

Electronic Wage Reporting (EWR) System

Exhibit 300: Part I: Summary Information and Justification (All Capital Assets)

I.A. Overview

1. Date of Submission:

9/11/2006

2. Agency:

Social Security Administration

3. Bureau:

Systems

4. Name of this Capital Asset:

Electronic Wage Reporting (EWR) System

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

016-00-01-02-01-2025-00

6. What kind of investment will this be in FY2008? (Please NOTE: Investments moving to O&M ONLY in FY2008, with Planning/Acquisition activities prior to FY2008 should not select O&M. These investments should indicate their current status.)

Mixed Life Cycle

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

FY2001 or earlier

8. Provide a brief summary and justification for this investment, including a brief description of how this closes in part or in whole an identified agency performance gap:

In our electronic age, on-line real-time services are essential. Retirees, widows and widowers, and their family members, depend on Social Security benefits as their only source of income and trust the accuracy of the administration's records. SSA's efficient posting of earnings to the Master Earnings File (MEF) results in more accurate payment of benefits which reduce overpayments, agency collection efforts and build the public's confidence in the administration. Since it eliminates the mailing of media and the potential for keying errors for paper submissions, Electronic Wage Reporting (EWR) provides a faster, more cost effective filing method that posts wages more accurately than other methods. The 2001 terrorist attacks heightened our concern of name and SSN misuse. SSA is reevaluating its programs to assure appropriate security controls are in place to identify potential fraudulent activity and prevent future occurrences. As a result of this effort, the EWR project requires enhancements to our Integrated Registration System (the registration gateway of many applications; e.g., Social Security Number Verification Service (SSNVS)) to implement security controls and must be maintained to meet security needs. To increase its ability to provide electronic filing services to wage report submitters and modernize its processing methods, SSA initiated the Electronic Wage Reporting System (EWRS) project. The EWRS was integrated with the Annual Wage Reporting System (AWRS) and piloted and phased in for selected submitters over a multi-year period, beginning in 1999. EWRS enables SSA to process wage reports submitted through various media. It provides the business community easy, cost-effective ways to file wage reports; lowers SSA's processing costs and captures and quickly transmits data to the IRS. The objectives of EWR are to reduce government operations costs, improve and expand customer services, improve data quality, reduce the number of items posted annually to the earnings suspense file, reduce the number of errors and decrease annual wage reports processing time. After the 9/30/06 EWR Investment Completion date, this investment will roll into the Infrastructure Investment

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

Yes

a. If "yes," what was the date of this approval?

7/13/2006

10. Did the Project Manager review this Exhibit?

Yes

11. Removed

12. Has the agency developed and/or promoted cost effective, energy efficient and environmentally sustainable techniques or practices for this project.

Yes

a. Will this investment include electronic assets (including computers)?

Yes

b. Is this investment for new construction or major retrofit of a Federal building or facility? (answer applicable to non-IT assets only)

No

1. If "yes," is an ESPC or UESC being used to help fund this investment?
2. If "yes," will this investment meet sustainable design principles?
3. If "yes," is it designed to be 30% more energy efficient than relevant code?

13. Does this investment support one of the PMA initiatives?

Yes

If "yes," check all that apply:

Expanded E-Government, Eliminating Improper Payments, Human Capital

13a. Briefly describe how this asset directly supports the identified initiative(s)?

EWR substantially reduces errors and ensures Social Security beneficiaries can rely on the accuracy of their earnings information. Federal, state, local and tribal government agencies can rely on the accuracy of the data contained in SSA's records. EWR provides businesses a way to conduct business with the SSA electronically. It directly supports the expanded E-Government goals in the PMA to "reduce the reporting burden on businesses" and "to automate internal processes to reduce costs."

14. Does this investment support a program assessed using the Program Assessment Rating Tool (PART)? (For more information about the PART, visit www.whitehouse.gov/omb/part.)

Yes

a. If "yes," does this investment address a weakness found during the PART review?

Yes

b. If "yes," what is the name of the PART program assessed by OMB's Program Assessment Rating Tool?

SSI Program

c. If "yes," what PART rating did it receive?

Moderately Effective

15. Is this investment for information technology?

Yes

If the answer to Question: "Is this investment for information technology?" was "Yes," complete this sub-section. If the answer is "No," do not answer this sub-section.

For information technology investments only:

16. What is the level of the IT Project? (per CIO Council PM Guidance)

Level 2

17. What project management qualifications does the Project Manager have? (per CIO Council PM Guidance):

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

18. Is this investment identified as "high risk" on the Q4 - FY 2006 agency high risk report (per OMB's "high risk" memo)?

No

19. Is this a financial management system?

No

a. If "yes," does this investment address a FFMI A compliance area?

1. If "yes," which compliance area:

2. If "no," what does it address?

b. If "yes," please identify the system name(s) and system acronym(s) as reported in the most recent financial systems inventory update required by Circular A-11 section 52

20. What is the percentage breakout for the total FY2008 funding request for the following? (This should total 100%)

Hardware

0

Software

0

Services

0

Other

0

21. If this project produces information dissemination products for the public, are these products published to the Internet in conformance with OMB Memorandum 05-04 and included in your agency inventory, schedules and priorities?

Yes

22. Removed

23. Are the records produced by this investment appropriately scheduled with the National Archives and Records Administration's approval?

Yes

I.B. Summary of Funding

Provide the total estimated life-cycle cost for this investment by completing the following table. All amounts represent budget authority in millions, and are rounded to three decimal places. Federal personnel costs should be included only in the row designated "Government FTE Cost," and should be excluded from the amounts shown for "Planning," "Full Acquisition," and "Operation/Maintenance." The total estimated annual cost of the investment is the sum of costs for "Planning," "Full Acquisition," and "Operation/Maintenance." For Federal buildings and facilities, life-cycle costs should include long term energy, environmental, decommissioning, and/or restoration costs. The costs associated with the entire life-cycle of the investment should be included in this report.

**Table 1: SUMMARY OF SPENDING FOR PROJECT PHASES
(REPORTED IN MILLIONS)**

(Estimates for BY+1 and beyond are for planning purposes only and do not represent budget decisions)

	PY - 1 and Earlier	PY 2006	CY 2007	BY 2008
Planning Budgetary Resources	0	0	0	0
Acquisition Budgetary Resources	41.746	1.624	0	0
Subtotal Planning & Acquisition Budgetary Resources	41.746	1.624	0	0
Operations & Maintenance Budgetary Resources	0.863	0.18	0	0
TOTAL Budgetary Resources	42.609	1.804	0	0
Government FTE Costs Budgetary Resources	18.882	1.859	0	0
Number of FTE represented by Costs:	182	18	0	0

Note: For the cross-agency investments, this table should include all funding (both managing partner and partner agencies). Government FTE Costs should not be included as part of the TOTAL represented.

2. Will this project require the agency to hire additional FTE's?

No

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

3. If the summary of spending has changed from the FY2007 President's budget request, briefly explain those changes:

I.C. Acquisition/Contract Strategy

1. Complete the table for all (including all non-Federal) contracts and/or task orders currently in place or planned for this investment. Total Value should include all option years for each contract. Contracts and/or task orders completed do not need to be included.

Contracts/Task Orders Table:

Contract or Task Order Number	Type of Contract/ Task Order	Has the contract been awarded?	If so what is the date of the award? If not, what is the planned award date?	Start date of Contract/ Task Order	End date of Contract/ Task Order	Total Value of Contract/ Task Order	Is this an Interagency Acquisition?	Is it performance based?	Competitively awarded?	What, if any, alternative financing option is being used?	Is EVM in the contract?	Does the contract include the required security and privacy clauses?
2-630	Time & Materials	Yes	11/15/2004	10/1/2005	9/29/2006	0.705	No	Yes	Yes	NA	No	Yes

2. If earned value is not required or will not be a contract requirement for any of the contracts or task orders above, explain why:

SSA's earned value management (EVM) policy has been certified as consistent with OMB guidance and the ANSI standards defining a compliant EVM. The inclusion of earned value in SSA contracts is based on the type of contract let, the services performed, and the date when the contract was let. Earned value management requirements are applied to SSA contractors in two ways. The first is to require the contractor to satisfy requirements utilizing their own earned value management system (EVMS). The second is for the contractor to provide necessary data directly into SSA's in-house EVMS.

3. Do the contracts ensure Section 508 compliance?

Yes

a. Explain why:

4. Is there an acquisition plan which has been approved in accordance with agency requirements?

No

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

b. If "no," will an acquisition plan be developed?

1. If "no," briefly explain why:

I.D. Performance Information

In order to successfully address this area of the exhibit 300, performance goals must be provided for the agency and be linked to the annual performance plan. The investment must discuss the agency's mission and strategic goals, and performance measures must be provided. These goals need to map to the gap in the agency's strategic goals and objectives this investment is designed to fill. They are the internal and external performance benefits this investment is expected to deliver to the agency (e.g., improve efficiency by 60 percent, increase citizen participation by 300 percent a year to achieve an overall citizen participation rate of 75 percent by FY 2xxx, etc.). The goals must be clearly measurable investment outcomes, and if applicable, investment outputs. They do not include the completion date of the module, milestones, or investment, or general goals, such as, significant, better, improved that do not have a quantitative or qualitative measure.

Agencies must use Table 1 below for reporting performance goals and measures for all non-IT investments and for existing IT investments that were initiated prior to FY 2005. The table can be extended to include measures for years beyond FY 2006.

Performance Information Table 1:

Fiscal Year	Strategic Goal(s) Supported	Performance Measure	Actual/baseline (from Previous Year)	Planned Performance Metric (Target)	Performance Metric Results (Actual)
2004	Stewardship and Service	55% of employer W-2 wage reports received electronically.	50%	55%	60%
2004	Stewardship	Annually increase agency productivity an average of 2% annually.	2003 - 2.1%	2% increase in agency productivity.	2.2%
2004	Service	Percent of individuals who do business with SSA rating the overall service as "excellent", "very good" or "good"	2003 - 85%	83% rate doing business with SSA as excellent, very good or good.	84%
2004	Stewardship	Annual earnings items processed.	2003 - 257,188,087	262,000,000 earnings items processed.	251,853,503 earnings items processed.
2004	Stewardship	Percentage of the incoming earnings items that are removed from the Earnings Suspense File for a new tax year and post the earnings to the correct earnings records.	2003 - 0.4%	5% of incoming earnings items removed from the Earnings Suspense File for a new tax year and post the earnings to the correct earnings records.	2.07% of incoming earnings items removed from the Earnings Suspense File for a new tax year and post the earnings to the correct earnings records.
2004	Stewardship	Percentage of SSI payments free of overpayments (O/P) and underpayments (U/P).	2003 - 93.95% O/P, 98.8% U/P	95.4% O/P, 98.8% U/P	93.6% O/P, 98.7% U/P
2004	Stewardship	Percentage of OASDI payments free of overpayments (O/P) and underpayments (U/P).	2003 - 99.8% O/P, 99.9% U/P	99.8% O/P, 99.8% U/P	99.5% O/P, 99.8% U/P
2004	Stewardship	Receive an unqualified opinion on SSA's financial statements from the auditors.	2003 - received an unqualified opinion.	Receive an unqualified opinion.	Received an unqualified opinion.
2004	Stewardship	Reach "green" on 4 of 5 President's Management Agenda (PMA) initiatives.	2003 - one "green"	Achieve an overall rating of "green" on 4 of 5 PMA initiatives.	Achieved an overall rating of "green" on three of 5 PMA initiatives.
2005	Stewardship and Service	60% of all W-2 wage data sent to SSA electronically.	60%	60%	2005 - 66%
2005	Steward	Reach "green" on 4 of 5 President's Management Agenda (PMA) initiatives.	2004 - Achieved a status score of "green" on three of five PMA initiatives	Maintain an overall rating of "green" on 4 of 5 PMA initiatives.	2005 - Achieved a status of "green" on three of five PMA initiatives.
2005	Stewardship	Annually increase the agency productivity an	2004 - 2.2%	2% increase in agency productivity.	2005 - 2.8%

Fiscal Year	Strategic Goal(s) Supported	Performance Measure	Actual/baseline (from Previous Year)	Planned Performance Metric (Target)	Performance Metric Results (Actual)
		average of 2%.			
2005	Service	Percent of individuals who do business with SSA rating the overall service as "excellent", "very good" or "good"	2004 - 84%	83% rate doing business with SSA as excellent, very good or good.	2005 - 85%
2005	Stewardship	Annual earnings items processed.	2004 – 251,853,503	258,000,000 earnings items processed.	257,448,825 earnings items processed.
2005	Stewardship	Percentage of the incoming earnings items that are removed from the Earnings Suspense File for a new tax year and post the earnings to the correct earnings records.	2004 - 2.0%	5% of incoming earnings items removed from the Earnings Suspense File for a new tax year and post the earnings to the correct earnings records.	2005 - 2.0% of incoming earnings items removed from the Earnings Suspense File for a new tax year and post the earnings to the correct earnings records.
2005	Stewardship	Percentage of SSI payments free of overpayments (O/P) and underpayments (U/P).	2004 - 93.6%, 98.7%	94.9% O/P, 98.8% U/P	2005 - 93.6% O/P; 98.6% U/P
2005	Stewardship	Percentage of OASDI payments free of overpayments (O/P) and underpayments (U/P).	2004 - 99.5%, 99.8%	99.8% O/P, 99.8% U/P	2005 - 99.5%; 99.8% U/P
2005	Stewardship	Receive an unqualified opinion on SSA's financial statements from the auditors.	2004 - received an unqualified opinion.	Receive an unqualified opinion.	2005 - Received an unqualified opinion.
2006	Stewardship	Reach "green" on 4 of 5 President's Management Agenda (PMA) initiatives.	2005 - Achieved a status score of "green" on three of five PMA initiatives	Achieve a status score of "green" on 4 of 5 PMA initiatives.	Achieved a status score of "green" on four of five PMA initiatives
2006	Stewardship	Annually increase the agency productivity an average of 2%.	2005 - 2.8%	2% increase in agency productivity.	2.49% on average
2006	Service	Percent of individuals who do business with SSA rating the overall service as "excellent", "very good" or "good"	2005 - 85%	83%	82%
2006	Stewardship	Annual earnings items processed.	2005 – 257,448,825	261,000,000 earnings items processed.	265,143,871
2006	Stewardship	Remove 3% of the earnings items that remain in the Earnings Suspense	2005 - 2.0%	3%	1%

Fiscal Year	Strategic Goal(s) Supported	Performance Measure	Actual/baseline (from Previous Year)	Planned Performance Metric (Target)	Performance Metric Results (Actual)
		File for a new tax year and post the earnings to the correct earnings records.			
2006	Stewardship	Percentage of SSI payments free of overpayments (O/P) and underpayments (U/P).	2005 - 93.6% O/P, 98.6% U/P	95.4% O/P, 98.8% U/P	Available June 2007
2006	Stewardship	Percentage of OASDI payments free of overpayments (O/P) and underpayments (U/P).	2005 - 99.5% O/P, 99.8% U/P	99.8% O/P, 99.8% U/P	Available June 2007
2006	Stewardship	Receive an unqualified opinion on SSA's financial statements from the auditors.	2005 - received an unqualified opinion.	Receive an unqualified opinion.	Received an unqualified opinion
2006	Stewardship and Service	Increase the percent of employee reports (W-2 forms) filed electronically and processed to completion.	66%	70%	75%
2007	Stewardship	Get to "green" on the President's Management Agenda (PMA) initiatives status scores	2006 - Achieved a status score of "green" on four of five PMA initiatives	Achieve a status score of "green" on five of five PMA initiatives	
2007	Stewardship	Continue to achieve 2%, on average, annual productivity improvements	2006 - 2.49% on average	2% on average	
2007	Service	Percent of individuals who do business with SSA rating the overall service as "excellent", "very good" or "good"	82%	83%	
2007	Stewardship	Annual earnings items processed.	265,143,871	265,000,000 earnings items processed.	
2007	Stewardship	Remove 3% of the earnings items that remain in the Earning Suspense File for a new tax year and post the earnings to the correct earnings records.	2006 - 1%	3%	
2007	Stewardship	Percentage of SSI payments free of overpayments	2006 - Available June 2007	95.7% O/P, 98.8% U/P	

Fiscal Year	Strategic Goal(s) Supported	Performance Measure	Actual/baseline (from Previous Year)	Planned Performance Metric (Target)	Performance Metric Results (Actual)
		(O/P) and underpayments (U/P).			
2007	Stewardship	Percentage of Old-Age, Survivors and Disability Insurance (OASDI) payments free of overpayments (O/P) and underpayments (U/P).	2006 - Available June 2007	99.8% O/P, 99.8% U/P	
2007	Stewardship	Receive an unqualified opinion on SSA's financial statements from the auditors.	2006 - Received an unqualified opinion	Receive an unqualified opinion.	
2007	Stewardship and Service	Increase the percent of employee reports (Form W-2) filed electronically and processed to completion.	2006 - 75%	2007 - 80%	
2008	Stewardship	Get to "green" on the PMA initiatives status scores		2008 - Maintain a status score of "green" on five of five PMA initiatives	
2008	Stewardship	Continue to achieve 2%, on average, annual productivity improvements		2008 - 2%	
2008	Service	Percent of individuals who do business with SSA rating the overall service as "excellent", "very good" or "good"		2008 - 83%	
2008	Stewardship	Annual earnings items processed.		268,000,000 earnings items processed.	
2008	Stewardship	Remove 3% of earnings items that remain in the Earnings Suspense File for a new tax year and post the earnings to the correct earnings records.		2008 - 3.0%	
2008	Stewardship	Percentage of SSI payments free of overpayments (O/P) and underpayments (U/P).		96.6% O/P, 98.8% U/P	
2008	Stewardship	Percentage of OASDI payments free of overpayments (O/P) and		99.8% O/P, 99.8% U/P	

Fiscal Year	Strategic Goal(s) Supported	Performance Measure	Actual/baseline (from Previous Year)	Planned Performance Metric (Target)	Performance Metric Results (Actual)
		underpayments (U/P).			
2008	Stewardship	Receive an unqualified opinion on SSA's financial statements from the auditors.		Receive an unqualified opinion.	
2008	Stewardship and Service	Increase the percent of employee reports (Form W-2) filed electronically and processed to completion.		80%	

All new IT investments initiated for FY 2005 and beyond must use Table 2 and are required to use the Federal Enterprise Architecture (FEA) Performance Reference Model (PRM). Please use Table 2 and the PRM to identify the performance information pertaining to this major IT investment. Map all Measurement Indicators to the corresponding "Measurement Area" and "Measurement Grouping" identified in the PRM. There should be at least one Measurement Indicator for at least four different Measurement Areas (for each fiscal year). The PRM is available at www.egov.gov.

Performance Information Table 2:

Fiscal Year	Measurement Area	Measurement Category	Measurement Grouping	Measurement Indicator	Baseline	Planned Improvement to the Baseline	Actual Results
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I.E. Security and Privacy

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

All systems supporting and/or part of this investment should be included in the tables below, inclusive of both agency owned systems and contractor systems. For IT investments under development, security and privacy planning must proceed in parallel with the development of the system/s to ensure IT security and privacy requirements and costs are identified and incorporated into the overall lifecycle of the system/s.

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

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

Yes

2. Is identifying and assessing security and privacy risks a part of the overall risk management effort for each system supporting or part of this investment.

Yes

3. Systems in Planning - Security Table:

Name of System	Agency/ or Contractor	Planned	Planned or Actual C&A
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	Operated System?	Operational Date	Completion Date
Earnings Record Maintenance System (ERMS)	Government Only	3/31/2006	7/23/2004

4. Operational Systems - Security Table:

Name of System	Agency/ or Contractor Operated System?	NIST FIPS 199 Risk Impact level	Has C&A been Completed, using NIST 800-37?	Date C&A Complete	What standards were used for the Security Controls tests?	Date Complete(d): Security Control Testing	Date the contingency plan tested
Earnings Records Maintenance System (ERMS)	Government Only	Moderate	Yes	7/23/2004	NIST 800-26	6/15/2006	1/16/2006

5. Have any weaknesses related to any of the systems part of or supporting this investment been identified by the agency or IG?

No

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

6. Indicate whether an increase in IT security funding is requested to remediate IT security weaknesses?

No

a. If "yes," specify the amount, provide a general description of the weakness, and explain how the funding request will remediate the weakness.

7. How are contractor security procedures monitored, verified, validated by the agency for the contractor systems above?

THIS IS NOT A CONTRACTOR SYSTEM.

8. Planning & Operational Systems - Privacy Table:

Name of System	Is this a new system?	Is there a Privacy Impact Assessment (PIA) that covers this system?	Is the PIA available to the public?	Is a System of Records Notice (SORN) required for this system?	Was a new or amended SORN published in FY 06?
Earnings Records Maintenance System (ERMS)	No	Yes.	Yes.	Yes	Yes, because the existing Privacy Act system of records was substantially revised in FY 06.

I.F. Enterprise Architecture (EA)

In order to successfully address this area of the business case and capital asset plan you must ensure the investment is included in the agency's EA and Capital Planning and Investment Control (CPIC) process, and is mapped to and supports the FEA. You must also ensure the business case demonstrates the relationship between the investment and the business, performance, data, services, application, and technology layers of the agency's EA.

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

Yes

a. If "no," please explain why?

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

Yes

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

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b. If "no," please explain why?

3. Service Reference Model (SRM) Table:

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

Agency Component Name	Agency Component Description	Service Domain	FEA SRM Service Type	FEA SRM Component	FEA Service Component Reused Name	FEA Service Component Reused UPI	Internal or External Reuse?	BY Funding Percentage
Connect: Direct	Connect: Direct automates the secure movement of large volumes of data between distributed applications within and between enterprises.	Back Office Services	Data Management	Data Exchange	Data Exchange	016-00-01-04-02-2132-00	Internal	0
RAID	Redundant Array of Independent Disks. This disk subsystem architecture uses multiple hard drives to write data to achieving redundancy and enhancing fault resilience.	Back Office Services	Data Management	Data Recovery	Data Recovery	016-00-01-04-02-2132-00	Internal	0
AIF, ICDB	The AIF (Application Interface Facility) is a common interface between SSA's application programs and various Database Management Systems such as IDMS and MADAM. Integrated Client Database (ICDB) is a data access utility	Back Office Services	Development and Integration	Data Integration	Data Integration	016-00-01-04-02-2132-00	Internal	0

Agency Component Name	Agency Component Description	Service Domain	FEA SRM Service Type	FEA SRM Component	FEA Service Component Reused Name	FEA Service Component Reused UPI	Internal or External Reuse?	BY Funding Percentage
	containing common data elements from participating systems							
AIF	The AIF (Application Interface Facility) is a common interface between SSA's application programs and various Database Management Systems such as IDMS and MADAM.	Back Office Services	Development and Integration	Legacy Integration	Legacy Integration	016-00-01-04-02-2132-00	Internal	0
PolicyNet	PolicyNet is an Intranet application that provides collaborative authoring of policy, creation and maintenance of a Policy Repository, posting of questions and answers, improved policy dissemination, identification of "hotspots" or the need for policy clarification, and a single, improved, natural language search engine.	Business Management Services	Management of Processes	Business Rule Management	Business Rule Management	016-00-01-02-02-2130-00	Internal	0
MKS, ENDEVOR	Mortice Kern Systems (MKS) Source Integrity Enterprise (SIE) is a comprehensive, project-oriented, software configuration management (SCM) tool that provides	Business Management Services	Management of Processes	Change Management	Change Management	016-00-01-04-02-2132-00	Internal	0

Agency Component Name	Agency Component Description	Service Domain	FEA SRM Service Type	FEA SRM Component	FEA Service Component Reused Name	FEA Service Component Reused UPI	Internal or External Reuse?	BY Funding Percentage
	version control over changes to application software. ENDEVOR is an integrated set of management tools that is used to control and monitor application development and production implementation processes.							
QA2	QA2 enforces the completion of an System Release Certification through its interface with the online and batch release processes.	Business Management Services	Management of Processes	Configuration Management	Configuration Management	016-00-01-04-02-2132-00	Internal	0
ACU	The Access Control Utility (ACU) security architecture is a framework for an extensible authentication and access control infrastructure for Internet and automated telephone applications.	Customer Services	Customer Initiated Assistance	Reservations / Registration	Reservations / Registration	016-00-01-04-02-2132-00	Internal	0
ACU	The Access Control Utility (ACU) security architecture is a framework for an extensible authentication and access control infrastructure for Internet and automated telephone applications.	Customer Services	Customer Initiated Assistance	Self-Service	Self-Service	016-00-01-04-02-2132-00	Internal	0
BSO	Business Services Online is the Government to Business Internet	Customer Services	Customer Preferences	Alerts and Notifications	Alerts and Notifications	016-00-01-02-02-2130-00	Internal	0

Agency Component Name	Agency Component Description	Service Domain	FEA SRM Service Type	FEA SRM Component	FEA Service Component Reused Name	FEA Service Component Reused UPI	Internal or External Reuse?	BY Funding Percentage
	activity of SSA supporting EWR and online Employer Verification Services.							
S/MIME, Top Secret	Secure MIME (S/MIME) is an enhanced version of the Multi-purpose Internet Mail Extension (MIME) protocol to provide authentication and confidentiality services. TOP SECRET is the security software running on all of SSA's mainframe systems.	Support Services	Security Management	Access Control	Access Control	016-00-02-00-01-2210-00	Internal	0
ACU	The Access Control Utility (ACU) security architecture is a framework for an extensible authentication and access control infrastructure for internet and automated telephone applications.	Support Services	Security Management	Identification and Authentication	Identification and Authentication	016-00-01-04-02-2132-00	Internal	0

Use existing SRM Components or identify as "NEW". A "NEW" component is one not already identified as a service component in the FEA SRM.

A reused component is one being funded by another investment, but being used by this investment. Rather than answer yes or no, identify the reused service component funded by the other investment and identify the other investment using the Unique Project Identifier (UPI) code from the OMB Ex 300 or Ex 53 submission. 'Internal' reuse is within an agency. For example, one agency within a department is reusing a service component provided by another agency within the same department. 'External' reuse is one agency within a department reusing a service component provided by another agency in another department. A good example of this is an E-Gov initiative service being reused by multiple organizations across the federal government.

Please provide the percentage of the BY requested funding amount used for each service component listed in the table. If external, provide the funding level transferred to another agency to pay for the service.

4. Technical Reference Model (TRM) Table:

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

FEA SRM Component	FEA TRM Service Area	FEA TRM Service Category	FEA TRM Service Standard	Service Specification (i.e. vendor or product name)
Legacy Integration	Component Framework	Business Logic	Platform Dependent	ALC
Data Integration	Component Framework	Business Logic	Platform Dependent	ALC
Data Integration	Component Framework	Business Logic	Platform Dependent	COBOL 3
Legacy Integration	Component Framework	Business Logic	Platform Dependent	COBOL 3
Configuration Management	Component Framework	Business Logic	Platform Dependent	Visual Basic .Net (VB.Net)
Alerts and Notifications	Component Framework	Business Logic	Platform Independent	Java Servlet (JSR 53)
Data Exchange	Component Framework	Data Interchange	Data Exchange	Resource Description Framework (RDF)
Configuration Management	Component Framework	Data Management	Database Connectivity	Active Data Objects .Net (ADO.Net)
Configuration Management	Component Framework	Data Management	Database Connectivity	Open Database Connectivity (ODBC)
Configuration Management	Component Framework	Presentation / Interface	Dynamic Server-Side Display	Active Server Pages .Net (ASP.Net)
Self-Service	Component Framework	Security	Certificates / Digital Signatures	Secure Sockets Layer (SSL)
Reservations / Registration	Component Framework	Security	Supporting Security Services	Tivoli Access Manager (TAM)
Alerts and Notifications	Component Framework	Security	Supporting Security Services	Tivoli Access Manager (TAM)
Access Control	Component Framework	Security	Supporting Security Services	TopSecret
Identification and Authentication	Component Framework	Security	Supporting Security Services	Web Services Security (WS-Security)
Alerts and Notifications	Component Framework	Security	Supporting Security Services	Web Services Security (WS-Security)
Legacy Integration	Service Access and Delivery	Access Channels	Other Electronic Channels	System to System
Data Integration	Service Access and Delivery	Access Channels	Other Electronic Channels	System to System
Self-Service	Service Access and Delivery	Access Channels	Web Browser	Any
Reservations / Registration	Service Access and Delivery	Delivery Channels	Internet	
Alerts and Notifications	Service Access and Delivery	Delivery Channels	Internet	
Business Rule Management	Service Access and Delivery	Delivery Channels	Intranet	
Identification and Authentication	Service Access and Delivery	Service Requirements	Authentication / Single Sign-on	
Access Control	Service Access and Delivery	Service Requirements	Authentication / Single Sign-on	
Identification and Authentication	Service Access and Delivery	Service Requirements	Hosting	Internal (within Agency)
Business Rule Management	Service Access and Delivery	Service Requirements	Hosting	Internal (within Agency)
Data Integration	Service Access and Delivery	Service Requirements	Hosting	Internal (within Agency)

FEA SRM Component	FEA TRM Service Area	FEA TRM Service Category	FEA TRM Service Standard	Service Specification (i.e. vendor or product name)
Legacy Integration	Service Access and Delivery	Service Requirements	Hosting	Internal (within Agency)
Alerts and Notifications	Service Access and Delivery	Service Requirements	Hosting	Internal (within Agency)
Data Exchange	Service Access and Delivery	Service Requirements	Hosting	Internal (within Agency)
Change Management	Service Access and Delivery	Service Requirements	Hosting	Internal (within Agency)
Data Recovery	Service Access and Delivery	Service Requirements	Hosting	Internal (within Agency)
Access Control	Service Access and Delivery	Service Requirements	Legislative / Compliance	Security
Change Management	Service Access and Delivery	Service Transport	Service Transport	Internet Protocol (IP)
Change Management	Service Access and Delivery	Service Transport	Service Transport	Transport Control Protocol (TCP)
Identification and Authentication	Service Interface and Integration	Integration	Middleware	CICS
Data Integration	Service Interface and Integration	Integration	Middleware	CICS
NEW	Service Interface and Integration	Integration	Middleware	CICS
Business Rule Management	Service Interface and Integration	Integration	Middleware	Database Access: NET8
Change Management	Service Interface and Integration	Integration	Middleware	TransactionProcessing Monitor
Data Exchange	Service Interface and Integration	Interface	Service Description / Interface	Application Program Interface (API) / Protocol
Self-Service	Service Interface and Integration	Interface	Service Description / Interface	Web Services Description Language (WSDL)
Reservations / Registration	Service Interface and Integration	Interface	Service Discovery	Universal Description Discovery and Integration (UDDI)
Data Integration	Service Platform and Infrastructure	Database / Storage	Database	Database 2 (DB2)
Data Integration	Service Platform and Infrastructure	Database / Storage	Database	IDMS
Business Rule Management	Service Platform and Infrastructure	Database / Storage	Database	Oracle
Data Exchange	Service Platform and Infrastructure	Delivery Servers	Application Servers	
Business Rule Management	Service Platform and Infrastructure	Delivery Servers	Web Servers	Internet Information Server (IIS)
Change Management	Service Platform and Infrastructure	Hardware / Infrastructure	Embedded Technology Devices	Hard Disk Drive
Data Recovery	Service Platform and Infrastructure	Hardware / Infrastructure	Embedded Technology Devices	Redundant Array of Independent Disks (RAID)
Reservations / Registration	Service Platform and Infrastructure	Hardware / Infrastructure	Network Devices / Standards	Firewall
Self-Service	Service Platform and Infrastructure	Hardware / Infrastructure	Network Devices / Standards	Gateway
Business Rule Management	Service Platform and Infrastructure	Hardware / Infrastructure	Peripherals	Direct Access Storage Device (DASD)
Change Management	Service Platform and Infrastructure	Hardware / Infrastructure	Peripherals	Direct Access Storage Device (DASD)
Data Integration	Service Platform and Infrastructure	Hardware / Infrastructure	Servers / Computers	Mainframe
Legacy Integration	Service Platform and Infrastructure	Hardware / Infrastructure	Servers / Computers	Mainframe
Change Management	Service Platform and Infrastructure	Hardware / Infrastructure	Servers / Computers	Mainframe

FEA SRM Component	FEA TRM Service Area	FEA TRM Service Category	FEA TRM Service Standard	Service Specification (i.e. vendor or product name)
Access Control	Service Platform and Infrastructure	Hardware / Infrastructure	Servers / Computers	Mainframe
Change Management	Service Platform and Infrastructure	Software Engineering	Software Configuration Management	Version Management
Business Rule Management	Service Platform and Infrastructure	Support Platforms	Platform Dependent	Windows .Net

Service Components identified in the previous question should be entered in this column. Please enter multiple rows for FEA SRM Components supported by multiple TRM Service Specifications

In the Service Specification field, Agencies should provide information on the specified technical standard or vendor product mapped to the FEA TRM Service Standard, including model or version numbers, as appropriate.

5. Will the application leverage existing components and/or applications across the Government (i.e., FirstGov, Pay.Gov, etc)?

No

a. If "yes," please describe.

6. Does this investment provide the public with access to a government automated information system?

No

a. If "yes," does customer access require specific software (e.g., a specific web browser version)?

1. If "yes," provide the specific product name(s) and version number(s) of the required software and the date when the public will be able to access this investment by any software (i.e. to ensure equitable and timely access of government information and services).

Exhibit 300: Part II: Planning, Acquisition and Performance Information

II.A. Alternatives Analysis

Part II should be completed only for investments identified as "Planning" or "Full Acquisition," or "Mixed Life-Cycle" investments in response to Question 6 in Part I, Section A above.

In selecting the best capital asset, you should identify and consider at least three viable alternatives, in addition to the current baseline, i.e., the status quo. Use OMB Circular A- 94 for all investments, and the Clinger Cohen Act of 1996 for IT investments, to determine the criteria you should use in your Benefit/Cost Analysis.

1. Did you conduct an alternatives analysis for this project?

No

a. If "yes," provide the date the analysis was completed?

b. If "no," what is the anticipated date this analysis will be completed?

c. If no analysis is planned, please briefly explain why:

No longer major program but rather small cyclical maintenance workload responsible for legislative changes.

2. Removed

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

4. What specific qualitative benefits will be realized?

II.B. Risk Management

You should have performed a risk assessment during the early planning and initial concept phase of this investment's life-cycle, developed a risk-adjusted life-cycle cost estimate and a plan to eliminate, mitigate or manage risk, and be actively managing risk throughout the investment's life-cycle.

1. Does the investment have a Risk Management Plan?

Yes

a. If "yes," what is the date of the plan?

7/20/2006

b. Has the Risk Management Plan been significantly changed since last year's submission to OMB?

No

c. If "yes," describe any significant changes:

2. If there currently is no plan, will a plan be developed?

a. If "yes," what is the planned completion date?

b. If "no," what is the strategy for managing the risks?

3. Briefly describe how investment risks are reflected in the life cycle cost estimate and investment schedule:

SSA's baselines are risk adjusted in terms of both life cycle schedule and resource estimates. Factors considered in determining baseline risk adjustments include: identification of known and types of unknown program and technology risks, the likelihood of occurrence, the impact in the event the risk occurs, and the mitigation strategy adopted to manage each risk. The intent of adopting this strategy is for the program to be able to absorb inevitable risk occurrences and still achieve end cost and schedule objectives. This practice (along with our risk management policies and procedures) has to date been a successful one at SSA. Small management reserves are held at the Deputy Commissioner level in the event required.

II.C. Cost and Schedule Performance

1. Does the earned value management system meet the criteria in ANSI/EIA Standard-748?

Yes

2. Answer the following questions about current cumulative cost and schedule performance. The numbers reported below should reflect current actual information. (Per OMB requirements Cost/Schedule Performance information should include both Government and Contractor Costs):

a. What is the Planned Value (PV)?

1.666000

b. What is the Earned Value (EV)?

1.666000

c. What is the actual cost of work performed (AC)?

1.615000

d. What costs are included in the reported Cost/Schedule Performance information (Government Only/Contractor Only/Both)?

Contractor and Government

e. "As of" date:

7/29/2006

3. What is the calculated Schedule Performance Index (SPI = EV/PV)?

1.000000

4. What is the schedule variance (SV = EV-PV)?

0

5. What is the calculated Cost Performance Index (CPI = EV/AC)?

1.030000

6. What is the cost variance (CV=EV-AC)?

0.051000

7. Is the CV% or SV% greater than +/- 10%? (CV% = CV/EV x 100; SV% = SV/PV x 100)

No

a. If "yes," was it the?

b. If "yes," explain the variance:

c. If "yes," what corrective actions are being taken?

8. Have any significant changes been made to the baseline during the past fiscal year?

No