
PRA  Paperwork Reduction Act
PRIDE  Project Resource Guide
PSV  Project Success Verification
R, S  
RAS  Resource Accounting System
ROI  Return on Investment
SDLC  System Development Life Cycle
SEI  Special Expense Item
SITAR  Strategic Information Technology Assessment and Review Board
SME  Subject Matter Expert
SPARS  Systems Planning and Reporting System
SPI  Systems Process Improvement
SSA  Social Security Administration
SSASy  SSA Streamlined Acquisition System
SSI  Supplemental Security Income
SSOARS  Social Security Online and Accounting Reporting System
SSA  Social Security Administration
W  
WBS  Work Breakdown Structure
Z  
ZBB  Zero-Based Budgeting