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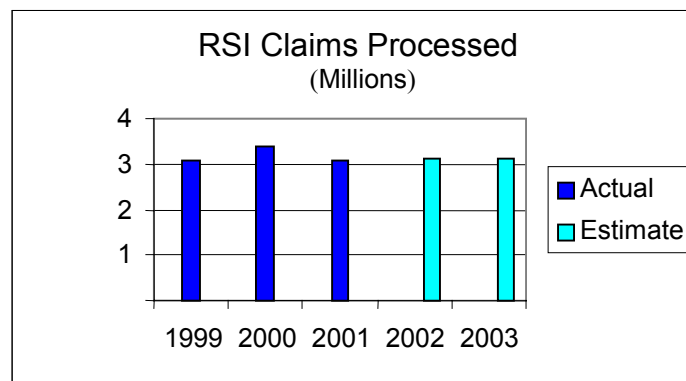
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Historical Workload Volume Data and our FY 2003 Estimated Workloads

The following charts provide historical data on workload volumes assuming enactment of the full President's budget request for FY 2003. Data presented for FYs 1999 - 2001 are actual workloads. Data for FY 2003 are estimated workloads.

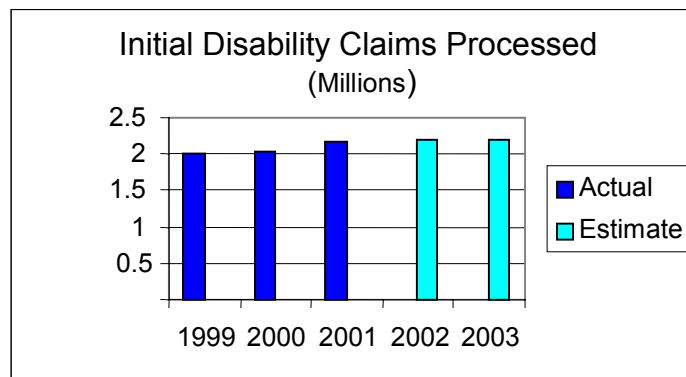
Output Measure:	RSI Claims Processed			
FY 2003	3,109,200			
Baseline Data	FY 1999	FY 2000	FY 2001	FY 2002
	3,076,937	3,404,938	3,092,743	3,107,000



Data Definition: All retirement, survivors, and Medicare initial claims processed by field offices and central operations components. Includes totalization claims

Data Source: The MIICR System

Output Measure:	Initial Disability (Title II and Title XVI) Claims Processed			
FY 2003	2,200,900			
Baseline Data	FY 1999	FY 2000	FY 2001	FY 2002
	2,012,047	2,035,627	2,166,623	2,191,000

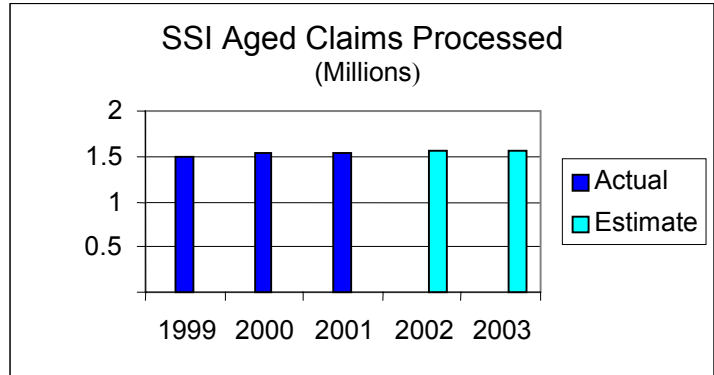


Data Definition: DDS count of initial disability claims processed, including disabled dependents

Data Source: National Disability Services System

Output Measure: SSI Aged Claims Processed

FY 2003	157,100				
Baseline Data	FY 1999	FY 2000	FY 2001	FY 2002	
	148,382	153,474	153,563	155,400	

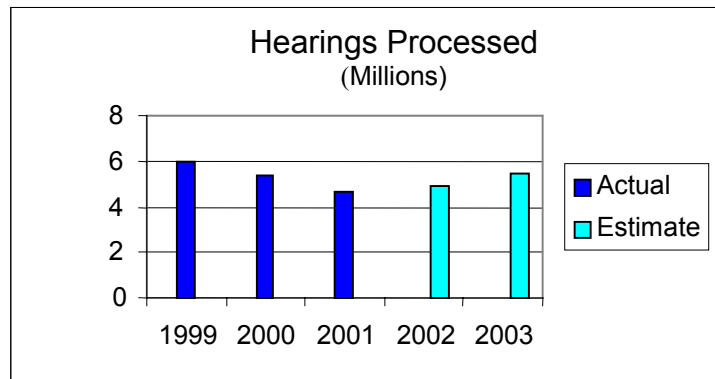


Data Definition: SSI Aged claims processed (field office counts), including abbreviated applications

Data Source: The Title XVI ODS System

Output Measure: Hearings Processed

FY 2003	544,100				
Baseline Data	FY 1999	FY 2000	FY 2001	FY 2002	FY 2003
	596,999	539,426	465,228	490,000	

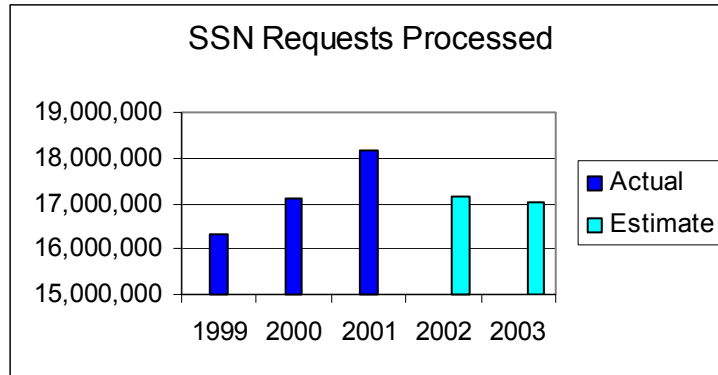


Data Definition: All hearings processed by the Office of Hearings and Appeals. Includes hearing requests from all programs

Data Source: OHA Hearing Office Tracking System

Output Measure: SSN Requests Processed

FY 2003	17,012,400			
Baseline Data	FY 1999	FY 2000	FY 2001	FY 2002
	16,322,588	17,128,073	18,179,115	17,132,400

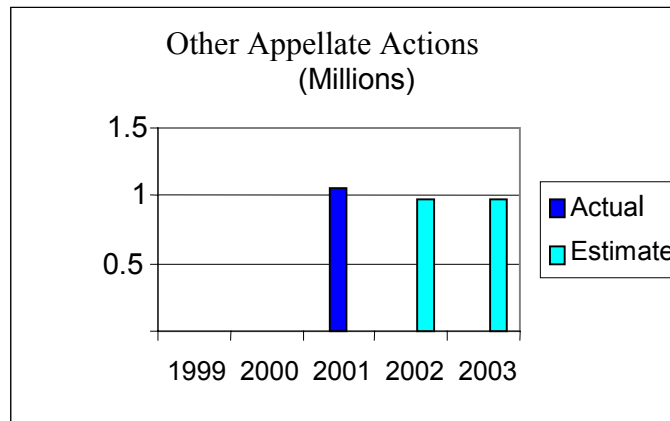


Data Definition: Social Security Number issuance for duplicate or original numbers processed by field offices and central office components, plus enumeration at birth (EAB) activity. Also includes the count of fraud investigations, which do not result in the issuance of an SSN or EAB

Data Source: FOSSNER, EAB, year-to-date processing statistics

Output Measure: Other Appellate Actions

FY 2003	978,700			
Baseline Data	FY 1999	FY 2000	FY 2001	FY 2002
	N/A	N/A	1,052,100	979,900

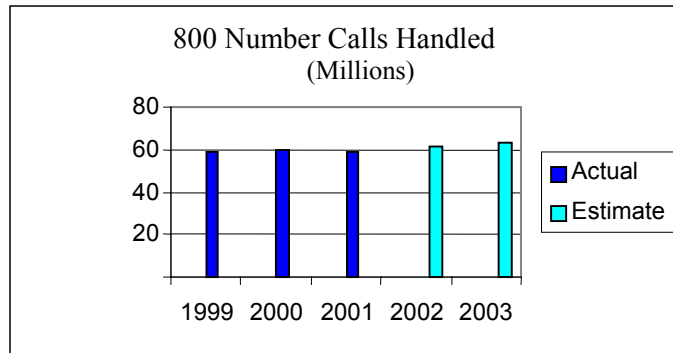


Data Definition: Counts of reconsiderations, Appeals Council cases, new court cases, court remands, and adjudicative process reviews are included in this count

Data Source: Appeals Council Automated Processing System & SSA- Level Cost Accounting System

Output Measure: 800 Number Calls Handled

FY 2003	63,300,000			
Baseline Data	FY 1999	FY 2000	FY 2001	FY 2002
	58,800,000	59,500,000	59,300,000	61,100,000

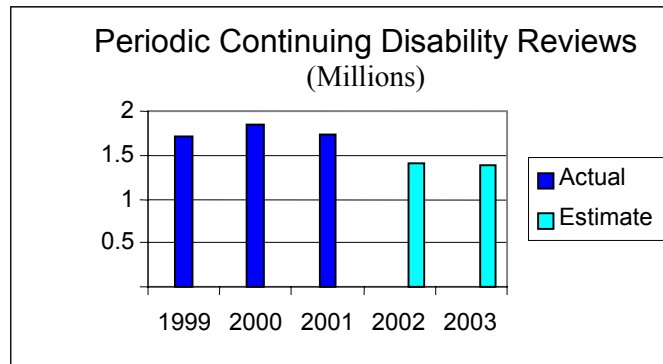


Data Definition: The number of calls (either live or automated service) handled by SSA's 800 Number

Data Source: National 800 Number network

Output Measure: Periodic Continuing Disability Reviews

FY 2003	1,380,000			
Baseline Data	FY 1999	FY 2000	FY 2001	FY 2002
	1,703,414	1,836,510	1,730,192	1,397,000

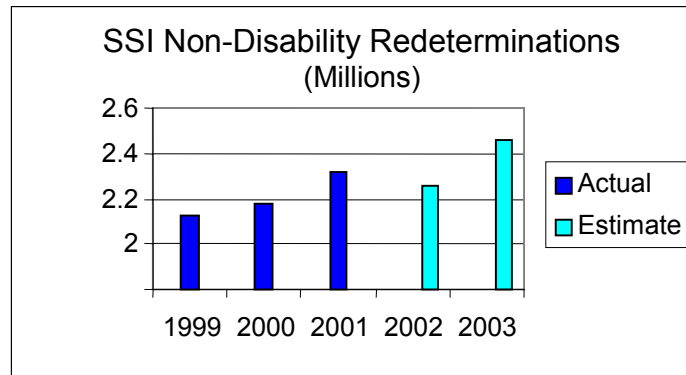


Data Definition: Count combines periodic reviews and other CDRs processed by the DDSs, and mailers not requiring medical reviews

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

Output Measure: SSI Non-Disability Redeterminations

FY 2003	2,455,000			
Baseline Data	FY 1999	FY 2000	FY 2001	FY 2002
	2,122,279	2,182,027	2,315,856	2,255,000

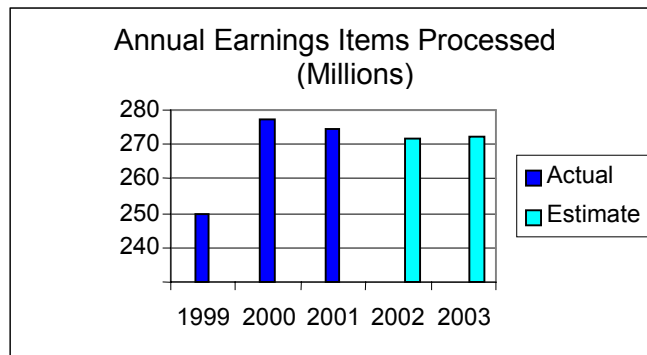


Data Definition: All actions involving the redetermination of eligibility of SSI beneficiaries resulting from diary actions (scheduled) and initiated as a result of events reported by beneficiaries

Data Source: SSA records

Output Measure: Annual Earnings Items Processed

FY 2003	272,500,000			
Baseline Data	FY 1999	FY 2000	FY 2001	FY 2002
	249,867,974	277,145,696	274,427,394	271,800,000

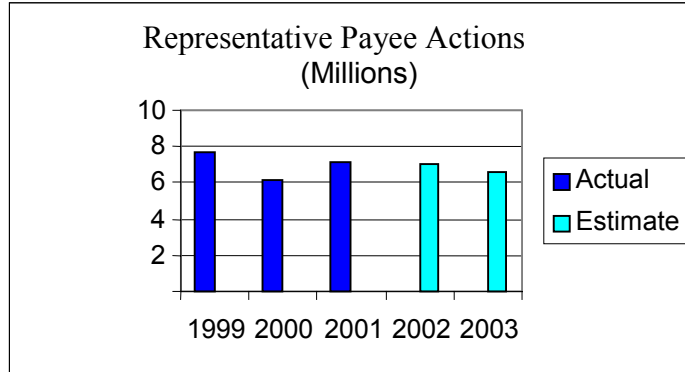


Data Definition: Annual earnings items include the total number of paper annual wage items processed through the balancing operation, plus the total number of magnetic media and self-employment items posted in a fiscal year

Data Source: MIICR system and Agency records

Output Measure: Representative Payee Actions

FY 2003	6,551,400			
Baseline Data	FY 1999	FY 2000	FY 2001	FY 2002
	7,644,563	6,151,264	7,135,770	7,006,500

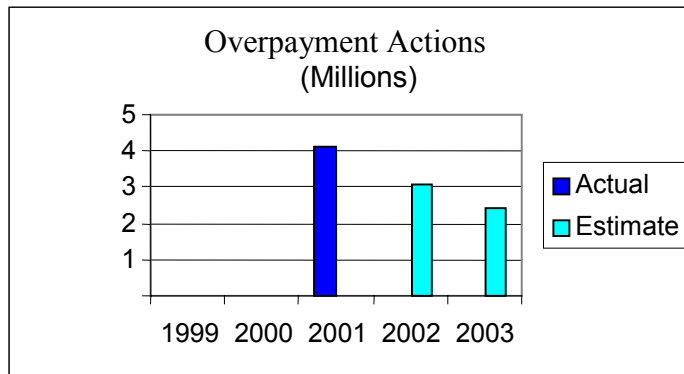


Data Definition: All actions involving change of payee development and notices, and periodic accountability procedures for determining proper use of funds by representative payees. Excludes representative payee actions related to the filing of initial claims

Data Source: MIICR system, Processing Center Action Control System and other Agency records

Output Measure: Overpayment Actions

FY 2003	2,433,500			
Baseline Data	FY 1999	FY 2000	FY 2001	FY 2002
	N/A	N/A	4,121,300	3,064,900



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

Data Source: Agency records

Summary Table of FY 2003 Performance Goals

A. Strategic Goal: To deliver citizen-centered world-class service

<i>Output Measures</i>	
RSI claims processed	3,109,200
SSI aged claims processed	157,100
Initial Disability claims processed	2,200,900
Initial Disability claims pending	783,000
Hearings processed.	544,100
Hearings pending	587,000
SSN requests processed	17,012,400
800-number calls handled	63,300,000
Other Appellate Actions	978,700

1. *Objective: By 2004 and beyond, have 9 out of 10 people who do business with SSA rate the overall service as “good,” “very good” or “excellent,” with most rating it “excellent”*

Performance Indicator	FY 2003 Goal
Percent of people who do business with SSA rating the overall service as “excellent”, “very good” or “good”	82%
Percent of people who do business with SSA rating the overall service as “excellent”	30%
Percent of employers rating SSA’s overall service during interactions with SSA as “excellent”, “very good” or “good”	94%
Percent of employers rating SSA’s overall service during interactions with SSA as “excellent”	33%
Percent of callers who successfully access the 800-number within 5 minutes of their first call	94%
Percent of callers who get through to the 800-number on their first attempt	87%
Percent of 800 number calls handled accurately	90% service 95% payment
Percent of public with an appointment waiting 10 minutes or less	85%

2. *Objective: By 2005, make 67 percent of the public’s interaction with SSA, including citizen-initiated services, available either electronically via the Internet or through automated telephone service, and provide the public interacting with SSA on the Internet with the option of communicating with an SSA employee while online*

Performance Indicator	FY 2003 Goal
Percent of the public’s interactions with SSA, including citizen-initiated services, available either electronically via the Internet or through automated telephone service	40%
Activities to establish the capability for the public interacting with SSA on the Internet to communicate with an SSA employee while online	Testing & proof of concept will continue

3. **Objective: Increase electronic access to information needed to serve the public. Specifically by 2005:**
- *Establish electronic access to human services and unemployment information with 90% of States;*
 - *Establish electronic access to vital statistics and other material information with 50% of States; and*
 - *Increase electronic access to information held by other Federal agencies, financial institutions and medical providers.*

Performance Indicator	FY 2003 Goal
Percent of States with which SSA has electronic access to human services and unemployment information	75%
Percent of States with which SSA has electronic access to vital statistics and other material information	26%
Milestones/deliverables demonstrating progress in increasing electronic access to information held by other Federal agencies, financial institutions and medical providers	<ol style="list-style-type: none"> 1. Finalize California Electronic Medical Evidence implementation plan based on the results of our testing with the California AMA and add additional pilot sites 2. To begin a project to have third-party vendor work with financial institutions, contract with a vendor and conduct a pilot to test the business case

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

Performance Indicator	FY 2003 Goal
Percent of OASI claims processed by the time the first regular payment is due or within 14 days from the effective filing date, if later	88%
Percent of SSI aged claims processed by the time the first payment is due or within 14 days of the effective filing date, if later	75%
Implement activities necessary to have the software and infrastructure in place for paperless processing of RSI and SSI aged claims	<ol style="list-style-type: none"> 1. Develop an automated system to pay cases involving attorneys 2. Complete analysis of additional SSI Windfall Offset enhancements.

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

Performance Indicator	FY 2003 Goal
Percent of initial disability claims decisions issued within 120 days	After analysis of baseline data, a goal will be developed
Initial disability claims average processing time (days)	110 days
DDS allowance performance accuracy rate	97%
DDS net allowance accuracy rate	98%
DDS denial performance accuracy rate	93.5%
DDS net denial accuracy rate	96.2%
Implement activities necessary to have the software and infrastructure in place for electronic processing of disability claims	<ol style="list-style-type: none"> 1. Procure hardware/software for paperless business process infrastructure 2. Enhance the front end interview process to support all types of disability claims 3. Prepare Statements of Work for DDS Legacy system vendors to interface with the EF and support paperless claims processing 4. Develop training plans/ materials and procedures to implement the paperless business process

6. *Objective: Improve the accuracy, timeliness, and efficiency of service to people requesting hearings or appeals. Specifically by 2005:*
- *Increase current levels of accuracy of hearings decisions to 90%;*
 - *Issue hearings decisions in an average of 166 days, with at least 70% issued within 180 days;*
 - *Increase productivity to 122 hearings decisions issued per WY;*
 - *Have the capacity to take 99% of hearings requests in an electronic environment;*
 - *Issue decisions on appeals of hearings within an average of 90 days, with at least 70% issued within 105 days; and*
 - *Increase productivity to 323 appeals council reviews per WY*

Performance Indicator	FY 2003 Goal
Percent of hearing decisions issued within 180 days from the date the request is filed	22%
Hearings average processing time (days)	330 days
OHA decisional accuracy rate	90%
Implement activities necessary to have the software and infrastructure in place for electronic processing of hearings and appeals	Migrate OHA applications to SSA's programmatic architecture
Number of hearing cases processed per workyear	102
Percent of decisions on appeals of hearings issued by the Appeals Council within 105 days of the appeals filing date	40%
Average processing time for decisions on appeals of hearings issued (days)	144 days
Number of decisions on appeals of hearings issued per workyear	287

7. *Objective: By 2007, increase by 100% from 1999 levels, the number of SSDI and SSI disability beneficiaries who achieve steady employment and no longer receive cash benefits*

Performance Indicator	FY 2003 Goal
Percent increase in the number of DI adult worker beneficiaries entering an extended period of eligibility (EPE) due to earnings from work	10% (11,578)
Percent increase in the number of SSI disabled beneficiaries earning at least \$700 per month, whose payments are eliminated because of work (1619(b) status)	10% (87,822)
Activities to implement provisions of the Ticket-to-Work and Self-Sufficiency Program (TWSSP) and other employment strategies	<ol style="list-style-type: none"> 1. Continue to broaden the availability of work incentives specialists to disability beneficiaries nationwide 2. Distribute Tickets to beneficiaries in remaining (Phase 2 and 3) States

8. *Objective: Improve or maintain the accuracy, timeliness and efficiency of processing postentitlement events. Specifically by 2005:*
- *Have the capacity to take and process 99% of PE actions in a paperless environment*

Performance Indicator	FY 2003 Goal
OASDI postentitlement automation rate	90%
SSI postentitlement automation rate	76%

9. *Objective: Maintain through 2005 the accuracy, timeliness and efficiency of service to people applying for Social Security numbers and replacement cards*

Performance Indicator	FY 2003 Goal
Percent of original and replacement SSN cards issued within 5 days of receiving all necessary documentation	97%
Percent of SSNs issued accurately	99.8%

B. Strategic Goal: To ensure the integrity of Social Security programs, with zero tolerance for fraud and abuse

Output Measures

CDRs processed	1,380,000
SSI non-disability redeterminations	2,455,000
Annual earnings items processed	272,500,000
Representative payee actions	6,551,400
Overpayment actions	2,433,500

1. *Objective: Beginning 2002 and through 2005, maintain at 99.8% the overpayment and underpayment accuracy based on non-medical factors of eligibility of OASDI payment outlays*

Performance Indicator	FY 2003 Goal
Percent of OASDI payment outlays “free” of overpayments and underpayments (based on non-medical factors of eligibility)	99.8% OP 99.8% UP

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

Performance Indicator	FY 2003 Goal
SSI overpayment and underpayment accuracy rates including both preventable and unpreventable errors (based on non-medical factors of eligibility)	94.7% OP 98.8% UP

Performance Indicator	FY 2003 Goal
SSI overpayment and underpayment accuracy rates excluding unpreventable errors (based on non-medical factors of eligibility)	95.4% OP 98.8% UP

3. *Objective: To become current with DI and SSI CDR requirements by FY 2002 and remain current thereafter*

Performance Indicator	FY 2003 Goal
Percent of CDRs completed when due and selectable beginning in FY 2003	Maintain 100% CDR currency

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

Performance Indicator	FY 2003 Goal
Percent of wage items posted to individuals' records by Sept. 30	98%
Percent of earnings posted correctly	99%
Percent of employee reports (W-2s) filed electronically	48%

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

Performance Indicator	FY 2003 Goal
Outstanding OASDI debt not in a collection arrangement (excluding due process)	47%
Outstanding SSI debt not in a collection arrangement (excluding due process)	43%

6. *Objective: Aggressively deter, identify and resolve fraud*

Performance Indicator	FY 2003 Goal
Number of investigations conducted (i.e., closed)	9,200
OASDI dollar amounts reported from investigative activities	\$60 million
SSI dollar amounts reported from investigative activities	\$120 million
Number of judicial actions reported	3,500

C. Strategic Goal: To strengthen public understanding of Social Security programs

1. *Objective: By 2005, 9 out of 10 Americans (adults age 18 and over) will be knowledgeable about Social Security programs in three important areas:*
- *Basic program facts;*
 - *Value of Social Security programs; and*
 - *Financing Social Security programs*

Performance Indicator	FY 2003 Goal
Percent of public who are knowledgeable about Social Security issues	78%
Percent of individuals issued SSA initiated Social Security Statements as required by law	100%

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

1. Objective: To recruit, develop, and retain a diverse, well-qualified workforce with the capacity to perform effectively in a changing future environment. Specifically by 2005:

- *Develop and implement innovative tools and techniques for recruitment and hiring;*
- *Use authorized flexibilities to attract and retain a highly qualified and diverse workforce; and*
- *Continue to enhance quality of work life opportunities for all employees*

Performance Indicator	FY 2003 Goal
Increase the retention rate of new hires	Increase the retention rate through the use of competency based tools
Continue to implement the SSA Future Workforce Plan	Implement actions by target dates specified in the Agency's Future Workforce Plan including the following significant actions: 1. Enhance Agency recruiters' ability to use effective marketing and recruiting techniques for attracting new employees 2. Enhance leadership competencies for one-third of SSA supervisors and managers

2. Objective: To provide the necessary tools, training and continuous learning opportunities to maintain a highly skilled and high-performing workforce. Specifically by 2005:

- *Provide online training electronically at the desktop to all employees;*
- *Have 1/3 of all employees participating in job enrichment opportunities during each year;*
- *Provide 70% of employees the necessary competency-based training needed to maintain technical skills each year; and*
- *Provide 70% of employees the competency-based tools needed to obtain training and skills needed to enhance their job performance and develop their careers*

Performance Indicator	FY 2003 Goal
Develop, test, and implement desktop video nationally	Implement desktop video and training in 33 percent of field offices if the prototype is successful and funding is available
Percent of offices with direct access to Interactive Video Teletraining (IVT)	98%
Number of job enrichment opportunities in formal management development programs	Continue Advanced Leadership Program (ALP), Leadership Development Program (LDP), Presidential Management Intern (PMI) support and select Senior Executive Service (SES) candidate participants
Define competencies for technical training and career development and make them available for employee use	<ul style="list-style-type: none"> – Define competencies for TSC and OHA technical training positions – Make competency-based tool available to 30,000 users

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

Performance Indicator	FY 2003 Goal
Percent of employees who are satisfied with overall physical environment, i.e., it is professional, accessible, safe, and secure	N/A

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

1. *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*

Performance Indicator	FY 2003 Goal
Identification, development, and utilization of appropriate barometer measures for assessing the effectiveness of OASDI programs	Update the barometer measures and prepare analysis
Preparation of analyses and reports on demographic, economic, and international trends and their effects on OASDI programs	Prepare analyses on the following topics: 1. The balance between benefit adequacy and individual equity; 2. The relationship between Social Security and the economy; 3. Work and earnings as they relate to Social Security; 4. Role of pensions and wealth in providing retirement security; and 5. Social Security reforms in other countries
Preparation of research and policy analyses necessary to assist the Administration and Congress in developing proposals to reform and modernize the OASDI programs	Prepare analyses on the distributional and fiscal effects of reform proposals developed by the Administration, Congress and other policymakers

2. *Objective: Promote policy changes, based on research, evaluation and analyses, 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*

Performance Indicator	FY 2003 Goal
Identification, development, and utilization of barometer measures for assessing the effectiveness of the SSI program	Update barometer measures and prepare analysis
Preparation of a report and completion of data collection on the National Survey of SSI Children and Families	Conduct analyses using baseline survey data on characteristics of SSI children with disabilities

3. *Objective: Promote policy changes, based on research, evaluation and analyses, 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*

Performance Indicator	FY 2003 Goal
Preparation of a research design to develop techniques for validating medical listings	Report on the status of developing a validation methodology
Preparation of reports on results of the National Study on Health Activity	Report on the status of the main study data collection
Preparation of analyses of alternative return-to-work strategies	Report on the design and implementation of evaluations and demonstration projects

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

Performance Indicator	FY 2003 Goal
Percent of users assigning a high rating to the quality of SSA's research and analysis products in terms of accuracy, reliability, comprehensiveness, and responsiveness	Identify improvements to the user satisfaction measurement system and award a contract for a 2nd user satisfaction survey
Percent of major statistical products that are timely	Produce major statistical products on schedule

Interim Adjustments to the Agency Strategic Plan and Revised FY 2002 Annual Performance Plan:

In the course of developing our Initial FY 2003 Annual Performance Plan, we made adjustments to one goal and some strategic objectives in our Agency Strategic Plan (ASP).

We also made some changes to FY 2002 performance indicators and annual targets to align with Congressional action on our FY 2002 budget request, SSA's support of the President's Management Agenda, the occurrence of any unanticipated exigencies, and/or our review of FY 2001 actual program performance. In setting FY 2003 performance goals, we assume performance in FY 2002 will reflect these revised performance measures and targets. The changes range from minor wording changes to substantive revisions.

- Several changes clarify or expand on the intent or scope of our performance commitments, such as achieving specific milestones in our Agency's Future Workforce Transition Plan.
- Some changes reflect improved performance in FY 2002, such as in processing time for SSI aged claims.
- A limited number of changes lower our performance commitments for FY 2002, notably in processing of hearings and appeals.
- Still other changes commit us to specific levels of performance which in the FY 2002 APP were still to be determined, such as achieving specific milestones demonstrating progress in increasing electronic access to information held by federal agencies, financial institutions and medical providers.

Finally, our current ASP and FY 2002 APP indicate our intention to develop performance indicators to address:

- Field office telephone service;
- OASI and SSI aged claims and postentitlement accuracy;
- Efficiency of processing of OASI and SSI aged claims, disability claims, postentitlement events, and issuing SSNs and replacement cards; and
- Timeliness of processing of postentitlement events.

These indicators are elements of a balanced set of measures representing our service commitments for each of our business processes. Their availability for use is dependent upon the availability of data systems that would provide valid and verifiable measures of these service aspects, as well as baseline data from which to establish annual performance targets. Although we are pursuing the development of such data systems and baseline data, we are not yet in a position to implement these measures in our performance planning, and they have been shown as "To be determined" to date. Accordingly, we have deleted these measures from our slate of active measures, effective FY 2002. We are continuing to develop the necessary data systems to support measures of these aspects of service. In the interim, we will consider them as future performance indicators.

Changes to ASP and original FY 2002 APP Strategic Goals, Objectives, Indicators, and Targets are in italics and footnoted. See endnotes at the back of this section for explanation and basis for change. If you are reading this document electronically, if you hold your cursor over the endnote, a box will pop up which will explain the change.

A. Strategic Goal: To deliver *citizen-centered*¹, world-class service

Output Measures

RSI claims processed	3,107,000
SSI aged claims processed	155,400
Initial Disability claims processed	2,191,000
Initial Disability claims pending	695,000
Hearings processed	490,000
Hearings pending	537,000
SSN requests processed	17,132,400
800-number calls handled	61,100,000
Other Appellate Actions	979,900

- 1. Objective: By 2004² and beyond, have 9 out of 10 people who do business with SSA rate³ the overall service as “good,” “very good” or “excellent,” with most rating it “excellent”**

Performance Indicator	FY 2002 Goal
Percent of <i>people who do business with SSA</i> ⁴ rating the overall service as “excellent”, “very good” or “good”	82%
Percent of <i>people who do business with SSA</i> ⁵ rating the overall service as “excellent”	30%
Percent of employers rating SSA’s overall service during interactions with SSA as “excellent”, “very good” or “good”	NA
Percent of employers rating SSA’s overall service during interactions with SSA as “excellent”	NA
Percent of callers who successfully access the 800-number within 5 minutes of their first call	92%
Percent of callers who get through to the 800-number on their first attempt	86%
Percent of 800 number calls handled accurately	90% service 95% payment
<i>Percent of public with an appointment waiting 10 minutes or less</i> ⁶	85%

2. **Objective: By 2005, make 67 percent of the public's interaction with SSA, including citizen-initiated services⁷, available either electronically via the Internet or through automated telephone service, and provide the public interacting with SSA on the Internet with the option of communicating with an SSA employee while online**

Performance Indicator	FY 2002 Goal
Percent of <i>the public's interactions with SSA, including citizen-initiated services⁸</i> , available either electronically via the Internet or through automated telephone service	30%
Activities to establish the capability for <i>the public interacting⁹</i> with SSA on the Internet to communicate with an SSA employee while online	Test Internet & 800#convergence technologies in a proof of concept initiative and begin to implement technologies

3. **Objective: Increase electronic access to information needed to serve the public. Specifically by 2005:**

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

Performance Indicator	FY 2002 Goal
Percent of States with which SSA has electronic access to human services and unemployment information	68%
Percent of States with which SSA has electronic access to vital statistics and other material information	14%
Milestones/deliverables demonstrating progress in increasing electronic access to information held by other Federal agencies, financial institutions and medical providers	<ol style="list-style-type: none"> 1. <i>Evaluation of the California Electronic Medical Evidence (EME)/Public Key Infrastructure (PKI) pilot; the expansion of the MS Veterans Administration pilot, and KY SMART pilot; preliminary analysis of electronic transmission of medical information; and preliminary implementation plan developed</i> 2. <i>Begin project to have third-party vendor work with financial institutions nationwide to check records concerning applicants'/recipients' eligibility for benefits¹⁰</i>

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

Performance Indicator	FY 2002 Goal
Percent of OASI claims processed by the time the first regular payment is due or within 14 days from the effective filing date, if later	85%
Percent of SSI aged claims processed by the time the first payment is due or within 14 days of the effective filing date, if later	70%
Implement activities necessary to have the software and infrastructure in place for paperless processing of RSI and SSI aged claims	<ol style="list-style-type: none"> 1. Implement the following software: Accommodate Dual Entitlement advance file cases, automate determination of need to develop military service allegations, update the workers' compensation data file and control certain exceptions via a PCACS interface 2. Implement Phase 2 of Attorney Fee/Windfall Offset project. Begin analysis of additional windfall offset enhancements requested by the users

- 5. Objective: Improve the accuracy, timeliness and efficiency of service to people applying for DI and SSI disability benefits. Specifically by 2005:**
- Increase the accuracy of initial disability claims decisions to deny benefits to 95%;
 - Maintain the accuracy of initial disability claims decisions to allow benefits at 96.5%;
 - Issue initial disability claims decisions in an average of 105 days, with at least 70% issued within 120 days; and
 - Have the capacity to process¹¹ 99% of disability claims in an electronic environment

Performance Indicator	FY 2002 Goal
Percent of initial disability claims decisions issued within 120 days	<i>Establish a baseline¹²</i>
Initial disability claims average processing time (days)	115 days
DDS allowance performance accuracy rate	96.5%
DDS net allowance accuracy rate	98% ¹³
DDS denial performance accuracy rate	93.5%
DDS net denial accuracy rate	96.2% ¹⁴
Implement activities necessary to have the software and infrastructure in place for electronic processing of disability claims	<ol style="list-style-type: none"> 1. <i>Develop rules for paperless business process, requirements/infrastructure for the electronic folder (EF) and requirements to interface the EF with the legacy systems used to process disability claims;</i> 2. <i>Develop requirements and systems solution for OHA case processing system;</i> 3. <i>Develop strategy for electronic forms and integration with EF, procure tool;</i> 4. <i>Establish policies/procedures for electronic signatures (internal and external requirements) and the policies necessary to make EF official Agency record; and</i> 5. <i>Develop infrastructure for electronic medical evidence and integration with EF.¹⁵</i>

6. **Objective: Improve the accuracy, timeliness, and efficiency of service to people requesting hearings or appeals. Specifically by 2005:**
- Increase current levels of accuracy of hearings decisions to 90%;
 - Issue hearings decisions in an average of 166 days, with at least 70% issued within 180 days;
 - Increase productivity to 122 hearings decisions issued per WY;
 - Have the capacity to take 99% of hearings requests in an electronic environment;
 - Issue decisions on appeals of hearings within an average of 90 days, with at least 70% issued within 105 days; and
 - Increase productivity to 323 appeals council reviews per WY

Performance Indicator	FY 2002 Goal
Percent of hearing decisions issued within 180 days from the date the request is filed	20% ¹⁶
Hearings average processing time (days)	330 days ¹⁷
OHA decisional accuracy rate	89%
Implement activities necessary to have the software and infrastructure in place for electronic processing of hearings <i>and appeals</i> ¹⁸	Implement the following software: 1. MSSICS will support field-office entry of requests for Hearings and Appeals 2. Provide Web-based query access to Consolidated HOTS Data base, which includes the request for hearing
Number of hearing cases processed per workyear	91 ¹⁹
Percent of decisions on appeals of hearings issued by the Appeals Council within 105 days of the appeals filing date	35%
Average processing time for decisions on appeals of hearings issued (days)	285 days ²⁰
Number of decisions on appeals of hearings issued per workyear	279

7. **Objective: By 2007²¹, increase by 100% from 1999 levels, the number of SSDI and SSI disability beneficiaries who achieve steady employment and no longer receive cash benefits**

Performance Indicator	FY 2002 Goal
Percent increase in the number of DI adult worker beneficiaries who begin a trial work period	5% (8,099) ²²
Percent increase in the number of SSI disabled beneficiaries, aged 18-64, whose payments are reduced because of work (i.e. participating in 1619(a) status)	5 % (26,057) ²³
Activities to implement provisions of the Ticket-to-Work and Self-Sufficiency Program (TWSSP) and other employment strategies	1. Begin payments of Employment Networks 2. <i>Distribute Tickets to beneficiaries in Phase 1 States</i> ²⁴

8. **Objective: Improve or maintain the accuracy, timeliness and efficiency of processing postentitlement events. Specifically by 2005:**
- **Have the capacity to take and process 99% of PE actions in a paperless environment.**

Performance Indicator	FY 2002 Goal
<i>OASDI postentitlement automation rate</i>	89%
<i>SSI postentitlement automation rate</i>	68% ²⁵

9. **Objective: Maintain through 2005 the accuracy, timeliness and efficiency of service to people applying for Social Security numbers and replacement cards.**

Performance Indicator	FY 2002 Goal
<i>Percent of original and replacement SSN cards issued within 5 days of receiving all necessary documentation</i> ²⁶	97%
Percent of SSNs issued accurately	99.8%

B. Strategic Goal: To ensure the integrity of Social Security programs, with zero tolerance for fraud and abuse

<i>Output Measures</i>	
CDRs processed.	1,397,000
SSI non-disability redeterminations	2,255,000
Annual earnings items processed	271,800,000
Representative payee actions	7,006,500
Overpayment actions	3,064,900

1. **Objective: Beginning 2002 and through 2005, maintain at 99.8% the overpayment and underpayment accuracy²⁷ based on non-medical factors of eligibility of OASDI payment outlays**

Performance Indicator	FY 2002 Goal
Percent of OASDI payment outlays “free” of overpayments and underpayments (based on non-medical factors of eligibility)	99.8% OP 99.8% UP

2. **Objective: By 2005, raise to 96% the overpayment accuracy²⁸ based on non-medical factors of eligibility of SSI disabled and aged payment outlays**

Performance Indicator	FY 2002 Goal
SSI overpayment and underpayment accuracy rate (including both preventable and unpreventable errors (based on non-medical factors of eligibility) ²⁹	94.7% OP ³⁰ 98.8%UP
SSI overpayment and underpayment accuracy rate (excluding unpreventable errors (based on non-medical factors of eligibility)	95.4% OP 98.8 UP

3. **Objective: To become current with DI and SSI CDR requirements by FY 2002 and remain current thereafter**

Performance Indicator	FY 2002 Goal
Percent of multi-year CDR plan completed through FY 2002	100%

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

Performance Indicator	FY 2002 Goal
Percent of wage items posted to individuals' records by Sept. 30	98%
Percent of earnings posted correctly	99%
Percent of employee reports (W-2s) filed electronically	30%

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

Performance Indicator	FY 2002 Goal
Outstanding OASDI debt not in a collection arrangement (excluding due process)	47% ³¹
Outstanding SSI debt not in a collection arrangement (excluding due process)	43% ³²

6. **Objective: Aggressively deter, identify and resolve fraud**

Performance Indicator	FY 2002 Goal
Number of investigations conducted (i.e., closed)	8,000
OASDI dollar amounts reported from investigative activities	\$55 million
SSI dollar amounts reported from investigative activities	\$100 million
Number of <i>judicial actions reported</i> ³³	2,500

C. Strategic Goal: To strengthen public understanding of Social Security programs

1. **Objective: By 2005, 9 out of 10 Americans (adults age 18 and over) will be knowledgeable about Social Security programs in three important areas:**
 – Basic program facts;
 – Value of Social Security programs; and
 – Financing Social Security programs

Performance Indicator	FY 2002 Goal
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Percent of public who are knowledgeable about Social Security <i>issue</i>	78% ³⁴
Percent of individuals issued SSA initiated Social Security Statements as required by law	100%

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

1. Objective: To recruit, develop, and retain a diverse, well-qualified workforce with the capacity to perform effectively in a changing future environment. Specifically by 2005:

- *Develop and implement innovative tools and techniques for recruitment and hiring;*
- *Use authorized flexibilities to attract and retain a highly qualified and diverse workforce; and*
- *Continue to enhance quality of work life opportunities for all employees*³⁵

Performance Indicator	FY 2002 Goal
<i>Increase the retention rate of new hires</i>	<i>Establish a baseline retention rate of new hires by September 2002</i> ³⁶
Continue to implement the SSA Future Workforce Plan	Implement actions by target dates specified in the Agency's Future Workforce Plan, <i>including the following significant actions:</i> <ol style="list-style-type: none"> 1. <i>Establish and implement procedures for repaying student loans as a means to recruit and retain employees in hard-to-fill positions,</i> 2. <i>Develop and produce new recruitment materials, and</i> 3. <i>Enhance leadership competencies for one-third of SSA supervisors and managers</i>³⁷

2. **Objective: To provide the necessary tools, training and continuous learning opportunities to maintain a highly skilled and high-performing workforce. Specifically by 2005:**
- Provide online training electronically at the desktop to all employees;
 - Have 1/3 of all employees participating in job enrichment opportunities during each year;
 - Provide 70% of employees the necessary competency-based training needed to maintain technical skills each year; and
 - Provide 70% of employees the competency-based tools needed to obtain training and skills needed to enhance their job performance and develop their career³⁸

Performance Indicator	FY 2002 Goal
Develop, test, and implement desktop video nationally	<i>Develop, test and implement a prototype desktop video in 5 FOS³⁹</i>
Percent of offices with direct access to Interactive Video Teletraining (IVT)	76% ⁴⁰
Number of job enrichment opportunities in formal management development programs	<i>Increase the number of openings for job enrichment opportunities in the national Advanced Leadership Program (ALP) and Leadership Development Programs (LDP) to 192⁴¹</i>
<i>Define competencies for technical training and career development and make them available for employee use</i>	<ol style="list-style-type: none"> 1. <i>Define competencies for the Claims Representative, Service Representative, Benefit Authorizer, and Teleservice Representative positions</i> 2. <i>Develop a competency-based tool to enable employees to identify and obtain information they need about their training and skills development and make it available to 25,000 users⁴²</i>

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

Performance Indicator	FY 2002 Goal
Percent of employees who are satisfied with overall physical environment, i.e., it is professional, accessible, safe, and secure	<i>Establish a baseline⁴³</i>

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

- 1. 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.**

Performance Indicator	FY 2002 Goal
Identification, development, and utilization of appropriate barometer measures for assessing the effectiveness of OASDI programs	Update the barometer measures and prepare analysis
Preparation of analyses and reports on demographic, economic, and international trends and their effects on OASDI programs	Prepare analyses on the following topics: 1. The relationship between Social Security and the economy; 2. Work and earnings as they relate to Social Security; 3. Role of pensions and wealth in providing retirement security; 4. Social Security reforms in other countries
Preparation of research and policy analyses necessary to assist the Administration and Congress in developing proposals to reform and modernize the OASDI programs	Prepare analyses on the distributional and fiscal effects of reform proposals developed by policymakers

- 2. Objective: Promote policy changes, based on research, evaluation and analyses, 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**

Performance Indicator	FY 2002 Goal
Identification, development, and utilization of barometer measures for assessing the effectiveness of the SSI program	Update barometer measures and prepare analysis
Preparation of a report and completion of data collection on the National Survey of SSI Children and Families	Prepare data files for analysis

3. **Objective: Promote policy changes, based on research, evaluation and analyses, 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**

Performance Indicator	FY 2002 Goal
Preparation of a research design to develop techniques for validating medical listings	Report on the status of developing a validation methodology
Preparation of reports on results of the National Study on Health Activity	Report on the status of the main study data collection
Preparation of analyses of alternative return-to-work strategies	Report on the design and implementation of evaluations and demonstration projects

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

Performance Indicator	FY 2002 Goal
Percent of <i>users</i> assigning a high rating to the quality of SSA's research and analysis products in terms of accuracy, reliability, comprehensiveness, and responsiveness	<ol style="list-style-type: none"> 1. Assess <i>user</i> satisfaction measurement system 2. Analyze baseline measures and identify steps to be taken to improve satisfaction with research and analysis products
Percent of major statistical products that are timely	Produce major statistical products on schedule

¹ "Customer responsive" was changed to "citizen-centered" to reflect the President's focus on "citizen-centered" service delivery.

² "By 2002" was changed to "By 2004" to reflect revision of the FY 2001, FY 2002 and FY 2003 performance targets to 82%.

³ "Customers rate" was changed to "people who do business with SSA rate the" to emphasize our citizen-centered emphasis.

⁴ Same rationale as 3.

⁵ Same rationale as 3.

⁶ The indicator for waiting time without an appointment has been eliminated because we are emphasizing appointments to the public.

⁷ "Make 60% of SSA's customer initiated services available to customers" was changed to "make 67 percent of the public's interaction with SSA, including citizen-initiated services" to raise our FY 2005 target in response to public demand and to absorb some of the expected rising workloads. It also expands the universe of services targeted to include all types of interactions with the public, not just those initiated by the public.

⁸ Same rationale as 7.

⁹ Same rationale as 3.

¹⁰ Milestones were developed after analysis of needs and feasibility.

¹¹ "To take" changed "to process" to expand the scope of our commitment beyond the disability interview to creating an electronic folder that can be used throughout the entire disability process.

¹² This milestone will enable us to set a target for FY 2003.

¹³ For FY 2002 and FY 2003, we are transitioning from the existing allowance and denial accuracy indicators to net accuracy indicators. Net accuracy is a better measure of the correctness of disability claim decisions.

¹⁴ Same rationale as 13.

¹⁵ The goals were revised to reflect critical milestones to develop an electronic folder and a policy for electronic signature.

¹⁶ This revised goal reflects FY 2002 hearings dispositions and pending, workload estimates, the impact of the HPI initiative, and the available # of ALJs.

¹⁷ Same rationale as 16.

¹⁸ The software and infrastructure has to support the entire hearings and appeals process.

¹⁹ Same rationale as 16.

²⁰ This revised goal reflects latest FY 2002 workload estimates for appeals of hearings receipts and dispositions.

²¹ "By 2005" was changed to "By 2007" to reflect performance target revisions for FY 2001 and FY 2002 down from 10% per year to 5% per year.

²² The revised goal represents a 5% increase over actual FY 2001 levels.

²³ Same as 22.

²⁴ Distribution of Tickets to Phase 2 States was delayed (to FY 2003) until after regulations were published authorizing this activity.

²⁵ Service to postentitlement customers was changed to "processing postentitlement events" to reflect the current scope of measurement of this objective. Measures for accuracy, timeliness, and efficiency of postentitlement events were previously shown as TBD. Pending development of supporting data systems, they are not available for use at this time. These new indicators better reflect the desired outcomes of the PE software enhancements.

²⁶ The % rate is the number of original and replacement SSNs issued within 5 days of the date the field office receives all required documentation divided by the total number of requests. The issuance date is defined as the date of the systems run that assigns the SSN. This definition change reflects the ending date for actions that have been, and continue to be counted in this indicator. Data previously reported remains unchanged.

²⁷ The adjusted objective reflects our intent to maintain both overpayment and underpayment accuracy at 99.8% from FY 2002 on.

²⁸ This adjusted objective clarifies that 96% is the overpayment accuracy goal for SSI. Underpayment accuracy already substantially exceeds 96%.

²⁹ This revised indicator of SSI accuracy recognizes that some incorrect payments cannot be prevented due to program-inherent policies. See Part V, item B2 for further explanation.

³⁰ The goals of 94.7% for overpayments and 98.8% for underpayments were changed to TBD pending additional analysis.

³¹ These 2 indicators were changed from "in a repayment agreement, under appeal, or newly detected" to "not in a collection arrangement (excluding due process)" to minimize the percentage of debt not being collected by converting these debts into repayment agreements.

³² Same as 31.

³³ "Criminal convictions conducted" was changed to "judicial actions reported" to better describe the types of actions that have been, and continue to be, counted in this indicator, i.e., more than criminal convictions as defined by the legal community.

³⁴ Change from "programs" to "issues" to reflect more accurately the broader knowledge that we wish to measure. The target was raised from 75% to 78% based on improved actual FY 2001 performance as reported in the PUMS survey.

³⁵ This revised Objective reflects the latest methods by which SSA will meet its recruitment and retention goals

³⁶ "Percent of new hires who leave SSA within 5 years" was changed to "increase the retention rate of new hires" to reflect our strategy to concentrate on factors within our control. Establish a baseline retention rate of new hires by September 2002 is the FY 2002 goal for this new indicator.

³⁷ These actions were added to the FY 2002 goal to commit SSA to complete specific milestones included in the Plan. It allows us to more transparently track progress toward acquiring/retaining the future workforce we need.

³⁸ This new language clarifies that SSA is going to provide employees with competency-based training to maintain technical skills and the competency based tools needed to obtain training and skills to enhance job performance and career development.

³⁹ *This goal was changed from 25 field offices to 5 field offices to be consistent with our available resources.*

⁴⁰ *This goal was changed from 80% to 76% due to an increase in the number of sites originally considered for Interactive Video Teletraining direct installation. While the number of funded installations has remained the same, the larger universe results in a lower %.*

⁴¹ *The FY 2002 goal is to double the number of opportunities that were provided in FY 2000. The definition wording change clarifies that FY 2002 performance is being measured against a FY 2000 baseline.*

⁴² *Our FY 2002 goal now reflects SSA's projected results.*

⁴³ *Prior TBD goal has been changed to "Establish a baseline" to reflect a critical milestone in developing a performance target.*

Selected Workload & Outcome Measures Assumed in the President's Budget

	Actual	Expected Results	
	FY 2001	FY 2002	FY 2003
Limitation on Administrative Expenses			
Budgetary Resources (New BA Only) (\$ in millions)			
Under Current Law	\$7,124	\$7,576 ¹	\$7,937
With Full Funding of Federal Retiree Benefit Costs (proposed)	\$7,448	\$7,914 ¹	\$8,283
Selected Workload Measures			
800-Number Calls Handled (millions)	59	61	63
Retirement and Survivors Claims Processed (thousands)	3,093	3,107	3,109
Initial Disability Claims Processed (thousands)	2,167	2,191	2,201
Initial Disability Claims Pending (thousands)	579	695	783
Hearings Processed (thousands)	465	490	544
Hearings Pending (thousands)	436	537	587
Periodic Continuing Disability Reviews (CDRs) Processed (thousands)	1,730	1,397	1,380
SSI Non-Disability Redeterminations Processed (thousands)	2,316	2,255	2,455
Social Security Statements Issued (millions)	137	136	136
Annual Earnings Items Processed (millions)	274	272	273
Social Security Numbers Issued (millions)	18	17	17
Selected Outcome Measures			
800-Number 5-Minute Access Rate	92.7%	92%	94%
SSI Payment Accuracy	N/A ²	94%	94.7%
Initial Disability Claims Average Processing Time (days)	106	115	110
Hearings Average Processing Time (days)	308	330	330
Percent of Citizen-Initiated Services Available to the Public Either Through the Internet or Through Automated Telephone Service	23.3%	30%	40%
Percent of Public Who Are Knowledgeable About Social Security Programs	78%	78%	78%

¹ Includes \$7.5 million supplemental emergency response funding related to the events of September 11, 2001.

² Most recent available data is 93.6 percent for FY 2000.

SSA's Capital Assets Plans

SSA's Capital Assets Plans identify major acquisition areas that will contribute significantly to the achievement of SSA's performance goals and the President's Management Agenda reforms. They include the following:

Title II System Redesign

This redesign will provide a single system for processing virtually all OASI II initial claims and client-initiated postentitlement actions in an online interactive mode. The result will be a greater capability to process work at the first point of contact, online user access to more comprehensive information, and an automated system that is easier and less costly to maintain and modify.

Internet Services

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

National 800 Number Call Center Solution

This initiative replaces the automatic call distributors with newer technology and an intelligent network routing (INR) feature. INR consolidates all national 800 number network queues at SSA's various call centers into one logical queue and directs incoming calls to the next available agent, regardless of the agent's physical location. This results in shorter wait times and more efficient use of Agency personnel to handle calls. Another component of this project is the acquisition of software that predicts call volumes and assigns agents accordingly.

Paperless Processing Centers

This initiative is an image-based workflow management system for the processing centers. It enables SSA to capture information received on paper through electronic imaging and to make that information available for case processing on demand. It also provides SSA the capability to better manage processing center workloads and improve accuracy and timeliness by having data move electronically.

Electronic Wage Reporting System

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

Security Infrastructure and Operations Support

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

Managerial Cost Accountability System (MCAS)

MCAS will modernize the way SSA collects, organizes, and provides management and financial information about SSA's programs and operations to its managers, analysts and outside overseers. MCAS will provide essential data that the Agency needs to track its progress and efficiency in meeting most of its goals and objectives.

Financial Accounting System (FACTS)

This project will provide a comprehensive financial accounting system, replacing accounts payable, accounts receivable, core accounting systems and reporting that are currently in use. This system will provide better control of Agency funds and data consistency across the Agency, and will be compliant with the requirements of the Joint Financial Management Improvement Program.

Disability Determination Services (DDS) Automation

The Social Security Act mandates that a DDS in each state perform determinations of disability for residents of that state who file for Social Security disability benefits. The DDSs, although they are agencies of state governments, are entirely federally funded, and SSA provides approximately \$1.6 billion annually to process disability cases. In the past, each state acquired its own automation using funds provided for this purpose by SSA. In recent years, SSA has installed its own IWS/LANs in each state. It has also achieved savings by consolidating and federally purchasing equipment required by multiple states. This project includes funds that would be spent through federal procurements on behalf of DDS automation needs, as well as funds to be provided for purchases by the states themselves according to specific proposals, which they may submit.

Accelerated Electronic Disability System (AeDib)

The Accelerated Disability System will move all partners in disability claims adjudication/review to a paperless business process through the use of an electronic disability folder and automated case processing systems for all components involved in disability decision-making. In its completed form, AeDib will mean all essential material from the disability folder will be captured and stored electronically. Case-processing systems used by the operating components, including a new system to be developed for OHA, will be enhanced to interface with the electronic case record and to accommodate a paperless business process. Staff will perform all case processing activities from a computer terminal rather than use any paper-based processes.

Any folder documentation created or received in an electronic format can be maintained and stored electronically. For an interim period, paper documentation that will continue to be received for sometime from external sources, such as completed self-help interview forms and medical evidence, will be converted to a digital format at the appropriate step in the process. This will enable SSA to eliminate the generation and accumulation of paper within the disability adjudication process. PDP will provide the capability to reproduce information from the electronic record back into printed format for external partners (e.g., claimants, attorneys, court systems, etc.) who are unable to interface with SSA electronically.

Telephone System Purchases/Replacements/Refreshments

This project maintains the life cycle replacement of outdated telephone systems in the Agency, currently targeting systems that were installed in the early 1990s. It includes investments in new technologies, such as Voice over Internet Protocol (IP) and IP telephony systems, which will take advantage of available bandwidth on the existing SSA network for internal voice communications. It provides equipment for the Automated Outbound Appointment Reminder System, Remote and Local Service Observation, Caller Re-contact Studies and Multimedia Citizen Contact Centers.

Access to Financial Institutions

This initiative will develop the capability to electronically query financial institutions to determine if applicants/recipients have a level of resources that would make them ineligible for Supplemental Security Income (SSI) benefits. SSA is required to verify the income and assets of applicants and recipients in order to determine their entitlement to SSI benefits. Current manual and paper processes are slow, labor-intensive and non-comprehensive. In FY 2000 SSI payment accuracy report (stewardship) indicates that financial account deficiencies, either singularly or in combination with other resources, totaled a projected \$393.6 million in overpayments for the report period.

Employees with Disabilities

The 1998 Workforce Investment Act and revisions to section 508 of the Rehabilitation Act of 1973 now require all federal agencies to procure, develop and maintain electronic and information technologies that are accessible to employees with disabilities (EWD) and members of the public seeking information from an Agency. Executive Order 13078 directs all Federal agencies to increase the hiring of adults with disabilities to reflect an employment rate similar to that of non-disabled workers. This project will maintain and refresh the installed equipment for the Agency's 1,400 EWD and provide for the additional 3,000 EWD whom the Agency has committed to hire in the next five years.

Interactive Video/ Desktop Teletraining (IVT)

SSA relies on a national, interactive-video teletraining (IVT) network to maintain the knowledge and skills of its widely dispersed workforce. The IVT system uses one-way video and two-way audio technology to broadcast training programs by satellite to SSA locations and state DDS offices nationwide, including Puerto Rico and the Virgin Islands. This project will continue the rollout of IVT to the remaining Agency locations by the end of FY 2003. In addition, it provides essential network infrastructure upgrades needed to sustain the IVT system and will add features such as closed captioning, in order to comply with section 508 requirements.

Desktop Infrastructure

This project provides for the best-practices replacement of the Agency's installed base of workstations (i.e., desktops and laptops) to keep technology current and to be able to migrate to successive releases of software when outdated versions cease to be supported by vendors. It also includes the best-practices replacement and upgrade of the wide-area networking switches and related components that connect over 2,000 Agency locations. In the current cycle, the upgrading consists of migrating from an outdated Token Ring topology to switched Ethernet. In addition, it provides for the best-practices life cycle replacement of the servers that form the backbone of the Agency's local area networks and the store-and-forward platforms for the electronic messaging system on which the Agency's day-to-day work processes are increasingly dependent.

Data Center Infrastructure

This project focuses on the principal components in the Agency's mainframe computer architecture, located in the national computer center. These components include the direct access storage devices (DASD), mainframe computer, storage management and magnetic tape infrastructures, mainframe computer software acquisitions and upgrades, and support for the Office of Child Support Enforcement. Chief among the current initiatives are disk capacity increases in DASD, migration from existing mainframe computers to complementary magnetic oxide semiconductor mainframe technology, phased implementation of storage area network technology, updates to the Storage Technology Automatic Cartridge Library System, and the acquisition of software vendor product licenses.

Data Communications Network

This project includes completing the migration to a frame relay network under the FTS 2001 contract and the ongoing telecommunications usage costs for the Agency's entire data network requirements--including administrative as well as programmatic business processes. The frame relay migration will result in greater bandwidth to handle the increasing traffic volumes associated with the evolution toward more online business transactions, but at a reduced overall cost rate for telecommunications time.

Client/Server Software

Client/Server software is a vital part of the modernization of the SSA infrastructure, central to providing a more user-friendly and efficient interface between SSA computer systems and the public. This initiative is currently focused on replacing the enterprise licenses for IWS/ LAN software that will expire in 2003, as well as acquiring new software products to improve reliability and enhance workstation performance.

SSA's Evaluation Plan

Following is a schedule of program evaluations, analyses and studies that will be undertaken or completed during FY 2003 and which directly relate to performance goals and indicators in this APP:

GOAL	PROGRAM EVALUATION	SCOPE AND METHODOLOGY	ESTIMATED COMPLETION
WORLD-CLASS SERVICE	Public Segment Analysis	Triennially assesses the needs, expectations and priorities of each major group (one-third of groups each year) of people doing business with SSA	2003
	Public Comment System	Assesses systemic problems and trends from data captured via the Agency's automated complaint, compliment and suggestion system	Enhanced pilot 2002
	Interactive Tracking Survey	Assesses satisfaction with service by mode of interaction—telephone, office visit, and the Internet (statistical)	
	Annual Employer Interaction Survey	Assesses employer satisfaction with SSA services (statistical)	2003
	Employer Focus Groups	Triennially assesses employer needs, expectations, and priorities	2003
PROGRAM INTEGRITY	Annual CDR Report to Congress	Report on SSA's progress in meeting CDR requirements under law and assesses effectiveness of CDRs	2003
	GISRA Report to OMB	Annual report on the status of SSA's information security program	2003
	Safeguard Procedures Report/Activity Report	Annual reports to IRS on security procedures in place for each SSA system using or storing IRS data	2003
PUBLIC UNDERSTANDING	Annual Public Understanding Measurement System (PUMS)	National public survey of adults age 18 and over to assess their knowledge about Social Security programs (statistical) Note: In 2001, we began a new effort to survey the public in numbers sufficient to give us valid knowledge data at the SSA-service-area level. We hope to continue this effort into future years.	2003

GOAL	PROGRAM EVALUATION	SCOPE AND METHODOLOGY	ESTIMATED COMPLETION
VALUED EMPLOYEES	Employee Survey Process	Assesses employee engagement and impact on productivity, turnover and satisfaction	Pilots: 2001 & 2002 Full survey: 2002 Re-survey: 2004
	Water and Air Quality Surveys	Assesses environmental quality of facilities and identifies required corrective actions	Ongoing
	New Hire Selection Process/Competencies	Assesses competencies as a focused method of recruiting and assessing job candidates	2002-2003
	Retirement Wave Study	Annually reviews actual attrition data and updates/revises attrition methodology in order to better predict future attrition	2003
	Survey of Training Effectiveness	Conducts regional onsite evaluations of training effectiveness by applying OPM's Employee Survey Questionnaire	Ongoing
RESPONSIVE PROGRAMS	Evaluation of Changing Benefit Structures	Evaluates distributional impact of changing OASDI benefits	Ongoing
	National Survey of SSI Children and Families	Provides data to evaluate recent and proposed changes to SSI benefits for children	2003
	State Partnership Evaluation	Evaluates the effects of demonstration project to assist States in developing integrated employment service delivery systems for SSI/SSDI beneficiaries	Preliminary results: 2002 Final results: 2004

Verification and Validation of Data

General Discussion: We are committed to providing data that is valid and reliable to those who use it for decisionmaking. We continuously improve the data clarity and credibility of our intended and actual performance data for all our mission-critical areas. We do this through effective, internal SSA management and by being responsive to insights provided by interest groups such as the General Accounting Office and SSA's Inspector General.

Annual Performance Plan: Our Annual Performance Plan (APP) is the principal GPRA document for describing how we verify and validate the performance data we collect and report. Part VII of our APP includes historical data and annual targets for each Performance Indicator, as well as the data sources and definitions. It also includes data weaknesses and efforts to correct/address such weaknesses if they exist. When we cannot define performance goals for Indicators in an objective/quantifiable form, descriptive statements tell how we will consider the goal to have been achieved.

SSA Data Integrity Systems and Controls: Performance data for our APP's quantifiable measures, including the budgeted output measures, are generated by automated management information and workload measurement systems, as a by-product of routine operations. The performance data for several process accuracy and public satisfaction Indicators comes from surveys and workload samples designed to achieve very high levels (usually 95 percent confidence level) of statistical validity. Our Office of Quality Assurance and Performance Assessment (OQA) reviews a stratified sample of recently completed actions and of ongoing entitlement rolls to determine the accuracy of SSA payments and service transactions. These reviews are initiated just after the close of each fiscal year. Quality assessment reviews require that each selected case be re-developed. Results from the re-developed cases are entered into a data base, validated, analyzed, and a final report is then prepared. This process generally takes about 9 – 12 months to complete, which is why availability of actual data on accuracy performance measures is delayed.

Program Performance Report: Our annual Performance and Accountability Report (PAR) is our vehicle for reporting progress in meeting our GPRA goals. Our FY 2001 PAR describes our comprehensive review program of management and security controls for 1) our administrative and programmatic processes, and 2) our accounting controls in financial management systems. Also discussed are the results of the audit of the FY 2001 financial statements and internal controls by PricewaterhouseCoopers, the independent accounting firm. Such reviews and assessments ensure that our systems are secure and not vulnerable to manipulation by intruders, and confirm our confidence in the reliability of our performance data.

Role of the Office of the Inspector General (OIG): The OIG plays a key role in assuring that our data systems for measuring performance are reliable. They evaluate the processes and systems being used to measure progress in each measured area, so as to assure that they provide reasonable assessments of performance. In FY 2001, the OIG reviewed the performance measures in our FY 2000 Annual Performance Report (APR) and FY 2001 Annual Performance Plan. They reported that "SSA's FY 2001 APP represents SSA's strong commitment and evolving progress to meet the objectives of GPRA. The APP responds to many of the criticisms about previous plans".

We take appropriate action to correct any performance measure deficiencies reported in the OIG audit findings. These actions may include disclosure of data limitations or weaknesses, changes in performance measures, improvements to or additions of data collection systems, or some combination thereof. For example, in response to an OIG recommendation, SSA agreed to 1) maintain three years of data to support the number of individuals selectable for Continuing Disability Reviews (CDRs), and 2) develop a new Indicator to measure "Percent of CDRs

completed when due and selectable” beginning in FY 2003. We also complied with the OIG recommendation to change the definition for our Performance Indicator “Percent of earnings posted correctly,” so as to disclose that correct postings to the Earnings Suspense File (ESF) are included in the universe of earnings counted as “posted correctly.” Earnings are correctly posted in the ESF when they cannot be posted to an individual’s earnings record because there is a mismatch with the name and/or SSN.

Occasionally, there were times when we did not entirely agree with the IG’s recommendations, and for those instances, we provided the rationale for our decision and an alternative course of action, if warranted. There have been other instances when we agreed with a recommendation but did not implement it. We plan to undertake a comprehensive review of all IG audit recommendations and action items to determine if they are still relevant and if we still agree or disagree with them. Where we agree, we will initiate steps to implement the recommendation, and where we disagree, we will go back to the IG with our reasoning.

The OIG uses a four-point approach to reviewing our performance measures. They:

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 the vitality of its programs; and
4. Ensure that the performance measures fully capture the program segments that they are intended to capture.

In its designation of “GPRA” as a major management challenge facing SSA, the OIG recommended that we include more information on “budgeted output measures” in our APP. Accordingly, beginning with our FY 2002 APP, we added the definitions and data sources of each output measure as well as historical performance.

Despite our best efforts, there were some weaknesses in the data used to measure the performance of our hearing process. The OIG found data weaknesses in the Hearing Office Tracking System (HOTS). To address their recommendations, we agreed to review the hearings process from the initial in-take through input into HOTS, to ensure that data within HOTS is complete, accurate, and input timely. Additionally, we agreed to establish consistent quality reviews of the data within HOTS. Finally, we agreed to provide training to staff members responsible for HOTS data management, to ensure consistent and accurate data entry into HOTS.

General Accounting Office (GAO) Reviews: The “Social Security Administration: Status of Achieving Key Outcomes and Addressing Major Management Challenges” document is the GAO’s assessment of our FY 2002 APP and FY 2000 APR. This report focused on our progress in achieving five key outcomes:

1. Providing timely, accurate, and useful information and services to the public;
2. Making disability determinations more timely and accurately;
3. Reducing long-term disability benefits because people return to work;
4. Providing timely information to decisionmakers to address program policy issues such as long-term trust fund solvency; and
5. Reducing fraud, waste, and error in the Supplemental Security Income program.

The GAO found that: “SSA’s current strategies generally provide a clear picture of its future plans to achieve the five key outcomes”. Additionally, the GAO noted that we added baseline data, definitions and data sources for our major budgeted workloads, and an appendix that illustrated planned program evaluations for Strategic Goals.

The GAO criticized us for deleting two output measures – disability and hearings pending in the

FY 2002 APP. These two measures have been included in this FY 2003 APP on page 131 of Appendix B.

Coordinated Agency Evaluation Plan: Each fiscal year, we develop a coordinated Agency Evaluation Plan. Our components involved in evaluation, including the OIG, conduct a joint review of evaluation work plans, to assure an appropriate match between planned evaluation activities and Agency priorities. They identify and address any information gaps and eliminate any overlap or duplication.

Our Key Initiatives

1. Accelerated Electronic Disability System
2. Accelerate Notice Improvements
3. Combat Fraud
4. Continuing Disability Review (CDR) Profiling/Workflow Enhancements
5. Earnings Process Improvements
6. Electronic Payment Services
7. Employment Strategies for People with Disabilities
8. Enumeration at Entry
9. Financial/Administrative Systems
10. Implementation of Competency-Based Selection Tools
11. Improve 800-Number Telephone Service
12. Improve Field Office Reception, Reception Area Environment, and Waiting Times
13. Improvements to the Representative Payment Program
14. Information Exchange
15. Internet Service
16. Market Measurement Program
17. Office of Hearings and Appeals Information Technology Strategy and Implementation
18. Paperless Processing (in Program Service Centers and the Office of Central Operations)
19. Services to Limited English Proficient Public
20. Social Security Unified Measurement System
21. SSI Postentitlement Modernization
22. Title II Redesign
23. Title XVI Payment Accuracy
24. Training Administration/Learning Management System