

## **Exhibit 300: Capital Asset Plan and Business Case Summary**

### **Part I: Summary Information And Justification (All Capital Assets)**

## **Section A: Overview (All Capital Assets)**

**1. Date of Submission:**

9/8/2009

**2. Agency:**

Social Security Administration

**3. Bureau:**

Systems

**4. Name of this Capital Asset:**

Citizen Access Routing Enterprise through 2020 (CARE through 2020)

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

016-00-01-02-01-2139-00

**6. What kind of investment will this be in FY 2010? (Please NOTE: Investments moving to O&M in FY 2010, with Planning/Acquisition activities prior to FY 2010 should not select O&M. These investments should indicate their current status.)**

Mixed Life Cycle

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

FY2009

**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:**

Approximately 80 million calls are placed to SSA's National 800 Number annually, with 30 million calls serviced by automation and 50 million by SSA agents. As the Baby Boomer generation ages, an increasing number of people will enter their most disability-prone years and begin to retire. This will increase the work load on Social Security's automation services, and Call Center agents. Through FY2012, SSA expects to see an 11% increase in OASI rolls, a 14% increase in DI rolls, and a 10% increase in SSI rolls. CARE through 2020 will be designed to handle the increase in call volumes that are currently beginning to occur and projected to continue over the life cycle of this investment.

In an Issue Brief, the Social Security Advisory Board stated that "Members of the public should be given an opportunity to communicate with SSA in a way that best meets their needs (telephone, Internet, mail, office visit), and SSA should provide high quality service without regard to which component initially receives the contact, and without regard to the mode of contact chosen." As long as SSA continues to serve the public, telephone communication must continue to be a service delivery option via automation and Call Center agents.

In support of eGov initiatives, CARE through 2020 will be an IP based network designed for future initiatives such as Web Callback, "Click to Talk", Web Collaboration, and Web Chat. These technologies will ensure claimants have additional leading-edge methods by which to communicate with SSA.

Without CARE through 2020, SSA's National 800 Number, associated automation, and agent services will cease to exist. SSA local Field Offices would need to prepare for the potential 80+ million additional visits. Field Offices and staff have been decreasing as services handled by automation and Call Centers continue to increase. Without CARE through 2020, SSA Field Offices would require an unrealistic "ramp up" in staff, training, and office space/relocation.

It is part of SSA's mission and an expectation that automation services and the option to speak with a Call Center agent will continue to exist into the foreseeable future, ensuring equal access to information for everyone.

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

Yes

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

9/27/2009

**10. Did the Project Manager review this Exhibit?**

Yes

**11. Contact information of Program/Project Manager?**

Name

Phone Number

Email

**a. What is the current FAC-P/PM (for civilian agencies) or DAWIA (for defense agencies) certification level of the program/project manager?**

Senior/Expert/DAWIA-Level 3

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

11/1/2006

**c. What date did the Program/Project Manager receive the FAC-P/PM certification? If the certification has not been issued, what is the anticipated date for certification?**

9/5/2008

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

Friday, May 08, 2009 - 4:37 PM

Yes

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

Yes

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

No

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

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

Yes

If "yes," check all that apply:

Expanded E-Government

a. Briefly and specifically describe for each selected how this asset directly supports the identified initiative(s)? (e.g. If E-Gov is selected, is it an approved shared service provider or the managing partner?)  
Citizen Access Routing Enterprise through 2020 will improve services through technology by providing infrastructure, architecture and capacity for SSA e-Gov related initiatives such as Voice over Internet Protocol (VoIP) Web Callback, "Click to Talk", Web Collaboration, and Web Chat.

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

Yes

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

Yes

b. If "yes," what is the name of the PARTed program?

10002348 - Supplemental Security Income

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

Moderately Effective

15. Is this investment for information technology?

Yes

If the answer to Question 15 is "Yes," complete questions 16-23 below. If the answer is "No," do not answer questions 16-23.

For information technology investments only:

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

Level 3

17. In addition to the answer in 11(a), what project management qualifications does the Project Manager have? (per CIO Council PM Guidance)

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

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

No

19. Is this a financial management system?

No

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

- 1. If "yes," which compliance area:
- 2. If "no," what does it address?

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

20. What is the percentage breakout for the total FY2010 funding request for the following? (This should total 100%)

Hardware	0.000000
Software	0.000000
Services	100.000000
Other	0.000000

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

N/A

22. Contact information of individual responsible for privacy related questions:

Name

Phone Number

Title

Lead Social Insurance Specialist

E-mail

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

Yes

Question 24 must be answered by all Investments:

24. Does this investment directly support one of the GAO High Risk Areas?

No

## Section B: Summary of Spending (All Capital Assets)

1. Provide the total estimated life-cycle cost for this investment by completing the following table. All amounts represent budget authority in millions, and are rounded to three decimal places. Federal personnel

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**costs should be included only in the row designated "Government FTE Cost," and should be excluded from the amounts shown for "Planning," "Full Acquisition," and "Operation/Maintenance." The "TOTAL" estimated annual cost of the investment is the sum of costs for "Planning," "Full Acquisition," and "Operation/Maintenance." For Federal buildings and facilities, life-cycle costs should include long term energy, environmental, decommissioning, and/or restoration costs. The costs associated with the entire life-cycle of the investment should be included in this report.**

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

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

	PY-1 and earlier	PY 2008	CY 2009	BY 2010	BY+1 2011	BY+2 2012	BY+3 2013	BY+4 and beyond	Total
Planning:	0	0.009	0	0					
Acquisition:	0	0	20.382	3.2					
Subtotal Planning & Acquisition:	0	0.009	20.382	3.2					
Operations & Maintenance:	0	0.009	0	28.794					
TOTAL:	0	0.018	20.382	31.994					
<b>Government FTE Costs should not be included in the amounts provided above.</b>									
Government FTE Costs	0	0	0.516	0.63					
Number of FTE represented by Costs:	0	0	4	5					

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

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

No

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

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

Last year's Summary of Spending table reflected costs to initiate a "Hybrid" solution. Since then, an executive decision was made to implement a "Hosted" solution for Citizen Access Routing Enterprise through 2020 investment. The Summary of Spending table in this year's Exhibit 300 reflects the reduced start up costs of implementing a fully "Hosted" solution instead of a "Hybrid" solution. The contract will be awarded in FY09 (end of May) through the GSA Network vehicle. Implementation will begin at the very end of FY09 and continue throughout FY10.

**Section C: Acquisition/Contract Strategy (All Capital Assets)**

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

**Contracts/Task Orders Table:**

Contract or Task Order Number	Type of Contract/ Task Order (In accordance with FAR Part 16)	Has the contract been awarded (Y/N)	If so what is the date of the award? If not, what is the planned award date?	Start date of Contract/ Task Order	End date of Contract/ Task Order	Total Value of Contract/ Task Order (\$M)	Is this an Interagency Acquisition ? (Y/N)	Is it performance based? (Y/N)	Competitively awarded? (Y/N)	What, if any, alternative financing option is being used? (ESPC, UESC, EUL, N/A)	Is EVM in the contract? (Y/N)	Does the contract include the required security & privacy clauses? (Y/N)	Name of CO	CO Contact information (phone/email)	Contracting Officer FAC-C or DAWIA Certification Level (Level 1, 2, 3, N/A)	If N/A, has the agency determined the CO assigned has the competencies and skills necessary to support this acquisition ? (Y/N)
TBD	Indefinite Delivery/Indefinite Quantity (ID/IQ)	No	4/2/2009	5/22/2009	5/22/2019	716.846	No	Yes	Yes	NA	No	Yes	Michelle Burgesen	410-965-9462 / Michelle.Burgesen@ssa.gov	Level 3	

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

SSA's earned value management (EVM) policy and implementation has been reviewed by OMB, OIG and others and deemed consistent with the intent of OMB guidance and the ANSI standards which define a compliant EVM. SSA performs the vast majority of our work in-house, and thus conducts EVM and program management at the total program level which includes both Government costs and support contracts. The inclusion of earned value in SSA contracts is based on the type of contract let, the services performed, and the date when the contract was let. When applicable per policy, earned value management requirements are applied to SSA contractors in one of two ways. The first is to require the contractor to satisfy requirements utilizing their own earned value management system (EVMS) in accordance with FAR 52.234. The second is for the contractor to provide necessary data directly into SSA's in-house EVMS.

The CARE through 2020 program contracts will be for services containing little risk to the Agency. SSA will perform program level (in-house) EVM on CARE through 2020 including the contracted portions. All necessary cost, schedule and performance data will be provided by the contractor and reflected in SSA EVM reports.

**3. Do the contracts ensure Section 508 compliance?**

Yes

**a. Explain why not or how this is being done?**

SSA ensures that any applicable IT requirements comply with Section 508 standards. The SSA includes Section 508 contract clauses and evaluation criteria in its solicitations and contracts as appropriate and ensures during the review of technical proposals that offerers are fully compliant or as compliant as possible based on the state of the technology in the marketplace. This is accomplished through review of technical documentation as well as through actual testing of the product.

**4. Is there an acquisition plan which reflects the requirements of FAR Subpart 7.1 and has been approved in accordance with agency requirements?**

Yes

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

9/5/2008

**1. Is it Current?**

Yes

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

**1. If "no," briefly explain why:**

## Section D: Performance Information (All Capital Assets)

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

Agencies must use the following table to report performance goals and measures for the major investment and use the Federal Enterprise Architecture (FEA) Performance Reference Model (PRM). Map all Measurement Indicators to the corresponding "Measurement Area" and "Measurement Grouping" identified in the PRM. There should be at least one Measurement Indicator for each of the four different Measurement Areas (for each fiscal year). The PRM is available at [www.egov.gov](http://www.egov.gov). The table can be extended to include performance measures for years beyond the next President's Budget.

**Performance Information Table**

Fiscal Year	Strategic Goal(s) Supported	Measurement Area	Measurement Category	Measurement Grouping	Measurement Indicator	Baseline	Target	Actual Results
2008	Service - To deliver high-quality, citizen-centered service	Customer Results	Customer Benefit	Customer Satisfaction	Percent of individuals who do business with SSA rating the overall service as excellent, very good, or good	FY2007 Actual - 81%	83%	Actual results will be available in FY2009
2008	Service - To deliver high-quality, citizen-centered service	Customer Results	Service Accessibility	Service Availability	Improve service to the public by optimizing the 800-number busy rate for calls offered to Agents	10% Busy Rate	10%	FY 2007 Actual - 8% (FY2008 Actual results will be available in FY2009)
2008	Service - To deliver high-quality, citizen-centered service	Customer Results	Timeliness and Responsiveness	Response Time	Improve service to the public by optimizing the speed in answering 800-number calls	330 seconds	330 seconds	FY 2007 Actual - 250 seconds (FY2008 Actual results will be available in FY2009)
2008	Stewardship - To	Mission and	Human Resource	Staff Acquisition	Automate the	FY2007 -	50% of	Actual results

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Fiscal Year	Strategic Goal(s) Supported	Measurement Area	Measurement Category	Measurement Grouping	Measurement Indicator	Baseline	Target	Actual Results
	ensure superior stewardship of Social Security programs and resource	Business Results	Management		verification of employers' current or former employee's name and SSN for accurate wage reporting. This allows SSA to properly credit employees' earnings records.	approximately 1 million SSN verifications were done by agents.	employee SSN verifications to be done through the automated telephone verification	will be available in FY2009
2008	Stewardship - To ensure superior stewardship of Social Security programs and resource	Processes and Activities	Productivity	Efficiency	Percent of decrease in queue abandons through use of Scheduled Voice Call back (SVC) application	6.3%	5.3%	FY2007 Actual - 6.3% (FY2008 Actual results will be available in FY2009)
2008	Service - To deliver high-quality, citizen-centered service	Technology	Reliability and Availability	Availability	Achieve a high availability of Computer Telephony Integration (CTI) applications	97%	90% availability	Actual results will be available in FY2009
2009	Service - To deliver high-quality, citizen-centered service	Customer Results	Customer Benefit	Customer Satisfaction	Percent of individuals who do business with SSA rating the overall service as excellent, very good, or good	FY2007 Actual - 81%	83%	Actual results will be available in FY2010
2009	Service - To deliver high-quality, citizen-centered service	Customer Results	Service Accessibility	Service Availability	Improve service to the public by optimizing the 800-number busy rate for calls offered to Agents	10% Busy Rate	10%	Actual results will be available in FY2010
2009	Service - To deliver high-quality, citizen-centered service	Customer Results	Timeliness and Responsiveness	Response Time	Improve service to the public by optimizing the speed in answering 800-number calls	330 seconds	330 seconds	Actual results will be available in FY2010
2009	Stewardship - To ensure superior stewardship of Social Security programs and resource	Mission and Business Results	Human Resource Management	Staff Acquisition	Automate the verification of employers' current or former employee's name and SSN for accurate wage reporting. This allows SSA to properly credit employees' earnings records.	FY2007 - approximately 1 million SSN verifications were done by agents.	50% of employee SSN verifications to be done through the automated telephone verification	Actual results will be available in FY2010
2009	Stewardship - To ensure superior stewardship of Social Security programs and resource	Processes and Activities	Productivity	Efficiency	Percent of decrease in queue abandons through use of Scheduled Voice Call back (SVC) application	6.3%	5.3%	Actual results will be available in FY2010
2009	Service - To deliver high-quality, citizen-centered service	Processes and Activities	Productivity	Efficiency	Achieve high success rate with the Transfer of Voice Data (TVDC) application. The application will decrease the amount of time callers spend in multiple automated service applications that collect information such	FY2007 - Currently, common data must be entered into each application separately	To have common data propagate to multiple applications successfully 50% of the time. (TVDC application to be implemented early FY09.)	Actual results will be available in FY2010

Exhibit 300: Citizen Access Routing Enterprise through 2020 (CARE through 2020) (Revision 16)

Fiscal Year	Strategic Goal(s) Supported	Measurement Area	Measurement Category	Measurement Grouping	Measurement Indicator	Baseline	Target	Actual Results
					as name, address + telephone number			
2009	Service - To deliver high-quality, citizen-centered service	Technology	Reliability and Availability	Reliability	Achieve a high availability of Computer Telephony Integration (CTI) applications	97%	90% availability	Actual results will be available in FY2010
2010	Service - To deliver high-quality, citizen-centered service	Customer Results	Customer Benefit	Customer Satisfaction	Percent of individuals who do business with SSA rating the overall service as excellent, very good, or good	FY2007 Actual - 81%	83%	Actual results will be available in FY2011
2010	Service - To deliver high-quality, citizen-centered service	Customer Results	Service Accessibility	Service Availability	Improve service to the public by optimizing the 800-number busy rate for calls offered to Agents	10% Busy Rate	10%	Actual results will be available in FY2011
2010	Service - To deliver high-quality, citizen-centered service	Customer Results	Timeliness and Responsiveness	Response Time	Improve service to the public by optimizing the speed in answering 800-number calls	330 seconds	330 seconds	Actual results will be available in FY2011
2010	Stewardship - To ensure superior stewardship of Social Security programs and resource	Mission and Business Results	Human Resource Management	Staff Acquisition	Automate the verification of employers' current or former employee's name and SSN for accurate wage reporting. This allows SSA to properly credit employees' earnings records.	FY2007 - approximately 1 million SSN verifications were done by agents.	50% of employee SSN verifications to be done through the automated telephone verification	Actual results will be available in FY2011
2010	Service - To deliver high-quality, citizen-centered service	Mission and Business Results	Information and Technology Management	Information Management	Centralized and Integrated Reporting	FY2007 - three different systems are used to access call center reporting	Integration of SSA call center reporting into one unified application to promote better data integrity. 100% of staff will use the new system. Staff includes managers, Headquarters employees, Regional staff, and call center staff.	Actual results will be available in FY2011
2010	Stewardship - To ensure superior stewardship of Social Security programs and resource	Processes and Activities	Productivity	Efficiency	Percent of decrease in queue abandons through use of Scheduled Voice Call back (SVC) application	6.3%	5.3%	Actual results will be available in FY2011
2010	Service - To deliver high-quality, citizen-centered service	Processes and Activities	Productivity	Efficiency	Increase success rate of the Transfer of Voice Data (TVDC) application. The application will decrease the amount of time callers spend in multiple automated service applications that collect information such as name,	FY2007 - Currently, common data must be entered into each application separately	To have common data propagate to multiple applications successfully 50% of the time.	Actual results will be available in FY2011

Exhibit 300: Citizen Access Routing Enterprise through 2020 (CARE through 2020) (Revision 16)

Fiscal Year	Strategic Goal(s) Supported	Measurement Area	Measurement Category	Measurement Grouping	Measurement Indicator	Baseline	Target	Actual Results
					address & telephone number			
2010	Service - To deliver high-quality, citizen-centered service	Technology	Reliability and Availability	Reliability	Maintain a 97% or higher availability of Computer Telephony Integration (CTI) applications	97%	97% availability	Actual results will be available in FY2011

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

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

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

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

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

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

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

Yes

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

0.30

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

Yes

### 3. Systems in Planning and Undergoing Enhancement(s), Development, and/or Modernization - Security Table(s):

Name of System	Agency/ or Contractor Operated System?	Planned Operational Date	Date of Planned C&A update (for existing mixed life cycle systems) or Planned Completion Date (for new systems)
Enterprise Wide Area Network & Services System	Government Only	7/18/2009	7/18/2009

### 4. Operational Systems - Security Table:

Name of System	Agency/ or Contractor Operated System?	NIST FIPS 199 Risk Impact level (High, Moderate, Low)	Has C&A been Completed, using NIST 800-37? (Y/N)	Date Completed: C&A	What standards were used for the Security Controls tests? (FIPS 200/NIST 800-53, Other, N/A)	Date Completed: Security Control Testing	Date the contingency plan tested
Enterprise Wide Area Network & Services System	Government Only	Moderate	yes	7/18/2006	FIPS 200 / NIST 800-53	6/27/2008	1/12/2008

**5. Have any weaknesses, not yet remediated, related to any of the systems part of or supporting this investment been identified by the agency or IG?**

Yes

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

Yes

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

No

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

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

This is not a contractor system.

**8. Planning & Operational Systems - Privacy Table:**

(a) Name of System	(b) Is this a new system? (Y/N)	(c) Is there at least one Privacy Impact Assessment (PIA) which covers this system? (Y/N)	(d) Internet Link or Explanation	(e) Is a System of Records Notice (SORN) required for this system? (Y/N)	(f) Internet Link or Explanation
Enterprise Wide Area Network and Services System	No	Yes	The System does not require a PIA under the E-Gov. Act of 2002 as it collects, maintains, or disseminates personally identifiable information (PII) only about employees and contractors. The CARE 2020 investment is in the pre-acquisition stage. The PII content as it pertains to members of the public will be determined at a later stage. <a href="http://www.socialsecurity.gov/foia/html/pia.htm">http://www.socialsecurity.gov/foia/html/pia.htm</a>	Yes	Although this major IT Investment itself does not require a Privacy Act SORN, this System is covered by a Privacy Act SORN. <a href="http://frwebgate5.access.gpo.gov/cgi-bin/waisgate.cgi?WAISdocID=892243506305+0+0+0&amp;WAIAction=retrieve">http://frwebgate5.access.gpo.gov/cgi-bin/waisgate.cgi?WAISdocID=892243506305+0+0+0&amp;WAIAction=retrieve</a> [SOR 60-0241 - Personal Identification Number (PINFile): 59 F.R. 46441, September 8, 1994]
<p><b>Details for Text Options:</b></p> <p>Column (d): If yes to (c), provide the link(s) to the publicly posted PIA(s) with which this system is associated. If no to (c), provide an explanation why the PIA has not been publicly posted or why the PIA has not been conducted.</p> <p>Column (f): If yes to (e), provide the link(s) to where the current and up to date SORN(s) is published in the federal register. If no to (e), provide an explanation why the SORN has not been published or why there isn't a current and up to date SORN.</p> <p>Note: Working links must be provided to specific documents not general privacy websites. Non-working links will be considered as a blank field.</p>					

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

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

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

Yes

a. If "no," please explain why?

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

Yes

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

Call Center Network Solution (CCNS)

b. If "no," please explain why?

**3. Is this investment identified in a completed and approved segment architecture?**

Yes

a. If "yes," provide the six digit code corresponding to the agency segment architecture. The segment architecture codes are maintained by the agency Chief Architect. For detailed guidance regarding segment architecture codes, please refer to <http://www.egov.gov>.

002-000

**4. Service Component Reference Model (SRM) Table:**

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

Agency Component Name	Agency Component Description	FEA SRM Service Domain	FEA SRM Service Type	FEA SRM Component (a)	Service Component Reused Name (b)	Service Component Reused UPI (b)	Internal or External Reuse? (c)	BY Funding Percentage (d)
CARE through 2020	Citizen Access Routing Enterprise through 2020 is the component that allows citizens to conduct business with Social Security through SSA's National 800 Number by utilizing the automation services and/or conversing with agents located in Social Security call centers.	Support Services	Communication	Voice Communications	Voice Communications		Internal	100

- a. Use existing SRM Components or identify as "NEW". A "NEW" component is one not already identified as a service component in the FEA SRM.
- b. A reused component is one being funded by another investment, but being used by this investment. Rather than answer yes or no, identify the reused service component funded by the other investment and identify the other investment using the Unique Project Identifier (UPI) code from the OMB Ex 300 or Ex 53 submission.
- c. 'Internal' reuse is within an agency. For example, one agency within a department is reusing a service component provided by another agency within the same department. 'External' reuse is one agency within a department reusing a service component provided by another agency in another department. A good example of this is an E-Gov initiative service being reused by multiple organizations across the federal government.
- d. Please provide the percentage of the BY requested funding amount used for each service component listed in the table. If external, provide the percentage of the BY requested funding amount transferred to another agency to pay for the service. The percentages in the column can, but are not required to, add up to 100%.

**5. Technical Reference Model (TRM) Table:**

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

FEA SRM Component (a)	FEA TRM Service Area	FEA TRM Service Category	FEA TRM Service Standard	Service Specification (b) (i.e., vendor and product name)
Voice Communications	Service Access and Delivery	Service Transport	Service Transport	Pending award

- a. Service Components identified in the previous question should be entered in this column. Please enter multiple rows for FEA SRM Components supported by multiple TRM Service Specifications
- b. In the Service Specification field, agencies should provide information on the specified technical standard or vendor product mapped to the FEA TRM Service Standard, including model or version numbers, as appropriate.

**6. Will the application leverage existing components and/or applications across the Government (i.e., USA.gov, Pay.Gov, etc)?**

No

- a. If "yes," please describe.

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

**Section A: Alternatives Analysis (All Capital Assets)**

Part II should be completed only for investments identified as "Planning" or "Full Acquisition," or "Mixed Life-Cycle" investments in response to Question 6 in Part I, Section A above. In selecting the best capital asset, you should identify and consider at least three viable alternatives, in addition to the current baseline, i.e., the status quo. Use OMB Circular A-94 for all investments and the Clinger Cohen Act of 1996 for IT investments to determine the criteria you should use in your Benefit/Cost Analysis.

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

Yes

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

7/30/2008

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

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

**2. Alternative Analysis Results:**

Use the results of your alternatives analysis to complete the following table: \* Costs in millions

Alternative Analyzed	Description of Alternative	Risk Adjusted Lifecycle Costs estimate	Risk Adjusted Lifecycle Benefits estimate
Alternative 1 - Hosted Solution	With a Hosted Solution, all of the components, equipment, and applications are housed, owned, and provided by a vendor as a full service solution.	716.846	124.5
Alternative 2 - Hybrid Solution	With a Hybrid Solution, some of the components, equipment, and applications are housed, owned, and provided by the Social Security Administration and some by a vendor.	742.544	93.214
Alternative 3 - Premises Solution	With a Premises Solution all of the components, equipment, and applications are housed, owned, and provided by the Social Security Administration.	686.474	15.22
Alternative 4 - Status Quo	Do not procure a replacement solution and let the existing contracts expire in Aug 2010; at which time SSA's National 800 Number and associated call centers and automation services would cease to function, forcing the 80 million callers per year to be fully serviced by Field Offices.	4482.045	0

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

For the Citizen Access Routing Enterprise through 2020 (CARE through 2020) investment, the Social Security Administration has selected Alternative 1, a Hosted Solution based upon an architecture outlined in the Alternatives Analysis document. Although Alternative 3, a Premises Solution, shows a slightly lower life cycle cost, the significantly higher up front costs as well as the burden of ownership and the risk associated with an infrastructure build out, installation, and configuration, make it an undesirable choice. As a "Services" based solution, the Alternative

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1 Hosted Solution minimizes SSA's resource risks while providing a cost effective alternative solution. While Alternative 1 Hosted Solution does not reach a break even point, it does yield the agency with \$124.5 million worth of benefits, which is considerably higher than any other alternative.

Another consideration for the selection of Alternative 1 Hosted Solution is that it transfers all of the Disaster Recovery and Business Continuity responsibility to the vendor, whereas Alternatives 2 and 3 place some, if not all of the Disaster Recovery burden on the Social Security Administration. Alternatives 2 and 3 would also require an increase in workforce, whereas selected Alternative 1 Hosted Solution provides a substantial cost avoidance (lifecycle benefits) by not requiring this increase in workforce.

Additionally, the Alternative 1 Hosted solution architecture provides the significantly more robust solution that the SSA is seeking for the life cycle of this investment, and allows the SSA to include its National 800 Number Network and associated automation processes in the new CARE through 2020 contract. This acquisition will utilize technical solutions available from GSA administered contracts.

Alternative 4, Status Quo, was not selected because it eliminates without replacement SSA's National 800 Number, associated automation, and agent services. SSA local Field Offices are not prepared to absorb the potential flood of 80+ million additional visits currently handled by SSA's National 800 Number automation and agent services. This would require an immediate and unrealistic "ramp up" in staffing, training, and Field Office space/relocation. The recent trend of decreasing Field Offices and staff in lieu of increasing services handled by automation and Call Centers significantly adds to the improbability of the Field Offices to service the additional traffic.

**a. What year will the investment breakeven? (Specifically, when the budgeted costs savings exceed the cumulative costs.)**

Beyond 2021

**4. What specific qualitative benefits will be realized?**

The expiring contracts currently in place for SSA's National 800 Number's call centers and automation are "Service" type solutions. This model has worked well for SSA. Alternative 1, a Hosted Solution most closely resembles the expiring "Service" type model in place today. The Citizen Access Routing Enterprise through 2020 (CARE through 2020) "Hosted Solution" will provide a smooth transition while enabling IP technology and features, on a state of the art infrastructure designed to remain that way for the life of the contract.

Additionally, the Social Security Administration's technical requirements were part of the base GSA contract due to the SSA's subject matter expert's involvement in the development of the Network contract Request For Proposal (RFP). Because of this participation with GSA and the Network contract, Alternative 1 Hosted Solution has the least exposure to technology obsolescence. Technology adoption will be driven by market demands, and will be up to date with a new acquisition at the end of the contract term.

In support of eGov initiatives, CARE through 2020 will be an IP based network designed for future initiatives such as Web Callback, "Click to Talk", Web Collaboration, and Web Chat.

CARE through 2020 will improve service to the public by optimizing the speed in answering 800-number calls, and the busy rate for calls offered to Agents.

CARE through 2020 will provide the automation necessary to verify employers' current or former employee's name and SSN for accurate wage reporting, and thus allow SSA to properly credit employees' earnings records.

CARE through 2020 will also provide a Scheduled Voice Call back (SVC) application to promote a decrease in queue abandons, and a Transfer of Voice Data (TVDC) application to propagate common data and decrease the amount of time callers spend in multiple automated service applications. Both of these applications are a time saving/service benefit to the caller as well as an efficiency/resource benefit to SSA.

A large percentage of the SSA's overall service rating is based upon the SSA's National 800 Number automation and agent services. It is part of SSA's mission and an expectation that automation services and the option to speak with a Call Center agent will continue to exist into the foreseeable future, ensuring equal access to information for everyone.

**5. Federal Quantitative Benefits**

What specific quantitative benefits will be realized (using current dollars) Use the results of your alternatives analysis to complete the following table:

	Budgeted Cost Savings	Cost Avoidance	Justification for Budgeted Cost Savings	Justification for Budgeted Cost Avoidance
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	Budgeted Cost Savings	Cost Avoidance	Justification for Budgeted Cost Savings	Justification for Budgeted Cost Avoidance
PY - 1 2007 & Prior	0	0		N/A - investment not present then.
PY 2008	0	0		Investment was in planning state.
CY 2009	0	59.76		The selected alternative (Alternative 1 Hosted) provides a disaster recovery cost avoidance of 59.76 million dollars, one time cost.
BY 2010	0	6.474		The cost of 65 Full Time Employees for ongoing management and operations is avoided each year over the life of the contract; which is expected to extend through FY2019.
BY + 1 2011	0			The cost of 65 Full Time Employees for ongoing management and operations is avoided each year over the life of the contract; which is expected to extend through FY2019.
BY + 2 2012	0			The cost of 65 Full Time Employees for ongoing management and operations is avoided each year over the life of the contract; which is expected to extend through FY2019.
BY + 3 2013	0			The cost of 65 Full Time Employees for ongoing management and operations is avoided each year over the life of the contract; which is expected to extend through FY2019.
BY + 4 2014 & Beyond	0			The cost of 65 Full Time Employees for ongoing management and operations is avoided each year over the life of the contract; which is expected to extend through FY2019.
Total LCC Benefit	0		LCC = Life-cycle Cost	

**6. Will the selected alternative replace a legacy system in-part or in-whole?**

No

a. If "yes," are the migration costs associated with the migration to the selected alternative included in this investment, the legacy investment, or in a separate migration investment?

b. If "yes," please provide the following information:

**5b. List of Legacy Investment or Systems**

Name of the Legacy Investment or Systems	UPI if available	Date of the System Retirement
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**Section B: Risk Management (All Capital Assets)**

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

**1. Does the investment have a Risk Management Plan?**

Yes

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

7/30/2008

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

Yes

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

Last year this investment was in a pre-planning stage and a Risk Management Plan had not been completed. Since that time, a Risk Management Plan was completed and revised to reflect the combination of SSA's National 800 Number Network (N8NN) and SSA's Call Center Network Services (CCNS) for the Citizen Access Routing Enterprise through 2020 (CARE through 2020) investment.

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

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

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

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

SSA's baselines are risk adjusted in terms of both life cycle schedule and resource estimates. Factors considered in determining baseline risk adjustments include: identification of known and types of unknown program and technology risks, the likelihood of occurrence, the impact in the event the risk occurs, and the mitigation strategy adopted to manage each risk. Since SSA performs IT work in-house program cost and schedule estimates are developed internally. SSA estimators have at their disposal parametric data and numerous sizing and estimating tools which offer an excellent basis to assess and account for 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 they are required.

The planned use of an Indefinite Delivery/Indefinite Quantity (ID/IQ) contract will allow the CARE through 2020 investment the flexibility to phase in technological components such as Web Callback, "Click to Talk", Web Collaboration, and Web Chat at the appropriate time rather than purchasing all components at the beginning of the life cycle. This is accomplished through pre-scoped options in the ID/IQ contract.

**Section C: Cost and Schedule Performance (All Capital Assets)**

EVM is required only on DME portions of investments. For mixed lifecycle investments, O&M milestones should still be included in the table (Comparison of Initial Baseline and Current Approved Baseline). This table should accurately reflect the milestones in the initial baseline, as well as milestones in the current baseline.

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

Yes

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

No

a. If "yes," was it the CV or SV or both?

b. If "yes," explain the causes of the variance:

c. If "yes," describe the corrective actions:

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

Yes

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

5/30/2008

**4. Comparison of Initial Baseline and Current Approved Baseline**

Complete the following table to compare actual performance against the current performance baseline and to the initial performance baseline. In the Current Baseline section, for all milestones listed, you should provide both the baseline and actual completion dates (e.g., "03/23/2003"/ "04/28/2004") and the baseline and actual total costs (in \$ Millions). In the event that a milestone is not found in both the initial and current baseline, leave the associated cells blank. Note that the 'Description of Milestone' and 'Percent Complete' fields are required. Indicate 'O' for any milestone no longer active.

Milestone Number	Description of Milestone	Initial Baseline		Current Baseline				Current Baseline Variance		Percent Complete
		Planned Completion Date (mm/dd/yyyy)	Total Cost (\$M) Estimated	Completion Date (mm/dd/yyyy)		Total Cost (\$M)		Schedule (# days)	Cost (\$M)	
				Planned	Actual	Planned	Actual			
1	CARE through 2020 FY08	9/30/2008	\$1.233200	9/30/2008	7/31/2008	\$0.231000	\$0.208500	0	-\$0.004400	88.40%
1.1	Acquisition Planning - draft SOW, acquisition vehicle, deployment method, budget planning, cost benefit analysis, systems procurement request	6/30/2008	\$0.797042	6/30/2008	6/30/2008	\$0.149300	\$0.152300	0	-\$0.003100	100.00%
1.2	Requirements - internal requirements review, pre award intergration, preparation for phase one	5/31/2008	\$0.141471	5/31/2008	5/31/2008	\$0.026500	\$0.026500	0	\$0.000000	100.00%
1.3	Acquisition activities GSA/DITM/OAG - SOW, GSA Networx Universal Scope determination, concurrent SOW review final	7/31/2008	\$0.151614	7/31/2008	7/31/2008	\$0.028400	\$0.029700	0	-\$0.001300	100.00%
1.4	Contracting activities - OAG review of RFP, issue RFP, source selection preparation	9/30/2008	\$0.143073	9/30/2008		\$0.026800		0	\$0.000000	0.00%
2	CARE through 2020 FY09	9/30/2009	\$53.805100	9/30/2009		\$0.653300		0	\$0.000000	0.00%
2.1	Contracting activities - offeror questions, review proposals, tech eval, cost eval, BAFO, prepare contract, CO signature	4/30/2009	\$24.242387	4/30/2009		\$0.294300		0	\$0.000000	0.00%

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Milestone Number	Description of Milestone	Initial Baseline		Current Baseline				Current Baseline Variance		Percent Complete
		Planned Completion Date (mm/dd/yyyy)	Total Cost (\$M) Estimated	Completion Date (mm/dd/yyyy)		Total Cost (\$M)		Schedule (# days)	Cost (\$M)	
				Planned	Actual	Planned	Actual			
2.2	Implementation Agent Services - kickoff, security clearance, core surveys, SDP services, core buildout, site surveys, SDP buildout	9/30/2009	\$4.742552	9/30/2009		\$0.057600		0	\$0.000000	0.00%
2.3	Implementation Automated Services - user interface documents, speech recognition development, security architecture, vocabulary and tuning	9/30/2009	\$3.899967	9/30/2009		\$0.047300		0	\$0.000000	0.00%
2.4	Informational Messages Development	9/30/2009	\$3.249972	9/30/2009		\$0.039400		0	\$0.000000	0.00%
2.5	Pamphlets Development	9/30/2009	\$2.439486	9/30/2009		\$0.029600		0	\$0.000000	0.00%
2.6	Forms Development	9/30/2009	\$3.249972	9/30/2009		\$0.039400		0	\$0.000000	0.00%
2.7	Host Applications Development	9/30/2009	\$7.278333	9/30/2009		\$0.088400		0	\$0.000000	0.00%
2.8	Forward On Busy Development	6/30/2009	\$1.460481	6/30/2009		\$0.017800		0	\$0.000000	0.00%
2.9	Agent Transfer/After Hours Message	7/31/2009	\$0.810487	7/31/2009		\$0.009900		0	\$0.000000	0.00%
2.10	Interactive Transcription Development	8/31/2009	\$1.620974	8/31/2009		\$0.019700		0	\$0.000000	0.00%
2.11	Manual Transcription Development	9/30/2009	\$0.810489	9/30/2009		\$0.009900		0	\$0.000000	0.00%
3	CARE through 2020 FY10	9/30/2010	\$31.883100	9/30/2010		\$68.757900		0	\$0.000000	0.00%
3.1	Implementation Site Installs	6/30/2010	\$15.345891	6/30/2010		\$33.089500		0	\$0.000000	0.00%
3.2	Implementation Automated Services	1/31/2010	\$8.190196	1/31/2010		\$17.661600		0	\$0.000000	0.00%
3.2.1	Main Menu Services Development	10/30/2009	\$4.095098	10/30/2009		\$8.830800		0	\$0.000000	0.00%
3.2.2	Informational Messages Development	1/31/2010	\$4.095098	1/31/2010		\$8.830800		0	\$0.000000	0.00%
3.3	Pamphlets Development	1/31/2010	\$0.100463	1/31/2010		\$0.220100		0	\$0.000000	0.00%
3.4	Host Application Development	6/30/2010	\$8.190196	6/30/2010		\$17.661700		0	\$0.000000	0.00%
3.5	Disconnection	9/30/2010	\$0.056354	9/30/2010		\$0.125000		0	\$0.000000	0.00%
4	CARE through 2020 FY11	9/30/2011		9/30/2011				0	\$0.000000	0.00%

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Milestone Number	Description of Milestone	Initial Baseline		Current Baseline				Current Baseline Variance		Percent Complete
		Planned Completion Date (mm/dd/yyyy)	Total Cost (\$M) Estimated	Completion Date (mm/dd/yyyy)		Total Cost (\$M)		Schedule (# days)	Cost (\$M)	
				Planned	Actual	Planned	Actual			
4.1	Disconnection	12/31/2010		12/31/2010				0	\$0.000000	0.00%
4.2	Operation & Support	9/30/2011		9/30/2011				0	\$0.000000	0.00%
5	CARE through 2020 FY12	9/30/2012		9/30/2012				0	\$0.000000	0.00%
6	CARE through 2020 FY13	9/30/2013		9/30/2013				0	\$0.000000	0.00%
7	CARE through 2020 FY14	9/30/2014		9/30/2014				0	\$0.000000	0.00%
8	CARE through 2020 FY15	9/30/2015		9/30/2015				0	\$0.000000	0.00%
9	CARE through 2020 FY16	9/30/2016		9/30/2016				0	\$0.000000	0.00%
10	CARE through 2020 FY17	9/30/2017		9/30/2017				0	\$0.000000	0.00%
11	CARE through 2020 FY18	9/30/2018		9/30/2018				0	\$0.000000	0.00%
12	CARE through 2020 FY19	9/30/2019		9/30/2019				0	\$0.000000	0.00%
<b>Project Totals</b>		<b>9/30/2019</b>		<b>9/30/2019</b>	<b>7/31/2008</b>					<b>0.03%</b>