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:
9/8/2008
2. Agency:
Social Security Administration
3. Bureau:
Systems
4. Name of this Capital Asset:
DDS Automation
5. Unique Project (Investment) Identifier: (For IT investment only, see section 53. For all other, use agency ID system.)
016-00-01-02-01-2125-00
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?
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:
The Social Security Act mandates that a Disability Determination Service (DDS) office in each State perform determinations of disability for residents who file for disability benefits. DDS Automation investments, which are entirely federally funded, are necessary for hardware and software maintenance and enhancements, integration services and other support services required to maintain the goal of providing equitable service and efficient claims processing. The initial step, completed in FY04, was the migration to a standard hardware platform (IBM iSeries) for all DDSs.

DDS legacy systems software has been incrementally enhanced to keep pace with HQ systems modifications and is rolled out as version releases on a regional basis. The overarching intent is to improve the efficiency of claims processing.

Ongoing investment in DDS Automation is required for the Agency to take advantage of advancements being made through its Intelligent Disability (ID) initiative such as "Quick Disability Determination" (QDD), which introduced the use of automation tools to screen cases in 2008. To date, 93% of QDD allowances are made within 20 days. This promises to have a significant impact on reducing backlogs. Additionally, DDS Automation supports Intelligent Disability initiatives such as Health IT and Case Analysis Tools (eCAT).

DDS Automation is part of a coordinated effort across SSA to develop and implement the common Disability Case Processing System (DCPS) that will provide common functionality and consistently support the business processes of DDSs nationwide Thus, it is actually the status quo in FY10 DCPS Exhibit 300's Alternatives Analysis section and will be retired once the DCPS implementation is complete in approximately FY 2014.

By maintaining the existing systems until the DCPS rollout is complete, DDS Automation will allow SSA to meet the "Expanding E-Gov" initiative by maintaining the foundation for a completely electronic disability claims process. Additionally, it provides DDSs with state of the art technology required to collect, process, maintain, share, transmit, disseminate, store and retrieve claimant information efficiently and electronically. Thus it enables staff to better meet workload goals and supports SSA's strategic goals of "delivering high quality, citizen-centered service" and "ensuring superior stewardship of programs and resources".

9. Did the Agency's Executive/Investment Committee approve this request?
Yes
a. If "yes," what was the date of this approval?
8/4/2008
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?

3/1/2006

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?

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?)

Consistent with the President's Management Agenda this project enhances the Agency's service delivery to the disabled public by ensuring that State DDSs have up-to-date IT systems required to track and manage workloads; initiate, track and manage evidence of record and consultations. The project maintains the electronic foundation on which SSA is building a completely electronic disability claims process that reduces paperwork significantly and supports the Government Paperwork Elimination Act.

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 a PART review?

Yes

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

10000370 - Social Security Disability Insurance

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 FFMIA 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

5.600000

Software

83.100000

Services

11.300000

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 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	0	0					
Acquisition:	98.64	21.822	16.791	12.522					
Subtotal Planning & Acquisition:	98.64	21.822	16.791	12.522					
Operations & Maintenance:	20.19	5.457	8.983	12.516					
TOTAL:	118.83	27.279	25.774	25.038					
Government FTE Costs should not be included in the amounts provided above.									
Government FTE Costs	13.045	4.21	2.517	0.392					
Number of FTE represented by Costs:	133	28	52	52					

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:

The difference in funding between the BY08 submission for FY08 and the BY09 submission for FY08 may be attributed to three factors, an increase in the monies made directly available to States for peripheral procurements required to support their activities, the inclusion of funds required for server maintenance which were accounted for in the infrastructure investment last year, and increased costs for the vendors contracts that support the legacy systems.

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)
Versa - SS00-06-60144	Firm Fixed Price	Yes	9/29/2006	9/29/2006	9/28/2011	28.020066	No	Yes	No	NA	No	Yes	Burgesen, Michelle	410-965-9462 / michelle.burgesen@ssa.gov	Level 3	
Levy - SS00-06-60143	Firm Fixed Price	Yes	9/30/2006	9/30/2006	9/29/2011	79.319579	No	Yes	No	NA	No	Yes	Burgesen, Michelle	410-965-9462 / michelle.burgesen@ssa.gov	Level 3	
IBM - SS00-08-40004	Blanket Purchase Agreement (BPA)	Yes	9/27/2007	10/1/2007	9/30/2012	50	No	No	Yes	NA	No	Yes	Burgesen, Michelle	410-965-9462 / michelle.burgesen@ssa.gov	Level 3	
LM - SS00-05-60011 Task Order 4-890	Task-based Indefinite Delivery/Indefinite Quantity (ID/IQ) Time + Materials (T+M) Task Order	Yes	9/30/2007	9/30/2007	9/29/2008	1.554	No	Yes	Yes	NA	No	Yes	Burgesen, Michelle	410-965-9462 / michelle.burgesen@ssa.gov	Level 3	
LM - SS00-05-60011 Task Orders TBD	Task-based Indefinite Delivery/Indefinite Quantity (ID/IQ) Time + Materials (T+M) Task Order	No	9/30/2008	9/30/2008	9/29/2011	1.002	No	Yes	Yes	NA	No	Yes	Burgesen, Michelle	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.

An example of the second case is the Lockheed Martin (LM) AWSSC Task Order contract where LM provides SSA with IT labor support. AWSSC task orders are issued annually on a fixed hour and dollar basis with very detailed work scopes, deliverables and schedules. In these scenarios SSA realizes efficiency advantages by mandating that LM utilize SSA's EVMS, which includes more consolidated and consistent tracking of program level resources and lower contractor costs. SSA's IT Advisory Board allocates these contractors to projects at the same time that it allocates Federal IT employees to the same projects. This is due to the fact that these contractors work side by side with federal employees, charge to the same work break down codes and perform the same work according to SSA mandated schedules, budgets and scope agreements. SSA has an in-house, program level EVMS that produces data attributable to the component and sub-component levels, thereby enabling these contractor's efforts to be easily separately monitored. The LM AWSSC Task Order contract also has many related progress, schedule and cost monitoring tools. Finally, instead of having contractor reporting be a month behind government reporting (as the case would be if we waited for separate contractor EVM reports) this process allows for expedited time reporting. Similarly, Versa and Levy also provide all needed data for SSA program level EVM reporting requirements.

AWSSC task orders are issued in annual fixed hour and dollar increments with very detailed work scope, deliverables and schedules.

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. 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	Service Coverage	Service Efficiency	Minimize average processing time for initial disability claims to provide timely decisions	A new measure	107 days	Actual results will be available in FY 2009
2008	Service - To	Customer	Service	Service	Percent of initial	FY 2007 Actual	100%	Actual results

Fiscal Year	Strategic Goal(s) Supported	Measurement Area	Measurement Category	Measurement Grouping	Measurement Indicator	Baseline	Target	Actual Results
	deliver high-quality, citizen-centered service	Results	Coverage	Efficiency	disability claims receipts processed by the Disability Determination Services up to the budgeted level	100.2% (2,529,721)	(2,582,000)	will be available in FY 2009
2008	Stewardship - To ensure superior stewardship of Social Security programs and resource	Mission and Business Results	Controls and Oversight	Corrective Action	Number of periodic continuing disability reviews processed to determine continuing entitlement based on disability to help ensure payment accuracy	FY 2007 Actual - 764,852	1,065,000	Actual results will be available in FY 2009
2008	Service - To deliver high-quality, citizen-centered service	Processes and Activities	Quality	Errors	Disability Determination Services initial net accuracy rate	FY 2007 Actual - 97%	97%	Actual results will be available in FY 2009
2008	Service - To deliver high-quality, citizen-centered service	Processes and Activities	Quality	Errors	Disability Determination Services initial net accuracy rate on Quick Disability Determination (QDD)	99%	99%	Actual results will be available in FY 2009
2008	Stewardship - To ensure superior stewardship of Social Security programs and resource	Technology	Reliability and Availability	Availability	Availability of core applications	Ensure core applications are available at least 99% of the time during the business day.	Ensure core applications are available at least 99% of the time during the business day.	Actual results will be available in FY 2009
2009	Service - To deliver high-quality, citizen-centered service	Customer Results	Service Coverage	Service Efficiency	Minimize average processing time for initial disability claims to provide timely decisions	Will be established in FY 2008	107 days	Actual results will be available in FY 2010
2009	Service - To deliver high-quality, citizen-centered service	Customer Results	Service Coverage	Service Efficiency	Percent of initial disability claims receipts processed by the Disability Determination Services up to the budgeted level	FY 2007 Actual 100.2% (2,529,721)	100% (2,600,000)	Actual results will be available in FY 2010
2009	Stewardship - To ensure superior stewardship of Social Security programs and resource	Mission and Business Results	Controls and Oversight	Corrective Action	Number of periodic continuing disability reviews processed to determine continuing entitlement based on disability to help ensure payment accuracy	FY 2007 Actual - 764,852	1,149,000	Actual results will be available in FY 2010
2009	Service - To deliver high-quality, citizen-centered service	Processes and Activities	Quality	Errors	Disability Determination Services initial net accuracy rate	FY 2007 Actual - 97%	97%	Actual results will be available in FY 2010
2009	Service - To deliver high-quality, citizen-centered service	Processes and Activities	Quality	Errors	Disability Determination Services initial net accuracy rate on Quick Disability Determination (QDD)	99%	99%	Actual results will be available in FY 2010
2009	Stewardship - To ensure superior stewardship of Social Security programs and	Technology	Reliability and Availability	Availability	Availability of core applications	Ensure core applications are available at least 99% of the time during the	Ensure core applications are available at least 99% of the time during the	Actual results will be available in FY 2010

Fiscal Year	Strategic Goal(s) Supported	Measurement Area	Measurement Category	Measurement Grouping	Measurement Indicator	Baseline	Target	Actual Results
	resource					business day.	business day.	
2010	Service - To deliver high-quality, citizen-centered service	Customer Results	Service Coverage	Service Efficiency	Minimize average processing time for initial disability claims to provide timely decisions	Will be established in FY 2008	107 days	Actual results will be available in FY 2011
2010	Service - To deliver high-quality, citizen-centered service	Customer Results	Service Coverage	Service Efficiency	Percent of initial disability claims receipts processed by the Disability Determination Services up to the budgeted level	FY 2007 Actual 100.2% (2,529,721)	100% (2,646,000)	Actual results will be available in FY 2011
2010	Stewardship - To ensure superior stewardship of Social Security programs and resource	Mission and Business Results	Controls and Oversight	Corrective Action	Number of periodic continuing disability reviews processed to determine continuing entitlement based on disability to help ensure payment accuracy	FY 2007 Actual - 764,852	TBD	Actual results will be available in FY 2011
2010	Service - To deliver high-quality, citizen-centered service	Processes and Activities	Quality	Errors	Disability Determination Services initial net accuracy rate	FY 2007 Actual - 97%	TBD	Actual results will be available in FY 2011
2010	Service - To deliver high-quality, citizen-centered service	Processes and Activities	Quality	Errors	Disability Determination Services initial net accuracy rate on Quick Disability Determination (QDD)	99%	99%	Actual results will be available in FY 2011
2010	Stewardship - To ensure superior stewardship of Social Security programs and resource	Technology	Reliability and Availability	Availability	Availability of core applications	Ensure core applications are available at least 99% of the time during the business day.	Ensure core applications are available at least 99% of the time during the business day.	Actual results will be available in FY 2011

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:

3.18

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)
Electronic Disability System	Government Only	8/15/2009	8/15/2009

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
Electronic Disability System	Government Only	Moderate	yes	7/21/2008	FIPS 200 / NIST 800-53	7/2/2008	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?

No

a. If "yes," have those weaknesses been incorporated into the 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, 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
Electronic Disability System	No	Yes	http://www.ssa.gov/foia/piadocuments/FY07/Accelerated%20eDib%20FY07.htm	Yes	http://a257.g.akamaitech.net/7/257/2422/14mar20010800/edocket.access.gpo.gov/2003/pdf/03-31432.pdf [SOR 60-0320 - Electronic Disability Claim File; 68 F.R 71214, Dec. 22, 2003]

Details for Text Options:

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.

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.

Note: Working links must be provided to specific documents not general privacy websites. Non-working links will be considered as a blank field.

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.

DDS Automation

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.

003-000

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)
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	016-00-02-00-01-2210-00	Internal	0
DRMS	Data Resource Management System - It is a tool for designers, analysts, and programmers to use during the various phases of the Software Life Cycle. The DRMS is used to maintain data integrity. It supports programmers working with both CICS and Data Base Architecture applications.	Back Office Services	Data Management	Meta Data Management	Meta Data Management	016-00-03-00-02-2133-00	Internal	0
eView	eView is an application that enables users involved in case processing to view and/or print the disability information contained in the Electronic Folder.	Back Office Services	Development and Integration	Data Integration	Data Integration	016-00-01-02-02-2130-00	Internal	0
AIF	The AIF (Application Interface Facility) is a common interface between SSA's application programs and	Back Office Services	Development and Integration	Legacy Integration	Legacy Integration	016-00-03-00-02-2133-00	Internal	0

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)
	various Database Management Systems such as IDMS and MADAM.							
JWICS	Java Webshere Initiated CICS Servers (JWICS) is a set of Java Classes and resources files which allow remote procedure call communication between a Java Websphere Application Server Cient and a CICS Cobol Server program.	Back Office Services	Development and Integration	Legacy Integration	Legacy Integration	016-00-03-00-02-2133-00	Internal	0
DMA	The Document Management Architecture (DMA) is the part of the Electronic Folder (EF) that provides the capability to hold images, documents, and forms that previously have been housed in paper folders.	Business Analytical Services	Visualization	Imagery	Imagery	016-00-02-00-01-2210-00	Internal	0
FECS	The Front-End Capture System (FECS) is the software used to provide the front-end capture capabilities needed to process unstructured data.	Digital Asset Services	Document Management	Document Imaging and OCR	Document Imaging and OCR	016-00-02-00-01-2210-00	Internal	0
DMA	The Document Management Architecture (DMA) is the part of the Electronic Folder (EF) that provides the capability to hold images, documents, and forms that previously have been housed in paper folders.	Digital Asset Services	Document Management	Document Revisions	Document Revisions	016-00-02-00-01-2210-00	Internal	0
DMA	The Document Management Architecture (DMA) is the part of the Electronic Folder (EF) that provides the capability to hold images, documents, and forms that previously have been housed in paper folders.	Digital Asset Services	Document Management	Indexing	Indexing	016-00-02-00-01-2210-00	Internal	0
DMA	The Document Management Architecture (DMA) is the part of the Electronic Folder (EF) that	Digital Asset Services	Document Management	Library / Storage	Library / Storage	016-00-02-00-01-2210-00	Internal	0

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)
	provides the capability to hold images, documents, and forms that previously have been housed in paper folders.							
DRMS	Data Resource Management System - It is a tool for designers, analysts, and programmers to use during the various phases of the Software Life Cycle. The DRMS is used to maintain data integrity. It supports programmers working with both CICS and Data Base Architecture applications.	Digital Asset Services	Knowledge Management	Categorization	Categorization	016-00-03-00-02-2133-00	Internal	0
eView	eView is an application that enables users involved in case processing to view and/or print the disability information contained in the Electronic Folder.	Digital Asset Services	Knowledge Management	Information Retrieval	Information Retrieval	016-00-01-02-02-2130-00	Internal	0
Electronic Records Express	Electronic Records Express is the method by which medical providers submit medical records electronically. Once electronically submitted, medical records become a part of the Electronic Folder. DDS examiners have the ability to view medical records online along with disability data collected by the Field Office.	Process Automation Services	Routing and Scheduling	Inbound Correspondence Management	Inbound Correspondence Management	016-00-01-02-02-2130-00	Internal	0
CFRMS	The Claim File Records Management System (CFRMS) provides a consolidated view of the electronic claims file for the purpose of records and content management.	Process Automation Services	Tracking and Workflow	Case Management	Case Management	016-00-01-02-02-2130-00	Internal	0
DMA	The Document Management Architecture (DMA) is the part of the Electronic Folder (EF) that provides the capability to hold images,	Support Services	Collaboration	Document Library	Document Library	016-00-02-00-01-2210-00	Internal	0

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)
	documents, and forms that previously have been housed in paper folders.							
DMA	The Document Management Architecture (DMA) is the part of the Electronic Folder (EF) that provides the capability to hold images, documents, and forms that previously have been housed in paper folders.	Support Services	Search	Classification	Classification	016-00-02-00-01-2210-00	Internal	0
S/MIME, Top Secret	S/MIME is a public key encryption protocol for securely sending Multi-purpose Internet Mail Extension (MIME) attachments. 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
ATS	The purpose of the Audit Trail System (ATS) is to provide an effective tool to deter, detect, investigate and prosecute instances of fraud and abuse.	Support Services	Security Management	Audit Trail Capture and Analysis	Audit Trail Capture and Analysis	016-00-01-02-02-2130-00	Internal	0
Top Secret	TOP SECRET is the security software running on all of SSA's mainframe systems.	Support Services	Security Management	Identification and Authentication	Identification and Authentication	016-00-02-00-01-2210-00	Internal	0
iESI	iESI is Internet/Intranet Enterprise Security Interface.	Support Services	Security Management	Identification and Authentication	Identification and Authentication	016-00-03-00-02-2133-00	Internal	0

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)
Audit Trail Capture and Analysis	Component Framework	Business Logic	Platform Dependent Technologies	COBOL 3
Inbound Correspondence Management	Component Framework	Business Logic	Platform Independent Technologies	Enterprise Java Beans (EJB)

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)
Inbound Correspondence Management	Component Framework	Business Logic	Platform Independent Technologies	Java Servlet (JSR 53)
Legacy Integration	Component Framework	Business Logic	Platform Independent Technologies	Java Servlet (JSR 53)
Information Retrieval	Component Framework	Business Logic	Platform Independent Technologies	Java Servlet (JSR 53)
Data Integration	Component Framework	Business Logic	Platform Independent Technologies	Java Servlet (JSR 53)
Data Exchange	Component Framework	Data Interchange	Data Exchange	Resource Description Framework (RDF)
Inbound Correspondence Management	Component Framework	Data Interchange	Data Exchange	Web Services User Interface (WSUI)
Library / Storage	Component Framework	Data Management	Database Connectivity	DB2 Connector
Classification	Component Framework	Data Management	Database Connectivity	DB2 Connector
Indexing	Component Framework	Data Management	Database Connectivity	DB2 Connector
Meta Data Management	Component Framework	Data Management	Database Connectivity	DB2 Connector
Categorization	Component Framework	Data Management	Database Connectivity	DB2 Connector
Classification	Component Framework	Data Management	Database Connectivity	Java Database Connectivity (JDBC)
Indexing	Component Framework	Data Management	Database Connectivity	Java Database Connectivity (JDBC)
Imagery	Component Framework	Data Management	Database Connectivity	Java Database Connectivity (JDBC)
Document Revisions	Component Framework	Data Management	Database Connectivity	Java Database Connectivity (JDBC)
Library / Storage	Component Framework	Data Management	Database Connectivity	Java Database Connectivity (JDBC)
Document Imaging and OCR	Component Framework	Security	Supporting Security Services	Secure Multipurpose Internet Mail Extensions (S/MIME)
Access Control	Component Framework	Security	Supporting Security Services	Secure Multipurpose Internet Mail Extensions (S/MIME)
Meta Data Management	Component Framework	Security	Supporting Security Services	TopSecret
Categorization	Component Framework	Security	Supporting Security Services	TopSecret
Access Control	Component Framework	Security	Supporting Security Services	TopSecret
Identification and Authentication	Component Framework	Security	Supporting Security Services	TopSecret
Document Imaging and OCR	Component Framework	Security	Supporting Security Services	Transport Layer Security (TLS)
Legacy Integration	Component Framework	Security	Supporting Security Services	Transport Layer Security (TLS)
Case Management	Component Framework	User Presentation / Interface	Dynamic Server-Side Display	Active Server Pages .Net (ASP.Net)
Inbound Correspondence Management	Component Framework	User Presentation / Interface	Dynamic Server-Side Display	Java Server Pages (JSP)
Document Imaging and OCR	Service Access and Delivery	Access Channels	Collaboration / Communications	Electronic Mail (E-mail)
Document Imaging and OCR	Service Access and Delivery	Access Channels	Collaboration / Communications	Facsimile (Fax)
Case Management	Service Access and Delivery	Access Channels	Other Electronic Channels	System to System
Information Retrieval	Service Access and Delivery	Access Channels	Other Electronic Channels	System to System
Imagery	Service Access and Delivery	Access Channels	Other Electronic Channels	Web Service
Document Revisions	Service Access and Delivery	Access Channels	Web Browser	Internet Explorer
Case Management	Service Access and Delivery	Access Channels	Web Browser	Internet Explorer
Inbound Correspondence Management	Service Access and Delivery	Delivery Channels	Internet	
Access Control	Service Access and Delivery	Service Requirements	Authentication / Single Sign-on	
Classification	Service Access and Delivery	Service Requirements	Hosting	Internal (within Agency)
Imagery	Service Access and Delivery	Service Requirements	Hosting	Internal (within Agency)
Document Revisions	Service Access and Delivery	Service Requirements	Hosting	Internal (within Agency)
Indexing	Service Access and Delivery	Service Requirements	Hosting	Internal (within Agency)
Library / Storage	Service Access and Delivery	Service Requirements	Hosting	Internal (within Agency)
Document Library	Service Access and Delivery	Service Requirements	Hosting	Internal (within Agency)
Document Imaging and OCR	Service Access and Delivery	Service Requirements	Hosting	Internal (within Agency)
Information Retrieval	Service Access and Delivery	Service Requirements	Hosting	Internal (within Agency)
Access Control	Service Access and Delivery	Service Requirements	Legislative / Compliance	Security
Identification and Authentication	Service Access and Delivery	Service Requirements	Legislative / Compliance	Security
Document Imaging and OCR	Service Access and Delivery	Service Transport	Service Transport	File Transfer Protocol (FTP)
Inbound Correspondence Management	Service Access and Delivery	Service Transport	Service Transport	Internet Protocol (IP)
Legacy Integration	Service Access and Delivery	Service Transport	Service Transport	Internet Protocol (IP)
Information Retrieval	Service Access and Delivery	Service Transport	Service Transport	Internet Protocol (IP)

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)
Inbound Correspondence Management	Service Access and Delivery	Service Transport	Service Transport	Transport Control Protocol (TCP)
Legacy Integration	Service Access and Delivery	Service Transport	Service Transport	Transport Control Protocol (TCP)
Information Retrieval	Service Access and Delivery	Service Transport	Service Transport	Transport Control Protocol (TCP)
Document Imaging and OCR	Service Access and Delivery	Service Transport	Supporting Network Services	Multipurpose Internet Mail Extensions (MIME)
Document Imaging and OCR	Service Access and Delivery	Service Transport	Supporting Network Services	Simple Mail Transfer Protocol (SMTP)
Audit Trail Capture and Analysis	Service Interface and Integration	Integration	Middleware	CICS
Access Control	Service Interface and Integration	Integration	Middleware	CICS
Identification and Authentication	Service Interface and Integration	Integration	Middleware	CICS
Inbound Correspondence Management	Service Interface and Integration	Integration	Middleware	Message-Oriented Middleware (MOM): IBM Websphere MQ
Data Exchange	Service Interface and Integration	Interface	Service Description / Interface	Application Program Interface (API) / Protocol
Inbound Correspondence Management	Service Interface and Integration	Interface	Service Description / Interface	Web Services Description Language (WSDL)
Imagery	Service Platform and Infrastructure	Database / Storage	Database	Content Manager
Document Revisions	Service Platform and Infrastructure	Database / Storage	Database	Content Manager
Library / Storage	Service Platform and Infrastructure	Database / Storage	Database	Content Manager
Classification	Service Platform and Infrastructure	Database / Storage	Database	Database 2 (DB2)
Indexing	Service Platform and Infrastructure	Database / Storage	Database	Database 2 (DB2)
Library / Storage	Service Platform and Infrastructure	Database / Storage	Database	Database 2 (DB2)
Meta Data Management	Service Platform and Infrastructure	Database / Storage	Database	Database 2 (DB2)
Categorization	Service Platform and Infrastructure	Database / Storage	Database	Database 2 (DB2)
Data Exchange	Service Platform and Infrastructure	Delivery Servers	Application Servers	
Case Management	Service Platform and Infrastructure	Delivery Servers	Web Servers	Internet Information Server (IIS)
Classification	Service Platform and Infrastructure	Hardware / Infrastructure	Peripherals	Direct Access Storage Device (DASD)
Indexing	Service Platform and Infrastructure	Hardware / Infrastructure	Peripherals	Direct Access Storage Device (DASD)
Imagery	Service Platform and Infrastructure	Hardware / Infrastructure	Peripherals	Direct Access Storage Device (DASD)
Document Library	Service Platform and Infrastructure	Hardware / Infrastructure	Peripherals	Direct Access Storage Device (DASD)
Audit Trail Capture and Analysis	Service Platform and Infrastructure	Hardware / Infrastructure	Peripherals	Direct Access Storage Device (DASD)
Meta Data Management	Service Platform and Infrastructure	Hardware / Infrastructure	Peripherals	Direct Access Storage Device (DASD)
Categorization	Service Platform and Infrastructure	Hardware / Infrastructure	Peripherals	Direct Access Storage Device (DASD)
Document Imaging and OCR	Service Platform and Infrastructure	Hardware / Infrastructure	Peripherals	Scanner
Classification	Service Platform and Infrastructure	Hardware / Infrastructure	Servers / Computers	Mainframe
Indexing	Service Platform and Infrastructure	Hardware / Infrastructure	Servers / Computers	Mainframe
Library / Storage	Service Platform and Infrastructure	Hardware / Infrastructure	Servers / Computers	Mainframe
Audit Trail Capture and Analysis	Service Platform and Infrastructure	Hardware / Infrastructure	Servers / Computers	Mainframe
Audit Trail Capture and Analysis	Service Platform and Infrastructure	Support Platforms	Dependent Platform	COBOL 3
Case Management	Service Platform and Infrastructure	Support Platforms	Dependent Platform	Windows.Net
Imagery	Service Platform and Infrastructure	Support Platforms	Independent Platform	Java 2 Platform Enterprise Edition (J2EE)
Document Revisions	Service Platform and Infrastructure	Support Platforms	Independent Platform	Java 2 Platform Enterprise Edition (J2EE)
Legacy Integration	Service Platform and	Support Platforms	Independent Platform	Java 2 Platform Enterprise

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)
	Infrastructure			Edition (J2EE)
Information Retrieval	Service Platform and Infrastructure	Support Platforms	Independent Platform	Java 2 Platform Enterprise Edition (J2EE)

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?

8/10/2008

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 2: No Additional Software Upgrades	In this alternative the development and rollout of additional software releases to the DDS Legacy Systems nationwide would cease. Existing software would be maintained. The software releases installed to date are not identical and provide different electronic features for DDS users, but in this scenario, they would not be standardized or consolidated. This option would be inefficient and would not provide high-quality, citizen-centered service.	68.596	0
Alternative 3: Standardized Software Vendor	This alternative assumes one vendor would be utilized instead of the current three, to develop, implement and provide support for DDS electronic claims processing. Utilizing one vendor offers SSA the opportunity to assess and select the best vendor in terms of reliability, cost, performance, support levels, and working relationships; and to address issues and on-going strategic initiatives. An impact analysis would be needed to determine the requirements.	152.477	74.603
Alternative I: common Disability Case Processing System (DCPS)	Develop a system that fully supports the ability to process all tasks performed by all components through the entire business process cycle. Potentially consolidate functions	102.16	33.364

Alternative Analyzed	Description of Alternative	Risk Adjusted Lifecycle Costs estimate	Risk Adjusted Lifecycle Benefits estimate
	performed by Legacy Systems into a common system across the disability case processing organizations.		
Status Quo: DDS Automation	Continue development for existing systems by synching legacy system rollouts with HQ system modifications on a regional basis. Maintain SSA's existing systems until development and nationwide roll out of common Disability Case Processing System (DCPS) is completed in approx. FY14. Project will be closed out after rollout is complete.	84.644	87.964

3. Which alternative was selected by the Agency's Executive/Investment Committee and why was it chosen?
The Status Quo: DDS Automation was selected because it is part of a coordinated effort across SSA to develop and implement the common Disability Case Processing System (DCPS) that will provide common functionality and consistently support the business processes of all Disability Determination Services (DDS) across the country. FYI, DCPS is the selected alternative for the DCPS Exhibit 300.

DCPS was not selected for FY10 because, unlike DDS Automation, it could not meet the Agency's immediate and ongoing case processing requirements. However, since DDS Automation continues development for existing systems by synching legacy system rollouts with HQ system modifications on a regional basis, it does meet this requirement. Thus, DDS Automation allows SSA to maintain the same level of customer service, while ensuring staff can remain productive until DCPS is fully implemented in approximately FY14.

Moving from the current distributed, multi-vendor environment to a common case processing system will ultimately simplify the process of DDS systems maintenance and reduce the rate of growth of overall infrastructure costs. Additionally, having a common system that provides intelligent analysis functionality, integrates Health IT, and better supports other efforts to improve disability case processing (such as rapid distribution of policy changes) will positively impact processing times and the accuracy of disability decisions.

Additionally, ongoing investment in DDS Automation is required for the Agency to take advantage of advancements being made through its Intelligent Disability initiative such as "Quick Disability Determination" (QDD), which promises to have a significant impact on reducing backlogs. Other key Intelligent Disability initiatives that DDS Automation supports include Health IT and Case Analysis Tools (eCAT).

Ultimately, this alternative supports SSA in its strategic goals of "delivering high-quality, citizen-centered service" and "ensuring superior stewardship of Social Security programs and resources."

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?
By maintaining the existing systems for SSA until the common Disability Case Processing System (DCPS) rollout is complete, Status Quo: DDS Automation will allow SSA to meet the PMA initiative of "Expanding E-Government" by maintaining the electronic foundation for a completely electronic disability claims process. Additionally it will enable SSA staff to better meet workload goals and improve processing time and thus supports SSA's strategic goals of "delivering high quality, citizen-centered service" and "ensuring superior stewardship of Social Security programs and resources".

Finally, this Alternative will allow existing systems to synchronize with SSA's electronic folder, which enables more efficient processing of claims by Field Office staff, thereby allowing beneficiaries to receive benefits more quickly.

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

	Budgeted Cost Savings	Cost Avoidance	Justification for Budgeted Cost Savings	Justification for Budgeted Cost Avoidance
PY - 1 2007 & Prior	0	0		
PY 2008	0	0		
CY 2009	0	0		
BY 2010	0	16.133	N/A	DDS Automation's benefits are based on Cost Avoidance. Specifically, workyears are saved at the DDS level because legacy system rollouts are synched with headquarter system modifications, thereby ensuring that staff continue to have improved functionality.
BY + 1 2011	0		N/A	DDS Automation's benefits are based on Cost Avoidance. Specifically, workyears are saved at the DDS level because legacy system rollouts are synched with headquarter system modifications, thereby ensuring that staff continue to have improved functionality.
BY + 2 2012	0		N/A	DDS Automation's benefits are based on Cost Avoidance. Specifically, workyears are saved at the DDS level because legacy system rollouts are synched with headquarter system modifications, thereby ensuring that staff continue to have improved functionality.
BY + 3 2013	0		N/A	DDS Automation's benefits are based on Cost Avoidance. Specifically, workyears are saved at the DDS level because legacy system rollouts are synched with headquarter system modifications, thereby ensuring that staff continue to have improved functionality.
BY + 4 2014 & Beyond	0		N/A	DDS Automation's benefits are based on Cost Avoidance. Specifically, workyears are saved at the DDS level because legacy system rollouts are synched with headquarter system modifications, thereby ensuring that staff continue to have improved functionality.
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 of Systems	UPI if available	Date of the System Retirement

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?

8/22/2008

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. 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.

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?
No
a. If "yes," when was it approved by the agency head?

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 '0' 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	iLevy Application Software	9/30/2002	$2.201000	9/30/2002	9/30/2002	$2.201000	$2.201000	0	$0.000000	100.00%
2	400 Hardware/OS Software	9/30/2002	$0.636000	9/30/2002	9/30/2002	$0.636000	$0.636000	0	$0.000000	100.00%
3	Customization Hours	9/30/2002	$0.490000	9/30/2002	9/30/2002	$0.490000	$0.490000	0	$0.000000	100.00%
4	Software Maintenance	9/30/2002	$0.040000	9/30/2002	9/30/2002	$0.040000	$0.040000	0	$0.000000	100.00%
5	IBM Support Services	9/30/2002	$0.004000	9/30/2002	9/30/2002	$0.004000	$0.004000	0	$0.000000	100.00%
6	IBM Training	9/30/2002	$0.123000	9/30/2002	9/30/2002	$0.123000	$0.123000	0	$0.000000	100.00%
7	UniQue Print Solution	9/30/2002	$0.045000	9/30/2002	9/30/2002	$0.045000	$0.045000	0	$0.000000	100.00%
8	Integration Services	9/30/2002	$0.257000	9/30/2002	9/30/2002	$0.257000	$0.257000	0	$0.000000	100.00%
9	Ancillary Equipment	9/30/2002	$0.150000	9/30/2002	9/30/2002	$0.150000	$0.150000	0	$0.000000	100.00%
10	Rollout of MIDAS GUI to Missouri, Delaware, Alaska, Wester	9/30/2002	$0.101000	9/30/2002	9/30/2002	$0.101000	$0.101000	0	$0.000000	100.00%
11	iSeries 400 Performance Assessments	9/30/2002	$0.155000	9/30/2002	9/30/2002	$0.155000	$0.155000	0	$0.000000	100.00%
12	iSeries 400 Upgrades	9/30/2002	$1.357000	9/30/2002	9/30/2002	$1.357000	$1.357000	0	$0.000000	100.00%
13	Infrastructure Upgrades	9/30/2002	$0.220000	9/30/2002	9/30/2002	$0.220000	$0.220000	0	$0.000000	100.00%
14	IBM Advanced Training	9/30/2002	$0.327000	9/30/2002	9/30/2002	$0.327000	$0.327000	0	$0.000000	100.00%
15	508 Compliance of Versa/Levy Code	9/30/2002	$0.800000	9/30/2002	9/30/2002	$0.800000	$0.800000	0	$0.000000	100.00%
16	MIDAS Support	9/30/2002	$0.500000	9/30/2002	9/30/2002	$0.500000	$0.500000	0	$0.000000	100.00%
17	State Funds - Site prep for the migration States	9/30/2002	$0.120000	9/30/2002	9/30/2002	$0.120000	$0.120000	0	$0.000000	100.00%
18	State Funds - Case Processing	9/30/2002	$0.650000	9/30/2002	9/30/2002	$0.650000	$0.650000	0	$0.000000	100.00%

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			
	Software Enhancements									
19	State Funds - Case Processing Hardware	9/30/2002	$0.875000	9/30/2002	9/30/2002	$0.875000	$0.875000	0	$0.000000	100.00%
20	States Funds - Wang Performance Assessments	9/30/2002	$0.123000	9/30/2002	9/30/2002	$0.123000	$0.123000	0	$0.000000	100.00%
21	State Funds - Training	9/30/2002	$0.100000	9/30/2002	9/30/2002	$0.100000	$0.100000	0	$0.000000	100.00%
22	States Funds - Contractor Support	9/30/2002	$0.475000	9/30/2002	9/30/2002	$0.475000	$0.475000	0	$0.000000	100.00%
23	AS/400 Hardware Maintenance	9/30/2003	$0.600000	9/30/2003	9/30/2003	$0.600000	$0.600000	0	$0.000000	100.00%
24	AS/400 Hardware	9/30/2003	$6.132000	9/30/2003	9/30/2003	$6.132000	$6.132000	0	$0.000000	100.00%
25	AS/400 Performance Assessments	9/30/2003	$0.150000	9/30/2003	9/30/2003	$0.150000	$0.150000	0	$0.000000	100.00%
26	DDS Infrastructure Upgrades	9/30/2003	$0.500000	9/30/2003	9/30/2003	$0.500000	$0.500000	0	$0.000000	100.00%
27	IBM Advanced Training	9/30/2003	$0.181000	9/30/2003	9/30/2003	$0.181000	$0.181000	0	$0.000000	100.00%
28	Contractor Support for MIDAS	9/30/2003	$0.700000	9/30/2003	9/30/2003	$0.700000	$0.700000	0	$0.000000	100.00%
29	Application Vendor Support of Disaster Recovery System in the NCC	9/30/2003	$0.200000	9/30/2003	9/30/2003	$0.200000	$0.200000	0	$0.000000	100.00%
30	State Funds - Legacy System Enhancements	9/30/2003	$0.521000	9/30/2003	9/30/2003	$0.521000	$0.521000	0	$0.000000	100.00%
31	State Funds - Case Processing System for the Nebraska DDS	9/30/2003	$0.250000	9/30/2003	9/30/2003	$0.250000	$0.250000	0	$0.000000	100.00%
32	State Funds - Small Purchases	9/30/2003	$0.300000	9/30/2003	9/30/2003	$0.300000	$0.300000	0	$0.000000	100.00%
33	State Funds - Conversion of State Code	9/30/2003	$0.075000	9/30/2003	9/30/2003	$0.075000	$0.075000	0	$0.000000	100.00%
34	State Funds - Conversion of State Code	9/30/2003	$1.000000	9/30/2003	9/30/2003	$1.000000	$1.000000	0	$0.000000	100.00%
35	Electronic Medical Evidence Pilots	9/30/2003	$0.400000	9/30/2003	9/30/2003	$0.400000	$0.400000	0	$0.000000	100.00%
36	FY03 Developmental Workyears	9/30/2003	$0.560000	9/30/2003	9/30/2003	$0.560000	$0.560000	0	$0.000000	100.00%
37	AS/400 Performance Assessments	9/30/2004	$0.006000	9/30/2004	9/30/2004	$0.006000	$0.006000	0	$0.000000	100.00%
38	AS/400 Hardware Maintenance	9/30/2004	$0.600000	9/30/2004	9/30/2004	$0.600000	$0.600000	0	$0.000000	100.00%
39	AS/400 Hardware	9/30/2004	$1.500000	9/30/2004	9/30/2004	$1.500000	$1.500000	0	$0.000000	100.00%
40	DDS Infrastructure Upgrades	9/30/2004	$0.500000	9/30/2004	9/30/2004	$0.500000	$0.500000	0	$0.000000	100.00%
41	Vendor Support of Disaster	9/30/2004	$0.100000	9/30/2004	9/30/2004	$0.100000	$0.100000	0	$0.000000	100.00%

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			
	Recovery System in the NCC									
42	IBM Technical Support	9/30/2004	$0.128000	9/30/2004	9/30/2004	$0.128000	$0.096000	0	$0.032000	100.00%
43	IBM Advanced Training	9/30/2004	$0.252000	9/30/2004	9/30/2004	$0.252000	$0.180000	0	$0.072000	100.00%
44	Electronic Medical Evidence	9/30/2004	$2.000000	9/30/2004	9/30/2004	$2.000000	$1.500000	0	$0.500000	100.00%
45	MIDAS Contractor Support	9/30/2004	$3.658000	9/30/2004	9/30/2004	$3.658000	$2.744000	0	$0.914000	100.00%
46	State Funds - Legacy System Enhancements	9/30/2004	$1.600000	9/30/2004	9/30/2004	$1.600000	$1.200000	0	$0.400000	100.00%
47	State Funds - Small Purchases	9/30/2004	$0.150000	9/30/2004	9/30/2004	$0.150000	$0.113000	0	$0.037000	100.00%
48	State Funds - System Administrator Training	9/30/2004	$0.100000	9/30/2004	9/30/2004	$0.100000	$0.070000	0	$0.030000	100.00%
49	State Funds - eForms	9/30/2004	$0.370000	9/30/2004	9/30/2004	$0.370000	$0.280000	0	$0.090000	100.00%
50	FY04 Developmental Workyears	9/30/2004	$1.631000	9/30/2004	9/30/2004	$1.631000	$1.220000	0	$0.411000	100.00%
51	Versa eForms enhancements	9/30/2005	$0.103000	9/30/2005	9/30/2005	$0.103000	$0.119000	0	-$0.016000	100.00%
52	Versa EFI Contract	9/30/2005	$1.354000	9/30/2005	9/30/2005	$1.354000	$1.560000	0	-$0.206000	100.00%
53	DDS Infrastructure Upgrades	9/30/2005	$0.017000	9/30/2005	9/30/2005	$0.017000	$0.020000	0	-$0.003000	100.00%
54	iSeries Upgrades/Memory/Disks, associated equipment	9/30/2005	$3.500000	9/30/2005	9/30/2005	$3.500000	$4.032000	0	-$0.532000	100.00%
55	IBM Technical Support	9/30/2005	$0.699000	9/30/2005	9/30/2005	$0.699000	$0.805000	0	-$0.106000	100.00%
56	Lockheed Martin Support for the NY DDS	9/30/2005	$0.262000	9/30/2005	9/30/2005	$0.262000	$0.302000	0	-$0.040000	100.00%
57	Levy EFI releases	9/30/2005	$7.520000	9/30/2005	9/30/2005	$7.520000	$8.663000	0	-$1.143000	100.00%
58	Versa EFI releases	9/30/2005	$0.009000	9/30/2005	9/30/2005	$0.009000	$0.010000	0	-$0.001000	100.00%
59	Levy Migration (Customization Hours)	9/30/2005	$0.800000	9/30/2005	9/30/2005	$0.800000	$0.922000	0	-$0.122000	100.00%
60	Small Purchase Account	9/30/2005	$0.094000	9/30/2005	9/30/2005	$0.094000	$0.108000	0	-$0.014000	100.00%
61	FY05 Developmental Workyears	9/30/2005	$0.708000	9/30/2005	9/30/2005	$0.708000	$0.816000	0	-$0.108000	100.00%
62	Maint and DDS Support	9/30/2006	$8.111000	9/30/2006	9/30/2006	$5.918800	$5.511000	0	$0.407800	100.00%
63	VERSA Folderless Releases	9/30/2006	$1.315000	9/30/2006	9/30/2006	$2.153800	$2.752900	0	-$0.599100	100.00%
64	LEVY Releases	9/30/2006	$4.916000	9/30/2006	9/30/2006	$12.262800	$12.943800	0	-$0.681000	100.00%
65	MIDAS Releases	9/30/2006	$0.493000	9/30/2006	9/30/2006	$2.336300	$2.000100	-43	$0.039700	86.80%
66	FY07 DDS Automation Maint and Support	9/30/2007	$3.804092	9/30/2007	9/30/2007	$3.879400	$4.849200	0	-$0.969800	100.00%
67	FY07 DDS Automation Levy	9/30/2007	$11.913439	9/30/2007	9/30/2007	$9.682200	$10.082200	-3	-$0.513200	98.83%
68	FY07 DDS Automation Versa	9/30/2007	$4.199934	9/30/2007	9/30/2007	$3.475000	$3.328700	-10	$0.198200	96.35%

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			
69	FY07 DDS Automation MIDAS	9/30/2007	$2.463535	9/30/2007	9/30/2007	$2.598820	$2.525400	0	$0.073400	100.00%
70	FY08 Ongoing DDS Automation Support and Maintenance	9/30/2008	$4.829079	9/30/2008		$4.528800	$4.261500	0	-$0.663900	79.44%
71	FY08 MIDAS	9/30/2008	$2.267953	9/30/2008		$2.323600	$1.457800	-41	$0.124800	68.11%
72	FY08 VERSA	9/30/2008	$5.340257	9/30/2008		$3.551900	$2.795800	27	$0.391100	89.72%
73	FY08 LEVY	9/30/2008	$14.604198	9/30/2008		$19.342600	$14.441500	-36	-$1.186600	68.53%
74	NY DDS Support	9/30/2008	$1.641751	9/30/2008		$0.953700	$0.477900	-2	$0.298600	81.42%
75	NE DDS Support	9/30/2008	$1.015762	9/30/2008		$0.930900	$0.498100	-75	-$0.003500	53.13%
76	FY09 DDS Automation Ongoing Support	9/30/2009	$0.684929	9/30/2009		$0.650840				0.00%
77	FY09 MIDAS	9/30/2009	$2.521188	9/30/2009		$2.392950				0.00%
78	FY09 VERSA	9/30/2009	$5.823166	9/30/2009		$5.398510				0.00%
79	FY09 LEVY	9/30/2009	$16.286529	9/30/2009		$15.098830				0.00%
80	IBM - MIDAS Maint	9/30/2009	$5.504281	9/30/2009		$5.139900				0.00%
81	NY DDS Support	9/30/2009	$0.170094	9/30/2009		$0.160880				0.00%
82	NE DDS Support	9/30/2009	$0.439814	9/30/2009		$0.416430				0.00%
83	FY10 DDS Automation Planning Package	9/30/2010	$31.482000	9/30/2010		$31.482000				0.00%
84	FY11 DDS Automation Planning Package	9/30/2011		9/30/2011						0.00%
85	FY12 DDS Automation Planning Package	9/30/2012		9/30/2012						0.00%
Project Totals		**9/30/2012**		**9/30/2012**	**9/30/2007**		**$116.709900**			**47.00%**