

## **RAILROAD RETIREMENT BOARD**

### **Information Technology Initiatives for Fiscal Year 2013**

#### **Introduction**

The Railroad Retirement Board actively pursues the continued automation and modernization of its various processing systems to support its mission to administer retirement/survivor and unemployment/sickness insurance benefit programs for railway workers and their families under the Railroad Retirement Act and the Railroad Unemployment Insurance Act. Automation initiatives in recent years have significantly improved operations while allowing the agency to reduce staffing in certain areas.

The Federal CIO's "25 Point Implementation Plan to Reform Federal Information Technology Management" puts heavy emphasis on IT operational efficiency and effective management of IT programs. Ongoing and planned projects will further increase and enhance the efficiency and effectiveness of our benefit payments and program administration. Drivers for all of the IT initiatives are the principles identified in the agency's Information Resources Management Strategic Plan and Enterprise Architecture.

Descriptions of key capital initiatives for fiscal year 2013 are below. These address the IT Infrastructure, IT Project Management and Cyber Security initiatives following Office of Management and Budget Memorandum M-10-19, *Fiscal Year 2012 Budget Guidance*.

#### **Application Development Services**

These investments represent innovation-intense technology initiatives for long-term cost savings, e.g. automate manual work, improve operations, etc.

##### **FFS Conversion (\$3,562,000)**

OMB Circular A-127 prescribes policies and standards for executive departments and agencies to follow when managing their financial management systems. The circular defines requirements to adopt standard financial business practices. Small agencies are particularly encouraged to use cross-servicing to meet fundamental core financial and payroll/personnel processing and reporting requirements.

The RRB's legacy financial management system, Federal Financial System (FFS), reached its end of life cycle in fiscal year 2003. While the FFS continues to meet the financial processing and reporting requirements of the RRB, conversion to a shared service provider hosted solution follows OMB Circular A-127 guidance while removing the risk associated with dependence on a system that has reached its end of life cycle.

Advantages of a conversion include compliance with the business processes established by the Financial Systems Integration Office (FSIO), improved end-user reporting capabilities, a user-friendly interface, and the transfer of daily system operations to an outside service provider. The transfer of system operations relieves

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the agency of activities such as supporting the financial management system application upgrades, configurations, maintenance and modifications.

#### **Enterprise Human Resources Integration (\$280,000)**

Enterprise Human Resources Integration (EHRI) is one of five Office of Personnel Management (OPM) led e-Government initiatives along with e-Clearance, e-Payroll, e-Training, and Recruitment One-Stop designed to leverage the benefits of information technology. OPM, working with the Office of Management and Budget, has advised agencies that they need to convert the Official Personnel Folders of their employees to an electronic format by December 2013. The electronic Official Personnel Folder (eOPF) is the solution that OPM has chosen for the Federal government.

#### **E-Government (\$200,000)**

Initiatives in this category provide electronic services to the public, as outlined in the Government Paperwork Elimination Act of 1998, and other Federal directives/mandates. They also achieve our strategic objective of providing our customers with more flexible service delivery options. In 2013, we will continue to use contractor assistance to supplement agency resources on the multi-year, multi-stage Employer Reporting System (ERS) initiative. The focus will be on delivering seven reporting services and replacing several post-reporting requests for information from employers. We also plan to provide automated access to Railroad Unemployment Insurance Act contribution and tax notices resulting in two additional services.

#### **Web Content Management System (\$250,000)**

We plan to obtain and migrate to a content management-based web hosted service to manage the agency's website, [.rrb.](#). This solution is in alignment with the Administration's "Cloud First" strategy. A web content management (WCM) system is an Internet-based content management system designed to simplify the publication of web content to websites and mobile devices, allowing content creators to submit content without requiring technical knowledge of HTML or the uploading of files. A WCM platform empowers existing staff without needing to retain and/or retrain specialized skills. The WCM would replace the agency's use of a no longer supported web publishing tool to manage administration and publishing tasks on its website.

#### **Electronic Records Content Management System (\$300,000)**

When complete, the Electronic Records Management System will identify, maintain, classify and dispose of RRB electronic records, including E-mail, according to specified records disposition policies. The initiative is a multi-year effort consisting of consultative guidance, the installation of software, hardware, training, and associated policies and procedures that will enable the RRB to manage its records electronically.

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#### Cyber Security

The agency retains primary responsibility for securing and defending its own network and critical information infrastructure from cyber attacks. The RRB's risk management and privacy strategy is to make attacks ineffective through prevention and detect successful attacks by enabling surveillance. This strategy is accomplished through the complementary use of technology and well-trained personnel, and by following various information security best practice federal laws and mandates, e.g. FISMA, HSPD-12, FDCC, etc. While executing this strategy, the RRB also takes the protection of privacy and civil liberties seriously.

##### Network Access Control device (\$25,000)

For fiscal year 2013 we plan to acquire a new Network Access Control (NAC) device. This is necessary due to the current NAC's end of service life. The NAC device provides the RRB a centrally managed security device that defines security policies to assist in identifying and isolating all non-compliant, compromised, or mis-configured computers accessing the RRB network.

#### IT Infrastructure

Information technology infrastructure investments are required to establish a firm foundation for the technology advances we have planned in accordance with the agency's Information Resources Management Strategic Plan and target enterprise architecture, and to maintain our operational readiness. The specific investments in fiscal year 2013 include:

##### Storage Area Network Upgrade (\$175,000)

As of fiscal year 2011, following its own established strategy and that of the Administration's Federal Data Center Consolidation Initiative to reduce the overall energy use within government data centers, the agency virtualized 43 percent of its data center servers. At the current pace we anticipate 60 percent of the agency's servers will be virtualized by the end of fiscal year 2013. The agency's storage area network (SAN) provides the storage for its virtual server environment. It is also used for backup and archival storage. The agency plans to enhance the current SAN system by adding additional storage and obtaining services and tools to ensure current storage is optimized.

##### Desktop Virtualization (\$100,000)

The goal of this initiative is to build a small proof of concept desktop virtualization pilot project and seek technical expertise for planning enterprise-wide adoption if the proof of concept proves cost effective for the agency. The main attractions to desktop virtualization technology is ease in migrating and upgrading operating systems and applications with less downtime, eliminating the need to recode, retest and recertify applications, and maximizing the agency's usage of existing desktop assets.

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#### *Infrastructure Replacement (\$1,168,000)*

The RRB's utilization of IT equipment has increased considerably in support of its mission to administer retirement/survivor and unemployment/sickness insurance benefit programs for railroad workers and their families under the Railroad Retirement Act and the Railroad Unemployment Insurance Act. This item provides funding for the continued upgrading and scheduled replacement of the agency's IT infrastructure equipment and related software. The upgrades and replacements follow the RRB's *IT Equipment Replacement Policy* for modernizing and securing the agency's computer operations.

#### *Emergency Business System/Application Restoration Services (\$50,000)*

This non-capital element allows the agency to quickly and efficiently purchase IT services for computer programming, hardware, software, and other IT-related services. Specifically, funds will be used for expert IT professional services necessary in the event of resources availability shortages and restoration time constraints to facilitate the continuity of operations in an emergency situation.

### **IT Project Management**

The Clinger-Cohen Act provides direction in the way Federal agencies must acquire and manage information technology (IT). The Act expands upon the requirement, initially introduced by the Government Performance and Results Act (GPRA), that agency IT investments be directly linked to, and supportive of, program objectives. In support of this Act, the RRB has established an IT decision-making process for formulating IT policy, capital investments and information resource management.

The Executive Committee (EC) is the top-level panel of RRB agency executives designated by the Board. The EC has broad responsibilities for addressing the agency's overall policy and management issues, including ensuring that IT investments result in substantial benefit to the RRB and its customers. The Chief Information Officer (CIO) has agency-wide information resource management responsibilities and is responsible for establishing an IT investment process for selecting, controlling, and evaluating IT investments. The CIO oversees and manages all automated information processing activities of the agency and ensures, based on input from the Information Technology Steering Committee (ITSC) and affected bureaus/offices, that resources are being used effectively among programmatic areas to carry out the agency's business priorities. All projects undergo detailed evaluation as part of each budget years' process. The agency does not have any high risk IT projects.

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**Information Technology (IT) Capital Plan**  
**FY 2011 - 2016**

<b>Capital Element</b>	<b>FY 2011 <sup>a/</sup></b>	<b>FY 2012 <sup>b/</sup></b>	<b>FY 2013 <sup>c/</sup></b>	<b>FY 2014</b>	<b>FY 2015</b>	<b>FY 2016</b>	<b>TOTAL</b>
1. Mainframe	\$0	\$0	\$0	\$520,000	\$0	\$0	<b>\$520,000</b>
2. Network operations	483,474	14,000	275,000	250,000	250,000	250,000	<b>\$1,522,474</b>
3. Infrastructure replacement	152,114	392,000	1,168,000	550,000	780,000	400,000	<b>\$3,442,114</b>
4. IT tools and systems	8,600	0	550,000	350,000	300,000	200,000	<b>\$1,408,600</b>
5. E-Government	415,070	200,000	200,000	200,000	200,000	200,000	<b>\$1,415,070</b>
6. Risk management and privacy	135,000	254,000	25,000	200,000	200,000	200,000	<b>\$1,014,000</b>
7. System modernization	100,000	500,000	0	150,000	150,000	150,000	<b>\$1,050,000</b>
8. Enterprise Human Resources Integration	0	0	280,000	0	0	0	<b>\$280,000</b>
9. FFS migration to shared service provider	0	0	3,562,000	0	0	0	<b>\$3,562,000</b>
10. Continuity of operations improvements	0	400,000	0	100,000	100,000	100,000	<b>\$700,000</b>
<b>Non-Capital Plan Element</b>							
11. IT task orders	0	50,000	50,000	50,000	50,000	50,000	<b>\$250,000</b>
<b>TOTAL</b>	<b>\$1,294,258</b>	<b>\$1,810,000</b>	<b>\$6,110,000</b>	<b>\$2,370,000</b>	<b>\$2,030,000</b>	<b>\$1,550,000</b>	<b>\$15,164,258</b>

a/ Amounts reflect budgeted funding as of September 12, 2011.

b/ Amounts reflect funding at the passback amount for fiscal year 2012 budget.

c/ Amounts reflect funding at the agency request level. At the OMB guidance and reduced budget levels, total funding for IT investments would be limited to \$1 million and \$500,000, respectively. These amounts would be used for only the highest priority immediate needs to be determined at the time.

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**Information Technology (IT) Capital Plan**  
**FY 2011 - 2016**

**1. Capital Element: Mainframe**

FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016	TOTAL
\$0	\$0	\$0	\$520,000	\$0	\$0	\$520,000

**Agency Strategy and Benefits:** The mainframe computer system has a vital role as the hub of the agency’s enterprise infrastructure, running mission-critical applications and databases.

The agency relies on the mainframe to:

- Perform large-scale transaction processing.
- Support a large number of users and application programs concurrently accessing numerous resources.
- Manage large volumes of information in databases.
- Handle large-bandwidth communication.

The agency’s current mainframe computer is an IBM z9 based platform put in operation in 2008. The need to change the mainframe hardware is measured by the needed capacity and hardware life cycle.

Each year, there is a greater reliance on technology to save FTEs and gain operational efficiencies. The agency continues to explore and implement new opportunities to automate more of its business processes. However, with increases in automation come increases in computer processor usage/need. Our strategy is to handle capacity growth with capacity upgrades within the system first, if possible, before upgrading to a new generation of hardware. There can be significant one-time third-party software costs associated with an upgrade in capacity.

Mainframe computers, like other server platforms, need periodic replacement. The RRB uses an IBM mainframe, which has a longer useful life other available platforms. The agency uses ten critical decision factors in determining when to replace the mainframe computer and upgrade to the next generation. These decision factors fall into the following four major categories: availability of support, functionality, pricing incentives, and stability of workload. The most critical decision factors are those that involve support issues and pricing.

*Fiscal year 2013*

There are no plans for changes to the mainframe system in this fiscal year. However, IBM’s business practices may change this position and it may become necessary to accelerate the migration to a new generation of IBM mainframe into fiscal year 2013.

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<b>Benefits of mainframe replacement/upgrade</b>
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| <ul style="list-style-type: none"><li>• Utilization of more efficient and advanced technology, resulting in increased productivity levels and service to the public.</li><li>• Proactive replacement of equipment mitigates the risk associated with system downtime.</li><li>• Improve capability to process a variety of job types simultaneously at very high utilizations.</li></ul> |
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<b>Risks of delay</b>
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| <ul style="list-style-type: none"><li>• Delays in paying retirement/survivor and unemployment/sickness insurance benefits.</li><li>• Productivity decreases, downtime or the total equipment failure.</li><li>• Workload processing inefficiencies.</li></ul> |
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*Fiscal years 2014 – 2016*

A new generation of IBM mainframe is typically introduced about every two and half years. By the 2014-2016 timeframe the agency mainframe will be more than two generations old. Operating system support, Architectural Level Sets (ALSs), and withdrawal marketing and support dates are key factors in determining the maximum amount of time the current generation can remain in use. In addition, maintaining the z9 based mainframe may not be optimal from a total cost of ownership perspective as new options become available.

Accordingly, we are planning for an upgrade of the mainframe. The budget climate will determine if the upgrade will occur in fiscal year 2014 or later years. The associated costs for this project include the mainframe computer (\$520,000) and the installation and configuration services to switch out the existing mainframe and install the new device. There also will be software costs as a result of the changeover.

*Note:* For fiscal year 2011, the agency had planned to increase the processing capacity of the current mainframe's central processor unit, based on millions of instructions per second (MIPS) capacity growth rate each year. The increase in MIPS would have resulted in an additional cost of \$825,000 for third party software agreements (IBM, Compuware, Computer Associates, etc.), and increased first year maintenance costs. Due to fiscal year budgetary constraints and enacting other computer process efficiencies, the MIPS capacity increase was deferred.

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**2. Capital Element: Network Operations**

FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016	TOTAL
\$483,474	\$14,000	\$275,000	\$250,000	\$250,000	\$250,000	\$1,522,474

**Agency Strategy and Benefits:** The RRB strives to provide the most resourceful and efficient computing environment to fulfill the agency mission and goals. This environment is supported by a strong network of connections and equipment which facilitates computer processing at headquarters and links the many field office systems.

It is fundamentally important that a reliable network infrastructure be in place to minimize any chance of disruption. The heart of the RRB’s network is a data center that runs the applications that handle core business and operational data. This capital item supports planned improvement projects for the agency’s servers and associated components, such as telecommunications and storage systems, software, backup power supplies, data communications connections, and environmental controls (e.g. air conditioning, fire suppression). This item also includes contractual assistance and augmentation of RRB mainframe and network staff to accomplish the initiatives.

*Fiscal year 2013*

Storage Area Network Upgrade.....	\$175,000
Desktop Virtualization.....	100,000
	<u>\$275,000</u>

Storage Area Network Upgrade

As of fiscal year 2011, the RRB had virtualized 43 percent of its data center servers following its own established strategy and that of the Administration’s Federal Data Center Consolidation Initiative. At the current pace we anticipate 60 percent of the agency’s servers will be virtualized by the end of fiscal year 2013. The agency’s storage area network (SAN) provides the storage for virtual servers and is used for backup and archival storage.

Before server virtualization, most applications resided on dedicated server hardware and storage. Server virtualization enables the sharing of resources within the server domain, however, it does not solve or alleviate the need for increased storage capacity or solve performance contention problems within the storage subsystem. The space capacity requirements and dependency on the SAN grows as the RRB continues to employ virtualization technology. The agency’s SAN infrastructure optimization strategy addresses business needs with consideration to workload characteristics and adherence to service level agreements and efficiency standards. Practical implementation of a highly available, scalable and flexible storage infrastructure requires a periodic review of storage requirements. As a result of these reviews, the RRB plans to enhance the current SAN system in fiscal year 2013. Planned enhancements include adding 160 terabytes of

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additional storage and obtaining services and tools to ensure the current storage is optimized and managed efficiently.

<b>Benefits of storage area network upgrade</b>
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| <ul style="list-style-type: none"><li>• Continued service to the user community and the agency's customers.</li><li>• Improved manageability by pooling previously distributed storage assets.</li><li>• Increased overall operational efficiency, improved asset utilization, and accelerated business processes.</li><li>• Proactive replacement of equipment mitigates the risk associated with network, server, and system downtime.</li></ul> |
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<b>Risks of delay</b>
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| <ul style="list-style-type: none"><li>• Decreases in productivity due to downtime or equipment failure.</li><li>• Inability to meet capacity and performance needs resulting from rapidly changing requirements, such as the growth in customer service applications.</li><li>• Potential service disruptions.</li><li>• Reduced ability to resume business in the event of a disaster.</li></ul> |
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Desktop Virtualization

The methods in which enterprises can deliver computing environments and applications to users have expanded significantly. Desktop virtualization provides users with a consistent, secure and personalized experience regardless of their location. It also facilitates a common standard desktop across the organization. This sort of system has many benefits that improve the speed of desktop deployment and disaster recovery and reduce operating costs. Specifically, the agency will be able to migrate and upgrade operating systems and applications with less downtime, eliminate duplicative processes (such as recoding, retesting, and recertifying applications), and maximize the agency's usage of existing desktop assets.

Hosted virtual desktops provide a mechanism for centralizing client desktop computers without the need to re-engineer applications for centralized execution. The cost for desktop virtualization includes three essential components: server virtualization software, brokering/session management software, and tools for managing the provisioning of virtual desktops.

Current plans are to complete a virtualization pilot in the first quarter of fiscal year 2013 for a select number of employees at headquarters and in the field offices. If the pilot project is successful, the infrastructure build will follow in fiscal year 2014.

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<b>Benefits of desktop virtualization</b>
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| <ul style="list-style-type: none"><li>• Reduced overhead through centralized activities.</li><li>• Ability to manage and maintain physical and virtual assets from a centralized location.</li><li>• Improved desktop deployment processes.</li><li>• Improved business continuity and disaster recovery.</li></ul> |
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<b>Risks of delay</b>
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| <ul style="list-style-type: none"><li>• Increased downtime for maintenance at individual stations.</li><li>• Less efficient resolutions by technicians dispatched to end-user locations.</li><li>• Departmental interruption in cases of variations among workstations.</li></ul> |
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*Fiscal years 2014 – 2016*

The projects will focus on modernizing the agency's network to make it simpler, less costly to manage, and more responsive to changing government and technology events.

*Note:* Cyclical replacement of IT hardware is included in Capital Element 3, Infrastructure Replacement. Funding for periodic upgrade and/or replacement of the mainframe computer is included in Capital Element 1, Mainframe.

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**3. Capital Element: *Infrastructure Replacement***

FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016	TOTAL
\$152,114	\$392,000	\$1,168,000	\$550,000	\$780,000	\$400,000	\$3,442,114

**Agency Strategy and Benefits:** Information technology infrastructure provides a critical foundation for the RRB’s mission and business processes. Desktops, notebooks, servers, printers, routers, and scanners (among other significant components) are all examples of IT equipment that encompasses the agency’s general IT infrastructure. The direct cost of maintaining matured technology and staff to support it can be very high, but there are also large indirect costs as well, including lost end-user productivity and downtime. These combined costs often make it more expensive to service existing infrastructure than to replace or upgrade it to newer, more-efficient alternatives.

A principle advantage of a scheduled replacement plan is the predictability and stability of the annual budget, which aids in long-term fiscal planning. By making acquisition a consistent and recurring event, the agency realizes two benefits: purchasing larger quantities decreases the average cost per asset and purchasing in a consistent manner standardizes hardware and software among the employees. A standardized and uniform IT environment not only provides acquisition savings but also provides savings from a support and repair perspective. Leveraging modern technology allows the RRB to maintain and improve upon its history of excellent customer service.

The agency’s long-term goal is to systematically replace all IT components according to industry standards in order to provide a stable technology environment. The infrastructure replacement capital item dedicates funds for the purpose of financing replacement of core IT infrastructure at its headquarters and field offices according to the agency’s *IT Equipment Replacement Policy*. Core IT infrastructure elements identified in the policy include:

- Notebook computers
- Monitors
- Personal desktop computers (not including monitors)
- Printers
- Routers/switches
- Peripheral equipment, e.g. card readers for personal identification verification cards and personal digital assistants (PDA’s)
- Scanners
- Network Servers

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*Fiscal year 2013*

Laptops .....	\$131,200
Monitors.....	175,600
Personal Desktop Computers.....	571,200
Printers.....	20,000
Routers/Switches.....	210,000
Servers.....	60,000
	\$1,168,000

In fiscal years 2013 and 2014, a significant portion of this capital element provides for the replacement of laptop and personal desktop computers throughout the agency. The RRB desktop virtualization pilot (Capital Element 2, Network Operations), planned for the first quarter of fiscal year 2013, will determine if a full rollout of desktop virtualization is feasible. If it is not, replacement of the workstations will be necessary in the fourth quarter.

<b>Benefits of scheduled infrastructure replacement</b>
<ul style="list-style-type: none"> <li>• More efficient technology that is more robust and less error prone, results in increased productivity levels and service to constituents.</li> <li>• Reduces risk associated with network, server, and system downtime.</li> <li>• Budgetary predictability and consistency.</li> <li>• Reduces staffing costs for maintenance of inconsistent assets.</li> <li>• Less dependency on IT support services.</li> <li>• Reduced time and costs of deploying and maintaining systems.</li> <li>• Reduced departmental disruption due to standardization of equipment.</li> </ul>

<b>Risks of delay</b>
<ul style="list-style-type: none"> <li>• Potential delays in providing benefits to customers in the event of IT problems or failures.</li> <li>• Reduced productivity due to downtime or systems issues.</li> <li>• Less predictability in future IT funding needs.</li> <li>• Inefficient assignment of staff to address the maintenance of older assets and inconsistencies within the IT environment.</li> <li>• Sustained reliance on IT support resources for the deployment and maintenance of the IT infrastructure.</li> <li>• Departmental interruption in cases of variations among equipment.</li> </ul>

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*Fiscal years 2014 – 2016*

The RRB will continue to replace IT equipment in accordance with the replacement cycle as funding is made available. This will ensure that the agency is providing the most efficient and reliable services to its customers. In the event that full funding is not available, replacement of IT equipment will be based on greatest need. Full funding is required in order to allow for the replacement of all equipment scheduled in the *IT Equipment Replacement Policy*. The purchase of remaining equipment will be deferred to subsequent fiscal years, creating a backlog of past-due infrastructure investments.

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**4. Capital Element: IT Tools and Systems**

FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016	TOTAL
\$8,600	\$0	\$550,000	\$350,000	\$300,000	\$200,000	\$1,408,600

**Agency Strategy and Benefits:** Technology can be used to collect, analyze, and package information so that it becomes a useful tool for the agency’s information technology and business professionals. These technology tools create knowledge about how to better serve our customers, develop innovative ideas, and speed implementation of new hardware and software systems.

This capital element is intended to provide technology tools to programmers, system engineers, technicians, and system support staffs that will greatly improve the efficiency and effectiveness of agency operations. Specific attributes include the ability to move development forward, improve the system development life cycle, and help business processes throughout the agency. Projected costs in this category for new or upgraded software tools and systems include customization, staff training, and knowledge transfer.

*Fiscal year 2013*

Web content management system.....	\$250,000
Electronic records content management system.....	300,000
	\$550,000

Web Content Management System

Currently, the agency uses a web publishing tool that is no longer supported to manage administration and publishing tasks on the web site [.rrb](http://.rrb). This tool’s approach to web publishing is primarily centered on linear, document oriented concepts like that of a typical brochure where content is seldom changed. As the agency’s website has evolved to focus on the user experience, there is now a need for more rapid revisions to branding, structure, and content. We need to look for a next-generation solution that enables dynamic, results-driven and task-oriented web experiences.

We plan to obtain and migrate to a content management based, web-hosted service to manage the agency’s website. This solution is in alignment with the Administration’s “Cloud First” strategy. A web content management (WCM) system is designed to simplify the publication of content to websites and mobile devices. In particular, it allows users to submit content without requiring technical knowledge of HTML or uploading specific files. A WCM platform will empower the RRB’s existing staff and alleviate the need to develop or retain specialized skills.

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**Benefits of a web content management system**

- Requires no software or hardware purchases, and no additional costs for maintenance or infrastructure.
- Allows for a large number of people to contribute and share data.
- Improves security through controlled access to data based on assigned user roles, which define what information each user can view or edit.
- Aids in easy storage and retrieval of data online.
- Reduces repetitive and duplicate input.
- Improves the ease of report writing.
- Improves communication between users.

**Risks of delay**

- Current systems require a large amount of system administration, upgrades, patches, and hardware maintenance.
- Older tools have longer development cycles.
- Existing decentralized approach increases difficulty of managing users.
- Current systems require significant time to change based on future business needs or changes in technology, such as the increasing prevalence of mobile computing.

Electronic Records Content Management (ERCM) System

A key contributor to an enterprise's efficiency and effectiveness is how quickly and accurately its information workers can find and use content and data. Without properly designed and governed information architecture, an enterprise's effectiveness can be diminished. Current challenges facing the agency include preserving the vast and rapidly growing volume of electronic records, and responding to the legal, statutory and regulatory requirements of holding and transferring those records. To address these challenges the RRB plans to develop and implement an ERCM system. The system solutions apply existing records management policies to achieve legal compliance and ensure proper governance of the information assets.

Development and implementation of the ERCM will be performed over fiscal years. This multi-year approach allows the agency to spread the cost of the project over future years to allow for funding of other important IT projects. For fiscal year 2013, consulting services will be used to assist RRB staff in determining overall system requirements and creating a pilot ERCM program.

When complete, the ERCM system will identify, maintain, classify, and dispose of certain existing records in accordance with specified records disposition policies. The full initiative includes consultative guidance, the installation of ERCM software, hardware, training, and associated development of policies and procedures that will enable the RRB to manage its records electronically.

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**Benefits of an electronic records management system**

- Allows for consistent management of electronic records and policies.
- Meets several regulatory and compliance requirements (DOD Electronic Records Management Software Application Design Criteria Version 2, Federal Enterprise Architecture Records Management Profile version 1.0, OMB guidance – minimizing legal and electronic discovery risks associated with the Federal Rules of Civil Procedure).
- Protects vital records.

**Risks of delay**

- Current systems are not in compliance with NARA records management regulation (36 CFR CHXII Section 1228).
- Current systems are not in compliance with E-discovery requests related to the Federal Rules of Civil Procedure leaving the agency vulnerable to significant legal vulnerability including sanctions, fines, and costs related to the use of court-mandated private search firms.

*Fiscal years 2014 – 2016*

Following the completion of a successful pilot in fiscal year 2013, the RRB plans to fully implement the ERCM system in fiscal year 2014. In fiscal year 2015, the continued use of consulting services will be necessary to make final adjustments and provide agency-wide training on the use of the software.

The RRB will continue efforts to utilize new information technology and support the automation of other agency business processes. This will be accomplished through upgrade of existing systems and equipment as well as purchase a variety of new software and IT tools.

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**5. Capital Element: E-Government**

FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016	TOTAL
\$415,070	\$200,000	\$200,000	\$200,000	\$200,000	\$200,000	\$1,415,070

**Agency Strategy and Benefits:** The E-Government capital element focuses on alternative delivery of services beyond traditional means. Specifically, E-Government offers RRB the opportunity to examine its current operations and procedures, identify business processes and practices that can be streamlined, implement streamlined business processes, and implement new technologies that enhance improvements. A properly implemented E-Government solution allows the agency to focus its resources on other service delivery efforts.

The RRB plans to use contractor services to augment agency staff to expand the electronic services available to the railroad public via the agency’s website. This goal is consistent with the agency’s overall goal to provide excellent customer service. This is accomplished by providing a range of choices for conducting business, including more Internet options that are private and secure. The benefits of these initiatives will be realized in increased efficiency and accuracy of business transactions between rail customers and the RRB.

*Fiscal year 2013*

Employer Reporting System ..... \$200,000

Employer Reporting System

In December 2003, the RRB initiated an Internet-based Employer Reporting System (ERS) for rail and labor employers to file reports of service and compensation needed to determine eligibility under the Railroad Retirement and Railroad Unemployment Insurance Acts. The goal of the ERS project is to provide employers with electronic-based alternatives to the 74 paper-based forms exchanged between rail employers and the RRB, and improve the overall process. When ERS is complete, the Internet-based service will provide employers with a more secure and efficient method for submitting information to the RRB for processing. Previously, the employers’ only option to provide this information to the agency was by mail or fax, which is less secure and less cost-effective.

Because of the large number of paper-based forms and processes needing conversion, the project is divided into phases over multiple years. Since 2003, the ERS project has converted many paper-based forms to an electronic format. For example, rail employers now have access to the following forms online (among many others):

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- BA-4: Report of Creditable Compensation Adjustments
- BA-6: Certificate of Service Months and Compensation
- GL-129A: Record of Employer Determination on Employee Protest of Service & Compensation
- ID-4K: Prepayment Notice of Employees' Applications and Claims for Benefits Under the RUIA
- ID-4E: Notice of RUIA Claim Determination

In fiscal year 2009, the RRB shifted to a new framework for ERS. As a result, activities from fiscal year 2009 through July 2011 centered on the conversion of the ERS system to a new Microsoft programming software. With the new software place, we have resumed work on adding new services to the system, and expect to have 7 new services in place during September 2011. Contractor support will be used for this project to provide technical programming expertise and provide an additional resource for agency staff. In fiscal years 2012 and 2013, contractor services will continue to assist agency staff in developing notices and referrals that request information from the employers.

Our industry partners continue to provide valuable input for the design and testing of our reporting systems. This collaboration has paid off in the high rate of system usage.

<b>Benefits of the Employer Report System</b>
<ul style="list-style-type: none"> <li>• Automates the referral process between rail employers and the agency and adds services to the system.</li> <li>• Improves customer service and processes initial annuities more quickly due to faster employment verification.</li> <li>• Enhances stewardship by securing and protecting personally identifiable information.</li> <li>• Consulting assistance provides faster delivery of the ERS system, far above what the agency programming staff could accomplish independently.</li> </ul>

<b>Risks of delay</b>
<ul style="list-style-type: none"> <li>• Continuation of paper-based forms slows employment verification and increases manual processes.</li> <li>• Paper-based forms are less secure and place personally identifiable information at risk.</li> <li>• Mailing and manual processes result in loss of speed and accuracy.</li> </ul>

*Fiscal years 2014 – 2016*

There are still many other opportunities to further enhance the Employer Reporting System and add functionality to streamline business interactions with rail employers. These enhancements all improve timeliness, security, and accuracy of benefit payments.

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A draft schedule for developing online forms for fiscal years 2014 through 2016 is shown below. Actual scheduling may vary as a result of funding availability and other priorities.

Fiscal year 2014

- BA-9: Report of Separation Allowance or Severance Pay
- G-117a: Designation of Contact Officials
- ID-30B: Notice of Lien
- ID-3U: Request for Section 2(f) Information

Fiscal year 2015

- AESOP: Employee retirement estimate file
- G-73a.1: Notice of Death of Annuitant
- RL-5a: Notice of Annuity Award

Fiscal year 2016

- G-251(a)(b): Job Information Report

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**6. Capital Element: Risk Management and Privacy**

FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016	TOTAL
\$135,000	\$254,000	\$25,000	\$200,000	\$200,000	\$200,000	\$1,014,000

**Agency Strategy and Benefits:**

The RRB relies on a complex and constantly evolving information technology infrastructure to achieve its mission. This infrastructure is under constant attack by a variety of sources that seek to gain or deny access to, disrupt, degrade, or destroy the systems and the data it contains. These threats will likely expand over time as more critical infrastructure becomes connected to the Internet and malicious cyber activity grows in volume. Cyber attacks are becoming increasingly more sophisticated and targeted, which adds to the potential for more severe consequences if systems are not well-protected.

The RRB retains primary responsibility for securing and defending its own network and critical information infrastructure from cyber attacks. The risk management and privacy strategy is to render attacks ineffective through prevention measures and quickly detect and remedy successful attacks with surveillance. This strategy is accomplished through complementary use of technology (firewalls, integrity checkers, virus scanners, intrusion detection systems, anti-virus software and other special security devices) and well-trained personnel. The agency also follows various information security best practices, federal laws, and other governmental mandates. While information security is obviously essential, the RRB also takes great care to protect the privacy and civil liberties of all users.

Funding of the risk management capital plan element will provide for a variety of information security and privacy program activities, as follows:

*Fiscal year 2013*

Network Access Control Device..... \$25,000

A Network Access Control (NAC) device is an integrated security appliance that provides real-time visibility and control for everything connected to the network, including hardware, operating systems, applications, and users. The device monitors network traffic, discovers network devices, builds an inventory of device characteristics, and enforces the policies that are configured within the network. Best practices indicate that the NAC device should be replaced every five years; the agency's current NAC device was put into service in 2006 and will be beyond its recommended life in 2013.

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The NAC device provides the RRB with centrally managed capabilities to define security policies and assist in identifying and isolating all non-compliant, compromised, or misconfigured computers accessing the network. It seamlessly integrates with existing network infrastructures and security applications and facilitates the RRB meeting the 'Defense in Depth' methodology. The NAC device will show everything that is connected to the network, including managed or unmanaged devices and wired or wireless devices. It will also identify hidden infrastructure, such as unauthorized access devices, and USB storage devices. It will detect whether all authorized software (i.e. antivirus, encryption, data loss prevention, and patch management) are deployed and working on the managed workstations, and can automatically identify and remedy security deficiencies.

The use of a NAC device follows Title III of the E-Government Act (FISMA) and OMB Circular A-130, Appendix III.

<b>Benefits of replacing the network access control device</b>
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| <ul style="list-style-type: none"><li>• Better risk mitigation.</li><li>• Establishes the required level of security set forth in FISMA requirements.</li><li>• Increases consistency, which allows for comparable and repeatable security control assessments.</li><li>• Improves the computer security defenses and supports maintenance of a strong bulwark against malware incidents.</li><li>• Allows for more complete, reliable, and trustworthy information to assist in making informed security authorization decisions.</li></ul> |
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<b>Risks of delay</b>
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| <ul style="list-style-type: none"><li>• Deterioration of the agency's ability to defend against hacker attacks.</li><li>• Inadequate input to certify and accredit RRB systems.</li><li>• Technology no longer commercially supported.</li></ul> |
|--|

*Fiscal years 2014-2016*

The cyber threat is constantly evolving, requiring the RRB to continually evaluate its capabilities and supporting technology. In line with its mission, the RRB will continue to upgrade its cyber security capabilities, using both proven and emerging technologies, to secure and defend against threats from cyberspace. We will continue with projects that ensure that our systems and policies comply with the law and RRB policies related to security and privacy.

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Projects currently planned for the fiscal year 2014 – 2016 timeframe include:

- Upgrade or replace the agency's Log Management/Security Information and Event Manager (SIEM). The existing appliance was purchased and installed in fiscal year 2009 and will reach end of its service life in fiscal year 2014.
- Upgrade or replace the agency's Forensic Recovery Evidence Device (FRED). The existing FRED was purchased and installed in fiscal year 2009, and will reach end of its service life in fiscal year 2014.
- Upgrade or replace the network firewall. The existing firewall was purchased and installed in fiscal year 2010, and will reach end of its service life in fiscal year 2015.

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**7. Capital Element: System Modernization**

FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016	TOTAL
\$100,000	\$500,000	\$0	\$150,000	\$150,000	\$150,000	\$1,050,000

**Agency Strategy and Benefits:** Over the last few years, the RRB has taken significant strategic steps to improve computer processes by moving to a relational database environment and by optimizing the data that resides in the databases. These steps are part a multi-year, multi-phased approach toward systems modernization. This approach is necessary due to the complexity and size of this project. The next step is to take advantage of the optimized relational database structure and modernize the agency’s computer systems and processes.

Many of the RRB’s existing systems are old and complex and require a large investment in maintenance. These provide opportunities for modernization, which will enable the RRB to decrease the time and investment required to develop and operate the systems. Modernization of legacy systems will allow for a focus on new initiatives that will improve business practices and save or control costs.

The RRB continues to convert processes accessing legacy tables to instead access the master database. Access to each master database table is only possible once the legacy source is eliminated through modernization. In fiscal year 2012, the RRB will use contractor services to supplement agency resources assigned to this project. Contractor services have proven essential to the success of this initiative, not only ensuring that the work remains on schedule, but providing a knowledge transfer to agency personnel that will be used long after the project has been completed.

In addition to the RRB’s mainframe based computer programs, there are several old LAN-based computer programs in need of modernization. These LAN-based systems are based on an outdated database management system using old technology for which commercial support has been discontinued. These systems, although functioning, are becoming more difficult to maintain. Fiscal year 2012 funds will be used to obtain contractual services for the modernization of the most critical legacy LAN-based computer programs into one of the agency’s enterprise programming platforms.

*Fiscal year 2013*

Modernization work will continue utilizing in-house federal employee resources.

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*Fiscal years 2014 – 2016*

The RRB will continue modernizing high value, high risk applications. This will be done using knowledge gained from the redesign efforts and subsequent application modernizations. In addition, the agency plans to continue with the elimination of redundant databases. Contractor services to supplement agency resources may be needed to ensure that the project does not stall in the event of funding or staffing constraints.

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**8. Capital Element: *Enterprise Human Resources Integration***

FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016	TOTAL
\$0	\$0	\$280,000	\$0	\$0	\$0	\$280,000

**Agency Strategy and Benefits:** Enterprise Human Resources Integration (EHRI) is one of five Office of Personnel Management (OPM) led e-Government initiatives. EHRI is designed to transform the way human resource specialists and managers access human resource information and the way employees access their personnel file information. OPM's vision for these initiatives, combined with retirement systems modernization, is to create an interlocking enterprise system based on the employee lifecycle. These interrelated initiatives streamline and improve processes for moving federal employees through the employment lifecycle.

As part of this initiative, OPM has advised agencies to convert employee official personnel folders to an electronic format by December 2013.

*Fiscal year 2013*

Electronic Official Personnel File.....      \$280,000

Funds for this initiative in fiscal year 2013 will provide for the planning and implementation of an electronic official personnel folder system. OPM's EHRI project office will provide the RRB technical support and administrative services related to this conversion.

Prior to implementation, the RRB must first assess the requirements for an electronic personnel folder system. These requirements will include various software, hardware, hosting, license, and paper file ("back-file") conversion needs. Once the requirements are understood, planning and implementation steps will begin, including acquisition of software and licenses, systems configuration, software development, installation at the hosting facility, testing, support transition, training, and back-file conversion.

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<b>Benefits of Electronic Official Personnel File</b>
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| <ul style="list-style-type: none"><li>• Provides secure access to official personnel file forms and information to a geographically dispersed workforce.</li><li>• Eliminates the possibility of potential loss of official personnel files in filing and routing.</li><li>• Reduces costs associated with storage, maintenance, and retrieval of records.</li><li>• Increases employee awareness and accountability through email notification of personnel actions.</li><li>• Complies with OPM and federally mandated HR employee record management regulations.</li></ul> |
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<b>Risks of delay</b>
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| <ul style="list-style-type: none"><li>• Delay could prevent meeting December 2013 deadline.</li><li>• Without update, the agency continues paper-based processes.</li><li>• Workforce data continues to be stored in legacy systems of varied functionality.</li><li>• Government-wide analysis and accountability is hindered due to the dispersal and incompatibility of personnel records among federal agencies.</li><li>• Files remain less secure in paper format.</li></ul> |
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*Fiscal years 2014 – 2016*

No other Enterprise Human Resources Integration initiatives are planned for this reporting period.

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**9. Capital Element: FFS Conversion**

FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016	TOTAL
\$0	\$0	\$3,562,000	\$0	\$0	\$0	\$3,562,000

**Agency Strategy and Benefits:** This capital item represents funding needed to replace the agency’s legacy financial management system, the Federal Financial System (FFS). In fiscal year 2003, new releases of the FFS software ceased, which is an indication that the product has reached the end of its life cycle. While FFS continues to meet the financial processing and reporting requirements of the RRB, it is essential to upgrade to an up-to-date Federal Systems Integration Office (FSIO) compliant and reliable financial management system in order to carry out the core mission in the future.

In fiscal year 2010, the RRB obtained the services of a contractor to analyze FFS’s compliance and performance gaps with FSIO requirements. The assessment identified several gaps where the system is currently not able to meet many of the FSIO automation standards. Following this determination, the study analyzed the various alternatives available to the agency and, using a value measurement methodology, scored each alternative based on potential benefits, risks, and costs. The result of this systematic analysis concluded that the agency should migrate to a shared service provider. The SSP hosted solution highlighted superior benefits and lower risks compared to the other two alternatives.

<b>Benefits of migration to a shared service provider</b>
<ul style="list-style-type: none"> <li>• Increases the use of electronic data, reports, and correspondence, and provides cost savings due to the reduction or elimination of printing, mailing, and storage costs.</li> <li>• Reduces operations and maintenance costs that result from using a newer technology, for example certification and accreditation costs would be reduced.</li> <li>• Provides more timely reports and data for analysis and management use.</li> <li>• Improves data management, data quality, and internal controls which reduce the risk of fraud, improper payments, and other potential errors.</li> <li>• Improves technology which results in better security to meet evolving requirements and threats, protect private information, reduce the risk of data loss, and aid in the segregation of duties.</li> <li>• Supports OMB directive to federal agencies to migrate to an SSP environment</li> </ul>

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<b>Risks of delay</b>
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| <ul style="list-style-type: none"><li>• No vendor support for the current system.</li><li>• The agency’s current FFS financial management system is not compliant with the Federal Financial Management Requirements for Core Financial Systems. FSIO testing of core financial systems requires systems to meet 100 percent of mandatory requirements; however the current system was only able to meet eight of the 48 requirements.</li><li>• Continued support of the current system will be problematic in the future as much of the staff with specific skills and knowledge will reach retirement age over the next decade.</li><li>• Difficulties in maintaining the system to implement future mandated OMB/Treasury initiatives</li></ul> |
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*Fiscal year 2013*

Federal Financial System Migration to a Shared Service Provider..... \$3,562,000

We envision a multi-phased project approach to replacing the agency’s current financial management system. The tasks will be divided between:

- Pre-migration Planning Stage
- Migration Stage
- Post-migration stage

See Exhibit 300 for more detail on the migration.

*Fiscal years 2014 – 2016*

We plan to complete the shared service migration and post implementation activities to the out years of this capital plan submission as more information becomes available.

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**10. Capital Element: *Continuity of Operations Improvements***

FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016	TOTAL
\$0	\$400,000	\$0	\$100,000	\$100,000	\$100,000	\$700,000

**Agency Strategy and Benefits:** Federal Emergency Management Agency and Homeland Security Department directives (Federal Continuity Directive 1 and 2) require federal agencies to create and maintain a Continuity of Operations (COOP) plan. The COOP plan that the agency can carry on all essential functions in case of a natural or manmade disruption or disaster.

Information technology plays a key role in the continuation of the RRB’s operations by assisting in the quick recovery of essential government operations during any major disruption to operations. For example, short-term disruption such as a power outage or failure can be quickly resolved by employing a backup capability for systems, personnel, processes, and other needs. However, disruptions can also be longer term in nature, such as with a major weather or natural disaster event. In these situations, service would be impacted for several days or weeks. For long-term disruption of services, the agency may require the ability to relocate and operate at an alternative facility. Investments in this capital item will ensure that the agency would be able to respond quickly with minimal interruption to services and resume normal operations in the event of a short or long-term emergency or disruption.

*Fiscal year 2013*

There are no new plans for fiscal year 2013. We will continue to focus on completing the implementation and maintenance of a remote disk backup storage solution acquired in the previous fiscal year.

*Fiscal years 2014 - 2016*

The RRB will continue to focus on obtaining a variety of new and upgraded software and hardware systems to support the agency’s continuity of operations. For example, network reconfiguration planning in fiscal year 2010 revealed that server-based critical applications are stored throughout the server environment, making backup for restoration time-consuming, costly, and non-responsive to business requirements. We may use contractor services to assist agency staff to reconfigure the server-based critical applications for ease of backup and restoration. The reconfiguration will also provide metrics for storage space required for the backup.

Risk reviews, testing, and expansion of telework are also critical elements of continuity of operations planning that may be considered.

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**11. Non-Capital Element: IT Task Orders**

FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016	TOTAL
\$0	\$50,000	\$50,000	\$50,000	\$50,000	\$50,000	\$250,000

**Agency Strategy and Benefits:** Task orders offer the agency an opportunity to quickly and efficiently purchase IT services including staff augmentation, computer programming, hardware, software, and other IT-related services.

Task order contracts are a method of rapid procurement of IT professional services with predetermined contractors at competitive rates. Task order contracts allow the agency to enter into contracts before the specific service/product requirements are known. A task order contract obligates a contractor to render services or deliver products as ordered from time to time by the agency, and the contractor is pre-qualified to do work. This type of contract puts the contractor on standby. The contract statement of work is a general description of the services or products the contractor will be obligated to produce on demand. After the contract award, the agency will issue, as needed, task orders to specify detailed requirements. The task order contract, with its simplified process and unique fast-track rules, is used to save time and money in the long run.

*Fiscal year 2013*

Emergency Business System/Application Restoration Services ..... \$50,000

Emergency Business System/Application Restoration Services

Funding for expert IT professional services is necessary in the event of resource shortages and restoration time constraints to facilitate the continuity of operations.

*Fiscal years 2014 – 2016*

In fiscal years 2014 through 2016, we will use contractor resources on a task-order basis to augment IT staffing resources with specialized skill sets, as an alternative to filling vacant positions, or to accelerate the implementation of projects within the Information Technology Capital Plan.

## Railroad Retirement Board - Exhibit 53A Worksheet

1	2	3	4	5	6	7	8	9	10	11	12
Previous UPI	Current UII	Investment Category	Bureau Code	Part of Exhibit 53	Mission Delivery and Management Support Area	Type of Investment	Line Item Descriptor	Change in Investment Status Identifier	Agency description of change in investment status	Investment Title	Investment Description
<b>446-00-00-00-00-0000-00</b>								<b>09</b>	<b>Agency Total IT Investment Portfolio</b>		
<b>446-00-01-00-00-0000-00</b>				<b>01</b>				<b>09</b>	<b>Part 1. IT Systems by Mission Area</b>		
<b>446-00-01-01-00-0000-00</b>				<b>01</b>	<b>01</b>	<b>01</b>			<b>09</b>	<b>01 - Financial Management</b>	
<b>446-00-01-01-02-0002-00</b>	<b>446-000000001</b>	<b>00</b>	<b>00</b>	<b>01</b>	<b>01</b>	<b>01</b>			<b>00</b>	<b>Federal Financial Management System Migration</b>	<b>Transitioning the existing Federal Financial System into a Shared Service Provider environment</b>
<i>446-00-01-01-02-0002-00</i>	<i>446-000000001</i>	<i>00</i>	<i>00</i>	<i>01</i>	<i>01</i>	<i>01</i>			<i>04</i>	<i>446-00-8237-0</i>	<i>Limitation on Administration</i>
<i>446-00-01-01-02-0002-00</i>	<i>446-000000001</i>	<i>00</i>	<i>00</i>	<i>01</i>	<i>01</i>	<i>01</i>			<i>09</i>	<i>Funding Source Subtotal</i>	
<b>446-00-01-02-00-0000-00</b>				<b>01</b>	<b>02</b>	<b>02</b>			<b>09</b>	<b>02 - RRA/RUIA Benefit Programs</b>	
<b>446-00-01-02-02-0003-00</b>	<b>446-000000002</b>	<b>00</b>	<b>00</b>	<b>01</b>	<b>02</b>	<b>02</b>			<b>00</b>	<b>E-Government</b>	<b>Streamline business processes and improve service delivery</b>
<i>446-00-01-02-02-0003-00</i>	<i>446-000000002</i>	<i>00</i>	<i>00</i>	<i>01</i>	<i>02</i>	<i>02</i>			<i>04</i>	<i>446-00-8237-0</i>	<i>Limitation on Administration</i>
<i>446-00-01-02-02-0003-00</i>	<i>446-000000002</i>	<i>00</i>	<i>00</i>	<i>01</i>	<i>02</i>	<i>02</i>			<i>09</i>	<i>Funding Source Subtotal</i>	
<b>446-00-02-00-00-0000-00</b>				<b>02</b>				<b>09</b>	<b>Part 2. IT Infrastructure, Office and Telecom</b>		
<b>446-00-02-02-02-0001-00</b>	<b>446-000000003</b>	<b>00</b>	<b>00</b>	<b>02</b>	<b>00</b>	<b>02</b>			<b>00</b>	<b>Mainframe</b>	<b>Mainframe processor upgrade and associated software costs</b>
<i>446-00-02-02-02-0001-00</i>	<i>446-000000003</i>	<i>00</i>	<i>00</i>	<i>02</i>	<i>00</i>	<i>02</i>			<i>04</i>	<i>446-00-8237-0</i>	<i>Limitation on Administration</i>
<i>446-00-02-02-02-0001-00</i>	<i>446-000000003</i>	<i>00</i>	<i>00</i>	<i>02</i>	<i>00</i>	<i>02</i>			<i>09</i>	<i>Funding Source Subtotal</i>	
<b>446-00-02-02-02-0005-00</b>	<b>446-000000004</b>	<b>00</b>	<b>00</b>	<b>02</b>	<b>00</b>	<b>02</b>			<b>00</b>	<b>IT Tools and Systems</b>	<b>Tools utilized to build new systems and support transition to a new information technology architecture</b>
<i>446-00-02-02-02-0005-00</i>	<i>446-000000004</i>	<i>00</i>	<i>00</i>	<i>02</i>	<i>00</i>	<i>02</i>			<i>04</i>	<i>446-00-8237-0</i>	<i>Limitation on Administration</i>
<i>446-00-02-02-02-0005-00</i>	<i>446-000000004</i>	<i>00</i>	<i>00</i>	<i>02</i>	<i>00</i>	<i>02</i>			<i>09</i>	<i>Funding Source Subtotal</i>	
<b>446-00-02-02-02-0006-00</b>	<b>446-000000005</b>	<b>00</b>	<b>00</b>	<b>02</b>	<b>00</b>	<b>02</b>			<b>00</b>	<b>Risk Management and Privacy</b>	<b>Computer hardware/software to secure and defend the agency's computer network</b>
<i>446-00-02-02-02-0006-00</i>	<i>446-000000005</i>	<i>00</i>	<i>00</i>	<i>02</i>	<i>00</i>	<i>02</i>			<i>04</i>	<i>446-00-8237-0</i>	<i>Limitation on Administration</i>
<i>446-00-02-02-02-0006-00</i>	<i>446-000000005</i>	<i>00</i>	<i>00</i>	<i>02</i>	<i>00</i>	<i>02</i>			<i>09</i>	<i>Funding Source Subtotal</i>	
<b>446-00-02-02-02-0008-00</b>	<b>446-000000006</b>	<b>00</b>	<b>00</b>	<b>02</b>	<b>00</b>	<b>02</b>			<b>00</b>	<b>Network Operations</b>	<b>Support for the RRB's local and wide-area network operations; funds replacement and/or upgrade of network servers and software</b>
<i>446-00-02-02-02-0008-00</i>	<i>446-000000006</i>	<i>00</i>	<i>00</i>	<i>02</i>	<i>00</i>	<i>02</i>			<i>04</i>	<i>446-00-8237-0</i>	<i>Limitation on Administration</i>
<i>446-00-02-02-02-0008-00</i>	<i>446-000000006</i>	<i>00</i>	<i>00</i>	<i>02</i>	<i>00</i>	<i>02</i>			<i>09</i>	<i>Funding Source Subtotal</i>	
<b>446-00-02-02-02-0012-00</b>	<b>446-000000007</b>	<b>00</b>	<b>00</b>	<b>02</b>	<b>00</b>	<b>02</b>			<b>00</b>	<b>Infrastructure Replacement</b>	<b>Continuing upgrade and scheduled replacement of computer equipment and software</b>
<i>446-00-02-02-02-0012-00</i>	<i>446-000000007</i>	<i>00</i>	<i>00</i>	<i>02</i>	<i>00</i>	<i>02</i>			<i>04</i>	<i>446-00-8237-0</i>	<i>Limitation on Administration</i>
<i>446-00-02-02-02-0012-00</i>	<i>446-000000007</i>	<i>00</i>	<i>00</i>	<i>02</i>	<i>00</i>	<i>02</i>			<i>09</i>	<i>Funding Source Subtotal</i>	
<b>446-00-02-02-02-0014-00</b>	<b>446-000000008</b>	<b>00</b>	<b>00</b>	<b>02</b>	<b>00</b>	<b>02</b>			<b>00</b>	<b>Continuity of Operations</b>	<b>Provide improvements to current data backup systems to ensure continuity of operations</b>
<i>446-00-02-02-02-0014-00</i>	<i>446-000000008</i>	<i>00</i>	<i>00</i>	<i>02</i>	<i>00</i>	<i>02</i>			<i>04</i>	<i>446-00-8237-0</i>	<i>Limitation on Administration</i>
<i>446-00-02-02-02-0014-00</i>	<i>446-000000008</i>	<i>00</i>	<i>00</i>	<i>02</i>	<i>00</i>	<i>02</i>			<i>09</i>	<i>Funding Source Subtotal</i>	
	<b>446-000000009</b>	<b>00</b>	<b>00</b>	<b>02</b>	<b>00</b>	<b>02</b>			<b>00</b>	<b>IT Task Orders</b>	<b>Provides rapid contracting of IT professional services with predetermined contractors at competitive rates</b>
	<i>446-000000009</i>	<i>00</i>	<i>00</i>	<i>02</i>	<i>00</i>	<i>02</i>			<i>04</i>	<i>446-00-8237-0</i>	<i>Limitation on Administration</i>
	<i>446-000000009</i>	<i>00</i>	<i>00</i>	<i>02</i>	<i>00</i>	<i>02</i>			<i>09</i>	<i>Funding Source Subtotal</i>	
<b>446-00-03-00-00-0000-00</b>				<b>03</b>				<b>09</b>	<b>Part 3. Enterprise Architecture, Planning and CIO</b>		
<b>446-00-03-02-02-0052-00</b>	<b>446-000000010</b>	<b>00</b>	<b>00</b>	<b>03</b>	<b>00</b>	<b>02</b>			<b>00</b>	<b>System Modernization</b>	<b>Provide for the modernization of RRB software systems</b>
<i>446-00-03-02-02-0052-00</i>	<i>446-000000010</i>	<i>00</i>	<i>00</i>	<i>03</i>	<i>00</i>	<i>02</i>			<i>04</i>	<i>446-00-8237-0</i>	<i>Limitation on Administration</i>
<i>446-00-03-02-02-0052-00</i>	<i>446-000000010</i>	<i>00</i>	<i>00</i>	<i>03</i>	<i>00</i>	<i>02</i>			<i>09</i>	<i>Funding Source Subtotal</i>	
	<b>446-000000011</b>	<b>00</b>	<b>00</b>	<b>03</b>	<b>00</b>	<b>02</b>			<b>00</b>	<b>Enterprise Human Resources Integration</b>	<b>Planning and implementation of an electronic official personnel folder system.</b>
	<i>446-000000011</i>	<i>00</i>	<i>00</i>	<i>03</i>	<i>00</i>	<i>02</i>			<i>04</i>	<i>446-00-8237-0</i>	<i>Limitation on Administration</i>
	<i>446-000000011</i>	<i>00</i>	<i>00</i>	<i>03</i>	<i>00</i>	<i>02</i>			<i>09</i>	<i>Funding Source Subtotal</i>	
<b>446-00-04-00-00-0000-00</b>				<b>04</b>				<b>09</b>	<b>Part 4. Grants Management</b>		
<b>446-00-05-00-00-0000-00</b>				<b>05</b>				<b>09</b>	<b>Part 5. National Security Systems</b>		
<b>446-00-06-00-00-0000-00</b>				<b>06</b>				<b>09</b>	<b>Part 6. IT Grants to State and Locals</b>		

## Railroad Retirement Board - Exhibit 53A Worksheet

11	13	14	15	16	17	18	19	20	21	22	23
Investment Title	FEA BRM Mapping - Sub-Function	Service Code Mapping - Component	Segment Architecture – Agency Segment	Segment Architecture - Federal Standard Segment	Homeland Security Priority Identifier	Cross-Boundary Information Identifier	Supports Information Sharing, Access and Protection	DME [Planning, Development/Capital Spending] (PY/2011) Agency Funding (\$M)	DME [Planning, Development/Capital Spending] (PY/2011) Contributions (\$M)	DME [Planning, Development/Capital Spending] (CY/2012) Agency Funding (\$M)	DME [Planning, Development/Capital Spending] (CY/2012) Contributions (\$M)
<b>Agency Total IT Investment Portfolio</b>								<b>1.294</b>	<b>0.000</b>	<b>1.760</b>	<b>0.000</b>
<b>Part 1. IT Systems by Mission Area</b>								<b>0.415</b>	<b>0.000</b>	<b>0.200</b>	<b>0.000</b>
<b>01 - Financial Management</b>								<b>0.000</b>	<b>0.000</b>	<b>0.000</b>	<b>0.000</b>
<b>Federal Financial Management System Migration</b>	<b>402</b>	<b>124</b>	<b>402</b>	<b>500</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0.000</b>	<b>0.000</b>	<b>0.000</b>	<b>0.000</b>
<i>446-00-8237-0</i>								<i>0.000</i>	<i>0.000</i>	<i>0.000</i>	<i>0.000</i>
<i>Funding Source Subtotal</i>								<i>0.000</i>	<i>0.000</i>	<i>0.000</i>	<i>0.000</i>
<b>02 - RRA/RUIA Benefit Programs</b>								<b>0.415</b>	<b>0.000</b>	<b>0.200</b>	<b>0.000</b>
<b>E-Government</b>	<b>703</b>	<b>525</b>	<b>703</b>	<b>220</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0.415</b>	<b>0.000</b>	<b>0.200</b>	<b>0.000</b>
<i>446-00-8237-0</i>								<i>0.415</i>	<i>0.000</i>	<i>0.200</i>	<i>0.000</i>
<i>Funding Source Subtotal</i>								<i>0.415</i>	<i>0.000</i>	<i>0.200</i>	<i>0.000</i>
<b>Part 2. IT Infrastructure, Office and Telecom</b>								<b>0.779</b>	<b>0.000</b>	<b>1.060</b>	<b>0.000</b>
<b>Mainframe</b>	<b>404</b>	<b>139</b>	<b>404</b>	<b>100</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0.000</b>	<b>0.000</b>	<b>0.000</b>	<b>0.000</b>
<i>446-00-8237-0</i>								<i>0.000</i>	<i>0.000</i>	<i>0.000</i>	<i>0.000</i>
<i>Funding Source Subtotal</i>								<i>0.000</i>	<i>0.000</i>	<i>0.000</i>	<i>0.000</i>
<b>IT Tools and Systems</b>	<b>404</b>	<b>139</b>	<b>404</b>	<b>100</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0.009</b>	<b>0.000</b>	<b>0.000</b>	<b>0.000</b>
<i>446-00-8237-0</i>								<i>0.009</i>	<i>0.000</i>	<i>0.000</i>	<i>0.000</i>
<i>Funding Source Subtotal</i>								<i>0.009</i>	<i>0.000</i>	<i>0.000</i>	<i>0.000</i>
<b>Risk Management and Privacy</b>	<b>761</b>	<b>652</b>	<b>761</b>	<b>170</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0.135</b>	<b>0.000</b>	<b>0.254</b>	<b>0.000</b>
<i>446-00-8237-0</i>								<i>0.135</i>	<i>0.000</i>	<i>0.254</i>	<i>0.000</i>
<i>Funding Source Subtotal</i>								<i>0.135</i>	<i>0.000</i>	<i>0.254</i>	<i>0.000</i>
<b>Network Operations</b>	<b>404</b>	<b>139</b>	<b>404</b>	<b>100</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0.483</b>	<b>0.000</b>	<b>0.014</b>	<b>0.000</b>
<i>446-00-8237-0</i>								<i>0.483</i>	<i>0.000</i>	<i>0.014</i>	<i>0.000</i>
<i>Funding Source Subtotal</i>								<i>0.483</i>	<i>0.000</i>	<i>0.014</i>	<i>0.000</i>
<b>Infrastructure Replacement</b>	<b>404</b>	<b>137</b>	<b>404</b>	<b>100</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0.152</b>	<b>0.000</b>	<b>0.392</b>	<b>0.000</b>
<i>446-00-8237-0</i>								<i>0.152</i>	<i>0.000</i>	<i>0.392</i>	<i>0.000</i>
<i>Funding Source Subtotal</i>								<i>0.152</i>	<i>0.000</i>	<i>0.392</i>	<i>0.000</i>
<b>Continuity of Operations</b>	<b>751</b>	<b>608</b>	<b>751</b>	<b>100</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0.000</b>	<b>0.000</b>	<b>0.400</b>	<b>0.000</b>
<i>446-00-8237-0</i>								<i>0.000</i>	<i>0.000</i>	<i>0.400</i>	<i>0.000</i>
<i>Funding Source Subtotal</i>								<i>0.000</i>	<i>0.000</i>	<i>0.400</i>	<i>0.000</i>
<b>IT Task Orders</b>	<b>756</b>	<b>646</b>	<b>756</b>	<b>150</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0.000</b>	<b>0.000</b>	<b>0.000</b>	<b>0.000</b>
<i>446-00-8237-0</i>								<i>0.000</i>	<i>0.000</i>	<i>0.000</i>	<i>0.000</i>
<i>Funding Source Subtotal</i>								<i>0.000</i>	<i>0.000</i>	<i>0.000</i>	<i>0.000</i>
<b>Part 3. Enterprise Architecture, Planning and CIO</b>								<b>0.100</b>	<b>0.000</b>	<b>0.500</b>	<b>0.000</b>
<b>System Modernization</b>	<b>404</b>	<b>136</b>	<b>404</b>	<b>100</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0.100</b>	<b>0.000</b>	<b>0.500</b>	<b>0.000</b>
<i>446-00-8237-0</i>								<i>0.100</i>	<i>0.000</i>	<i>0.500</i>	<i>0.000</i>
<i>Funding Source Subtotal</i>								<i>0.100</i>	<i>0.000</i>	<i>0.500</i>	<i>0.000</i>
<b>Enterprise Human Resources Integration</b>	<b>403</b>	<b>258</b>	<b>403</b>	<b>550</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0.000</b>	<b>0.000</b>	<b>0.000</b>	<b>0.000</b>
<i>446-00-8237-0</i>								<i>0.000</i>	<i>0.000</i>	<i>0.000</i>	<i>0.000</i>
<i>Funding Source Subtotal</i>								<i>0.000</i>	<i>0.000</i>	<i>0.000</i>	<i>0.000</i>
<b>Part 4. Grants Management</b>								<b>0.000</b>	<b>0.000</b>	<b>0.000</b>	<b>0.000</b>
<b>Part 5. National Security Systems</b>								<b>0.000</b>	<b>0.000</b>	<b>0.000</b>	<b>0.000</b>
<b>Part 6. IT Grants to State and Locals</b>								<b>0.000</b>	<b>0.000</b>	<b>0.000</b>	<b>0.000</b>



**Exhibit 300A: IT Capital Asset Summary**  
**Part I: Summary Information And Justification (All Capital Assets)**

**Section A: Overview**

1. Investment Name:	Federal Financial Management System Migration
2. Unique Investment Identifier (UII) For IT investment only, see Section .9.	446-00000001

**Section B: Investment Detail**

1. Provide a brief summary of the investment, including a brief description of the related benefit to the mission delivery and management support areas, and the primary beneficiary(ies) of the investment. *Include an explanation of any dependencies between this investment and other investments.*

The IT investment – Federal Financial Management System Migration, represents RRB’s initiative and funding request for transitioning its existing Federal Financial System (FFS) into a Shared Service Provider (SSP) environment. This initiative is in line with the OMB/FMLOB directive promoting the use of SSPs for IT programs and significantly minimizes operational risks resulting from FFS’ obsolescence since FFS is no longer supported with upgrades, patches, and bug fixes from the software vendor. Additionally, FFS is no longer on the Financial System Integration Office (FSIO) list of approved federal financial software.

**Strategic Benefits:** Achievement of agency vision to enhance public trust, and fulfillment of Statutory and Policy Requirements including:

- Strategic Planning, Budgeting, and Performance
- Maintaining auditability
- Improving security due to more modern architecture
- Providing increased oversight of financial activities with more modern accounting rules and supporting software
- Meeting all mandatory federal financial system requirements defined by the FSIO
- Taking advantage of the numerous benefits of cloud computing

**Operational Benefits:** Identify and streamline user-related processes to gain efficiencies and reduce manual processes. Provide end-user support, training, and documented guidance for premium accounting process and information systems. The operational benefits also include the key requirements that were identified by RRB including:

- Employing an integrated business management system to support the financial business processes
- Improving Data Management (integrity, quality, reliability, usability, and timeliness)
- Improving efficiency and effectiveness of application management and support processes
- Improving efficiency and effectiveness of employees by eliminating duplicate data entry
- Producing financial statements on monthly/quarterly basis more quickly and with greater accuracy

**End User Functionality Benefits:** Improve implementation of business rules, system agility, reduce IT risk, ensure Continuity of Operations (COOP), and increase accuracy of data including:

- Improving customer service and support for business systems
- Identifying and streamlining user-related processes to gain efficiency and effectiveness
- Reducing demand for staff and infrastructure resources with possible reallocation to main business systems
- Improving training resources for staff
- Improving usability with a more user friendly system

2. How does this investment close in part or in whole any identified performance gap in support of the mission delivery and management support areas? *Include an assessment of the program impact if this investment isn't fully funded.*

Based on an assessment study conducted in 2010, RRB's FFS system has performance gaps related to Federal Systems Integration Office (FSIO) requirements and is therefore non-compliant with federal standards. Key areas where gaps were identified include:

- The ability to export/import data through an automated process
- The ability to meet Treasury and other mandated regulations (TAS/BETC, GTAS, etc.)
- A reporting/online query export capability
- An automated workflow for approval routing
- An IT architecture which currently limits the flexibility required to support continuity of operations and flexible work programs
- A technology which does not adequately support evolving business requirements leading to multiple manual processes (e.g. exporting/importing data, approval routing, etc)

If the investment isn't funded then RRB's current system, FFS, will become more costly to operate in the out years because locating the skill sets to operate and maintain FFS will become more difficult as knowledgeable RRB staff retires. This is important to the RRB because the FFS software vendor, CGI, discontinued its support of bug-fixes, patches, and upgrades for the system after Y2K. Therefore RRB staff has developed the needed system enhancements to comply with OMB and Treasury mandated changes since the final contractor upgrade. While these upgrades, manual processes, and system workarounds have allowed RRB to continue to use the system, the system does not comply with all mandatory Federal Financial Management Requirements for core financial systems and upgrading the system to comply will be costly. Even though these upgrades may allow RRB to continue operating FFS in the short term, with much of its staff with FFS knowledge reaching retirement age over the next decade, future system changes will be increasingly more costly and difficult to accomplish each year.

3. For this investment's technical features, please identify where any specific technical solutions are required by legislation, in response to audit findings, or to meet requirements from other sources. Where "Yes" is indicated, provide a brief description of the technical features required, and any citations regarding specific mandates for these requirements.

<b>Required by</b>		<b>Description</b>
Legislative Mandate	Y	Current system (FFS) is not on the FSIO list of approved federal financial systems software.  New system will meet OMB/FMLOB directive for use of SSP for federal financial systems.

Audit Finding Resolution	Y	The Office of Inspector General has noted several deficiencies and weakness in the internal control environment for the current financial system. These range from segregation of duties to lack of integration with other supporting applications resulting in data integrity issues.
Published Agency Strategic Plan	Y	The IT strategic plan adopted by RRB management does not support the continued use of the existing architecture and infrastructure requirements of FFS.  Lack of future resources to support FFS will jeopardize RRB operations which are critical to the fulfillment of its mission.
Other Requirement	Y	The software vendor no longer supports FFS with upgrades, updates and maintenance – making future requirements extremely difficult to satisfy.

4. Provide a list of this investment's accomplishments in the prior year (PY), including projects or useful components/project segments completed, new functionality added, or operational efficiency achieved.

An analysis of RRB's current financial system was performed by reviewing its benefits and performance gaps; risks; and life-cycle costs. This assessment compared the system's current compliance with federal financial management laws/mandates, ability to adapt to future mandates, and projected future operating costs. The results identified performance gaps FSIO requirements and significant risks.

To address these gaps, RRB initiated an Analysis of Alternatives utilizing the Value Measuring Methodology. An SSP environment was identified as the most viable alternative. The SSP alternative achieved the highest score due to the benefit of leveraging the functionality that is inherent in integrated systems and for the ease of transition to a single enterprise resource planning system instance. This alternative will address the gaps identified in the financial system assessment and the SSP will be responsible to maintain compliance with future federal mandates and system accreditation.

5. Provide a list of planned accomplishments for current year (CY) and budget year (BY).

The integrated Project Team (IPT) has finalized a master schedule for the migration. The RRB will also acquire the services of an experienced vendor to assist in the pre-migration services required to move to a shared service provider (SSP).

In order to expedite the preparation and issuance of a Request for Proposal (RFP) to approved Federal and commercial SSPs, RRB will develop sections of an RFP solicitation for financial management shared services that will meet the RRB's needs with the assistance of the aforementioned pre-migration services vendor.

Once the RFP is completed, the RRB will hold a pre-solicitation conference with interested SSP's at the RRB headquarters facility. RRB will perform updates to the RFP as necessary based on feedback received from the SSP's and then issue the RFP upon receipt of approved funding.

When the responses to the RFP have been received, RRB will analyze the responses to determine which SSP should be selected. RRB will evaluate the proposals received in response to the RFP issued for the FMS shared services, per generally accepted and best Federal government procurement practices and regulations and statutes, including but not limited to the Federal Acquisition Regulation (FAR) subpart 15.

Upon completion of the proposal review and the Contracting Officer's determination, the RRB will award a contract to the best value offer SSP contractor for the migration services and FMS shared services.

During the BY, RRB will migrate their FMS to the awarded SSP Contractor's shared services. The migration will include the necessary activities to have the RRB on the new system by the end of the BY.

6. Provide brief descriptions of out year (BY+1, BY+2, BY+3, BY+4 and beyond as necessary) budget requests for this investment. Briefly describe planned projects and/or useful components proposed. Your justification should address new functionality, systems integration, technology refreshes, efficiencies to be realized, and any other planned enhancements to existing assets/systems performance or agency operations.

<b>Fiscal Year</b>	<b>Description</b>
BY+1	<p>\$1,921,190 - This number is made of 3 components:            \$240K in RRB costs (ongoing support from staff)            \$240K in DME SSP costs,            \$1,442K in O&amp;M SSP costs</p> <p>The SSP costs represent costs related to outsourcing the application management and hosting of the Financial Systems application by an outside vendor. The 2nd year costs include (but not limited to) hosting and servicing the software on their data center. It also includes DME costs for an upgrade to accommodate Federal/OMB mandates.</p>
BY+2	<p>\$1,699,995 - This number is made of 2 components:            \$247K in RRB costs (ongoing support from staff),            \$1,453K in SSP (O&amp;M) costs.</p> <p>The SSP costs represent costs related to application management and hosting of the Financial Systems application by an outside vendor.</p>
BY+3	<p>\$1,725,793 - This number is made of 2 components:            \$254K in RRB costs (ongoing support from staff) and            \$1,472K in SSP (O&amp;M) costs.</p> <p>The SSP costs represent costs related to application management and hosting of the Financial Systems application by an outside vendor.</p>
BY+4 and beyond	<p>\$10,999,781 - This number is made of 2 components:            \$1,693K in RRB costs (ongoing support from staff) and            \$9,306K in SSP (O&amp;M) costs.</p> <p>These O&amp;M costs are from BY+4 through BY+10. The SSP costs represent costs related to application management and hosting of the Financial Systems application by an outside vendor.</p>

7. Provide the date of the Charter establishing the required Integrated Program Team (IPT) for this investment. An IPT must always include, but is not limited to: a qualified fully-dedicated IT program manager, a contract specialist, an information technology specialist, a security specialist and a business process owner before OMB will approve this program investment budget. IT Program Manager, Business Process Owner and Contract Specialist must be Government Employees.	6/14/2011
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<b>8. IPT Contact Information</b>	<b>Name</b>	<b>Phone Number</b>	<b>Extension</b>	<b>Email</b>
<b>IT Program Manager</b>	<i>Kris Garmager</i>	312-751-4519		Kristofer.Garmager@rrb.gov
<b>Business Process Owner</b>	<i>George Govan</i>	312-751-4933		george.govan@rrb.gov
<b>Contract Specialist</b>	<i>Paul Ahern</i>	312-751-7130		paul.ahern@rrb.gov
<b>Information Technology Specialist</b>	<i>Patricia Gendon</i>	312-751-4967		patricia.gendon@rrb.gov
<b>Security Specialist</b>	<i>Jerry Gilbert</i>	312-751-3365		jerry.gilbert@rrb.gov

**Section C: Summary of Funding (Budget Authority for Capital Assets)**

1. Provide the funding summary for this investment by completing the following table. Include funding authority from all sources in millions, and round to three decimal places. Federal personnel costs should be included only in the rows designated “DME ... Govt. FTEs” costs and “O&M Govt. FTE” costs and should be excluded from the other cost breakouts. Cost levels should be consistent with funding levels in Exhibit 53. For multi-agency investments, this table should include all funding (both managing and partner agency contributions).

For years beyond BY+1, please provide your best estimates for planning purposes, understanding that estimates for out-year spending will be less certain than estimates for BY+1 or closer.

For lines in the table that ask for changes in your current submission compared to your most recent previous submission, please use the President’s Budget as your previous submission. When making comparisons, please ensure that you compare same-year-to-same-year (e.g., 2011 v. 2011).

Significant changes from the previous submission should be reflected in an updated investment-level Alternatives Analysis and is subject to OMB request as discussed in Exhibit 300.5.

	<b>PY-1 &amp; Prior</b>	<b>PY 2011</b>	<b>CY 2012</b>	<b>BY 2013</b>	<b>BY+1 2014</b>	<b>BY+2 2015</b>	<b>BY+3 2016</b>	<b>BY+4 &amp; Beyond</b>
<b>Planning Costs:</b>	\$0.230	\$0.000	\$0.000	\$0.182	\$0.000	\$0.000	\$0.000	\$0.000
<b>DME (Excluding Planning) Costs:</b>	\$0.000	\$0.000	\$0.000	\$2.354	\$0.240	\$0.000	\$0.000	\$0.000
<b>DME (Including Planning) Govt. FTEs:</b>	\$0.000	\$0.000	\$0.000	\$0.362	\$0.000	\$0.000	\$0.000	\$0.000
<b>Sub-Total DME (Including Govt. FTE) :</b>								
<b>O&amp;M Costs:</b>	\$0.000	\$0.000	\$0.000	\$1.026	\$1.442	\$1.453	\$1.472	\$9.306
<b>O&amp;M Govt. FTEs:</b>	\$0.000	\$0.000	\$0.000	\$0.200	\$0.240	\$0.247	\$0.254	\$1.693
<b>Sub-Total O&amp;M Costs (Including Govt. FTE):</b>								
<b>Total Cost (Including Govt. FTE):</b>								
<b>Total Govt. FTE costs:</b>								
<b># of FTE rep by costs:</b>	0	0	0.5	3.5	1.5	1.5	1.5	1.5
<b>Total change from prior year final President’s Budget (\$)</b>		\$0.388	\$0.000					
<b>Total change from prior year final President’s Budget (%)</b>		100%	0%					

Do not enter information for the dark gray cells.

2. While some investments are consistent with a defined life cycle model (i.e., an initial period of development followed by a period of primarily operational spending and an identifiable end point), others represent a collection of ongoing activities and operations with no known terminal point. In the following table, identify whether or not this investment uses a defined life cycle model (as defined in [Circular A-131](#)) and provide appropriate investment cost information below.

a.	Is this investment consistent with a life cycle model defined in <a href="#">Circular - 131</a> (i.e., an initial period of development followed by a period of primarily operational spending and an identifiable end point):	Y
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b.	Describe why the investment is not consistent with life cycle model management defined in <a href="#">Circular A-131</a> , and explain how you adapted your alternatives analysis for this investment? (Where an agency uses a cost model other than the lifecycle cost model, defined by OMB Circular A-131, responses from 2c to 2h below should reflect the alternative concept.)	<i>[Limit: 1000 chars]</i> <i>(Required if a is N)</i> <i>N/A</i>
c.	Provide information on what cost model this investment is using and how costs are captured for what years:	<i>[Limit: 1000 chars]</i> <i>(Required if a is N)</i> <i>N/A</i>
d.	What year did this investment start (use year—e.g., PY-1=2010)	2010
e.	What year will this investment end (use year—e.g., BY+5=2018)	2023
f.	Estimated Total DME cost (including planning) for the investment life cycle or other cost model (excluding FTE)	\$ 2,775,410
g.	Estimated Total O&M cost the investment life cycle or other cost model (excluding FTE)	\$ 14,698,665
h.	Estimated total Govt. FTE Cost for the investment life cycle or other cost model	\$ 2,995,219

3a. If the funding levels have changed from the FY2012 President's Budget request for PY or CY, briefly explain those changes:	Funding has been made available in fiscal year 2011 for planning and pre-migration activities to enable the RRB to transfer its financial system to a shared service provider in fiscal year 2013. This funding was not reflected in the budget request because a requirements analysis for the project was not completed until after the beginning of fiscal year 2011.
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**Section D: Acquisition/Contract Strategy (All Capital Assets)**

1. *Complete or update* the table to display all prime contracts (or task orders) for awarded or open solicitations for this investment (sub-award details is not required). Contracts and/or task orders that have “Ended” should not be included in the table. Contracts in open solicitation should provide estimated data for all fields (for “Total Contract Value” the estimated base contract costs and all anticipated option years). Data definitions can be found at [.usaspending.gov/learn#a2](http://usaspending.gov/learn#a2).

For specifics, please see notes 1 and 2 below the table.

Field	Data Description	Optional for Awarded Contracts	Contract/ Task Order
<b>Contract Status</b>	(1) Awarded, (2) Pre-award Post-solicitation	2	N/A
<b>Contracting Agency ID</b>	Required only if the contracting agency is different than the agency submitting the exhibit. Use agency 4 digit code as used in FPDS.	6000	N/A
<b>Procurement Instrument Identifier (PIID)</b>	The unique identifier for each contract, agreement or order. See <a href="http://www.usaspending.gov/learn#a2">http://www.usaspending.gov/learn#a2</a>	N/A	N/A
<b>Indefinite Delivery Vehicle (IDV) Reference ID</b>	Required only for IDVs. See <a href="http://www.usaspending.gov/learn#a2">http://www.usaspending.gov/learn#a2</a>	N/A	N/A
<b>IDV Agency ID</b>	This is a code for an agency, but it does not necessarily represent the agency that issued the contract. Instead, it serves as part of the unique identification for Federal Procurement Data System IDV records.	60	N/A
<b>Solicitation ID<sup>1</sup></b>	Identifier used to link transactions to solicitation information. See <a href="http://www.usaspending.gov/learn#a2">http://www.usaspending.gov/learn#a2</a>	RRB11Q035	N/A
<b>EVM Required</b>	Y/N	N	N/A
<b>Ultimate Contract Value<sup>1</sup></b>	Total Value of Contract including base and all options. Complete using dollars to two decimal places.	Pre-award stage – N/A	N/A
<b>Type of Contract/Task Order (Pricing)<sup>1</sup></b>	See <a href="#">Part 16</a> . Can be fixed price, cost, cost plus, incentive, IDV, time and materials, etc	Majority FFP with portions T&M	N/A
<b>Is the contract a Performance Based Service Acquisition (PBSA)?<sup>1</sup></b>	Y/N Indicates whether the contract is a PBSA as defined by <a href="#">37.601</a> . A PBSA describes the requirements in terms of results rather than the methods of performance of the work.	Y	N/A
<b>Effective date<sup>1</sup></b>	Actual or expected Start Date of Contract/Task Order, the date that the parties agree will be the starting date for the contract’s requirements. (YYYY-MM-DD)	2011-09-25	N/A
<b>Actual or expected End Date of Contract/Task Order<sup>1</sup></b>	(YYYY-MM-DD)	Options are possible through 2013-09-30	N/A

<b>Extent Competed<sup>1</sup></b>	(A) Full and open competition (B) Not available for competition (C) Not competed (D) Full and open competition after exclusion of sources (E) Follow-on to competed action (F) Competed under simplified acquisition procedures (G) Not competed under simplified acquisition procedures (CDO) Competitive Delivery Order (NDO) Non-competitive Delivery Order	CDO process per FAR Part 8.405	N/A
<b>Contract Description</b>	A brief description of the goods or services bought (for an award) or that are available (for an IDV). <a href="http://www.usaspending.gov/learn?tab=FAQ#2">www.usaspending.gov/learn?tab=FAQ#2</a>	Professional / technical assistance services for requirements development, including SOW and related sections of the solicitation; optional solicitation evaluation assistance; and FMS SSP Migration implementation oversight assistance services	N/A

<sup>1</sup>Assuming the PIID or IDV PIID match with USAspending.gov, these data elements will be automatically populated for awarded IT acquisitions

<sup>2</sup>Assuming the PIID, IDV PIID, or Solicitation number match with USAspending.gov or FedBizOpps (fbo.gov) this data will be auto populated for awarded and pre-award, post-solicitation IT acquisitions.

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: \_\_\_\_\_

The solicitation listed above RRB11Q035 is for professional/ technical support services for the pre-migration phase of the project. This is an acquisition of services to define the RRB's Financial Management System/Shared Services (FMS-SS) requirements, for development of the Statement of Objectives/Statement of Work, and other elements of the Solicitation for the FMS-SS. This solicitation is not of the scope and complexity for which EVM would be required. The RRB, in reviewing and defining the requirements for the FMS-SS and determining its final acquisition approach for those services, will fully review the federal acquisition regulatory and policy requirements for use of EVM in that Systems acquisition. RRB will incorporate such EVM requirements, as appropriate, into our FMS-SS acquisition, forecast to be conducted in FY2013 subject to OMB approval and funding of this systems acquisition request.