

## APPENDIX B - PROGRAM EVALUATIONS

We routinely evaluate our programs by conducting a variety of studies and surveys to determine if our programs are effective. We continue to build on our collection of program data, research, and analyses to identify our program strengths and weaknesses. We use information from program evaluations to develop strategies to address the major challenges we face and to improve the day-to-day administration of our programs. We complete many of our evaluations annually while others may be one-time efforts.

We list the evaluations under the strategic goal they support from our Agency Strategic Plan for Fiscal Years (FY) 2014 – FY 2018 <http://www.socialsecurity.gov/asp>.

### STRATEGIC GOAL 1 – DELIVER INNOVATIVE QUALITY SERVICES

#### Field Office Telephone Service Evaluation

We conduct an annual evaluation of the telephone service in our field offices. Each year we select a random sample of over 100 field offices across the country for the evaluation. We monitor about 2,000 randomly selected calls over the course of the year to assess the accuracy of the information representatives provide and the actions they take. The representatives do not know when we monitor their calls. We use the results of our Field Office Telephone Service Evaluation, which we have conducted since 1999, to identify training needs and clarify operating instructions for our representatives.

We assess the accuracy of the information representatives provide and the actions they take based on our program policies and operating guidelines. We use three measures of accuracy in our Field Office Telephone Service Evaluation:

- Payment Accuracy - indicates the percentage of calls free of payment error. A payment error occurs when a representative's information or action (or failure to give information or take action) has the potential to affect a caller's payment or eligibility for benefits adversely;
- Service Accuracy - reflects the percentage of calls free of service error. A service error occurs when a representative does not meet the caller's need for information, causes the caller inconvenience, or creates an unnecessary additional workload; and
- Access and disclosure accuracy - reflects the percentage of callers properly identified to permit release of personal information from our records. We previously included access and disclosure errors in the calculation of service accuracy.

Our latest published accuracy rates are for FY 2012. Payment accuracy was 96.8 percent, statistically the same as the FY 2011 rate of 97.0 percent. Service accuracy was 91.5 percent. For purposes of comparison, we recalculated the FY 2011 service accuracy rate to remove access and disclosure errors now that we are reporting access and disclosure accuracy as a separate measure. The recalculated FY 2011 service accuracy rate of 92.8 percent was statistically the same as the FY 2012 rate. Access and disclosure accuracy in FY 2012 was 67.1 percent; in FY 2011, access and disclosure accuracy was 69.4 percent, not a statistically significant difference.

#### National 800 Number Telephone Service Evaluation

We monitor calls to our National 800 Number to evaluate both the accuracy of the information our telephone agents provide and the actions they take. Each year we monitor about 3,000 calls handled by agents in our 38 call centers nationwide. We randomly select and monitor calls throughout the year based on a statistical sampling methodology. Our agents do not know when we monitor their calls. We use the results of our annual National

800 Number Service Evaluation, which we have conducted on an ongoing basis since 1989, to identify training needs and improve operating instructions for our agents.

This evaluation identifies the specific causes of error and the operating policies that our agents did not follow. It uses the same standards of payment, service, and access and disclosure accuracy as our Field Office Telephone Service Evaluation discussed above. Our latest published accuracy rates are for FY 2012. The FY 2012 payment accuracy rate of 98.4 percent was comparable to the FY 2011 payment accuracy rate of 97.8 percent. Service accuracy was 92.2 percent in FY 2012. The FY 2011 rate, which we recalculated to remove access and disclosure errors, was nearly identical at 92.4 percent. The access and disclosure accuracy rate for FY 2012 was 94.5 percent, up significantly from the FY 2011 rate of 91.7 percent.

### Overall Service Satisfaction Surveys

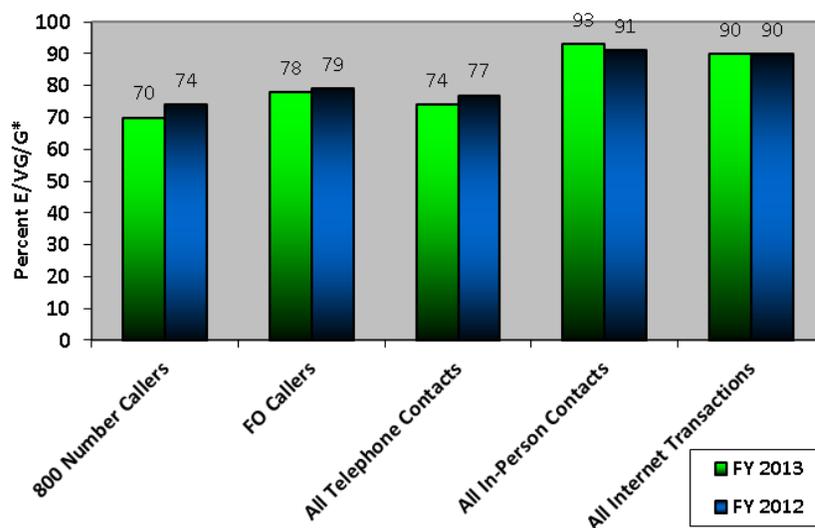
We measure satisfaction with our services by surveying people who use them. The surveys we conduct reflect the public's perception of the services we provide in person, on the Internet, or by telephone at our National 800 Number and in our field offices (FO). The feedback helps us identify strengths and weaknesses in our service delivery so we can make necessary improvements. We combine the survey results for our different types of services to produce a single customer satisfaction measure. In FY 2013, our service received a combined overall satisfaction rating of 80.2 percent excellent, very good, or good (E/VG/G). In addition to reporting satisfaction rates from our surveys here, we make them available to the public on [Data.gov](http://Data.gov).

The FY 2013 service satisfaction survey results reflect considerable disparity in customer perceptions of service received through the major service delivery channels. Satisfaction with in-person service in FOs rose to a high of 93 percent E/VG/G while satisfaction with National 800 Number service fell to 70 percent E/VG/G. The decline in satisfaction with National 800 Number service was linked to a sharp drop in satisfaction with access to service. The National 800 Number access rating fell by 12 percentage points to just 52 percent E/VG/G in FY 2013.

Satisfaction with FO telephone service, at 78 percent E/VG/G, was also much lower than satisfaction with most other types of service. However, the FO telephone service satisfaction rate was stable from FY 2012 to FY 2013. Satisfaction with Internet transactions was also stable from FY 2012 to FY 2013 and was very positive at 90 percent E/VG/G.

The table below compares FY 2012 and FY 2013 overall satisfaction rates for each type of service.

**Service Satisfaction Surveys: Overall Satisfaction Rates**



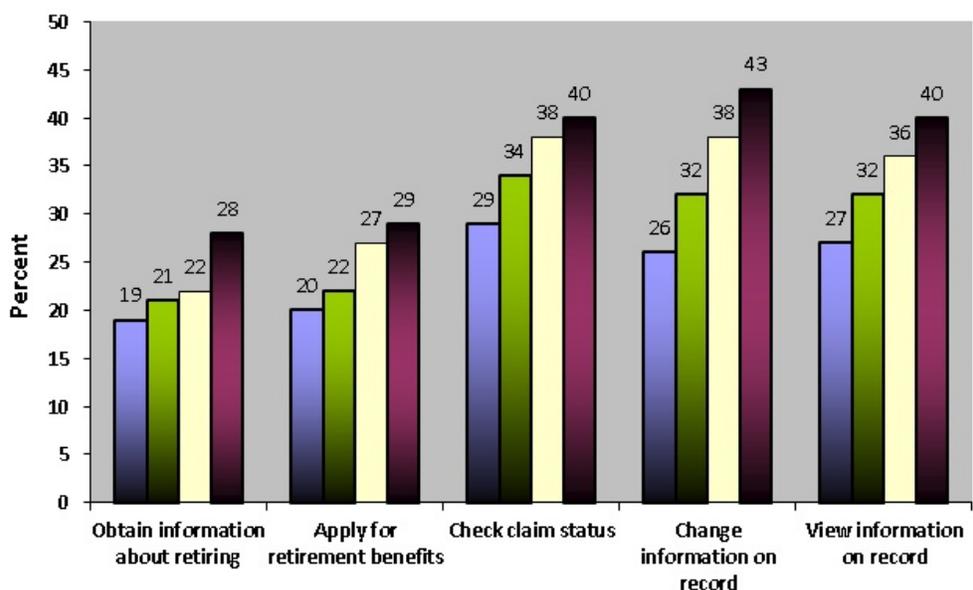
Satisfaction with the service our employees provide is also a very important factor in the overall satisfaction of our service. Our surveys find that our employees receive high marks for their courtesy, helpfulness, job knowledge, and the clarity of their explanations, whether they provide service on the telephone or in person. Ratings of these employee attributes were close to 90 percent E/VG/G or above for all types of service.

### Prospective Client Survey

We conducted the Prospective Client Survey, which samples the general public approaching retirement age (50 to 64) and explores service delivery preferences and expectations, four times since FY 2005. The survey addressed preferred methods for handling various types of Social Security business.

We have seen some growth in the Internet as the first choice preference for conducting various types of business. The greatest growth has been in the post-entitlement activities of changing or viewing personal information on the individual's record. The table below displays first choice preferences for some key activities for all responders.

**First Choice Preference for Conducting Business Via Internet**



### Online Authentication Survey

The Online Authentication Survey (OAS) focused on the satisfaction of customers who visited an FO to complete their *my Social Security* account registration after encountering a problem during the online process. The OAS measured satisfaction with key aspects of the service experience and obtained an overall rating of the online account registration process using our standard six-point rating scale: excellent, very good, good (E/VG/G), fair, poor, or very poor. In addition to addressing satisfaction with the online registration process, the survey also assessed satisfaction with service received during the FO visit or on the telephone.

Just over three-quarters of the survey responders who created an online account were satisfied (77 percent E/VG/G) with their entire *my Social Security* experience from start to finish. Nine out of 10 responders rated the overall service provided in person in the FO as E/VG/G. However, responders rated telephone service overall dramatically lower than in-person service at just 60 percent E/VG/G. A factor in this lower level of satisfaction with telephone service undoubtedly relates to the business process for resolving an authentication failure: The process

usually requires an in-person contact, so the employee cannot resolve the issue on the telephone, but must advise the caller to visit an FO.

## STRATEGIC GOAL 2 – STRENGTHEN THE INTEGRITY OF OUR PROGRAMS

### Annual Report of the Board of Trustees of the Federal Old-Age and Survivors Insurance and Federal Disability Insurance Trust Funds

The *Social Security Act* requires the Board of Trustees of the Old-Age and Survivors Insurance (OASI) and Disability Insurance (DI) Trust Funds to report annually to Congress on the actuarial status and financial operations of the OASI and DI Trust Funds. The [2013 OASDI Trustees Report \(www.socialsecurity.gov/OACT/TR/2013\)](http://www.socialsecurity.gov/OACT/TR/2013), issued in May 2013, includes projections for years 2013 to 2087. The 2013 report showed a similar projected long-term financial status of the Social Security program compared to the Trustees' 2012 report.

Highlights in the report included:

- Non-interest income fell below program costs in 2010 for the first time since 1983. Program costs are projected to exceed non-interest income throughout the remainder of the 75-year projection period;
- The combined OASI and DI Trust Fund reserves are still growing and will continue to do so through 2020. Beginning in 2021, the cost of the program is projected to exceed total income, and the trust fund reserves will begin to decline;
- The projected point at which the combined OASI and DI Trust Fund reserves will become depleted, if Congress does not act before then, comes in 2033—unchanged from the estimate in last year's report;
- The projected point at which the DI Trust Fund reserves will become depleted is 2016—unchanged from the estimate in last year's report;
- The projected actuarial deficit over the 75-year long-range period is 2.72 percent of taxable payroll—up slightly from 2.67 percent in last year's report.

### Annual Report of the Supplemental Security Income Program

We report annually to the President and to Congress the status of the Supplemental Security Income (SSI) program. The report's purpose is to provide the necessary data to effectively manage the SSI program. The [2013 SSI Annual Report \(http://www.socialsecurity.gov/OACT/ssir/SSI13\)](http://www.socialsecurity.gov/OACT/ssir/SSI13), issued in June 2013, includes projections for years 2013 to 2037.

Significant findings stemming from our evaluation included:

- By 2037, the end of the 25-year projection period, we estimate that the Federal SSI recipient population will reach 9.4 million. The number of SSI program recipients is projected to grow slightly faster than the U.S. population over the next few years reflecting the still-elevated unemployment rates during the remainder of the recovery from the recent economic downturn. Over the remainder of the 25-year projection period, the growth in the SSI recipient population is projected to be somewhat slower than the growth in the overall U.S. population.
- As a percentage of the total U.S. population, the number of Federal SSI recipients increased slightly from 2.47 percent in 2011 to 2.51 percent in 2012. We project this percentage to rise very slightly to 2.53 percent over the next few years before beginning a gradual decline over the remainder of the 25-year projection period reaching 2.42 percent of the population in 2037.
- We estimate that Federal expenditures for SSI payments in calendar year 2013 will increase by \$1.9 billion to \$53.6 billion, an increase of 3.7 percent from 2012 levels.
- In dollars adjusted by the Consumer Price Index to 2013 levels, we project that Federal expenditures for SSI payments will increase to \$61.5 billion in 2037, a real increase of 0.6 percent per year.

- Federal SSI expenditures expressed as a percentage of the Gross Domestic Product (GDP) were 0.33 percent in 2012. We project that expenditures, as a percentage of GDP, will remain at 0.33 percent of GDP in 2013, and decline thereafter to 0.23 percent of GDP by 2037.

### Enumeration Quality Review

The following presents results from our Enumeration Quality Review. These results were not available when we published our FY 2012 Performance and Accountability Report. Each year we process almost 6 million original and more than 10 million replacement Social Security card applications. We also verify Social Security numbers (SSN) more than one billion times a year through a variety of electronic data exchanges with public and private organizations. We refer to the process of assigning and issuing SSNs as enumeration.

To assess the accuracy of our enumeration process, we conduct annual reviews using a random sample of original SSNs assigned during the fiscal year by one of the following processes:

- **Enumeration-at-Birth:** Parents can apply for an SSN for their newborn child at the same time they apply for their newborn's birth certificate. The State agency that issues the birth certificate shares the information with us, and we assign an SSN and issue a Social Security card;
- **Enumeration-at-Entry:** Prospective immigrants can apply for an SSN as part of the Department of State's immigration process. When the immigrant enters the United States, the Department of Homeland Security electronically transmits enumeration information to us. If the immigrant qualifies, we assign an SSN and issue a Social Security card; and
- **SSN Applications:** A person can apply for an SSN by completing Form SS-5, Application for a Social Security Card, and submitting it to a local FO or Social Security Card Center; or by having one of our representatives file an application electronically through the Social Security Number Application Process (SSNAP) during an in-office interview. If the person is qualified, we assign an SSN and issue a Social Security card.

In FY 2012, we correctly assigned 99.9 percent of SSNs exceeding our FY 2012 target of 99 percent. The most commonly cited error occurred when applicants received two different SSNs: six through Enumeration-at-Entry and one through SSNAP. To help us meet and exceed this goal, we completed SSN specialized work in our Social Security Card Centers nationwide. We continue making improvements to the SSNAP tool, a web-based Intranet application that assigns original SSNs and issues original and replacement SSN cards. In October 2010, we implemented the alien registration number (ARN) alert within SSNAP. The ARN alert prevents the assignment of multiple SSNs by alerting FO personnel entering an SSN application if there is a pending SSN application or Numident (i.e., a database of information from all Social Security number applications) record with an identical ARN. The ARN is a unique identifier issued to aliens by the Department of Homeland Security.

We derive the percentage of correctly assigned SSNs using a statistically valid sample of original SSNs assigned in the fiscal year. We divide the number of correctly assigned SSNs by the total number sampled. We consider the SSN assigned correctly when: (1) the individual did not receive an SSN that belongs to someone else; (2) the individual did not receive more than one SSN, except where permitted; and (3) the individual is eligible to receive a SSN based on supporting documentation.

We will discuss the FY 2013 Enumeration Quality Review results in our FY 2014 Annual Performance Report.

### Preeffetuation Review of Disability Determinations

Public Law 96-265, Public Health and Welfare, Section 221-c, requires us to review at least 50 percent of all Social Security DI and concurrent DI/SSI disability (SSI/DI) favorable initial and reconsideration determinations made by the State DDSs. In addition, Public Law 109-171, *Deficit Reduction Act*, requires we review at least 50 percent of all SSI adult initial and reconsideration favorable determinations made by the State DDSs.

We select Preeffectuation Review (PER) cases from all 52 DDSs (the 50 States, District of Columbia, and DI cases from the Commonwealth of Puerto Rico) using a statistical model to identify allowances with a high probability of containing substantive errors (i.e., potential to ultimately reverse the determination from allowance to denial). In FY 2012, we conducted 354,521 DI and 111,745 SSI/DI PERs. The reviews resulted in an estimated 6,512 DDS determinations reversed from an allowance to a denial.

Three agency components work in conjunction with the Centers for Medicare and Medicaid Services to produce a report to Congress on the lifetime savings resulting from PER. The FY 2012 results will not be available until later this calendar year. The most recent PER Report to Congress for FY 2011 shows estimated lifetime savings of \$751 million (which also includes Medicare and Medicaid savings).

### **Retirement, Survivors, and Disability Insurance Stewardship Review**

Stewardship findings provide the basic measure we use to report on the accuracy of OASDI payments. We base the FY 2012 report findings on non-medical reviews of monthly samples of OASDI payments issued from October 2011 through September 2012. We also provide payment accuracy rates for the current and previous reporting periods.

Overall, the OASDI accuracy rate was 99.8 percent for overpayments in FY 2012 based on improper payments totaling a projected \$1.7 billion (i.e., 99.8 percent of all dollars paid were free of overpayment errors).

Accuracy for OASDI underpayments was 99.9 percent in FY 2012, based on unpaid dollars projected at \$740 million (i.e., underpayment dollar errors, as a percentage of total dollars paid, were 0.1 percent).

Comparable accuracy rates for FY 2011 were 99.7 percent for overpayments and 99.9 percent for underpayments. The changes in the overall OASDI overpayment and underpayment accuracy rates are not statistically significant.

We will report the results of our FY 2013 Retirement, Survivors and Disability Insurance Stewardship Review in our FY 2014 Annual Performance Report.

### **Supplemental Security Income Stewardship Review**

The review evaluates non-medical factors of eligibility and measures the accuracy of payments made to persons receiving SSI benefits. The primary objective is to measure the accuracy of payments we issued and to report these accuracy rates as required by the *Improper Payments Information Act of 2002*.

We reviewed 4,130 SSI cases in FY 2012. Accuracy rates are derived using data from the review of SSI cases with a payment made in at least one month of the fiscal year under review. Any difference between what was actually paid and what the quality review determines should have been paid, is expressed as an overpayment or underpayment error. The overpayment accuracy rate is the percentage of all dollars paid that are free of overpayment errors. The underpayment accuracy rate is the projected dollar value of underpayment errors represented as a ratio of all dollars paid. The overpayment and underpayment accuracy rates are calculated and reported separately.

In FY 2012, the overpayment accuracy rate was 93.7 percent based on overpaid dollars totaling a projected \$3.4 billion. This represents an increase of 1.0 percentage point from the FY 2011 overpayment accuracy rate of 92.7 percent. This increase is not statistically significant.

In FY 2012, the underpayment accuracy rate was 98.2 percent based on underpaid dollars totaling a projected \$0.95 billion. This represents no change from the FY 2011 U/P accuracy rate of 98.2 percent.

### **Office of Quality Performance Denial Review**

In FY 2013, we conducted an internal control review of medically denied disability applications adjudicated by the DDSs. We conducted this review to identify whether the DDS' denial decisions were policy compliant and supported by the medical and vocational evidence in the case file.

We reviewed 45,462 cases from all 52 DDSs throughout the nation (all 50 States, the District of Columbia, and the Commonwealth of Puerto Rico). To select the cases, we used a statistical model to identify cases that matched the profile for highly error-prone medically denied disability applications. Out of the 45,462 cases we reviewed, 4,701 (10.3 percent) contained a substantive error (i.e., an error that could result in a change in the determination of the case).

Our review of denials in FY 2013 resulted in the reversal of 3,259 DDS denial determinations to allowances. These reversals resulted in claimants receiving their benefits at an earlier stage in the process.

### **Quality Review Assessment of Senior Attorney Advisor Disability Decisions**

The following discusses the FY 2012 results of our Quality Review Assessment of Senior Attorney Advisor (SAA) Disability Decisions.

We agreed with 78 percent of the 864 sampled SAA decisions during FY 2012 as a preponderance of the evidence supported those decisions. This agreement rate was a statistically meaningful difference from FY 2011, when we agreed with 96 percent of the SAA decisions. When comparing the FY 2012 rate to prior fiscal years, the differences were also statistically meaningful. We attribute the change in the allowance agreement rate from the previous fiscal years to an increase in the number of decisions that lacked sufficient documentation to support a fully favorable decision or the evidence was conflictive.

We will discuss the results of our FY 2013 Quality Review Assessment of Senior Attorney Advisor Disability Decisions in our FY 2014 Annual Performance Report.

### **Disability Case Review of Administrative Law Judge Hearing Decisions**

The Disability Case Review is an ongoing, post-effectuation quality review of administrative law judge (ALJ) hearing decisions, which we implemented in December 2009. Our four-year data comparison begins with the last six months of FY 2009 and ends with all of FY 2012.

- In the last six months of FY 2009 (April through September), we agreed with 90 percent of ALJ favorable decisions and 89percent of their unfavorable decisions.
- For FY 2010, we agreed with 84 percent of the ALJ favorable decisions and 91 percent of the unfavorable decisions.
- For FY 2011, we agreed with 77 percent of the ALJ favorable decisions as compared to 87 percent of the unfavorable decisions.
- For FY 2012 we agreed with 77 percent of the ALJ favorable decisions and 91 percent of the unfavorable decisions.

As noted above, there was no change in the agreement rate between FYs 2011 and 2012 for ALJ favorable decisions. When comparing the FY 2012 findings to the 90-percent agreement rate for FY 2009, the difference is statistically meaningful. However, the 7-percentage point difference between FY 2012 and FY 2010 findings for ALJ favorable decisions is not statistically meaningful. We agreed with 91 percent of the ALJ unfavorable decisions for FY 2012 because a preponderance of the evidence supported those decisions. When comparing the FY 2012

agreement rate for ALJ unfavorable decisions to the prior reporting periods, none of the differences were statistically meaningful.

We will discuss the results of our FY 2013 Disability Case Review of ALJ hearing decisions in our FY 2014 Annual Performance Report.

### Disability Scorecard Surveys

The Disability Scorecard Surveys measure customer satisfaction with the disability application process at the initial and hearing levels. We survey disability claimants—both Social Security DI and SSI—in the following groups that reflect different stages of the process:

- Mid-process - after an initial disability application is filed but before a decision is made;
- Initial awards and denials -after the initial level decision on the application; and
- Hearing awards and denials - after the hearing level decision on the application.

We ask those surveyed for an overall rating of the service we provided during the disability application process. Survey findings consistently show that respondent opinion is greatly influenced by the outcome of the application for disability benefits. In addition, our latest published results for FY 2012 show that respondents are for the most part satisfied with the initial disability process at the time they file but before a decision is made, rating overall service 81 percent E/VG/G. Claimants awarded at the initial level rated overall service 92 E/VG/G; claimants awarded at the hearing were also highly satisfied, giving a rating of 84 percent E/VG/G. In contrast, claimants denied at the initial level gave an overall rating of only 55 percent E/VG/G. Claimants denied at the hearing level gave the lowest overall rating of 39 percent E/VG/G. There is a clear decline in satisfaction as the application proceeds through the hearing level. However, the gap between initial and hearing level satisfaction is greater when the application is denied than when it is awarded.

### Evaluation of Ticket to Work Program

We implemented the [Ticket to Work Evaluation \(http://www.ssa.gov/disabilityresearch/twe\\_reports.htm\)](http://www.ssa.gov/disabilityresearch/twe_reports.htm) to evaluate the progress of the program as required under the *Ticket to Work and Work Incentives Improvement Act of 1999*. In FY 2013, our independent evaluation contractor completed the seventh, and final, evaluation report. Overall, the Ticket to Work evaluation finds that beneficiaries who use the Ticket to Work program generally like it, that the program has increased use of return-to-work services, and those who participate in Ticket to Work have better outcomes than those who return to work without the help of Social Security-financed employment services. However, we also find that the increase in service use and better outcomes by participants has not translated into net increases in benefit suspension or termination for work or an increase in the number of months spent in suspense or termination for work. This suggests that Ticket to Work has primarily extended the types of services that were available under the program that preceded Ticket to Work, where services were offered only through State Vocational Rehabilitation Agencies, and has achieved the same level of success as before Ticket to Work. More beneficiaries are getting these services now, but the success rate has not measurably changed.

**“Participant and Provider Outcomes since the Inception of Ticket to Work and the Effects of the 2008 Regulatory Changes,” (July 2013).** Our evaluation contractor found that after the implementation of the revised regulations, there was renewed interest in the Ticket to Work program, with a doubling of Employment Network (EN) providers from 2007 to 2010 and a quadrupling of participant assignments during that time in the payment systems established by Ticket to Work. Reflecting the growth in participants, the number of participants experiencing benefit suspension or termination for work increased, as did total amount Social Security DI beneficiaries did not receive in benefits because of work. Per participant, however, both outcomes declined over this recessionary period.

Our contractor examined the relative effectiveness of different EN service models. Our evaluator found that among beneficiaries who assigned their Ticket to a Top-100 EN between July 2008 and June 2009, nearly 1 in 10 Ticket to Work participants (9.4 percent) had their cash benefits suspended or terminated because of work (STW) for at least 1 month. These outcomes varied a great deal by the business model of the EN serving them. Participants in consumer-directed ENs were most likely to have an STW month (20.7 percent); whereas, those served by State Vocational Rehabilitation Agencies were least likely (4.3 percent). Those served under the Outcomes-Only payment system were much more likely than others to have an STW month, regardless of the EN's business model. Among those with at least one STW month, participants in consumer-directed and employer ENs remained in STW longer on average than participants in other business models.

**“Initial Impacts of the Ticket to Work Program for Young New Social Security Disability Awardees: Estimates Based on Randomly Assigned Mail Months,” (July 2013).** Our independent evaluator used a more refined methodology than was available for earlier reports to reanalyze Ticket to Work impacts on the period before the July 2008 change in regulations (more recent data do not allow enough time to pass to see any potential effects of the Ticket to Work program). They also focused on young Social-Security-DI-only beneficiaries because prior research suggested this group was most likely to show results.

Under this refined methodology, our evaluator more confidently reaches the same conclusion as the fourth Ticket to Work evaluation report: they find that the Ticket mailings significantly increased service enrollment, but they find no consistent evidence that this impact translated into a substantive increase in benefit STW or an increase in the number of months spent in STW. We find these conclusions to be definitive. Given that the analysis finds no benefit-reduction impacts despite using the best-case population and timeframe for finding such impacts (outcomes are lower for SSI recipients and older Social Security DI beneficiaries, and employment outcomes have been somewhat lower in the period after the change in regulations), our evaluator did not recommend extending the analysis to other Ticket to Work- eligible groups or to a time period after the change in regulations.

#### STRATEGIC GOAL 4 – BUILD A MODEL WORKFORCE TO DELIVER HIGH QUALITY SERVICE

### Federal Employee Viewpoint Survey (formerly the Annual Employee Survey/Federal Human Capital Survey)

The U.S. Office of Personnel Management sent the 2013 Federal Employee Viewpoint Survey to about 16,000 of our employees. Our employees had from April 30, 2013 through June 14, 2013 to take the survey, which over half of our permanent employees completed.

We use the Federal Employee Viewpoint Survey results as a tool for measuring employee satisfaction and engagement throughout our agency. Traditionally, our employees show high levels of satisfaction working for us. We rank high in the category of Leadership, and Knowledge Management.

For more information about survey results, see the [Federal Employee Viewpoint Survey \(www.fedview.opm.gov/\)](http://www.fedview.opm.gov/).

### Human Capital Accountability System

SSA maintains accountability for success in all of its human capital endeavors as well as appropriate use of human resources authorities by implementing and maintaining internal tracking and assessment procedures. These procedures are encompassed within the agency's Human Capital Accountability System (HCAS), providing a comprehensive framework for demonstrating results, evaluating progress, facilitating continuous improvement, and ensuring adherence to Merit System Principles, laws, regulations, and policies.

We monitor and evaluate the results of our human capital strategies, policies, and programs, as well as our adherence to merit system principles. On a cyclical basis, we conduct Human Resources Management and Delegated Examining Unit Assessments of components across the agency, and we measure how well our human capital programs support our agency's performance goals in our annual Human Capital Management Report.

We regularly review all aspects of the HCAS to determine efficiency, effectiveness, mission alignment, and compliance with the Human Capital Assessment and Accountability Framework (HCAAF) (<http://www.opm.gov/policy-data-oversight/human-capital-management/#url=Framework>). The HCAAF consists of human capital focus areas that together provide a consistent, comprehensive representation of human capital management for the Federal Government.

The evaluation of our human capital system is critical. As necessary, we adjust our system, in consultation with appropriate components and staff, to ensure that we integrate the HCAAF effectively into our human capital system as required by the Office of personnel management. Our human capital reviews show that our human capital strategies, policies, and programs are sound and that we adhere to merit system principles. We took all required corrective actions for deficiencies identified through these reviews. In addition, we issued policy reminders and provided refresher training, where needed, to ensure that we remain compliant with laws, regulations, and agency policies.

Some improvements in our accountability programs made as a result of our reviews include:

- Completion of a streamlined evaluation template summarizing results from our Human Resources Management Assessments (HRMA). A HRMA review team consisting of Office of Human Resources Subject Matter Experts completes the template to assist with their development of required and recommended actions for the component being reviewed;
- Implementation of a remote HRMA process to cut costs and improve efficiency; and
- Enhancement of the Delegated Examining Unit Audit process to increase audit effectiveness. Enhancements include more concise reporting of audit findings, ongoing suggestions based on trend analysis, and OHR led quarterly conference calls with Headquarters and regional servicing personnel offices.

### **Management Directive-715**

The directive provides policy guidance and standards for establishing and maintaining effective affirmative action programs. The Equal Employment Opportunity Commission (EEOC) Management Directive 715 requires Federal agencies to conduct an annual self-assessment of their Equal Employment Opportunity (EEO) program to ensure it meets the requirements for each of the six essential elements of a model program. The assessment occurs in the first quarter of a fiscal year, with the report due to the EEOC in the second quarter of the fiscal year.

Below, we present our FY 2013 results, which were not available when we published our FY 2013 Performance and Accountability Report.

Our FY 2012 Management Directive 715 self-assessment showed that of the 117 measures of the essential elements of a model EEO program that are applicable to us, we met 103 measures and were deficient in only 14 measures. Highlights included:

- The Acting Commissioner issuing an EEO Policy Statement in May 2013, three months after installation as the Agency Head;
- Consistently informing employees about inappropriate behavior in the workplace through various methods (e.g., new employee orientation, mandatory *No FEAR Act* training, annual EEO training.)
- Continuing to utilize contractor for the identification of barriers that may be impeding the realization of EEO; and
- Collaborating and coordinating effectively between EEO and Human Resources.

For the 14 identified deficiencies, we described our plans to correct them to the extent possible.

Examples of identified deficiencies included:

- Lack of timely compliance with EEOC orders;
- Not requiring managers to participate in Alternative Dispute Resolution;
- Not timely completing EEO pre-complaint counseling; and
- Not timely completing EEO investigations.

We will discuss the results of our FY 2013 assessment in our FY 2014 Annual Performance Report.

### **New Hire Survey**

The New Hire Survey helps us to gauge our progress on recruiting, hiring, and engaging our newest employees. We complete the process of surveying our new employees hired throughout the fiscal year by the second quarter of the following fiscal year. Our 2012 New Hire Survey Report contains the survey results for our FY 2011 new hires.

We invited 639 newly hired employees in FY 2011 to complete the New Hire Survey, and 486 employees, or 76 percent, completed the survey. Survey results show that the majority (90 percent or more) of newly hired employees are satisfied with the application and hiring processes. Over 80 percent of newly hired employees indicate that they are satisfied with their overall orientation and training. Our efforts to make new employees feel welcome at their earliest points of interaction with us help retain a high-performing and diverse workforce.

### **Office of Civil Rights and Equal Opportunity Quality Assurance Program**

We assess the effectiveness of our EEO programs and our compliance with regulatory requirements, policy, and directives.

Between FY 2010 and FY 2012, we conducted 12 Office of Civil Rights and Equal Opportunity Quality Assurance Reviews and drafted reports from these reviews. We found that 11 of the 12 offices met the legal requirements for an effective EEO program, continued to work toward efficiently managing EEO program resources, and met customer needs. We worked with 1 of the 12 offices to help them meet the legal requirements for an effective EEO program.

## **STRATEGIC GOAL 5 – ENSURE RELIABLE, SECURE, AND EFFICIENT INFORMATION TECHNOLOGY SERVICES**

### **Federal Information Security Management Act Report**

The *Federal Information Security Management Act* (FISMA) is part of the *E-Government Act of 2002*. FISMA is a framework requiring Federal agencies to ensure they provide adequate security and privacy protections for Federal information systems and information. We must submit an annual FISMA status report to the OMB. Our report summarizes the results from security and privacy reviews conducted of our major information systems and programs, progress on correcting identified weaknesses, and the results of other work performed during the reporting period using OMB’s performance measures. There are currently several bills pending in Congress intended to strengthen FISMA. As Congress considers new cyber security legislation, we will continue our efforts to meet and exceed existing information security requirements for protecting Federal information systems and personally identifiable information.

For more information refer to the complete report, [FY 2011 Report to Congress on the Implementation of the Federal Information Security Management Act of 2002](http://www.whitehouse.gov/sites/default/files/omb/assets/egov_docs/fy11_fisma.pdf) ([www.whitehouse.gov/sites/default/files/omb/assets/egov\\_docs/fy11\\_fisma.pdf](http://www.whitehouse.gov/sites/default/files/omb/assets/egov_docs/fy11_fisma.pdf))