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:
Ready Retirement
5. Unique Project (Investment) Identifier: (For IT investment only, see section 53. For all other, use agency ID system.)
016-00-01-02-01-2142-00
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?
FY2010
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:
Ready Retirement (RR) is SSA's innovative approach to prepare the Agency for the 80 million baby boomers that will file for retirement over the next twenty years. RR is an initiative to incrementally automate the retirement application process through a multi-faceted approach: Public Education, Simplified Enrollment and Streamlined Adjudication.

Through a financial literacy campaign, SSA will provide new ways to encourage the public to consider their savings, other income, life expectancy and health insurance needs in deciding when to take benefits, fulfilling the Agency's goal of delivering high-quality and citizen-centered services, increasing, timeliness, and service satisfaction.

A simplified enrollment process depends on policy simplification. In FY09, the Ready Retirement initiative has streamlined policies in 5 core foundational areas of the retirement claims process - earnings, proof of age, month of election, development of marriage and protective filing. Additional policy changes are in queue for implementation in FY09 and beyond.

Initiating a streamlined online application will decrease public burden from 45 to 15 minutes per application and double Agency administrative savings over the current process. Over the next ten years, this equates to approximately $430 million in Agency-level savings and facilitates the Agency's objective of maximizing public use of electronic services to conduct business with SSA.

Currently, all retirement applications must be processed with human intervention, i.e. review and approval. Along with Title II (a separate exhibit 300), streamlined adjudication will support SSA's strategic objective of ensuring the most effective use of limited Agency resources by facilitating SSA in reaching OMB PART's goal of 16% productivity improvement by 2013.

RR contributes to SSA's Annual Performance Plan in its efforts to improve service through technology, ensure the most effective use of limited resources, and utilize technology and automation to enable staff to provide quality service. RR also directly supports the Government to Citizen E-Gov initiative by creating an efficient and effective one-stop, on-line access to retirement-related information and services.

In late FY08, RR will launch its Internet-based iClaim application. The Agency is now developing requirements for FY 09 enhancements to employee-used systems and planning for the first streamlined adjudication release, targeted for FY10.
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?
6/9/2008
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?)
Ready Retirement directly supports the Government to Citizen E-Gov initiative by creating an efficient and effective one-stop, on-line access to information and services. Through its Financial Literacy Campaign, Simplified Enrollment, and Streamlined Adjudication, Ready Retirement provides an electronic platform that educates the public about better evaluating their financial options and enables sharing of data between the public and Federal government.
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?
10008001 - Social Security Old-Age and Survivors 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
0.000000
Software
0.000000
Services

100.000000
Other
0.000000

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

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

Phone Number

Title
Lead Social Insurance Specialist
E-mail

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

Question 24 must be answered by all Investments:

24. Does this investment directly support one of the GAO High Risk Areas?
No

Section B: Summary of Spending (All Capital Assets)

1. Provide the total estimated life-cycle cost for this investment by completing the following table. All amounts represent budget authority in millions, and are rounded to three decimal places. Federal personnel 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	5.762	0	0					
Acquisition:	0	0	1.633	8.469					
Subtotal Planning & Acquisition:	0	5.762	1.633	8.469					
Operations & Maintenance:	0	0	0	0					
TOTAL:	0	5.762	1.633	8.469					
Government FTE Costs should not be included in the amounts provided above.									
Government FTE Costs	0	0.046	10.211	17.523					
Number of FTE represented by Costs:	0	0	86	140					

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:
N/A, this is a new project.

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)
LM - SS00-05-60011 Task Order 4-310	Task-based Indefinite Delivery/Indefinite Quantity (ID/IQ) Time & Materials (T&M) Task Order	Yes	9/30/2007	9/30/2007	9/29/2008	0.355	No	Yes	Yes	NA	No	Yes	Burgesen, Michelle	410-965-9462 / michelle.burgesen@ssa.gov	Level 3	
LM - SS00-05-60011 Task Order 4-620	Task-based Indefinite Delivery/Indefinite Quantity (ID/IQ) Time & Materials (T&M) Task Order	Yes	9/30/2007	9/30/2007	9/29/2008	1.404	No	Yes	Yes	NA	No	Yes	Burgesen, Michelle	410-965-9462 / michelle.burgesen@ssa.gov	Level 3	
LM - SS00-05-60011 Task Order 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	20.632	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.

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
2009	Service - To deliver high-quality, citizen-centered service	Customer Results	Customer Benefit	Customer Satisfaction	Percent of Retirement and Survivors Insurance (RSI) claims receipts processed up to the budgeted level	FY 2007 Actual 100% (3,863,813)	100% (4,338,000)	Results available 2010

Exhibit 300: Ready Retirement (Revision 2)

Fiscal Year	Strategic Goal(s) Supported	Measurement Area	Measurement Category	Measurement Grouping	Measurement Indicator	Baseline	Target	Actual Results
2009	Service - To deliver high-quality, citizen-centered service	Customer Results	Service Accessibility	Service Availability	Percentage of applicants eligible to file online	FY 2007 Actual 10%	12% increase from FY 2007 Actual (6% increase per year)	Results available 2010
2009	Service - To deliver high-quality, citizen-centered service	Mission and Business Results	Human Resource Management	Staff Acquisition	Workyears saved at field offices due to Internet application	FY 2008 Projected Savings- 59 Workyears	172 Additional Workyears	Results available 2010
2009	Service - To deliver high-quality, citizen-centered service	Processes and Activities	Productivity	Efficiency	Achieve a cumulative productivity improvement for Retirement and Survivors Insurance claims of 16% through 2013 (Over FY05)	FY 2007 Actual 1.4%	7%	Results available 2010
2009	Stewardship - To ensure superior stewardship of Social Security programs and resource	Technology	Effectiveness	IT Contribution to Process, Customer, or Mission	Retirement applications processed from initial to completion without field staff re-contact (due to incomplete information)	FY 2008 Projected Percentage- 40%	20% increase from FY 2008 Projected Percentage	Results available 2010
2010	Service - To deliver high-quality, citizen-centered service	Customer Results	Customer Benefit	Customer Satisfaction	Percent of Retirement and Survivors Insurance (RSI) claims receipts processed up to the budgeted level	FY 2007 Actual 100.7% (3,863,813)	100% (4,505,000)	Results available 2011
2010	Service - To deliver high-quality, citizen-centered service	Customer Results	Service Accessibility	Service Availability	Percentage of applicants eligible to file online	FY 2007 Actual 10%	18% increase from FY 2007 Actual (6% increase per year)	Results available 2011
2010	Service - To deliver high-quality, citizen-centered service	Customer Results	Service Coverage	Service Efficiency	Percentage of claims processed via streamlined-adjudication, enabling field staff to have more time to provide quality customer service	FY 2007 Actual- All Claims processed with human intervention (review and approval)	FY10 TBD	Results available 2011
2010	Service - To deliver high-quality, citizen-centered service	Mission and Business Results	Human Resource Management	Staff Acquisition	Workyears saved at field offices due to Internet application	172 Workyears	167 Additional Workyears	Results available 2011
2010	Service - To deliver high-quality, citizen-centered service	Processes and Activities	Productivity	Efficiency	Achieve a cumulative productivity improvement for Retirement and Survivors Insurance claims of 16% through 2013 (Over FY05)	FY 2007 Actual 1.4%	TBD	Results available 2011
2010	Stewardship - To ensure superior stewardship of Social Security programs and resource	Technology	Effectiveness	IT Contribution to Process, Customer, or Mission	Retirement applications processed from initial to completion without field staff re-contact (due to incomplete information)	FY 2008 Projected Percentage- 40%	30% increase from FY 2008 Projected Percentage	Results available 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:

11.32

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)
Title II	Government Only	8/31/2009	8/31/2009

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
Title II	Government Only	Moderate	yes	9/13/2008	FIPS 200 / NIST 800-53	8/12/2008	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
Title II	No	Yes	http://mwww.ba.ssa.gov/foia/piadocuments/FY07/Title%20II%20System.updtd%20Sept%2028.htm	Yes	http://a257.g.akamaitech.net/7/257/2422/01jan20061800/edocket.access.gpo.gov/2006/pdf/06-112.pdf [SOR 60-0090 - Master Beneficiary Record; 71 F.R. 1826, 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?
No

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

b. If "no," please explain why?
This investment is new this year. SSA's Transition Strategy will be updated to include this investment for our annual EA Assessment for 02/2009.

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

a. If "yes," provide the six digit code corresponding to the agency segment architecture. The segment architecture codes are maintained by the agency Chief Architect. For detailed guidance regarding segment architecture codes, please refer to http://www.egov.gov.
002-000

4. Service Component Reference Model (SRM) Table:

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

Agency Component Name	Agency Component Description	FEA SRM Service Domain	FEA SRM Service Type	FEA SRM Component (a)	Service Component Reused Name (b)	Service Component Reused UPI (b)	Internal or External Reuse? (c)	BY Funding Percentage (d)
Retirement Calculator	The Retirement Calculator includes access to an individuals earnings record and provides a benefit estimate. The user is able to input multiple scenarios with different variables.	Business Analytical Services	Business Intelligence	Decision Support and Planning	Decision Support and Planning		Internal	1
MI Central	MI Central is a web-based	Business Analytical	Reporting	Standardized / Canned	Standardized / Canned	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)
	application that facilitates access to management information and workload control reports by providing a central location to obtain workload counts, workload control listings, processing time reports, performance measurement reports, and managerial cost analysis data/reports.	Services						
eQA	The Electronic Quality Assurance system provides the following major functions of the quality review process; study definition, sample selection, creation of findings forms, reviewer completion of findings data, simple reports, and analytical reporting from the dynamic reporting database.	Business Management Services	Management of Processes	Quality Management	Quality Management	016-00-03-00-02-2133-00	Internal	0
iCLAIM	The iCLAIM application will focus on enhancing the user experience, when applying for Social Security benefits, by incorporating new features that will make this application a more robust and user friendly application. Propose enhancements are to allow the user to move on a linear path (by pressing the usual Next and Previous buttons) as well as a non-linear path by including links that will take the user directly to sections or pages with the application path.	Customer Services	Customer Relationship Management	Customer / Account Management	Customer / Account Management		Internal	1
ORS	The Online Retrieval System (ORS) provides the ability to view any notice that has been sent to a customer. ORS also stores the notices in an exact image of the original, thus	Digital Asset Services	Document Management	Library / Storage	Library / Storage	016-00-01-02-02-2130-00	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)
	allowing SSA to adhere to Federal regulations on retention of documents, and move closer to an efficient, paperless environment.							
iCLAIM	The iCLAIM application will focus on enhancing the user experience, when applying for Social Security benefits, by incorporating new features that will make this application a more robust and user friendly application. Propose enhancements are to allow the user to move on a linear path (by pressing the usual Next and Previous buttons) as well as a non-linear path by including links that will take the user directly to sections or pages with the application path.	Digital Asset Services	Knowledge Management	Knowledge Capture	Knowledge Capture		Internal	1
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.	Digital Asset Services	Records Management	Document Retirement	Document Retirement	016-00-01-02-02-2130-00	Internal	0
ACU	The Access Control Utility is the security architecture framework for authentication and access control for internet, and automated telephone applications. It manages internally issued credentials, external credentials, exchange credentials and information with outside parties, and defines access rights and their use to categorize and control access to services; and defines how the public will use the credentials to gain access to	Support Services	Security Management	Identification and Authentication	Identification and Authentication	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)
	SSA services.							

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)
Library / Storage	Component Framework	Data Management	Database Connectivity	Database 2 (DB2)
Customer / Account Management	Component Framework	User Presentation / Interface	Content Rendering	SSA Online Services Portal
Standardized / Canned	Component Framework	User Presentation / Interface	Static Display	SUMS
Knowledge Capture	Service Access and Delivery	Access Channels	Web Browser	Internet Explorer
Identification and Authentication	Service Access and Delivery	Delivery Channels	Internet	
Identification and Authentication	Service Access and Delivery	Service Requirements	Legislative / Compliance	Access Control Utility
Document Retirement	Service Platform and Infrastructure	Hardware / Infrastructure	Servers / Computers	Mainframe
Quality Management	Service Platform and Infrastructure	Software Engineering	Integrated Development Environment	
Decision Support and Planning	Service Platform and Infrastructure	Software Engineering	Integrated Development Environment	Websphere Studio

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?

8/15/2008

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

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

2. Alternative Analysis Results:

Use the results of your alternatives analysis to complete the following table:

* Costs in millions

Alternative Analyzed	Description of Alternative	Risk Adjusted Lifecycle Costs estimate	Risk Adjusted Lifecycle Benefits estimate
Alternative 1: Ongoing Staffing Increases	Increase staffing as estimated 80million retiree applications come over next 20 years; continue to hire the additional employees required to take and process claims	457.501	221.007
Alternative 2: Development of Streamlined Adjudication System	Develop and deploy system to automate the adjudication and payment of retirement applications	96.66	122.958
Alternative 3: Ready Retirement	Initiative to step towards automation of processing retirement applications. Fulfill all three goals of the project, financial literacy education, streamlined application process, and Streamlined-Adjudication of claims	217.94	427.959
Status Quo: Maintain current claims process capability and add minimal staffing to handle retirement wave	Continue to maintain current claims application process, increase staffing on annual basis, hire minimal amount of staff needed to handle increasing wave of retirement applications	229.077	0

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

Alternative 3, Ready Retirement (RR), an initiative to fully automate the processing of retirement applications, was selected for the social benefits it offers to the general public and the breadth of value it brings to the Agency. RR contributes to key strategic objectives in SSA's Annual Performance Plan, PART measurement, and the Government to Citizen E-Gov initiative by creating an efficient and effective solution.

RR introduces a multi-faceted approach for handling the wave of 80 million baby boomers filing for retirement, which is more than 10,000 new applications per day on average. Through RR' Financial Literacy Campaign, RR addresses the need to educate the public about new ways to consider their savings, income, life expectancy and health insurance in planning for their benefit. Through simplified enrollment and streamlined adjudication, RR will significantly reduce the time-consuming application process. This intuitive system will integrate data already stored in

SSA's database with the current application. The online claim will only ask the applicant questions that are pertinent to their personal situation by relying on information already stored. The time-savings accrued provides immense relief of burden to the public. Finally, through the streamlined adjudication system, RR will support SSA's strategic objective of ensuring the most effective use of limited Agency resources by facilitating SSA in reaching OMB PART's goal of 16% productivity improvement by 2013, and provide SSA incremental savings in cost of employing sufficient full-time staff to account for the increase in applications.

Over the next 10 years, RR is estimated to provide up to $430 million in benefits to the Agency. This is approximately double Alternative 1's benefit estimate and triple Alternative 2's benefit estimate. While the other alternatives support the Agency's strategic objectives to varying degrees, unlike RR, they do not provide long term benefits (cost avoidance), nor do they effectively address the significant increase in workload or promote the Agency's public service goals.

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?
Ready Retirement (RR) contributes to the strategic objectives in SSA's Annual Performance Plan in its efforts to improve service through technology, increase the Agency's stewardship accuracy rate for payments, ensure the most effective use of limited Agency resources by continuing to achieve target productivity improvements, and utilize technology and automation to enable staff to provide quality service to the American public. RR also benefits the public by directly supporting the Government to Citizen E-Gov initiative by creating an one-stop, on-line access to retirement-related information and services.

Ready Retirement proposes a financial literacy campaign, encouraging the public to consider their savings, other income, life expectancy and health insurance needs in deciding when to take benefits, fulfilling the Agency's goal of delivering high-quality and citizen-centered services, increasing cost-efficiency, timeliness, and service satisfaction.

The simplified enrollment process of RR hinges on efforts to streamline policy. Future releases will include authentication protocols to provide two-way online communication with applicants to ensure authorized disclosure. New data exchanges and matching agreements are also being explored to provide online verification of alleged information.

Streamlined Adjudication will allow for the automation of retirement applications and payment. Currently, one-hundred percent of retirement applications must be manually processed, Streamlined Adjudication will save resources and allow SSA to focus on other critical workloads.

Ready Retirement will leverage the public's willingness to use Internet Services by ensuring a user friendly application process, assist the Agency in meeting future challenges in facing increasing workloads with constrained resources, and bring a wealth of benefits to SSA and the general public through this technology and process transformation.

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
PY - 1 2007 & Prior	0	0		
PY 2008	0	0		
CY 2009	0	22.99	N/A	Workyears saved due to iCLAIMS intake of cases
BY 2010	0	27.311	N/A	Workyears saved due to iCLAIMS intake of cases, Streamlined-Adjudication of claims, RCF Streamlined Adjudication, New Proof of Age Policy, New Lag Wages Policy, New Moel Policy, ICTU Streamlined Adjudication, ICTU New Proof of Age Policy, ICTU New Lag Wages Policy, and ICTU New MOEL Policy
BY + 1 2011			N/A	Workyears saved due to iCLAIMS intake of cases, Streamlined-Adjudication of

	Budgeted Cost Savings	Cost Avoidance	Justification for Budgeted Cost Savings	Justification for Budgeted Cost Avoidance
				claims, RCF Streamlined Adjudication, New Proof of Age Policy, New Lag Wages Policy, New Moel Policy, ICTU Streamlined Adjudication, ICTU New Proof of Age Policy, ICTU New Lag Wages Policy, and ICTU New MOEL Policy
BY + 2 2012			N/A	Workyears saved due to iCLAIMS intake of cases, Streamlined-Adjudication of claims, RCF Streamlined Adjudication, New Proof of Age Policy, New Lag Wages Policy, New Moel Policy, ICTU Streamlined Adjudication, ICTU New Proof of Age Policy, ICTU New Lag Wages Policy, and ICTU New MOEL Policy
BY + 3 2013			N/A	Workyears saved due to iCLAIMS intake of cases, Streamlined-Adjudication of claims, RCF Streamlined Adjudication, New Proof of Age Policy, New Lag Wages Policy, New Moel Policy, ICTU Streamlined Adjudication, ICTU New Proof of Age Policy, ICTU New Lag Wages Policy, and ICTU New MOEL Policy
BY + 4 2014 & Beyond			N/A	Workyears saved due to iCLAIMS intake of cases, Streamlined-Adjudication of claims, RCF Streamlined Adjudication, New Proof of Age Policy, New Lag Wages Policy, New Moel Policy, ICTU Streamlined Adjudication, ICTU New Proof of Age Policy, ICTU New Lag Wages Policy, and ICTU New MOEL Policy
Total LCC Benefit			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:

Ready Retirement has incorporated and adjusted for risk factors in its life cycle estimates to account for different challenges that face software development projects. The Agency has taken approach to identify risks associated with each of the 19 Risk Areas, rate its probability of occurrence and impact, and developed strategies to mitigate each of the risks. Factors considered in determining this risk adjustment include industry best practices and OMB guidance.

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	Ready Retirement FY08	9/30/2008	$5.621695	9/30/2008		$5.621695	$3.592200	0	$0.000000	63.90%
1.1	Planning and Analysis	9/30/2008	$0.596736	9/30/2008		$0.596736	$0.396600	0	$0.000000	66.47%
1.2	iClaim	9/30/2008	$5.024959	9/30/2008		$5.024959	$3.195600	0	$0.000000	63.59%
2	Ready Retirement FY09	9/30/2009	$15.633286	9/30/2009		$15.633286		0	$0.000000	0.00%
2.1	Program Management Support	9/30/2009	$0.721754	9/30/2009		$0.721754				0.00%
2.2	Planning and Analysis	9/30/2009	$5.909409	9/30/2009		$5.909409		0	$0.000000	0.00%
2.2.1	Medicare Only Claims	9/30/2009	$0.422981	9/30/2009		$0.422981				0.00%
2.2.2	CR's access to iClaim	9/30/2009	$0.600483	9/30/2009		$0.600483				0.00%
2.2.3	Streamlined Adjudication	9/30/2009	$1.590695	9/30/2009		$1.590695				0.00%
2.2.4	Data and Collection (Web)	9/30/2009	$2.092147	9/30/2009		$2.092147				0.00%
2.2.5	e-Authentication	9/30/2009	$1.203103	9/30/2009		$1.203103				0.00%
2.3	Construction	9/30/2009	$9.002123	9/30/2009		$9.002123				0.00%
2.3.1	iClaim Full Implementation	9/30/2009	$1.239447	9/30/2009		$1.239447				0.00%
2.3.2	ISBA Shutdown	9/30/2009	$0.553736	9/30/2009		$0.553736				0.00%
2.3.3	Medicare Only Claims	9/30/2009	$0.734513	9/30/2009		$0.734513				0.00%
2.3.4	CR's access to iClaim	9/30/2009	$1.437636	9/30/2009		$1.437636				0.00%
2.3.5	e-Authentication	9/30/2009	$0.727626	9/30/2009		$0.727626				0.00%
2.3.6	Streamlined Adjudication	9/30/2009	$1.412456	9/30/2009		$1.412456				0.00%
2.3.7	Data and Collection (Web)	9/30/2009	$1.956329	9/30/2009		$1.956329				0.00%
2.3.8	iClaim enhancement maintenance	9/30/2009	$0.940380	9/30/2009		$0.940380				0.00%

Exhibit 300: Ready Retirement (Revision 2)

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			
3	Ready Retirement FY10	9/30/2010	$23.836125	9/30/2010		$23.836125				0.00%
3.1	Program Management Support	9/30/2010	$0.753272	9/30/2010		$0.753272				0.00%
3.2	Planning and Analysis	9/30/2010	$2.538597	9/30/2010		$2.538597				0.00%
3.2.1	Data and Collection (Web)	9/30/2010	$1.570735	9/30/2010		$1.570735				0.00%
3.2.2	Internet RR Post Implementation	9/30/2010	$0.087910	9/30/2010		$0.087910				0.00%
3.2.3	e-Authentication	9/30/2010	$0.879952	9/30/2010		$0.879952				0.00%
3.3	Construction	9/30/2010	$20.544256	9/30/2010		$20.544256				0.00%
3.3.1	e-Authentication	9/30/2010	$2.141444	9/30/2010		$2.141444				0.00%
3.3.2	Streamlined Adjudication	9/30/2010	$8.970047	9/30/2010		$8.970047				0.00%
3.3.3	Data and Collection (Web)	9/30/2010	$9.432765	9/30/2010		$9.432765				0.00%
4	Ready Retirement FY11	9/30/2011		9/30/2011						0.00%
5	Ready Retirement FY12	9/30/2012		9/30/2012						0.00%
6	Ready Retirement FY13	9/30/2013		9/30/2013						0.00%
7	Ready Retirement FY14	9/30/2014		9/30/2014						0.00%
8	Ready Retirement FY15	9/30/2015		9/30/2015						0.00%
9	Ready Retirement FY16	9/30/2016		9/30/2016						0.00%
Project Totals		**9/30/2016**		**9/30/2016**						**1.98%**