

Department of the Treasury  
Office of the Comptroller of the  
Currency

FY 2019  
Capital Investment Plan

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The OMB FY 2019 IT Budget – Capital Planning Guidance changed how certain IT Investments should be categorized. The Agency IT portfolio summary consists of Part 1: IT Investments for Mission Delivery; Part 2: IT investment for Administrative Services and Support Systems, and Part 3, IT Investments for IT infrastructure, IT Security, and IT Management. The guidance no longer requires Part 3 investments to be reported as major or non-major investments. However, the Department of the Treasury’s Capital Investment Plan will continue to report these investments as well as the non-IT investments included in prior-year plans.

Treasury guidance requires five years of investment data for most IT investments. However, cybersecurity and non-major IT investments are not required to provide this level of detail. In addition, Treasury gives discretion to Bureaus on what level of detail to provide for out-year cost data. Due to this, there is some variability in the presentation of out-year cost estimates in this document.

## **Major IT Investments**

### **OCC IT Infrastructure End User Services and Support (EUSS)**

*(Previously reported as a major IT investment but now categorized as a part 3 investment)*

#### **Description:**

This investment includes help desk/customer service support, personal computer hardware and software operations and maintenance, asset management, and desktop engineering and image management.

#### **Investment Anticipated Outlay: (\$000,000s):**

Type	2016 and Prior Actual	2017 Actual	2018 Estimated	2019 Estimated	2020 Estimated	2021 Estimated	2022 Estimated	2023 and Beyond Estimated	Total
Sub-Total DME (Including Internal labor (Govt. FTE) Costs)	NA	NA	NA	NA	NA	NA	NA	NA	NA
Sub-Total O&M Costs (Including Internal Labor (Govt. FTE) Costs)	228.43	46.80	49.90	51.40	51.40	51.40	51.40	51.40	<b>582.13</b>
<b>Total Costs</b>	<b>228.43</b>	<b>46.80</b>	<b>49.90</b>	<b>51.40</b>	<b>51.40</b>	<b>51.40</b>	<b>51.40</b>	<b>51.40</b>	<b>582.13</b>
Number of FTE	442.00	61.60	61.60	61.60	61.60	61.60	61.60	61.60	873.20

#### **Summary of Purpose, Goals, and Benefits:**

This investment provides the basic automated IT tools and technical support needed by the examination workforce to complete its core mission of supervising the National Banking System. EUSS includes help desk/customer service support, personal computer hardware and software operations and maintenance, asset management, and desktop engineering and image management.

**Return on Investment:**

The Return on Investment value for OCC IT Infrastructure End User Services and Support (EUSS) investment is not applicable.

**Requirements/ Benefits/ Mandates:**

*Legislative mandates, Outstanding audit findings or Material weakness, Presidential Directive:* N/A.

**Accomplishments and Future Objectives:**

Continue to refresh OCC PC equipment and plan for upcoming PC refresh cycles.

**Details of Useful Life Period:**

*Year the investment began:* 1999

*End Year of the current planning cycle:* 2025

*Description of why the investment is not consistent with life cycle model defined in OMB Circular A-131.:* The End User Support Services investment provides desktop engineering and user help desk support to the agency. It does not follow a life-cycle cost model because these services are on-going and critical to enable the agency to carry out its mission.

**Performance Evaluation and Metrics:**

Metric Description	Performance Measurement Category Mapping	Measurement Condition	Reporting Frequency	Unit Of Measure	CY Target	Latest Actual Result	Date of Latest Actual Result
Software Packages Are Ready For Computer Deployment on Schedule	Strategic and Business Results	Under target	Quarterly	Number of Packages Not Delivered On Schedule	0.00	0.00	06/30/2017
Major Software Releases and Service Packs Deployed with No Service Disruption	Strategic and Business Results	Over target	Monthly	Percentage of Updates Deployed without Disruption	99.00	100.00	07/31/2017
Interest penalties on EUSS vendor invoices subject to the Prompt Pay Act as a percentage of the ITS approved budget	Financial Performance	Under target	Quarterly	Percentage	0.50	0.00	06/30/2017
Continuous monitoring of flaw remediation and vulnerability awareness	Strategic and Business Results	Over target	Monthly	Percentage of end user device scanned for vulns	95.00	98.00	07/31/2017
Mobile Device Enterprise Server Availability	Customer Satisfaction (Results)	Over target	Quarterly	Percentage Uptime	99.95	98.50	06/30/2017
Replace and Repair existing Mobile Device within 15 business days of Request	Customer Satisfaction (Results)	Over target	Quarterly	Percentage	90.00	100.00	06/30/2017

**OCC IT Infrastructure Server Support Services (SSS)**

*(Previously reported as a major IT investment but now categorized as a part 3 investment)*

**Description:**

This investment supports the OCC’s server Operations and Maintenance. This investment includes operations and maintenance to support server technology refresh, business resiliency, and enterprise storage capacity.

**Investment Anticipated Outlay: (\$000,000s):**

Type	2016 and Prior Actual	2017 Actual	2018 Estimated	2019 Estimated	2020 Estimated	2021 Estimated	2022 Estimated	2023 and Beyond Estimated	Total
Sub-Total DME (Including Internal labor (Govt. FTE) Costs)	NA	NA	NA	NA	NA	NA	NA	NA	NA
Sub-Total O&M Costs (Including Internal Labor (Govt. FTE) Costs)	83.93	21.20	15.30	15.80	15.80	15.80	15.80	15.80	<b>199.43</b>
<b>Total Costs</b>	<b>83.93</b>	<b>21.20</b>	<b>15.30</b>	<b>15.80</b>	<b>15.80</b>	<b>15.80</b>	<b>15.80</b>	<b>15.80</b>	<b>199.43</b>
Number of FTE	120.00	21.40	21.40	21.40	21.40	21.40	21.40	21.40	269.80

**Summary of Purpose, Goals, and Benefits:**

This investment supports the OCC’s server Operations and Maintenance. This investment includes operations and maintenance to support server technology refresh, business resiliency, and enterprise storage capacity.

**Return on Investment:**

The Return on Investment value for OCC IT Infrastructure Server Support Services (SSS) investment is not applicable.

**Requirements/ Benefits/ Mandates:**

*Legislative mandates, Outstanding audit findings or Material weakness, Presidential Directive: N/A.*

**Accomplishments and Future Objectives:**

Continue to refresh server and storage infrastructure to maximize uptime and ensure maintenance as well as improve the security of OCC server platforms.

**Details of Useful Life Period:**

*Year the investment began: 1999*

*End Year of the current planning cycle: 2025*

*Description of why the investment is not consistent with life cycle model defined in OMB Circular A-131.: The Server System Support investment provides for the operations and maintenance of the agency's data center services and as such does not specifically follow a*

traditional life-cycle cost model with a specified end date. The OCC uses benchmark information to determine the cost effectiveness of the SSS investment.

**Performance Evaluation and Metrics:**

Metric Description	Performance Measurement Category Mapping	Measurement Condition	Reporting Frequency	Unit Of Measure	CY Target	Latest Actual Result	Date of Latest Actual Result
Platform Availability for Email Servers	Strategic and Business Results	Over target	Quarterly	Percent Uptime	99.95	99.95	06/30/2017
Availability of OCC Production Application and Infrastructure Servers Systems	Strategic and Business Results	Over target	Quarterly	Percentage Uptime	99.80	99.10	06/30/2017
Time to Respond to Production Server incidents	Customer Satisfaction (Results)	Under target	Quarterly	Number of incidents exceeding 1 hour response	0.00	0.00	06/30/2017
Hours of Service Coverage and Support for Server Systems	Customer Satisfaction (Results)	Over target	Monthly	Hours Per Day	24.00	24.00	08/31/2017
Enterprise SAN Availability.	Customer Satisfaction (Results)	Over target	Monthly	Uptime Percentage	99.00	100.00	08/31/2017
Interest penalties on SSS vendor invoices subject to the Prompt Pay Act as a percentage of the ITS approved budget.	Financial Performance	Under target	Quarterly	Percentage	0.50	0.00	06/30/2017
Continuous monitoring of flaw remediation and vulnerability awareness	Strategic and Business Results	Over target	Monthly	Percentage of servers scanned for vulnerabilities	95.00	100.00	08/31/2017

**OCC IT Infrastructure Telecommunications Services and Support (TSS)**

*(Previously reported as a major IT investment but now categorized as a part 3 investment)*

**Description:**

This investment includes telecommunications Wide Area Network (WAN) and Local Area Network (LAN) infrastructure. Remote access to the OCC systems is facilitated via a virtual private network, dial-in, and cellular wireless access using two-factor authentication. This also includes messaging services supporting highly mobile bank examiners and the OCC staff.

**Investment Anticipated Outlay: (\$000,000s):**

Type	2016 and Prior Actual	2017 Actual	2018 Estimated	2019 Estimated	2020 Estimated	2021 Estimated	2022 Estimated	2023 and Beyond Estimated	Total
Sub-Total DME (Including Internal labor (Govt. FTE) Costs)	NA	NA	NA	NA	NA	NA	NA	NA	NA
Sub-Total O&M Costs (Including Internal Labor (Govt. FTE) Costs)	153.30	23.90	27.50	28.30	28.30	28.30	28.30	28.30	346.20
<b>Total Costs</b>	<b>153.30</b>	<b>23.90</b>	<b>27.50</b>	<b>28.30</b>	<b>28.30</b>	<b>28.30</b>	<b>28.30</b>	<b>28.30</b>	<b>346.20</b>
Number of FTE	117.00	24.70	24.70	24.70	24.70	24.70	24.70	24.70	289.90

**Summary of Purpose, Goals, and Benefits:**

TSS includes telecommunications Wide Area Network (WAN) and Local Area Network (LAN) infrastructure. Remote access to the OCC systems is facilitated via a virtual private network, dial-in, and cellular wireless access using two-factor authentication. This also includes messaging services supporting highly mobile bank examiners and the OCC staff..

**Return on Investment:**

The Return on Investment value for OCC IT Infrastructure Telecommunications Services and Support (TSS) investment is not applicable.

**Requirements/ Benefits/ Mandates:**

*Legislative mandates, Outstanding audit findings or Material weakness, Presidential Directive:* N/A.

**Accomplishments and Future Objectives:**

Continue to refresh telecommunication infrastructure to maximize uptime and ensure maintenance and security is maintained. In FY 2018, the OCC will continue an on-going effort to upgrade the headquarters and field office phone systems and telecom infrastructure including LAN/WAN hardware, Video Tele-Conferencing and Voice Over Internet Protocol.

**Details of Useful Life Period:**

*Year the investment began:* 1999

*End Year of the current planning cycle:* 2025

*Description of why the investment is not consistent with life cycle model defined in OMB Circular A-131.:* The Telecommunications System Support investment provides WAN/LAN telecommunications, remote access, wireless access, and landlines to support the agency's mission. This investment does not follow a life-cycle approach as the support does not have a specified end date because telecommunications support is on-going and essential to the agency mission.

**Performance Evaluation and Metrics:**

Metric Description	Performance Measurement Category Mapping	Measurement Condition	Reporting Frequency	Unit Of Measure	CY Target	Latest Actual Result	Date of Latest Actual Result
WAN Network Availability	Strategic and Business Results	Over target	Quarterly	Percentage Uptime	99.80	100.00	06/30/2017
Telephone System Availability After the Completion of Office Moves, Office Renovations, or Opening of New Offices	Strategic and Business Results	Over target	Quarterly	Telephone System Availability	100.00	100.00	06/30/2017
Interest penalties on TSS vendor invoices subject to the Prompt Pay Act as a percentage of the ITS approved budget.	Financial Performance	Under target	Quarterly	Percentage	0.50	0.00	06/30/2017
Continuous monitoring of flaw remediation and vulnerability awareness	Strategic and Business Results	Over target	Monthly	Percentage of telecom equipment scanned for vulns	95.00	100.00	08/31/2017
Availability of Wireless WAN Connectivity	Customer Satisfaction (Results)	Over target	Monthly	Percentage Uptime	99.80	100.00	08/31/2017

**Cyber Security**

*(Previously reported as a major IT investment but now categorized as a part 3 investment)*

**Description:**

This investment supports technologies, processes and practices aligned to protect networks, computers, programs and data from attack, damage or unauthorized access. In alignment with Federal and Treasury requirements, this investment supports the transition of Agency's systems and applications into Information System Continuous Monitoring (ISCM) and Ongoing Authorization (OA) to include governance frameworks, completing assessment & authorizations, and the deployment of required tools. This investment also includes Enterprise Disaster Recovery (eDR) to provide a highly reliable, secure, expandable, and cost-effective eDR solution for OCC's critical business systems.

**Investment Anticipated Outlay: (\$000,000s):**

Type	2016 and Prior Actual	2017 Actual	2018 Estimated	2019 Estimated	2020 Estimated	2021 Estimated	2022 Estimated	2023 and Beyond Estimated	Total
Sub-Total DME (Including Internal labor (Govt. FTE) Costs)	NA	NA	NA	NA	NA	NA	NA	NA	NA
Sub-Total O&M Costs (Including Internal Labor (Govt. FTE) Costs)	15.40	29.40	30.30	31.20	31.20	31.20	31.20	31.20	<b>231.10</b>
<b>Total Costs</b>	<b>15.40</b>	<b>29.40</b>	<b>30.30</b>	<b>31.20</b>	<b>31.20</b>	<b>31.20</b>	<b>31.20</b>	<b>31.20</b>	<b>231.10</b>
Number of FTE represented by costs	27.00	32.00	32.00	32.00	32.00	32.00	32.00	32.00	251.00



**Summary of Purpose, Goals, and Benefits:**

This investment supports technologies, processes and practices aligned to protect networks, computers, programs and data from attack, damage or unauthorized access. In alignment with Federal and Treasury requirements, this investment supports the transition of Agency's systems and applications into Information System Continuous Monitoring (ISCM) and Ongoing Authorization (OA) to include governance frameworks, completing assessment & authorizations, and the deployment of required tools. This investment also includes Enterprise Disaster Recovery (eDR) to provide a highly reliable, secure, expandable, and cost-effective eDR solution for OCC's critical business systems.

**Return on Investment:**

N/A.

**Requirements/ Benefits/ Mandates:**

*Legislative mandates, Outstanding audit findings or Material weakness, Presidential Directive:* N/A.

**Accomplishments and Future Objectives:**

OCC's implementation of ISCM and OA will enhance and further automate existing continuous network monitoring capabilities, correlate and analyze critical security-related information, counter emerging threats and enhance risk-based decision making at the OCC. In FY 2018, the Enterprise Disaster Recovery (eDR) facility will be brought online to provide highly reliable, secure, expandable, and cost-effective eDR solution for OCC's critical business systems.

**Details of Useful Life Period:**

*Year the investment began:* 2011

*End Year of the current planning cycle:* 2022

*Description of why the investment is not consistent with life cycle model defined in OMB Circular A-131.:* This investment provides technologies, processes and practices aligned to protect networks, computers, programs and data from attack, damage or unauthorized access. It does not follow a life-cycle cost model because these services are on-going and critical to enable the agency to carry out its mission.