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HEARING ON THE STATE OF SOCIAL SECURITY'S INFORMATION TECHNOLOGY

HEARING

BEFORE THE

SUBCOMMITTEE ON SOCIAL SECURITY

OF THE

COMMITTEE ON WAYS AND MEANS
U.S. HOUSE OF REPRESENTATIVES

ONE HUNDRED TWELFTH CONGRESS

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HEARING ON THE STATE OF SOCIAL SECURITY'S INFORMATION TECHNOLOGY

WEDNESDAY, MAY 9, 2012

U.S. HOUSE OF REPRESENTATIVES,
COMMITTEE ON WAYS AND MEANS,
Washington, D.C.

The subcommittee met, pursuant to call, at 2:44 p.m., in B–318, Rayburn Office Building, the Honorable Sam Johnson [chairman of the subcommittee] presiding.

[The advisory of the hearing follows:]

HEARING ADVISORY

Chairman Johnson Announces a Hearing on The State of Social Security's Information Technology

Wednesday, May 09, 2012

U.S. Congressman Sam Johnson (R–TX), Chairman of the House Committee on Ways and Means Subcommittee on Social Security, today announced a hearing on the State of the Social Security Administration's (SSA's) Information Technology. **The hearing will take place on Wednesday, May 9, 2012, in B–318 Rayburn House Office Building, beginning at 2:00 p.m.**

In view of the limited time available to hear witnesses, oral testimony at this hearing will be from invited witnesses only. However, any individual or organization not scheduled for an oral appearance may submit a written statement for consideration by the Subcommittee and for inclusion in the printed record of the hearing.

BACKGROUND:

Information technology (IT) is critical to the SSA's ability to serve the public. According to the SSA, in fiscal year 2011, the agency's IT system supported the payment of more than $770 billion in benefits to 60 million people and the maintenance of hundreds of millions of Social Security numbers and related earnings records for nearly every American. The SSA's computers also house the electronic medical records of millions who have filed disability claims and exchange over a billion data files annually among the SSA, Federal, State, and local government agencies and businesses in order to administer Social Security benefits and other programs.

As of January 2011, the SSA had 22 internet-based electronic services available to the public. In Fiscal Year 2011, Social Security processed 15 million personalized online transactions, including 41 percent of retirement claims and 33 percent of disability claims. Based on the American Customer Satisfaction Index scores, the SSA has the three highest-rated online services in all of the Federal Government. According to the SSA, IT investments have helped increase the agency's productivity by four percent in each of the last five years.

To deliver services, Social Security relies on a complex and large IT system, including sensitive data bases, hundreds of software applications, large computer platforms and thousands of networked computers, printers, phones and other devices. The information technology is used by nearly 80,000 employees at the SSA and the state Disability Determination Services.

Until January 2009, the SSA ran its nationwide computer operations from its 30-year old National Computer Center (NCC). Since then, a second state-of-the-art support center now runs approximately 35 percent of all its workloads. In February 2009, the *American Recovery and Reinvestment Act of 2009* provided $500 million for the SSA to cover the cost of building a replacement facility for the NCC and part of the cost of equipping it. After a land acquisition and contractor bidding process that took longer than was initially projected in 2009, the current projected date for complete commissioning of the new facility is February 2015, slightly over one year behind the original schedule. However, the project is currently projected to come in significantly under budget, due to a lower-than-expected construction contract.

Since 2007, reports by various oversight and advisory groups, including the National Research Council, the Government Accountability Office (GAO), the SSA Office of the Inspector General and the bipartisan Social Security Advisory Board have called for the SSA to establish a strategic vision for its information technology investments and develop a long-term plan to improve customer service. The Future Systems Technology Advisory Panel, a panel of public and private sector industry experts established by Commissioner Astrue in 2008 to provide independent systems technology advice, also recommended developing a "comprehensive, agency-wide

strategic systems development roadmap." In April 2011, Chairman Johnson requested a report from the GAO to examine the current state of SSA's modernization efforts and its plans for the future, which will be released at the hearing.

In announcing the hearing, Social Security Subcommittee Chairman Sam Johnson (R–TX) said, "**Americans of all ages are increasingly using technology for their everyday needs—from paying their bills to buying their groceries. Rapid technological innovation defines the times we live in. Social Security's ability to serve an increasingly tech-savvy public depends on its ability to develop a modernized long-term service delivery plan with the right investments of today**."

FOCUS OF THE HEARING:

The hearing will focus on the state of SSA's IT system and the challenges it faces, IT modernization efforts to date and the return on these investments, IT management structure, and the effectiveness of the SSA's IT strategic planning for IT investment and measures to track progress.

DETAILS FOR SUBMISSION OF WRITTEN COMMENTS:

Please Note: Any person(s) and/or organization(s) wishing to submit for the hearing record must follow the appropriate link on the hearing page of the Committee website and complete the informational forms. From the Committee homepage, *http://waysandmeans.house.gov*, select "Hearings." Select the hearing for which you would like to submit, and click on the link entitled, "Click here to provide a submission for the record." Once you have followed the online instructions, submit all requested information. ATTACH your submission as a Word or WordPerfect document, in compliance with the formatting requirements listed below, **by the close of business on Wednesday, May 23, 2012**. Finally, please note that due to the change in House mail policy, the U.S. Capitol Police will refuse sealed-package deliveries to all House Office Buildings. For questions, or if you encounter technical problems, please call (202) 225–1721 or (202) 225–3625.

FORMATTING REQUIREMENTS:

The Committee relies on electronic submissions for printing the official hearing record. As always, submissions will be included in the record according to the discretion of the Committee. The Committee will not alter the content of your submission, but we reserve the right to format it according to our guidelines. Any submission provided to the Committee by a witness, any supplementary materials submitted for the printed record, and any written comments in response to a request for written comments must conform to the guidelines listed below. Any submission or supplementary item not in compliance with these guidelines will not be printed, but will be maintained in the Committee files for review and use by the Committee.

1. All submissions and supplementary materials must be provided in Word or WordPerfect format and MUST NOT exceed a total of 10 pages, including attachments. Witnesses and submitters are advised that the Committee relies on electronic submissions for printing the official hearing record.

2. Copies of whole documents submitted as exhibit material will not be accepted for printing. Instead, exhibit material should be referenced and quoted or paraphrased. All exhibit material not meeting these specifications will be maintained in the Committee files for review and use by the Committee.

3. All submissions must include a list of all clients, persons and/or organizations on whose behalf the witness appears. A supplemental sheet must accompany each submission listing the name, company, address, telephone, and fax numbers of each witness.

The Committee seeks to make its facilities accessible to persons with disabilities. If you are in need of special accommodations, please call 202–225–1721 or 202–226–3411 TTD/TTY in advance of the event (four business days notice is requested). Questions with regard to special accommodation needs in general (including availability of Committee materials in alternative formats) may be directed to the Committee as noted above.

Note: All Committee advisories and news releases are available on the World Wide Web at *http://www.waysandmeans.house.gov/*.

Chairman JOHNSON. This hearing will come to order.

As our Nation ages, more Americans are depending on the Social Security benefits and services they paid for through their hard-earned wages. According to the recently released 2012 annual report, the Social Security Board of Trustees projects that the number of people receiving benefits will increase 43 percent between now and 2025, growing from almost 60 million today to close to 80 million.

This long-predicted workload tsunami is placing an ever-greater pressure on Social Security's ability to serve the public, which is why technology plays such an important role in Social Security's ability to deliver services to America.

Social Security's computers have vast numbers of servers and databases containing Social Security numbers, earnings, personal health information, and demographic information on workers, beneficiaries, and their families. Social Security's employees retrieve this very personal information through hundreds of software applications in Social Security's local offices and teleservice centers via network computers, printers, phones, and other devices.

As more of the public chooses to conduct business via the Internet, Social Security has seen its online traffic grow. In Fiscal Year 2011, Social Security processed 15 million online transactions, including 41 percent of retirement claims and 33 percent of disability claims.

Because of their importance, I take the technology needs of Social Security very seriously. I have toured the two facilities that house Social Security's technology infrastructure, and, in addition, my subcommittee continues to keep close tabs on the progress of the new data center that will replace the aging National Computer Center at Social Security headquarters. At present, the completion date for the new facility is February 2015, a year behind schedule.

In March 2011, the bipartisan Social Security Advisory Board issued a report, "A Vision for the Future," in which it said, "The Social Security Administration, like all of government, is under extraordinary strain to accomplish its core mission with smaller budgets and a smaller workforce, the immediate pressure to attend only to today's tasks, and focus less on the future is understandable, but not acceptable." I could not agree more.

That is why I asked the Government Accountability Office, or GAO, to report on Social Security's efforts to modernize its technology. Today our witness from GAO, Ms. Melvin—thank you—will present GAO's findings, including the fact that for years experts have highlighted the importance for Social Security to have a strategic IT plan. As we will learn today, while some progress has been made, there is a long way to go.

I am deeply concerned about the Commissioner's decision to eliminate the Office of Chief Information Officer and reassign its responsibilities to the Office of Systems when this office was created specifically to develop the agency's technology vision and manage the investment process in the first place.

Further, I was disappointed to learn that a future systems technology advisory panel, convened by the Commissioner and made up of outside experts, was disbanded after two years of work.

Social Security's Inspector General is now conducting an audit to tell us what actions Social Security took in response to the panel's recommendation. From what I understand, they threw away all the paperwork.

Americans of all ages are increasingly using technology for their everyday needs from paying their bills to buying their groceries. They expect government to keep up technologically. Rapid technological innovation defines the times we live in, including creative ways, new ways of doing business.

If Social Security is to effectively meet future service demands, it must embrace change and design a future service delivery plan that, at its core, is driven by new technology. The public expects and deserves nothing less.

I now recognize Mr. Becerra for his opening statement, and welcome aboard, sir.

Mr. BECERRA. Mr. Chairman, thank you very much. And to the witnesses, thank you for your patience in indulging us as we were on the floor voting.

Mr. Chairman, the Social Security Administration does a difficult job well, and has had a number of information technology successes. At the same time, long-range strategic planning for large-scale technology modernization, which can be a challenge for a large enterprise, presents a unique challenge for SSA, which handles over 32,000 new benefit applications, and serves 180,000 Americans in person, and well over 300 Americans by phone each and every business day.

I hope this hearing will focus on how SSA can best move forward and what we can do here in Congress to support that.

For 77 years and through 13 recessions, the Social Security Administration has paid Americans their earned benefits on time and in full. In 2012, they paid Social Security benefits to over 55,000 million Americans with an error rate of less than 1 percent. SSA maintains earning records for nearly 160 million current workers and handles more than 8 million new benefit applications each year.

Last year, Social Security field offices served about 45 million visitors in person and 76 million people called SSA's 800 number for help. SSA helped all those Americans while maintaining a customer satisfaction rating of about 80 percent.

One of our witnesses today, Mr. Freed, will report that three of SSA's most popular online tools outperform Amazon, the highest-scoring e-retail website they have ever rated. That is why I could not support the House Republican budget that forced cuts to SSA's budget in 2011, or the decision to under fund it again in 2012. We cannot expect Social Security to keep helping so many people with so few payment mistakes if they keep losing thousands of experienced employees every year and cannot replace them.

Now 1 in 4 American families receives income from Social Security. That day-to-day mission of providing Americans with their earned benefits is so vital that SSA does not have the option of shutting down even for a day or two while they install new systems

or retrain the nearly 80,000 workers who help deliver Social Security every day.

For those who think Social Security could shut down for a day, what are you going to tell the 32,000 Americans who plan to apply for Social Security benefits today, the 72,000 Americans who had to request a Social Security number today, or the 80,000 Americans who would have gone to Social Security's offices for help today? Or what about the 300,000 people who would have called Social Security's 800 number or a local Social Security office today? All in just one day. That is what Social Security does. Let us know if you think we can handle that if Social Security has to close.

SSA has other challenges, too. Even though Americans will pay over $730 billion into the Social Security system in 2012 alone, SSA has to come to Congress every year to ask for money to operate Social Security. It is hard to fund long-term investments in technology or anything else when you do not know what next year's budget will be, especially when your last couple of budgets did not even come close to covering your day-to-day costs.

SSA's current systems are a complex patchwork quilt of old and new technologies. Seven hundred different software applications that generate over 160,000 million computer transactions a day. e-Government offers great promise for modern customer service and greater efficiency, but SSA serves a diverse population, and not everyone has the technology and the skills needed for self-serve government right now. For example, 70 percent of adults in urban areas have high speed Internet access at home, but only 50 percent of those in rural areas do.

There is longstanding concern about SSA's record of strategic planning and investment for IT modernization. The Government Accountability Office will tell us this morning that SSA's methods for measuring the progress and cost-effectiveness of IT investments are inadequate.

Finally I want to better understand SSA's recent change which merged a separate Office of the Chief Information Officer with the Office of Systems. Typically a CIO office focuses on long-term strategic planning and investment, while the systems office has the challenging job of making sure those 700 software applications and hardware in thousands of different offices keep functioning every day.

Deputy Commissioner Kelly Croft, who now wears both of those hats as the chief information officer and head of systems, is here today to talk about how he juggles those two critical responsibilities.

When Social Security began in the 1930s, a French industrial expert hired to advise the U.S. government concluded that the record-keeping and data management needed for the new Social Security System was impossible. Just the weight of the original paper records, for example, would be so massive that no building in Washington had ever been built with floors sturdy enough to hold the paper.

But Social Security persevered, and in 1937, IBM invented the 077 collator, a punch card tabulating system that is the ancestor of modern computers. That was done just for Social Security. More recently, in 1993 SSA started using predictive modeling software to

increase the efficiency of their programming integrity work which is how they prevent fraud and payment error. Reviewing cases targeted by computer models more than triples the savings from this work.

Social Security has done other projects that have shown that you can actually use technology to not just help Americans, but to save American people money. And I look forward, Mr. Chairman, to hearing how we can work with the SSA to make sure that using technology, everyone moves forward with a better SSA.

I yield back, Mr. Chairman.

Chairman JOHNSON. Thank you. As is customary, any member is welcome to submit a statement for the hearing.

Chairman JOHNSON. Before we move on to our testimony, I want to remind our witnesses to please try to limit your statement to 5 minutes. However, without objection, all the written testimony will be made a part of the hearing record.

We have one witness panel today. Seated at the table is Kelly Croft, our Deputy Commissioner of Systems and Chief Information Officer at Social Security, Valerie Melvin, Director of Information Management and Technology Resource Issues at the Government Accountability Office, Larry Freed, President and Chief Executive Officer of ForeSee Results, Inc. in Ann Arbor, Michigan, William Scherlis, Ph.D., Professor, School of Computer Science at Carnegie Mellon in Pittsburgh, Max Richtman, President and CEO of the National Committee to Preserve Social Security and Medicare. Thank you all for your attendance today.

Welcome, Mr. Croft. You may proceed.

STATEMENT OF G. KELLY CROFT, DEPUTY COMMISSIONER OF SYSTEMS AND CHIEF INFORMATION OFFICER, SOCIAL SECURITY ADMINISTRATION

Mr. CROFT. Thank you. Chairman Johnson, Ranking Member Becerra, Members of the Subcommittee, thank you for having me here today. Appreciate it.

I have worked at Social Security for 30 years and currently do serve as the Deputy Commissioner for Systems and CIO. In short, I am responsible for delivering agency-wide IT services and for protecting the information assets of Social Security.

We are a very large and highly automated organization, and our systems are available to end users over 99.9 percent of the time. Our Internet applications for the public are thoughtfully designed, highly rated, and allow us to maintain high and improving service levels, even with rising workloads. Just last week we began providing Social Security statements online. Over 150,000 people have already successfully used the service.

We have extensive internal controls and continually invest in IT security. In recent years, our most significant security risk was our inability to quickly recover IT services with any prolonged disruption at our Maryland data center. That is no longer the case. Earlier this year, we successfully tested fast and assured recovery if we ever experience a serious problem at the Maryland center.

We currently have a number of IT projects that are critical for improving our efficiency and quality of service. Just to name a few, we are building a new case processing system for State disability

determination services, building a visitor intake system for our field offices, adding better systems capabilities in our hearing offices, and building more online services for public use.

Our most important project over the next few years will be to transition IT operations from our aging Maryland data center to a new facility. GSA has purchased the land, selected a builder, and the design phase of the work is underway, and we are grateful to the subcommittee for your support with this project.

Social Security has a number of IT strengths. For example, we have a superb technical workforce. We have consolidated most aspects of IT to benefit from economies of scale, and we are very good at technical project management. That said, during an annual process where we assess future IT investments, we always have far more needs and good ideas than expected resources, so we must prioritize what we work on.

We are in a continual state of IT modernization, and given the long computing history and size of our enterprise, we always will be. We have over 700 software applications that combined routinely generate over 160 million computer transactions a day.

Some of our software is state of the art with graphical user interfaces that rival the best systems of their kind in the world. On the other hand, some of our software is much older with green screen user interfaces. However, with proven software, old does not necessarily mean dysfunctional. All of our older software works. It is regularly updated and maintained, and it accurately reflects the intricacies of Title 2 and Title 16 statute and policy. This legacy software also represents a multi-billion dollar investment by taxpayers.

We do want to modernize our older systems, and we do so whenever we are rebuilding them because of new business direction, or if we determine through annual review that an important system is at increasing risk for technical failure.

Managing a large IT organization does require planning. We routinely develop detailed multi-year plans in specific technical areas, for example, to change our storage infrastructure. At a higher level, we have recently updated our information resources strategic plan, and we are in the process of updating our enterprise architecture roadmap.

We assess agency IT in a number of ways. For example, we analyze cost, schedule, and functionality with all our major investments, and we post that information on the Federal IT Dashboard. We also do extensive industry research and benchmarking, and closely track things such as systems availability and satisfaction scores.

Finally, because IT enables all aspects of SSA operations, the ultimate measure of our success is reflected in the overall performance and high year over year productivity gains of the agency.

Thanks again for having me here today, and I will do my best to answer your questions.

[The prepared statement of Mr. Croft follows:]

This Testimony is Embargoed Until Tuesday, May 9th at 2:00 PM

HEARING BEFORE

THE COMMITTEE ON WAYS AND MEANS
SUBCOMMITTEE ON SOCIAL SECURITY

UNITED STATES HOUSE OF REPRESENTATIVES

MAY 9, 2012

STATEMENT
OF
G. KELLY CROFT
DEPUTY COMMISSIONER FOR SYSTEMS AND
CHIEF INFORMATION OFFICER
SOCIAL SECURITY ADMINISTRATION

This Testimony is Embargoed Until Tuesday, May 9th at 2:00 PM

Chairman Johnson, Ranking Member Becerra, and Members of the Subcommittee, thank you for this opportunity to discuss the state of Social Security information technology.

I have worked at SSA for 30 years and currently serve as Deputy Commissioner for Systems (DCS) and Chief Information Officer (CIO). I am responsible for delivering cost-effective IT services, and for protecting the information assets of Social Security.

We are a highly automated, mostly paperless agency, and our enterprise systems are available to end-users, with good response times, over 99.9 percent of the time. Our Internet applications for the public and businesses are thoughtfully designed, highly rated (by the independent American Customer Satisfaction Index and our own surveys), and allow us to maintain high and improving service levels even with rising workloads. Just last week we began providing a new service for the public to get a Social Security Statement online. Over 150,000 people have already successfully used this service.

Our electronic services are highly rated because we carefully select appropriate transactions for online development; we think through an entire business process and conduct rigorous user-centered design; we pay attention to IT security; we carefully test our software before placing it in production; we make our electronic services accessible, including to people with disabilities; and we closely monitor the performance and satisfaction of each electronic service and regularly improve our software.

Other examples of recent Social Security IT advancements include an innovative system designed to reduce improper payments with Supplemental Security Income (SSI); expanded decision support software for making policy compliant disability decisions; Spanish versions of our popular online Retirement Estimator and our retirement iClaim application; a completely re-designed system for processing Social Security card requests; and many improvements to our automated notices.

To protect our extensive data stores and all key systems, we have tight internal controls and continually invest in IT security where we blend new security technologies with classic concepts such as continuous monitoring, situational risk awareness, defense-in-depth, and least-privilege. In recent decades, our most significant security risk was our inability to quickly recover IT services with any prolonged disruption at our Maryland data center. That is no longer the case. Earlier this year we successfully tested and proved fast and assured recovery if we ever experience a serious problem at the Maryland center.

We currently have a number of in-progress IT initiatives that are critical for improving our efficiency and quality of service. Just to name a few, we are building a new case processing system for State disability determination services; building a national visitor intake system for our field offices; adding more advanced systems capabilities in our hearing offices; converting our master-files to DB2 databases; increasing the use of video for appeals and operational workloads; modernizing our earnings record software; building more agile data exchange

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programs; and building more online services that will utilize our new "My Social Security" portal and authentication process.

Recognizing the changing service desires of the American public, we are carefully considering use of mobile technology. We have done thorough research, considering things such as industry trends, security, guidelines for mobile suitability, design best practices, and return-on-investment potential. We plan to build a transactional mobile application for SSI wage reporting later this year. Wage reporting is a reoccurring task for a segment of beneficiaries and their families, and it one of the main causes of improper payments.

Our most important project over the next few years will be to transition IT operations from our aging Maryland data center to a new facility. The General Services Administration has purchased the land, selected a builder, and the design phase of the work is underway. We expect to begin installing IT equipment in the new building in 2015 and are doing extensive transition and budget planning. We are grateful to this Subcommittee for unfailing support for this project.

We strive to be good partners with other Federal agencies, and with State and local government entities—in particular because of the need to collaborate on our ever-growing data exchange and information verification workloads such as eVerify. Another example of our close collaboration with agencies is our ongoing work with the Veterans Administration and the Department of Defense to support Wounded Warriors. We fully support all government-wide IT initiatives directed by the Office of Management and Budget and sponsored by the Federal Chief Information Officer Council.

Social Security has a number of IT strengths. For example, we have a superb technical workforce; we have consolidated most aspects of agency IT in order to benefit from economies of scale; and we are very good at user-centered design and technical project management. That said, during an annual process where we assess future IT investments, we always have far more agency needs and good ideas than expected resources, so we must prioritize what we will work on. All SSA components are active players with the IT department in this process because they recognize the importance of IT to the agency.

We are in a continual state of IT modernization—and given the long history and size of our enterprise, we always will be. For example, we have over 700 software applications that combined, routinely generate over 160 million computer transactions a day. Some of our software is state of the art, with modern graphical interfaces that rival the best systems of their kind in the world. On the other hand, some of our software is much older, with green screen user interfaces.

However, with proven software, "old" does not necessarily mean dysfunctional. Most of the older software (that we are gradually phasing out as resources allow) is robust; all of it is regularly updated and maintained; and it accurately reflects the intricacies of complex Social Security and SSI statute and policy. This "legacy" software represents a multi-billion dollar investment by taxpayers. We also do careful IT workforce planning to ensure that we always have adequate numbers of fully trained staff to operate all the technologies we use.

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The mix of programming languages in our software portfolio reflects our continual modernization. Although we have many COBOL programs, our inventory of JAVA code is growing and will become the most prevalent programming language in our software applications in a few years. We modernize older systems when we are re-building them because of business direction, or if we determine, through annual review, that a particular system is at increasing risk for technical failure.

Our IT hardware and telecommunications infrastructure is diverse and generally very current. We refresh these technologies based on business needs and consistent with industry best practices. Reflecting our efficiency, we deliver agency-wide IT services from just two data centers. These centers are co-processing facilities. They share the daily agency computing load, and each has the ability (hardware, telecommunications, applications, data, and staff) to pick up all operations from the other in case of problems.

Managing a large IT organization requires a significant amount of planning. We routinely develop very detailed multi-year plans within a specific area, for example, to upgrade our telecommunications systems. At a higher level, we have just recently updated our 2012-2016 Information Resources Management Strategic Plan, and our Capital Planning and Investment Control guide. We are in the process of updating our IT enterprise architecture roadmap to be fully compliant with guidance from the Office of Management and Budget.

We assess the overall state of agency IT in a number of ways. For example, we analyze cost, schedule, and functionality with our major IT investments, and in a transparent manner, we share that information with the public on the Federal IT Dashboard. We monitor the availability and performance of all our enterprise systems on a daily basis. We closely track agency-wide security incidents, help desk calls and trouble tickets. We have very active management and sponsor oversight of our work, and we conduct success verification evaluations at the conclusion of all our executive oversight projects. We receive continual feedback from end-user surveys, numerous auditors, and our business partners. We conduct a bi-annual skills inventory of our workforce. We are active participants in a number of research and benchmarking groups. Finally, the ultimate measurement of our IT success is reflected in the overall performance metrics, and high year-over-year productivity gains, of the agency.

Accountability and authority for IT in Social Security very clearly rests with the position I hold as Deputy Commissioner for Systems/Chief Information Officer (DCS/CIO). I am a direct report to the SSA Commissioner and have a seat at the table for literally all senior groups and boards in the agency. At Social Security the DCS/CIO leads agency IT planning; IT capital planning and investment management; IT security; IT workforce planning; enterprise architecture; e-government initiatives; and all systems acquisitions, development and integration efforts. In addition, I closely collaborate with peer SSA executives on agency information disclosure; privacy; records management; information dissemination; and information collection/paperwork reduction efforts.

IT literally touches all aspects of the agency, and I appreciate your interest in the topic. Thanks again for inviting me to this hearing and I will do my best to answer any questions you have.

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Chairman JOHNSON. Thank you. We appreciate your presence. Ms. Melvin, welcome. Please go ahead.

STATEMENT OF VALERIE C. MELVIN, DIRECTOR, INFORMATION MANAGEMENT AND TECHNOLOGY RESOURCES ISSUES, GOVERNMENT ACCOUNTABILITY OFFICE

Ms. MELVIN. Good afternoon, Chairman Johnson, Ranking Member Becerra, and Members of the Subcommittee. Thank you for inviting me to participate in today's hearing on SSA's information technology. As you have noted, the agency depends heavily on IT to deliver services that touch the lives of nearly every American, and during the last Fiscal Year, spent nearly $1.6 billion on its IT efforts.

As its systems have aged and its workload has increased, SSA has committed to investing in technology needed to update its infrastructure and deliver services more quickly and efficiently. In addition, it had recently aligned its IT governance structure, including the responsibilities of a CIO, as you have noted.

At your request, we recently completed the study of the agency's IT modernization efforts, the results of which are found in our report that is being released today. Our study examined three areas: SSA's progress at modernizing IT, the effectiveness of its modernization plans and strategies, and whether the CIO realignment allows it to effectively oversee and manage its modernization efforts.

To summarize briefly, we found that SSA has spent about $5 billion since 2001 on many modernization projects that have impacted all of its main program areas. However, SSA's efforts have not been guided by the kind of strategic approach that we have identified as crucial to ensuring successful modernization outcomes.

Specifically, SSA has not developed comprehensive and quantifiable performance measures, or conducted post-implementation reviews of all of its completed projects, making it difficult to measure the progress that it is making, or determine if its projects are cost-effectively supporting its modernization goals.

Also at the time of our study, SSA lacked an approved IT strategic plan that included key elements to specify how its IT investments support overall agency strategic goals, and fit together to provide the kind of modernized technology environment needed to carry out its mission.

As has been noted, SSA has issued a new plan earlier this week, and we have begun to assess it. To be a meaningful tool, it is important that this plan provide a clear and comprehensive picture of what the agency seeks to accomplish, identify the IT strategies SSA will use to achieve desired results, and provide results-oriented goals and performance measures that permit the agency to determine whether it is succeeding.

Further, if appropriately implemented, SSA's recent consolidation of the CIO's responsibilities and to its Office of Systems could provide for effective management of its IT. However, this realignment was undertaken without adequate planning, including an assessment of its impact on staffing roles and responsibilities.

In addition, the new governance structure had not been reflected in SSA's internal guidance on managing IT investments, which is critical to ensuring effective oversight.

As highlighted in our report, SSA has completed many modernization projects that have delivered tangible benefits. We also

note, however, that the agency still has major modernization efforts underway, as Mr. Croft has alluded to. These include completing the conversion of its legacy database management system and modernizing its Title 2 processing system. The significance of these efforts highlights the need for a more strategic approach to modernization that SSA currently lacks.

Our report contains recommendations to SSA for establishing such an approach. In addition to updating its IT strategic plan to help ensure that its investments effectively support broader agency goals, we also recommended that SSA develop comprehensive performance measures, and post implementation reviews to better measure progress, and to further define its enterprise architecture and IT strategic vision, as well as to clearly define the roles and responsibilities of its Office of Systems staff in light of the CIO realignment.

Until SSA has a more strategic approach to using IT to supports its mission, it risks investing in technology that does not meet future needs of the agency or the public in the most optimal manner. Further, SSA will continue to lack a meaningful mechanism for oversight bodies, such as your subcommittee, to gauge its progress in meeting modernization goals.

This concludes my prepared statement. I would be pleased to respond to your questions.

[The prepared statement of Ms. Melvin follows:]

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Before the Subcommittee on Social Security, Committee on Ways and Means, House of Representatives

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SOCIAL SECURITY ADMINISTRATION

Technology Modernization Needs Improved Planning and Performance Measures

Statement of Valerie C. Melvin, Director
Information Management and Technology Resources Issues

GAO-12-723T

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Chairman Johnson, Ranking Member Becerra, and Members of the Subcommittee:

Thank you for inviting me to participate in today's hearing on the Social Security Administration's (SSA) efforts to modernize its information technology (IT) systems and environment. As you know, SSA is responsible for delivering services that touch the lives of virtually every American, and the agency relies heavily on IT to do so. Its computerized information systems support a range of activities, from the processing of Disability Insurance and Supplemental Security Income payments to the calculation and withholding of Medicare premiums, and the issuance of Social Security numbers and cards. Last fiscal year, the agency spent nearly $1.6 billion on IT.

As SSA's systems have aged and its workload has increased, the agency has committed to investing in the capacity and modern technologies needed to update its strained IT infrastructure. In addition, the agency has recently undertaken a realignment of its IT governance structure, including the responsibilities of its Chief Information Officer (CIO).

At your request, over the past year, we have been examining SSA's modernization efforts. The specific objectives of our study were to (1) determine SSA's progress in modernizing its IT systems and capabilities; (2) evaluate the effectiveness of SSA's plans and strategy for modernizing its systems and capabilities; and (3) assess whether the realignment of the agency's CIO responsibilities allows for effective oversight and management of the systems modernization efforts.

Our report documenting the results of the study is being released today.[1] As agreed with your office, my testimony statement summarizes the key findings in our report. In preparing this statement, we relied on the work supporting our report. The report contains a more detailed overview of the scope of our review and the methodology used. The work upon which this statement is based was conducted in accordance with generally accepted government auditing standards from May 2011 to April 2012. Those standards require that we plan and perform audits to obtain sufficient, appropriate evidence to provide a reasonable basis for our findings and

[1]GAO, *Social Security Administration: Improved Planning and Performance Measures Are Needed to Help Ensure Successful Technology Modernization*, GAO-12-495 (Washington, D.C.: Apr. 26, 2012).

conclusions. We believe that the evidence obtained provided a reasonable basis for our findings and conclusions based on our audit objectives.

Background

SSA's mission is to deliver Social Security services that meet the changing needs of the public. The Social Security Act and amendments established the programs that SSA administers, which include

- the Old Age, Survivors, and Disability Insurance program: Commonly referred to simply as "Social Security," this program is one of the nation's largest entitlement programs and provides monthly benefits to retired and disabled workers, their spouses and children, and the survivors of insured workers who have died; and
- the Supplemental Security Income program: This is a needs-based program financed from general tax revenues that provides benefits to aged adults, blind or disabled adults, and children with limited income and resources.

According to SSA, in fiscal year 2011, about 54 million people received benefits from the Old Age, Survivors, and Disability program, and over 8 million people received benefits from the Supplemental Security Income program. Collectively, about 155 million people work and pay Social Security taxes. The agency's fiscal year 2011 expenses totaled about $12.4 billion to support its programs.

SSA Relies on IT to Deliver Services

SSA relies extensively on IT to administer its programs and support related activities. Specifically, its systems are used to, among other things,

- handle millions of transactions on SSA's toll-free telephone number,
- maintain records for the millions of beneficiaries and recipients of SSA's programs,
- evaluate evidence and make determinations of eligibility for benefits,
- issue new and replacement Social Security cards, and
- process earnings items for crediting to workers' earnings records.

However, as the agency's systems have aged, SSA has faced challenges in carrying out its increasing workload. Specifically, many of SSA's existing systems software were developed in the 1960s and 1970s and are written in older computer programming languages or are past their designed life cycle. While the agency has made technical and functional upgrades throughout the years, it continues to face challenges because of the need to store, process, and share increasing amounts of data and to transition to Web-based, online access for SSA data and services, among other factors.

Accordingly, in its most recent Agency Strategic Plan, SSA has identified IT as a key foundational element to achieving success in meeting its goals. Recognizing the challenges facing its IT environment, the agency has stated that it plans to, among other things, develop and implement a common system for processing disability cases, increase its use of online services for access to benefits and information, and automate its processes for reporting information.

Office of Systems Oversees SSA's IT Systems and Investments

SSA's Office of Systems is responsible for developing, overseeing, and maintaining the agency's IT systems. Comprised of eight component offices and approximately 3,300 staff, the Office of Systems has responsibility for the agency's IT.

SSA uses its capital planning and investment control process to manage its software development projects. This process is intended to meet the objectives of the Clinger-Cohen Act of 1996[2] by providing a framework for selecting, controlling, and evaluating investments in IT to help ensure that they meet the strategic and business objectives of the agency. This process requires a series of reviews by executive oversight bodies, including the agency's Strategic Information Technology Assessment and Review board, to ensure that IT projects are selected that best meet the agency's goals; that, once selected, they are performing within expected schedule and cost parameters; and finally, that once implemented, these projects are delivering results.

[2]The Clinger-Cohen Act (see 40 U.S.C. §§ 11301-11331) provides a framework for effective IT management that encompasses systems integration planning and investment.

In June 2011, in an effort to increase efficiency, the Commissioner of Social Security announced the realignment of CIO functions and associated personnel. As part of this realignment, the Office of the CIO was eliminated, and most of its responsibilities for managing IT, along with the IT budget, were reassigned to the Office of Systems. Previously, key duties of the CIO were to select and prioritize IT investments and oversee the review and approval of the annual IT budget, while the Office of Systems was responsible for managing the acquisition, development, and maintenance of IT projects. Under the realignment, the Deputy Commissioner for Systems—who heads the Office of Systems—assumed the major responsibilities of the CIO.

SSA Has Undertaken Numerous Modernization Efforts but Lacks Effective Tools for Measuring Progress

Since 2001, SSA has reported spending more than $5 billion on the development, modernization, and enhancement of its IT systems and capabilities. SSA officials identified 120 initiatives undertaken from 2001 to 2011 that the agency considered to be key investments in modernization. These comprise a subset of the hundreds of projects and modernization activities SSA undertakes yearly, which vary greatly in level of effort, scope, and cost. These initiatives affected all of the agency's main program areas:

- According to managers within SSA's Office of Disability Systems, in an effort to reduce backlogs of disability hearings, the agency implemented a process for creating electronic "folders" for each applicant, to replace the existing paper-based process. This initiative included capabilities for electronically viewing an applicant's folder, electronic screening for faster disability determinations, and Internet access to information on disability hearings and determinations.
- The Office of Retirement and Survivors Insurance Systems took steps to improve outdated legacy systems and respond to legislation or other mandates requiring new system functionality. These efforts included integrating stand-alone "post-entitlement" processes, facilitating online application for benefits, and conversion of a key database to a more modern, industry-standard one.
- Managers from the Office of Applications and Supplemental Security Income described initiatives to modernize large legacy databases and facilitate data sharing to streamline the claims process. These included enhancements to the electronic death registration process

and the development of a Web application enabling access to data from multiple systems.

- SSA officials described initiatives in the area of electronically exchanging data with external partners, including states and private-sector partners such as banks and credit bureaus.
- SSA also noted efforts to streamline the process for administering Social Security cards, such as introducing safeguards against counterfeiting and replacing its legacy printers.

In addition to these initiatives, SSA undertook a project to establish a disaster recovery capability at a secondary computing site. This project provided for continuity of operations, continuous processing of SSA's workload, and backup of the agency's IT assets, among other capabilities.

While these improvements have yielded benefits, SSA still has a number of other major efforts under way to continue the modernization of its IT environment. These efforts involve

- completing the conversion of the agency's legacy Master Data Access Method database system (used to support the storage and retrieval of SSA's major program master files) to a modern, industry-standard database system;
- transitioning from its legacy system for processing retirement and survivors' claims to a single, unified system that integrates initial and post-entitlement actions;
- streamlining operations and reducing duplication in disability databases and transitioning from multiple and fragmented applications to a single, unified case processing system;
- enhancing and refreshing telecommunications equipment and ongoing improvement of connectivity and bandwidth for data, voice, and video communications; and
- supporting enhancements to SSA's Medicare initiatives, including changes required by the Patient Protection and Affordable Care Act, which are intended to improve the process for verifying the name, Social Security number, and other data on Medicare earnings reports.

SSA officials noted that the agency faces several challenges in successfully carrying out these modernization efforts. These include planning for system changes within a single fiscal year budget cycle, a practice that limits the agency's ability to make long-term modernization plans; devoting significant resources to the maintenance of existing legacy systems because of large quantities of legacy code; and diverting resources from long-term projects to shorter-term immediate requirements, such as those arising from legislative changes.

Compounding these challenges, we found that SSA has not fully established performance measures or a post-implementation review process that would allow it to determine the progress it is making in its modernization efforts. Federal law requires agencies to identify performance measures for their IT investments,[3] and we have previously reported that comprehensive measures are essential for gauging the progress and benefits of IT investments.[4] However, while SSA developed performance measures for most of its 17 major modernization investments for fiscal year 2010, it did not identify any measures in one of four management areas identified by the Office of Management and Budget (OMB) for 3 of these investments.[5] Moreover, the measures SSA developed did not always allow for assessments of each project's effectiveness in meeting agency goals. For example, these measures did not always (1) identify how each project is to contribute to expected benefits; (2) include measures of investments' effectiveness in meeting goals, requirements, or mission results; or (3) provide the means for measuring progress toward specific modernization goals.

[3]The Paperwork Reduction Act requires federal agencies to establish performance measures that depict how effectively the management of information resources, which includes IT, is supporting their business needs. In addition, the Clinger-Cohen Act requires agencies to establish performance measures, such as those related to how IT contributes to program productivity, efficiency, and effectiveness, and to monitor the actual-versus-expected performance of those measures.

[4]GAO, *Information Technology Management: Governmentwide Strategic Planning, Performance Measurement, and Investment Management Can Be Further Improved*, GAO-04-49 (Washington, D.C.: Jan. 12, 2004).

[5]These four areas are mission and business results, processes and activities, customer results, and technology. See OMB, *Federal Enterprise Architecture: Consolidated Reference Model Document*, version 2. 3 (Washington, D.C.: October 2007).

In addition, SSA has not conducted post-implementation reviews of its IT projects or systems, as called for by OMB guidance. Such a review should confirm the extent to which planned benefits were achieved, determine the cost-effectiveness of the project, and identify lessons learned and opportunities for improvement. While SSA conducts assessments of completed initiatives, these assessments lack key elements called for by OMB that would provide assurance that modernization and other IT projects are delivering expected benefits at acceptable costs and that SSA is making progress in meeting its goals.

Modernization Approach Is Not Guided by Key Practices

Comprehensive strategic planning is essential for successfully carrying out large-scale efforts such as SSA's IT modernizations. Key elements of such planning include developing an IT strategic plan and an enterprise architecture that, together, outline modernization goals, measures, and timelines.

An IT strategic plan serves as an agency's vision and helps align its information resources with its business strategies and investment decisions. As such, it provides a high-level perspective of the agency's goals and objectives, enabling the agency to prioritize how it allocates resources; proactively respond to changes; and communicate its vision and goals to management, oversight bodies, and external parties. The enterprise architecture helps to implement the strategic vision by providing a focused "blueprint" of the organization's business processes and technology that supports them. It includes descriptions of how the organization operates today, how it intends to operate in the future, and a plan for transitioning to the target state. It further helps coordinate the concurrent development of IT systems to limit unnecessary duplication and increase the likelihood that these systems will inter-operate.

SSA developed an IT strategic plan in 2007 to guide its modernization efforts; however, the plan is outdated and may not be aligned with the agency's overall strategic plan. Specifically, because it has not been updated since 2007, the plan contains elements that are no longer relevant to SSA's ongoing modernization efforts. For example, the plan discusses projects that have largely been completed, does not reference current information security requirements, and does not reflect current staffing needs. Further, it does not reflect the way in which modernization decisions are driven by the agency's Strategic Information Technology Assessment and Review board.

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The currency of the IT strategic plan is further called into question by the fact that the agency updated its overall Agency Strategic Plan in 2008 and again in 2012. Thus, the IT strategic plan may no longer be aligned with the agency's broader goals. In the absence of an updated IT strategic plan, SSA has relied on a number of program activities to guide its modernization efforts, such as identifying and prioritizing IT modernization investments during its annual investment review process and developing high-level descriptions of projects in each of the agency's portfolios. However, these activities are based on short-term budget cycles and do not provide a long-term strategic vision with detailed steps and milestones. SSA officials stated that they are updating the IT strategic plan; however, it has yet to be finalized or approved.

In addition, SSA has developed an enterprise architecture, but it is missing key components. Specifically, the architecture captures certain foundational information about the current and target states of the organization, such as current business processes and business outcomes, to assist in evolving existing information systems and developing new ones. Nevertheless, the architecture lacks important content called for by federal CIO Council and OMB guidance that would allow the agency to more effectively plan its investments and achieve its vision of modernized systems and operations. Specifically, the architecture lacks key elements that would establish the specific steps and direction to reach its vision of modernized systems by 2016. In particular, the agency has not developed a service-oriented architecture road map that would, among other things, articulate the changes and growth in IT capabilities over time and provide a conceptual plan that establishes a basis for developing more detailed project plans. Further, SSA has not conducted an enterprise gap analysis to identify the differences between its current and target states to enable the development of a plan for transitioning from the current to the target state. SSA also has not developed quantitative performance expectations for the target state or analyzed the flows of information among the agency's business processes. Without a long-term strategic vision and an enterprise architecture that provides details on how this vision is to be executed, SSA lacks assurance that its modernization initiatives will effectively and efficiently support its goals and mission.

CIO Realignment Allows for Effective Oversight and Management but Was Implemented without Adequate Planning or Updated Guidance

As mentioned earlier, in 2011, SSA realigned the functions of its Office of the CIO, consolidating major responsibilities for the management and oversight of IT in its Office of Systems. Federal law, specifically the Clinger-Cohen Act of 1996, requires the heads of executive branch agencies to designate a CIO with key responsibilities for managing an agency's IT resources. As we have previously reported, to carry out these responsibilities effectively, CIOs require sufficient control over IT investments, including control over the IT budget and workforce.[6]

Under the realignment, key responsibilities of the CIO and Deputy Commissioner for Systems were merged into the Office of Systems. Specifically, this arrangement gave the Office for Systems responsibility for, among other things,

- oversight and management of IT budget formulation;
- systems acquisition, development, and integration;
- the IT capital planning and investment control process;
- workforce planning and allocation of resources to IT projects;
- IT strategic planning;
- enterprise architecture;
- IT security; and
- IT operations.

If implemented appropriately, this organizational structure should allow for effective oversight and management of the agency's systems and modernization initiatives. However, we found in our review that the realignment was undertaken without the benefit of an analysis of the impact of this significant organizational change. Specifically, SSA did not develop a management plan that would describe the challenges associated with the realignment or strategies for addressing them, along with time frames, resources, performance measures, and accountability

[6]GAO, *Federal Chief Information Officers: Opportunities Exist to Improve Role in Information Technology Management*, GAO-11-634 (Washington, D.C.: Sept. 15, 2011).

structures. Further, SSA did not analyze the roles and responsibilities needed to support the allocation of functions under the realignment. Without such an analysis, it cannot be determined whether the reassignment of staff that occurred as a result of the realignment represents an optimal allocation of resources.

In addition, SSA has not updated its capital planning and investment control guidance to reflect the realignment. This guidance sets forth the process and responsibilities for managing the selection, control, and evaluation of SSA's IT investments. However, under the realignment, certain elements of the existing guidance are obsolete, such as the requirement for independent CIO reviews of IT investment proposals. SSA officials stated that the guidance was being updated and would be reviewed internally; however, they could not provide a time frame for the approval and implementation of the revised guidance. Having updated guidance is critical to ensuring that responsibilities for management and oversight of the agency's IT investments are being carried out effectively under the realigned organizational structure.

SSA Needs to Take Actions to Help Ensure the Success of Its Modernization

In our report, we made a number of recommendations to SSA to address the challenges it faces in carrying out its IT modernization efforts. Specifically, we recommended that SSA:

- Ensure that performance measures are established for IT investments in each of OMB's four management areas and that they allow for measurement of progress in meeting modernization goals.
- In updating the agency's IT strategic plan, ensure that it includes key elements, such as results-oriented goals, strategies, milestones, performance measures, and an analysis of interdependencies among projects and activities, and is used to guide and coordinate modernization efforts.
- Establish an enterprise architecture that includes key elements, such as a service-oriented architecture road map, a gap analysis, performance targets, and descriptions of information flows and relationships.
- Define roles and responsibilities of realigned IT staff and develop and clearly document updated investment review guidance.

In commenting on a draft of our report, SSA neither agreed nor disagreed with our recommendations. However, the agency provided responses to each of the recommendations, as well as more general comments on our report's findings. SSA described steps it is taking that would address elements of the recommendations related to planning, enterprise architecture, and IT oversight, while it took issue with other elements of the recommendations, including the level of detail that an IT strategic plan should contain and the need for more comprehensive measures. We continue to believe these recommendations are warranted. (Please see the "Agency Comments and Our Evaluation" section of our report for more details on SSA's comments and our response.)

In summary, while SSA has undertaken important initiatives that have resulted in improvements to its processes, significant efforts remain for it to fully meet its goals for modernizing its IT environment. Ensuring that it is successful in meeting these goals will be difficult without the agency establishing effective tools for measuring progress and performance and without comprehensive strategic planning. SSA's realignment of the CIO responsibilities provides an opportunity for effective management and oversight of the agency's systems modernization efforts; however, this effectiveness may well be hindered without appropriate implementation of the realignment, including defined roles and responsibilities and updated oversight guidance.

Chairman Johnson, Ranking Member Becerra, and Members of the Subcommittee, this concludes my statement. I would be pleased to answer any questions that you may have at this time.

Contact and Acknowledgments

If you have any questions regarding this statement, please contact Valerie C. Melvin, Director, Information Management and Technology Resources Issues, at (202) 512-6304 or melvinv@gao.gov. Other individuals who made key contributions include Christie Motley, Assistant Director; Michael Alexander; David Hong; Alina Johnson; Lee McCracken; and Scott Pettis.

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Chairman JOHNSON. Thank you, ma'am. I appreciate your testimony.

Mr. Freed, you are welcome to proceed.

STATEMENT OF LARRY FREED, PRESIDENT AND CHIEF EXECUTIVE OFFICER, FORESEE RESULTS, INC., ANN ARBOR, MICHIGAN

Mr. Freed. Thank you. Good afternoon, Chairman Johnson, and Ranking Member Becerra, and the rest of the subcommittee. Thank you for the opportunity to testify about our experience measuring and analyzing citizen satisfaction with nine of the Social Security Administration's websites.

My name is Larry Freed, and I am president and CEO of ForeSee. We are a company that is a customer experience analytics company that helps measure the experience and help companies analyze where to invest their dollars to make the largest improvements possible for the benefit of the users.

We use a patented technology based on a methodology developed at the University of Michigan called the American Customer Satisfaction Index, or ACSI. The ACSI methodology has a long history as a measurement system, a performance metric, and a great improvement tool, both in the Federal Government and in the private sector.

Since 2001, ForeSee has measured citizen satisfaction on more than 300 government websites, including 9 Social Security websites, across 50 departments and agencies, in addition to international, State, and quasi-government sites. We have also worked with over 400 private sector companies as well.

We have collected more than 7 million citizen surveys since 2001 for visitors to Federal Government websites, and since 2009 we have collected 4 million surveys as well. And we collect over 1.5 million consumer satisfaction surveys every month across our 700 plus measures.

So why measure satisfaction? Well, satisfaction is very important because ultimately when citizens are visiting these websites, the experience they have is going to ultimately determine where they go next and what they do. And the e-Government initiatives provide a great opportunity to lower the cost of delivering goods and services and information and transactions to the citizens.

Based on the measurements that we do satisfaction scores, the future behavior scores, we find that citizens are very high satisfied with Federal Government websites. They are highly more likely to have trust in an agency, 70 percent higher if they are in highly satisfied versus those that are dissatisfied. They are 48 percent more likely to participate in government by expressing their thoughts to the agency than citizens that are less satisfied. And their future behaviors directly relate to the open government initiatives.

Satisfaction also increases the likelihood that citizens will return to the websites again and use it as their primary resource as opposed to utilizing more costly channels, such as call centers and branches. These behaviors significantly will increase both the efficiency and reduce costs and make the lives of citizens far more easy.

Our research continues to demonstrate that citizens find their interactions with government through the online channel to be far more satisfying than their experience through traditional means of dealing with government. Social Security and other agencies must

focus on customer experience online in order to maximize the value of this cost savings channel.

I would like to share some of our research with you on how well the Social Security sites do in meeting citizens' needs and exceeding expectations with the websites and applications that we are currently measuring.

ForeSee has measured and analyzed customer satisfaction data for nine Social Security websites and applications for more than eight years. SSA uses the data and analysis in three main ways: one, to measure whether citizens are getting a good experience and the sites are meeting their needs, second, to understand how to improve the websites in a citizen-centric manner, and, third, to understand how to improve the online self-service and decrease offline services, and, therefore, lead to a decreased utilization of offline services, and ultimately cost savings and efficiency.

Currently we are measuring the nine sites are: the Social Security online main website, the Social Security Internet disability report, the Social Security iClaim, the Social Security business services online, the retirement estimator, the help with Medicare prescription drug plan costs, the Social Security online frequently asked questions, the SSA iAppeals, and the Social Security electronic access.

We measure satisfaction on a 100-point scale, and any score above 80 is generally considered to be an excellent score. The scores for the sites that we measure range from 69 to 92, and six of the nine sites score above 80, which we think of as a threshold for a great performing site. And as Mr. Becerra mentioned, some of the sites outperform even Amazon, which by most is considered one of the best e-tellers around.

I would like to quickly go through a quick performance rundown of these different sites. Social Security's iClaim we have been measuring since January of 2004. The current score is a 92. When we started measuring it, it was a score of 68, significant improvement over time.

The retirement estimator has been tracking citizen satisfaction since July of 2008, and it currently sits at a score of 90, another very strong score.

The help with Medicare prescription drug plan costs, began measuring in June of 2005, and it is currently at a score of 89.

The electronic access applications, started measuring in May of 2012, and their score is 88, again, well above the threshold.

The Internet disability report, we have been measuring since 2006, and it has a score of 83, and it has increased from 72 when we first started measuring it.

The business services online has a score above 80, and right now it is at a score of 83.

SSA iAppeals has a score of 71, so there is obviously some room for improvement there. And the FAQ section is one of the lowest-scoring SSA websites with a score of 70. And the SSA main website has a score of 69, but it has a difficult challenge in that it is a very broad website, and it has a lot of different aspects that it is dealing with.

In summary, measurement of both the Internet sites and also the soon to come mobile sites is critical for citizens to not only get a

great experience, but provide a great way for lowering their costs and improving the efficiency of delivering this information and services to our citizens.

[The prepared statement of Mr. Freed follows:]

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Testimony of

Larry Freed

President and CEO
ForeSee Results, Inc.
Ann Arbor, Michigan

on

The State of Social Security's Information Technology

to

United States House of Representatives
Ways and Means Committee
Subcommittee on Social Security

Wednesday, May 9, 2012

ForeSee Results, Inc. Corporate Offices
2500 Green Road, Suite 400
Ann Arbor, MI 48105
www.foresee.com

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Good afternoon, Chairman Johnson and Ranking Member Becerra. Thank you for the opportunity to testify today about our experience measuring and analyzing citizen satisfaction with nine of the Social Security Administration's internet-based electronic services and websites.

My name is Larry Freed, and I am President and CEO of ForeSee, a company that measures the customer experience for organizations in the public and private sector. On our client list are more than 200 federal websites, including nine Social Security websites and applications. ForeSee has been working with the Social Security Administration ("SSA") for more than eight years, and I appreciate the opportunity to describe our assessment of how effectively the SSA is using its internet-based services, websites, and applications to meet citizen needs and expectations.

About ForeSee

I'd like to give you a little bit of background on ForeSee and what we do, and then I'd like to share our research on the SSA with you today.

ForeSee is a customer experience analytics firm that continuously measures customer satisfaction and delivers powerful insights on where to prioritize improvements for maximum impact. We have measured the satisfaction of citizens on a variety of SSA's web properties since 2004.

The way this works in practice is that we develop and launch scientific surveys that are presented to random visitors on SSA websites and applications. Visitors are randomly intercepted as the experience the website or application and given an opportunity to answer questions about their expectations and experience of the website.

ForeSee uses a patented technology based on a methodology developed at the University of Michigan called the American Customer Satisfaction Index (ACSI). The ACSI methodology has a long history as a measurement system, performance metric, and improvement tool in the federal government. Based on several factors, the ACSI methodology was chosen by the federal government as a performance metric to measure citizen satisfaction in 1999, and has been used on the web since 2001 to help agencies and departments comply with the Government Performance and Results Act (GPRA) of 1993, the GPRA Modernization Act of 2010, the Clinger-Cohen Act of 1996, the E-Government Act of 2002, and Executive Orders 12862 and 13571.

The methodology allows us to take the raw data resulting from citizen surveys and turn it into actionable intelligence that shows the SSA and our other federal clients what elements need to be improved or enhanced in order to improve citizen satisfaction, online transparency, and usage of the online channel, which provides substantial cost savings for the Agency. We apply these surveys and methodology across all customer touchpoints, including websites, call centers, brick-and-mortar locations, mobile sites and

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apps, and social media interactions. Our work for the SSA to date has been focused on websites and online applications.

Since 2001, ForeSee has measured citizen satisfaction on more than 300 government websites across 50 departments and agencies, in addition to international, state, and quasi-government sites. ForeSee has also collected more than 7 million citizen surveys from visitors to federal government websites since 2001, including over 4 million since President Obama's inauguration in 2009.

Why Measure Satisfaction?

Before I share our specific research on citizen satisfaction with the SSA, I want to talk briefly about why so many federal agencies find it critical to measure and improve citizen satisfaction on their websites.

User satisfaction, as measured using the ForeSee methodology, is proven to have a direct impact on behavior. If federal government agencies focus on improving their websites' priority areas, citizen satisfaction with the sites should also improve.

Based on future behavior scores, citizens who are highly satisfied with a federal government website rate their trust in the agency 70% higher and report being 48% more likely to participate in government by expressing their thoughts to the agency than citizens who are less satisfied. These are future behaviors that relate directly to the Open Government Initiative.

Satisfaction also increases the likelihood that the citizen will return to the website again (52%), use it as a primary resource (92%) as opposed to utilizing more costly channels, or recommend the site to others (by 86%). These behaviors significantly increase efficiency and reduce costs.

Our research continues to demonstrate that citizens find their interactions with the government through the online channel to be far more satisfying than through traditional means (call center, in-person). It is often easier and more convenient to do so. While many citizens complain about their experiences in dealing with the government, that frustration has not often been true in the online realm. The SSA and other agencies must focus on the customer experience online in order to maximize the value of this cost-saving channel.

ForeSee's Work with the SSA

Next I'd like to share some of our research with you on how well the SSA is meeting citizen needs and expectations with the websites and applications we are currently measuring.

ForeSee has measured and analyzed customer satisfaction data for nine SSA websites and applications including the SSA main site, for more than eight years. SSA uses the data and analysis in three main ways:

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1) to measure whether the websites and applications are meeting and exceeding the needs of citizens
2) to understand how to improve websites in a citizen-centric manner
3) to understand how improving online self-service decreases offline service and therefore leads to decreased utilization of offline services and therefore increased efficiency and cost-savings.

One example is the FAQs section of the website. SSA calculated that having a successful FAQ website section with highly satisfied visitors reduced the number of high-cost contacts (through phone calls and office visits) by 480,000.

ForeSee is currently measuring and analyzing customer satisfaction on nine SSA websites:

1) Social Security Online (Main Website) -- socialsecurity.gov
2) Social Security Internet Disability Report -- ssa.gov/applyfordisability
3) SSA iClaim -- socialsecurity.gov/applyonline
4) Social Security Business Services Online -- ssa.gov/bso/bsowelcome.htm
5) SSA Retirement Estimator -- ssa.gov/estimator
6) Help with Medicare Prescription Drug Plan Costs -- socialsecurity.gov/i1020
7) Social Security Online: Frequently Asked Questions -- ssa-custhelp.ssa.gov
8) SSA iAppeals -- https://secure.ssa.gov/apps6z/iAppeals/ap001.jsp
9) SSA Electronic Access -- http://www.ssa.gov/mystatement/

ForeSee measures satisfaction on a 100-point scale. Any score above 80 is generally considered excellent.

Scores for SSA's measured websites currently range from 69 to 92 on ForeSee's 100-point scale. Six of the nine SSA websites score above 80, generally considered the threshold for excellence on ForeSee's scale. In fact three SSA websites meet or exceed the performance of top private-sector websites. Amazon, the highest-scoring e-retail website in history, in terms of customer satisfaction, has a published ACSI score of 89. SSA iClaim has a satisfaction score of 92, SSA Retirement Estimator has a 91, and Help with Medicare Prescription Drug Plan Costs has an 89, meaning three of SSA's nine measured websites outperform or tie Amazon.

I would like to share with you a brief report on the performance of the nine SSA websites that we measure, in descending order from highest to lowest-scoring site or application. Each of the scores I mention reflects data that was collected in the first four months of 2012.

1) We have been measuring satisfaction with SSA's iClaim (socialsecurity.gov/applyonline) since January of 2004; it is one of the two sites or applications we've been measuring for the longest time. iClaim's current satisfaction score is 92. iClaim is an example of an SSA site that has seen tremendous improvement. The site scored 68 when it was measured in 2004 and now scores 92 after a series of citizen driven improvements over the years. Once one of the lowest-scoring

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websites in our benchmark, it is now the highest.

2) SSA's Retirement Estimator (ssa.gov/estimator) has been tracking citizen satisfaction since July of 2008. Current satisfaction sits at 90, the second-highest-scoring website or application we're measuring for the SSA. Our research has shown that improved satisfaction reduces the likelihood that English-speaking constituents will apply for Social Security benefits in the field office, and it does have a positive impact on filing online as well as using other online SSA Applications. Both of these findings reinforce extensive research showing that improving satisfaction can be a cost-saving measure.

3) Help with Medicare Prescription Drug Plan Costs (socialsecurity.gov/i1020) began measuring satisfaction in June of 2005, and its satisfaction is currently 89, meaning citizens are just as satisfied with this application as they are with Amazon.com, the top-scoring private-sector website, which also scores an 89 in published ACSI studies. Highly satisfied visitors to this "Extra Help" application are more likely to use other online SSA applications, which should save costs.

4) SSA's Electronic Access Application (http://www.ssa.gov/mystatement/) just started measuring customer satisfaction on May 1 of 2012. Electronic Access presents a survey to anyone who registers for an electronic access account, and since the site receives so much traffic, sufficient surveys were collected on the very first day of measurement (more than 1000 completed surveys in the first day) to calculate a statistically reliable score of 88, well above 80, the generally-recognized threshold for excellence.

5) The Internet Disability Report (ssa.gov/applyfordisability) has been measuring satisfaction with ForeSee since July of 2006 and currently has a score of 83. Satisfaction with this application has increased from 72 to 83 since 2006, placing it well above the threshold for excellence (80).Site changes were implemented in January, 2010 resulting in shorter application completion times and higher satisfaction.

6) Scores for Business Services Online (ssa.gov/bso/bsowelcome.htm) have been consistently above 80 since it was first measured in February of 2005. BSO's current satisfaction score is 83.

7) With a satisfaction score of 71, SSA's iAppeals (ssa.gov/appeals/) is one of the lower-scoring applications since it was first measured in February of 2011. A great deal of attention has therefore been paid to improving the customer experience. Changes were made to the forms in December 2011, and again in February 2012. SSA is currently using customer experience analytics from ForeSee to drive additional changes planned for August 2012.

8) Surveys have shown that some visitors are expecting the FAQ section of the SSA website (ssa-custhelp.ssa.gov) to answer personal questions (which it cannot) and that the FAQ needs better

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organization and structure to help visitors more efficiently find answers to their questions. Therefore, the FAQ section is one of the lower-scoring SSA websites with a score of 70. As a result of survey data and analysis, SSA is currently working on a redesign of this resource to better aid site visitors. This site has been measuring citizen satisfaction since June of 2004.

9) The SSA's main website (www.socialsecurity.gov) is the lowest-scoring of all of SSA's measured web properties with a score of 69, perhaps because its broader mission makes expectations harder to meet and exceed. Since we have been measuring the main website since January of 2004, we have noticed that Satisfaction scores tend to drop every November through February as visitors coming to fill out their W-2/W-3 struggle to find the location.

I would like to share some points of comparison with you in order to put these scores in context. SSA websites and applications can measure against themselves over time, against other SSA websites and applications, and they can also measure against other federal websites.

About the ACSI E-Government Satisfaction Index

The ACSI E-Government Satisfaction Index is a special quarterly report that ForeSee produces in partnership with the American Customer Satisfaction Index. It includes satisfaction scores on a 100-point scale for more than 100 federal websites who choose to be included in the publicly-released Index. The average satisfaction for all the federal websites included in the Index is 75.2 on the Index's 100-point scale.

Six of the nine SSA websites outperform this ACSI E-Government Satisfaction Index average of 75.2.

In addition, ForeSee is able to calculate satisfaction averages for departments and agencies with more than 5 measured websites. Of the eight federal agencies that qualify for an average, SSA has by far the highest average satisfaction in our most recent report:

- Social Security Administration: average citizen satisfaction of 82.2
- Department of Homeland Security: average citizen satisfaction of 78.7
- Department of Health and Human Services: average citizen satisfaction of 78.4
- Department of State: average citizen satisfaction of 76.4
- Department of Defense: average citizen satisfaction of 75.1
- Department of Transportation: average citizen satisfaction of 69.1
- Department of Agriculture: average citizen satisfaction of 68.4
- Department of the Treasury: average citizen satisfaction of 64.6

SSA also has the three highest-scoring websites in the entire ACSI E-Government Satisfaction Index: SSA iClaim (92), SSA Retirement Estimator (91), and Help with Medicare Prescription Drug Plan Costs (89).

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Another interesting way to set the SSA's scores in context is to compare online scores to other measures of citizen satisfaction with government information and services. Once a year, the ACSI measures citizen satisfaction with government agencies overall. In January 2012, the ACSI reported a score of 69 for the Social Security Administration overall. This is a measure of citizen satisfaction with the agency as a whole. Clearly online satisfaction is vastly outperforming offline satisfaction since the SSA's average online score is an 82.2. Higher online satisfaction is positive reinforcement of the value of SSA's websites and online applications.

The ACSI reports that satisfaction with the federal government overall was 66.9 as of January 2012. Therefore, the SSA is outperforming federal averages both online and offline.

Online Transparency

In conjunction with the ACSI E-Government Satisfaction Index, ForeSee produces an Online Transparency Index. This was started as a tangible way to measure transparency in accordance with Memorandum on Transparency and Open Government, issued by the White House in January of 2009.

The Online Transparency Index serves as a consistent measure of online transparency and quantifies its impact on citizens' attitudes and behaviors, as mediated by satisfaction. The Index has grown into a vital tool for measuring the success, failure, or progress of government departments and agencies online, providing a clear direction for improvement.

Research has defined the link between online transparency, satisfaction, future behaviors, and attitudes like trust, giving government agencies the tools they require to measure their success in meeting the open government directives, allowing them to identify where and how to improve citizens' views of transparency and drive citizen satisfaction higher. Improved citizen satisfaction is a key result. It is also a critical component in judging whether or not a website should be consolidated or eliminated—satisfaction speaks directly to users' needs being met.

Not all agencies and departments are currently measuring online transparency as part of their ForeSee models. A total of 40 sites are reported in the Online Transparency Index as a component of their participation in the ForeSee e-government report.

The aggregate Q1 2012 online transparency score for the 40 measured federal sites is 76.8 on the study's 100-point scale. Only one of nine SSA websites and applications is currently measuring and reporting online transparency as part of ForeSee's Online Transparency Index. The Online Transparency score for the SSA's main website is 73, which is slightly below average. Improvements to online transparency could be a beneficial for the SSA and most federal websites and applications.

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Mobile, the Future of E-Government and the SSA

According to Forrester Research, 91.4 million people in the U.S. own smart phones. Comscore reports that in 2011, 14.6 of all on online sessions were initiated from a mobile device (nearly triple the rate of 5.6% in 2010).

Meanwhile, there are over 2000 top-level federal.gov domains, but GSA's online app store offers roughly 100 federal apps, according to WhiteHouse.gov, indicating a large gap between traditional web development and mobile development.

In an informal poll of our clients, we found that two-thirds of our federal websites do not have a corresponding mobile site or app. Of the sites we polled, 32% have launched a mobile site or app, 53% are currently planning or developing one, and 15% have yet to take the first steps in creating a mobile app or mobile-optimized website.

More and more federal agencies understand the importance of driving improvements and enhancements based on the way citizens experience those websites. As citizens increasingly access online information through smart phones and tablets, it will be crucial for all federal agencies, including the SSA, to measure and understand the citizen experience across all touch points, including mobile-optimized websites, mobile apps and conventional websites, as well as more traditional modes of interacting with the government, such as contact centers and branch offices.

Conclusion

SSA websites that are successfully meeting their users' needs should be proud of their achievements, while simultaneously looking for new ways to improve. The benefits of providing a high quality web site for SSA's customers are lower costs, more convenience for its customers, and a more satisfying experience, all of which lead to greater trust in the agency.

Unlike the corporate sector, government agencies need to maintain the highest online standards not because their bottom line is at stake, but because they have an obligation and a responsibility to the citizenry that enables them. Democracy depends on citizens' ability to get information and services from a variety of channels.

SSA websites that are lower scoring should continue to focus on citizen-centric improvements to the online experience. Expansions should be made to understand the citizen experience across all SSA websites, mobile sites, and mobile apps.

SSA web managers have demonstrated commendable dedication to improving the online customer experience, which in turn makes citizens more likely to use the website, which is a more cost-effective channel. It is remarkable that three SSA websites outperform Amazon.com.

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Thank you for the opportunity to share our experience with the citizen experience provided by the SSA online.

Chairman JOHNSON. Thank you, sir.
Dr. Scherlis, welcome. Please go ahead.

STATEMENT OF WILLIAM SCHERLIS, PH.D., PROFESSOR, SCHOOL OF COMPUTER SCIENCE, CARNEGIE MELLON UNIVERSITY, PITTSBURGH, PENNSYLVANIA

Dr. Scherlis. Thank you. Mr. Chairman, Ranking Member Becerra, Members of the Subcommittee, it is my honor to be here to discuss the future of one of our most essential American institutions, the Social Security Administration.

My name is William Scherlis. I am a professor of computer science at Carnegie Mellon University in Pittsburgh. My research focuses on software assurance. I am also the acting CTO for the Software Engineering Institute, which is a Department of Defense Federal Lab focused on advanced software capability for the DoD and its supply chain.

I had six years of Federal service at DARPA. Returned to the university almost 20 years ago with an interest of the role of IT in government, which has stayed with me. I just completed chairing a National Academy study on DoD software. Its recommendations relate to the nature of agency leadership for large-scale systems and why it is important to strengthen that leadership, particularly with respect to software systems architecture, the overall structure and interconnection of computing systems. That is my focus today, and I speak primarily from that general perspective.

The SSA cannot accomplish its mission without effective IT, without effective IT leadership, and without effective support from the top for that IT leadership. In the 30 years since many of these SSA systems were developed, I grew up in Baltimore. I watched the building being constructed. Storage capacities, network bandwidth, processing power, and the costs of all these things have improved by between four to six orders of magnitude. That is a factor of a million. Skyscrapers growing at that rate would scrape the moon.

Software capability, much harder to measure, has also increased dramatically. At a gross level, macro economists attribute 25 percent of GDP growth and fully 40 percent of productivity growth to information and communications technology. And there is no barrier to continuing this pace. We are nowhere near any kind of a plateau.

So there are great opportunities, but not just for performance improvement. The FSTAP and NRC committees identified many potential improvements to customer service. But there are also dramatic improvements possible on the inside away from the customer. One of these is modern data intensive computing, or big data. Big data techniques can rapidly extract useful information and manipulate vast quantities of data. Instead of a giant mainframe with large amounts of data piped through, we have thousands of processors distributed, each with associated storage. We send small instructions to each of those processors to the data so that they can work in parallel.

This is called cloud architecture. It is scalable. We can just buy more processors and more disks. It is cheap, and it survivable, to use the DoD jargon. And with modern infrastructure, it can offer great ease of programming, flexible support for a wide range of applications.

So while we are motivated to make changes, we also must recognize their impediments. Large organizations, and SSA is one example among many, are often plagued by the challenges of legacy systems. These are not to be confused with the legacy from your ancestors. In the general case, these are old systems on obsolete platforms. And very typically, we no longer fully understand these systems, so they are difficult to change, and they often provoke fear and superstition among otherwise rational technologists.

This loss of intellectual control is strange, but very real. An old DoD study indicated for long-lived, large-scale systems, the costs of reverse engineering—understanding what makes them tick—can exceed the original development costs. These are systems the government owns and built.

The pace of innovation ironically is also an impediment. When technology changes rapidly, risk judgments become difficult. The quantitative case that we have discussed earlier is harder to make. It is easier just to say no. Intel's Andy Grove was famous for keeping his company successful by causing it to reinvent itself even in the absence of any immediate perceived threat.

The refresh is different from the more typical routine and reactive O&M, which can be a series of changes that may potentially worsen the legacy because they are not aligned with a master plan and may conflict with other actions elsewhere in the organization. This is what my colleagues call technical debt—architectural changes that need to be done that are not yet done. It is like unpaid student loans that will not go away. It just gets worse.

So and this technical debt can be self-reinforcing when it is amassed. It can appear risky to make the necessary disruptive changes. So I suggest six actions for Social Security Administration.

First and most essential, full commitment from top leadership, motivating change both on the basis of need and also on opportunity. Second, understand what you have, the architecture and the full set of existing capabilities. This is the baseline. Third, decide what is needed, a cohesive vision of future services. This includes capabilities, but it also includes quality requirements related to security and quality of service and so on.

Fourth, identify potential changes over the next five to 10 years. Anticipate, scale up, and other changes. This is what drives us off the mainframe and into the modern data center. Fifth, put these results together and develop a master plan that addresses the overall future architecture, the structure systems, and also has road maps for evolution based on that architecture. This is architecture leadership, and it is the leadership commitment that enables the natural growth process.

Sixth, create a business and decision model that accounts for costs, risks, and benefits. This is not easy because there are relatively few quantifiable measures at the strategic level. It is rather, in many cases, a frame for expert judgment and effective process leadership.

The most important features in my proposal are, to summarize, the emphasis on overall system architecture, one, and, two, the necessity of senior agency leadership to lead that process. I believe this is in harmony with the recommendations both of the National

Academy panel and also the FSTAP and the recent GAO recommendations.

The SSA has an extraordinary and critical role in the lives of all Americans. I hope these ideas I share with you will be of use in strengthening that essential institution. Thank you very much.

[The prepared statement of Dr. Scherlis follows:]

This Testimony is Embargoed until Wednesday, May 9, 2012 at 2pm

Testimony for House Committee on Ways and Means
Subcommittee on Social Security
Hearing: The State of Social Security's Information Technology

William L. Scherlis, Ph.D.
Professor, Carnegie Mellon University
May 9, 2012

Mr. Chairman and Members of the Committee, it is my honor to be here today to discuss the future of one of our most essential American institutions, the Social Security Administration.

My name is William L. Scherlis, and I am a professor and department head in the School of Computer Science at Carnegie Mellon University. My academic research focuses on software engineering and software assurance. I am also acting Chief Technology Officer for the Software Engineering Institute, which is a Department of Defense Federally Funded Research and Development Center (FFRDC) focused on advancing software capability for the DoD and its supply chain. I was at DARPA for more than six years in the late 80s and early 90s. After I returned to the university from that role, I became interested in the challenge of enabling the government to be a smarter consumer of computing technology, primarily focused on Defense but also addressing cybersecurity, e-government, crisis response, and other topics. I have chaired National Academy studies on e-government and, most recently, on software for the Department of Defense. This latter study focused quite closely on the nature of agency leadership for large-scale systems—and why it is important to strengthen that leadership. That is our focus today.

Advancing a new forward-looking vision of service capability at SSA is both a great opportunity and an enormous challenge. However, this is hardly unique to SSA—it is true of most major enterprises. It can be done and is being done in the private sector.

My testimony today focuses on the necessity of architecture-based leadership in information technology (IT) in order to implement a new vision for SSA IT systems, roughly like a large-scale e-business. I consider what that leadership entails and how we might get there.

In the 30 years since many of the existing SSA systems were first stood up, storage capacities, network bandwidth, processing power, and the cost of these things have all improved by between 4 and 6 orders of magnitude. That's a factor of a million. If skyscrapers increased in height by that factor, they would scrape the moon. And we are not just talking about hardware. Software capability and sophistication, much harder to measure, have also improved commensurately. And there is no barrier in sight to continuing this pace—we are nowhere near any kind of plateau.

The ability to manage IT and exploit advances in technology is essential to keeping pace with consumer needs in a constantly evolving, technology driven consumer environment. Recognition of this at the topmost leadership level is essential. The Chief Information Officer becomes a full partner in strategy, and must be empowered and supported through a potentially disruptive period of essential change.

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Exploiting the rapid growth in IT capability—hardware, software, and systems—has the potential to dramatically increase productivity and organizational performance at SSA, as with any other organization of scale. At the gross level, macroeconomists attribute 25% of GDP growth and fully 40% of the growth in productivity to Information and Communications Technology (ICT).

Additionally, effective architectural leadership includes the ability to realize major new benefits from a range of emerging technologies. One important example is data analytics. Pioneered by Google and others, including my colleagues at Carnegie Mellon and other universities, data analytics is now being widely implemented in the private and public sectors for business intelligence, health data analysis, national intelligence, transportation management, and many other applications.

I believe it is useful to consider the key drivers of change that can guide a vision for SSA's future, as well as to consider impediments to change that must be overcome in order to achieve that vision.

Drivers of Change

- Obsolescence of systems
- Increased demand for services

In the world of IT, we often hear the phrase "legacy systems." This phrase refers to old systems that operate on obsolete platforms. Most typically, we no longer fully understand them, so these systems are difficult to change and, consequently, are often surrounded by an atmosphere of fear and superstition. Sometimes a few remaining dedicated individuals possess the unique knowledge of the inner workings of these systems. But as managers we may avoid intervention for fear of disrupting some unknown balance of energies with a poorly understood change with unintended consequences. These systems almost inevitably approach a point at which it is no longer feasible, either technically or from a cost standpoint, to continue to maintain them. This is a legacy we would rather not inherit.

An old DoD study indicated that, for long-lived large-scale systems, the costs of reverse engineering—understanding what makes them tick—over their lifespan often exceed the original development cost. This is astonishing, because these are systems the government paid to develop and that it owns. Nonetheless, the failure of managers to "refresh" these systems over time leads to great cost in recovering enough of the lost design knowledge to merely keep these systems going. If a significant event occurs such as a cyber attack or a policy shift, the needed repairs are often impossible, leading to loss of function and a host of potentially unforeseen and undesirable consequences.

Another driver of change is the increased demand for services and opportunities that exist for meeting them.

The most obvious opportunity is modernizing the system that the user sees—web services and their infrastructure. A vision for this is put forth in the document *Re-imagining Social Security* developed by the SSA Future Systems Technology Advisory Panel (June 2010).

But there are also significant opportunities that are less visible to the user, for example taking advantage of modern data-intensive computing. Advances in storage, bandwidth, processing power, software and

algorithms have enabled what we now refer to as "Big Data"—computing techniques that enable rapid analysis and manipulation of vast quantities of data to turn it into actionable information. One could imagine deploying these capabilities at SSA to vastly reduce processing times, errors, and perhaps create a whole new range of user friendly services for the customer and for internal administrators.

A key feature of Big Data is that it involves the distribution of data and processing capability across one or more large data centers. This "distributed architecture"—a way of deploying resources—is enabled by these so-called "Cloud" architectures. Google and Amazon exist because they have mastered and fully exploited this approach. These two firms pioneered these techniques a decade ago, and the techniques are now becoming mainstream both in industry and in a wide range of government applications. But Big Data requires technical sophistication to implement successfully.

What's exciting about the Cloud is that it is fundamentally scalable and incremental. When it is done properly, the technology can be updated in an ongoing manner. If a component in the Cloud fails, software enables us to automatically work around it. On a larger scale, if a large but localized disaster occurs and takes out a number of components, there are ways to work around these as well. This is what DoD calls survivability—the ability of systems to continue to function despite the loss of certain components.

Another feature of this Big Data/Cloud computing approach is the ease of programming. Consider mobile apps—the richness of the software frameworks means that only a small amount of programming is needed to create new capabilities. A similar "framework plus apps" model exists for cloud analytics. Instead of marshaling massive amounts of data to be piped through a mainframe computer, we send small instructions out to where the data is stored. This affords both scalability and flexibility.

The increased demand for and opportunities presented by new technologies are possibilities we cannot ignore.

Impediments to change

- Organizational culture
- Contracting relationships

One impediment to change is a clash between the conservative culture of an organization and the rapid pace of change in the underlying technology. This has as much to do with people as with technical matters. When technology changes rapidly, risk judgments become difficult, and so it becomes easy to fall behind. A series of small reasons not to engage with the new and the innovative—it's too risky!—can freeze a system in the past. Taking risks seems fraught, and it is all too easy just to say no.

The changes specifically related to software and systems architecture are, in many ways, more profound and more challenging for IT leaders than hardware changes. Three examples of profound software architectural changes are (1) frameworks for the cloud and big data, (2) the infrastructure used to create web-based services, and (3) the advent of mobile frameworks and apps. These are all enabled by a combination of innovations in software, in systems, and in architecture.

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Technically savvy managers can often anticipate changes in technology infrastructure and respond proactively. Successful firms and IT organizations work continually to stay fresh in their technology as in other aspects of their business. This is a matter of strategy and also of fostering organizational culture. There are many stories of successful firms that paused in this refresh, thinking they had reached a plateau. Many of those firms no longer exist. On the other hand, Intel's Andy Grove was famous for keeping his company successful by causing it to reinvent itself, even in the absence of any immediate perceived threat.

Addressing these shifts can often mean making a series of disruptive changes. Small "smooth" changes to existing systems may seem most conservative, but often transform a patched system into a time bomb of deferred maintenance. The eventual cost of repairs continues to rise, and our aspirations to move into the future become unattainable.

My colleagues have a term for this—they call it Technical Debt. Like unpaid student loans, it won't go away. It just gets worse. In a sense, the various studies of recent years by NRC, FSTAP, and GAO are identifying the nature and extent of the "technical debt crisis" at SSA. Perhaps I'm stretching the metaphor, but we do not particularly want to raise this debt limit. To make matters worse, technical debt can be a self-reinforcing problem. When too much is amassed, it appears even more risky to make the necessary disruptive changes. It is better to have a pattern of well-planned and well-managed small changes that we follow from the outset.

A second impediment relates to government systems and the contracting relationship. Government systems can be difficult to evolve effectively, because the incentives for program managers, contractors, and system managers may not always be aligned with actual mission needs. Even when incentives are aligned, the amassed technical debt can generate fear that precludes effective engagement, especially when we feel it necessary to continue to pay contractors to make incremental upgrades to idiosyncratic legacy systems that only they understand. Indeed, one of the characteristics of technical debt is that systems become increasingly difficult to understand, and in effect have an aura of darkness and fear around them.

Let me say this more plainly. Even the best managers can lose control of their systems. It becomes increasingly difficult to maintain a full intellectual grasp of the systems architecture, the embodied business rules, the key design decisions embodied in the system, and the rationale for those decisions. This is not just a matter of documentation—it is a matter of managing change within the context of a master plan. Successful firms often accomplish this using "agile" techniques, which involve iteration and incremental development. These techniques are employed for a wide range of commercial systems. They are harder to implement at arm's length through contracting relationships, but it is possible and has been done. Teri Takai, CIO of the DoD, has wisely been advancing these practices for use in innovative Defense systems.

The point of these techniques is to accommodate the reality that we don't often have a precise concept of what a system will be called on to do over its entire lifetime. This is never true for commercial systems, since they must respond to constant changes in the competitive environment, the

infrastructure environment, and in strategy. This is also true, quite obviously, in Intelligence and Defense—the threat evolves, the mission changes, the infrastructure evolves, and new technical capabilities must be incorporated.

But it is difficult for some managers to adapt to this model, because it seems harder to manage. Nevertheless, more linear models actually create more risk, not less—the steady growth of technical debt can necessitate responses that are more like emergency bail-outs than the steady stream of small disruptions that keep you moving into the future—just like the small disruptions we all experience when we move to a new home computer or mobile device every few years.

If you look at successful tech-intensive firms—those Fortune 1000 firms that have been around for a number of years—you'll see management patterns that support this model.

Enablers of change

My final topic relates to methods by which we can enable the right kind of change. We are here today as a consequence of a crisis of technical debt. I propose to you six elements of a strategy to address the challenge.

(1) *First, and most essential, ensure there is full commitment from top leadership, and that change is motivated both by need and by opportunity.*

There is danger in passive resistance—those involved with systems must either sign on to the process or move out of the way. I say this because passive resistance can be dangerous in this kind of exercise. Engaging staff to enable them to be comfortable with and conversant in modern technologies, perhaps by visiting organizations that have already made such disruptive changes, can be highly valuable.

(2) *Second, understand what you have—the architecture of the full set of existing capabilities.*

This is the baseline. Existing systems can be assessed by internal and independent experts to understand their architecture and their most essential attributes. This identifies a baseline as well as the most urgent Operation and Maintenance (O&M) issues the agency faces. It must be done in a sufficiently comprehensive way that we learn enough to avoid surprises later in the process. For long-lived legacy systems, this kind of due diligence process can be an enormous challenge, both technical and managerial. On the one hand, shortcomings and difficulties are revealed, but on the other, aspirations are identified.

(3) *Third, develop a cohesive vision of future services, including capabilities and quality requirements related to security, quality of service, and so on.*

This third step can be done concurrently with the second. It includes both developing and articulating a vision of future services. This includes ways to improve the current range of services, such as presented in the FSTAP re-imagining report, but it also includes entirely new concepts such as the Big Data analytics capabilities referenced earlier. It also must consider quality-related requirements, such as security, quality of service, ability of the system to grown over time, and so on.

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(4) *Fourth, identify potential changes over the next five to ten years, including scale-up.*

Identify areas for needed variability, where operational and infrastructure features may be more rapidly changing. This can also include identifying potential infrastructure choices associated with established commercial socio-technical ecosystems related to mobile devices, web services, and transaction processing, for example. As part of this consideration, it is essential to understand where scalability is most important. Scalability is what drives enterprises off the mainframe and into the modern data center. Scalability is what lets the enterprise respond to unexpected surges in demand, significant policy changes, and other potentially disruptive activities.

(5) *Fifth, pull these results together and develop a master plan for the overall future architecture along with roadmaps for evolution based on that architecture. This creates the framework of leadership commitment that enables a natural growth process, as is done in other large, IT-intensive enterprises.*

This architecture plan and the associated roadmaps are the principal strategic assets of the IT organization. They manifest the most important commitments that the organization imposes on itself and its contractors. The master plan does not have to be vastly detailed, especially since it will continue to evolve over time, though more slowly than constituent components. The goal is to open the door to opportunities, accommodate them within a natural growth process, and create a framework for consensus among the very top leadership in the organization. This interplay of architecture and strategy is a success pattern in other large enterprises.

A proper architecture development effort contemplates issues ranging from data center architecture to the kinds of analytics and transactional systems that must be incorporated. It considers present and future possibilities for how SSA might engage with end users. It looks forward over a timespan of five to ten years. The conduct of this activity is analogous to a master planning process in city planning. It identifies major directions and constraints, and it builds on inputs from diverse stakeholders. Ideally, it locks in critical quality attributes and enables visionary possibilities.

Architecture is not static, but slowly evolves. Architectural disruptions are most dangerous, so it is essential that the plans be sufficiently long-sighted, anticipating needs and possible opportunities. In other words, like a city, the architecture of a system must allow room for significant and evolutionary growth.

Architecture is the strongest determiner of critical attributes related to security, safety, quality of service, scalability, and the like. We call these quality attributes.

Within this framework, individual projects are undertaken, like the development of apps, which are designed to implement particular capabilities. But overall quality outcomes—the way all the pieces play together—are largely a consequence of the architecture. When this is done well, the increment of effort to manifest new capability or adapt an existing capability can be relatively much smaller than in the more familiar stovepipe scenario.

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Managing change within an evolving architectural framework is a hallmark of well managed large enterprise systems. Before that framework is defined, new acquisitions and major projects can impose sunk-cost constraints on the overall enterprise architecture. If we do it right, new efforts can be undertaken with foresight and with engagement with the master planning process.

I do need to say that this architectural work is technically demanding and it requires savvy leadership. In the design of data centers, we can measure cooling capacity, electrical requirements, numbers of fire extinguishers, and so on. For architecture, we rely more on expert judgment and effective process leadership by empowered management. That's because there is not an abundance of quantitative measures and criteria to guide the process, though my colleagues at the Software Engineering Institute are advancing the frontier of more rigorous architectural practice.

(6) *Sixth, create a business and decision model that accounts for costs, risks, and benefits. This model provides a framework for expert judgment and effective process leadership.*

The goal is to have a decision framework to assess the value created by the engineering steps within the architectural master plan. At the architectural level, exact accountings and cost estimates may be less important than solid expert judgment regarding costs, risks, and benefits. Indeed, one of the challenges in IT is that it is sometimes easier to construct a seemingly strong quantitative case for a series of dangerous incremental changes than it is to make a quantitative case for a small disruptive change that moves us into a much more efficient and capable mode of operation.

A well-crafted business process would support incremental and iterative development in a way that any risk issues associated with the overall architecture and master plan can be addressed and discharged as early as possible. A range of techniques can support this, such as prototyping, side-by-side experiments, modeling and simulation. The point is that when a feature of the master plan has some associated uncertainty, experiments can be done at low cost to rapidly converge on a good decision, which can then be implemented with greater confidence. This is standard industry practice.

Summary

The most important features of my proposal are the emphasis on overall system architecture and the necessity of senior agency leadership to lead the process. It is important for senior agency leadership to participate in the master planning process and fully commit to the outcome.

This recommendation to focus on architecture is in harmony with the recommendations both of the NRC panel chaired by Professor Lee Osterweil and the Future Systems Technology Advisory Panel (FSTAP).

The Social Security Administration has an extraordinary and critical role in the lives of all Americans. I hope that the ideas I share today will be of use in strengthening that essential institution.

Chairman JOHNSON. Thank you, sir. That is good testimony. Thank you all for your testimony.

Mr. Richtman, welcome. Please proceed.

STATEMENT OF MAX RICHTMAN, PRESIDENT AND CEO, NATIONAL COMMITTEE TO PRESERVE SOCIAL SECURITY AND MEDICARE

Mr. Richtman. Thank you very much. Mr. Chairman and Ranking Member Becerra, thank you for inviting me to testify this afternoon.

The National Committee to Preserve Social Security and Medicare agrees with you, Mr. Chairman and Congressman Becerra, that it is very important that the Social Security Administration continue to invest in improving its capabilities in information technology. This investment will ensure that SSA continues to provide excellent service to the American people through news service delivery options that supplement—and let me emphasize supplement—its existing systems of service delivery.

Currently, SSA provides service to millions of Americans through a complementary system of 1,300 local offices and its toll free telephone service. The magnitude of the workloads that SSA handles in these offices is huge. Congressman Becerra, you cited the number of people using these services today, and it is a staggering number.

In all of 2011, 45 million individuals visited SSA field offices, 63 million were served over the phone. Of course workload of this magnitude cannot be accomplished without adequate information technology. More and more of SSA workloads are being handed over to the Internet.

In 2011, 41 percent of its retirement applications, 33 percent of disability applications were filed online. As more Americans have home computers, become accustomed to using the Internet, and demand increases for social security to have a robust offering of Internet applications, these expectations continue to rise.

Still we believe it is important to understand that Internet service will not entirely supplant service provided through SSA's traditional system of service delivery. Local offices, toll free phone service will continue to be critical for Americans who live in areas that do not have access to high speed Internet service, those who cannot afford the cost of a home computer, and those who just are not comfortable using it.

The Congressional Research Service recently published a report on the digital divide that found broadband Internet service is more likely to be available in higher income urban and suburban areas than in rural and low income areas. The Census Bureau reported that only 68 percent of households have access to high speed Internet service.

While we at the National Committee applaud the SSA in its effort to make more and more services available through the Internet, we must not lose sight of the needs of those who do not have access or who are not comfortable using it. For these Americans, local Social Security offices and toll free telephone services remain vital lifelines.

We would like to compliment the SSA on its recently-completed project to make Social Security statements available online. It is truly an impressive achievement. However, we want to caution against regarding online availability as a satisfactory substitute for the annual delivery of paper statements. The reason for our view

on this is simple: we are concerned that few Americans will ever know about the availability of the online statement and, thus, will never request one.

Educating the public about Social Security has always been one of SSA's top priorities, and the annual statement has properly been regarded as a key element in their work in this area. That is why we believe that the annual delivery of a paper statement should be resumed immediately.

We also think that commissioner of Social Security should not have to choose between delivery of a paper statement and the completion of the agency's other vital functions.

This, of course, leads us to SSA's administrative budget. They have, it is my understanding, requested a total of $11.9 billion to cover operations for Fiscal Year 2013. This request is only modestly higher than what the Congress appropriated for this year, $11.56 billion. And we do urge that this request be fully funded by the Congress.

Last year in Fiscal Year 2011, SSA lost 4,000 employees to attrition, and projects to lose another 3,000 in Fiscal Year 2012. These losses should be stopped, and to that end, we call on the Congress to fund fully the agency's 2013 request.

In addition, we are concerned that the Treasury Department's rules requiring a payment of Social Security benefits through direct deposit, which has an implementation deadline of March 2013, about 4 million beneficiaries will be affected by this. And we believe that requiring frail, elderly beneficiaries to attest to their cognitive inability to receive benefits payments electronically in front of a notary public, this really seems unduly burdensome to us. I would urge this committee——

Chairman JOHNSON. Can you summarize your——

Mr. RICHTMAN. I'm sorry?

Chairman JOHNSON. Please try to summarize.

Mr. RICHTMAN. And we urge this subcommittee to hold hearings on this implementation plan. I'm summarizing.

In conclusion, Mr. Chairman, we applaud SSA for its work on these new IT applications. Still we believe they cannot supplement the crucial role SSA field offices and telephone toll services play for the foreseeable futures. These offices should remain and will remain, I believe, central to any inclusive plan for services delivery.

Thank you.

[The prepared statement of Mr. Richtman follows:]

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Statement for the Record by Max Richtman, President and CEO
National Committee to Preserve Social Security and Medicare
10 G Street, N.E. Suite 600
Washington, DC 20002
House Committee on Ways and Means
Subcommittee on Social Security
Hearing on the State of Social Security's Information Technology

May 9, 2012

On behalf the millions of members and supporters of the National Committee to Preserve Social Security and Medicare, I want to thank Subcommittee Chairman Johnson and Ranking Member Becerra for inviting me to testify and for holding this hearing to review the state of the Social Security Administration's (SSA) information technology (IT). If there is one thing that we can all agree on, it is how important it is that the SSA continues to invest in developing and improving its capabilities in this arena. Over the past several years, the SSA has seen the productivity of its employees increase at the rate of 4 percent or more. These increases derive from the unflagging efforts of its 80,000 employees whose capabilities are strengthened by the procedural improvements that are facilitated by IT.

While we follow these matters with interest, we do so more as informed observers than as technical experts. For that reason, we will leave to others the evaluation of the current status of SSA's IT efforts. Our comments today will focus on the interaction between IT developments and service delivery. We believe that SSA should continue to provide excellent service to the American people through new service delivery options that supplement its existing systems of service delivery.

SSA's Current System of Service Delivery

Currently, SSA provides service to the American people through a complementary system of 1,300 local Social Security offices and a nation-wide toll-free 800 telephone system. During Fiscal Year (FY) 2011, 45 million individuals visited the field offices and 63 million were served through the toll-free telephone service system. In addition, SSA paid monthly benefits to nearly 56 million Social Security beneficiaries and to over 5 million individuals who received benefits from the Supplemental Security Income (SSI) program.

SSA completed 4.8 million applications for retirement and survivors claims in FY 2011, along with 3.4 million initial claims for disability benefits. It issued 17 million Social Security cards and recorded 241 million wage reports—W-2's and self-employment earnings reports—that reflected the employment activities of the 160 million workers who contributed to the program.

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As these number indicate, the activities of the SSA touch the lives of all Americans, whether during their working lives or during retirement.

Growth in Internet Service

A growing proportion of SSA's workload is being processed over the internet. In fact, in FY 2011, the SSA continued to increase the number of online claims. As a result, 41 percent of retirement claims and 33 percent of disability claims were filed online. In addition to filing online, it is now possible for beneficiaries to use the internet to make a number of changes to their Social Security record. Among them are changes of address and changes to direct deposit information. Clearly, transitioning to greater reliance on the internet to provide service to beneficiaries is an essential element in SSA's service delivery plans. As more and more Americans become accustomed to using the internet and more of them have home computers that are connected to the internet by high-speed service, the more important it is that SSA offer online service delivery options.

Still, the National Committee believes that internet service will not entirely supplant service provided through SSA's traditional systems of service delivery through local offices and toll-free teleservice. Limiting the suitability of internet service is inconsistent availability of high-speed connectivity in the United States. A recent report by the Congressional Research Service (CRS)[1] has found what it characterizes as a "digital divide" in the United States. This divide stems from the fact that the availability of broadband service is much greater in higher-income urban and suburban areas than in rural and low-income areas. Similarly, the Census Bureau[2], in its October 2010 survey data, found that only 68 percent of households have adopted broadband internet service. The CRS report concluded that about 14 million people in the United States living in 7 million households do not have access to broadband service.

While the National Committee applauds the SSA in its efforts to make more and more services available over the internet, we must not lose sight of the needs of those who do not have access to the internet, whether because of where they live, because they cannot afford the cost associated with such access, or are not comfortable using it. For these Americans, local Social Security offices and the toll-free telephone service remain vital lifelines.

Social Security Statements

Any catalogue of SSA's recent IT successes must include the very-recently completed project to make Social Security statements available online. This new service is supported by a process for obtaining a user name and password that appears to us to be both secure and simple to use. The resulting access to the Social Security statement will make it easier for all Americans to plan for their retirement and facilitate financial advisors in providing advice to their customers.

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[1] Congressional Research Service: "Broadband Internet Access and the Digital Divide: Federal Assistance Programs. Washington, D.C., March 13, 2012.
[2] Ibid., p. 2.

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The Social Security statement is one of the many enduring legacies left to the nation by one of its most distinguished lawmakers, Senator Daniel Patrick Moynihan of New York. He regarded the statement as a simple and efficient way of building public support and understanding for Social Security. Senator Moynihan's simple, common sense provision has been highly successful. According to the bi-partisan Social Security Advisory Board, "SSA's public survey data has shown a link between increasing public confidence and receipt of a statement. People who receive a statement not only experience higher knowledge of Social Security than non-recipients, but also exhibit...greater confidence that the program still will be there for them when they need it."[3]

Despite the availability of an online statement, however, we strongly oppose viewing it as an acceptable substitute to delivery via mail of a statutorily-required SSA-initiated statement. The reason for our view is the belief that many Americans, knowing little about Social Security, will be unaware of the statement's online availability and thus will never request one.

Educating the public about Social Security has always been one of the principal objectives of the SSA, and so it continues today. Annual delivery of paper statements should resume immediately. The Commissioner of Social Security shouldn't have to choose between delivery of Social Security statements and the completion of the Agency's other vitally important functions.

SSA's Administrative Budget

That leads us to the SSA's administrative budget. The SSA has requested a total of $11.9 billion to cover its operations in FY 2013. Despite its enormous workloads and challenges, its FY 2013 request is only modestly higher than the amount the Congress appropriated for FY 2012. We strongly urge that the Agency's budget be fully funded. Due to lower-than-requested funding, the SSA has had to reduce its staff substantially in recent years. It estimates that staffing losses in 2012 will be on the order of 3,000 employees. These reductions come on top of the over 4,000 employees it lost in FY 2011.

Although these reductions were achieved through attrition, the effect on some local offices has been harsh. Some offices report very significant staffing losses, which translate into longer waits for service and increased busy signals when the public calls local offices. To further offset the harmful consequences of reduced funding, the SSA has cut back significantly on overtime, has closed its offices to the public 30 minutes early each day and has stopped visiting remote service sites to save travel time and costs.

The National Committee believes it is time for the Congress to provide adequate funding to the SSA so that it can perform the invaluable services it provides to all Americans. Cuts to Agency staffing have been deep and threaten to affect the quality and timeliness of the service it provides. We call on the Congress to appropriate the amount the Agency has requested for FY 2013.

[3] Social Security Advisory Board, "The Social Security Statement and How It Can Be Improved, August 2009, p. 9.

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Direct Deposit

Another technological advance that has proven to be beneficial to all Americans is the development of direct deposit. This safe and convenient service, through which most of our paychecks and government benefits are transferred into our bank accounts, is one more example of how technology improves our lives.

Convenience and security, along with the administrative savings associated with the use of direct deposit, have led to administrative rules, promulgated by the Treasury Department, requiring that most government payments, including Social Security and Supplemental Security Income (SSI), be made through direct deposit or, for those who have no bank account, other electronic benefit payment systems.[4] These rules were implemented for individuals filing for benefits on or after May 1, 2011. Beginning March 1, 2013, almost all Social Security and SSI beneficiaries will be required to receive payment of their benefits through direct deposit or the Treasury Department's Direct Express Debit MasterCard program.

The changeover will affect about 4 million individuals, divided evenly between Social Security and SSI, almost all of whom are either severely disabled or elderly. Many of them will be frail elders who will find a transition of this nature difficult at best, and it is important that the rules that govern such a change be handled with sensitivity and compassion.

Unfortunately, the rules promulgated by the Treasury Department appear to fall short of these standards. While we are pleased that beneficiaries who are over the age of 90 have been exempted, we are concerned about the process the Department established for handling two other exemptions that it agreed to include in its final rules.

These exemptions, or waivers, as they are called, apply to current Social Security and SSI beneficiaries who are under the age of 90 as of March 1, 2013 and who are in one of two categories. First, there are those who ask to continue to be paid by a paper check by certifying that they believe that direct deposit would "...impose a hardship because of the individual's inability to manage an account at a financial institution or a Direct Express card account due to a mental impairment, and Treasury has not rejected the request."

The second basis for continuing to be paid by a paper check would apply to individuals who file a waiver request certifying that payment by direct deposit would impose a hardship "...due to the individual living in a remote geographic location lacking the infrastructure to support electronic financial transactions, and the Treasury has not rejected the request."

There appears to be little in the way of public information about these waivers on either the Treasury's or SSA's websites. We could find guidance about them only in the Treasury regulations, and the process they describe seems to us to be unduly onerous. Again, quoting from the Treasury regulations, individuals requesting waivers because of mental incapacity or geographic remoteness "...shall provide a certification supporting that request in such form that Treasury may prescribe. The individual shall attest to the certification before a notary public or otherwise file the certification in such form that the Treasury may prescribe."

[4] 31 CFR, Chapter 11, section 208.

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It seems to us that the adjudicative process contemplated by Treasury in its regulations lacks compassion and sensitivity. Requiring frail elderly or disabled individuals to appear before a Notary Public to swear they are mentally impaired or are living in a remote geographical area just to continue to receive a paper check is wrong. Such policies completely disregard the limitations of this population and are significantly disproportionate to any financial advantage that might accrue to the government from them.

We are concerned that there appears to be no apparent role for the SSA in the processing or handling of these waiver requests. Given the number of elderly beneficiaries who will be affected by the elimination of paper checks, the volume of waiver requests could be substantial. For example, if only 10 percent of the affected population ask to continue to be paid through a paper check, Treasury would have to adjudicate 400,000 waiver requests. From information available now, it is not clear whether the Treasury Department would handle them alone or whether they contemplate assistance by the SSA. We also know of no plans on the Treasury Department's part to work with advocates for the elderly and the disabled to assist in this transition.

Given the large number of frail elderly and disabled beneficiaries who will be affected by the elimination of paper checks, we ask this Committee to focus its attention on the matter. We recommend that the Subcommittee hold a hearing focusing on how the Treasury Department plans to handle the transition. In any event, a role for the local Social Security offices should be defined in handling this final phase in the transition to direct deposit.

Conclusion

To conclude, Mr. Chairman, we applaud the efforts of the SSA to develop new IT applications that will enhance its ability to perform the vitally important services that it provides to all Americans. As the ability and inclination to use technology diffuses through the population of the United States, providing services through the internet or through other IT applications will become increasingly important.

Still, we must not lose sight of the important role of SSA's local offices and its toll-free phone service in providing service to the public, especially those who live in parts of the country where high-speed internet service is not readily available, who are unable to afford the costs associated with home ownership of computers and internet access, or are uncomfortable with using the internet.

It is the view of the National Committee to Preserve Social Security and Medicare that for the foreseeable future SSA's network of community-based field offices and its toll-free telephone service will remain central to its ability to serve all Americans. That's why we believe it is so important that SSA be well-funded by the Congress.

Chairman JOHNSON. Thank you, sir. I think the field offices do a good job. Stopping the mailing of the online statements saved $30 million last year, which needs to be put into IT.

I thank you all for your testimony. We will turn to questions. As is customary for each round of questions, and I will limit my time to 5 minutes, and ask my colleagues also to limit their questioning time to five minutes as well.

Ms. MELVIN, I would like to discuss the chart on page 9 of your report. You see it up there on the screen. It shows how Social Security's technology spending is divided between maintenance to run the current system and investment for new technology. To put this into context, Social Security IT maintenance spending in 2011 was more than the agency's total IT spending in 2004. Would you walk us through these costs and tell us why?

Ms. MELVIN. We think there are a number of factors that probably contribute to their maintenance costs all the way from their investments and infrastructure to maintaining the legacy systems that they have. As Mr. Croft has mentioned earlier, there are 700 plus applications that still have to be maintained at any time, as well as additional services that are provided online.

We did note in our study that from 2004 to 2011, the maintenance did almost double from approximately $411 million to $809 million. And with that, the 2004 total costs were $868 million, so there has been some definite growth in terms of the operations and maintenance.

One of the key factors that we point to in the overall message that we have that stresses the need for a strategic plan is because that goes hand in hand at looking at how SSA can look at the resources that it has, its use of them, and what its needs are, and how it might identify what more needs better. And from that standpoint also, the performance measures that it puts in place to assess its progress and to understand when it uses technology or when it implements technology, how that cost is contributing to lowering the cost of maintenance, or how that overall technology is contributing to lowering the cost of maintenance.

Chairman JOHNSON. Thank you. Dr. Scherlis, in your testimony on page 4, you say that smooth changes to existing systems may seem conservative, but often transform a patch system into a time bomb of deferred maintenance. The eventual cost of repairs continues to rise, and our aspirations to move into the future become unattainable. You refer to this as technical debt. Could we be looking at such a time bomb in Social Security, and would you explain that?

Dr. SCHERLIS. I do not have enough direct engagement with Social Security to make a judgment with respect to SSA particularly. But I will say that this issue of technical debt is a very common issue in large enterprises, not just Federal agencies. It can be avoided with the right kind of planning and leadership.

It goes back to the fact that many of these changes highlighted here under the O&M category come up, bubble up from the stakeholders and individual systems. If they are not aligned with a master plan, if they do not harmonize into an enterprise architecture concept, then they can be in conflict with other actions elsewhere

in the organization. And the result is that things are even more difficult to sort out.

So in many of these studies, all three of the studies, National Academy, the FSTAP study, the GAO study, highlight what we could call a technical debt crisis in the SSA. And you can decide whether to raise the debt ceiling or not.

Chairman JOHNSON. Thank you. Mr. Croft, what is your response to that? I would like to know, are we looking at a time bomb as he suggests?

Mr. CROFT. I do not believe so, sir. I am very interested in the term "technical debt," and very interested in learning more about it. But, no, I would not say we are in a time bomb situation. You have to get behind those numbers and understand what the costs actually are. Among other things as you note, sir, we have added a second data center at Social Security which have increased our costs a great deal in those categories.

There are ways we certainly can improve, but I would not put us in a crisis mode, no.

Chairman JOHNSON. Well, maintenance costs have risen, you know that. Does Social Security plan to reverse that trend? And, if so, when?

Mr. CROFT. Well, it is such a broad category, sir, maintenance costs. Actually if you look at our software maintenance costs, it is relatively flat year over year in terms of our cost to maintain software. We do have a lot of hardware maintenance costs. We are refreshing hardware all the time.

Again, you have to get underneath these numbers to understand what you are actually talking about if you want to get into a deep analysis of maintenance.

Chairman JOHNSON. So, you are telling me you got it under control.

Mr. CROFT. I believe we are doing well, especially when you compare us with other organizations that are very similar to us, yes.

Chairman JOHNSON. Thank you. Mr. Becerra.

Mr. BECERRA. Thank you, Mr. Chairman. Thank you.

Actually, Mr. Freed, I found your testimony the most interesting because while everyone, I think, was talking more technically, and your numbers are also technical numbers, they are based on feelings. And, in many respects, that may be the most important thing, how Americans feel about the service they are getting. And while right now Social Security's satisfaction rating seems to be pretty high, it could start to drop. And if it does start to drop, you start having less confidence in the agency and who knows what happens. And so I appreciated your testimony.

Give us some context. I remember the discussion during some legislation that was being proposed in Congress to change the way Internet providers would offer services and who could control what could be sent over the Internet and so forth. And at one point I think Google was threatening to shut down for a day or so to make the point that they should not be prevented from being able to carry their service to whomever they wished. And people were up in arms.

Shutting down SSA, the Social Security Administration, for the time it would take to rejigger, to come up to speed with the new technologies that are available so that it could provide better service faster, more accurately—tell us what your sense is. Could they shut down? If so, for how long? How could they manage?

Mr. FREED. I do not think there is any way they could shut down. It is obviously a lifeblood to a lot of people. Technology is always incremental. In my experience in technology, having spent time in roles similar to some of these people, technology never goes away. You just build more technology on top.

Hopefully when we deal with the Internet and we deal with mobile, there are some benefits to it that you get great cost savings. But I do not think it could, by any means, shut down and start over, and take, you know, the months or years that it would take to restart a system like that.

Mr. BECERRA. And, of course, we have to be careful that we are not just putting a newer system on top of an older system and then attaching a newer system to that previously new system, and before you know it, you have got all these different parts that operate differently, and it becomes a machine that is so out of whack that you've got to do something.

Mr. FREED. Yeah. When designed poorly, you definitely can run that risk where you have got a lot of different systems that do not communicate well. And you create a house of cards that if you take one away, the whole thing can crumble.

From what I have seen from the Social Security side, I do not see evidence of that. I have not looked within their infrastructure by any means. But their apps, their websites, those things are really the user interface to it. The back end systems are the back end systems. So it is really about creating a better interface to get information out to citizens quickly, easily. And, again, makes it easier for citizens and will lower costs, probably not the technology costs, but should lower costs within the branches and the locations and the call centers. Not going to eliminate them by any means, but it should lower the cost.

Mr. BECERRA. Any sense, and, Dr. Scherlis, let me ask you this question as well if you have a response. Any sense of what typically a company spends in IT modernization on an annual basis from its operating accounts, operating expenses?

Mr. FREED. I am not sure that I would have any great data on that to share.

Mr. BECERRA. Dr. Scherlis, by chance?

Dr. SCHERLIS. I do not have that data either, but I just want to mention one thing, which is that——

Mr. BECERRA. And if you could do it very quickly because I——

Dr. SCHERLIS. Okay. For many of these firms, the distinction between development and maintenance is a distinction that is going away because these systems are in a state of constant refreshing evolution. And also I will say that you just gave a good definition of technical debt, that mishmash.

Mr. BECERRA. Yes, thank you. Mr. Richtman, quick question. Is it your sense from what you heard from all the witnesses who testified that they have captured a sense of how people are feeling out there, those who are receiving the benefits, going to the offices

visiting, making the calls, and talking to the Social Security office employees?

Mr. RICHTMAN. Well, I think generally so that that is accurate. And the experience I have had in traveling around the country and meeting with groups of our members is they regard the Social Security folks as friends. They are maybe unusual in that regard in government, but they really regard them as friends. They provide a very important service, and they do it in a very positive way.

Mr. BECERRA. Let us hope we can keep it that way. Mr. Croft, you have got a big job, and I hope that you know that the chairman and I will try to keep at you on this because I think we are very concerned as to whether or not SSA will be able to keep up. And it is too big a system, too many depend on it for us to not to see you make it work.

How much do you actually invest from your operating budget for IT modernization?

Mr. CROFT. We do not really have a particular target number.

Mr. BECERRA. Give me a rough estimate.

Mr. CROFT. The data that was just presented would be the data. That is how we categorize. It is consistent with OMB guidance, the Federal Government guidance on modernization types of activity. I am sorry I do not have the number off the top of me.

**** Mr. Croft** Transcript Insert 1**

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For FY 2011 we reported to OMB that we spent about $697 million on modernization investments, applying OMB guidance which categorizes these investments as IT funding for development, modernization, and enhancements (DME). For FY 2012, we have reported to OMB that we have allotted $614.6 million to DME. We provided GAO this information for its audit.

Mr. BECERRA. Maybe Ms. Melvin, and I will close with that, Mr. Chairman.

Mr. CROFT. Yes.

Mr. BECERRA. Ms. Melvin, do you happen to know?

Ms. MELVIN. In terms of how much—I am sorry.

Mr. BECERRA. From operating expenses, how much does SSA devote to IT modernization?

Ms. MELVIN. We do not have exact numbers on that, but what we did see was, I believe——

Mr. BECERRA. Microphone.

Ms. MELVIN. I apologize. I think that in the numbers that we had, about——

Mr. BECERRA. I thought you said that SSA spent about $5 billion on IT modernization over the past decade.

Ms. MELVIN. Yes.

Mr. BECERRA. And if you average that, about $500 million a year. My understanding is that SSA's annual budget has been about a $9 or $10 billion operating budget.

Ms. MELVIN. Yeah.

Mr. BECERRA. Well, we heard $9 to $11 billion, so it is about 5 percent.

Ms. MELVIN. Yeah. I would prefer, if I could, to provide you with an exact number for the record on that.

Mr. BECERRA. That would be great.

****Ms. Melvin** Transcript Insert #1**

Mr. Becerra asked Ms. Melvin the following question (see page 50 of unedited transcript):

From operating expenses, how much does SSA devote to IT modernization?

Ms. Melvin's Response:

Since 2001, SSA has reported to OMB that it has spent nearly $11.9 billion on IT—more than $5 billion of which has gone toward the development, modernization, and enhancement of its systems and capabilities. In this regard, the agency conducts hundreds of projects yearly that vary in level of effort, scope, and cost, and range from reengineering processes and developing new systems to enhancing and updating the functionality of existing systems. SSA's IT modernization costs, per se, are embedded in the development, modernization and enhancement (DME) category. However, the agency does not keep track of projects according to whether a project is a modernization, redesign, or enhancement and, as such, could not provide information showing what portion of DME was specifically dedicated to modernization efforts.

According to its exhibit 53 data, in fiscal year (FY) 2011, SSA spent $693 million on IT development, modernization, and enhancement activities, which was about 44 percent of the agency's total IT spending for that year. The agency's spending on DME has varied and has been as high as 59.9 percent of the total IT spending in 2004, and as low as 30 percent in 2007, as reflected in the following chart.

Total SSA IT Spending (in millions of dollars)

FY	DME	Operations and Maintenance	Total Spending	DME as a % of total IT spending
2001*			$691	
2002*			750.6	
2003*			726.6	
2004	$520.1	$348.3	868.4	59.9%
2005	526.4	500.1	1026.5	51.3%
2006	398.5	596.9	995.4	40.0%
2007	316.9	739.4	1056.3	30.0%
2008	403.7	707.5	1111.2	36.3%
2009	532.2	901.9	1434.1	37.1%
2010	815.5	811	1626.5	50.1%
2011	693	874.6	1567.6	44.2%
2012**	610.8	759.3	1370.1	44.6%

Source: GAO analysis of SSA exhibit 53 data

*According to SSA, for fiscal year 2001, OMB did not require funding to be identified by DME or Operations and Maintenance, and for fiscal years 2002 and 2003, DME and Operations and Maintenance expenditures were only required by OMB for major projects. SSA further noted that for fiscal years 2002 and 2003, DME funding was $244.8 and $341.7 million respectively, and Operations and Maintenance funding was $94.2 and $160.9 million, respectively.

**The fiscal year 2012 numbers are appropriated funds as of February 2012.

Ms. MELVIN. Okay, thank you.

Mr. BECERRA. Mr. Chairman, thank you very much.

Chairman JOHNSON. Thank you, sir. Mr. Berg, you are recognized.

Mr. BERG. Thank you, Mr. Chairman. Thanks to the panel for being here.

One of the things in preparing for this hearing that quite frankly stunned me the most was what I saw as a lack of long-term planning. We went through a real process in North Dakota probably about 10 years ago on IT. We had 20 different agencies in North Dakota. Each agency was out doing their own thing, had non-compatible software, non-compatible equipment. It was just a mess.

Chairman JOHNSON. And then you discovered oil.

Mr. BERG. Well, then we discovered oil.

[Laughter.]

Mr. BERG. We learned a few things from Texas, Mr. Chairman. And actually this was before oil was when we had a huge deficit, and it was a matter of how do we make things work? And we looked a lot at the private sector and the government sector, and I know some questions were brought towards, you know, how does this compare with an investment in the private sector? And really we found that it is almost totally different. I mean, the private sector invests in technology, and it really does two things. One, it lowers that business' cost. They are able to do things, you know, less expensively, e-mail versus maybe, you know, sending a letter and that whole process. And also it saves people's time which in result ends up they are able to apply their energy and time into things that are going to generate more revenue for the business.

And so, so much of the technology that was invested in the private sector was really driven on increasing that company's revenue.

My point here is all these things are kind of planned, and when the private sector invests in technology, they are expecting a return. They are looking into that plan. And so, you know, from our State standpoint, we had this big mess. Our plan was to pull people together. We ended up with a State IT director that really became the project leader whether it was the prisons, or whether it was human services, or whatever, move forward.

And so we had a format. We had a checklist. We had measurable things. Prior to that, we had IT people that we hired to lead projects. And as we talked about, in the middle of the project they left, and it was a disaster, and we were left hanging with a huge investment, and really many times nowhere to go to but to simply start over. And so, I do not think anyone would disagree the need for a long-term plan.

My question for Ms. Melvin and also Dr. Scherlis is, what would be the next steps in developing a long-term plan for the Social Security Administration. What would they be?

Ms. MELVIN. For developing a long-term plan, we think that SSA needs to start looking at this point in terms of what their current state of information technology is, to have a good handle on that, and to let that feed into an overall idea of where they want to go.

So part of what our report talked to was the need not only for them to develop a strategic plan, but to have a completed enterprise architecture that would allow them to examine and document their current state of technology, where they want to go.

One of the critical concerns that we noted in our study was in looking forward in terms of a vision, we did not find that SSA had a particularly good handle or ability at least to express its longer-term vision beyond two years for what it wants to achieve. We be-

lieve that it is important that it establish a longer-term vision and that it be able to tie that to its agency's strategic plan, and then move forward with the goals and the particular strategies, if you will, that it wants to apply to move to a target state of its architecture.

So we think starting initially, they have got to do more in terms of putting more focus on just being more specific about what their current state of technology is and what they are trying to achieve moving forward, and to apply results-oriented performance measures for how they want to do that, and to be able to assess how well they come to achieving that target state.

Mr. BERG. Okay, thank you. Dr. Scherlis.

Dr. SCHERLIS. I want to agree with everything that Ms. Melvin just said. The two critical elements of the master plan are the overall future architecture, which describes how systems are linked together, how the data is managed and shared internally. This ensures coordination among all the various projects. And the second element of the master plan is a road map for evolution.

And I also agree that the time horizon should be between 5 and 10 years. The plan should anticipate the kinds of changes that might come in terms of the mission of SSA, in terms of the demographics, in terms of technology changes, other changes. That is the essential framework within which systems become managed. And this is part of that six-step plan that I suggested earlier.

Mr. BERG. Thank you.

Dr. SCHERLIS. I want to add one thing. The other is people. We have not spoken about people, but, you know, SSA has a large internal IT workforce. This is a blessing among Federal agencies that they have this workforce. It is essential to have strong, connected, committed career people. It is also essential to keep them technically fresh through various mechanisms—engagement on the outside, conferences, training, and the like. And also to have them share in the vision, and to seek career paths for themselves to develop to participate in the manifestation of that vision. That takes leadership commitment from the very top.

Chairman JOHNSON. Mr. Croft, Mr. Berg, we will have a second round.

Mr. BERG. Okay.

Chairman JOHNSON. Mr. Brady, you are recognized.

Mr. BRADY. Thank you, Mr. Chairman. Thank you for calling this hearing.

Mr. CROFT, one of your strategies to increase the use of online services is to explore offering online services through mobile devices as opposed to implementing online services through mobile devices. Since the strategic plan, if I recall, runs through the end of 2016, does that mean the public, we are going to have to wait four years while we are exploring as opposed to moving these things and getting them in place? That seems like a lifetime.

Mr. CROFT. No, sir. Thank you for the question. We are actually building a mobile application now. We are doing it very carefully and cautiously, though. We want to make sure we are going to get a good return on investment for the application that we are building. We are on target to actually deliver a mobile application before

the end of this year. It will have to do with SSI wage reporting, which is one of our largest improper payment areas as an agency.

We believe after a lot of exploration, a lot of thinking inside the agency, strategizing that that is one area that actually fits mobile because it is a reoccurring reporting requirement, not a one-time thing like filing an application that people are unlikely to use a mobile application to do. So look for something later this year.

Mr. BRADY. From a priority standpoint, is that because it is a priority in the fraud or incorrect data, or ability to move that sooner than other apps?

Mr. CROFT. Yeah. It is one of our executive oversight projects. It is a priority in terms of improper payments. It is one of the higher error categories of improper payments. It seemed to fit. We are interested in exploring mobile. I think we are like most large organizations. We want to try mobile, but we are very cautious about doing it in a way that is really more folly than substance. So we are focused on substance.

Mr. BRADY. Okay, thank you. Dr. Scherlis, do you have any thoughts on that?

Dr. SCHERLIS. Not really. I am sorry.

Mr. BRADY. Okay. First time that has ever happened.

Dr. SCHERLIS. Yeah.

Mr. BRADY. Thank you very much.

[Laughter.]

Mr. BRADY. Yield back.

Chairman JOHNSON. Thank you, Mr. Brady. Mr. Marchant, you are recognized.

Mr. MARCHANT. Thank you, Mr. Chairman. Yesterday, the subcommittee held a hearing on identity theft and the use of the Death Master File to make sure that that file is not being misused by thieves. Social Security collects probably more personal data on anyone in America. Google might argue with that. Facebook might argue with that. But I think most people believe, at least, besides maybe the IRS, that Social Security probably has the most information on anybody in America.

In this time of rapid advancement, how can we assure our constituents that this information is being protected and is not being used by the thieves, the fraud artists, and the people that are out to steal this information. Commissioner?

Mr. CROFT. Thank you. So we are purposely not boastful about IT security protections, but trust that we do as much state of the art as we possibly can in terms of IT security. We are incredibly conscious of the personally identifiable information that is ours to be stewards of. We stand for outside audits. We follow all guidelines. We do everything we possibly can to stay as secure and sound as we can in terms of data protection.

Mr. MARCHANT. Mr. Richtman, would you agree that the perception of the general public is that their information is completely secure within the Social Security Administration?

Mr. RICHTMAN. As far as I know, Congressman, that would be true.

Mr. MARCHANT. Dr. Scherlis, just recently there was an expert advisory panel that was put together, but it was ultimately dis-

banded. Do you have the belief that outside advisory panels in the private sector can help fill the gap?

Dr. SCHERLIS. I think that outside advisory panels provide an opportunity for an organization to compare and baseline its practices against practices in other organizations, particularly in areas where measurement is a challenge. And one of those areas is architecture and strategic planning because we are working to a vision of future potential. And so that is an area where the kinds of inputs that you get from advisory panels can be extremely useful.

Mr. MARCHANT. Okay. Thank you, Mr. Chairman.

Chairman JOHNSON. Thank you. Dr. Scherlis, since 2008, I have continued to raise concerns about the time it has taken for Social Security to modernize its outdated programming language, including replacing COBOL, which was created some time ago. In your testimony, you talk about challenges of old systems, so-called legacy systems, that operate on obsolete platforms.

Social Security is phasing out its older software, but they told me the process will take years. Does that sound right to you? You know, it seems to me you can go out to the store and buy a new computer with all the latest stuff on it, and I do not know why we cannot do that in the Federal Government.

Dr. SCHERLIS. Well, in fact, I am going to give you two answers. One answer is that this sense of urgency that we should feel needs to focus around the development of this master plan that we have been speaking of earlier today. That creates the commitment, creates the framework within which we move forward. But that given the magnitude of the operation at Social Security and the sensitivity of the data, the unfolding of that plan will take some years. But the plan provides a framework for making decisions and having a sense of expectation regarding what kinds of projects will happen when and how much they might cost.

So it is this juxtaposition of the urgency to create the plan with the unfolding of that. So we have the comfort that the incremental actions that are taken as an organization are in harmony and moving in the right direction.

Chairman JOHNSON. Well, it seems like we keep changing our approach. You know, Mr. Croft, it seems to me we have been 4 or 5 years downstream trying to modernize the system. Can you tell me how long it is going to take before we get out of COBOL?

Mr. CROFT. No, sir, I cannot. I do not believe anybody could do that. And we would find ourselves——

Chairman JOHNSON. Dr. Scherlis could tell you how to.

[Laughter.]

Mr. CROFT. I would comment, and my colleague to the left mentioned. We actually have just recently published an IT strategic plan. We released it formally, I believe it was earlier this week. And I encourage people please to take a look at it. It does look out 5 years. It does describe our current state in detail, not in the kind of——

Chairman JOHNSON. So you are telling me you are going to rid of COBOL in 5 years.

Mr. CROFT. No, sir. No. No. It is an incremental approach to——

Chairman JOHNSON. We are going to have it for, what, 20 more years?

Mr. CROFT. The way we build software, sir, is so when we—I do not know about 20 years, but the way we build software is when we are taking on new projects, we only build with new code. We only build in the new ways.

We also assess the risk of all of our systems, as I mentioned in my opening statement. And if we believe we are facing a technical risk with one of our systems, we will take it on motion and rebuild it. And we are rebuilding following a systematic approach to the software.

I would also mention in terms of architecture, we do have robust enterprise architecture at Social Security. I want to make sure that everybody is clear on that. I will accept a bit of criticism that the architecture has not looked out far enough into the future, and that is something we are addressing now rather than looking out a couple of years consistent with where we think business projects are going. We are actually extending the look of the architecture out 5 years now, and that is something we are actively working on.

Chairman JOHNSON. Well, you know, you got a new place down in North Carolina, and you are building a new place up here. And it seems to me by the time that place is finished up here, you ought to have a whole new system developed. If you cannot do it, something is wrong I think.

You are working at a snail's pace, and I think, as was mentioned earlier, maybe you need a strategic plan in writing. And once you get started on something, do not stop it like you just have as I know. And your job has changed, too. So something is happening over there that you all are not telling us about that and it is causing problems.

Mr. CROFT, GAO mentions eight reports issued since 2007 by GAO, and here they are laying here on my desk. And the National Research Council, the National Academies, the inspector general, and the bipartisan Social Security Advisory Board highlight Social Security's technology challenges, and stress the need for Social Security to have a strategic IT plan. They tell me there is still no plan. Can you tell me why not?

Mr. CROFT. There is a plan now. We were working on it.

Chairman JOHNSON. Did you do it yesterday or something?

Mr. CROFT. We released a final this week, yes.

Chairman JOHNSON. Okay.

Mr. CROFT. But we were working on it actually for quite a long time.

Chairman JOHNSON. Okay. So you have a strategic IT plan now?

Mr. CROFT. We do.

Chairman JOHNSON. And you are using it?

Mr. CROFT. Yes.

Chairman JOHNSON. Thank you very much. Mr. Becerra.

Mr. BECERRA. A couple of questions, Mr. Chairman.

First, Mr. Croft, again, I think it is pretty clear from some of the questions that we are concerned about the strategic planning. And I think Ms. Melvin, her testimony, her written and oral testimony

pointed to that. And I think all the witnesses pointed to the importance of being able to think way ahead.

And I hope what you will do is you will take our admonition and really work on it with this new plan you have in place, and know that you should never come here with a fire at the house claiming you need the engine real quickly, 911, because I hope we are telegraphing that we can see it, too.

And you have got a great satisfaction rating from folks right now. The public for the most part likes what you do. In fact, I was looking at some of these other customer ratings, Mr. Freed, and you can tell me if I am wrong. But Bank of America, 68 percent customer service satisfaction, YouTube, 74 percent, Facebook, 66 percent, Google, 83 percent, IRS, 57 percent, and you are at 80 percent. So not bad. Better than YouTube, close to Google. Work with us so we can work with you.

And, by the way, when Americans every day are contributing to the Social Security system to the tune of over $700 billion this year alone, there should be no reason why you cannot come to us and say I've got a great plan to move us forward. We have taken the best minds who told us how to do this, and this is what it is going to cost to make this kind of investment. And then let us work with you on that because the American public is paying for Social Security, and so let us work together on that. I hope we can do that really well.

One quick question. Servicing. You actually got great scores in a lot of areas. You got a higher score on the Internet side than you did on the person-to-person and telephone. Some might say, well, maybe that means you can go all the way and do everything by computers and the Internet and have all interactions with customers be through the Internet. Do you think that we are ever going to reach a day where the face-to-face will not be needed?

Mr. CROFT. For Social Security?

Mr. BECERRA. For Social Security.

Mr. CROFT. Not in the foreseeable future, no. I do not think so. I would comment on the non-technology side, though, we also do internal surveying, and we receive very high satisfaction scores from face-to-face and telephone contacts as well. In particular what is noted in any survey that we have ever done is the excellence of the workforce for Social Security, the courtesy, but also the business knowledge of the agents. So once people get through, sometimes there are problems in terms of getting access to our employees because of the long wait times or busy rates and things like that. But once they get through, time and time again the surveys have always shown a very happy satisfaction in terms of our workforce.

Mr. BECERRA. Well, let me just compliment today your folks in Los Angeles, who we work with. They have done remarkable work addressing some of the concerns that we have raised to them in trying to help constituents. And please convey that to folks throughout the nation that work for SSA. We say thank you. But I know for a fact that in LA, people really enjoy the interaction they have and are pleased with some of the folks that you have there in Los Angeles. And know that we want to work with you as you move forward. We know it is not easy, but we need to do this,

and we have to figure out a way to do it so we do not have a machine with a whole bunch of old and new moving parts trying to make this thing work. So thank you.

Mr. Chairman, I will yield back.

Chairman JOHNSON. Mr. Berg, do you care to question?

Mr. BERG. Thank you, Mr. Chairman. I will just kind of back up where we went. But, I mean, clearly assess the current situation of all your strengths and your weaknesses. Number two, what is your long-term vision? And have an IT plan that ties into that and a plan that then has performance measures and checks and balances and timetables. That is, I think, kind of what I heard.

So I guess I would like your response, Mr. Croft, to those suggestions.

Mr. CROFT. Yes, sir, I agree. One thing I would also mention is we stay very in sync with the business direction of the agency in terms of IT. We follow the agency's strategic plan and flow from that in terms of IT. We are not doing IT just for IT's sake. We are doing IT to enable the business.

I would also mention, in terms of the investments that we make, we do very rigorous analysis up front before we embark on an investment, including ROI analysis to make sure that we are picking the right mix of projects to get the most value for Social Security.

So we do have a robust planning process. Some might say we do not refresh it enough or look farther out, but we definitely have a planning process.

Mr. BERG. So on the return on investment, who do you present that to?

Mr. CROFT. Ultimately, it is presented to a board of my peer executives and the Commissioner as we decide what investments we are going to make in IT looking out into the future. That also is reported up through central government, OMB. It is public knowledge on the Federal IT Dashboard and so forth what we expect to get out of our investments.

Mr. BERG. Those have been presented to a congressional panel?

Mr. CROFT. I do not know. It is part of the budgeting process and the oversight that we do. It is public information.

Mr. BERG. Well, we will follow up. Thank you, Mr. Chairman. Yield back.

Chairman JOHNSON. Mr. Brady, you are recognized.

Mr. BRADY. Thank you. Dr. Scherlis was so efficient in his last answer, let me try again. In your testimony about drivers of change, you discussed the advantages of modern data computing, including, you know, big data, cloud computing obviously, architecture. And for the subcommittee's education, would you define this for us and how Social Security can leverage this kind of computing to their advantage, because clearly we want to be ahead on some of this technology, not trailing so much.

Dr. SCHERLIS. Sure. Sure. So the idea of big data computing, basically it refers to a whole collection of techniques and technologies to exploit data assets. We do not merely want to accumulate those data assets, but we want to see patterns, do analyses for all kinds of reasons. The best way to realize the capability to do that is within what we call the cloud.

In this case, by cloud I mean an architecture for a data center, and also for the processing of data, the key features of which are large numbers of relatively smaller processors, the same kind of processors that are run in your PC, and data that is located on disk drives that are associated with those processors. So the data is spread all around.

That allows to scale up by buying more processors and more disks and, therefore, to store more data. This is the kind of configuration that is used not just at Google and Amazon that we hear about, but in financial services firms and government agencies all over.

And scalability is key because we can do very large-scale searches by sending small amounts of instructions out to those processors to query the data that resides on those processors, and then we very rapidly can assemble an aggregate result. So those are the ideas of big data and cloud.

Sometimes we hear the word "cloud" in the setting of sort of the controversial setting of the so-called public cloud, services such as are provided by Microsoft through Azure or Amazon and so on. And really that is an entirely separate issue from this discussion that we are having, which is about the architecture of data centers. Whether you own the data center and it is inside of your facility, which certainly would be the case with SSA, or whether you outsource to a provider is really a business decision.

Mr. BRADY. And you believe this type of architecture could be helpful as Social Security pursues its IT goals?

Dr. SCHERLIS. I do. I do because it offers both scalability, flexibility, and also cost management, the ability to incrementally upgrade. There are many advantages of this architecture.

Mr. BRADY. Great. Thank you, Doctor.

Dr. SCHERLIS. You are welcome.

Chairman JOHNSON. I would like to welcome the distinguished gentleman from Kentucky and chairman of the Ways and Means Subcommittee on Human Resources, Mr. Davis, down there on the end. Thank you for joining us. You may have a couple minutes.

Mr. DAVIS. Thank you very much, Mr. Chairman. And before I begin, I would like to thank you for holding this hearing and for allowing me to join and ask a question from such a knowledgeable panel.

The Social Security Administration has come a long way since the days of the punch card. There is still significant progress to be made in order to truly become a 21st customer service provider.

From the work we have been doing on the Human Resources Subcommittee, we know that strategic IT investments to promote operations and to integrate and reuse existing data resources could help more effectively target limited taxpayer dollars.

I used to do this for a living, managing large system implementation, data integration in the private sector before coming to Congress. And I discovered my biggest client was the United States government, and probably the most challenging in the sense of legacy systems that you are all dealing within a wide variety of areas.

You know, we have worked with this and we have had some success in promoting data standardization across a number of programs. We are working with Chairman Johnson to see how we can

be helpful here. Our efforts are not intended to be yet another statutory mandate, but rather an important piece of a larger IT strategy and approach to architecture to effectively integrate information and to help the government run more efficiently, particularly when some of our agencies under Ways and Means jurisdiction have 10 percent or higher improper payment levels. Social Security is very low, which is a good thing. But nonetheless it shows this disconnection.

I guess I would like to begin with Ms. Melvin. In your 2009 report, and again in your most recent review, you expressed concerns about the Social Security Administration's ability to handle future data exchange demands and their lack of IT management practices for this workload.

With over 3,500 data exchange agreements and growing demand for government to reuse information, what I would call in my other job, customer master information, vendor master type of information, the transaction analysis, bills of labor, and resources, those sort of things.

But could you elaborate for us on whether SSA is adequately preparing to handle this workload from an IT perspective? And also what is SSA doing to better serve its State and local government customers and meet their demands to operate in the 21st century?

Ms. MELVIN. The work that we did note that SSA is going to web-based technologies and to newer online technologies. And our report does highlight some of the initiatives that support electronic data exchange with the Federal, State, and the private sector.

Our 2009 report, however, included a couple of recommendations that focused on conducting detailed analyses. We believe that SSA needed to determine workload projects and define requirements for effectively and efficiently delivering data exchange services to their agency partners.

As of right now, those two recommendations remain open. So it is very difficult from our standpoint to know until SSA has actually done the analysis and started to implement against that analyses exactly how its online exchanges are affecting it.

Mr. DAVIS. Okay, thank you. Mr. Croft, what difficulties do you face from an IT perspective when exchanging information with outside partners such as the States? For example, would it be more useful for incoming data if it were provided in a more consistent, standardized format?

Mr. CROFT. Absolutely, yes, it would. Another point I would bring up, sir, is the uniformity of the exchanges in general. We do have many, many exchanges. We are probably the largest body that is exchanging data in the Federal Government. And all in all, it is going okay. It is a large workload, a growing workload. But we are needing to redo our core software, our core data exchange software, and we are actually in the process now of modernizing that software to make it more agile to deal with the multiple kinds of customer requests that we receive.

I would also mention just in general around data exchanges, the IT generally is not the hardest part. The hardest part is, as you know, data definitions, but it is also the legal, fiscal kinds of things that go with interagency kinds of agreements like that.

Mr. DAVIS. What lessons do you think you have learned so far from the implementation of the Access to Financial Institutions Program, the web-based electronic process for verifying financial account information?

Mr. CROFT. It is going very well, but I would note that we piloted that for quite some time and really worked out the kinks before we took it operational. All in all, I would say that is a very effective and proper payment mechanism. And I really do not have any further comments to say except that it does take time to work out the business process, and the privacy angles, and all those kinds of things that go along with data exchange.

So if you looked at it, it is like we just turned it on, but, in fact, we have been working on that in various pilot modes for some number of years.

Mr. DAVIS. Well, one question that I have looking at this, again, in my multi-facility implementation experiences that are admittedly smaller scale than the Social Security Administration.

Chairman JOHNSON. Can you summarize?

Mr. DAVIS. Yes.

[Laughter.]

Mr. DAVIS. But if you could answer quickly one question for me, that would be very helpful. If you were to pick one or two statutes that need to be amended to allow better interchange of data, what would those be?

Mr. CROFT. Sir, may I answer that for the record, please? I am not able to answer that quickly for you. I would rather give you a thoughtful answer than a quick answer.

****Mr. Croft** Transcript Insert 2**

INSERT PAGE 75, LINE 1545

The Computer Matching and Privacy Protection Act (CMPPA) requires us to renew our CMPPA data exchange agreements every 18 months. These renegotiations are labor intensive and time consuming, and the agreements rarely change much, if at all. Congress could look at the requirements in the CMPPA to determine if, for example, the current 18-month life of such agreements are too short given the ever evolving and more frequent use of interagency data exchanges.

Mr. DAVIS. Yeah, that would be great. Thank you. I yield back, Mr. Chairman.

Chairman JOHNSON. Thank you. Mr. Croft, I noted in my opening statement I am disappointed to learn the panel of outside experts convened by Commissioner Astrue to provide independent systems technology advice was disbanded. I was even more disappointed to learn that the reports and minutes have been removed from Social Security's website.

I would like to know why Social Security took those documents down and ask you which of the recommendations of that panel has Social Security acted on, and what specific actions have you taken or intend to take?

Mr. Croft. I do not know the intricacies of why things come down off the website. I do not know if that was a requirement for a FACA panel when we disband them that we take that down. We

certainly have all the information, though, and have shared that with the IG.

Probably the most substantive information that I received from the panel was in the early part of it around the data center project. That was a more in-depth piece of work, and they made a number of recommendations in terms of our data center planning. And we were certainly very positive about using many of those.

Another area where there was help from the panel, and this was also a while ago, but was in terms of authentication and the way we designed the authentication with the new online statement. It was not so much a panel deliberation, but we worked with one of the panel members on that.

Chairman JOHNSON. Thank you, sir. Again, I thank you all for being here today and for your testimony.

Innovations in technology will continue to drive the kind of service Americans expect and deserve. And Social Security must and will be held accountable.

I thank you all for your attendance. And with that, the subcommittee stands adjourned.

[Whereupon, at 4:08 p.m., the subcommittee was adjourned.]

Questions For The Record

Kelly Croft

SOCIAL SECURITY
The Commissioner

September 5, 2012

The Honorable Sam Johnson
Chairman, Subcommittee on Social Security
Committee on Ways and Means
House of Representatives
Washington, D.C. 20515

Dear Mr. Chairman:

Thank you for your June 15, 2012 letter requesting additional information in order to complete the record for the hearing on the state of our information technology. Enclosed you will find the answers to questions that you sent us from you and Ranking Member Xavier Becerra.

I hope this information is helpful. If I may be of further assistance, please do not hesitate to contact me, or your staff may contact Scott Frey, our Deputy Commissioner for Legislation and Congressional Affairs, at (202) 358-6030 who is available to meet with your staff if requested.

I am also sending this information to Ranking Member Xavier Becerra.

Sincerely,

Michael J. Astrue

Enclosure

Enclosure – Page 1 – The Honorable Sam Johnson – United States Committee on Ways and Means, Hearing on "The State of Social Security Administration's Information Technology"

1. **The Information Resources Management plan identifies 10 "domains" but does not explain how each aligns specifically with the strategic plan. How do each of these domains specifically align with goals in the Agency Strategic Plan?**

   When considering potential information technology (IT) projects, we group proposals into portfolios that align to our Agency Strategic Plan (ASP) and include strategic alignment as a factor in our evaluation. In our Information Resources Management (IRM) plan, http://www.ssa.gov/irm/IRM_2012.pdf, we categorize our IT infrastructure that supports these projects into 10 domains, which include Data Management, Software/Applications, Business Intelligence, and Computing Platforms. While individual IT projects may align with a specific goal, these domains are foundational elements that support all ASP goals.

2. **Recently, Social Security launched the new online version of the Social Security Statement, as part of a new "My SSA" portal. The Statement is an important financial planning tool. Please explain more about how this portal works and how it relates to other online services now and in the future. Will the My SSA site eventually allow citizens to manage their business with Social Security in real time electronically, as recommended by the Social Security Advisory Board? How many people have viewed their Statement so far and what impact, if any, did this traffic have on your website?**

   To improve service and provide relief to our field offices, we have offered an ever-growing number of online services. MySSA's additional security requirements allow the public to do even more SSA business electronically because we can give information to the user instead of just receiving it. MySSA users must provide personal information and answer questions that only they are likely to know. Authenticated users are required to create a username and password that serve as their access to MySSA in the future. We decided to make the Statement our first MySSA application given its interest to so many Americans. So far, more than a million people have created an account to view their Statement. Resources permitting, in fiscal year 2013, we plan to expand MySSA services to allow users to change their address and direct deposit information and receive benefit verifications.

3. **Dr. Scherlis discussed the importance of having a baseline inventory of existing systems, to determine capabilities of current systems and identify potential vulnerabilities. Does Social Security have such a baseline assessment? If so, please provide a copy for the record. If not, why not?**

   We do maintain an inventory of our applications to document the capabilities of our current systems and help us identify potential vulnerabilities. We have attached a list with a short description of each application in our baseline inventory. For your information, we are sending a copy of our Application Information Report separately for security reasons.

4. **In a report requested by Social Security, the National Research Council of the National Academies assembled a committee of experts to perform a strategic assessment of Social Security's electronic services. This excellent report was published in 2007. Would you provide specific details regarding the steps Social Security has taken to implement each recommendation?**

   Since the National Research Council published its report in 2007, we have overhauled our electronic services, considering the recommendations in the report. First, we released our significantly improved Retirement Estimator, an easy-to-use benefit calculator that helps millions of people plan for retirement. We also completely redesigned our online benefit application, iClaim. Since we released iClaim in December 2008, we have increased the percentage of online benefit applications from single digits in most years prior to iClaim to 43 percent so far this year. iClaim has been essential in helping us keep pace with the significant increase in benefit applications due to the recession.

   Using public and employee feedback, lessons learned, and benchmarking with other organizations, we continue to improve and expand our online offerings, including the release of the first interactive online Spanish applications in the Federal government. In May, we released on our online Social Security Statement, the first application to use our MySSA portal. Depending on the availability of resources, we plan to expand the personalized services we offer.

   Public satisfaction scores demonstrate our success in overhauling our electronic services over the last five years. We currently have the three highest-rated electronic services in the Federal government—and five of the top six—as rated by the American Customer Satisfaction Index (ACSI), even outscoring the top private sector electronic services, Amazon and Google.

   We outline below how we addressed each of the nine specific recommendations from the National Research Council.

Recommendation 1:

The SSA should make an unambiguous, strategic commitment to electronic services as part of its long-term service delivery strategy, placing a central emphasis on electronic services that encompass timely and up-to-date information for users, partners, and beneficiaries.

Response to Recommendation 1:

We are committed to expanding and enhancing the quality and quantity of available electronic services. In FY 2011, we processed over 15 million personalized online transactions, reducing stress on our offices as we struggle to keep up with demand. Our May 2012 IRM plan reiterates our commitment to expand and enhance our online services, and it describes how our IT projects help us accomplish this goal. Furthermore, we are currently developing a Service Delivery Plan that will describe how we will use our resources to deliver services over the next four years and beyond, including how we will use and improve electronic tools.

Recommendation 2:

The SSA should carefully consider the ways in which the experiences and approaches of large-scale financial institutions— including state-of-the-practice electronic information and service delivery, metrics-guided improvement, and process transformation, among other approaches and solutions—might be relevant to the kinds of services that the agency is providing or may provide in the future.

Response to Recommendation 2:

We agree that we can learn from other organizations. In fact, we benchmarked with financial institutions, healthcare organizations, and other government agencies to implement best practices in authentication as we developed MySSA. We continue to collect information and advice from the financial community, other government agencies, and private IT research companies, such as Forrester, Gartner, the Info-Tech Research Group, the Corporate Executive Board, and the 451 Group. These collaborations, including lessons from the financial industry, provide valuable insight as we research and develop new service options, including developing mobile services.

Recommendation 3:

In order to move to the second phase of electronic services maturity, the SSA should create a focal point responsible for developing and managing electronic information and service delivery— including components such as Web content, online transactions, user interfaces, research, database systems and other key enabling technologies, and other facets of electronic service delivery that are currently dispersed throughout the SSA. This focal point should have sufficient resources to take on organization-wide responsibility for online services and should report directly to the SSA Commissioner or to a Deputy Commissioner.

Response to Recommendation 3:

The Office of Systems Electronic Services is our focal point for developing and managing electronic services. The office reports directly to the Deputy Commissioner for Systems and manages all aspects of our electronic service development and delivery. To support the efforts of this office, we have a cross-component eServices Governance Committee that oversees all activities related to our online services. This Committee has overseen the successful release of numerous online services, which routinely receive high customer satisfaction scores.

Recommendation 4:

As it makes decisions about future directions for its database technology, the SSA should give considerable weight to the implications of those decisions for the effectiveness and efficiency of current and future electronic service delivery and should be open to the introduction of new technologies.

Response to Recommendation 4:

We recognize the importance of defining a database architecture that uses newer technologies related to electronic services. We have made significant progress in replacing our databases that had used the Master Data Access Method (MADAM) with modern relational databases supported by IBM DB2 and Oracle, the industry-leading database management systems. We have converted three of our five master data files from MADAM to DB2 and will convert the fourth by the end of this year. We are currently planning to convert the fifth file. Our approach in migrating from MADAM to relational databases has allowed us to minimize the disruption to our offices during the conversion.

We are also making excellent progress in changing our computer code base that was dominated by older programming languages like COBOL and ALC to reflect a better balance of more modern code. Although we rely on older code, soon we will have more production computer programs written in JAVA language rather than COBOL. We will continue to take advantage of appropriate new technologies that can help us operate more efficiently and effectively.

Recommendation 5:

In continuing to develop its conversion strategy and long-term services strategy, the SSA should draw on a broad range of technical expertise—including but not limited to database software experts, software engineers, software security experts, financial services experts, large-scale commercial service providers, and systems architecture experts—and put systematic mechanisms in place so that it can hear and learn from outside advisers.

Response to Recommendation 5:

Please see our comments on Recommendation 2. We actively consult with independent technology and market research companies, such as Gartner and Forrester, to solicit independent and fact-based advice on existing and proposed technologies. We consult with IBM on database and emerging technologies to gain expertise related to industry standards and architectures. We use this expertise in our database conversion strategy. We also contract with Yevich, Lawson, and Associates on an annual basis to assist with our database conversion. This contract allows us to draw upon a broad range of technical expertise, including database development and conversions, software development, and systems capacity technologies.

Recommendation 6:

When evaluating new electronic service-delivery initiatives, the SSA should, when appropriate, seek to balance risks and rewards by recognizing such upside benefits from automation as cost reduction, fraud prevention, and customer satisfaction.

Response to Recommendation 6:

We carefully consider both risks and rewards as we evaluate new electronic service initiatives. We continue to implement our IT services incrementally. Our approach helps ensure that we realize value quickly and allows us to adapt to changing business and technology environments.

Recommendation 7:

The SSA should define and use metrics and measures to assess and improve its service delivery across all channels, including electronic services.

Response to Recommendation 7:

We communicate our metrics both internally and to the public in our Annual Performance Plan, www.socialsecurity.gov/budget/2012APP.pdf, and in our Performance and Accountability Reports, http://www.ssa.gov/finance/. We include performance measures related to our service, including several measures specific to our electronic services.

In addition to these metrics, we use ForeSee, a customer experience analytics firm founded at the University of Michigan's Ross School of Business, to help us gauge satisfaction with our electronic services. ForeSee administers the ACSI surveys to measure customer satisfaction with services. We use the survey data, which includes satisfaction scores and public comments, to improve our existing services and develop ideas for future services.

Recommendation 8:

The SSA should undertake to understand the identities, needs, and attitudes of its various user communities and should use that information to establish effective relationships and ongoing interactions with users, potential partners, and third parties. The SSA should explore partnering opportunities and identify the changes and initiatives that are necessary in order for it to enable appropriate interaction and cross-functionality with strategic partners and to support the exchange of data with other government agencies (both federal and state) while ensuring that appropriate security and privacy measures are in place.

Response to Recommendation 8:

Stakeholder input is critical to each stage of our eService development process. We routinely solicit public feedback through surveys, focus groups, and meetings with key external audiences. After we implement new services, we continue to engage our stakeholders by using feedback from ACSI surveys and conducting other surveys to improve our online services.

For example, input from users and external stakeholders was key to the success of two recent eService projects. We decided to offer our online services to the 35 million Americans who may prefer to conduct their business with us in Spanish. We gathered feedback from several Hispanic advocacy groups as we developed our Spanish language electronic services. These advocates provided valuable insight into how to best translate and design these services.

Before we implemented our new Internet authentication process for public access to our MySSA portal, we benchmarked with financial institutions, healthcare organizations and other government agencies to assess and implement best practices in authentication. We also conducted public focus group, tests, and surveys that helped us fine-tune usability and security. In addition, we sought the input and advice of numerous privacy experts and advocates for victims of identity theft and domestic violence. These discussions helped us design our authentication system with several features that provide additional protections for victims of domestic violence and identity theft.

With regard to the exchange of data with other Federal agencies, we have over 3,500 data exchanges with a variety of partners, including State and Federal benefit paying agencies. We routinely work with these agencies to ensure continued efficient and secure information exchanges.

Recommendation 9:

The SSA should embrace change as a constant. It should regularly evaluate emerging trends in such areas as technology (for example, database technologies) and business practices (for example, by learning from the experiences of financial institutions and moving toward the use of strategic partnerships for efficiency and effectiveness). It should also regularly evaluate the changing societal attitudes and expectations of its various user communities. The SSA should also institutionalize the formulation of strategies for addressing these trends.

Response to Recommendation 9:

We release new software and make extensive adjustments to our IT environment weekly. We continually evaluate trends in business practices and contract with private sector experts to gain insight into future technologies and customer support trends. As referenced earlier, we have learned valuable lessons from the experiences of the financial industry in adopting mobile technology. We will also continue to evaluate the expectations of our user communities. We already have in place numerous methods to gather input from the public, advocacy groups, and other third parties.

Our Compassionate Allowances and Quick Disability Determination processes are examples of how technology is helping us make faster and more accurate decisions. We continue to take advantage of Health IT, which has the ability to dramatically improve service.

We face a challenging budgetary environment and must make difficult choices between possible new investments. Therefore, we implement new technologies based on their business cases.

5. In the Information Resources Management plan, Social Security's Hardy-Apfel Fellows program is touted as a way "to bring in IT talent from top graduate schools." How many Hardy-Apfel fellows have been hired and retained to date? Please provide the number hired in each year for the past 5 years, and the number from each hiring class currently working at Social Security. How do you recruit innovative technology experts and keep them?

We began recruiting for the Hardy-Apfel IT Fellows program in 2008, and we have hired 17 participants to date. Hardy-Apfel is a small prestigious program selecting top IT talent to work on key Agency projects. The program is highly competitive, designed to recruit participants from Master's program universities that have top-ranked computer science programs. Recruitment efforts have successfully attracted 326 candidates. Of those candidates, 106 applied for the program.

Our recruiters attend universities career fairs and work directly with school career centers to inform qualified candidates about this program. Our nationwide recruitments efforts have included visits to:

Brown University	Carnegie Mellon University
University of California Los Angeles	Cornell University
Georgia Institute of Technology	Johns Hopkins University
University of Maryland College Park	Stanford University
Massachusetts Institute of Technology	University of Illinois at Urbana
University of Texas at Austin	

Among the 17 Fellows hired, 14 remain in the agency. Consequently, the retention rate for the program is eighty-two percent. Below is a breakout of the number of Fellows recruited and retained:

- Recruitment year 2008-2009: retained 2 of the 4 hires.
- Recruitment year 2009-2010: retained 4 of the 5 hires.
- Recruitment year 2010-2011: retained all 3 hires.
- Recruitment year 2011-2012: retained all 5 hires.

We recruit and retain innovative technology experts by offering a flexible, high-level program in which the Hardy-Apfel Fellows can develop new fields of study or continue to pursue their current areas of interest. These Fellows realize that working at SSA gives them the opportunity to advance the information technology systems, programs, and policies of a large Government agency that touches the lives of nearly all Americans. They have the opportunity to work on key agency projects and to meet regularly with agency executives.

6. **In the Information Resources Management plan, the IT Skills Inventory is discussed. Is expertise regarding cloud computing and big data included in the IT Skills Inventory? If not, why not? If so, does Social Security have sufficient staff with these skills to meet its needs now and in the future? If not, how does Social Security plan to recruit individuals with these skills?**

   The technological aspects of cloud computing and big data are skill sets that our IT employees possess. We continue to train our IT staff to maintain and update their skills so they can address the changes in technology. We have not identified sets of new skills necessary to support cloud computing and big data that are separate and distinct from the IT skills already included in our IT Skills Inventory. To the extent that we identify the need for these core skill sets in the future, we will incorporate them into our IT Skills Inventory recruiting strategies and objectives. If the design and implementation of cloud and big data environments require highly specialized experience, we can engage consultants with that expertise to provide advice and train our existing staff.

7. **In recent years, the number of online services offered by Social Security has grown. What online services can the public expect from Social Security next? How do you decide what services to provide online? How long does it take to launch an online service?**

   Our next online service will provide real time access to the benefit verification. In fiscal year 2011, our front line employees manually processed 7.4 million requests for benefit verifications.

   During our IT planning process, we define and prioritize the IT initiatives necessary to accomplish our strategic goals and objectives. We consider many factors, such as our available resources, the expected service usage, effect on our local offices, improvement to the user experience and security, and overall return on investment. Every online service is unique. The time needed to launch a new service depends on its size, complexity, and the availability of adequate resources.

8. Social Security has top scores on some of its online applications in terms of customer satisfaction. But the two disability-focused sites, the application for benefits and applications for appealing a disability denial, do not score as well. In fact, the appeals application site is the second lowest scoring of all Social Security sites. Why? What changes are being made to these sites to ensure those applying for disability benefits receive the same high quality online experience that retirees do?

Our easy-to-use online application, iClaim, has been very successful. In FY 2009, we rolled out the first phase of iClaim, and we immediately saw a significant increase in Internet disability claims, even though we did not market the service to disability applicants. Our numbers continue to increase. In FY 2011, more than one million disability applicants (33 percent of the total) filed online, almost quadrupling the volume from the year before iClaim. To date in FY 2012, 38 percent of disability applicants filed online.

Last June, our Office of the Inspector General completed a review of the level of service provided to applicants filing for disability benefits using iClaim. This review, initiated at the request of Congress, found that 91 percent of survey respondents "…found their overall experience filing the iClaim (disability) application online to be excellent, very good, or good."

The complexity of the disability rules makes streamlining the online claim process more challenging, but we are making progress. In June we began capturing electronic signatures for medical authorization and allowing users to upload supporting files directly into our disability system. Over the next several years, we will be making other improvements depending on available funding.

We also used the ACSI customer satisfaction information for the Internet disability appeal (iAppeals) to help us identify areas for improvement. Earlier in FY 2012, we released an improved version of this application. Some of the changes included:

- providing tips on how to navigate the site;
- reducing the number of informational pages and placing key information behind links for easy access;
- clarifying instructional language;
- reducing the number of unnecessary screens;
- creating a new "Welcome Page" with a look and feel similar to our newer online applications.

We are currently evaluating recent ACSI survey results to further improve the iAppeals application.

9. The Information Resources Management plan runs through fiscal year 2016. What types of planning is Social Security doing outside of the 5 year window? In his testimony, Dr. Scherlis recommended planning for potential changes to IT systems over five to ten years. Do you agree? If not, why not?

We base our IT guiding principles, which we describe in our IRM plan, on systematically modernizing our infrastructure using sound and viable technologies. Given the importance of our programs, we cannot afford to be captivated by the promise of new technologies before they are mature and cost effective to implement. Although we agree with Dr. Scherlis that IT strategic planning must be future looking, we believe that our 5-year planning horizon is appropriate. The unpredictability of our budget and the current annual budget planning and execution cycles make it difficult to plan beyond this length of time. We do, however, monitor emerging technologies.

10. In his testimony, Dr. Scherlis discussed the potential of "big data" and described it as "computing techniques that enable rapid analysis and manipulation of vast quantities of data to turn it into actionable information." Is Social Security using this technology to better manage its programs? If not, why not? Are you planning to use it in the future?

In 2010, we began researching innovative architectural solutions to ensure the security and integrity of our rapidly expanding volume of data. As a result, we developed a proposal for a target architecture that enables the integrated capture, management, and analysis of events and large-scale data, or "big data." We refined this target architecture in 2011, and we are now using it as a strategic roadmap to identify, evaluate, and test potential technical solutions. In 2012, we are working with consultants to identify the strategies and data analytics that will leverage "big data" to enhance agency services.

11. (From Mr. Johnson) For nearly a decade (FY2001-2011), Social Security stockpiled over $1 billion of its unspent appropriated funds in the Information Technology (IT) Fund. Congress had permitted Social Security to roll money into the fund for acquisition and maintenance of automated data processing and telecommunications hardware and software as well as support services and related contractual services. Social Security did not use the money in spite of appeals to Congress regarding its urgent IT needs. When the buildup of funds was discovered, Appropriators, on a bipartisan, bicameral basis, rescinded $275 million and required Social Security to draw down the fund. After the rescission, the IT fund had nearly $600 million remaining. Why did Social Security not use the IT fund to make timely maintenance and appropriate IT upgrades to protect the taxpayers' investment in the agency's IT system? Please provide specific details as to how IT funds have been spent since the $275 million was rescinded.

These funds are a closely monitored, transparent part of our budget that we have used to help us handle increasing workloads. Our ability to transfer unobligated administrative funds to our Information Technology Systems (ITS) account is a funding mechanism Congress specifically authorized. We must justify to OMB any transfer of unobligated balances to the ITS account, and OMB must give us formal approval before we can transfer and spend any funds. Moreover, available ITS transfer funding factors into our annual budget request. During the budget process, we work with OMB to determine how much of our IT needs will be covered with funding we can transfer into the ITS account, thereby decreasing the amount of new funding we need to request in any given FY.

Most of our annual ITS funding is necessary for ongoing operational costs, such as our 800 number hardware and software and our online services. ITS transfer authority allows us to make technology improvements that help our employees work more efficiently. Our IT investments help us to achieve average annual employee productivity increases of about 4 percent in each of the last five years. They also help us maintain sufficient capacity to process and store ever-increasing amounts of data. ITS transfer authority resources helped us fund essential IT upgrade and modernization projects such as making our disability process fully electronic, developing robust and user-friendly online services, and opening our second data center. Without these IT investments we would not have kept pace with the recent increases in claims.

We did not have $600 million remaining unspent after the rescission. After the $275 million rescission, we had $276 million unspent in June 2011, of which all but $32 million was spent by the end of the fiscal year. While about $1 billion was transferred cumulatively to the ITS No-Year fund over the preceding decade (FY 2001 – 2011), we have continually spent against this funding source.

We have a number of IT initiatives critical for improving our efficiency and quality of service in progress. For example, we are:

- building a new case single processing system for State disability determination services instead of paying to maintain 54 different systems;
- building a national visitor intake system for our field offices;
- adding advanced systems capabilities in our hearing offices;
- converting our master files to DB2 databases;
- increasing the use of video for appeals and operational workloads;
- modernizing our earnings record software;
- building agile data exchange programs; and
- building additional online services that will utilize our new MySSA portal and authentication process.

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11. (From Mr. Becerra) One of the goals of the Federal Information Technology Reform Plan is to reduce reliance on agency data centers and transfer more functions to hosted servers ("the cloud"). Please describe the extent to which Social Security has moved services to the cloud, or chosen not to, and why. What are the risks and advantages for Social Security of moving to the cloud? Could Social Security generate short or long-term cost savings or performance improvements by moving some services to the cloud?

Please see Attachment 2, our Cloud First Plan, which contains a comprehensive explanation of our how we plan to use cloud computing.

12. By law, if Social Security has money left in its operating budget at the end of the year, the funds are transferred to a dedicated account which is used for information technology. The Fiscal Year 2011 appropriations acts rescinded $275 million from that account. How did that rescission affect Social Security's IT modernization efforts?

As we mentioned earlier, we factor our ITS carryover authority into our annual budget requests. With this authority, we have been able to reduce our annual budget request and maintain robust investments in technology to improve productivity and accuracy. The rescission reduced some of our planned IT work. As explained above, we used this ITS funding source in lieu of asking for additional funding. In our FY 2013 budget request, we did not plan to have prior year carryover available; therefore, our budget request for ITS is $182 million higher than our annual ITS funding in FY 2011.

Our systems and electronic services are some of the best in Government and the private sector and we need appropriate funding to continue to ensure the security of our sensitive information, increase online services, and pursue technology to increase productivity and improve our accuracy. Inadequate funding could result in increased traffic on our 800 number and in our field offices, creating an increased demand and additional strain on our reduced direct service staff. Continued reductions in our overall funding will severely jeopardize our service to the public and threaten our ability to keep our technology environment operating smoothly.

Attachments:
Attachment 1 – Application Information Report
Attachment 2 – Cloud First Plan

Kelly Croft Attachment #1

Application Information Report

Name	Owner	Description
1% Leed File Prep	OEEAS	Provide OP, Office of Research, Evaluation and Statistics with MI and data files of a 1% sample of the U.S. workforce.
40 Quarters of Coverage	OEEAS	Provide the States with quarters of coverage information per their request.
800# Appointment System	ORSIS	800# appointment system establishes leads, appointments and a protective filing date for individuals who contact SSA.
941T/DIR	OEEAS	These jobs update the IRS employer files with data received from IRS. ER941DIR updates the 3 non-current year VSAM file directly. ER941T updates the current Tax Year by downloading the file and then reproing it back up after updates have been applied.
AACT/FACT	ORSIS	Query of Master Beneficiary Record returned to the screen or sent to a printer. Queries just read the data and display the information.ORSIS does not own all queries in this Endevor System.
Access Control Utility	OSES	Access Control Utility allows users to authenticate via KBA or Pin Password
Access Control Utility Operation Handler	OTSO	This is a utility application on OTSO's Access Control Utility (ACU) servers. This application provides an interface between the Tivoli Access Manager Product and the ACU. It can direct authentication requests to the proper modules.
Access for Cross-Platform Intranet Services	OEEAS	Access for Cross-Platform Intranet Services (AXIS) allows ColdFusion applications, hosted on the Solaris UNIX Flex environment, to access mainframe resources on z/OS. AXIS provides Top Secret security, via the Security Web Service (SWS), so that ColdFusion applications can leverage the security infrastructure that previously was only open to the WebSphere environment. AXIS uses the SSA standard JWICS to provide reliable and scalable access to mainframe resources. Any developer that knows how to use SOAP/WSDL-based web services will be able to use AXIS.
Access to Financial Institutions	OASSIS	The Access to Financial Institutions (AFI) system will help reduce SSI payment errors by providing an automated, efficient and economical means of verifying disclosed financial accounts and detecting undisclosed financial accounts with balances.
Access to Financial Institutions - Inbound Web Service	OSES	The AFI Inbound Web Service is new for AFI Release 2. The purpose of this service is to accept incoming Financial Institution "Response" data from the Vendor. This application will perform standard external facing web service security and schema validation. It will then take the message payload and place onto WebSphere MessageQueue for retrieval by the AFI application.
Accounts Receivable System	OASSIS	T16 nonreceipt

Application Information Report

Name	Owner	Description
AccuW2c	OEEAS	AccuW2C is used for electronic filing of corrected wage and tax statement (EFW2C). The software is downloaded from the SSA Web site by a submitter and used to check the format of a wage report submission file. This software is used only for testing files and does not update or modify the original file. Once errors are encountered, the original file must be accessed for corrections. The submitter should make the changes indicated on the error report generated by the AccuW2c software prior to sending the wage report submission to SSA.
AccuWage	OEEAS	AccuWage is used for Electronic Filing of Wage and Tax Statement (EFW2). The software is downloaded from the SSA Web site by a submitter and used to check the format of a wage report submission file. This software is used only for testing files and does not update or modify the original file. Once errors are encountered, the original file must be accessed for corrections. The submitter should make the changes indicated on the error report generated by the AccuWage software prior to sending the wage report submission to SSA.
Acquisition Planning and Reporting System	OEEAS	APRS maintains budget information for purchase requisitions for ITS projects
ACU Citizen PIN / Password Authentication	OSES	This is the Access Control Utility (ACU) application that performs the PIN / Password authentication for Citizen Applications. Currently supporting online applications like COA, DD, and CYB.
ACU Citizen PIN / Password Registration	OSES	This is actually a suite of applications that reside on OTSO's Access Control Utility (ACU) servers. The applications are used to register a Citizen for a PIN and Password to access online applications like Direct Deposit (DD), Check Your Benefits (CYB), and Change of Address (COA). The applications are Get Temporary Password Request Code (IPS_GPRC), Create Password (IPS_CRPW), Block Access (IPS_BKAC), and Change Password (IPS_CHPW).
ACU Core Services	OTSO	This is the shared library that provides the security logic as part of OTSO's Access Control Utility (ACU) servers. This code is used by several of the ACU applications. It provides for the actual authentication, registration, and account maintence options.
ACU Knowledge Based Authentication	OSES	This is the Access Control Utility (ACU) application that performs the Knowledge Based Authentication for online Citizen Applications. Currently supporting online applications like Citizen PIN / Password Registration, iSNO, and English / Spanish Retirement Estimator.
ACU Telephone PIN / Password Registration	OSES	This is actually a suite of applications that reside on OTSO's Access Control Utility (ACU) servers. The applications are used to register a Citizen via the Verizon 800 number for a PIN and Password to access SSA's applications like Telephone Check Your Benefits (TPCB). The applications are Get Temporary Password Request Code (TPS_GPRC), Create Password (TPS_CRPW), Block Access (TPS_BKAC), and Change Password (TPS_CHPW).

Application Information Report

Name	Owner	Description
ACU Treasury Check Information System Federation	OTSO	This is the OTSO Access Control Utility (ACU) code that provides Federated Identity services to FMS. This authenticates SSA employees to access the Treasury Check Information System (TCIS) and provides the SAML exchange with FMS for single-sign on to the system.
ACU Web Services Authentication	OTSO	This Web Service on OTSO's Access Control Utility (ACU) servers is used by the Secure Web Services Architecture (SWSA). The SWSA DataPower XML gateways leverage ACUWS to authenticate Web Services clients against SSA custom user repositories like Top Secret and IRES.
ACU Word of the Day	OTSO	The Word of the Day application was created by OTSO to add another layer of complexity for accessing SSA's Outlook Web Access (remac.ssa.gov). This application runs on OTSO's Access Control Utility (ACU) servers. It prompts a person for a Word of the Day that they must know from an intranet source.
Administrative Payments Information Network	OEEAS	This system is an intranet website that displays administrative payment information to employees.
Advanced Fugitive Felon Notices	ORSIS	Produces advance notice of intent to terminate benefits to fugitive felons.
Agency Skills Inventory	OEEAS	This application provides management with a mechanism to capture individual employee skill levels for skills sets associated with job series within their organization. It also stores future needs so that gaps can be determined by comparing current skills to future needs.
Aggregate Earnings Exchange	OEEAS	Back end aggregate computation program built to provide the Department of Education (ED) with the mean and median income for each unique combination of Gainful Employment (GE) Program and Earnings Report Year. This application will provide ED with earnings data that will be used in calculating a 'Debt to Earnings' ratio as part of the Gainful Employment regulations.
AJS Notices	ORSIS	To produce a quality PE notice using Target Notice Architecture (TNA) for the AJS process.
Alpha Employer Identification File/Alpha Employer Index Query	OEEAS	AEIF - Is representative of the EIF database in alphabetic order. AEQY - The official name is the ?EIF Access Screen.
ALPHIDENT and NUMIDENT Queries	OEEAS	Provides query access to ALPHIDENT and NUMIDENT.
Annual Awards	OEEAS	This is a mainframe job that provides stats on claims awarded annually.
Annual Termination System	OEEAS	This is a mainframe job that provides stats on claims terminated annually.
API GREP Count Balancing	OSES	The application program interface that takes counts from MESODS and writes them to the MSHARE common balancing table for applications using the MESODS API.
APM Online	OESAE	This application is used to gather APM data
Appeals Management Information	OASSIS	Produces files of cases pending at OHA.
Appeals Review Processing System	ODS	Supports the case processing of appeals council workloads.
Appeals Review Processing System - Management Information	OASSIS	Appeals Review Processing System - Management Information is a system that produces web reports and listings regarding the Appeals Council, DRB and Court appeal processes.
Application Interface Facility - 800#	OESAE	AIF

Application Information Report

Name	Owner	Description
Application Interface Facility - Alphident	OESAE	Application is being moved to OESAE DDBS
Application Interface Facility - CPS	OESAE	AIF
Application Interface Facility - DCF	OESAE	this is a utility to access mbr, ssr, and rep payee information
Application Interface Facility - DMS	OESAE	this is a utility to access mbr, ssr, and rep payee information
Application Interface Facility - Earnings Modernization and Employer Balancing	OESAE	Application is being moved to OESAE DDBS
Application Interface Facility - Earnings Modernization and Employer Reporting	OESAE	Application is being moved to OESAE DDBS
Application Interface Facility - ICDB	OESAE	this is a utility to access mbr, ssr, and rep payee information
Application Interface Facility - MBR	OESAE	AIF for the MBR
Application Interface Facility - MCS PF	OESAE	this is a utility to access mbr, ssr, and rep payee information
Application Interface Facility - MEF	OESAE	Application is being moved to OESAE DDBS
Application Interface Facility - MES PF	OESAE	Application is being moved to OESAE DDBS
Application Interface Facility - MSSICS PF	OASSIS	DDBS software to access master files thru the use of user defined Data Element Clusters
Application Interface Facility - Numident	OESAE	Application is being moved to OESAE DDBS
Application Interface Facility - Rep Payee	OESAE	Application is being moved to OESAE DDBS
Application Interface Facility - SSR	OASSIS	DDBS software to access master files thru the use of user defined Data Element Clusters
Appointed Rep - Hearing Office Status Report	OSES	Appointed Representative with eFolder access will be allowed to view and download a status listing of all of their cases pending at the Hearing level. Previously ODAR would mail this information to the appointed representatives on a regular basis.
Appointed Rep Services (Form SSA-1699)	OSES	Application allows registration of Appointed Reps through intranet via input of SSA-1699.
Appointed Representative Database Query	OSES	The Appt Rep New ARDB Query project will replace the SSA-1699 and SSA-1694 query functionality that is currently available with the Appointed Representative Application on I- Main. The new Appointed Representative Database (ARDB) query application will allow users to query additional data stored on the ARDB as well as the Integrated Registration Electronic Services (IRES) database. The New ARDB Query application will include a Search for Representative Data query and a Search for Business Data query. SSA users authenticated by TopSecret will have access to the New ARDB Query Application through their customized I-Main menu page. The New ARDB Query application will provide view only capability.
Appointment System Management Information	OEEAS	Provides Management Information on the 800 appointments system and appointments scheduled via the IAppointment System.
Assignment & Correspondence Tracking	OEEAS	Intranet only Application - COTS Package heavily integrated
Attorney Fee Form 1099	ORSIS	Process registeration of individual representatives, including attorneys and eligible for direct payment non-attorneys (EDPNA). Process registration of firms. Process Linking the Appointed Rep to the Claimant.

Application Information Report

Name	Owner	Description
Attorney Fee System	ODS	Tracks fee agreements, fee petitions and miscellaneous actions primarily for cases processed by the Appeals Council. This includes both initial filings and administrative reviews.
Atty Fees Internet Registration (Form SSA-1694 for Firms)	OSES	Application allows representative firms to register with SSA for copies of the electronic 1099s that would be paid to their reps working for the firms.
Audio Cassette Transcript Invoice & Inventory System	ODS	Tracks and monitors the hearing cassette transcription process for cases being prepared for court. (used by OAO Contract Staff)
Audit Core Services	OEEAS	The Audit Core Service provides the capability to write audit records to the CATF and the Audit Trail System
Audit Trail System	OEEAS	Collect application specific transaction data and provide search capability for the Center Directors for Security and Integrity and their staffs.
AURORA	OESAE	Creating notices and modifying/completing non-complete notices; formatting and creating print files.
Automated 101	ORSIS	Collects information for Title 2 Initial Claims which cannot be automated, so that information can be transmitted and processed in the PCs.
Automated Enumeration Screening Process	OEEAS	AESP matches new applications for an original or replacement SSN against all existing SSN records. When a prior SSN is alleged, AESP will match using the alleged prior SSN and other identifying data. These match functions are performed using the NUMIDENT, which is a DB2 database. Assigns original SSN's.
Automated Job Stream - AJS 1	ORSIS	The Automated Job Streams 1 and 3 (AJS1 and AJS 3) Operations computes benefit changes based on recent AERO, Enforcement and Earnings work information. AJS 1 receives 2 types of daily inputs from POS, recomputations (BIR's) resulting from additional earnings posted to the MEF. Additionally, the AERO selection process sends transactions on the last Friday in March and October.
Automated Job Stream - AJS 3	ORSIS	The Automated Job Streams 1 and 3 (AJS1 and AJS 3) Operations computes benefit changes based on recent AERO, Enforcement and Earnings work information. AJS 3 processes transactions associated with imposing, removing, or adjusting work deductions.
Automated Leave Slip	OEEAS	MS outlook form that allows for electronic submittal and approval/denial of leave requests. Available to all SSA employees.
Automated Scheduling Application	ODS	ASA is a web application and a series of COBOL and Java batch jobs that automate the scheduling of hearings before the administrative law judges (ALJs) as part of ODAR's appeals process. ODAR has the ability to enter availabilities on behalf of representatives, medical experts, vocational experts, and hearing reporters into the ASA web application, along with the availability of the hearing sites. In ASA they also have the ability to approve proposed schedules, and to manually schedule cases. The batch portion of ASA will take the availability information and try to come up with a proposed schedule for cases from CPMS that are ready to schedule. Scheduled for pilot in August 2012.

Application Information Report

Name	Owner	Description
Automated Scheduling Application (Internet)	OSES	The Internet ASA is the user interface that allows external users to enter information about their availability to attend hearings. This information is stored by ASA databases so that it can be considered by the Intranet ASA during processing. The Internet application uses ODS created Stored Procedures to obtain data to display to the user such as their name, address, and hearings schedule.
Automated Scheduling Application MI	OASSIS	Auto Schedling Application. Primarily the OASSIS MI team will be transmitting full daily data unloads of Auto Scheduling tables (MAUSCH)and monthly unloads of a few tables to ODAR/ DART. The MAUSCH tables will not contain history and the source of the data will be the PAUSCH database. This frequency is Monday - Saturday.
Automated User Account Setup	OSES	This application provides registration and account maintenace for Electronic Records Express users.
Automatic Earnings Reappraisal Operation	ORSIS	Increase the Primary Insurance Amount (PIA) based on additional earnings. Verify PIA computation in certain entitlement conversion cases.
Automation of SSI Redetermination Change Rate	OASSIS	COBOL batch application used by OQP to determine effectiveness of SSI REDET Process
Behavioral Management Information	OSES	The Behavioral Management Information (BMI) application is used to capture information regarding user behaviors associated with the Agency's Internet applications. Information captured includes fields, pages, and applications accessed; time spent completing fields, pages,and applications; and points of abandonment.
Beneficiary Annotation Communications Operations Module	ORSIS	BACOM establishes an MBR connection between T2 and T16 and processes subsequent SSI entitlement changes. Its major function is to update the MBR or Systems Interface Records with SSI data and Railroad data. BACOM also builds death termination and death reinstatement finders for processing by T2.
Beneficiary Data Exchange	ORSIS	The BENDEX system provides Title II benefit data from the Master Beneficiary Record (MBR) and Earnings information from the Master Earnings File (MEF) to State Agencies for their use in determining the amount of public assistance for which a beneficiary is eligible.
Beneficiarys Own SSN Offline Verification Activity	ORSIS	T2 Batch BOAN Verification
Benefit Certification and Accounting System (TITLE 8/16)	OEEAS	BCAS is used to certify and account for monthly Supplemental Security Income (SSI) and World War II Veterans (T.VIII) benefit payments authorized under the Social Security Act. BCAS interacts with the Treasury Dep
Benefit Rate Increase - BRI Special Update	ORSIS	Applies Cost of Living increases. The BRI does a complete replacement update of the MBR. In order to do this BRI needs a DASD allocation of about 4000000 tracks. The BRI is a called program out of the BRMBR jobs.
Benefit Rate Increase - Computations	ORSIS	Applies Cost of Living increases. The BRI does a complete replacement update of the MBR. In order to do this BRI needs a DASD allocation of about 4000000 tracks. The BRI is a called program out of the BRMBR jobs.

Application Information Report

Name	Owner	Description
Benefit Verification	OSES	Application for Title 2, Title 16 and Medicare beneficiaries to request a benefit verification letter.
BEST (MCS Screen and Print)	ORSIS	Online benefit earnings statement produced through MCS screen. NOTE: there is another system called BEST that is not part of MCS.
BSO - Direct Deposit	OSES	Allows registered banks to upload reporting files.
Business Intelligence Data Delivery Service	OEEAS	BIDDS is an application providing SUMS ODS data to regional applications.
Business Intelligence Repository	OEEAS	This is the metadata repository for the BI Architecture.
CA Role & Compliance Manager (RCM)	OESAE	CA Role & Compliance Manager (RCM) is a COTS package. CA RCM's main functional area is Identity Compliance and Role Management. Identity Compliance activities focus on verifying that the access maintained by users is in adherence with regulatory requirements and internal security policies. Role Management focuses on the complete lifecycle of building, testing, maintaining and optimizing role models.
Case Processing Management System - Management Information	OASSIS	MI for ODAR Case Tracking System changed Acronym to CPMSMI
Case Processing Management System (Front End and Back End)	ODS	Supports the case processing of hearing office workloads. WebSphere z/OS Java front-end, COBOL/DB2/CICS backend. Also includes COBOL batch (for communicating with MI, PCACS, others), and Java Batch (for implementation of Automated Noticing and CD Burning.
Catalog of Modernized Systems Operations Manual (MSOM) Procedures	OSES	The Catalog of Modernized Systems Operations Manual (MSOM) procedures known as CAMP, tracks and stores 3,300+ MS Word documents for the MSOM Staff. CAMP is essentially a system that tracks MSOM procedures (Word files), MSOM authors (Systems Analysts) and MSOM Transmittals (Projects). It is written in Microsoft Visual Basic 6.0. It houses the database of MSOM procedures, transmittals, and authors on a SQL Server 2005 database. It allows the MSOM staff to check out files to authors, associate files (procedures) with transmittals, publish transmittals as either a PROD (production) transmittal, or a DIT (future implementation transmittal), or a Supplement (pilot transmittal), and report summary information to an FTP server, where the PolicyNet Staff in ORDP collects the files, and processes them for posting on PolicyNet.
CD Encryption Script	ODS	Client-side VBScript that semi-automates the Windows encryption process when a CD is burned. Interim solution until an enterprise method is made available.
Central Image Print Architecture	OESAE	CIPA will allow us to centrally print images that are stored in DMA.
CFRMS Update Data Extract	ORSIS	CFRMS establish, maintain, and manage the retention, disposition, and disclosure of claims file records as part of the Records Management Infrastructure (RMI) and CFMS.
CICS Online Internet Support System	ORSIS	This system is the Client Password screen. It is an option off the shared process menu off the SSA Main Menu. It is used to present information to an SSA employee about a person's attempts to establish a password on the Internet to do business with SSA.

Application Information Report

Name	Owner	Description
CICS Transaction Gateway	OTSO	IBM software that provides an interface for Websphere apps to CICS backend apps.
Civil Action Tracking System	OEEAS	Tracks various court cases against SSA. This involves loading potential class members and associated information; tracking the notice dates and responses; updating addresses and decisions, issuing and tracking alerts; folder protection triggering and court case monitoring.
Claim File Record Management System	OESAE	Provides a National Archives and Records Administration (NARA) compliant architecture for managing SSA's claims file records.
Claim File User Interface	OESAE	Provides the ability to search the CFRMS database for a claims SSN or a the clients own SSN and display a view of the claims file folder and the associated artifacts in the Document Management Architecture (IDib, Paperless, Medicare Prescription Drug Subsidy) and the Online Retrival System (applications and notices) in addition to the PCACS and SSICS folder locations.
Client Host Access Tool	OASSIS	An application interface utility written in C/C++ which was designed to perform EHLLAPI functions for the CHIP application. Its use has been extended to other applications (Paperless & CDW) which also need access to mainframe resources from a client/server.
Client Server eForms	ODS	The client server version of the eForms application is a stand alone application. The forms in this version were designed using FormFlow. These electronic forms are used by the disability process.
Combined Federal Campaign	OEEAS	This system is used to monitor the Combined Federal Campaign. Employee contributions are totaled by component offices. There are several reports that provide information for the CFC project director.
Compassionate Allowance / Quick Disability Determination	OASSIS	Provides Management Information (MI) by reporting various measures on Compassionate Allowance (CAL) and Quick Disability Determination (QDD)cases via weekly, static reports
Component Mediation Manager Service	OESAE	The CMMC service is a retrieval-only service. It retrieves configuration information from the SOA DB2 database about a CMM service. The CMMC service formats the configuration information in XML format.
Comprehensive Integrity Review Process	OEEAS	Detection and deterrence of employee and client fraud.
Comprehensive Integrity Review Process Management Information	OEEAS	Provides CIRP Management Information (MI) for potential Enumeration, SSI and Title II Fraud and Misuse. MI consists of Receipts, pending and clearances sent to DCBFM and operations for investigation.
Comprehensive Work Opportunity Support System	ORSIS	This project supports the Ticket to Work program. OASSIS is updating the CWOSS MI Reports for the next release to replace the EIN with the DUNS number.
Consent Based Social Security Number Verification	OSES	A fee-based social security number verification service.

Application Information Report

Name	Owner	Description
Content Object Deletion System	OESAE	The Content Object Deletion System (CODS) is an application that is designed to provide content deletion for individual documents stored in SSA content repositories such as IBM OnDemand and IBM Content Manager for z/OS. CODS will be used for deleting claims related information from SSA repositories to comply with National Archives and Records Administration (NARA)from the DMA, ORS, and Paperless Applications.
Continuing Disability Review Operational Data Store	OASSIS	CDR ODS provides data needed to control, count and analyze all Title II, Title XVI and Title XVIII disability post-entitlement workloads.
Continuing Disability Review Workload Management Information	OASSIS	CDR WMI tracks each pending CDR on the DCF from the point that it is released to a processing component (FO, DDS, DQB or PSC) through the final completion of all DCF processing events, including some appeals.
Continuous Work History Sample	OEEAS	This system creates files containing earnings, coverage, benefit and demographic data for 1% of SSN holders. The data is used by OCACT in making fiscal projections and by ORES in providing statistical information to other government entities and the public.
Continuous Work History Sample Modernization	OEEAS	Modernization of legacy CWHS system. Uses DB2 database that replaces flat files.
Control & Tracking API	OSES	The Control & Tracking API is a common component used by OSES Internet applications to generate control numbers that are associated to web application submissions.
Control & Tracking Web Service	OSES	The Control & Tracking Web Service is a redesign of the Control & Tracking API. This new service is used by OSES Internet applications and generates control numbers to associate to submissions. This service tracks submission level records only.
Cost Analysis System	OEEAS	This is the Cost Analysis System for the Agency. This is a mainframe based application that provides MI on administrative costs associated with the various SSA programs. CAS provides unit cost data for the various SSA workloads.
Cost Analysis System Renovation	OEEAS	This is a mainframe application that provides workload count data, work year data and work sample tallies to the Feeder CAS system from various source systems (WMT, PCMI, OEO, etc.).
Cost Analysis System Replacement	OEEAS	This is a intranet application that is a technical replacement of the current Feeder CAS system.
Critical Payment System	ORSIS	Immediate, one time and cyclical payments to people who will be in pay on the MBR in the future but who are not currently being paid.
Cross Payment Recovery	OASSIS	This application makes collections on behalf of T2. When a T16 underpayment is recognized, a call to T2 is made to reconcile a T2 overpayment.
CSIVEN	OESAE	Application programs that run on production for criterion-based selection.
CSMISC	ORSIS	CSMISC is a miscellaneous operation that creates post files for CSPOTRUN; files for the E9790 mailer; files for CSMBRSEL-arf drc and spa life.

Application Information Report

Name	Owner	Description
CSRETAP	ORSIS	CSRETAP identifies cases for post entitlement processing and information exchange. It also produces beneficiary counts, maturation events, finders for age attainments, full and partial MBR records and maintenance and update transactions.
Customer Help and Information Program	OASSIS	An intranet application which is used by the 800#agents to assist in answering phone inquiries. This intranet application also retrieves data from certain mainframe records along with performing screen stuffing of data to certain mainframe screens.
Customer Service Record Management Information	OEEAS	standard management information reports from the Work Measurement Data Warehouse (WMDW) on Field Office visits and Field Office waiting time. The information used to create these reports will be provided by the Visitor Intake Process (VIP) and the Customer Help Information Program (CHIP) (VIP).
Customer Service Record System	ORSIS	Collects pertinent customer information that provides a view of recent transactions, outstanding work items, and future actions for the field offices. The CSR query retrieves data from 16 systems.
Customer Status Inquiry	OSES	Customer Status Inquiry (CSI) is an application used by OSES internet applications to view details of and track the status of submission records created in the Control and Tracking (C&T) and/or Secure Messaging systems.
Daily / Yearly PHUS Update Operation	ORSIS	Payment History Update System is a database that houses all T2 payments made to T2 beneficiaries since 01/01/1984. The purpose of this database is to assist with generating form SSA-1099 or SSA-1042 SS Benefit Statements in support of P.L. 98-21 which made Social Security benefits taxable for individuals with certain income thresholds.
Daily Financial Accounting System	OASSIS	Creates a file of all SSI accounting transactions as well as various accounting reports detailing these totals.
Daily NUMIDENT Update	OEEAS	Updates the NUMIDENT master files.
Daily Update Data Exchange	ORSIS	IEDUDEX compares the old and new Master Beneficiary Records (MBR) after the daily update. The system identifies changes in MBR data or status, creates a series of files that reflect the changes and send the files to various agency components and other federal agencies. Those include SSI, Office of the Actuary, VA, CMS, and IRS.
Daily Update MASTER Accounting System	ORSIS	This operation checks and validates initial claims and PE events and prepares a record to update the MBR.
Data Access Middleware Utility	OESAE	Provides non mainframe access to SSA's mainframe Master Files.
Data Entry Mask System	ORSIS	Administrative Applications, Delayed Queries, Data Inputs
Data Exchange Management Information System	OEEAS	A repository for Data Exchange Information.
Data Exchange Query Menu	OEEAS	Process queries for online data exchanges.

Application Information Report

Name	Owner	Description
Data Exchanges and Verifications Online	OEEAS	DEVO is a parameter-driven, back-end engine for processing SSN verification requests. It replaces the exisitng Enumeration Verification System (EVS). DEVO is a WebSphere/JAVA application, modeled after the DCS Framework. DEVO interefaces with the Verification Account Management System (VAMS) to manage the assignment of functional processes. DEVO is the foundation for improvements to both batch and real time verification and data exchanges.
Death Alert, Control and Update System	OEEAS	The system processes reports of death and sends alerts to the field and death data to the NUMIDENT file.
Death Extract for DACUS	OASSIS	Process DACUS Death Extract - This program was written to process incoming V42 records from the ZDFAN Operation and format them into extract records to be used as finders for input into the State Death System.
Death Match to Payment Master	OEEAS	The system matches death records on the NUMIDENT file to death data on the MBR and SSR.
Debt Management System	ORSIS	Any system that includes the Debt Management screens, the conversion process that creates transactions, file maintenance for several debt management files, and the remittance batch process.
Detailed Office Organization Resource System	OEEAS	The Detailed Office/Organization Resource System (DOORS) is SSA's official Agency repository of office information, such as location and phone numbers, for all SSA offices. DOORS has a user and customer base of all SSA employees, hundreds of SSA systems, and members of the public who use SSA.GOV on the Internet.
Digital Recording	ODS	This project provides equipment and software to support the recording of hearings in ODAR.
Disability Adjudication and Review Evaluation System	OEEAS	DARES is a ColdFusion application that provides MI on the various initiatives that are under way to reduce the hearings backlog. It accesses an Oracle database in the UNIX Sun Solaris environment. DARES links to the Quality Performance Management System.
Disability Case Adjudication and Review System	OASSIS	Client-server application used by the Disability Quality Branches to manage the quality assurance reviews of DDS determinations. Works in conjunction with the Disability Quality Review (DQR) application which will eventually replace it. Data is exchagned with the Electronic Folder Interface (EFI) application using our Quality Assurance Systems Message Router (QASMR) application/service.
Disability Case Processing System	ODS	Disability Case Processing System. Used by disability determination components to process disability claims.
Disability Control File	ORSIS	This application group supports the batch interfaces between multiple SSA systems and the DCF and the updates from the IDMS CICS screens to the DCF in support of CDRs, Earnings, Demo and ticket to work activities.

Application Information Report

Name	Owner	Description
Disability Database System	OASSIS	DDBS extracts initial disability claims and continuing disability review cases daily from NDDSS and weekly determinations processed by OHA, OD, and other components from forms SSA-831/833/892/899 keyed by the Wilkes-Barre Operations Center. This data in saved in weekly files created for the Office of Disability and for the Integrated Work Management System (IWMS). Used for District Office Workload (DOWR) Counts. The DOWR counts are how much employees produce. DOWR measures the number of various types of actions that are completed. DOWR counts are derived from input to the system. Volume counts of specific workloads cleared.
Disability Online - Electronic Disability Guide	ORDP	
Disability Operational Data Store	OASSIS	DIODS provides disability management information for regional office Disability and MI staffs, Central Office Disability and Budget staffs, and state DDSs. The purpose of the Disability Operational Data Store (DIODS) is to provide a single source of disability management information (MI). To this end, a DB2 relational database will house disability data organized in detail and summary level tables. Produces SAOR and FD:15 reports.
Disability Predictive Model	ODS	Dual score Quick Disability Determination (QDD)application written by IBM. This application will replace the original, single score, QDD application. Called when initial adjudicative disability cases are transferred to the DDS for a medical determination, the new application will produce two values, each between 0 and 1. The first value will express the confidence that a favorable determination will be made (known as SSAt - SSA Allowance). The second (known as SSPT - SSA Processing Time) will express the confidence that the determination can be reached quickly.
Disability Quality Review	OASSIS	DQR is a JAVA web based application that will replace the legacy Disability Case Adjudication and Review System (DICARS) application. The purpose of DICARS/DQR is to provide a system for performing in-line quality reviews of cases/claims adjucated by the Disability Determination Services. Data is exchanged with the electronic folder (EFI) application using our Quality Assurance Systems Message Router (QASMR) application/service.
Disability Railroad Alien Military Service Operation	ORSIS	Disability, Railroad, Alien, Military Service Operation (DRAMS) is a repository for certain information collected and used during the claims taking process. The repository was developed to serve multiple purposes. The Initial Title II Claims Process electronically accesses the DRAMS file to ensure that payments are properly made, taking into consideration whether the individual is entitled to a RR annuity, whether the military service was properly credited, and whether the claimant has been deported.

Application Information Report

Name	Owner	Description
Display Records In Paperless Tracking	ORSIS	This system tracks the T2 actionable output results in electronic document form from PCACS to PSC Local Programming and back. The system identifies any missing or invalid documents by file per rundate. Once all actions are accounted for, the output is sent to the Paperless system.
District Office Workload Report	OEEAS	This is an MI report that provides data on field office workloads. It is a subsystem of IWMS and has been replaced by the WMT/DOWR standard report that is available via MI Central.
Document Conversion Engine	OESAE	An Enterprise Conversion Engine using Web Services/API as an interface for applications.
Document Generation System (Front End and Back End)	ODS	This project supports the creation of forms and notices for ODAR operational components at the Hearings Level, Appeals Council, Court, Medicare Part-D, and Congressional Interest (CPAB). DGS is a client server application: Visual Basic for Applications (VBA) in MS Word frontend and a CICS/DB2 backend.
Document Management Architecture-eClient	OESAE	DMA API's and Viewer code
Document Processing System	OESAE	Web based manual notice system for FOs.
DOL Black Lung Part C	ORSIS	To match SSA cans vs. DOL SSN's and prevent overpayments on both systems.
Drawing Information Management System	OEEAS	DIMS Phase One is a repository for agencys' AutoCAD drawings. DIMS Phase Two is a GIS enterprise solution to be used for analyzing, planning and decision-making for security and emergency management.
Dual Entitlement Maintenance System	ORSIS	Dual Entitlement Maintenance System - the purpose of DEMS is to ensure that the Master Beneficiary Records for dually- entitled beneficiaries are properly updated on a post- entitlement basis or as a result of an initial award processed via MADCAP with proper DE Data coded. Prior to the 05/2008 release DEMS was fed records based on an MBR updated by T2. Since the 05/2008 release only MBRs updated by MADCAP feed the DEMS process.
Earnings Alerts	OEEAS	The Earnings Alert System (EAS) is a stand-alone system which identifies specific posting irregularities with an individual's Social Security earnings record.
Earnings and Enumeration Report Access System	OEEAS	The VSAM database for this system is the repository for various MI earnings reports in OEEAS/DECU/EUEB. EERAS has screens for accessing these reports. This system provides a paperless mechanism for delivering reports to MI customers.
Earnings Batch Accounting System Management Information	OEEAS	The MI EPOXY weekly (CBMEPOXY) job provides a report which is emailed automatically to the EPOXY MI Customers. Data is retrieved from the big EPOXY report for the Annual Wage Reporting. It's purpose is to determine that the current cycle is always checked.
Earnings Case Management System	OEEAS	This is a case management system which will track many different earnings workloads.
Earnings Case Management System MI	OEEAS	This is a system which will track many different management information metrics for the earnings workloads in ECMS.

Application Information Report

Name	Owner	Description
Earnings Coverage System	OEEAS	Provide earnings/quarters of coverage for each SSN request received from agency/company. The Earnings Coverage System provides individual earnings and coverage to requestors. Earnings Coverage neither maintains nor updates files/databases.
Earnings Data Warehouse	OEEAS	Extracts data from EMODS and updates Oracle EDW. Data used to create Management Information reports for AWR Submissions and related Earnings data.
Earnings Enforcement Operation	ORSIS	Run three (3) times a year to detect Over/Under Payments
Earnings Menu System	OEEAS	EESM - Earnings Systems Main Menu
Earnings MI Operational Data Store	OEEAS	Stores Annual Wage Reporting (AWR) data for submission level and employer level into a DB2 operational data store. Generate approx. 93 Management Information reports through ColdFusion on the EMIS website.
Earnings Modernization Itemized Statement of Earnings Reports	OEEAS	Receive requests for detailed Earnings for individuals (or reps) for various timeframes; format them appropriately and edit for accuracy before sending requests to the MEF (DB2) for retrieval or to ECMS/MDS to get the earnings posted before retrieval. Provide report to original requesting source.
Earnings Modernization Itemized Statement of Earnings Reports - MI	OEEAS	The MI system provides user reports reflecting processing counts for the Itemized Statement (Form 1826) request system. The reports reflect case totals, money amounts, years requested, third party requests, workload functions and other useful information.
Earnings Posting Overall Cross-Total Year-to- Date	OEEAS	Captures and Cross totals statistical information regarding the data flow through the weekly and daily earnings update process.
Earnings Suspense System	OEEAS	Add/Delete records to/from the suspense DB2 tables.
Earnings Use - DEQY	OEEAS	The DEQY system is the Detailed Earnings Query System, used to query the details on the Master Earnings File.
Earnings Use - SEQY	OEEAS	The SEQY system is the Summary Earnings Query System, use to query the summary amounts on the Master Earnings File.
Editor Batch	ORSIS	Title II Editor/Batch Transaction Handler processes all batch transactions that come into the T2 System. Editor BTH software performs surface edits to ensure that the data on the finder is valid, gets the MBR for processing against and performs MBR relational edits as well.
EEO Case Management System	OEEAS	Equal Employment Opportunity case tracking system
EF101	ORSIS	Collects information for Title 2 Initial Awards, subsequent awards or amended awards, which cannot be input through any automated system. That information is available to MACADE to be processed in the PCs.
eForms (Form Selection)	ODS	The first Web version of the eForms application has been integrated with various disability systems including, EDCS, Levy, Versa, and DICARS. The forms in this version are created in Adobe Form Designer 5.0.
Electronic Access	OSES	ID Proofing and Authentication system for SSA online applications
Electronic Authorization (Web Service)	ODS	Electronic Authorization project involves the elimination of a wet signature on the SSA-827 and replacing it with an electronic signature on an electronic form.

Application Information Report

Name	Owner	Description
Electronic Bench Book	ODS	This will be a web-based application used by decision makers (Administrative Law Judges and Senior Attorney adjudicators) in the Hearing offices to aid in documenting, analyzing, and adjudicating the disability case in accordance with SSA regulations. It will improve accuracy and consistency of the disability decision process, and it should make the decision maker s review of the efile and instructions to the writers more complete and efficient, which should provide significant time savings for ODAR and reduce the number of remands based on incomplete documentation. Decision makers will use eBB to input hearing case notes, analysis, adjudicative data, and instructions for the Decision Writers. Information entered will be saved as data and will be viewable by ODAR. Decisional notices will be generated based on data in eBB, CPMS and SDR.
Electronic Claims Analysis Tool	ODS	Web based application that guides Disability Examiners and Medical Consultants through the sequential evaluation.
Electronic Claims Analysis Tool MI	OASSIS	The Electronic Claims Analysis Tool(eCAT) is used to document case development and the Disability Determination Services (DDS) analysis of a disability claim through the entire sequential evaluation process, including the analysis of the examiner, the medical consultant, and the vocational specialist. eCAT MI will be created to monitor and track the progress and usage of eCAT.
Electronic Disability - Management Information	OASSIS	Provides management information on the disability program. Encompasses these applications: CAL/QDD (Compassionate Allowance / Quick Disability determination) - Provides MI to stakeholders on a weekly, monthly and fiscal year in order to assess the effectiveness of the CAL and QDD initiatives. eCAT MI (Electronic Case Analysis Tool-Management Information)
Electronic Disability Collection System (Front End and CICS Mainframe Interface)	ODS	The Electronic Disability Collect System (EDCS) is the gateway to the Electronic Folder (EF). EDCS permits access to electronic versions of the many core disability forms. The EF begins with the FOs as they collect all disability and medical source information.
Electronic Folder Interface (Java and CICS)	ODS	This project checks sampling data from NDDSS (DX54) and allows components on different platforms to interface with the Electronic Folder.
Electronic Freedom of Information Act Internet	OSES	The eFOIA application provides an automated means for the Office of Public Disclosure in the Office of the General Counsel and Division of Earnings Operations in the Office of Earnings Operations to process and track Freedom of Information Act requests. The eFOIA Internet application allows for members of the public to submit their request online and have those requests submitted to the eFOIA Intranet application for processing.

Application Information Report

Name	Owner	Description
Electronic Freedom of Information Act System	OESAE	The eFOIA application provides an automated means for the OPD (Office of Privacy and Disclosure in the Office of the General Counsel) and DERO (Division of Earnings Operations in the Office of Earnings Operations) to process and track requests from the public that are governed by the Freedom of Information Act and the Privacy Act.
Electronic General Auditable Documents Store	OESAE	Centralized Storage facility for approved versions of auditable lifecycle\documents (except MSP). Maintained by OESAE/DPEPCS/PCCRB & DVTT. Policy & Lifecycle integration by OESAE/DPEPCS/SPI. VISOR coordination by OESAE/DPEPCS/PCCRB
Electronic Interim Assistance Reimbursement	OASSIS	Allows Regional Office users to view, change, and add Interim Assistance (IA) agencies to the eIAR database and the SSR.
Electronic Management of Assignments and Correspondence	OEEAS	Multi-purpose system to track correspondence received by OPI, and in the future it may handle controls and assignments for the agency.
Electronic Medical Evidence Print Utility	ODS	This is being transitioned to DSCS/DNSO, OTSO
Electronic Personal Enrollment Credential System	OEEAS	Replacement for the existing Workflow 1/ CERMS HSPD-12 credential enrollment application.
Electronic Quality Assurance	OASSIS	Provides quality assurance study definition, sampling, form creation, reviews, reporting, and business process management for QA reviews conducted by OQP.
Electronic Records Express Volume Reports	OASSIS	The Electronic Records Express (ERE) is an initiative by Social Security Administration (SSA), Disability Determination Services (DDS), and Office of Disability Adjudication and Review (ODAR) to offer electronic options for submitting medical evidence for disability claims. The ERE MI Volume Reporting System collects data and statistics on the items processed at the ERE website and at each Front End Capture System (FECS) servers deployed in either DDS or ODAR site.
Electronic Records Express Web Services	OSES	ERE Web Services is a secure electronic service delivery channel provided by SSA to facilitate high volume submissions of electronic evidence.
Electronic Records Express Web Site	OSES	The Electronic Records Express Web site allows evidence to be collected electronically and prepared for transmission to the electronic Disability (eDib) system. Medical providers, advocates, schools, and other sources have the ability to submit evidence needed for the Disability Determination Services (DDS) and the Office of Disability Adjudication and Review (ODAR) to adjudicate claims and conduct hearings in an efficient and expeditious fashion. The website also allows Appointed Reps to view and download the documents in their claimant's electronic disability folders (eFolders)
electronic Representative Payee System	OASSIS	This is the future system for tracking representative payee applications, notices to payees, changes to payee information, and payee misuse information. The first module released is Representative Payee Misuse, which tracks the progress of misuse allegations.
Electronic Verification of Vital Events	OSES	EVVE is an automated data exchange between SSA and a state vital statistics agency for the purpose of providing authorized SSA employees access to state vital records data.

Application Information Report

Name	Owner	Description
Electronic Work Reporting System	ODS	This application collects work reports for disabled recipients for the purpose of documenting and processing return to work actions. This began as a collaboration effort with OAS, however, effective with the beginning of FY09 it became a Systems project.
Email Core Services	OEEAS	The Email Core Service validates SSA email addresses
Employee Coding Files	OEEAS	Provides EINs NAICS codes and employer information.
Employee Express System	DCHR	
Employee Suggestion Program	OEEAS	System that Receives and Processes Employee Suggestions; Intranet Server is located in NCC - SUN SOLARIS - Suggestions are stored in Oracle database
Employer Balancing	OEEAS	Employer balancing processes employer wage reports.
Employer Control	OEEAS	Process W3 level earnings using the EIN as the key. Houses a history file that is used for the Earnings Report Query (ERQY). Refers to a number of jobs that update the employer databases on a daily basis with data received from AWR and various correction systems.
Employer Customer Help and Information Program	OASSIS	The Employer Customer Help and Information Program (ER- CHIP) is a software application that assists the Division of Business Services (DBS) Employer Reporting Technicians (ERTs) with responding to telephone inquiries from the nation's employers and/or their representatives. The intranet-based decision support application provides fingertip access to Social Security Administration (SSA) records, facts, policies, procedures, and reference.
Employer Information File	OEEAS	The database houses employer names and addresses listed by EIN.
Employer Report Query	OEEAS	Allows access to the ERVIEW and ERHF databases both in batch and online.
Employer Report Reconciliation	OEEAS	RECON is the system that compares FICA wages, Tips, and Medicare money processed by SSA's Annual Wage Reporting (AWR) system against money processed by IRS.
Employer Report Reconciliation MI	OEEAS	RECON MI produces 27 reports that capture cumulative monetary data when comparing total wages between SSA and IRS.
Employer Report Trust Fund	OEEAS	This job is run quarterly and combines employer reports sent weekly and quarterly from IRS. This combined file is used by the ER941T and ER941DIR and two RECON jobs (RNSUMR30 and RNSUMR40).
Employer Reports View to Employer Report History File Download	OEEAS	IDMS database of Employer Reports for the most recent 4 years. An annual run to migrate off a year onto the ERHF, the Employer Report History File, a DB2 database of all earlier years.
Employer Retirement Income Security Act	OEEAS	The purpose of ERISA system is to produce a notice which informs retirees of their possible eligibility for pensions under a private pension plan.
EMR-Code Scanning	OESAE	Scan application code as it is released and load metadata about the code such as database access, calls, file usage into the Enterprise Metadata Repository.

Application Information Report

Name	Owner	Description
EMR Framework	OESAE	The Enterprise Metadata Repository Framework provides infrastructure for retrieving data to load and controlling the load process. The processes to read systems such as Oracle catalogs will be scheduled and run based on a control database. The data will then be returned and the framework will control the loading of the metadata into the EMR.
EMR-UI/API	OESAE	The Enterprise Metadata Repository stores metadata about the enterprises applications and databases. The metadata repository provides logical and physical information about SSA databases. It also provides information about applications. The information includes program call, database access, copybooks and metric for complexity and maintainability. The UI provides a websphere user interface to allow users to interact and retrieve data from the repository. The API will allow applications to retrieve data from the repository.
End Of Month	ORSIS	The CSEOM/CSENDOP Claims Systems End of Month Operation provides Supplementary 1A Tables to the office of the Actuary with tables of actuarial and statistical data for preparation of the annual report to Congress.
Enforcement - SSI Earnings, IRS & OCSE Enforce	OASSIS	Reformat earnings data from the Master Earnings File (MEF) into SSI PE transactions. It processes transactions that were formatted in the SSI/IRS Interface subsystem and OCSE wage/unemployment transactions that were formatted in the OCSE wage/unemployment. Office of Child Support and Enforcement Quarterly Wages and Unemployment Data Interface. This match (Wage Match (IC/WM)) occurs six times a year (January, March, May, June, Sept and Dec. During these months OCSE wage, unemployment, IRS 1099, IRS Pension, and MEF data are processed. Once this data is processed, diaries are posted to the SSR. They are as follows: IRS PENSION (5H) MEF (K6 AND K7) OCSE WAGE (S2) OCSE UNEMPLOYMENT (U5) IRS 1099 (5B POSTED IN REDETERMINATION RUN)
Enrollment (HI and SMI)	ORSIS	A premium is due for each month of SMI coverage. The premium payable is increased if the individual enrolls late. The HI premium is based on the estimated costs that apply to beneficiaries age 65 or over during the calendar year for which the premium is effective.
Entitlement Eligibility	ORSIS	The EE function evaluated beneficiary data to determine benefit entitlement status and identify benefit conversion conditions. EE processing is month by month, BIC by BIC, function by function and is entirely data driven.
Enumeration System	OEEAS	The system collects SSN application data.
Enumeration Verification System	OEEAS	The system determines if names and Social Security Numbers received on the input match the information on SSA files, usually the NUMIDENT and/or ALPHIDENT files.
Epidemiology Research Study System	ORSIS	The Epidemiology research study system provides epidemiological researchers with information as to whether study subjects are alive or deceased.

Application Information Report

Name	Owner	Description
ERE Login Application	OTSO	This application authenticates Electronic Records Express users with their IRES PINs and Passwords. The application is part of OTSO's Access Control Utility (ACU) servers.
eTravel	OEEAS	Enter travel documents - authorization, local vouchers and vouchers. Sign and approve documents electronically. Create transactions for the Financial Accounting System (FACTS) to obligate funds and reimburse the traveler for travel expenses.
E-Verify	OEEAS	Used by DHS for Employment Eligibility
eVerify Web Service	OSES	The E-Verify application is an Internet-based system that assists employers in verifying the identity and employment eligibility of newly hired employees. E-Verify is operated and maintained by both the Department of Homeland Security (DHS) and SSA
eView	ODS	This application displays information from EDCS and is the viewer of the Electronic Folder.
EWD TSRP soft phone	OTSO	An AT telephony device allowing interface with workstation AT devices that are integrated within the Field Office telephony services.
EWD Uniphi	OTSO	
EWR - Acknowledge Resubmission Notice	OSES	This EWR suite application allows those submitters or employers who have received resubmission notices to come into BSO/EWR to acknowledge of those notices.
EWR - Contact SSA	OSES	This EWR suite application allows PIN and PW holders who are users of BSO to send an email to their regional ESLOs with questions or concerns.
EWR - Employer Error Information	OSES	This EWR suite application allows PIN and PW holders registered through IRES to come to the BSO and check the status of their wage report submissions and to specifically view the errors affecting names and SSNs for their employees.
EWR - Employer Report Status	OSES	This EWR suite application allows PIN and PW holders who are employers registered through IRES to come to the BSO and check the status of their wage report submissions.
EWR - Intranet to Internet (I2I)	OSES	Application for internal customer service users to allow them to assist callers by seeing the submission status of what callers have submitted, along with additional information visible only to the SSA employee.
EWR - Request Resubmission Extension	OSES	This EWR suite application allows those submitters or employers who have received resubmission notices to come into BSO/EWR to request a 15 day one-time extension of the deadline that SSA has assigned to the resubmission request for the users to resend the file.
EWR - Resubmission Notices	OSES	This EWR suite application allows registered users with PIN and PW to view facsimiles of apper and eResubmission notices that they may have received on paper or electronically.
EWR - Submission Error Information	OSES	This EWR suite application allows PIN and PW holders registered through IRES to come to the BSO and check the status of their wage report submissions and to specifically view the errors that have been found in their wage report submitted.

Application Information Report

Name	Owner	Description
EWR - Submission Status	OSES	This EWR suite application allows PIN and PW holders registered through IRES to come to the BSO and check the status of their wage report submissions.
EWR - W2 Online	OSES	This EWR suite application allows small employers and charitable organizations to create Form W2s for their employees or volunteers, to submit the W2s to SSA, to keep an electronic copy for their records and print off paper copies.
EWR - Wage File Upload	OSES	This EWR suite application allows submitters and employers to upload any size of wage report file with multiple Form W2s included, or to upload wage reports for multiple employers to SSA.
EWR - Wage Reporting Web Service	OSES	Wage reporting web service that allows consolidator companies to programmatically submit wage files for their end user customers without any manual intervention. Part of the EWR suite of services.
EWR Home Page	OSES	This EWR suite application allows the user to choose the specific application to work with after choosing the option to file wages from the last IRES screen before entering the EWR suite of services.
EWR- W-2C Online	OSES	This EWR suite application allows employers or submitters to correct wage reports that they have already uploaded to SSA via BSO/EWR via a Form W2c.
Executive and Management Information System (EMIS)	OEEAS	This is an intranet application that provides access to MI from many different sources.
External Collection Operation	ORSIS	Collects delinquent Title II and Title XVI overpayments using various debt collection tools. Tools used are: referral to Treasury for offset of federal tax refunds, administrative payments, and federal salary payments; report delinquent debt to Credit Bureaus.
FALCON	ORSIS	FALCON consists of mainframe batch data entry regions for the 6 PSCs and ODIO and end of day batch processes to output the data for processing.
Fast Track Disability Processing Time Reports	OEEAS	The goals of this release are: ? Extracting the required data from the Title II ODS DB2 database. ? Extracting the required data from the Title XVI IC ODS DB2 database. ? Storing the extracted data in the WMDW Oracle database. ? Providing access to standa
FDOPS/AIS1	ORSIS	Folder Documentation Sys / AIS1 AERO
Federal Assistance Award Data System	OEEAS	FAADS is a central source of information on domestic financial assistance programs for the Federal Government. This project is administered by OMB and mandated by the Federal Funding Accountability and Transparency Act.
Federal Parent Locator System	OEEAS	The system processes alleged SSN data of absent parents, verifies if SSN is correct and indicates when insufficient data has been supplied for verification or if more review of the data sent is required.
FERRET System	OEEAS	Reinstate unposted earnings based on the IRS Individual Master File.
Field Office Locator	OSES	Allows the public to locate the servicing field office that is closest to their zip code.
Financial Interactive Voice Response System	OTSO	Allows employees to retrieve status of expense vouchers
Foreign Operations	ORSIS	Various foreign counts from the MBR

Application Information Report

Name	Owner	Description
Fraud Operational Data Store	OEEAS	Provides fugitive felon management information for field office receipts, pending and clearances. Also provides MI on fugitive felon submissions.
Front End Capture System	OESAE	Scan/Capture system for DMA
FRUIT	ORSIS	Also known as Miscellaneous Reference System which consists of PSLB9ST, PSLIMIT, PSPRUNES provide MBR data to various users upon request. These requests originate in various OAS components, PC, FO and other systems. It processes exception data from other PE subsystems converting this information to human readable formats (LIMITS) and distributes the data to the appropriate office for correction.
Fugitive Felon	ORSIS	Data Base which collects Fugitive Felon warrant data
Fugitive Reporting and Agreement Tracking System	OEEAS	The system is a repository for: Warrant issuing agencies' reporting agents' names, addresses, phone and contact information.
Full Retirement Age Computational Service	OESAE	The FRA service is a computational-only service. The service computes the full retirement age (FRA) in months, the date of FRA, and if FRA has been attained. It does not require a database connection. The service does call the global- reference-table core service to retrieve the full-retirement-age table values.
Garnishment	ORSIS	CICS data collection for Court Ordered Garnishment data. Sends transactions to Title 2 for processing. Records Title 2 results on DB and pays withheld money to the states. Also receives file from Child Support containing electronic withholding orders.
Garnishment Notices	ORSIS	Produces notices for Garnishment System actions.
General Average Current Earnings	ORSIS	This function computes the Average Current Earnings (ACE) for use in computing Worker s Compensation / Public Disability Benefit offset. It will compute the High 1, High 5, and AMW ACEs, and will determine which is the highest.
General Business Function Utilities Wizard	ORSIS	Allows invoking programs to execute some Common Title II Business Function Utilities (GUEST, GINSU, GRUMPI, GRACE, and GRATES).
General Insured Status Utility	ORSIS	Business Function utility that determines insured status.
General Rates Utility	ORSIS	RATES (A60DBV09/A60DCV09) performs the following computations for each entitled or recently terminated beneficiary when they apply: Computes the original benefits (OBs), and adjusts the OB for the family maximum (FMAX) Determines the original reduction factor (ORF) and reduces the benefit for age to get the monthly benefit amount (MBA) Increases the MBA for delayed retirement credits (DRCs) and adjustments of the reduction factor (ARFs). Calculates primary, spouse, and child benefits for retirement, survivor and disability claims. Calculates benefits for widows, mothers/ fathers, parents, disabled widows benefits (DWB), disabled adult children (DAC's), and the minimum sole survivor rate (MSSR) determination. Adjusts benefits for entitlement on more than one SSN (dual entitlement (DE)/multiple entitlement (ME)). Applies deductions for workers' compensation/public disability benefits (WC/PDB), government pension offset (GPO), and earnings under the Annual Earnings Test (AET).

Application Information Report

Name	Owner	Description
General Utility Earnings Summarization Tool	OEEAS	The General Utility Earnings Summarization Tool (GUEST) is provided to enable online and batch COBOL and ALC programs to input a number holder s identifying information and receive precise earnings and coverage data for entitlement and computation purposes. This utility extracts data from the following sources: Master Earnings File (MEF) Multiple SSN Cross-reference Database (MULTX) Disability, Railroad, Alien, and Military Service (DRAMS) File Number Holder s Identification (NUMIDENT) File Additional earnings information can be supplied by the requestor and included by GUEST. These are military service periods (for earnings credits), Japanese internment periods, and lag earnings.
General Utility Extraction of Earnings Details Operations	OEEAS	GUEEDO is a stand alone utility that reads posted and/or unposted details from the MEF record. It has a routine that will remove offset details from the record returned to the user. The user can request to have the details displayed with offsets included.
General Utility Reduced for Age	ORSIS	The Reduced For Age Utility calculates the reduced monthly benefit amount for the entitled number holder (NH). If a PIA has been calculated and the number holder is entitled, then the PIA is reduced by the original reduction factor in this function. If the NH does not have any reduction months (entitled at full retirement age or later) zeroes will be returned as original reduction factor and the PIA will be returned as the reduced monthly benefit amount. This function is invoked when the case stops processing before the completion of rates to provide the reduced monthly benefit amount.
Generation of SSI Reports to the Regional Offices	OASSIS	This process provides formatted listings of reports for various listings for the regional offices
Global Reference Table Portal	OESAE	Application used to collect data to update the Global Reference Tables.
Global Reference Table Service	OESAE	The GRT service is a process that provides data access to the DB2 Global Reference Tables. It incorporates the business logic that is needed to access the tables correctly.
Global Reference Tables Core Service	OEEAS	Core Service Returns Global Reference Tables
Government Information Exchange website	OSES	The Government Information Exchange website is a project managed by the Office of Systems Electronic Services Division of Non-Benefit Software Development (OSES/DNSD). This website provides a centralized location to obtain information on various data exchanges.
Government to Government Services Online Registration	OSES	This application provides registration and account maintenace for GSO users.
GSO - Birth Reporting	OSES	Allows registered users to upload birth reporting files and download results files.
GSO - Black Lung Reporting	OSES	Allows staff at the Department of Labor to upload files containing data about Black Lung beneficiaries.
GSO - Data Exchange	OSES	Allows registered users to transfer data files to one another in a secure manner.
GSO - Death Reporting	OSES	Allows registered users to upload death reporting files and download results files.

Application Information Report

Name	Owner	Description
GSO - FRATS	OSES	Allows an individual in OIG to upload the FBI's law enforcement agency address file to the Fugitive Reporting Agreement Tracking System.
GSO - Fugitive Felon Reporting	OSES	Allows registered users to upload fugitive felon reporting reporting files.
GSO - Interim Assistance Reimbursement	OSES	Allows registered users of Interim Assistance (IA) agencies to query SSR data on individuals requesting SSI and receiving state assistance. Once an individual is determined to be eligible for SSI, registered users of IA agencies submit data on assistance given to an individual. This information is used by SSA to determine the amount of assistance that is reimbursed to the IA agencies.
GSO - OCSE Applications	OSES	Allows registered users to Office of Child Support Enforcement (OCSE) reporting reporting files. Files are transferred to OCSE mainframe, not to any SSA application.
GSO - Pension Benefits	OSES	Allows registered users at the Pension Benefits Guaranty Corp to upload pension benefit reporting reporting files.
GSO - Prison Reporting	OSES	Allows registered users to prison reporting reporting files.
GSO - Secure Messaging	OSES	Allows registered users to securely send messages and attachments to other registered users. Requires a relationship to first be established between sender and recipient in the GSO Registration Application.
GSO - Sheltered Workshop	OSES	Allows registered users to send one file of Sheltered Workshop wages to designated recipients.
GSO Death Data Exchange	OSES	The application allows Totalization partners to upload information about SSA beneficiaries who have died in their country, for SSA's use in terminating benefits, or information about their beneficiaries they believe reside in the US.
GU80C00 - Utility	ODS	Works with WICS on the mainframe CICS side. Accepts client-side requests and routes them to the correct CICS module, and collects the response from the module
GUMFCONF - Utility	OSES	This is the application configuration file used by GUMFWEB.
GUMFWBT - Utility	OSES	encapsulates the GU80C00 boilerplate entry/exit code, and provides enhanced ASCII/EBCDIC translation.
GUMFWEB - Utility	OSES	This is the controller for CICS calls.
GUNPUC/GUNSCHIP	OEEAS	Common modules used to query SSNs real-time
Health Information Technology	ODS	
Health information Technology management information	OASSIS	Health IT MI, an automated MI system is the tool that will provide data analysis to monitor the work loads and provide trend analysis and information on a variety of variable such as time and location. HIT MI provides users with information to make further improvements and enhancements to the disability process.
Health Information Technology Web Services Interface	OSES	The HITWSI application provides a transport mechanism to request and receive medical information for the purpose of adjudicating SSA disability claims
Help America Vote Verifications	OEEAS	SSN verification for voter registration via MVA's
Help America Vote Verifications MI	OEEAS	Provides MI on information processed in the HAVV system.

Application Information Report

Name	Owner	Description
HP Asset Manager	OTSO	COTS based software application derived from HP Asset Manager. Provides IT Asset Management for the physical, financial, and contractual data of all OTSO managed IT Assets.
HP Service Manager	OTSO	The operating system for the Change, Asset and Problem Reporting System (CAPRS) is Hewlett Packard Service Center v.6.2.
Human Resources Operational Data Store	OEEAS	HRODS is a mainframe DB2 database housing employee and position data, mainly created from the Dept of Interior's FPPS. The major function of HRODS is to respond to management requests and legal and Congressional inquiries. Reporting ability is distributed through Oracle EPM (formerly Hyperion). HRODS data is accessed by many other systems.
i1020 Medicare	OSES	Use the Internet to apply for Medicare Prescription Drug Plan
iAppointment	OSES	The Online Appointment Scheduler (iAppointment) is an application that will provide public users of the Social Security Administration?s (SSA) Internet services an avenue of scheduling an appointment with a field office online.
IBM Tivoli Monitoring	OTSO	Monitoring suite -- including TEPS, ITCAM for AD, Omegaview as well as Omegamon agents on z/OS & Distributed (for monitoring z/OS, WMQ, DB2, CICS and WAS) -- IBM Tivoli Management Services -IBM Tivoli OMEGAMON DE on z/OS - IBM Tivoli OMEGAMON XE for CICS on z/OS -IBM Tivoli OMEGAMON XE for CICS TG on z/OS -IBM Tivoli OMEGAMON XE for DB2 Performance Expert on z/OS -IBM Tivoli OMEGAMON XE for Messaging on z/OS -IBM Tivoli OMEGAMON XE on z/OS & Dist -ITCAM for Application Diagnostics on z/OS & Dist -ITCAM for Transactions for z/OS
iClaim	OSES	Allows the public to complete retirement, spouse and disability applications on the Internet. Provides status of claims field via the Internet and MCS claims where the claimant has requested a confirmation number.
IENP Check Core Service	OEEAS	The IENP Check Core Service is used to determine if the SSN being requested belongs to an Individual of Extraordinary National Prominence
iESI Proxy Authentication	OTSO	This application provides an intranet single sign on solution that leverages the ESI interactions between the ACU and non- ESI workstations to provide a login to iESI enabled applications. It also allows the ACU to mimic the iESI interaction with a browser but convert the backend interaction to Java EE rather that iESI. This provides a potential migration strategy away from iESI to more supported Single-Sign on solutions.
i-Main	OSES	The i-Main project introduces the concept of providing a centralized location for all of the SSA Intranet applications needing a security interface. This security interface menu serves as a single point of entry for SSA's Intranet applications.

Application Information Report

Name	Owner	Description
Information/Certified Earnings Record System	OEEAS	ICERS provides SSA personnel with informational, certified and totalization earnings records to assist in processing the most complex claims that are excluded from MCS and providing accurate estimates to claimants. It also processes batch HIMEX, RR Board, Quarters of Coverage Indicator(QCI), Premium HI Reduction and Transitional Employee transactions.
Instant Messaging Gateway Enterprise Infrastructure	OTSO	This is an Intranet infrastructure to allow applications that reside on different platforms (WebSphere, Windows, UNIX, etc...) to send Instant Messages to Agency Users. This application is being designed to accommodate load balancing and optimize message delivery to leverage the Agency s Instant Messaging Infrastructure currently OCS 2007/Lync 2010).
Integrated Client Database System	ORSIS	The CLIENT system contains the Shared Process Menu which is accessed from the SSA Main Menu and software for some of the menu selections, specifically Evidence, Administrative Sanctions and the display of client data through CDAM.
Integrated Client Database System - Back End	ORSIS	This system has no screens associated with it. It contains all the client data access modules and the batch process necessary for tracking client transactions.
Integrated Disability Management System - CICS Mainframe Interface	ORSIS	This project supports the IDMS front end collection CICS screens for processing CDR, Earnings, Demo and Ticket to Work actions.
Integrated Registration Services	OSES	IRES provides registration, authentication and account maintenance functions for all applications contained in the Business Services Online (BSO) suite of services. IRES's main function is to control access to applications within BSO.
Integrated Registration Services Customer Service	OSES	Intranet Customer Support application of IRES
Integrated Work Measurement System (IWMS)	OEEAS	Collects and stores MI on workload counts, samples, staffing and hours.
Interactive Computation Facility	ORSIS	The Interactive Computation Facility (ICF) is comprised of the original online Title II ICF process that provides automated computational support to the Payment Centers. With T2R the online Workers Compensation (WC) portion of ICF was added.
Internet 1099	OSES	Provide an online request for a replacement SSA-1099 or 1042S (for non-citizens/non-residents). The replacement SSA-1099/1042 is sent by USPS within 30 days.
Internet 3820	OSES	Provides the public with the ability to complete the Disability Report-Child (SSA-3820) online
Internet Appeals	OSES	Provides the public with the ability to complete their Appeal(501/561) and Disability Report-Appeal (SSA-3441) online.
Internet Benefit Verification Letter	OSES	This application allows a beneficiary to request a proof of income letter over the Internet.
Internet Claims Status	OSES	Allows the public to check the status of their retirment claim on the Internet.
Internet Direct Deposit	OSES	This application allows a beneficiary to start Direct Deposit of their checks or change their current Direct Deposit to another account or financial institution via the internet.

Application Information Report

Name	Owner	Description
Internet Disability Workload Management Information System	OSES	This system displays (or prints) workload tracking listings and management summary reports by field office component.
Internet Electronic Death Registration	OSES	IEDR application is a G2G application that enables State Bureau of Vital Statistics to verify decedent Social Security Numbers (SSNs) prior to the submission of death reports to the SSA. The State is responsible for authenticating each death registration.
Internet Enterprise Security Interface	OTSO	WAS Top Secret Interface
Internet Knowledge Based Change of Address	OSES	Use the Internet for your 'Change of Address'
Internet Medicare Replacement Card	OSES	Allows the beneficiary to request a replacement Medicare card over the Internet.
Internet Password Change of Address	OSES	Use the Internet for your 'Change of Address'
Internet Password Check Your Benefits	OSES	Provides Title II and XVI recipients query of their account information.
Internet PIN/PASSWORD	OSES	Allows public to request a pin password via the Internet
Internet Representative Payee Accounting	OSES	Application allows Representative Payees to complete accounting forms online via the Internet.
Internet Social Security Statement	OSES	The ISSS process provides an Internet client for requesting delivery of a PEBES. ISSS does not produce the statement. It passes the request to PEBES for fulfillment.
Internet Special Notices Option	OSES	The iSNO application allows beneficiaries, claimants, representative payees and other individuals receiving services from this agency, to specify their delivery preference when receiving notices or other printed materials from this agency.
Internet SSN Verification	OEEAS	Web Service real time verification for Dept of State and other agencies to use to verify the SSNs of individuals. Dept of State will use this service to verify the SSNs of individuals who have submitted applications for passports.
Internet Ticket Operations Provider Support System	ORSIS	iTOPSS is the new system that is planned to replace the existing Comprehensive Work Opportunity Support System(CWOSS),Vocational Rehabilitation Reimbursement Management System (VRRMS) and the mainframe Ticket to Work (TTW) CICS screens. The new systems will allow for contract awards, ticket assignment and payments of a larger group of Employment Networks (EN).
IRMAA Statistics	ORSIS	IRMAA statistics - Provides a count of all IRMAA determinaitons, by state, by Congressional District.
Iron Data St. Louis	ODS	Supports disability case processing in all 30 Disability Determination Services. As of December 6, 2010 all 30 sites are at Release 15.
Iron Data Toronto	ODS	Supports disability case processing in 17 Disability Determination Services. 15 sites are at Release 15. Two sites remaining with production dates of 2/14/11 and 2/28/11.
Item Correction	OEEAS	Item Correction is the earnings system that enables the users of the system to correct earnings details on an individual number holder's (NH) Master Earnings File (MEF) record. Usually the NH will bring a mistake or misstatement to the attention of SSA.

Application Information Report

Name	Owner	Description
Item Correction Adjustment MI	OEEAS	The purpose of the Item Correction MI system is to support and report on the Item Correction System
Item Correction Workload Management System MI	OEEAS	This system allows management to track the item correction workload by counts that are done by subordinate offices.
IVF Core Service	OEEAS	The IVF Core Service returns data from the Intranet Verification File based on the requested PIN
JAVA Workstation Initiated CICS Server	OESAE	JAVA Workstation Initiated CICS Server
JAWS Using a Data Generated Environment	OESAE	Used by employees with disabilities to "read" CICS screens by speaking the screen contents
Journal Manager	OTSO	Software supports journaling for IDMS Database systems. The software is at Version 160 (v160). This is the current version.
Judicial Automated Calendaring System	ODS	InTERnet and InTRAnet web application used to support ODAR's Automated Scheduling project. This is a COTS vendor product tailored to accept input from the CPMS database and automatically schedule cases.
Labor Relations Case Tracking System	OEEAS	The LR Case Tracking System will allow managers and Regional LR staff agency-wide to input grievance information in a uniform manner
Language Development Facility	OESAE	Visual Basic based application used to enter, format and store language/text along with choices for the TNA notice formatting system. Also provides a Lotus Notes search facility used to look up notice language and choices.
Limited English Proficiency	OEEAS	This is a mainframe based application that collects and stores MI data on the different client languages for which SSA provides service. LEP data is collected weekly and used to generate yearly reports which are accessible from EMIS, an SSA Intranet site. LEP data is sourced from the SUMS demographic data that is stored in the Business Intelligence Work Measurement Data Warehouse, effective 10/1/2010.
Local MI For Post Entitlement Events	OEEAS	This system provides reporting on the rate of electronic vs non-electronic provision of Post Entitlement services by servicing office and clint zip code
MADCAP Notices	ORSIS	Produces notices for MACADE/MADCAP actions using the Target Notice Architecture (TNA)
Mainframe Time and Attendance System	OEEAS	Capture and Validate Time and Attendance for all SSA employees. Transmit a data extract to Department of the Interior (DOI) every 2 weeks. DOI is the payroll provider.
Management Information & Control for Earnings	OEEAS	Provides control, tracking and MI for earnings-related initial claims workload in OCO. Provides online case control system for initial claims output requiring clerical intervention before being dispatched to adjudicative personnel in field offices.
Management Information & Control for Earnings MI	OEEAS	A workload management and tracking system used to control: earnings inquiries on initial claims, from the public or SSA FO's on pre-claims earnings.
Managerial Cost Accountability System	OEEAS	Future Releases of MCAS - Cost Accounting MI

Application Information Report

Name	Owner	Description
Mandatory Smart Card Logon Enrollment	OTSO	The purpose of the Mandatory Smart Card Logon Enrollment (MSCLE) application is to provide individual SSA users with a way to enroll their own Active Directory account in the Mandatory Smart Card Logon (MSCL) initiative. Users will be able to verify that their PIV smart card is functional and submit a web form which will enroll the logged on active directory user in MSCL. This will be done under the supervision of a SLC/Systems Administrator. Upon submission, a notification email will be sent to the Requester, SLC, and Security Officer. Once the user is enrolled in MSCLE reporting services will be available to give the number of enrolled users for each organization.
Mandatory Smart Card Logon Override	OTSO	The Mandatory Smart Card Logon Override (MSLO) application allows individuals with administrative rights over another user (SLC s, Help Desk Staff, Global Admins, etc) to give a user a temporary exception from MSCL for various periods of time. The Administrator will be acting as the requester and submitting the web form for the affected user. This application is to be used when a user forgets, loses or breaks their card. In addition, it can also be used for temporary exceptions when a user has to be involved in a project for which they need to use an Active Directory PIN and password. Upon submitting the web form, the affected user will be removed from MSCL and their Active Directory user account will be reset. A notification email will then be sent to the affected user, the requester, and the Security Officer. The affected user s account will automatically be returned to MSCL at the end of their period of temporary exception.
Manual Adjustment Credit & Award Data Entry	ORSIS	CICS data collection sysytem for MADCAP. Interfaces with A101/M101, ICF, Rep Payee, Client, Medicare and MBR for data. A batch pprocess formats MADCAP input data and creates MBR finders.
Manual Adjustment Credit and Award Process	ORSIS	Allows for the manual processing of all initial claims and post entitlement actions that are not automated. It establishes, modifies and deletes most of the elements on the Master Beneficiary Record.
Master Beneficiary Record Payment History Update System	ORSIS	Payment History Update System. This system updates PHUS data on the PHUS. Master data is sent to the PHUS update when payments are made outside of a Post Entitlement application program (SPS, GARN, etc.)
Master File Conversion to DB2	OESAE	Convert Master Files to DB2.
Master File Duplicate Detection Operation	ORSIS	This SEMI ANNUAL Operation looks for individuals ERRONEOUSLY receiving benefits from the same or multiple account numbers. Alerts are sent to field offices for processing.
MBR Extract System	ORSIS	This system is a series of programs that provides a means for offices to request and receive selected MBR information in special formats based on a match of provided data. This is part of the PE search.

Application Information Report

Name	Owner	Description
MBR Select System	ORSIS	This system selects from the MBR: 1. Files for deletion of certain beneficiary special payments. 2. Files of cases with overpayments in the special payment amount field. 3. Files of beneficiaries subject to an increase in benefits due to an adjustment of Reduction Factor/Delayed Retirement Credit.
MBR Update Maintenance Operation	ORSIS	MBR Master File Maintenance. This application deletes aged data from the MBR. A function that was removed from the MBR UPDATE (RTAPLAUD) operation when it was re-writtem to become the Monthly update.
Medical Evidence Gathering & Analysis Health Information Technology	ODS	The main objectives of the MEGAHIT prototype are to encourage the healthcare providers to establish medical records that are interoperable. Leverage the electronic standards and products associated with the large-scale HIT initiatives and gather medical information in an automated process with little or no human intervention in a timely fashion. And improve the efficiency and accuracy of the disability adjudication process.
Medicare - IRMAA	ORSIS	Imposes higher Medicare Part B and Part D premium rates on high-income earners as defined by statute. Adjusts those impositions on the basis of beneficiary allegations. Verifies the accuracy of those allegations.
Medicare Accounting System	ORSIS	End of Month operation that sweeps the Medicare Database and sends the amount of Part C and D benefits withheld by SSA that are to be transferred to CMS.
Medicare Application Processing System (MAPS)	ORSIS	Medicare Part D Low-Income Subsidy Application taking process. Consists of Websphere screens and includes resolution of exceptions received via paper and internet intake process.
Medicare OCSE Data Exchange	ORSIS	This data exchange supports the Medicare Part D Low Income Subsidy Determination process. This exchange obtains current earnings, self employment and unemployment income.
Medicare Operational Data Store	ORSIS	Provides detailed data and IWMS and SUMS counts for both Medicare Part D Subsidy Applications and Medicare Part B and Part D IRMAA. Also provides Receipt, Pending, Clearance, Completion Listings and SSN Query capability for Medicare IRMAA (which includesPart B & D) via MI Central.
Medicare Part D and C Premium Collection	ORSIS	The premium collection and processing function begins when a Medicare beneficiary enrolls in a Part C or Part D plan and elects that the premiums be deducted from his/her Title II check.
Medicare Part D Deeming	ORSIS	Awards 100% Part D subsidy awards based on transactions from CMS
Medicare Part D Screening	ORSIS	The Medicare Part D Screening process screens new Medicare Attainers or Enrollees to determine if teh beneficairy is below the Federal Poverty Level.If the benefiary is below the Federal Poverty Level the screening process builds a notice queue row to send an SSA-1020 application for Prescription Drug Extral help.
Medicare Part D State LIS	ORSIS	Awards Part D subsidy awards based on transactions from states.
Medicare Part D Subsidy	ORSIS	This application determines if a low-income subsidy can be processed for Part D Medicare prescription drugs.

Application Information Report

Name	Owner	Description
Medicare Query	ORSIS	Intranet query which displays Parts A,B,C, and D application data.
Medicare Savings Plan Data Exchange	ORSIS	Implements PL 110-275 changes in the way Low Income Subsidy (LIS) applications are processed.
Medicare Selections	ORSIS	Daily and Monthly Medicare selections from the MBR.
Medicare SSI Deeming	ORSIS	This application creates potentional SSI deeming records and transmits them to CMS, on a weekly basis, using the SSI Effective date, the Medicare Eligibility date and MBR data to build periods of potential SSI Deeming
Medicare Workload Management	ORSIS	Provides Pending Listing, Filter Capabilities, & Bulk & Single Transfer Capabilities
MEF Earnings Update System	OEEAS	Update and maintain earnings database for use by other systems and provide earnings totals to actuary.
MESODS GREP Interface	OSES	Interface used for applications where detailed MI data is stored in the MESODS database and the Generic Reusable Extract Program (GREP) is used to pull numbers from MESODS to provide balance and logging information in MSHARE common balance and logging tables.
MI Electronic Services Operational Data Store API	OSES	The MESODS API consists of a set of routines, protocols and tools for eServices applications to write information to the Electronic Services Operational Data Store (MESODS) DB2 database instead of the Common Internet Backend Audit (CIBA) Traffic File.
MI for Appointed Rep	ORSIS	Management Information for appointed Rep reads the MISF copy of the Appointed Rep database and the MISF copy of the Single Payment system database and accumulates a count report for display on the MISF.
MI for Debt Management System	ORSIS	Provides Debt Management screen counts
MI for ECO	ORSIS	Provides management information for the External Collection
MI for Garnishment	ORSIS	Provides totals via CICS for the online Garnishment System
MI for Monthly Consistency Check	ORSIS	This project receives admin records from the Claims System End of Month Operations (CSENDOP) which are processed in the PCs on a monthly basis. Three types of actions are received: Original Awards, Terminations, and Credit Adjustments. Several tabulations are prepared for the Office of Requirements, Evaluation and Statistics (ORES) from unedited data. The records are then processed through an extended editing and auto-correction procedure monthly, producing an exception file and tabulations showing the types and frequency of errors.
MI for Post-Entitlement	ORSIS	Provides Post Entitlement Management Information at the SSN level
MI for RECOOP	ORSIS	Provides monthly and year-to-date totals from the RECOOP system
MI for Tax Levy	ORSIS	Provides totals via CICS for the online Tax Levy System
MI Single Payment System	ORSIS	Read the DB2 SPS database on the MISF and format and display dynamic reports on EMIS server (intranet).

Application Information Report

Name	Owner	Description
MI Social Security Number Verification Service	OSES	Management Information for SSNVS. SSNVS allows employers to match their record of employee names and SSNs with Social Security records before preparing and submitting W-2 Forms. Making sure names and SSNs on the W-2 match our records is important because unmatched records can result in additional processing costs for employers and uncredited earnings for their employees.
Military Service Reimbursement	OEEAS	To generate a Primary Insurance Amount (PIA's) for persons with and without military service during the period of 1940-1956
Mobile Technologies for SSI Wage Reporting	OSES	MKWR is a hybrid application (leverages the functionality of the smartphone's native web browser inside a downloadable application as the target application platform for transactional eServices applications) that allows SSI recipients, deemors, and representative payees of SSI recipients to report gross monthly wage amounts that a wage earner was paid in the previous month, using a mobile device.
Modernized Claim System - Data Collection	ORSIS	MCS DC is a set of data collection screens which collect all the information needed from a claimant to process the claim to pay. Some of the information collected is marriage and child data, recent earnings, military or railroad service, and Medicare enrollment.
Modernized Claim System - Earnings Comp	ORSIS	MCS Back-end is known by the users as the Earnings Comp (EC) process. It is initiated by a transaction entered off the MCS Menu after the MCS Front-end data collection screens are completed.
Modernized Claim System - Management Information	ORSIS	The Workload Management System for Initial Claims (WMS/IC) tracks Title II initial claims from their entry into the Modernized Claims System (MCS) by recording either the specific events in a claim's life cycle or the tasks performed for the claim.
Modernized Claim System - Notices	ORSIS	Produces notices for MCS actions
Modernized Development Worksheet	OASSIS	Modernized development worksheet.
Modernized Earnings Integrity Review System	OEEAS	Targeted criteria for review by security staffs to ensure the security and integrity of the Earnings Item Correction process.
Modernized Integrated Disability Adjudicative System	ODS	Supports disability case processing in Disability Determination Services offices (Alaska, California, Delaware, Guam, Missouri and Virgin Islands),Western Payment Service Center, Dallas DPU, North East PSC, Mid Atlantic PSC, South East PSC, OCO FDU, OIO, Great Lakes PSC, and Mid America PSC.
Modernized Online Edited Transactions	ORSIS	MONET is a CICS system that collects data for updates to the Master Beneficiary Record. MONET does not maintain files. MONET writes 3 types of Traffic records to the Traffic file.
Modernized Overpayment Underpayment Report System	OASSIS	MOURS is a Title XVI Reporting application. It is an over/under payments reporting system. MOURS gathers financial information used in developing reports for Finance (Schedule 9). Reports are sent to the Treasury Department.

Application Information Report

Name	Owner	Description
Modernized SSI Claims System Workload Management System	OASSIS	These programs capture data online (real time) during the MSSICS claims taking process. This data is stored in an IDMS database. In addition, some data is obtained in batch mode and updated to the WMS record overnight.
Modernized Supplemental Security Income Claims System	OASSIS	SSI Claims-Taking and Update Process
Month of Election Service	ORSIS	Month of Election Service (MOE) will derive the MOE options presented to a user. This includes the default MOE date and a range of other possible dates. After the user has selected an MOE date from the provided choices, the service will determine the MOE. .
Monthly Financial Accounting System	OASSIS	Creates a file of all SSI accounting transactions that is sent to each state on a monthly basis.
Monthly MBR Total System	ORSIS	CSPOT interrogates the MBR to provide the users with requested information about beneficiaries. CSPOT is run monthly around the 16th of the month after the monthly MBR update.
Monthly MBR Update System	ORSIS	Master File Update merges MBR ORBIT to the previous month MASTER file to create the Current months MASTER and creates beneficiary payment records for reformat and transmission to Treasury.
Monthly Update System	ORSIS	Provides monthly updated MBR's (LIMITS) via online retrieval system
MULTX Database Update	OEEAS	The system updates the file of cross-reference SSNs.
My Social Security Application	OSES	The overall purpose of the MySocialSecurity project is to provide a personalized internet portal that will be a viable self- service alternative to our telephone and in-person service. Services via the MySocialSecurity portal will be available to the entire Social Security Administration s (SSA) customer base (i.e. non-beneficiaries, beneficiaries, representative payees, etc.) that have registered and authenticated via Registration of Most Everyone (eAuthentication). The portal will encourage self-service by providing an easy to use, dynamic environment that encompasses the full spectrum of agency services. MySocialSecurity will also serve as a platform to inform the public about changes, new online services, new regulations and mandates that affect them. In addition, the portal will offer full immediate online customer support to encourage users to remain online, including video tutorials, FAQs, and two-way communications like click to chat and secure email. This project aligns with the agency s service strategy by providing the user a transparent, comprehensive and consolidated view of information, with access to multiple SSA services via the portal.
My SSA Tab Service	OSES	A web service that will be invoked by the My SSA application to determine which tabs to display to ROME registered/authenticated customers based upon user roles. Roles are the tab display codes from the application and are used in determining which tabs will need to be displayed. MSTS will be deployed using the OSES standard z/OS, Solaris deployment scripts. MSTS is a RESTful service accessible from any platform capable of making a Hypertext Transfer Protocol (HTTP) call. It will not have any PII, login, security fields, and an XML format will be used.

Application Information Report

Name	Owner	Description
My Time and Leave	OEEAS	Web based access to Leave Balance and Hours Worked and Absent Reports. Available to all SSA employees.
mySSA Change of Address	OSES	Public Change of Address request; this application is part of the "My Social Security" suite of client applications.
mySSA Check Your Benefit	OSES	Public Check Your Benefit; this application is part of the "My Social Security" suite of client applications.
mySSA Direct Deposit	OSES	Public Change of Direct Deposit request; this application is part of the "My Social Security" suite of client applications.
National Disability Determination Services System	ODS	Automated system providing case control and management reporting support for disability claims.
National Docketing Management Information System	ODS	An intranet application that tracks Litigation Cases denied by OHA that are now assigned to OGC. COTS-based. It runs on a UNIX Solaris Server. Data is stored in Oracle database.
National Vendor File Management Application	ODS	An intranet based application which consists of a consolidation of all disability vendor data repositories. The Client will search for providers of medical information via a robust search appliance that displays the results of relevance, and presents data in a logical, well organized, and easy to read format
National Vendor File Web Services	ODS	Consolidation of the DDS legacy vendor files which contain medical providers and other vendors that support its disability processes and applications into centralized, service based, data store. The web services provides the tools and functionality required to support the data requirements for case processing.
Nebraska DDS	ODS	State developed legacy system used to process disability cases.
New York DDS	ODS	State developed and maintained application used to process federal disability cases.
Nightly Earnings Search	OEEAS	To provide earnings information from the Master Earnings File to requestors from Title II systems (Enforcement and Bendex) and the Office of Child Support and Enforcement (OCSE)
Non-disability Repository for Evidentiary Documents	OESAE	Provides a means of electronic capture and storage of non system-generated artifacts (related to claims files) in the Non- disability DMA Repository.
Notice Counts for IRMAA	ORSIS	Provides totals of IRMAA notices
Notice Counts for T2R	ORSIS	Provides totals of T2R notices
Numident Online Verification Utility	OEEAS	Used by various applications to access NUMIDENT real-time
Numident Quarterly Update	OEEAS	Updates the NUMIDENT master files.
OCSE Real Time Query	OCSE	Query the wage file for OCSE. Have System's Requirements. The query will run regardless of whether OCSE participates or not. It just won't return any data if OCSE does not participate in the DR. Empty screens, field reverts to batch listings.
OCSE Request Service	OASSIS	This is a webservice created to provide OQP and the Regions with NDNH data when requested. The user will make a request for NDNH data, the app will go to OCSE's webservice, retrieve the information and return it to the user via the OCSE Request Service application.

Application Information Report

Name	Owner	Description
OCSE State Wage Alerts	OCSE	The OCSE database is accessed for the purposes of extracting data for Title XVI claimants who may have earnings for specific periods of time. If individual is located after tolerances are applied, alerts are generated to field offices for investigation.
Office Lookup Core Service	OEEAS	The Office Lookup Core Service provides Office Information from DOORS based on the requested Office Code
Office of Child Support and Enforcement	OCSE	Support OCSE initiatives
Office of Hearing and Appeals Case Control System Reports	OASSIS	Produces OHA reports on a monthly and quarterly basis.
Official Union Time Tracking System	OEEAS	Capture and Validate Official Union Time worked by AFGE Union Representatives. Produce MI reports of Official Union Time.
OHA Case Control System	ODS	Supports ODAR workloads, old legacy application to be retired by the end of FY11 as part of Continuous Availability project.
One Percent Treasury Refund	OEEAS	The 1% treasury Refund system runs annually to produce Error and Legacy Treasury information data for required previous years. Data is sent to ORES for report preparation.
Online Retrival System	OESAE	ORS stores a copy of a notice that is sent to number holders (NH) which the field (SSA Users) can retrieve to help in answering questions in interviews or phone calls. The field can also request a batch reprint of the notice to send out.
Online Social Security Statements	OSES	Allows the user to access the Social Security Statement information online. Provides the capability to access a formatted PDF of the Statement and change delivery preference (online or U.S. mail) for Statement data. The system will also send an automated email reminder on a yearly basis to remind the user to check their Statement information online.
Online Software Release Form System	OTSO	System to sponsor and track SSA software changes.
Online Suspense Reinstate (Menu Option 3)	OEEAS	Allows user to reinstate W2 items without going into ICOR. Designed for a clerical that is working on an employer level not an individual level. This uses the same code as the suspense query/reinstate that is used in ICOR.
OPM Catch 62 Match	ORSIS	PSMIRPS is the major system that receives the file for the OPM Catch 62 Match file. PSMIRPS module E1845V3P that processes this file provide Military credit info to OPM.
OPM/GPO - WEP - PDB	ORSIS	CSWEPRMN and CSPDBRMN produce an alert file for XEROX for certain beneficiaries who receive both disability and /or retirement benefits and a civil service pension. CSGPORMN produces an alert file for certain beneficiaries who receive RSI benefits.
OPM/MBR	ORSIS	PSMIRPS is the major system that receives the file for the OPM/MBR Medicare Match. Module E1851V1P that processes this file is an annual job to provide MEDICARE info to OPM.

Application Information Report

Name	Owner	Description
Output Service User Requested Earnings	OEEAS	Produces the 1826 reports of all requests sent to it by EMISER. Gathers and assemble the info into a print report file using the details found on the MEF as arranged per Employer (from the EIF) by the year(s) for which the info was requested.
Overpayment Control Non-Entitled Debtors	ORSIS	Creates updates to repository (NED data base) for overpayment owed by recipients (REPAYEES) not receiving benefits
Paperless Infrastructure and Utilities	OESAE	Includes the Route, Workload Transfer, Archive, and various COTS packages
Paperless Processing Center Batch	OESAE	Batch programs that transfer data, process COLD and replicate for the enterprise
Paperless Processing Center Client Workstation	OESAE	Paperless tracks, monitors, moves, holds and archives pending and completed actions, receiving input from mainframe print streams in PDF format, faxed and scanned images, eforms and imported Word and Excel documents.
Paperless Under DMA	OESAE	Paperless is an Action Management system. This application is a re-write of the current Paperless Processing Center application. The first release will only be a partial replacement, providing barcoding functionality and manual indexing.
Paperless Under DMA - Archive Migration Utility	OESAE	This utility copies documents from the PPC G360 archive servers to the DMA repository and notifies CFRMS. It is temporary until R1.3 of Paperless.
Parent Locator System	OEEAS	Parent Locater System to identify parents involved in child support cases
Part B IRMAA Notices	ORSIS	Produces notices for Medicare Part B System actions
Part D Subsidy Notices	ORSIS	Produces notices for Medicare Part D system actions
Password Service	OSES	
Payment History Corrections Subsystem	OASSIS	CICS Process for correcting payment history when discrepencies arise between OBASA and Systems.
Payroll ODS Correction Facility	OEEAS	Allow for the correction of PAYODS data received from DOI
Payroll Operations Data Store	OEEAS	To load the Department of Interior (DOI) Accounting Feeder file to the Payroll ODS DB2 tables.
Performance Assessment and Communication System	OEEAS	The system assists supervisors in preparing employee performance plans, documenting expectations and progress reviews and preparing performance appraisals.
PING	OESAE	Ping service provides a generic interface program to receive WebSphere initiated requests to check specified CICS regions and assets for availability. It accomplishes this task by reading an application level ping descriptor from the ping control file. It links to the programs specified in the ping descriptor in the regions specified in the ping descriptor.
PolicyNet	ORDP	
Position Data Application (PDA)	OEEAS	The system assists DCHR classification staff to enter position data directly into HRODS.
Post Eligibility Operational Data Store	OASSIS	This system tracks redeterminations and Limited issues for the agency. It has a DB2 database with a WEB front end. MSSICS information and SSR information is used to build the DB2 database (PEODS).

Application Information Report

Name	Owner	Description
Post Entitlement MI	OEEAS	The Postentitlement Management Information (PEMI) Project was eveloped as part of the Program Benefits Modernization Project, to address the PEMI needs of users throughout the SSA community. PEMI provides detailed and aggregate receipt, pending, and clearance data, as well as other strategic and tactical MI for many Title II and Title XVI PE transactions processed in SSA field offices (FO's) and processing centers (PC's). The data enables SSA managers to make decisions regarding SSA staffing, budget, training, work allocations and workflow control. The programmatic system sources from which PEMI obtains PE data include: CICS Traffic (CICS), Debt Management (DM), Modernized Claims System (MCS-1818s only), Modernized Data Input (MDI) System, Modernized SSI Claims System (MSSICS), Postentitlement Online System/Workload Management System (POS/WMS), Representative Payee System (RPS), Representative Payee Accounting (RP ACCT), Prisoner Tracking Management Information (PTMI) system, Processing Center Action Control System (PCACS), Internet Transactions, Miscellaneous Online Edited Transactions (MONET). Further information can be obtained from the MIM chapter 9600 for PEMI.
Post Entitlement Online System	ORSIS	Postentitlement Online System (POS) handles Title II event changes following entitlement to benefits.
Post Entitlement Print Environment	ORSIS	PSPEPE is the Post Entitlement print program operation. The PEAT records communicate actions the object programs have taken that affect and update the MBR. These records are used by PSPEPE to produce folder documentation.
Post Entitlement Search Operation	ORSIS	Master File Search associates application transaction records with the latest MBR. Prioritizes transactions for delivery to Post Entitlement Application Programs.
Predictive Model	ODS	Called utility for Quick Disability Determination (QDD) - developed by IBM - used by EDCS to "score" initial disability cases to predict if a quick determination can be made by the DDS.
Prism	OESAE	The SPMT will provide a framework for using one application to define and track every aspect of projects and portfolios. It will incrementally be implemented to replace or integrate with existing tools such as VISOR, SPARS, RIMS, etc. SPMT will provide Project Management functionality such as creating IT proposals, moving proposals through an approval process, conducting what if scenarios, managing project schedules, tracking project risks, reporting project status via dashboards, tracking progress against the plan, accessing and updating documents, generating reports, etc.
Prisoner System	ORSIS	Track Prisoner to see if they are receiving benefits. If so alert claims personnel to stop the benefits.
Prisoner Tracking MI	OEEAS	Provides Prisoner MI for field office receipts, pending and clearances. Also provides MI on prisoner submissions and incentive payments.

Application Information Report

Name	Owner	Description
Processing Center Action Control System	ORSIS	PCACS is an online, interactive National case control system (i.e.,workflow system), used by the PSCs, that controls and tracks PSC actions, diaries and folders, including programmatic actions generated by various claims and PE processing systems. It also provides enhanced and consolidated management information.
Processing Center Action Control System Work Sampling	OEEAS	The Processing Center Action Control System Work Sampling (PCACS) tracks actions, via sampling, to determine the types of activities and actions performed in the Processing Centers. The resulting data of Samples and Rosters is then sent into the Processing Center Management Information (PCMI).
Processing Center Management Information	OEEAS	PCMI is a legacy work measurement system for the processing centers. It captures and stores workload counts from the Processing Center Action Control System (PCACS) and work sampling tallies from PCACS Work Sampling (WS) System and stores the data in DB2 database. The data is used to generate MI workload reports by processing center.
Project Tracking System	OTSO	PTS is used nationwide to schedule and track the progress of OTSO's hardware and software refreshment projects.
Public Information Request System	OESAE	WebSphere based application that allows the TSC and FO personnel to request forms/pamphlets on the public's behalf. These pamphlets are printed by print contractors. Verizon provides the automated telephone request process.
Quality Assurance Systems Message Router	OASSIS	JAVA based utility that provides communication between the Electronic Folder and DICARS/DQR application.
Quality Performance Management System	OEEAS	Provides multi dimensional view of quality performance measures
QUERY	ORSIS	Queries of various master files are returned to the screen or sent to a printer. Queries just read the data and display the information. (ie. Bankshot, HI, IR, PHUS, SEID, THIS). ORSIS does not own all queries in this Endevor System.
Race & Ethnicity Collection System	OEEAS	Collects Race/Ethnicity data from initial claims applications using OMB standards and creates extract and MI report for statistical analysis.
Railroad Retirement Audit	ORSIS	These CICS screens are used by the Railroad Board to provide SSA with payment Trust Fund information.
Railroad Retirement Audit for Batch	ORSIS	Railroad Board Audit matches SSA payment information from the MBR and Critical Payment systems to payments actually being made by the Railroad Board.
Railroad Retirement Board - Joint Agency Data Exchange	OEEAS	This is an online system that formats a request to obtain a social security MBR directly from SSA. This information is used to calulate the railroad tier 1 portion of the annuity. The JADE system is a direct real-time, data exchange communication link between several RRB application systems and SSA's mainframe.
Rates Utility for T2	ORSIS	Computes the monthly benefit amount (MBA) for T2 beneficiaries for IC and PE.

Application Information Report

Name	Owner	Description
REACT Edit Input Transactions	ORSIS	Validates transactions for check debits and credit, payment over cancellation (POC) and checks over 14 months old. RCEDIT validates formats, rejects invalid data and creates a daily report.
REACT Monthly Report	ORSIS	Returned Check Hold Check Monthly Accounting Report
REACT Notices	ORSIS	Produces notices for REACT System actions.
REACT Reconciliation Input	ORSIS	RCRECKIN receives files from the Department of Treasury (DT) containing EFT intercepts, hold checks, return checks and unavailables. RCRECKIN edits and balances the input files. The records are reformatted and sent to RCREACT.
Recovery and Collection of Overpayment System	ORSIS	Bills and controls Title II and Title XVI debts for terminated beneficiaries/recipients.
Recovery of Overpayments Accounting and Reporting System	ORSIS	Update and control Title II and Title XVI overpayments, Trust fund Journaling (Accounting), Beneficiary Notices and Folder Documentation.
Remittance Process	ORSIS	Part of DMS. Processes remittance data from an automated scanning process in the MATPSC as well as data keyed via DMS screens to produce records for update to the Title II, Title XVI, RECOOP and ECO systems.
Rep Payee Accounting	OASSIS	To control mailing and receipt of T2 and T16 accounting forms
Rep Payee Accounting Exceptions	OASSIS	controls development of questionable information on RP
Rep Payee DO Workload Report	OASSIS	RepPayee WMS listings and queries.
Rep Payee Management Information	OASSIS	MI reports.
Rep Payee System	OASSIS	Controls Rep Payee processing for Title II and Title XVI beneficiary payments
Report Correction	OEEAS	RCOR performs blanket corrections to employer reports (W3) where the same information (like the EIN or report year) is incorrect on every individual report (W2) within the employer report. These corrections are reflected on the MEF.
Report Correction MI	OEEAS	Produces MI summary reports reflecting activity in RCOR front end.
Report Office Table	OEEAS	Provides office hierarchy information for numerous MI Central and other applications
Resource Accounting System/Mainframe Time and Attendance System	OEEAS	Allows for the capture of DCS employee hours charged to ITAB approved projects.
Retirement Estimator	OSES	This application tool allows the public to come in via KBA authentication and do estimates of their possible retirement income. The application will also allow those users to get their estimates in Spanish.
Returned Check Accounting Report	ORSIS	This daily system performs accounting functions and produces daily and monthly reports. The daily reports show the debit and credit reporting for the day.
Returned Check Action	ORSIS	Sends non-receipt, stop payment and photo copy requests to Treasury; processes accounts receivable items from Treasury, PC's and Field Offices (FOs).
Revised Adult Disability Report	OSES	Provides public and third-party users with the ability to complete the Adult Disability Report (SSA-3368) online.

Application Information Report

Name	Owner	Description
Revised Earnings Adjustment Process	OEEAS	REAP handles earnings adjustment workloads which cannot be processed through other automated systems. These include, but are not limited to, the W2C process, 7010 offsets, the Itemized Correction (ICOR) and Report Correction (RCOR) systems.
ROAR Pending List	ORSIS	Debt Management ROAR Case Selection totals
SALT Notification of Change	ORSIS	SANOC receives daily files that originate with financial institutions that are sent to SANOC from the Federal Reserve Bank through Treasury with direct deposit enrollments and corrections. SANOC builds batch files that are sent to T16 for update of the SSR and to T2 for update of the MBR. In addition, when a date of death is updated to the MBR for a T2 beneficiary with direct deposit, DUDEX sends a file to SANOC which in turns sends a notification back through Treasury for delivery to the financial institution. This communication serves as notification of the death of the beneficiary and the bank uses this information to close out the bank account.
SASRO Activity File	OSES	The SASRO AF project enables SSA to view the MI and WMI for SASRO transactions in the Dallas Region. SASRO AF captures the number of successful and failed requests on SASRO transactions to determine what informatioo SSA users access
Screen Enforcement Recomp Finders	ORSIS	Search of the MBR and Earnings MULTX databases for claimants receiving multiple benefits from the respective systems. Matches are alerted and sent to Enforcement Operations for possible benefit enforcement.
Section 508 Major-Purchase Wizard	OSES	This Wizard is intended to help a Contracting Officer Technical Representative (COTR) account for accessibility in purchases greater than $3,000. It is used to create the required Section 508 Compliance Form for SSASy that a Contracting Officer (CO) will be responsible for reviewing.
Section 508 Micro-Purchase Wizard	OSES	Supports 508 determinations for micro-purchases
Section 508 Testing Wizard	OSES	Supports Defect Reporting for Section 508 Compliance Evaluations
Section 508 Undue Burden Wizard	OSES	Supports routing of approvals for Section 508 Undue Burden Waivers
Secured Messaging	OSES	Secure Messaging is a common component developed to allow SSA Agency representatives to communicate securely with other state and government representatives, as well as medical providers.
Self Employed Adjustments	OEEAS	The function of this system is to adjust the earnings records for self-employed individuals who have had the wages adjusted as a result of an IRS action (i.e. audit, etc.)
Self Employed Wage Reporting	OEEAS	The SEWR application is used to ensure that the earnings and wage data of self-employed individuals received from IRS is converted into a useable format and passed on as input to the Employer Balancing System for processing.

Application Information Report

Name	Owner	Description
Service Request System	OESAE	The Service Request (SR) System is an electronic replacement for the SSA-251 form. The application provides a means for ensuring requirements and related validation material have been documented and approved for a release. Features include: - electronic signatures for accountability - email notifaction - connection to the Validation Planning System (VPS) - report capability - search capability The application also interfaces with QA2 to obtain System Certification Release (SRC) for the release.
Single Payment System	ORSIS	The scope of the SPS project is to provide a national system that will automate attorney fee payments and other Title II payments that cannot be made through the current Title II system. The national SPS system will consist of both online and batch processes.
SNO (Special Notice Option Delivery Architectures)	OESAE	Architectures that support a process to gather and transmit all SSA notices that require an alternate format (braille, audio, CD Lg. print. These architectures process and tranmit SSA notices nightly to a contracted vendor for processing and mailing.
SNO Document Checklist Management	OSES	system tracks accessibility validation of production notices created in alternative formats requested by blind and visually impaired beneficiaries.
Social Security Access to State Records Online	OSES	SASRO is an automated data exchange between state agency (HS, WC, VS, WC) and SSA employees. Authorized SSA employees query state benefit information to ensure that proper SSA benefits are paid to its recipients.
Social Security Number Application Process	OEEAS	Enumeration application collection system.
Social Security Number Long Term Fraud MI	OEEAS	Provides MI on numbers of cases detected in the programmatic SSNLTF system.
Social Security Number Verification Service	OSES	A social security number verification service for employers and third party to verify SSN for wage reporting purposes.
Social Security Number Verification Service (OEEAS)	OEEAS	Allows employers to verify name/SSNs for wage reporting purposes.
Social Security Number Verification Service MI	OEEAS	The SSNVS MI provides summary information for the Internet SSNVS application. This system includes the following MI approved architecture; 1) A mainframe DB2 relational database, 2) Standard reports created on an OTSO server, 3) Brio Enterprise Server.
Social Security Online Accounting and Reporting System	OEEAS	SSA accounting system
Social Security Online Verification	OEEAS	SSOLV is used by state Motor Vehicle Administrations to verify SSNs before issuance of a drivers license or identity card.
Social Security Statement	OEEAS	Social Security Statements are sent to workers 25 and older and not in pay. The Statements include earnings history and estimates of the Social Security benefits workers and their families can expect to receive.
Social Security Statement MI	OEEAS	Tracks SSA-initiated and On Request statement counts broken down by records sent, demographics, WEP-GPO, and manual review. Reports are presented as weekly and calendar month on EMIS for management use."

Application Information Report

Name	Owner	Description
Special Disability Workload	OASSIS	This application processes the Special Disability Workload Control File. The DBZ SDW Control File is updated daily with data from T2 and ZSCIDE. The SDW Control File is used to generate an alert on the MCS screen when a case has been added to the Control File.
Special Notice Option (SNO) Indicator Web Service	OESAE	The SNO Web Service provides a mechanism for applications to retrieve SNO information. The service provides the following two operations: Get Basic Information for Self: Used to retrieve SNO information based on a claimant account number (COSSN). Get Basic Information for Other: Used to retrieve SNO information based on a number holder s Social Security Number (NHSSN) and a beneficiary identification code (BIC).
Special Notice Option MI	OEEAS	This application will fill the need for an overarching strategy that follows delivery of notices in Braille, MS word files, CD, Printed, Certified Mail.
Special Wage Payments	OEEAS	This system adjusts the Special Wage Payment (SWP) field on the Master Earnings File. The SWP is an amount paid by an employer (or former employer) to an employee for services performed in a prior year or years.
SSA - Treasury Interface System	ORSIS	RCDISP is part of the REACT system that handles returned checks for SSA. It maintains orbit files which keep track of the Non-Receipts, Photocopies and Stop Payments processed by RCREACT. RCTRIP file updates the status of the NR's, PHC's and SP's by processing center codes.
SSA Access State Records Online Arkansas Department of Human Services	OSES	SASRO ADHS is an automated data exchange application between SSA and Arkansas Department of Human Services. This exchange follow standard Data Exchange agreement. The application allows authorized SSA users to obtain the state information during benefit interviews.
SSA Access State Records Online Webservice	OSES	SASRO is an automated data exchange between a state agency and SSA for the purpose of providing authorized SSA employees access to state agency benefit information.
SSA Claims Control System	ORSIS	SSA Claims Control System was developed to track status of claims taken and also began to be utilized as a means to provide data used as a basis for Mgmt information about those claims.
SSAlerts	OTSO	Desktop alert/notification application
SSAMIS - Fast Track	OEEAS	Provide MI data on workload counts, samples and work hours to the regions and central office
SSI Case Control System	OASSIS	Manages physical case folders (national)
SSI Central Office / District Office (CO/DO) Communications	OASSIS	Sends Rejects & Alerts to the field
SSI Claims System - Web	OASSIS	SSI Web contains functionality that has been migrated from CICS MSSICS application. For AFI Release 1 the Resources: Financial Institution Account (RFIA) screen was migrated to this application.
SSI CMMS Interface (T19)	OASSIS	Data Interface between SSA/SSI and CMMS
SSI Computations Subsystem	OASSIS	Calculates monthly payment amount for each SSI recipient; balance records for overpayment/underpayment errors.

Application Information Report

Name	Owner	Description
SSI Daily Edits	OASSIS	Edits SSI inputs online and batch programs. Online in DEVVAL/DEMS/SXVIR3 and batch in TITLE16/SSICORE/SSImmmyy
SSI Daily Input Transactions	OASSIS	This application inputs transactions from T2 (i.e. BACOM/DUDEX), and Numident. The transactions are input daily. This function starts the SSI daily CUTOFF. The transactions are edited and reformatted into the T16 DSPE standard format and input to the batch PE and IC update functions.
SSI Diary Extracts for ROs	OASSIS	Produces diary files on the MISF that are fed to ChiNet for use by the Chicago region for diary listings. Also provides an online VSAM file for the WMI diary listing requests.
SSI DOL Interface (Black Lung)	OASSIS	Black Lung data is input monthly from the Department of Labor via Connect Direct. Black Lung data is used to create DSPE Transactions. Once the DSPE transactions, OVE, are built, these transactions are input to the SSI daily cutoff to be updated to the SSR Master record. Black Lung transaction data is updated to the SSR. Unearned income entries are built to the SSR and Black Lung data is updated to the MSSICS Pending File.
SSI ePath	OASSIS	SSI ePath is a web-based intranet system developed for a specific MSSICS path for non-Title XVI employee specialists (i.e., Service Representatives (SRs), Teleservice Center Representatives (TSRs) and Title II Claims Representatives (TII CRs)). It streamlines the work processes and invests in valued employees by providing them with the specialized tools needed to work with the SSI public, to complete tasks timely to determine eligibility of benefits. This project also improves world-class and public service by reducing customer re- contacts. The ability to make immediate input and updates at the first point of contact improves SSI program integrity by ultimately reducing overpayments and increasing SSI payment accuracy.
SSI Exception Control System	OASSIS	Controls exceptions arising from processing of IC Update transactions and provides information/statistical data.
SSI Felon External Interface	OASSIS	Matches SSN's submitted by law enforcement agencies through Title II with SSR Master file. Replies sent to OIG via Title II.
SSI Financial Verification System	OASSIS	Controls One Time Payments (OTP), refunds, double check negotiations (DCN), payment history changes, returned checks, and unneg checks
SSI Group Totals	OASSIS	Group Totals provide update totals of daily and cumulative changes recorded on the SSI master record.
SSI IC Update System	OASSIS	Processes SSI initial Claims
SSI Immigration Interface	OASSIS	The Immigration Interface Subsystem receives deporting and leaving records from Department of Homeland Security (DHS) through Enumeration Verification System (EVS).
SSI Income Service	OASSIS	The SSI Income Service is a Web Service using Java and Jboss Drools to evaluate and post income data to the MSSICS database
SSI Index System	OASSIS	Indexes of the people on the SSR

Application Information Report

Name	Owner	Description
SSI IRS Interface	OASSIS	Data Interface - The Wage Match (IC/WM) run occurs in Jan., May, and Sept. to update the IRS 1099 and IRS Pension data. the end of March, June, Sept and Dec. During these months IRS 1099, IRS Pension data are processed in addition to MEF, OCSE Wage and Unemployment data in Sept. Once this data is processed, diaries are posted to the SSR. They are as follows: IRS PENSION (5H) MEF (K6 AND K7) OCSE WAGE (52) OCSE UNEMPLOYMENT (U5) IRS 1099 (5B POSTED IN REDETERMINATION RUN)
SSI Monthly and Daily Payment System	OASSIS	SSI Monthly and Daily payment operation
SSI Monthly Wage Verification System	OASSIS	Collects Wage Verification to update MSSICS and the SSR
SSI Notices	OASSIS	SSI Notices software runs in SSI Daily, Monthly Computations and MSSICS online environments. It produces input to the Target Notice Architecure system. The SSI Notice software interrogates data on old and new SSR master records to determine which type of Notices to send, who should receive them, when to send them and dynamically selects the UTIs to include in the content of the Notice.
SSI OCSE Interface System	OASSIS	Office of Child Support and Enforcement Quarterly Wages and Unemployment Data Interface. This quarterly match (Wage Match (IC/WM)) occurs the end of March, June, Sept and Dec. During these months OCSE wage, unemployment, IRS 1099, IRS Pension, and MEF data are processed. Once this data is processed, diaries are posted to the SSR. They are as follows: IRS PENSION (5H) MEF (K6 AND K7) OCSE WAGE (52) OCSE UNEMPLOYMENT (U5) IRS 1099 (5B POSTED IN REDETERMINATION RUN)
SSI OPM External Interface	OASSIS	Processed input from OPM for income matching against SSI beneficiary records.
SSI Over/Under Payment Operation	OASSIS	Creates various reports such as IAR, Recipient Counts, 1619 A/B and
SSI Post Entitlement Rejects	OASSIS	This process creates reports of the rejects found in the SSI Batch system. This process runs daily.
SSI Post Entitlement Update System	OASSIS	Processes update transactions to the SSR
SSI Pre/Post Update Operations System	OASSIS	ZSCIDE - This function compares the old SSR to the new SSR and identifies when changes occur between the two SSRs. The SSR data is input from the NOTICES Smarts. When changes occur between the SSR data, for different components SSR data is provided according to select criteria from the component. ZSCIDE provides 28 different extracts to T2, MI, T16, Numident, SDW, CFRMS, DACUS, AJS3, OPM, and other areas. The extracts are created daily and weekly in the cutoff and according to the SSI monthly calendar.
SSI Query	OASSIS	Online and batch SSI Master record Query
SSI Redeterminations	OASSIS	Every year the SSI Redetermination system selects a subset of SSRs in current pay status to determine the accuracy of their payments and their continuing eligibility (for non- medicalreasons).
SSI Rep Payee Accounting	OASSIS	To control mailing of T16 accounting forms
SSI State Data Exchange System	OASSIS	This system is used to exhange SSI data between SSA and the States.

Application Information Report

Name	Owner	Description
SSI Treasury/Payment System	OASSIS	Reads SSR Master file (monthly) to generate records of SSI recipients; distributes payment related change records to the SDX and the Daily FAX subsystems via the ZDF file
SSI Wilkes-Barre Folder Control System	OASSIS	Folder tracking for the Wilkes-Barre FSO and National Records Center.
SSI Workload Service	OASSIS	The SSI Workload Management Service holds workload item information for use by the SSI systems applications. The initial version is being built to support AFI Release 2 Workload Listings. This service will initially be accessed from both AFI and CICS MSSICS applications for the purpose of creating, storing, and listing work items.
SSI/DOD Interface System	OASSIS	A SSI Finder file is sent to the Department of Labor. From the finder a DOD data extract is sent back to SSA via connect direct. Once the DOD input is recieved usually the 3rd Saturday of the month (Quarterly Feb., May, Aug., and Nov.), the DOD job is triggered. An alert file is formatted for the ZOFANRED operation. And an alert file which is sorted by region, DO code, and SSN is sent to the MISF.
SSI/RRB Interface System	OASSIS	RRB data is input monthly from the Railroad Board Administration via Connect Direct. The RRB data is matched against the SSR and RRB mini records are created. The RRB mini records and RRB data are used to create DSPE Transactions. Once the DSPE transactions, OVB, are built these transactions are input to the SSI daily cutoff to be updated to the SSR Master record. RRB transaction data is updated to the SSR. Unearned income entries are built to the SSR and Railroad Board data is updated to the MSSICS Pending File.
SSI/VA Interface System	OASSIS	VA data is input monthly from the VA Administration via Connect Direct. The VA data is matched against the SSR and VA mini records are created. The VA mini records and VA data are used to create DSPE Transactions. Once the DSPE transactions, OVA, are built these transactions are input to the SSI daily cutoff to be updated to the SSR Master record. VA transaction data is updated to the SSR. Unearned income entries are built to the SSR and VA data is updated to the MSSICS Pending File.
SSN Core Service	OEEAS	The SSN Core Service provides the SSN or PIN for any employee
Standard Verification System - Batch	OEEAS	Batch system used to verify SSNs and receive NUMIDENT information in return format
Standard Verification System - Online	OEEAS	Online system used to verify SSNs and receive NUMIDENT information in return format
Standard Verification System Lite	OEEAS	Batch SVS but specifically used by the Office of Child Support Enforcement
StaRZ & Stripes - The Next Generation	OASSIS	TBD

Application Information Report

Name	Owner	Description
State Agency Work Sampling	OASSIS	SAWS information is used by the Social Security Administration (SSA) to: estimate resource needs, plan for recruitment, justify DDS budget and staffing requests, determine costs of workloads, allocate staff, access DDS productivity, estimate costs impact of legislation, track status of workloads in addition to analyzing operations, process and productivity changes. The SAWS system collects work sampling data from the DDS offices. SAWS involves sampling the activities of all DDS employees three times a day for a week for a total of 15 samples in each quarter of the fiscal year (FY). The samples are used to create monthly, quarterly and yearly reports.
State On-line Queries MI - DEMIS	OEEAS	This is an online query that provides real time responses to a State's need for SSA benefit payment information and Social Security Number verification.
State Online Query	OEEAS	Online data exchange between state agencies and SSA
State Online Query-Internet	OSES	SOLQ-I is data exchange connection between State Human Services and SSA. SOLQ-I is a web-based application via a VPN connection which enables authorized state individuals to verify Numident information and retrieve Title II and Title XVI benefit information.
State Verification and Exchange System	OEEAS	This is a batch query that provides an overnight response to a State's need for SSA benefit payment information and Social Security Number verification. SVES also provides Citizenship information from the Numident and passes records to other systems (SDX, BEER, BENDEX, PUPS, etc.) for processing.
STorage Access and Storage Handling	OESAE	The STASH service provides two operations: storing data and retrieving data. The service receives three parameters: application-shared data, non-destructive read indicator, and expiration time for the storage operation. The service encrypts the application-shared data and inserts the three pieces of information into the STASH database. The storage operation returns an identifier/key. The application calling the operation shares the key with applications that need the data. The service receives two parameters: key and non-destructive read indicator for the retrieval operation. The service retrieves the data corresponding to the key, decrypts, and returns it.
SUMS Appeals Operational Data Store	OASSIS	The SUMS Appeals Operational Data Store is a DB2 database residing on PPF and MISF. It is updated daily with data from seven data sources: SSR, MSSICS, MBR, T2ODS, NDDSS, EDCS & CPMS MI. The purpose of this database is to provide MI across the whole level of an appeal.
SUMS Data Warehouse & MI Central CDR SUMS Counts & Performance	OEEAS	This is a SUMS data warehouse application that provides SUMS Counts and Performance Measures for Continuing Disability Reviews workload.
SUMS Data Warehouse & MI Central SSI Processing Time Enhancements	OEEAS	This is a SUMS data warehouse application that provides processing time information for Title XVI Initial Claims.
SUMS Demographics and Service Area Breakdown	OEEAS	This system under the SUMS umbrella includes SUMS common modules, as well as the population of the Client Demographics and Employee Characteristic

Application Information Report

Name	Owner	Description
SUMS Earnings Operational Data Store	OEEAS	SUMS Earnings Operational Data Store
SUMS Earnings Performance Reports	OEEAS	This system provides Earnings Performance Reports via MI Central and ad hoc queries.
SUMS Enumeration MI Summary	OEEAS	Provides summary information within the MI Central Enumeration Processing Time and Performance Reports. These reports are based on data from the Enumeration programmatic system. Included in this workbook are EAB Summary Reports provided to the EAB Project Officer.
SUMS Enumeration SUMS Counts (SESC) MI	OEEAS	Provides Enumeration Workload counts via MI Central, under the SUMS umbrella.
SUMS Enumeration WMI Detail	OEEAS	Provides detailed workload management information for Enumeration transactions received from the programmatic Enumeration System.
SUMS for Post-Entitlement	ORSIS	Provides totals for the SUMS T2 PE Operational Data Store
SUMS Initial Claims Counts & MI Central	OEEAS	This is a SUMS data warehouse application that provides information (summarized counts) on T2 initial claims, T16 initial claims, and concurrent tasks between the two.
SUMS Integrated Work Measurement (IWM) on MI Central	OEEAS	This is a SUMS Integrated Work Measurement MI Central application that provides the DOWR, DOWS, WUPWY, Sample Schedule and DOWS Error Reports on MI Central using WMT data.
SUMS Medicare Data Warehouse & MI Central	OEEAS	This is a SUMS data warehouse application that provides information (summarized counts) on the following Medicare workloads: Low-income subsidy, Redeterminations, Subsidy Changing Events, and Manual Corrections.
SUMS Medicare IRMAA Data Warehouse & MI Central	OEEAS	This is a SUMS data warehouse application that provides information (summarized counts) on the Medicare IRMAA workload.
SUMS Medicare IRMAA Part B Listings on MI Central	ORSIS	This is a SUMS ODS MI Central application that provides workload listings and ssn queries for the Medicare IRMAA workload. In 2011, IRMAA Part D was added. Listing labels/titles were changed to "Medicare IRMAA" instead of being Part B/Part D specific.
SUMS Medicare Part D Listings on MI Central	ORSIS	This is a SUMS ODS MI Central application that provides workload listings and ssn queries for Medicare Part D workloads: Low-income subsidy, Redeterminations, Subsidy Changing Events, and Manual Corrections.
SUMS Post-Entitlement Data Warehouse	OEEAS	This is a SUMS data warehouse application that provides information for the SDO and SDO diary reports.
SUMS RZ/LI Counts	OEEAS	This system provides RZ/LI Counts via MI Central and ad hoc queries.
SUMS SSI Processing Time & MI Central	OEEAS	This is a SUMS data warehouse application that provides processing time information on SSI initial claims.
SUMS Title II Processing Time & MI Central	OEEAS	This is a SUMS data warehouse application that provides processing time information for Title II initial claims and reconsiderations.
SUMS/MCAS Management Information (MI) Central	OEEAS	This is an Intranet application that provides SUMS/MCAS MI reports and workload listings.
Suspense Reinstate Daily Batch Adjust Reinstates	OEEAS	SRDBAR processes suspense reinstates and MEF adjustments. It creates daily output to update the MEF.
System Planning and Reporting System	OEEAS	Supports the DCS ITAB process. Allows for entry of proposals, administration of approved projects and a reporting system.

Application Information Report

Name	Owner	Description
Systematic Alien Verification for Entitlement	OSES	SAVE Web Service Process is a middleware application that will allow SSA employees to access data from the Department of Homeland Security's SAVE Web3 application through the SS-5 Assistant application developed by Office of the Deputy Commissioner for Operations (DCO) New York Regional Office (RO)
Systems Integrity Fiscal Totals	ORSIS	System Integration Totals - generates fiscal control totals for prior and current month accruals, hold checks and Medicare totals.
T16 eCOMP	OASSIS	SSI eComputations is an intranet application to assist Field Office users with manual SSI computations.
T16 Interactive Comps	OASSIS	Calculates SSI Deemed income and benefits.
T2 Alerts/Exceptions Print Process	ORSIS	PE Service & Control Offline Intercept Operations - batch Alerts printed in field offices daily.
T2R Statistics	ORSIS	Provides daily, monthly and yearly counts for processing results by type of T2R actions via the Intranet.
Target Notice Architecture	OESAE	TNA functions as a utility to format automated notices and documents, provides a repository for language/text used in TNA's automated notice processes.
TATTER Dib Cess Notices	ORSIS	Produces notices for TATTER Dib Cess actions.
TAX LEVY	ORSIS	CICS data collection for IRS Tax Levy data. Sends transactions to Title 2 for processing. Records results of T2 runs on the Data Base and pays IRS the withheld money.
Tax Levy Notices	ORSIS	Produces notices for Tax Levy System actions
Telephone Benefit Verification Letter	OSES	This application allows a beneficiary to request a proof of income letter over the 800 Number.
Telephone Knowledge based 1099	OSES	Use an 800 number to call in a request for a replacement SSA-1099 or 1042S (for non-citizens/non-residents). The replacement SSA-1099/1042 is sent by USPS within 30 days.
Telephone Knowledge Based Change of Address	OSES	Use the Telephone for your 'Knowledge Based Change of Address'
Telephone Knowledge Based Claim Status	OSES	Use an 800 number to call in to check the status of a previously submitted claim
Telephone Knowledge Based Direct Deposit	OSES	Use the internet to setup or change your 'Direct Deposit' payments.
Telephone Knowledge Based Screen Splash	OSES	Screen Splash allows callers to the SSA 800 # to receive faster account-related service by entering their personal information, such as name and date of birth, using speech telephony technology before speaking with an 800 Number agent.
Telephone Knowledge Based Wage Reporting	OSES	Telephone application that uses knowledge based authentication. User is connected to SSA over the phone via Verizon. User input is received via the phone and no user interface is involved.
Telephone Medicare Replacement Card	OSES	Allows the beneficiary to request a replacement Medicare card over the 800 Number.
Telephone Number Employee Verification	OSES	Allows users to conduct SSN verifications over the telephone. The application uses all of the same back end code as SSNVS. In addition, the application also uses a name recognition service to improve accuracy of the voice recognition used when the user speaks
Telephone Password Based Change of Address	OSES	Use the telephone for your Pin Password 'Change of Address'
Telephone Password Based Direct Deposit	OSES	Use the telephone to start or change your 'Direct Deposit' payments

Application Information Report

Name	Owner	Description
Telephone Password Check Your Benefits	OSES	Provides Title II and XVI recipients query of their account information.
Telephone PIN/PASSWORD	OSES	Allows beneficiaries to request an ACU pin and password
Terminating, Attainments, Transfers, and Terminations	ORSIS	This system builds MBR updates for DIB Cessation, Extended Period of Eligibility, Provisional Payment transactions and Expedited Reinstatements (EXR) .
Third Party Payment System	OEEAS	The Third Party Payment System (TPPS) is a register of paper checks that are known as Third Party Drafts. These drafts are issued to vendors for goods and services, to SSA employees for reimbursement of payments and to beneficiaries for Programmatic Emergency and Immediate Payments.
Third Party Query System	ORSIS	Third Party Query (TPQY) allows State, county welfare, local housing authorities, private sector landlords, medical providers and other requesting income or health maintenance offices to obtain additional benefit information from the Social Security Administration. For the most part, this involves verification of current benefits or dates of entitlement for applicants or recipients of State programs (AFDC, food stamps, etc) who may be eligible under Title II (Retirement, Survivors and Disability Insurance), Title XVI (Supplemental Security Income) or Title XVII (Health insurance) of the Social Security Act.
Time Allocation System	OEEAS	Provides workpower data at the lowest level
Title II Account Database Update System	ORSIS	To update the Title II Online Account Data Base.
Title II Common Data Collection System (EE Common Screens)	ORSIS	This system contains the screen processor and transaction supervisors of screens which collect and update common data associated with the client or a Title 2 person.
Title II Redesign Infrastructure	ORSIS	Post-Entitlement action processing for Title 2 claimants.
Title II Redesign Notices	ORSIS	Produces notices for T2R actions
Title II SUMMARY	ORSIS	Title II processing Summary Business Function. Develops Paid versus Payable, which identifies new overpayments and underpayments. Processes Bene netting to include overpayments and underpayments Develops Household netting of overpayments and underpayments. Adjusts the MBA for Garnishment by calling the Garnishment Data base. Pays Lump Sum Death Payments when Entitlement and Eligibility determines that payment is due. Matures timely BOUDS. Posts new overpayments. Supplies additional interim data to Notices regarding overpayments. Processes Maturing actions i.e., Advance file award maturities and matures deferred payment dates in special payment data and processes redefferrals for Part B SMI premiums. Reacts to changes in Shadow Data that Enrollment, Entitlement and Eligibility, and Rates have applied to the Shadow record. I.E. reacts to MBA changes that are applied to Shadow history and date and RFD changes applied to shadow history determined by Entitlement and Eligibility. Builds MBC by applying all deductions to the MBA, i.e. SMI (including HSA paid payable and PINQ), Garnishment, Tax Levy and applies rounding provisions, builds rounding and SMI bit codes and BPD in
Title II Transaction History Query	ORSIS	T2 Transaction Data History

Application Information Report

Name	Owner	Description
Title II Windfall Accounting	ORSIS	Windfall offset keeps track of windfall amounts and return of that windfall to TRUST FUNDS
Title II Workload MI	ORSIS	Read the MCS IDMS database, create and store records in DB2 database. Generate all Title II Management Information.
Title XVI Database Extraction/Selection System	OASSIS	SSI database selection processes.
Title XVI Enforcement (MEF)	OASSIS	The Wage Match (IC/WM) run processes input from MEF in March and September of each year. During these months OCSE wage, unemployment, IRS 1099 and IRS Pension data are processed also. Once this data is processed, diaries are posted to the SSR. They are as follows: IRS PENSION (5H) MEF (K6 AND K7) OCSE WAGE (52) OCSE UNEMPLOYMENT (US) IRS 1099 (5B POSTED IN REDETERMINATION RUN)
Title XVI Summary Counts (DOWR Counts)	OASSIS	Data from Exception Control is summarized into categories and fed to the Data Warehouse to provide receipts, clearances, and pending counts data for the MI Central Report DOWR.
Tivoli Auto-Discovery for zOS	OTSO	TADz is a IBM COTS package which provides inventory and usage data on all Mainframe based software applications. This is used by DMRA COTRS to ensure software utilization and license compliance
TopSecret Administrator Screen Support	OTSO	Top Secret Administration Screen support
Totalization Data Exchange	OEEAS	The Totalization Data Exchange(TDEX)project is an exchange of death data between SSA and foreign totalization countries.
TR Split/Foreign Service	ORSIS	This system controls how data is split and distributed to different systems. TRSPLIT FAN CICS Traffic output. Adds a routing indicator and region to the header of the record. Valid records are split into various output files which are processed by various systems
Training Online Nomination System	OEEAS	TONS is the Social Security Administration's Training Online Nomination System. It enables the user to create and process training nominations for individual or groups of employees.
Transaction Control System	ORSIS	Control the volume and types of transactions directed to the AJ53 PE object program. Control recirculation of AJ53 transactions. Direct 4648 input to SSACCS, MCS and PE. Gather together FALCON and other CICS inputs, build finders for PE. Sweep and consolidation
Travel Manager	OEEAS	Enter travel documents - authorization, local vouchers and vouchers. Sign and approve documents electronically. Create transactions for the Financial Accounting System (FACTS) to obligate funds and reimburse the traveler for travel expenses.
Treasury Check Information System	OSES	The Treasury Check Information System (TCIS) is a replacement for the Check Payment and Reconciliation (CP&R) System. TCIS records and reconciles the worldwide issuance and payments. SSA collaborates with this system to verify payments.
TREASURY Data Exchange Service	OTSO	Payment Files to Treasury
TREASURY OPERATIONS	ORSIS	These Operations send data to TREASURY via Connect Direct in order to MAKE or WITHHOLD Payments of SSA BENEFITS.

Application Information Report

Name	Owner	Description
UniForms	ODS	UniForms (formerly Enterprise Solution eForms) will be the agency's way of accessing electronic versions of forms. This will be a user friendly application with access to forms capable of being saved, sent, fillable, signable, uploadable to the EF, and available to other applications.
Unverified Prisoner SSN	OEEAS	Identify correct identities for prisoners that are unverified by the EVS system.
Validation Planning System	OESAE	The VP System, developed by the Division of Validation and Testing Technology (DVTT), provides an automated tool for preparing validation plans (VPs). The system includes: A central database of VPs; Electronic VP approval; Capability to request actions on the VP using the integrated messaging feature; Capability to place approved VPs on the DVTT web page; Formatted print of the VP; Links to procedures on the DVTT web page; A method to collect and display comments; An audit trail of actions taken; Ability to indicate VP attachments and make them visible to other users; and Assignment of edit/release permissions by the VP author.
Verifications Account Management System	OEEAS	This is a web based intranet application that manages information about valid users of the Enumeration Verification System (EVS).
Veterans Administration	ORSIS	Reads extract file from VA compares against MBR and matches are sent back to VA
Veterans Administration System - VA PRE- EDIT	OEEAS	VA processes each monthly file from the Veterans Administration (VA) to ensure valid data is being received.
Veterans Benefit Administration Query	OEEAS	SSA field office staff have read-only access to the VA BIRLS database to verify military discharge information necessary for claims processing. The VBAQ can be found on the Data Exchange Query Menu (DXQM).
VIEWS - Agreement Workflow Tool	OEEAS	This is a web based INTRANET application that electronically controls the workflow for preparing a reimbursable agreement and routing the agreement through the various approval and sign-off steps.
VIEWS - Data Exchange Inventory	OEEAS	This application houses factual information about each of the Data Exchanges that are currently occuring in the agency with federal, state, international, and private entities.
VIEWS Central	OEEAS	This is a web site where users can obtain user guides for the Agreement Workflow Tool application and get information about VIEWS.
Visitor Intake Process	ORSIS	This is an effort to re-architect the existing Visitor Intake Process (VIP) client-server application into an enterprise level application. VIP manages appointment and walk-in traffic for the Field Offices (FO) and assigns them to the FO staff in an effective way to minimize the wait time of the users. The VIP process also includes a public interface kiosk that collects visitor information for use by the VIP database.

Application Information Report

Name	Owner	Description
Visitor Intake Process - Rewrite	ORSIS	VIPR is an intranet application that will serve over 1300+ field offices in and around the United States. This application will re- architect the existing client server application (VIP) into an enterprise level application. VIPR will assist in the management of appointments and walk-in traffic for the field offices and assign them to the FO staff in an effective way to minimize the wait time of the users. The VIPR kiosk is the public interface that collects visitor information for use by VIPR.
Visitor Intake Process Kiosk	OSES	The VIPr Kiosk application is designed to collect information directly from SSA customers visiting field offices to better manage the workflow within the field office. The VIPr Kiosk application is one of two applications in development under the umbrella of the Visitor Intake Process Rewrite VIPr project.
Vital Signs and Observations Reporting System	OESAE	VISOR is a web-based application that provides top-level Deputy Commissioner for Systems (DCS) management and others with a "quick glance" of the general "health" of projects. The key areas include scope, schedule, status, resources and risks. The application displays both, Executive Oversite (EO) and non-EO data for Development, Planning & Analysis, Maintenance, Cyclical and NCC releases.
Vocational Rehabilitation Reimbursement Management System	ORSIS	The Vocational Rehabilitation Reimbursements Management System is a case processing application supporting SSA reimbursements to State Vocational Rehabilitation Agencies (VRAs) for services the VRA provided to our recipients.
Volume Death	OEEAS	The system creates a death master file.
WC/GP Common Screens	ORSIS	This system supports common T2 data collection for Worker's Compensation/Public Disability benefits and Government Pension Benefits for processing of T2 benefits.
Web Time & Attendance	OEEAS	webTA is a web-based, Automated Time & Attendance System (ATAS) that is intended to replace the current Mainframe Time & Attendance System (MTAS)
Web-based Systematic Alien Verification for Entitlement	OSES	I-Main SAVE is a data exchange connection between the Department of Homeland Security and SSA using I-Main as the authentication tool to access the DHS SAVE application to obtain primary verification on immigration documents and determining an alien applicant's immigration status.
Websphere MI Architecture	OSES	We do not have a "front end" module in MKS for MIAR. It isn't in any way similar to a CICS application that would have had a "main menu" or other such "front end" program, the closest we could come to naming a front end to miar is the JSP that is the page for viewing the report index - that would be ReportingEngineWeb/jsp/EmisIndex.jsp Miar has more functions than just the reports, and there are JSP's and controllers for them as well.
Widows Notices	ORSIS	Produces notices for widows with possibly higher benefits due on their own account. Runs twice yearly.
Windfall Elimination Provision/Government Pension Offset	ORSIS	

Application Information Report

Name	Owner	Description
WMI for IC and Appeals	OASSIS	Legacy WMI IC and appeals batch programs and CICS screens.
Work Experience Reporting System	OEEAS	This an MI data capturing and reporting system. WERS is used to determine workload volumes and the amount of time needed to process items in each workload category.
Work Measurement Transition	OEEAS	This is a mainframe/intranet application that collects and stores MI on work counts, work sampling and staffing hours. Specifically, WMT provides DOWR, DOWS and staffing and hour data that are accessible via standard reports on MI Central or via ad-hoc query
Workers Comp Query	ORSIS	Queries the Workman's Compensation Database and returns a query display that is supposed to look like the WC DATASHEET. Response can be returned to the screen or sent to a printer. Queries just read the WC data and displays the info. No batch processing included
Workers Compensation Redeterminations	ORSIS	Identify cases where the triennial redetermination of the Annual Current Earnings (ACE) in Workers Compensation cases should be performed.
Workload Management System for Debt Management	ORSIS	Provides totals for the online Debt Management System
Workload Management System for Post-Entitlement System	ORSIS	Provides totals for the Post-Entitlement Online System
Zip Code/District Office Code/State and County Code Tables	ORSIS	Maltains the District Office codes and State/County codes by Zipcode.
Zipcode Maintenance Operations - MBR	ORSIS	The Zip Code Management System is used to validate Zip Code data for all address changes and to perform mass Zip Code updates as required. The system uses the vendor supplied ZIP+4 software (FINALIST) provided by the Pitney Bowes Corporation to obtain a code.
Zipcode Maintenance Operations - SSR	OASSIS	Correct ZipCodes on the SSR and produce report for postal discount.

Kelly Croft Attachment #2

Cloud First Plan

(Revised and Updated)

December 2, 2011

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1. Executive Summary

In December, 2010 Vivek Kundra published his Twenty-Five Point Plan for Reforming Federal IT Management. In that Plan, OMB mandated that:

> Each Agency CIO will be required to identify three "must move" services and create a project plan for migrating each of them to cloud solutions and retiring the associated legacy systems. Of the three, at least one of the services must fully migrate to a cloud solution within 12 months and the remaining two within 18 months.
>
> Each migration plan will include major milestones, execution risks, adoption targets, and required resources, as well as a retirement plan for legacy services once cloud services are online.

In February, 2011, the Social Security Administration (SSA) submitted its original Cloud-First Plan to OMB and identified three initiatives that the Agency planned to migrate to a cloud solution or that represented an extension of, or enhancement to, an existing cloud solution:

- CARE Through 2020
- eMail Services
- eFOIA

Due to subsequent budget developments and additional analysis, SSA is removing eFOIA and the Agency's eMail services from its Cloud-First Plan at this time and substituting the eVerify and American Association of Motor Vehicle Administrators (AAMVA) solutions for its Cloud First Plan. This decision is based on multiple factors in each case.

eFOIA

An automated electronic system (eFOIA) supports SSA's management of its obligations under the Freedom of Information Act (FOIA). The Agency's staff use the eFOIA system to process requests and administrative appeals within the timeframes mandated by the statute and to minimize backlogs at the end of each fiscal year. The existing eFOIA system is an internally developed and maintained system that uses Global 360 (G360) – a custom tailored, commercially available software (customized COTS) solution. Software licenses and associated infrastructure are supplied under existing, competitive-procurement vehicles. The eFOIA system is based on aging architecture and infrastructure. Future costs are expected to increase and the long term viability of the system will diminish. The existing system needs to be retired as soon as it is feasible to do so. However, it does continue to meet its baseline goals and to deliver its expected benefits.

In expectation of a near-term replacement of the Agency's existing eFOIA system, SSA personnel evaluated the five-year life cycle costs of seven options/alternatives to the existing system. Cost estimates for the proposed alternatives were based on market research of the potential offerors specializing in FOIA COTS. In addition, SSA evaluated each of these alternatives on the basis of qualitative measures.

This analysis indicates that a COTS product – which could be deployed under one of multiple cloud-based model options – would have the greatest qualitative value for the Government. SSA understands that other Federal agencies (e.g., HUD and VA) have developed and/or deployed an eFOIA system that might, with minimal adaptation, meet SSA's existing and future needs. It was further noted that such an approach would be fully consistent with OMB's Cloud First policies.

However, severe limitations in funding and staff resources necessitate suspending the project for FY 2012. SSA's existing eFOIA system continues to meet its base requirements and the Agency has no alternative but to allocate its limited resources to other initiatives that have more critical or urgent needs and that must therefore take a higher priority.

eMail Services

Subsequent to submission of SSA's original Cloud First Plan, additional planning and analysis concluded that the Agency's existing eMail services are not a good candidate (at this time) for migration to a public cloud model for several reasons:

- They are deeply integrated with other services applications, processes and functions – including identity verification services, user authentication and authorization services, access controls, collaboration and communications services, etc.;
- They are an integral component of SSA's unified communications service strategy and architecture;
- They are used for mission-critical case processing management services and functions;
- Users and user groups are not well segmented with common requirements within each segment – a basic requirement for successful migration to a public cloud solution;
- Personally identifiable information (PII) – some of which includes highly sensitive medical records – cannot be exposed to a potential breach of privacy by allowing such information to reside anywhere other than within SSA's own environment;
- SSA's existing eMail service cost less than the projected costs for similar services from a public cloud provider.

SSA will continue to extend and enhance its eMail services within the context of its broader unified communications suite of services. These ongoing activities extend beyond the timeframes specified by OMB in the 25 Point Plan. Accordingly, the Agency must withdraw eMail (as a stand-alone utility) from consideration as a Cloud-First initiative.

SSA is continuing its implementation of CARE Through 2020 – a cloud telephony service that will significantly enhance the Agency's public services.

To replace eFOIA and eMail services as Cloud First initiatives, SSA identified two other initiatives, each of which is a component of the Agency's SSN Verification Services. These initiatives are described in the relevant section below.

SSA's Overall Cloud Computing Strategy

SSA considers the advent of Cloud Computing as an effective and evolutionary model to enhance and extend the information and IT services it delivers to its end-users, business partners, and customers. Going forward, SSA's strategy is to adopt Private Cloud Computing as the model that is most consistent with its mission and its business operations models. This strategy allows SSA to leverage Cloud Computing in order to extend the service capabilities of its existing IT environment. The use of the Cloud Computing model – consistent with the Agency's risk management framework and its certification and accreditation standards – is encouraged within the framework of SSA's centrally managed enterprise architecture governance as well as its IT service acquisition and source selection processes.

- The Agency's current security controls and standards will continue to apply – no matter what hosting/sourcing decision is being made – i.e., whether IT services are being delivered through the Agency's internal, private cloud; through an external, public cloud; or through some hybrid combination of both.
- SSA's Cloud Computing strategy will continue to address relevant statutory and policy requirements associated with Federal IT systems – including IT security and risk management; privacy; data integrity; legal issues (e.g., Terms of Service); records management; OMB and NIST guidelines and recommendations; and other applicable requirements.

SSA's commitment to protecting personally identifiable information (PII) remains a key component of the Agency's Cloud Computing strategy and is built into the operation and management of its existing private cloud services environment.

2. Background

SSA is utilizing Cloud Computing as an effective and evolutionary model to enhance and extend the information and IT services it delivers to its end-users, business partners, and customers.

SSA is a single-mission Agency. Its core business processes (i.e., Enumeration, Earnings, Claims, Post-Entitlement, Informing the Public, and Identity/SSN Verifications) are tightly inter-woven. They are also highly complex in their information flow and relationships. The data and information requirements of these core business processes, and their mutual inter-dependencies, require an IT service environment that provides information and services based on common platforms, re-usable service modules, robust any-to-any network systems and back-end IT infrastructure. Additionally, given the sensitive nature of the highly personal information and data within SSA's systems of records, data integrity and security as well as the protection of individual privacy are critical IT service requirements.

The design and management of SSA's IT service environment have evolved over time. As a result of that evolution, the environment has substantially taken on the characteristics of a Private Cloud Computing model as defined by the National Institute of Standards and Technology (NIST):

- Utilizing SSA's IT services environment, end-users do not need to determine their exact resource requirements. Through secure access to the Agency's network systems, they are provided the necessary communications and computing resources they require, on demand;
- Through effective monitoring systems, load-balancing mechanisms and automatic failover capabilities, the design and operation of SSA's IT infrastructure and platforms – hosted in two highly virtualized data centers – provide for streamlined and optimized resource utilization and management;
- IT service resources are pooled to a significant degree. They are shared across large numbers of application and organizational configurations and serve a broad spectrum of service consumers;
- SSA's Service Orchestration and Management model leverages SSA's highly configured and largely virtualized data centers, allowing the Agency to consolidate workloads and applications on a centrally managed and operated IT infrastructure;
- The capacity of network and telecommunications systems and computing services is provisioned to respond to variations in demand across programmatic and administrative applications;
- Systems capacity requirements are efficiently planned for, and pro-actively acquired, to meet increasing workload demands through effective management of Resource Allocations and Controls;

- Redundant resources support high availability and reliability as well as to provide IT operational assurance, even in the event of a catastrophic outage within a specific data center.

SSA's IT services are centrally managed through:

- Deployment, configuration, management and operation of programmatic and administrative software applications in such a manner that these services are provisioned at expected service levels;
- Management of computing services, storage, and network systems infrastructure and platforms such as servers, databases, runtime software execution stacks, and middleware components;
- Provision of integrated pre-production environments for both programmatic and administrative application development, validation and testing;
- Change Management and Production-Release Management processes applied to infrastructure, platforms, applications and services;
- Provisioning and acquisition management of mainframe, open/distributed servers, network system components, storage, and application and database hosting infrastructure;
- Provisioning and management of a robust Security and Privacy architecture for the protection of SSA's sensitive and personally identifiable information (PII).

The SSA community represents multiple groups of service consumers/end-users with many needs and requirements. SSA accordingly delivers a broad range of IT services that are carefully orchestrated to meet the needs of each of these groups. SSA's end-users, partners and customers have a broad range of network access options to obtain an equally broad range of IT services and computing capabilities tailored to their specific needs. Services are provided on demand (as appropriate) at each of the service layers to which the individual end-user or customer has access.

To a substantial degree, the Agency's IT resources are pooled to meet the needs of these multiple users. Through the deployment of load balancing and automatic failover capabilities, IT resources can be dynamically allocated to adjust to variations in peak end-user/customer demand. SSA's IT service capabilities – particularly within its highly virtualized mainframe environment – can be rapidly and elastically provisioned. SSA's various cloud systems monitor, control and optimize IT resource utilization.

The following are some of the services SSA currently provides to its end-users, customers, or business partners:

- Programmatic application services directly associated with SSA's core business processes;
- A unified communications suite including eMail, video-teleconferencing, video training, collaboration environments, etc.;
- Document Management Services;
- Office Productivity and Workload Management Services;
- Integrated Case Processing Management Services;
- Communication and Collaboration Services;
- Remote Access Services;
- Project Management Services;
- Business Intelligence Services;
- Financial Management Services;
- Database Access and Management Services;
- Application Development, Validation and Testing Services;
- Application Deployment Services;
- Integration and Interoperability Testing Services;
- Disaster Recovery Services;
- Backup and Recovery Services;
- Information and Data Storage Services;
- Platform Hosting Services;
- Computing Services;
- Identity Verification Services; and
- Authentication Services.

SSA has substantially improved resource utilization; streamlined demand management; increased the availability, reliability and responsiveness of the services it delivers. The evolution of SSA's shared-service IT environment toward a Private Cloud Computing model has allowed the Agency to capitalize its benefits in terms of efficiency, agility, and innovation. By further leveraging Private Cloud Computing principles, SSA will continue to exploit significant economies of scale, provisioning its IT resources to meet increasing service delivery demands with minimal overhead while leveraging the underlying capacity of the Agency's enterprise-level IT resources through a state-of-the-art network architecture.

3. SSA's Cloud Computing Strategy

SSA is adopting a Private Cloud Computing model because it is seen as most consistent with its mission and its business operations models. This strategy allows the Agency to effectively leverage the Cloud Computing model in order to extend the service capabilities of its existing IT environment. Resources permitting, SSA's planned Cloud Computing initiatives include, but are not limited to:

- Further enhancing dynamic scaling capabilities and processing capacity provisioning by continuing with network virtualization and server virtualization/consolidation initiatives;
- Incorporating highly sophisticated technological enhancements to the IT infrastructure, systems and platforms – including statelessness, low coupling, modularity, and semantic interoperability;
- Improving the provisioning, performance, agility, resilience and scalability of SSA's network systems through unified cabling infrastructure, and network convergence and virtualization;
- Enhancing IT service measurement capabilities through greater instrumentation of the infrastructure and the applications, data and services it supports.

SSA will continue to ensure that existing mission-critical services, strategic goals and business operation requirements are delivered at levels that meet or exceed requirements while simultaneously protecting the security, integrity and privacy of information and data assets. The Agency's commitment to protecting personally identifiable information (PII) is a key component of its Cloud Computing strategy.

SSA encourages the use of the Cloud Computing model, consistent with its:

- Risk management framework;
- Certification and accreditation standards;
- Centrally-managed enterprise architecture governance model; and
- IT service acquisition and source selection processes.

SSA's current security controls and standards will continue to apply – no matter what hosting/sourcing decision is being made – i.e., whether IT services are being delivered through the Agency's internal, private cloud; through an external, public cloud; or through some hybrid combination of both. The Agency's Cloud Computing strategy must continue to address relevant statutory and policy requirements associated with Federal IT systems – including IT security and risk management; privacy; data integrity; legal issues (e.g., Terms of Service); records management; OMB and NIST guidelines and recommendations; and other applicable requirements.

Multiple strategic and operational considerations will govern the way SSA leverages and extends the capabilities of its existing IT environment as it continues its migration to a Private Cloud Computing environment:

Workload Optimization

SSA's computing services platform and its network infrastructure will be configured for optimized workload management.

- Mainframe and distributed platform environments will continue to leverage their respective strengths;
- The mainframe platform will continue to be favored for dense, mission-critical, high volume batch operations;
- Applications will be hosted on the platform most suited to the data they must access and the type of work (I/O, user interface, transaction-based) they must perform;
- State-specific applications are being consolidated or replaced in favor of Service Oriented Architecture (SOA) model services that can be reused and assembled to suit state-specific processes;
- Distributed platform components will continue to be virtualized and consolidated to provide higher levels of availability, resource utilization, and elasticity of capacity.

IP-based Network Service Delivery

The Agency's any-to-any, dual-stack, IPv4/IPv6 network architecture will continue as a hybrid public/private cloud infrastructure.

- Network systems will converge toward a single infrastructure supporting data, voice, and video traffic;
- Utilizing the Internet Protocol (IP), the Agency's converged network will provide enhanced features in terms of telephone services, video capabilities, and data exchange and analysis.

Utilization of Public Cloud Resources Where Appropriate and Cost Effective

Sourcing options for the delivery of IT services include consideration of critical requirements. SSA continues to include consideration of cloud-based services that may be more cost-effectively delivered through an external resource – either another Government Agency or a commercial provider/vendor, as long as:

- There is no Personally Identifiable Information (PII) or other mission critical data involved;

AND

- The choice of a public/hybrid cloud model is cost-effective with a clear and demonstrable Return on Investment (ROI) to the Agency.

As with any IT service/sourcing project, the use of public or hybrid clouds requires a formal cost-benefit analysis to demonstrate a positive value (i.e., return on investment (ROI)) as well as appropriate security and privacy review and approval where PII may be a concern.

Utilization of Technologies Related to Cloud Computing

SSA's IT planners and engineers continue to focus their efforts on evaluating and deploying enhanced IT solutions that leverage network-delivered, web-based services to users and to the public through a broad spectrum of end-user devices and network interfaces.

The Agency's existing IT environment will continue to leverage the benefits of virtualization, consolidation, and workload optimization to increase resource utilization and processing efficiency.

On an ongoing basis, the Agency will continue to enhance the flexibility and agility of its existing IT services and infrastructure through deployment of new technologies as they are found to support and enhance SSA's service delivery models and channels.

SSA continues to evaluate IT services and business operations activities to identify those that that might be better provided by external partners whose services and capabilities meet the specific requirements of the Agency and the Federal Government at large. This evaluation focuses on areas where the existing IT environment is not well suited to meet exigent demands.

Leveraging Cloud-based IT Service Delivery and Management

- IT operations management will continue its emphasis on service delivery and management.
- New and evolving technologies will be evaluated and deployed based on their value in enhancing and extending the services provided to SSA's end-user communities.
- Consideration and evaluation of IT service delivery include an assessment of activities or services that might be good candidates for greater standardization, outsourcing, and/or deployment within a Cloud Computing service model.
- Consideration of Cloud Computing resources will continue to represent one of the available means to provide, extend and enhance high quality IT services to the Agency's end-users.

Implementing Cloud-based IT Acquisitions Policies and Procedures

- IT acquisition and sourcing policies and procedures ensure that valid and demonstrable business value remains the foundation for all decisions regarding the deployment of IT services and solutions (including those that are cloud-based).
- The development, acquisition, and deployment of IT solutions and services will continue to be based on robust and mature business value considerations – specifically a thorough analysis of costs, benefits, and expected return on investment (ROI).
- While SSA's IT services environment is highly cost-effective, senior managers and Agency executives continue to evaluate IT-related proposals in terms of the most cost-effective delivery model and will consider the costs and benefits of Cloud Computing solutions within strategic planning and source modeling.

By coordinating these strategic elements within planning and IT service delivery and operations management, SSA expects to continue to reap the benefits of the Cloud Computing model.

4. Designated Cloud-First Projects

In response to OMB's December 2010 directive, SSA has identified three initiatives, which are described in the following sections.

4.1. CARE Through 2020

On September 30, 2010, the CARE Through 2020 contract was awarded to at&t. CARE Through 2020 is a cloud telephony solution that is replacing National 800 Number (N8NN) and the Call Center Network Solution (CCNS). CARE Through 2020 allows SSA to achieve a number of economies by consolidating the two existing contracts into a single acquisition vehicle.

CARE Through 2020 is being deployed to provide and enhance the telephone services the Agency provides to the public. The initial deployment of CARE Through 2020 will provide a one-for-one/like-for-like replacement of current features and capabilities of the existing N8NN system. It also provides a platform that will enable the future deployment of additional features as they are approved and funding is available. The infrastructure for the CARE Through 2020 system is being deployed on the contractor's network and is flexible enough to support future computer-telephony integrated (CTI) services, such as click to talk, web co-browse, and web chat technologies. These services will significantly increase the public's options to interact with the Agency's contact centers.

The public cloud services architecture of CARE Through 2020 includes:

- A vendor-hosted IP voice call/contact center;
- All functionality currently provided by FTS2001 and CCNS;
- Approved new functionality as offered in SSA's Telephone Services Strategic Plan;
- Capability to integrate additional agent contact channels upon approval of funding.

Scheduled implementation of CARE Through 2020 is on target for completion in the May/June, 2012 timeframe.

Major Milestones

SSA's original Cloud Computing Strategy Plan projected that the initial rollout of the CARE Through 2020 project would be completed by the end of December, 2011. However, issues related to the final contract award delayed the start of the project. As a result, the current projected date of completion is the third quarter of FY 2012 (i.e., approximately the May/June timeframe).

Execution Risks

- Internet Data Center construction incomplete or not-operational
- Scope Change Requests
- Supporting application development and testing incomplete
- Management information systems incomplete

Lifecycle Cost Estimate

• Initial Acquisition:	$ 20,674,000
• Transition Costs:	$ 38,381,000
• FY 2012 Operations & Maintenance:	$ 58,088,000
• FY 2013 Operations & Maintenance	$ 59,290,000
• FY 2014 Operations & Maintenance	$ 60,635,000
• FY 2015 Operations & Maintenance	$ 62,754,000
• FY 2016 Operations & Maintenance	$ 64,941,000
• FY 2017 Operations & Maintenance	$ 67,215,000
• FY 2018 Operations & Maintenance	$ 69,571,000
• FY 2019 Operations & Maintenance	$ 71,997,000
Total	$573,546,000

NOTE: SSA's initial cost estimate for CARE Through 2020 ($ 630,344,000) included $56,798,000 Operations and Maintenance costs for FY 2011. Because of delays in contract award, the transition period was extended into FY 2012. The estimate above does not therefore include the planned FY 2011 Operations and Maintenance costs.

Legacy Retirement Plan

With the deployment of CARE Through 2020, SSA's existing N8NN and CCNS solutions will be retired in favor of the single, streamlined service.

4.2. eVerify High Availability Platform

eVerify provides employers (and certain others) an automated link to federal databases to help employers determine employment eligibility of new hires and to ensure the Social Security number matches the employees name. It is currently free to employers and is available in all 50 states. eVerify is operated by the U.S. Citizenship and Immigration Services (USCIS) – a component of the Department of Homeland Security (DHS) – in partnership with the Social Security Administration (SSA).

In operational terms, DHS/USCIS provides eVerify's front-end interface with the customer (i.e., the employers and certain others). SSA provides DHS/USCIS the back-end infrastructure and database systems that actually perform the verification. This back-end infrastructure, platform and software/database system is comprised of a physical layer and an abstraction layer. The physical layer is designed to provide load balancing between SSA's data centers and features fully automatic fail-over, dynamic capacity allocation capability, etc. This back-end infrastructure is accessed by DHS/NSCIS over a secure Internet connection. The abstraction layer is designed to support the software and database systems that operate across the physical layer (i.e., the hardware and network connections).

A Service Level Agreement (SLA) between SSA and DHS/NSCIS governs the operation of this verification service. The latter Agency reimbursed SSA for the design, construction and deployment of the isolated environment in which the back-end eVerify system operates. It reimburses SSA on an annual basis for maintenance, operations and administration of the system.

SSA has completed the deployment of a second eVerify node in its Second Support Center (SSC) to enhance the availability, performance and reliability of the services provided to DHS/NSCIS. The creation of this second node in a geographical dispersed location eliminates planned downtime and enhances the performance availability and reliability of the system.
The implementation of this project was completed in January, 2012.

Major Milestones

- Target Architecture Design Completion: 06/30/2010
- Complete Required Hardware/Software Acquisitions: 11/30/2010
- Begin Construction of Integration Region on High Availability Sysplex: 12/01/2010
- Begin Construction of Production Region on High Availability Sysplex: 12/11/2010
- Complete Migration from MISF to HAF/iHAF: 01/15/2011
- Verify operational status on HAF/iHAF: 01/17/2011
- Configure Global Load Balancing: 01/22/2011
- Evaluate Performance and Response Times: 01/31/2011

Lifecycle Cost Projections

SSA's life cycle cost estimate for fiscal years 2010 through 2015 of almost $66 million includes:

- Approximately $14 million in costs that have already been incurred for developing the Isolated Environment, which was designed for dedicated use by DHS;
- $18 million for fiscal years 2010 through 2013 to maintain this system; and
- $34 million for fiscal years 2010 through 2015 to provide administrative support to SSA field offices and a toll-free number to respond to inquiries.

Under the terms of the SLA with DHS, SSA is fully reimbursed for these costs.

Execution Risks

- Production Execution Scripts Fail
- Routing Configurations Fail
- Load Balancing Configurations Fail
- System Migration Failure
- Database Migration Failure

Legacy Retirement Plan

The instances of eVerify in the Integration and Production regions of the MISF have been removed.

4.3. AAMVA/HAVV Verification Services

State Motor Vehicle Administrations (MVAs) which are responsible for the issuance of driver's licenses and state-certified identification cards must verify an individual applicant's identity prior to issuing the license or identification card. To do so, the MVA's must verify the applicant's name, date of birth, and Social Security Number (SSN) with SSA. Similarly, State-level Voter Registration Services require the same type of verification services.

To meet these service demands, under a series of written agreements, SSA and the American Association of Motor Vehicle Administrators (AAMVA) have established cloud-based system that allows state-level motor vehicle and voter registration offices to verify the identity of individuals applying for a driver's license, identification card or who are seeking to register to vote. As with eVerify, AAMVA provides the front-end web-service through which State MVA's and Voter Registration offices are able to access SSA's SSN verification services. SSA provides and maintains the back-end infrastructure and verification services.

A Service Level Agreement (SLA) between SSA and AAMVA governs this SSN verification service. The architecture of the AAMVA platform provides a broad range of features and functionality.

To enhance the availability, performance and reliability of the services provided, SSA is establishing a second AAMVA node in its Second Support Center (SSC. The creation of this second node in a geographical dispersed location provides for automatic load balancing and failover/recovery capability – ensuring the availability and reliability of the system in providing the critical services required by AAMVA and its clients/customers. Additional enhancements to the infrastructure and platform provide greater performance and reduced response times.

The implementation of this project is nearing completion. The second node will be fully operational by January 31,2012.

Major Milestones

- Finalize Network Connectivity Requirements: 06/30/2011
- Finalize Storage Capacity Requirements: 07/15/2011
- Storage installed and configured: 09/30/2011
- Configuration of Integration region completed: 09/30/2011
- Integration region configuration validated and verified: 10/15/2011
- Configuration of Production region completed: 10/31/2011
- Acquisitions/procurements completed: 10/31/2011
- Production region configuration validated and verified: 12/15/2011
- Verification service applications tested operational: 01/31/2012

Lifecycle Costs

There were no new ITS costs associated with this project. SSA utilized existing infrastructure, platform and data service capabilities to provision the second AAMVA node in the SSC.

Under the terms of the SLA, AAMVA reimburses SSA for the costs of delivering this service to AAMVA and its client agencies.

Execution Risks

- Network connectivity is not completed (timely).
- Storage to support the new node is not acquired or installed (timely).
- SSA data processing fails to account for transactions flowing through the SSC.
- NUMIDENT data replication infrastructure incomplete.

Legacy Retirement Plan

Not applicable. There is no legacy system to retire in this instance.

Larry Freed

FORESEE
2500 Green Road
Suite 400
Ann Arbor, MI 48105
USA

t: 734 205 2600
f: 734 205 2601
foresee.com

Kim Hildred
Staff Director
Subcommittee on Social Security
Committee on Ways and Means
U.S. House of Representatives
B-317 Rayburn House Office Building
Washington, D.C. 20515

Dear Ms. Hildred:

I received a letter from Chariman Johnson asking me to send you my response to a follow-up question in order to complete the hearing record for the May 9th hearing on the state of Social Security's information technology.

Chariman Johnson's question was as follows: "You stated in your testimony that the percentage of online sessions that were initiatied from a mobile device nearly tripled in 2011 to roughly 15%. What does this mean for e-government services in the future? What types of government services could be best suited for mobile technology?"

The main impact on e-government services of increased usage of mobile devices is that more and more standard government websites will be accessed from phones, smart phones, and tablets, which will necessitate the translation of most, if not all, government websites to a mobile environment over then next ten years. While many federal agencies and departments have made online citizen satisfaction a priority over the last decade or so, the mobile environment requires a new set of best practices and standards to deliver information and services to citizens on smaller screens. Sites that provide a very satisfying full-size experience may not meet citizen needs when the screen size and content is reduced.

However, agencies can use the same technology they use to measure and improve the online experience for other channels, including mobile channels. The best way to know if mobile sites and applications are meeting the needs and expectations of citizens is to ask the citizens themselves. There are federal agencies who already have mobile surveys in development, and the hope is that as mobile adoption increases, it will become standard practice. It will be critical to provide not only adequate mobile experiences for citizens, but good ones in order to fulfill the promise of cost-savings that mobile can offer. The more ways citizens have to interact with their government electronically, whether it be from a desktop, laptop, smart phone, or tablet device, the less they need to use costlier channels like call centers, branch offices, and the mail. Online and mobile services also increase efficiency in terms of updating information and communicating with the citizenry.

As for what kinds of government services are best-suited for the mobile environment, in truth, they all are. Mobile is just another delivery mechanism for a traditional website, so any government information or service that is available on a website (which is just about all of them), is going to see more and more access via mobile device whether or not it is particularly well-

suited for the mobile environment. Because the mobile environment is smaller, many consider it to have substantial limitations. This is another reason to use voice-of-citizen feedback to find out which capabilities should be prioritized as the federal government continues its translation to mobile.

I would be happy to talk further with you, Chairman Johnson, or any of the other members of the House Subcommittee about the growing importance of mobile services.

Sincerely,

Larry Freed
President and CEO
ForeSee

Valerie Melvin

GAO
Accountability * Integrity * Reliability

United States Government Accountability Office
Washington, DC 20548

June 29, 2012

The Honorable Sam Johnson
Chairman
Subcommittee on Social Security
Committee on Ways and Means
House of Representatives

Subject: *Responses to Questions for the Record: Hearing on the Social Security Administration's Information Technology Modernization*

This letter responds to your June 19, 2012, request that we address questions submitted for the record related to testimony that we presented at the Social Security Administration (SSA) oversight hearing on May 9, 2012.[1] At the hearing, we discussed, among other things, SSA's progress in modernizing its information technology (IT) systems and environment. The enclosure provides our responses, which are based primarily on work conducted in support of our previously issued products.[2]

If you have any questions or would like to discuss the responses, please contact me at (202) 512-6304 or melvinv@gao.gov.

Sincerely yours,

Valerie C. Melvin

Valerie C. Melvin
Director, Information Management
and Technology Resources Issues

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[1]GAO, *Social Security Administration: Technology Modernization Needs Improved Planning and Performance Measures*, GAO-12-723T (Washington, D.C.: May 9, 2012).
[2]GAO-12-723T and GAO, *Social Security Administration: Improved Planning and Performance Measures Are Needed to Help Ensure Successful Technology Modernization*, GAO-12-495 (Washington, D.C.: April 26, 2012).

Enclosure

Chairman Sam Johnson

House Committee on Ways and Means

Subcommittee on Social Security

Questions for the Record – May 9, 2012 Hearing

In your statement, you said that Social Security has spent $5 billion on Information Technology (IT) modernization over the past decade.

a. Could you confirm that $5 billion is about 5 percent of the agency's overall operating budget and less than a tenth of a percent of Social Security's total expenditures?

Our work determined that, from fiscal year 2001 through fiscal year 2011, the Social Security Administration (SSA) spent about $5 billion for IT modernization efforts, which included money for enhancements to existing systems and the modernization of legacy application systems (collectively referred to as "development, modernization, and enhancement" or "DME"). As reflected in the table below, the IT modernization expenditures ranged from 3.1 percent to 7.1 percent of the agency's overall operating budget, and constitute 5 percent of the overall operating budget for the 11-year period. Additionally, based on SSA's total reported expenditures for that time period, the $5 billion dollars for IT modernization represented less than a tenth of a percent of the agency's total expenditures.

SSA Modernization Spending as a Percentage of Total Expenditures and Operating Budget (in Millions)

Fiscal year	Overall operating budget[3]	Total expenditures[4]	Total IT modernization (DME)[5]	Total IT modernization (DME) as a percent of overall operating budget[6]	Total IT modernization (DME) as a percent of total expenditures[7]
2001	$7,216	$471,929	$225	3.1	0.05
2002	$7,562	$491,864	$245	3.2	0.05
2003	$7,885	$509,436	$342	4.3	0.07
2004	$8,313	$531,638	$520	6.3	0.10
2005	$8,732	$569,907	$526	6.0	0.09
2006	$9,108	$589,519	$399	4.4	0.07
2007	$9,297	$626,290	$317	3.4	0.05
2008	$9,744	$660,326	$404	4.1	0.06
2009	$10,453	$733,205	$532	5.1	0.07
2010	$11,446	$754,106	$816	7.1	0.11
2011	$11,423	$784,535	$693	6.1	0.09
Total	$101,179	$6,722,755	$5,019	5.0	0.07

[3] SSA Budget FY 2003; Congressional Research Service, *Social Security Administration: Administrative Budget Issues*, August 2009; SSA FY 2013 Budget Justification.
[4] OMB, Budget of the United States Government, Fiscal Year 2013, Historical Tables, Table 5.2 – Budget Authority by Agency: 1976-2017. (http://www.whitehouse.gov/omb/budget/Historicals). About 99% of SSA's total spending is mandatory spending on benefit payments. SSA's administrative spending, which is discretionary, amounts to about 1% of SSA's total spending. See Congressional Research Service, *Social Security Administration: Administrative Budget Issues*, August 2009.
[5] OMB Exhibit 53s; OMB Report on IT Spending for the Federal Government for Fiscal Years 2002-2013.
[6] GAO analysis.
[7] GAO analysis.

Enclosure

b. How does Social Security's spending level for IT modernization compare to best practices for similar entities?

Our work did not compare SSA's spending level for IT modernization with that of similar entities, nor include identifying the appropriate spending levels or the proper mix of modernization as a percentage of the overall operating budget, which would be important to making such an assessment. In this regard, the appropriate level of modernization activities undertaken by any organization depends on a number of variables, such as what system enhancements and accomplishments have already been established, changing technology needs, existing IT infrastructure, and changes in mission needs and requirements. All of these would play a role in assessing the appropriate blend of modernization activities and maintenance efforts.

[Submissions for the Record follow:]

James Strassberger

Submission for Hearing on the State of Social Security's Information Technology

Mr. Chairman, Ranking Member Becerra, and other members of the committee, I very much appreciate this opportunity to submit my views on Information Technology at the Social Security Administration.

My name is James Strassberger; I recently retired after almost 42 years at SSA. I spent the last 17 years working on the "PEBES" system (named for the original Personal Earnings and Benefit Estimate Statement) which provides the data for *Social Security Statements,* for the highly regarded online Retirement Estimator, the new Online *Social Security Statement*, and the "PEBES Query" used by SSA employees in dealing with *Statement* and claims inquiries. I have previously appeared as a witness before this committee in 1987 and 1989 as a representative of the American Federation of Government Employees.

I will discuss concerns about appropriate technology at SSA, such as the question of legacy COBOL systems, appropriate public service decisions related to information technology, and appropriate processes for assessing, evaluating and managing information technology at SSA.

The COBOL and "Big Data" Issues

At the May 9, 2012, hearing, Mr. Freed, of ForeSee Results, presented scores for SSA internet services which showed many were rated as highly as or more so than prominent corporate services. The Retirement Estimator's score was 91 on a scale on which above 80 is excellent. The core functionality for the Retirement Estimator is provided by systems written in COBOL, and in use since 1996 and earlier, including the program built for the 1996 Online PEBES, and used continuously since.

COBOL lacks features of modern languages, but our COBOL programs work. Please consider this: At the height of the Haitian cholera epidemic, a team from an American medical assistance NGO parachuted into the mountains. They jumped from a C-47 from which U. S. troops had jumped over Normandy. Within a limited budget, replacing working technology is not always the wisest investment priority, although often, someone would stand to profit from such a move. The SSA budget creates a zero-sum game. Which field offices should be closed to fund an arbitrary, accelerated replacement of COBOL?

Dr. Scherlis of the Carnegie-Mellon Software Engineering Institute argued for SSA's moving to "Big Data" and a "cloud" of servers. "Big Data" is most useful for searching for patterns and associations to determine such things as the optimal disposition of police patrol cars, and the dynamics of the Chesapeake Bay as derived from millions of measurements of chemical and biological factors. It is also used by Google and Facebook for the processing of personal data which, if done by government, would be illegal without probable cause in a criminal investigation. A specific case for using this technology for maintaining earnings records, adjudicating claims and computing benefits has not been presented.

Public Service Policy Choices within Information Technology

Within the context of IT, whatever the machinery and language, there are more important public service choices. A review of a few of these would be appropriate.

First, the recently implemented Online *Social Security Statement* offers the user significantly less useful functionality than what was built in 1996 and is still readily available. The new system provides an online version of an "SSA Initiated" *Statement*. This uses recent earnings for this year's and future earnings without user input of these facts which are very relevant to benefits. The 1996 system provided an "On Request" version, for which the user can enter Last Year's, This Year's and average Future Years' earnings, and the age the user plans to stop work. For all the discussion of how SSA must move up to offering the public sophisticated services such as they are used to from corporate information systems, why was the public not given a service more responsive to their needs? Consider a person who lost a job near the end of the year before last, was out of work last year and now has a job paying less. The system in place will project the year before last's wages forward until the year before each of the retirement benefit estimates and seriously over-estimate benefits. The over-estimate will be greater the younger the worker is. In addition, the ability to enter a specific age to stop work, perhaps below age 62 for someone laid off, or any personal choice from 63 to 69, is more responsive to individual needs but not available in the current version. Adding the Month of Election for retirement benefits as a separate entry would be a reasonable future enhancement. A user of the new service is not referred to SSA's other, more customizable, estimators.

This is not the only time that information on Statements was compromised by bureaucratic considerations. The Social Security Protection Act (Pub. L. 108-203, at title IV, Secs. 419(a)-(c)) required SSA to provide, "an explanation, in language calculated to be understood by the average eligible individual, of the operation of the [Windfall Elimination Provision (WEP) and the Government Pension Offset]." What was implemented as a bureaucratic choice regarding WEP was a simple selection between two paragraphs, one for those having at least one non-covered wage report, with no consideration, and the other for those having none. I thought that given two years to implement the provision meant that we could research the issues and provide appropriate information based on an intelligent evaluation of the individual's earnings pattern and age. At the time, we found 43.6% of workers had some non-covered employment. Only 1.8% of persons who became entitled in 2002 had a WEP-based benefit computation. No one ever got a pension from on-campus jobs for college students, but such jobs are non-covered work. A person who washed dishes in the dining hall thirty years ago gets the same paragraph as a person who has worked in several school systems, some covered and some not, and for whom intelligent information about WEP would be most useful. The Social Security Advisory Board has also criticized the implementation of this provision.

A proper review of information technology at SSA would be incomplete without discussion of the episode in which the Actuary's originally published computation of the Average Wage Index for 2009 was in error because someone used the online W-2 process to file more than 30 fraudulent W-2's, each claiming wages of almost one billion dollars. Did over-enthusiasm for the internet and for reduction of "red-tape" for small business almost lead to an exaggeration of benefit payments? The subcommittee should learn the disposition of this case and how the miscreant(s) knew it could be done and their motive.

A Process for Effectively Dealing with the Issues

As I cleared out my cubicle before retirement I had to deal with my collection of GAO, OIG and other reports and critiques on SSA systems, going back to the 1970's. The discussions are highly repetitive.

At the May 9th hearing there was considerable emphasis on the COBOL issue. There has been no opportunity for comprehensive consideration of this, unless it is in the now missing technology panel work product. It would perhaps be useful if a proper debate could be had between academic cloud advocates and defenders of SSA's use of the IBM WebSphere environment, which supports integrated COBOL and Java, mainframe and server-based systems and a means for transition. In the 1980's, the congressional Office of Technology Assessment commissioned an independent review of pretty much the same questions as are under discussion now, as they existed then. It included a day-long workshop which allowed for discussion much more revealing than the fault-finding and charge and counter charge process of GAO reports. Having followed these debates for more than 30 years I know that often such reports simply fail to appreciate all the technical and operational issues, and I recall none which took proper notice of the budgetary concerns. Pontifical assertions that, "SSA should …" are proclaimed as if money was not an issue. This is not constructive, as attested to by the fact that it has been going on for decades to little avail.

The recent OIG report specifically on the COBOL includes extensive information on the continued use of COBOL in major corporate financial systems, yet despite this, calls for additional efforts on SSA's part, as if the use of COBOL might allow the filing of fraudulent documents or something.

At the May 9th hearing, Congressman Berg, speaking from his experience with IT in business, made a good point that SSA is different from the private sector where IT development and modernization is done for market share and profitability. He also said that SSA's large internal IT workforce is a "blessing" but they need to be engaged with the outside IT world and "refreshed" with effective training and development. I totally agree. I dealt with these issues extensively in my testimony more than 20 years ago, and again, little has changed. It is this workforce which is responsible for the successes recognized at SSA, often succeeding more despite than because of certain bureaucratic processes and mechanisms. A collective, participative assessment of resource accounting and project management practices (often imposed in response to GAO or OIG criticism), and of the use of contractors (costing 38.6% more per work year than civil servants), and of the training program for systems staff should be undertaken. There are easy and inexpensive ways to do this.

Decades of repetitive agonizing over what SSA should do in managing IT is a function of the fact that the prevailing model for public administration is that "management", operating from various stations in a monolithic bureaucratic pyramid of power, will make "correct" choices about rational comprehensive schemes, and if only they would make correct choices of policy, and rigorously enforce them, all would be well. Higher Monitoring Authorities (HMA's – GAO and OIG) will be deployed from time to time to second guess and hector "management" about its choices, and often demand more and more monitoring and controlling activities. What the taxpayers need is problem solving and creative activities.

A case in point is found in the history of the management of *Social Security Statements.* From the mid 1990's until 2004, this was in the hands of the Earnings Statement Project Team, an unusually collegial inter-component group convened from the Office of Communications. It guided Statements through the original Online PEBES and its demise, studies and pilots of alternative designs, the congressionally mandated Contributions and Benefits Statement project, the development of field office PEBES and

PEBES History queries, the accelerated production of Statements (with dual printing contracts), the sudden bankruptcy of a printing contractor, the Y2K certification of the old PEBES system while developing a totally new system to support the vast increase in *Statement* processing when the population expanded to all persons 25 and older in FY2000. The Team ended about the time of the implementation of the WEP provisions. Since then there has been no comprehensive management of *Statements* as an SSA program. The dysfunctional effect of bureaucratic turf issues and competition was obvious in many incidents over the years; here is one example. The suspension of *Statement* mailings to save money required the abrogation of one printing contract and the bidding and award of another. At the October 25, 2011 post-award meeting it became obvious that SSA printing management staff and the contractor were unaware that both internet and paper *Statement* request processes had been terminated with no plan for their resumption. The contractor was thinking that in January, 2012, printing and mailing of On Request *Statements* would resume at about the volume seen before the suspension.

Considering specific technical issues, public service issues and organizational process issues, I believe that this committee is hearing for the umpteenth time about SSA Information Technology management problems because the traditional bureaucratic authority model is inadequate for complex 21st century organizational and technological systems. Organizational growth is not a function of fault finding and compliance. Real progress requires genuine organizational learning, internalizing in its own terms the ideas from the larger world as a matter of learning, not submission to "correct thinking" from a Higher Monitoring Authority.

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