
Strategic Goal: To strengthen public understanding of Social Security programs

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

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

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

Context

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

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

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

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

FY 2002 Performance Indicators and Goals

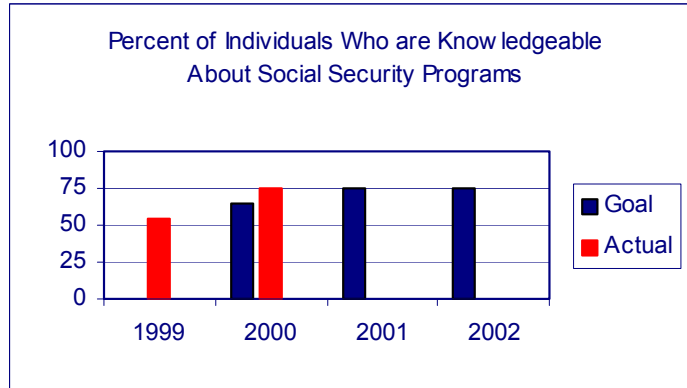
In FY 1999, SSA initiated the Public Understanding Measurement System (PUMS), designed to determine the baseline measure of public knowledge of

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

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

FY 2002 Goal: 75%

Baseline Data:	FY 2001 APP Goal	FY 2000 Actual	FY 1999 Actual
	75%	75%	55%



Definition: Percent of Americans (adults age 18 and over) determined as “knowledgeable” in the annual PUMS Survey.

Data Source: Annual public survey of adults age 18 and over

Indicator: Percent of individuals issued SSA-initiated Social Security Statements as required by law

FY 2002 Goal: 100%

Baseline Data:	FY 2001 APP Goal	FY 2000 Actual	FY 1999 Actual
	100%	100%	100%

Definition: As required by law, in FY 2000 SSA began to issue annual Social Security Statements to all eligible workers age 25 and over beginning in FY 2000. SSA estimates it will issue 136 million statements in FY 2002 to meet this requirement, including statements issued upon request.

Data Source: Social Security Statement Weekly Summary Report found on the Executive and Management Information System (EMIS).

Increase Knowledge

Means and Strategies

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

Public Understanding Measurement System (PUMS): Through its annual PUMS survey, SSA tracks its progress in achieving the performance objective.

Move the Needle Study: SSA will also conduct quarterly surveys to determine what communication activities are most effective in helping increase public knowledge of Social Security.

Educate the Public about Social Security: SSA developed public education products and strategies designed to strengthen public understanding as well as the associated public presentations and other liaison activities with national organizations. We will strengthen community-based products and delivery systems to get our message across to unique customer groups. Additionally, we will increasingly use electronic means such as “Social Security E-news” to reach a large segment of the public, including younger workers.

Together with public interest and advocacy groups, we will seek out hard-to-reach segments of the population.

A major activity under this initiative involves the Social Security Statement (formerly the Personal Earnings and Benefit Estimate Statement (PEBES), a report of the life-long earnings record of each worker covered by Social Security. In FY 2000, SSA began issuing Statements to all eligible workers age 25 and over for whom we can obtain a mailing address from the IRS. In

FY 2002, we will continue with a major public education campaign to let people know they will be getting the Statement and how the information can help them plan their own financial future.

The annual PUMS Survey will help track customer satisfaction with the clarity and effectiveness of the Statement in raising public knowledge of Social Security programs.

Ambassadors Program: SSA recognizes that its greatest strength lies in the knowledge and skills of its employees and that every SSA employee is an “ambassador” for the Social Security programs. In FY 2002, SSA will continue its Ambassador program, stressing the value of the Social Security Statement and disseminating the PUMS survey results. Additionally, we will continue to train new field office managers and public affairs specialists in basic communications skills and conduct our Annual National Public Affairs training for all SSA public affairs specialists. We have folded the Ambassadors Program into our Educate the Public key initiative to assure consistency of our internal (employee) and external (public) education programs.

Analyzing the strategies from our long-range service vision: During 2001 and 2002, SSA will be analyzing the strategies contained in our long-range service vision to identify process changes and supportive activities to further implement these strategies.

Some of the above activities are included in the following Key Initiative shown in Appendix 5:

- ❖ **Strengthening Public Understanding of the Social Security Programs**

VI. Verification and Validation

General Discussion

SSA is committed to ensuring that those who use our reported performance information to make decisions can do so with the assurance that our data are valid and reliable. To accomplish this, we continuously improve the clarity and credibility of our intended and actual performance in mission-critical areas through effective, internal SSA management and by being responsive to insights provided by stakeholders such as the General Accounting Office and SSA's Inspector General.

Annual Performance Plan

The Annual Performance Plan is the principal GPRA document for describing how an agency verifies and validates performance data that it collects and reports. Section V of SSA's FY 2002 Annual Performance Plan, "Performance Goals, Means and Strategies", includes a detailed definition of each of the plan's performance measures as well as the data source used to measure performance. For those indicators for which SSA cannot define performance goals in an objective, quantifiable form, descriptive statements are provided on how we will consider the goal to have been achieved.

SSA Data Integrity Systems and Controls

Performance data for the plan's quantifiable measures, including the budgeted output measures, are generated by automated management information

and workload measurement systems as a byproduct of routine operations.

The performance level for several indicators relating to the accuracy of our processes and public satisfaction comes from surveys and workload samples designed to achieve very high levels (usually 95 percent confidence level) of statistical validity. The Office of Quality Assurance and Performance Assessment (OQAPA) reviews a stratified sample of recently completed actions and of ongoing entitlement rolls to determine the accuracy of SSA payments and service transactions.

To help ensure the integrity of management information (MI) data, SSA implemented a Management Information Integrity Monitoring (MIIM) team in February 1998. The MIIM team serves as the clearinghouse for resolving allegations of inappropriate practices affecting MI. Line managers and staff throughout the Agency also review MI data regularly to identify anomalies and correct reporting problems.

Program Performance Report

SSA's annual Performance and Accountability Report has been, and continues to be, the vehicle used to report on SSA's key goals and performance measures as well as the Agency's progress in meeting its GPRA goals.

SSA's FY 2000 Performance and Accountability Report describes our comprehensive program of conducting reviews of management and security

controls in both SSA's administrative and programmatic processes and in accounting controls in financial management systems. Also discussed are the results of the audit of the FY 2000 financial statements and internal controls by PricewaterhouseCoopers, the independent accounting firm. Such reviews and assessments assure that our systems are secure and not vulnerable to manipulation by intruders, and confirm SSA's confidence in the reliability of its performance data.

Role of the Inspector General

The Office of the Inspector General (OIG) plays a key role in assuring that the data systems used by SSA to measure performance are reliable. The OIG evaluates the processes and systems being used to measure progress in each of the measured areas, so as to assure that they provide reasonable assessments of performance. In FY 1999, the OIG surveyed the existence of sources of information for the 68 performance measures (i.e., indicators) appearing in SSA's FY 1999 APP, and found that SSA has methods to collect data for all indicators. In FY 2000, the OIG reviewed performance measures in SSA's FY 1999 Annual Performance Report and FY 2001 Annual Performance Plan. In FY 2001, the OIG intends to review performance measures in SSA's FY 2000 Annual Performance Report and FY 2002 Annual Performance Plan.

The OIG's report of its review of SSA's FY 2000 Annual Performance Plan stated that "SSA's FY 2000 APP demonstrates a commitment and improvement in SSA's efforts to comply with GPRA and meet congressional

expectations for information about SSA's performance goals." OIG further recommended that SSA continue to "disclose known data limitations and weaknesses and planned corrective actions". SSA agreed in principle with this recommendation.

As the OIG reports its performance measures audit findings to SSA, we are taking appropriate action to correct any reported deficiencies. These actions may include disclosure of data gaps, changes in performance measures, improvements to or additions of data collection systems, or some combination thereof.

For example, the OIG identified two deficiencies with regard to the data used to measure the accuracy of Social Security number card processing and the accuracy and timeliness of earnings posted to individuals' records by September 30. In response, our Revised Final FY 2000 APP and FY 2001 APP corrected the definition of the former indicator and clarified that self-employment earnings are not included in the latter measure. In response to an OIG finding of a weakness in the system SSA uses to measure SSI debt management, we implemented a new software release that improves control over SSI debts and collections, and results in SSA having more and better information to accurately measure SSI debt management. In response to an OIG audit of the data used to measure the timeliness of processing SSI disability claims, SSA agreed to make and/or monitor the effects of, systems changes to correct reported conditions and to improve procedures related to data retention. Most recently, SSA agreed to maintain 3 years of data to support individuals selectable for a Continuing

Disability Review (CDR), and SSA also developed a new indicator to monitor progress on eliminating the CDR backlog.

The OIG uses a four-point approach to reviewing SSA's performance measures:

1. Assess SSA's system capacity to produce performance data;
2. Assess whether reported performance measure data is valid;
3. Ensure that SSA has the appropriate measures to indicate vitality of its programs; and
4. Ensure that the performance measures fully capture the program segments that they are intended to capture.

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

General Accounting Office Reviews

In its July 1999 report on its review of SSA's FY 2000 APP, the General Accounting Office (GAO) found that the plan "provides general confidence that agency performance information will be credible." The GAO noted that SSA's annual Accountability Report provides additional assurances of credibility in its discussion of systems reviews that are routinely performed by independent contractors as well as SSA's actions to respond to their recommendations. In its July 20, 2000 report, "Observations on

the Social Security Administration's Fiscal Year 1999 Performance Report and Fiscal Year 2001 Annual Performance Plan," the GAO stated that "the FY 2001 plan provides a clear picture of intended performance, and its goals and measures are succinct and concrete". It stated that the FY 2001 plan addresses some key weaknesses identified by the GAO in earlier plans and urged SSA to "diligently continue its efforts to ensure the credibility of its performance data ... and to improve its workload measurement and quality assurance systems." In its letter transmitting the report to Congress, the GAO acknowledged SSA's commitment to "duly consider our suggestions, especially those regarding potential improvements to performance measures".

Coordinated Agency Evaluation Plan

Each fiscal year, SSA develops a coordinated Agency evaluation plan. Agency components involved in evaluation, including the OIG, conduct a joint review of evaluation workplans to assure an appropriate match between planned evaluation activities and Agency priorities, identify and address any gaps in needed information and eliminate any overlap or duplication.

SSA's Strategic Plan, *Mastering the Challenge*, describes SSA's program evaluation plan for each of the Agency's five Strategic Goals and provides a description and schedule for major program evaluations planned for the 2001-2005 period. Additional information on the Agency Evaluation Plan is provided in Appendix 6 of this APP.

VII. Summary of SSI Program Management Improvement Goals

Successful management of the SSI program depends on the Agency's ability to properly administer the public funds that are entrusted to its care. SSA is committed to managing the SSI program as efficiently and accurately as possible. To that end, SSA is taking significant measures to strengthen the integrity of the SSI program. These measures include improving SSI payment accuracy, continuing to carry out and then build upon our aggressive 7-year

plan of CDRs, improving debt collection and combating SSI program fraud. The following table presents a holistic view, which cuts across all relevant strategic objectives, of the Agency's performance goals related to improving SSI program management. The means and strategies for achieving these performance goals are discussed under the relevant strategic objectives in Section V.

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

Performance Indicator	FY 2002 Goal
<ul style="list-style-type: none"> • Identification, development, and utilization of appropriate barometer measures for assessing the effectiveness of the SSI program. • Preparation of a report and completion of data collection on the National Survey of SSI Children and Families in order to assess the impact of welfare reform, identify areas of potential policy change, and develop options as appropriate. 	<ul style="list-style-type: none"> • Update barometer measures and prepare analysis. • Prepare data files for analysis.

Summary of SSI Program Management Improvement Goals

Objective: Maintain the accuracy, timeliness, and efficiency of service to customers applying for OASI and SSI aged benefits. Specifically by 2005:

- ❖ *Have the capacity to take and process 99% of OASI and SSI aged claims in a paperless environment.*

Performance Indicator	FY 2002 Goal
<ul style="list-style-type: none"> • Percent of SSI aged claims processed by the time the first regular payment is due or within 14 days from effective filing date. • Implement activities necessary to have the software and infrastructure in place for paperless processing. 	<ul style="list-style-type: none"> • 66% • Implement Phase 2 of Attorney Fee/Windfall Offset project. Begin analysis of additional windfall offset enhancements requested by the users.

Objective: Improve the accuracy, timeliness and efficiency of service to customers applying for DI and SSI disability benefits. Specifically by 2005:

- ❖ *Increase accuracy rate to 95% for denials of disability benefits.*
- ❖ *Maintain the accuracy of initial disability claims decisions to allow benefits at 96.5%.*
- ❖ *Issue initial disability claims decisions in an average of 105 days, with at least 70% issued within 120 days.*
- ❖ *Have the capacity to take 99% of disability claims in an electronic environment.*

Performance Indicator	FY 2002 Goal
<ul style="list-style-type: none"> • Percent of initial disability claims decisions issued within 120 days. • Initial disability claims average processing time (days). • DDS allowance performance accuracy rate. • DDS denial performance accuracy rate. • Implement activities necessary to have the software and infrastructure in place for electronic processing of disability claims. 	<ul style="list-style-type: none"> • TBD • 120 days • 96.5% • 93.5% • Begin developing standards for hardware and software interface with other DDS systems.

Social Security FY 2002 Annual Performance Plan

<i>Objective: By 2005, increase by 100% from 1999 levels the number of SSDI and of SSI disability beneficiaries who achieve steady employment and no longer receive cash benefits</i>	
Performance Indicator	FY 2002 Goal
<ul style="list-style-type: none"> Percent increase in the number of SSI disabled beneficiaries, aged 18-64, whose payments are reduced because of work (i.e., participating in 1619(a) status) Activities to implement provisions of the TWSSP and other employment strategies 	<ul style="list-style-type: none"> 5% increase Distribute Tickets to beneficiaries in Phase 2 States Expand the number of Employment Support Representatives
<i>Objective: By 2005, raise to 96 percent the accuracy based on non-medical factors of eligibility of SSI disabled and aged payment outlays.</i>	
Performance Indicator	FY 2002 Goal
<ul style="list-style-type: none"> Percent of SSI payment outlays “free” of overpayments and underpayments (based on non-medical factors of eligibility) 	<ul style="list-style-type: none"> 94.7% OPs 98.8% UPs
<i>Objective: Become current with DI and SSI CDR requirements by 2000 and 2002 respectively, and remain current thereafter.</i>	
Performance Indicator	FY 2002 Goal
<ul style="list-style-type: none"> Percent of multi-year CDR plan completed through FY 2002 	<ul style="list-style-type: none"> 100%
<i>Objective: Aggressively deter, identify and resolve fraud.</i>	
Performance Indicator	FY 2002 Goal
<ul style="list-style-type: none"> SSI dollar amounts reported from investigative activities. 	<ul style="list-style-type: none"> \$100 million
<i>Objective: Through 2005, maintain a level of outstanding debt that is either in a repayment agreement, under appeal or newly detected.</i>	
Performance Indicator	FY 2002 Goal
<ul style="list-style-type: none"> Outstanding SSI debt in a repayment agreement, under appeal, or newly detected. 	<ul style="list-style-type: none"> TBD

VIII. Summary of Management Improvement Goals for Social Security and Supplemental Security Income Disability Programs

SSA has a comprehensive strategy to improve the management of the disability programs for our beneficiaries by addressing longstanding issues of improved administrative efficiency and greater consistency in our decisionmaking processes. We also will provide equal emphasis to safeguarding the integrity of the programs, improving return-to-work opportunities for people with disabilities, and increasing our understanding

of disability issues through targeted research. The following table presents a holistic view, which cuts across all relevant strategic objectives, of the Agency's performance goals related to improving the SSDI and SSID programs. The means and strategies for achieving these performance goals are discussed under the relevant strategic objectives in Section V.

<i>Objective: Promote policy changes, based on research and evaluation analysis, that shape the OASI and DI programs in a manner that takes account of future demographic and economic challenges, provides an adequate base of economic security for workers and their dependents, and protects vulnerable populations.</i>	
Performance Indicator	FY 2002 Goal
<ul style="list-style-type: none"> • Identification, development, and utilization of appropriate barometer measures for assessing the effectiveness of OASDI programs. • Preparation of analyses and reports on demographic, economic, and international trends and their effects on OASDI programs in order to anticipate the need for policy change and develop options as appropriate. • Preparation of research and policy evaluation necessary to assist the Administration and Congress in developing proposals to reform and modernize OASDI programs. 	<ul style="list-style-type: none"> • Update the barometer measures and prepare analysis. • Prepare analyses on the following topics: <ol style="list-style-type: none"> 1. Relationship of Social Security and the macro economy; 2. Work and earnings as they relate to Social Security; 3. Role of pensions and wealth in providing retirement security; 4. Social Security reforms in other countries; • Prepare analyses on the distributional and fiscal effects of reform proposals developed by policymakers.

Social Security FY 2002 Annual Performance Plan

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

Performance Indicator	FY 2002 Goal
<ul style="list-style-type: none"> Preparation of a report and completion of data collection on the National Survey of SSI Children and Families in order to assess the impact of welfare reform, identify areas of potential policy change, and develop options as appropriate. 	<ul style="list-style-type: none"> Prepare data files for analysis.

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

Performance Indicator	FY 2002 Goal
<ul style="list-style-type: none"> Preparation of a research design to develop techniques for validating medical listings. Preparation of reports on results of the National Study of Health and Activity in order to identify potentially eligible disabled populations, interventions that enable continued work effort among the disabled, and guide changes to the disability decision process Preparation of analyses of alternative return-to-work strategies. 	<ul style="list-style-type: none"> Report on the status of developing a validation methodology. Report on the status of the main study data collection. <p>Report on the design and implementation of demonstration projects.</p>

Summary of DI Program Management Improvement Goals

Objective: Improve the accuracy, timeliness and efficiency of service to customers applying for DI and SSI disability benefits. Specifically by 2005:

- ❖ *Increase the accuracy rate to 95% for denials at disability benefits.*
- ❖ *Maintain the accuracy of initial disability claims decisions to allow benefits at 96.5%.*
- ❖ *Issue initial disability claims decisions in an average of 105 days, with at least 70% issued within 120 days.*
- ❖ *Have the capacity to take 99% of disability claims in an electronic environment.*

Performance Indicator	FY 2002 Goal
<ul style="list-style-type: none"> • Percent of disability claims decisions issued within 120 days. • Initial disability claims average processing time (days). • DDS allowance performance accuracy rate. • DDS denial performance accuracy rate. • Implement activities necessary to have the software and infrastructure in place for electronic processing of disability claims. 	<ul style="list-style-type: none"> • TBD • 120 days • 96.5% • 93.5% • Implement the following software: <ol style="list-style-type: none"> 1. Accommodate Dual Entitlement advance file cases. 2. Automate determination of need to develop military service allegations. 3. Update the workman's compensation data file. 4. Control certain exceptions via a PCACS interface. 5. Begin developing standards for hardware and software interface with other DDS systems.

Social Security FY 2002 Annual Performance Plan

<i>Objective: By 2005, increase by 100% from 1999 levels, the number of SSDI and of SSI disability beneficiaries who achieve steady employment and no longer receive cash benefits.</i>	
<ul style="list-style-type: none"> • Percent increase in the number of adult worker DI beneficiaries who begin a trial work period. • Percent increase in the number of SSI disabled beneficiaries, aged 18-64, whose payments are reduced because of work (i.e., participating in 1619(a) status). • Activities to implement provisions of the TWSSP and other employment strategies. 	<ul style="list-style-type: none"> • 5% increase • 5% increase • Distribute Tickets to beneficiaries in Phase 2 States • Expand the number of Employment Support Representatives
<i>Objective: Become current with DI and SSI CDR requirements by 2000 and 2002 respectively and remain current thereafter.</i>	
Performance Indicator	FY 2002 Goal
<ul style="list-style-type: none"> • Percent of multi-year CDR plan completed through FY 2002 	<ul style="list-style-type: none"> • 100%
<i>Objective: Aggressively deter, identify and resolve fraud.</i>	
Performance Indicator	FY 2002 Goal
<ul style="list-style-type: none"> • OASDI dollar amounts reported from investigative activities. • SSI dollar amounts reported from investigative activities. 	<ul style="list-style-type: none"> • \$55 million • \$100 million
<i>Objective: Through 2005, maintain a level of outstanding debt that is either in a repayment agreement, under appeal or newly detected.</i>	
Performance Indicator	FY 2002 Goal
<ul style="list-style-type: none"> • Outstanding OASDI debt in a repayment agreement, under appeal, or newly detected. • Outstanding SSI debt in a repayment agreement, under appeal, or newly detected. 	<ul style="list-style-type: none"> • TBD • TBD