

Performance Plan Fiscal Year 2002



**and
Revised Final Fiscal Year 2001
Performance Plan**

FY 2002 ANNUAL PERFORMANCE PLAN AND REVISED FINAL FY 2001 ANNUAL PERFORMANCE PLAN

TABLE OF CONTENTS

I.	Introduction	1
II.	SSA's Strategic Plan	3
III.	Revised Final FY 2001 Annual Performance Plan	4
IV.	FY 2002 APP Overview	15
	Enhancements to APP Document	15
	SSA's Budget Account Structure and APP Alignment	15
	Major Environmental Factors	20
	Information Technology/Capital Investments	23
V.	FY 2002 APP Performance Goals, Means and Strategies	27
	Introduction	27
	Performance by Strategic Goal:	
	Responsive Programs	29
	OASI and DI program policy	31
	SSI program policy	35
	Disability program policy	37
	Research, evaluation and policy development	40
	World-Class Service	44
	Customer satisfaction	51
	Expanded electronic and telephone services	63
	Increased electronic access to information	67
	Service to customers applying for aged benefits	71
	Service to customers applying for disability benefits	75
	Service to customers requesting hearings or appeals	80
	Increased employment of disability beneficiaries	88
	Service to postentitlement customers	93
	Service to customers applying for SSNs	95
	Program Integrity	99
	OASDI payment accuracy	103
	SSI payment accuracy	106
	CDRs	109
	Earnings accuracy, timeliness and efficiency	111
	Outstanding debt	115

	Deter, identify and resolve fraud	116
	Valued Employee	121
	Workforce for the future	122
	Tools, training and continuous learning	126
	Physical environment	130
	Agency culture	132
	Public Understanding	134
	Increase knowledge	134
VI.	Verification and Validation of Performance Measures	137
VII.	Summary of SSI Program Management Improvement Goals	140
VIII.	Summary of Management Improvement Goals for Social Security and Supplemental Security Income Disability Programs	143

Appendices:

1. Summary Table of FY 2002 Performance Goals
2. Summary Table of FY 2001 Performance Goals (Revised)
3. Crosswalk of Performance Goals to SSA's Major Programs
4. Crosswalk of Performance Goals and Objectives between SSA's 1997 Strategic Plan and SSA's 2000 Strategic Plan
5. Descriptions of Key Initiatives
6. SSA's Evaluation Plan
7. Management Challenges
8. Impact of Initiatives on Workyear Requirement

I. Introduction

The Social Security Administration (SSA) is responsible for administering three major programs: the Old-Age and Survivors Insurance (OASI) and Disability Insurance (DI) programs, commonly known as “Social Security,” and the Supplemental Security Income (SSI) program.

Social Security pays benefits to retirees and their dependents, to survivors of deceased workers, and to disabled workers and their families. In fact, disability and survivors benefits make up about 28 percent of all Social Security benefits paid. They provide important protection for younger workers before retirement, protection that is often difficult or costly to obtain through private insurance.

SSI provides cash assistance to financially needy individuals who are aged, blind or disabled. To be eligible to receive SSI benefits, individuals must have little in the way of personal resources or income. SSI provides a basic subsistence level, with individual benefits currently equivalent to 73 percent of the poverty level.

The government will collect \$539 billion in Social Security contributions in FY 2002. Of the \$539 billion, \$92 billion are in excess of OASDI benefit outlays and, along with about \$76 billion in interest on Treasury securities held by the trust funds, will be credited to the OASI and DI trust funds. FY 2002 estimates by program, including benefit outlays and the number of beneficiaries, are shown below:

Programs	FY 2002 Benefit Outlays (\$ Billions)	FY 2002 Beneficiaries (Millions)
Old-Age and Survivors Insurance	\$384.3	39.2
Disability Insurance	\$62.8	7.0
Supplemental Security Income (Federal)	\$31.5	6.4

To administer these programs, SSA issues Social Security numbers (SSN), maintains earnings records for wage earners and self-employed individuals, takes claims and determines eligibility for benefits, updates beneficiary eligibility information, educates the public about the programs, and conducts research, policy analysis and program evaluation. SSA integrates these activities across all programs through a single national service-delivery structure.

Conformance with President's Budget

This document describes SSA performance expectations for FY 2002 based on the funding available in the President's FY 2002 budget.

The President's budget for SSA includes sufficient resources to ensure stable staffing in FY 2002. It will allow SSA to maintain performance in key service delivery areas such as retirement claims and average processing time for disability claims while processing more disability claims and hearings in FY 2002 than in FY 2001.

The budget will enable SSA to continue its multi-year plan to become current with continuing disability review (CDR) requirements by the end of FY 2002, as well as significantly increase the non-

disability redetermination effort. It also includes resources for SSA to continue to invest as wisely as we can to modernize our computer infrastructure and continue with our efforts to offer services in an online environment.

At the same time, this amount will allow SSA to process substantial day-to-day base workloads in FY 2002—the largest factor driving overall SSA administrative resource needs—including:

- ❖ Paying benefits to more than 50 million people every month;
- ❖ Processing more than six million claims for benefits each year;
- ❖ Handling approximately 59 million phone calls to SSA's 800-number; and
- ❖ Issuing 136 million Social Security Statements.

Meeting these expectations will not come without continuing stress on the organization, as we push to manage for results. We face considerable challenges as we process our day-to-day workloads, move ahead on initiatives, and prepare for significant workload increases and employee retirements in the near future. Actual service levels will depend in large part on the size and growth of our workloads and on how quickly our budgeted automation and process improvements take hold in 2001 and 2002.

II. SSA's Strategic Plan

SSA released its most recent Agency Strategic Plan (ASP), "*Mastering the Challenge*," in September 2000. This current edition confirms the mission and strategic goals established in our first plan published under the Government Performance and Results Act in 1997. Our mission is:

"To promote the economic security of the nation's people through compassionate and vigilant leadership in shaping and managing America's social security programs."

Supporting our mission are five broad strategic goals that encompass all our program activities. Each goal has supporting strategic objectives that add specificity and define what the goals will mean to SSA over the period covered by the strategic plan (FY 2001 through FY 2005). Our five strategic goals are:

- ❖ ***To promote valued, strong and responsive social security programs and conduct effective policy development, research and program evaluation***
- ❖ ***To deliver customer-responsive, world-class service***
- ❖ ***To ensure the integrity of social security programs, with zero tolerance for fraud and abuse***
- ❖ ***To be an employer that values and invests in each employee***
- ❖ ***To strengthen public understanding of the social security programs***

SSA faces a future that promises huge growth in workloads, an explosion in technology and ever-increasing customer expectations. These challenging forces have driven us to look beyond the conventional five-year planning horizon in this plan. Shaped by a vision of service in 2010, "*Mastering the Challenge*" describes how SSA will prepare itself to meet the needs of tomorrow's customers while continuing to realize concrete results in improved service for today's customers.

This FY 2002 Annual Performance Plan (APP) flows from the current strategic plan. However, several performance indicators and targets, and the means and strategies to achieve them, are still to be determined. These will be defined once we complete more detailed planning to implement our long-range service vision.

Interim Adjustments to the ASP

Since publishing the ASP and in the course of developing our FY 2002 APP, SSA made an adjustment to a strategic objective that supports the goal: *To ensure the integrity of social security programs, with zero tolerance for fraud and abuse*. We changed the objective to "By 2005, raise to 96% the accuracy based on non-disability factors of eligibility of SSI disabled and aged payment outlays." The prior objective raised the accuracy to 97% in 2005. The change reflects the projected impact of current and planned integrity investments. Further discussion begins at page 106.

III. Revised Final FY 2001 Annual Performance Plan

SSA's FY 2001 APP, submitted to Congress in March 2000, committed SSA to levels of performance concomitant with the funds requested. It assumed enactment of the full FY 2001 President's budget.

The FY 2001 performance targets contained in our FY 2001 APP were based on the most recent available data and analysis, agency consideration and decisions. Since that time, further agency consideration based on our review of program performance information available to date for FY 2000, as well as other data and analysis, has led SSA to revise some FY 2001 performance commitments.

This revised final FY 2001 APP modifies several FY 2001 indicators and annual targets, as discussed on the following pages. It contains modifications to our performance commitments for FY 2001 in response to Congressional action on our FY 2001 budget request, the occurrence of any unanticipated exigencies, and/or our review of full-year FY 2000 actual program performance.

This revised final FY 2001 APP also lists the performance indicators which

will be discontinued effective FY 2002 and the bases.

With the publication of SSA's new Agency Strategic Plan (ASP), many of our performance objectives and subordinate performance indicators have evolved and are effective with our FY 2002 Annual Performance Plan. Where appropriate and feasible, we are making parallel changes to these objectives and indicators in this Revised Final FY 2001 Annual Performance Plan. This will assist in managing and tracking our early performance in the pursuit of our longer-term goals.

In some cases where new performance indicators track only to newly established objectives, we added the new objectives to the revised final FY 2001 APP and listed subordinate indicators and goals. Where new indicators could be related to performance objectives already in our FY 2001 APP, we simply *added* those new performance indicators and goals to the existing objectives. At Appendix 2 is a Summary of the FY 2001 Performance Goals which incorporates all the changes in this section.

Social Security FY 2002 Annual Performance Plan

We also *added* the following new performance *objectives* and subordinate performance *indicators* from the new Strategic Plan, effective FY 2001, so as to assist in managing and tracking our early performance in the pursuit of our longer term goals. FY 2001 Goals are also established:

New Strategic Objective: Increase electronic access to information needed to serve SSA customers. Specifically by 2005:

- ❖ Establish electronic access to human services and unemployment information with 90 percent of States,
- ❖ Establish electronic access to vital statistics and other material information with 50 percent of States,
- ❖ Increase electronic access to information held by other Federal Agencies, financial institutions and medical providers.

New Indicators	FY 2001 Goals
❖ Percent of States with which SSA has electronic access to human services and unemployment information	59%
❖ Percent of States with which SSA has electronic access to vital statistics and other material information	12%
❖ Milestones/deliverables demonstrating progress in increasing electronic access to information held by other Federal Agencies, financial institutions and medical providers	TBD

New Strategic Objective: By 2005, increase by 100 percent from the 1999 levels, the number of SSDI and SSI disability beneficiaries who achieve steady employment and no longer receive cash benefits

New Indicator	FY 2001 Goal
Activities to implement provisions of the Ticket to Work and Self Sufficiency Program (TWSSP) and other employment strategies	<ul style="list-style-type: none"> ❖ Publish final regulations for Ticket to Work program ❖ Distribute Tickets to beneficiaries in Phase 1 States

Revised Final FY 2001 Annual Performance Plan

We also *added* the following performance *indicators* from the new Strategic Plan, effective FY 2001, so as to assist in managing and tracking our early performance in the pursuit of our longer term goals. These are listed under FY 2001 performance objectives. FY 2001 Goals are also established:

Strategic Objective: To raise the number of customers who receive service and payments on time

New Indicator	FY 2001 Goal
❖ Percent of hearings decisions issued within 180 days from the date the request is filed	20%
❖ Percent of decisions on appeals of hearings issued by the Appeals Council within 105 days of the appeals filing date.	20%
❖ Average processing time for decisions on appeals of hearings issued	285 days
❖ Number of decisions on appeals of hearings issued per workyear (PPWY)	262

Strategic Objective: To maintain through 2002, current levels of accuracy and timeliness in posting earnings data to individuals' earnings record.

New Indicator	FY 2001 Goal
Percent of employee reports (W-2s) filed electronically	20%

We also *changed* the following performance indicator to the *indicator* from the new Strategic Plan, effective FY 2001, so as to assist in managing and tracking our early performance in the pursuit of our longer term goals. The new indicator is listed under the FY 2001 performance objective. FY 2001 Goals are also established:

Strategic Objective: To make benefit payments in the right amount

Indicator FROM...	Indicator TO...
Dollar accuracy of <i>OASI</i> payment outlays:	Dollar accuracy of <i>OASDI</i> payment outlays:
❖ Percent without overpayments	❖ Percent without overpayments
❖ Percent without underpayments	❖ Percent without underpayments

Social Security FY 2002 Annual Performance Plan

Following are additional *changes* in performance *indicators* and the bases:

Strategic Objective: By 2002, to have 9 out of 10 customers rate SSA’s service as “good,” “very good,” or “excellent”, with most rating it “excellent”

Indicator FROM...	Indicator TO...	Basis...
Percent of employers rating SSA’s overall service as “excellent,” “very good,” or “good”	Percent of employers rating SSA’s overall service <i>during interactions with SSA</i> as “excellent,” “very good,” or “good”	This change reflects that, in reality, many employers do not interact with SSA. The new measure will only reflect rating of employers interacting with SSA.

Strategic Objective: By 2002, to have 9 out of 10 customers rate SSA’s service as “good,” “very good,” or “excellent”, with most rating it “excellent”

Indicator FROM...	Indicator TO...	Basis...
Percent of employers rating SSA’s overall service as “excellent”	Percent of employers rating overall SSA’s service <i>during interactions with SSA</i> as “excellent”	This change reflects that, in reality, many employers do not interact with SSA. The new measure will only reflect rating of employers interacting with SSA.

Strategic Objective: To raise the number of customers who receive service and payments on time

Indicator FROM...	Indicator TO...	Basis...
Percent increase in OHA PPWY in hearings process	Number of hearings cases processed per workyear	This change aligns the GPRA goal with the measurement and tracking systems used by SSA for PPWY.

Strategic Objective: To provide the necessary tools and training to achieve a highly skilled and high-performing workforce

Indicator FROM...	Indicator TO...	Basis...
Percent of offices with access to Interactive <i>Video Teletraining/Interactive Distance Learning (IVT/IDL)</i>	Percent of offices with <i>direct</i> access to <i>Interactive Video Teletraining (IVT)</i>	This wording change reflects current terminology and reflects a change from measuring the percent of offices within a 30 minute commute to measuring the percent of offices to which IVT is directly transmitted, so as to eliminate travel time for employees.

We are also *correcting the definition* of the following indicators:

Performance Indicator: Percent increase in the number of DI adult worker beneficiaries who begin a trial work period

Definition change...	Basis...
Effective 2001, indicator represents the annual percentage increase over the prior year performance in the number of DI adult worker beneficiaries who begin a trial work period. In years prior, the indicator represented the annual percentage increase relative to the base year 1997. Our CY 2001 goal is for a 5 percent increase over the CY 2000 actual level, equivalent to 15,528.	This wording change clarifies that our tracking has been on a Calendar Year, as opposed to Fiscal Year basis, and this will be continued for FY 2001 and thereafter for this interim measure. In addition, it clarifies that effective FY 2001, the goal is for an increase over the prior calendar year performance.

Performance Indicator: Percent increase in the number of SSI disabled beneficiaries, aged 18-24, whose payments are reduced because of work (i.e. participating in 1619(a) status)

Definition change...	Basis...
Effective 2001, indicator represents the annual percentage increase over the prior year performance in the number of SSI disabled beneficiaries, aged 18-64 who are participating in 1619(a), i.e., working at the Substantial Gainful Activity level but still receiving benefits. In years prior the indicator represented the annual percentage increase relative to the base year 1997. Our FY 2001 goal is for a 5 percent increase over the FY 2000 actual level, equivalent to 27,061.	This wording change clarifies, effective FY 2001 that the goal is for an increase over the prior calendar year performance.

Performance Indicator: Percent of employers rating SSA's overall service *during interactions with SSA* as "excellent," "very good," or "good"

Definition change...	Basis...
This is the number of employers directly interacting with SSA who rate service as excellent, very good or good on a 6-point scale ranging from excellent to very poor, divided by the total number of respondents to that question.	This change reflects that we are changing our survey methodology to select our survey sample only from the universe of employers who have had direct interactions with SSA.

Social Security FY 2002 Annual Performance Plan

Performance Indicator: Percent of employers rating SSA’s overall service *during interactions with SSA* as “excellent”

Definition change...	Basis...
This is the number of employers directly interacting with SSA who rate service as excellent on a 6-point scale ranging from excellent to very poor, divided by the total number of respondents to that question.	This change reflects that we are changing our survey methodology to select our survey sample only from the universe of employers who have had direct interactions with SSA.

These tables display the *changes* in FY 2001 performance *targets* (i.e., goals) and the bases:

Performance Indicator: Percent of SSA’s core business customers rating SSA’s overall service as “excellent,” “very good,” or “good”

FY2001 Goal FROM...	FY 2001 Goal TO...	Basis...
89%	82%	This change reflects new baseline customer satisfaction rates resulting from the transition to the new Interaction Tracking Methodology and the projected impact of current and planned initiatives.

Performance Indicator: Percent of SSA’s core business customers rating SSA’s overall service as “excellent”

FY2001 Goal FROM...	FY 2001 Goal TO...	Basis...
40%	30%	This change reflects new baseline customer satisfaction rates resulting from the transition to the new Interaction Tracking Methodology and the projected impact of current and planned initiatives.

Performance Indicator: Percent of employers rating SSA’s overall service *during interactions with SSA* as “excellent,” “very good,” or “good”

FY2001 Goal FROM...	FY 2001 Goal TO...	Basis...
94%	TBD	SSA will institute a new, more targeted employer survey in FY 2001 and use the data to establish new baseline performance targets.

Revised Final FY 2001 Annual Performance Plan

Performance Indicator: Percent of employers rating SSA's overall service during interactions with SSA as "excellent"

FY2001 Goal FROM...	FY 2001 Goal TO...	Basis...
16%	TBD	SSA will institute a new, more targeted employer survey in FY 2001 and use the data to establish new baseline performance targets.

Performance Indicator: Percent of SSI aged claims processed by the time the first regular payment is due or within 14 days of effective filing date, if later

FY2001 Goal FROM...	FY 2001 Goal TO...	Basis...
TBD	66%	This target is based on updated baseline data consistent with the new indicator definition which is effective FY 2002.

Performance Indicator: Initial disability claims processing time (days)

FY 2001 Goal FROM...	FY 2001 Goal TO...	Basis...
117 days	120 days	This revised goal reflects the processing time goal contained in SSA's FY 2001 Operating Plan.

Performance Indicator: Increase in the number of DI adult worker beneficiaries who begin a trial work period

FY2001 Goal FROM...	FY 2001 Goal TO...	Basis...
10% (equivalent to 19,200)	5% (equivalent to 15,528)	This revised goal represents a 5% increase over the CY 2000 actual. It also reflects the revision of the CY 2001 goal from 10% to 5% increase over the prior calendar year.

Performance Indicator: Percent increase in the number of SSI disabled beneficiaries, aged 18-24, whose payments are reduced because of work (i.e. participating in 1619(a) status)

FY 2001 Goal FROM...	FY 2001 Goal TO...	Basis...
10 % (equivalent to 23,918)	5% (equivalent to 27,061)	This revised goal reflects the revision of the FY 2001 goal from 10% to 5% increase over the prior fiscal year.

Social Security FY 2002 Annual Performance Plan

Performance Indicator: Dollar accuracy of OASDI payment outlays: Percent without overpayments

FY2001 Goal FROM...	FY 2001 Goal TO...	Basis...
99.8%	99.7%	This goal reflects inclusion of non-medical accuracy of DI outlays in the measure effective FY 2001. The prior measure only included OASI outlays.

Performance Indicator: Hearings average processing time

FY 2001 Goal FROM...	FY 2001 Goal TO...	Basis...
208 days	271 days	This goal reflects the most recent FY 2001 workload estimates for hearings dispositions, hearings pendings, and available Administrative Law Judges (ALJs).

Performance Indicator: Number of hearings processed per workyear

FY 2001 Goal FROM...	FY 2001 Goal TO...	Basis...
119	103	This goal reflects the most recent FY 2001 workload estimates for hearings dispositions, hearings pendings, and available (ALJs).

Performance Indicator: OHA decisional accuracy

FY2001 Goal FROM...	FY 2001 Goal TO...	Basis...
87%	88%	This goal reflects maintenance of the improved accuracy rate for FY 2000.

Performance Indicator: Percent of SSI payment outlays “free” of overpayments and underpayments (based on non-medical factors of eligibility)

FY 2001 Goal FROM...	FY 2001 Goal TO...	Basis...
Overpayments: 95.5%	Overpayments: 94.7%	We raised the FY 2001 goal based on estimated improved FY 2000 performance.

Performance Indicator: Percent of multi-year CDR plan completed

FY2001 Goal FROM...	FY 2001 Goal TO...	Basis...
83%	86%	The May 16, 2000 revision SSA’s 7-Year CDR plan raised the FY 2001 completion goal based on revised actuarial data.

Performance Indicator: Percent of offices with access to Interactive Video Teletraining (IVT)

FY2001 Goal FROM...	FY 2001 Goal TO...	Basis...
100%	67%	The revised FY 2001 target reflects the revised indicator definition.

Performance Indicator: Percent of public who are knowledgeable about Social Security programs

FY 2001 Goal FROM...	FY 2001 Goal TO...	Basis...
70%	75%	We raised the FY 2001 goal based on improved actual FY 2000 performance as reported in the annual PUMS survey.

FY 2001 indicators which will be discontinued from use in GPRA annual performance plans effective FY 2001 are the following:

FY 2001 Indicator...	Basis...
<ul style="list-style-type: none"> • New or expanded services available over the phone • New or expanded services available electronically • Number of customers accessing Social Security Online • Number of online Social Security Statement requests as compared to the number of 800 Number Social Security Statement requests 	<p>The indicator was replaced with an improved indicator for one or more of the following reasons:</p> <ul style="list-style-type: none"> • Alignment with strategic objectives in the new Agency Strategic Plan • Evolution of the indicator and application of results of benchmarking, analysis, and/or new baseline information. <p>More detail on the basis for each change is found in the related performance objective section of the FY 2002 APP.</p>

Social Security FY 2002 Annual Performance Plan

These tables display *revisions* in FY 2001 *output measures* for major budgeted workloads:

Strategic Goal: To deliver customer-responsive world-class service

Major Budgeted Workload	Original FY 2001 Output measure	Revised FY 2001 Output measure
• RSI claims processed.	3,083,000	3,125,000
• SSI aged claims processed.	136,400	150,000
• Initial disability claims processed.	2,057,000	2,097,000
• Hearings processed.	582,000	526,000
• SSN requests processed.	16,300,000	16,460,000
• 800-number calls handled.	57,000,000	60,000,000 ¹

Strategic Goal: To make SSA program management the best-in-business, with zero tolerance for fraud and abuse

Major Budgeted Workload	Original FY 2001 Output measure	Revised FY 2001 Output measure
• Annual earnings items processed.	259,400,000	270,200,000
• Representative payee actions.	7,461,900	6,858,000

1. Includes up to 1 million additional calls that may result from notices and benefit adjustments to compensate affected Social Security and SSI beneficiaries for the error in the Bureau of Labor Statistics consumer price index (CPI) announced for 1999.

IV. FY 2002 APP Overview

Enhancements to APP Document

For FY 2002, we enhanced our APP to emphasize several important areas, including the following:

- ❖ In Section IV, we expanded the discussion of major environmental factors that may impact SSA's performance and our strategies to mitigate them to incorporate anticipated factors through 2010. We also described how information technology and SSA's capital investments support our long-range service vision, our strategic goals and initiatives.
- ❖ We identified throughout Section V the performance indicators which are newly established for FY 2002. We also added baseline data, definitions and data sources for output measures.
- ❖ We expanded Section VI on Verification and Validation to better demonstrate the validity and reliability of the data used to report our performance.
- ❖ We highlighted in Appendix 1 the performance indicators which are newly established for FY 2002.
- ❖ We added new Appendix 2, a Summary Table of FY 2001 Performance Goals which displays, in one place, all FY 2001 Performance Goals including those modified in the

Revised Final FY 2001 Annual Performance Plan.

- ❖ We added new Appendix 4, which displays a crosswalk of the performance goals and objectives in SSA's 1997 Strategic Plan and 2000 Strategic Plan.

SSA's Budget Account Structure and APP Alignment

The "Introduction" section of this document explains that SSA is responsible for three major programs:

- ❖ Old-Age and Survivors Insurance (OASI);
- ❖ Disability Insurance (DI); and
- ❖ Supplemental Security Income (SSI)

SSA also provides support for the Medicare, Medicaid, and Black Lung programs.

The following discussion provides a brief overview of SSA's unique budget account structure, which has evolved over a number of years as SSA's responsibilities have changed.

Budget Account Structure

SSA's budget is best viewed in two distinct segments—the program budget and the administrative budget. In the simplest possible presentation, the program budget covers benefit payments to individuals, while the administrative

Social Security FY 2002 Annual Performance Plan

budget covers the costs of accomplishing SSA’s mission.

budget. SSA’s administrative budget is considered discretionary spending.

Under the Budget Enforcement Act, the program budget is considered part of the entitlement portion of the Federal

Eight separate accounts comprise SSA’s overall budget. These accounts are generally categorized by the type of appropriation from which they are funded, as displayed below.

Account	Appropriation
Old-Age and Survivors Insurance Trust Fund	Permanent
Disability Insurance Trust Fund	Permanent
Supplemental Security Income	Annual
Special Benefits for Certain WWII Veterans	Permanent
Special Benefits for Disabled Local Miners	Annual
Payments to Social Security Trust Funds	Permanent/Annual
Office of Inspector General	Annual
Limitation on Administrative Expenses	Annual

SSA’s permanent appropriations provide the funding needed to pay all entitled Social Security beneficiaries automatically; the amount spent each year is not determined through the annual appropriations process. Therefore, Social Security retirement, survivors and disability insurance benefits increase automatically as additional persons meet eligibility requirements and as benefit levels increase based on cost-of-living adjustments. These OASDI trust fund accounts are considered off-budget.

Security benefit payments make up the overwhelming bulk of SSA’s overall budget. These accounts are permanent appropriations.

A very brief sketch of each SSA budget account follows:

Supplemental Security Income (SSI):

The activities of this annual appropriation involve:

- ❖ Providing means-tested Federal payments for aged, blind and disabled persons;
- ❖ Providing vocational rehabilitation services and research funding; and
- ❖ Reimbursing the Social Security trust funds for the SSI program’s share of SSA’s administrative expenses.

Old-Age and Survivors Insurance (OASI) Trust Fund and Disability Insurance (DI) Trust Fund:

These accounts receive revenues from Social Security contributions and disburse benefit payments (entitlements) upon retirement, disability, or death to insured workers and their families. Social

Special Payments for Disabled Coal Miners (Black Lung):

SSA makes payments of cash benefits to certain coal miners who are disabled due to coal workers’ pneumoconiosis (black lung) and to their widows and certain other dependents.

Special Benefits for Certain World War II Veterans: Title VIII of the Social Security Act, enacted December 14, 1999 as part of the Foster Care Independence Act of 1999, provides a monthly cash payment to certain World War II veterans who were eligible for SSI and who reside outside the United States.

Payments to Social Security Trust Funds (PTF): This account provides general fund payments to the Social Security trust funds intended to reimburse the trust funds for certain benefits or administrative expenditures (e.g., special payments for certain uninsured persons and costs associated with pension reform) that are chargeable to Federal funds.

Office of the Inspector General (OIG): The OIG account is an annual appropriation that funds the

administrative expenses of the Inspector General. Financing is provided from both the Social Security trust funds and general revenues to reflect the fact that OIG monitors the Social Security, SSI and Black Lung programs.

Limitation on Administrative Expenses (LAE): The Limitation on Administrative Expenses, SSA's basic administrative account, is an annual appropriation and is financed from the Social Security and Medicare trust funds. The trust funds are reimbursed for the administrative expenses of the SSI program, which are covered by Federal funds, from the SSI account, and from fees paid by States for Federal administration of State SSI supplementation payments. The following table displays the LAE account by funding source (using FY 2000 actual data for illustrative purposes).

Funding Source	Budget Authority in Millions	Percent of Total
Old-Age and Survivors Insurance Trust Fund	\$1,750	26.5%
Disability Insurance Trust Fund	\$1,394	21.1%
Hospital Insurance Trust Fund	\$ 556	8.4%
Supplementary Medical Insurance Trust Fund	\$ 482	7.3%
Payment to Social Security Trust Funds for Administrative Expenses of the Supplemental Security Income Program	\$2,342	35.4%
State Supplementation User Fee	\$ 80	1.2%
Special Benefits for Certain WWII Veterans	\$ 3	.1%
Total	\$6,607	100%

The LAE account funds:

- ❖ Salaries and benefits of SSA's Federal employees (excluding the Office of the Inspector General);
- ❖ Related costs for space, equipment, supplies, travel, printing and other non-payroll expenses
- ❖ System and telecommunications activities; and
- ❖ Expenses of the State Disability Determination Services (DDS), which make disability determinations on behalf of SSA.

Alignment of the APP and the Budget

SSA has aligned the strategic goals in our ASP and accordingly, the performance goals in our APP, by our major functional responsibilities rather than by program or budget account.

The program and financing schedules for SSA in the President's budget do not include program activities, per se. For example, under the heading "Obligations by Program Activity," SSA's LAE account displays total obligations by direct program and reimbursable program.

SSA's programs share many customers in common and rely on a common set of business processes. To highlight just a few examples:

- ❖ Many of our SSI applicants are also OASI or DI applicants;
- ❖ While there are a few legislative differences in the disability criteria for the DI and SSI programs, the processes we use to determine eligibility for disability benefits under the two programs vary only slightly;
- ❖ Much of our research and policy development in the area of disability supports both the DI and SSI programs; and
- ❖ We maintain earnings records in support of the OASI, DI and Medicare programs.

Fitting with the common characteristics of our programs, SSA has a single national service-delivery structure that does not specialize by program. By integrating services across all of our programs at the level of the customer, SSA is able to enhance efficiency, avoid duplication of effort and increase opportunities to provide one-stop service to our customers. As noted above, SSA's administrative costs, for all programs and associated functional responsibilities, are funded for the most part by the LAE appropriation.

The following chart links funding amounts within the Social Security Administration’s LAE, research and OIG budget accounts to our four functional strategic goals. As the fifth goal, “valued

employees,” supports accomplishment of all our basic functions, resources related to it are allocated across the other four goals.

FY 2002 Administrative Budget Construct, by Strategic Goal
(Dollars in Millions)

Budget Accounts	Responsive Programs	World-Class Service	Program Integrity	Public Understanding	Total
Limitation on Admin. Expenses	\$24	\$5,771	\$1,666	\$113	\$7,574
Extramural Research ²	\$30	---	---	---	\$ 30
Office of Inspector General			\$75		\$ 75
Total	\$54	\$5,771	\$1,741	\$113	\$7,679

² Excluded \$12 million for trust-fund financed demonstration projects authorized by Section 234 of the Social Security Act.

Major Environmental Factors

Major environmental factors are, by definition, outside of our direct control. We take them into account in developing, adapting, and implementing our means and strategies. We will also consider their impact, in retrospect, as we track our actual performance against our goals, and when we report on our performance in our Annual Performance Report.

Following are some of the major environmental factors we have identified and our general approach to considering them or to mitigating their impact. Additional information is found in the means and strategies discussions for each of our strategic objectives in Section V.

Challenging Business Environment

After many decades of public service ranked among the very best, SSA acknowledges the strain of demanding of itself the best in performance. We now deliver service to customers whose expectations are racing higher. And we look ahead to a future that promises an explosion in technology and huge growth in workload as the Baby Boomer generation approaches retirement. We also face the prospect of significant retirement losses.

Under current estimates, by 2010 the demographic shift created by the aging of the Baby Boomers will push growth in disability beneficiaries to something more than 46 percent over today's levels. Retirement beneficiaries will increase by over 15 percent and

Supplemental Security Income recipients will increase by about 10 percent. And new mission requirements such as the Ticket to Work and Work Incentives Improvement Act of 1999 signal expanded responsibilities for the Agency and the workforce.

These challenging forces have driven us to look beyond conventional planning horizons. We know that we must begin now to position the Agency so it is prepared to handle the increases in claims expected as the Baby-Boomers reach their disability-prone years (their 50's) and then retirement age (in around 2008 when they begin to reach age 62).

SSA's *2010 Vision* has been developed to provide a clear vision of how SSA will deliver service in the future and to provide a framework for aligning ourselves and our efforts so that we will succeed. SSA's new Strategic Plan, *Mastering the Challenge* and other service plans will give our long-range service vision shape and will help guide us toward making the vision a reality.

Long-Term Solvency

Americans are living longer, healthier lives. In addition, the Baby-Boom generation is nearing retirement. When the Social Security program was created in 1935, a 65-year-old had an average life expectancy of 12 ½ more years; today, it is 17 ½ years, and rising. The number of workers paying into Social Security per beneficiary will drop from 3.4 in 1999 to 2.1 by 2037.

These demographic changes create long-term funding issues for the Social Security programs. While revenues currently exceed benefit payments, in 2015 total expenditures will exceed revenues and interest from the trust funds will be needed to pay full benefits. The trust funds are projected to be depleted by 2038 under current law, at which point revenues will support only about 73 percent of total expenditures.

As the debate moves forward on how best to strengthen Social Security for the future, SSA must work to ensure that the policymakers and public have the information needed to assess the implications of all the proposals under consideration. SSA plays a critical role in this policy debate by informing policymakers and the public about program characteristics and the implications of proposed changes and strategies.

Customer Expectations

The Social Security Administration has set the standard for customer-responsive world-class service among Federal government agencies. Customer service continues as a major strategy driver in SSA, and is the framework for our planning activities. SSA is committed to continuing to provide customer-responsive, world-class service to our customers. However, customer expectations are continually balanced against budgetary restraints, and resources are focused on areas that provide the best payoff.

In the past, we measured customer satisfaction through a formal survey that had been our main barometer since 1994. In FY 2000, we moved to a new

Interaction Tracking System to monitor satisfaction.

We will continue to monitor customer satisfaction and preferences, and develop strategies and initiatives that respond to emerging themes.

SSA's Workforce

Based on our workload projections, if we try to process the Baby Boom work the way we do it now, we would need as many as 20,000 additional workyears by 2010 to maintain current service levels. Meanwhile our workforce is aging and will begin retiring in greater numbers. By 2010, over 28,000 of the Agency's employees will be eligible to retire and another 10,000 are expected to leave for other reasons. The retirement wave will create a significant drain on SSA's institutional knowledge.

Based on these projections, between now and 2010 SSA will be faced with replacing over half its current workforce, during a time when attracting and keeping capable, qualified workers will continue to be a national challenge. And SSA will need the best. The Agency is committed to maintaining a workforce that reflects the growing diversity in the national population and can thus be more responsive to the needs of customers with differing social and cultural backgrounds and language skills. We are likely to need other new skills to meet our changing responsibilities in serving individuals with disabilities. Finally, as customer demand for faster, more convenient service grows, pervasive use of technology will drive an urgent need for workers who continue to build the skills needed to be comfortable

operating in an increasingly complex technological environment.

SSA will need to undertake aggressive human resource planning and leading-edge personnel practices, and will need to provide state-of-the-art technology for our employees to fully prepare them to meet future service demands. SSA will also need to be an “employer of choice”. The means and strategies we are developing and implementing flow from these requirements.

Information Technology

The explosion of information technology presents SSA with vast opportunities for efficiencies and enhancements of customer service. Technology will enable us to simplify, speed, or eliminate tasks in our programmatic and administrative processes. As we develop an overall information technology architecture and applications, we also are providing our employees with the tools and training to use them.

Technology advances and the explosion of Internet usage are changing the way we do business and continue to raise the bar on customer expectations. The aged population is one of the fastest growing sectors of the population who use the Internet. Increasingly, our customers enjoy and prefer the convenience of on-line service that allows a full range of business, anytime and anywhere. To respond to this demand, we are increasing the number of electronic transactions available to the public by adding Internet Services on SSA's website [Social Security Online](#). Our vision is to implement comprehensive

Internet services, including privacy and security safeguards, to expand access to information and for customers to conduct SSA business.

As SSA workloads increase over the next two decades, customer access to online information and processes via the Internet, with appropriate safeguards, will absorb some of the rising workload.

Information technology continues to provide SSA with unimagined opportunities to empower employees and customers with electronic access to handle actions to completion that once required handoffs to other employees, or interaction with direct service employees. And the coming workloads make it critical that SSA optimize the efficiencies of technology to deliver on our commitment to good customer service.

Other Technological Advances

Other technological advances will impact both our programs and our workloads. For example, advances that permit individuals to join, remain in, or rejoin the workforce despite their medical challenges are changing the traditional concept of disability. New medical technologies are improving health and increasing life expectancy. SSA is keeping these advances in view, and promoting research to improve our ability to develop policies that respond to changes in technology and in medical and other trends. For example, such research enables us to update the listings of impairments used in determinations of disability.

Information Technology/Capital Investments

Critical Infrastructure Investment: Information Technology is a Principal Enabler of the “2010 Vision.”

SSA must begin now to invest in developing the technology infrastructure that will support our long-range service vision. SSA will make maximum use of technology to automate workload and administrative processes to enhance service and to fully support the electronic, paperless processing of work, thus enabling more operational flexibility. Customers and employees will have access to electronic records, with the necessary security, privacy, and authentication. Improved information management systems and support of “knowledge management” will enhance quality of decisionmaking.

SSA is developing a technology strategy that will make provisions for periodic refreshment of the infrastructure and the purchase of new hardware and software on a three-year cycle. These enhancements are needed to allow customer access to Social Security services over the Internet while simultaneously improving services delivered via telephone and face-to-face. The technology strategy will outline both the dollar and workyear investments needed in greater detail, and will result in a new operating model that leverages technology to improve productivity and meet the demands of the future.

We ordered 41,000 new computer workstations in FY 2000 and another 36,000 in FY 2001 to replace

older computers. The 41,000 have been installed and installation of the 36,000 is underway in our teleservice centers, the Office of Central Operations, as well as in some field offices, DDSs and in some parts of OHA and headquarters. In addition, we are getting new, more efficient equipment that will double the capacity of our lines to field sites and allow all SSA and DDS employees to have access to the Internet in order to enable more efficient work processing and to give all employees access to critical Intranet-based databases. We are also moving ahead with investments in the infrastructure needed to support Internet-based customer services.

Capital Investments

Capital investment, primarily in the form of information technology, supports all of SSA’s strategic goals. SSA’s information technology investments have been funded through the Agency’s annual Information Technology Systems (ITS) budget, as well as the no-year Automation Investment Fund (AIF) appropriated to provide a modern SSA computer network. SSA’s ITS budgets include funds for the acquisition and maintenance of automated data processing and telecommunications hardware and software, as well as related contractual services. The President’s FY 2002 budget includes \$360 million, an increase of \$47 million, or 15 percent, above the FY 2001 level of \$313 million, for investment in its information technology and telecommunications hardware and software infrastructure. This funding increase will allow the Agency to move

Social Security FY 2002 Annual Performance Plan

ahead with a wide range of IT projects (see SSA's Capital Assets Plans on page 25). With the \$360 million provided in the President's budget, SSA will continue in FY 2002 with its ongoing efforts to modernize its computer infrastructure and to continue with efforts to offer services in an

on-line environment.

The following table displays the FY 2002 ITS obligations by baseline operations, strategic priorities, financial systems, infrastructure and office automation initiatives, and IT architecture and planning initiatives.

FY 2002 ITS Obligations

(Dollars in millions)	FY 2002
Baseline (Current Levels of Service)	
Non-800 Number Telephone Service	\$34.3
National 800-Number Service	\$35.4
Telephone Systems Maintenance & Micropurchases	\$16.6
Data Communications Network	\$14.1
ADP Hardware/Software Lease/Maintenance	\$53.9
ADP Small Purchases	\$4.6
Contractor Support Services	\$19.8
Timesharing/Backup and Recovery Services	\$3.4
Baseline Subtotal	\$182.1
World-Class Service Initiatives	\$36.0
Program Integrity Initiatives	\$5.1
Valued Employees Initiatives	\$14.1
Financial Accounting Systems	\$6.7
IT Infrastructure and Office Automation Initiatives	\$111.5
IT Architecture and Planning Initiatives	\$4.5
Obligations from New ITS Budget Authority	\$360.0

SSA's Capital Assets Plans

SSA's Capital Assets Plans identify major acquisition areas that contribute significantly to the achievement of SSA's performance goals, including:

Title II System Redesign

This redesign will provide a single system for processing virtually all initial claims and client-initiated post-entitlement actions in an online interactive mode. The net effect will be a greater capability to process work at the customer's first point of contact with the Agency, online user access to more comprehensive customer information, and an automated system that is easier and less costly to maintain and modify.

Electronic Service Delivery (ESD) Internet Customer Services

This initiative focuses on electronic services to be offered to our external customers on the SSA Internet web-site, www.ssa.gov. These Internet services will be implemented incrementally, adding online functionality along with appropriate privacy/security safeguards, until customers can conduct their business completely online.

National 800 Number Call Center Solution

This initiative will replace the existing automatic call distributors with newer technology and an intelligent network routing (INR) feature. The INR software feature will consolidate all the national 800 number network queues at SSA's various call centers into one logical queue.

Paperless Program Service Centers

The Paperless Program Service Centers (PSC) initiative is an image-based workflow management system for the PSC. SSA will capture information received on paper through electronic imaging and to make that information available for case processing on demand. We will be able to better manage PSC workloads, and improve accuracy and timeliness by having data move electronically.

Electronic Wage Reporting System

The Electronic Wage Reporting System will enable SSA to process efficiently and effectively wage reports submitted on various media in a variety of methods. The system will also provide expanded services to SSA's annual wage reporting customers by providing an acknowledgement of receipt, filing status information, complete and timely information on processing results, testing capabilities and additional customer support.

Security Infrastructure and Operations Support

SSA plans to deploy new security technologies and integrate security into its business processes to protect systems software and hardware from both physical and cyber security threats. SSA uses software to supplement the native security in the Microsoft NT and UNIX operating systems and plans for this software to be the cornerstone of an enterprise-wide distributed security architecture, eventually to be interfaced with the mainframe computer security software. This initiative also includes

increased penetration testing and certification of SSANet access. It anticipates the widespread deployment of biometric SmartCards to authenticate all internal Agency users.

Managerial Cost Accountability System (MCAS)

MCAS will modernize the way SSA collects, organizes, and provides management and financial information about SSA's programs and operations to our managers, analysts and outside entities that oversee SSA.

Financial Accounting System (FACTS)

This project will provide a comprehensive financial accounting system, replacing accounts payable, accounts receivable, core accounting systems and reporting that are currently in use. This system will provide better control of Agency funds and data consistency across the Agency.

SSA's Automation Support Processes Correspond to SSA's Planning Priorities

Much of SSA's FY 2002 ITS budget is needed to maintain ongoing SSA-wide computer operations and services, including ongoing operational costs associated with the installed national computer network. The remainder is for investments in automation for key initiatives (KIs) and for crosscutting IT initiatives. (Note: KIs are described in Appendix 5.)

SSA has a process in place to screen, select, prioritize, and schedule new IT and systems support initiatives that reflect the Agency's strategic planning priorities. In this process, Executive Staff members are the decisionmakers; agency KIs are analyzed in terms of their relative importance to SSA and their expected contribution to performance. KIs are given priority in budgeting and scheduling of software development and in making IT infrastructure capital investments.

V. Performance Goals, Means and Strategies

Introduction

This section, covering our performance goals and the means and strategies for achieving them, is organized by the five strategic goals and supporting objectives established in the ASP. SSA's goals and objectives encompass all of SSA's program activities and address the universe of competing needs of the wide variety of SSA stakeholders and customers.

By Strategic Goal:

Ongoing Activities and Budgeted Resources by Goal: The introductory section under each goal describes the scope of ongoing activities SSA performs in support of the goal and the amount of resources in SSA's budget that are associated with these activities.

Where activities relate to more than one goal, we include the resources that support them only once under the goal to which they are most relevant. For example, as a service to the public, the Social Security Statement relates in part to our "world-class service" goal. However, because it is an instrumental tool for educating the public, we have presented all resources associated with issuing the Social Security Statement under the "public understanding" goal.

We also list all the objectives that support each goal.

Crosscutting Areas with Other Federal Agencies: Under each goal, we highlight major partnerships formed with

other agencies to help us achieve our objectives.

Key Legislation and Regulations:

Under each goal, we identify any legislation or regulations that are critical to implementation of the strategies we have developed for achieving the goal's supporting objectives.

By Strategic Objective within each Strategic Goal:

Performance Indicators and Goals: The indicators for each of SSA's current five goals, when taken together, focus on the critical aspects of each of the five goals. This framework allows us to cover the full scope of Agency activities supporting the goal.

Under each strategic objective, we present a general rationale for the indicators we have selected to represent our performance and for our performance expectations for FY 2002. We also identify which indicators are newly established for FY 2002 and do not, therefore, have counterpart goals for FY 2001.

Each indicator and target performance level reflects the following:

- ❖ Each performance measure serves as an indicator of some critical aspect of performance in a given strategic objective;

- ❖ We set target levels of performance for FY 2002 by balancing customer and stakeholder expectations, external forces, internal capabilities, and budgetary constraints; and
- ❖ We set target levels of performance for FY 2002 that reflect current levels of performance and the need to maintain current service levels or improve performance, as appropriate. In many instances, we set improvement objectives, intended to stretch us to higher levels of performance during the period covered by the ASP. In others, we set objectives to maintain current levels of performance to guard against performance slippage while we focus on other priorities. In still others, we are devising new ways to measure our success, and in the interim we are focusing on completing milestones of initiatives expected to have a positive impact on performance.

Where maintenance of performance is our goal, this may be because current performance is already excellent. In other cases, maintenance may be the goal because of the relative satisfaction of our customers with our performance in that area combined with the need to focus our limited resources in the areas most needing improvement.

In developing the FY 2002 targets, we also considered the actual performance we had attained in FY 2000 and the performance we anticipate in FY 2001.

As appropriate, baseline performance data, data sources and pertinent

background information and/or definitions are provided for each indicator. We also array trend data for each indicator with quantifiable measures, showing available historical data and goals. Goals are displayed for prior years so long as the definition has not changed. In the case of non-quantifiable goals, we also describe how we will consider them to have been achieved. A summary table of FY 2002 performance indicators and performance expectations for all of our strategic objectives is included as an appendix to this document. We also include as an appendix a summary table of our FY 2001 Performance Indicators and Goals which incorporates changes found in the Revised Final FY 2001 Performance Plan.

Means and Strategies: SSA has developed a set of strategies that will lead to achievement of each strategic objective identified in the ASP. Each strategic objective is supported by one or more Key Initiatives (KIs) for implementing required change activities. For each objective, we generally describe the KIs that we will be pursuing over the FY 2001-FY 2002 period, not only to achieve our near-term performance goals, but also to enable achievement of the longer-term objectives. Additional information on our KIs is provided at Appendix 5 of this document.

Strategic Goal: To promote valued, strong, and responsive social security programs and conduct effective policy development, research, and program evaluation

This strategic goal reflects the Agency's responsibility to address critical long and short-term social security issues and to assess program performance. The Agency will work to provide information and policy options, as well as to improve program outcomes.

Leadership in shaping the programs cannot be achieved without expertise. With this goal, SSA will strengthen its research, policy analysis and evaluation capabilities in recognition that these capabilities are essential to the development of creative and responsive policy solutions. The FY 2002 budget requests an estimated \$54 million related to activities that support this goal. This includes extramural research and the salaries and expenses of SSA's Office of Policy and Chief Actuary. In addition, the President's budget assumes that \$12 million will be made available directly from the trust funds for demonstration projects authorized by Section 234 of the Social Security Act.

Annual performance goals under this strategic goal are largely based on delivery of research and analytical products that provide critical information for decisionmakers. However, SSA also acknowledges the need to monitor the influence of Social Security programs on the economic well-being of Americans. In areas where SSA cannot define specific program outcome goals because of factors not controlled by the Agency

(e.g., social, economic, and demographic changes, etc.), "barometer" measures will provide information to assess the effectiveness of the OASDI and SSI programs. This information will help decisionmakers identify areas where policy changes may be needed to strengthen the programs.

The following Objectives support this Strategic Goal:

- ❖ Promote policy changes, based on research, evaluation and analysis, that shape the OASI and DI programs in a manner that takes account of future demographic and economic challenges, provides an adequate base of economic security for workers and their dependents, and protects vulnerable populations.
- ❖ Promote policy changes, based on research, evaluation and analysis, that shape the SSI program in a manner that protects vulnerable populations, anticipates the evolving needs of SSI populations, and integrates SSI benefits with other benefit programs to provide a safety net for aged, blind, and disabled individuals.
- ❖ Promote policy changes, based on research, evaluation and analysis, that shape the disability program in a manner that

increases self-sufficiency and takes account of changing needs, based on medical, technological, demographic, job market, and societal trends.

- ❖ Provide information for decisionmakers and others on the

Social Security and Supplemental Security Income programs through objective and responsive research, evaluation, and policy development.

Strategic Objective: Promote policy changes, based on research, evaluation and analysis, that: shape the OASI and DI programs in a manner that takes account of future demographic and economic challenges, provides an adequate base of economic security for workers and their dependents, and protects vulnerable populations.

Context

Many factors drive the need for changes to the structure of social security programs. New patterns of work and earnings, marriage and divorce, child-bearing, and life-expectancy are changing the characteristics of American families and the population. This

strategic objective addresses the need to continually assess program performance in the context of trends, so as to insure an adequate base of economic security for workers at many socioeconomic levels while maintaining sufficient long-term financing.

FY 2002 Performance Indicators and Goals

Indicator: Identification, development, and utilization of appropriate barometer measures for assessing the effectiveness of OASDI programs.

FY 2002 Goal: Update the barometer measures and prepare analysis.

Definition: We will consider this goal to be achieved if the Agency issues updated barometer measures with the latest available data and provides analysis of the data. These barometers will be used to help formulate options for strengthening the programs.

Indicator: Preparation of analyses and reports on demographic, economic, and international trends and their effects on OASDI programs in order to anticipate the need for policy change and develop options as appropriate.

FY 2002 Goals: Prepare analyses on the following topics:

- Relationship of Social Security and the economy;
- Work and earnings as they relate to Social Security;
- Role of pensions and wealth in providing retirement security;
- Social Security reforms in other countries;

Definition: We will consider these goals to be achieved if we prepare analyses and reports as indicated under the goals.

Indicator: Preparation of research and policy analyses necessary to assist the Administration and Congress in developing proposals to reform and modernize the OASDI programs.

FY 2002 Goal: Prepare analyses on the distributional and fiscal effects of reform proposals developed by policymakers.

Definition: We will consider this goal to be achieved if:
We prepare analyses providing information about the effect of specific reform proposals on various populations, the long-term actuarial balance of OASDI programs, and the economy of the United States.

MEANS AND STRATEGIES

The potential scope of issues facing SSA is enormous, including the role of Social Security programs in income security and prevention of poverty, the role of other legs of the income security stool (i.e., savings, pensions, etc.), and the effects of demographic and economic changes on the ability of the programs to perform their functions of providing an adequate base of economic security and protecting vulnerable populations. SSA's FY 2002 budget request includes resources to conduct a number of data gathering and research efforts that will help policymakers in addressing these program issues. While not an exhaustive list, the following summarizes the most significant activities for FYs 2001 and 2002:

Identification, development, and utilization of appropriate barometer measures for OASDI programs: SSA has established a baseline for barometers that provide an indication of the efficacy of OASDI programs. These measures are influenced by many factors outside of the Agency's control. There are also wide-ranging opinions regarding the optimal level of performance for these measures and the extent to which Social Security programs should be used in attaining that level. However, these

barometer measures will provide information about populations served by Social Security programs and help identify areas where the programs may be strengthened. The barometer measures include indicators of the programs' roles in providing an adequate base of economic security and protecting vulnerable populations. They will be updated routinely and modified as new data are developed. A summary of the barometer measures is included in SSA's FY 2000 Performance and Accountability Report and annual updates will be published in subsequent years' Performance and Accountability Reports.

Analyses on the effects of demographic and economic trends on Social Security programs: SSA will study major demographic and economic trends that affect the programs as well as look at experiences in other countries. Options for change will take into account this information, as well as information about the impact of the programs on subgroups of beneficiaries. We will analyze the impact of policy changes now and into the future. Work on the following topics will occur in FY 2002 to contribute to this process:

- **The relationship of Social Security and the economy**- Responses in labor force and saving behavior arising from changes in the Social Security program can affect future earnings, rates of return, and government finances. Work under this topic will focus on modeling such effects.
- **Work and earnings as they relate to Social Security**- Since the mid-1980's, the labor force participation rates of men aged 65 and older and women aged 55 and older have been increasing. The reasons are not yet understood, nor is it clear to what extent older Americans will prolong their work-lives in decades to come. Nonetheless, labor force participation decisions will affect both Social Security program revenues and expenditures, as well as play a significant role in determining the economic well-being of the older population. We will conduct research to improve our understanding of the labor market activity of older workers and the implications for Social Security and the beneficiary population.
- **Role of pensions in providing retirement security** - Unearned income from pensions and savings provide two pillars of retirement income. Information on these sources is important to retirement modeling and policy analysis on changes in SSA benefits. These studies focus on the distribution of the sources and their changing nature over time.
- **Social Security reforms in other countries** - The experiences of other countries further down the path to an aging society will be examined to provide insight into successful and

unsuccessful ways of averting a demographically induced crisis. In addition, foreign experience provides insights into other possible reforms, such as investment of the trust fund in the markets, individual accounts as an alternative to a universal system, and incentives to work at more advanced ages. Practices in other countries may also give useful insight into better methods of customer service.

National Study of Health and Activity (NSHA), formerly the Disability Evaluation Study: SSA is undertaking research that seeks to estimate the size of the population potentially eligible for disability now and in the near future. This research will also assess the accommodations and interventions that permit some persons meeting SSA's definition of disability to continue to work and will assess how this information might be used to assist others to remain in the labor force rather than seek benefits. Information to be obtained by the NSHA enables the achievement of both this objective and the objective relating to disability eligibility and work effort.

Participation in discussions on the future of OASDI programs: SSA plays a key role in research and analysis on critical policy issues. SSA continues to share vital analyses and data on the financial and distributional impact of various proposals for changing Social Security programs with policymakers.

Modeling: SSA is strengthening its capability to project income into future years in order to analyze distributional effects of alternative Social Security policies. The ability to model future

trends and the implications of certain program changes is instrumental to the production of informative reports and analyses. Continued model enhancements will increase the scope of reforms that can be evaluated, expand the range of income sources that can be assessed, and improve the reliability of the estimates. In addition, we are developing a model of the macroeconomy as it relates to Social Security policy analysis.

Analyses on proposals to reform and modernize the Social Security system:
The synthesis of improved modeling capabilities, analyses on various populations and economic and demographic trends will enable SSA to provide comprehensive analyses of the distributional and fiscal impact of specific proposals to reform Social Security programs. These analyses will help decisionmakers refine proposals by informing them of the potential effects on vulnerable populations, Social Security trust funds, and the economy of the United States.

Strategic Objective: Promote policy changes, based on research, evaluation, and analysis, that shape the SSI program in a manner that protects vulnerable populations, anticipates the evolving needs of SSI populations, and integrates SSI benefits with other benefit programs to provide a safety net for aged, blind, and disabled individuals.

Context

Since the SSI program was implemented in 1974, there have been significant societal changes that have implications for the structure of the program. For example, there have been improvements in health care, advancements in technology, sustained periods of economic stability, an increase in employment opportunities, and changes in the availability of other sources of benefits.

In addition, as the effort to strengthen the OASI and DI programs moves forward, we will need to pay attention to the correlative changes in the SSI program, so that SSI appropriately supplements Social Security benefits. This objective reflects the need to re-examine and refocus the policies that guide the SSI program in response to environmental changes.

FY 2002 Performance Indicators and Goals

Indicator: Identification, development, and utilization of appropriate barometer measures for assessing the effectiveness of the SSI program.

FY 2002 Goal: Update barometer measures and prepare analysis.

Definition: We will consider this goal to be achieved if the Agency issues updated barometer measures with the latest available data and provides analysis of the data. These barometers will be used to help formulate options for strengthening the programs.

Indicator: Preparation of a report and completion of data collection on the National Survey of SSI Children and Families in order to assess the impact of welfare reform, identify areas of potential policy change, and develop options as appropriate.

FY 2002 Goal: Prepare data files for analysis.

Definition: We will consider this goal to be achieved if the Agency prepares the data files for analysis.

MEANS AND STRATEGIES

The following summarizes SSA's most significant activities supporting this objective for FY 2002:

Identification, development, and utilization of appropriate barometer measures for the SSI program:

SSA established a baseline for barometers that provide an indication of the efficacy of the SSI program. These barometer measures will provide information about populations served by the SSI program and identify areas where the program may be strengthened. The barometer measures include indicators of the program's role in protecting vulnerable populations and the effect of the program in combination with other variables (e.g., the reduction in the poverty gap due to SSI, the extent to which supplements to SSI in selected states bring income closer to the poverty level, and the percent of recipients relying on SSI for half or more of their income). The Agency will routinely update the barometer measures as new data are developed. A summary of the barometer measures is included in SSA's FY 2000 Performance and Accountability Report and annual updates will be published in subsequent years' Performance and Accountability Reports.

National Survey of SSI Children and Families: SSA evaluated the impact of the loss of SSI benefits stemming from the Personal Responsibility and Work Opportunity Reconciliation Act of 1996 on children and their families. SSA is also conducting a nationally representative survey of families of SSI children, gathering information about the cost of caring for a disabled child, the uses of SSI benefits, availability of alternative sources of care and other information. This survey fills a major gap in program information and should be the basis for quantitative research on this population. SSA will release a public use version of these survey data. SSA also will begin policy analysis using these data.

SSI simplification: The Agency will continue analyses of options for program simplification and will consider specific proposals for policy change based on these analyses. Additionally, as the Agency assesses any proposal for policy change, it will consider the impact on program complexity.

Strategic Objective: Promote policy changes, based on research, evaluation and analysis, that: shape the disability program in a manner that increases self-sufficiency and takes account of changing needs, based on medical, technological, demographic, job market, and societal trends.

Context

Medical advances, changing attitudes toward disabled beneficiaries and their ability to work, and improved medical treatments and technology, require the disability program to evolve. Part of this evolution will occur by updating SSA's disability medical listings to reflect new treatments and technologies. Our current system of determining eligibility for disability benefits presumes that persons who meet medical listings are severely disabled enough to be unable to work. SSA is developing a model to help monitor and evaluate the listings.

Other changes in the program will provide more incentives for disabled beneficiaries to work and become self-sufficient to the greatest extent possible. SSA will evaluate data on new work incentives included in recently enacted legislation. This will take several years to implement and begin yielding results. The Agency will also gather other information on disabled persons to help us better understand ways in which the Agency can shape the programs to better meet their needs.

FY 2002 Performance Indicators and Goals

Indicator: Preparation of a research design to develop techniques for validating medical listings.

FY 2002 Goal: Report on the status of developing a validation methodology.

Definition: Self-explanatory

Indicator: Preparation of reports on results of the National Study on Health and Activity in order to identify potentially eligible disabled populations, interventions that enable continued work effort among the disabled and guide changes to the disability decision process.

FY 2002 Goal: Report on the status of the main study data collection.

Definition: Self-explanatory.

Indicator: Preparation of analyses of alternative return-to-work strategies.

FY 2002 Goal: Report on the design and implementation of demonstration projects.

Definition: Self-explanatory.

MEANS AND STRATEGIES

To support the evolution of the disability program, SSA is conducting an extensive survey of the disabled population and promoting external research. This will increase available information on program growth, interventions and accommodations that permit disabled persons to remain in the labor force, and will increase available information on issues related to benefit eligibility and work effort by disabled persons. The Agency is also developing methods by which medical listings may be evaluated. The following projects support these efforts:

Research design to develop techniques for validating medical listings: Our current system of determining eligibility for disability benefits is designed to ensure that persons who meet medical listings are severely disabled enough to be unable to work. The project to validate medical listings will develop a methodology to help us evaluate the listings. The framework for validating medical listings should establish appropriate criteria by which to assess the ability to work, identify and adopt appropriate research protocols and statistical methods, and to propose clinical or other testing methods to gather data.

National Study of Health and Activity (NSHA): This research is discussed under the objective to shape the OASI and DI program.

Alternative Return-to-Work strategies: SSA is playing a key role in promoting return-to-work incentives for current beneficiaries. To assure that such initiatives have the optimum impact, it is important to assess them and adjust policy as necessary. We also will go beyond current initiatives and examine further possibilities to assist people with disabilities to improve their independence and well being.

SSA is promoting program changes that increase the self-sufficiency of disabled beneficiaries by implementing a comprehensive strategy to increase the number of beneficiaries with disabilities who work, despite their impairment, and thereby lessen their dependence on the benefit rolls. Key concepts of the employment strategy are:

- Enhancing the individual's financial stability and smoothing the transition away from a dependence on income support programs;
- Providing greater incentives for public and private sector providers of employment and rehabilitation services to serve SSA's beneficiaries;

- Maximizing the employment potential of young people with disabilities; and
- Simplifying program incentives for people who want to work.

Research and analysis initiatives related to assessing and improving this employment strategy include:

Rehabilitation and Return- to-Work research: SSA is conducting or planning research in several areas. A State Partnership Initiative is testing the effects of providing integrated services to beneficiaries with disabilities at the State and local level. An Affective Disorders Treatment Demonstration will identify the extent to which providing free, state-of-the-art pharmacological and psychological treatment will result in beneficiaries with affective disorders receiving better treatment for their condition, increasing the proportion who stabilize their condition, and ultimately improving their capacity for work.

Three initiatives are being planned as an outgrowth of the Ticket-To-Work and Work Incentives Improvement Act (TWWIA). One project will assess the cost-effectiveness of the new ticket program, and provide feedback and recommendations for program modifications as the program is implemented nationwide. A \$1 for \$2 benefit offset demonstration is required under TWWIA. This project will test the effect on returning to work of replacing a benefit “cliff” for working above the Substantial Gainful Activity level with a benefit offset that gradually reduces benefits above specified earnings levels and extending Medicare benefits during the reduced benefit period. An additional early intervention

demonstration is being planned, to assess the effectiveness and efficiency of earlier intervention in assisting DI and SSI applicants to achieve improved financial independence.

SSA is also analyzing trends in disability insurance in non-SSA systems. This will identify practices used by the U.S. private sector, as well as other countries, to help disabled workers return to work. The experiences of these other systems will provide information on successful return-to-work strategies, work incentives, and program design, to help policymakers improve DI program efforts to aid beneficiaries in returning to work. We will develop options for policy changes in cases where the analyses reveal the need for modifications.

Youth Employment Strategies: This initiative will consist of several strategies related to assisting youth in achieving independence. SSA will test various approaches to transition planning from school to work for mentally impaired and other severely disabled students

Disability Research Institute: This Cooperative Agreement was awarded in May 2000 and initially consists of a single center utilizing a network of scholars from a variety of institutions. The Institute will provide research findings in critical disability policy areas, disseminate important findings, provide a mechanism for training scholars in disability research, and assist in finding methods of sharing disability administrative data with researchers.

Strategic Objective: Provide information for decisionmakers and others on the Social Security and Supplemental Security Income programs through objective and responsive research, evaluation, and policy development.

Context

This objective reflects SSA's commitment to strengthen its research, policy analysis and evaluation capabilities, in recognition that these capabilities are essential enablers for accomplishing the other objectives under this strategic goal. Responsive research,

evaluation, and policy development means providing relevant information in the clearest possible manner with an efficient use of resources. These performance goals measure SSA's ability to prioritize many demands for data and research while providing useful and objective information to decisionmakers.

FY 2002 Performance Indicators and Goals

Indicator: Percent of customers assigning a high rating to the quality of SSA's research and analysis products in terms of accuracy, reliability, comprehensiveness, and responsiveness.

FY 2002 Goal:

1. Assess customer satisfaction measurement system.
2. Analyze baseline measures and identify steps to be taken to improve satisfaction with research and analysis products.

Definition: This goal will be considered achieved if the Agency prepares an analysis of the customer satisfaction measurement system and of the baseline measures and identifies steps to be taken to improve satisfaction with SSA's research and analysis products.

Indicator: Percent of major statistical products that are timely.

FY 2002 Goal: Produce major statistical products on schedule.

Definition: This goal will be considered achieved if the Agency identifies major statistical products, issues a schedule for the release of these publications, and produces them on schedule.

MEANS AND STRATEGIES

To achieve this objective, SSA is strengthening its infrastructure for research, evaluation, and policy development. The following are the major activities in progress and planned through FY 2002:

Office of Policy’s publications program: To better target our publications to the appropriate audience, we will update, expand, and code our mailing list. We will also revitalize our exhibit program and have a greater presence at conferences attended by members of our various audiences. At those conferences, we can promote our publications, get feedback about how our print and online publications are meeting our audience’s information needs, and inform attendees about the opportunity to submit papers for the peer-reviewed “Perspectives” section of the *Social Security Bulletin*. We are also advertising the *Bulletin* and a call for papers for “Perspectives” in various scholarly journals.

Retirement Research Consortium (RRC) and Disability Research Institute (DRI): The RRC and DRI are both mechanisms for SSA to fund extramural research in a coordinated fashion, disseminate results of that research, train new scholars and practitioners, and facilitate data access for policy research. These activities will expand information available for decisionmakers and others on Social Security and Supplemental Security Income.

Model development: SSA is developing several projection models (a projected cohorts model, a near-term projection model (MINT), and a macroeconomic

model, as well as models of the disability and SSI processes). SSA is also enhancing the Cornell Dynamic Microsimulation Model and the Employee Benefit Research Institute model for use in SSA policy analysis.

Data development: SSA is developing two special-purpose surveys—the National Study of Health and Activity and the National Survey of SSI Children and Families—to provide data not elsewhere available on its disability populations. SSA is also negotiating two linkages of several of its administrative program data files with survey data collected by the Census Bureau and the National Center for Health Statistics. Thirdly, SSA is negotiating the development of data files from the Census Bureau’s Survey of Income and Program Participation that make them more usable for research.

Data access: SSA is developing a modification to some of its Federal “systems of records” to allow greater access (for research purposes) to SSN and benefit application records. To support the increased statistical use of SSA program data, while protecting individuals’ personal data and personal identity data, SSA will educate users and potential users in types of data available and possible uses of them. We are also making available a newly developed SSA Program Data Users Manual to help outside researchers interpret SSA administrative data. and are enhancing our online data availability. The integration of our print and online publishing efforts will continue, including the prepublication release of updated data on the Web.

Statistical process changes: SSA is developing the capability of producing many of its statistical products in final camera-ready form directly, through obtaining software, providing training, and redesigning tables where needed. The new system greatly improves productivity and quality of printed products. Through the creation of a new database to replace the Annual Report of Earnings, we will produce earnings test data more quickly that is less error prone.

Customer satisfaction survey: SSA has developed a preliminary questionnaire to gather information from customers about the quality of research, analysis and evaluation products. SSA has also identified customers from whom feedback will be elicited. SSA awarded a contract in September 2000 to conduct the survey. The first survey will be conducted in FY 2001. In FY 2002, an assessment will be made of the customer satisfaction measurement system as well as analyzing the first measures and identifying steps to be taken to improve satisfaction with SSA's research and analysis products. Subsequent surveys will be conducted periodically.

Extramural research infrastructure: Through partnering, grants, contracts, interagency agreements, and task orders, SSA encourages research outside the Agency and, most importantly, elicits advice from public policy experts outside SSA. We have put in place a task order mechanism that enables us to use outside researchers to conduct short turnaround policy evaluation studies through an expedited contracting process.

Policy Net/Policy Repository: SSA plans to expand Policy Net, a communications structure that allows SSA users to request and receive policy clarifications and collaborate in development of policy changes. Policy Net enables policymakers to work more closely with users and other stakeholders to ensure we have well thought-out, well coordinated policy and the highest quality policy materials.

Crosscutting Areas with Other Agencies

In contributing to the economic security of our nation's people, SSA's programs intersect with those of many other Federal agencies. We have numerous standing relationships to coordinate programs that are directed toward common populations. In addition, we form ad hoc partnerships as particular program policy issues arise. The following highlights major areas related to research and program policy that we are coordinating with other agencies:

- SSA coordinates benefits to people with disabilities with several agencies, including Department of Labor (DOL), Housing and Urban Development (HUD), Veterans' Affairs (VA) and the Health Care Financing Administration (HCFA).
- SSA and HCFA are working together to increase enrollment in Medicare Part B buy-in programs and the State-option Medicaid program for working disabled people.
- Return-to-work research is being coordinated with DOL and the Department of Education (ED).

- SSA depends upon vocational rehabilitation services provided by State agencies funded and administered by ED. Note: SSA also reimburses State agencies for services provided to certain disability beneficiaries.
- SSA participates with several Federal agencies (i.e., National Institute on Aging, Bureau of Labor Statistics and Census) in planning surveys that provide essential background information for policy research and analysis. These include the Survey of Income and Program Participation, the Health and Retirement Survey and Asset and Health Dynamics of the Oldest Old (AHEAD), and the National Longitudinal Survey of Women.
- SSA provides data to other agencies for various research purposes, including the VA for outreach evaluation, Congressional Budget Office for analysis of legislative proposals, General Accounting Office (GAO) for legislative analysis and for special requests for Congress, and the Bureau of the Census for improved population estimates.
- SSA collaborates with many Federal agencies, such as the Department of Health and Human Services (DHHS), the Bureau of the Census, and the Department of Agriculture in assessing the effects of welfare reform legislation on participation in SSI, DI and other government programs.
- SSA has in place Technical Support Groups that include both government and academic experts to provide independent technical comments that will ensure high quality output from evaluation contracts.
- SSA participates in several collaborative efforts to improve our Federal statistical systems and reduce burden and cost. Activities include meeting with subject-matter groups such as those related to aging, children and families and disability, developing data in the health and welfare area, discussing measurement issues such as an improved poverty index, sharing concerns about confidentiality and data access, and disseminating Federal statistics through a common site on the Internet.
- SSA co-chairs conferences with other Federal agencies, such as the Department of Education, focusing on enhancing work opportunities for individuals with disabilities.

Strategic Goal: To deliver customer-responsive world-class service

This goal encompasses the full range of services that SSA provides customers, across all the programs we administer and through all modes we use to interface with the public--telephone, in-office, mail, Internet, automated self-service, and third parties.

SSA has distinct customer groups with different needs and expectations. Our current performance levels also vary by group. To help us ensure more even service across our diverse customer base, we have recast the objectives of this goal to better define the business results we want for each of our major customer segments. In addition to applicants filing for RSI, DI and/or SSI benefits, we added discrete objectives for customers filing for original SSNs and replacement cards, customers requesting appeals, and customers with changes in circumstances that affect their benefits. An objective for electronic access to records held by third parties was added as well.

We also added an objective under this goal for our broadened service mission to provide employment support to our disability beneficiaries. This is consistent with our new Agency Strategic Plan and reflects the transition of our efforts from development of return-to-work legislation to implementation.

Our objectives were also changed to emphasize a more balanced, holistic approach to managing performance. Accuracy and timeliness are both important aspects of service. To make

explicit the balance between the two, our objectives define business results for both attributes. And because our ability to provide high quality service depends so heavily on making economical use of our limited resources, our objectives also recognize efficiency as an important business result.

An estimated \$5.8 billion, or 75 percent of SSA's total FY 2002 administrative budget is devoted to the substantial day-to-day work generated by requests for service from our core business customers. It also provides funding for return-to-work operational efforts as we continue to establish and implement SSA's new Ticket to Work and Self-Sufficiency Program.

Performance Goals, Means and Strategies

The following table displays expected workloads processed in support of this strategic goal.

Workloads	Dollars (Millions)	Output Measures (thousands)
RSI Claims	\$ 708	3,132
Disability Claims	\$ 2,102	2,191
SSI Aged Claims	\$ 38	149
Hearings	\$ 1,014	580
Other Appellate Actions ¹	\$ 441	1,071
SSN Requests	\$ 284	16,450
800# Calls Handled	(Non-add: \$379)	59,000
Other Postentitlement Workloads ²	\$ 1,184	N/A

-
1. Includes reconsiderations, reviews before Council, court cases and court remands.
 2. Includes SSA actions devoted to maintaining the RSI, DI, SSI and Black Lung benefit rolls after final development and determination of an initial claim. Examples of workloads processed include changes of address, status changes due to marriage, death, etc., benefit recomputations and check non-receipt claims.

Social Security FY 2002 Annual Performance Plan

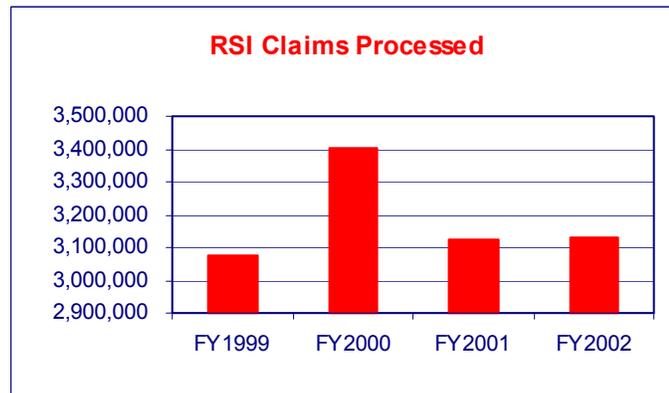
Following are charts that provide baseline data, definitions and data sources for each output measure. For this FY 2002 APP, the FY 2000

measures reflect actual workloads processed and the FY 2001 measures are based on actual FY 2001 appropriations.

Output Measure: RSI Claims Processed

FY 2002: 3,132,000

Baseline Data:	FY 2001 3,125,000	FY 2000 Actual 3,404,938	FY 1999 Actual 3,076,937
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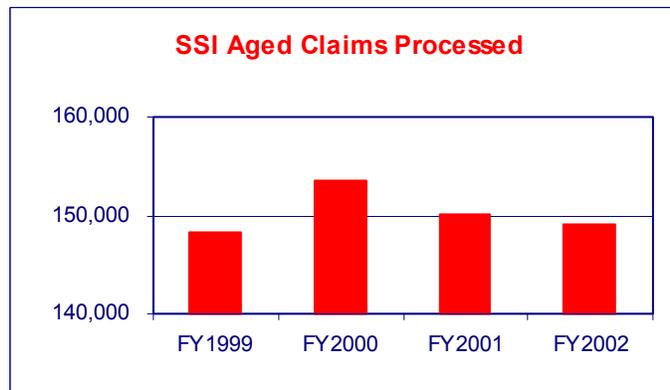
Definition: All retirement and survivors and initial claims for Medicare processed by RC/Field and OCO. Includes totalization claims.

Data Source: IWMS/DOWR cells 00112, 00212, and OIO Ad hoc Report

Output Measure: SSI Aged Claims

FY 2002: 149,000

Baseline Data:	FY 2001 150,000	FY 2000 Actual 153,474	FY 1999 Actual 148,382
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Definition: SSI aged claims processed by RC/Field, including abbreviated applications.

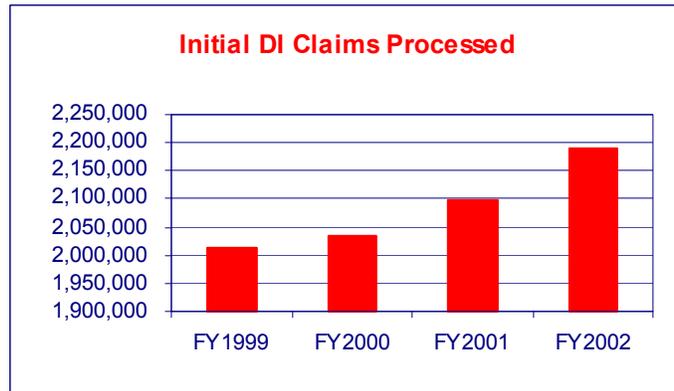
Performance Goals, Means and Strategies

Data Source: WMS/DOWR cells 00152, 00352

Output Measure: Initial DI Claims Processed

FY 2002: 2,191,000

Baseline Data:	FY 2001 2,097,000	FY 2000 Actual 2,035,627	FY 1999 Actual 2,012,047
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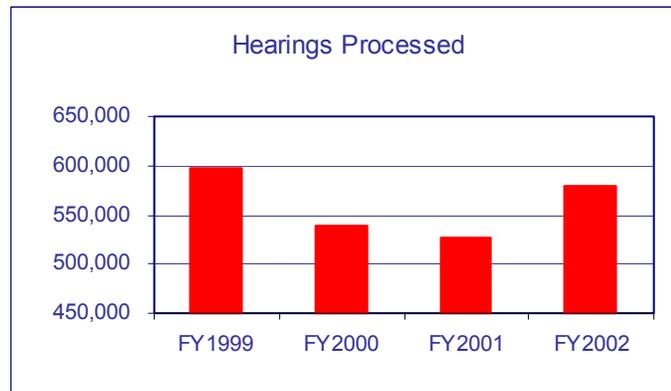
Definition: DDS count of initial disability claims processed, including disabled dependents.

Data Source: National Disability Determinations Service System

Output Measure: Hearings Processed

FY 2002: 580,000

Baseline Data:	FY 2001 526,000	FY 2000 Actual 539,426	FY 1999 Actual 596,999
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Definition: All hearings processed by the Office of Hearings and Appeals, includes hearing requests from all programs.

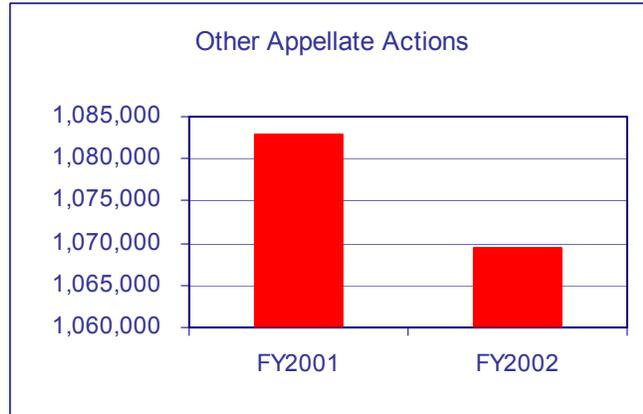
Data Source: Office of Hearings and Appeals Tracking System (HOTS), AO programs, OHA Case Control System

Social Security FY 2002 Annual Performance Plan

Output Measure: Other Appellate Actions

FY 2002: 1,069,535

Baseline Data: FY 2001 1,082,820 FY 2000 N/A FY 1999 N/A



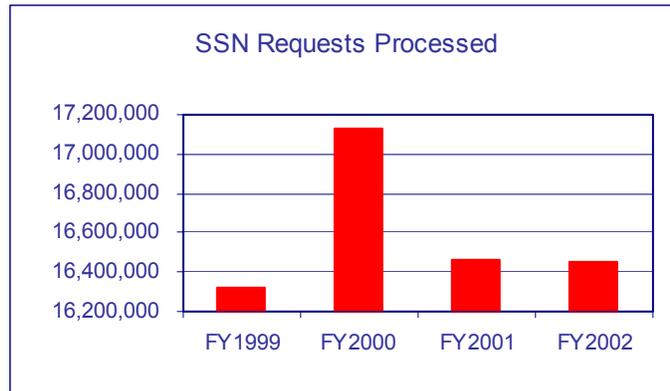
Definition: Includes reconsiderations, reviews before Council, court cases and court remands

Data Source: PCACS, SAOR, DOWR, ACAPS

Output Measure: SSN Requests Processed

FY 2002: 16,450,000

Baseline Data: FY 2001 16,460,000 FY 2000 Actual 17,128,073 FY 1999 Actual 16,322,588



Definition: Includes SSN issuance for duplicate or original numbers processed by RC/Field and OCO, plus EAB activity, plus the count of fraud investigations not resulting in issuance of an SSN and EAB. (Assumption: FY2000 actual includes one-time spike in number of SSNs processed.)

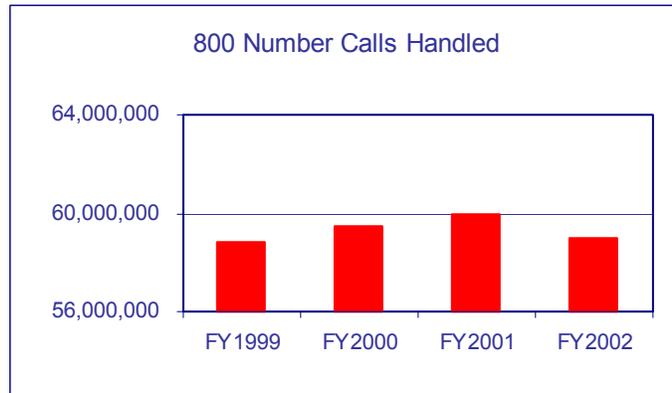
Performance Goals, Means and Strategies

Data Source: FOSSNER, EAB Y-T-D processing statistics

Output Measure: 800# Calls Handled

FY 2002: 59,000,000

Baseline Data:	FY 2001 60,000,000	FY 2000 Actual 59,500,000	FY 1999 Actual 58,800,000
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Definition: The number of calls (either live or automated service) handled by SSA’s 800 Number.

Data Source: National 800 Number Network

The following Objectives support this Strategic Goal:

- ❖ By 2002 and beyond, have 9 out of 10 customers rate SSA’s service as “good,” “very good” or “excellent,” with most rating it “excellent.”
- ❖ By 2005, make 60 percent of SSA’s customer-initiated services available to customers either electronically via the Internet or through automated telephone service and provide the customer interacting with SSA on the Internet with the option of communicating with an SSA employee while online.
- ❖ Increase electronic access to information needed to serve SSA customers. Specifically by 2005:
 - Establish electronic access to human services and unemployment information with 90% of States,
 - Establish electronic access to vital statistics and other material information with 50% of States, and
 - Increase electronic access to information held by other Federal Agencies, financial institutions and medical providers.
- ❖ Maintain the accuracy, timeliness, and efficiency of service to customers applying for OASI and SSI aged benefits. Specifically by 2005:

Social Security FY 2002 Annual Performance Plan

- Have the capacity to take and process 99% of OASI and SSI aged claims in a paperless environment.
- ❖ Improve the accuracy, timeliness and efficiency of service to customers applying for DI and SSI disability benefits. Specifically by 2005:
 - Increase the accuracy rate to 95% for denials of disability benefits,
 - Maintain accuracy of initial disability claims decisions to allow benefits at 96.5%,
 - Issue initial disability claims decisions in an average of 105 days, with at least 70% issued within 120 days, and
 - Have the capacity to take 99% of disability claims in an electronic environment.
- ❖ Improve the accuracy, timeliness, and efficiency of service to customers requesting hearings or appeals. Specifically by 2005:
 - Increase accuracy of hearing decisions to 90%,
 - Issue hearings decisions in an average of 166 days, with at least 70% issued within 180 days,
 - Increase productivity to 122 hearings decisions issued per workyear,
- Have the capacity to take 99% of hearings in an electronic environment,
- Issue decisions on appeals of hearings within an average of 90 days, with at least 70% issued within 105 days, and
- Increase productivity to 323 Appeals Council reviews per workyear.
- ❖ By 2005, increase by 100% from 1999 levels the number of SSDI and SSI disability beneficiaries who achieve steady employment and no longer receive cash benefits.
- ❖ Improve or maintain the accuracy, timeliness and efficiency of service to postentitlement customers, Specifically by 2005:
 - Have the capacity to take and process 99% of PE actions in a paperless environment.
- ❖ Maintain throughout 2005 the accuracy, timeliness and efficiency of service to customers applying for Social Security numbers and replacement cards.

Strategic Objective: By 2002 and beyond, to have 9 out of 10 customers rate SSA’s service as “good,” “very good” or “excellent,” with most rating it “excellent”.

Context

As it is the customer who is the ultimate judge of whether we are providing service that is world-class, this objective defines the overall outcome of the strategic goal that it supports. However, SSA’s performance to address all the other objectives under the “world-class service” goal serve to place added emphasis on particular aspects of service that are important contributors to customer satisfaction. Consequently, activities and indicators of performance under all those objectives support this objective as well.

FY 2002 Performance Indicators and Goals

The overall customer satisfaction rate is the most direct and highest-level measure of performance under this objective. To help us pinpoint areas needing improvement, SSA also measures customer satisfaction with specific aspects of service. And, to help us manage day-to-day, we use an array of lower-level, operational indicators to track performance throughout the year.

For 1999 and earlier, our Annual Customer Satisfaction Survey (ACSS) showed steadily increasing customer satisfaction. Customer satisfaction peaked in FY 1999 at 88 percent and 44 percent for the goals “percent of SSA’s core business customers rating SSA’s overall service as excellent, very

good, or good” and “percent of SSA’s core business customers rating SSA’s overall service as excellent”, respectively. In FY 2000, when we replaced ACCS with a new Interaction Tracking methodology, we anticipated that customer satisfaction ratings would change because of the change in methodology. Our intention has been to use the FY 2000 satisfaction rates as a baseline to revisit subsequent years’ performance goals. We have done that and have revised our FY 2001 targets from 89 percent to 82 percent and from 40 percent to 30 percent, respectively. Our FY 2002 targets are to maintain satisfaction at 82 percent and 30 percent, respectively.

For the indicators of employer satisfaction, we have changed both the indicator language and targets. Employer survey results indicate that the respondents do not regularly interact with SSA to any great extent—the percentage of respondents using SSA services is low. We know that many employers use payroll providers and accountants to handle wage-reporting requirements. Therefore, we are changing our survey methodology to ensure we select the survey sample from only the universe of those who have had direct interactions with SSA. We have modified our performance indicators accordingly.

Data from customer satisfaction surveys have indicated consistently that

Social Security FY 2002 Annual Performance Plan

Customer Satisfaction

telephone access and field office waiting times have an effect on customer perception of all other aspects of service. Because they are key to customer satisfaction, we have included in this plan goals for the operational indicators that we use to measure 800-number access and field office waiting times. In FY 2000, SSA began measuring satisfaction with telephone access and service in field offices, although a specific performance indicator and target will not be developed until we have data results over a period of time.

While SSA has, for years, been considered a leader in high-quality telephone service delivery, increasing demands have made it more and more difficult to maintain that superiority. Technological enhancements are a key enabler of our ability to effectively manage call delivery and direct calls to agents with the skills to answer the caller's questions.

We have begun a benchmarking study of call centers to help us determine whether the current 800-number access indicators are still appropriate for measuring 800 number access. A final report is expected by August 2001.

While the indicator for field office telephone service will not be identified for the FY 2002 APP, the following actions are being taken:

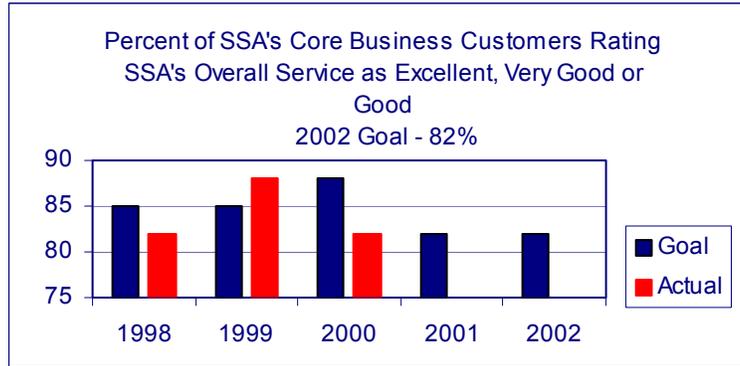
- ❖ We conducted a pilot to determine if it is possible to actually measure telephone access to field offices. The report is due in FY 2001.
- ❖ Indicators for field office telephone service quality will be established.
- ❖ We are exploring the possibility of redirecting certain field office phone calls to the National 800 Number to improve overall telephone access to field offices. A pilot will begin in FY 2002.

Performance Goals, Means and Strategies

Indicator: Percent of SSA's core business customers rating SSA's overall service as "excellent," "very good," or "good"

FY 2002 Goal: 82%

Baseline Data:	FY 2001 APP Goal 82%	FY 2000 Actual 82%	FY 1999 Actual 88%
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Definition: The computation of this rate is the number of core business customers surveyed by SSA's Office of Quality Assurance and Performance Assessment (OQA) who rate overall service as "good," "very good" or "excellent" on a 6-point scale ranging from "excellent" to "very poor", divided by the total number of respondents to that question.

Data Source: For FY 1999 and earlier, SSA Annual Customer Satisfaction Survey. Effective with FY 2000, SSA replaced this survey with Interaction Tracking surveys. These surveys capture customer satisfaction data related to service received during telephone and in-person contacts with SSA shortly after the service contacts take place.

Social Security FY 2002 Annual Performance Plan

Indicator: Percent of SSA's core business customers rating SSA's overall service as "excellent"

FY 2002 Goal: 30%

Baseline Data: FY 2001 APP Goal 30% FY 2000 Actual 29% FY 1999 Actual 44%



Definition: The computation of this rate is the number of core business customers surveyed by SSA's OQA who rate service as "excellent" on a 6-point scale ranging from "excellent" to "very poor", divided by the total number of respondents to that question.

Data Source: For FY 1999 and earlier, SSA Annual Customer Satisfaction Survey. Effective with FY 2000, SSA is replacing this survey with Interaction Tracking surveys. These surveys capture customer satisfaction data related to service received during telephone and in-person contacts with SSA shortly after the service contacts take place.

Indicator: Percent of employers rating SSA's overall service during interactions with SSA as "excellent," "very good," or "good"

FY 2002 Goal: TBD

Baseline Data: FY 2001 APP Goal TBD FY 2000 Actual 82% FY 1999 Estimate 92%

Definition: This is the number of employers directly interacting with SSA who rate overall service as excellent, very good or good on a 6-point scale ranging from excellent to very poor, divided by the total number of respondents to that question. (For 2002, the performance indicator will be based on results of a survey of employers who have called SSA's Employer Reporting Service Center. In future years, surveys will include additional types of employer interactions.)

Data Source: Annual Employer Interaction Survey conducted by the Office of Quality Assurance and Performance Assessment (first survey planned for late summer 2001).

Performance Goals, Means and Strategies

Indicator: Percent of employers rating SSA’s overall service during interactions with SSA as “excellent”

FY 2002 Goal: TBD

Baseline Data:	FY 2001 APP Goal TBD	FY 2000 Actual 06%	FY 1999 Estimate NA
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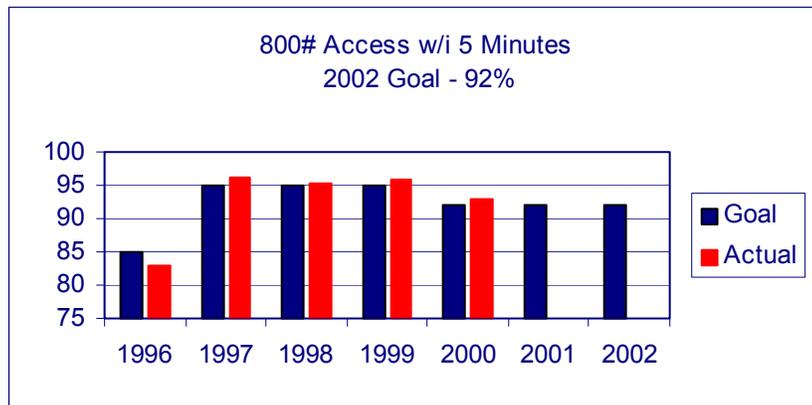
Definition: This is the number of employers directly interacting with SSA who rate overall service as excellent on a 6-point scale ranging from excellent to very poor, divided by the total number of respondents to that question. (For 2002, the performance indicator will be based on results of a survey of employers who have called SSA’s Employer Reporting Service Center. In future years, surveys will include additional types of employer interactions.)

Data Source: Annual Employer Interaction Track Survey conducted by Office of Quality Assurance and Performance Assessment (first survey planned for late summer 2001).

Indicator: Percent of callers who successfully access the 800-number within 5-minutes of their first call

FY 2002 Goal: 92%

Baseline Data:	FY2001 APP Goal 92%	FY 2000 Actual 92.9%	FY 1999 Actual 95.8%
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Definition: This rate is the percentage of unique call attempts that successfully “connect” within 5 minutes of the first attempt within a 24-hour period. A successful “connection” occurs when a caller selects either an automated or a live agent and is connected with that option within 5 minutes of the first dialing of the 800-number.

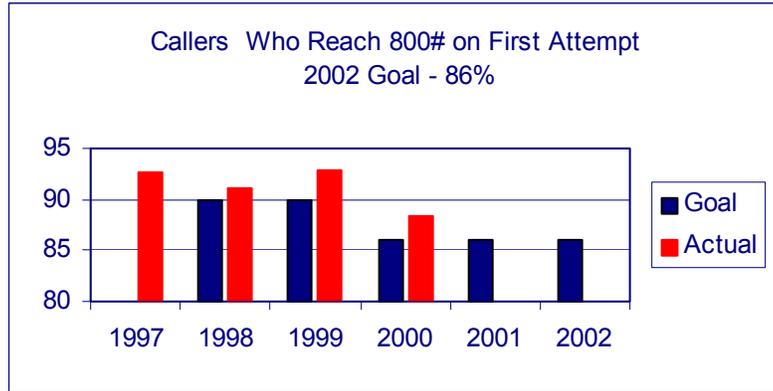
Data Source: Automatic Number ID records provided by WorldCom

Social Security FY 2002 Annual Performance Plan

Indicator: Percent of callers who get through to the 800-number on their first attempt

FY 2002 Goal: 86%

Baseline Data: FY 2001 APP Goal 86% FY 2000 Actual 88.4 FY 1999 Actual 92.9%



Definition: This rate reflects the number of individuals who reach the 800-number (either live or automated service) on their first attempt, divided by the number of unique telephone numbers dialed to the 800-number. An "attempt" is defined as the first attempted call of the day, or a subsequent attempt after a previously successful call.

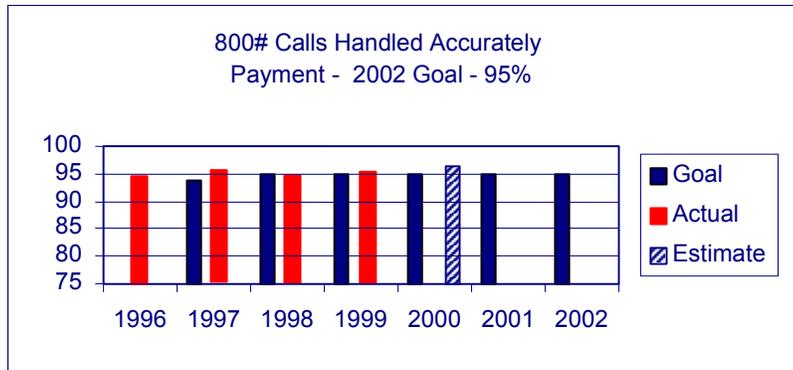
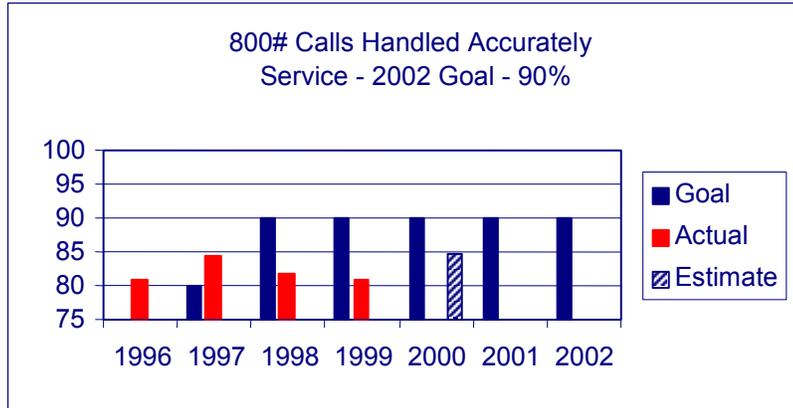
Data Source: Automatic Number ID records provided by WorldCom

Performance Goals, Means and Strategies

Indicator: Percent of 800-number calls handled accurately

FY 2002 Goal: 90% service accuracy 95% payment accuracy

Baseline Data:	FY 2001 APP Goal	FY 2000 Estimate	FY 1999 Actual
Service accuracy:	90%	84.7%	81.8%
Payment accuracy:	95%	96.2%	95.4%



Definition: Service accuracy is a measure of whether 800-number representatives respond correctly to inquiries related to issues other than payment and eligibility. Payment accuracy is a measure of whether 800-number representatives respond correctly to inquiries related to eligibility and payments of benefits.

Data Source: 800-number Service Evaluation Findings

Indicators for FO telephone service: TBD

Customer Satisfaction

Social Security FY 2002 Annual Performance Plan

Indicator: Percent of public with an appointment waiting 10 minutes or less

FY 2002 Goal: 85%

Baseline Data: FY 2001 APP Goal 85% FY 2000 Actual 84.2% FY 1999 Actual 84.6%



Definition: The number of visitors with an appointment who wait 10 minutes or less, divided by the total number of visitors with an appointment during the study time. Waiting time data are collected during a 1-hour window, once a quarter, in each field office.

Data Source: SSA Waiting Time Study

Indicator: Percent of public without an appointment waiting 30 minutes or less

FY 2002 Goal: 70%

Baseline Data: FY 2001 APP Goal 70% FY 2000 Actual 73.2% FY 1999 Actual 71.6%



Definition: The number of visitors without an appointment who wait 30 minutes or less, divided by the total number of visitors without an appointment during the study time. Waiting time data are collected during a 1-hour window, once a quarter, in each field office.

Data Source: SSA Waiting Time Study

Means and Strategies

Virtually all of SSA's Key Initiatives will contribute to achievement of this strategic objective to have 9 out of 10 customers rate SSA's service as "good," "very good" or "excellent," with most rating it "excellent." To achieve "world class" satisfaction ratings, however, we are pursuing two core strategies:

Data gathering: SSA needs to understand more fully what makes our customers satisfied. Different populations often have different needs and different levels of satisfaction and perception of service because of the nature of business they conduct.

Accordingly, we are using an integrated Market Measurement Program to provide comprehensive data about all of our major customer groups. One new component we are developing is an Agency-wide system called TLC for "Talking and Listening to Customers." This system will serve two primary goals, i.e., to address individual customer complaints and compliments as well as identify and analyze systemic problems and trends. Easily accessible, customer-initiated comments, in conjunction with other customer input, will guide our business planning, policy development, communication strategies, and process improvement. The TLC system is now being piloted and implementation is expected in 2001.

In FY 2000, SSA began using the new Interaction Tracking methodology; this methodology is part of the Market Measurement Program. We are using the new Interaction Tracking methodology

to determine overall customer satisfaction in FY 2000, and then will use the results as baseline data and revisit subsequent annual targets based on the outcome. This revisiting is appropriate because the methodology is very different. For Interaction Tracking, customers are surveyed immediately after a face-to-face or phone contact with SSA. Satisfaction ratings are now derived from rolled-up data from the Office Visit Survey, 800 Number Customer Survey and FO Telephone Survey, and weighted to the overall universe of each service mode. Because 800 Number and FO caller interactions represent such a large percentage of overall interactions, and because both 800 Number and FO callers are less satisfied than office visitors (largely due to problems with phone access), the result is that the overall satisfaction rate is turning out significantly lower for FY 2000. Accordingly, for FY 2001 and FY 2002, we lowered our targets after considering the potential impact of planned initiatives which would allow SSA to maintain performance in key service delivery areas.

The new Interaction Tracking methodology can explain some of the difference between 1999 and 2000 satisfaction rates. But what we cannot tell is if customers are becoming less happy and if overall satisfaction would have dropped anyway. We suspect that this may be true considering what we have learned from a recent study that customer expectations are rising, but how much, we do not know at this time.

We have developed a new methodology for measuring employer satisfaction with

SSA. This methodology will be used in the survey planned for late summer 2001.

All reports emanating from the Market Measurement Program data collection activities are housed in a central, electronic repository which makes information needed for planning and decisionmaking easily accessible to all employees.

Targeted Process Improvement: We have analyzed available customer survey findings and focus group results. We have identified and prioritized specific areas that make the most difference in increasing overall satisfaction, and we have identified several areas that provide opportunities for increasing overall customer satisfaction.

We are implementing improvement activities in those areas as follows:

- ❖ **Clear and helpful mailings** – SSA has provided employees on-line access to notices and will improve the clarity of five specific types of notices found to be most problematic. Additionally, we are incorporating plain language into all our public documents and are concentrating on improving a number of our more problematic notices.
- ❖ **800-number access** – SSA will take steps to expand service offerings over the 800-number. Our strategy is twofold: to enhance network and computer technology to more effectively balance incoming calls among our call centers, and to increase interactive automated services for simple business transactions that do not require interaction with an SSA representative.
- ❖ **Field office telephone access** – We completed installation of automated attendant and voice mail in most field offices during FY 2000 to improve the ability of customers to get through to field offices by telephone. SSA has established a method of service observation to measure accuracy of telephone service in field offices, and is looking to establish a method of determining access to field offices by telephone. We will also conduct surveys to measure satisfaction with telephone access and service in local offices.
- ❖ **Field office reception and waiting times** – We will explore enhancements to improve the flow of customers through the reception process and enhance the appearance and comfort of waiting rooms.
- ❖ **Staff knowledge and helpfulness** – We will implement nationally the Customer Help Information Program, an expert system to support teleservice, and continue training on error-prone issues to improve service accuracy.
- ❖ **Complete business at the first point of contact** – Recent customer surveys indicate that completed business with one call or visit has a significant effect on

satisfaction. SSA is exploring ways to increase the amount of business that can be completed via teleservice without handoffs or callbacks, and without significantly increasing the length of calls.

Targeted process improvement is being pursued in the context of increasing workloads and resource constraints that make even the maintenance of current service levels a significant challenge. To address this challenge, we instituted several short-term 800 number initiatives to be implemented including:

Supplementing Call Answering Capacity by:

- ❖ Hiring additional teleservice staff and training existing staff in other positions so they can serve as customer service technicians.
- ❖ Creating a new position, which includes the duties of teleservice staff and overpayment recovery staff, enabling a broader range of business to be completed via 800 number. About 200 positions were initially filled, and the number of positions will substantially increase in FY 2001 and FY 2002.
- ❖ Establishing a SPIKE cadre in the Wilkes-Barre Data Operations Center (WBDOC).

Using technology to:

- ❖ Enable SSA to more accurately forecast call demands and to maximize the efficient use of the answering agent resources. Plans are underway to develop the technology in FY 2001.
- ❖ Dynamically route national 800 number network calls to available agents before creating a queue, thus increasing SSA's call answering capability. We will acquire and install new telephone equipment; i.e., automatic call distributors (ACDs) with Intelligent Network Routing (INR) capability. ACD replacement will begin in early FY 2001 with expected completion in late FY 2001.
- ❖ Increase the use of automation in handling customer services in the national 800 number network. Currently, automation is limited to voice mail types of applications. Plans are underway to implement this technology in early FY 2002.

Our strategy to improve employer satisfaction with our service is to develop and provide a wider range of more usable and convenient electronic products and services to assist employers in providing quality wage reports. The specific services that we plan

Social Security FY 2002 Annual Performance Plan

to provide are discussed under the next objective.

Additional information is provided in Appendix 3 on the following Key Initiatives that support this objective:

- ❖ **Earnings Process Improvements**
- ❖ **Expand Electronic Wage Reporting**
- ❖ **Improve 800 Number Service**
- ❖ **Improve Field Office Reception Process, Reception Area Environment, and Waiting Times**
- ❖ **Improve Field Office Telephone Service**
- ❖ **Market Measurement Program**
- ❖ **Notice Improvements**
- ❖ **Talking and Listening to Customers**
- ❖ **Plain Language**

Strategic Objective:

By 2005, make 60 percent of SSA’s customer-initiated services available to customers either electronically via the Internet or through automated telephone service, and provide the customer interacting with SSA on the Internet with the option of communicating with an SSA employee while online.

Context

This new “Electronic Service Delivery (ESD)” objective expands the prior ESD objective to increase the range of program and information services available to customers over the phone and electronically to include an emphasis on convergence of technologies to enhance service delivery.

While we will continue to offer the option to have an employee complete a

customer’s transaction, increasingly more customers want to take advantage of the convenience of technology. They choose to deal with SSA through the Internet or the automated portion of our toll-free telephone system. As we continue to expand the availability of these largely self-service and secure methods of service delivery, customers will be able to conduct much of their business from virtually any place and at any time.

FY 2002 Performance Indicators and Goals

The following performance indicators are newly established under SSA’s new Strategic Plan and are in effect for

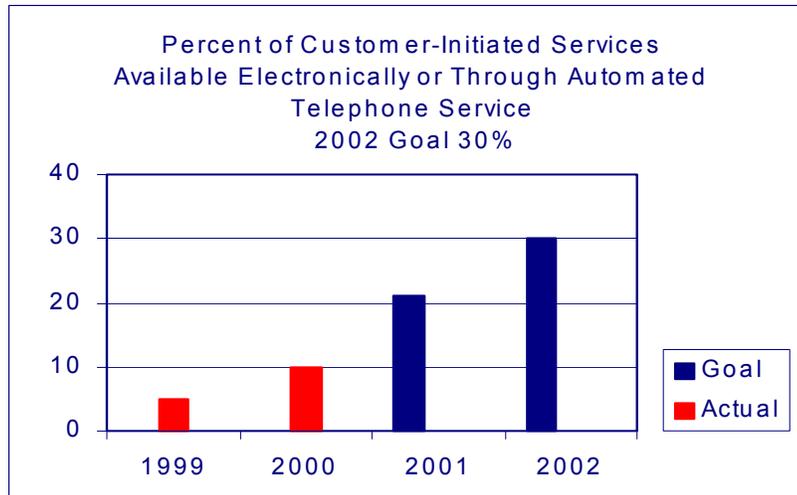
FY 2002. The first indicator is also in the Revised Final FY 2001 Performance Plan.

Social Security FY 2002 Annual Performance Plan

Indicator: Percent of SSA's customer-initiated services available to customers either electronically via the Internet or through automated telephone service

FY 2002 Goal: 30%

Baseline Data: FY 2001 Goal 21% FY 2000 Actual 10% FY 1999 Actual 5%



Definition: Percent of 73 customer-initiated services that will be available electronically via the Internet or through automated telephone service.

Data Source: List of SSA services initiated by customers; Internet schedule; Internet Site: ssa.gov

Indicator: Activities to establish the capability for customers interacting with SSA on the Internet to communicate with an SSA employee while online

FY 2002 Goal: Test Internet and 800# convergence technologies in a proof of concept (POC) initiative and then begin to implement technologies.

Definition: Internet and 800# convergence technologies are real time, text-based collaboration, e.g., web chat, real time web page collaboration (push/pull technology), customer call back features; Voice Over Internet Protocol (VOIP); secure e-mail; authentication (smart cards, biometrics, PINS and passwords) and customer relationship management tools. Our plan is to move successful technologies to the proposed Multimedia Customer Contact Center (MC3). As we gain experience from the MC3 we will develop recommendations and plan for national implementation of the various technologies. We anticipate the recommended features to be fully implemented by FY 2004.

Data Source: Data will be obtained from the vendor who is supplying the particular hardware/software features.

Means and Strategies

To achieve this strategic objective, SSA will continue to expand services offered by telephone and electronically that will allow customers to complete their business with SSA at the initial point of contact. SSA is developing an aggressive strategy that will provide on-line functionality while addressing resource issues and privacy/security safeguards. This strategy enables SSA to improve customer service and realize some savings by increasing access to public information and forms, while developing more complex on-line data collection and processing functions. We have implemented 65 high-volume forms which can be downloaded on www.ssa.gov. In the past year we have implemented a series of benefit planners on SSA's website as well as the new electronic retirement benefit application. In FY 2001 we will implement additional services including benefit

account status and the first RSI post – entitlement transactions. We have identified 73 unique customer-initiated services/actions and we expect to have 22 services (our 30% goal) of them available to the public via the Internet in FY 2002. In FY 2001, we expect 15 services (our 21% goal) will be available. We will continually adjust the overall Agency internet strategy based on customer input and activity on the Internet.

Finding reliable ways to authenticate the identity of our customers electronically to ensure the privacy and integrity of SSA systems is critical to enabling the expansion of telephone and electronic service. For electronic service, we are currently participating in government efforts such as the Government Information Technology Board's Federal Public Key Infrastructure (PKI) Steering Committee to develop customer authentication standards that are

Social Security FY 2002 Annual Performance Plan

consistent across a range of applications. We also are exploring business and governmental partnerships and external funding sources to leverage SSA resources needed to implement applications and the appropriate authentication methods to support them.

SSA began developing the policies and technical architecture for authentication in FY 2000. This effort includes establishing an application risk assessment methodology, establishing password policies for online claimants and beneficiaries, and conducting pilots with employers and the medical community to demonstrate the use of PKI digital certificates.

To enable more services to be handled to completion by telephone, we are working to provide more customer information online and revise our systems, policies and procedures so that our employees are able to fully respond to a customer's request at the initial contact. For example, since November 1998, authorized employees have online access to notices. We also are testing a call transfer process for moving certain types of calls to specially trained representatives for complete handling at the initial contact.

Several current or planned activities will enable customers interacting with SSA on the Internet to communicate with an SSA employee while online and to use technology to complete their SSA business.

- ❖ In FY 2002 we will pilot customer access to their own SSA records using SSA's 800 number and registered passwords.
- ❖ New network-based ACD solutions will be tested including "screen-pop" functionality which would allow SSA 800 number answering agents to view customer account information on the computer screen at the same time they receive the incoming telephone call. Evaluation will be done in FY 2002.

Additional information is provided in Appendix 3 on the following Key Initiatives that support this objective:

- ❖ **Electronic Service Delivery**
- ❖ **Expand Electronic Wage Reporting**
- ❖ **Immediate Claims-Taking Services**
- ❖ **Improve 800 Number Service**
- ❖ **Information Exchange**
- ❖ **Notice Improvements**
- ❖ **Title II Systems Redesign**

Strategic Objective:

Increase electronic access to information needed to serve SSA customers.

Specifically by 2005:

- ❖ **Establish electronic access to human services and unemployment information with 90 percent of States,**
- ❖ **Establish electronic access to vital statistics and other material information with 50 percent of States, and**
- ❖ **Increase electronic access to information held by other Federal Agencies, financial institutions and medical providers.**

Context

This new objective reflects the need for SSA to establish access to electronic records maintained by other Federal and State agencies, financial institutions and medical providers. Success in attaining this objective is dependent on how extensively other agencies have electronically formatted their records.

The electronic exchange of data between SSA and other Federal and State agencies, financial and medical institutions will streamline the claims, appeals, and post-entitlement processes and reduce processing time. This will reduce the burden on customers to provide this information and result in

improved customer responsive service. Additionally, electronic data exchange results in increased accuracy, and also promotes the principle of one-stop government service.

FY 2002 Performance Indicators and Goals

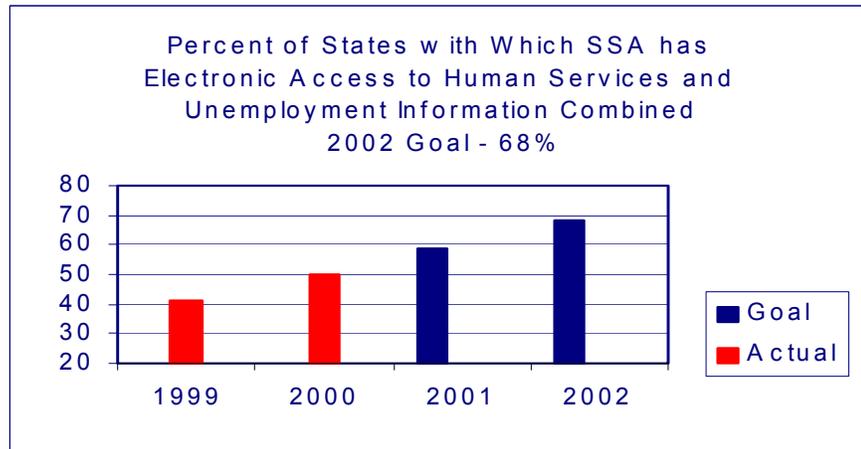
The following performance indicators are newly established under SSA's new Strategic Plan and are in effect for FY 2002. The first two indicators are also in the Revised Final FY 2001 Performance Plan.

Social Security FY 2002 Annual Performance Plan

Indicator: Percent of States with which SSA has electronic access to human services (HS) and unemployment information (UI)

FY 2002 Goal: 68% of the combined number of HS and UI agency connections Online (HS: 76%; UI 60%)

Baseline:	FY 2001 Goal	FY 2000 Actual	FY 1999 Actual
	59% combined	50% combined	41% combined
	HS: 68%	HS: 60%	HS: 46%
	UI: 50%	UI: 40%	UI: 36%



Definition: The percent of State Human Service (HS) and Unemployment (UI) agencies from which data is available online out of a total of 100 agencies (i.e., 50 HS and 50 UI agencies).

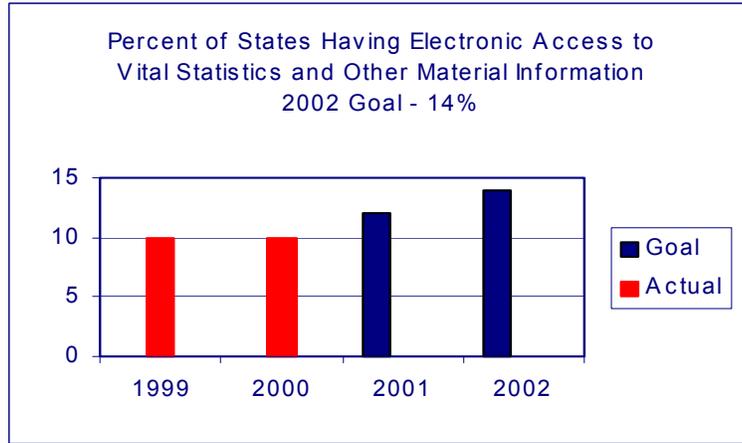
Data Source: Office of Automation Support website listing of State agency connections

Performance Goals, Means and Strategies

Indicator: Percent of States with which SSA has electronic access to vital statistics and other material information

FY 2002 Goal: 14%

Baseline: FY 2001 Goal 12% FY 2000 Actual 10% FY 1999 Actual 10%



Definition: The percent of State Vital Statistics agencies from which data is available online out of a total of 50 agencies.

Data Source: Office of Automation Support website listing of State agency connections

Indicator: Milestones/deliverables demonstrating progress in increasing electronic access to information held by other Federal Agencies, financial institutions and medical providers

FY 2002 Goal: TBD (pending analysis of needs and feasibility)

Means and Strategies

SSA has already defined policies for evaluating requests for online or system-to-system access of SSA data. We are now developing and implementing instructions for SSA components responsible for interagency agreements and the agencies seeking this kind of access to SSA records.

In an effort to implement new or expanded information exchanges with other agencies to prevent and detect overpayments, SSA has been pursuing online query access with States to obtain vital statistics, welfare, unemployment and workers compensation records. SSA is also seeking to access databases that integrate information from multiple States, e.g., the Office of Child Support and Enforcement (OCSE)/National Directory of New Hires databases. In

Increased Electronic Access to Information

Social Security FY 2002 Annual Performance Plan

January 2001, the national rollout to field offices of online access to OCSE wage and unemployment data began.

SSA is preparing for the rollout of SOLQ to interested state Human Services agencies. We expect to conclude the SOLQ pilot with Unemployment Insurance agencies by June 1. Ninety percent of the Human Service and Unemployment agencies have previously indicated an interest in providing SSA online access to their records if we reciprocate. The SOLQ expansion to Human Service agencies and the expected approval for Unemployment Insurance agencies will enable us to obtain our FY 2005 goals on schedule.

Our targets assume that we are successful in concluding agreements with our most promising HS, UI and VS leads.

Milestones and deliverables to demonstrate progress in increasing electronic access to information held by other Federal agencies, financial institutions and medical providers are being developed.

- ❖ SSA is currently determining the most frequently requested data from other Federal agencies; we will then concentrate on obtaining agreements for electronic access to this information.
- ❖ We are evaluating how to obtain online access to accounts at over 25,000 financial institutions as part of the SSI High-Risk initiatives.
- ❖ We are in the early stages of a pilot with a medical provider in California to obtain electronic medical evidence.
- ❖ We will also develop the appropriate security and confidentiality safeguards.

- Strategic Objective:** **Maintain the accuracy, timeliness, and efficiency of service to customers applying for OASI and SSI aged benefits. Specifically by 2005:**
- ❖ **Have the capacity to take and process 99 percent of OASI and SSI aged claims in a paperless environment**

Context

In the FY 2001 APP, there was one strategic objective encompassing service to our customers for DI and SSI disability claims, OASI and SSI aged claims, and hearings. For the new 2000-2005 Strategic Plan, and for this FY 2002 APP, three separate objectives have been developed: one for customers filing for claims for OASI and SSI aged benefits, one for customers applying for DI and SSI disability benefits, and one for customers requesting hearings or appeals.

This strategic objective deals with OASI and SSI aged claims. With this objective, we strive to maintain the accuracy, timeliness, and efficiency of service for OASI and SSI aged claims. Our challenge in meeting this objective will be to ensure that there is no erosion of performance because of competing budgetary priorities and growing workloads.

We will be able to maintain our performance for this objective only in an environment that includes increased/improved automation, the implementation of Internet filing for OASI and SSI, the development of automatic entitlement for retirement claims, and practices such as immediate

claims taking when an individual contacts us. These initiatives and others will create the infrastructure to move us toward a paperless claims environment.

FY 2002 Performance Indicators and Goals

The OASI processing time indicator for this objective has not changed. The SSI aged processing time indicator was changed for FY 2001 to be consistent with the OASI measure. Therefore, the SSI historical data shown starts with FY 2001.

We will also develop new indicators for accuracy of service to customers applying for OASI and SSI Aged benefits and for the efficiency of those services. In order to obtain a more accurate measurement of the accuracy of our service, the Agency is revising its method for measuring accuracy. This measurement is expected to be in place for the calendar year 2002 with results received in mid-2003. Setting the efficiency measure is dependent on the implementation of the MCAS system which will make it possible to assess essential baseline data.

The final indicator for this objective will gauge our progress towards paperless processing of RSI and SSI aged claims. A paperless process is one that collects

Social Security FY 2002 Annual Performance Plan

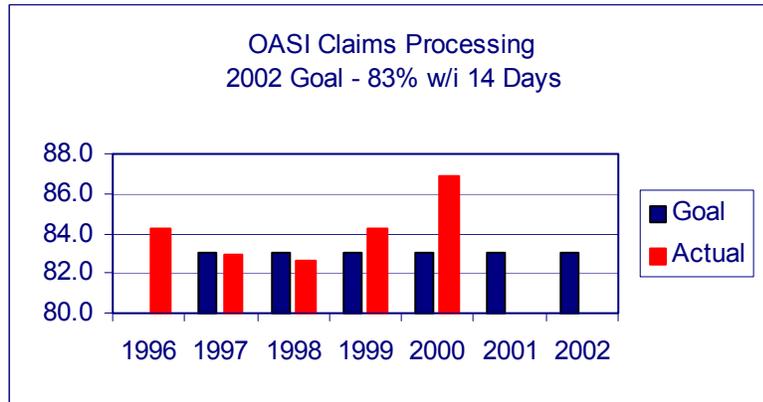
or verifies data electronically, authenticates the identity of the external or internal customer, stores the needed information electronically and moves that information through the appropriate

defined business process without using paper. At the end of the process, the work product is electronically stored with appropriate electronic audit and archival records.

Indicator: Percent of OASI claims processed by the time the first regular payment is due or within 14 days from the effective filing date, if later

FY 2002 Goal: 83%

Baseline Data:	FY 2001 Goal 83%	FY 2000 Actual 86.9%	FY 1999 Actual 84.3%
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Definition: This rate reflects the number of OASI applications completed through the SSA operational system (i.e., award or denial notices are triggered) before the first regular continuing payment is due or not more than 14 calendar days from the effective filing date, if later, divided by the total number of OASI applications processed. The first regular payment due date is based on the appropriate payment cycling date which may be the 3rd of the month, or the 2nd, 3rd, or 4th Wednesday of the month.

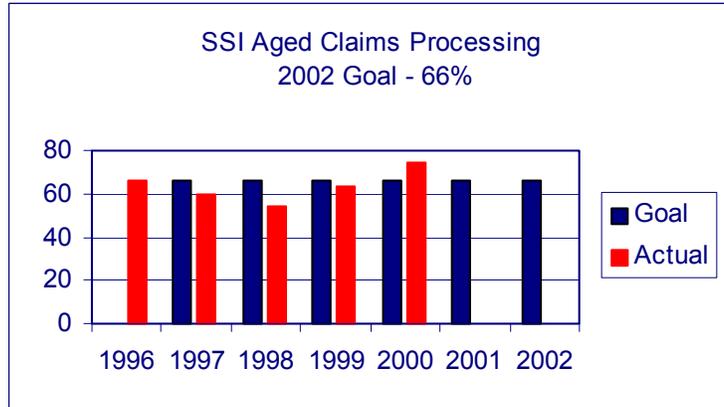
Data Source: The MIICR System

Performance Goals, Means and Strategies

Indicator: Percent of SSI aged claims processed by the time the first payment is due or within 14 days of the effective filing date, if later

FY 2002 Goal: 66%

Baseline Data:	FY 2001 Goal 66%	FY 2000 Actual 74.4%	FY 1999 Actual 63.5%
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Definition: (FY 2001 on) This rate reflects the number of SSI Aged applications completed through the SSA operational system (i.e., award or denial notices are triggered) before the first regular continuing payment is due or not more than 14 days from the effective filing date, if later, divided by the total number of SSI Aged applications processed. The first regular continuing payment due date is based on the first day of the month that all eligibility factors are met and payment is due. This definition is in effect beginning FY 2001.

Definition: (Before 2001) Prior to FY 2001, the indicator was: Percent of initial SSI Aged claims processed within 14 days of filing date. This rate reflected the number of SSI Aged applications completed through the SSA operational system (i.e., award or denial notices are triggered) within 14 days from the filing date, divided by the total number of SSI Aged applications processed. This definition and measurement system are in effect for years prior to FY 2001.

Data Source: The XVI ODS System

Indicator: OASI/SSI aged accuracy and efficiency indicators –
These indicators are not yet developed.

Indicator: Implement activities necessary to have the software and infrastructure in place for paperless processing of RSI and SSI Aged claims.

- FY 2002 Goal:**
1. Accommodate dual entitlement advance file cases; automate determination of need to develop military service allegations; update the workman's compensation data file; and control certain exceptions via a PCACS interface.
 2. Implement Phase2 of Attorney Fee/Windfall Offset project. Begin analysis of additional windfall offset enhancements requested by the users.

- Definition:**
1. This goal will have been met if we develop, test, validate and implement release 3.8 of MCS.
 2. This goal will have been met if we develop, test, validate and implement a future release of MSSICS.

Data Source: Office of Systems 5-Year Plans

Means and Strategies

We will continue with existing policies and processes to maintain accuracy, timeliness and efficiency of service to customers for OASI and SSI aged benefits. The implementation and rollout of "Immediate Claims Taking" by telephone is helping us maintain processing times and improve efficiency. The expansion of electronic "Information Exchange" with other organizations will help us get evidence that we need to process claims faster.

The aggressive rollout of RSI claims intake via the Internet will promote processing more claims in a paperless environment.

The following KIs, described in Appendix 5, will contribute to our ability to sustain current OASI and SSI aged processing times in the face of growing workloads and resource constraints:

- ❖ **Earnings Process Improvements**
- ❖ **Electronic Service Delivery**
- ❖ **Immediate Claims-taking Pilot**
- ❖ **Information Exchange**
- ❖ **Title II Systems Redesign**

- Strategic Objective:** **Improve the accuracy, timeliness, and efficiency of service to customers applying for DI and SSI disability benefits. Specifically by 2005:**
- ❖ **Increase accuracy of initial disability claims decisions to deny benefits to 95 percent,**
 - ❖ **Maintain accuracy of initial disability claims decisions to allow benefits at 96.5 percent,**
 - ❖ **Issue initial disability claims decisions in an average of 105 days, with at least 70 percent issued within 120 days, and**
 - ❖ **Have the capacity to take 99 percent of disability claims in an electronic environment.**

Context

We know from our customer satisfaction survey data that disability customers continue to rate most aspects of customer service significantly lower than do other customer groups. The strongest factors affecting their satisfaction are processing times, and of course, whether the claim is awarded. This objective confirms and continues SSA's commitment to improve service to disability claimants, to pay the right people sooner, and with a greater degree of accuracy.

In this APP, we have aligned our revised disability claims and hearing processing time objectives with the objectives contained in our September 2000 Strategic Plan. The revised objective reflects a more appropriate processing time goal for a greater number of applicants.

In an effort to improve our service to disability applicants, over the past few years SSA has tested various process improvements to determine what changes would meet our goal of

providing better customer service. SSA anticipates that these changes will improve the disability adjudication process by reducing fragmentation and duplication, improving consistency and coordination at all adjudicative levels, and taking advantage of new technology.

FY 2002 Performance Indicators and Goals

The indicators under this objective emphasize a balanced, holistic approach to managing our performance. Accuracy and timeliness are both important aspects of service and both of these attributes are measured. And because our ability to provide high quality service depends so heavily on making economical use of our limited resources, we will also measure efficiency as an important business result. We added an indicator to track our progress in developing the capacity for processing of disability claims in an electronic environment. An electronic environment is one that collects or verifies data electronically, authenticates the identity of the external or internal customer,

Social Security FY 2002 Annual Performance Plan

stores the needed information electronically and moves that information through the appropriate defined business process electronically. At the end of the process, the work product is stored electronically with appropriate electronic audit and archival records.

In addition, our evolved processing time indicators reflect the projected

experience for the vast majority of our customers.

Our FY 2002 goal for the indicator “Initial disability claims average processing time (days)” is to maintain performance at 120 days as compared to 120 days in FY 2001.

Some of the following performance indicators are newly established for FY 2002.

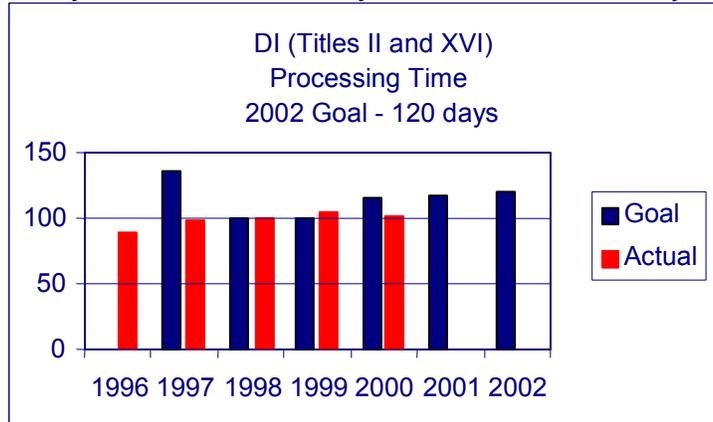
Indicator: Percent of initial disability claims decisions issued within 120 days

FY 2002 Goal: TBD (after analysis of FY 2002 baseline data)

Indicator: Initial disability claims average processing time (days)

FY 2002 Goal: 120 days

Baseline Data: FY 2001 APP Goal 120 days FY 2000 Actual 102 days FY 1999 Actual 105 days



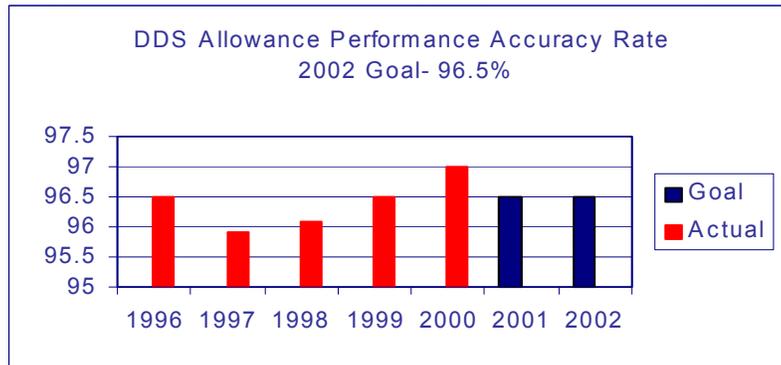
Definition: This indicator represents the fiscal year average processing time for DI and SSI claims combined. Processing time is measured from the application date (or protective filing date) to either the date of the denial notice or the date the system completes processing of an award.

Data Source: Title II MIICR Processing Time and Title XVI SSICR Processing Time System

Indicator: DDS allowance performance accuracy rate

FY 2002 Goal: 96.5%

Baseline Data: FY2001 APP Goal 96.5% FY 2000 Actual 97.0% FY 1999 Actual 96.5%



Definition: The allowance accuracy rate reflects the estimated percentage of initial disability allowances that do not have to be returned to the DDSs for development of additional documentation or correction of the disability determination.

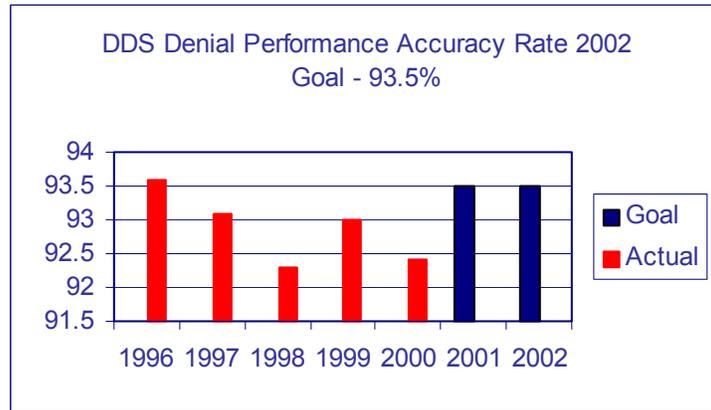
Data Source: Annual Disability Quality Assurance Reports

Social Security FY 2002 Annual Performance Plan

Indicator: DDS denial performance accuracy rate

FY 2002 Goal: 93.5%

Baseline Data: FY 2001 APP Goal FY 2000 Actual FY 1999 Actual
 93.5% 92.4% 93.0%



Definition: The denial accuracy rate reflects the estimated percentage of initial disability denials that do not have to be returned to the DDSs for development of additional documentation or correction of the disability determination.

Data Source: Annual Disability Quality Assurance Reports

Indicator: Implement activities necessary to have the software and infrastructure in place for electronic processing of disability claims

- FY 2002 Goal:**
1. Accommodate dual entitlement advance file cases, automate determination of need to develop military service allegations, update the workman's compensation data file and control certain exceptions via a PCACS interface.
 2. Begin developing standards for hardware and software interface with other DDS systems.

Definition:

1. This goal will have been met if we develop, test, validate and implement release 3.8 of MCS.
2. This goal will have been met if we develop, test, validate, implement, and evaluate Version 4.1 of eDIB.

Data Source: Office of Systems 5-Year Plans

Indicator: Efficiency indicator

FY 2002 Goal: N/A

Means and Strategies

For the long run, we are currently prototyping a series of changes that will improve the initial disability determination process by:

- Providing greater decisional authority to the disability examiner and more effective use of the expertise of the medical consultant in the disability determination process;
- Ensuring appropriate development and explanations in initial cases;
- Increasing opportunities for claimant interaction with the decisionmaker; and
- Simplifying the appeals process by eliminating the reconsideration step.

SSA is working to create a new Electronic Disability Folder and a

paperless disability claims system that will allow DDSs and other SSA components to eliminate reliance on paper folders. We expect that, once implemented, this could allow SSA and the DDSs to streamline their case processing operations and create processing efficiencies that will enable the DDSs and SSA components to handle increased receipts without adding additional staff.

In Appendix 5 of this document, we provide a description of the Improvements to the Disability Claims Process key initiative which further details our approach and activities to improve service delivery in the disability initial claims process. Additional, longer-term improvements, aimed at substantially improved service and efficiency in processing disability claims will be achieved through the following KI:

- ❖ **Electronic Disability System**

Strategic Objective: Improve the accuracy, timeliness, and efficiency of service to customers requesting hearings or appeals. Specifically by 2005:

- ❖ Increase current levels of accuracy of hearing decisions to 90 percent,
- ❖ Issue hearings decisions in an average of 166 days, with at least 70 percent issued within 180 days,
- ❖ Increase productivity to 122 hearings decisions issued per WY,
- ❖ Have capacity to take 99 percent of hearings requests in an electronic environment,
- ❖ Issue decisions on appeals of hearings in an average of 90 days, with at least 70 percent within 105 days, and
- ❖ Increase productivity to 323 Appeals Council reviews per WY.

Context

In this APP, our objective dealing with service to our customers requesting hearings and appeals is aligned with the objectives contained in our September 2000 Strategic Plan. Making changes to the hearings and appeals processes focuses on reducing processing time and improving efficiency and productivity.

Reductions in processing time for hearings in FY 2001 and FY 2002 are largely dependent upon SSA's ability to hire new Administrative Law Judges (ALJs) in FY 2001 and FY 2002 so as to replenish its ALJ corps. The Corps continued to diminish during FY 2000 due to greater than anticipated attrition. SSA's hiring ability is currently in doubt because, since April 1999, the Office of Personal Management (OPM) has been unable to

provide a list of eligible applicants from which SSA may hire additional ALJs.

If SSA is not able to hire any ALJs, hearings average processing time for FY 2001 and FY 2002 would be even higher than the 271 days estimated for FY 2001 and the 259 days projected for FY 2002. The FY 2002 budget projects that in addition, the number of hearings pending will grow in FY 2002.

FY 2002 Performance Indicators and Goals

The indicators under this objective emphasize a balanced, holistic approach to managing our performance. Accuracy and timeliness are both important aspects of service and both of these attributes are measured. And because our ability to provide high quality service depends so heavily on making

Performance Goals, Means and Strategies

economical use of our limited resources, we also measure efficiency as an important business result. To that end, we added an indicator to track our progress in developing the capacity for processing of hearings in an electronic environment. An electronic environment is one that collects or verifies data electronically, authenticates the identity of the external or internal customer, stores the needed information electronically and moves that information through the appropriate defined business process electronically. At the end of the process, the work product is stored electronically with appropriate electronic audit and archival records.

In addition, our evolved processing time indicators reflect the projected experience for the vast majority of our customers.

The following performance indicators are newly established under SSA's new Strategic Plan and are in effect for FY 2002. Each indicator is also in the Revised Final FY 2001 Performance Plan.

- ❖ Percent of hearings decisions issued within 180 days from the date the request is filed.
- ❖ Percent of decisions on appeals of hearings issued by the Appeals Council within 105 days of the appeals filing date.
- ❖ Average processing time for decisions on appeals of hearings issued.
- ❖ Number of decisions on appeals of hearings issued per workyear.

The following performance indicator is newly established for FY 2002.

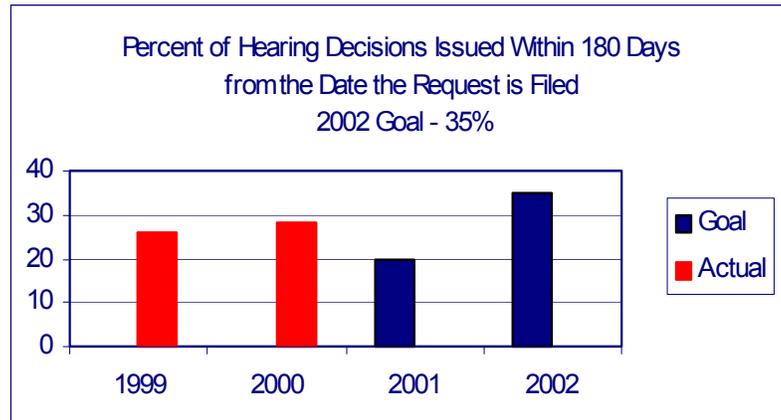
- ❖ Implement activities necessary to have the software and infrastructure in place for electronic processing of hearings cases.

Social Security FY 2002 Annual Performance Plan

Indicator: Percent of hearings decisions issued within 180 days from the date the request is filed

FY 2002 Goal: 35%

Baseline: FY 2001 Goal FY 2000 Actual FY 1999 Actual
 20% 28.4% 26%



Definition: Beginning FY 2001, this new performance indicator represents the actual percent of Medicare and SSA case dispositions issued during the particular report period in which the elapsed time from the date of the request for hearing to the disposition date was 180 days. (This measure does not include the time required by field offices, program service centers, or the Office of Central Operations to process favorable decisions.)

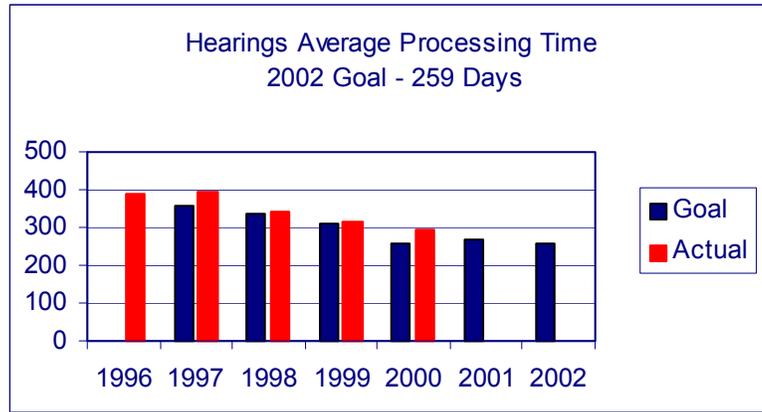
Data Source: Actual performance is reported in the OHA Monthly Activity Report (MAR) derived from the Hearing Office Tracking System (HOTS).

Performance Goals, Means and Strategies

Indicator: Hearings average processing time (days)

FY 2002 Goal: 259 days

Baseline Data: FY 2001APP Goal FY 2000 Actual FY 1999Actual
 271 days 297 days 316 days



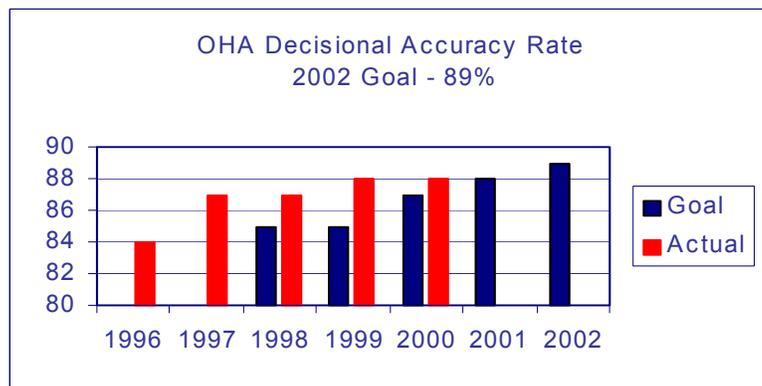
Definition: Beginning FY 2000, this indicator was redefined from the one included in the FY 1999 APP to represent the average elapsed time, from the hearing request date until the date of the notice of decision, of hearings level cases processed during all months of the fiscal year. The FY 1999 APP indicator reflected the average elapsed time of hearings level cases processed only in the last month of the fiscal year.

Data Source: OHA Monthly Activity Reports and the Hearing Office Tracking System

Indicator: OHA decisional accuracy rate

FY 2002 Goal: 89%

Baseline Data: FY 2001APP Goal FY 2000 Actual FY 1999Actual
 88% 88% 88%



Definition: The decisional accuracy of hearings reflects the percentage of disability hearings decisions--both favorable and unfavorable--supported by "substantial evidence", the standard used by the Federal Courts to evaluate accuracy of decisions, and by the Appeals Council in determining which hearing decisions to review.

Data Source: Annual Disability Hearings Quality Review Process Peer Review Reports

Social Security FY 2002 Annual Performance Plan

Indicator: Implement activities necessary to have the software and infrastructure in place for electronic processing of hearings cases

- FY 2002 Goal:**
1. Support field office entry of the request for hearing to MSSICS.
 2. Provide Web-based query access to the Consolidated HOTS database, which includes the request for hearing.

- Definition:**
1. This goal will have been met if we develop, test, validate and implement Title XVI Appeals.
 2. This goal will have been met if we develop, test, validate and implement Access to the Consolidated HOTS Query.

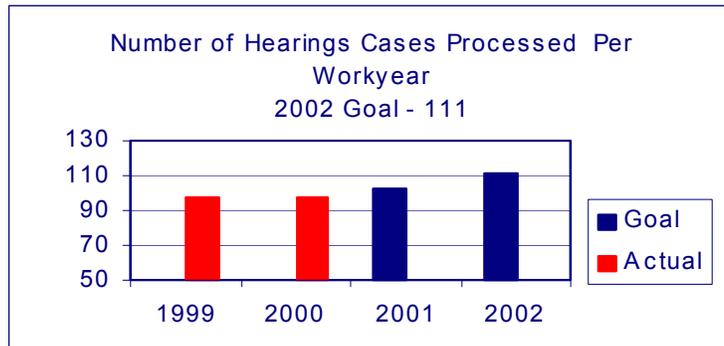
Data Source: Office of Systems 5-Year Plans

Indicator: Number of hearings cases processed per workyear.

FY 2002 Goal: 111

Baseline:

FY 2001 APP Goal	FY 2000 Actual	FY 1999 Actual
103	97	98



Definition: This indicator was revised effective FY 2001 to represent the average number of hearings cases processed per “direct” work year expended. A direct work year represents actual time spent processing cases. It does not include time spent on training, ALJ travel, leave, holiday, etc.

Data Source: OHA Monthly Activity Reports and the Hearing Office Tracking System

Performance Goals, Means and Strategies

Indicator: Percent of decisions on appeals of hearings issued by the Appeals Council within 105 days of the appeals filing date

FY 2002 Goal: 35%

Baseline:	FY 2001 Goal 20%	FY 2000 Estimate NA	FY 1999 Actual NA
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Definition: This new performance indicator represents the actual percentage of case dispositions issued during the report period in which the elapsed time from the date of the request for review to the disposition date was 105 days or less.

Data Source: Actual processing time for each case is maintained by the Appeals Council Automated Processing System (ACAPS). Percentages will be calculated from information extrapolated from ACAPS.

Indicator: Average processing time for decisions on appeals of hearings issued

FY 2002 Goal: 162 days

Baseline:	FY 2001 Goal 285 days	FY 2000 Estimate NA	FY 1999 Actual NA
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Definition: This new performance indicator represents the 12-month average processing time for dispositions issued during the report period. Processing time begins with the date of the request for review and ends with the disposition date.

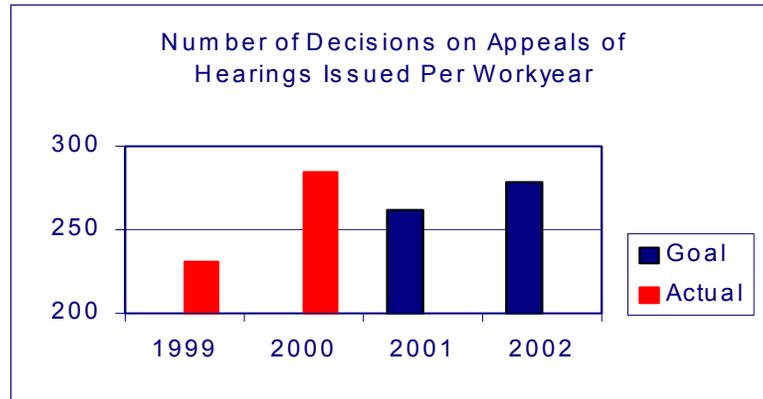
Data Source: Actual processing time for each case is maintained by the Appeals Council Automated Processing System (ACAPS). Percentages will be calculated from information extrapolated from ACAPS.

Social Security FY 2002 Annual Performance Plan

Indicator: Number of decisions on appeals of hearings issued per workyear

FY 2002 Goal: 279

Baseline: FY 2001 Goal 262 FY 2000 Actual 284 FY 1999 Actual 231



Definition: This new indicator represents the average number of decisions on appeals of hearings processed per “direct” work year expended. A direct work year represents actual time spent processing cases. It does not include time spent on training, leave, holiday, etc. Decisions on appeals of hearings exclude decisions on new court cases, court remands, and quality assurance reviews.)

Data Source: Appeals Council Case Control System and Appeals Council Automated Processing System

Means and Strategies

Starting January 2000, SSA began implementing a major initiative to dramatically improve average processing times and productivity for hearings. Our strategy incorporates three major inter-related change initiatives that address the main impediments to a more efficient process. They are:

- **Process Improvements**—includes implementation of a national workflow model, processing time benchmarks and expanded use of pre-hearing conferences.

- **Group-Based Accountability**—Hearing Offices will be organized in self-contained processing groups under a group supervisor, each group responsible for processing the case through the entire hearings process.
- **Automation and Data Collection**—includes enhanced management information and processing tools.

The Hearings Process Improvement (HPI) key initiative, which is described further in Appendix 5, will improve service to hearings customers by reducing individual case processing

Performance Goals, Means and Strategies

times, improving quality and productivity and promoting individualized case management and improving employee satisfaction. Appendix 5 also provides a description of the approach, activities, and schedule of the Appeals Council Process Improvements (ACPI) key initiative, which focuses on improving productivity and the time required by the Appeals Council to process requests for review of hearings decisions. Short-term and long-

term initiatives outlined in the key initiative include elements such as differential case management techniques, training strategies that will shorten learning curves for newly promoted or hired employees, and information technology improvements.

Additional Key Initiatives described in Appendix 5 that support this objective are:

- ❖ **Speech Recognition Software**
- ❖ **Video Conferencing**

Strategic Objective:

By 2005, increase by 100 percent from 1999 levels, the number of SSDI and of SSI disability beneficiaries who achieve steady employment and no longer receive cash benefits.

Context

The Ticket to Work and Work Incentives Improvement Act of 1999 requires that the Agency implement strategies to assist beneficiaries to enter or re-enter the workforce. Medical and technological advancements make it possible for some disabled beneficiaries to engage in substantial gainful work. This new objective establishes indicators to accomplish this goal.

FY 2004. The system will identify and record beneficiaries who work at the Substantial Gainful Activity (SGA) level and who work at levels high enough to be in section 1619(b) status. These levels are sufficient to allow payments to Employment Networks. Employment Networks are providers of return-to-work services whom SSA has determined are eligible to participate in the Ticket to Work program. They may accept tickets from beneficiaries and are eligible to receive milestone and/or outcome payments from SSA, if certain conditions are met.

FY 2002 Performance Indicators and Goals

By 2005, SSA is committing to increase by 100 percent the number of SSDI and SSI disability beneficiaries who achieve steady employment and no longer receive cash benefits. The following two new indicators will measure our success in achieving these long term goals:

In the interim, we will continue to use the two indicators for increasing the number of beneficiaries beginning a trial work period and increasing the number of SSI disabled beneficiaries in 1619(a) status. We have also made a subtle change in the definition of the indicator for increasing the number of beneficiaries beginning a trial work period, effective FY 2001. Although the APP target has been based on fiscal year counts, we actually have been capturing the data on a calendar year (CY) basis and intend to so continue. Given that this is an "interim indicator" to be used until we move to our longer term measures of work activity, we are electing to continue to report this data on a CY basis so long as the indicator is in use.

- ❖ Percent increase in the number of DI beneficiaries whose benefits are suspended/terminated due to substantial gainful activity;
- ❖ Percent increase in the number of SSI disabled beneficiaries who no longer receive cash benefits due to work (1619b status).

Annual targets will be set once sufficient data for accurate measurement are available. We anticipate that data will be available from the new Ticket to Work system being developed by SSA by

Performance Goals, Means and Strategies

For 2002, our performance targets for the two indicators reflect a 5 percent increase over FY 2001 levels.

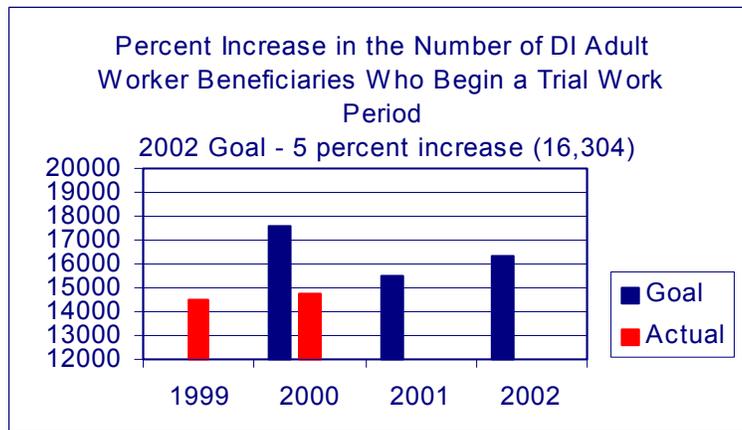
indicator which commits SSA to specific activities to implement the Ticket-to-Work and Work Incentives Improvement Act of 1999 and other employment strategies.

We have also added a third interim

Interim Indicator: Percent increase in the number of DI adult worker beneficiaries who begin a trial work period

FY 2002 Goal: 5-percent increase (16,304)

Baseline Data:	CY 2001 APP Goal 15,528	CY 2000 Actual 14,789	CY 1999 Actual 14,525
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Definition: Effective 2001, indicator represents the annual percentage increase over the prior year performance in the number of DI adult worker beneficiaries who begin a trial work period. In years prior the indicator represented the annual percentage increase relative to the base year 1997. Our CY 2001 goal is for a 5-percent increase over the CY 2000 actual level, equivalent to 15,528. Our CY 2002 goal is for a 5-percent increase over CY 2001, equivalent to 16,304. Beginning CY 2003, our goal will be for 10 percent annual increases.

Data Source: Master Beneficiary Record

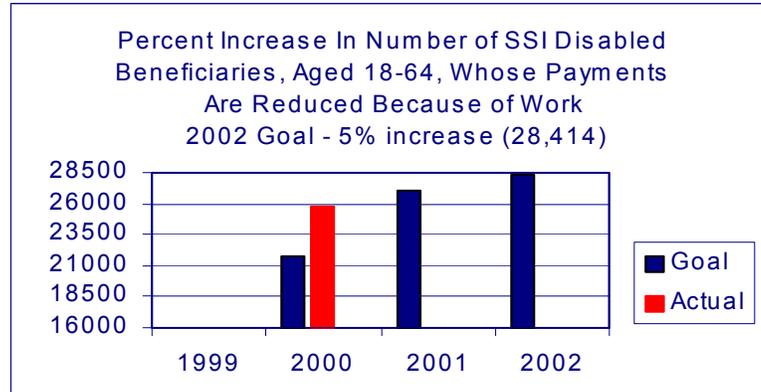
Increased Employment of Disability Beneficiaries

Social Security FY 2002 Annual Performance Plan

Interim Indicator: Percent increase in the number of SSI disabled beneficiaries, aged 18-64, whose payments are reduced because of work (i.e., participating in 1619(a) status)

FY 2002 Goal: 5 percent increase (28,414)

Baseline Data: FY 2001 APP Goal 27,061 FY 2000 Actual 25,772 FY 1999 Actual NA



Definition: Effective 2001, indicator represents the annual percentage increase over the prior year performance in the number of SSI disabled beneficiaries, aged 18-64 who are participating in 1619(a), i.e., working at the Substantial Gainful Activity level but still receiving benefits. In years prior the indicator represented the annual percentage increase relative to the base year 1997. Our FY 2001 goal is for a 5-percent increase over the FY 2000 actual level, equivalent to 27,061. Our FY 2002 goal is for a 5-percent increase from FY 2001 to FY 2002, equivalent to 28,414. Beginning FY 2003, our goals will be for 10 percent annual increases.

Data Source: "SSI Disabled Recipients Who Work" report

Interim Indicator: Activities to implement provisions of the TWSSP and other employment strategies.

FY 2002 Goal:

1. Begin payments to Employment Networks
2. Distribute Tickets to beneficiaries in Phase 2 States
3. Expand the number of Employment Support Representatives

Definition: This indicator represents milestones in implementing provisions of the TWSSP and other employment strategies.

Data Source: New data system being developed to allow SSA to administer the Ticket to Work program

Long-Term Indicator: Percent increase in the number of DI beneficiaries whose benefits are suspended/terminated due to substantial gainful activity

FY 2002 Goal: N/A (Note: there will be no targets for 2001/2002).

Long-Term Indicator: Percent increase in the number of SSI disabled beneficiaries who no longer receive cash benefits due to work (1619B status)

FY 2002 Goal: N/A (Note: there will be no targets for 2001/2002).

Means and Strategies

In Appendix 5, the key initiative for Employment Strategy for People with Disabilities explains how SSA will implement the Ticket-to-Work and Work Incentives Improvement Act of 1999. SSA has begun to implement the Ticket

to Work and Self Sufficiency Program (TWSSP) which will pay providers of return-to-work services if the beneficiaries leave the disability rolls due to work. Implementation milestones through FY 2004 will include:

❖ Award Program Manager contract	Sept. 2000
❖ Publish final regulations for Ticket to Work program	Aug. 2001
❖ Distribute Tickets to beneficiaries in Phase 1 States	Aug. 2001
❖ Expand number of Employment Support Representatives	Dec. 2001
❖ Begin payments to Employment Networks	Jan. 2002
❖ Distribute Tickets to beneficiaries in Phase 2 States	Jan. 2002
❖ Expand number of Employment Support Representatives	Dec. 2002
❖ Distribute Tickets to beneficiaries in remaining (Phase 3) States	Jan. 2003

SSA is collaborating with the Health Care Financing Administration to provide extended Medicaid coverage to the working disabled, and to provide extended Medicare coverage for SSDI beneficiaries who have gone to work.

SSA expanded the opportunity for disability beneficiaries to receive vocational rehabilitation (VR) services by contracting with alternate VR

providers in the public and private sector. SSA will continue to fund research projects that will broaden understanding of SSA’s work incentives as well as projects that deliver direct services to beneficiaries and applicants. In 1998, SSA awarded cooperative agreements to 12 States under the State Partnership Initiative to develop projects to assist adult beneficiaries with disabilities to reenter the work force.

Social Security FY 2002 Annual Performance Plan

In July 2000, SSA published draft regulations that change our rules regarding work, including increases to the substantial gainful activity amount, changes to the student earned income exclusion limits, and increases to the trial work period services amount.

SSA has created a new Employment Support Representative position to provide front-line service to beneficiaries and others in the disability community on work incentives. SSA's implementation plan calls for expansion

of the number of Employment Support Representatives in FY 2001 and FY 2002.

Beginning in FY 2000 and continuing, SSA is testing a unique enhancement to the continuing disability review process that evaluates the employment potential of younger beneficiaries. Areas such as language skills, functional capacity and emotional strengths will be assessed to determine the type of training, educational accommodations, and special equipment needed to successfully transition from school to work.

Strategic Objective: **Improve or maintain the accuracy, timeliness and efficiency of service to postentitlement customers. Specifically by 2005:**
❖ **Have the capacity to take and process 99 percent of PE actions in a paperless environment.**

Context:

Title II Redesign is an ongoing initiative to automate Title II postentitlement (PE) work in a real-time editing and online processing environment. A complete redesign of the Title II PE workloads processing systems and implementation of a paperless processing system will enable employees to process virtually all Title II PE work in a paperless environment. Similar automation efforts are underway for the SSI program. Processing time, accuracy and efficiency indicators will be developed once the objective is more specifically defined.

to managing our performance. Accuracy and timeliness are both important aspects of service and both of these attributes are measured. And because our ability to provide high quality service depends so heavily on making economical use of our resources, we also measure efficiency as an important business result. We therefore have an indicator to gauge our progress toward paperless processing of PE actions. A paperless process is one that collects or verifies data electronically, authenticates the identity of the external or internal customer, stores the needed information electronically and moves that information through the appropriate defined business process without using paper. At the end of the process, the work product is electronically stored with appropriate electronic audit and archival records.

FY 2002 Performance Indicators and Goals

The indicators under this objective emphasize a balanced, holistic approach

The following performance indicators are newly established for FY 2002 and do not have counterpart goals for FY 2001.

Indicator: PE Indicators (processing time, accuracy and efficiency)

FY 2002 Goal: N/A: Won't be developed in time for FY 2002 Annual Performance Plan.

Indicator: Have the capacity to take and process 99 percent of postentitlement actions in a paperless environment.

- FY 2002 Goal:**
1. Improve computations involving Workman's Compensation and allow additional storage of data.
 2. Add overpayment data collection to MSSICS.

Social Security FY 2002 Annual Performance Plan

- Definition:
1. This goal will have been met if we develop, test, validate and implement release 2.1 of Title II Redesign.
 2. This goal will have been met if we develop, test, validate and implement release 4.5 MSSICS.

Data Source: Office of Systems 5-Year Plans

Means and Strategies

Because PE activities are so varied in scope, a single numeric objective to track progress in achieving this objective is not practical. To help us better serve our PE customers,

we will develop a set of performance goals and indicators for accuracy, timeliness and efficiency of PE services that best represent overall Agency performance.

Strategic Objective:

Maintain through 2005 the accuracy, timeliness, and efficiency of service to customers applying for Social Security numbers and replacement cards.

Context:

The Social Security number is the cornerstone of all that we do at the Social Security Administration. The Social Security number is that identifier used in all employment situations and for tracking earnings, which are later used to determine benefit eligibility and benefit amounts.

to managing our performance. Accuracy and timeliness are both important aspects of service and both of these attributes are measured. And because our ability to provide high quality service depends so heavily on making economical use of our resources, we also measure efficiency as an important business result.

FY 2002 Performance Indicators and Goals

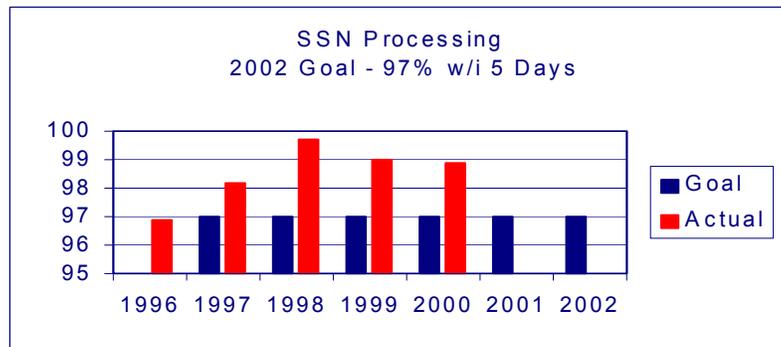
The indicators under this objective emphasize a balanced, holistic approach

The first two performance indicators are continued from prior annual plans. We are currently developing an efficiency indicator for SSN processes.

Indicator: Percent of original and replacement SSN cards issued within 5 days of receiving all necessary documentation

FY 2002 Goal: 97%

Baseline Data: FY 2001 APP Goal 97% FY 2000 Actual 98.9% FY 1999 Actual 99%



Definition: This rate is the number of original and replacement SSNs issued within 5 days of the date all documentation is received by the field office divided by the total number of requests. The issuance date is defined as the date when the printed cards are delivered to SSA's mail operation. Data exclude SSNs assigned via the Enumeration-at-Birth process and the time associated with the delivery of the SSN card to the applicant.

Data Source: Field Office Social Security Number Enumeration Report

Performance Goals, Means and Strategies

range from sharing information to the actual processing of each other's work and include:

Department of the Treasury--SSA assigns SSNs to individuals of all ages; permitting individuals to submit and be claimed as dependents on tax returns and for other uses in tax enforcement and collection. SSA provides IRS forms 1099 and 1042 to individuals for use in reporting taxable Social Security benefits. Using information provided by SSA, Treasury prepares paper Social Security/SSI checks and information for direct-deposit benefit payments.

Department of Health and Human Services--SSA performs work related to entitlement to Hospital Insurance and Supplementary Medical Insurance on behalf of HCFA. SSA determinations of disability are controlling for decisions in most States concerning Medicaid eligibility for disabled individuals, and SSA determinations of SSI eligibility create automatic entitlement to Medicaid coverage in certain States.

Department of Labor--SSA and DOL have instituted a cooperative arrangement in administration of the Black Lung program.

Department of Agriculture--SSA and Agriculture coordinate on the verification of eligibility status of food stamp applications and joint eligibility processing under SSI. SSA field offices take some applications for food stamps. SSA also shares information with State agencies that administer the USDA food stamp program.

Department of the Interior--SSA works with the Bureau of Indian Affairs to

coordinate provisions of local services at the reservation level.

Department of Justice--SSA works closely with Immigration and Naturalization Service (INS) to ensure the accuracy of SSNs assigned to aliens.

Department of State (DOS)--Foreign Service Posts do work for SSA overseas, including taking claims for benefits. We are working to transfer to DOS collection of enumeration information for some visa applicants as part of the enumeration process.

Department of Veterans Affairs--SSA and VA exchange data regarding veterans benefits and use each other's medical findings to adjudicate claims. SSA and VA coordinate services in some veterans' hospitals.

Federal Court System--Appeals of SSA eligibility and payment decisions are heard and decided in the Federal courts; courts handle recovery of court-ordered restitutions.

Federal Interagency Coordinating Council--SSA is one of several Federal agency members of the Federal Interagency Coordinating Council (FICC). The FICC facilitates coordination of resources at the Federal level for the purpose of strengthening the service system for young children with disabilities and their families.

Federal Reserve System--Payments to be made via electronic funds transfer are effected through information passing through the Automated Clearinghouse.

Government Information Technology Services Board--SSA is working with

Social Security FY 2002 Annual Performance Plan

other Federal agencies to develop a policy and legal framework for employees and citizens to use in conducting government business electronically. SSA expects to pilot several customer services on the Internet with Treasury, VA and GSA to test the framework.

Legal Services Corporation--Legal services programs provide representation for SSA claimants and beneficiaries in the applications and appeals processes.

National Automated Clearinghouse Association (NACHA)--SSA is participating with financial institutions, Treasury and certain States to develop a

policy and legal framework that can be used for the government to conduct business using electronic means.

U.S. Postal Service--USPS provides benefit-check and notice delivery and associated services as well as address change notifications/verifications.

Legislation and regulations

Various features to improve the Disability Claims Process, if approved for implementation will require regulations. In addition, we will publish regulations as we implement return-to-work legislation.

Strategic Goal: To ensure the integrity of social security programs, with zero tolerance for fraud and abuse

This goal addresses SSA’s responsibility, from both a service and business perspective, to pay benefits accurately and otherwise be a good steward of the money entrusted to its care. This responsibility entails establishing and maintaining a record of an individual’s earnings for use in determining entitlement to benefits and payment amounts; making accurate eligibility and entitlement decisions; detecting overpayments; deterring, identifying, and combating applicant and beneficiary fraud; reducing debt; and

ensuring that we carry out our operations efficiently.

The FY 2002 budget includes an estimated \$1.7 billion for the full range of activities that SSA, including the OIG, undertakes to ensure the integrity of records and payments and protect the taxpayer’s investment in the trust funds and general funds. The following table displays FY 2002 workloads processed in support of this strategic goal.

Workloads	Dollars (Millions)	Output Measures (thousands)
Continuing Disability Reviews (CDRs)	\$ 632	1,288
SSI Non-Disability Redeterminations	\$ 360	2,255
Annual Earnings Items Processed	\$ 173	272,600
Representative Payee Actions	\$ 167	6,882
Overpayment Actions	\$ 271	4,267
OIG Activities	\$ 75	N/A
Other Postentitlement Workloads ¹	\$ 63	N/A
Total	\$ 1.741	N/A

The charts on the following pages provide baseline information, definitions and data sources for each output measure. For this FY 2002 APP,

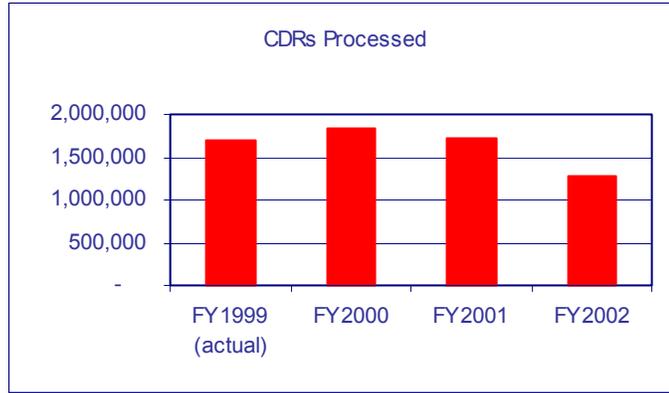
FY 2000 measures reflect actual workloads processed and FY 2001 measures reflect outputs based on actual FY 2001 appropriations.

¹ Includes Annual Reports of Earnings and School Attendance Reports.

Output Measure: Periodic Continuing Disability Reviews (CDRs)

FY 2002: 1,288,000

Baseline:	FY 2001	FY 2000 Actual	FY 1999 Actual
	1,729,000	1,836,510	1,703,414



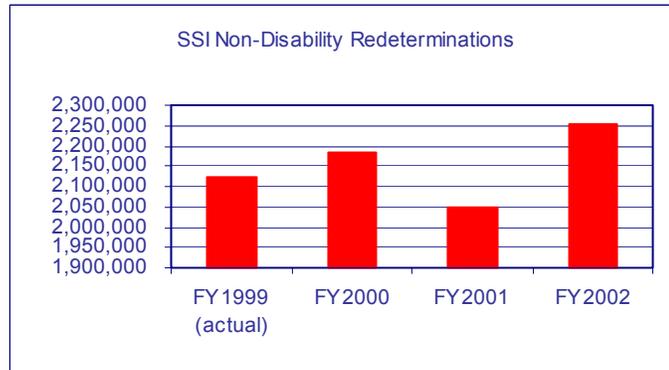
Definition: Count combines periodic reviews and other CDR's processed by the DDSs, plus mailers not requiring medical reviews.

Data Source: National DDS System; SSR, MBR, CDR Control File

Output Measure: SSI Non-Disability Redeterminations

FY 2002: 2,255,000

Baseline:	FY 2001	FY 2000 Actual	FY 1999 Actual
	2,050,000	2,182,027	2,122,279



Definition: All actions involving the redetermination of eligibility of SSI beneficiaries resulting from diary actions (scheduled) and initiated as a result of events reported by beneficiaries.

Data Source: OFPO

Social Security FY 2002 Annual Performance Plan

Output Measure: Annual Earnings Items Processed

FY 2002: 272,600,000

Baseline: FY 2001 FY 2000 Actual FY 1999 Actual
 270,200,000 277,145,696 249,867,974



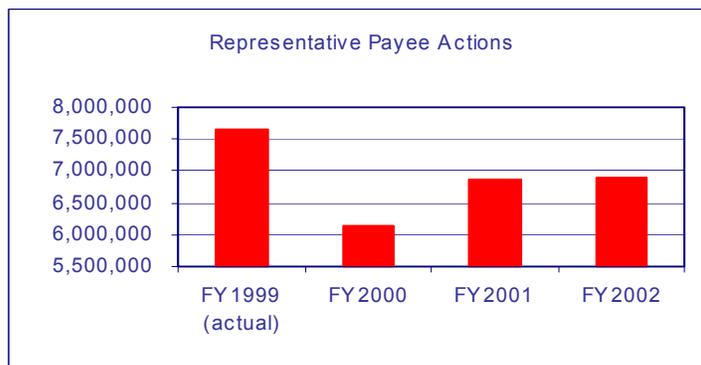
Definition: Annual earnings items reflect the total number of paper annual wage items processed through the balancing operation plus the total number of magnetic media and self-employment items posted in a fiscal year.

Data Source: IWMS/DOWR cells 188 and 189, OCRO

Output Measure: Representative Payee Actions

FY 2002: 6,882,000

Baseline: FY 2001 FY 2000 Actual FY 1999 Actual
 6,858,000 6,151,264 7,644,563

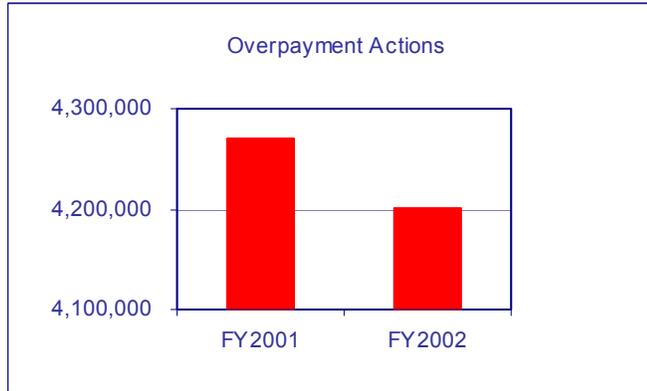


Definition: All actions involving change of payee notices and development and periodic accountability procedures for determining proper use of funds by representative payees. Excludes representative payee related to the filing of initial claims.

Data Source: IWMS/DOWR cells 19972, 55972, 71052, 72952, PCACS, OCRO 092

Output Measure: Overpayment Actions

FY 2002:	4,267,000		
Baseline:	FY 2001	FY 2000	FY 1999
	4,270,000	N/A	N/A



Definition: RSDI and SSI overpayment actions, i.e., establishment, investigation, follow-up, collection, notices, refunds, waiver actions, and closeout.

Data Source: RSDI: Report of OP Actions and the DOWS
SSI : DOWR and the DOWS

The following Objectives support this Strategic Goal:

- ❖ Beginning 2001 and through 2005, maintain at 99.8 percent the accuracy based on non-medical factors of eligibility of OASDI payment outlays,
- ❖ By 2005, raise to 96 percent the accuracy based on non-medical factors of eligibility of SSI disabled and aged payment outlays,
- ❖ Become current with DI and SSI CDR requirements by 2000 and 2002 respectively and remain current thereafter,
- ❖ Maintain timeliness and improve accuracy and efficiency in posting earnings data to Agency records. Specifically by 2005:
 - Increase to 70 percent the number of employee reports (W-2s) filed electronically,
- ❖ Through 2005, maintain a level of outstanding debt that is either in a repayment agreement, under appeal, or newly detected,
- ❖ Aggressively deter, identify, and resolve fraud.

Strategic Objective: Beginning 2001 and through 2005, maintain at 99.8 percent the accuracy based on non-medical factors of eligibility of OASDI payment outlays.

Context

Quality has always been a priority for SSA. Paying benefits accurately is a critical component of world-class service--that is, making sure that the right people get the right payment. From the stewardship perspective, SSA's annual program outlays are so large that even small percentages of payment error can mean millions of dollars paid incorrectly.

This new objective combines payment accuracy based on non-medical factors of eligibility for OASI and DI claims. Objectives and indicators for medical decisional accuracy and SSN accuracy are now located in the Customer-Responsive World-Class Service goal.

FY 2002 Performance Indicators and Goals

The OASDI payment outlay rates, which reflect the accuracy of payments to OASDI beneficiaries currently on the rolls, are one of the most comprehensive measures of SSA performance under this objective. For internal management purposes, SSA also uses a variety of lower-level measures of payment quality, both at the national and local level, that help us to pinpoint error-prone areas for corrective action.

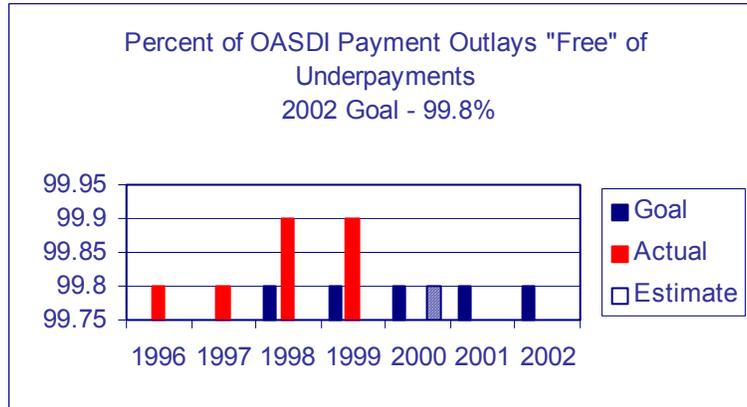
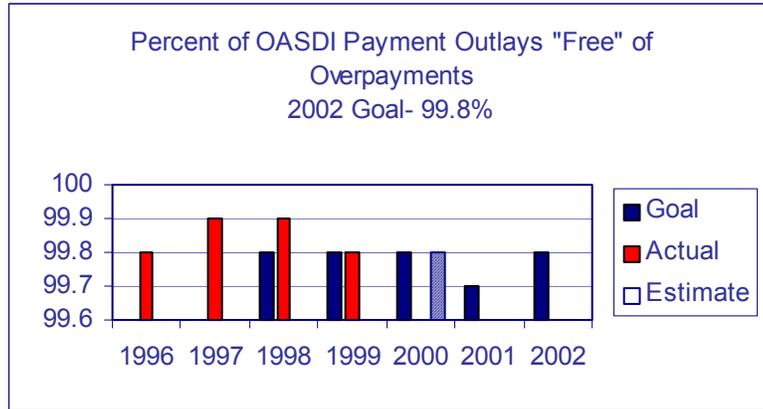
Beginning FY 2001, we replaced the prior performance indicator "Dollar accuracy of OASI payment outlays" with a new indicator. The scope of the new indicator includes the non-medical accuracy of DI payments.

Social Security FY 2002 Annual Performance Plan

Indicator: Percent of OASDI payment outlays “free” of overpayments and underpayments (based on non-medical factors of eligibility)

FY 2002 Goal: 99.8% without overpayments
99.8% without underpayments

Baseline Data:	FY 2001 APP Goal	FY 2000 Estimate	FY 1999 Actual
Overpayments:	99.7%	99.8%	99.8%
Underpayments:	99.8%	99.8%	99.9%



Definition: Stewardship accuracy is divided into accuracy for payment dollars without overpayment and accuracy for payment dollars without underpayment dollars. The overpayment accuracy is computed by subtracting the overpayment dollars paid for the FY from the dollars paid and dividing the remainder by the dollars paid [(dollars paid – o/p dollars)/dollars paid]. This error rate is subtracted from 100% to attain the accuracy rate. Similarly, the underpayment accuracy is computed by subtracting the underpayment dollars paid for the FY from the dollars paid and dividing the remainder by the dollars paid [dollars paid – u/p dollars)/dollars paid]. This error rate is subtracted from 100% to attain the accuracy rate. Prior to FY 2001, the accuracy of only OASI outlays was included. Effective FY 2001, the non-medical accuracy of DI outlays is added to the measure.

Data Source: OASI Stewardship Report

OASDI Payment Accuracy

Means and Strategies

The major causes of OASDI payment error are inaccurate earnings postings and manual computations of benefit rates. As part of our quality emphasis, we are taking measures to increase interviewer attention to gaps in claimants' earnings patterns. With the

service and automation improvements described throughout this plan, most notably Title II Systems Redesign and the various initiatives that support our objective to maintain accuracy and timeliness in posting earnings, SSA is confident that we will be able to maintain current accuracy levels.

Strategic Objective: **By 2005, raise to 96 percent the accuracy based on non-medical factors of eligibility of SSI disabled and aged payment outlays**

Context

This objective now focuses on payment accuracy based on non-medical factors of eligibility for SSI disabled and aged claims. Objectives and indicators for medical decisional accuracy and SSN accuracy are now located in the Customer-Responsive World-Class Service goal.

FY 2002 Performance Indicators and Goals

The SSI payment outlay rates, which reflect the accuracy of payments to SSI aged and disabled beneficiaries currently on the rolls, are one of the most comprehensive measures of SSA

performance under this objective. For internal management purposes, SSA also uses a variety of lower-level measures of payment quality, both at the national and local level, that help us to pinpoint error-prone areas for corrective action.

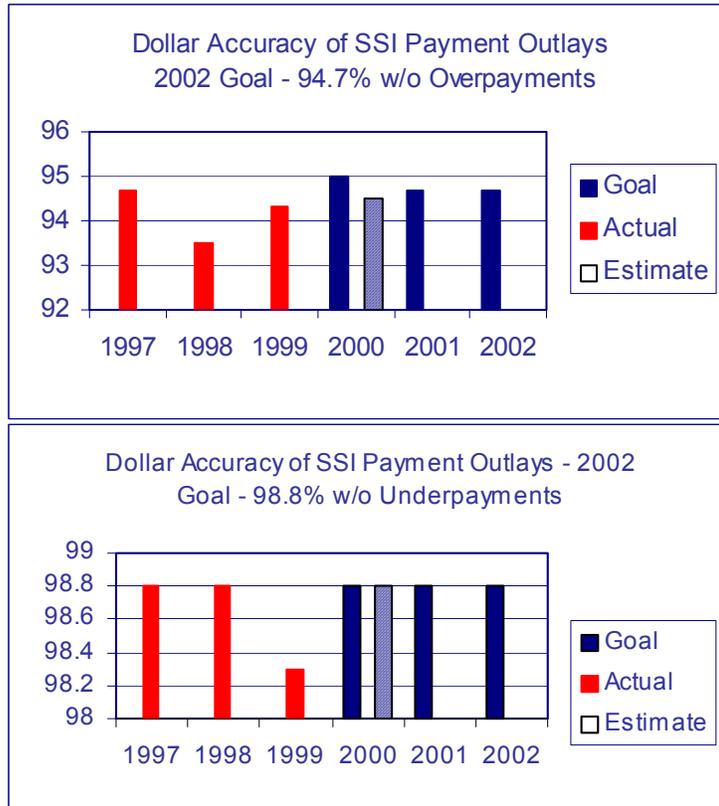
Long range and annual targets for accuracy of SSI payment outlays were recently revised in light of actual performance in FY 1999 and FY 2000 and the resources needed to meet performance commitments. The revised goals reflect our continuing commitment to effectively use redeterminations and other methods available to improve SSI accuracy.

Performance Goals, Means and Strategies

Indicator: Percent of SSI payment outlays “free” of overpayments and underpayments (based on non-medical factors of eligibility)

FY 2002 Goal: 94.7% without overpayments
98.8% without underpayments

Baseline Data:	FY 2001 APP Goal	FY 2000 Estimate	FY 1999 Actual
Overpayments:	94.7%	94.5%	94.3%
Underpayments:	98.8%	98.8%	98.3%



SSI Payment Accuracy

Definition: The SSI payment accuracy rate is determined by an annual review of a statistically valid sample of the beneficiary rolls. Separate rates are determined for the accuracy of payments with overpayment dollars and the accuracy of payments with underpayment dollars. The rates are computed by dividing the dollars overpaid or dollars underpaid by the total dollars paid for the fiscal year. This percentage is subtracted from 100 percent to attain the accuracy rate. The current measurement system captures only the accuracy of the non-medical aspects of eligibility for SSI payment outlays.

Data Source: SSI Stewardship

Means and Strategies

Over the past 10 years, the accuracy of SSI payment outlays has ranged between 96.6 and 93.5 percent. These rates compare favorably to the accuracy levels achieved in other income maintenance programs. For example, the former Aid for Families with Dependent Children program encountered payment accuracy rates between 93.2 and 95 percent in the last few years, and the Food Stamp program's FY 1996 accuracy rate was slightly above 92 percent.

Still, in a program the size of SSI, a small percentage of error translates into large dollar amounts. For example, in FY 1996, the 5.5 percent overpayment error rate was equivalent to approximately \$1.6 billion. Consequently, SSA has committed to improving the SSI payment accuracy rate to 96 percent by FY 2005, equating to substantial reductions in overpayment errors below the FY 1996 level. We will make substantial use of more effective payment accuracy tools in the SSI program—such as conducting more nonmedical redeterminations of eligibility. We also are committed to finding ways to make even more effective use of base resources to improve SSI accuracy.

The key initiative (KI) on Title XVI Payment Accuracy provides strategies to prevent, detect and resolve overpayments and is described in detail in Appendix V of this document. In addition, SSA has developed a long-term comprehensive plan that includes the following activities:

- ❖ Computer matching with the INS and with Federal and State agencies that provide cash and service benefits,
- ❖ Creation of a diary alert database to monitor alerts from external computer matching,
- ❖ Project to increase detection of persons ineligible for SSI because they are prisoners,
- ❖ Online access to databases at the OCSE/NDNH and individual States (SASRO),
- ❖ Increased management focus on quality and adherence to POMS,
- ❖ Review of the frequency of redeterminations to determine if a 3-year cycle would be more effective than the current 6-year cycle,
- ❖ Improved automation of SSI processes to reduce payment errors and better implement debt resolution.

These program integrity initiatives are projected to be cost-effective in returning program savings. In FY 2002, we intend to move as far as we can with this plan.

Other Key Initiatives that support this objective are:

- ❖ **Combating Fraud**
- ❖ **Continuing Disability Review Process Enhancements**
- ❖ **Earnings Improvement Program**
- ❖ **Information Exchange**
- ❖ **Service to the Non-English Speaking (NES) and Limited English Proficient (LEP) Public**
- ❖ **SSI PE Modernization**

Strategic Objective: **To become current with DI and SSI CDR requirements by 2000 and 2002 respectively and remain current thereafter**

Context

CDRs are one of the most effective mechanisms SSA has for determining whether OASDI and SSI disability beneficiaries have medically improved and no longer meet the statutory definition of disability, and therefore

should be terminated from the rolls. This objective contributes to the attainment of the overall outcome of accurate payments, articulated in the first objective under this goal.

FY 2002 Performance Indicators and Goals

Indicator: **Percent of multi-year CDR plan completed through FY 2002**

FY 2002 Goal: 100%

Baseline data:	FY 2001 APP Goal	FY 2000 Actual	FY 1999 Actual
	86%	68.8%	45.9%



Definition: To achieve this goal in FY 2002, SSA must conduct 1.3 million CDRs. This measure is derived by dividing the cumulative number of CDRs SSA processed from FY1996, the first year of the CDR multi-year plan, through the current fiscal year, by the total number of CDRs SSA has committed to processing through 2002 according to its most recent multi-year CDR plan.

Data Source: National DDS System; SSR, MBR, CDR Control File

CDRs

Social Security FY 2002 Annual Performance Plan

The following performance indicator is newly established for FY 2002.

Indicator: Percent of CDRs completed when due and selectable (ongoing indicator beyond 2002)

FY 2002 Goal: N/A

Definition: CDR's completed when due" is defined as: all CDRs due and selectable will be initiated and, on average, completed with the processing timeframes (6 months from the selection date for mailers, 12 months for full medical reviews, or 18 months for mailers which become full medical reviews.

Data Source: Disability management information (Measurement tool, TBD) and methodology

Means and Strategies

Congress has provided authority for an increase in discretionary spending caps for FYs 1996-2002 to fund the cost of processing CDRs. SSA developed a 7-year plan to ensure that we are current on DI CDRs by the end of FY 2000 and on SSI CDRs by the end of FY 2002. SSA's CDR plan is an important element of its strategy to improve management of the SSI program. Consistent with that plan, SSA expects to process 1,288,000 CDRs, including 554,000 SSI-only CDRs, in FY 2002. Actuarial estimates of the OASDI and Federal SSI program savings resulting from CDRs conducted in FYs 1996-2002 amount to approximately \$3.3 billion and \$3.6 billion, respectively, over this 7-year period.

After completion of the 7-year plan in FY 2002, all CDRs due and selectable will be initiated and, on average, completed within the processing time timeframes (6 months from the selection date for mailers, 12 months for full medical reviews, or 18 months for mailers which become full medical reviews.)

To make the CDR process more effective and efficient, SSA is implementing various innovations. These include:

Improved identification and selection:

This effort improves our ability to accurately and consistently identify factors that indicate medical improvement and predict when, during the life of a case, these factors occur. It has the potential to generate substantial program and administrative savings by enabling SSA to define more precisely when and how frequently to conduct CDRs for various beneficiary groups.

Workflow enhancements: This effort consists of process improvements, management information, and systems changes needed to enhance the CDR process and ensure its efficiency throughout and after the CDR 7-year plan.

The Key Initiative, Continuing Disability Review Process Enhancements, supports achievement of this objective.

Performance Goals, Means and Strategies

Strategic Objective: **Maintain timeliness and improve accuracy and efficiency in posting earnings data to Agency's records. Specifically by 2005:**
 ❖ **Increase to 70 percent, the number of employee reports (W-2s) filed electronically**

Context

Because SSA's earnings file is the basis for eligibility and payment decisions in the OASI and DI programs, having accurate and up-to-date records of earnings is important to overall payment accuracy.

FY 2002 Performance Indicators and Goals

Indicator: Percent of wage items posted to individuals' records by September 30

FY 2002 Goal: 98%

Baseline Data:	FY 2001 APP Goal	FY 2000 Actual	FY 1999 Actual
	98%	98.9%	94.4%



Definition: The computation of this rate is the number of wage items posted by the end of September divided by the number of wage items posted by the end of the processing year (mid-January).

NOTE: Tracking throughout the year is based on the SSA Actuary's estimates of potential receipts, compared to actual items processed by the posting system. The actual performance reported in the FY 2000 Accountability and Performance Report is based on the updated actuarial estimates compared to the actual items processed. Once all known earnings reports have been received, performance is recalculated based on actual data. For this reason, the actual FY 2000 performance for this measure has now been updated based on the recalculation using actual data.

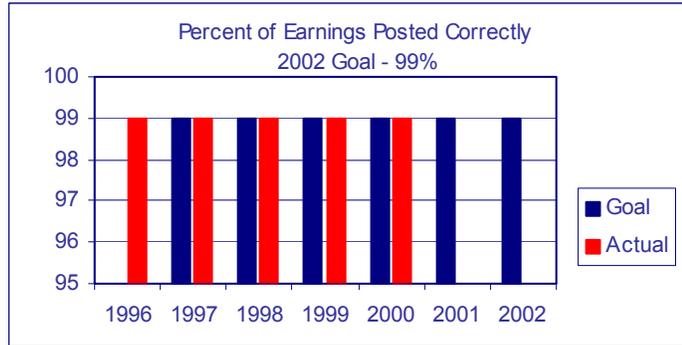
Data Source: Earnings Posted Overall Cross Total/Year to Date System (EPOXY)

Social Security FY 2002 Annual Performance Plan

Indicator: Percent of earnings posted correctly

FY 2002 Goal: 99%

Baseline Data: FY 2001 APP Goal 99% FY 2000 Actual 99% FY1999 Actual 99%



Definition: This rate represents the percent of earnings that SSA is able to post to individuals' records based on a match to a valid name/SSN. In addition, it reflects the results of a quality assurance review of the accuracy of earnings posted. The computation of this rate is the total earnings processed correctly to individuals' earnings records for a tax year divided by the total earnings reported to SSA for that tax year.

Data Source: Earnings Posted Overall Cross Total/Year to Date System (EPOXY) and a quality assurance review of the accuracy of posting received reports

Performance Goals, Means and Strategies

The following performance indicator is newly established under SSA's new Strategic Plan and is in effect for

FY 2002. It is also in the Revised Final FY 2001 Performance Plan.

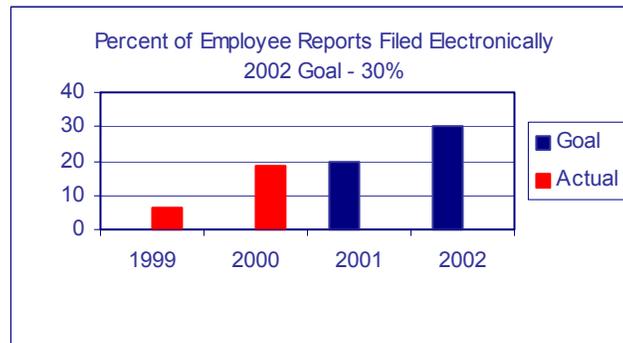
Indicator: Percent of employee reports (W-2s) filed electronically

FY 2002 Goal: 30%

Baseline Data: FY 2001 APP Goal
20%

FY 2000 Actual
18.4%

FY 1999 Actual
6.6%



Definition: The computation of this rate is the number of W-2s filed electronically and processed to completion for a tax year divided by the total number of W-2s for that tax year processed to completion by the end of the processing year (mid-January).

Data Source: Earnings Management Information Operational Data Store (EMODS) reports

Means and Strategies

SSA has made many improvements in the earnings process and has achieved excellent timeliness and accuracy in wage postings. A few problems remain, however, most significantly in the volume of wage reports posted to the Earnings Suspense File because SSA is unable to match the report to a valid name/SSN. SSA has developed a 5-year plan that will move the Agency toward more accurate earnings records, improved earnings products and services for employers, and a reduced Earnings Suspense File.

We have also formulated plans to improve the way earnings are established, corrected and adjusted. We are developing a more convenient way for wage data to be accessed by employers and employees, and improved coordination between SSA data files that contain information about employers, employees, and the wages associated with each. The plan provides the infrastructure support to prepare SSA's earnings systems to accommodate more electronic business.

SSA gives employers the option to transmit wage reports to us

electronically using a personal computer or high-speed data transmission lines. We received over 45 million W-2 forms electronically for Tax Year 1999. We will continue to pursue a number of avenues to increase employers' participation in our electronic filing efforts. We will continue our efforts to develop promotional materials, attend payroll and other conferences, and write articles for appropriate trade publications. We will make additional on-site visits to large payroll companies to get them to report electronically through dedicated lines. Our regional Employer Services Liaison Officers will continue their visits to employers promoting electronic filing. SSA has enhanced its technical support and systems reliability by establishing redundancy systems to assure no

downtime in the system. Our online technical instructions and systems functionality are improved and will support our efforts to increase the percentage of electronic filing.

An Internet capability to receive wage reports became available to the employer community in January 2001.

Additionally, a PKI approach using the GSA-Sponsored Access Certificates for Electronics Services program is scheduled to be tested in pilot in 2001.

The following are the Key Initiatives through which SSA will achieve this strategic objective:

- ❖ **Earnings Process Improvements**
- ❖ **Expand Electronic Wage Reporting**

Strategic Objective: Through 2005, maintain a level of outstanding debt that is either in a repayment agreement, under appeal, or newly detected.

Context

While SSA’s objective in managing the OASDI and SSI programs is to achieve the highest accuracy rate possible, it is inevitable that some debt will be created. Our stewardship responsibilities require that we recover as much of this debt as possible.

This new objective replaces the objective to increase debt collections by an established percent.

FY 2002 Performance Indicators and Goals

The software for this objective has been developed. Validation of the software is in process. Upon completion of the validation, we will begin collecting the baseline data. The indicators and initial annual goals will be finalized by January 2002.

Indicator: Outstanding OASDI debt in a repayment agreement, under appeal, or newly detected

FY 2002 Goal: TBD – pending development of a baseline

Definition: Through 2005, maintain a level of outstanding debt that is either in a repayment agreement, under appeal or newly detected.

Data Source: Data are extracted from the Recovery of Overpayments, Accounting and Reporting (ROAR) system and the Master Beneficiary Record (MBR). Data also may be extracted from the Recovery and Collection of Overpayment Process (RECOOP).

Indicator: Outstanding SSI debt in a repayment agreement, under appeal, or newly detected

FY 2002 Goal: TBD – pending development of a baseline

Definition: Through 2005, maintain a level of outstanding debt that is either in a repayment agreement, under appeal or newly detected.

Data Source: Data are extracted from the Supplemental Security Record (SSR). Data also may be extracted from the Recovery and Collection of Overpayment Process (RECOOP).

Strategic Objective: Aggressively deter, identify, and resolve fraud.

Context

In any benefits program, there is potential for deliberate acts of deception. In a broad sense, virtually all Agency efforts encompassed by SSA’s program integrity goal constitute elements of SSA’s strategy to combat fraud. While we have not found widespread fraud in our programs, any level of fraud is a source of concern. As we fulfill our role as stewards of the public trust, this targeted objective underscores SSA’s commitment to remain vigilant in our efforts to combat fraud.

FY 2002 Performance Indicators and Goals

Because it is extremely difficult to project the universe of fraud, we are unable to directly measure the desired outcomes—detection of all existing fraud and reduction in fraud overall. Consequently, the indicators for this objective focus on the outputs of our efforts to achieve improvements in deterring, identifying and resolving fraud. For example, our measure for the number of investigations conducted tracks cases closed in a year rather than cases opened; this is a better indicator of the effectiveness of our investigations.

Indicator: Number of investigations conducted (i.e., closed)

FY 2002 Goal: 8,000

Baseline Data:	FY 2001 APP Goal	FY 2000 Actual	FY 1999 Actual
	8,000	8,051	7,308



Definition: Investigations result from allegations that have sufficient information or potential risk to warrant further review or action by a criminal investigator. Investigations are counted as “conducted” when all OIG actions have been completed, i.e., the investigator has presented the facts of the case to a prosecutor or has determined that further action is not warranted due to lack of investigative leads.

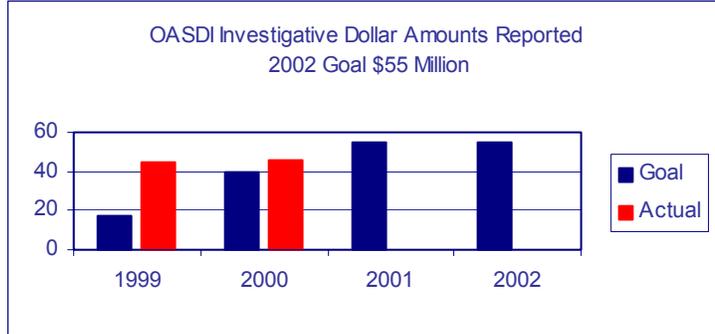
Data Source: Allegation and Case Investigative System (ACIS)

Performance Goals, Means and Strategies

Indicator: OASDI dollar amounts reported from investigative activities

FY 2002 Goal: \$55 million

Baseline Data: FY 2001 APP Goal \$55M FY 2000 Actual \$46M FY 1999 Actual \$45M



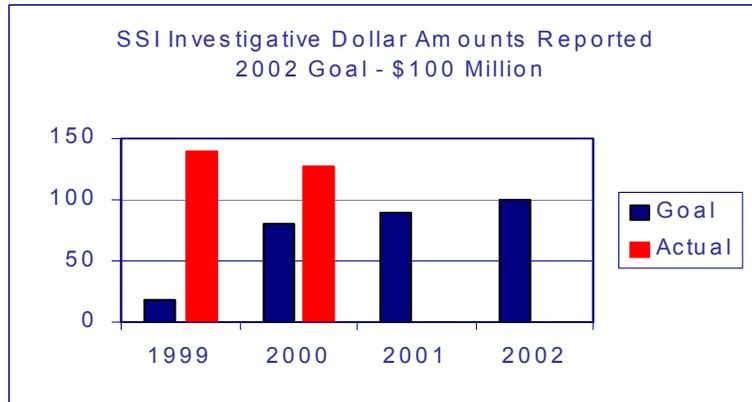
Definition: OASDI dollars from penalties, assessments, savings, recoveries and restitutions related to investigative activities, that are reported by OIG field divisions and included in the OIG semi-annual reports. Beginning in FY 1999, dollar amounts reported are segregated by program.

Data Source: Allegation and Case Investigative System (ACIS)

Indicator: SSI dollar amounts reported from investigative activities

FY 2002 Goal: \$100 million

Baseline Data: FY 2001 APP Goal \$90M FY 2000 Actual \$128 M FY 1999 Actual \$140M



Definition: SSI dollars from penalties, assessments, savings, recoveries and restitutions related to investigative activities, that are reported by OIG field divisions and included in the OIG semi-annual reports. Beginning in FY 1999, dollar amounts reported are segregated by program.

Data Source: Allegation and Case Investigative System (ACIS)

Deter, Identify and Resolve Fraud

- ❖ Collaboration with third parties to fraudulently obtain disability benefits; and
- ❖ Fraudulent claims of U.S. residency in order to receive benefits;

The Foster Care Independence Act of 1999, Public Law 106-069 includes provisions that authorize SSA to impose administrative sanctions in the form of periods of ineligibility for an individual who furnishes information that is material to eligibility or payment amount that the individual knew, or should have known was inaccurate.

The anti-fraud plan, including those efforts that address fraud in the SSI program, is being carried out through a single, integrated Key Initiative, Combating Fraud.

Crosscutting Areas with Other Agencies

SSA has established numerous standing data exchange relationships with other agencies to ensure the accuracy of payments under the Social Security programs. Our major partners in program management activities include the following:

Department of the Treasury--SSA provides earnings data on which Federal Insurance Contributions Act (FICA) and Self-Employment Contributions Act (SECA) taxes are due. SSA and Treasury also exchange data regarding enforcement, SSI income, and the Continuous Work History Sample. Treasury provides SSA with debt-collection services through the Treasury Offset Program.

SSA receives reports of self-employment income from IRS. IRS assigns employer

identification numbers (EIN), used by SSA in earnings processing; SSA assigns statistical codes to the EIN applications, which allows them to be used by SSA for policy research activities and by IRS for improving tax administration. SSA uses IRS data for enforcement matching.

The Secret Service assists SSA in check loss/fraud investigations.

Department of Health and Human Services (HHS) -- SSA and HCFA exchange data regarding Medicaid eligibility. HCFA provides data to SSA on nursing homes admissions. The Office of Child Support Enforcement (OCSE) provides data to SSA on wages, unemployment compensation and new hires.

Department of Labor (DOL) -- SSA uses information regarding workers' compensation to ensure the accuracy of disability benefit payments. SSA provides earnings data to the Bureau of Labor Statistics, which they use in calculating the Consumer Price Index for Urban Wage Earners and Clerical Workers (CPI-W). The CPI-W, in turn, is used to annually adjust benefits for beneficiaries of Social Security and other programs.

Department of Defense (DOD) -- SSA and DOD exchange data regarding military retirement.

Department of Education (ED) -- ED and SSA exchange data regarding student loans.

Department of Justice -- Immigration and Naturalization Service (INS) notifies SSA of deportations so that program

benefits can be suspended as appropriate. Bureau of Prisons provides information to SSA regarding incarcerated felons to help SSA ensure payment accuracy. U.S. Attorneys prosecute Social Security fraud and handle SSA civil suits for recovery of debts. The Systematic Alien Verification for Entitlements program provides non-citizen immigration status which SSA can use to determine benefit eligibility.

Department of State -- Foreign Service posts perform validation activities relating to Social Security beneficiaries living abroad.

Department of Veterans' Affairs (VA) -- SSA and VA exchange data regarding veterans' benefits.

Federal Court System -- The Federal courts handle recovery of court-ordered restitutions.

Office of Personnel Management (OPM) -- SSA and OPM exchange data regarding civil service retirement.

Railroad Retirement Board (RRB) -- SSA maintains earnings files on which RRB benefits are based; the Social Security and Medicare trust funds are parties to a financial interchange with the Railroad Retirement Fund.

Strategic Goal: To strengthen public understanding of Social Security programs

This goal addresses SSA's basic responsibility to the public to ensure that they understand the benefits of the Social Security programs. The FY 2002 budget requests \$113 million for efforts associated with this activity, including the issuance of 136 million

Social Security Statements as well as salaries and expenses of the Office of Communications for development, production and distribution of public educational products and associated external liaison activities.

- Strategic Objective: By 2005, nine out of ten Americans (adults age 18 and over) will be knowledgeable about the Social Security programs in three important areas:**
- ❖ **Basic program facts.**
 - ❖ **Value of Social Security programs.**
 - ❖ **Financing Social Security programs.**

Context

SSA's strategic objective is to ensure that 9 out of 10 Americans (age 18 and older) will be knowledgeable in the following three important areas of the Social Security programs:

- ❖ Basic program facts.
- ❖ Value of Social Security programs.
- ❖ Financing Social Security programs.

Social Security programs and to provide SSA with the means to track changes in public knowledge through the year 2005. SSA determined that the public's knowledge of Social Security programs was 55 percent, or 5.5 of 10 Americans.

SSA has established an FY 2002 performance goal that 75 percent, or 7.5 of 10 Americans (adults age 18 and over), will be knowledgeable as determined in the annual PUMS survey.

FY 2002 Performance Indicators and Goals

In FY 1999, SSA initiated the Public Understanding Measurement System (PUMS), designed to determine the baseline measure of public knowledge of

The other indicator under this objective relates to the dissemination of the Social Security Statement, a key tool for informing the public.

Strategic Goal: To be an employer that values and invests in each employee

This goal focuses on the Agency’s most important asset--the employees of SSA. The purpose of this goal is to ensure that SSA continues to have the diverse, highly skilled, high performing and highly motivated workforce that is necessary for us to achieve our mission. This goal strengthens our investment in human capital and implements real improvements in the way we manage and support our employees. It acknowledges the need for all employees to understand and value the culture of our organization. The goal addresses the “retirement wave” which will result in more than 3,000 employees per year leaving in the 2006-2012 period, and the explosive growth of workloads from the “baby boom” generation.

The following Objectives, some of which require OPM concurrence, support this Strategic Goal:

- ❖ To recruit, develop, and retain a diverse, well-qualified, and satisfied workforce with the capacity to perform effectively in a changing future environment. Specifically:
 - By 2005, offer flexible benefits and workplace options to all employees,
 - By 2005, restructure direct service positions to provide

operational flexibility and portability of work, and

- By 2002, partner with OPM to establish a process for accelerated advancement based on skills attainment and competency rather than time requirements.
- ❖ To provide the necessary tools, training and continuous learning opportunities to maintain a highly skilled and high-performing workforce. Specifically:
 - By 2005, provide online training electronically at the desktop to all employees,
 - By 2005, have 1/3 of all employees participating in job enrichment opportunities during each year, and
 - By 2005 provide all employees the necessary competency-based training needed to maintain technical skills each year.
- ❖ To provide a physical environment that promotes the health and well-being of every employee.
- ❖ To promote an Agency culture that successfully incorporates our values. Specifically:
 - By 2005, attain a 50 percent improvement in the gap between the “current” and “desired” workplace practices and values.

Valued Employee

Strategic Objective:

To recruit, develop, and retain a diverse, well qualified, and satisfied workforce with the capacity to perform effectively in a changing future environment. Specifically:

- ❖ By 2005, offer flexible benefits and workplace options to all employees.**
- ❖ By 2005, restructure direct service positions to provide operational flexibility and portability of work.**
- ❖ By 2002, partner with OPM to establish a process for accelerated advancement based on skills attainment and competency rather than time requirements.**

Context

A critical challenge that SSA will face over the coming years is the “retirement wave.” As large numbers of experienced employees start to retire, SSA must prepare to replace these losses. Our estimates show that retirements will peak in 2007-2009, at the same time SSA will face explosive growth in workloads as the “baby boom” generation ages. Tightening job markets will make it more difficult to attract and retain new, talented employees; particularly in the information systems and other highly technical fields. Flexible benefits and workplace options, in addition to a competitive salary schedule, will be critical for attracting and keeping excellent employees. SSA must become an employer of choice in this environment.

Our classification concepts must change to keep pace with this dramatically changing work setting. Traditional positions may become obsolete in an environment where teams and automation are the norms for doing business. SSA is taking a number of actions in FY 2002 to address these challenges.

FY 2002 Performance Indicators and Goals

Effective FY 2002, the following new indicators will measure our progress in implementing major initiatives that support this objective. For the first two indicators, specific FY 2002 targets are being developed.

Indicator: Percent of employees who are satisfied or very satisfied with SSA as a place to work

FY 2002 Goal: TBD—Goal will be established after initial SSA-wide employee survey provides a baseline.

Baseline Data:	FY 2001 APP Goal	FY 2000 Actual	FY 1999 Actual
	N/A	N/A	N/A

Definition: Results of an employee survey will determine the perception employees have of SSA as an employer of choice. The computation of the rate, or percentage of satisfaction, is the number of employees who rate SSA on various dimensions as a satisfactory or very satisfactory place to work, divided by the number of employees responding.

Data Source: Market Measurement Program (MMP) Employee Survey. The MMP Pilot Employee Survey is being done in FY 2001. Assuming the pilot is successful, the full-scale MMP Employee Survey will be done in FY 2002. Its results will be used as a baseline and should be available in FY 2002.

Indicator: Percent of new hires who leave SSA within 5 years

FY 2002 Goal: TBD—Goal to decrease SSA’s attrition rate will be established after initial SSA study provides a baseline.

Baseline Data:	FY 2001 APP Goal	FY 2000 Actual	FY 1999 Actual
	N/A	N/A	N/A

Definition: The rate is the number of employees who were hired in a specific year and then left SSA within 5 years, divided by the number of employees who were hired during that same year. The rate is computed for each year’s cohort of hires.

Data Source: Human Resources Management Information System. The study will begin in FY 2001. It will entail tracking new hires and surveying those who leave during the first 5 years. The study will be completed in FY 2006, and numerical targets can be established at that time.

Indicator: Continue to implement the SSA Future Workforce Plan

FY 2002 Goal: Implement actions by target dates specified in the Agency’s Future Workforce Plan.

Baseline Data:	FY 2001 APP Goal	FY 2000 Actual	FY 1999 Actual
	N/A	N/A	N/A

Definition: The SSA Future Workforce Plan contains milestones with target dates for accomplishing the actions necessary to meet the Agency’s future workforce.

Data Source: Office of Human Resources Quarterly Tracking Report on Future Workforce Plan.

MEANS AND STRATEGIES

To achieve this objective, the following major activities are planned or underway.

Future Workforce Transition Plan: Our Future Workforce Transition Plan will help us acquire the workforce we need for the future, through recruitment of new employees and training of current employees. SSA has collected baseline information on employee and Agency needs both now and into the future. Gaps have been analyzed and actions planned. Strategies have been developed and are being implemented. In addition to issuing the initial Future Workforce Transition Plan, we have already: 1) developed a strategy for hiring underrepresented groups, 2) begun implementation of joint union/management recommendations on family friendly workplace issues, 3) issued a report on the needs of our employees with disabilities and convened an ongoing team to enhance services to them, 4) issued a Retirement Wave Study Report, 5) and issued a management/union report that identifies barriers to our “One Agency Concept” and suggests solutions.

During 2001 and 2002, we will 1) conduct and evaluate employee satisfaction surveys, 2) continue to develop, deliver and evaluate training for employees with disabilities, 3) and annually update the Future Workforce Transition Plan.

Between 2001-2004, we will implement emerging technologies for training delivery improvements, including Internet training, Intranet courses, closed captioning, collaborative database,

Interactive Video Teletraining (IVT), and stored source video.

Flattening the “retirement wave”: We will continue our efforts to flatten the “retirement wave” through early retirement programs when appropriate. Replacing staff will be critical to having an experienced workforce in place when the massive “baby boomer” workloads hit.

Replacement hiring: We will work to ensure that administrative and resource capacity is in place to permit replacement hiring in advance of losses, allowing new employees to receive the necessary training and mentoring from the more experienced employees immediately after entering on duty.

Ensuring that institutional knowledge is preserved: SSA is taking action now to make sure that institutional knowledge is not lost when our current employees retire. We are encouraging managers to make selections for positions, on a case-by-case basis, before the present incumbents leave. This way, replacements can function as understudies for a period of time. We are developing expert systems with technology that will hold this knowledge for employees to access from anywhere in the Agency.

Competency-Based Human Resource Tools: SSA is identifying core competencies and pilot testing a tool to assess training needs. Information is being gathered to determine what competencies should be used for selecting new employees. During 2001,

we will develop a contractor statement of work and construct models and assessment tools by job type. During 2002, we will pilot and train employees to use the competency tools, and begin the evaluation of competency use.

Reevaluating old positions and developing new positions at SSA: We are beginning the analyses necessary to upgrade a number of positions at SSA. We are currently developing broadly described, model position descriptions for senior technical experts to acknowledge the value of such skills in the organization and to assist in recruiting for hard-to-fill positions. We have delegated authority to SSA components to determine the number of allocations for non-supervisory positions at GS-14 and below. We are expanding use of the certification process for recognizing the unique expertise and impact of the person in the job.

Integrated Human Resources System: This project will provide SSA with integrated, automated support for all human resources workloads. It will support Recruitment, Training, Labor Management Relations, Employee Benefits and Services, and other processes. During 2002, we will implement additional system releases.

Analyzing the strategies from our long-range vision: During 2001 and 2002, SSA will be analyzing the strategies contained in our long-range service vision. Work is underway to identify process changes and supportive activities for some of the strategies listed below:

- Using innovative recruitment techniques.
- Creating new strategies for recruiting

- and retaining personnel with highly specialized skills.
- Establishing hiring competencies and an assessment interview process.
- Working with the Office of Personnel Management to simplify and improve the hiring process.
- Hiring SSA retirees on a part-time basis to help us train and mentor the large number of new employees we must hire.
- Actively collaborate with our State agency partners on human resource strategies.
- Identify competencies and levels of performance for all positions, including the new restructured direct service positions.
- Take full advantage of personnel flexibilities available for accelerated advancement based on individual employees' skill attainment, application and supervisory certification of skills and competencies, rather than time requirements.
- Collect and use information on employee satisfaction to make visible improvements that are meaningful to employees.
- Expand family-friendly features, such as flexible work schedules, flexiplace options, childcare, elder care and fitness centers, to help us attract and retain employees.
- Enable employees to assess their skills and knowledge levels and take the training they have identified as needed.

Appendix 5 includes additional information on the following Key Initiatives that support this objective:

- ❖ **Competency-Based Human Resources Tools**
- ❖ **Diverse Workforce Transition Plan**
- ❖ **Integrated Human Resource System**

Strategic Objective:

To provide the necessary tools, training and continuous learning opportunities to maintain a highly skilled and high-performing workforce. Specifically:

- ❖ By 2005, provide online training electronically at the desktop to all employees.
- ❖ By 2005, have 1/3 of all employees participating in job enrichment opportunities during each year.
- ❖ By 2005, provide all employees the necessary competency-based training needed to maintain technical skills each year.

Context

This objective recognizes that highly skilled, well-trained and widely experienced employees are key to achieving our strategic goals and objectives. In addition to hiring employees with the right skills and knowledge, we must provide the right training so that they can perform to their highest potential. We also need to provide job enrichment opportunities so they have a wide view of our Agency that will support our “one Agency” concept. The “retirement wave”, the “baby boom” workloads, and the incredible pace of technological change will place a great burden on our efforts

to maintain a highly skilled and high-performing workforce.

FY 2002 Performance Indicators and Goals

Success in achieving this objective will result in the skilled and knowledgeable employees SSA needs to achieve all of our strategic goals. The following indicators measure our progress in implementing major initiatives that support this objective. All indicators are in effect beginning FY 2002, with the exception of the IVT indicator which is effective FY 2001.

Indicator: Develop, test and implement desktop video nationally

FY 2002 Goal: Develop, test, and implement a prototype desktop video to 25 offices

Baseline Data:	FY 2001 APP Goal N/A	FY 2000 Actual N/A	FY 1999 Actual N/A
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Definition: We will meet this goal if we successfully develop, test and implement a prototype for video before desktop video can be implemented nationally.

Data Source: Office of Training records

Indicator: Percent of offices with direct access to Interactive Video Teletraining (IVT)

FY 2002 Goal: 80%

Baseline Data:	FY 2001 APP Goal 67%	FY 2000 Actual N/A	FY 1999 Actual N/A
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Definition: This goal for equipping SSA's offices with IVT has been redefined effective FY 2001. The old goal limited access to IVT to offices within a 30 minute commute. The new indicator is to transmit IVT directly to each office. Employees will receive the training they need without having to travel to other locations. The net result will be that individual offices will accelerate their ability to address growing individual training needs while concurrently meeting increased workload demands.

Data Source: Office of Training records

Indicator: Number of job enrichment opportunities in formal management development programs

FY 2002 Goal: Double the number of existing (FY 2000) openings for job enrichment opportunities in the national Advanced Leadership and Leadership Development Programs, i.e., ALP and LDP.

Baseline Data:	FY 2001 APP Goal N/A	FY 2000 Actual N/A	FY 1999 Actual N/A
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Definition: The FY 2001 goal focused on ensuring that SSA implemented formal management development programs. The FY 2002 goal is to double the number of opportunities that these programs previously provided.

Data Source: Office of Training records

Indicator: Percent of competencies defined for technical training

FY 2002 Goal: 100%

Baseline Data:	FY 2001 APP Goal N/A	FY 2000 Actual N/A	FY 1999 Actual N/A
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Definition: This goal represents a major milestone in SSA's providing all employees with the necessary competency-based training needed to maintain technical skills each year. SSA must face the major challenge of fully establishing what competencies are critical to foster in its employees. SSA must make the most of its workforce's potential so that it can be more knowledgeable, more adaptable, and better able to meet unprecedented workload demands.

Data Source: Office of Training records

MEANS AND STRATEGIES

To achieve this objective, the following major activities are planned or underway:

Comprehensive skills assessment tool: SSA must be able to maintain a highly-skilled and high-performing workforce that can provide the nation with efficient and courteous service. SSA is piloting a comprehensive skills' assessment tool that employees will be able to use to assess their current level of proficiency against core competencies. The tool will also provide our employees with personalized profiles of their training needs and information about what training resources are available to help reinforce the proficiency levels of their competencies. In 2001, we will complete the development and construction of competency models by job type. In 2002, we will pilot and train employees in the uses of the competency tools.

Enabling technology: SSA's employees must adapt quickly to policy and systems changes, perform a wider variety of functions and master new technologies. At the same time, workload demands minimize the time they have available to spend in a learning environment away from the work site. To address this, SSA will improve its ability to provide training by expanding the number of offices with Interactive Video Teletraining (IVT). SSA will also continue to examine and implement alternative technological approaches, such as Internet training, Intranet courses, closed captioning, collaborative database, and stored source video.

National career and leadership development programs: The major strategy for these training programs is to transform SSA into a learning organization.

- ❖ SSA will create a continuous approach to leadership development for all managers, putting in place a leadership development curriculum around accepted core competencies.
- ❖ SSA has staff development plans in place in each region and each major staff organization.
- ❖ We will double participation in our formal programs. These programs are part of SSA's succession planning.
 - The Senior Executive Service Candidate Development Program.
 - The Advanced Leadership Program.
 - The Leadership Development Program.
 - The Presidential Management Intern Program.
- ❖ We will continue to expand opportunities with the goal of having one-third of all employees participating in a job enrichment experience each year.

Enhanced disability program training: This program improves all facets of disability training for disability adjudicators by using modern teaching media. This training initiative encompasses the full expanse of educational and skill needs of disability adjudicators.

Analyzing the strategies from our long-range vision: During 2001 and 2002, SSA will be analyzing the strategies contained in our long-range service vision. Work is underway to identify process changes and supportive activities to develop a comprehensive national training strategy and develop sophisticated expert and decision support systems.

Appendix 5 includes additional information on the following Key Initiatives that support this objective:

- ❖ **Diverse Workforce Transition Plan.**
- ❖ **Competency-Based Human Resource Tools.**
- ❖ **Enhanced Disability Program Training.**
- ❖ **Integrated Human Resources System (IHRS).**
- ❖ **Interactive Video Training (IVT).**
- ❖ **Leadership Training/Career Development.**

Strategic Objective: To provide a physical environment that promotes the health and well-being of every employee.

Context

This objective continues SSA’s commitment to create a safe, secure, and professional environment for our employees. Our employees will be most productive, healthy and happy if they are in an environment with which they are satisfied.

FY 2002 Performance Indicators and Goals

The ultimate measures of success for this objective are the attainment of our other strategic goals. The following new indicator measures our progress in implementing major initiatives that support this objective.

Indicator: Percent of employees who are satisfied with overall physical environment, i.e., it is professional, accessible, safe, and secure

FY 2002 Goal: TBD – Goal to be set once the baseline is established from new survey.

Baseline Data:	FY 2001 APP Goal N/A	FY 2000 Actual N/A	FY 1999 Actual N/A
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Definition: Results of an employee survey will determine the level of satisfaction employees have with their overall physical environment.

Data Source: Market Measurement Employee Survey

MEANS AND STRATEGIES

To achieve this objective, the following major activities are planned or underway:

SSA is continually striving to improve the work environment and guarantee the security of employees as well as clients and visitors in every SSA facility. For example, in response to growing workplace violence that has heightened concerns for the security of employees in public contact jobs, SSA has invested heavily to enhance security nationwide. We have also expanded existing

programs to improve the quality of the environment for offices nationwide over the last several years. The Agency will continue to enhance ongoing programs, both for assessing and addressing security requirements and for identifying and resolving existing and potential environmental health and safety problems.

Air, water quality and asbestos surveys and timely remediation: SSA will continue these surveys and complete timely remediation. Indoor air quality

surveys are conducted in 20 percent of all SSA facilities each fiscal year, with 75 percent of all required corrective actions identified in the comprehensive surveys being completed. A number of SSA field offices will receive water sampling each year and remediation will be completed in 100 percent of offices identified with contaminants.

Environmental health and safety comprehensive assessments:

Environmental health and safety comprehensive assessments have been implemented. Assessments will continue to be conducted at SSA facilities nationwide.

CPR training and provision of supplies:

CPR training and supplies are provided for employee volunteers at SSA facilities nationwide.

Security evaluations: We will continue to survey offices, including those that relocate, and implement SSA-accepted security recommendations.

Employee survey: An employee survey has been conducted biennially to assess employee satisfaction with the security of their offices.

Space modernization and improvements:

Our space modernization plan includes major renovations at SSA Headquarters, renovations to field offices and hearing offices nationwide, and upgrades to our larger facilities, e.g., Teleservice Centers and Program Service Centers. In 2001, we will complete systems furniture design and site preparation specifications for all field offices and hearing offices. We

will complete renovations to the Headquarters Annex Building and Metro West Building. The following projects are underway or planned for 2002:

- Complete construction and occupy the new Headquarters Child Care Center.
- Complete the Metro West Building exterior replacement.
- Start the Phase II renovations of the Operations Building at Headquarters.

Analyzing the strategies from our long-range vision:

During 2001 and 2002, SSA will adopt a Market Measurement Survey and use direct approaches to employees to gain information on their reactions to their workplaces as supportive office environments. Other strategies that relate to this indicator are:

- Continue to pay special attention to completing and maintaining security, air quality and water quality improvements in all of our work sites.
- Expand and monitor security standards to include non-SSA locations where employees will be working (e.g., telecommunication centers, community centers, community service agencies, etc.).

The above activities are carried out in the following Key Initiatives, which are described in Appendix 5:

- ❖ **Enhance Environmental Health in the Workplace.**
- ❖ **Enhance Physical Security in the Workplace.**
- ❖ **Space Modernization and Improvements.**

Strategic Objective:

To promote an Agency culture that successfully incorporates our values. Specifically:

- ❖ **By 2005, attain a 50 percent improvement in the gap between the “current” and “desired” workplace practices and values.**

Context

This objective recognizes that our organizational culture is key to achieving our strategic goals and objectives. Research shows that ignoring an organization’s culture can derail implementation of new strategies. We need to determine how our current culture must change in order to:

- Better support our values,
- Improve customer service,
- Attract and retain satisfied, well, and productive employees,
- Adapt to the cultural and technological change of the new century,
- Support our organizations new strategies and processes, and
- Increase our productivity.

FY 2002 Performance Indicators and Goals

In FY 1999, SSA conducted an employee survey and benchmark analysis about our current culture. Since then, we have completed a gap analysis and study which will lead to the creation of a change strategy. SSA formed an Organizational Culture Workgroup which reviewed all the information and completed its report in the fall of 2000. Once the change strategy is approved and implementation begins, we can begin to measure improvement in the gap between the “current” and “desired” workplace practices and values. Our new performance indicator reflects the successful completion of these activities.

Indicator: Percent improvement in the gap between “current” and “desired” workplace practices and values (as measured by SSA’s triennial culture survey)

FY 2002 Goal: TBD

Baseline Data:	FY 2001 APP Goal N/A	FY 2000 Actual N/A	FY 1999 Actual N/A
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Definition: SSA will achieve a 50% improvement in the gap between “current” and “desired” workplace practices and values as identified in the Agency’s change strategy by September 2005. “Gap” is the difference between the desired presence of a workplace attribute and the perceived presence of it in the current workplace as reported in the Organizational Culture Report.

Data Source: Triennial Culture Survey

Indicator: Implementation of activities to close gap and measure improvement

FY 2002 Goal: TBD

Baseline Data:	FY 2001 APP Goal N/A	FY 2000 Actual N/A	FY 1999 Actual N/A
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Definition: We will consider these goals to be met if: TBD once decisions are made on specific activities to be implemented.

Data Source: TBD

Agency Culture

MEANS AND STRATEGIES

The Organizational Culture Workgroup recommended actions for addressing the areas with the largest gaps between SSA’s Current culture and what the employees think it should be. SSA will initiate milestone developments once the workgroup recommendations are approved.

SSA plans to achieve the 50 percent improvement in the gap by September 30, 2005. We will measure the progress towards this goal through a

follow-up culture survey of employees in FYs 2002-2003.

The above activities are carried out in the following Key Initiatives, which are described in Appendix 5:

- ❖ **Create Strategy to Instill Values.**

Legislation and Regulations

Legislative change would be necessary to implement flexible benefits. Regulatory change would be necessary to eliminate the time-in grade requirements.

Strategic Goal: To strengthen public understanding of Social Security programs

This goal addresses SSA's basic responsibility to the public to ensure that they understand the benefits of the Social Security programs. The FY 2002 budget requests \$113 million for efforts associated with this activity, including the issuance of 136 million

Social Security Statements as well as salaries and expenses of the Office of Communications for development, production and distribution of public educational products and associated external liaison activities.

- Strategic Objective: By 2005, nine out of ten Americans (adults age 18 and over) will be knowledgeable about the Social Security programs in three important areas:**
- ❖ **Basic program facts.**
 - ❖ **Value of Social Security programs.**
 - ❖ **Financing Social Security programs.**

Context

SSA's strategic objective is to ensure that 9 out of 10 Americans (age 18 and older) will be knowledgeable in the following three important areas of the Social Security programs:

- ❖ Basic program facts.
- ❖ Value of Social Security programs.
- ❖ Financing Social Security programs.

Social Security programs and to provide SSA with the means to track changes in public knowledge through the year 2005. SSA determined that the public's knowledge of Social Security programs was 55 percent, or 5.5 of 10 Americans.

SSA has established an FY 2002 performance goal that 75 percent, or 7.5 of 10 Americans (adults age 18 and over), will be knowledgeable as determined in the annual PUMS survey.

FY 2002 Performance Indicators and Goals

In FY 1999, SSA initiated the Public Understanding Measurement System (PUMS), designed to determine the baseline measure of public knowledge of

The other indicator under this objective relates to the dissemination of the Social Security Statement, a key tool for informing the public.

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Means and Strategies

To achieve this objective, the following major activities are planned:

Public Understanding Measurement System (PUMS): Through its annual PUMS survey, SSA tracks its progress in achieving the performance objective.

Move the Needle Study: SSA will also conduct quarterly surveys to determine what communication activities are most effective in helping increase public knowledge of Social Security.

Educate the Public about Social Security: SSA developed public education products and strategies designed to strengthen public understanding as well as the associated public presentations and other liaison activities with national organizations. We will strengthen community-based products and delivery systems to get our message across to unique customer groups. Additionally, we will increasingly use electronic means such as “Social Security E-news” to reach a large segment of the public, including younger workers.

Together with public interest and advocacy groups, we will seek out hard-to-reach segments of the population.

A major activity under this initiative involves the Social Security Statement (formerly the Personal Earnings and Benefit Estimate Statement (PEBES), a report of the life-long earnings record of each worker covered by Social Security. In FY 2000, SSA began issuing Statements to all eligible workers age 25 and over for whom we can obtain a mailing address from the IRS. In

FY 2002, we will continue with a major public education campaign to let people know they will be getting the Statement and how the information can help them plan their own financial future.

The annual PUMS Survey will help track customer satisfaction with the clarity and effectiveness of the Statement in raising public knowledge of Social Security programs.

Ambassadors Program: SSA recognizes that its greatest strength lies in the knowledge and skills of its employees and that every SSA employee is an “ambassador” for the Social Security programs. In FY 2002, SSA will continue its Ambassador program, stressing the value of the Social Security Statement and disseminating the PUMS survey results. Additionally, we will continue to train new field office managers and public affairs specialists in basic communications skills and conduct our Annual National Public Affairs training for all SSA public affairs specialists. We have folded the Ambassadors Program into our Educate the Public key initiative to assure consistency of our internal (employee) and external (public) education programs.

Analyzing the strategies from our long-range service vision: During 2001 and 2002, SSA will be analyzing the strategies contained in our long-range service vision to identify process changes and supportive activities to further implement these strategies.

Some of the above activities are included in the following Key Initiative shown in Appendix 5:

- ❖ **Strengthening Public Understanding of the Social Security Programs**

VI. Verification and Validation

General Discussion

SSA is committed to ensuring that those who use our reported performance information to make decisions can do so with the assurance that our data are valid and reliable. To accomplish this, we continuously improve the clarity and credibility of our intended and actual performance in mission-critical areas through effective, internal SSA management and by being responsive to insights provided by stakeholders such as the General Accounting Office and SSA's Inspector General.

Annual Performance Plan

The Annual Performance Plan is the principal GPRA document for describing how an agency verifies and validates performance data that it collects and reports. Section V of SSA's FY 2002 Annual Performance Plan, "Performance Goals, Means and Strategies", includes a detailed definition of each of the plan's performance measures as well as the data source used to measure performance. For those indicators for which SSA cannot define performance goals in an objective, quantifiable form, descriptive statements are provided on how we will consider the goal to have been achieved.

SSA Data Integrity Systems and Controls

Performance data for the plan's quantifiable measures, including the budgeted output measures, are generated by automated management information

and workload measurement systems as a byproduct of routine operations.

The performance level for several indicators relating to the accuracy of our processes and public satisfaction comes from surveys and workload samples designed to achieve very high levels (usually 95 percent confidence level) of statistical validity. The Office of Quality Assurance and Performance Assessment (OQAPA) reviews a stratified sample of recently completed actions and of ongoing entitlement rolls to determine the accuracy of SSA payments and service transactions.

To help ensure the integrity of management information (MI) data, SSA implemented a Management Information Integrity Monitoring (MIIM) team in February 1998. The MIIM team serves as the clearinghouse for resolving allegations of inappropriate practices affecting MI. Line managers and staff throughout the Agency also review MI data regularly to identify anomalies and correct reporting problems.

Program Performance Report

SSA's annual Performance and Accountability Report has been, and continues to be, the vehicle used to report on SSA's key goals and performance measures as well as the Agency's progress in meeting its GPRA goals.

SSA's FY 2000 Performance and Accountability Report describes our comprehensive program of conducting reviews of management and security

controls in both SSA's administrative and programmatic processes and in accounting controls in financial management systems. Also discussed are the results of the audit of the FY 2000 financial statements and internal controls by PricewaterhouseCoopers, the independent accounting firm. Such reviews and assessments assure that our systems are secure and not vulnerable to manipulation by intruders, and confirm SSA's confidence in the reliability of its performance data.

Role of the Inspector General

The Office of the Inspector General (OIG) plays a key role in assuring that the data systems used by SSA to measure performance are reliable. The OIG evaluates the processes and systems being used to measure progress in each of the measured areas, so as to assure that they provide reasonable assessments of performance. In FY 1999, the OIG surveyed the existence of sources of information for the 68 performance measures (i.e., indicators) appearing in SSA's FY 1999 APP, and found that SSA has methods to collect data for all indicators. In FY 2000, the OIG reviewed performance measures in SSA's FY 1999 Annual Performance Report and FY 2001 Annual Performance Plan. In FY 2001, the OIG intends to review performance measures in SSA's FY 2000 Annual Performance Report and FY 2002 Annual Performance Plan.

The OIG's report of its review of SSA's FY 2000 Annual Performance Plan stated that "SSA's FY 2000 APP demonstrates a commitment and improvement in SSA's efforts to comply with GPRA and meet congressional

expectations for information about SSA's performance goals." OIG further recommended that SSA continue to "disclose known data limitations and weaknesses and planned corrective actions". SSA agreed in principle with this recommendation.

As the OIG reports its performance measures audit findings to SSA, we are taking appropriate action to correct any reported deficiencies. These actions may include disclosure of data gaps, changes in performance measures, improvements to or additions of data collection systems, or some combination thereof.

For example, the OIG identified two deficiencies with regard to the data used to measure the accuracy of Social Security number card processing and the accuracy and timeliness of earnings posted to individuals' records by September 30. In response, our Revised Final FY 2000 APP and FY 2001 APP corrected the definition of the former indicator and clarified that self-employment earnings are not included in the latter measure. In response to an OIG finding of a weakness in the system SSA uses to measure SSI debt management, we implemented a new software release that improves control over SSI debts and collections, and results in SSA having more and better information to accurately measure SSI debt management. In response to an OIG audit of the data used to measure the timeliness of processing SSI disability claims, SSA agreed to make and/or monitor the effects of, systems changes to correct reported conditions and to improve procedures related to data retention. Most recently, SSA agreed to maintain 3 years of data to support individuals selectable for a Continuing

Disability Review (CDR), and SSA also developed a new indicator to monitor progress on eliminating the CDR backlog.

The OIG uses a four-point approach to reviewing SSA's performance measures:

1. Assess SSA's system capacity to produce performance data;
2. Assess whether reported performance measure data is valid;
3. Ensure that SSA has the appropriate measures to indicate vitality of its programs; and
4. Ensure that the performance measures fully capture the program segments that they are intended to capture.

In its designation of "GPRA" as a major management challenge facing SSA, the OIG recommended that SSA include more information on "budgeted output measures" in its APP. Accordingly, beginning with this plan, we have added the definitions and data sources of each output measure as well as historical performance.

General Accounting Office Reviews

In its July 1999 report on its review of SSA's FY 2000 APP, the General Accounting Office (GAO) found that the plan "provides general confidence that agency performance information will be credible." The GAO noted that SSA's annual Accountability Report provides additional assurances of credibility in its discussion of systems reviews that are routinely performed by independent contractors as well as SSA's actions to respond to their recommendations. In its July 20, 2000 report, "Observations on

the Social Security Administration's Fiscal Year 1999 Performance Report and Fiscal Year 2001 Annual Performance Plan," the GAO stated that "the FY 2001 plan provides a clear picture of intended performance, and its goals and measures are succinct and concrete". It stated that the FY 2001 plan addresses some key weaknesses identified by the GAO in earlier plans and urged SSA to "diligently continue its efforts to ensure the credibility of its performance data ... and to improve its workload measurement and quality assurance systems." In its letter transmitting the report to Congress, the GAO acknowledged SSA's commitment to "duly consider our suggestions, especially those regarding potential improvements to performance measures".

Coordinated Agency Evaluation Plan

Each fiscal year, SSA develops a coordinated Agency evaluation plan. Agency components involved in evaluation, including the OIG, conduct a joint review of evaluation workplans to assure an appropriate match between planned evaluation activities and Agency priorities, identify and address any gaps in needed information and eliminate any overlap or duplication.

SSA's Strategic Plan, *Mastering the Challenge*, describes SSA's program evaluation plan for each of the Agency's five Strategic Goals and provides a description and schedule for major program evaluations planned for the 2001-2005 period. Additional information on the Agency Evaluation Plan is provided in Appendix 6 of this APP.

VII. Summary of SSI Program Management Improvement Goals

Successful management of the SSI program depends on the Agency's ability to properly administer the public funds that are entrusted to its care. SSA is committed to managing the SSI program as efficiently and accurately as possible. To that end, SSA is taking significant measures to strengthen the integrity of the SSI program. These measures include improving SSI payment accuracy, continuing to carry out and then build upon our aggressive 7-year

plan of CDRs, improving debt collection and combating SSI program fraud. The following table presents a holistic view, which cuts across all relevant strategic objectives, of the Agency's performance goals related to improving SSI program management. The means and strategies for achieving these performance goals are discussed under the relevant strategic objectives in Section V.

Objective: Promote policy changes, based on research, evaluation and analysis, that shape the SSI program in a manner that protects vulnerable populations, anticipates the evolving needs of SSI populations, and integrates SSI benefits with other social benefit programs to provide a safety net for aged, blind, and disabled individuals.

Performance Indicator	FY 2002 Goal
<ul style="list-style-type: none"> • Identification, development, and utilization of appropriate barometer measures for assessing the effectiveness of the SSI program. • Preparation of a report and completion of data collection on the National Survey of SSI Children and Families in order to assess the impact of welfare reform, identify areas of potential policy change, and develop options as appropriate. 	<ul style="list-style-type: none"> • Update barometer measures and prepare analysis. • Prepare data files for analysis.

Summary of SSI Program Management Improvement Goals

Objective: Maintain the accuracy, timeliness, and efficiency of service to customers applying for OASI and SSI aged benefits. Specifically by 2005:

- ❖ *Have the capacity to take and process 99% of OASI and SSI aged claims in a paperless environment.*

Performance Indicator	FY 2002 Goal
<ul style="list-style-type: none"> • Percent of SSI aged claims processed by the time the first regular payment is due or within 14 days from effective filing date. • Implement activities necessary to have the software and infrastructure in place for paperless processing. 	<ul style="list-style-type: none"> • 66% • Implement Phase 2 of Attorney Fee/Windfall Offset project. Begin analysis of additional windfall offset enhancements requested by the users.

Objective: Improve the accuracy, timeliness and efficiency of service to customers applying for DI and SSI disability benefits. Specifically by 2005:

- ❖ *Increase accuracy rate to 95% for denials of disability benefits.*
- ❖ *Maintain the accuracy of initial disability claims decisions to allow benefits at 96.5%.*
- ❖ *Issue initial disability claims decisions in an average of 105 days, with at least 70% issued within 120 days.*
- ❖ *Have the capacity to take 99% of disability claims in an electronic environment.*

Performance Indicator	FY 2002 Goal
<ul style="list-style-type: none"> • Percent of initial disability claims decisions issued within 120 days. • Initial disability claims average processing time (days). • DDS allowance performance accuracy rate. • DDS denial performance accuracy rate. • Implement activities necessary to have the software and infrastructure in place for electronic processing of disability claims. 	<ul style="list-style-type: none"> • TBD • 120 days • 96.5% • 93.5% • Begin developing standards for hardware and software interface with other DDS systems.

Social Security FY 2002 Annual Performance Plan

<i>Objective: By 2005, increase by 100% from 1999 levels the number of SSDI and of SSI disability beneficiaries who achieve steady employment and no longer receive cash benefits</i>	
Performance Indicator	FY 2002 Goal
<ul style="list-style-type: none"> Percent increase in the number of SSI disabled beneficiaries, aged 18-64, whose payments are reduced because of work (i.e., participating in 1619(a) status) Activities to implement provisions of the TWSSP and other employment strategies 	<ul style="list-style-type: none"> 5% increase Distribute Tickets to beneficiaries in Phase 2 States Expand the number of Employment Support Representatives
<i>Objective: By 2005, raise to 96 percent the accuracy based on non-medical factors of eligibility of SSI disabled and aged payment outlays.</i>	
Performance Indicator	FY 2002 Goal
<ul style="list-style-type: none"> Percent of SSI payment outlays “free” of overpayments and underpayments (based on non-medical factors of eligibility) 	<ul style="list-style-type: none"> 94.7% OPs 98.8% UPs
<i>Objective: Become current with DI and SSI CDR requirements by 2000 and 2002 respectively, and remain current thereafter.</i>	
Performance Indicator	FY 2002 Goal
<ul style="list-style-type: none"> Percent of multi-year CDR plan completed through FY 2002 	<ul style="list-style-type: none"> 100%
<i>Objective: Aggressively deter, identify and resolve fraud.</i>	
Performance Indicator	FY 2002 Goal
<ul style="list-style-type: none"> SSI dollar amounts reported from investigative activities. 	<ul style="list-style-type: none"> \$100 million
<i>Objective: Through 2005, maintain a level of outstanding debt that is either in a repayment agreement, under appeal or newly detected.</i>	
Performance Indicator	FY 2002 Goal
<ul style="list-style-type: none"> Outstanding SSI debt in a repayment agreement, under appeal, or newly detected. 	<ul style="list-style-type: none"> TBD

VIII. Summary of Management Improvement Goals for Social Security and Supplemental Security Income Disability Programs

SSA has a comprehensive strategy to improve the management of the disability programs for our beneficiaries by addressing longstanding issues of improved administrative efficiency and greater consistency in our decisionmaking processes. We also will provide equal emphasis to safeguarding the integrity of the programs, improving return-to-work opportunities for people with disabilities, and increasing our understanding

of disability issues through targeted research. The following table presents a holistic view, which cuts across all relevant strategic objectives, of the Agency's performance goals related to improving the SSDI and SSID programs. The means and strategies for achieving these performance goals are discussed under the relevant strategic objectives in Section V.

Objective: Promote policy changes, based on research and evaluation analysis, that shape the OASI and DI programs in a manner that takes account of future demographic and economic challenges, provides an adequate base of economic security for workers and their dependents, and protects vulnerable populations.

Performance Indicator	FY 2002 Goal
<ul style="list-style-type: none"> • Identification, development, and utilization of appropriate barometer measures for assessing the effectiveness of OASDI programs. • Preparation of analyses and reports on demographic, economic, and international trends and their effects on OASDI programs in order to anticipate the need for policy change and develop options as appropriate. • Preparation of research and policy evaluation necessary to assist the Administration and Congress in developing proposals to reform and modernize OASDI programs. 	<ul style="list-style-type: none"> • Update the barometer measures and prepare analysis. • Prepare analyses on the following topics: <ol style="list-style-type: none"> 1. Relationship of Social Security and the macro economy; 2. Work and earnings as they relate to Social Security; 3. Role of pensions and wealth in providing retirement security; 4. Social Security reforms in other countries; • Prepare analyses on the distributional and fiscal effects of reform proposals developed by policymakers.

Social Security FY 2002 Annual Performance Plan

<p><i>Objective: Promote policy changes, based on research and evaluation analysis, that shape the SSI program in a manner that protects vulnerable populations, anticipates the evolving needs of SSI populations, and integrates SSI benefits with other social benefit programs to provide a safety net for aged, blind, and disabled individuals.</i></p>	
<p>Performance Indicator</p>	<p>FY 2002 Goal</p>
<ul style="list-style-type: none"> • Preparation of a report and completion of data collection on the National Survey of SSI Children and Families in order to assess the impact of welfare reform, identify areas of potential policy change, and develop options as appropriate. 	<ul style="list-style-type: none"> • Prepare data files for analysis.
<p><i>Objective: Promote policy changes, based on research and evaluation analysis, that shape the disability program in a manner that increases self-sufficiency and takes account of changing needs based on the medical, technological, demographic, job market, and societal trends.</i></p>	
<p>Performance Indicator</p>	<p>FY 2002 Goal</p>
<ul style="list-style-type: none"> • Preparation of a research design to develop techniques for validating medical listings. • Preparation of reports on results of the National Study of Health and Activity in order to identify potentially eligible disabled populations, interventions that enable continued work effort among the disabled, and guide changes to the disability decision process • Preparation of analyses of alternative return-to-work strategies. 	<ul style="list-style-type: none"> • Report on the status of developing a validation methodology. • Report on the status of the main study data collection. <p>Report on the design and implementation of demonstration projects.</p>

Summary of DI Program Management Improvement Goals

Objective: Improve the accuracy, timeliness and efficiency of service to customers applying for DI and SSI disability benefits. Specifically by 2005:

- ❖ *Increase the accuracy rate to 95% for denials at disability benefits.*
- ❖ *Maintain the accuracy of initial disability claims decisions to allow benefits at 96.5%.*
- ❖ *Issue initial disability claims decisions in an average of 105 days, with at least 70% issued within 120 days.*
- ❖ *Have the capacity to take 99% of disability claims in an electronic environment.*

Performance Indicator	FY 2002 Goal
<ul style="list-style-type: none"> • Percent of disability claims decisions issued within 120 days. • Initial disability claims average processing time (days). • DDS allowance performance accuracy rate. • DDS denial performance accuracy rate. • Implement activities necessary to have the software and infrastructure in place for electronic processing of disability claims. 	<ul style="list-style-type: none"> • TBD • 120 days • 96.5% • 93.5% • Implement the following software: <ol style="list-style-type: none"> 1. Accommodate Dual Entitlement advance file cases. 2. Automate determination of need to develop military service allegations. 3. Update the workman's compensation data file. 4. Control certain exceptions via a PCACS interface. 5. Begin developing standards for hardware and software interface with other DDS systems.

Social Security FY 2002 Annual Performance Plan

<i>Objective: By 2005, increase by 100% from 1999 levels, the number of SSDI and of SSI disability beneficiaries who achieve steady employment and no longer receive cash benefits.</i>	
<ul style="list-style-type: none"> • Percent increase in the number of adult worker DI beneficiaries who begin a trial work period. • Percent increase in the number of SSI disabled beneficiaries, aged 18-64, whose payments are reduced because of work (i.e., participating in 1619(a) status). • Activities to implement provisions of the TWSSP and other employment strategies. 	<ul style="list-style-type: none"> • 5% increase • 5% increase • Distribute Tickets to beneficiaries in Phase 2 States • Expand the number of Employment Support Representatives
<i>Objective: Become current with DI and SSI CDR requirements by 2000 and 2002 respectively and remain current thereafter.</i>	
Performance Indicator	FY 2002 Goal
<ul style="list-style-type: none"> • Percent of multi-year CDR plan completed through FY 2002 	<ul style="list-style-type: none"> • 100%
<i>Objective: Aggressively deter, identify and resolve fraud.</i>	
Performance Indicator	FY 2002 Goal
<ul style="list-style-type: none"> • OASDI dollar amounts reported from investigative activities. • SSI dollar amounts reported from investigative activities. 	<ul style="list-style-type: none"> • \$55 million • \$100 million
<i>Objective: Through 2005, maintain a level of outstanding debt that is either in a repayment agreement, under appeal or newly detected.</i>	
Performance Indicator	FY 2002 Goal
<ul style="list-style-type: none"> • Outstanding OASDI debt in a repayment agreement, under appeal, or newly detected. • Outstanding SSI debt in a repayment agreement, under appeal, or newly detected. 	<ul style="list-style-type: none"> • TBD • TBD

Summary Table of FY 2002 Performance Goals

Strategic Goal: To promote valued, strong, and responsive social security programs and conduct effective policy development, research, and program evaluation	
<i>Objective: Promote policy changes, based on research and evaluation analysis, that shape the OASI and DI programs in a manner that takes account of future demographic and economic challenges, provides an adequate base of economic security for workers and their dependents, and protects vulnerable populations.</i>	
Performance Indicator	FY 2002 Goal
<p>Identification, development, and utilization of appropriate barometer measures for assessing the effectiveness of OASDI programs.</p> <p>Preparation of analyses and reports on demographic, economic, and international trends and their effects of OASDI programs in order to anticipate the need for policy change and develop options as appropriate.</p> <p>Preparation of research and policy evaluation necessary to assist the Administration and Congress in developing proposals to reform and modernize the OASDI programs.</p>	<p>Update the barometer measures and prepare analysis.</p> <p>Prepare analyses on the following topics:</p> <ol style="list-style-type: none"> 1. Relationship of Social Security and the economy; 2. Work and earnings as they relate to Social Security; 3. Role of pensions and wealth in providing retirement security; 4. Social Security reforms in other countries; <p>Prepare analyses on the distributional and fiscal effects of reform proposals developed by policymakers.</p>

<i>Objective: Promote policy changes, based on research and evaluation analysis, that shape the SSI program in a manner that protects vulnerable populations, anticipates the evolving needs of SSI populations, and integrates SSI benefits with other social benefit programs to provide a safety net for aged, blind, and disabled individuals.</i>	
Performance Indicator	FY 2002 Goal
<p>Identification, development, and utilization of appropriate barometer measures for assessing the effectiveness of the SSI program.</p> <p>Preparation of a report and completion of data collection on the National Survey of SSI Children and Families in order to assess the impact of welfare reform, identify areas of potential policy change, and develop options as appropriate.</p>	<p>Update barometer measures and prepare analysis.</p> <p>Prepare data files for analysis.</p>

Objective: Promote policy changes, based on research and evaluation analysis, that shape the disability program in a manner that increases self-sufficiency and takes account of changing needs based on the medical, technological, demographic, job market, and societal trends.

Performance Indicator	FY 2002 Goal
<p>Preparation of a research design to develop techniques for validating medical listings.</p> <p>Preparation of reports on results of the National Study of Health and Activity in order to identify potentially eligible disabled populations, interventions that enable continued work effort among the disabled, and guide changes to the disability decision process.</p> <p>Preparation of analyses of alternative return-to-work strategies.</p>	<p>Report on the status of developing a validation methodology.</p> <p>Report on the status of the main study data collection.</p> <p>Report on the design and implementation of demonstration projects.</p>

Objective: Provide information for decisionmakers and others on the Social Security and Supplemental Security Income programs through objective and responsive research, evaluation, and policy development

Performance Indicator	FY 2002 Goal
<p>Percent of customers assigning a high rating to the quality of SSA's research and analysis products in terms of accuracy, reliability, comprehensiveness, and responsiveness.</p> <p>Percent of major statistical products that are timely.</p>	<ol style="list-style-type: none"> 1. Assess customer satisfaction measurement system. 2. Analyze baseline measures and identify steps to be taken to improve satisfaction with research and analysis products. <p>Produce major statistical products on schedule.</p>

Strategic Goal: To deliver customer-responsive world-class service	
<i>Output Measures</i>	
<ul style="list-style-type: none"> • RSI claims processed. • SSI aged claims processed. • Initial Disability claims processed. • Hearings processed. • SSN requests processed. • 800-number calls handled. 	3,132,000 149,000 2,191,000 580,000 16,450,000 59,000,000
<i>Objective: By 2002 and beyond, have 9 out of 10 customers rate SSA's overall service as "good," "very good" or "excellent," with most rating it "excellent"</i>	
Performance Indicator	FY 2002 Goal
Percent of SSA's core business customers rating SSA's overall service as excellent, very good or good.	82%
Percent of SSA's core business customers rating SSA's overall service as excellent.	30%
Percent of employers rating SSA's overall service during interactions with SSA as excellent, very good or good.	TBD
Percent of employers rating SSA's overall service during interactions with SSA as excellent.	TBD
Percent of callers who successfully access the 800-number within 5 minutes of their first call.	92%
Percent of callers who get through to the 800-number on their first attempt.	86%
Percent of 800 number calls handled accurately.	90% service 95% payment
Indicators for field office telephone service.	TBD
Percent of public with an appointment waiting 10 minutes or less.	85%
Percent of public without an appointment waiting 30 minutes or less.	70%

<i>Objective: By 2005, make 60 percent of SSA's customer-initiated services available to customers either electronically via the Internet or through automated telephone service, and provide the customer interacting with SSA on the Internet with the option of communicating with an SSA employee while online.</i>	
Performance Indicator	FY 2002 Goal
Percent of SSA's customer-initiated services available to customers either electronically via the Internet or through automated telephone service. Activities to establish the capability for customers interacting with SSA on the Internet to communicate with an SSA employee while online.	30% Test Internet and 800# convergence technologies in a proof of concept (POC) initiative and begin to implement technologies
<i>Objective: Increase electronic access to information needed to serve SSA customers. Specifically by 2005:</i>	
<ul style="list-style-type: none"> <i>❖ Establish electronic access to human services and unemployment information with 90% of States,</i> <i>❖ Establish electronic access to vital statistics and other material information with 50% of States,</i> <i>❖ Increase electronic access to information held by other Federal agencies, financial institutions and medical providers.</i> 	
Performance Indicator	FY 2002 Goal
Percent of States with which SSA has electronic access to human services and unemployment information.	68%
Percent of States with which SSA has electronic access to vital statistics and other material information.	14%
Milestones/deliverables demonstrating progress in increasing electronic access to information held by other Federal agencies, financial institutions and medical providers.	TBD

Objective: Maintain the accuracy, timeliness, and efficiency of service to customers applying for OASI and SSI aged benefits. Specifically by 2005:

❖ Have the capacity to take and process 99% of OASI and SSI aged claims in a paperless environment.

Performance Indicator	FY 2002 Goal
<p>Percent of OASI claims processed by the time the first regular payment is due or within 14 days from effective filing date, if later.</p>	<p>83%</p>
<p>Percent of SSI aged claims processed by the time the first regular payment is due or within 14 days from effective filing date, if later.</p>	<p>66%</p>
<p>Implement activities necessary to have the software and infrastructure in place for paperless processing.</p>	<p>Implement the following software:</p> <ol style="list-style-type: none"> 1. Accommodate Dual Entitlement advance file cases, automate determination of need to develop military service allegations, update the workman's compensation data file and control certain exceptions via a PCACS interface. 2. Implement Phase 2 of Attorney Fee/Windfall Offset project. Begin analysis of additional windfall offset enhancements requested by the users.

Objective: Improve the accuracy, timeliness and efficiency of service to customers applying for DI and SSI disability benefits. Specifically by 2005:

- ❖ *Increase the accuracy rate to 95% for denials of disability benefits*
- ❖ *Maintain the accuracy of initial disability claims decisions to allow benefits at 96.5%*
- ❖ *Issue initial disability claims decisions in an average of 105 days, with at least 70% issued within 120 days*
- ❖ *Have the capacity to take 99 %of disability claims in an electronic environment.*

Performance Indicator	FY 2002 Goal
Percent of initial disability claims decisions issued within 120 days.	TBD
Initial disability claims average processing time (days).	120 days
DDS allowance performance accuracy rate.	96.5%
DDS denial performance accuracy rate.	93.5%
Implement activities necessary to have the software and infrastructure in place for electronic processing of disability claims.	Implement the following software: <ol style="list-style-type: none"> 1. Accommodate Dual Entitlement advance file cases, automate determination of need to develop military service allegations, update the workman's compensating data file and control certain exceptions via a PCACS interface. 2. Begin developing standards for hardware and software interface with other DDS systems.

Objective: Improve the accuracy, timeliness, and efficiency of service to customer requesting hearings or appeals. Specifically by 2005:

- ❖ *Increase accuracy of hearings decisions to 90%*
- ❖ *Issue hearings decisions in an average of 166 days, with at least 70% issued within 180 days*
- ❖ *Increase productivity to 122 hearings decisions issued per WY*
- ❖ *Have the capacity to take 99% of hearings requests in an electronic environment*
- ❖ *Issue decisions on appeals of hearings within an average of 90 days, with at least 70% issued within 105 days*
- ❖ *Increase productivity to 323 appeals council reviews per WY.*

Performance Indicator	FY 2002 Goal
Percent of hearings decisions issued within 180 days from the date the request is filed.	35%
Hearings average processing time (days).	259 days
OHA decisional accuracy rate.	89%
Implement activities necessary to have the software and infrastructure in place for electronic processing of hearings.	Implement the following software: <ol style="list-style-type: none"> 1. Support field office entry to MSSICS of the request for hearing 2. Provide Web-based query access to Consolidated HOTS Database, which includes the request for hearing
Number of hearings cases processed per workyear.	111
Percent of decisions on appeals of hearings issued by the Appeals Council within 105 days of the appeals filing date.	35%
Average processing time for decisions on appeals of hearings issued (days).	162 days
Number of decisions on appeals of hearings issued per workyear.	279

<i>Objective: By 2005, increase by 100 % from 1999 levels, the number of SSDI and of SSI disability beneficiaries who achieve steady employment and no longer receive cash benefits.</i>	
Performance Indicator	FY 2002 Goal
Percent increase in the number of adult worker DI beneficiaries who begin a trial work period.	5% increase
Percent increase in the number of SSI disabled beneficiaries, aged 18-64, whose payments are reduced because of work (i.e., participating in 1619(a) status).	5% increase
Activities to implement provisions of the TWSSP and other employment strategies.	<ul style="list-style-type: none"> • Distribute Tickets to beneficiaries in Phase 2 States • Expand the number of Employment Support Representatives • Begin payments to employment networks.
<i>Objective: Improve or maintain the accuracy, timeliness and efficiency of service to postentitlement customers. Specifically by 2005:</i>	
<i>❖ Have the capacity to take and process 99% of OASI and SSI PE actions in a paperless environment.</i>	
Performance Indicator	FY 2002 Goal
Implement activities necessary to have the software and infrastructure in place for paperless processing of PE actions.	Implement the following software: <ol style="list-style-type: none"> 1. Improve computations involving Workman's Compensation and allow additional storage of data. 2. Add overpayment data collection to MSSICS.
<i>Objective: Maintain through 2005 the accuracy, timeliness and efficiency of service to customers applying for Social Security numbers and replacement cards.</i>	
Performance Indicator	FY 2002 Goal
Percent of original and replacement SSN cards issued within 5 days of receiving all necessary documentation.	97%
Percent of SSNs issued accurately.	99.8%

Strategic Goal: To ensure the integrity of Social Security programs, with zero tolerance for fraud and abuse	
Output Measures	
<ul style="list-style-type: none"> • CDRs processed. • SSI non-disability redeterminations. • Annual earnings items processed. • Representative payee actions. 	<p>1,288,000</p> <p>2,255,000</p> <p>272,600,000</p> <p>6,882,000</p>
Objective: Beginning 2001 and through 2005, maintain at 99.8% the accuracy based on non-medical factors of eligibility of OASDI payment outlays	
Performance Indicator	FY 2002 Goal
Percent of OASDI payment outlays “free” of overpayments and underpayments (based on non-medical factors of eligibility).	99.8% OP 99.8% UP
Objective: By 2005, raise to 96% the accuracy based on non-medical factors of eligibility of SSI disabled and aged payment outlays	
Performance Indicator	FY 2002 Goal
Percent of SSI payment outlays “free” of overpayments and underpayments (based on non-medical factors of eligibility).	94.7 OP 98.8 UP
Objective: Become current with DI and SSI CDR requirements by 2000 and 2002 respectively and remain current thereafter	
Performance Indicator	FY 2002 Goal
Percent of multi-year CDR plan completed through FY 2002.	100%
Objective: Maintain timeliness and improve accuracy and efficiency in posting earnings data to Agency records. Specifically by 2005:	
❖ Increase to 70% the number of employee reports (W-2s) filed electronically	
Performance Indicator	FY 2002 Goal
Percent of wage items posted to individuals’ records by September 30.	98%
Percent of earnings posted correctly.	99%
Percent of employee reports (W-2s) filed electronically.	30%
Objective: Through 2005, maintain a level of outstanding debt that is either in a repayment agreement, under appeal or newly detected.	
Performance Indicator	FY 2002 Goal
Outstanding OASDI debt in a repayment agreement, under appeal, or newly detected.	TBD
Outstanding SSI debt in a repayment agreement, under appeal, or newly detected.	TBD

<i>Objective: Aggressively deter, identify and resolve fraud</i>	
Performance Indicator	FY 2002 Goal
Number of investigations conducted (i.e., closed).	8,000
OASDI dollar amounts reported from investigative activities.	\$55 million
SSI dollar amounts reported from investigative activities.	\$100 million
Number of criminal convictions.	2,500

Strategic Goal: To be an employer that values and invests in each employee	
<i>Objective: To recruit, develop, and retain a diverse, well-qualified, and satisfied workforce with the capacity to perform effectively in a changing future environment. Specifically:</i>	
<ul style="list-style-type: none"> ❖ <i>By 2005, offer flexible benefits and workplace options to all employees</i> ❖ <i>By 2005, restructure direct service positions to provide operational flexibility and portability of work</i> ❖ <i>By 2002, partner with OPM to establish a process for accelerated advancement based on skills attainment and competency rather than time requirements.</i> 	
Performance Indicator	FY 2002 Goal
Percent of employees who are satisfied or very satisfied with SSA as a place to work.	TBD
Continue to implement SSA Future Workforce Plan.	Implement actions by target dates specified in Plan
Percent of new hires who leave SSA within 5 years.	TBD
<i>Objective: To provide the necessary tools, training and continuous learning opportunities to maintain a highly skilled and high-performing workforce. Specifically:</i>	
<ul style="list-style-type: none"> ❖ <i>By 2005, provide online training electronically at the desktop to all employees</i> ❖ <i>By 2005, have 1/3 of all employees participating in job enrichment opportunities during each year</i> ❖ <i>By 2005, provide all employees the necessary competency-based training needed to maintain technical skills each year</i> 	
Performance Indicator	FY 2002 Goal
Develop, test, and implement desktop video nationally.	Develop, test, and implement a prototype desktop video in 25 offices
Number of job enrichment opportunities in formal management development programs.	Double the number of existing openings for job enrichment opportunities in the national Advance Leadership (ALP) and Leadership Development (LDP) programs.
Percent of offices with direct access to Interactive Video Teletraining (IVT).	80%
Percent of competencies defined for technical training.	100%
<i>Objective: To provide a physical environment that promotes the health and well-being of every employee</i>	
Performance Indicator	FY 2002 Goal
Percent of employees who are satisfied with overall physical environment, i.e., it is professional, accessible, safe, and secure.	TBD

<p>Objective: To promote an Agency culture that successfully incorporates our values. Specifically: ❖ <i>By 2005, attain a 50% improvement in the gap between the “current” and “desired” workplace practices and values.</i></p>	
Performance Indicator	FY 2002 Goal
Percent improvement in the gap between “current” and “desired” workplace practices and values (as measured by SSA’s triennial culture survey).	TBD
Implementation of activities to close gap and measure improvement.	TBD

<p>Strategic Goal: To strengthen public understanding of Social Security programs Objective: By 2005, 9 out of 10 Americans (adults age 18 and over) will be knowledgeable about Social Security programs in three important areas: ❖ <i>Basic program facts</i> ❖ <i>Value of Social Security programs</i> ❖ <i>Financing Social Security programs</i></p>	
Performance Indicator	FY 2002 Goal
Percent of public who are knowledgeable about Social Security programs.	75%
Percent of individuals issued SSA-initiated Social Security Statements as required by law.	100%

Appendix 2

Summary Table of FY 2001 Performance Goals (Revised)

Note: Revisions to indicators and targets are shown in italics.

Strategic Goal: To promote valued, strong, and responsive social security programs and conduct effective policy development, research, and program evaluation	
<i>Objective: To promote policy changes, based on research and evaluation analysis, that shape the OASI and DI programs in a manner that takes account of future demographic and economic challenges, provides an adequate base of economic security for workers and their dependents, and protects vulnerable populations.</i>	
Performance Indicator	FY 2001 Goal
<p>Identification, development, and utilization of appropriate barometer measures for assessing the effectiveness of OASDI programs.</p> <p>Preparation of analyses and reports on the effect of OASDI programs on different populations in order to identify areas for policy change and develop options as appropriate.</p> <p>Preparation of analyses and reports on demographic, economic, and international trends and their effects on OASDI programs in order to anticipate the need for policy change and develop options as appropriate.</p> <p>Preparation of research and policy evaluation necessary to assist the Administration and Congress in developing proposals to strengthen and enhance the solvency of OASDI programs.</p>	<p>Prepare summary and analysis on the barometer measures.</p> <p>Prepare reports on:</p> <ol style="list-style-type: none"> 1. Effect of OASDI programs on various subgroups of beneficiaries, including women, minorities, and low-wage workers; 2. Study on characteristics of people receiving DI benefits; 3. Analysis of the effect of changes in Social Security retirement benefits on the DI program. <p>Prepare analyses on the following topics:</p> <ol style="list-style-type: none"> 1. Labor force transitions in the elderly population; 2. Implications for retirement income security of shifts from defined benefit to defined contribution plans through study of lump-sum payments from employer pensions; 3. Differences across subgroups in saving; 4. International retirement policy reforms. <p>Prepare analyses on the distributional and fiscal effects of solvency proposals developed by the Administration, Congress, and other policymakers (we will analyze new proposals and/or modify analyses of previous proposals based on new data).</p>

Objective: To promote policy changes, based on research and evaluation analysis, that shape the SSI program in a manner that protects vulnerable populations, anticipates the evolving needs of SSI populations, and integrates SSI benefits with other social benefit programs to provide a safety net for aged, blind, and disabled individuals.

Performance Indicator	FY 2001 Goal
<p>Identification, development, and utilization of appropriate barometer measures for assessing the effectiveness of the SSI program.</p> <p>Preparation of a report and completion of data collection on the SSI Childhood Disability Survey in order to assess the impact of welfare reform, identify areas of potential policy change, and develop options as appropriate.</p> <p>Preparation of analyses on sources of support for the SSI population in order to identify areas for better coordination with other social benefits and develop options as appropriate.</p> <p>Preparation of analyses on SSI simplification opportunities.</p>	<p>Prepare summary and analysis on the barometer measures.</p> <p>Complete interviewing for the first wave on the SSI Childhood Disability Survey.</p> <p>Prepare analysis and report on child support enforcement.</p> <p>Prepare analyses of complex SSI policies.</p>

Objective: To promote policy changes, based on research and evaluation analysis, that shape the disability program in a manner that increases self-sufficiency and takes account of changing needs based on the medical, technological, demographic, job market, and societal trends.

Performance Indicator	FY 2001 Goal
<p>Preparation of a research design to develop techniques for validating medical listings.</p> <p>Preparation of reports on results of the National Study of Health and Activity in order to identify potentially eligible disabled populations, interventions that enable continued work effort among the disabled, and guide changes to the disability decision process.</p> <p>Prepare analysis of alternative return-to-work strategies.</p>	<p>Prepare a preliminary report on the development of the validation methodology .</p> <p>Initiate main study data collection.</p> <p>Design and initiate implementation of demonstration projects.</p>

Objective: Provide information for decisionmakers and others on the Social Security and Supplemental Security Income programs through objective and responsive research, evaluation, and policy development

Performance Indicator	FY 2001 Goal
Percent of customers assigning a high rating to the quality of SSA's research and analysis products in terms of accuracy, reliability, comprehensiveness, and responsiveness.	Establish a baseline.
Percent of major statistical products that are timely.	Establish a baseline for percent of major statistical products that are produced on schedule.

Strategic Goal: To deliver customer-responsive world-class service	
Output Measures in President's Budget	
<ul style="list-style-type: none"> • RSI claims processed. 3,125,000 • SSI aged claims processed. 150,000 • Initial disability claims processed. 2,097,000 • Hearings processed. 526,000 • SSN requests processed. 16,300,000 • 800-number calls handled. 60,000,000 	
Objective: By 2002 and beyond, have 9 out of 10 customers rate SSA's overall service as "good," "very good" or "excellent," with most rating it "excellent"	
Performance Indicator	FY 2001 Goal
Percent of SSA's core business customers rating SSA's overall service as excellent, very good or good.	82%
Percent of SSA's core business customers rating SSA's overall service as excellent.	30%
Percent of employers rating SSA's overall service during interactions with SSA as excellent, very good or good.	TBD
Percent of employers rating SSA's overall service during interactions with SSA as excellent.	TBD
Percent of callers who successfully access the 800-number within 5 minutes of their first call.	92%
Percent of callers who get through to the 800-number on their first attempt.	86%
Percent of public with an appointment waiting 10 minutes or less.	85%
Percent of public without an appointment waiting 30 minutes or less.	70%
Percent of 800 number calls handled accurately.	90% service 95% payment

Objective: By 2005, make 60 percent of SSA's customer-initiated services available to customers either electronically via the Internet or through automated telephone service, and provide the customer interacting with SSA on the Internet with the option of communicating with an SSA employee while online.	
Performance Indicator	FY 2001 Goal
<i>Percent of SSA's customer-initiated services available to customers either electronically via the Internet or through automated telephone service.</i>	21%
Objective: Increase electronic access to information needed to serve SSA customers. Specifically by 2005:	
<ul style="list-style-type: none"> ❖ <i>Establish electronic access to human services and unemployment information with 90% of States,</i> ❖ <i>Establish electronic access to vital statistics and other material information with 50% of States,</i> ❖ <i>Increase electronic access to information held by other Federal agencies, financial institutions and medical providers.</i> 	
Performance Indicator	FY 2001 Goal
<i>Percent of States with which SSA has electronic access to human services and unemployment information.</i>	59%
<i>Percent of States with which SSA has electronic access to vital statistics and other material information.</i>	12%
<i>Milestones/deliverables demonstrating progress in increasing electronic access to information held by other Federal Agencies, financial institutions and medical providers.</i>	TBD
Objective: To raise the number of customers who receive service and payments on time	
Performance Indicator	FY 2001 Goal
<i>Initial disability claims average processing time (days).</i>	120 days
<i>Percent of hearings decisions issued within 180 days from date the request is filed.</i>	20%
<i>Hearings average processing time (days).</i>	271 days
<i>Number of hearings processed cases per workyear.</i>	103
<i>Percent of decisions on appeals of hearings issued by the Appeals Council within 105 days of the appeals filing date.</i>	20%
<i>Average processing time for decisions on appeals of hearings issued.</i>	285 days
<i>Number of decisions of appeals of hearings issued per workyear.</i>	262
<i>Percent of OASI claims processed by the time the first regular payment is due or within 14 days from effective filing date, if later.</i>	83%
<i>Percent of SSI aged claims processed by the time the first regular payment is due or within 14 days of the effective filing date, if later.</i>	66%
<i>Percent of original and replacement SSN cards issued within 5 days of receiving all necessary documentation.</i>	97%

Objective: By 2005, increase by 100 % from 1999 levels, the number of SSDI and of SSI disability beneficiaries who achieve steady employment and no longer receive cash benefits

Performance Indicator	FY 2001 Goal
Increase in number of DI adult worker beneficiaries who begin a trial work period.	5% increase
Increase in number of SSI disabled beneficiaries, aged 18-64, participating in 1619(a).	5% increase
<i>Activities to implement provisions of the TWSSP and other employment strategies.</i>	<ul style="list-style-type: none"> ❖ <i>Publish Final Regulations for Ticket to Work program</i> ❖ <i>Distribute Tickets to beneficiaries in Phase 1 States</i>

Strategic Goal: To make SSA program management the best-in-business, with zero tolerance for fraud and abuse	
<i>Output Measures</i>	
<ul style="list-style-type: none"> • Periodic review CDRs processed. • SSI non-disability redeterminations. • Annual earnings items processed. • Representative payee actions. 	1,729,000 2,050,000 270,200,000 6,858,000
<i>Objective: To make benefit payments in the right amount</i>	
Performance Indicator	FY 2001 Goal
Dollar accuracy of OASDI payment outlays: % w/o overpayments % w/o underpayments.	99.7% 99.8%
DDS net decisional accuracy rate.	97%
DDS allowance performance accuracy rate.	96.5%
DDS denial performance accuracy rate.	93.5%
OHA decisional accuracy rate.	88%
Dollar accuracy of SSI payment outlays: % w/o overpayments % w/o underpayments.	94.7% 98.8%
Percent of Social Security numbers issued accurately.	99.8%
<i>Objective: To become current with DI and SSI CDR requirements by 2002</i>	
Performance Indicator	FY 2001 Goal
Percent of multi-year (FY 1996-2002) CDR plan completed.	86%
<i>Objective: To maintain through 2002, current levels of accuracy and timeliness in posting earnings data to individual's earnings records</i>	
Performance Indicator	FY 2001 Goal
Percent of wage items posted to individuals' records by September 30.	98%
Percent of earnings posted correctly.	99%
<i>Percent of employee reports (W-2s) filed electronically.</i>	20%
<i>Objective: To aggressively deter, identify and resolve fraud</i>	
Performance Indicator	FY 2001 Goal
Number of investigations conducted (i.e., closed).	8,000
OASDI dollar amounts reported from investigative activities.	\$55 million
SSI dollar amounts reported from investigative activities.	\$90 million
Number of criminal convictions.	2,500

<i>Objective: To increase debt collections by 7 percent annually through 2002</i>	
Performance Indicator	FY 2001 Goal
OASDI debt collected.	\$1,364.1 million
SSI debt collected.	\$732.7 million

Strategic Goal: To be an employer that values and invests in each employee	
Objective: To provide the necessary tools and training to achieve a highly skilled and high-performing workforce	
Performance Indicator	FY 2001 Goal
Percent of offices with access to Interactive Video Teletraining (IVT).	67%
Formal management development programs implemented.	All leadership programs continued. Decisions on future SES/CDP & ALP have yet to be made.
Percent of managerial staff participating in management/leadership development experiences.	33 1/3%
Objective: To provide a physical environment that promotes the health and well-being of every employee	
Performance Indicator	FY 2001 Goal
Percent of employees reporting they are satisfied with the level of security in their facility.	75%
Percent of environmental air quality surveys completed and percent of the corrective actions taken when called for.	20% facilities surveyed, 75% corrective actions taken
Number of facilities having water quality testing and percent of corrective actions taken when called for.	42 facilities tested, 100% corrective actions taken
Number of relocated offices having security surveys and percent of SSA accepted security recommendations implemented.	150 offices surveyed, 87% accepted recommendations implemented
Objective: To promote an Agency culture that successfully incorporates our values	
Performance Indicator	FY 2001 Goal
Create Agency change strategy.	Implement strategy.
Objective: To create a workforce to serve SSA's diverse customers in the twenty-first century	
Performance Indicator	FY 2001 Goal
Complete Agency plan for transitioning to the workforce of the future.	Implement and update transition plan. Develop and implement action items from employee survey.

Strategic Goal: To strengthen public understanding of the Social Security programs	
<i>Objective: By 2005, 9 out of 10 Americans (adults age 18 and over) will be knowledgeable about the Social Security programs in five important areas</i>	
Performance Indicator	FY 2001 Goal
Percent of individuals issued Social Security Statements as required by law.	100%
Percent of public who are knowledgeable about Social Security programs.	75%

Appendix 3

Crosswalk of Performance Goals to Major Programs

Strategic Goal: Responsive Programs	OASI	DI	SSI
Identification, development, and utilization of appropriate barometer measures for assessing the effectiveness of OASDI programs.	X	X	
Preparation of analyses and reports on demographic, economic, and international trends and their effects of OASDI programs in order to anticipate the need for policy change and develop options as appropriate.	X	X	
Preparation of research and policy evaluation necessary to assist the Administration and Congress in developing proposals to reform and modernize the OASDI programs.	X	X	
Identification, development, and utilization of appropriate barometer measures for assessing the effectiveness of SSI programs.			X
Preparation of a report and completion of data collection on the National Survey of SSI Children and Families in order to assess the impact of welfare reform, identify areas of potential policy change, and develop options as appropriate.			X
Preparation of a research design to develop techniques for validating medical listings.		X	X
Preparation of reports on the National Study of Health and Activity in order to identify potentially eligible disabled populations, interventions that enable continued work effort among the disabled, and guide changes to the disability decision process.		X	X
Prepare analyses of alternative return-to-work strategies.		X	X
Percent of customers assigning a high rating to the quality of SSA's research and analysis products in terms of accuracy, reliability, comprehensiveness, and responsiveness.	X	X	X
Percent of major statistical products that are timely.	X	X	X
Strategic Goal: World-Class Service	OASI	DI	SSI
RSI claims processed.	X		
SSI aged claims processed.			X
Initial disability claims processed.		X	X
Hearings processed.	X	X	X
SSN requests processed.	X	X	X
800-number calls handled.	X	X	X
Percent of SSA's core business customers rating SSA's overall service as "excellent," "very good" or "good."	X	X	X
Percent of employers rating SSA's overall service during interactions with SSA as "excellent," "very good" or "good"	X	X	X
Percent of employers rating SSA's overall service during interactions with SSA as "excellent".	X	X	X

Strategic Goal: World-Class Service	OASI	DI	SSI
Percent of callers who successfully access the 800-number within 5 minutes of their first call.	X	X	X
Percent of callers who get through to the 800-number on their first attempt.	X	X	X
Percent of 800 number calls handled accurately.	X	X	X
Indicators for field office telephone service.	X	X	X
Percent of public with an appointment waiting 10 minutes or less.	X	X	X
Percent of public without an appointment waiting 30 minutes or less.	X	X	X
Percent of SSA's customer-initiated services available to customers either electronically via the Internet or through automated telephone service.	X	X	X
Activities to establish the capability for customers interacting with SSA on the Internet to communicate with an SSA employee while online.	X	X	X
Percent of States with which SSA has electronic access to human services and unemployment information.	X	X	X
Percent of States with which SSA has electronic access to vital statistics and other material information.	X	X	X
Milestones/deliverables demonstrating progress in increasing electronic access to information held by other Federal agencies, financial institutions and medical providers.	X	X	X
Percent of OASI claims processed by the time the first regular payment is due or within 14 days from effective filing date, if later.	X		
Percent of SSI aged claims processed by the time the first regular payment is due or within 14 days from effective filing date, if later.			X
Implement activities necessary to have the software and infrastructure in place for paperless processing.	X	X	X

Strategic Goal: World-Class Service	OASI	DI	SSI
Percent of initial disability claims decisions issued within 120 days.		X	X
Initial disability claims average processing time (days).		X	X
DDS allowance performance accuracy rate.		X	X
DDS denial performance accuracy rate.		X	X
Implement activities necessary to have the software and infrastructure in place for electronic processing of disability claims.		X	X
Percent of hearings decisions issued within 180 days from the date the hearing request is filed.	X	X	X
Hearings average processing time (days).	X	X	X
OHA decisional accuracy rate.	X	X	X
Implement activities necessary to have the software and infrastructure in place for electronic processing of hearings.	X	X	X
Number of hearings cases per workyear.	X	X	X
Percent of decisions on appeals of hearings issued by the Appeals Council within 105 days of the appeals filing date.	X	X	X
Average processing time for decisions on appeals of hearings issued (days).	X	X	X
Number of decisions on appeals of hearings issued per workyear.	X	X	X
Percent increase in the number of adult worker DI beneficiaries who begin a trail work period.		X	
Percent increase in the number of SSI disabled beneficiaries, aged 18–64, whose payments are reduced because of work (i.e., participating in 1619(a) status).			X
Activities to implement provisions of the TWSSP and other employment strategies.		X	X
Implement activities necessary to have the software and infrastructure in place for paperless processing of PE actions.	X	X	X
Percent of original and replacement SSN cards within 5 days of receiving all necessary documentation.	X	X	X
Percent of SSNs issued accurately.	X	X	X
Strategic Goal: Program Integrity	OASI	DI	SSI
CDRs processed.		X	X
SSI non-disability redeterminations.			X
Annual earnings items processed..	X	X	X
Representative payee actions.	X	X	X
Percent of OASDI payment outlays free of overpayments (based on non-medical factors of eligibility).	X	X	
Percent of OASDI payment outlays free of underpayments (based on non-medical factors of eligibility).	X	X	
Percent of SSI payment outlays free of overpayments (based on non-medical factors of eligibility).			X
Percent of SSI payment outlays free of underpayments (based on non-medical factors of eligibility).			X

Strategic Goal: Program Integrity	OASI	DI	SSI
Percent of multi-year CDR plan completed through FY 2002.		X	X
Percent of wage items posted to individuals' records by September 30.	X	X	X
Percent of earnings posted correctly.	X	X	X
Percent of employee reports (W-2s) filed electronically.	X	X	X
Outstanding OASDI debt in a repayment agreement, under appeal, or newly detected.	X	X	
Outstanding SSI debt in a repayment agreement, under appeal, or newly detected.			X
Number of investigations conducted.	X	X	X
OASDI dollar amounts reported from investigative activities.	X	X	
SSI dollar amounts reported from investigative activities.			X
Number of criminal convictions.	X	X	X
Strategic Goal: Valued Employees	OASI	DI	SSI
Percent of employees who are satisfied or very satisfied with SSA as a place to work.	X	X	X
Continue to implement SSA Future Workforce Plan.	X	X	X
Percent of new hires who remain in service after 5 years.	X	X	X
Develop, test, and implement desktop video nationally.	X	X	X
Number of job enrichment opportunities in formal management development programs.	X	X	X
Percent of offices with direct access to Interactive Video Teletraining (IVT).	X	X	X
Percent of competencies defined for technical training.	X	X	X
Percent of employees who are satisfied with overall physical environment, i.e., it is professional, accessible, safe, and secure.	X	X	X
Percent improvement in the gap between "current" and "desired" workplace practices and values (as measured by SSA's triennial culture survey).	X	X	X
Implementation of activities to close gap and measure improvement.	X	X	X
Strategic Goal: Public Understanding	OASI	DI	SSI
Percent of public who are knowledgeable about Social Security programs.	X	X	X
Percent of individuals issued SSA-initiated Social Security Statements as required by law.	X	X	X

Appendix 4

Crosswalk of Performance Goals and Objectives from SSA's 1997 Strategic Plan and 2000 Strategic Plan

*Note: Objectives are organized by
2000 Strategic Plan objectives*

Strategic Goal: To promote valued, strong, and responsive social security programs and conduct effective policy development, research and program evaluation

1997 Strategic Plan Objectives	2000 Strategic Plan Objectives
To support the principles of social adequacy and individual equity in the OASI and DI programs.	Promote policy changes, based on research, evaluation, and analysis, that shape the OASI and DI programs in a manner that takes account of future demographic and economic challenges, provides an adequate base of economic security for workers and their dependents, and protects vulnerable populations.
To support an SSI program that provides appropriate benefits to the nation's most needy aged, blind and disabled people and links effectively with other assistance programs.	Promote policy changes, based on research, evaluation and analysis, that shape the SSI program in a manner that protects vulnerable populations, anticipates the evolving needs of SSI populations, and integrates SSI benefits with other benefit programs to provide a safety net for aged, blind, and disabled individuals.
To support the executive and legislative branches in a bipartisan effort to preserve Social Security for the long run.	
To decrease the need for long-term disability benefits by helping people return to the workplace.	Promote policy changes, based on research, evaluation and analysis, that shape the disability program in a manner that increases self-sufficiency and takes account of changing needs, based on medical, technological, demographic, job market and societal trends.
To build and strengthen SSA's capacity to undertake necessary research, evaluation, policy development and actuarial studies for Social Security and Supplemental Security Income programs.	Provide information for decisionmakers and others on the Social Security and Supplemental Security Income programs through objective and responsive research, evaluation, and policy development.

Strategic Goal: To deliver customer-responsive world-class service.

1997 Strategic Plan Objectives	2000 Strategic Plan Objectives
<p>By 2002, to have 9 out of 10 customers rate SSA’s service as “good”, “very good” or “excellent”, with most rating it “excellent”.</p>	<p>By 2002 and beyond, have 9 out of 10 customers rate SSA’s overall service as “good”, “very good”, or “excellent”, with most rating it as “excellent”.</p>
<p>By 2000, to increase the range of program and information services available to customers over the phone or electronically.</p>	<p>By 2005, make 60% of SSA’s customer-initiated services available to customers either electronically via the Internet or through automated telephone service, and provide the customer interacting with SSA on the Internet with the option of communicating with an SSA employee while online.</p>
	<p>Increase electronic access to information needed to serve SSA customers. Specifically by 2005:</p> <ul style="list-style-type: none"> • Establish electronic access to human services and unemployment information with 90% of States, • Establish electronic access to vital statistics and other material information with 50% of States • Increase electronic access to information held by other Federal agencies, financial institutions and medical providers.
<p>To raise the number of customers who receive service and payments on time; specifically,</p> <ul style="list-style-type: none"> • By 2002, to issue initial DI disability claims award/denial notices within 6 months after onset of disability or 60 days after effective filing date, whichever is later, to 75% of applicants • By 2002, to issue initial SSI disability claims award/denial notices within 60 days of filing to 50% of applicants • By 2002, to issue hearing decisions to 30% of requestors within 120 days from the date of request for hearing • To maintain through 2002, current levels of timeliness in processing OASI and SSI aged claims. 	<p>Maintain the accuracy, timeliness and efficiency of service to customers applying for OASI and SSI aged benefits. Specifically by 2005:</p> <ul style="list-style-type: none"> • Have the capacity to take and process 99% of OASI and SSI aged claims in a paperless environment.

Strategic Goal: To deliver customer-responsive world-class service.

1997 Strategic Plan Objectives	2000 Strategic Plan Objectives
	<p>Improve the accuracy, timeliness and efficiency of service to customers applying for DI and SSI disability benefits. Specifically by 2005:</p> <ul style="list-style-type: none"> • Increase the accuracy rate to 95% for denials of disability benefits. • Maintain the accuracy of initial disability claims decisions to allow benefits at 96.5%. • Issue initial disability claims decisions in an average of 105 days, with at least 70% issued within 120 days. • Have the capacity to take 99% of disability claims in an electronic environment.
	<p>Improve the accuracy, timeliness and efficiency of service to customers requesting hearings or appeals. Specifically by 2005:</p> <ul style="list-style-type: none"> • Increase accuracy of hearings decisions to 90%. • Issue hearings decisions in an average of 166 days, with at least 70% issued within 180 days. • Increase productivity to 122 hearings decisions issued per workyear. • Have the capacity to take 99% of hearings requests in an electronic environment. • Issue decisions on appeals of hearings in an average of 90 days, with at least 70% issued within 105 days. • Increase productivity to 323 decisions on appeals of hearings issued per workyear.
	<p>By 2005, increase by 100% from 1999 levels, the number of SSDI and SSI disability beneficiaries who achieve steady employment and no longer receive cash benefits.</p>

Strategic Goal: To deliver customer-responsive world-class service.

1997 Strategic Plan Objectives	2000 Strategic Plan Objectives
	Improve or maintain the accuracy, timeliness and efficiency of service to postentitlement (PE) customers. Specifically by 2005: <ul style="list-style-type: none">• Have the capacity to take and process 99% of PE actions in a paperless environment.
	Maintain through 2005 the accuracy, timeliness and efficiency of service to customers applying for Social Security numbers and replacement cards.

1997 Strategic Goal: To make SSA program management the best in the business, with zero tolerance for fraud and abuse.

2000 Strategic Goal: To ensure the integrity of Social Security programs, with zero tolerance for fraud and abuse.

1997 Strategic Plan Objectives	2000 Strategic Plan Objectives
To make benefit payments in the right amount, specifically, <ul style="list-style-type: none"> • To maintain through 2002, the accuracy of OASI payment outlays • To maintain or improve through 2002, the accuracy of DI payment outlays • To raise to 96% by 2002, the accuracy of SSI payment outlays. 	Beginning 2001 and through 2005, maintain at 99.8% the accuracy based on non-medical factors of eligibility of OASDI payment outlays.
	By 2005, raise to 96% the accuracy based on non-medical factors of eligibility of SSI disabled and aged payment outlays.
To become current with DI and SSI CDR requirements by 2002.	Become current with DI and SSI CDR requirements by 2000 and 2002 respectively, and remain current thereafter.
To maintain through 2002, current levels of accuracy and timeliness in posting earnings data to individual's earnings records.	Maintain timeliness and improve accuracy and efficiency in posting earnings data to Agency records. Specifically by 2005: <ul style="list-style-type: none"> • Increase to 70% the number of employee reports (W-2s) filed electronically
To increase debt collections by 7% through 2002.	Through 2005, maintain a level of outstanding debt that is either in a repayment agreement, under appeal or newly detected.
To aggressively deter, identify and resolve fraud.	Aggressively deter, identify and resolve fraud.
To position the Agency's resources and processes to meet emerging workloads.	

Strategic Goal: To be an employer that values and invests in each employee.

1997 Strategic Plan Objectives	2000 Strategic Plan Objectives
<p>To create a workforce to serve SSA’s diverse customers in the twenty-first century.</p>	<p>To recruit, develop and retain a diverse, well-qualified and satisfied workforce with the capacity to perform effectively in a changing future environment. Specifically:</p> <ul style="list-style-type: none"> • By 2005, offer flexible benefits and workplace options to all employees. • By 2005, restructure direct service positions to provide operational flexibility and portability of work. • By 2002, partner with OPM to establish a process for accelerated advancement based on skills attainment and competency rather than time requirements.
<p>To provide the necessary tools and training to achieve a highly skilled and high-performing workforce.</p>	<p>To provide the necessary tools, training and continuous learning opportunities to maintain a highly skilled and high-performing workforce. Specifically:</p> <ul style="list-style-type: none"> • By 2005, provide online training electronically at the desktop to all employees. • By 2005, have 1/3 of all employees participating in job enrichment opportunities during each year. • By 2005, provide all employees the necessary competency-based training needed to maintain technical skills each year.
<p>To provide a physical environment that promotes the health and well-being of employees.</p>	<p>To provide a physical environment that promotes the health and well-being of every employee.</p>
<p>To promote an Agency culture that successfully incorporates our values.</p>	<p>To promote an Agency culture that successfully incorporates our values. Specifically,</p> <ul style="list-style-type: none"> • By 2005, attain a 50% improvement in the gap between the “current” and “desired” workplace practices and values.

Strategic Goal: To strengthen public understanding of Social Security programs

1997 Strategic Plan Objectives	2000 Strategic Plan Objectives
<p>By 2005, 9 out of 10 Americans will be knowledgeable about the Social Security programs in 5 important areas:</p> <ul style="list-style-type: none">• Basic program facts.• Financial value of programs to individuals.• Economic and social impact of programs.• How the programs are financed today,• Financing issues and options.	<p>By 2005, 9 out of 10 Americans (adults age 18 and over) will be knowledgeable about Social Security programs in 3 important areas:</p> <ul style="list-style-type: none">• Basic program facts.• Value of Social Security programs.• Financing Social Security programs

Appendix 5

Description of Key Initiatives---Table of Contents

Appeals Council Process Improvement	2
Automated Time and Attendance	2
Combating Fraud	3
Competency-Based Human Resources Tools	3
Continuing Disability Review Process Enhancements	4
Create Strategy to Instill Values	4
Desktop Management	5
Diverse Workforce/Transition Plan	5
Earnings Process Improvements	6
Educate the Public about Social Security	6
Electronic Disability System	7
Electronic Payment Services	7
Electronic Records Management	8
Employment Strategy for People with Disabilities	8
Enhanced Disability Program Training	9
Enhance Environmental Health and Physical Security in the Workplace	9
Expand Electronic Wage Reporting	10
Financial/Administrative Systems	10
Hearings Process Improvement	11
Immediate Claims-Taking Services	11
Improve 800-Number Service	12
Improve Field Office Reception Process, Environment and Waiting Times	12
Improve Field Office Telephone Service	13
Improvements to the Disability Claims Process	13
Improvements to the Representative Payment Program	14
Information Exchange	14
INS/Department of State Collection of Enumeration Data	15
Integrated Human Resources System	15
Interactive Video Teletraining	16
Internet Customer Services	16
Leadership Training/Career Development	17
Market Measurement Program	17
Notice Improvements	18
Paperless Disability Claims	18
Paperless Processing Centers	19
Plain Language	19
PolicyNet/Policy Repository	20
Reduce the Earnings Suspense File	20
Service to Limited English Proficient Public	21
Social Security Unified Measurement System	21
Space Modernization and Improvements	22
Speech Recognition Software	22
SSI Posteligibility Modernization	23
Talking and Listening to Customers	23
The Public Understanding Measurement System	24
Title II System Redesign	24
Title XVI Payment Accuracy	25
Update Medical Listings	25
Video Conferencing (VTC)	26

Appeals Council (AC) Process Improvement

*Lead SSA Official: Deputy Commissioner for
Disability and Income Security Programs*

This Key Initiative (KI) will improve productivity and reduce the time required by the AC to process requests for review of hearing decisions. To date, results have been very encouraging. The elements are:

- ❖ Use differential case management to initially examine all cases and identify the appropriate case processing track.
- ❖ Have analysts seek guidance from decisionmakers before preparing recommendations in difficult cases.
- ❖ Obtain analytical assistance from OGC.
- ❖ Have GS-14 and above AC employees process cases without analyst assistance.
- ❖ Temporarily reduce the quality review sample to devote additional staff time to processing review requests.
- ❖ Merge job functions and positions for more flexibility and staff opportunities.
- ❖ Hire and train additional employees.
- ❖ Restructure physical layout to streamline case processing and incorporate modular systems furniture.
- ❖ Implement a universal database case control system to eliminate re-keying.
- ❖ Improve operational planning, analysis and management support.
- ❖ Maximize use of technology and management information.

Schedule: **2001-2002**

- Obtain and install new information technology systems; train employees.
- Complete installation of modular systems furniture in accordance with the revised operational structure.
- Hire, train, and place employees within the newly revised operational structure.

Automated Time and Attendance System

*Lead SSA Official: Deputy Commissioner for
Human Resources*

The purpose of this Key Initiative is to provide an employee-oriented Time and Leave system which will provide automated sign-in/sign-out capability, automated leave slip submission/approval, and a management information tool for SSA's managers (who consider it essential for dealing with the shortage of administrative support). It will provide the functionality to acquire, edit, process and transmit time and attendance information.

Schedule: **2001**

- Begin training and implementation of new system.

2002

- Implement nationwide.

Combating Fraud

Lead SSA Official: Deputy Commissioner for Finance, Assessment and Management; Inspector General

While SSA has a strong program to combat fraud, waste and abuse, more work is needed. The major areas of emphasis are:

- 1) Fraud prevention and detection;
- 2) Referrals and investigations;
- 3) Enforcement; and
- 4) Management information and control.

Schedule: **2001**

- Evaluate the OGC Anti-Fraud Pilot.
- Continue development and enhancement of new debt collection tools.
- Continue modernization of the debt management systems.
- Expand the Residency Fraud Operations project to include nationwide issues.
- Expand the Cooperative Disability Determination Investigations Unit sites.
- Implement the Identity Theft and Deterrence Act (1998) with the FTC.
- Continue progress with identification and referral of fugitive felons.
- Continue efforts to enhance the Agency's ability to protect critical infrastructures.
- Implement the Comprehensive Integrity Review Program (CIRP), Release 3 (SSI reviews) and begin development of Release 4 (Title II).
- Complete transfer of Program Service Center (PSC) remittance workloads to the Mid-Atlantic PSC.

2002

- Expand the Cooperative Disability Investigations Unit sites.
- Continue development and enhancement of new debt collection tools.
- Report and make recommendations on the OGC Anti-Fraud Pilot.
- Implement the Allegation Management System to improve fraud referral and tracking process.

Competency-Based Human Resources Tools

Lead SSA Official: Deputy Commissioner for Human Resources

To meet the needs of SSA's diverse customers as well as the changing environment of the 21st century, SSA must clearly identify the skills needed by our future workforce. Competency-based human resources tools will enable SSA to analyze employee performance in the job, determine what competencies are needed for employees to perform well, and identify training needs and hiring criteria.

Schedule: **2001**

- Develop and construct competency models by job type.
- Pilot and train employees in uses of competency tools.

2002

- Explore use for other HR applications.

Continuing Disability Review Process and Workflow Enhancements

Lead SSA Official: Deputy Commissioner for Disability and Income Security Programs

Congress provided increased spending caps for FY 1996-2002 to fund Continuing Disability Reviews (CDRs). This funding will allow SSA to become current on Title II CDRs by the end of FY 2000 and on Title XVI CDRs by the end of FY 2002. Our 7-year CDR plan has also resulted in the streamlining of the CDR process.

Schedule: 2001

- Evaluate recommendations for changes from the CDR mailer contract.
- Evaluate recommendations from the CDR data management contract.
- Revise assumptions and actual workload figures to update the 7-year CDR plan.
- Analyze the full medical review CDRs data base to determine feasibility of creating a new statistical model.
- Conduct pilot using HCFA data for CDR screening and profiling.
- Analyze medical review mailer cases to improve the profiling process.
- Enhance CDR control file (CDRCF); add Title II/Title XVI medical appeals.
- Award CDR process enhancement contract.

2002

- Refine the medium profile for Title II cases to identify cases expected to medically improve.
- Develop new profiles for Title XVI childhood cases.
- Determine changes needed to mailer as a result of the contract mailer findings and special study case reviews.
- Enhance CDRCF for better control and management of CDR workloads.
- Complete tasks for FY 2001 contract.
- Award CDR process enhancement contract.

Create Strategy to Instill Values

Lead SSA Official: Deputy Commissioner for Human Resources

The purpose of this Key Initiative is to promote an Agency culture that successfully incorporates and supports our values. Our shared practices and group values create our culture.

SSA has completed a baseline study, gap analysis, and benchmarking study, leading to the creation of a change strategy. SSA formed an Organizational Culture Workgroup that completed its recommendations for the design and implementation of this change strategy. As a result of our renewed culture, all employees will exhibit SSA's values when they provide direct service to our customers.

Schedule: 2001

- Finalize change strategy.

2002

- Implement change strategy.
- Develop evaluation approach.

Desktop Management

Lead SSA Official: Deputy Commissioner for Systems

Desktop Management, using the IWS/LAN platform, is the foundation for expert systems, on-line “help” features, interactive training, on-line human resource functions, and many other key initiatives. It will enable the redesign of our core business processes for greater efficiency. By the time the IWS/LAN rollout is virtually completed -- in FY 2001 -- over 96,000 workstations will be in place. The Agency is beginning the replacement of workstations in order to take advantage of significant changes in the technology marketplace.

To meet the needs of the 32 claims-taking Foreign Service Posts Worldwide, Desktop Management equipment and 14 Local Area Networks (LANS) will be installed providing SSA programmatic processing capability to Department of State employees.

Schedule: 2001

- Complete IWS/LAN rollout.
- Replace approximately 32,000 workstations.
- Install IWS/LAN at Foreign Service Posts in Dublin, Paris, Lisbon, Madrid, and a Latin American site.

2002

- Replace approximately 28,000 workstations.
- Expand Foreign Service Post Desktop Management to 18 remaining sites.

Diverse Workforce Transition Plan

Lead SSA Official: Deputy Commissioner for Human Resources

The SSA Future Workforce Transition Plan will:

- ❖ Help us acquire the workforce we need for the future, through recruitment of new employees and training of current employees.
- ❖ Help employees achieve satisfaction with work, family and career goals.

SSA has collected baseline information on employee and Agency needs, both for now and the future. Gaps have been analyzed and actions planned. Strategies for hiring, training, and retaining employees have been developed and are being implemented.

SSA has already:

- ❖ Developed a strategy for hiring underrepresented groups.
- ❖ Issued a report on the needs of our employees with disabilities and formed a team to enhance services.
- ❖ Issued a Retirement Wave study report.
- ❖ Issued a management/union report that identifies barriers to our “One Agency Concept” and recommends solutions.
- ❖ Issued the initial SSA Future Workforce Transition Plan.

Schedule: 2001-2002

- Conduct and evaluate employee satisfaction surveys.
- Develop, deliver and evaluate training for employees with disabilities.
- Update the Transition Plan.
- Implement emerging technologies for training delivery improvements.

Earnings Process Improvements

Lead SSA Officials: Deputy Commissioner for Finance, Assessment and Management and Deputy Commissioner for Operations

SSA has developed a comprehensive 5-year plan for further improvement of the earnings process systems. The plan includes the following major activities:

- ❖ Improve the manner in which earnings are established, corrected, and adjusted,
- ❖ Provide a more convenient way for wage data to be accessed by both employers and employees,
- ❖ Improve coordination among the various SSA data files--over 60--that contain related information about employers, employees and the wages associated with each,
- ❖ Provide for the infrastructure to allow SSA's earnings systems to accommodate more electronic business, especially to use the Internet as a primary method of conducting earnings business with all our customers, and
- ❖ Develop a single algorithm/computer routine to provide program benefit estimates to customers using variable assumptions about earnings and other factors relevant to the computation.

Schedule:

2001

- Complete work on the changes for Annual Wage Reporting (AWR) Tax Year 2000 processing.

2002

- Complete work on the changes for AWR Tax Year 2001 processing.
- Complete Social Security printing contracts for FY 2003.

Educate the Public About Social Security

Lead SSA Officials: Deputy Commissioner for Communications; Deputy Commissioner for Operations

The Educate the Public Key Initiative centers on the strategies laid out in our annual National Communications Plan, which identifies products and delivery systems designed to strengthen public understanding. This plan is based on the data and analysis of the annual Public Understanding Measurement System (PUMS) surveys and other SSA reports.

The PUMS data indicates that receiving a Social Security Statement significantly increases an individual's knowledge of Social Security programs. As required by law, every eligible adult worker age 25 and older for whom an address can be obtained will automatically receive annual statements of his/her earnings and benefit estimates.

SSA will continue its Ambassador Program which trains SSA employees and managers to help educate the public. We will conduct our annual Public Affairs training for our public affairs specialists.

Schedule:

2001

- Update the National Communications Plan with public information products targeted to the subject areas and population groups identified in PUMS as most in need of better understanding of Social Security.
- Issue the Social Security Statement to approximately 123 million workers age 25 and older plus about 3 million Statements issued upon request.

2002

- Upon analysis of PUMS survey data, continue to update and revise planning.

Electronic Disability System (eDIB)

Lead SSA Official: Deputy Commissioner for Systems

The eDIB's objectives are to develop a fully electronic process that will:

- ❖ Enhance processing by sharing disability information through the Electronic Folder across components.
- ❖ Leverage the DDS systems by creating an interface with the electronic folder.
- ❖ Improve the disability interview by providing automated interview screens.
- ❖ Provide for exchanging medical data with the health care industry.

We will apply changes to the process incrementally and evaluate the impact of:

- ❖ A proof-of-concept that demonstrated how key information collected through the disability interview process can be stored in an electronic folder.
- ❖ eDIB as implemented in the Delaware DDS and field offices in May 2000.
- ❖ Electronic Folder standards which will be developed as eDIB evolves and additional pilots are conducted to evaluate the electronic process.
- ❖ Distributed systems with the Electronic Folder which will be accessible by every component involved in the disability process.

Schedule: **2001**

- Implement scanning/imaging pilot for self help claims in Delaware.
- Implement eDib pilot in a State.

2002

- Improve eDib viewer using browser-based technology.
- Expand the universe of claims that can be taken in eDib.
- Implement eDib in additional DDS sites.

Electronic Payment Services

Lead SSA Official: Deputy Commissioner for Finance, Assessment and Management

This Key Initiative has three purposes:

- ❖ To implement the Debt Collection Improvement Act, which requires that all Federal payments are delivered by electronic funds transfer (EFT): SSA works closely with Treasury to encourage the use of EFT by the remaining 13 million Social Security and SSI check recipients. We will send notices to them explaining the options.
- ❖ To improve public service and efficiency by expanding SSA's use of the Automated Clearing House (ACH) system to exchange program-related information: SSA has taken the lead in using ACH to improve communications with financial institutions. We are exploring using ACH to notify SSA when a direct deposit beneficiary changes residence address.
- ❖ To modernize the payment disbursement process to take advantage of an all-electronic payment environment: The entire Social Security payment file is sent to Treasury each month which allows maximum time to act on late reports affecting the next scheduled payment.

Schedule: **2001**

- National direct deposit campaign.
- Continue phased mailing of Electronic Transfer Accounts (ETA) notice.

2002

- Continue phased mailing of ETA notice.
- EFT file certification in ACH format for 3rd of month file.
- International direct deposit for an additional 21 countries.

Electronic Records Management

Lead SSA Official: Deputy Commissioner for Finance, Assessment and Management

The purpose of this Key Initiative is to ensure that SSA takes the steps necessary to implement an electronic record-keeping system.

Under General Records Schedule (GRS)-20, a guideline provided by the National Archives and Records Administration, Federal agencies are allowed to destroy electronic records once a hard copy has been produced. In 1996, an advocacy group challenged GRS-20. After a series of court decisions, GRS-20 remains the legal process. However, printing and storing hard copies does not make sense when compared to the speed of electronic records storage. We are currently working to obtain funding to test a number of software options.

Also, under the Government Paperwork Elimination Act, by October 2003 agencies must give persons/entities that are required to maintain/submit/disclose information to the Federal Government, the option of doing so electronically. Likewise, the Electronic Freedom of Information Act Amendments require agencies to provide electronic access to government records. We must be able to store, track and retrieve records in order to comply with these Acts.

Schedule: 2001

- Conduct pilots to test available software packages.

2002

- Pilot study is completed and an evaluation report is prepared.
- Select software and finalize procurement package.
- Purchase software, distribute to Agency, install, and train.

Employment Strategy for People with Disabilities

Lead SSA Official: Deputy Commissioner for Disability and Income Security Programs

This is a comprehensive program to ensure a substantial increase in the number of beneficiaries who return to work and achieve self-sufficiency, including:

- ❖ Implementation of the Ticket to Work and Work Incentives Improvement Act which began in FY 2001. Return-to-work service providers will be paid only if the beneficiary leaves the disability rolls due to work or meets certain milestone criteria. A grants program will help beneficiaries gain employment.
- ❖ SSA and the Health Care Financing Administration are working to provide Medicaid/Medicare coverage to beneficiaries who return to work.
- ❖ SSA has created a new Employment Support Representative (ESR) position.

Schedule: 2001

- Implement Phase I of Ticket to Work and Self-Sufficiency Program.
- Evaluate ESR pilots and begin nationwide implementation.
- Increase electronic services for working beneficiaries.
- Monitor benefits planning and assistance grants.
- Collaborate with HCFA on health care initiatives.
- Expand and improve SSA's work incentives marketing program.

2002

- Release Tickets to eligible beneficiaries in second and final States.
- Report to the Commissioner and Congress on the status of the Ticket Program implementation.
- Develop strategies for improving beneficiary satisfaction with SSA's return-to-work services.

Enhanced Disability Program Training

Lead SSA Official: Deputy Commissioner for Disability and Income Security Programs

This Enhanced Disability Program Training KI proposes comprehensive improvement to all facets of training for disability adjudicators. It is intended to effectively use modern teaching media and address the continual need for skilled personnel. SSA has already:

- ❖ Established a Disability Training Steering Committee to identify training needs and to provide training feedback.
- ❖ Formed and trained the National Disability Training Cadre to prepare and deliver Interactive Video Teletraining.
- ❖ Increased disability-related training for new and experienced claims representatives.

Schedule:

2001

- Award follow-up contract to implement Disability Examiner certification.
- Train and utilize second National Disability Training Cadre.
- Hold second National Disability Trainers' Workshop.
- Draft National Training Package for medical consultants.
- Develop procedures for certification of individual adjudicators.
- Develop curriculum to address national standards and core competencies needed by adjudicators.

2002

- Prepare job analyses for disability examiners.
- Solicit and train third disability training cadre.

Enhance Environmental Health and Physical Security in the Workplace

Lead SSA Official: Deputy Commissioner for Finance, Assessment and Management

SSA has implemented many measures to enhance environmental health, safety and security in the workplace including:

- ❖ Air quality testing with a goal to evaluate 20 % of all offices each year.
- ❖ Water sampling of all field offices by FY 2001; 100 % of problems corrected.
- ❖ Environmental Health and Safety Comprehensive Assessments.
- ❖ CPR training and supplies provided for employee volunteers nationwide.
- ❖ Training to employees on ergonomic furniture principles and practices.
- ❖ A biennial employee survey to assess employee satisfaction with security.
- ❖ Field facility security evaluations.

Schedule:

2001

- Report results of FY 2000 Security Satisfaction Survey.
- Survey training centers, contact stations, other sites with no prior security survey.
- Prepare Hazard Communication Program IVT training.

2001-2002

- Continue air and water quality sampling plus asbestos surveys with timely remediation.
- Continue Environmental Health and Safety Comprehensive Assessments.
- Continue CPR training and supplies to employee volunteers.
- Establish ergonomic trainers and complete training for all employees.
- Survey offices that relocate; implement accepted security recommendations.
- Train employees to respond to workplace violence, emergencies

2002

- Provide Hazardous Communication training to field and hearings facilities.

Expand Electronic Wage Reporting

Lead SSA Official: Deputy Commissioner for Finance, Assessment and Management

The Internet will be the most popular alternative for annual wage reporting (EWR). EWR will provide business easy-to-use, cost effective ways to file wage reports; it will also lower SSA's processing costs, capture data quicker, and transmit information to the IRS faster. SSA completed proof-of-concept testing of EWR and has demonstrated that it is secure and cost-effective. Responding to this challenge, we will provide better access and support services for electronic filers, including:

- ❖ Capability for employers to report via the Internet and dedicated lines.
- ❖ Capability for employers to file reports via value-added networks.
- ❖ A variety of responsive and convenient help desk services.
- ❖ Facility for employers to download shareware/wage reporting software.

Schedule: **2001**

- Implement full EWR customer registration process.
- Analyze electronic error notices.
- Pilot initial Internet reporting capability.
- Prepare a Customer Support Manual.
- Plan for W-2 online.
- Begin receipt of Internet wage reports on Employer Services Online.
- Implement PKI Internet for 500 participants.

2002

- Implement automated confirmation of resubmission notices.
- Implement full Internet reporting capability.
- Implement electronic access to EWR Customer Support Manual and Internet W-2 Online access.

Financial/Administrative Systems

Lead SSA Official: Deputy Commissioner for Finance, Assessment and Management

SSA will modernize our financial and administrative processes and systems with three sub-initiatives:

- ❖ The Managerial Cost Accountability Process (MCAP) and System (MCAS) will modernize the way SSA collects, organizes, and provides management and financial information to managers, analysts and outside entities.
- ❖ The Electronic Payments (EP) sub-initiative will focus on the Third Party Payment System (TPPS), eBusiness, and travel.
- ❖ The replacement for the Financial Accounting System (FACTS) will provide a comprehensive financial accounting system for accounts payable, accounts receivable, core accounting systems, and reporting.

Schedule: **2001**

- Conversion of existing Cost Analysis System functionality to MCAS platform.
- The Third Party Payment System Release 3 will be developed to issue draft payments to employees, vendors and beneficiaries, and to make those payments via electronic funds transfer.
- A COTS package to replace FACTS will be identified and design/development begun.

2002

- MCAP/MCAS planning, development and implementation will continue.
- Additional trading partners for Electronic Commerce are anticipated to be available for other administrative payment areas.
- FACTS replacement continues with conversion from the existing FACTS and On-line FACTS systems, training, functional testing and validation, and other implementation phases.

Hearings Process Improvements (HPI)

Lead SSA Official: Deputy Commissioner for Disability and Income Security Programs

SSA is improving service to hearings customers by reducing individual case processing times, improving quality, promoting individualized case management, and increasing employee job satisfaction and productivity. With full implementation, HPI is expected to result in a 21 percent decrease in processing time and an increase in productivity per workyear. This Key Initiative incorporates:

- ❖ Process improvements including implementation of a national workflow model, processing time benchmarks and standardization of pre-hearing conferences.
- ❖ Group-based accountability including establishment of processing groups.
- ❖ Automation and data collection efficiencies including improved management information, case management software and automated calendars.

Schedule:

2001

- Phase 3 (final phase) of implementation ended in November 2000.
- Evaluate implementation and continue to monitor.

2002

- Continue to monitor.

Immediate Claims-Taking Services

Lead SSA Official: Deputy Commissioner for Operations

SSA's customers now have the choice of filing retirement and survivors claims immediately over the phone, if they have all the information needed at the time of the call and elect this service. The Immediate Claims Taking (ICT) service, which was rolled out in September 2000, is available to any customer who calls SSA's 800 number. This service supplements immediate claims services that were already in place for customers who visit any of our field offices.

The ICT service is a significant departure from the traditional 800 number policy of handling only those transactions that can be completed within a few minutes. The initiative has established a framework for providing teleclaims services without jeopardizing the world-class telephone access rates which are so highly valued by SSA's customers.

Schedule:

2001

- Monitor ICT service and impact on other workloads.
- ICT units will integrate call support for Internet Retirement Insurance Benefits (IRIB) customers and adjudication for IRIB applications that are mailed to them.
- Integrate additional sites into the ICT network.
- Develop plans for ICT services for limited English speaking customers.

2002

- Monitor ICT service and impact on other workloads.

Improve 800-Number Service

Lead SSA Official: Deputy Commissioner for Operations

SSA's national 800-number delivers outstanding public service. However, customer feedback tells us that our customers want to use the 800-number for more of their SSA business, including more complex transactions. Responding to these customer challenges, we want to:

- ❖ Increase the range of program and information services available to customers over the telephone,
- ❖ Increase the % of callers who rate SSA's services as good, very good or excellent,
- ❖ Maintain current courtesy ratings,
- ❖ Maintain current payment accuracy, and
- ❖ Improve service accuracy.

Schedule: **2001**

- Obtain call forecasting and staff scheduling software.
- Replace automatic call distributors with upgraded technology.
- Implement procedural changes that allow representatives to take additional actions to completion.
- Offer Spanish services nationwide.
- Improve 800-number automated services.
- Analyze 6 month service reports and take corrective action.

2002

- Pilot "screen pop" technology.
- Provide callers access to programmatic information contained in SSA's databases.
- Activation of Intelligent Network Routing (INR).
- Continue to look for ways to improve the automated services available through the 800-number.
- Analyze 6 month 800-number service reports and take corrective action.

Improve Field Office Reception Process, Reception Area Environment and Waiting Times

Lead SSA Official: Deputy Commissioner for Operations

The purpose of this Key Initiative is to improve the SSA field office (FO) reception environment and processes, resulting in improved customer satisfaction.

We are identifying and testing various technologies, physical arrangements, furniture configurations and workflows to determine those that serve our customers best. As a result of benchmarking activities completed in 1998, a summary of best practices for managing reception areas is available on SSA's Intranet.

The Automated Interview Tracking System (AITS) is available for use in all SSA field offices. This system allows offices to keep track of interview information on every visitor. It does not, however, provide waiting room management functionality.

The Visitor Information Services Analysis (VISA) software was piloted in five field offices (FO). This software helps us manage visitors from the time they walk into the office until they leave. The results of this pilot are helping us decide how to implement VISA/AITS in FOs with high volumes of walk-in traffic.

Schedule: **2001**

- Prepare service proposals and implementation plans.
- Begin implementation of VISA/AITS.

2002

- Continue rollout of VISA/AITS.

Improve Field Office Telephone Service

Lead SSA Official: Deputy Commissioner for Operations

There continues to be strong demand for telephone service in field offices (FO). The large number of local telephone companies that serve FOs, and their varying technology, make it difficult for us to get call volume and caller access data. Customer feedback, however, strongly suggests that FO telephone service is less than world-class. SSA wants to improve telephone access to FOs, and improve the quality of the telephone service provided.

Schedule: **2001**

- Conduct service observation of FO telephone service to measure quality and courtesy.
- Conduct FO caller recontact surveys to assess customer satisfaction and identify needed service improvements.
- Conduct field office caller access pilot.
- Based on pilot results, refine the process and implement an ongoing program to measure FO caller access.
- Pilot FO telephone management information system.
- Develop a process to allow FO general inquiry callers to redirect their call to the 800-number if they choose. Plan pilot.

2002

- Conduct service observation of FO telephone service to measure quality and courtesy.
- Conduct FO caller recontact surveys to assess customer satisfaction and identify needed service improvements.
- Continue program to measure FO caller access.
- Conduct pilot that allows FO general inquiry callers to redirect their call to the 800-number if they choose. Evaluate pilot and make recommendations.

Improvements to the Disability Claims Process

Lead Officials: Associate Commissioner, Office of Disability; Director, Disability Process Redesign Team

SSA and the DDSs have undertaken pilot initiatives to help us deliver fair, consistent and timely disability decisions at all levels:

- ❖ Our process unification initiative fosters similar results for similar cases at all stages of the claims process.
- ❖ The Full Process Model shows that increasing examiner authority, using medical expertise better, and increasing interaction with claimants at the initial level results in improved quality/service.
- ❖ We continue to test the Disability Claim Manager (DCM) model in which the DCM acts as the single point of contact for the claimant.
- ❖ Our pilot to eliminate the reconsideration step allowed us to correctly pay about the same number of claimants at the initial level, as we currently pay at the initial plus reconsideration level.
- ❖ We continue to track cases for our retest of the Elimination of the Request for Appeals Council (AC) Review.

SSA selected 10 states in which to prototype the most successful redesign elements.

Schedule: **2001**

- Evaluate early trend data for prototype changes. Assess evaluation results on the Disability Claim Manager pilot and decide on next steps.
- Publish an NPRM for implementation.

2002

- Assess results from re-testing the elimination of the Request for AC Review and make next step decisions.
- Continue to assess the process changes, and make decisions regarding national rollout.

Improvements to the Representative Payment Program

Lead SSA Official: Deputy Commissioner for Disability and Income Security Programs

SSA will improve our representative payment program through five projects:

- ❖ Payee and Beneficiary Education and Support Project.
- ❖ Custody Verification Demonstration Project for parent payees.
- ❖ Onsite Review Demonstration Project for fee-for-service and volume payee organizations.
- ❖ Representative Payee System (RPS) improvements.
- ❖ Ongoing Integrity Review Program.

Schedule: 2001

- Develop educational materials and videos for recruitment campaign, organizational payee seminars, and ongoing education/support workshops.
- Reprint organizational payee handbook.
- Award contracts for custody verification demonstration /monitor performance.

2001-2002

- Conduct workshops and seminars to educate organizational payees.
- Conduct a recruitment campaign to locate qualified organizational payees.
- Develop additional payee and beneficiary education/support materials.
- Distribute individual payee handbooks.
- Revise, print and distribute organizational payee handbooks.
- Analyze contractor report for Custody Verification Demonstration.
- Conduct site visits and random reviews for fee-for-service and volume payees.
- Award contracts; monitor Onsite Review Demonstration.
- RPS improvements.
- Develop an Integrity Review Program.

Information Exchange (INEX)

Lead SSA Official: Deputy Commissioner for Disability and Income Security Programs

SSA's data matching activities have proven highly effective in preventing/detecting benefit overpayments and fraud, and eliminating manual actions. We are taking advantage of improved technology and rapidly expanding online databases.

- ❖ For each major business process, SSA will continue to identify opportunities to use INEX to capture transaction inputs electronically, and implement new or expanded information exchanges with other government agencies and private entities.
- ❖ We are pursuing SSA Access to State Records Online (SASRO) on a State-by-State basis, and we now have limited access in 37 States, intending to add 10 States each year.
- ❖ SSA is also seeking access to databases that integrate information from multiple States.
- ❖ With State Online Query (SOLQ), SSA will provide State agencies immediate, online access to the information we now provide them overnight.

Schedule: 2001-2002

- Refine and implement INEX strategy.
- Add at least 10 new State agencies to SASRO each year.
- Formulate strategy for expansion of SOLQ; rollout to 7 States in 2001 and an additional 10 States in 2002.
- Complete National rollout of Office of Child Support Enforcement read-only access to SSA field offices completed in 2001.
- New Jersey electronic death registration pilot in 2002.

INS/ DOS Collection of Enumeration Data

Lead SSA Official: Deputy Commissioner for Disability and Income Security Programs

This Key Initiative will improve governmental efficiency and savings by having the Immigration and Naturalization Service (INS) and the Department of State (DOS) assist SSA in enumerating aliens; and reduce opportunities for individuals to provide fraudulent immigration documents to obtain SSN cards, thus improving enumeration integrity.

- ❖ DOS will collect enumeration data for immigrants along with visa information and forward it to INS, who will in turn forward the data to SSA.
- ❖ INS will forward to SSA the enumeration data collected from aliens changing from nonimmigrant alien status to permanent residents.
- ❖ INS will forward to SSA enumeration data collected from aliens applying for permission to work and issued employment authorization documents.

Schedule:

2001

- INS will forward to SSA the data elements in the electronic visa data package needed to assign SSNs when the alien enters the U.S.
- Continue to design and develop the needed software to support this initiative.

2002

- Work with INS to electronically collect from other groups of aliens the data needed to assign them SSNs.
- Develop instructions for DOS, INS and SSA employees.

Integrated Human Resources System (IHRS)

Lead SSA Official: Deputy Commissioner for Human Resources

The purpose of this project is to provide integrated, automated support for all human resource (HR) workloads, as well as accurate, timely, easy-to-use HR information. It will also provide a platform for maintaining, updating and using competency-based HR tools. Once implemented, the system will reduce HR paperwork burdens, enable sufficient and timely decisionmaking, and provide for employee self-service.

Among the HR business processes to be supported by IHRS are: Selection and Recruitment, Employee Training and Development, Equal Employment Opportunity, Labor Management Relations, Employee Benefits, Employee Services, Performance Management and Incentives, Position Management, Suggestions, Health and Safety, and Salary Administration.

Schedule:

2001

- Develop and implement future releases of IHRS.

2002

- Develop and implement future releases of IHRS.

Interactive Video Teletraining

*Lead SSA Official: Deputy Commissioner for
Human Resources*

For the past 4 years, SSA has been delivering interactive video teletraining (IVT), using one-way video (of the instructor to the students) and two-way audio communication. IVT is an effective, economical way to provide fully interactive training to students who are not co-located with the instructor. By the end of FY 2001, SSA's IVT system will provide IVT access to 67 percent of its offices. Our goal is to have IVT in 80% of our offices by the end of FY 2002. With third party documentation showing the benefits of IVT to the Agency, SSA is now looking at the possibility of rolling out IVT to all remaining SSA offices.

Schedule:

2001

- Continue expansion initiative to install IVT in 67% of SSA offices.
- Determine availability and impact of technology for desktop expansion.

2002

- Continue expansion initiative to install IVT in 80% of SSA offices.

Internet Customer Services

*Lead SSA Official: Deputy Commissioner for
Disability and Income Security Programs*

SSA has a website that covers every aspect of Social Security and offers a growing number of electronic transactions. With the growth of online direct services as a "best" business practice, customers expect us to offer an ever-increasing range of Internet services.

One of our challenges is the need for reliable ways to authenticate the identity of customers interacting with SSA via electronic media. Our effort includes establishing an application risk assessment methodology, establishing password policies, and conducting Public Key Infrastructure (PKI) pilots.

We are also developing better customer support for our Internet customers.

Schedule:

2001

- Continue to obtain stakeholder input.
- SSA's goal is to have 21% of its 73 customer initiated services available to customers either through the Internet or automated telephone service. Implement additional Internet services, including benefit account status and the first RSI post-entitlement transactions.
 - Evaluate resources and other requirements for online inquiries and customer support involving interaction with SSA employees.

2002

- Continue to obtain stakeholder input.
- SSA's goal is to have 30% of its customer initiated services available through the Internet or automated telephone service. Implement additional Internet forms and services.
- Establish an electronic site that provides statistical data along with flexible query and report preparation tools.

Leadership Training/Career Development

*Lead SSA Official: Deputy Commissioner for
Human Resources*

SSA recognizes the need for strong leadership as the Agency moves forward in an environment of expanding workloads. The Agency is committed to developing the managers for tomorrow and preparing them with the knowledge and skills to lead and shape SSA's programs in the 21st century. Our managers need to 1) successfully deliver service to a diverse customer base, 2) operate within a streamlined organizational framework with increasing spans of control, and 3) develop and nurture a rapidly changing workforce.

The leadership training/career development (LTCD) initiative will 1) identify essential competencies that managers will require, and 2) provide a continuous learning environment in which new managers will be acquire those competencies and established managers will sharpen their skills.

Schedule: 2001

- Completion of Advanced Leadership Program and continuation of Leadership Development Program.
- Reannounce and make selections for the next Advanced Leadership Program.

2002

- Re-announce and make selections for the Leadership Development Program.
- Continue annual Presidential Management Intern program participation.

2001-2002

- Continue ongoing one-day seminars for 1/3 of Agency managers.
- Continue ongoing management curriculum and rotational programs.

Market Measurement Program

*Lead SSA Official: Senior Advisor, Customer
Service Integration*

The Market Measurement Program (MMP) involves a variety of systematic data collection mechanisms that, taken together, give SSA a full range of information about its market, i.e., its customers, workforce and stakeholders. The MMP includes data collection activities for three segments.

- ❖ To hear from customers, we gather information from all SSA's major customer groupings using five different data collection methods.
- ❖ To hear from our workforce, we use a survey process that will tell us how satisfied employees are with their work environment.
- ❖ To hear from stakeholders, we use data collection mechanisms specifically tailored to major stakeholder groups.

The Market Measurement Program (MMP) Clearinghouse has been developed as a central repository for all reports of findings resulting from the various Agency data collection activities under the MMP.

Schedule: 2001-2002

- Implement interaction tracking (surveys involving office visits, the 800-number, field office (FO) phone service, and the Internet).
- Obtain comment cards from hearings offices and field offices.
- Conduct stakeholder interviews.
- Conduct focus groups and surveys for three customer segments.
- Conduct employee satisfaction survey pilot in 2001. If successful, expand agency wide.
- Conduct surveys of employers.
- Conduct special studies.

Notice Improvements

Lead SSA Official: Deputy Commissioner for Disability and Income Security Programs

SSA sends its customers approximately 390 million notices annually. Improving notices is essential to improving customer satisfaction.

- ❖ SSA will improve language for Title II overpayment notices, including more case-specific information.
- ❖ The mainframe Distributed Online Correspondence System (DOCS) will replace and improve on the current PC based Field Office Notices System, also enabling field employees to see these notices online.
- ❖ SSA will improve the clarity and format of millions of SSI financial eligibility notices. We will add a worksheet to explain the customer's benefit amount. We are gradually eliminating exclusions to automated processing of SSI notices.

Schedule:

2001

- Pilot and stage rollout of DOCS.
- Eliminate exclusion to automated SSI overpayment notice processing.
- Focus test SSI benefit computation worksheet for individuals with earned income or earned and unearned income; test language for SSI living arrangements.

2002

- Implement notice language for work-related Title II overpayment and other benefit adjustment letters.
- Implement SSI computation worksheet for individuals with no income or unearned income.
- Implement new language to notify SSI claimants/recipients of their right to review their claims folder.
- Focus test SSI computation worksheet for certain categories of unearned income.
- Nationwide rollout of DOCS; begin centralized DOCS printing.

Paperless Disability Claims

Lead SSA Official: Associate Commissioner for Disability; Regional Commissioner, NY

SSA will pilot the processing of paperless disability claims in the Brooklyn, NY Disability Determination Services (DDS) office. They will use an electronic disability folder at all stages of review. The Disability Quality Branch in the New York Region will do an electronic, paperless review, and the Brooklyn Hearings office will also use the electronic disability folder if a hearing is requested.

Before SSA commits to national electronic disability claims processing, we must demonstrate the feasibility, costs and benefits of using an electronic disability folder. This initiative will gather data and answer critical questions so that informed decisions can be made.

Schedule:

2001

- Contract with vendor to develop an electronic folder that will store electronic medical evidence and other decisional material. The vendor will use the Eastman Suite (SSA's imaging software standard).
- As the pilot begins, the DDS will process cases using an electronic folder, while at the same time maintaining a paper folder.

2002

- The electronic folder will be integrated into the DDS's case processing system.
- Consultative Examination reports will be sent over the Internet. The field offices will scan and electronically transmit applications and interview forms to the DDS so they can be added to the electronic folders.

Paperless Processing Centers

Lead SSA Official: Deputy Commissioner for Systems

The initial implementation of the Paperless Program Service Center (PSC) system took place in the Mid-Atlantic PSC (MATPSC) beginning in 1999. This was followed by implementation in the other PSCs: Great Lakes, Western, Northeastern, Southeastern, and Mid-America. The PSC implementations were completed in 2000. National rollout of the system to the Office of Central Operations (OCO) continues in FY 2001 and FY 2002.

Since initial implementation, there have been several releases of software enhancements, as well as supporting commercial off-the-shelf software (COTS) upgrades.

Schedule: **2001**

- Continue rollout of the paperless processing system to about ½ of OCO.

2002

- Complete rollout of the paperless processing system to OCO.
- Continue to release enhancements to the paperless software.

Plain Language

Lead SSA Official: Senior Advisor, Customer Service Integration

The main purpose of this Key Initiative is to make SSA documents clear for their intended audiences, thus reducing the time employees spend with customers clarifying and explaining our written correspondence.

SSA incorporates plain language in:

- ❖ All new documents that explain how to obtain benefits or how to comply with program requirements.
- ❖ All proposed and final rulemaking documents and regulations.
- ❖ Active old documents in the above categories.

This initiative included a comprehensive two-year training plan. SSA completed training for high volume writers; and began training low volume writers by Interactive Video Teletraining.

Schedule: **2001**

- Purchase and distribute plain language support software and provide training.
- Conduct focus groups on integration of plain language into external documents.
- Complete training of employees responsible for writing low volume, sensitive, external documents.
- Administer maintenance of plain language correspondence and activities.
- Administer on-going evaluation process.
- Ensure all new employees receive plain language training.

2002

- Administer maintenance of plain language correspondence and activities.
- Ensure all new employees receive plain language training.

PolicyNet/Policy Repository

Lead SSA Official: Deputy Commissioner for Disability and Income Security Programs

PolicyNet and Policy Repository improve SSA's ability to make policy-related decisions better, faster, and cost-effectively. Together, they provide Intranet-based access to the latest policy-related information. PolicyNet is the communications system for our redesigned, proactive policymaking environment. SSA gets early input into the policy process from end-users and stakeholders (internal and external) through nationwide forums and use of the Internet. The Policy Repository modernizes our infrastructure to consolidate policy materials, link them electronically, and deliver a single, consistent presentation.

Schedule: **2001**

- Redesign PolicyNet interface.
- Expand/integrate Policy Repository content.
- Develop electronic policy clarification functionality.
- Expand PolicyNet program evaluation and research.
- Add new reference materials. Implement online Program Operations Manual System.
- Implement paperless workflow, archiving, and document retrieval.
- Adapt to technology advances (e.g., migrate to XML.)
- Expand PolicyNet to the Internet.
- Develop electronic question and answer process.

2002

- Expand/integrate Policy Repository to single presentation of policy.
- Enable electronic policy clarifications.
- Implement paperless workflow, archiving, and document retrieval.

Reduce the Earnings Suspense File

Lead SSA Official: Deputy Commissioner for Finance, Assessment and Management

This initiative outlines the improvements necessary for SSA to reduce the Earnings Suspense File's (ESF) size and rate of growth.

The source of the suspense items are varied, for example:

- ❖ Nine States account for 70 %.
- ❖ Three industries account for 46 %.
- ❖ Fifty-five % have no name, no name and social security number (SSN), or an unissued SSN.

To meet our goals, SSA is:

- ❖ Editing annual wage reports.
- ❖ Helping employers determine and record the proper name/SSN,
- ❖ Communicating with employers (submitters) about errors and helping them to avoid and correct them, and
- ❖ Working with the IRS to establish incentives for employers to improve the quality of wage reports.

Schedule: **2001**

- Establish format for capturing customer "names" from source documents for input to SSA's computer master files.
- Complete all form and software changes for customer name format effort.

2002

- Implement format for customer name.

Service to the Limited English Proficient Public

Lead SSA Official: Deputy Commissioner of Disability, Insurance, and Security Programs

We recognize that our customers come from diverse cultural backgrounds, and that many have limited English proficiency (LEP). This initiative ensures that all our clients receive full access to SSA service. Better communication with LEP clients also results in increased program integrity. Claims taken by bilingual employees reduce fraud introduced by middlemen interpreters. In the last several years, we improved service to LEP clients by:

- ❖ Using automated management information (MI) about our LEP customers to make hiring and staffing decisions.
- ❖ Increasing bilingual staff and locating them in the right offices.
- ❖ Establishing an 800-number Spanish gate.
- ❖ Taking on primary responsibility for providing interpreter services.
- ❖ Giving employees cultural diversity training.
- ❖ Providing expanded language training to bilingual staff.
- ❖ Capturing customer language preferences in our major systems; making available online.

Schedule: 2001

- Provide technical training to bilingual employees.
- Develop training in Vietnamese, Chinese, French and Russian.
- Report FY 2000 customer language preference from automated MI. Capture language preference data for SSI claims.
- Issue cover letters in six languages.

2002

- Provide “Rights and Responsibilities” handout in 7 languages.

Social Security Unified Measurement System

Lead SSA Official: Deputy Commissioner for Operations

The purpose of the Social Security Unified Measurement System (SUMS) is to create a unified SSA work measurement system that counts and measures all work in a consistent manner, regardless of where the work is processed. It provides management information (MI) to monitor service, forecast workloads, and make decisions. Significant support of the SUMS goals will be delivered through the Work Measurement Data Warehouse (WMDW). A component of the SUMS strategy is the Customer Service Record (CSR) - a tool to provide employees with a comprehensive client picture and eliminate the need for multiple queries.

Schedule 2001

- First release of the CSR.
- Develop the following workloads in the Operational Data Store and migrate the data to the WMDW: MSSICS Field Office (FO) Appeals, MSSICS FO Appeal Management Reports and Processing Time, Title II WMI FO Management Reports, Title II Workload Counts and Processing Times, Ticket to Work Data, PC Workload and Work-Power Data, and Modernized FO Workload Control of Redeterminations.
- Implement Allegation Management System including fraud MI.

2002

- A new CSR release.
- The SSI Redetermination workload will be added to the WMDW.
- Identify postentitlement workloads that lack specific MI data.

Space Modernization and Improvements

Lead SSA Official: Deputy Commissioner for Finance, Assessment and Management

SSA will provide all SSA employees with user-friendly, modern office facilities that meet their needs well into the 21st century. This initiative includes:

- ❖ Major renovation of SSA Headquarters buildings.
- ❖ Construction of a new Headquarters Child Care Center.
- ❖ Renovations to field offices (FOs) and hearings offices (HOs) nationwide.
- ❖ Upgrades of our larger facilities, e.g., Program Service Centers (PSCs) and Teleservice Centers (TSCs).

Schedule: **2001**

- Complete IWS/LAN systems furniture design and site preparation specifications for FOs and HOs.
- Continue major upgrades/renovations to SSA facilities nationwide.
- Complete Annex Building renovations.
- Complete space renovations to the Metro West Building.

2002

- Occupy the Annex Building.
- Complete construction and occupy the new Headquarters Child Care Center.
- Complete Metro West Building exterior replacement.
- Operations Building construction.
- Continue upgrades of FOs and HOs and site preparation for IWS/LAN and new furniture.

Speech Recognition Software

Lead SSA Official: Deputy Commissioner for Disability and Income Security Programs

SSA will reduce the time required to produce Office of Hearings and Appeals (OHA) hearing decisions and correspondence, by implementing the use of speech recognition software. This software will eliminate the time-consuming hand-offs and transfers required when dictation is used. Currently, about 25 percent of Administrative Law Judge (ALJ) decisions are produced by dictation. Replacing dictation with speech recognition software will eliminate the need for clerical staff to type drafts.

The current generation of software has the ability to approximate the following requirements defined by OHA:

- ❖ 95 percent accuracy rate after sufficient training; and
- ❖ Ability to process 90 words per minute.

A pilot using the speech recognition software and cost-benefit assessment will be conducted in FY 2001.

Schedule: **2001**

- Begin pilot testing in four Hearing offices.
- Complete cost-benefit assessment.
- Evaluate pilot.

2002

- Begin implementation.

SSI Posteligibility (PE) Modernization

Lead SSA Official: Deputy Commissioner for Operations

This Key Initiative has six major purposes:

- ❖ Increase SSI payment accuracy and process efficiency;
- ❖ Reduce SSI processing times;
- ❖ Deter SSI fraud;
- ❖ Reduce SSI debt;
- ❖ Support the SSI high-risk initiative; and
- ❖ Improve public service.

The Modernized Supplemental Security Income Claims System (MSSICS) automated the SSI claims process. However, several SSI processes (e.g., appeals, netting, overpayments, and notices) were omitted. The following systems projects address these omissions and are the main focus of this KI:

- ❖ Automation of the SSI appeals process.
- ❖ Automation of windfall offset exclusions and attorney fees.
- ❖ System to help employees with SSI overpayment computations and notices.
- ❖ Improved workload control systems.
- ❖ A database to control SSI alerts.
- ❖ A MSSICS postentitlement (PE) path for Service Representatives, Teleservice Representatives and Title II Claims Representatives.
- ❖ Automation of the remaining non-MSSICS PE events and reduction of MSSICS exclusions and limitations.

Schedule: **2001-2002**

- Automate windfall offset exclusions and attorney fees.
- Automate overpayment decision inputs.
- Add redeterminations and limited issues to the Title XVI Postentitlement Operations Data Store.

Talking and Listening to Customers

Lead SSA Official: Senior Advisor, Customer Service Integration

In establishing a single, Agency-wide customer feedback system, called Talking and Listening to Customers (TLC), SSA will advance its goal to provide customer responsive, world-class service. Through TLC, SSA will capture and address customers' spontaneous compliments, complaints and suggestions on various aspects of SSA's programs, policies, laws and service.

TLC will serve the dual purpose of addressing individual customer concerns, and identifying and supporting analysis and action on larger, systemic issues. Data collected in TLC will support SSA's business planning, policy development, communication strategies and operational and service enhancements.

Current and planned activities include:

- ❖ Continued execution of communication strategy for employees and customers,
- ❖ Evaluation of the pilot,
- ❖ Development of software enhancements based on pilot analysis,
- ❖ Refinement and execution of training for national roll-out, and
- ❖ Full national implementation.

Schedule: **2001**

- Continue pilot.
- Evaluate pilot.
- Develop plan for national rollout.
- Procure services of contractor to assist with National rollout.
- Begin National implementation.
- Analyze and report TLC data.

2002

- Continue national implementation.
- Evaluate/enhance TLC system.

The Public Understanding Measurement System

Lead SSA Officials: Deputy Commissioner for Communications; Deputy Commissioner for Operations

We have responsibility to ensure that the American people understand the Social Security programs. SSA's objective is that, by the year 2005, nine out of ten Americans will be knowledgeable about Social Security programs in three important areas: basic program facts, financial value of programs to individuals, and financing issues. The Public Understanding Measurement System (PUMS) consists of a national survey and quarterly (local) "Move the Needle" surveys designed to assess the public's knowledge of Social Security programs in these three areas. The PUMS also helps us evaluate our National Communications Plan.

Schedule: **2001**

- Set annual performance target of 75 percent (7 out of 10 adult Americans age 18 and over will be knowledgeable).
- Conduct national PUMS survey – 1st quarter.
- Receive PUMS survey results and analysis; Update National Communications Plan – 2nd quarter.
- Review FY 2002 performances target – set FY 2003 target – 3rd quarter.
- Complete local quarterly PUMS surveys in selected Regions – 1st-4th quarters.
- Receive PUMS quarterly test summary report and renew/update Plan and PUMS Survey based on this report – 4th quarter.

2002

- Set annual performance target of 75 percent (7.5 out of 10 adult Americans age 18 and over will be knowledgeable) and repeat 2001 cycle.

Title II System Redesign

Lead SSA Official: Deputy Commissioner for Systems

The Title II System Redesign initiative will provide a single system for processing all initial claims and client-initiated postentitlement (PE) actions in an online interactive mode. The original 28 separate PE programs and the Claims Automated Processing System (CAPS) have been or are being retired as Title II Redesign software is released. The net effect will be a greater capability to process work at the customer's first point of contact, online user access to comprehensive customer information, and an automated system that is easier and less costly to maintain and modify. These benefits translate into improved customer service and work year reduction.

Schedule: **2001**

- Implement release 2.1 which focuses on improving workers compensation PE computations, adding field office (FO) reinstatement capability, and streamlining release of attorney letters.
- The Postentitlement Online System (POS) will be modified to allow FOs to process reinstatement events, e.g., questionable retirement and resurrection from death cases.
- Begin work on Redesign Release 3.

2002

- Implement Release 3 which is intended to retire additional PE programs (SALT, TASTE and Death Terminations) and increase the Title II PE processing to about 91.5 percent.
- Begin work on Release 4 to retire the remaining postentitlement programs (AJS1, AJS3, REACT), and increase the Title II postentitlement processing to 92.8 percent and the initial claim processing to 94 percent. This release is planned for late 2003.

Title XVI Payment Accuracy

Lead SSA Official: Deputy Commissioner for Disability and Income Security Programs

This initiative promotes the prevention, detection, and resolution of SSI overpayments (with emphasis on prevention and detection) through efforts to:

- ❖ Improve payment quality by targeting the most error-prone policy areas.
- ❖ Reduce payment errors through POMS instructions compliance.
- ❖ Reduce payment errors through improved automation of SSI processes.
- ❖ Profile redeterminations to focus on cases with greatest potential for change.
- ❖ Enhance electronic data collection.

We have established a comprehensive plan to control and limit overall debt including:

- ❖ Computer matching with seven Federal agencies.
- ❖ Creation of diary alert database to monitor alerts from computer matching.
- ❖ A project to increase detection of prisoners ineligible for SSI.
- ❖ Online access to data bases at the OCSE/NDNH and individual States.
- ❖ Increased management focus on quality.
- ❖ Review of redetermination frequency to determine most effective cycle.
- ❖ Proposals to simplify the program.
- ❖ Improved automation to reduce payment errors/improve debt resolution.

Schedule:

2001

- Online access expansion with State databases (SASRO).
- Online access with OCSE/NDNH databases in all FOs.
- Begin alert process for computer matching with INS.

2002

- Online access expansion with SASRO.
- Diary alert database in place.

Update Medical Listings

Lead SSA Official: Deputy Commissioner for Disability and Income Security Programs

The Listing of Impairments, or “listings”, contain examples of medical conditions and medical findings, arranged by body system. The criteria in the listings are so severe that disability can be presumed for anyone who is not performing substantial gainful activity and who has an impairment that “meets” the criteria of a listing. Since the listings cannot include every possible impairment or combination of impairments a person could have, SSA’s rules also provide that a person’s impairment(s) can “equal” the severity of a listing.

A number of the listings have not been updated in several years, and may no longer reflect the state-of-the-art in medicine and disability evaluation. Therefore, updating the listings is a priority activity for SSA. SSA is reviewing listings by body system, although in some cases the Agency expects to address only particular listings and impairments when that makes more sense. SSA’s strategy is to undertake the short-term fixes first and eliminate inconsistencies as it completes each body system. Updating different listings will entail different activities requiring expert input, research and public involvement. SSA expects to address corresponding adult and childhood listings at the same time.

Schedule:

2001

- Issue final regulations for selected body systems and impairments.
- Issue notices of proposed rulemaking for additional body systems and impairments.

2002

- Issue final regulations for selected body systems and impairments.
- Issue notices of proposed rulemaking for additional body systems and impairments.

Video Teleconferencing

*Lead SSA Official: Deputy Commissioner for
Disability and Income Security Programs*

The purpose of this Key Initiative is to use Video Teleconferencing (VTC) technology to improve service delivery to hearings and other customers, especially those who live in remote areas, and to increase the ability of hearing offices (HO) to balance workloads through case transfers.

This technology will allow us to:

- ❖ Provide timely hearings to claimants living in remote areas, claimants who are incarcerated or appellants in some Medicare claims, and improve processing times.
- ❖ Increase Administrative Law Judge (ALJ) productivity due to reduced travel time/cost, and enhance capacity to coordinate with medical/vocational experts.
- ❖ Improve the ability of HOs to transfer workloads to other HOs without increased travel costs.
- ❖ Permit Senior Attorneys to conduct remote pre-hearing conferences.
- ❖ Expand VTC capability to other SSA components.

Our Office of Hearings and Appeals (OHA) has conducted VTC hearings on a pilot basis, and has established the viability of this process. Customer response to VTC service, as well as productivity and workload impact, were followed closely as OHA deployed additional units in 2000. Data from additional sites will be used to verify an estimated return on investment before future rollout sites are selected.

Schedule:

2001

- Rollout of VTC to additional sites as warranted.

2002

- Continue expansion as warranted

Appendix 6

SSA's Evaluation Plan

Following is a schedule of program evaluations, analyses and studies that will be undertaken or completed during FY 2002 and which directly relate to performance goals and indicators in the APP.

GOAL	PROGRAM EVALUATION	SCOPE and METHODOLOGY	ESTIMATED COMPLETION
Responsive Programs	Evaluation of Changing Benefit Structures	Evaluates distributional impact of changing OASDI benefits	Ongoing
	Welfare Reform and Children with Disabilities	Evaluates the effect of the Personal Responsibility and Work Opportunity Reconciliation Act of 1996 on SSA's childhood disability workloads and program costs (cost, program analysis)	Initial report: 2001 Final report: 2003
	State Partnership Evaluation	Evaluates the effects of demonstration project to assist States in developing integrated employment service delivery systems for SSI/SSDI beneficiaries	Preliminary results: 2002 Final results: 2004
World-class Service	Interaction Tracking Survey	Assesses customer satisfaction with service by mode of interaction – telephone, office visit, and the Internet (statistical)	Twice in 2002
	Annual Employer Survey	Assesses employer satisfaction with SSA service (statistical)	2002
Program Integrity	Annual CDR Report to Congress	Report on SSA's progress in meeting CDR requirements under law and assesses effectiveness of CDRs	2002

GOAL	PROGRAM EVALUATION	SCOPE and METHODOLOGY	ESTIMATED COMPLETION
Valued Employees	Water and Air Quality Surveys	Assesses environmental quality of facilities and identifies required corrective actions	Ongoing
	New Hire Selection Process/Competencies	Assesses competencies as a focused method of recruiting and assessing job candidates	2002-2003
	Organizational Culture Study	Re-conduct organizational culture survey	2002
	Retirement Wave Study	Reviews actual attrition data and updates/revises attrition methodology in order to better predict future attrition	2002
	Survey of Training Effectiveness	Conducts regional onsite evaluations of training effectiveness by applying OPM's Employee Survey Questionnaire	Ongoing
Public Understanding	Annual Public Understanding Measurement System (PUMS)	National public survey of adults age 18 and over to assess their knowledge about Social Security programs (statistical)	2002
	Move the Needle Study	Regional public survey of adults age 18 and over to assess their knowledge about Social Security programs (statistical)	Quarterly

Management Challenges

To meet the performance goals established for FY 2002, SSA must strive to resolve the management challenges identified both externally and internally. The management challenges listed below are those most-recently identified by the General Accounting Office and SSA's Inspector General (IG) as the most serious management challenges facing our Agency. In all cases, SSA has formulated specific action plans to address these challenges and plans to make significant progress toward meeting them. In addition, we have adopted specific and measurable performance targets that demonstrate our commitment to resolving these problems. For some problems, numeric outcome or output goals, are used. For others, measurable milestones of initiatives (tracked at the executive level to ensure success) are used.

Several challenges identified by SSA's IG cover the same general area of concern highlighted in prior year(s), however, they have different sub-issues for SSA action. In its most recent list, SSA's IG has acknowledged that SSA has made notable progress in addressing the sub-issues previously identified.

1. Strengthening SSI Program Management

In October 1998, SSA issued a comprehensive plan for improving management of the SSI program, "Management of the Supplemental Security Income Program: Today and in the Future". The plan addresses four

areas of the SSI program that can be better managed: improving overall payment accuracy, increasing continuing disability reviews (CDRs), expanding our efforts to combat program fraud, and improving debt collections. In each area, we set aggressive but achievable goals that will improve management of the program.

We have always been committed to administering the SSI program as efficiently and accurately as possible. However, we believe we can improve our administration of SSI in ways that will further increase accuracy and reduce erroneous payments. Our current strategies include the following:

- **Electronic Access to Information**
– We continue to expand electronic information exchanges significantly over the years. In FY 2002, we will continue to increase the number and frequency of computer matches with States, other Federal agencies and private organizations to detect unreported income, resources, and other payment affecting changes. We are also working to increase online, real-time access to data held by other organizations, with appropriate security and controls. Beginning with FY 2001, our APP has a discrete performance objective and specific performance measures which will track our progress in expanding our progress in this arena.
- **Processing CDRs** – SSA is committed to ensuring that only those individuals who meet program

eligibility requirements come on to the rolls and that only those who continue to be disabled remain on the rolls. We expect to complete 1.7 million CDRs in FY 2001 and 1.3 million CDRs in FY 2002 as called for by our 7-year plan. We anticipate becoming current in processing CDRs for the SSI program by the end of FY 2002. Over the course of our 7-year plan, on average, we expect to realize lifetime program savings exceeding \$10 for every \$1 in administrative cost. We are also continuing to refine our profiling techniques to better target cases with the greatest payoff.

- **Processing additional non-disability redeterminations** – Redeterminations are periodic reviews of SSI beneficiaries’ non-medical eligibility, i.e., income and resource factors affecting eligibility and payment amounts. These reviews are the most effective tool available to SSA for improving the accuracy of SSI payments. In FY 2002 we will significantly to increase our redetermination efforts.
- **Making maximum use of all debt collection tools available by law** – Recent legislation gave us additional tools to further our efforts. These include administrative offset against other Federal payments, Federal salary offset, referral of delinquent debtors to credit bureaus, use of private collection agencies, interest charging, wage garnishment, cross-program recovery, and Treasury’s cross-servicing program. In FY 2001, SSA will complete implementation of cross-program recovery, administrative offset

against other Federal payments and referral of delinquent debtors to credit bureaus. Planning is underway to complete implementation of the remaining tools.

- **Imposing sanctions** - SSA now may impose sanctions on individuals who knowingly furnish inaccurate information material to SSI eligibility or payment amount, providing a deterrent to those who purposely mislead SSA in order to claim benefits.

The FY 2002 APP contains measures for each of the 8 strategic objectives addressed in the SSI management plan, and describes the specific means and strategies that are being employed. We also include a separate section in the plan that displays all the performance goals related to SSI program management (pp. 140-142).

2. Social Security Reform, (i.e., Solvency)

As the debate moves forward on how best to strengthen and modernize Social Security for the future, SSA is committed to providing the policymakers and the public with the information needed to assess all the proposals under consideration. SSA plays a critical, active role in the policy debate by providing information about program characteristics overall and the implications of proposed strategies. For example:

- On an ongoing basis, we participate in activities across the country to inform the public about the Social Security program of today so they

can help shape the Social Security program of tomorrow.

- We brief Members of Congress about the long-term challenges for social security and provide technical assistance to congressional staff who are developing legislative proposals to enhance the programs.
- We analyze Social Security reform proposals.

The FY 2002 APP acknowledges our key participation in the development of proposals to reform and modernize OASDI programs. It commits SSA, in FY 2002, to prepare and update analyses on the distributional and fiscal effects of reform proposals developed by the Administration, Congress, and other policymakers (pp. 31-34).

3. Systems Security and Controls

The IG indicated that SSA has made notable progress in strengthening and improving the control and protection of information. SSA remains committed to addressing security and integrity issues with a goal to further improve our overall information protection control structure.

SSA will continue treating systems security as an extremely high priority. We are enhancing a plan for information systems security, that has the following key components:

- Deploying new security technology.
- Integrating security into the business process.
- Performing self-assessments of our security infrastructure.
- Introducing new performance measures for information systems security that will be reported to monitoring authorities.

We conduct periodic reviews of SSA offices and of other agencies that use SSA data to ensure that our security policies are properly implemented. Independent audits are also conducted on various security functions. The findings from these audits are used to further improve our security program.

Many security awareness and training efforts are underway to sensitize all employees to security within their own functional areas. Initiatives include:

- Development of security self-assessment and training modules for employee use via the Intranet.
- Publication of the Systems Security Handbook on SSA's Intranet Security Home page and sending routine security alerts to employees.
- Use of employee communication vehicles such as videos and posters.
- Provision of security materials to all new hires.

While SSA has a strong program to combat fraud, waste and abuse, there is potential for deliberate acts of deception in any benefits program. The FY 2002 APP contains a specific performance objective to aggressively deter, identify and resolve fraud, with numeric performance goals for FY 2002. Among the supporting means and strategies discussed is a comprehensive anti-fraud plan, jointly developed and overseen by SSA and the OIG. The anti-fraud plan includes activities to prevent and detect fraud, such as revising the integrity review process to better identify fraud prone situations and better focus security audits, continuing efforts to enhance the Agency's ability to protect critical infrastructures, and increasing systems

controls for certain automated transactions sensitive to fraud. (pp. 116-119, Appendix 5, p. 3).

In addition, to prevent any compromise or damage to our systems, we have undertaken an initiative to ensure that our assets are protected from both physical and cyber threats as required by Presidential Decision Directive (PDD) 63. It calls for a national effort to assure the security of increasingly vulnerable and interconnected infrastructures of the United States, especially the cyber-based infrastructure. We are currently assessing which of our assets are most critical, conducting vulnerabilities assessments on these assets and taking action to ensure our system of safeguards is top notch.

SSA is also addressing PDD-67, which requires all Executive Branch Departments and Agencies to have a viable continuity of operations plan in place to ensure continuation of essential functions during an emergency. Using its year 2000 contingency plan as a basis, SSA has developed a Continuity of Operations plan. Included in that plan is an ambitious disaster recovery-testing plan for the National Computer Center (NCC) which we have already implemented.

4. Program Complexity

SSA's comprehensive plan for improving management of the SSI program, "Management of the Supplemental Security Income Program: Today and in the Future" addresses four areas in which the SSI program can be better managed: improving overall payment accuracy, increasing continuing disability reviews (CDRs), expanding our efforts to combat program fraud, and

improving debt collections. In each area, we set aggressive but achievable goals to improve our management of the program, assuming receipt of adequate resources. We specifically discuss our actions to improve management of the program under item 1 above.

SSA has grappled with the complexity of the SSI program since it was first implemented and has made numerous efforts to simplify it. Legislative, regulatory and judicial actions designed to improve the program's ability to provide benefits in an equitable and cost-effective manner have increased program complexity. Congress, the General Accounting Office, the Social Security Advisory Board and others, as well as the Agency, acknowledge program complexity as an important challenge to administering the program effectively. However, the complexity of some policies is often the result of addressing the benefit equity and program integrity objectives of the program.

SSA's goal is to identify options that will make the program easier to comprehend and administer without compromising program objectives. SSA conducts research, evaluation and policy development to help policymakers make informed choices in this area. We are currently reviewing several policies including living arrangements, receipt of in-kind support and maintenance, and resource and wage accounting. We will issue a report in FY 2001. SSA will continue analyses of program simplification options and will develop specific proposals for policy change as appropriate. Additionally, as we assess any proposal for policy change, we will

consider the impact on program complexity.

Our FY 2002 APP contains goals to maintain or improve payment accuracy in the SSI and OASDI programs. SSA is also working to strengthen SSA employees' understanding of SSI program rules (pp. 106-108, Appendix 5, p. 25).

5. Fraud Risk

SSA's IG acknowledges that SSA and the IG continue to shore up efforts to reduce fraud. They cite existing and new SSA and IG initiatives which are successfully preventing and detecting fraud, saving millions of program dollars.

In FY 2002, SSA continues its aggressive actions to prevent, detect, and investigate fraud and abuse. Our FY 2002 performance indicators, that will gauge SSA's progress toward achieving a zero tolerance for fraud, are:

- Number of investigations conducted.
- OASDI dollar amounts reported from investigative activities.
- SSI dollar amounts reported from investigative activities.
- Number of criminal convictions.

The FY 2002 APP presents these measures and discusses SSA's fraud prevention and detection activities (pp.116-119, Appendix 5, p. 3).

6. GPRA

The OIG noted (in its numerous audits of SSA's performance plans and performance measures) that SSA is fully

committed to the proper implementation of GPRA and to the improvement of our APPs. We agree that the establishment of measurable goals and clear performance measures for management challenges is important. We also share the OIG's interest in identifying the resources needed to achieve planned performance.

Where appropriate, SSA has established numeric outcome or output goals to address major management problems. In other instances we have developed measurable milestones for initiatives that are tracked at the executive level. The General Accounting Office (GAO), in its criteria for scoring the FY 2000 APPs, agreed with this approach. For all the major management challenges identified in 1999 by the GAO or OIG, our FY 2001 APP reflected SSA's approach to resolving them, including tracking measurable performance goals, outcomes, outputs, and or/milestones as appropriate. This FY 2002 APP contains like information for the challenges identified through 2000, and all subsequent APPs will contain like information for the current year's major management challenges.

Beginning with our FY 2001 APP, we added more information showing how resources are allocated to major activities, projects, and key initiatives. That information, combined with SSA's Justification of Budget Estimates, meets the spirit of the OIG recommendation. Beginning with this FY 2002 APP, we have added more information on budgeted output measures, including the definition and data source of each budgeted output measure and historical performance. For this FY 2002 APP, FY 2000 measures reflect actual workloads processed and FY 2001

measures reflect outputs in the FY 2001 President's budget. This information is found on pages 45-49 and 99-102 of the FY 2002 APP.

In addition, as OIG audits of performance identify weaknesses, we will continue to address the data reliability issues and reflect these in our APP.

7. Disability Redesign

The OIG acknowledges the progress SSA has made in improving the disability adjudication progress.

SSA agrees with the OIG that making improvements to the disability adjudication process and to the hearings process are major management challenges. The FY 2001 and FY 2002 APPs reflect our strategy to improve the disability adjudication process so that it reduces fragmentation and duplication, produces greater consistency and coordination at all adjudicative levels, and takes better advantage of new technology. By taking these steps, SSA is striving to ensure that the correct disability decision is made and benefits awarded as early in the process as possible. Specific initiatives such as modifications to the disability claims process, process unification, and hearings process improvements are described, and a schedule for specific milestones through the next two years is provided.

Beginning in FY 2002, we commit to specific levels of disability and hearings accuracy and processing times, in the context of a "balanced" set of measures including an efficiency indicator. In FY 2001 and continuing, we added a productivity measure for the hearings

process and two new DDS accuracy measures (pp.75-87, Appendix 5, pp. 13).

In March 2000, SSA released its Appeals Council Improvement Plan, which uses differential case management, expedited decisionmaking, appeals processing by managers, assistance from the Office of the General Counsel to process appeals, and adjustment of the quality assurance sample review and order to process additional cases.

Beginning with our FY 2002 APP, we commit to specific performance levels for processing time and productivity in the Appeals Council (pps. 80-87, Appendix 5, p.2).

8. Earnings Suspense File

The OIG acknowledges the many improvements SSA has made to the earnings process over the years that have contributed to improvements in accurate and timely posting of wages to individuals' records. However, they are concerned with the volume of wages posted to the Earnings Suspense File because SSA is unable to match the report to a valid name/social security number. The FY 2002 APP describes SSA's ongoing initiative to reduce the size of this suspense file, which is key to our efforts to maintain and improve earnings accuracy and, as a result, OASDI payment accuracy. The APP also commits the Agency to achieving specific, numeric goals for earnings accuracy and OASDI payment accuracy in FY 2002 (pp. 106-108, 111-114, Appendix 5, p. 20).

SSA has identified and is aggressively working with the specific States, industries, and employers that continue to submit annual wage reports with erroneous data. Our actions include aggressive outreach and training, and collaboration with IRS to modify the name presentation on the Forms W2 and W4 (Employee Withholding Allowance Certificate) to better ensure that the proper last name is reported.

SSA wrote IRS Commissioner Rossotti on November 9, 1998 requesting assistance. We are promoting implementation of a penalty program for the most egregious reporters, and inclusion of problematic filers in IRS' examination and penalty programs.

Notwithstanding the above, we expect suspense file accretions will continue, particularly in certain geographic areas and industries. This may be attributed to a booming economy and tighter labor market, causing an increase in transient workers employed in certain industries.

9. Service to the Public

After decades of public service ranked among the very best, SSA is acknowledging the strain of years of demanding stellar performance from managers and employees. We now deliver service to customers whose expectations of service from us are racing higher. We look ahead to a future that promises an explosion in technology and huge growth in workloads as the Baby Boom generation approaches retirement. We also face the prospect of significant losses in our expert workforce as many dedicated colleagues also retire.

Expected increases in workloads and problems associated with a rapidly maturing workforce compel SSA to look beyond our current 5-year planning horizon. As a consequence, we developed a long-term vision that addresses service delivery issues through the year 2010.

Our long-term vision describes how service will be provided to our customers, how SSA and the DDSs will perform our work, and how we will support our employees. It is based on six principles of service and eight service enablers that position SSA to meet the resource and workload challenges ahead, and thus deliver on the promise of service built on those principles.

With SSA's new strategic plan, *Mastering the Challenge*, we have revised our performance objectives and strategies to focus (and mark our interim progress) on the areas that are key to realizing our long-term service vision. We believe these supporting objectives and strategies are the right mix for accomplishing concrete results for today's customers and for positioning the Agency to meet the needs of tomorrow's customers.

Our long-term service vision and the related performance objectives and strategies in the strategic plan will be used to drive our near-term action plans toward long-term goals. We are just beginning to develop those action plans. Throughout this FY 2002 APP are FY 2002 goals related to those supporting objectives; others are still to be determined (TBD) based on our actions plans being developed.

10. Enumeration

Consistent with SSA's zero tolerance for fraud and abuse, SSA is vigorously moving ahead with initiatives that will prevent Social Security number (SSN) fraud. Our primary focus is on preventing SSN fraud, not merely detecting fraud after it occurs.

However, the OIG believes that SSA's control over the verification of evidentiary documents submitted with SSN applications needs improvement, and that the cooperation of other agencies, such as INS, is needed to improve the enumeration process.

Over the years, SSA has tightened its policies and instituted different procedures and systems checks to prevent fraudulent documents from being used to obtain Social Security numbers. Currently in place to prevent the use of fraudulent documents to obtain numbers are:

- The Enumeration-at-Birth process, whereby approximately 4 million newborns annually are assigned numbers as part of the birth recordation process at the request of the parents.
- The issuance of reminder memoranda and periodic training of field employees who process applications on how to examine and identify fraudulent documents presented as evidence for a SSN.
- An automated system that tracks SSN applications submitted with suspect or fraudulent documents. This capability prevents an individual with fraudulent documents from "shopping around" for an SSA office that might erroneously accept them.

Essential to SSA's ultimate goal of preventing fraud is ending the Agency's dependence on documents that might be forged or misused by the dishonest in an attempt to acquire a number. To that end, SSA has undertaken these major fraud prevention initiatives.

- Detecting Fraudulent Birth Certificates: As a result of recommendations made by the OIG, SSA is examining more closely the costs of verifying, through issuing State Bureaus of Vital Statistics, birth certificates presented in SSA field offices as evidence for SSNs.
- Detecting Fraudulent Immigration Documents: The Agency's long-term goal is to have INS electronically forward to SSA the noncitizen's information we need to assign an SSN as part of the immigration process. SSA and INS signed a Memorandum of Understanding in December 2000, and the two agencies are actively working on developing the necessary software.
- Fraud Prevention Software: SSA is developing new fraud prevention software to interrupt the issuance of SSN cards in certain fraud-prone scenarios, i.e., multiple card issuance to the same mailing address and certain cases where the same individual is shown as a parent to an improbably large number of children.

Effective with the FY 2002 APP, SSA has a new strategic objective under the World-Class Service goal: "Maintain through 2005 the accuracy, timeliness and efficiency of service to customers applying for Social Security numbers and replacement cards". This new

objective says that one of SSA's most important functions is accurately assigning SSN's.

11. Identity Theft

The OIG credits SSA with recognizing the need to reduce its vulnerability to identity fraud. They recognize the beneficial initiatives we have implemented, however, they state that these initiatives concentrate on fraud detection rather than prevention.

SSA acknowledges its critical role in government-wide efforts to combat identity theft and help victims reclaim their financial and personal lives. SSA works closely with the Federal Trade Commission on this issue; they have prepared a comprehensive guide designed to assist victims. The guide is available to the public through SSA's Internet site and in our 1,300 field offices. In addition:

- We have updated SSA publications that deal with SSN misuse to provide more information on identity theft.
- We continue to partner in government-wide efforts to help victims reclaim their identities by providing information to employees and the public.
- We have provided updated instructions and more training to our employees so that they can refer victims to appropriate help sources and explain to inquirers how they can attempt to resolve credit-related problems.

See also our response to Item 10 above.

Appendix 8

Impact of Initiatives on Workyear Requirements

The table below summarizes estimated net workyear savings from initiatives reflected in the FY 2002 administrative budget for the Social Security administration.

FY 2002 WORKYEAR SAVINGS

	Over FY 1999 Base	Over FY 2001 Base
Federal Workyears	(4040)	(2087)
State DDS Workyears	(554)	(226)
Total Workyears Saved	4594	2313

These savings represent estimated net additional capacity over base levels to do more work as a result of efficiencies produced by planned and budgeted agency initiatives. The additional capacity is built into SSA's budget estimates of workloads to be processed during FY 2002. Staff support workyears are considered a part of the base. Additional detail follows:

KEY INITIATIVE	WY Impact Over FY 1999 Base	WY Impact Over FY 2001 Base
Desktop Management (excludes AIF)	(902)	(32)
Employment Strategies for People with Disabilities	307	156
Electronic Payment Services	(226)	(43)
Hearings Process Improvements	(788)	(586)
Improve 800# Service	(618)	(333)
Improvements to the Disability Claims Process	(308)	(175)
Critical Projects – Representative Payee Program	166	48
Information Exchange	43	(182)
Accelerate Notice Improvements	(81)	(73)
Paperless Processing Centers	(367)	(424)
SSI PE Modernization	(506)	(169)
Title II Redesign	(774)	(167)
Other	(540)	(333)
SSA TOTAL FEDERAL AND DDS WORKYEARS:	(4,594)	(2,313)