PBGC - Participant Services

[redacted]
Agency: 012

Exhibit 300: Capital Asset Plan and Business Case Summary
Part I: Summary Information And Justification

Section A: Overview

1. Date of submission: **Sep 10, 2007**
2. Agency: **012**
3. Bureau: **12**
4. Name of this Capital Asset: **PBGC - Participant Services**
5. Unique Project (Investment) Identifier: **012-12-01-05-01-2075-00**
6. What kind of investment will this be in FY2009? **Mixed Life Cycle**
7. What was the first budget year this investment was submitted to OMB? **FY2004**
8. Provide a brief summary and justification for this investment, including a brief description of how this closes in part or in whole an identified agency performance gap: **Participant Services (PS) is a collection of IT systems that provides un-interrupted services to 1.6M participants in PBGC pension plans in a manner consistent with private sector financial services. This includes secure and accurate communication whenever the customer contacts the agency by phone, in person, or through the internet. PS manages pension plan data, calculates pension benefits for participants, manages pension benefit accounts, delivers payments to participants, manages participant correspondence received by phone, mail, or internet, enables participant administration of their pension benefit account via the internet, and images plan and participant historical records. PBGC uses PS to process over 650K monthly payments. PBGC depends on PS to meet performance measures for customer service. As identified in the agency's strategic plan, the agency measures customer satisfaction using the American Customer Satisfaction Index (ACSI) through all modes of contact including Customer Contact Center calls, online transactions, and financial transactions. To maintain customer service consistent with the private sector, PS must improve in security, efficiency, and performance. A modernization plan for PS must: 1) complete security certifications, 2) consolidate and modernize supporting applications and databases within each system to reduce the number of development and steady state projects, 3) improve efficiencies through increased internet services, reduced call volume, and more efficient processes for both participants and PBGC staff, 4) continue steady state support of existing systems and services to maintain ACSI scores. This investment funds a $159M modernization plan for PS from FY 2008-2013. The plan includes 10 Federal FTEs to provide project management oversight for performance based procurement and implementation of business process re-engineering (BPR) and alternative analysis. By FY2008, PBGC will complete a FIPS 199 Inventory Assessment to support execution of security certifications (C&As), establish earned value reporting standards, and complete an acquisition plan for performance based contracts to implement the modernization plan. In FY2009, the modernization plan schedules a selection of a long term alternative based on growth of**

participant internet usage and results of BPR. In FY 2010-2011, the modernization plan schedules elimination of steady state projects no longer necessary due to consolidation of applications and databases.

9. Did the Agency's Executive/Investment Committee approve this request? **yes**
    a. If "yes," what was the date of this approval? **Jun 29, 2007**
10. Did the Project Manager review this Exhibit? **yes**
11. Contact information of Project Manager?

> Name **Raghav Vajjhala**
> Phone Number **202 326 4000**
> E-mail **vajjhala.raghav@pbgc.gov**

    a. What is the current FAC-P/PM certification level of the project/program manager? **TBD**
12. Has the agency developed and/or promoted cost effective, energyefficient and environmentally sustainable techniques or practices for this project. **no**
    a. Will this investment include electronic assets (including computers)? **yes**
    b. Is this investment for new construction or major retrofit of a Federal building or facility? (answer applicable to non-IT assets only) **no**
        1. If "yes," is an ESPC or UESC being used to help fund this investment? [Not answered]
        2. If "yes," will this investment meet sustainable design principles? [Not answered]
        3. If "yes," is it designed to be 30% more energy efficient than relevant code? [Not answered]
13. Does this investment directly support one of the PMA initiatives? **yes**
    Expanded E-Government
    a. Briefly and specifically describe for each selected how this asset directly supports the identified initiative(s)? **The modernization plan for PS improves efficiencies through increased internet services, reduced call volume, and more efficient processes for both participants and PBGC staff. These improvements directly align with the expected results for Expanded E-Government which include providing high quality customer service regardless of whether the citizen contacts the agency by phone, in person, or on the Web and reducing the expense and difficulty of doing business with the government.**
14. Does this investment support a program assessed using the Program Assessment Rating Tool (PART)? (For more information about the PART, visit www.whitehouse.gov/omb/part.) **yes**
    a. If "yes," does this investment address a weakness found during a PART review? **yes**
    b. If "yes," what is the name of the PARTed program? **Pension Benefit Guaranty Corporation**
    c. If "yes," what rating did the PART receive? **Moderately Effective**
15. Is this investment for information technology? **yes**

For information technology investments only:

16. What is the level of the IT Project? (per CIO Council PM Guidance) **Level 3**

17. What project management qualifications does the Project Manager have? (per CIO Council PM Guidance) **(1) Project manager has been validated as qualified for this investment**
18. Is this investment or any project(s) within this investment identified as "high risk" on the Q4-FY 2007 agency high risk report (per OMB Memorandum M-05-23)? **no**
19. Is this a financial management system? **no**
    a. If "yes," does this investment address a FFMIA compliance area? [Not answered]
        1. If "yes," which compliance area: [Not answered]
        2. If "no," what does it address? [Not answered]
    b. If "yes," please identify the system name(s) and system acronym(s) as reported in the most recent financial systems inventory update required by Circular A-11 section 52 [Not answered]
20. What is the percentage breakout for the total FY2009 funding request for the following?

    Hardware **1**
    Software **2**
    Services **91**
    Other **6**

21. If this project produces information dissemination products for the public, are these products published to the Internet in conformance with OMB Memorandum 05-04 and included in your agency inventory, schedules and priorities? **n/a**
22. Contact information of individual responsible for privacy related questions:

Name	**Phil Hertz**
Phone Number	**202-326-4000**
Title	**Deputy General Counsel/Chief Privacy Officer**
E-mail	**hertz.philip@pbgc.gov**

23. Are the records produced by this investment appropriately scheduled with the National Archives and Records Administration's approval? **yes**
24. Does this investment directly support one of the GAO High Risk Areas? **no**

Section B: Summary of Spending

1.

Table 1: SUMMARY OF SPENDING FOR PROJECT PHASES (REPORTED IN MILLIONS)								
(Estimates for BY+1 and beyond are for planning purposes only and do not represent budget decisions)								
	PY-1 and earlier	PY 2007	CY 2008	BY 2009	BY+1 2010	BY+2 2011	BY+3 2012	BY+4 and beyond	Total
Planning:	2.925	1.802	2.9	2.276	2.648	2.531	1.684	1.488	18.254
Acquisition:	8.774	5.598	9.099	7.224	7.945	7.592	5.052	4.463	54.76
Subtotal	11.699	7.400	11.999	9.500	10.593	10.123	6.736	5.951	73.014

Table 1: SUMMARY OF SPENDING FOR PROJECT PHASES (REPORTED IN MILLIONS) (Estimates for BY+1 and beyond are for planning purposes only and do not represent budget decisions)									
	PY-1 and earlier	PY 2007	CY 2008	BY 2009	BY+1 2010	BY+2 2011	BY+3 2012	BY+4 and beyond	Total
Planning & Acquisition:									
Operations & Maintenance:	9.308	9.933	9.53	9.53	8.6	8.72	8.72	8.72	73.061
TOTAL:	21.007	17.333	21.529	19.03	19.193	18.843	15.456	14.671	146.075
Government FTE Costs should not be included in the amounts provided above.									
Government FTE Costs	1.426	1.476	1.528	1.579	1.631	1.683	1.734	1.786	12.843
Number of FTE represented by Costs:	10	10	10	10	10	10	10	10	80

2. Will this project require the agency to hire additional FTE's? **no**
   a. If "yes", How many and in what year? [Not answered]
3. If the summary of spending has changed from the FY2008 President's budget request, briefly explain those changes: **In 2007, PBGC completed a FIPS 199 Inventory Assessment to categorize IT systems as per NIST definitions. As a result of the inventory, past spending amounts on service providers for paying agent services (~11M/year) and actuarial services (~0.8M/year) have been removed. The paying agent is now categorized as non-IT business service and is identified in PBGCs budget accordingly. The actuarial services are categorized as minor IT spending and listed under the Exhibit 53 for Participant Services. By removing those amounts, the OMB 300 more accurately reflects IT lifecycle spending for Participant Services. Last year's summary of spending indicated an increase in FY 2008 followed by continuing decreases through FY 2012. That spending supported modernization efforts across multiple supporting applications and databases in parallel. During FY 2006-2007 those efforts required greater than expected coordination for Planning and Acquisition and Operations and Maintenance activities. As a result, the summary of spending was further changed so modernization would be phased to support systematic improvements in EV reporting, acquisitions, security, BPR, and Alternative Analysis. Reductions under Planning and Acquisition in FY 2007 reflect agency efforts to conclude several development procurements in order focus resources on implementation of a performance based Acquisition Plan. Increases in Planning and Acquisition in FY 2008 reflect development to complete C&As, adoption of standard EV reporting, and consolidation of supporting applications. Decreases in Planning and Acquisition in FY 2009 reflect agency plans to update Alternative Analysis with results of BPR and application consolidation. BPR results are necessary to best inform selection of long term IT spending alternative. Until the BPR results are available, increases in Planning and Acquisition in FY 2010-2013 reflect development to implement an alternative for a modernization plan with custom software and database development. Operations and Maintenance increases from FY 2006 to FY 2009 correspond to activities necessary to support applications**

in states of transition from legacy technologies to EA compliant technologies.

Section C: Acquisition/Contract Strategy

   1.

Contracts/Task Orders Table:	
Contract or Task Order Number	CT-05-0742
Type of Contract/Task Order	CPFF
Has the contract been awarded	yes
If so what is the date of the award? If not, what is the planned award date?	Sep 27, 2006
Start date of Contract/Task Order	Sep 27, 2006
End date of Contract/Task Order	Sep 28, 2010
Total Value of Contract/ Task Order ($M)	16.6
Is this an Interagency Acquisition?	no
Is it performance based?	no
Competitively awarded?	yes
What, if any, alternative financing option is being used?	NA
Is EVM in the contract?	yes
Does the contract include the required security & privacy clauses?	yes
Name of CO	Kay Rison
CO Contact information	Rison.Kay@pbgc.gov
Contracting Officer Certification Level	3
If N/A, has the agency determined the CO assigned has the competencies and skills necessary to support this acquisition?	[Not answered]

Contract or Task Order Number	CT-02-0630
Type of Contract/Task Order	CPFF
Has the contract been awarded	yes
If so what is the date of the award? If not, what is the planned award date?	Nov 19, 2001
Start date of Contract/Task Order	Nov 19, 2001
End date of Contract/Task Order	Sep 30, 2007
Total Value of Contract/ Task Order ($M)	25
Is this an Interagency Acquisition?	no
Is it performance based?	no
Competitively awarded?	yes
What, if any, alternative financing option is being used?	NA
Is EVM in the contract?	yes
Does the contract include the required security & privacy clauses?	yes

Name of CO	Kay Rison
CO Contact information	Rison.Kay@pbgc.gov
Contracting Officer Certification Level	3
If N/A, has the agency determined the CO assigned has the competencies and skills necessary to support this acquisition?	[Not answered]

Contract or Task Order Number	CT-04-0685
Type of Contract/Task Order	CPFF
Has the contract been awarded	no
If so what is the date of the award? If not, what is the planned award date?	Oct 20, 2003
Start date of Contract/Task Order	Oct 20, 2003
End date of Contract/Task Order	Sep 30, 2008
Total Value of Contract/ Task Order ($M)	10.3
Is this an Interagency Acquisition?	no
Is it performance based?	no
Competitively awarded?	yes
What, if any, alternative financing option is being used?	NA
Is EVM in the contract?	yes
Does the contract include the required security & privacy clauses?	yes
Name of CO	Kay Rison
CO Contact information	Rison.Kay@pbgc.gov
Contracting Officer Certification Level	3
If N/A, has the agency determined the CO assigned has the competencies and skills necessary to support this acquisition?	[Not answered]

Contract or Task Order Number	PBGC01-DO-03-0175
Type of Contract/Task Order	LH
Has the contract been awarded	yes
If so what is the date of the award? If not, what is the planned award date?	Sep 26, 2003
Start date of Contract/Task Order	Sep 26, 2003
End date of Contract/Task Order	Sep 30, 2008
Total Value of Contract/ Task Order ($M)	17.5
Is this an Interagency Acquisition?	yes
Is it performance based?	no
Competitively awarded?	yes
What, if any, alternative financing option is being used?	NA
Is EVM in the contract?	yes
Does the contract include the required security & privacy clauses?	yes
Name of CO	Kay Rison
CO Contact information	Rison.Kay@pbgc.gov

Contracting Officer Certification Level	3
If N/A, has the agency determined the CO assigned has the competencies and skills necessary to support this acquisition?	[Not answered]

Contract or Task Order Number	PBGC01-DO-06-0169
Type of Contract/Task Order	LH
Has the contract been awarded	yes
If so what is the date of the award? If not, what is the planned award date?	Apr 8, 2002
Start date of Contract/Task Order	Apr 8, 2002
End date of Contract/Task Order	Aug 31, 2007
Total Value of Contract/ Task Order ($M)	8.7
Is this an Interagency Acquisition?	yes
Is it performance based?	no
Competitively awarded?	yes
What, if any, alternative financing option is being used?	NA
Is EVM in the contract?	yes
Does the contract include the required security & privacy clauses?	yes
Name of CO	Kay Rison
CO Contact information	Rison.Kay@pbgc.gov
Contracting Officer Certification Level	3
If N/A, has the agency determined the CO assigned has the competencies and skills necessary to support this acquisition?	[Not answered]

Contract or Task Order Number	Future Development TBD N TBD TBD TBD 68 N Y Y N/A Y Y TBD TBD 3
Type of Contract/Task Order	Performance Based
Has the contract been awarded	no
If so what is the date of the award? If not, what is the planned award date?	Jun 30, 2008
Start date of Contract/Task Order	Sep 30, 2008
End date of Contract/Task Order	Sep 30, 2013
Total Value of Contract/ Task Order ($M)	[redacted]
Is this an Interagency Acquisition?	no
Is it performance based?	yes
Competitively awarded?	yes
What, if any, alternative financing option is being used?	NA
Is EVM in the contract?	yes
Does the contract include the required security & privacy clauses?	yes
Name of CO	TBD
CO Contact information	TBD
Contracting Officer Certification Level	NA

If N/A, has the agency determined the CO assigned has the competencies and skills necessary to support this acquisition?	[Not answered]

2. If earned value is not required or will not be a contract requirement for any of the contracts or task orders above, explain why: **[Not answered]**
3. Do the contracts ensure Section 508 compliance? **yes**
   a. Explain why: **Section 508 compliance is an explicit, mandatory requirement enforced by the Corporation's contracting officer. PBGC's Infrastructure Administration group conducts 508 compliance on all new systems prior to implementation. In order to comply with OFFM requirements, any financial software acquired by the Corporation must provide an application interface that complies with the software application standards required by Section 508 of the Rehabilitation Act as detailed in 36 CFR 1194, Subpart B.**
4. Is there an acquisition plan which has been approved in accordance with agency requirements? **no**
   a. If "yes," what is the date? **[Not answered]**
   b. If "no," will an acquisition plan be developed? **yes**
      1. If "no," briefly explain why: **The agency will complete an acquisition plan by 12/31/2007.**

Section D: Performance Information

Performance Information Table							
Fiscal Year	Strategic Goal(s) Supported	Measurement Area	Measurement Grouping	Measurement Indicator	Baseline	Target	Actual Results
2006	Provide exceptional service to customers and stakeholders	Mission and Business Results	General Retirement and Disability	ACSI Survey: rating from 0-100 by Retirees receiving financial transactions; for comparison, private sector index for e-commerce rated at 80	84	84	85
2006	Provide exceptional service to customers and stakeholders	Mission and Business Results	General Retirement and Disability	ACSI Survey: rating from 0-100 by Participants completing online transactions through MyPBA; for comparison, private sector index for e-commerce rated at 80	68	75	72
2006	Provide exceptional service to customers	Mission and Business Results	General Retirement and Disability	ACSI Survey: rating from 0-100 by Participants completing	73	80	75

Performance Information Table							
Fiscal Year	Strategic Goal(s) Supported	Measurement Area	Measurement Grouping	Measurement Indicator	Baseline	Target	Actual Results
	and stakeholders			transactions through call center; for comparison, private sector index for e-commerce rated at 80			
2006	Provide exceptional service to customers and stakeholders	Customer Results	New Customers and Market Penetration	percentage of total transactions (call volume and online transactions) completed with MyPBA	10%	15%	17%
2006	Provide exceptional service to customers and stakeholders	Processes and Activities	Delivery Time	Time from Plan Trusteeship to Benefit Determination Letter to Participant	3.0 years	3.0 years	2.6 years
2006	Exercise effective and efficient stewardship of PBGC resources	Technology	Compliance and Deviations	Number of Participant Records Information Systems Management (PRISM) supporting applications not in EA Compliance	67	46	46
2007	Provide exceptional service to customers and stakeholders	Mission and Business Results	General Retirement and Disability	ACSI Survey: Retirees	84	85	Results expected FY 07Q4
2007	Provide exceptional service to customers and stakeholders	Mission and Business Results	General Retirement and Disability	ACSI Survey: MyPBA	68	75	Results expected FY 07Q4
2007	Provide exceptional service to customers and stakeholders	Mission and Business Results	General Retirement and Disability	ACSI Survey: Call Center	73	80	Results expected FY 07Q4
2007	Provide exceptional service to customers and stakeholders	Customer Results	New Customers and Market Penetration	percentage of total transactions (call volume and online transactions) completed with MyPBA	10%	22%	Results expected FY 07Q4
2007	Provide	Processes and	Delivery Time	Time from Plan	3.0 years	3.0	Results

				Performance Information Table			
Fiscal Year	**Strategic Goal(s) Supported**	**Measurement Area**	**Measurement Grouping**	**Measurement Indicator**	**Baseline**	**Target**	**Actual Results**
	exceptional service to customers and stakeholders	Activities		Trusteeship to Benefit Determination Letter to Participant		years	expected FY 07Q4
2007	Exercise effective and efficient stewardship of PBGC resources	Technology	Compliance and Deviations	Number of PRISM supporting applications not in EA Compliance	46	37	Results expected FY 07Q4
2008	Provide exceptional service to customers and stakeholders	Mission and Business Results	General Retirement and Disability	ACSI Survey: Retirees	84	85	Results expected FY 08Q4
2008	Provide exceptional service to customers and stakeholders	Mission and Business Results	General Retirement and Disability	ACSI Survey: MyPBA	68	75	Results expected FY 08Q4
2008	Provide exceptional service to customers and stakeholders	Mission and Business Results	General Retirement and Disability	ACSI Survey: Call Center	73	80	Results expected FY 08Q4
2008	Provide exceptional service to customers and stakeholders	Customer Results	New Customers and Market Penetration	percentage of total transactions (call volume and online transactions) completed with MyPBA	10%	27%	Results expected FY 08Q4
2008	Provide exceptional service to customers and stakeholders	Processes and Activities	Delivery Time	Time from Plan Trusteeship to Benefit Determination Letter to Participant	3.0 years	3.0 years	Results expected FY 08Q4
2008	Exercise effective and efficient stewardship of PBGC resources	Technology	Compliance and Deviations	PRISM supporting applications not in EA Compliance	37	25	Results expected FY 08Q4
2009	Provide exceptional service to customers	Mission and Business Results	General Retirement and Disability	ACSI Survey: Retirees	84	85	Results expected FY 09Q4

Performance Information Table							
Fiscal Year	Strategic Goal(s) Supported	Measurement Area	Measurement Grouping	Measurement Indicator	Baseline	Target	Actual Results
	and stakeholders						
2009	Provide exceptional service to customers and stakeholders	Mission and Business Results	General Retirement and Disability	ACSI Survey: MyPBA	68	75	Results expected FY 09Q4
2009	Provide exceptional service to customers and stakeholders	Mission and Business Results	General Retirement and Disability	ACSI Survey: Call Center	73	80	Results expected FY 09Q4
2009	Provide exceptional service to customers and stakeholders	Customer Results	New Customers and Market Penetration	percentage of total transactions (call volume and online transactions) completed with MyPBA	10%	32%	Results expected FY 09Q4
2009	Provide exceptional service to customers and stakeholders	Processes and Activities	Delivery Time	Time from Plan Trusteeship to Benefit Determination Letter to Participant	3.0 years	3.0 years	Results expected FY 09Q4
2009	Exercise effective and efficient stewardship of PBGC resources	Technology	Compliance and Deviations	Number of PRISM supporting applications not in EA Compliance	25	16	Results expected FY 09Q4
2010	Provide exceptional service to customers and stakeholders	Mission and Business Results	General Retirement and Disability	ACSI Survey: Retirees	84	85	Results expected FY 10Q4
2010	Provide exceptional service to customers and stakeholders	Mission and Business Results	General Retirement and Disability	ACSI Survey: MyPBA	68	75	Results expected FY 10Q4
2010	Provide exceptional service to customers and stakeholders	Mission and Business Results	General Retirement and Disability	ACSI Survey: Call Center	73	80	Results expected FY 10Q4
2010	Provide	Customer	New Customers	percentage of total	10%	37%	Results

Performance Information Table							
Fiscal Year	Strategic Goal(s) Supported	Measurement Area	Measurement Grouping	Measurement Indicator	Baseline	Target	Actual Results
	exceptional service to customers and stakeholders	Results	and Market Penetration	transactions (call volume and online transactions) completed with MyPBA			expected FY 10Q4
2010	Provide exceptional service to customers and stakeholders	Processes and Activities	Delivery Time	Time from Plan Trusteeship to Benefit Determination Letter to Participant	3.0 years	2.8 years	Results expected FY 10Q4
2010	Exercise effective and efficient stewardship of PBGC resources	Technology	Compliance and Deviations	Number of PRISM supporting applications not in EA Compliance	16	10	Results expected FY 10Q4
2011	Provide exceptional service to customers and stakeholders	Mission and Business Results	General Retirement and Disability	ACSI Survey: Retirees	84	85	Results expected FY 11Q4
2011	Provide exceptional service to customers and stakeholders	Mission and Business Results	General Retirement and Disability	ACSI Survey: MyPBA	68	75	Results expected FY 11Q4
2011	Provide exceptional service to customers and stakeholders	Mission and Business Results	General Retirement and Disability	ACSI Survey: Call Center	73	80	Results expected FY 11Q4
2011	Provide exceptional service to customers and stakeholders	Customer Results	New Customers and Market Penetration	percentage of total transactions (call volume and online transactions) completed with MyPBA	10%	42%	Results expected FY 11Q4
2011	Provide exceptional service to customers and stakeholders	Processes and Activities	Delivery Time	Time from Plan Trusteeship to Benefit Determination Letter to Participant	3.0 years	2.6 years	Results expected FY 11Q4
2011	Exercise effective and efficient stewardship	Technology	Compliance and Deviations	Number of PRISM supporting applications not in EA Compliance	10	0	Results expected FY 11Q4

				Performance Information Table			
Fiscal Year	**Strategic Goal(s) Supported**	**Measurement Area**	**Measurement Grouping**	**Measurement Indicator**	**Baseline**	**Target**	**Actual Results**
	of PBGC resources						
2012	Provide exceptional service to customers and stakeholders	Mission and Business Results	General Retirement and Disability	ACSI Survey: Retirees	84	85	Results expected FY 12Q4
2012	Provide exceptional service to customers and stakeholders	Mission and Business Results	General Retirement and Disability	ACSI Survey: MyPBA	68	75	Results expected FY 12Q4
2012	Provide exceptional service to customers and stakeholders	Mission and Business Results	General Retirement and Disability	ACSI Survey: Call Center	73	80	Results expected FY 12Q4
2012	Provide exceptional service to customers and stakeholders	Customer Results	New Customers and Market Penetration	percentage of total transactions (call volume and online transactions) completed with MyPBA	10%	47%	Results expected FY 12Q4
2012	Provide exceptional service to customers and stakeholders	Processes and Activities	Delivery Time	Time from Plan Trusteeship to Benefit Determination Letter to Participant	3.0 years	2.5 years	Results expected FY 12Q4
2012	Exercise effective and efficient stewardship of PBGC resources	Technology	Compliance and Deviations	Number of PRISM supporting applications not in EA Compliance	0	0	Results expected FY 12Q4
2013	Provide exceptional service to customers and stakeholders	Mission and Business Results	General Retirement and Disability	ACSI Survey: Retirees	84	85	Results expected FY 13Q4
2013	Provide exceptional service to customers and stakeholders	Mission and Business Results	General Retirement and Disability	ACSI Survey: MyPBA	68	75	Results expected FY 13Q4
2013	Provide	Mission and	General	ACSI Survey: Call	73	80	Results

Performance Information Table						
Fiscal Year	Strategic Goal(s) Supported	Measurement Area	Measurement Grouping	Measurement Indicator	Baseline	Target	Actual Results
	exceptional service to customers and stakeholders	Business Results	Retirement and Disability	Center			expected FY 13Q4
2013	Provide exceptional service to customers and stakeholders	Customer Results	New Customers and Market Penetration	percentage of total transactions (call volume and online transactions) completed with MyPBA	10%	52%	Results expected FY 13Q4
2013	Provide exceptional service to customers and stakeholders	Customer Results	Delivery Time	Time from Plan Trusteeship to Benefit Determination Letter to Participant	3.0 years	2.5 years	Results expected FY 13Q4
2013	Exercise effective and efficient stewardship of PBGC resources	Technology	Compliance and Deviations	Number of PRISM supporting applications not in EA Compliance	0	0	Results expected FY 13Q4

Section E: Security and Privacy

1. Have the IT security costs for the system(s) been identified and integrated into the overall costs of the investment: **yes**
   a. If "yes," provide the "Percentage IT Security" for the budget year: **7**
2. Is identifying and assessing security and privacy risks a part of the overall risk management effort for each system supporting or part of this investment. **yes**

3. Systems in Planning and Undergoing Enhancement(s), Development, and/or Modernization - Security Table(s):			
Name of System	Agency/ or Contractor Operated System?	Planned Operational Date	Date of Planned C&A update (for existing mixed life cycle systems) or Planned Completion Date (for new systems)
Participant Services 2008 certification (for DME that supports consolidation of supporting applications in FY 2008)	Government Only	Sep 30, 2008	Sep 30, 2008
Participant Services 2009 certification (for DME that supports consolidation of	Government Only	Sep 30, 2009	Sep 30, 2009

supporting applications in FY 2009)			
Participant Services 2010 certification (for DME that supports consolidation of supporting applications in FY 2010	Government Only	Sep 30, 2010	Sep 30, 2010
Participant Services 2011 certification (for DME that supports consolidation of supporting applications in FY 2011)	Government Only	Sep 30, 2011	Sep 30, 2011
Participant Services 2012 certification (for DME that supports consolidation of supporting applications in FY 2012)	Government Only	Sep 30, 2012	Sep 30, 2012

4. Operational Systems - Security Table:							
Name of System	Agency/ or Contractor Operated System?	NIST FIPS 199 Risk Impact level	Has C&A been Completed, using NIST 800-37?	Date Completed: C&A	What standards were used for the Security Controls tests?	Date Completed: Security Control Testing	Date the contingency plan tested
Participant Services	Government Only	Moderate	no	[Not answered]	FIPS 200 / NIST 800-53	Jul 7, 2007	Feb 3, 2007
MyPBA	Government Only	Moderate	no	[Not answered]	FIPS 200 / NIST 800-53	Jul 7, 2007	Feb 3, 2007

5. Have any weaknesses, not yet remediated, related to any of the systems part of or supporting this investment been identified by the agency or IG? **yes**
    a. If "yes," have those weaknesses been incorporated into the agency's plan of action and milestone process? **yes**
6. Indicate whether an increase in IT security funding is requested to remediate IT security weaknesses? **no**
    a. If "yes," specify the amount, provide a general description of the weakness, and explain how the funding request will remediate the weakness. **PBGC's C&As are not current for Participant Services. This section reviews how PBGC will use already existing funds to remediate the weakness. PBGC implemented new NIST compliant security policies and procedures June 1, 2007 that are based upon the Department of Labor's, modified slightly to meet PBGC's operating environment. The new policies and procedures include those for conducting a FIPS 199 inventory assessment and performing NIST 800-37 certification and accreditation (C&A). Following publication, PBGC developed a FIPS 199 inventory of systems, completed June 30, 2007. As a result, PBGC consolidated previously reported systems for FISMA into the new Participant Services major application. Participant Services was rated as moderate, and therefore requires an independent C&A. The risk**

assessment and system security plans are being updated to reflect the new major application and minor applications, and are scheduled to be completed August 31, 2007, 2007. The PIA is also being reviewed to ensure accuracy and completeness, and is scheduled to be completed September 30, 2007. The development of the system security plan has been initiated to ensure that it can be completed September 30, 2007. The C&A for Participant Services is scheduled to start October 1, 2007 and be completed March 31, 2008. PBGC completed testing security controls July 7, 2007. Deficiencies identified have been incorporated into the comprehensive POA&M for addressing the security deficiencies. PBGC is funding improvement actions to correct the weaknesses through existing budgets.

7. How are contractor security procedures monitored, verified, and validated by the agency for the contractor systems above? **All PBGC systems are jointly run and managed by federal employees and contractor teams reporting to PBGC federal employees. PBGC contracts include language to ensure the suitability of contractors' employees, and inspection of all new or renovated contractor hosting sites. PBGC federal employees and contractors are subject to suitability background investigations. New federal employees and contractors are issued roles of conduct, required to take computer security awareness orientation, and provided instruction on incident reporting procedures. Annually, federal employees and contractors are required to take refresher security awareness training. Role-based training is conducted during employee position training. For positions related to the Designated Approving Authority, Information System Owner, System Administrators and Project Managers, role-based training is conducted by PBGC's Enterprise Security Team following orientation, and annually thereafter. Electronic security compliance is monitored by the OIT security team through routine checking of user ID account activity for suspicious or high-risk behavior. If such behavior is identified, the contracting officer is notified immediately to begin remediation procedures. PBGC also conducts user account recertification annually. Externally operated systems are required to provide SAS 70s and they procedures for security are subject to additional reviews by PBGC's external auditors and OIG.**

8. Planning & Operational Systems - Privacy Table:					
Name of System	Is this a new system?	Is there a Privacy Impact Assessment (PIA) that covers this system?	Internet Link or Explanation	Is a System of Records Notice (SORN) required for this system?	Internet Link or Explanation
Participant Services	no	yes	http://www.pbgc.gov/about/PIA.html	yes	http://www.gpoaccess.gov/fr/index.html
MyPBA	no	yes	http://www.pbgc.gov/about/PIA.html	yes	http://www.gpoaccess.gov/fr/index.html

Section F: Enterprise Architecture (EA)

1. Is this investment included in your agency's target enterprise architecture? **yes**
   a. If "no," please explain why? **[Not answered]**
2. Is this investment included in the agency's EA Transition Strategy? **yes**
   a. If "yes," provide the investment name as identified in the Transition Strategy provided in the agency's most recent annual EA Assessment. **The Participant Services investment is covered by the transition strategies for Benefit Administration, Benefit Calculation, and Plan Termination/Financial Assistance Core Mission Service Areas in PBGC's Segment Architecture.**
   b. If "no," please explain why? **[Not answered]**
3. Is this investment identified in a completed (contains a target architecture) and approved segmennt architecture? **yes**
   a. If "yes," provide the name of the segment architecture as provided in the agency's most recent annual EA Assessment. **Benefits Administration, Benefits Determination, and Plan Termination/Financial Assistance**

4. Service Component Reference Model (SRM) Table :							
Agency Component Name	**Agency Component Description**	**FEA SRM Service Type**	**FEA SRM Component**	**Service Component Reused**		**Internal or External Reuse?**	**BY Funding Percentage**
				Component Name	**UPI**		
Approval Application and Service	Process approvals for business transactions.	Human Capital / Workforce Management	Team / Org Management	[Not answered]	[Not answered]	Internal	10
Approval Application and Service	Process approvals for business transactions.	Tracking and Workflow	Process Tracking	[Not answered]	[Not answered]	No Reuse	0
Approval Application and Service	Process approvals for business transactions.	Collaboration	Task Management	[Not answered]	[Not answered]	No Reuse	0
Automated Letter Generation	Process that allows users to create a standardized/customized letter to be sent to a participant or group of participants.	Document Management	Document Conversion	[Not answered]	[Not answered]	No Reuse	0
Automated Letter Generation	Process that allows users to create a standardized/customized letter to be sent to a participant or group of participants.	Records Management	Document Classification	[Not answered]	[Not answered]	No Reuse	0
Automated Letter Generation	Process that allows users to create a standardized/customized letter to be sent to a participant or group of participants.	Records Management	Record Linking / Association	[Not answered]	[Not answered]	No Reuse	0
Automated Letter Generation	Process that allows users to create a standardized/customized letter to be sent to a participant or group of	Routing and Scheduling	Outbound Correspondence Management	[Not answered]	[Not answered]	No Reuse	0

4. Service Component Reference Model (SRM) Table :							
Agency Component Name	**Agency Component Description**	**FEA SRM Service Type**	**FEA SRM Component**	**Service Component Reused**		**Internal or External Reuse?**	**BY Funding Percentage**
				Component Name	**UPI**		
	participants.						
Customer Relationship Management	Provides customers a totally integrated customer service experience.	Customer Relationship Management	Call Center Management	[Not answered]	[Not answered]	No Reuse	0
Customer Relationship Management	Provides customers a totally integrated customer service experience.	Customer Relationship Management	Contact and Profile Management	[Not answered]	[Not answered]	No Reuse	0
Image Processing System	The Image Processing system is primarily used to manage PBGC plan and participant documents. The IPS translates paper documents into digital images that are then saved and stored on optical disks.	Document Management	Document Conversion	[Not answered]	[Not answered]	No Reuse	0
Image Processing System	The Image Processing system is primarily used to manage PBGC plan and participant documents. The IPS translates paper documents into digital images that are then saved and stored on optical disks.	Document Management	Document Imaging and OCR	[Not answered]	[Not answered]	No Reuse	0
Image Processing System	The Image Processing system is primarily used to manage PBGC plan and participant documents. The IPS translates paper documents into digital images that are then saved and stored on optical disks.	Document Management	Document Referencing	[Not answered]	[Not answered]	No Reuse	0
Image Processing System	The Image Processing system is primarily used to manage PBGC plan and participant documents. The IPS translates paper documents into digital images that are then saved and stored on optical disks.	Document Management	Indexing	[Not answered]	[Not answered]	No Reuse	0
Image Processing	The Image Processing system is primarily used	Document Management	Library / Storage	[Not answered]	[Not answered]	No Reuse	0

4. Service Component Reference Model (SRM) Table :							
Agency Component Name	Agency Component Description	FEA SRM Service Type	FEA SRM Component	Service Component Reused		Internal or External Reuse?	BY Funding Percentage
				Component Name	UPI		
System	to manage PBGC plan and participant documents. The IPS translates paper documents into digital images that are then saved and stored on optical disks.						
Image Processing System Document Manager	The Image Processing system is primarily used to manage PBGC plan and participant documents. The IPS translates paper documents into digital images that are then saved and stored on optical disks.	Routing and Scheduling	Inbound Correspondence Management	[Not answered]	[Not answered]	No Reuse	0
Image Processing System Document Manager	The Image Processing system is primarily used to manage PBGC plan and participant documents. The IPS translates paper documents into digital images that are then saved and stored on optical disks.	Tracking and Workflow	Process Tracking	[Not answered]	[Not answered]	No Reuse	0
Initial Determination Letter Reporting	This is a suite of Oracle stored procedures run on a monthly basis to provide PBGC management with reports for the tracking of Benefit Determination Letter (BDL) issuance. Reporting is a combination of standard and ad hoc reporting.	Reporting	Standardized / Canned	[Not answered]	[Not answered]	No Reuse	0
Locator	This system is used to process requests for up-to-date address information on PBGC customers. The requests are sent to an outside contractor such as a credit bureau.	Data Management	Data Cleansing	[Not answered]	[Not answered]	No Reuse	0
Locator	This system is used to process requests for up-to-date address information on PBGC	Customer Relationship Management	Contact and Profile Management	[Not answered]	[Not answered]	No Reuse	0

4. Service Component Reference Model (SRM) Table :							
Agency Component Name	Agency Component Description	FEA SRM Service Type	FEA SRM Component	Service Component Reused		Internal or External Reuse?	BY Funding Percentage
				Component Name	UPI		
	customers. The requests are sent to an outside contractor such as a credit bureau.						
Missing Participants Calculator	Calculates the interest on lump sum payments to standard terminated missing participants as they are located and paid.	Financial Management	Payment / Settlement	[Not answered]	[Not answered]	No Reuse	0
Missing Participants Calculator	Calculates the interest on lump sum payments to standard terminated missing participants as they are located and paid.	Analysis and Statistics	Mathematical	[Not answered]	[Not answered]	No Reuse	0
My Pension Benefit Account	Participant Self Service web site	Customer Initiated Assistance	Self-Service	[Not answered]	[Not answered]	No Reuse	0
My Pension Benefit Account	Participant Self Service web site	Customer Relationship Management	Contact and Profile Management	[Not answered]	[Not answered]	No Reuse	0
My Pension Benefit Account	Participant Self Service web site	Customer Relationship Management	Customer / Account Management	[Not answered]	[Not answered]	No Reuse	0
National Change of Address	Process to update addresses.	Customer Relationship Management	Customer / Account Management	[Not answered]	[Not answered]	No Reuse	0
Participant Records Information System Management (PRISM)	The PRISM Online Suite of multiple applications provides a source of participant information to administer participant benefits.	Financial Management	Internal Controls	[Not answered]	[Not answered]	No Reuse	0
Participant Records Information System Management	The PRISM Online Suite of multiple applications provides a source of participant information to administer participant benefits.	Financial Management	Payment / Settlement	[Not answered]	[Not answered]	No Reuse	0
Participant Records Information System Management	The PRISM Online Suite of multiple applications provides a source of participant information to administer participant benefits.	Customer Relationship Management	Customer / Account Management	[Not answered]	[Not answered]	No Reuse	0
Participant Records Information System	The PRISM Online Suite of multiple applications provides a source of participant information	Search	Query	[Not answered]	[Not answered]	No Reuse	0

4. Service Component Reference Model (SRM) Table :							
Agency Component Name	Agency Component Description	FEA SRM Service Type	FEA SRM Component	Service Component Reused		Internal or External Reuse?	BY Funding Percentage
				Component Name	UPI		
Management	to administer participant benefits.						
Spectrum	Spectrum consolidates eight different PRISM applications	Financial Management	Internal Controls	[Not answered]	[Not answered]	Internal	10
Spectrum	Spectrum consolidates eight different PRISM applications	Financial Management	Payment / Settlement	[Not answered]	[Not answered]	No Reuse	0
Spectrum	Spectrum consolidates eight different PRISM applications	Customer Relationship Management	Customer / Account Management	[Not answered]	[Not answered]	No Reuse	0
Spectrum	Spectrum consolidates eight different PRISM applications	Search	Query	[Not answered]	[Not answered]	No Reuse	0
User Provisioning Tool	Provides a graphical user interface and 'one-stop' application to provision PBGC staff members	Security Management	Access Control	[Not answered]	[Not answered]	No Reuse	0
Customer Relationship Management	Provides customers a totally integrated customer service experience.	Customer Relationship Management	Customer / Account Management	[Not answered]	[Not answered]	Internal	10
Customer Relationship Management	Provides customers a totally integrated customer service experience.	Customer Relationship Management	Customer Analytics	[Not answered]	[Not answered]	No Reuse	0
Customer Relationship Management	Provides customers a totally integrated customer service experience.	Customer Relationship Management	Customer Feedback	[Not answered]	[Not answered]	No Reuse	0
Customer Relationship Management	Provides customers a totally integrated customer service experience.	Customer Relationship Management	Partner Relationship Management	[Not answered]	[Not answered]	No Reuse	0

5. Technical Reference Model (TRM) Table:				
FEA SRM Component	FEA TRM Service Area	FEA TRM Service Category	FEA TRM Service Standard	Service Specification
Access Control	Service Platform and Infrastructure	Database / Storage	Database	Oracle RDBMS
Access Control	Service Access and Delivery	Service Requirements	Authentication / Single Sign-on	Oracle Internet Directory Authentication Server
Call Center Management	Service Access and Delivery	Access Channels	Collaboration / Communications	Oracle EMAIL

Call Center Management	Service Platform and Infrastructure	Database / Storage	Database	Oracle RDBMS
Call Center Management	Service Platform and Infrastructure	Delivery Servers	Application Servers	Oracle E-Business Suite
Contact and Profile Management	Service Access and Delivery	Access Channels	Collaboration / Communications	Oracle EMAIL
Contact and Profile Management	Service Platform and Infrastructure	Database / Storage	Database	Oracle RDBMS
Contact and Profile Management	Service Platform and Infrastructure	Delivery Channels	Application Servers	Oracle E-Business Suite
Customer / Account Management	Component Framework	Data Management	Reporting and Analysis	Cognos
Customer / Account Management	Component Framework	Data Management	Database Connectivity	Data Interface Layer
Customer / Account Management	Component Framework	Presentation / Interface	Content Rendering	PDF Lite
Customer / Account Management	Component Framework	Presentation / Interface	Content Rendering	Plumtree Portlet
Customer / Account Management	Service Access and Delivery	Access Channels	Collaboration / Communications	Oracle EMAIL
Customer / Account Management	Service Platform and Infrastructure	Database / Storage	Database	Oracle RDBMS
Customer / Account Management	Service Platform and Infrastructure	Delivery Servers	Application Servers	Oracle E-Business Suite
Customer / Account Management	Service Platform and Infrastructure	Hardware / Infrastructure	Network Devices / Standards	Firewall IOS
Customer / Account Management	Service Platform and Infrastructure	Support Platforms	Platform Dependent	.NET Framework
Customer / Account Management	Service Interface and Integration	Integration	Middleware	.NET Data Objects / Data Integration
Customer / Account Management	Service Interface and Integration	Interface	Service Description / Interface	.NET Web Services
Customer / Account Management	Service Interface and Integration	Interface	Service Description / Interface	SNMP
Customer / Account Management	Service Interface and Integration	Interface	Service Description / Interface	SMTP
Customer Analytics	Service Access and Delivery	Access Channels	Collaboration / Communications	Oracle EMAIL
Customer Analytics	Service Platform and Infrastructure	Database / Storage	Database	Oracle RDBMS
Customer Feedback	Service Access and Delivery	Access Channels	Collaboration / Communications	Oracle EMAIL
Customer Feedback	Service Platform and Infrastructure	Database / Storage	Database	Oracle RDBMS
Data Cleansing	Service Platform and Infrastructure	Database / Storage	Database	Oracle RDBMS
Document Classification	Component Framework	Business Logic	Platform Dependent	OFBIZ Services
Document Classification	Component Framework	Data Management	Reporting and Analysis	Crystal Reports
Document	Service Access	Access Channels	Collaboration /	Mailing Agent

Classification	and Delivery		Communications	
Document Classification	Service Interface and Integration	Integration	Middleware	ADO.NET
Document Classification	Service Platform and Infrastructure	Database / Storage	Database	Oracle RDBMS
Document Classification	Service Platform and Infrastructure	Delivery Servers	Web Servers	IIS
Document Conversion	Component Framework	Business Logic	Platform Dependent	OFBIZ Services
Document Conversion	Component Framework	Data Management	Reporting and Analysis	Crystal Reports
Document Conversion	Service Access and Delivery	Access Channels	Collaboration / Communications	Mailing Agent
Document Conversion	Component Framework	Data Management	Reporting and Analysis	CDMS
Document Conversion	Service Platform and Infrastructure	Database / Storage	Storage	Image Storage
Document Conversion	Service Platform and Infrastructure	Delivery Servers	Application Servers	Filenet P8 Application Server
Document Conversion	Service Platform and Infrastructure	Hardware / Infrastructure	Peripherals	File and Print Services
Document Imaging and OCR	Component Framework	Data Management	Reporting and Analysis	CDMS
Document Imaging and OCR	Service Platform and Infrastructure	Database / Storage	Database	Oracle RDBMS
Document Imaging and OCR	Service Platform and Infrastructure	Delivery Servers	Application Servers	Filenet P8 Application Server
Document Imaging and OCR	Service Platform and Infrastructure	Delivery Servers	Web Servers	IIS
Document Imaging and OCR	Service Platform and Infrastructure	Hardware / Infrastructure	Peripherals	File and Print Services
Document Referencing	Component Framework	Data Management	Reporting and Analysis	CDMS
Document Referencing	Service Platform and Infrastructure	Database / Storage	Database	Oracle RDBMS
Document Referencing	Service Platform and Infrastructure	Delivery Servers	Application Servers	Filenet P8 Application Server
Document Referencing	Service Platform and Infrastructure	Delivery Servers	Web Servers	IIS
Document Referencing	Service Platform and Infrastructure	Hardware / Infrastructure	Peripherals	File and Print Services
Inbound Correspondence Management	Service Access and Delivery	Access Channels	Collaboration / Communications	Filenet P8 Content Engine
Inbound Correspondence Management	Service Interface and Integration	Integration	Enterprise Application Integration	Filenet P8 Content Engine
Inbound Correspondence Management	Service Interface and Integration	Integration	Middleware	Filenet ISRA
Inbound Correspondence	Service Platform and Infrastructure	Database / Storage	Database	Oracle RDBMS

Management				
Inbound Correspondence Management	Service Platform and Infrastructure	Delivery Servers	Application Servers	Oracle 10g Application Server
Indexing	Component Framework	Data Management	Reporting and Analysis	CDMS
Indexing	Service Platform and Infrastructure	Database / Storage	Database	Oracle RDBMS
Indexing	Service Platform and Infrastructure	Database / Storage	Storage	Image Storage
Indexing	Service Platform and Infrastructure	Delivery Servers	Application Servers	Filenet P8 Application Server
Indexing	Service Platform and Infrastructure	Delivery Servers	Web Servers	IIS
Indexing	Service Platform and Infrastructure	Hardware / Infrastructure	Peripherals	File and Print Services
Internal Controls	Service Platform and Infrastructure	Database / Storage	Database	Oracle RDBMS
Library / Storage	Component Framework	Data Management	Reporting and Analysis	CDMS
Library / Storage	Service Platform and Infrastructure	Database / Storage	Database	Oracle RDBMS
Library / Storage	Service Platform and Infrastructure	Database / Storage	Storage	Image Storage
Library / Storage	Service Platform and Infrastructure	Delivery Servers	Application Servers	Filenet P8 Application Server
Library / Storage	Service Platform and Infrastructure	Delivery Servers	Web Servers	IIS
Library / Storage	Service Platform and Infrastructure	Hardware / Infrastructure	Peripherals	File and Print Services
Outbound Correspondence Management	Component Framework	Business Logic	Platform Dependent	OFBIZ Services
Outbound Correspondence Management	Component Framework	Data Management	Reporting and Analysis	Crystal Reports
Outbound Correspondence Management	Service Access and Delivery	Access Channels	Collaboration / Communications	Mailing Agent
Outbound Correspondence Management	Service Interface and Integration	Integration	Middleware	ADO.NET
Outbound Correspondence Management	Service Platform and Infrastructure	Database / Storage	Database	Oracle RDBMS
Outbound Correspondence Management	Service Platform and Infrastructure	Delivery Servers	Web Servers	IIS
Partner Relationship Management	Service Access and Delivery	Access Channels	Collaboration / Communications	Oracle EMAIL
Partner Relationship Management	Service Platform and Infrastructure	Database / Storage	Database	Oracle RDBMS

Partner Relationship Management	Service Platform and Infrastructure	Delivery Servers	Application Servers	Oracle E-Business Suite
Payment / Settlement	Service Platform and Infrastructure	Database / Storage	Database	Oracle RDBMS
Payment / Settlement	Service Interface and Integration	Integration	Enterprise Application Integration	Oracle BPEL Process Manager
Process Tracking	Service Interface and Integration	Integration	Enterprise Application Integration	Oracle BPEL Process Manager
Process Tracking	Service Platform and Infrastructure	Database / Storage	Database	Oracle RDBMS
Query	Service Interface and Integration	Interface	Service Description / Interface	SNMP
Query	Service Platform and Infrastructure	Delivery Servers	Web Servers	IIS
Query	Service Platform and Infrastructure	Hardware / Infrastructure	Network Devices / Standards	Firewall IOS
Query	Service Platform and Infrastructure	Support Platforms	Platform Dependent	Windows 2000
Query	Service Platform and Infrastructure	Database / Storage	Database	Oracle RDBMS
Record Linking / Association	Component Framework	Business Logic	Platform Dependent	OFBIZ Services
Record Linking / Association	Component Framework	Data Management	Reporting and Analysis	Crystal Reports
Record Linking / Association	Service Access and Delivery	Access Channels	Collaboration / Communications	Mailing Agent
Record Linking / Association	Service Interface and Integration	Integration	Middleware	ADO.NET
Record Linking / Association	Service Platform and Infrastructure	Database / Storage	Database	Oracle RDBMS
Record Linking / Association	Service Platform and Infrastructure	Delivery Servers	Application Servers	IIS
Self-Service	Component Framework	Data Management	Database Connectivity	Data Interface Layer
Self-Service	Service Interface and Integration	Integration	Middleware	.NET Data Objects / Data Integration
Self-Service	Service Interface and Integration	Interface	Service Description / Interface	.NET Web Services
Self-Service	Service Interface and Integration	Interface	Service Description / Interface	SMTP
Self-Service	Service Interface and Integration	Interface	Service Description / Interface	SNMP
Self-Service	Service Platform and Infrastructure	Database / Storage	Database	Oracle RDBMS
Self-Service	Service Platform and Infrastructure	Hardware / Infrastructure	Network Devices / Standards	Firewall IOS
Self-Service	Service Platform and Infrastructure	Support Platforms	Platform Dependent	.NET Framework 1.0
Standardized / Canned	Service Platform and Infrastructure	Database / Storage	Database	Oracle RDBMS

Task Management	Service Interface and Integration	Integration	Enterprise Application Integration	Oracle BPEL Process Manager
Task Management	Service Platform and Infrastructure	Database / Storage	Database	Oracle RDBMS
Team / Org Management	Service Interface and Integration	Integration	Enterprise Application Integration	Oracle BPEL Process Manager
Team / Org Management	Service Platform and Infrastructure	Database / Storage	Database	Oracle RDBMS

6. Will the application leverage existing components and/or applications across the Government (i.e., FirstGov, Pay.Gov, etc)? **no**
   a. If "yes," please describe. [Not answered]

Part II: Planning, Acquisition And Performance Information

Section A: Alternatives Analysis

1. Did you conduct an alternatives analysis for this project? **yes**
   a. If "yes," provide the date the analysis was completed? **Aug 31, 2007**
   b. If "no," what is the anticipated date this analysis will be completed? [Not answered]
   c. If no analysis is planned, please briefly explain why: [Not answered]

2. Alternatives Analysis Results:			
Alternative Analyzed	**Description of Alternative**	**Risk Adjusted Lifecycle Costs estimate**	**Risk Adjusted Lifecycle Benefits estimate**
1 – Modernization Plan with custom software and database development	Address immediate needs for risk reduction through completion of security C&As and reduction of development and steady state projects. Address long term needs for expansion of services through the internet with custom database development.	158.926	88
2 – Modernization Plan with interim custom software development and long term COTS software and database development	Address immediate needs for risk reduction through completion of security C&As and reduction of development and steady state projects. Address long term needs for expansion of services through the internet with COTS software and database.	172.416	88
3 – Modernization Plan with custom software development	Address immediate needs for risk reduction through completion of security C&As and reduction of development and steady state projects. Address demand for services through the internet with current database.	149.251	88

3. Which alternative was selected by the Agency's Executive/Investment Committee and why was it chosen? **A final alternative will be selected after additional data for the lifecycle benefit is available in FY 2008 - 2009. The additional data depends on outcomes of business process re-engineering (BPR), growth of self-service usage by participants through MyPBA, and risk reduction through application consolidation that supports EA and security compliance. BPR will identify additional transactions that participants can administer through MyPBA or efficiencies made possible by consolidating supporting applications. Usage of MyPBA will indicate potential efficiencies due to the reduction of customer call and contact volume. Should MyPBA usage continue to increase and BPR indicate that existing business processes are the most efficient, Alternative 1 would most likely be chosen. Should MyPBA usage continue to increase but BPR indicate that adoption of processes consistent with COTS packages are the most efficient, Alternative 2 would most likely be chosen. Should MyPBA usage growth decrease or plateau, Alternative 3 would most likely be chosen as the existing database supports current demand for integrated communications from regular mail, the internet, and call centers. Each alternative uses the same activities for risk reduction, completion of security C&As and reduction of development and steady state projects through FY 2009. These activities will be completed as indicated in Cost and Schedule Performance. Acquisition Plans will be updated as the alternative analysis is updated and the Agency's Executive/Investment Committee makes a final selection in FY 2009. For the purposes of answering questions in the OMB 300, such as the Spending Summary or Cost and Schedule Performance, data will be provided in reference to Alternative 1.**

4. What specific qualitative benefits will be realized? **The overall goal of PS is to ensure that the agency can continue to provide un-interrupted payments to retirees in a manner consistent with the way private sector financial services are delivered. This includes secure and accurate communication regardless of whether the customer contacts the agency by phone, in person, or through the internet. Modernizing PS will provide improved customer service qualitative benefits. Consolidation of supporting applications will reduce business process complexity and improve data quality. These activities will reduce data entry errors which will drive more efficient and accurate customer service. Consolidation of supporting applications will enable more timely completion of C&As, which will garner additional confidence in security of PBGC systems by participants as more self-service options are made available through the internet. Modernizing PS will also improve the ability of PS to adapt to a changing marketplace for contracting vehicles and customer demands. The current infrastructure includes technologies across COTS and custom services on various hardware and operating system platforms. A reduced infrastructure that is EA compliant with fewer technologies will offer more opportunities for performance based IT staffing. A reduced infrastructure will also allow IT staff to focus more time on addressing customer demands instead of building proprietary knowledge on unique-to-PBGC technology integrations. Selecting an alternative after BPR and MyPBA usage analysis reduces the risk to the taxpayer of money spent on technology that is not a good fit due to business processes or customer behavior.**

5. Will the selected alternative replace a legacy system in-part or in-whole? **no**

a. If "yes," are the migration costs associated with the migration to the selected alternative included in this investment, the legacy investment, or in a separate migration investment? **This Investment**
b. If "yes," please provide the following information:

List of Legacy Investment or Systems		
Name of the Legacy Investment or Systems	**UPI if available**	**Date of the System Retirement**
There are no Legacy Investment or Systems.		

Section B: Risk Management

1. Does the investment have a Risk Management Plan? **yes**
   a. If "yes," what is the date of the plan? **Aug 30, 2007**
   b. Has the Risk Management Plan been significantly changed since last year's submission to OMB? **yes**
   c. If "yes," describe any significant changes: **The RMP has been updated to include review of areas with impact to the overall investment in addition to individual project areas. Investment level risks include those for EV reporting, acquisition plans, security, BPR, and Alternative Analysis.**
2. If there currently is no plan, will a plan be developed? [Not answered]
   a. If "yes," what is the planned completion date? [Not answered]
   b. If "no," what is the strategy for managing the risks? [Not answered]
3. Briefly describe how investment risks are reflected in the life cycle cost estimate and investment schedule: **As mentioned in the summary of spending, the investment schedule reduces the risk of higher than expected coordination costs through systematic improvements in EV reporting, acquisitions, security, BPR, and Alternative Analysis. These systematic improvements allow for more timely updates to the risk index in order to catalog risks and identify impacts to supporting applications and the overall investment. Life cycle spending for Project Management will support maintenance of the risk index and RMP. In addition to the risk index and RMP, Project Management will support recurring discussions at a monthly – quarterly level on how to best allocate budgeted amounts for risk management activities against risks identified in the risk index.** [redacted] **Additionally, an annual budget for risk response, activities neither planned for nor preventable by risk mitigation, is accounted for in the lifecycle costs. For the Participant Services modernization plan, roughly 8.5% of overall funding is allocated to risk management activities. These activities are identified in Cost and Schedule Performance. That allocation is consistent with guidance from the Project Management Institute that bases the accuracy range of budget estimates at -10% to +25%.**

Section C: Cost and Schedule Performance

1. Does the earned value management system meet the criteria in ANSI/EIA Standard - 748? **no**
2. Is the CV% or SV% greater than ± 10%? (CV%= CV/EV x 100; SV%= SV/PV x 100) **no**

     a. If "yes," was it the? **[Not answered]**
     b. If "yes," explain the causes of the variance: **[Not answered]**
     c. If "yes," describe the corrective actions **Current EV data (FY 2006-2007) does not directly track individual projects. For those years, performance against initial budget is documented as this is the most consistent data available across each procurement vehicle. Starting in FY 2008, budget amount and scheduled completion are baselined for DME projects and can be identified below. Set asides (budget amounts based on a percentage of annual DME spending)for Risk Management, Project Management, QA, and Infrastructure support will be tracked on annual budgets but be recorded as DME to ensure inclusion into EV reporting.**
3. Has the investment re-baselined during the past fiscal year? **no**
     a. If "yes," when was it approved by the agency head? **[Not answered]**

Description of Milestone	Initial Baseline		Current Baseline			Current Baseline Variance		
	Planned Completion Date	Total Cost ($M) Estimated	Completion Date Planned:Actual		Total Cost ($M) Planned:Actual		Schedule:Cost (# days/$M)	Percent Complete
1 Participant Services Modernization Plan	Sep 30, 2013	158.926	Sep 30, 2013	[Not answered]	158.926	[Not answered]	[Not answered]	[Not answered]	20.49
1.1 Project Management	Sep 30, 2013	12.844	Sep 30, 2013	[Not answered]	12.844	[Not answered]	[Not answered]	[Not answered]	11.1
1.1.1 FY 2006 Project Management	Sep 30, 2006	1.426	Sep 30, 2006	Sep 30, 2006	1.426	1.426	0	0	100
1.1.2 FY 2007 Project Management	Sep 30, 2007	1.476	Sep 30, 2007	[Not answered]	1.476	[Not answered]	[Not answered]	[Not answered]	75
1.1.3 FY 2008 Project Management	Sep 30, 2008	1.528	Sep 30, 2008	[Not answered]	1.528	[Not answered]	[Not answered]	[Not answered]	0
1.1.4 FY 2009 Project Management	Sep 30, 2009	1.579	Sep 30, 2009	[Not answered]	1.579	[Not answered]	[Not answered]	[Not answered]	0
1.1.5 FY 2010 Project Management	Sep 30, 2010	1.631	Sep 30, 2010	[Not answered]	1.631	[Not answered]	[Not answered]	[Not answered]	0
1.1.6 FY 2011 Project Management	Sep 30, 2011	1.683	Sep 30, 2011	[Not answered]	1.683	[Not answered]	[Not answered]	[Not answered]	0
1.1.7 FY 2012 Project Management	Sep 30, 2012	1.734	Sep 30, 2012	[Not answered]	1.734	[Not answered]	[Not answered]	[Not answered]	0
1.1.8 FY 2013	Sep 30,	1.786	Sep	[Not	1.786	[Not	[Not	[Not	0

4. Comparison of Initial Baseline and Current Approved Baseline:

Project Management	2013		30, 2013	answered]		answered]	answered]	answered]	
1.2 Development Modernization and Enhancements	Sep 30, 2013	73.016	Sep 30, 2013	[Not answered]	73.016	[Not answered]	[Not answered]	[Not answered]	22.72
1.2.1 FY 2006 DME	Sep 30, 2006	11.698	Sep 30, 2006	Sep 30, 2006	11.698	10.288	0	-1.411	100
1.2.1.2 FY 2006 Customer Relationship Management (CRM) Supporting Applications DME	Sep 30, 2006	3.296	Sep 30, 2006	Sep 30, 2006	3.296	2.381	0	-0.915	100
1.2.1.3 FY 2006 Participant Records Information Systems Management (PRISM) for Spectrum Supporting Applications DME	Sep 30, 2006	1.7	Sep 30, 2006	Sep 30, 2006	1.7	1.765	0	0.065	100
1.2.1.4 FY 2006 Participant Records Information Systems Management (PRISM) and electronic Automated Letter Generation (eALG) Supporting Applications DME	Sep 30, 2006	2.483	Sep 30, 2006	Sep 30, 2006	2.483	2.704	0	0.221	100
1.2.1.5 FY 2006 My Pension Benefit Account (MyPBA) DME	Sep 30, 2006	1.4	Sep 30, 2006	Sep 30, 2006	1.4	0.87	0	-0.531	100
1.2.1.1 FY 2006 Case Management System (CMS) Supporting Application DME	Sep 30, 2006	2.819	Sep 30, 2006	Sep 30, 2006	2.819	2.568	0	-0.25	100
1.2.2 FY 2007 DME	Sep 30, 2007	7.209	Sep 30,	[Not answered]	7.209	[Not answered]	[Not answered]	[Not answered]	75

			2007						
1.2.2.1 FY 2007 Case Management System (CMS) Supporting Application DME	Sep 30, 2007	1.842	Sep 30, 2007	[Not answered]	1.842	[Not answered]	[Not answered]	[Not answered]	75
1.2.2.2 FY 2007 Customer Relationship Management (CRM) Supporting Applications DME	Sep 30, 2007	0.64	Sep 30, 2007	[Not answered]	0.64	[Not answered]	[Not answered]	[Not answered]	75
1.2.2.3 FY 2007 Participant Records Information Systems Management (PRISM) for Spectrum Supporting Applications DME	Sep 30, 2007	2.1	Sep 30, 2007	[Not answered]	2.1	[Not answered]	[Not answered]	[Not answered]	75
1.2.2.4 FY 2007 Participant Records Information Systems Management (PRISM) and electronic Automated Letter Generation (eALG) Supporting Applications DME	Sep 30, 2007	1.228	Sep 30, 2007	[Not answered]	1.228	[Not answered]	[Not answered]	[Not answered]	75
1.2.2.5 FY 2007 My Pension Benefit Account (MyPBA) DME	Sep 30, 2007	1.4	Sep 30, 2007	[Not answered]	1.4	[Not answered]	[Not answered]	[Not answered]	75
1.2.3 Security Compliance DME	Sep 30, 2013	7.349	Sep 30, 2013	[Not answered]	7.349	[Not answered]	[Not answered]	[Not answered]	75
1.2.3.1 FY 2008 C&As and Address Security Findings	Sep 30, 2008	1.379	Sep 30, 2008	[Not answered]	1.379	[Not answered]	[Not answered]	[Not answered]	0
1.2.3.2 FY 2009 C&As and Address	Sep 30, 2009	1.216	Sep 30, 2009	[Not answered]	1.216	[Not answered]	[Not answered]	[Not answered]	0

Security Findings 9/30/2009									
1.2.3.3 FY 2010 C&As and Address Security Findings	Sep 30, 2010	1.238	Sep 30, 2010	[Not answered]	1.238	[Not answered]	[Not answered]	[Not answered]	0
1.2.3.4 FY 2011 C&As and Address Security Findings	Sep 30, 2011	1.178	Sep 30, 2011	[Not answered]	1.178	[Not answered]	[Not answered]	[Not answered]	0
1.2.3.5 FY 2012 C&As and Address Security Findings	Sep 30, 2012	1.176	Sep 30, 2012	[Not answered]	1.176	[Not answered]	[Not answered]	[Not answered]	0
1.2.3.6 FY 2013 C&As and Address Security Findings	Sep 30, 2013	1.161	Sep 30, 2013	[Not answered]	1.161	[Not answered]	[Not answered]	[Not answered]	0
1.2.4 Risk Management DME	Sep 30, 2013	13.49	Sep 30, 2013	[Not answered]	13.49	[Not answered]	[Not answered]	[Not answered]	0
1.2.4.1 Quality Assurance Risk Mitigation DME	Sep 30, 2013	1.966	Sep 30, 2013	[Not answered]	1.966	[Not answered]	[Not answered]	[Not answered]	0
1.2.4.1.1 FY 2008 QA Support DME	Sep 30, 2008	0.405	Sep 30, 2008	[Not answered]	0.405	[Not answered]	[Not answered]	[Not answered]	0
1.2.4.1.2 FY 2009 QA Support DME	Sep 30, 2009	0.275	Sep 30, 2009	[Not answered]	0.275	[Not answered]	[Not answered]	[Not answered]	0
1.2.4.1.3 FY 2010 QA Support DME	Sep 30, 2010	0.345	Sep 30, 2010	[Not answered]	0.345	[Not answered]	[Not answered]	[Not answered]	0
1.2.4.1.4 FY 2011 QA Support DME	Sep 30, 2011	0.351	Sep 30, 2011	[Not answered]	0.351	[Not answered]	[Not answered]	[Not answered]	0
1.2.4.1.5 FY 2012 QA Support DME	Sep 30, 2012	0.3	Sep 30, 2012	[Not answered]	0.3	[Not answered]	[Not answered]	[Not answered]	0
1.2.4.1.6 FY 2013 QA Support DME	Sep 30, 2013	0.29	Sep 30, 2013	[Not answered]	0.29	[Not answered]	[Not answered]	[Not answered]	0
1.2.4.2 Business Process Re-engineering (BPR) Risk Mitigation DME	Sep 30, 2013	3.999	Sep 30, 2013	[Not answered]	3.999	[Not answered]	[Not answered]	[Not answered]	0
1.2.4.2.1 FY 2008 IT	Sep 30, 2008	0.454	Sep 30,	[Not answered]	0.454	[Not answered]	[Not answered]	[Not answered]	0

changes from BPR			2008					
1.2.4.2.2 FY 2009 IT changes from BPR	Sep 30, 2009	0.705	Sep 30, 2009	[Not answered]	0.705	[Not answered]	[Not answered]	[Not answered]	0
1.2.4.2.3 FY 2010 IT changes from BPR	Sep 30, 2010	0.71	Sep 30, 2010	[Not answered]	0.71	[Not answered]	[Not answered]	[Not answered]	0
1.2.4.2.4 FY 2011 IT changes from BPR	Sep 30, 2011	0.71	Sep 30, 2011	[Not answered]	0.71	[Not answered]	[Not answered]	[Not answered]	0
1.2.4.2.5 FY 2012 IT changes from BPR	Sep 30, 2012	0.71	Sep 30, 2012	[Not answered]	0.71	[Not answered]	[Not answered]	[Not answered]	0
1.2.4.2.6 FY 2013 IT changes from BPR	Sep 30, 2013	0.71	Sep 30, 2013	[Not answered]	0.71	[Not answered]	[Not answered]	[Not answered]	0
1.2.4.3 Risk Response DME	Sep 30, 2013	7.525	Sep 30, 2013	[Not answered]	7.525	[Not answered]	[Not answered]	[Not answered]	0
1.2.4.3.1 FY 2008 Risk Response DME	Sep 30, 2008	0.861	Sep 30, 2008	[Not answered]	0.861	[Not answered]	[Not answered]	[Not answered]	0
1.2.4.3.2 FY 2009 Risk Response DME	Sep 30, 2009	1.1	Sep 30, 2009	[Not answered]	1.1	[Not answered]	[Not answered]	[Not answered]	0
1.2.4.3.3 FY 2010 Risk Response DME	Sep 30, 2010	1.064	Sep 30, 2010	[Not answered]	1.064	[Not answered]	[Not answered]	[Not answered]	0
1.2.4.3.4 FY 2011 Risk Response DME	Sep 30, 2011	1.5	Sep 30, 2011	[Not answered]	1.5	[Not answered]	[Not answered]	[Not answered]	0
1.2.4.3.5 FY 2012 Risk Response DME	Sep 30, 2012	1.5	Sep 30, 2012	[Not answered]	1.5	[Not answered]	[Not answered]	[Not answered]	0
1.2.4.3.6 FY 2013 Risk Response DME	Sep 30, 2013	1.5	Sep 30, 2013	[Not answered]	1.5	[Not answered]	[Not answered]	[Not answered]	0
1.2.5 Infrastructure Support DME	Sep 30, 2013	1.966	Sep 30, 2013	[Not answered]	1.966	[Not answered]	[Not answered]	[Not answered]	0
1.2.5.1 FY 2008 Infrastructure Support DME	Sep 30, 2008	0.405	Sep 30, 2008	[Not answered]	0.405	[Not answered]	[Not answered]	[Not answered]	0
1.2.5.2 FY 2009 Infrastructure Support DME	Sep 30, 2009	0.275	Sep 30, 2009	[Not answered]	0.275	[Not answered]	[Not answered]	[Not answered]	0
1.2.5.3 FY 2010 Infrastructure	Sep 30, 2010	0.345	Sep 30,	[Not answered]	0.345	[Not answered]	[Not answered]	[Not answered]	0

Support DME			2010						
1.2.5.4 FY 2011 Infrastructure Support DME	Sep 30, 2011	0.351	Sep 30, 2011	[Not answered]	0.351	[Not answered]	[Not answered]	[Not answered]	0
1.2.5.5 FY 2012 Infrastructure Support DME	Sep 30, 2012	0.3	Sep 30, 2012	[Not answered]	0.3	[Not answered]	[Not answered]	[Not answered]	0
1.2.5.6 FY 2013 Infrastructure Support DME	Sep 30, 2013	0.29	Sep 30, 2013	[Not answered]	0.29	[Not answered]	[Not answered]	[Not answered]	0
1.2.6 Supporting Application DME	Mar 31, 2013	31.304	Mar 31, 2013	[Not answered]	31.304	[Not answered]	[Not answered]	[Not answered]	0
1.2.6.1 DME for Supporting Application Consolidation, Modernization, and Enhancements	Sep 30, 2012	16.177	Sep 30, 2012	[Not answered]	16.177	[Not answered]	[Not answered]	[Not answered]	0
1.2.6.1.1 Participant Records Information System Management (PRISM) Supporting Applications	Sep 30, 2011	8.375	Sep 30, 2011	[Not answered]	8.375	[Not answered]	[Not answered]	[Not answered]	0
1.2.6.1.1.1 Row-level Security Service 2.0 Enhancements	Sep 30, 2008	0.175	Sep 30, 2008	[Not answered]	0.175	[Not answered]	[Not answered]	[Not answered]	0
1.2.6.1.1.2 Spectrum Consolidate DataHub applications; Modernize alerts for automated plan uploads; Modernize to latest SOA	Jun 30, 2008	1.6	Jun 30, 2008	[Not answered]	1.6	[Not answered]	[Not answered]	[Not answered]	0
1.2.6.1.1.3 Spectrum Consolidate applications for Balancer, Trial Balance, Ledgers; Modernize to latest SOA	Sep 30, 2008	1.4	Sep 30, 2008	[Not answered]	1.4	[Not answered]	[Not answered]	[Not answered]	0
1.2.6.1.1.4 Spectrum Consolidate	Sep 30, 2009	1.1	Sep 30, 2009	[Not answered]	1.1	[Not answered]	[Not answered]	[Not answered]	0

applications for Integrator; Modernize to latest SOA									
1.2.6.1.1.5 Spectrum Modernize SOA for approvals submission from CRM and MyPBA	Sep 30, 2010	0.5	Sep 30, 2010	[Not answered]	0.5	[Not answered]	[Not answered]	[Not answered]	0
1.2.6.1.1.6 Spectrum Modernize to latest EA compliant security model, Oracle Client, and Oracle Database	Sep 30, 2010	0.5	Sep 30, 2010	[Not answered]	0.5	[Not answered]	[Not answered]	[Not answered]	0
1.2.6.1.1.7 Spectrum Modernization Requirements and Design for latest EA compliant database	Sep 30, 2010	1	Sep 30, 2010	[Not answered]	1	[Not answered]	[Not answered]	[Not answered]	0
1.2.6.1.1.8 Spectrum Modernize SOA to latest EA compliant database and migrate data	Sep 30, 2011	1.5	Sep 30, 2011	[Not answered]	1.5	[Not answered]	[Not answered]	[Not answered]	0
1.2.6.1.1.9 Spectrum Consolidate PRISM Customer/Forms with DataHub and Genesis SOA	Apr 30, 2008	0.6	Apr 30, 2008	[Not answered]	0.6	[Not answered]	[Not answered]	[Not answered]	0
1.2.6.1.2 electronic Automated Letter Generation (eALG) Supporting Applications	Sep 30, 2012	1.5	Sep 30, 2012	[Not answered]	1.5	[Not answered]	[Not answered]	[Not answered]	0
1.2.6.1.2.1 eALG Phase 1 Modernization	Sep 30, 2011	0.75	Sep 30, 2011	[Not answered]	0.75	[Not answered]	[Not answered]	[Not answered]	0
1.2.6.1.2.2 eALG Phase 2 Modernization	Sep 30, 2012	0.75	Sep 30, 2012	[Not answered]	0.75	[Not answered]	[Not answered]	[Not answered]	0

1.2.6.1.3 Case Management System Supporting (CMS) Supporting Applications	Jun 30, 2011	6.302	Jun 30, 2011	[Not answered]	6.302	[Not answered]	[Not answered]	[Not answered]	0
1.2.6.1.3.1 CMS Enhancements to meet business processes requirements deferred from 2005	May 30, 2008	1.462	May 30, 2008	[Not answered]	1.462	[Not answered]	[Not answered]	[Not answered]	0
1.2.6.1.3.2 CMS Modernize to latest FileNet COTS version	May 30, 2008	0.1	May 30, 2008	[Not answered]	0.1	[Not answered]	[Not answered]	[Not answered]	0
1.2.6.1.3.3 CMS Modernize to Single SignOn and latest EA compliant security model	Jun 30, 2009	1.462	Jun 30, 2009	[Not answered]	1.462	[Not answered]	[Not answered]	[Not answered]	0
1.2.6.1.3.4 CMS Consolidate User Provisioning Tool to latest EA compliant security model; Modernize SOA to latest EA Compliant Database, Oracle Client, Oracle Database, and migrate data	Jun 30, 2010	1.916	Jun 30, 2010	[Not answered]	1.916	[Not answered]	[Not answered]	[Not answered]	0
1.2.6.1.3.5 CMS Enhancements	Jun 30, 2011	1.362	Jun 30, 2011	[Not answered]	1.362	[Not answered]	[Not answered]	[Not answered]	0
1.2.6.2 DME for Increasing Customer Service Efficiency through Supporting Applications	Mar 31, 2013	15.127	Mar 31, 2013	[Not answered]	15.127	[Not answered]	[Not answered]	[Not answered]	0
1.2.6.2.1 Oracle Customer Relationship Management (CRM) COTS	Dec 31, 2010	3.127	Dec 31, 2010	[Not answered]	3.127	[Not answered]	[Not answered]	[Not answered]	0

DME									
1.2.6.2.1.1 CRM Enhancements	Apr 30, 2008	0.759	Apr 30, 2008	[Not answered]	0.759	[Not answered]	[Not answered]	[Not answered]	0
1.2.6.2.1.2 CRM Modernize to lastest EA compliant Oracle CRM version and plan uploads with alerts from Spectrum	Dec 31, 2008	0.632	Dec 31, 2008	[Not answered]	0.632	[Not answered]	[Not answered]	[Not answered]	0
1.2.6.2.1.3 CRM Enhancements for SOA inbound interface	May 31, 2009	0.339	May 31, 2009	[Not answered]	0.339	[Not answered]	[Not answered]	[Not answered]	0
1.2.6.2.1.4 CRM Enhancements as per guidance from BPR and Modernize to latest Oracle Client and Oracle Database	Dec 31, 2009	0.488	Dec 31, 2009	[Not answered]	0.488	[Not answered]	[Not answered]	[Not answered]	0
1.2.6.2.1.5 CRM Modernize to latest EA compliant database and migrate data	Sep 30, 2010	0.488	Sep 30, 2010	[Not answered]	0.488	[Not answered]	[Not answered]	[Not answered]	0
1.2.6.2.1.6 CRM Enhancements	Dec 31, 2010	0.421	Dec 31, 2010	[Not answered]	0.421	[Not answered]	[Not answered]	[Not answered]	0
1.2.6.2.2 My Pension Benefit Account (MyPBA) DME	Mar 31, 2011	8	Mar 31, 2011	[Not answered]	8	[Not answered]	[Not answered]	[Not answered]	0
1.2.6.2.2.1 FY 2008 MyPBA Enhancements	Mar 31, 2008	2	Mar 31, 2008	[Not answered]	2	[Not answered]	[Not answered]	[Not answered]	0
1.2.6.2.2.2 FY 2009 MyPBA Enhancements	Mar 31, 2009	2	Mar 31, 2009	[Not answered]	2	[Not answered]	[Not answered]	[Not answered]	0
1.2.6.2.2.3 FY 2010 MyPBA Enhancements	Mar 31, 2010	2	Mar 31, 2010	[Not answered]	2	[Not answered]	[Not answered]	[Not answered]	0
1.2.6.2.2.4 FY 2011 MyPBA Enhancements	Mar 31, 2011	2	Mar 31, 2011	[Not answered]	2	[Not answered]	[Not answered]	[Not answered]	0
1.2.6.2.3 General Enhancements DME	Mar 31, 2013	4	Mar 31, 2013	[Not answered]	4	[Not answered]	[Not answered]	[Not answered]	0
1.2.6.2.3.1 FY	Mar 31,	2	Mar	[Not	2	[Not	[Not	[Not	0

2012 Enhancements	2012		31, 2012	answered]		answered]	answered]	answered]	
1.2.6.2.3.2 FY 2013 Enhancements	Mar 31, 2013	2	Mar 31, 2013	[Not answered]	2	[Not answered]	[Not answered]	[Not answered]	0
1.3 Supporting Application SS	Sep 30, 2013	73.066	Sep 30, 2013	[Not answered]	73.066	[Not answered]	[Not answered]	[Not answered]	19.91
1.3.1 FY 2006 SS	Sep 30, 2006	9.309	Sep 30, 2006	Sep 30, 2006	9.309	9.068	0	-0.24	100
1.3.1.1 FY 2006 Image Processing System (IPS) Supporting Applications SS	Sep 30, 2006	4.478	Sep 30, 2006	Sep 30, 2006	4.478	4.469	0	-0.008	100
1.3.1.2 FY 2006 Case Management System (CMS) Supporting Application SS 9/30/2006	Sep 30, 2006	0.35	Sep 30, 2006	Sep 30, 2006	0.35	0.35	0	0	100
1.3.1.3 FY 2006 Customer Relationship Management (CRM) Supporting Applications SS	Sep 30, 2006	1.398	Sep 30, 2006	Sep 30, 2006	1.398	1.398	0	0	100
1.3.1.4 FY 2006 Participant Records Information Systems Management (PRISM) and electronic Automated Letter Generation (eALG) Supporting Applications SS	Sep 30, 2006	2.583	Sep 30, 2006	Sep 30, 2006	2.583	2.411	0	-0.172	100
1.3.1.5 FY 2006 My Pension Benefit Account (MyPBA) SS	Sep 30, 2006	0.5	Sep 30, 2006	Sep 30, 2006	0.5	0.44	0	-0.06	100
1.3.2 FY 2007 SS	Sep 30, 2007	9.934	Sep 30, 2007	[Not answered]	9.934	[Not answered]	[Not answered]	[Not answered]	75
1.3.2.1 FY 2007 Image Processing System (IPS)	Sep 30, 2007	4.331	Sep 30, 2007	[Not answered]	4.331	[Not answered]	[Not answered]	[Not answered]	75

Supporting Applications SS								
1.3.2.2 FY 2007 Case Management System (CMS) Supporting Application SS	Sep 30, 2007	0.44	Sep 30, 2007	[Not answered]	0.44	[Not answered]	[Not answered]	[Not answered]	75
1.3.2.3 FY 2007 Customer Relationship Management (CRM) Supporting Applications SS	Sep 30, 2007	1.363	Sep 30, 2007	[Not answered]	1.363	[Not answered]	[Not answered]	[Not answered]	75
1.3.2.4 FY 2007 Participant Records Information Systems Management (PRISM) and electronic Automated Letter Generation (eALG) Supporting Applications SS	Sep 30, 2007	3.3	Sep 30, 2007	[Not answered]	3.3	[Not answered]	[Not answered]	[Not answered]	75
1.3.2.5 FY 2007 My Pension Benefit Account (MyPBA) SS	Sep 30, 2007	0.5	Sep 30, 2007	[Not answered]	0.5	[Not answered]	[Not answered]	[Not answered]	75
1.3.3 Project Team SS	Sep 30, 2013	53.824	Sep 30, 2013	[Not answered]	53.824	[Not answered]	[Not answered]	[Not answered]	0
1.3.3.1 Image Processing System (IPS) Supporting Applications SS	Sep 30, 2013	26.824	Sep 30, 2013	[Not answered]	26.824	[Not answered]	[Not answered]	[Not answered]	0
1.3.3.1.1 FY 2008 IPS Supplies & Materials	Sep 30, 2008	0.054	Sep 30, 2008	[Not answered]	0.054	[Not answered]	[Not answered]	[Not answered]	0
1.3.3.1.2 FY 2009 IPS Supplies & Materials	Sep 30, 2009	0.054	Sep 30, 2009	[Not answered]	0.054	[Not answered]	[Not answered]	[Not answered]	0
1.3.3.1.3 FY 2010 IPS Supplies & Materials	Sep 30, 2010	0.54	Sep 30, 2010	[Not answered]	0.54	[Not answered]	[Not answered]	[Not answered]	0
1.3.3.1.4 FY 2011 IPS Supplies &	Sep 30, 2011	0.054	Sep 30, 2011	[Not answered]	0.054	[Not answered]	[Not answered]	[Not answered]	0

Materials									
1.3.3.1.5 FY 2012 IPS Supplies & Materials	Sep 30, 2012	0.054	Sep 30, 2012	[Not answered]	0.054	[Not answered]	[Not answered]	[Not answered]	0
1.3.3.1.6 FY 2013 IPS Supplies & Materials	Sep 30, 2013	0.054	Sep 30, 2013	[Not answered]	0.054	[Not answered]	[Not answered]	[Not answered]	0
1.3.3.1.7 FY 2008 IPS Equipment	Sep 30, 2008	0.46	Sep 30, 2008	[Not answered]	0.46	[Not answered]	[Not answered]	[Not answered]	0
1.3.3.1.8 FY 2009 IPS Equipment	Sep 30, 2009	0.46	Sep 30, 2009	[Not answered]	0.46	[Not answered]	[Not answered]	[Not answered]	0
1.3.3.1.9 FY 2010 IPS Equipment	Sep 30, 2010	0.46	Sep 30, 2010	[Not answered]	0.46	[Not answered]	[Not answered]	[Not answered]	0
1.3.3.1.10 FY 2011 IPS Equipment	Sep 30, 2011	0.46	Sep 30, 2011	[Not answered]	0.46	[Not answered]	[Not answered]	[Not answered]	0
1.3.3.1.11 FY 2012 IPS Equipment	Sep 30, 2012	0.46	Sep 30, 1912	[Not answered]	0.46	[Not answered]	[Not answered]	[Not answered]	0
1.3.3.1.12 FY 2013 IPS Equipment	Sep 30, 2013	0.46	Sep 30, 2013	[Not answered]	0.46	[Not answered]	[Not answered]	[Not answered]	0
1.3.3.1.13 FY 2008 IPS SS	Sep 30, 2008	3.817	Sep 30, 2008	[Not answered]	3.817	[Not answered]	[Not answered]	[Not answered]	0
1.3.3.1.14 FY 2009 IPS SS	Sep 30, 2009	3.817	Sep 30, 2009	[Not answered]	3.817	[Not answered]	[Not answered]	[Not answered]	0
1.3.3.1.15 FY 2010 IPS SS	Sep 30, 2010	3.937	Sep 30, 2010	[Not answered]	3.937	[Not answered]	[Not answered]	[Not answered]	0
1.3.3.1.16 FY 2011 IPS SS	Sep 30, 2011	4.057	Sep 30, 1911	[Not answered]	4.057	[Not answered]	[Not answered]	[Not answered]	0
1.3.3.1.17 FY 2012 IPS SS	Sep 30, 2012	4.057	Sep 30, 2012	[Not answered]	4.057	[Not answered]	[Not answered]	[Not answered]	0
1.3.3.1.18 FY 2013 IPS SS	Sep 30, 2013	4.057	Sep 30, 2013	[Not answered]	4.057	[Not answered]	[Not answered]	[Not answered]	0
1.3.3.2 CRM Supporting Applications SS	Sep 30, 2013	6	Sep 30, 2013	[Not answered]	6	[Not answered]	[Not answered]	[Not answered]	0
1.3.3.2.1 FY 2008 CRM SS	Sep 30, 2008	1	Sep 30, 2008	[Not answered]	1	[Not answered]	[Not answered]	[Not answered]	0
1.3.3.2.2 FY 2009 CRM SS	Sep 30, 2009	1	Sep 30, 2009	[Not answered]	1	[Not answered]	[Not answered]	[Not answered]	0

1.3.3.2.3 FY 2010 CRM SS	Sep 30, 2010	1	Sep 30, 2010	[Not answered]	1	[Not answered]	[Not answered]	[Not answered]	0
1.3.3.2.4 FY 2011 CRM SS	Sep 30, 2011	1	Sep 30, 2011	[Not answered]	1	[Not answered]	[Not answered]	[Not answered]	0
1.3.3.2.5 FY 2012 CRM SS	Sep 30, 2012	1	Sep 30, 2012	[Not answered]	1	[Not answered]	[Not answered]	[Not answered]	0
1.3.3.2.6 FY 2013 CRM SS	Sep 30, 2013	1	Sep 30, 2013	[Not answered]	1	[Not answered]	[Not answered]	[Not answered]	0
1.3.3.3 CMS Supporting Applications SS 9/30/2013	Sep 30, 2013	2.4	Sep 30, 2013	[Not answered]	2.4	[Not answered]	[Not answered]	[Not answered]	0
1.3.3.3.1 FY 2008 CMS SS 9/30/2008	Sep 30, 2008	0.4	Sep 30, 2008	[Not answered]	0.4	[Not answered]	[Not answered]	[Not answered]	0
1.3.3.3.2 FY 2009 CMS SS	Sep 30, 2009	0.4	Sep 30, 2009	[Not answered]	0.4	[Not answered]	[Not answered]	[Not answered]	0
1.3.3.3.3 FY 2010 CMS SS	Sep 30, 2010	0.4	Sep 30, 2010	[Not answered]	0.4	[Not answered]	[Not answered]	[Not answered]	0
1.3.3.3.4 FY 2011 CMS SS	Sep 30, 2011	0.4	Sep 30, 2011	[Not answered]	0.4	[Not answered]	[Not answered]	[Not answered]	0
1.3.3.3.5 FY 2012 CMS SS	Sep 30, 2012	0.4	Sep 30, 2012	[Not answered]	0.4	[Not answered]	[Not answered]	[Not answered]	0
1.3.3.3.6 FY 2013 CMS SS	Sep 30, 2013	0.4	Sep 30, 2013	[Not answered]	0.4	[Not answered]	[Not answered]	[Not answered]	0
1.3.3.4 eALG Supporting Applications SS	Sep 30, 2013	4.5	Sep 30, 2013	[Not answered]	4.5	[Not answered]	[Not answered]	[Not answered]	0
1.3.3.4.1 FY 2008 eALG SS	Sep 30, 2008	0.75	Sep 30, 2008	[Not answered]	0.75	[Not answered]	[Not answered]	[Not answered]	0
1.3.3.4.2 FY 2009 eALG SS	Sep 30, 2009	0.75	Sep 30, 2009	[Not answered]	0.75	[Not answered]	[Not answered]	[Not answered]	0
1.3.3.4.3 FY 2010 eALG SS	Sep 30, 2010	0.75	Sep 30, 2010	[Not answered]	0.75	[Not answered]	[Not answered]	[Not answered]	0
1.3.3.4.4 FY 2011 eALG SS	Sep 30, 2011	0.75	Sep 30, 2011	[Not answered]	0.75	[Not answered]	[Not answered]	[Not answered]	0
1.3.3.4.5 FY 2012 eALG SS	Sep 30, 2012	0.75	Sep 30, 2012	[Not answered]	0.75	[Not answered]	[Not answered]	[Not answered]	0
1.3.3.4.6 FY 2013 eALG SS	Sep 30, 2013	0.75	Sep 30,	[Not answered]	0.75	[Not answered]	[Not answered]	[Not answered]	0

			2013						
1.3.3.5 PRISM Supporting Application SS	Sep 30, 2013	11.1	Sep 30, 2013	[Not answered]	11.1	[Not answered]	[Not answered]	[Not answered]	0
1.3.3.5.1 Balancer, Trial Balance, Ledgers, Integrator Supporting Applications SS	Sep 30, 2009	1.5	Sep 30, 2009	[Not answered]	1.5	[Not answered]	[Not answered]	[Not answered]	0
1.3.3.5.1.1 FY 2008 Balancer, Trial Balance, Ledgers, Integrator Supporting Applications SS	Sep 30, 2008	0.75	Sep 30, 2008	[Not answered]	0.75	[Not answered]	[Not answered]	[Not answered]	0
1.3.3.5.1.2 FY 2009 Balancer, Trial Balance, Ledgers, Integrator Supporting Applications SS	Sep 30, 2009	0.75	Sep 30, 2009	[Not answered]	0.75	[Not answered]	[Not answered]	[Not answered]	0
1.3.3.5.2 DataHub, Data fixes, eReports Supporting Applications SS	Sep 30, 2013	1.8	Sep 30, 2013	[Not answered]	1.8	[Not answered]	[Not answered]	[Not answered]	0
1.3.3.5.2.1 FY 2008 DataHub, Data fixes, eReports SS	Sep 30, 2008	0.5	Sep 30, 2008	[Not answered]	0.5	[Not answered]	[Not answered]	[Not answered]	0
1.3.3.5.2.2 FY 2009 DataHub, Data fixes, eReports SS	Sep 30, 2009	0.5	Sep 30, 2009	[Not answered]	0.5	[Not answered]	[Not answered]	[Not answered]	0
1.3.3.5.2.3 FY 2010 Data fixes, eReports SS	Sep 30, 2010	0.2	Sep 30, 2010	[Not answered]	0.2	[Not answered]	[Not answered]	[Not answered]	0
1.3.3.5.2.4 FY 2011 Data fixes, eReports SS	Sep 30, 2011	0.2	Sep 30, 2011	[Not answered]	0.2	[Not answered]	[Not answered]	[Not answered]	0
1.3.3.5.2.5 FY 2012 Datafixes, eReports SS	Sep 30, 2012	0.2	Sep 30, 2012	[Not answered]	0.2	[Not answered]	[Not answered]	[Not answered]	0
1.3.3.5.2.6 FY 2013 Datafixes, eReports SS	Sep 30, 2013	0.2	Sep 30, 2013	[Not answered]	0.2	[Not answered]	[Not answered]	[Not answered]	0
1.3.3.5.3 Service Oriented Architecture (SOA) Supporting	Sep 30, 2013	3	Sep 30, 2013	[Not answered]	3	[Not answered]	[Not answered]	[Not answered]	0

Application SS									
1.3.3.5.3.1 FY 2008 SOA SS	Sep 30, 2008	0.5	Sep 30, 2008	[Not answered]	0.5	[Not answered]	[Not answered]	[Not answered]	0
1.3.3.5.3.2 FY 2009 SOA SS	Sep 30, 2009	0.5	Sep 30, 2009	[Not answered]	0.5	[Not answered]	[Not answered]	[Not answered]	0
1.3.3.5.3.3 FY 2010 SOA SS	Sep 30, 2010	0.5	Sep 30, 2010	[Not answered]	0.5	[Not answered]	[Not answered]	[Not answered]	0
1.3.3.5.3.4 FY 2011 SOA SS	Sep 30, 2011	0.5	Sep 30, 2011	[Not answered]	0.5	[Not answered]	[Not answered]	[Not answered]	0
1.3.3.5.3.5 FY 2012 SOA SS	Sep 30, 2012	0.5	Sep 30, 2012	[Not answered]	0.5	[Not answered]	[Not answered]	[Not answered]	0
1.3.3.5.3.6 FY 2013 SOA SS	Sep 30, 2013	0.5	Sep 30, 2013	[Not answered]	0.5	[Not answered]	[Not answered]	[Not answered]	0
1.3.3.5.4 Spectrum Supporting Application SS	Sep 30, 2013	1.8	Sep 30, 2013	[Not answered]	1.8	[Not answered]	[Not answered]	[Not answered]	0
1.3.3.5.4.1 FY 2008 Spectrum SS	Sep 30, 2008	0.3	Sep 30, 2008	[Not answered]	0.3	[Not answered]	[Not answered]	[Not answered]	0
1.3.3.5.4.2 FY 2009 Spectrum SS	Sep 30, 2009	0.3	Sep 30, 2009	[Not answered]	0.3	[Not answered]	[Not answered]	[Not answered]	0
1.3.3.5.4.3 FY 2010 Spectrum SS	Sep 30, 2010	0.3	Sep 30, 2010	[Not answered]	0.3	[Not answered]	[Not answered]	[Not answered]	0
1.3.3.5.4.4 FY 2011 Spectrum SS	Sep 30, 2011	0.3	Sep 30, 2011	[Not answered]	0.3	[Not answered]	[Not answered]	[Not answered]	0
1.3.3.5.4.5 FY 2012 Spectrum SS	Sep 30, 2012	0.3	Sep 30, 2012	[Not answered]	0.3	[Not answered]	[Not answered]	[Not answered]	0
1.3.3.5.4.6 FY 2013 Spectrum SS	Sep 30, 2013	0.3	Sep 30, 2013	[Not answered]	0.3	[Not answered]	[Not answered]	[Not answered]	0
1.3.3.5.5 Actuarial Calculation Toolkit (ACT) Supporting Application SS	Sep 30, 2013	3	Sep 30, 2013	[Not answered]	3	[Not answered]	[Not answered]	[Not answered]	0
1.3.3.5.5.1 FY 2008 ACT SS	Sep 30, 2008	0.5	Sep 30, 2008	[Not answered]	0.5	[Not answered]	[Not answered]	[Not answered]	0
1.3.3.5.5.2 FY 2009 ACT SS	Sep 30, 2009	0.5	Sep 30, 2009	[Not answered]	0.5	[Not answered]	[Not answered]	[Not answered]	0
1.3.3.5.5.3 FY	Sep 30,	0.5	Sep	[Not	0.5	[Not	[Not	[Not	0

2010 ACT SS	2010		30, 2010	answered]		answered]	answered]	answered]	
1.3.3.5.5.4 FY 2011 ACT SS	Sep 30, 2011	0.5	Sep 30, 2011	[Not answered]	0.5	[Not answered]	[Not answered]	[Not answered]	0
1.3.3.5.5.5 FY 2012 ACT SS	Sep 30, 2012	0.5	Sep 30, 2012	[Not answered]	0.5	[Not answered]	[Not answered]	[Not answered]	0
1.3.3.5.5.6 FY 2013 ACT SS	Sep 30, 2013	0.5	Sep 30, 2013	[Not answered]	0.5	[Not answered]	[Not answered]	[Not answered]	0
1.3.3.6 MyPBA SS	Sep 30, 2013	3	Sep 30, 2013	[Not answered]	3	[Not answered]	[Not answered]	[Not answered]	0
1.3.3.6.1 FY 2008 MyPBA SS	Sep 30, 2008	0.5	Sep 30, 2008	[Not answered]	0.5	[Not answered]	[Not answered]	[Not answered]	0
1.3.3.6.2 FY 2009 MyPBA SS	Sep 30, 2009	0.5	Sep 30, 2009	[Not answered]	0.5	[Not answered]	[Not answered]	[Not answered]	0
1.3.3.6.3 FY 2010 MyPBA SS	Sep 30, 2010	0.5	Sep 30, 2010	[Not answered]	0.5	[Not answered]	[Not answered]	[Not answered]	0
1.3.3.6.4 FY 2011 MyPBA SS	Sep 30, 2011	0.5	Sep 30, 2011	[Not answered]	0.5	[Not answered]	[Not answered]	[Not answered]	0
1.3.3.6.5 FY 2012 MyPBA SS	Sep 30, 2012	0.5	Sep 30, 2012	[Not answered]	0.5	[Not answered]	[Not answered]	[Not answered]	0
1.3.3.6.6 FY 2013 MyPBA SS	Sep 30, 2013	0.5	Sep 30, 2013	[Not answered]	0.5	[Not answered]	[Not answered]	[Not answered]	0