SOCIAL SECURITY ADMINISTRATION

Federal Information Technology Acquisition Reform Act

Common Baseline Self-Assessment, Implementation and CIO Assignment Plans

Revision - November 16, 2015

Contents

Introduction and Summary of Revisions

SSA is pleased to present revised materials supporting Federal Information Technology Acquisition Reform Act (FITARA) Common Baseline implementation per OMB memorandum M-15-14. We appreciate OMB's improvement guidance from the October 9, 2015 memorandum from David Mader, the detailed SSA FITARA review spreadsheet, and direct targeted discussions and checkpoints with our Desk Officer.

We have reorganized our Common Baseline materials into the four FITARA Common Baseline functional areas (budget formulation, budget execution, acquisition, organization & workforce). Within each section, we define current supporting processes, provide our self-assessment, and outline plans for implementing partially addressed elements.

We have addressed each of OMB's six requests for clarifying and additional information contained in the October 9, 2015 memorandum.

- **Provide detailed explanation of the CIO's involvement and processes across all four (4) functional areas of M-15-14. For example, provide more information about the linkage between Agency strategic planning processes, the formulation of the IT budget and the CIO's role in this process;**
  We have reorganized this submission into four sections aligning with the functional areas and bolstered our explanations to better define the CIO's involvement in each.

- **If the Agency has determined that specific CIO authorities should be delegated to a component official, SSA should detail these delegations within a CIO Assignment Plan (per Section B of OMB Memorandum 15-14) and submit this plan to OMB. While the Agency CIO can delegate certain authorities, the plan should also acknowledge that the Agency CIO retains overall accountability for IT performance, and provide the process/processes by which this is accomplished. This includes any Automation Center Directors or other similar positions who carry out direct IT sending that are not within SSA's CIO organization;**
  We have completed the CIO Assignment Plan per M-15-14 instructions for the limited responsibilities delegated to other agency officials by the CIO for day-to-day management of 2210 series IT Specialists outside of the CIO/Deputy Commissioner of Systems organization.

- **Develop more rigorous guidance in SSA's cost estimation techniques;**
  We have provided additional information on recent improvements to our cost estimation guidance within the budget formulation section.

- **Improve the distinctions and reasoning behind the acquisition thresholds in SSA's Implementation Plan;**
  We have provided detailed acquisition plan approval thresholds, as requested, under Section 3 – Acquisition, and added more detail on CIO procurement, contract, inter agency agreements and requisition approvals.

- **Standardize training for the agency's IT workforce and IT developmental policies, and incorporate plans for that standardization into SSA's FITARA Implementation Plan; and**

We provide detailed information regarding current IT training processes and development policies, and plans for standardization and improvement in Section 4 – Organization and Workforce.

- **Increase the overall integration across the CXO suite within SSA. Both the CAO and CIO roles need to be well-defined in the IT acquisition process, and their collaboration processes should be documented.**
  We provide more complete CXO suite integration and collaboration process information within SSA's IT functions throughout each of the four sections.

We have bolstered incomplete sections noted throughout the feedback spreadsheet such as how our CIO regularly reviews projects, and what our current status is with the adoption of improved incremental development.

We have also noted areas within the plan where SSA's Vision 2025 and Critical 8 priorities contribute to FITARA goals and objectives.

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.

The Acting Commissioner has directed near-term implementation plans to achieve the following eight critical goals: enhance online customer services, reduce the wait for a hearing decision, educate the public about Social Security Programs, improve succession planning, promote employee development and engagement, transform the IT Investment process, establish an enterprise-wide Program Management Office (ePMO), and accelerate the use of data-driven decision-making. Most, if not all, of the critical eight goals require heavy IT involvement.

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.

Budget Formulation

Background

The DCS/CIO has direct authority over all of the agency's IT spending, with the one exception noted in the assignment plan, which follows. This includes 100% of the procured/contracted dollars and approximately 83% of the 2210 series IT Specialist labor force. Our Chief Financial Officer (CFO) plans (with Acting Commissioner approval) the target IT budget each fiscal year within the agency IT Capital Plan. The SSA IT Capital Plan budget is comprised of two components: Full Time Equivalent (FTE) 2210 series personnel primarily performing development modernization and enhancement tasks, and Information Technology Systems (ITS) costs, which are mostly operational. The distinct, but integrated CIO-lead processes described below govern the two cost categories.

Strategic Information Technology Assessment and Review (SITAR) Board – selects agency IT initiatives and allocates 2210 series FTE and IT support contractors

Our Investment Review Board (IRB) is the SITAR board, which is comprised of SSA Deputy Commissioners (component leads) including the CFO, Chief Human Capital Officer and Chief Strategic Officer. Please note that while SSA does not have a formal Chief Acquisition Officer (CAO) position, the CFO/Deputy Commissioner of Budget, Finance, Quality, and Management (DCBFQM) is responsible for all acquisition activity within SSA, and performs the CAO function.

The SITAR Board determines enterprise-wide IT planning, prioritization and IT resourcing using established evaluation criteria. The board helps ensure proposed IT initiatives: 1) directly tie to and achieve Agency Strategic Plan (ASP) objectives; 2) meet agency business needs; 3) employ sound IT investment methodologies; 4) comply with our enterprise architecture and security frameworks; 5) and consider return on investment and risk assessment. SITAR meets quarterly – 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. SITAR reviews all IT investments involving 2210 series IT Specialists and IT support contractors regardless of dollar value. We have included sample SITAR artifacts in the appendix.

More specifically, the SITAR Board:
- Acts as the executive governing body for our IT initiatives and projects (*F1, F2*);
  - The first hierarchical breakdown of the entire SSA IT budget occurs at the portfolio level.
  - Portfolios align with business functions such as core services, disability process and appeals, program integrity and infrastructure
  - Business components across the entire agency introduce IT-dependent business requirements through the portfolios and the SITAR process
  - Portfolio Executives sponsor requirements originating within their respective components and offices
- Provides 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.

ITS Budget – selects and approves procured/contracted costs

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 ITS budget to the CIO including limits and conditions (such as earmarked IT funds identified via the Passback). Throughout the year, the CFO revises ITS budget limits and allocates to the CIO/DCS when funds become available (examples: moving from CR to appropriated budget, or transfer of available within-agency funds due to scrubs), taking into account. CIO/DCS requests for additional funding. In addition, the CFO coordinates activities between the SSA CIO/DCS and our OMB Budget Examiners. Please note that SSA's CFO, her 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

The ITS budget includes SEI funding for IT hardware, software, maintenance, telecommunications and contractor IT services for the entire enterprise: headquarters components, regional offices and field offices. There is only one SSA IT Budget covering the entire enterprise.

SSA has a centralized IT organization with tight enterprise-wide control over equipment, software, network access and security costs covering headquarters, our regional offices and field offices. We have been able to achieve this tight control through the following:
- A single IT purchasing policy and process that ensures all requests for IT purchases are within board approved budget and scope. All components use this process exclusively to forecast and communicate IT purchasing and contract needs. SEIs are the data call and collection vehicle for our entire enterprise-wide IT hardware, software, consumables and services needs. The DCS/CIO will not consider an IT request, regardless of the requestor, that does not follow the SEI process. DCS/CIO staff with tight Office of Acquisition and Grants (OAG) collaboration ensure strict adherence.
- There is collegial coordination between senior SSA leadership and the DCS/CIO on maintaining the single SSA IT spend. The SSA Acting Commissioner actively participates in IT budget decisions based on inputs from not only the CIO and CFO, but also all Deputy Commissioners (please note the Deputy Commissioner of Operations coordinates regional and field office needs). As mentioned, the SSA CFO performs a very significant role in SSA IT through two separate agency-wide organizations within her component: the SSA Office of Budget and the Office of Acquisitions and Grants.

With the exception of small purchases (those bought via credit card capped at $3,500 for supplies and $2,500 for services), DCS/CIO approval is required for all enterprise ITS purchases and ITS resource transfers.

<u>IT Investment Process (ITIP) – evolving improved SSA IT IRB</u>

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.

The ITIP investment review board will collaboratively oversee this new IT investment management process. The board is comprised of senior SSA management including the CIO, CFO, CSO and some Deputy Commissioners. The goal is for all IT investments to be approved via a consensual process, but importantly the CIO (in compliance with FITARA) retains veto powers.

The process for managing the ITS budget will not change - the CIO/DCS continues to directly manage and approve all operational IT expenditures.

Existing Processes that Support Budget Formulation

<u>SITAR</u>

The CIO chairs the SITAR board that includes the CFO and CSO along with other senior component executives. During the Select Phase of our Capital Planning and Investment Control (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 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 (*A1, A2, B1, B2, C1, C2, D1, and D2).*

- **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 CIO/DCS 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. Please note that the two years referenced above are the upcoming year (CY) and budget year (BY). 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 CIO targeted improvement area for some time now. Our incremental improvement approach has centered on issuing better guidance and instruction through PRIDE (SSA's Project Resource Guide). 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.

- o 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 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. In September 2015 we released the 'Estimating Resources Guide' (please see appendix) to further assist estimators of IT costs.
- o We are modifying our IT Investment Review process by February 2016 to embed cost estimates into the formal business cases that will be required for all major investments

- **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.

ITS Budget

During the Select Phase of our CPIC framework, the CIO approves SEI funding levels. Please note that when we reference CPIC, we intend to convey our adoption of the generally accepted CPIC framework - SEI, SITAR and other IT governance processes are elements comprising CPIC.

The CFO and the CFO/Office of Budget establish and allocate all referenced CIO funding levels. The CIO executes against that budget via the SEI process.

Using the process outlined below, the CIO/DCS Budget Staff provides the CIO with the information needed to make an informed decision on SEI budget approvals: (*A1, A2, B1, B2, C1, C2, D1, and D2*

- **ITS Budget Call:** The annual "call" documents provide instructions for submitting IT needs is necessary, the required contents of the request, and the schedule and guidelines for submittal. Templates further insure consistency of content. Components must provide annual IT funding requests regardless of approval in the previous year's budget process. Requirements include:
  - o Strict identification and alignment with related or dependent SITAR initiatives;
  - o Cross component and multiple component requests for like goods coordination and consolidation;
  - o Name of the product or service;
  - o Whether the request is new or continuing;
  - o Adherence to security requirements;
  - o Number of units and costs;
  - o Appropriate risk based funding level;
  - o 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.
- **IT Funding Request Analysis:** Once all components within the agency complete the SEI budget call, the CIO/DCS 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 CIO/DCS 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.
- **Final DCS/CIO Funding:** After consideration of component responses and other funding revisions, CIO/DCS Budget submits final recommended funding levels to the DCS/CIO for approval. The approved DCS/CIO budget is presented via the CFO to the commissioner for concurrence. The CFO consolidates all agency budgets for ACOSS review.

Agency Self-Assessment for Budget Formulation

Overall Rating (1-3)*		Agency Explanation for Overall Rating	Agency Evidence of Complete Implementation
A	2	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.	The CIO chairs the IRB (SITAR) board that includes the CFO and CSO along with other senior component executives. The CFO and the CFO/Office of Budget establish and allocate all referenced CIO funding levels. The CIO executes against that budget via the SEI process. Detailed descriptions of these processes begin on page 5 of this document. See implementation plan for further details.

Social Security Administration
Federal Information Technology Acquisition Reform
Common Baseline Self-Assessment and Implementation Plan

Overall Rating (1-3)*		Agency Explanation for Overall Rating	Agency Evidence of Complete Implementation
B	3	Within our centralized organization, our CIO has a direct and controlling role in the planning, programming, and budgeting stages for IT projects and programs through the CPIC, IT IRB (Strategic IT Assessment and Review (SITAR), IT budget formulation and execution, and EA processes. Our policies dictate distinct IT processes and procedures for all IT initiatives.	Our IT IRB is SITAR, and members include the CFO and CSO. The CIO chairs the SITAR board and directly manages our IT Budget formulation and execution staff. Our centralized IT organization includes all IT initiative planning, execution, integration, management, and reporting personnel and supporting contracts.
C	3	Our IT planning is coordinated through direct CIO staff including IT Project and Program Management Staff, SITAR support staff, IT Budget Formulation and Execution Staff, Life Cycle and Project Directives Staff, IT Investment Management Staff, and IRM Strategic Plan and EA staff. Spending analysis and monitoring is conducted by the CIO DCS Budget Staff. DCS Budget Staff analysts are assigned specific accounts (SEIs) to oversee. Oversight includes preliminary budget approval of purchase requests, and monitoring scheduled items including those that are pending or overdue. Analysts also track actual versus planned spend, micro purchases via credit cards, and requests for additional funding. In accordance with A-11 direction, the SSA CIO and CFO jointly affirm/attest to concurrence (via written statement) with the annual IT budget submission.	Our centralized CIO organization of approximately 3,700 IT specialists includes all IT planning staff including long-term strategy development, enterprise architecture, and major and non-major IT initiatives. Our CIO approves and monitors all procured IT resources throughout the select, control, and evaluate CPIC lifecycle phases. Select – CIO through SEI approval, and within CFO allocated enterprise IT funding limits approves the executable hardware, software, and services IT plan. Control – the CIO/DCS approves all requisitions over $100k. For everything over $100k, staff from the CIO/DCS/Contracts, Acquisitions, Planning and Programs Staff (CAPPS) performs the following: a final check, drafts a summary of pertinent facts and electronically routes for direct, undelegated CIO approval. Once approved by the CIO, requisitions are further routed to the Office of Acquisitions and Grants (led by the CFO) for execution. Requisitions under $100k go through the same process, except approval is delegated from the CIO to the CIO/DCS/CAPPS, and then routed to the Office of Acquisitions and Grants.
D	3	Our CIO approves all IT initiative (major and non-major) budget requests through our IRB (SITAR) and IT Budget Formulation processes, and then again during CIO-led Major IT Business Case and IT Portfolio (formerly Exhibit 53 and 300) reviews.	Agency leadership has positioned our CIO and their organization as the controlling point for all IT initiative planning (both major and non-major).

Implementation Plan for New Budget Formulation Processes

By December 31, 2015, we will bring the **'Partially Addressed'** rating into full compliance. In addition to the plan described below and the following CIO Assignment Plan, we will consolidate the FITARA requirements and implementation in our next iteration of the SSA CPIC Guide. The revised guide will parenthetically note Common Baseline and other FITARA elements within each applicable section. The revised CPIC Guide and other affected documentation will be published/re-published by the end of the calendar year.

A. Our CIO approves and monitors 100% of SSA procured/contracted IT resources and 83% of the 2210 series IT Specialists throughout the select, control, and evaluates CPIC lifecycle phases.

Element 'A' scored a two (partially addressed) because we can improve our CIO's visibility into and authority over non-CIO/DCS IT personnel plans and activities. Though these resources collectively total less than five percent of our total IT budget, they can provide invaluable contributions and insight into IT effectiveness and areas for improvement. Our CIO will leverage these personnel and their benefits by building a collaborative and innovative environment for all enterprise IT personnel. Please note that the 5% mentioned above is the percentage value of the non-DCS 2210 series IT Specialists mentioned earlier and in the Assignment Plan to our total IT budget.

As mentioned, the vast majority of our Government IT labor (2210 series personnel) directly report within the CIO's organization. About 17% of the agency's IT staff (and 5% of the total budget as mentioned above) reside within regional and field offices and other headquarters components. The majority perform maintenance and overhead functions. We will improve CIO oversight processes and communications to those IT Specialists, including processes, which emphasize and foster innovation.

- We completed a CIO assignment plan covering day-to-day oversight and direction of these IT staff.
- Going forward, the CIO will require quarterly reporting on activities and progress of the IT staff residing in other components, including SSA regions.
- To bolster IT security, the quarterly reporting will require regional offices to notify the CIO of any modification to existing or development of new local applications. New or modified local applications require the SSA Office of Information Security issue an Authorization to Operate (ATO).
- The CIO will assure compliance not only through the formal delegation/assignment to other Deputy Commissioners, but also through continuous network monitoring tools.

Budget Execution and Acquisition

The DCS/CIO conducts reviews of IT investments and key life cycle milestones based on schedules and execution plans approved during the initial funding and scope decisions made during the CPIC Select Phase.

SSA has a centralized IT organization with tight enterprise-wide control over equipment, software, network access and security covering headquarters, our regional offices and field offices. We have been able to achieve this tight control in budget execution and acquisition through the following:

- A separate and single IT budget for the agency that requires CIO signature for each expenditure/requisition/funding change request;
    - The CIO/DCS personally reviews and approves hundreds of electronically routed requisitions annually.
- Security policy and network access control precludes the use of unsanctioned hardware or software. Applications required to conduct virtually all SSA business electronically simply are not accessible through other than sanctioned and centralized equipment, platforms and programs;
- A complete suite of IT BPAs available enterprise-wide including administrative, provisioning and delivery services. The one exception recently remedied was the purchase of mobile devices. Previously, entities outside of systems sometimes used purchase/credit cards to buy off-network mobile devices. As noted on page 14, by the end of FY16 we will have centralized control over virtually all enterprise mobile devices.

Existing Processes that Support Budget Execution and Acquisition

The SSA CPIC Guide provides detailed explanations of the processes below that support budget execution and acquisition, but below we have outlined those processes in which the CIO has direct control, including significant inter-agency collaboration with senior SSA management including the CFO and CSO:

- **Monthly Deputy Priority/Executive Oversight Meetings:** The projects selected for review receive staffing, budget, and senior management oversight and are the highest priority CIO/DCS 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, CIO/DCS designated, special interest group involvement, fraud or abuse related). The DCS/CIO and his senior management review executive oversight projects in detail once per month.
- **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 CIO/DCS Associate Commissioners supporting the portfolio to review and address any project health issues, such as schedule, cost, performance and risk. In addition, program 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. *(E1, E2, H1, H2, J1, J2)*
- **Quarterly SITAR Board Meetings:** The SITAR board convenes on a quarterly basis to discuss status of IT investments, accomplishments, and portfolio summaries. *(E1, E2, F1, F2, H1, H2, J1, J2)*

- **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. 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. In addition to status meetings and other data inputs, the CIO uses the information provided by the following processes (*E1, J1*):
  - o Project Health
  - o Quarterly SITAR board meetings
  - o Monthly Deputy Priority/Executive Oversight Meetings
  - o Quarterly report of Program Managers' self-assessment of their programs based on programs' risk register, cost and schedule variance, and performance
  - o To improve the CIO rating process, we will include Quarterly Trending Report provided to the CIO based on ITDB cost, schedule, and operational performance (as applicable) data
- **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 (as in the case of the iSSNRC project noted below), the 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 CIO/DCS execution plans for troubled projects. We have provided a sample TechStat presentation and resulting memo for the iSSNRC project in appendix *(E1, J1)*.
- **Post Implementation Reviews:** The DCS/CIO designates IT investments for a PIR. PIRs retrospectively assess project successes and weaknesses, and involve input from and attendance by senior SSA executives like the CFO and CSO. *(E1, J1)*
- **Project Resource Guide (PRIDE):** A web-based guide for IT projects that delivers a lifecycle model, work product templates and procedures, policies and directives, project management resources, and standards and guidelines to systems project managers and project teams (*G1*).
- **Incremental Development:** SSA's increased commitment to incremental development techniques (principally agile) in FY16 is evident in part through the following (*G1*):
  - o In addition to select non-majors, we have adopted agile development on three of our major IT investments: Customer Engagement Tools, IT Modernization and Disability Case Processing System (DCPS). Notably, on DCPS we have established competing agile development teams between Accenture, Lockheed Martin, Computer Sciences Corporation and Northrop Grumman. To date first quarter results are very promising. We will likely award an additional team to the most productive in the January/February timeframe.
  - o Using SAFE Scaled Agile Framework as guidance, we have formalized the training and coaching process for those projects that we have selected for Agile.
  - o 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

  o 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.
    - For example, we have contracted for a series of training classes covering: developing milestones, deliverables and acceptance criteria; risk management, and monitoring and control plans; use of EVM on agile projects; contract guidance for agile projects and services, and modular contracting; Tech FAR guidelines; White House Digital Playbook; Schedule 70 agile services; and audit coverage.
  o For projects more suited for traditional waterfall development, we have moved away from long-running, yearlong delivery increments to shorter release increments – ideally no more than three to four months. We have begun by streamlining the project management artifacts, improving the quality of pre-developmental process definition that the business owner executes to prepare the roadmap, and establishing an explicit project/release planning cycles that will better define the scope of incremental releases during overall project planning. This will help reduce scope creep at the release level and the time required for planning and analysis on each release/increment.

- **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 budget 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.

- **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 *(F1, F2, H1, H2)*:
  o CR status updates and impacts;
  o Planning for additional funds and various funding level requests;
  o Upcoming, expiring, and in jeopardy procurements;
  o Small business opportunities

- **ITS Spending Oversight:** SSA's Office of Acquisition and Grants with CIO/DCS staff support prepare FAR 7.102 through 7.106 compliant IT Acquisition Plans *(F1, F2, G1, H1, H2, I1, J1, J2)*.
  o 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:

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

o 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.

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

o 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.

o 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.

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

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

o As mentioned earlier on page 9, the DCS/CIO reviews and approves all enterprise-wise IT purchase requests for new contracts and purchases over $100,000, and delegates authority to direct staff for requisitions under $100,000.

- **IT Funding Change Request (IFCR):** During the budget execution phase, approved SEI funding levels allocated to specific investments may require adjustment.
  o The project officer submits an IFCR through the DCS/CIO 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)
  o The DCS/CIO must approve all proposed changes to investment SEI funding levels. The CIO/DCS/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 DCS Budget analysis comes a recommendation to either approve or reject the request for CIO consideration during his review. Please note that IFCRs facilitate moving money within CFO authorized IT funding limits. *(H1, H2, I1, L1)*
  o The IFCR process is automated (no paper, e-mails, scanning, wet signatures) and is linked real-time into the BER and our ITS Budget controls systems.

- **Comprehensive Enterprise-wide suite of hardware, software and services BPAs**: Includes administrative, provisioning and delivery services for IT BPAs used both within the CIO organization and in all other SSA components, such as SSA regions. The following list of examples includes sample hardware, software and services.
  - o Mobile Services BPA:
    - In September 2014, SSA awarded BPAs to AT&T and Verizon under GSA's Wireless FSSI (W-FSSI).
    - 72% of SSA's mobile service plans and devices are centrally provisioned and managed across the enterprise through these BPAs.
    - In FY 2016, SSA will complete development, deployment and operationalization of its Enterprise Mobile Provisioning Service (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.
  - o Laptop BPA with NCST:
    - Provides centralized purchasing for laptops across the enterprise – ensuring the agency is able to leverage cost savings, volume pricing and long-term maintenance support.
    - SSA has implemented a Single Device Strategy (SDS), where each employee is, or soon will be, issued a laptop with a docking station and peripherals; thereby phasing out desktop units almost entirely.
  - o Workstation BPA with IronBow:
    - Provides centralized purchasing for desktop workstations across the enterprise – ensuring the agency is able to leverage cost savings, volume pricing and long-term maintenance support. As stated above, we will only buy a limited number of workstations going forward for uses such as in labs and training rooms.
  - o Server and Printer BPAs:
    - Similar BPAs enable SSA to provision and manage the deployment of servers and printers across the enterprise according to the needs of its workforce. As with the laptop and workstation BPAs, this approach to provisioning information technologies at the enterprise level enables the Agency to leverage volume pricing to optimize its costs and spending and ensure consistent and readily-available maintenance support.
  - o Microsoft BPA:
    - Through this BPA with Dell, SSA acquires Microsoft software licensing and maintenance for use and deployment across the enterprise.
    - This mechanism also enables SSA to incorporate new software requirements in the annual maintenance contract update.
    - The Office of Systems provides a centralized portal through which agency users are able to acquire/provision the software solutions they require.
- **Enterprise Software Engineering Tools (ESET) Process:** facilitates the effective and efficient use of tools in the SSA Enterprise Architecture while identifying and maximizing cost savings. After an approved project (or projects) has identified a business need, this process determines which type of tool is best suited to address that need at SSA. The objective is not to purchase a specific or "favorite" tool; rather it is to find the best way to fulfill the business needs by performing full market research and evaluation. The ESET Management Board (EMB) acts under

the authority of the CIO/DCS. The CIO/DCS is responsible for providing final approval for all ESET decisions *(G1)*:

- o EMB Approved: The tool was reviewed and approved by the EMB and the Management Steering Committee (MSC)
  - The "EMB Approved" designation does not guarantee purchase, since funding must be approved and allocated by the CIO
- o Not Reviewed by EMB: The tool has not yet been reviewed by the EMB.
- o Under Review: EMB is currently reviewing the tool.
- o Sunsetting: The tool is in the process of being retired. An upgrade or a new tool altogether may be available. The tool should not be purchased or continued.
- o Not Approved by EMB: The tool was reviewed by the EMB and not approved as an ESET tool. The tool should not be purchased.
- o Retired: Tool was once EMB Approved but has now been retired, and the tool will not be purchased or continued. A replacement tool may be available.

- **Acquisition Personnel Certification:** The Office of Federal Procurement Policy (OFPP) within OMB established an initial certification program for all civilian agencies' Contracting Officer Representatives (CORs) in November of 2007. OFPP updated the certification program, now known as FAC-COR, in September 2011. There are three levels of under this program. The FAC-COR program guidance document included in the appendices provides SSA-specific policy and procedures for this program.

  Additionally, only contracting officers with current SF-1402 warrants Certificates of Appointment are delegated acquisition authorities *(I2)*.

Agency Self-Assessment for Budget Execution and Acquisition

Overall Rating (1-3)*		Agency Explanation for Overall Rating	Agency Evidence of Complete Implementation
E	3	Because of our centralized organization, IT program and project managers are nearly always part of the CIO's organization. Agency IT program and project managers must adhere to CIO-developed IT initiative governance procedures including posting required data to our internal IT dashboard, and managing other meetings and reporting described in the explanation section.	Our processes and meetings such as Quarterly SITAR Board meeting, IT Initiative Health, CIO Rating, Operational Analysis, Post Implementation Reviews, and TechStats help us ensure our investments are delivering customer value and meeting expectations. In addition to the details provided in this document beginning on page 12, we have provided a quarterly project accomplishment and issues document provided by project managers on a quarterly basis and a template used to conduct operational analyses.

Overall Rating (1-3)*		Agency Explanation for Overall Rating	Agency Evidence of Complete Implementation
F	3	Our CIO and staff, in conjunction with agency portfolio executives, determine the enterprise IT work breakdown structure for both internal and external reporting purposes. SITAR Board meetings include on-going portfolio and initiative review. The CFO, Associate Commissioner of the Office of Budget and Associate Commissioner of Acquisitions and Grants are actively engaged throughout the execution phase through SITAR Board meetings, monthly IT budget, procurement and contract status meetings, and near daily staff level interaction between the Office of Budget, Office of Acquisitions and Grants and CIO/DCS. For example, CIO/DCS CORs work with direct staff counterparts in the Office of Acquisitions and Grants very frequently during procurement development and contracts execution.	Our IT initiative reporting structure is hierarchical in nature beginning with the enterprise IT view. More detailed levels in descending order include: the agency's internal portfolios, portfolio initiatives, and lastly major investments (as applicable) and projects. Our IT Dashboard, IT Portfolio and Major IT Business Case submissions are aligned in similar fashion. In addition to the policies detailed in this document starting on page 12, we provided an example SITAR Board meeting agenda in Appendix A to support implementation. All IT spending across the agency must be approved by the CIO.
G	2	Our CIO defines IT processes and procedures for capital planning, enterprise architecture, program and project management, and reporting for IT resources.	In the Budget Execution and Acquisition section of this document, we describe procedure and policy governing IT resources and processes, including incremental development. See Implementation Plan below for details.
H	3	We have one IT IRB, chaired by our CIO. Our IT IRB is known as SITAR.	The SITAR Board includes the CIO and CXOs. We have published the governance boards in which the CIO is a member to SSA's Digital Strategy page. SSA has a separate and single IT budget for the agency that requires CIO approval for each expenditure, requisition, and funding change request. We have provided evidence in the Budget Execution and Acquisition section of this document of the mechanisms that control this process, including: Quarterly Project Health Review Quarterly SITAR Board Meetings Monthly DCS/CIO Procurements Meeting ITS Spending Oversight IT Funding Change Request (IFCR)

Social Security Administration
Federal Information Technology Acquisition Reform
Common Baseline Self-Assessment and Implementation Plan

Overall Rating (1-3)*		Agency Explanation for Overall Rating	Agency Evidence of Complete Implementation
I	3	Our CIO IT Budget Staff employ a Special Expense Item (SEI) process in which all non-labor IT budget requests are presented to our CIO for ranking and approval. SEI materials include strategy, justification, cost, and other relevant information.	In addition to the SEI process, our CIO approves all IT requisition packages, which includes summary descriptions, contract information, justification and costs. We have provided evidence in the Budget Execution and Acquisition section of this document of the mechanisms that control this process, including: ITS Spending Oversight IT Funding Change Request (IFCR) Acquisition Personnel Certification
J	3	Our CIO has effectively implemented the use of TechStat reviews as a primary means of evaluating the need for modification, termination, or pause of IT initiatives. As a centralized IT entity, our CIO has a number of other meetings and forums available in addition to TechStat to gather IT project performance measures and render decisions.	Our CIO has conducted six TechStat Reviews thus far in FY2015, with more planned in FY2016. As noted beginning on page 11, additional processes and meetings provide our CIO with the additional performance measurement, analysis and reporting to effectively manage and execute our IT initiatives such as: Quarterly Project Health Review, Quarterly SITAR Board Meetings, and Post Implementation Reviews.
K	2	The agency produces about 200 IT Acquisition Plans in accordance with Federal Acquisition Regulation (FAR) parts 7.102 through 7.106. Our CIO reviews and approves select, but not all, of these plans.	Within the Budget Execution and Acquisition section of this document, we have provided evidence of partial implementation in the ITS Spending Oversight process. Please see implementation plan for further details.
L	3	Our CIO approves movement of IT funds for both government Full Time Equivalent (FTE) and IT budget funded resources.	Our CIO approves significant government FTE resource movement during periodic program reviews and sometimes as the result of a TechStat Review. IT budget-funded resource reallocation must be approved and justified through our ITS Funding Change Request (IFCR) process. CIO approval is required for all IFCR requests, only after which can IT funds be transferred.

Implementation Plan for New Budget Execution Processes

By December 31, 2015, we have fully executed our plans to bring the two Budget Execution and Acquisition **'Partially Addressed'** scores into full compliance. We have begun consolidating FITARA requirements and implementation centrally within our revised CPIC Guide. The revised guide will parenthetically note Common Baseline and other FITARA elements within each applicable section. The Guide and other affected documentation will be published/re-published on or before the end of the calendar year.

G – CIO Defines IT Processes and Policies

Element 'G' scored a two because although our CIO directly oversees the development of IT process and policy documents, we have not yet posted all of them to SSA.gov/digitalstrategy or included all of them as a downloadable public data listing as instructed in IDC.

Our CIO develops, publishes, maintains, and enforces the following agency IT process and policy documents:
- IRM Strategic Plan – *publically available*
- Enterprise Roadmap – *publically available*
- CPIC Guide – *publically available*
- Project Resource Guide (PRIDE)
- Federal Acquisition Certification for Program and Project Managers Policy
- Information Systems Security Handbook

And a number of directives including:
- Project Management Directive
- Application Software Release and Configuration Management Directive
- Process Improvement Infrastructure Directive
- Product Development Directive
- Independent Validation Testing Directive
- Open Source Software Acquisition and Management Directive

Prior to December 31, 2015, we will complete posting our applicable policies publically at SSA.gov/digitalstrategy, included as a downloadable dataset in our Public Data Listing, and shared with OMB through the Integrated Data Collection (IDC) process.

K – CIO review and approval of acquisition strategy and acquisition plans:

Element 'K' rated a two because currently our CIO does not sign every IT Acquisition Plan in accordance with FAR parts 7.102 through 7.106, but rather a subset of the highest valued and critical ones. The agency produces about 200 IT Acquisition Plans in accordance with FAR parts 7.102 through 7.106. We will develop and implement an appropriate governance process with our Office of Acquisitions and Grants ensuring compliance.

By December 31, the SSA DCS/CIO or applicable staff member will review, revise as needed and approve all SSA IT acquisition plans as follows:

- The Office of Acquisition and Grants submits completed IT acquisition plans to a newly established area within the DCS/CIO's Contracting, Acquisitions, Planning and Programs (CAPPS) existing SharePoint site.

- The SharePoint site houses and archives each plan, status and electronic signature/approval.
- CAPPS monitors the SharePoint site daily, acknowledges receipt of the plan via a status box, and makes the appropriate distribution. The default turn-around time for comment or approval will be within five business days, though OAG's SharePoint submittal can communicate special circumstances.
- Acquisition Threshold: Though the dollar threshold cited below generally dictates the approval level required ,OAG or DCS/CIO staff members can elevate to any higher level:
    o Direct DCS/CIO approval is required for an IT acquisition plan with a total value in excess of $5 million. Or as mentioned, if special circumstances identified by the OAG or DCS/CIO staff exist.
    o Deputy CIO / Assistant Deputy Commissioner (ADC) approval is gained for IT acquisition plans with a total value of $1 million up to $5 million.
    o The Director of CAPPS approves IT acquisition plans with a total value up to $1 million.

Organization and Workforce

IT Organization

The SSA CIO is also the Deputy Commissioner of Systems (DCS is our enterprise IT organization), and reports directly to the SSA Commissioner. The CIO has direct hiring authority over all senior level IT positions within the agency. As the attached organization chart depicts, the CIO/DCS organization is comprised of nine offices. The Office of the Deputy Commissioner of Systems (ODCS) is direct CIO support staff. The CIO/DCS directs, selects, and manages the Associate Commissioners who lead the remaining eight offices. AC components are sub-divided into the divisions as shown. Divisions are further broken into branches. The CIO/DCS approves all SES and GS-15 appointments within the 3,200-person organization. The CIO has access to the vacancy announcements for IT, which include the series and grade of postings SSA-wide.

Please note that as of November 2015 there are about 665 (17% of the total agency IT workforce) 2210 series IT Specialists in agency components outside of the CIO/DCS organization. Related implementation and assignment plans follow.

The 665 non-DCS 2210 personnel generally perform support, and operations and maintenance tasks. They are distributed informally among the other agency components as follows:

Component	# of 2210s	% of Total
Office of the Commissioner	1	0.2%
Office of Communications	8	1.2%
Office of Disability Adjudication and Review	92	13.8%
Office of Budget, Finance, Quality and Management/CFO	133	20.0%
Office of the Chief Actuary	1	0.2%
Office of the Chief Strategic Officer	5	0.8%
Office of the General Council	17	2.6%
Office of Human Resources	22	3.3%
Office of Retirement and Disability Policy	50	7.5%
Office of Legislation and Congressional Affairs	3	0.5%
Office of Operations (includes regional and field offices)	333	50.1%
Total	**665**	

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

Training

IT personnel within DCS 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. In FY 2014, there were approximately 400 training course entries in the needs assessment.

2014 Needs Assessment Results - Courses with 50+ identified critical attendees
Coaching & Mentoring Roles
Successful Negotiating & Team Building
Administering Windows Server 2012
SharePoint 2010 for End Users, Introduction to
Project Management Foundation
Project Management Workshop I (Introduction to PM & MS Project)
Project Management Workshop II (Scope, Requirements, Time & Cost Management)
Project Management Workshop III (Risk, Quality & Communications)

In FY 2015, select offices within DCS piloted a new process to allow managers to provide input on training needs in real-time.

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.

For FY 2016 we intend to review/expand our offerings by establishing an inter-component workgroup to ensure that the training needs of all components are satisfied and that training offerings align SSA's strategic initiatives. OESAE will lead this group. We plan to address existing training gaps to certify that these no longer exist.

We also need to explore a standardized solicitation process for all IT training in order that we safeguard our training budget and provide for the best quality of training available.

FAC-P/PM Certification

Prior to beginning an application in FAITAS, applicants may complete an optional internal SSA Pre-screen application. The applicant submits this document to a pre-screen panel for review. The pre-screen panel will review the application and provide the applicant with a gap analysis of their experience, training, and skills as it maps to the competencies associated with the level for which they are applying. The gap analysis also points to a suggested path of next steps.

While the pre-screen application is processing, the applicant should register in the FAITAS system if the applicant is not already a user. Both the applicant and the applicant's supervisor must complete FAITAS registration prior to submitting a certification request in FAITAS.

Once the applicant has received feedback from the pre-screen panel and addressed all areas identified in the gap analysis, he or she may submit a certification request in FAITAS.

CAPPS administers the FAC-P/PM certification program on behalf of the agency and the Office of Acquisitions and Grants. Applications are processed, reviewed by a panel of agency senior FAC-P/PM holders, and assessed a passing score, or score reflecting deficiencies and noting areas for improvement.

Agency Self-Assessment for Organization and Workforce

Overall Rating (1-3)*		Agency Explanation for Overall Rating	Agency Evidence of Complete Implementation
M	3	The Executive Resources Board administers SES postings. When the position is for IT the CIO is asked for input and approval. The CIO reviews and comments on all GS-15 IT postings.	

Overall Rating (1-3)*		Agency Explanation for Overall Rating	Agency Evidence of Complete Implementation
N	2	Although SSA does not have bureaus or bureau CIOs, we do have IT staff that resides in the regions. As outlined in the implementation plan section, we (before December 31st) will require that the regions provide management and performance information to the CIO on a quarterly basis.	
O	2	While SSA does not have bureaus, we will periodically publish an updated SSA IT Leadership Directory dataset.	
P	2	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. Although we conducted an agency-wide skills inventory, identified gaps, and have trained IT personnel outside of Systems, we have not fully addressed hiring outside of Systems. The implementation plan below outlines our plan to address this requirement. All of our jobs regardless of series, are posted via USA Jobs. The CIO has access to the vacancy announcements, which include the series and grade of postings SSA-wide.	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
Q	3	Our CIO is a Deputy Commissioner level position and a direct report to the Commissioner of Social Security. His full title is Deputy Commissioner of Systems and Chief Information Officer.	Our organizational chart in the appendix demonstrates the CIO's direct report to the Commissioner of Social Security.

Implementation Plan for Acquisition and Workforce

<u>P1. IT Workforce/ N1. CIO role in ongoing bureau CIOs' evaluations</u>

As mentioned, the vast majority of our Government IT labor (2210 series personnel) directly report within the CIO's organization. About 17% of the agency's IT staff (and 5% of the total budget as mentioned above) reside within regional and field offices and other headquarters components. The majority perform maintenance and overhead functions. We will improve CIO oversight processes and communications to those IT Specialists, including processes, which emphasize and foster innovation.

- We completed a CIO assignment plan covering day-to-day oversight and direction of these IT staff.
- Going forward, the CIO will require quarterly reporting on activities and progress of the IT staff residing in other components, including SSA regions.
- To bolster IT security, the quarterly reporting will require regional offices to notify the CIO of any modification to existing or development of new local applications. New or modified local applications require the SSA Office of Information Security issue an Authorization to Operate (ATO).
- The CIO will assure compliance not only through the formal delegation/assignment to other Deputy Commissioners, but also through continuous network monitoring tools.
- The quarterly reporting will require regional offices to notify the CIO of any 2210-series vacancies and hires.

Social Security Administration Chief Information Officer Assignment Plan

Two elements comprise the SSA CIO Assignment Plan: governance of day to day non-DCS 2210 activities, and delegation of acquisition plans up to $5 million.

Governance of Day To Day Non-DCS 2210 Activities

During the SSA Executive Staff (ESM) Meeting on November 3rd, our CIO gave an overview of FITARA, our status and required actions. The ESM is attended by the Commissioner, CXO suite members, all Deputy Commissioners, the Chief of Staff and others. During this briefing the CIO began the delegation/assignment of non-DCS 2210 employees to the appropriate others.

We will complete the process (and be FITARA compliant) December 31st.

The final delegation/assignment will be in the form of a CIO issued memorandum to:

Office of the Commissioner (OC), Office of Communications (OCOMM), Office of Disability Adjudication and Review (ODAR), Office of Budget, Finance, Quality and Management (BFQM), Office of the Chief Actuary (OACT), Office of the Chief Strategic Officer (OCSO), Office of the General Counsel (OGC), Office of Human Resources (OHR), Office of Retirement and Disability Policy (ORDP), Office of Operations, Office of Legislation and Congressional Affairs (OLCA).

Key elements of the memorandum include a quarterly feedback and reporting process to include:

- Numbers and grades of 2210s outside of DCS.
- Breakdown of work being performed by type: Development, Modernization and Enhancement (DME) versus Operations and Maintenance (O&M).
- Further breakdown of DME into specific projects or initiatives.
- Further breakdown of O&M into sub-categories such as software/applications maintenance, or computer/equipment maintenance, equipment install and imaging/re-imaging.
- Notable achievements and progress.
- Significant future plans and needs.
- Training and certifications requirements. Both special and in accordance to standards.
- Assurance that locally developed programs be compliant with SSA IT Security Policy, including applicable Authority to Operate (ATO) issuance.
- Planned hiring.
- Participation in enterprise-wide 2210 series employee collaboration forums.

Delegation of Acquisition Plans up to $5 Million

Please refer to page 21 under the Acquisition Threshold heading. SSA generates hundreds of acquisition plans annually, some for relatively smaller amounts. The CIO has assigned two staff members review responsibilities. The DCIO or ADC shall review/approve acquisition plans valued between $1 million and $5 million. The Director of CAPPS shall review/approve acquisition plans totaling less than $1 million.

Appendix A - Supporting Documents

SSA IT Organization Chart
SSA IT Organization Charts.docx

SITAR Documents
SITAR Agenda 08-18-15.docx   SITAR-PEB Prioritization Approach.docx   SITAR_Major_Invest ments_Q3_FY15.docx

FAC-COR Certification
fac-cor.program.guid ance.docx

TechStat Documents
TechStat Response Memo iSSNRC.docx   Electronic Services TechStat Review 2015

Quarterly Project Accomplishments
DCS Accomplishments FY15

Operational Analysis Template
Operational Analysis Template.docx

Appendix B – Summary of SSA Common Baseline Implementation

Overview - SSA Processes Supporting Common Baseline for IT Management				
Section / *Responsibility*	**Budget Formulation**	**Budget Execution**	**Acquisition**	**Organization & Workforce**
Visibility	The CIO chairs the IRB (SITAR) board that includes the CFO and CSO along with other senior component executives. The CFO and the CFO/Office of Budget establish and allocate all referenced CIO funding levels. The CIO executes against that budget via the SEI process. Corresponding Pages: 5- 9	Our IT initiative reporting structure is hierarchical in nature beginning with the enterprise IT view. More detailed levels in descending order include: the agency's internal portfolios, portfolio initiatives, and lastly major investments and projects. All IT spending across the agency must be approved by the CIO. Corresponding Pages: 5- 9		
Planning	The CIO chairs the IRB (SITAR) board that includes the CFO and CSO. Our centralized CIO organization of approximately 3,700 IT specialists includes all IT planning and execution staff. Our CIO approves and monitors all procured IT resources throughout the select, control, and evaluate CPIC lifecycle phases. Corresponding Pages: 5- 9		In addition to the SEI process, our CIO approves all IT requisition packages, which includes summary descriptions, contract information, justification and costs. We have provided evidence in the Budget Execution and Acquisition section of this document of the mechanisms that control this process. Corresponding Pages: 14-15	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, and Establishing an integrated and collaborative human capital management framework. Corresponding Pages: 22-23
Governance		SSA has a separate and single IT budget for the agency that requires CIO approval for each expenditure, requisition, and funding change request (H). In this document, we describe procedure and policy governing IT resources and processes, including incremental development (G) that provide our CIO with the information needed to manage and execute IT initiatives (J). Our IT initiative reporting structure is hierarchical in nature beginning with enterprise IT (F). Corresponding Pages: 12-17	Within the Budget Execution and Acquisition section of this document, we have provided evidence of partial implementation in the ITS Spending Oversight process. In addition to the SEI process, our CIO approves all IT requisition packages, which includes summary descriptions, contract information, justification and costs. Corresponding Pages: 12-17	
Program Collaboration		Our processes and meetings such as Quarterly SITAR Board meeting, IT Initiative Health, CIO Rating, Operational Analysis, Post Implementation Reviews, and TechStats help us ensure our investments are delivering customer value and meeting expectations. Corresponding Pages: 12-17		Although SSA does not have bureaus or bureau CIOs, we do have IT staff that resides in the regions. As outlined in the implementation plan section, we (before December 31st) will require that the regions provide management and performance information to the CIO on a quarterly basis (N). We will periodically publish an updated SSA IT Leadership Directory dataset (O). Corresponding Pages: 22-24
Certifications & Approvals	Our CIO approves all IT initiative (major and non-major) budget requests through our IRB (SITAR) and IT Budget Formulation processes, and then again during CIO-led Major IT Business Case and IT Portfolio (formerly Exhibit 53 and 300) reviews. Corresponding Pages: 5- 9	Our CIO approves significant government FTE resource movement during periodic program reviews and sometimes as the result of a TechStat Review. IT budget-funded resource reallocation must be approved by and justified to the CIO through our ITS Funding Change Request (IFCR) process. Corresponding Pages: 12-17	Within the Budget Execution and Acquisition section of this document, we have provided evidence of partial implementation in the ITS Spending Oversight process. Please see implementation plan for further details. Corresponding Pages: 22-24	The Executive Resources Board administers SES postings. When the position is for IT the CIO is asked for input and approval. The CIO reviews and comments on all GS-15 IT postings. Corresponding Pages: 22-24