

ASSISTANT SECRETARY FOR PLANNING AND EVALUATION

| | FY 2000 <u>Actual</u> | FY 2001 <u>Appropriation</u> | FY 2002 <u>Estimate</u> | Increase or <u>Decrease</u> |
|-------------------------------|--------------------------|---------------------------------|----------------------------|--------------------------------|
| Budget Authority | \$6,720,000 | \$7,144,000 | \$7,787,000 | +\$643,000 |
| FTE (including reimbursables) | 104 | 105 | 105 | – |

Purpose and Method of Operations

The Office of the Assistant Secretary for Planning and Evaluation (ASPE) provides policy analysis and advice; guides the formulation of legislation; coordinates strategic and implementation planning; conducts regulatory analysis and reviews regulations; oversees the planning of evaluation, non-biomedical research, and major statistical activities; and administers evaluation, data collection, and research projects that provide information needed for HHS policy development.

Most ASPE resources are used for policy analysis and development; the remainder is used to provide policy support in the form of executive direction, administration, planning and monitoring of activities to achieve the Department's goals and objectives, oversight of evaluation, coordination of Departmental data policy and services, including simulation modeling, programming, and technical assistance.

The major accomplishments planned for ASPE in FY 2002 are as follows:

- Conduct planning and policy analysis for the development and implementation of the President's and Secretary's major initiatives, including anticipating the impact of major demographic, social and scientific changes on the nation, HHS programs, long-term care, health care, and support for working families.
- Conduct evaluation and policy research studies to provide information on important policy issues, and ensure coordination of Department-wide research and planning for such studies.
- Conduct short-term analyses and provide day-to-day analytic and technical support for policy formulation for the Secretary and other senior HHS officials.
- Provide policy-relevant information on national trends in public and private health and human services activities, and the populations affected by HHS programs and policies.
- Formulate and coordinate HHS-wide data policy, including data collection strategy, data standards and policy, to address current and emerging data needs related to the impact of new public policy proposals.

- Work with the Operating Agencies in collaborative efforts to implement various recommendations to improve data collection and analysis.
- Maintain and enhance micro-simulation models to support both the implementation of these major initiatives and the development of other initiatives. Use these models to identify the costs and effects of various policy proposals.
- Coordinate the development and implementation of policies to make services more accessible, comprehensive, and integrated.
- Manage the development, coordination and implementation of the Department's official Strategic Plan.
- Complete the development of the Department's FY 2002 legislative program, resulting in the submission of bills and proposals to Congress. Prepare justification materials for Congressional committees, and manage the development of the Department's legislative program for FY 2003.
- Coordinate the Department's planning of high-priority regulations, and review all proposed regulations for policy, economic, and family impact.
- Provide information to States, local communities, researchers and others for consideration as new health and human services strategies are designed, tested and implemented.

Rationale for the Budget Request

The FY 2002 request for ASPE is an increase of \$643,000 over the FY 2001 level. This increase will defray increased personnel costs such as the annualization of the January 2001 pay raise, the anticipated January 2002 pay raise, within-grade increases, and career-ladder promotions. This increase will also be used to pay the personnel costs of 4 FTE which previously were reimbursed from other accounts, as well as costs associated with transit subsidy programs.

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FY 2002 PERFORMANCE PLAN

The Office of the Assistant Secretary for Planning and Evaluation (ASPE) advises the Secretary on policy development in health, disability, human services, and science and provides advice and analysis on economic policy. ASPE leads special initiatives on behalf of the Secretary; coordinates the Department's evaluation, research and demonstration activities; and manages cross-Department planning activities such as strategic planning, development of the Departments legislative program and review of regulations. Integral to this role, ASPE conducts research and evaluation studies, develops policy analyses and estimates the cost and benefits of policies and programs under consideration by the Department or the Congress. Reflecting the role of policy advisor, most of the performance measures are necessarily qualitative.

| Performance Goals | FY Targets | Actual Performance | Reference* |
|---|---|---|------------|
| <p>1. Provide leadership in the development and management of cross-cutting initiatives and activities for the Department</p> <p>(See new #1 below)</p> | <p>FY02: N/A FY01: N/A FY00: Same as FY99 FY99: Leadership will have an impact on Department and public policy</p> | <p>FY02: N/A FY01: N/A FY00: Objective met FY99: Objective met</p> | |
| <p>2. Provide analytical knowledge (policy research and evaluation studies) that contributes to the development of sound Department and public policy</p> <p>(See new #1 below)</p> | <p>FY02: N/A FY01: N/A FY00: Same as FY99 FY99: ASPE studies will make a significant contribution to the formulation of Department and public policy</p> | <p>FY02: N/A FY01: N/A FY00: Objective met FY99: Objective met</p> | |
| <p>(New #1 - Replaces goal #1 and goal #2 above)</p> <p>1. Provide analytical knowledge (policy research and evaluation studies) and leadership that contributes to the development of sound Department and public policy</p> | <p>FY02: Same as FY01 FY01: Demonstrate impact of policy analysis and leadership on formulation of public policy. FY00: New in FY01</p> | <p>FY02: FY01: FY00: New in FY01</p> | |

| Performance Goals | FY Targets | Actual Performance | Reference* |
|---|--|---|------------|
| 2. Maintain human and technological capacity to respond to planning and analytical needs of the Secretary. | FY02: Same as FY01 FY01: Same as FY00 FY00: Same as FY99 FY99: ASPE analytic support functions will make a contribution to the development of analyses for the Secretary. Staffing (hires) and staff skills (training) will be enhanced. | FY02: FY01: FY00: Objective met FY99: Objective met | |
| 4. Manages Department-level planning activities (legislation, strategic planning, research planning), to assure that products are produced on a timely basis and are of a high quality. (Goal dropped in FY00) | FY02: N/A FY01: N/A FY00: Goal dropped FY99: Timeliness of documents and products are useful to recipients. | FY02: N/A FY01: N/A FY00: Goal dropped FY99: Objective met | |

Preliminary Performance Summary

Establishing Performance Targets: The Office of the Assistant Secretary for Planning and Evaluation (ASPE) continues to employ descriptive performance goals to improve the performance of the office over time.

Performance Progress: ASPE reports significant achievements in the activities supporting all of the goals for FY 2000. The following achievements describe the ASPE success in meeting the performance goals stated above.

1. Providing Leadership : ASPE provides a significant coordination and leadership role in many key policy areas affecting an array of Department activities. For example, leadership and coordination of privacy issues across the Department resulted in the development of the first comprehensive Federal regulation protecting the privacy of health information, and will continue to play a significant role in the development of a privacy regulation under the current Administration. ASPE continues to lead a major effort on Bioterrorism Preparedness and Response, which includes the development of a detailed HHS-wide five-year plan. ASPE support for the HHS Data Council, which is developing a strategic plan for data, will, among other things, address data needs for the Healthy People 2010 Leading Health Indicators.

2. Analytic Knowledge: As a result of its strong analytic capacity, ASPE continues to play a major role in policy formulation. For example, policy research studies in the area of employment for people with disabilities has led to nationally relevant findings that supported legislative, regulatory and other policy deliberations by Congress, the White House, and the President's Task Force on Employment of Adults with Disabilities. ASPE engages in research studies to track the conditions of vulnerable populations and

compiles data monitoring the conditions of American children. This has resulted in many essential statistical indicators tracking the well being of children, identifying trends in the lives of children and monitoring progress on important aspects of children's lives. Studies are also underway that will enable HHS to refine existing and develop new policies for reducing the number of Americans without health insurance. A study of health plan accreditation methods will support policy development for private insurance policy and consumer protections and will also study Medicare and Medicaid policies regarding regulation of participating health plans.

3. Human and Technological Capacity: In FY 2000 ASPE continued to build a strong analytical capacity. Additional resources were focused on enhancing existing data bases, modeling capacities and staff resources to support planning and analytical activities across the Department. In FY 2000, ASPE directed the preparation and submission to Congress and public release of the triennial update of the HHS Strategic Plan. The update was based on a comprehensive review of the existing plan, including web-based solicitation of public comments from HHS stakeholders. ASPE continues to support academic research on poverty and promote secondary analysis of under-utilized but rich data sets.