

# GPRRA Annual Performance Report

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## **Introduction**

The Government Performance and Results Act of 1993 (GPRRA) requires Federal agencies to develop and institutionalize processes to plan for and measure mission performance. GPRRA defines specific efforts, at the highest level, that agencies must undertake to fulfill this requirement.

Strategic plans, annual performance plans, and annual performance reports comprise the main elements of GPRRA. Together, these elements create a recurring cycle of planning, program execution, measurement, and reporting. By forging a strong link between resources and performance, these plans and reports show what is being accomplished and reinforce accountability for the money that is being spent.

At the Social Security Administration (SSA), Agency officials and staff use these plans and reports to lead, manage, and administer Social Security programs. They are also used by the President and Congress when forming programmatic and policy decisions, for oversight, and by the public for information on the purpose and effectiveness of Social Security programs and activities.

For this FY 2000 GPRRA Performance Report, “*Keeping the Promise*” which was published in 1997 and which covers the period FY 1998 through FY 2002, is the SSA strategic plan in effect. This strategic plan states SSA’s mission and establishes five broad strategic goals and seventeen supporting objectives that encompass all our program activities. The 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 make SSA program management the best-in-business, 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.

For each of the supporting objectives, the FY 2000 Annual Performance Plan (APP), submitted to Congress in February 1999, sets forth the performance indicators and annual targets that serve as the measures of our

performance in FY 2000. Those FY 2000 performance targets were based on the most recent data and analysis, Agency consideration, and decisions and were concomitant with the funds requested. The Revised Final FY 2000 Performance Plan, published in March 2000, revised a small number of performance indicators and annual targets based on factors including but not limited to subsequent SSA consideration of actual, full-year performance data for FY 1999 and reductions to SSA’s FY 2000 budget request.

Where target performance for an indicator was revised in the Revised Final FY 2000 Performance Plan, that target is used for comparison in this performance report rather than the target in the Annual Performance Plan. In addition, where the wording or definition of an indicator or the definition of a target were changed in the Revised Final FY 2000 Performance Plan, that detail is carried over into the Annual Performance Report.

## **Alignment of the APP and the SSA Budget**

For FY 2000, SSA aligned the strategic goals in its Agency Strategic Plan and accordingly, the performance goals in its APP and budget, by 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. SSA's administrative costs for all programs and associated functional responsibilities are funded for the most part by the Limitation on Administrative Expenses (LAE) appropriation.

The LAE account funds:

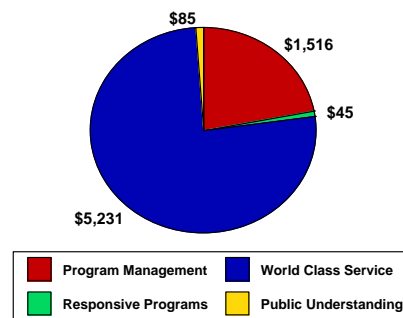
- Salaries and benefits of SSA's Federal employees (excluding the Office of the Inspector General (OIG));
- Related costs for space, equipment, supplies, travel, printing and other non-payroll expenses;
- Systems and telecommunications activities; and
- Expenses of the State Disability Determination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

The other major appropriation accounts reflected in SSA's APP are the OIG appropriation and the SSI appropriation's extramural research budget (Section 1110).

In distributing its projected administrative costs by Strategic Goal, SSA has made specific assumptions about how the costs of various workloads and/or components are tied to those goals. Obviously, the single largest goal in dollar terms is "World-Class Service," because most of SSA's budget is driven by its customer service responsibilities and the related workload costs. As another example, the "Responsive Programs" goal includes the entire extramural research budget funded by the SSI appropriation as well as the administrative costs for SSA's Offices of Policy and Chief Actuary.

The report on actual FY 2000 costs by APP goal links costs within the LAE, OIG and research budgets to our four functional strategic goals. Because SSA's fifth strategic goal, "Valued Employees," supports the accomplishment of all our basic functions, SSA allocated the resources related to it across the other four goals in its FY 2000 APP.

### FY 2000 Administrative Expenses by Strategic Goal (Dollars in millions)

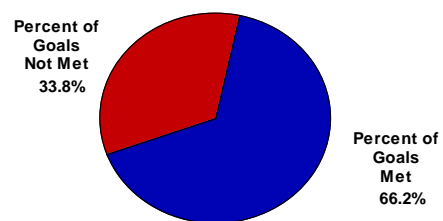


The chart above contains SSA's primary administrative expenses, funded through LAE, that are aligned to strategic goals. SSA incurs additional administrative expenses that are not part of LAE but are reported on the Statement of Net Cost. These include expenses with the Department of the Treasury to assist in managing the OASI and DI Trust Funds and State agencies for vocational rehabilitation of DI and SSI beneficiaries.

### Summary of FY 2000 Performance

During FY 2000, SSA met 66.2 percent of the performance goals set forth in the Agency's FY 2000 Annual Performance Plan and/or, as appropriate, Revised Final FY 2000 Performance Plan. For a limited number of performance measures, actual levels of full year performance data are not available as of the publication of this report. For those measures, actual performance for FY 2000 will be reported in the FY 2001 Annual Performance Report. The following chart shows the percent of performance goals met or exceeded in FY 2000, as compared to goals not met. The workload output measures are not included in the calculations for the two pie charts that follow.

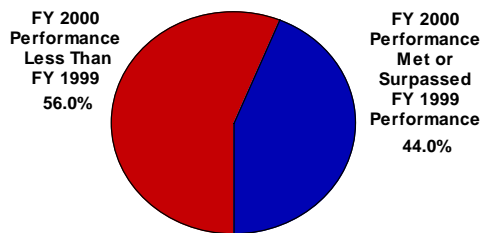
### Summary of Achievement FY 2000 Performance Goals\*



\* Excludes indicators that do not have FY 2000 goals and indicators where FY 2000 actual data are unavailable.

The following chart shows that in FY 2000, actual performance for 44 percent of the numeric indicators met or surpassed actual performance for those indicators in FY 1999. These results reflect the continued favorable trend in SSA performance from year to year. However, they also must be considered in the context that, as we projected in our FY 2001 APP and Revised Final FY 2000 Performance Plan, reductions to our FY 2000 budget request caused us to lower some performance goals and did impact actual FY 2000 performance levels.

**Comparison of FY 2000 Performance to FY 1999 Performance\***  
(Numeric indicators only)



\* Excludes indicators where FY 2000 actual data are unavailable.

**FY 2000 Performance by Strategic Goal**

The following section compares the target level of performance for each performance indicator as set out in SSA’s FY 2000 APP or Revised Final FY 2000 Annual Performance Plan, as appropriate, with the actual level of performance.

This section is organized by strategic goal. An introductory section under each goal summarizes the FY 2000 performance for that goal and lists supporting strategic objectives. Under each strategic objective are listed the performance indicators that are used to measure our performance under that objective. Indicators are quantifiable in most cases. In other cases, where we are devising new ways to measure our performance, our indicators are still measurable; they are milestones of initiatives expected to have a positive impact on performance. For all indicators, we display the measure and FY 2000 target (i.e., goal), present a discussion of actual performance relative to the target, and as appropriate, future actions. For quantifiable indicators, we also display available longitudinal data back to FY 1997. For any indicator that is discontinued effective FY 2001, such discontinuance and its basis are noted. We also summarized SSA’s FY 2000 performance for each of the five goals.

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

Through research and analysis, in FY 2000 SSA continued to provide timely and useful information to decisionmakers to help them address policy issues so as to better serve our beneficiaries and support the Agency’s mission to promote the economic security of the nation’s people. SSA met all but one of the targets under this goal, and that target will be accomplished in March 2001.

The newly developed and reported “barometer measures” provide valuable insights into the poverty status of beneficiaries, reliance on Social Security and Supplemental Security Income benefits, the effects of return to work initiatives, the adequacy of the programs we administer and Retirement, Survivors and Disability Insurance equity and eligibility for various segments of the population. Development of this initial set of barometer measures represents a key milestone in SSA’s delivery of critical information to help shape the dialogue and options for addressing long and short-term Social Security issues and to continually assess program performance in the context of societal trends. The barometer measures are already being used to help identify areas where the programs may be strengthened. A detailed description of the barometer measures is presented as Appendix A of the Social Security Administration’s latest strategic plan, *Mastering the Challenge*. A summary is also presented beginning at page 108. Annual updates and improvements will be published in subsequent years’ reports.

In FY 2000, SSA’s performance indicators in support of SSA efforts to increase self-sufficiency of our beneficiaries receiving disability benefits are included under this strategic goal and our performance indicators focus on our performance with respect to increasing the number of DI adult beneficiaries who begin a trial work period and SSI disabled beneficiaries aged 18-64 who are working but still receiving benefits. These are interim indicators of our progress. Effective with our latest Strategic Plan issued in September 2000, we are adding two indicators that will assess the achievement of long-term self sufficiency. These new indicators will track the number of beneficiaries who achieve steady employment and no longer receive cash benefits. The four indicators will be located under the World Class Service goal.

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.*

### **1. Identification, development and utilization of appropriate barometer measures for assessing the effectiveness of OASDI programs.**

**FY 2000 Goal: Identify and define barometer measures to be used**

**Target met or exceeded: Yes**

**FY 2000 Actual:** SSA has identified “barometer measures” in five areas: poverty status, reliance on OASDI benefits, eligibility for OASDI benefits, DI beneficiaries returning to work, and adequacy and equity of benefits. A set of measures was produced based on the latest data available. The measures are included as Appendix A in the Social Security Administration’s latest strategic plan and are discussed beginning at page 108.

### **2. 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.**

**FY 2000 Goals: Prepare analyses and reports on the following topics:**

- **The effect of OASDI programs on women.**
- **The effect of OASDI programs on minorities.**
- **The effect of OASDI programs on low-wage workers.**
- **Study on characteristics of people receiving DI benefits.**
- **Analysis on the effect of changes in Social Security retirement benefits on the DI program.**

**Target met or exceeded: Yes**

**FY 2000 Actual:** In February 2000, SSA released an analysis on “The Impact of Repealing the Retirement Earnings Test on Rates of Poverty,” which highlights the impact of this change on elderly women. In September 2000, SSA prepared a draft paper entitled “Analysis of Social Security Proposals Intended to Help Women: Preliminary Results,” for publication in the *Social Security Bulletin*. We are also analyzing a number of options designed to reduce poverty among older women and have drafted a paper for publication in Issue No. 3 of the *Social Security Bulletin*.

SSA published an article in the *Social Security Bulletin* (Volume 62, Number 2, 1999) on “Minorities and Social Security: An Analysis of Racial and Ethnic Differences in the Current Program.” We are currently conducting research and analysis using microsimulation models to examine future trends among minority populations as they relate to the Social Security programs.

SSA has drafted a paper examining earnings patterns for low-wage workers for publication in the *Social Security Bulletin*. We also completed a draft paper analyzing the Special Minimum Benefit and examining options for enhancing this benefit for low-wage earners.

An analysis of income of disabled-worker beneficiaries has been completed. This will be published as a chartbook.

SSA cosponsored a conference with the National Academy of Social Insurance on September 22, 2000, entitled Disability, Health and Retirement Age: Challenges for Social Security Policy. Papers were presented on the health and well being of early retirees and disabled workers, employer perspectives and practices, and evaluating policy options. These papers will be published in the *Social Security Bulletin*.

**3. 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 2000 Goal: Prepare analyses on the following topics:**

- **Trends in marriage, divorce and re-marriage and effects on the Social Security programs.**
- **Immigration and Social Security.**
- **Lifetime redistributive effects of Social Security cohorts.**
- **International retirement policy reform.**

**Target met or exceeded: Yes**

**FY 2000 Actual:** SSA presented a paper entitled “Divorced Women at Retirement: Projections of Economic Well-Being in the Near Future” to the Gerontological Society of America in November 1999; it will be published in Issue No. 3 of the *Social Security Bulletin* in December 2000. We presented a second paper entitled “Never-Married Women Reaching Retirement: A Case of Economic Vulnerability” at the American Sociological Association in August 2000.

SSA presented a paper entitled “Earnings Profiles of Immigrant Men: A Longitudinal Perspective” at a conference by the European Society of Population Economics in June 2000. We presented a paper entitled “Earnings Profiles of Immigrant Women: A Longitudinal Perspective” at a conference by the Population Association of America in March 2000.

A draft of a paper entitled, “Historical Redistribution Under the Social Security Old-Age and Survivors Insurance Program,” has been completed.

We published a paper entitled “Social Security Privatization in Latin America” in October 2000 in Issue No. 2 of the *Social Security Bulletin*.

**4. Preparation of research and policy analyses necessary to assist the Administration and Congress in developing proposals to strengthen and enhance the solvency of OASDI programs.**

**FY 2000 Goal: Prepare analyses on the distributional and fiscal effects of solvency proposals developed by the Administration, Congress and other policymakers.**

**Target met or exceeded: Yes**

**FY 2000 Actual:** In February 2000, at the request of Representatives Shaw and Matsui, SSA released a study on “The Impact of Repealing the Retirement Earnings Test on Rates of Poverty.” We are currently examining the distributional effects of several solvency proposals using our microsimulation models. In June 2000, SSA presented results of our analysis of the impact of H.R. 1217 on the Government Pension Offset to the House Ways and Means Committee.

**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.*

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

**FY 2000 Goal: Identify and define barometer measures to be used.**

**Target met or exceeded: Yes**

**FY 2000 Actual:** SSA has identified “barometer measures” in four areas – poverty status, reliance on SSI benefits, SSI beneficiaries returning to work, and adequacy of benefits. A set of measures was produced based on the latest data available. The measures are included as Appendix A in SSA’s latest Strategic Plan and are described beginning at page 108.



**6. Expansion and acquisition of data on the characteristics of SSI populations in order to improve capacity to provide analyses, identify areas for policy change, and develop options as appropriate.**

**FY 2000 Goal: Link survey data with programmatic data.**

**Target met or exceeded: Yes**

**FY 2000 Actual:** A contract was completed to link various files from the Census Bureau's Survey of Income and Program Participation for 1990, 1991, 1992, and 1993. SSA subsequently linked these files with SSA administrative records. The outcome of this goal has been achieved and the indicator is being discontinued effective FY 2001.

**7. 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.**

**FY 2000 Goal 1: Prepare final report on the effects of 1996 welfare reform legislation on SSI children with disabilities.**

**Target met or exceeded: No**

**FY 2000 Goal 1 Actual:** SSA has received two sets of case study reports and an interim data analysis on the impact of welfare reform in the aggregate from a contractor. The case studies are available on the Office of Policy's web site at [www.ssa.gov/policy/policyareas/evaluation](http://www.ssa.gov/policy/policyareas/evaluation). Copies of the interim data analysis are available upon request.

The final report will include an estimate of the net impact of welfare reform on SSA caseloads and costs and information on individual economic status and on Medicaid utilization.

The final report is not complete because it relies on linkages of SSA data with data from the Census Bureau and from HCFA that have been delayed. SSA will complete the final report in March 2001.

**FY 2000 Goal 2: Begin implementation of a national survey of children with disabilities.**

**Target met or exceeded: Yes**

**FY 2000 Goal 2 Actual:** A contract was awarded to Mathematica in September 2000 to implement a national survey of children with disabilities.

**8. 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.**

**FY 2000 Goal: Prepare the analysis.**

**Target met or exceeded: Yes**

**FY 2000 Actual:** SSA has prepared a draft paper, which will be released as a working paper. Results of the analysis have been included in a paper that provides an overall assessment of the SSI program.

***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.*

**9. Increase the number of DI adult worker beneficiaries who begin a trial work period.**

**FY 2000 Goal: 10-percent increase in the number of DI beneficiaries beginning trial work periods.**

FY 97 Actual	FY 98 Actual	FY 99 Actual	<b>FY 00 Goal</b>	<b>FY 00 Actual</b>
16,000	NA	NA	<b>17,600</b>	<b>NA</b>

**Target met or exceeded: Data not yet available**

**Discussion:** Performance data for FY 2000 are not currently available for this indicator.

This new indicator was created for the FY 2000 APP to measure increases in the number of DI beneficiaries beginning trial work periods during the FY. However, our data is actually captured on a calendar year (CY) basis. We intend to continue to capture this data on a CY basis since this is the most efficient manner of collection for SSA and since this is an interim indicator of our progress in support of SSA efforts to increase self-sufficiency of our beneficiaries receiving disability benefits. The data is an output of a routine annual Master Beneficiary Record (MBR) run of CY data conducted in January of each year. The data on which

this measure is based for 2000 will be available in January 2001 and will be for CY 2000. The historical data below reflect actual counts of trial work period (TWP) starts on a CY basis which were produced from prior year annual MBR runs:

CY 1997: 16,376  
 CY 1998: 15,176  
 CY 1999: 14,525

While these numbers show a steady decline in TWP starts in recent years, it is not clear whether the 2000 numbers will follow the same trend or be less than the stated goal of 17,600. The number of TWP starts in a year is affected by the timeliness of beneficiary reports of work activity and of SSA field office systems inputs of earnings information. Significant retroactive reporting of earnings and TWP starts for a given year continue for at least 2 years afterward. Counts of TWP starts allowing for 2 years of retroactive reporting of earnings show a steady increase in work activity through 1997. Comparable data for 1998 will be available in January 2001.

After a few years experience with the Ticket to Work program, which is expected to produce much better information on beneficiary work activity, we plan to move to direct measurement of benefit suspensions/terminations due to work. SSA's new Strategic Plan presents that new indicator as "percent increase over 1999 in the number of DI beneficiaries whose benefits are suspended/terminated due to substantial gainful activity."

**10. Increase in the number of SSI disabled beneficiaries, aged 18-64, participating in 1619(a) status.**

**FY 2000 Goal: 10-percent increase (21,744) in the number of SSI disabled beneficiaries aged 18-64 participating in 1619(a) status.**

FY 97 Actual	FY 98 Actual	FY 99 Actual	FY 00 Goal	FY 00 Actual
30,000/ 19,767	NA	NA	21,744 (10%)	25,772

**Target met or exceeded: Yes**

**Discussion:** The original FY 2000 APP goal was recomputed and revised in SSA's FY 2000 Revised Final Performance Plan to 21,744 cases. The rationale was that in May 1999, the Substantial Gainful Activity level increased from \$500 to \$700. With that change, the 1997 baseline of 30,000 was recomputed to 19,767. The goal of 21,744 equated to a 10 percent increase over the newly computed baseline.

The target for FY 2000 was substantially exceeded. While we had projected a 10 percent increase over the level of 1619(a) participants in FY 1997, the actual count was 30 percent over the FY 1997 baseline. This somewhat surprising outcome results from a combination of significantly enhanced efforts by SSA to strengthen its return-to-work programs and the robust economy of recent years.

Factors related to significant improvements in performance include:

- Better understanding of work incentives by beneficiaries and their advocates;
- Better understanding of work incentives by field office employees;
- More and better job opportunities for beneficiaries; and
- More interest in promoting beneficiary work activity from State rehabilitation and employment agencies.

SSA's new Strategic Plan affirms that this indicator is an interim measure of our progress. A new indicator to assess the achievement of long-term self-sufficiency for SSI disabled beneficiaries will track the number of beneficiaries who no longer receive cash benefits due to work (1619(b) status).

**11. Preparation of a research design to develop techniques for validating medical listings.**

**FY 2000 Goal: Award a contract to design a methodology to validate a single listing.**

**Target met or exceeded: Yes**

**FY 2000 Actual:** A contract was awarded in May 2000 to create the Disability Research Institute (DRI). One of the DRI's first-year projects is to design a methodology to validate medical listings. It will conduct a literature search and develop and/or identify appropriate criteria to be used in validating listings.

**12. Preparation of reports on results of the Disability Evaluation Study 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 2000 Goal: Complete pilot study.**

**Target met or exceeded: Yes**

**FY 2000 Actual:** SSA completed the fieldwork for the pilot—collecting data and conducting medical examinations in August 2000.

**13. Creation of a Disability Research Institute.**

**FY 2000 Goal: Award contract to establish the Disability Research Institute.**

**Target met or exceeded: Yes**

**FY 2000 Actual:** The contract to establish the Disability Research Institute was awarded to the University of Illinois in May 2000. The outcome of this goal has been completed and the indicator is being discontinued effective FY 2001.

***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.*

**14. 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 2000 Goal: Develop customer survey and data collection mechanism.**

**Target met or exceeded: Yes**

**FY 2000 Actual:** SSA has developed a preliminary questionnaire to gather information from customers about the quality of research, analysis and evaluation products. SSA also identified customers from whom feedback will be elicited. SSA awarded a contract in September 2000 to conduct the survey.

**15. Issuance of periodically updated research and policy agenda.**

**FY 2000 Goal: Issue the initial research and policy agenda.**

**Target met or exceeded: Yes**

**FY 2000 Actual:** SSA's Office of Policy issued its research and policy agenda, which is available on our web site and which will be updated periodically. This has been dropped as an indicator in subsequent performance plans, but the activity will continue as we continue to provide timely, useful information for decisionmakers.

**Strategic Goal: To deliver customer responsive, world-class service.**

The measures and initiatives under this goal focus on maintaining or improving service to SSA's core business customers and employers, even while demands grow and resources are impacted by reductions to our budget request. While some of our service delivery targets were not met, lessons learned inform us that we must continue to improve data collection methods and internal processes, implement efficiencies, and otherwise modify strategies so as to be more responsive to our customers' needs and expectations.

For FY 2000, SSA adjusted its target levels for several of this goal's workload and performance measures based on reductions to our FY 2000 budget request and the resulting impact on available resources. Included were:

Workload measures:

- The number of 800 number calls handled
- Retirement and Survivors Insurance (RSI) claims processed
- Initial disability claims processed
- Initial disability claims pending
- Hearings processed
- Hearings pending
- SSNs issued

Performance measures:

- Percent of callers who successfully access the 800 number within 5 minutes of their first call
- Percent of callers who get through to the 800 number on their first attempt
- Initial disability claims processing time



Targets for FY 2000 *workload* measures were initially established in the FY 2000 APP. Many of these targets were adjusted due to changes in actual budgeted levels, and this is reflected in the FY 2000 Operating Plan, which was submitted to Congress on January 21, 2000. However, in this FY 2000 Annual Performance Report (APR), we must report against the targets as they were established in the FY 2000 APP. *Performance* (GPRA) measures are tracked against the GPRA measures as reflected in our Revised Final Performance Plan for FY 2000.

Despite budget shortfalls, the Agency continues to meet 800 number access and waiting time targets. The positive response from core business customers and employers to our online and Internet services demonstrates improvement in this area despite not meeting all targets. We implemented immediate claims-taking over the 800 number and added new online services when customer feedback and the growth of customer demand for electronic service informed us that significant modifications to our means and strategies were needed to meet growing demands for online and Internet access.

SSA met all of its timeliness targets for claims and SSN replacement cards. And SSA continues to implement process improvements for its disability and hearings processes, with short-term impacts on processing time. Finally, effective FY 2000, SSA instituted its new Interaction Tracking methodology which provides comprehensive data about all our customer groups and can better inform our strategies to satisfy our customers.

The following Objectives support this Strategic Goal:

- By 2002, to have 9 out of 10 customers rate SSA's service as "good," "very good" or "excellent," with most rating it "excellent"
- By 2002, increase the range of program and information services available to customers over the phone or electronically
- To raise the number of customers who receive service and payments on time, specifically by 2002:
  - ▶ Issue disability claims award/denial notices within 6 months after onset of disability or 60 days after effective filing date, whichever is later, to 70 percent of applicants
  - ▶ Issue initial SSI disability claims award/denial notices within 120 days of filing to 60 percent of applicants

- ▶ Issue hearing decisions to 30 percent of requestors within 120 days from the date of request for a hearing
- ▶ Maintain current levels of timeliness in processing OASI and SSI aged claims

### *Output Measures for Major Budgeted Workloads*

#### **16. RSI claims processed**

**FY 2000 Plan:** 3,134,800

**Actual:** 3,404,938

**Discussion:** Due to a reduction in budgeted resources, the target for this workload measure was lowered to 3,044,000 in SSA's FY 2000 Operating Plan. However, we exceeded the FY 2000 APP target. This is because of a substantial increase in RSI claims receipts and clearances since the President signed legislation that amended the annual earnings test and that legislation became effective. The revision to the law gave many people who had previously elected, or would otherwise elect, to receive only Medicare benefits at age 65 because of their annual earnings, the opportunity to apply for monthly retirement benefits. Supplemental funding was provided by the Congress to cover added resources required by SSA to implement this change in the law. The spike in claims is not likely to be repeated next year since most beneficiaries who were eligible have already filed claims and are now receiving benefits.

#### **17. SSI Aged claims processed**

**FY 2000 Plan:** 144,200

**Actual:** 153,474

**Discussion:** The number of SSI Aged claims processed in FY 2000 exceeded the target. In fact, more SSI Aged claims were processed this year than in the last 4 years. The increase is evidence that the Agency has recovered from the effects of Welfare Reform legislation that was effective in 1998. That legislation changed some longstanding eligibility factors for entitlement to SSI Aged benefits, resulting in fewer applications. Subsequent amendments to that legislation made additional changes. The eligibility factors are set for now, have not changed over the past two years, and are known to the public and to advocacy groups who encourage participation in the program. People who thought they might not meet the eligibility factors now know the facts and are not hesitating to file.

## 18. Initial disability claims processed

**FY 2000 Plan:** 2,144,000

**Actual:** 2,035,627

**Discussion:** Because of reductions to our FY 2000 budget request, SSA's FY 2000 Operating Plan reduced this workload measure to 1,975,000. Total initial disability claims processed were slightly higher than this revised measure. All case processing targets are based on past performance and future actuarial projections.

## 19. Disability claims pending (initials)

**FY 2000 Plan:** 408,000

**Actual:** 535,407

**Discussion:** Because of reductions to our FY 2000 budget request, SSA's FY 2000 Operating Plan changed this workload measure to 535,000 to reflect the change in initial disability claims processed. All disability claims pending targets are based on past performance and future actuarial projections.

## 20. Hearings processed

**FY 2000 Plan:** 622,400

**Actual:** 539,426

**Discussion:** The FY 2000 workload measure was revised downward to 585,000 cases in SSA's FY 2000 Operating Plan. The plan target was not met because of lower than projected Administrative Law Judge (ALJ) availability and greater than expected resource impact in part from Hearings Process Improvement (HPI) rollout.

We continue to be unable to have the budgeted number of ALJs to hear cases, due to our inability to hire new ALJs as a result of litigation involving the Office of Personnel Management (OPM) (*Azdell v. OPM*). As a result of that litigation, OPM has been enjoined since April of 1999 from providing Federal agencies with an ALJ Register from which to hire new ALJs. When set

against our hiring needs, we estimate the impact of this injunction to have resulted in our not being able to process some 20,000 hearing requests through FY 2000 and if the injunction continues, we will be unable to process approximately 40,000 hearing requests in FY 2001.

## 21. Hearings pending

**FY 2000 Plan:** 209,000

**Actual:** 346,756

**Discussion:** The FY 2000 workload measure was revised upward to 240,000 cases in SSA's FY 2000 Operating Plan to reflect the change in hearings processed. The plan target was not met primarily because more hearings were filed than estimated. Fewer processed cases than planned were also a factor, although not to the degree of higher levels of incoming work.

In addition, we continue to be unable to have the budgeted number of ALJs to hear cases, due to our inability to hire new ALJs as a result of litigation involving OPM as described in the discussion for indicator 20.

## 22. Social Security number requests processed

**FY 2000 Plan:** 16,300,000

**Actual:** 17,128,073

**Discussion:** SSA exceeded the SSN target.

## 23. 800 Number calls handled

**FY 2000 Plan:** 60,000,000

**Actual:** 59,500,000

**Discussion:** The FY 2000 target for this workload measure was revised downward to 57,000,000 in SSA's FY 2000 Operating Plan to reflect adjustments based on reductions in budgeted resources that resulted in lowering the access rate from 95 to 92 percent. We exceeded the revised measure because callers to the 800-number took advantage of increased automation.

**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"

**24. Percent of SSA's core business customers rating SSA's overall service as "excellent," "very good" or "good"**

FY 97 Actual	FY 98 Actual	FY 99 Actual	FY 00 Goal	FY 00 Actual
85% <sup>1</sup>	82%	88%	88%	82%

1. Represents respondents ratings of "very good" or "good."

**Target met or exceeded: No**

**Discussion:** Prior to FY 2000, overall customer satisfaction rates were derived from SSA's Annual Customer Satisfaction Survey (ACSS). Respondents were identified from a sample of transactions posted to the master records during a certain period each year. For FY 2000 and beyond, the ACSS has been replaced with SSA's new Interaction Tracking methodology for determining customer satisfaction, where customers are surveyed immediately after a face-to-face or phone contact with SSA. Overall satisfaction is now derived from rolled-up data from the Office Visit Survey, 800 Number Customer Survey and Field Office (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 access), the result is that the overall satisfaction rate is significantly lower for FY 2000. FY 2001 performance targets for this measure are being reconsidered.

**25. Percent of SSA's core business customers rating SSA's overall service as "excellent"**

FY 97 Actual	FY 98 Actual	FY 99 Actual	FY 00 Goal	FY 00 Actual
NA	30%	44%	37%	29%

**Target met or exceeded: No**

**Discussion:** See explanation in 24 above.

**26. Percent of SSA's core business customers rating the clarity of SSA's notices as "excellent," "very good" or "good"**

FY 97 Actual	FY 98 Actual	FY 99 Actual	FY 00 Goal	FY 00 Actual
82%	81%	86%	82%	NA

**Target met or exceeded: Data not available**

**Discussion:** The clarity of notices was not measured in FY 2000 and was eliminated as a measure from the FY 2001 APP since the new Interaction Tracking methodology does not, by design, capture overall notice satisfaction. A new performance indicator pertaining to notices will be developed once baseline information is available from a special survey study being undertaken in FY 2001 that will target SSA's most problematic notices.

**27. Percent of employers rating SSA's overall service as "excellent," "very good" or "good"**

FY 97 Actual	FY 98 Actual	FY 99 Actual	FY 00 Goal	FY 00 Actual
NA	NA	NA	93%	82%

**Target met or exceeded: No**

**Discussion:** Survey results indicate that employers do not regularly interact with SSA to any great extent--the percentage of respondents using SSA services is low. Many employers use payroll providers and accountants to handle wage-reporting requirements. In addition, a significant finding from focus groups held in 1999 with employers and accountants/tax preparers is that SSA is an "invisible" agency. SSA and IRS are seen as one taxing authority. Some of the issues and problems attributed to SSA were actually IRS issues. As a result, these two factors contribute to satisfaction ratings that did not meet the goal. Beginning with FY 2001, the employer survey will target those employers who had a recent contact with SSA. This change will bring the employer survey more in line with other Interaction Tracking surveys.

**28. Percent of employers rating SSA's overall service as "excellent"**

FY 97 Actual	FY 98 Actual	FY 99 Actual	FY 00 Goal	FY 00 Actual
NA	NA	NA	13%	6%

**Target met or exceeded: No**

**Discussion:** See explanation in 27 above.

**29. Percent of callers who successfully access the 800-number within 5 minutes of their first call**

FY 97 Actual	FY 98 Actual	FY 99 Actual	FY 00 Goal	FY 00 Actual
96.2%	95.3%	95.8%	92%	92.9%

**Target met or exceeded: Yes**

**Discussion:** The Agency adjusted the 5 minute access goal from 95 percent to 92 percent in its Revised Final FY 2000 Performance Plan due to reductions to our FY 2000 budget request. The Agency is benchmarking call centers to determine whether the current access measure is still appropriate. A report is due in April 2001 and we will use the lessons learned from the benchmarking study to reconsider our future telephone access measures.

**30. Percent of callers who get through to the 800-number on their first attempt**

FY 97 Actual	FY 98 Actual	FY 99 Actual	FY 00 Goal	FY 00 Actual
92.7%	91.1%	92.9%	86%	88.4%

**Target met or exceeded: Yes**

**Discussion:** The Agency adjusted the first-time access goal from 90 percent to 86 percent in its Revised Final FY 2000 Performance Plan due to reductions to our FY 2000 budget request. This access measure is also being reconsidered as part of the benchmarking effort discussed in 29 above. A report is due by April 2001.

**31. Percent of 800-number calls handled accurately - payment accuracy**

FY 97 Actual	FY 98 Actual	FY 99 Actual	FY 00 Goal	FY 00 Actual
95.2%	94.7%	95.4%	95%	NA

**Target met or exceeded: Data not yet available**

**Discussion:** Payment accuracy is a measure of whether 800 number representatives respond correctly to inquiries related to eligibility and payment of benefits.

We expect FY 2000 performance to remain level with FY 1999 performance, although for the 6 months ending March 2000, payment accuracy was at 96.2 percent. The FY 2000 data should be available in April 2001 and will be reported in the FY 2001 Performance Report.

**32. Percent of 800-number calls handled accurately - service accuracy**

FY 97 Actual	FY 98 Actual	FY 99 Actual	FY 00 Goal	FY 00 Actual
94.3%	81.7%	81.8%	90%	NA

**Target met or exceeded: Data not yet available**

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

We expect FY 2000 performance to remain level with or slightly above FY 1999 performance. For the 6 months ending March 2000, service accuracy was 84.7 percent. We expect that the interviewing screens for 800 number representatives will improve service accuracy. Actual FY 2000 data should be available in April 2001 and will be reported in the FY 2001 Performance Report.

**33. Percent of public with an appointment waiting 10 minutes or less**

FY 97 Actual	FY 98 Actual	FY 99 Actual	<b>FY 00 Goal</b>	<b>FY 00 Actual</b>
84.9%	87.4%	84.6%	<b>85%</b>	<b>84.2%</b>

**Target met or exceeded: No**

**Discussion:** We missed the target for the percent of the public with an appointment waiting 10 minutes or less in FY 2000, after missing the goal by a small margin in FY 1999 (84.6 percent). The goal was not achieved because of the sharp increase in appointments for claims that occurred after the partial elimination of the annual earnings test earlier this year. Field offices experienced a significant increase in the number of appointments for claims that stemmed from this legislation. As a result, offices have had some difficulty making strides in managing their appointment calendars and having staff available to assist those applicants who made appointments.

**34. Percent of public without an appointment waiting 30 minutes or less**

FY 97 Actual	FY 98 Actual	FY 99 Actual	<b>FY 00 Goal</b>	<b>FY 00 Actual</b>
72.7%	71.9%	71.6%	<b>70%</b>	<b>73.2%</b>

**Target met or exceeded: Yes**

**Discussion:** We exceeded the target for the percent of the public without an appointment that are helped within 30 minutes, and actually increased performance in this area compared to FY 1999. This was accomplished in spite of the demands on staff to meet the heavy volume of appointments.

***Strategic Objective:** By 2002, to increase the range of program and information services available to customers over the phone or electronically*

**35. New or expanded services available over the phone**

**FY 2000 Goal: Take retirement or survivors claims immediately over the telephone, or in person, as long as the applicant has all the information needed.**

**Target met or exceeded: Yes**

**FY 2000 Actual:** In November 1998, SSA began to pilot an “immediate claims” service option. This option enables customers who call the 800 number to file a claim for retirement or survivors benefits at the time of their call without having to schedule an appointment or visit their local FOs. SSA had always offered immediate claims taking (ICT) service for customers who visit or call a FO. With 800 number ICT, customers who preferred to do business with SSA through its national 800 number were given the same level of access to its services. The ICT option closed an existing service gap and increased customer choice.

**Discussion:** The project objective was to make the ICT service available to all SSA customers by September 2000. SSA decided to meet this commitment through an incremental approach that included pilots designed to gather data for use in determining the public demand, best process and technology required to meet the project objective. The overwhelming success of the ICT pilot and the strong positive response we received from our customers supported SSA’s decision to extend the service to all its customers nationwide.

SSA’s strategy for national rollout called for the phased expansion of the ICT service area until all states, Puerto Rico and the Virgin Islands were brought into the ICT process. In order to accommodate the anticipated growth in the ICT workload resulting from national expansion, SSA expanded staffing in the 7 pilot sites and established 4 new sites. During FY 2000, the ICT sites took approximately 68,500 claims.

On September 25, 2000, SSA completed the final phase of the expansion and began offering the ICT service nationwide.

**36. New or expanded services available electronically**

**FY 2000 Goal 1: Provide overnight electronic Social Security number verification for employers**

**Target met or exceeded: No**

**Discussion:** Concerns about privacy and security of the information need to be addressed prior to implementation.



**FY 2000 Goal 2: Give employers the option to transmit wage reports to SSA electronically using a personal computer or high-speed data transmission lines**

**Target met or exceeded: Yes**

**FY 2000 Actual:** SSA achieved its goal with the receipt of over 45 million forms W-2, Wage and Tax Statement, received electronically for tax year 1999. SSA pursued a number of avenues to solicit employers' participation in our electronic filing efforts. We developed promotional materials, attended payroll and other conferences, and we wrote a number of articles for various payroll trade publications and newsletters. SSA made on-sight visits to large payroll companies in an effort to have them transmit their wage reports electronically through dedicated lines to SSA. Our regional Employer Services Liaison Officers made visits to employers in their respective regions soliciting participation in electronic filing. SSA enhanced its technical support and systems reliability by establishing redundancy systems to assure no downtime in the system. Finally, SSA improved its online technical instructions and systems functionality.

SSA completed its technical evaluation of the tax year 1998 electronic filing operation. That evaluation led to the implementation of an improved technical support facility and removed existing systems impediments to filing electronically that are associated with antiquated bulletin board software. Specifically, SSA was able to develop direct dial-up access to the system by using Microsoft Routing and Remote Access Services network dial-up functionality.

**FY 2000 Goal 3: Establish capacity to receive secure, online public inquiries about claims and benefits**

**Target met or exceeded: No**

**FY 2000 Actual:** Since this goal was established, the original vehicle for this effort, the Internet Customer Response System, did not prove to be adequate for this development. SSA is pursuing secure online inquiries under another effort via application pilots in FY 2001 and 2002 and anticipates that adequate capacity will be in place to accommodate secure inquiries by the end of FY 2002.

This indicator will be discontinued in FY 2001 in favor of new indicators that better track our progress toward our new Agency Strategic Plan objective to make SSA's customer-initiated services available either

electronically via the Internet or through automated telephone service, and provide the customer interacting with Social Security on the Internet with the option of communicating with an SSA employee while online.

**FY 2000 Goal 4: Establish the capacity for attorneys to check hearings schedules over the Internet**

**Target met or exceeded: No**

**FY 2000 Actual:** Since the establishment of this goal, SSA developed and approved a new Internet strategy. It was decided not to develop the attorney scheduling service in FY 2000. Rather, two new services, the Internet Medicare Replacement Card, and the Internet Retirement Insurance Benefits Claims services were made available in June and September, respectively. This indicator will be discontinued in FY 2001 and replaced with other indicators that better track our progress toward our new Agency strategic objective to make SSA's customer-initiated services available to customers either electronically via the Internet or through automated telephone services and provide customers interacting with SSA on the Internet with the option of communicating with an SSA employee while online.

**37. Number of customers accessing Social Security Online (in millions)**

FY 97 Actual	FY 98 Actual	FY 99 Actual	<b>FY 00 Goal</b>	<b>FY 00 Actual</b>
NA	4.2	8.5	<b>15.8</b>	<b>13.2</b>

**Target met or exceeded: No**

**Discussion:** Since SSA began this measurement, home page visits doubled each year. We hosted 8.5 million home page visits in FY 1999. Based on that history, and with the addition of new services on our website, we thought it reasonable to expect doubling to occur again. For this reason, we revised upward our FY 2000 goal from 7 million to 15.8 million. Actually, it appears that in many cases people are going directly to a specific Uniform Resource Locator (URL) for service or information that they are looking for, rather than the home page.

We will be bringing additional services to our website in the coming year. We believe that, while those services will increase general awareness and use of our site, impact on home page visits will not be heavily impacted. We believe this goal is still a viable measure of the success of our website, but home pages visits

should not be considered as a sole indicator of website usage. Observation of the industry in general has shown that early geometric increases in website visits have slowed as the Internet medium has matured. Because of this, we project FY 2001 visits at about 15 million.

This indicator will be discontinued in FY 2001 and replaced with other indicators that better track our progress toward our new Agency strategic objective to make SSA's customer-initiated services available to customers either electronically via the Internet or through automated telephone services and provide customers interacting with SSA on the Internet with the option of communicating with an SSA employee while online.

**38. Percent increase in the number of Social Security Statement inquiries processed on the Internet**

FY 97 Actual	FY 98 Actual	FY 99 Actual	FY 00 Goal	FY 00 Actual
NA	NA	23%	50%	55%

**Target met or exceeded: Yes**

**Discussion:** The "My Statement" page URL is provided on the Social Security Statement and encourages people desiring clarification of further information to visit the page. Providing the URL directly on the statement makes it easy for a person with Internet access to get to the page. We believe that provision of the precise URL is good public service. In addition, the information that is provided at the site is quite complete. SSA has conducted an extensive awareness campaign with the financial planning community and significant interest is evident there. SSA also interested major media in the service and significant press exposure has been the result.

This indicator will be discontinued in FY 2001 and replaced with other indicators that better track our progress toward our new Agency strategic objective to make SSA's customer-initiated services available to customers either electronically via the Internet or through automated telephone services and provide customers interacting with SSA on the Internet with the option of communicating with an SSA employee while online.

**Strategic Objective:** *To raise the number of customers who receive service and payments on time, specifically by 2002:*

- *Issue initial disability claims award/denial notices within 6 months after onset of disability or 120 days after effective filing date, whichever is later, to 70 percent of applicants*
- *Issue initial SSI disability claims award/denial notices within 120 days of filing to 60 percent of applicants*
- *Issue hearing decisions to 30 percent of requestors within 120 days from the date of request for a hearing*
- *Maintain current levels of timeliness in processing OASI and SSI aged claims*

**39. Initial disability claims average processing time (days)**

FY 97 Actual	FY 98 Actual	FY 99 Actual	FY 00 Goal	FY 00 Actual
99	100	105	115	102

**Target met or exceeded: Yes**

**Discussion:** The goal for this indicator was increased from 100 to 115 days in SSA's FY 2000 Revised Final Performance Plan due to a combination of factors. Those factors included actual FY 1999 performance which reflected an overall trend of increasing disability processing time, anticipated impact in FY 2000 of the new disability process prototypes, and reductions to our FY 2000 budget request. The revised goal of 115 days was met for two reasons. First, we overestimated the timing of the full impact of implementing the prototype process in 10 DDSs in setting the goal. Second, while DDS processing times did increase in FY 2000, field offices cut overall processing time. The increased processing time reflects more attention on case processing and customer interaction at the initial level. This is one aspect of the prototype process which results in an improved disability adjudication process that reduces fragmentation and duplication and increases consistency and coordination at all adjudicative levels.

**40. Hearings average processing time (days)**

FY 97 Actual	FY 98 Actual	FY 99 Actual	FY 00 Goal	FY 00 Actual
397	341	316	257	297

**Target met or exceeded: No**

**Discussion:** The FY 1997 and 1998 actual data for this indicator are based on the average for the month of September. The FY 1999 actual and the FY 2000 goal and actual are based on an annual average. The goal for this indicator was revised downward from 268 days to 257 days in SSA's FY 2000 Revised Final Performance Plan due to a combination of factors. Those factors included a decrease in hearings pending levels, closer workload monitoring, and implementation of the HPI Plan in 37 hearing offices in January 2000.

This indicator measures average processing time for both SSA cases and Medicare cases. The latter tend to take longer to process. For example, in FY 2000, average processing time for all cases was 297 days; for SSA cases, it was 258 days, an improvement of 44 days compared to FY 1999. In March, we disposed of nearly 13,000 Medicare cases with an average processing time of over 1,000 days each, which increased average processing time for this indicator by approximately 20 days.

The recent increase in the hearing receipt rate, coupled with the declining ALJ corps and lower than anticipated productivity, has resulted in the escalation of the pending per ALJ from 301 cases at the end of October 1999 to 348 cases at the end of FY 2000. This has resulted in relatively static processing times over the past few months rather than continued improvements.

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

FY 97 Actual	FY 98 Actual	FY 99 Actual	FY 00 Goal	FY 00 Actual
82.9%	82.6%	84.3%	83%	86.9%

**Target met or exceeded: Yes**

**Discussion:** The Agency's performance in making timely payments to OASI beneficiaries improved again in FY 2000, building on the increases that were

experienced in the prior two FYs. We exceeded the goal again this year, reflecting our commitment to make timely and accurate payments to our customers.

**42. Percent of initial SSI Aged claims processed within 14 days of filing date**

FY 97 Actual	FY 98 Actual	FY 99 Actual	FY 00 Goal	FY 00 Actual
59.5%	54.2%	63.5%	66%	74.4%

**Target met or exceeded: Yes**

**Discussion:** This goal was not met in FY 1999, although substantial improvement was noted in last few months of that FY. We have continued to build on that progress, and exceeded the FY 2000 goal by a considerable margin. This achievement reflects our commitment to make timely and accurate payments to our SSI recipients.

**43. Percent of original and replacement SSN cards issued within 5 days of receiving all necessary documentation**

FY 97 Actual	FY 98 Actual	FY 99 Actual	FY 00 Goal	FY 00 Actual
98.2%	99.7%	99.0%	97%	98.9%

**Target met or exceeded: Yes**

**Discussion:** People who are applying for a new or replacement SSN card usually need the number to be issued as soon as possible for employment, other Federal and State benefits, or because of a name change. Our ability to issue the SSN card shortly after all necessary documentation is secured is an indication of our commitment to a high level of service. We continue to exceed the goal as we have in the past two fiscal years.

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

This goal focuses on the Agency's stewardship responsibilities from both a service and a business perspective. The Agency has performed very well in this area, meeting and expecting to meet all GPRA goals for which we have actual FY 2000 data. In fact, almost all of our FY 2000 goals related to deterring,

identifying and resolving fraud and debt collection were revised upward in our FY 2000 Revised Final Performance Plan so as to complete more investigations, collect more dollars based on investigative activities, and collect more debt. Technological advances, efficient use of the Internet, and collaborative efforts with the Employer Reporting Service Center were instrumental in achieving the goals related to posting earnings and wage items.

For FY 2000, SSA adjusted its target levels for two of this goal's workload measures:

- Continuing Disability Reviews (CDRs) processed; and
- SSI non-Disability Redeterminations.

The workload measures were revised in SSA's FY 2000 Operating Plan that was submitted to Congress on January 21, 2000. For those measures, we report in this Performance Report against the measures reflected in our FY 2000 APP.

The following Objectives support this Strategic Goal:

- Make benefit payments in the right amount
- To become current with DI and SSI CDR requirements by 2002
- Through 2002, to maintain and improve current levels of accuracy and timeliness in posting earnings data to individuals earnings records
- To aggressively deter, identify, and resolve fraud
- To increase debt collection by 7 percent annually through 2002

#### **Output Measures for Major Budgeted Workloads**

#### **44. Periodic CDRs processed**

**FY 2000 Plan:** 1,882,700

**Actual:** 1,836,510

**Discussion:** SSA conducts periodic reviews called continuing disability reviews to determine whether individuals receiving disability benefits have medically improved so that they are no longer disabled and no longer eligible for benefits. These numbers are based on SSA's 7-year CDR plan. CDR workloads are funded by special "above the cap" funding as well as regular LAE funds.

#### **45. SSI non-Disability Redeterminations**

**FY 2000 Plan:** 2,238,550

**Actual:** 2,182,027

**Discussion:** The target for this workload measure was adjusted downward to 2,025,000 in SSA's FY 2000 Operating Plan based on reductions to our FY 2000 budget request and the resulting impact on available resources. SSA regional offices all set quarterly interim targets to ensure that 99 percent of the redeterminations were cleared by the end of FY 2000.

#### **46. Annual Earnings Postings**

**FY 2000 Plan:** 258,900,000

**Actual:** 277,145,696

**Discussion:** The Agency exceeded the FY 2000 target by 7 percent. This is attributed to three factors: low unemployment rates, processing of a late tax year 1998 magnetic media submittal from a large third party filer and pursuit of several initiatives –

- improved management information for magnetic media submittals;
- monitored large submitters to ensure timely processing;
- began earlier follow-up actions on magnetic media returns and corrections; and
- improved communications between SSA components as well as between SSA and the employer community.

#### **47. Representative Payee actions**

**FY 2000 Plan:** 6,990,600

**Actual:** 6,151,264

**Discussion:** The number of representative payee actions depends on two factors: the number of new representative payee applications processed and the number of representative payee accountings processed. We have little control over the number of applications processed as we cannot adequately predict the number of beneficiaries that will need payees in any given year. The accountings are released on a flow basis. We will either need to experience a dramatic increase in applications and/or accountings to achieve a higher number of clearances.

**Strategic Objective:** Make benefit payments in the right amount, specifically:

- Maintain through 2002 the accuracy of OASI payment outlays
- Maintain or improve through 2002 the accuracy of DI payment outlays
- By 2002, raise to 96 percent the accuracy of SSI payment outlays

**48. Dollar accuracy of OASI payment outlays, Percent without overpayments**

FY 97 Actual	FY 98 Actual	FY 99 Actual	FY 00 Goal	FY 00 Actual
99.9%	99.9%	99.8%	99.8%	NA

**Target met or exceeded: Data not yet available**

**Discussion:** FY 2000 data are not available at this time. The actual FY 2000 performance for this indicator will be reported in the FY 2001 APR.

**49. Dollar accuracy of OASI payment outlays, Percent without underpayments**

FY 97 Actual	FY 98 Actual	FY 99 Actual	FY 00 Goal	FY 00 Actual
99.9%	99.9%	99.9%	99.8%	NA

**Target met or exceeded: Data not yet available**

**Discussion:** FY 2000 data are not available at this time. The actual FY 2000 performance for this indicator will be reported in the FY 2001 APR.

**50. DDS decisional accuracy rate**

FY 97 Actual	FY 98 Actual	FY 99 Actual	FY 00 Goal	FY 00 Actual
96.5%	96.2%	96.7%	97%	NA

**Target met or exceeded: Data not yet available**

**Discussion:** FY 2000 data are not available at this time. Data will be available in January 2001 and the actual FY 2000 performance for this indicator will be reported in the FY 2001 APR. The performance goal was set at an approximate target level, and the deviation from that goal is expected to be slight. There will be no effect on overall program or activity performance.

**51. Office of Hearings and Appeals (OHA) decisional accuracy rate**

FY 97 Actual	FY 98 Actual	FY 99 Actual	FY 00 Goal	FY 00 Actual
87%	87%	88%	87%	NA

**Target met or exceeded: Data not yet available**

**Discussion:** FY 2000 data are not available at this time. Data will be available in April 2001 and actual FY 2000 performance for this indicator will be reported in the FY 2001 APR.

Projections are, however, that we will exceed this goal with 88 percent decisional accuracy. We believe the improvement in the decisional accuracy rate is attributable to several factors, one of which is our ALJs' continuing involvement in the Quality Assurance Review process. For each of the past several years about 35 different ALJs have participated. Two other reasons are our continuing provision of programmatic training via interactive video teleconferencing sessions and several regional ALJ training sessions provided by OHA regional teams.

**52. Dollar accuracy of SSI payment outlays, Percent without overpayments**

FY 97 Actual	FY 98 Actual	FY 99 Actual	FY 00 Goal	FY 00 Actual
94.7%	93.5%	94.3%	95%	NA

**Target met or exceeded: Data not yet available**

**Discussion:** Data will be available in April 2001. They will be reported in the FY 2001 APR.

**53. Dollar accuracy of SSI payment outlays, Percent without underpayments**

FY 97 Actual	FY 98 Actual	FY 99 Actual	FY 00 Goal	FY 00 Actual
98.8%	98.8%	98.3%	98.8%	NA

**Target met or exceeded: Data not yet available**

**Discussion:** Data will be available in April 2001. They will be reported in the FY 2001 APR.



**54. Percent of SSNs issued accurately**

FY 97 Actual	FY 98 Actual	FY 99 Actual	FY 00 Goal	FY 00 Actual
99.9%	99.8%	99.8%	99.8%	NA

**Target met or exceeded: Data not yet available**

**Discussion:** Effective FY 2000, the accuracy rate for enumeration will be calculated on a full FY basis; in prior years it was calculated by calendar year. The high accuracy level is an indication of how important it is to obtain accurate information when processing Social Security number requests so that our customers receive SSNs based on accurate data, and so that the Agency maintains accurate data on number holders. Annual reminders on the importance of processing SS-5 applications for Social Security cards are sent to the field emphasizing those areas where particular attention should be given. FY 2000 data will be reported in the FY 2001 APR.

**Strategic Objective:** *To become current with DI and SSI CDR requirements by 2002*

**55. Percent of multi-year CDR plan completed**

FY 97 Actual	FY 98 Actual	FY 99 Actual	FY 00 Goal	FY 00 Actual
13.5%	29.0%	48.2%	63%	68.8%

**Target met or exceeded: Yes**

**Discussion:** Based on the May 16, 2000, revision of SSA's CDR 7-year plan, the 63 percent completion goal included in the FY 2000 APP was raised to 66 percent. SSA exceeded the APP goal as well as the adjusted goal.

**Strategic Objective:** *Through 2002, to maintain and improve current levels of accuracy and timeliness in posting earnings data to individuals' earnings records*

**56. Percent of wage items posted to individuals' records by September 30**

FY 97 Actual	FY 98 Actual	FY 99 Actual	FY 00 Goal	FY 00 Actual
97.8%	98.5%	92.9%	98%	97.6%

**Target met or exceeded: No**

**Discussion:** The calculation of SSA's FY 2000 performance is based on the number of tax year 1999 earnings items posted through September 30, 2000, divided by an estimate of total items to be posted for tax year 1999. The Actuary recently indicated that the estimate of earnings items to be posted for tax year 1999 could be overstated. If this is true, SSA may have achieved the 98 percent posting goal for FY 2000. We will not know for certain until the tax year 1999 database closes early in calendar year 2001. We expect that the activities outlined in indicator number 46 (Annual Earnings Postings) will help us achieve the goal next year.

**57. Percent of earnings posted correctly**

FY 97 Actual	FY 98 Actual	FY 99 Actual	FY 00 Goal	FY 00 Actual
99.0%	99.0%	99.0%	99.0%	99.0%

**Target met or exceeded: Yes**

**Discussion:** SSA met its FY 2000 goal of posting 99 percent of earnings correctly. The website of online reference sources, the activities of our Employer Services Liaison Officers and the 800 number devoted to the Employer Reporting Service Center all helped to ensure the attainment of this goal.

**Strategic Objective:** *To aggressively deter, identify and resolve fraud*

**58. Number of investigations conducted (i.e., closed)**

FY 97 Actual	FY 98 Actual	FY 99 Actual	FY 00 Goal	FY 00 Actual
5,455	6,291	9,238	7,600	8,051

**Target met or exceeded: Yes**

**Discussion:** Prior to FY 2000, this goal was based on cases opened. The FY 2000 goal was revised upward from 7,200 to 7,600 investigations conducted (i.e., closed) in SSA's FY 2000 Revised Final Performance Plan to reflect the benefits of increased the Office of the Inspector General (OIG) resources devoted to investigative activities. Achievement of this and the next three goals is largely due to the successes of the investigative projects and efforts of the OIG's Office of Investigations. Two projects stand out – Cooperative

Disability Investigations teams and the fugitive felon program. These two programs continue to grow both in terms of the number of investigators involved in the activities and the number of investigations that result from the allegations processed by the OIG's Allegation Management Division. Even with these successes, the Office of Investigations continues to look for better methods of utilizing the relatively few investigators assigned to handle cases throughout the country.

**59. OASDI dollar amounts reported from investigative activities**

FY 97 Actual	FY 98 Actual	FY 99 Actual	FY 00 Goal	FY 00 Actual
NA	NA	\$45 million	\$40 million	\$46 million

**Target met or exceeded: Yes**

**Discussion:** The FY 2000 goal was revised upward from \$9 million to \$40 million in SSA's FY 2000 Revised Final Performance Plan to reflect an anticipated return on investment from investigative activities. See further explanation in item 58 above.

**60. SSI dollar amounts reported from investigative activities**

FY 97 Actual	FY 98 Actual	FY 99 Actual	FY 00 Goal	FY 00 Actual
NA	NA	\$140 million	\$80 million	\$128 million

**Target met or exceeded: Yes**

**Discussion:** The FY 2000 goal was revised upward from \$55 to \$80 million in SSA's FY 2000 Revised Final Performance Plan to reflect an anticipated return on investment from investigative activities. The goal was exceeded by 60 percent. See further explanation in item 58 above.

**61. Number of criminal convictions**

FY 97 Actual	FY 98 Actual	FY 99 Actual	FY 00 Goal	FY 00 Actual
2,507	2,762	3,139	1,800	2,604

**Target met or exceeded: Yes**

**Discussion:** The goal was exceeded by 44.6 percent. See explanation in item 58 above.

*Strategic Objective:* To increase debt collections by 7 percent annually through 2002

**62. OASDI debt collected**

FY 97 Actual	FY 98 Actual	FY 99 Actual	FY 00 Goal	FY 00 Actual
\$1,186.5 million	\$1,103.4 million	\$1,191.5 million	\$1,274.9 million	\$1,343.5 million

**Target met or exceeded: Yes**

**Discussion:** The FY 2000 goal was revised upward from \$1,263,200 to \$1,274,900 in SSA's FY 2000 Revised Final FY 2000 APP to account for FY 1999 performance. This goal requires SSA to maintain existing performance. Although SSA did not implement any new debt collection provisions in this FY, we were able to meet the FY 2000 goal. This is a result of the Agency focus on aggressively pursuing delinquent debtors by using all available debt collection tools.

We are currently developing a new debt collection measure for future APPs. Our new measure will focus on the level of outstanding debt that is either in a repayment agreement, under appeal or newly detected.

**63. SSI debt collected**

FY 97 Actual	FY 98 Actual	FY 99 Actual	<b>FY 00 Goal</b>	<b>FY 00 Actual</b>
\$511.0 million	\$539.2 million	\$640.0 million	<b>\$684.8 million</b>	<b>\$701.6 million</b>

**Target met or exceeded: Yes**

**Discussion:** The FY 2000 goal was revised upward from \$617.3 to \$684.8 million in SSA’s FY 2000 Revised Final FY 2000 APP to account for FY 1999 performance. This goal requires SSA to maintain existing performance. Although SSA did not implement any new debt collection provisions in this FY, we were able to meet the FY 2000 goal. This is a result of the Agency focus on aggressively pursuing delinquent debtors using all available debt collection tools.

We are currently developing a new debt collection measure for future APPs. Our new measure will focus on the level of outstanding debt that is either in a repayment agreement, under appeal or newly detected.

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

Unlike our four other strategic goals that address SSA’s core functional responsibilities, this goal addresses the Agency’s most important asset – the employees of SSA and the DDSs. The focus of this goal is to ensure that SSA continues to have the highly skilled, high performing and highly motivated workforce that is critical to achievement of our mission. It also reflects SSA’s conviction that employees deserve a professional environment in which their dedication to the SSA mission and to their own goals can flourish together.

While not all FY 2000 APP goals were met, there was overall improvement in performance when compared to FY 1999. The Agency performed well in the areas of management development programs and staff development programs, and met 4 of the 7 goals relating to the physical environment. The Agency made positive steps in promoting a change culture that incorporates our values and developing a diverse workforce.

The discussion of this strategic goal in SSA’s latest strategic plan “*Mastering the Challenge*” clearly reflects the evolution of SSA’s planning with respect to SSA and DDS employees and SSA’s understanding that investing in human resources issues will be a critical enabler of SSA’s ability to manage to the challenges of

the next decade. Beginning in FY 2002, the performance indicators under this strategic goal will reflect that evolution and SSA’s commitment to make strategic investments in its human resources infrastructure.

The following Objectives support this Strategic Goal:

- To provide the necessary tools and training to achieve a highly skilled and high-performing workforce
- To provide a physical environment that promotes the health and well being of employees
- Promote an Agency culture that successfully incorporates our values
- Create a workforce to serve SSA’s diverse customers in the twenty-first century

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

**64. Percent of offices with access to Interactive Video Training/Interactive Distance Learning (IVT/IDL)**

FY 97 Actual	FY 98 Actual	FY 99 Actual	<b>FY 00 Goal</b>	<b>FY 00 Actual</b>
26%	65%	93.4%	<b>100%</b>	<b>98.8%</b>

**Target met or exceeded: No**

**Discussion:** The FY 2000 performance plan reflected a change in the definition of the performance indicator to clarify what was actually being measured. The FY 2000 indicator measured the percent of offices, either equipped with IVT/IDL or within 30 minutes commuting distance of another SSA location that has IVT/IDL, as a percent of total offices. However, the FY 2000 goal was inadvertently left unchanged. It should have been changed from 100 percent to 75 percent with the change in definition. We plan to revise the indicator again in FY 2001 to measure the “percent of offices with direct access to IVT.” Assuming that funding materializes, our FY 2001 goal is 82.1 percent of offices installed with direct access to IVT. The FY 2002 goal will be 100 percent.

The FY 2000 goal was not met due to external factors over which neither SSA nor the various vendors involved had any control. Specifically, there are 9 sites remaining to be installed out of the 610 identified as part of the 1997 expansion. Either protracted

negotiations with landlords, complex municipal building codes and permit requirements, or delays in office moves and renovations were the cause of the delay in each of these cases. In numerous situations where there was a potential for extensive delays, alternative sites were substituted. But this was not always possible since the sites were originally selected with the goal of making IVT accessible to as many employees and offices as possible.

The components and vendors involved in the installations began focusing closely on about 30 problem sites midway through FY 2000. All but 9 have been resolved and these last 9 are all expected to be installed by the end of CY 2000. Lessons learned in dealing with these and other problem sites were used to plan for an additional expansion of the current IVT system.

Future performance goals will largely be tied to the availability of funding. To date, approval of full expansion has been given but funding has been provided for only a portion of the sites, with others to be potentially funded in FYs 2001 and 2002. If funding is available, the revised goals should be met. Performance data from past years have been used to determine a reasonable number of sites for installation, as well as to design an installation process which includes proactive elements to identify those sites that may have landlord or location issues that would impact installation.

**65. Formal management development programs implemented**

**FY 2000 Goal 1: Complete Senior Executive Service (SES) Candidate Development Program**

**FY 2000 Goal 2: Continue Advanced Leadership Program (ALP)**

**FY 2000 Goal 3: Continue Leadership Development Program (LDP)**

**Target met or exceeded: Yes**

**Discussion:** The SES Candidate Development Program ended on August 31, 2000. Although the program did not guarantee SES placement, 24 of the 36 selectees received SES appointments. The remaining 12 candidates completed program requirements and received SES certification from OPM.

During FY 2000, the ALP participants continued to implement their development plans through individual rotational assignments and training. The participants also completed two Core training sessions: “Strategic Communications” at the University of South Carolina and “Power and Leadership” at the University of Virginia. The program ends December 2000.

An orientation for the LDP participants was held in March 2000. Selections for the program were increased from the 25 announced vacancies to 61, and provided more representation from SSA field offices (50 selectees). Participants received approval of their Individual Development Plans and are currently in their first developmental assignment.

**66. Percent of managerial staff participating in management/leadership development experiences**

FY 97 Actual	FY 98 Actual	FY 99 Actual	<b>FY 00 Goal</b>	<b>FY 00 Actual</b>
NA	40%	60%	<b>33 1/3%</b>	<b>33 1/3%</b>

**Target met or exceeded: Yes**

**Discussion:** All 10 regions conducted live one-day seminars for one-third of the managers and supervisors in their regions. The sessions began in April 2000 and were completed in September 2000. Three regions exceeded the goal by including their entire managerial workforce in the training. The goal was also met at headquarters where all managers in the Office of Systems, the Office of Publications and Logistics Management and the Office of Hearings and Appeals were trained.

***Strategic Objective:** To provide a physical environment that promotes the health and well-being of employees*

**67. Percent of employees reporting they are satisfied with the level of security in their facility**

FY 97 Actual	FY 98 Actual	FY 99 Actual	<b>FY 00 Goal</b>	<b>FY 00 Actual</b>
64%	64%	74%	<b>75%</b>	NA

**Target met or exceeded: Data not yet available**

**Discussion:** FY 2000 actual data are not yet available. The security survey was distributed on schedule in FY 2000 and the actual results will be analyzed,

tabulated and reported in FY 2001. Data for this indicator will be reported in the FY 2001 Performance Report.

SSA continues implementing security enhancements. In the field, for example, a significant investment was made for the purchase and installation of additional security services and devices. Primarily, this involved closed circuit television cameras, intercom and peepholes. In addition, we have increased the number of duress alarms connected to central monitoring stations. Representatives of SSA and the General Services Administration (GSA) continue to conduct periodic risk assessments of our offices to determine if additional enhancements are needed.

SSA has continued its partnership with the employee union through a National Health and Safety Partnership Committee on Security (NHSPCS). The NHSPCS meets monthly to identify security concerns and the actions needed to resolve them. The NHSPCS hosted its sixth conference in September 2000. Participants learned about state of the art security devices, which are appropriate for use in the Agency's public contact offices and provide an appropriate response to biological and chemical terrorism.

**68. Percent of environmental air quality surveys completed and percent of the corrective actions taken when called for - Facilities surveyed**

FY 97 Actual	FY 98 Actual	FY 99 Actual	FY 00 Goal	FY 00 Actual
NA	23.6%	37%	20%	20.6%

**Target met or exceeded: Yes**

**69. Percent of environmental air quality surveys completed and percent of the corrective actions taken when called for - Corrective actions taken**

FY 97 Actual	FY 98 Actual	FY 99 Actual	FY 00 Goal	FY 00 Actual
NA	72.3%	76%	75%	76.6%

**Target met or exceeded: Yes**

**Discussion (68 and 69):** The percentages of corrective actions taken vary by region, depending on the complexity of each action. SSA is working closely with GSA staff to resolve problems expeditiously. As a result, additional corrective actions taken nationwide during August and September allowed SSA to exceed its goals.

**70. Number of facilities having water quality testing and percent of corrective actions taken when called for - Facilities surveyed**

FY 97 Actual	FY 98 Actual	FY 99 Actual	FY 00 Goal	FY 00 Actual
NA	496	662	600	291

**Target met or exceeded: No**

**Discussion:** The goal for the number of facilities surveyed was not met because the performance goal of 600 facilities for FY 2000 was set in FY 1999 before the FY 1999 performance had been evaluated. As reported for FY 1999, we exceeded our 1999 goal by a significant extent, leaving only 300 facilities remaining to be surveyed during FY 2000. The regional offices and other large field offices will be completed in FY 2001 as planned and SSA will also test offices that relocate during the year (approximately 150 field offices). So, although the specific numeric target was not met, SSA did meet the intent of the goal by surveying all remaining facilities in FY 2000.

**71. Number of facilities having water quality testing and percent of corrective actions taken when called for - Corrective actions taken**

FY 97 Actual	FY 98 Actual	FY 99 Actual	FY 00 Goal	FY 00 Actual
NA	100%	100%	100%	100%

**Target met or exceeded: Yes**

**Discussion:** SSA met the goal of completing 100 percent of the recommended corrective actions or providing acceptable alternative sources of drinking water in FY 2000.



**72. Number of relocated offices having security surveys and percent of accepted security recommendations implemented - Offices surveyed**

FY 97 Actual	FY 98 Actual	FY 99 Actual	<b>FY 00 Goal</b>	<b>FY 00 Actual</b>
NA	NA	NA	<b>150</b>	<b>152</b>

**Target met or exceeded: Yes**

**73. Number of relocated offices having security surveys and percent of accepted security recommendations implemented - Accepted recommendations taken**

FY 97 Actual	FY 98 Actual	FY 99 Actual	<b>FY 00 Goal</b>	<b>FY 00 Actual</b>
NA	NA	NA	<b>85%</b>	<b>NA</b>

**Target met or exceeded: Data not yet available**

**Discussion (72 and 73):** Funds were allocated to field components to implement the corrective actions. The Regional Offices have not provided final reports on actions completed during the FY. We will report on actual performance for this indicator in the FY 2001 Performance Report.

**Strategic Objective:** *Promote an Agency culture that successfully incorporates our values*

**74. Create Agency change strategy**

**FY 2000 Goal: Develop and implement strategy**

**Target met or exceeded: Yes**

**FY 2000 Actual:** SSA has completed a baseline study, a gap analysis, and a benchmarking study, leading to the creation of a change strategy. In August 2000, SSA formed a multi-component Organizational Culture Workgroup that is helping to develop a change strategy. The group is targeting the end of CY 2000 to complete its report with recommendations and an action plan designed to address issues raised by the survey and analysis.

**Strategic Objective:** *Create a workforce to serve SSA's diverse customers in the twenty-first century*

**75. Complete Agency plan for transitioning to the workforce of the future**

**FY 2000 Goal 1: Implement competency-based models for recruitment and training needs assessment**

**Target met or exceeded: No**

**FY 2000 Goal 1 Actual:** We did not fully implement the goal for competency-based training needs assessment, although a model was developed and implementation began for a pilot group involving 2 percent of our employees. Actions during the year included:

- the design and installation of the core curriculum model and a survey on the Agency's internal website,
- lease of reinforcing training courses to satisfy training needs identified by the assessment, and
- successful negotiations with the union on the parameters of the pilot activity, including agreement on the core competency model, the assessment survey, and use of the Individual Learning Account concept.

We did not implement the competency-based recruitment model, although preparatory work was accomplished this year. Information was gathered to document the need for competency-based recruiting and selection tools and to obtain subject matter expert input on what factors should be considered for selecting new employees.

Work on the competency-based models continues in FY 2001.

**FY 2000 Goal 2: Complete employee survey**

**Target met or exceeded: No**

**FY 2000 Goal 2 Actual:** On September 18, 2000, a contract was awarded to conduct the employee survey. The goal to complete the employee survey in FY 2000 was not achieved because a series of management meetings were required to address and resolve issues critical to the employee component of the market measurement program, i.e., best survey methodology

and scope. The Agency's intent is to conduct an employee survey that combines survey design, data collection, analysis and training into one program in order to determine the link between employee response and productivity, performance and customer service. The Agency plans to complete the employee survey in FY 2001.

**FY 2000 Goal 3: Publish an Agency transition plan**

**Target met or exceeded: Yes**

**FY 2000 Goal 3 Actual:** The Transition Plan includes future expectations, their effects on the Agency's workforce needs, and the actions to be taken to transition from the workforce SSA has today to the workforce it will need in the future. The Transition Plan was developed with input from all the SSA components, as well as the unions and management associations. The plan was published on June 5, 2000.

**Strategic Goal: To strengthen public understanding of the social security programs.**

Public understanding of Social Security's programs is a key factor in how satisfied the public is with our service. While data on the percent of the public knowledgeable about Social Security programs will not be available until December 2000, we anticipate that we will meet this goal because of our success in mailing Social Security Statements to workers age 25 and older who are not receiving Social Security benefits.

***Strategic Objective:** By 2005, nine out of ten Americans will be knowledgeable about the Social Security programs in five important areas:*

- *Basic program facts*
- *Financial value of programs to individuals*
- *Economic and social impact of the programs*
- *How the programs are financed today*
- *Financing issues*

**76. Percent of public who are knowledgeable about Social Security programs**

FY 97 Actual	FY 98 Actual	FY 99 Actual	FY 00 Goal	FY 00 Actual
NA	NA	55%	65%	NA

**Target met or exceeded: Data not yet available**

**Discussion:** This data will be available upon completion of the annual Public Understanding Measurement System (PUMS) survey in December 2000. They will be reported in the FY 2001 Performance Report.

**77. Percent of individuals issued Social Security Statements as required by law**

FY 97 Actual	FY 98 Actual	FY 99 Actual	FY 00 Goal	FY 00 Actual
100%	100%	100%	100%	100%

**Target met or exceeded: Yes**

**Discussion:** This goal was achieved. We successfully implemented the provisions of Section 1143 of the Social Security Act by mailing annual *Social Security Statements* to workers 25 and older who are not receiving Social Security benefits (approximately 133 million).

The automatic mailing took place at a rate of over 500,000 *Statements* per business day, with about 10 million issued each month. Workers receive their *Statement* about three months before their birthday. This timing will be especially helpful to individuals who are thinking about retirement because it will provide them with a current benefit estimate.

The annual PUMS survey, completed in January 2000, included a series of questions related to customer satisfaction with the *Social Security Statement*. The data shows that the *Statement* is pivotal in increasing the level of public knowledge about Social Security, and that the public finds it easier to understand than the PEBES document.

**Selected Indicator Performance for FY 1999**

This section reports on FY 1999 performance data for selected performance measures. These performance indicators are found in the FY 1999 APP. However, because actual, full-year data was not available when SSA's FY 1999 APR was published, they are being reported and discussed herein. The numbers assigned to each indicator correlate to the number assigned in the FY 1999 APR.

**36. Percent of wage items posted to individuals' records by September 30**

FY 96 Actual	FY 97 Actual	FY 98 Actual	FY 99 Goal	FY 99 Actual
97.3%	97.8%	98.5%	98%	92.9%

**Target met or exceeded: No**

**Discussion:** This goal was not attained in FY 1999 because of a late magnetic media submittal of over 7 million items. The Agency pursued a number of initiatives in FY 2000 to ensure the timely processing of this workload, and we are on track.

**38. Dollar accuracy of OASI payment outlays**

**Percent without overpayments**

FY 96 Actual	FY 97 Actual	FY 98 Actual	FY 99 Goal	FY 99 Actual
99.8%	99.9%	99.9%	99.8%	99.8%

**Target met or exceeded: Yes**

**Percent without underpayments**

FY 96 Actual	FY 97 Actual	FY 98 Actual	FY 99 Goal	FY 99 Actual
99.8%	99.9%	99.9%	99.8%	99.9%

**Target met or exceeded: Yes**

**Discussion:** Program policies, operations and systems continue to provide the level of support necessary to meet this goal. We continue to monitor the OASI processes to identify and correct any problem that might affect the payment accuracy goal.

**39. DDS decisional accuracy**

FY 96 Actual	FY 97 Actual	FY 98 Actual	FY 99 Goal	FY 99 Actual
96.7%	96.5%	96.2%	97%	96.7%

**Target met or exceeded: No**

**Discussion:** The FY 1999 performance goal was set at an approximate target level and the deviation from that goal is slight. There was no effect on overall program or activity performance.

**40. Percent of SSNs issued accurately**

FY 96 Actual	FY 97 Actual	FY 98 Actual	FY 99 Goal	FY 99 Actual
99.6%	99.9%	99.8%	99.8%	99.8%

**Targets met or exceeded: Yes**

**Discussion:** The Agency's accuracy rate for SSNs issued correctly in CY 1999 was 99.8 percent, which met the goal. It should be noted that the accuracy rate for enumeration has been calculated on a calendar year basis rather than by FY. The FY 1999 data represents the period January through September 1999. For FY 2000, the accuracy data will cover the entire FY.

**Verification and Validation**

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 (GAO) and SSA's Inspector General.

***FY 2000 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 2000 APP, "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. In the case of non-quantifiable goals, we describe how we will consider them to have been achieved. SSA's Revised Final Performance Plan for FY 2000 includes changes to performance measure wording for indicators 56, 57, and 58, to the definition of indicators 42, 54, and 57, and clarifies the definition of the FY 2000 target for indicator 10.

***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 high levels of statistical precision. The Office of Quality Assessment 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.

Pages 32 through 34 of this Performance and Accountability Report describe, in detail, SSA's 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 OIG plays a key role in assuring that the data systems used by SSA to measure performance are reliable. Each year since 1998, the OIG's workplan has included reviews of SSA performance measures in which 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 is reviewing performance measures in SSA's FY 1999 APR and FY 2001 APP. In FY 2001, the OIG intends to review performance measures in SSA's FY 2000 APR and FY 2002 APP.

The OIG's report of its review of SSA's FY 2000 APP 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 and our subsequent actions demonstrate our commitment to continue on our path of continuous improvement.

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 correct the definition of the former indicator and clarify 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.

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.

### ***General Accounting Office Reviews***

In its July 1999 report on its review of SSA's FY 2000 APP, 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 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 FY, SSA develops a coordinated Agency evaluation plan. All key components involved in the evaluation function, 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.

Additional information on the Agency Evaluation Plan is provided in the following section entitled "Program Evaluation."

### **Program Evaluation**

SSA has broadened the scope of its evaluation activities beyond studies of outputs and performance measures. The Agency expanded its capacity to evaluate the outcomes of SSA's programs in terms of their effect on the lives of the American public. Evaluations are used to build models and create baseline information that can be used to address the Agency's long range issues. SSA has moved to multi-dimensional evaluations that coordinate quality, customer satisfaction, timeliness, etc., into a cohesive whole.

Program evaluations are independent systematic studies conducted to assess how well a program is working. SSA uses various types of program evaluations to examine program performance and context. The Agency prepares an annual Agency coordinated evaluation plan to ensure evaluation activities are in place for all the Agency's goals, objectives and business processes. The plan also ensures that there are no overlaps, duplications or gaps among the Agency's evaluating components' activities. The FY 2000 Agency Coordinated Evaluation Plan contained 245 scheduled

evaluation activities, many of which were multi-year or ongoing projects. In addition to the ongoing, recurring periodic evaluations of accuracy, customer service, etc., the evaluation activities described below were completed in FY 2000. They focused on the Agency goals, objectives and business processes. The findings from many of the Agency's evaluation activities are woven throughout various sections of this report, especially in the areas of quality, customer satisfaction and accuracy. Copies of the evaluation results can be obtained by contacting the Office of Strategic Management by mail at:

Office of Strategic Management  
Social Security Administration  
250 Altmeyer Building  
6401 Security Boulevard  
Baltimore, MD 21235

There are four main types of program evaluation that SSA uses, along with other information, to learn the benefits of a program or how to improve it. They are:

- **process evaluation**--assesses whether a program is operating as it was intended (i.e., conformance to statutory and regulatory requirements, program design, and professional standards or customer expectations).
- **outcome evaluation**--assesses the extent to which a program achieves its outcome-oriented objectives. The focus is on outputs and outcomes (including unintended effects), but may also assess program processes.
- **impact evaluation**--assesses the net effect of a program by comparing program outcomes with an estimate of what would have happened in the absence of the program. This form of evaluation is used extensively to assess the Responsive Programs goal.
- **cost-benefit /cost-effectiveness analysis**--compares a program's outputs or outcomes with the costs (resources expended) to produce them. They determine the cost of meeting a single goal or objective and identify the least costly alternative to meet that goal.

Many of SSA's evaluations are combinations of the above. Following are brief summaries of those completed in FY 2000:

- **Field Office (FO) Customer Help and Information Program (CHIP)** evaluated the usefulness/applicability of a teleservice center version of CHIP to handle walk-in and telephone contacts for two FOs. It was unclear from this limited study whether expansion of



CHIP use in FOs will provide a significant benefit to offset the additional development and training costs.

- Organizational Culture determined the workplace practices and values of the Agency and analyzed the gaps between the current culture and the desired culture. This information is being used to develop a change strategy that will help SSA managers and employees achieve the desired culture.
- State Online Query evaluated the impact on field office productivity of allowing State employees in three States to verify clients' Social Security benefits or SSNs through online query. The findings were inconclusive and did not clearly indicate workyear savings to the field offices involved.
- Current Beneficiary Survey a one-time survey, focused on beneficiaries and recipients receiving monthly payments and their satisfaction with SSA's routine service, in contrast to other surveys that target specific types of business or SSA contacts. Satisfaction with service was very high, with 94 percent of retirement and survivors insurance, and 91 percent of both disability insurance and supplemental security income responders rating the overall service SSA provides in handling their needs, answering questions and paying benefits as excellent, very good or good.
- Report on SSA's Annual Customer Satisfaction Survey (ACSS) provided the results of SSA's FY 1999 ACSS, the performance measurement mechanism which was replaced by interaction tracking effective with FY 2000. The survey measured customer perceptions of SSA service received via all main service delivery modes over the course of the previous 12 months. The overall satisfaction rate for FY 1999 was very high, with 88 percent of responders rating service as excellent, very good or good.
- 800 Number Service - Evaluation of Spanish-Language Calls evaluated the accuracy of Spanish language 800 number calls, following the standard protocol for ongoing monitoring of SSA's 800 number service. The Spanish-language evaluation, which involved 494 calls monitored, found that the quality of service provided to Spanish-speaking 800 number callers surpasses the Agency's 800 number performance goals of 95 percent payment accuracy and 90 percent service accuracy. Payment accuracy based on all goals was 98.5 percent, for payment-affecting calls only, the rate was 96.5 percent, and service accuracy was 93 percent.
- 800 Number Customer Survey Report for August 1999 the semi-annual survey which is part of interaction tracking under the Agency's Market Measurement

Program, measures customer satisfaction with service received during a particular 800 number contact. The survey of customers who contacted the 800 number in August 1999 found a rating of 80 percent excellent, very good, or good, significantly lower than the 84 percent rating recorded for the previous survey in February 1999. An increased perception that it was difficult to get through appeared to be the major factor contributing to the lower satisfaction rating.

- 800 Number Evaluation Findings for October 1998 through September 1999 provided the findings of the FY 1999 800 number evaluation. This evaluation, which included monitoring of nearly 3,800 calls, measured the accuracy and quality of the service provided over SSA's national 800 number. The FY 1999 review found a payment accuracy rate of 97.4 percent based on all calls and 95.4 percent for payment-affecting calls. Service accuracy was 81.8 percent. Access/disclosure errors continued to adversely affect service accuracy.
- Report on the SSA Enumeration Kiosk Customer Survey obtained customer reaction to a "proof of concept" project to provide an automated Social Security card application on kiosks in three pilot field offices. While the limited scope of the pilot means survey results must be viewed with caution, the findings indicate the concept was well received by customers. Ninety-six percent rated the ability to fill out the application directly on computer screens as excellent, very good or good, and 91 percent gave the same ratings for overall service. Among negative comments, customers pointed out the lack of privacy while using the kiosk, waiting time to see a representative after completing the application and the need for clearer instructions.
- Office Visitor Survey Report provided the results of the first interaction tracking survey of visitors to SSA's field and hearings offices. The survey, which sampled visitors to 65 offices over a 13-week period, obtained customer opinions shortly after the contact when the impression of service was fresh. Over 2,217 customers responded to the survey. Overall satisfaction was very high, with 91 percent of responders rating service on the day of the visit as excellent, very good, or good. Responders most often attributed this high degree of satisfaction to SSA staff.
- Report on the Surveys of 800 Number Automated Service Users summarizes the findings of two surveys conducted as special studies to determine how well SSA's 800 number automated services met customer needs and if these needs were not met, what happened and why. The surveys involved an across-the-board

sample of callers (“All Callers”) who had selected an automated service and a sample of callers known to have redialed the 800 number shortly after selecting an automated option (“Redialers”). “Redialers” gave a much lower rating of 69 percent excellent, very good or good in comparison to the 81 percent rating of “All Callers,” as might be expected. Where the automated services fell short of meeting customer needs, callers mainly cited easier access to live assistance as the remedy.

- Findings from the Customer Service Standards Survey were based on input obtained from SSA’s customers on their opinion of what constitutes “good service.” The findings from the current survey support the Agency’s efforts to update the Agency’s customer service standards established based on the Office of Quality Assurance and Performance Assessment’s initial customer service standards survey conducted in 1994. Twelve customer segments were sampled, with responses from more than 11,000 customers. The questions dealt with the following service areas: waiting time in our offices, completing business with SSA, scheduling and holding a hearing with a judge, enumeration, 800 number service, use of the Internet, and service preferences. When possible the findings were presented in the context of current Agency performance measures, Agency goals and current service levels.
- Report on the Quality of the Enumeration Process, Calendar Year (CY) 1998 provided findings for use as the Agency’s measurement of performance accuracy of the enumeration process. For CY 1998, a random sample of 2,301 records was selected from all applications processed in the year for review. The review identifies errors that result in the miss-assignment of an SSN (a critical error), or incomplete/incorrect information on the Numident record (a major error). The rate of cases free of critical error was 99.8 percent; the rate of cases free of major error was 91.0 percent.
- Evaluation of Concurrent Title II/Title XVI Notice of Disapproved Claims (Form SSA-L442) determined whether the notice language in the Notice of Disapproved Claims is easy to read and understand and if it accurately communicates all necessary information to the notice recipient. The notice informs the claimant of a denial of their concurrent title II/ title XVI claims for disability benefits. Study participants generally found the concurrent title II/ title XVI Notice of Disapproved Claims easy to understand. Only 14 percent of the study participants found the notice difficult to understand. Of those that

found the notice difficult to understand, 40 percent gave as a reason that they had difficulty reading. Only 32 percent (4 percent of all survey participants) indicated the notice was hard to understand because it was not clearly written or the points were not clearly made. The survey also showed that the notice effectively communicated necessary information to the claimant. When asked specific questions about the information on the notice, a large majority of the survey participants were either correct or partially correct with their responses.

- Project NetWork, summarized in the *Social Security Bulletin* article, “The Net Effects of the Project NetWork Return-to-Work Case Management Experiment on Participant Earnings, Benefit Receipt and Other Outcomes,” was a major social experiment testing case management as a tool of promoting employment among persons with moderate to severe disabilities. This comprehensive analysis shows the benefits of using an experimental design to derive realistic net outcome estimates. While the results cannot be generalized to other case management interventions, they are nevertheless instructive for planning new initiatives.

The Office of the Inspector General, Office of Audit (OIG/OA) also contributes to SSA’s efforts to assure audit and evaluation coordination and coverage of SSA goals, objectives, key initiatives and business processes. OIG/OA conducts the following types of audits and evaluations:

- **Financial statement audits** provide reasonable assurance about whether the financial statements of an audited entity present fairly the financial position and results of operations in conformity with generally accepted accounting principles and the entity has complied with laws and regulations that may have a material effect on the financial statements.
- **Financial-related audits** Determine whether financial information is presented in accordance with established or stated criteria, the entity has adhered to specific financial compliance requirements, or the entity’s internal control structure over financial reporting and/or safeguarding assets is suitably designed and implemented to achieve control objectives.
- **Economy and efficiency audits/evaluations** determine whether the entity is acquiring, protecting, and using its resources economically and efficiently, the causes of inefficiencies, and whether the entity has complied with laws and regulations on matters of economy and efficiency.

- **Program audits/evaluations** determine the extent to which the desired results or benefits established by the legislature or other authorizing body are being achieved, the effectiveness of organizations, programs, activities, or functions, and whether the entity has complied with significant laws and regulations applicable to the program.

For a detailed explanation of specific reports see the OIG/OA section of this report. A discussion of the Agency's goals and performance indicators follows.

### **Barometer Measures**

In the FY 2000 and FY 2001 APPs' discussion of the Strategic Goal "To promote valued, strong, and responsive social security programs and conduct effective policy development, research and program evaluation," SSA acknowledged its responsibility to help shape the dialogue for addressing critical long-term and short-term Social Security issues. SSA committed to providing information and policy options for the OASDI and SSI programs for use by decisionmakers.

A key deliverable is "barometer" measures, i.e., information on how Social Security benefits, in combination with many related factors, affect the economic well-being of the public. In its FY 2000 APP, SSA committed to preparing preliminary analyses of these barometer measures for the OASDI and SSI programs and to establishing baselines for the measures. This section of the FY 2000 APR fulfills that commitment for FY 2000; we introduce and define the barometer measures, explain their relevance to the programs, and provide baselines. Barometers may change over time as data sources are further developed and new measures are introduced. We will report updates, summaries, and analyses of these barometer measures in APRs for subsequent years.

No single measure can capture the effectiveness of a social program. SSA has developed five barometer measures for the OASDI program and four for SSI. Within each barometer measure, there are from one to three data measures. The barometer measures reflect the different bases and objectives of each program: worker earnings-based for OASDI and needs-based for SSI. The barometer measures should be considered within the context of each other, and in relation to external economic, social and other factors.

### ***Highlights of Barometer Measures***

#### **OASDI Program**

- OASDI benefits greatly reduce the portion of aged beneficiaries in poverty and keep a significant portion of beneficiaries of all ages out of poverty.
- Many people rely heavily on Social Security. A majority of beneficiaries aged 65 or older and 44 percent of beneficiaries aged 18 to 64 receive half or more of their family income from Social Security.
- Most workers are covered for Social Security:
  - ▶ 96 percent of people aged 62 or over are eligible for benefits.
  - ▶ 84 percent of men and 73 percent of women aged 20 to 64 are insured for disability benefits.
- Low-wage workers receive higher benefits relative to their earnings, but workers with higher earnings receive larger benefits in dollar terms.

The five measures for the OASDI program focus on:

- Poverty
- Reliance on program benefits
- The percentage of people eligible
- Return to work of people with disabilities, and
- Benefit adequacy and equity.

#### **SSI Program**

- SSI payments decrease the monthly poverty gap for recipients by 61 percent.
- SSI provides half or more of total income for 38 percent of aged beneficiaries and 66 percent of beneficiaries aged 18 to 64.
- Several States supplement Federal SSI benefits to push income closer to the poverty level.

The four SSI measures focus on:

- Poverty
- Reliance on program benefits
- Return to work, and
- Benefit adequacy

Following are details of the barometer measures.

**OASDI Barometer Measures**

**OASDI BAROMETER MEASURES FOR POVERTY STATUS**

OASDI Beneficiaries in Poverty		
Age	Percent of Group Below Poverty	Number of People in Poverty (Millions)
65+	8.5	2.5
18-64	18.3	1.5
Children	24.9	1.3
NOTE: Beneficiaries aged 65+ and 18-64 are individuals who report receiving Social Security. Beneficiaries under age 18 are children in families who report receiving Social Security. Poverty is based on family money income, not including nonmoney transfers such as food stamps.		
Source: March 1999 Current Population Survey (CPS), for 1998.		

OASDI Beneficiaries Raised Above Poverty By Social Security		
Age	Percent Raised Above Poverty by Social Security	Percent Who Would Be Poor Without Social Security
65+	39	48
18-64	27	46
Children	17	42
NOTE: Beneficiaries aged 65+ and 18-64 are individuals who report receiving Social Security. Beneficiaries under age 18 are children in families who report receiving Social Security. Poverty is based on family money income, not including nonmoney transfers such as food stamps.		
Source: March 1999 CPS, for 1998.		

**BAROMETER MEASURES FOR RELIANCE ON OASDI BENEFITS**

Social Security As A Percent of Total Family Income			
Age	Percent Who Rely on Social Security For:		
	Half or More of Total Income	90% or More of Total Income	100% of Total Income
65+	56	22	14
18-64	44	20	15
NOTE: Counts the family Social Security income of persons aged 18 and older as a percent of the family's total income. A regular SSA data series presents somewhat different figures for those 65 or older counting individuals and married couples based on their own Social Security benefits as a percent of their own income. The numbers under that calculation are 63, 30 and 18 percent. We use a different method here so that age groups are measured similarly and because the method used for the aged is not appropriate for younger groups.			
Source: March 1999 CPS, for 1998.			

Income Quintiles	Percent of Income From Social Security and Percent of All Social Security Dollars Paid			
	Percent of Income from Social Security		Percent of All Social Security Dollars Paid	
	65+	18-64	65+	18-64
Lowest	89	83	12	12
Second	74	67	18	19
Third	59	46	22	22
Fourth	39	30	23	23
Highest	18	15	26	24
NOTE: Counts persons based on family money income quintiles and family reliance on Social Security. A regular SSA data series presents somewhat different figures for those 65 or older counting individuals and married couples based on their own income quintiles and their own reliance on Social Security. The numbers under that calculation are 82, 81, 64, 45 and 18 percent. We use a different method here so that age groups are measured similarly and because the 65 or older are \$12,535/\$20,179/\$30,031/\$50,000; the family income quintile limits for those aged 18-64 are \$11,058/\$19,948/\$32,006/\$50,206.				
Source: March 1999 CPS, for 1998.				

**BAROMETER MEASURES FOR OASDI  
ELIGIBILITY**

<b>Population Aged 62 Or Older Eligible For OASDI Benefits</b>		
	<b>Percent Eligible</b>	<b>Number Eligible (in millions)</b>
Total	96	39.8
Male	93	16.6
Female	97	23.2

Source: Estimate of SSA Office of the Chief Actuary, 1999.

<b>Percent of Women Aged 65 Or Older Receiving OASDI Benefits</b>	
Retired Worker Only	36.2
Dually Entitled	28.6
- Wife	11.4
- Widow	17.1
Wife or Widow Only	35.3
- Wife	12.9
- Widow	22.4

NOTE: Total number of women aged 65 or older receiving OASDI benefits is 18.96 million.

Source: Master Beneficiary Record (MBR), December 1999.

<b>Percent Who Meet Work Requirements To Be Insured For Disability Benefits</b>		
<b>Age</b>	<b>Percent Eligible</b>	
	<b>Male</b>	<b>Female</b>
20-NRA	84	73
20-49	84	75
50-61	85	71
62-NRA	78	59

NOTE: NRA = Normal Retirement Age

Source: Estimate of SSA Office of the Chief Actuary, 1999.

**BAROMETER MEASURES ON DI  
BENEFICIARIES RETURNING TO WORK**

<b>DI Beneficiaries Who Are Working</b>		
	<b>Number</b>	<b>Percent of All DI Beneficiaries</b>
Working and Receiving Benefits	Number being developed	Number being developed
Benefits Ceased Due to Work Above the SGA Level	10,000	0.2

NOTE: SGA = Substantial Gainful Activity--\$500 per month for the first six months of 1999 and \$700 per month thereafter

Source: MBR, 1999.

**OASDI BAROMETERS ON ADEQUACY AND  
EQUITY OF BENEFITS**

<b>Hypothetical Retiree Replacement Rates at NRA</b>		
<b>Benefits at Normal Retirement Age as a Percent of Last Year's Earnings Assuming Wages for All Years Were:</b>		
<b>Minimum Wage*</b>	<b>Average Wage</b>	<b>Maximum Taxable Earnings</b>
68%	39%	24%

\* Many retirees, particularly women, have years with no earnings or work part-time and earn less than the minimum wage. Assuming wages for all years were three-fourths of the minimum wage, the replacement rate would be 77 percent.

Source: Calculation by SSA Office of Research, Evaluation and Statistics, 1999.

Average Actual Primary Insurance Amounts (PIA) And Monthly Benefits Paid For New Retired Workers, by PIA Quintile				
PIA Quintiles	Monthly Average		Yearly Average	
	PIA	Benefit	PIA	Benefit
Lowest	\$343	\$349	\$4,116	\$4,188
Second	\$629	\$558	\$7,548	\$6,696
Third	\$892	\$794	\$10,704	\$9,528
Fourth	\$1,181	\$1,058	\$14,172	\$12,696
Highest	\$1,386	\$1,212	\$16,632	\$14,544
NOTE: About one-third of the lowest quintile is dually entitled to worker and spouse benefits; thus the monthly benefit is somewhat higher than the PIA. Dual entitlements in the four other quintiles are minimal. Benefits are generally less than PIAs on account of reduction for early retirement.				
Source: MBR, benefits newly awarded in 1999.				

### BAROMETER MEASURES FOR RELIANCE ON SSI BENEFITS

SSI As A Percent of Total Income			
Age	Percent Who Rely on SSI for:		
	Half or More of Total Income	90% or More of Total Income	100% of Total Income
Under 18	99.7	98	96
18-64	66	47	42
65+	38	22	19
NOTE: Counts the person's SSI as a percent of the person's total money income in a 1-month period, not including nonmoney transfers such as food stamps. SSI amounts from SIPP have been replaced with SSI Federal and Federally administered State supplementary payments from SSA's program records that have been matched to the SIPP.			
Source: SIPP and SSA program records, March 1997.			

### SSI Barometer Measures

#### SSI BAROMETER MEASURES FOR POVERTY STATUS

Poverty Gap With and Without SSI			
Age	Monthly Without SSI (millions)	Poverty Gap With SSI (millions)	Percent Reduction in Gap Due to SSI
All	\$2,390	\$936	61
Under 18	\$273	\$107	61
18-64	\$1,631	\$655	60
65+	\$486	\$174	64
NOTE: The poverty gap is the dollars needed to bring income of SSI recipients to the poverty level. Poverty is based on family money income in a 1-month period, not including nonmoney transfers such as food stamps. SSI amounts from the Survey of Income and Program Participation (SIPP) have been replaced with SSI Federal and Federally administered State supplemental payments from SSA's program records that have been matched to the SIPP.			
Source: SIPP and SSA program records, March 1997.			

#### BAROMETER MEASURES ON SSI BENEFICIARIES RETURNING TO WORK

Disabled SSI Recipients Aged 18-64 Who Are Working				
	Working Above SGA	Working at or Below SGA	Total Working	All Disabled Recipients
Number	25,000	232,000	257,000	3,691,000
Percent of All Disabled Recipients	0.7	6.3	7.0	NA
Average Gross Monthly Earnings	\$928	\$218	\$287	NA
Source: Supplemental Security Record (SSR), December 1999.				



<b>Disabled SSI Recipients Aged 18-64 Whose Benefits Ceased Due to Work</b>		
<b>Recipients Whose Benefits Ceased:</b>		
<b>Number</b>	<b>Percent of All SSI Recipients</b>	<b>Percent of All Workers</b>
16,010	.4	5.0
NOTE: Number of recipients whose benefits (cash and/or Medicaid) ceased during the quarter ending March 31, 2000. These data are reported quarterly. Quarterly numbers cannot be added together because this would produce an overcount of people who start and stop work multiple times during a year.		
Source: SSR, 2000.		

### SSI BAROMETERS ON ADEQUACY OF BENEFITS

<b>SSI As A Percent Of The Poverty Threshold In States With "Broad Coverage" State Supplement Groups</b>				
<b>State</b>	<b>Number in a Broad SSI Coverage Group (thousands)</b>	<b>Percent of All State Recipients</b>	<b>SSI Annual Income Level*</b>	<b>SSI as Percent of Poverty Threshold for One Person</b>
CA	786	75	\$8,112	95
MA	80	48	\$7,548	90
MI	193	90	\$6,168	73
NJ	110	75	\$6,372	75
NY	313	51	\$7,044	83
PA	238	86	\$6,324	74
Federal Benefit	6,557	NA	\$6,000	71
* Federal SSI plus Federally administered State supplements in the above States for one person.				
NOTE: A broad coverage group includes persons with the most common type of living arrangement within each state, which varies from State to State. Individuals in such living arrangements receive an SSI Federally administered State supplement together with the Federal payment that moves them closer to the poverty threshold than the Federal payment alone.				
Source: SSR and data from States, 1999.				