SSA POLICY 8100.01

INFORMATION TECHNOLOGY CAPITAL PLANNING AND INVESTMENT CONTROL

Originating Component: Office of Systems/Office of the Chief Information Officer

Effective: October 05, 2018 (Version 1)

Updated Version Effective: *January 15, 2020 (Version 2)*

Releasability: Cleared for public release.

Approved by: Rajive Mathur, Deputy Commissioner for Systems/Chief Information Officer

Updated Version Approved by: *Rajive Mathur, Deputy Commissioner for Systems/Chief Information Officer*

1. **Purpose.**   This policy:

    a. Establishes a comprehensive policy and authorities for implementing the Information Technology (IT) Capital Planning and Investment Control (CPIC) program and associated supporting guidance.

    b. Formalizes roles and responsibilities for CPIC and the Federal Information Technology Acquisition Reform Act (FITARA) implementation.

2. **Applicability.** This policy:

    a. Applies to all executives, managers, employees, and contractors involved in conducting business for, and on behalf of, SSA through contractual relationships when using SSA IT Resources.

    b. Shall be incorporated into IT procurement contracts for IT goods and services associated with SSA major and non-major IT investments, as appropriate.

c. Applies to all SSA IT Investments throughout their entire life cycle.

3. **Policy.**

   a. **SSA's IT Capital Planning Process shall:**

   (1) Establish, maintain, and periodically update the CPIC program in accordance with legislative regulations and Office of Management and Budget (OMB) guidance.

   (2) Execute its CPIC process as defined in the SSA IT Guide to Capital Planning Investment Control and SSA Policy 8020.01.

   (3) Leverage and integrate with any existing SSA policies, processes, procedures, and best practices surrounding Enterprise Architecture (EA), acquisition, security, financial management planning, budget formulation and execution, IT governance, risk management, and performance planning.

   (4) Follow the principles of budgeting for capital asset acquisitions in accordance with OMB Circular No. A-11.

   (5) Adhere to SSA Policy 8040.05 when acquiring software that is/will be owned, deployed, and managed by SSA.

   (6) Implement a scoring process to select IT investments.

   (7) Ensure Program and Project Mangers involved in CPIC activities are provided adequate training.

   (8) Institute performance measures and management processes that monitor and compare actual performance to planned results.

   b. **SSA's FITARA Implementation Process shall:**

   (1) Complete the annual common baseline self-assessment and make adjustments to increase the CIO's role in program management, defining IT processes, IT governance, and acquisition strategy.

   (2) Update the FITARA Implementation Plan as needed.

   (3) Make improvements to FITARA implementation based on OMB, the House Committee on Oversight and Government Reform (HOGR), and Government Accountability Office (GAO) feedback.

4. **Roles and Responsibilities.**

   a. **The Office of the Commissioner of Social Security (COSS) and Deputy Commissioner of Social Security (DCOSS) shall:**

   (1) Provide executive leadership to SSA.

   (2) In accordance with Chapter 3506 of Title 44, U.S.C., designate a Chief Information Officer (CIO).

   (3) As defined in Delegation of Administrative Authorities Retained by the Commissioner, appoint a Chief Technology Officer (CTO).

b. The Chief Information Officer shall:

(1) Fulfill roles as defined in SSA Directive 8000.01 Chief Information Officer Responsibilities.

(2) Serve, or designate a representative to serve, as the principal liaison to OMB regarding SSA CPIC functions and outputs.

(3) Serve as the signatory for all official CPIC-related correspondence with OMB.

(4) Provide online tools to support CPIC reporting activities.

(5) Collaborate with the Chief Financial Officer (CFO) in preparing the annual appropriated budget request, including the IT Resource Statement.

(6) Distribute a quarterly newsletter.

c. The Deputy Chief Information Officer for Modernization shall: Validate compliance with CPIC requirements in accordance with legislative regulations and OMB guidance.

d. The Chief Technology Officer shall:

(1) Report directly to the CIO.

(2) Champion technology insertion and incubate solutions to improve processes at SSA.

(3) Develop an enterprise approach to how the agency explores, develops, and integrates new technology and IT solutions.

(4) Serves across SSA IT and SSA business lines to ensure that IT solutions are designed efficiently, reused as appropriate and are forward-thinking.

(5) Participate in TechStat sessions.

(6) Collaborate with other government agencies, industry, and academia to gather best practices, ideas, and approaches. Track emerging technologies and help determine when and how to leverage them at SSA.

(7) Focus on mission-related technologies and evaluate technologies against mission needs.

e. The Chief Financial Officer shall:

(1) Champion alignment of budget development processes and activities with the CPIC program to ensure necessary collaboration and consistency.

(2) Collaborate with the CIO in preparing the annual budget request, including the IT Resource Statement.

(3) Propose the target IT budget each fiscal year within the agency IT Capital Plan.

(4) Participate in the Information Technology Investment Review Board (IT IRB) as defined in the IT IRB Charter.

f. **The Chief Enterprise Architect shall:**

(1) Report to the CIO.

(2) Institutionalize EA as an integral part of strategic planning and lifecycle development processes.

(3) Benchmark agency EA practices with government and industry best practices.

(4) Serve as EA point-of-contact within the agency as well as outside committees and workgroups.

(5) Follow the principles defined in The Common Approach to Federal Enterprise Architecture.

(6) Develop technology roadmaps aligned with both commercial best practices and the agency's strategy and major program needs.

g. **The Chief Information Security Officer (CISO) shall:**

(1) Report to the CIO.

(2) Fulfill responsibilities as defined in the agency's Information Security Policy (ISP).

h. **The Office of Acquisition and Grants (OAG) shall:**

(1) Provide a centralized acquisition function.

(2) Provide a core team of contract specialists to support SSA's IT program acquisition needs throughout the systems development, operations, and maintenance life cycle.

(3) Fulfill responsibilities as defined in the SSA's Office of Systems Project Management Guidebook.

i. **The Integrated Program/Project Teams shall:**

(1) Fulfill responsibilities as defined in SSA's Office of Systems Project Management Guidebook.

(2) In accordance with OMB Memorandum M-15-14, implement incremental development for software development investments and projects. Any exceptions to this policy must be made via a waiver from the SSA CIO or his/her designee as defined in the Office of Systems Procedure for Requesting a Waiver or Alternative Practice.

(3) Follow the Agile Development Policy.

j. **The Information Technology Investment Review Board (IT IRB) shall** fulfill responsibilities as defined in SSA's IT IRB Charter and SSA Policy 8020.01.

k. **The Product teams shall** fulfill responsibilities as defined in SSA's Product Management Playbook.

5. Approval

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Rajive Mathur
Chief Information Officer

REFERENCES

Office of Management and Budget Circular No. A-11, "Preparation, Submission, and Execution of the Budget," June 28, 2019

Office of Management and Budget Guidance, "The Common Approach to Federal Enterprise Architecture," May 2, 2012

SSA Delegations of Authority, "Delegations of Administrative Authorities Authorizes Retained by the Commissioner," http://dcbfm.ba.ad.ssa.gov/delegations-of-authority

SSA Directive 8000.01, "Chief Information Officer Responsibilities," January 15, 2020

SSA Manual, "Information Technology Investment Review Board (IT IRB) Charter," May 5, 2017

SSA Manual, "Office of Systems Procedure for Requesting a Waiver or Alternative Practice," February 1, 2019

SSA Manual, "Office of Systems Project Management Guidebook," August 2019

SSA Manual, "Product Management Playbook," September 5, 2019

SSA Manual, "SSA Information Technology Guide to Capital Planning Investment Control," September 24, 2019

SSA Policy, "Agile Development Policy," June 30, 2017

SSA Policy, "Information Security Policy for the Social Security Administration," August 22, 2019

SSA Policy 8020.01, "Selection, Management, and Evaluation of Information Technology Investments," January 15, 2020

SSA Policy 8040.05, "Software Solutions Analysis," March 5, 2019

United States Code, Title 44

GLOSSARY

All definitions and acronyms can be found in SSA Manual 8200.01 Issuance Library Glossary.

CHANGE HISTORY

Version	Date	Description of Change
8100.01 V1	10/05/2018	Original CIO-Approved Version
8100.01 V2	01/15/2020	Added reference to SSAPOL 8040.05 and Deputy CIO for Modernization roles/responsibilities. Updated last published date of references.