

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:

Financial Accounting System (FACTS)

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

016-00-01-01-01-2015-00

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.)

Operations and Maintenance

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:

This effort provides for the operation and maintenance of SSA's accounting system, the Social Security Online Accounting & Reporting System (SSOARS). SSOARS is SSA's centralized automated system for recording, classifying and summarizing information on SSA's financial position and operation. It maintains a variety of financial information including, but not limited to, funding data, commitments, obligations, receivables and payables. The objective of SSOARS is to maintain the financial records of SSA. These records include the general ledger, subsidiary ledgers for control and reporting, obligation, advance and receivable subsidiary records, fund availability status, audit trail of accounting activity and the payment and collection records for cash reconciliation. In addition, SSOARS is SSA's financial management system that consolidates all of SSA's administrative accounting, payment and collection activities. SSOARS supports the Agency goal of Superior Stewardship by detecting and preventing improper payments and improving debt management. The Agency has determined that SSA's financial management systems are in substantial compliance with the Federal Financial Management Improvement Act (FFMIA). These findings are based on the positive results of financial management systems reviews and management control reviews conducted by the Agency and its independent contractor. SSA has no Anti-Deficiency Act Violations or material auditor-reported internal control weaknesses, and the independent auditors found that SSA has no material non-compliance with laws or regulations. The implementation of SSOARS has allowed SSA to achieve labor efficiencies and cost savings by utilizing modern, state-of-the-art software. By interfacing feeder systems with SSOARS, transactions are validated against accounting reference files to reduce errors and eliminate time to research and correct erroneous transactions. For travel services, SSOARS interfaces with the CW Government Travel system. SSOARS uses the latest Oracle application software to take advantage of Oracle functionality to ensure data integrity and security. SSOARS has received a clean audit report from the independent auditors since it became SSA's system of record. To streamline processing and achieve operational efficiencies, SSOARS uses the latest version of Oracle's database software and technology to provide detailed financial data to all managers to make spending decisions on a timely basis.

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?

10/1/2000

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:

Financial Performance

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?)

This initiative allows SSA to soundly manage Agency assets and invest in infrastructure needed to sustain superior performance in the future. Additionally, the new accounting system directly supports the Presidential Management Agenda Initiative #3, Improved Financial Performance-"To ensure that federal financial systems produce accurate and timely information to support operating, budget, and policy decisions". The use of interfaces have achieved efficiencies and data integrity.

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?

Yes

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

Yes

1. If "yes," which compliance area:

Financial Management Systems Requirements and Federal Accounting Standards

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

Social Security Online Accounting and Reporting System - SSOARS

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

Hardware

7.000000

Software

10.000000

Services

83.000000

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 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:	30.611	0	0	0					
Acquisition:	15.458	0	0	0					
Subtotal Planning & Acquisition:	46.069	0	0	0					
Operations & Maintenance:	36.708	13.25	8.665	8.761					
TOTAL:	82.777	13.25	8.665	8.761					
Government FTE Costs should not be included in the amounts provided above.									
Government FTE Costs	23.883	1.351	1.299	1.182					
Number of FTE represented by Costs:	243	13	12	10					

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:

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)
SS00-08-30075	Firm Fixed Price	Yes	11/29/2007	1/1/2008	12/31/2008	0.792	No	No	No	NA	No	Yes	Michelle Burgesen	410-965-9462/michelle.burgesen@ssa.gov	Level 3	
TBD	Labor Hours	No	10/27/2008	10/27/2008	10/26/2009	4.626	No	No	No	NA	No	Yes	Michelle Burgesen	410-965-9462/michelle.burgesen@ssa.gov	Level 3	
SS00-08-30648	Labor Hours	Yes	5/30/2008	6/1/2008	5/31/2009	3.458	No	No	No	NA	No	Yes	Michelle Burgesen	410-965-9462/michelle.burgesen@ssa.gov	Level 3	
SS00-04-30518	Labor Hours	Yes	4/6/2008	4/6/2008	4/5/2009	0.347	No	No	No	NA	No	Yes	Michelle Burgesen	410-965-9462/michelle.burgesen@ssa.gov	Level 3	
SS00-08-30521	Firm Fixed Price	Yes	4/16/2008	4/17/2008	4/16/2009	0.784	No	No	No	NA	No	Yes	Michelle Burgesen	410-965-9462/michelle.burgesen@ssa.gov	Level 3	
TBD	Firm Fixed Price	No	9/15/2008	9/15/2008	9/15/2009	0.091	No	No	No	NA	No	Yes	Michelle Burgesen	410-965-9462/michelle.burgesen@ssa.gov	Level 3	
SS00-08-30780	Labor Hours	Yes	6/27/2008	7/1/2008	12/31/2008	0.37	No	No	No	NA	No	Yes	Michelle Burgesen	410-965-9462/michelle.burgesen@ssa.gov	Level 3	
SS00-08-31049	Labor Hours	Yes	8/21/2008	8/21/2008	5/31/2009	0.5494	No	No	No	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. Contractor performance is monitored by written monthly reports submitted by the contractor and recurring meeting with contractor personnel to discuss project status, progress, risk management and any identified issues which would impact project completion dates. Individual tasks have specific periods of performance and progress is continually monitored. Contractor performance is thoroughly documented in white papers, in formal documentation submitted by the contractor and approved by the SSA project Officer, and in Test Director software which identifies the task to be performed, solutions, risks and plans to implement a course of action, any relevant testing performed, and the approvals of the SSA project Officer.

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	Stewardship - To ensure superior stewardship of Social Security programs and resource	Customer Results	Service Accessibility	Access	Number of hours which the system was actually available divided by the total number of hours which the system should be available.	98%	98%	99%
2008	Stewardship - To ensure superior stewardship of Social Security programs and resource	Mission and Business Results	Financial Management	Accounting	Receive an unqualified opinion on SSA's financial statements from the auditors.	FY 2007 Actual - Received an unqualified opinion.	Receive an unqualified opinion	Actual results will be available in FY 2009
2008	Stewardship - To	Processes and	Security and	Security	Number of high	100%	100%	100%

Exhibit 300: Financial Accounting System (FACTS) (Revision 8)

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	Activities	Privacy		security incidents and vulnerabilities successfully resolved divided by the total number of high security incidents and vulnerabilities reported			
2008	Stewardship - To ensure superior stewardship of Social Security programs and resource	Technology	Efficiency	Accessibility	Number of approved requests for system access completed within a 24 hour period divided by the total number of system access requests received	100%	100%	100%
2009	Stewardship - To ensure superior stewardship of Social Security programs and resource	Customer Results	Service Accessibility	Access	Number of hours which the system was actually available divided by the total number of hours which the system should be available.	98%	98%	Results will be available in the first Quarter, FY2010.
2009	Stewardship - To ensure superior stewardship of Social Security programs and resource	Mission and Business Results	Financial Management	Accounting	Receive an unqualified opinion on SSA's financial statements from the auditors.	FY 2007 Actual - Received an unqualified opinion	Receive an unqualified opinion	Actual results will be available in FY 2010
2009	Stewardship - To ensure superior stewardship of Social Security programs and resource	Processes and Activities	Security and Privacy	Security	Number of high security incidents and vulnerabilities successfully resolved divided by the total number of high security incidents and vulnerabilities reported	100%	100%	Results will be available in the first Quarter, FY2010.
2009	Stewardship - To ensure superior stewardship of Social Security programs and resource	Technology	Efficiency	Accessibility	Number of approved requests for system access completed within a 24 hour period divided by the total number of system access requests received	100%	100%	Results will be available in the first Quarter, FY2010.
2010	Stewardship - To ensure superior stewardship of Social Security programs and resource	Customer Results	Service Accessibility	Service Availability	Number of hours which the system was actually available divided by the total number of hours which the system should be available.	98%	98%	Results will be available in the first Quarter, FY2011.
2010	Stewardship - To ensure superior stewardship of Social Security programs and resource	Mission and Business Results	Financial Management	Accounting	Receive an unqualified opinion on SSA's financial statements from the auditors.	FY2007 Actual - Received an unqualified opinion.	Receive an unqualified opinion	Actual results will be available in FY 2011
2010	Stewardship - To ensure superior stewardship of Social Security programs and resource	Processes and Activities	Security and Privacy	Security	Number of high security incidents and vulnerabilities successfully resolved divided by the total number of high security	100%	100%	Results will be available in the first Quarter, FY2011.

Exhibit 300: Financial Accounting System (FACTS) (Revision 8)

Fiscal Year	Strategic Goal(s) Supported	Measurement Area	Measurement Category	Measurement Grouping	Measurement Indicator	Baseline	Target	Actual Results
					incidents and vulnerabilities reported.			
2010	Stewardship - To ensure superior stewardship of Social Security programs and resource	Technology	Efficiency	Accessibility	Number of approved requests for system access completed within a 24 hour period divided by the total number of system access requests received.	100%	100%	Results will be available in the first Quarter, 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:

0.83

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)

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
Social Security Online Accounting and Reporting System - SSOARS	Government Only	Low	yes	8/20/2007	FIPS 200 / NIST 800-53	6/25/2008	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
Social Security Online Accounting and Reporting System - SSOARS	No	Yes	http://www.ssa.gov/foia/piadocuments/FY08/Financial%20Accounting%20System%20FY08.htm	Yes	http://a257.g.akamaitech.net/7/257/2422/01jan20061800/edocket.access.gpo.gov/2006/pdf/06-112.pdf [SOR 60-0231 - Financial Transactions of SSA Accounting and Finance Offices; 71 F.R. 1847, Jan. 11, 2006]

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.

Social Security Online Accounting and Reporting System (SSOARS)

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>.

004-000

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)
Oracle Data Recovery System	Oracle Data Recovery System	Back Office Services	Data Management	Data Recovery	Data Recovery	016-00-01-01-02-2129-00	Internal	0

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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)
SSA Financial Data Warehouse	SSA Financial Data Warehouse	Back Office Services	Data Management	Data Warehouse	Data Warehouse	016-00-01-01-02-2129-00	Internal	0
RAC	Oracle Real Application Cluster	Back Office Services	Development and Integration	Instrumentation and Testing	Instrumentation and Testing	016-00-01-01-02-2129-00	Internal	0
SSOARS Data Exchange Utility	Social Security Online Accounting and Reporting System data exchange utility	Back Office Services	Development and Integration	Legacy Integration	Legacy Integration	016-00-01-01-02-2129-00	Internal	0
Oracle Audit Trail Reporting	Oracle Audit Trail Reporting	Back Office Services	Financial Management	Auditing	Auditing	016-00-01-01-02-2129-00	Internal	0
Oracle Federal Financials	SSA's accounting system	Back Office Services	Financial Management	Billing and Accounting	Billing and Accounting	016-00-01-01-02-2129-00	Internal	0
SSOARS Accounts Payable	Social Security Online Accounting and Reporting System	Back Office Services	Financial Management	Credit / Charge	Credit / Charge	016-00-01-01-02-2129-00	Internal	0
SSOARS Accounts Receivable	Social Security Online Accounting and Reporting System	Back Office Services	Financial Management	Debt Collection	Debt Collection	016-00-01-01-02-2129-00	Internal	0
SSOARS Internal Controls	SSOARS Internal Controls	Back Office Services	Financial Management	Internal Controls	Internal Controls	016-00-01-01-02-2129-00	Internal	0
SSOARS Accounts Payable	Social Security Online Accounting and Reporting System	Back Office Services	Financial Management	Payment / Settlement	Payment / Settlement	016-00-01-01-02-2129-00	Internal	0
Oracle Federal Financials Revenue Management	Oracle Federal Financials Revenue Management	Back Office Services	Financial Management	Revenue Management	Revenue Management	016-00-01-01-02-2129-00	Internal	0
SSOARS FIS Reports	Social Security Online Accounting and Reporting System (SSOARS) Financial Information System (FIS) reports.	Business Analytical Services	Reporting	Ad Hoc	Ad Hoc	016-00-01-01-02-2129-00	Internal	0
SSOARS FIS Reports	Social Security Online Accounting and Reporting System (SSOARS) Financial Information System (FIS) reports.	Business Analytical Services	Reporting	OLAP	OLAP	016-00-01-01-02-2129-00	Internal	0
SSOARS FIS Reports	Social Security Online Accounting and Reporting System (SSOARS) Financial Information System (FIS) reports.	Business Analytical Services	Reporting	Standardized / Canned	Standardized / Canned	016-00-01-01-02-2129-00	Internal	0
PolicyNet	PolicyNet is a one-stop guide to SSA policy and reference material on the Intranet.	Business Management Services	Management of Processes	Business Rule Management	Business Rule Management	016-00-01-02-02-2130-00	Internal	0
MKS SIE	Mortice Kern Systems (MKS) Source Integrity Enterprise (SIE) is a comprehensive, project-oriented, software configuration management tool that	Business Management Services	Management of Processes	Change Management	Change Management	016-00-03-00-02-2133-00	Internal	0

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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 version control over changes to application software							
Oracle Federal Financials Document Tracking	Oracle Federal Financials Document Tracking	Business Management Services	Supply Chain Management	Invoice / Requisition Tracking and Approval	Invoice / Requisition Tracking and Approval	016-00-01-01-02-2129-00	Internal	0
SSOARS FIS Reports	Oracle Reports Services	Digital Asset Services	Knowledge Management	Information Retrieval	Information Retrieval	016-00-01-01-02-2129-00	Internal	0
SSOARS FIS Portal	Real time web access financial management information	Digital Asset Services	Knowledge Management	Information Sharing	Information Sharing	016-00-01-01-02-2129-00	Internal	0
Oracle Federal Financials Search	Oracle Federal Financials Search	Support Services	Search	Classification	Classification	016-00-01-01-02-2129-00	Internal	0
Oracle Pattern Matching	Oracle Pattern Matching is the search for various patterns in long texts	Support Services	Search	Pattern Matching	Pattern Matching	016-00-01-01-02-2129-00	Internal	0
SSOARS FIS Query	Social Security Online Accounting and Reporting System - Financial Information System Query facility	Support Services	Search	Query	Query	016-00-01-01-02-2129-00	Internal	0
Top Secret	TOP SECRET provides user information with the purpose of restricting access among SSA components.	Support Services	Security Management	Access Control	Access Control	016-00-02-00-01-2210-00	Internal	0
Oracle Roles and Responsibilities	Oracle Roles and Responsibilities uses Oracle Single Sign On (SSO) using Microsoft Active Directory and Oracle Identity Management	Support Services	Security Management	Access Control	Access Control	016-00-01-01-02-2129-00	Internal	0
Oracle Audit Trail Reporting	Oracle Audit Trail Reporting	Support Services	Security Management	Audit Trail Capture and Analysis	Audit Trail Capture and Analysis	016-00-01-01-02-2129-00	Internal	0
Oracle Roles and Responsibilities	Oracle Roles and Responsibilities uses Oracle Single Sign On (SSO) using Microsoft Active Directory and Oracle Identity Management.	Support Services	Security Management	Identification and Authentication	Identification and Authentication	016-00-01-01-02-2129-00	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.

Exhibit 300: Financial Accounting System (FACTS) (Revision 8)

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			
Standardized / Canned	Service Platform and Infrastructure	Hardware / Infrastructure	Peripherals	Oracle Portal Technology
Pattern Matching	Service Platform and Infrastructure	Hardware / Infrastructure	Servers / Computers	Batch Processing and Scheduling
Information Retrieval	Service Platform and Infrastructure	Hardware / Infrastructure	Servers / Computers	Dedicated Servers
Pattern Matching	Service Platform and Infrastructure	Hardware / Infrastructure	Servers / Computers	Dedicated Servers
Internal Controls	Service Platform and Infrastructure	Hardware / Infrastructure	Servers / Computers	Dedicated Servers
Data Recovery	Service Platform and Infrastructure	Hardware / Infrastructure	Servers / Computers	Dedicated Servers
Access Control	Service Platform and Infrastructure	Hardware / Infrastructure	Servers / Computers	Mainframe
Internal Controls	Service Platform and Infrastructure	Hardware / Infrastructure	Servers / Computers	Oracle Real Application Clusters
Information Retrieval	Service Platform and Infrastructure	Hardware / Infrastructure	Servers / Computers	Oracle Real Application Clusters
Data Recovery	Service Platform and Infrastructure	Hardware / Infrastructure	Servers / Computers	Oracle Real Application Clusters
Pattern Matching	Service Platform and Infrastructure	Hardware / Infrastructure	Servers / Computers	Separate Oracle Instances
Data Recovery	Service Platform and Infrastructure	Hardware / Infrastructure	Servers / Computers	Separate Oracle Instances
Information Retrieval	Service Platform and Infrastructure	Hardware / Infrastructure	Servers / Computers	Separate Pre-Production/Production Servers
Information Retrieval	Service Platform and Infrastructure	Hardware / Infrastructure	Servers / Computers	Separate Test/Validation Servers
Business Rule Management	Service Platform and Infrastructure	Software Engineering	Software Configuration Management	Domino Enterprise Server
Change Management	Service Platform and Infrastructure	Software Engineering	Software Configuration Management	Mercury Test Director
Change Management	Service Platform and Infrastructure	Software Engineering	Software Configuration Management	MKS
Change Management	Service Platform and Infrastructure	Software Engineering	Software Configuration Management	SSA Change Management Policy
Instrumentation and Testing	Service Platform and Infrastructure	Software Engineering	Test Management	Separate Oracle Instances for test, validation, pre-production and production.
Business Rule Management	Service Platform and Infrastructure	Support Platforms	Dependent Platform	Windows.Net

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)?

Yes

a. If "yes," please describe.

SSA performs travel on a nationwide basis. SSA uses CW Government Travel for all travel services. Within CW Government Travel, travel authorizations and vouchers are created, validated for correct accounting codes, routed and approved prior to updating SSOARS on a near real time basis. This process minimizes errors and reduces error correction time by validating accounting codes before the travel transactions are submitted to the accounting system.

SSA performs several workloads on a reimbursable basis. eFOIA transactions are processed for Freedom of Information requests. SSA uses Pay.Gov to receive and process the credit card payments for these requests. These payment transactions are batched and processed nightly to update the financial records.

For Application Database Administration (ADBA) support, SSOARS uses Oracle OnDemand services. This is a specialized group of Oracle ADBAs who provide these services on a remote basis. SSA has achieved cost savings while having greater access to these services.

SSOARS also uses the Central Registry System, maintained by the Department of Defense, to update supplier files with vendor information to make payments.

Payroll processing is performed by the Department of the Interior (DOI). DOI transmits payroll data which is preprocessed and submits as batch input to SSOARS.

The Financial Management Line of Business (FMLoB), in collaboration with the federal financial management community, has established a set of Financial Services Metrics that will facilitate an assessment of financial services government-wide. SSOARS submits monthly metrics to the OMB Fido system which captures the infrastructure metrics and compares performance across

government agencies and Shared Service Providers. Some of these reported metrics are also presented in section #I.D. Performance Information.

Exhibit 300: Part III: For "Operation and Maintenance" investments ONLY (Steady State)

Section A: Risk Management (All Capital Assets)

Part III should be completed only for investments identified as "Operation and Maintenance" (Steady State) in response to Question 6 in Part I, Section A above.

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?

7/14/2008

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?

Section B: Cost and Schedule Performance (All Capital Assets)

1. Was an operational analysis conducted?

Yes

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

7/31/2008

b. If "yes," what were the results?

SSOARS is a commercial off-the-shelf software package which allows SSA to soundly manage Agency assets and invest in infrastructure needed to sustain superior performance in the future. Additionally, SSOARS directly supports the Presidential Management Agenda Initiative #3, Improved Financial Performance - "To ensure that federal financial systems produce accurate and timely information to support operating, budget, and policy decisions". SSOARS improves financial performance by reducing both operational delays and data and operational redundancy, and it positions the Agency to take advantage of advances in electronic commerce. SSOARS has received a clean audit report from the independent auditors every year since becoming SSA's accounting system of record in FY2004. SSOARS data is the basis for external reporting and internal control of funds. SSA managers nationwide use SSOARS data to make sound decisions regarding resource allocations. SSOARS has consistently reported superior system availability, help desk response time, report production time, and user access processing time. Network and application availability is monitored to determine that users have access as agreed upon. Help desk activities are tracked to insure that corrective actions are taken within an acceptable time period. System performance is monitored and database adjustments made to improve system response time. Actions involving user access are expedited to provide users with timely access and with the appropriate level of privileges to promote good internal control. System security scans are performed routinely. User issues are documented in help desk software to monitor help desk performance and detect trends requiring additional attention. New releases of application software and Oracle technology, such as database patches, are continually monitored to identify potential upgrades and to provide the highest level of security and user functionality. To minimize future costs, SSOARS has acquired software licenses which are designed so that users can make system configurations, thus eliminating the need for additional contractor services. Additionally, the use of Oracle OnDemand to provide database administration support has replaced the use of on-site database administrators (DBA). This change has allowed SSA to realize savings, while having access to a specialized team of DBAs. SSOARS also utilizes software extensions to achieve labor savings and data integrity.

c. If "no," please explain why it was not conducted and if there are any plans to conduct operational analysis in the future:

2. Complete the following table to compare actual cost performance against the planned cost performance baseline. Milestones reported may include specific individual scheduled preventative and predictable corrective maintenance activities, or may be the total of planned annual operation and maintenance efforts).

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

Contractor and Government

2.b Comparison of Plan vs. Actual Performance Table

Milestone Number	Description of Milestone	Planned		Actual		Variance	
		Completion Date (mm/dd/yyyy)	Total Cost(\$M)	Completion Date (mm/dd/yyyy)	Total Cost(\$M)	Schedule (# days)	Cost(\$M)
1.0	Maintenance and Operation of SSOARS	5/31/2009	\$12.850000		\$7.166800		
1.1	Services-Support	10/26/2008	\$4.626000		\$3.232500		
1.2	Services-Release 12	5/31/2009	\$3.457000		\$0.358400		
1.3	Services-Purchase Card	5/31/2009	\$0.550000				
1.4	Independent Verification and Validation	4/5/2009	\$0.347000		\$0.059800		
1.5	Hardware	9/30/2008	\$0.957000		\$0.237200		
1.6	Software	9/30/2008	\$0.875000		\$1.604000		
1.7	Application Data Base Administrators	12/31/2008	\$0.990000		\$0.626900		
1.8	Government FTEs	9/30/2008	\$1.048000		\$1.048000		
Project Totals		5/31/2009	\$12.850000		\$7.166800		