

GPR A Performance Report

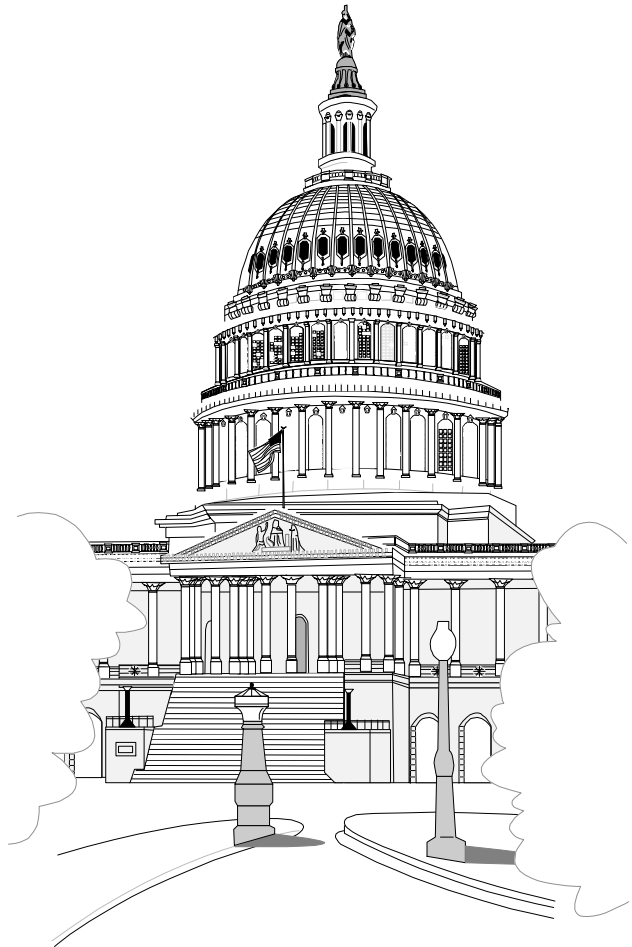
The Government Performance and Results Act (GPR A) of 1993 requires agencies to develop and institutionalize processes to plan for and measure mission performance in the basic management cycle. Planning, execution and measurement are integral parts of the traditional management feedback loop. GPR A defines specific efforts, at the highest level, that Federal agencies must undertake to address this measurement process.

In response to the mandates of GPR A, SSA has developed a framework of performance measures (PM) that better defines service from the perspective of our customers. That framework is SSA's strategic plan, "Keeping the Promise," released in September 1997 and provides the basis for SSA's GPR A Annual Performance Plan. SSA's FY 1999 Annual Performance Plan supports the goals set forth in SSA's strategic plan, serves as a link between the strategic plan and SSA's budget and contains FY 1998 goals. Although not a requirement until FY 1999, SSA has elected to report its progress in meeting those FY 1998 goals.

Outcome measures included in SSA's FY 1998 GPR A Performance Report represent a critical bridge to accomplishment of SSA's longer-term strategic objectives. Some of these measures have appeared in annual Business Plans previously published by SSA. Others are new ones formulated as the new strategic plan was crafted. Still others represent "milestones" the Agency is striving to reach during the period covered by the performance plan and report.

The Performance Report is categorized under the five strategic goals in the Agency's strategic plan. Quantitative performance measures as well as "milestone" measures are shown under their respective strategic goal as defined in the Annual Performance Plan. In addition to showing the actual data and goals for FY 1998 performance measures, actual performance data for FY 1996 and 1997 are also included.

SSA's performance measures are verified and validated through several methods. First, SSA's systems, from which management information is derived, are routinely reviewed by an independent contractor. Also, the Agency's Office of Quality Assurance conducts frequent studies to ensure the integrity of the data provided by SSA's systems is maintained. Another method of verifying and validating our performance measures is through various program audits conducted by our Office of the Inspector General. Finally, as part of the FY 1998 financial statement audit, the Agency's key performance measures as outlined on pages 13 through 19 were subjected to certain procedures as outlined in OMB Bulletin 98-08.



FY 1998 GPRA Performance Report

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

Return to work

1. *Increase the opportunities that disabled beneficiaries have to receive vocational rehabilitation services by contracting with alternate providers.*

FY 1998 Goal — *Establish and begin evaluating a contract methodology.*

FY 1998 Actual — *Under two Request for Proposals (RFP) to solicit businesses to contract with SSA as alternate participants in providing rehabilitation and employment services, we have awarded contracts to over 375 alternate participants. More are expected. Recently, we conducted several large-scaled training sessions for existing alternate participants; and participated in a number of bidder's conferences to educate and recruit additional businesses as alternative participants. Earlier this year, we contracted with Virginia Commonwealth University to help with management assistance, further recruitment, and data gathering for evaluation purposes.*

Adequacy/Equity

2. *Conduct the Disability Evaluation Study (study fielded by FY 2000; final report issued by FY 2001).*

FY 1998 Goal — *Award contract to design and conduct study.*

FY 1998 Actual — *RFP was published on January 15, 1998. Proposals were submitted to SSA by March 31, 1998. Because the review contract proposals will now include an outside panel of experts, we expect that the contract will be awarded during the first quarter of FY 1999.*

Build Capacity

3. *Establish an on-going retirement policy research consortium.*

FY 1998 Goal — *Establish the retirement policy research consortium.*

FY 1998 Actual — *On September 30, 1998, the Agency entered into cooperative agreements with Boston College and the University of Michigan, forming SSA's first Retirement Research Consortium (see page 13 and 14 for details).*

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4. *Expand our income modeling capabilities to include all sources of retirement income.*

FY 1998 Goal — *Expand our income modeling capabilities to include all sources of retirement income.*

FY 1998 Actual — *We have significantly improved SSA's retirement modeling capacity in FY 1998. First, SSA has worked to improve the accuracy of projections for retirees through the year 2020 in its near-term model. We have a task order contract with the Urban Institute (collaborating with the Brookings Institution) to further develop the model's ability to project the three pillars of retirement income: Social Security benefits, pensions and income from earnings or assets. The second task order contract for the near-term model enhances the model's projection of demographic changes including marriage and divorce trends and mortality rates.*

SSA is also evaluating a model for future use by both our actuaries and statistical researchers. The model, which is called CORSIM, is a dynamic microsimulation model based on the 1960 decennial census. Corsim is being reviewed as a potential tool in SSA's long-range projections. SSA has purchased another model for potential use. SSASIM2 is a statistical model designed to evaluate the distributional effects of proposed solvency reforms.

Preserve Social Security for the Long Run

5. *Complete analysis of the operational implications of major proposals by the Advisory Council for long-term financing.*

FY 1998 Goal — *Complete analysis of the operational implications of major proposals by the Advisory Council for long-term financing.*

FY 1998 Actual — *Analysis is ongoing as issue areas continue to be developed.*

6. *Conduct planned research and policy evaluation necessary to assist the Administration and Congress in devising proposals to strengthen and enhance the Social Security program.*

FY 1998 Goal — *Expand the Agency's capabilities to conduct planned research and policy evaluation studies.*

FY 1998 Actual — *SSA conducted various activities in FY 1998 designed to assist the Administration and Congress in devising proposals to strengthen and enhance the Social Security programs. (See page 14 for a discussion of actual FY 1998 activities.)*

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GOAL: *To deliver customer-responsive, world-class service*

7. Increase the customer base for SSA Online and bring a modified online PEBES response to full-scale operation.

FY 1998 Goal — Increase the customer base for SSA Online by 50 percent and bring a modified online PEBES response to full-scale operation.

FY 1998 Actual — The target set for FY 1998 for increasing the customer base for Social Security Online was 2.23 million visitors. The actual number of visitors for FY 1998 was 2.28 million visitors or 102 percent of our target.

8. Complete a business case analysis for future online services and bring up two new online services.

FY 1998 Goal — Complete a business case analysis for future online services and bring up two new online services.

FY 1998 Actual — The business case analysis for future online services was finalized in January 1998. The two new online services, the Request for 1099 Replacement and the Request for Benefit Verification are still in stages of implementation. We are scheduled to request Executive Staff approval to implement in December 1998. Application development was completed in August 1998. SSA is now preparing the risk analysis. The projects were presented to the privacy and security experts for review. Focus groups are planned for the first quarter of FY 1999; and will be scheduled prior to the December 1998 meeting with the Executive Staff.

		FY 1996 Actual	FY 1997 Actual	FY 1998 Plan	FY 1998 Actual	FY 1999 Plan
Access						
9.	Percent of callers who successfully access the 800-number within 5 minutes of their first call	83.0%	96.2%	95%	95.3%	95%
10.	Percent of callers who get through to the 800-number on their first attempt	N/A	92.7%	90%	91.1%	90%
11.	Percent of public with an appointment waiting 10 min. or less	84.8%	84.9%	85%	87.4%	85%
12.	Percent of public without an appointment waiting 30 min. or less	70.0%	72.7%	70%	71.9%	70%

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	<i>FY 1996 Actual</i>	<i>FY 1997 Actual</i>	<i>FY 1998 Plan</i>	<i>FY 1998 Actual</i>	<i>FY 1999 Plan</i>
<i>Processing Times</i>					
<u>Disability and Appeals Processing</u>					
13. Initial disability claims processing times (days)	89	99	<i>100</i>	<i>100</i>	<i>100</i>
14. Percent of DI claims decided within 6 months after onset or within 60 days after effective filing date, whichever is later	57.5%	52.4%	<i>50%</i>	<i>51.3%</i>	<i>53%</i>
15. Percent of SSI disability claims decided within 60 days of filing	29.5%	25.0%	<i>23%</i>	<i>24.4%</i>	<i>26%</i>
16. Hearings processing time (days) ¹	392	397	<i>338</i>	<i>341</i>	<i>284</i>
17. Percent of hearings decisions made and notices sent within 120 days of filing ¹	10.1%	10.0%	<i>13%</i>	<i>14.0%</i>	<i>15%</i>
<u>Other Claims Processing</u>					
18. Percent of OASI claims processed by the time the first regular payment is due or within 14 days from effective filing date, if later	84.3%	82.9%	<i>83%</i>	<i>82.6%</i>	<i>83%</i>
19. Percent of initial SSI aged claims processed within 14 days of filing	66.4%	59.5%	<i>66%</i>	<i>54.2%²</i>	<i>66%</i>
<u>Social Security Number Cards</u>					
20. Percent of original and replacement Social Security cards issued within 5 days of receiving all necessary documentation	96.9%	98.2%	<i>97%</i>	<i>99.7%</i>	<i>97%</i>
<u>Customer Satisfaction</u>					
21. Percent of public rating SSA service as "good" or "very good"	79%	85%	<i>85%</i>	<i>82%³</i>	<i>87%</i>
22. Percent of public "satisfied" or "very satisfied" with the courteousness of SSA staff	85%	85%	<i>90%</i>	<i>87%</i>	<i>90%</i>
23. Percent of public who are "satisfied" or "very satisfied" with the clarity of SSA mail	78%	82%	<i>82%</i>	<i>81%</i>	<i>82%</i>

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

24. *Complete comprehensive action plan to improve management of the SSI program.*

FY 1998 Goal — *Complete comprehensive action plan to improve management of the SSI program.*

FY 1998 Actual — *SSA has completed the comprehensive SSI Management Report. The report highlights SSI program-related accomplishments, current improvement initiatives and our expectations for the future, along with a plan for meeting those expectations. Additional information related to our SSI Management Improvement initiative can be found on pages 10 and 11 of this report.*

	FY 1996 Actual	FY 1997 Actual	FY 1998 Plan	FY 1998 Actual	FY 1999 Plan
<i>Position Agency to Meet Emerging Workloads</i>					
<u>Disability and Appeals Workloads</u>					
25. Number of initial disability claims processed	2,360,034	2,187,263	2,110,400	2,024,524 ⁴	2,117,900
26. Initial disability claims pending	510,454	399,392	410,188	416,378	410,188
27. Number of hearings processed	580,832	574,795	650,000	618,578 ⁵	650,000
28. Hearings Pending	510,895	483,712	393,085	384,313	311,599
<u>Other Workloads (Claims, Postentitlement, Enumeration, Telephone Service, Earnings Record Maintenance)</u>					
29. OASI claims processed	3,058,745	3,129,238	3,134,700	3,020,268 ⁶	3,142,600
30. SSI aged claims processed	161,649	125,680	150,500	135,442 ²	145,500
31. SSI non-disability redeterminations	1,762,967	1,772,818	1,819,400	1,852,842	2,091,600
32. Representative payee actions	6,936,772	6,295,379	6,983,800	7,063,595	6,948,400
33. SSN requests processed	15,944,788	15,523,338	16,600,000	16,200,000	16,600,000
34. 800-number telephone calls handled	48,000,000	55,500,000	55,500,000	54,700,000	55,500,000
35. Annual earnings items	239,958,058	249,123,545	253,000,000	266,011,984	254,500,000

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	<i>FY 1996 Actual</i>	<i>FY 1997 Actual</i>	<i>FY 1998 Plan</i>	<i>FY 1998 Actual</i>	<i>FY 1999 Plan</i>
Posting Earnings Data					
36. Percent of earnings posted to individuals' records by September 30	97.3%	97.8%	98%	97.7% ⁷	98%
37. Percent of earnings posted correctly	99.0%	99.0%	99%	99.0%	99%
Accuracy					
38. Dollar accuracy of OASI payment outlays:					
Percent without overpayments	99.8%	99.9%	99.8%	NA	99.8%
Percent without underpayments	99.8%	99.9%	99.8%	NA	99.8%
39. DDS decisional accuracy	96.9%	96.5%	97%	96.2%	97%
40. Percent of SSN issued accurately ⁸	99.6%	99.9%	99.8%	NA	99.8%
41. Percent of 800-number calls handled accurately:					
Payment Accuracy	94.4%	95.2%	95%	93.1% ⁹	95%
Service Accuracy	80.8%	84.3%	90%	81.8% ¹⁰	90%
Continuing Disability Reviews (CDRs)					
42. Number of periodic CDRs processed	498,445	690,478	1,245,000	1,391,889	1,637,000
43. Percent of multi-year CDR plan completed	6.1%	13.5%	26%	27.7%	44%
Debt Collection					
44. Annual increase in debt collected	8.1%	13.0%	7%	-3.4% ¹¹	7%
45. Overpayment dollars collected (In thousands)	\$1,502,700	\$1,698,000	\$1,810,000	\$1,642,600 ¹¹	\$1,936,000

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	<i>FY 1996 Actual</i>	<i>FY 1997 Actual</i>	<i>FY 1998 Plan</i>	<i>FY 1998 Actual</i>	<i>FY 1999 Plan</i>
Anti-Fraud Activities					
46. Number of allegations that will be opened as investigations	1,354	5,455	<i>5,100</i>	6,291	<i>5,700</i>
47. Dollar amounts reported from investigative activities	\$9,339,904	\$28,000,000	<i>\$31,000,000</i>	\$61,674,512	<i>\$35,000,000</i>
48. Number of criminal convictions	570	2,507	<i>1,800</i>	2,762	<i>1,800</i>

GOAL: *To be an employer that values and invests in each employee*

Tools and Training

49. *Implement formal management development programs.*

FY 1998 Goal — *Implement Senior Executive Service Candidate Development Program.*

FY 1998 Actual — *SSA implemented its Senior Executive Service candidate development program with the selection of 36 participants in June 1998. Orientation sessions for the candidates and their mentors were completed in September 1998. Some initial developmental assignments commenced immediately, while others are planned to begin in early FY 1999. The program will conclude in September 2000.*

FY 1998 Goal — *Implement Advanced Leadership Program.*

FY 1998 Actual — *SSA announced its Advance Leadership Program, formerly known as the Mid-level Management Program in mid 1998. Applicants were screened and participated in assessment center activities during September 1998. Final selections were made in October 1998 with developmental assignments beginning immediately after an orientation and preparation of individual development plans. There will be 25 participants.*

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50. Complete Agency plan for transitioning to the workforce of the future.

FY 1998 Goal — Publish Retirement Wave Study.

FY 1998 Actual — During FY 1998 SSA developed a statistical, analytic tool to predict Agency and component-level retirement/attrition. The initial report detailed the percent of the SSA-wide workforce eligible to retire along with overall retirement predictions through the year 2020. Subsequently, retirement prediction packages were developed for the Office of Operation's 10 regions, the Office of Central Operations and the Office Hearings and Appeals. These subsequent reports contain overall retirement predictions as well as predictions by major occupations. Predictive packages for SSA's Deputy Commissioner level and the major Associate Commissioner level components will also be completed, detailing overall retirement losses and losses by major occupations. These reports will form the basis for development of a SSA Transition Plan to the workforce of the future. This transition plan will be completed in FY 1999.

	FY 1996 Actual	FY 1997 Actual	FY 1998 Plan	FY 1998 Actual	FY 1999 Plan
51. Percent of front-line employees with intelligent workstations connected to a local area network	27.4%	50.2%	94%	85.9% ¹²	100%
52. Percent of office receiving interactive Video Training/Interactive Distance Learning (IVT/IDL) connectivity as planned	NA	26%	86%	65% ¹³	100%
53. Percent of managerial staff participating in management/leadership development experiences	NA	NA	50%	40% ¹⁴	50%
Physical Environment					
54. Percent of employees reporting they are satisfied with the level of security in their facility	NA	64%	64%	NA ¹⁵	70%

GOAL: To strengthen public understanding of the social security programs

Increasing Public Knowledge

55. Percent of individuals issued SSA-initiated PEBES as required by law	100%	100%	100%	100%	100%
56. Number of PEBES issued upon request and automatically by SSA	9,020,650	15,690,571	23,000,000	24,102,756	33,000,000
57. Percent of public who perceive they are "very well" informed or "fairly well" informed about Social Security	59.0%	56.0%	59%	56% ¹⁶	59%

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Footnotes

- 1) Actual data are for September of each fiscal year.
- 2) Discussion of actual performance can be found on page 73.
- 3) FY 1998 actual data represents respondents who rated service as good, very good or excellent.
- 4) The number of DI and SSI blind/disabled initial claims receipts decreased by over 94,000 claims from FY 1997 to FY 1998.
- 5) The number of hearings receipts decreased by over 28,000 cases from FY 1997 to FY 1998.
- 6) The number of OASI initial claims receipts decreased by nearly 120,000 cases from FY 1997 to FY 1998.
- 7) Estimate
- 8) Data reported on a calendar year basis.
- 9) FY 1998 data represents the 6-month period ending March 31, 1998. Preliminary data for the entire fiscal year indicates that SSA met the performance target.
- 10) Service accuracy has consistently been in the low 80's for several years. The primary reason for this has been errors regarding calls where agents either have to decide whether certain information can be provided to callers/and or whether we can accept information being provided by callers. We are taking steps to improve our quality in this area by installing software in the agent's computers that will guide them through a series of questions to ensure they release/accept information properly. We expect this will have a positive impact on service quality.
- 11) Failure to meet the goal is largely attributable to improvements in the administration of the annual earnings test. These improvements prevented title II debts associated with earnings estimates. Since earnings related debts are highly collectible, the collections that would normally result from these detections were eliminated.
- 12) Goal not met due in part to start up problems in some offices' IWS/LAN installations. SSA fully expects to meet its FY 1999 goal of 100 percent.
- 13) Installation work temporarily suspended due to loss of Galaxy 10 satellite and need to reposition currently installed sites (over 500) to Telestar 4.
- 14) The actual performance target was not achieved in FY 1998 due to delays in the vendor procurement process and scheduling requirements of a nationwide implementation plan. The overall goal for this measure is to provide a high quality management/leadership development experience to 100 percent of SSA managers by the end of FY 1999.
- 15) This measure is based on a biennial survey. The 64 percent goal in FY 1998 is based on the last survey published in FY 1997.
- 16) This indicator of the public's understanding of Social Security is based on an annual survey compiled by the American Council of Life Insurance. This indicator will be replaced by baseline data collected in a survey conducted by SSA.

