

SOCIAL SECURITY ADMINISTRATION

# ANNUAL PERFORMANCE PLAN

for Fiscal Year 2015

REVISED PERFORMANCE PLAN for Fiscal Year 2014



AND

# ANNUAL PERFORMANCE REPORT

for Fiscal Year 2013

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# ACTING COMMISSIONER'S MESSAGE



I am pleased to present our Annual Performance Plan for Fiscal Year 2015, Revised Performance Plan for Fiscal Year 2014, and Annual Performance Report for Fiscal Year 2013, which for the first time have been integrated into one streamlined document.

The new format makes it easier to review our plans and priorities as well as our progress.

We take great pride in administering the Social Security programs. Whether paying a benefit or issuing a Social Security number, our programs touch millions of Americans. Each day our staff works diligently to serve the public with care and compassion. We are committed to providing world-class service for our customers each time they interact with us. This commitment remains one of our highest priorities.

Reflecting on the past year, we made great strides in moving our agency forward – enhancing our service delivery, providing greater access to services and critical information, improving our quality review tools, and making prudent fiscal decisions, while maintaining our focus on the needs of those we serve. Despite our resource limitations, our performance results demonstrate our ongoing commitment to service excellence. Highlights of our fiscal year 2013 performance include:

- Assisting more than 43 million visitors in our field offices;
- Handling 53 million transactions via our National 800 Number;
- Processing over 46 million online transactions;
- Continuing to expand our use of technology resulting in registering 6.2 million users for [my Social Security](#) online accounts – an increase of 4 million from fiscal year 2012;
- Remaining committed to providing access for all our customers and expanding our video remote interpreting services for our hearing-impaired visitors; and

- Expanding our video service delivery and holding 181,675 video interviews.

Over the next two fiscal years as we pursue our new priority goals, we will maintain our momentum, challenging ourselves to think innovatively while working to leverage the benefits of state-of-the-art technology and continuing to pursue ways to increase our efficiency and effectiveness.

We will remain good stewards of our resources, focusing on our program integrity and fraud prevention efforts. Working with our State and local law enforcement partners, we will increase the number of Cooperative Disability Investigation (CDI) units. The collaborative CDI work has proven to be highly effective in preventing potential fraud from the outset.

As our mission and vision statements reflect, we must continue to provide the highest standard of thoughtful and considerate service for generations to come. In order to meet the changing service needs of the public, it is imperative that we keep pace with advances in technology and automation and make wise decisions in our resource investments.

As Acting Commissioner, my priority is to position the agency for the future. Our recently released Agency Strategic Plan (ASP) for Fiscal Years 2014-2018 will guide us as we continue to improve our responsiveness to the American public; make enhancements in our services and programs; strengthen our current workforce; and attract, train, and retain new talent to serve today and in the future.

This Plan expands on the aggressive agenda we outlined in the ASP, including well-defined performance goals and metrics to measure our progress and to hold ourselves accountable. Our Plan also provides public transparency – an opportunity to further demonstrate our diligent stewardship of public resources.

I am very proud to head an agency with so many talented and innovative employees. Our employees are our greatest resource. I thank each employee for his or her continued commitment and dedication to public service.

In closing, based on internal evaluations, I assure you that the performance data in this report is complete, reliable, and accurate.

*Carolyn W. Colvin*

**Carolyn W. Colvin  
Acting Commissioner**

# OUR VALUES

## Our Mission

**DELIVER SOCIAL SECURITY SERVICES THAT MEET THE CHANGING NEEDS OF THE PUBLIC**

## Our Vision

**PROVIDE THE HIGHEST STANDARD OF CONSIDERATE AND THOUGHTFUL SERVICE FOR GENERATIONS TO COME**

## Our Motto

**SOCIAL SECURITY BENEFITS AMERICA**

## Our Service Principles

**WE SERVE WITH EMPATHY, CREATIVITY, INTEGRITY, AND “AN UNBEATABLE DETERMINATION TO DO THE JOB AT HAND” BY FOLLOWING THESE SERVICE PRINCIPLES:**

- **ADHERENCE TO THE LAW**
- **CLARITY**
- **COMMITMENT TO BEST DEMONSTRATED PRACTICES**
- **CULTURAL SENSITIVITY**
- **HONESTY**
- **PREVENTION OF WASTE, FRAUD, AND ABUSE**
- **PROTECTION OF PRIVACY AND PERSONAL INFORMATION**
- **RECRUITMENT AND TRAINING OF THE BEST PUBLIC SERVANTS**
- **SAFETY OF THE PUBLIC AND OUR EMPLOYEES**

# OUR PROGRAMS

## Social Security Benefits America

Few government agencies touch the lives of as many people as we do. The programs we administer provide a financial safety net for millions of Americans, and many people consider them the most successful large-scale Federal programs in our Nation's history.

## Old-Age, Survivors, and Disability Insurance Programs

### **Old-Age and Survivors Insurance Program**

Created in 1935, the Old-Age and Survivors Insurance program provides retirement and survivors benefits to qualified workers and their families. When people work and pay Social Security taxes, they earn credits toward Social Security benefits. Most people need 40 credits, or 10 years of covered work, to qualify for retirement.

Reduced retirement benefits are payable as early as age 62. For people born in 1942 or earlier, full retirement benefits are payable at age 65. For people born from 1943 to 1960, the age at which full retirement benefits are payable increases gradually to age 67.

Benefits are also payable to certain members of retired workers' families and their survivors. In 1939, we began paying survivors benefits, which today include widows or widowers, mothers and fathers and divorced mothers and fathers with children in their care, minor children, children disabled before 22, and surviving divorced spouses of retired workers. Disabled widows and widowers benefits began in 1968.

### **Disability Insurance Program**

In 1956, Social Security expanded to include a benefit program for disabled workers age 50 until full retirement age. In 1960, disabled workers of all ages could qualify for Social Security Disability Insurance benefits. We pay benefits to people who cannot work because they have a medical condition expected to last at least one year or result in death.

## Supplemental Security Income Program

Established in 1972, the Supplemental Security Income (SSI) program is a means-tested program designed to provide a monthly payment to aged, blind, or disabled people with limited income and resources. Adults and children can receive payments based on disability or blindness.



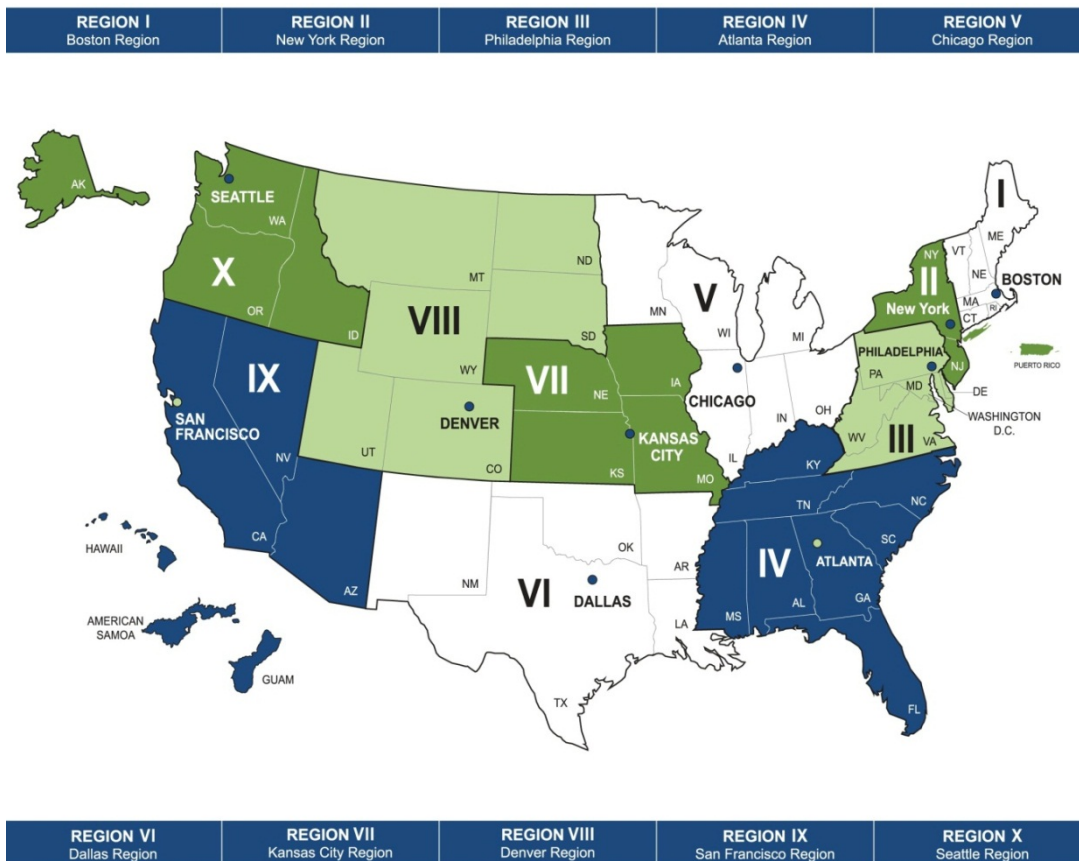
# OUR ORGANIZATION

Our organization is comprised of over 75,000 Federal and State employees. We deliver services through a nationwide network of about 1,500 offices that include regional offices, field offices (including Social Security Card Centers), teleservice centers, processing centers, hearing offices (including satellite offices and National Hearing Centers), the Appeals Council, and our headquarters in Baltimore, Maryland. We also deliver services in several United States embassies around the globe.

Our field offices and Social Security Card Centers are the primary points of contact for in-person interaction with the public. Our teleservice centers primarily handle telephone calls to our National 800 Number.

Employees in our processing centers primarily handle Social Security retirement, survivors, and disability payments, but they also perform a wide range of other functions, which include answering telephone calls to our National 800 Number.

We have created strong partnerships with State agencies and depend on State employees in 54 State and territorial disability determination services (DDS) to make disability determinations. The administrative law judges (ALJ) in our hearing offices and the administrative appeals judges in our Appeals Council make decisions on appeals of Social Security and SSI claims. The vast majority of our employees serves the public directly or provides support to employees who do. For more information about our components and their functions, visit our [organizational structure webpage \(www.socialsecurity.gov/org\)](http://www.socialsecurity.gov/org).



# SUMMARY OF OUR GOALS AND OBJECTIVES

## Deliver Innovative, Quality Services

- Develop and Increase the Use of Self-Service Options
- Enhance the Customer Experience by Completing Customers' Business at the First Point of Contact
- Partner with Other Agencies and Organizations to Improve Customers' Experience and Align with the Administration's One-Government Approach
- Align Our Physical Footprint to Incorporate Improved Service Options

## Strengthen the Integrity of Our Programs

- Transform the Way We Record Earnings to Enhance Data Accuracy
- Protect the Public's Data and Provide Secure Online Services
- Increase Payment Accuracy

## Serve the Public Through a Stronger, More Responsive Disability Program

- Improve the Quality, Consistency, and Timeliness of Our Disability Decisions
- Maximize Efficiencies throughout the Disability Program
- Enhance Employment Support Programs and Create New Opportunities for Returning Beneficiaries to Work

## Build a Model Workforce to Deliver Quality Service

- Attract and Acquire a Talented and Diverse Workforce that Reflects the Public We Serve
- Strengthen the Competency, Agility, and Performance of Our Workforce to Align with the Needs of the Public
- Foster an Inclusive Culture that Promotes Employee Well-Being, Innovation, and Engagement
- Enhance Planning and Alignment of Human Resources to Address Current and Future Public Service Needs

## Ensure Reliable, Secure, and Efficient Information Technology Services

- Maintain System Performance and the Continuity of Information Technology Services
- Enhance and Execute Plans to Modernize Our Systems
- Incorporate Innovative Advances in Service Delivery
- Continuously Strengthen Our Cyber Security Program



# AGENCY PRIORITY GOALS

We have identified four Agency Priority Goals (APG). These goals support our overarching strategic goals set forth in our Fiscal Year 2014 – 2018 Agency Strategic Plan <http://www.socialsecurity.gov/asp>. Our APGs are aggressive, and we expect to achieve them within a 24-month period. We regularly review our progress and take necessary actions to improve our outcomes and reduce costs. The following table lists our APGs, strategies to achieve them, external factors that may affect achieving the APGs, and goal leaders.

Agency Priority Goals	Strategies to Achieve Priority Goals	External Factors	Goal Leader
<p>Improve access to our services by increasing the number of citizens who complete their business with us online.</p>	<ul style="list-style-type: none"> <li>• Migrate existing online services to the <a href="#">my Social Security</a> portal.</li> <li>• Work with external partners to promote direct access to online services.</li> <li>• Conduct a national marketing campaign targeted toward people approaching retirement age.</li> </ul>	<ul style="list-style-type: none"> <li>• Availability of information technology resources to add additional services to the <a href="#">my Social Security</a> portal and expand direct access through external partners.</li> <li>• Stakeholder and advocacy groups acceptance of the <a href="#">my Social Security</a> portal.</li> </ul>	<p>Sylviane Haldiman Associate Commissioner, Office of Electronic Services and Technology, Office of Operations.</p>
<p>Deliver a world-class customer experience by expanding the use of video technology to hold hearings.</p>	<ul style="list-style-type: none"> <li>• Update systems and infrastructure to improve the quality of video hearings.</li> <li>• Increase marketing and educational information.</li> <li>• Pursue policy and business process changes to maximize efficiency.</li> </ul>	<ul style="list-style-type: none"> <li>• Availability of Information technology resources.</li> <li>• Stakeholder acceptance of video hearings.</li> <li>• Public reaction to regulatory changes regarding video hearings.</li> </ul>	<p>Jim Borland Assistant Deputy Commissioner, Office of Disability Adjudication and Review.</p>

Agency Priority Goals	Strategies to Achieve Priority Goals	External Factors	Goal Leader
<p>Provide the public with access to personalized information by increasing the number of established <i>my Social Security</i> accounts.</p>	<ul style="list-style-type: none"> <li>• Enhance services provided online through the <i>my Social Security</i> portal.</li> <li>• Increase marketing and educational activities to promote <i>my Social Security</i>.</li> <li>• Pilot quick service kiosks in field offices.</li> <li>• Increase number of kiosks in external partner sites that provide full suite of Social Security online services.</li> </ul>	<ul style="list-style-type: none"> <li>• Budget constraints could affect our ability to migrate additional services to the <i>my Social Security</i> portal and impede our ability to implement new features.</li> </ul>	<p>Sylviane Haldiman Associate Commissioner, Office of Electronic Services and Technology, Office of Operations.</p>
<p>Reduce the percentage of improper payments made under the SSI program.</p>	<ul style="list-style-type: none"> <li>• Increase the volume of our program integrity workloads.</li> <li>• Enhance and expand use of technology to reduce improper payments.</li> <li>• Pursue new initiatives and program improvements; to the extent funding is available.</li> <li>• Ensure that newly implemented initiatives are designed to produce measurable outcomes through well-developed evaluation plans.</li> </ul>	<ul style="list-style-type: none"> <li>• Dependence upon SSI recipients and deermors (i.e., spouses or parents whose income and assets are considered in determining SSI eligibility and payment amount) timely reporting changes in income and resources.</li> <li>• Increase in job growth may result in more SSI recipients working and perhaps not reporting their wages timely.</li> <li>• Budgetary constraints determine the number of redeterminations we may conduct.</li> </ul>	<p>Nancy Martinez Associate Commissioner, Office of Income Security Programs, Office of Retirement and Disability Policy.</p>

# CHANGE IN PRESENTATION OF OUR PERFORMANCE MEASURES

Historically all of our performance measures were aligned with the strategic goals and objectives even though several of those measures were tied to our budgeted workloads. While budgeted workload measures support our strategic goals and objectives, their targets and outcomes are budget dependent.

In an effort to establish performance measures and targets that are within our control, we have decoupled our budgeted workload measures, presenting them independently. We established new measures and targets that are driven by our agency priorities.

The following sections provide an overview of our:

- [Key Budgeted Workload Measures](#),
- [Agency-Driven Performance Measures](#), and
- [FY 2013 Performance Measures](#) (for measures that will not go forward in FY 2014 and FY 2015).

## KEY BUDGETED WORKLOAD MEASURES

The following tables provide an overview of our 15 budgeted workload performance measures. We achieved 11 out of the 14 budgeted workload targets where data is available. For historical data, refer to Appendix D, Key Budgeted Workloads – Historical Performance.

We published the FY 2013 Annual Performance Plan before we received our annual funding; therefore, some performance targets were not based on our FY 2013 appropriation. The FY 2013 targets reported here reflect performance commitments based on the [FY 2013 Congressional Operating Plan \(http://www.socialsecurity.gov/budget/FY13Files/2013COPCombined.pdf\)](http://www.socialsecurity.gov/budget/FY13Files/2013COPCombined.pdf). (Please note that responsible official acronyms are listed in [Appendix F](#), Summary of Key Management Officials’ Responsibilities.)

Performance Measure	FY 2013 Performance	FY 2013 Target	FY 2014 Target	FY 2015 Target	Responsible Official
Complete the budgeted number of retirement, survivors, and Medicare claims	5,006,855 <i>(rec'd 4,952,591)</i>	5,269,000	5,131,000	5,311,000	DCO
	Met				
Complete the budgeted number of initial disability claims	2,987,883	2,962,000	2,947,000	2,847,000	DCO
	Met				
Complete the budgeted number of disability reconsideration claims	803,194	787,000	778,000	752,000	DCO
	Met				
Complete the budgeted number of hearing requests	793,580	793,000	735,000	801,000	DCDAR
	Met				
Achieve the target speed in answering National 800 Number calls	617 seconds	535 seconds	1,020 seconds	600 seconds	DCO
	Not Met				
Achieve the target busy rate for National 800 Number calls <sup>1</sup>	11.9%	16%	14%	2%	DCO
	Met				
Achieve the target number of initial disability claims pending	698,127	804,000	642,000	656,000	DCO
	Met				

<sup>1</sup> Since migrating to the new CARE 2020 network, complete wait time, including the time that the caller is on the line and the time the caller is waiting for a call back, is now included in the average speed of answer (ASA) calculation. This is in contrast to the legacy network which artificially deflated the ASA by only including the time the caller was on the line until a callback option was chosen, typically 2-3 seconds in duration. Under the legacy system, the customer’s wait time was diluted and virtually excluded from the ASA calculation. The new CARE 2020 methodology is consistent with industry standards.

Performance Measure	FY 2013 Performance	FY 2013 Target	FY 2014 Target	FY 2015 Target	Responsible Official
Achieve the target number of disability reconsiderations	173,472	220,000	174,000	177,000	DCO
	Met				
Average processing time for initial disability claims	107.4 days	109 days	109 days	107 days	DCO
	Met				
Average processing time for reconsiderations <sup>2</sup>	N/A				DCO
Average processing time for hearings decisions	396 days (September only)	~389 days (September only)	415 days <sup>3</sup>	435 days	DCDAR
	Not Met				
Achieve the budgeted goal for DDS case production per workyear	322	320	319	326	DCO
	Met				
Achieve the budgeted goal for hearing case production per workyear	109	111	106	109	DCDAR
	Not Met				
Complete the budgeted number of full medical continuing disability reviews (CDR)	428,568	422,000	510,000	888,000	DCO
	Met				
Complete the budgeted number of SSI non-medical redeterminations	2,634,183	2,622,000	2,622,000	2,622,000	DCO
	Met				

<sup>2</sup>The average processing time for disability reconsiderations was under development in FY 2013. For September 2013 (the first month for which data are available), the overall average processing time for disability reconsiderations was 101 days. We will develop a performance target for this measure in FY 2016, after we have had the ability to analyze at least two years of actual data.

<sup>3</sup> Average processing time for hearings decisions is currently an annual performance measure.

# AGENCY-DRIVEN PERFORMANCE MEASURES AT A GLANCE

The following tables provide an overview of our FY 2014 and FY 2015 agency-driven performance measures. We list the measures based on the Strategic Goals and Objectives they support in the [FY 2014 - 2018 Agency Strategic Plan](#), annotate agency priority goals (APG) and new measures (NEW). Many of our agency-driven measures are new and will not have an FY 2013 target; however, we display FY 2013 performance results where data is available. (Responsible official acronyms are listed in [Appendix F](#), Summary of Key Management Officials' Responsibilities.)

## STRATEGIC GOAL 1:

### DELIVER INNOVATIVE, QUALITY SERVICES

#### Strategic Objective 1.1: Develop and Increase the Use of Self-Service Options

Performance Measure	FY 2013 Performance	FY 2013 Target	FY 2014 Target	FY 2015 Target	Responsible Official	Page	
1.1a APG NEW	Improve access to our services by increasing the number of citizens who complete their business with us online	Citizens completed 46.1 million online transactions		Increase the number of citizens completing business online by 10% over FY 2013 <i>(50.7 million)</i>	Increase the number of citizens completing business online by 10% over FY 2014 <i>(55.8 million)</i>	DCO	41

#### Strategic Objective 1.2: Enhance the Customer Experience by Completing Customer's Business at the First Point of Contact

Performance Measure	FY 2013 Performance	FY 2013 Target	FY 2014 Target	FY 2015 Target	Responsible Official	Page
1.2a APG NEW	Deliver a world-class customer experience by expanding the use of video technology to hold hearings		28% of hearings conducted by video	30% of hearings conducted by video	DCDAR	44
1.2b NEW	Expand the services available under <i>my Social Security</i> by implementing an online Social Security Number Replacement Card application		Complete planning and analysis for implementing an online Social Security Number Replacement Card application	Implement the online Social Security Number Replacement Card application	DCO	44

**Strategic Objective 1.2: Enhance the Customer Experience by Completing Customer's Business at the First Point of Contact**

Performance Measure		FY 2013 Performance	FY 2013 Target	FY 2014 Target	FY 2015 Target	Responsible Official	Page
1.2c NEW	Maintain customer satisfaction with our online services			Maintain an average customer satisfaction score of at least 80	Maintain an average customer satisfaction score of at least 80	DCO	45
1.2d APG NEW	Provide the public with access to personalized information by increasing the number of established <i>my Social Security</i> accounts	Added 6.32 million new <i>my Social Security</i> accounts		Increase the number of customers who sign up for <i>my Social Security</i> by 15% over FY 2013 <i>(7.27 million)</i>	Increase the number of customers who sign up for <i>my Social Security</i> by 15% over FY 2014 <i>(8.36 million)</i>	DCO	45

**Strategic Objective 1.3: Partner with Other Agencies and Organizations to Improve Customers' Experience and Align with the Administration's One-Government Approach**

Performance Measure		FY 2013 Performance	FY 2013 Target	FY 2014 Target	FY 2015 Target	Responsible Official	Page
1.3a NEW	Minimize the average response time to deliver medical evidence to the Department of Veteran Affairs (VA) for wounded warriors and veterans			Deliver medical evidence to the VA within an average of 5 days	Deliver medical evidence to the VA within an average of 4 days	DCO	48
1.3b NEW	Partner with the Department of Health and Human Services (HHS) and the VA to better serve the homeless population.			Partner with HHS and VA to draft a Federal best-practices model for facilitating access to SSI and Social Security Disability Insurance benefits.	Work with the United States Interagency Council on Homelessness to determine appropriate next steps in sharing the best-practice model with other Federal agencies.	DCRDP	46

**Strategic Objective 1.4: Evaluate Our Physical Footprint to Incorporate Improved Service Options**

Performance Measure		FY 2013 Performance	FY 2013 Target	FY 2014 Target	FY 2015 Target	Responsible Official	Page
1.4a NEW	In light of substantial staff losses and availability of many self-service options, we will reassess our physical footprint to identify opportunities for improved service delivery			Evaluate potential opportunities for co-locating and consolidating our public service facilities within and outside of the Social Security Administration	TBD	DCBFQM/DCO	48



**STRATEGIC GOAL 2:**

**STRENGTHEN THE INTEGRITY OF OUR PROGRAMS**

**Strategic Objective 2.1: Transform the Way We Record Earnings to Enhance Data Accuracy**

Performance Measure		FY 2013 Performance	FY 2013 Target	FY 2014 Target	FY 2015 Target	Responsible Official	Page
2.1a NEW	Redesign our earnings system to improve the accuracy and timeliness of the earnings data used to calculate benefits			Complete construction of at least 50% of the redesigned functionality to process Forms W-2 within the Annual Wage Reporting (AWR) system	Implement the redesigned functionality to process Forms W-2 within the AWR system	DCS	54

**Strategic Objective 2.2: Protect the Public's Data and Provide Secure Online Services**

Performance Measure		FY 2013 Performance	FY 2013 Target	FY 2014 Target	FY 2015 Target	Responsible Official	Page
2.2a NEW	Implement a fraud and integrity unit to protect the public's data			Establish the <i>my Social Security</i> Fraud Analysis and Coordination Team	Expand the Fraud Analysis and Coordination Team	DCO	56
2.2b NEW	Enhance our security features and business processes to prevent and detect fraud			Expand the Public Facing Integrity Review (PFIR) system to more rapidly detect a greater variety of fraudulent Internet transactions	Continue to expand the PFIR system to more rapidly detect a greater variety of fraudulent Internet transactions	DCS	56

### Strategic Objective 2.3: Increase Payment Accuracy

Performance Measure		FY 2013 Performance	FY 2013 Target	FY 2014 Target	FY 2015 Target	Responsible Official	Page
2.3a APG NEW	Reduce the percentage of improper payments made under the SSI program	Available June 2014		No more than 6.2% of all payments made under the SSI program are improper payments (i.e., overpayment and underpayments)	No more than 6.2% of all payments made under the SSI program are improper payments (i.e., overpayment and underpayments)	DCRDP	62
2.3b NEW	Maintain the low percentage of improper payments made under the Old-Age, Survivors, and Disability Insurance (OASDI) program	Available June 2014		No more than 0.4% of all payments made under the OASDI program are improper payments (i.e., overpayment and underpayments)	No more than 0.4% of all payments made under the OASDI program are improper payments (i.e., overpayment and underpayments)	DCRDP	62

### STRATEGIC GOAL 3:

SERVE THE PUBLIC THROUGH A STRONGER, MORE RESPONSIVE DISABILITY PROGRAM

### Strategic Objective 3.1: Improve the Quality, Consistency, and Timeliness of Our Disability Decisions

Performance Measure		FY 2013 Performance	FY 2013 Target	FY 2014 Target	FY 2015 Target	Responsible Official	Page
3.1a NEW	Expedite cases for the most severely disabled individuals by achieving the target percentage of initial disability cases identified as Quick Disability Determinations (QDD) or Compassionate Allowances (CAL)			6.5%	6.5%	DCRDP	67
3.1b	Ensure the quality of our decisions by achieving the DDS decisional accuracy rate for initial disability decisions	98% decisional accuracy	97% decisional accuracy	97% decisional accuracy	97% decisional accuracy	DCO	67
		MET					

Performance Measure		FY 2013 Performance	FY 2013 Target	FY 2014 Target	FY 2015 Target	Responsible Official	Page
3.1c NEW	Ensure the quality and consistency of our hearing decisions by randomly reviewing a percentage of cases using an inline review process			Randomly review 0.1% of our hearing decisions	Randomly review 1% of our hearing decisions	DCDAR	68
3.1d	Increase our ability to provide timely decisions by focusing on our oldest cases first	0.7% of pending hearing requests 700 days or older	Less than 0.5% of pending hearing requests 700 days or older	Make decisions on 99.5% of cases that start the year 310 days or older	Make decisions on 99.5% of cases that start the year 285 days or older	DCDAR	68
		Not Met					
3.1e	Increase our ability to provide timely decisions by reducing the percentage of pending Appeals Council requests for review 365 days old or older	8.9% pending 365 days or older	19% or fewer pending 365 days or older	21% or less of cases pending 365 days or older	20% or less of cases pending 365 days or older	DCDAR	69
		Met					

**Strategic Objective 3.2: Maximize Efficiencies throughout the Disability Program**

Performance Measure		FY 2013 Performance	FY 2013 Target	FY 2014 Target	FY 2015 Target	Responsible Official	Page
3.2a NEW	Improve the disability determination process by increasing the percentage of initial disability claims with health Information Technology (IT) medical evidence			2.5% of initial disability claims with health IT medical evidence	4% of initial disability claims with health IT medical evidence	DCS	72

**Strategic Objective 3.3: Enhance Employment Support Programs and Create New Opportunities for Returning Beneficiaries to Work**

Performance Measure		FY 2013 Performance	FY 2013 Target	FY 2014 Target	FY 2015 Target	Responsible Official	Page
3.3a NEW	Achieve the target number of beneficiaries participating in the Ticket to Work program who begin earning above a certain level			1300 new beneficiaries	1330 new beneficiaries	DCRDP	75

**STRATEGIC GOAL 4:  
BUILD A MODEL WORKFORCE TO DELIVER QUALITY SERVICE**

**Strategic Objective 4.1: Attract and Acquire a Talented and Diverse Workforce that Reflects the Public We Serve**

Performance Measure		FY 2013 Performance	FY 2013 Target	FY 2014 Target	FY 2015 Target	Responsible Official	Page
4.1a	Achieve the target veteran and disabled veteran new hire percentage to improve their representation in the SSA workforce	46.6% of total hiring	18% Veterans	25% Veterans	25% Veterans	DCHR	78
		Met					
		18.1% of total hiring	15% Disabled Veterans	16.49% Disabled Veterans	17.49% Disabled Veterans		
		Met					
4.1b	Achieve the target on-board representation of employees with targeted disabilities	1.99%	2%	2%	2%	DCHR	79
		Not Met					

**Strategic Objective 4.2: Strengthen the Competency, Agility, and Performance of Our Workforce to Align with the Needs of the Public**

Performance Measure		FY 2013 Performance	FY 2013 Target	FY 2014 Target	FY 2015 Target	Responsible Official	Page
4.2a NEW	Reduce skills gaps for leaders and potential leaders to improve leadership competencies			Reduce skills gaps in Leadership Development Program participants in at least two critical competencies	Assess skills gaps for participants in the Leadership Essentials for New Supervisors initiative	DCHR	82

**Strategic Objective 4.2: Strengthen the Competency, Agility, and Performance of Our Workforce to Align with the Needs of the Public**

Performance Measure		FY 2013 Performance	FY 2013 Target	FY 2014 Target	FY 2015 Target	Responsible Official	Page
4.2b NEW	Reduce skills gaps in mission-critical occupations to improve general and technical competencies			Assess skills gaps for human resources (HR) specialists	Reduce skills gaps for HR specialists in at least two critical competencies Assess skills gaps for legal assistants in the Office of Disability Adjudication and Review (ODAR)	DCHR	82

**Strategic Objective 4.3: Foster an Inclusive Culture that Promotes Employee Well-Being, Innovation, and Engagement**

Performance Measure		FY 2013 Performance	FY 2013 Target	FY 2014 Target	FY 2015 Target	Responsible Official	Page
4.3a NEW	Maintain status as one of Top 10 Best Places to Work among large agencies in the Federal Government	Achieved a Top 10 Ranking		Achieve a Top 10 Ranking	Achieve a Top 10 Ranking	DCHR	85
4.3b NEW	Achieve the target two-year new hire retention percentage	Retained 84.3% of newly hired employees		Retain 85% of newly hired employees	Retain 85% of newly hired employees	DCHR	85
4.3c NEW	Increase workplace flexibilities by expanding telework opportunities for employees	4,100 employees participated in telework		Increase the percentage of employees participating in telework by 100% over FY 2013 levels (8,200)	Increase the percentage of employees participating in telework by 100% over FY 2014 levels (16,400)	DCHR	86

**Strategic Objective 4.4: Enhance Planning and Alignment of Human Resources to Address Current and Future Public Service Needs**

Performance Measure		FY 2013 Performance	FY 2013 Target	FY 2014 Target	FY 2015 Target	Responsible Official	Page
4.4a NEW	Conduct workforce analysis and planning activities to support future workforce transition initiatives			Conduct workforce staffing analysis to support workforce planning efforts	Expand workforce staffing analysis to include an analysis of workforce skills and competencies	DCHR	89
4.4b NEW	Achieve target number of human capital metrics identified in ongoing human capital performance review sessions			Achieve 75% of the human capital metrics	Achieve 80% of the human capital metrics	DCHR	89

**STRATEGIC GOAL 5:**

**ENSURE RELIABLE, SECURE, AND EFFICIENT INFORMATION TECHNOLOGY SERVICES**

**Strategic Objective 5.1: Maintain System Performance and the Continuity of Information Technology Services**

Performance Measure		FY 2013 Performance	FY 2013 Target	FY 2014 Target	FY 2015 Target	Responsible Official	Page
5.1a	Provide uninterrupted access to our systems during scheduled times of operation	99.96% availability	99.5% availability	99.5% availability	99.5% availability	DCS	92
5.1b NEW	Ensure the continuity of our agency's operations by transitioning IT production functions to the National Support Center (NSC) by FY 2016			Complete migration planning and preparations	Enable network and telecommunications capabilities, and transition the first group of enterprise workloads to the NSC	DCS	92

**Strategic Objective 5.2: Enhance and Execute Plans to Modernize Our Systems**

Performance Measure		FY 2013 Performance	FY 2013 Target	FY 2014 Target	FY 2015 Target	Responsible Official	Page
5.2a NEW	Enhance systems performance and reliability by upgrading the telecommunications infrastructure in our offices			Complete the infrastructure upgrade to incorporate modern technologies that support future internet and network capacity needs and new capabilities	Modernize the telecommunications infrastructure to include improved external and internal communications capabilities, such as internet chat and video	DCS	95
5.2b NEW	Maintain reliable IT services by continually assessing business and infrastructure applications to identify those that are high risk, and determine strategies to renovate, replace, or retire			Identify high-risk applications and appropriate mitigation strategies  Submit to IT Investment selection process	Identify high-risk applications and appropriate mitigation strategies  Submit to IT Investment selection process	DCS	96



**Strategic Objective 5.3: Incorporate Innovative Advances in Service Delivery**

Performance Measure		FY 2013 Performance	FY 2013 Target	FY 2014 Target	FY 2015 Target	Responsible Official	Page
5.3a NEW	Enhance our IT infrastructure by implementing innovative systems accessibility and performance capabilities			Implement Bandwidth on Demand, which will provide us with the ability to increase tele-communications capacity to quickly meet the changing service needs of our offices and clients	Increase hardware sharing to improve resource management, including more efficient use of resources, improved capacity, reduced physical server needs, and enhanced disaster recovery	DCS	98
5.3b NEW	Explore the use of emerging technologies by establishing a testing lab to promote research and development of innovative technology solutions that provide more effective and flexible ways for the public to conduct business with us online and for our employees to complete their work			Identify and implement new, innovative tools to expand the capabilities of the testing lab to develop solutions that accommodate evolving customer preferences	Upgrade testing lab security software and tools that enable us to safely test more innovative security and fraud detection solutions	DCS	99

**Strategic Objective 5.4: Continuously Strengthen Our Cyber Security Program**

Performance Measure		FY 2013 Performance	FY 2013 Target	FY 2014 Target	FY 2015 Target	Responsible Official	Page
5.4a NEW	Provide secure and effective services to the public by improving cyber security performance			Meet the performance requirements of the Department of Homeland Security's (DHS) Federal Network Security Compliance and Assurance Program and the Cyber Security Cross-Agency Priority Goals	Meet the performance requirements of DHS's Federal Network Security Compliance and Assurance Program and the Cyber Security Cross-Agency Priority Goals	DCS	102

# FISCAL YEAR 2013 PERFORMANCE MEASURES

This section provides results for FY 2013 performance measures that are not included as budgeted workload measures or agency driven measures for FY 2014 and 2015.

We established a total of 35 performance measures and targets for FY 2013 in support of the strategic goals and objectives established in our [Agency Strategic Plan 2013-2016](#) (ASP 2013-2016). FY 2013 performance data will not be available before this document is published for five of our measures. We will report final performance for those five measures in the FY 2014 Agency Performance Report. Overall, we achieved 21 (70 percent) of the remaining 30 performance targets. We explained these goals, objectives, measures, and targets in our [Annual Performance Plan for FY 2014 and Revised Final Performance Plan for FY 2013](#) ([www.socialsecurity.gov/performance](http://www.socialsecurity.gov/performance)). Please note that measure numbers in this section relate to the ASP 2013-2016 goals and objectives. (Responsible official acronyms are listed in [Appendix F](#) (Summary of Key Management Officials' Responsibilities).)

1.1d: Eliminate the oldest pending hearing requests (DCDAR)						
	FY 2008	FY 2009	FY 2010	FY 2011	FY 2012	FY 2013
<b>Performance</b>	281 of 135,160 cases remained pending (.21%)	228 of 166,838 cases remained pending (.14%)	47 of 139,026 cases remained pending (.03%)	103 of 111,792 cases remained pending (.09%)	169 of 113,593 cases remained pending (.15%)	1,278 of 172,809 cases remained pending (.7%)
<b>Target</b>	Less than 1% of hearings pending 900 days or older	Less than 1% of hearings pending 850 days or older	Less than 0.5% of hearing requests pending 825 days or older	Less than 0.5% of hearing requests pending 775 days or older	Less than 0.5% of pending hearing requests 725 days or older	Less than 0.5% of pending hearing requests 700 days or older
<b>Target Met</b>	Met	Met	Met	Met	Met	Not Met
<b>Description of Results:</b>						
ALJs denied more cases, and denial decisions are more difficult to review and write than allowances. Under the possibility of sequestration, we suspended all planned hearing office hiring in FY 2013, and we reduced overtime available. The combination of these issues caused us to just miss the target.						

**1.2h: Update the medical Listing of Impairments (DCRDP)**

	FY 2008	FY 2009	FY 2010	FY 2011	FY 2012	FY 2013
<b>Performance</b>		Published eight Social Security Rulings in the <i>Federal Register</i>	Published three final regulations and one Notice of Proposed Rule Making	Published two regulatory actions and one Social Security Ruling	Published three rules for public comment	Published five rules for public comment, three final rules, and one Social Security Ruling; developed and submitted two Social Security Rulings to OMB.
<b>Target</b>		Develop and submit at least three regulatory actions or Social Security Rulings	Develop and submit at least three regulatory actions or Social Security Rulings	Develop and submit at least three regulatory actions or Social Security Rulings	Publish five rules for public comment and two final rules	Develop and submit at least five rules for public comment, three final rules, and three Social Security Rulings
<b>Target Met</b>		Met	Met	Met	Not Met	Met

**Description of Results:**

In FY 2013, we published:

- Notices of proposed rulemaking for public comment for respiratory system, genitourinary impairments, growth impairments, change in terminology from “mental retardation” to “intellectual disability”,
- Advance notice of proposed rulemaking for public comment for hearing and labyrinthine-vestibular disorders,
- Final rules for congenital impairments that affect multiple body systems, visual disorders, change in terminology from “mental retardation” to “intellectual disability,”
- An extension of expiration date for mental disorders body system listings,

We also published a Social Security Ruling regarding drug addiction and alcoholism, and submitted Social Security Rulings to OMB regarding diabetes mellitus and endocrine disorders other than diabetes mellitus.

**1.2i: Increase the percentage of disability cases evaluated using health Information Technology (DCS)**

	FY 2008	FY 2009	FY 2010	FY 2011	FY 2012	FY 2013
<b>Performance</b>			Baseline Established (3,000 claims)	108% above FY 2010 baseline (6,235 claims)	263% above FY 2011 performance (22,671 claims)	175% above FY 2012 performance (62,399 cases)
<b>Target</b>			Establish Baseline	500% above FY 2010 baseline (18,000 claims)	500% above FY 2011 performance (37,500 claims)	200% above FY 2012 performance
<b>Target Met</b>			Met	Not Met	Not Met	Not Met

**Description of Results:**

While we did not meet our performance target for this measure of 200 percent above the FY 2012 performance, we continued to make significant strides. Health IT policies and standards continue to mature and change with adjustments to: (1) certification standards; (2) Stage 2 meaningful use criteria; and (3) standards for secure exchange of medical information in a variety of formats. As a result of these changes, a number of the medical providers had to adjust their original plans, which resulted in delays to exchange medical records during the year.

Also, during FY 2013, the management of the eHealth Exchange shifted from the Office of the National Coordinator to a new non-profit, HealthWay. When this shift occurred, a new testing program needed to be established for those organizations joining the eHealth Exchange, which is one of our requirements. HealthWay's testing program was delayed from April to August. In spite of these obstacles, we expanded our current partner organizations with additional facilities and added four new partner organizations

**1.2j: Number of Disability Insurance and Supplemental Security Income disability beneficiaries, with Tickets assigned and in use, who work (DCRDP)**

	FY 2008	FY 2009	FY 2010	FY 2011	FY 2012	FY 2013
<b>Performance</b>	96,993	105,843	117,124	131,099	152,913	Data available July 2014
<b>Target</b>	Establish a new baseline	97,000	98,940	114,310	119,466	136,401
<b>Target Met</b>	Met	Met	Met	Met	Met	TBD

**Description of Results:**

In FY 2012, the last year for which data are available, we surpassed our target by nearly 28 percent.

**1.3a: Achieve the target percentage of initial disability cases identified as Quick Disability Determinations or Compassionate Allowances (DCRDP)**

	2008	2009	2010	2011	2012	2013
<b>Performance</b>		3.8%	4.6%	5.9%	5.8%	6.6%
<b>Target</b>		3.8% (September Only)	4.5% (September Only)	5% (September Only)	5.5% (September Only)	6% (September Only)
<b>Target Met</b>		Met	Met	Met	Met	Met

**Description of Results:**

We continued to meet the goal in FY 2013 through our constant and consistent efforts to improve the QDD predictive model and to add new CAL conditions. We completed a thorough re-evaluation of the QDD predictive model in December 2011, which provided us with the opportunity to increase the number of claimants served through the QDD process without sacrificing the quality of the claims selected for the process. We added 100 new CAL conditions from October 2011 through September 2013.

**2.1a: Increase the percentage of claims filed online (DCO)**

	FY 2008	FY 2009	FY 2010	FY 2011	FY 2012	FY 2013
<b>Performance</b>			35%	39%	44%	50.97%
<b>Target</b>					42%	48% (last quarter only)
<b>Target Met</b>					Met	Met

**Description of Results:**

We met the percentage goal of claims filed online for FY 2013. The online filing rate for each of the four internet applications (Medicare, retirement, disability, and spouses) continues to be high.

In the fourth quarter FY 2013, the following percentages of claims were filed online:

- Medicare claims – 69.1 percent
- Retirement claims – 51.4 percent
- Disability claims – 48.3 percent
- Spouses claims – 23.3 percent

**2.2c: Maintain the percent of people rating our services as “excellent,” “very good,” or “good” (DCBFQM)**

	FY 2008	FY 2009	FY 2010	FY 2011	FY 2012	FY 2013
<b>Performance</b>	81%	81%	78.2%	81.4%	80.9%	80.2%
<b>Target</b>	83%	83%	83.5%	83.5%	83.5%	83.5%
<b>Target Met</b>	Not met	Not met	Not met	Not met	Not met	Not Met

**Description of Results:**

We based the overall service satisfaction rate on our annual surveys of customers who conducted business through one our major service delivery channels (i.e., in-person, National 800 Number, online). While the combined rate for all channels held steady, satisfaction with field office visits rose to 93 percent excellent, very good or good (E/VG/G) and satisfaction with National 800 Number service declined 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 access rating fell by 12 percentage points to just 52 percent E/VG/G in FY 2013.

**2.3a: Complete the planned number of video hearings (DCDAR)**

	FY 2008	FY 2009	FY 2010	FY 2011	FY 2012	FY 2013
<b>Performance</b>	55,869	86,320	120,624	129,775	153,592	179,308
<b>Target</b>					140,000	154,000
<b>Target Met</b>					Met	Met

**Description of Results:**

We continued to improve service delivery by expanding access to video hearings, surpassing our goal by more than 25,000 video hearings.



**3.1c: Percent of SSI payments free of Overpayment (O/P) and Underpayment (U/P) error (DCRDP)**

	FY 2008	FY 2009	FY 2010	FY 2011	FY 2012	FY 2013
<b>Performance</b>	89.7% (O/P) 98.3% (U/P)	91.6%(O/P) 98.4% (U/P)	93.3% (O/P) 97.6% (U/P)	92.7% (O/P) 98.2% (U/P)	93.7% (O/P) 98.2% (U/P)	Data Available June 2014
<b>Target</b>	96% (O/P) 98.8% (U/P)	96% (O/P) 98.8% (U/p0)	91.6% (O/P) 98.8% (U/P_	93.3% (O/P) 98.8% (U/P)	95% (O/P) 98.8% (U/P)	95% (O/P) 98.8% (U/P)
<b>Target Met</b>	NOT MET NOT MET	NOT MET NOT MET	MET NOT MET	NOT MET NOT MET	NOT MET NOT MET	TBD

**Description of Results:**

Our FY 2013 performance data will not be available until June 2014. We will discuss our FY 2013 performance in next year's report. We did not meet the SSI O/P or U/P accuracy measures for FY 2012. More information about our SSI payment accuracy rates is located in Appendix B Program Evaluation.

**3.1d: Percent of OASDI payments free of Overpayment (O/P) and Underpayment (U/P) error (DCRDP)**

	FY 2008	FY 2009	FY 2010	FY 2011	FY 2012	FY 2013
<b>Performance</b>	99.7% (O/P) 99.9% (U/P)	99.6% (O/P) 99.9% (U/P)	99.6% (O/P) 99.8% (U/P)	99.7% (O/P) 99.9% (U/P)	99.8% (O/P) 99.9% (U/P)	Data Available June 2014
<b>Target</b>	99.8%(O/P) 99.8% (U/P)	99.8% (O/P) 99.8% (U/P)	99.8% (O/P) 99.8% (U/P)	99.8% (O/P) 99.8% (U/P)	99.8% (O/P) 99.8% (U/P)	99.8% (O/P) 99.8% (U/P)
<b>Target Met</b>	NOT MET MET	NOT MET MET	NOT MET MET	NOT MET MET	MET MET	TBD

**Description of Results:**

Our FY 2013 performance data will not be available until June 2014. We will discuss our FY 2013 performance in next year's report. We met both our O/P and U/P payment accuracy measures for FY 2012. More information about our OASDI payment accuracy rates is located in Appendix B Program Evaluation.

**3.2a: Expand and enhance our debt collection tools (DCBFQM)**

	FY 2008	FY 2009	FY 2010	FY 2011	FY 2012	FY 2013
<b>Performance</b>					Implemented Treasury Offset Program (TOP) for programmatic delinquent debt over 10 years old	Sent 250,000 OASDI and SSI External Collection Operation notices to debtors with debts 10 years or more delinquent
<b>Target</b>					Implement TOP for programmatic delinquent debt over 10 years old	Send 180,000 OASDI and SSI External Collection Operation notices to debtors with debts 10 years or more delinquent
<b>Target Met</b>					Met	Met

**Description of Results:**

Treasury's regulations require us to notify debtors before referring our delinquent debts for recovery via TOP. In FY 2013, we exceeded our target of sending 180,000 notices to debtors with debts 10 years or more delinquent. By notifying 250,000 debtors, we increased our referrals of delinquent debt for recovery via TOP.

### 3.3a: Reduce the percentage of paper Forms W-2 completed (DCO)

	FY 2008	FY 2009	FY 2010	FY 2011	FY 2012	FY 2013
<b>Performance</b>		16%	15%	14.4%	13%	12.44%
<b>Target</b>		17%	17%	15.5%	14%	13%
<b>Target Met</b>		Met	Met	Met	Met	Met

#### Description of Results:

We surpassed our FY 2013 goal for reducing the percentage of paper Forms W-2.

### 3.3b: Achieve the target percentage for correctly assigning original Social Security numbers (DCO)

	FY 2008	FY 2009	FY 2010	FY 2011	FY 2012	FY 2013
<b>Performance</b>	99.9%	99.9%	99.9%	99.9%	99.9%	Data available May 2014
<b>Target</b>	95%	95%	99%	99%	99%	99%
<b>Target Met</b>	Met	Met	Met	Met	Met	TBD

#### Description of Results:

In FY 2012, we correctly assigned 99.9 percent of Social Security numbers (SSN) exceeding our FY 2012 target of 99 percent. The most commonly cited error occurred when applicants received two different SSNs: six through our Enumeration-at-Entry process and one through the Social Security Number Application Process (SSNAP).

**4.1c: Conduct mandatory employee training on diffusing difficult encounters with the public (DCBFQM)**

	FY 2008	FY 2009	FY 2010	FY 2011	FY 2012	FY 2013
<b>Performance</b>					Identified existing training and developed internal website	Developed safety and security training curriculum and piloted training curriculum
<b>Target</b>					Develop the safety and security training curriculum	Complete development of the safety and security training curriculum and finalize training products
<b>Target Met</b>					Not met	Not Met

**Description of Results:**

The safety and security training curriculum was not completed due to additional time being required to ensure the highest quality of the training curriculum and identification of pilot sites.

**4.2a: Percentage of enterprise-wide systems availability (DCS)**

	FY 2008	FY 2009	FY 2010	FY 2011	FY 2012	FY 2013
<b>Performance</b>			99.84%	99.89%	99.9%	99.96%
<b>Target</b>					99.5%	99.5%
<b>Target Met</b>					Met	Met

**Description of Results:**

For FY 2013, our goal was to provide enterprise systems availability 99.5 percent of the time. These yearly service levels comprise 6 service channels representing 140 operational applications and 6 areas of processes, infrastructure architectures and services. Enterprise Systems Availability for FY 2013 was 99.96 percent, surpassing the 99.5 percent target by 0.456 percent. Exceeding the high performance levels resulted in a net savings/cost avoidance of over \$179 million dollars in FY 2013 in administrative and productivity costs.

**4.3a: Reduce energy intensity by 30 percent by 2015 (DCBFQM)**

	FY 2008	FY 2009	FY 2010	FY 2011	FY 2012	FY 2013
<b>Performance</b>			5.6%	1.8%	21.1%	20%
<b>Target</b>					7% reduction from FY 2003 (21%)	7% reduction from FY 2003 (24%)
<b>Target Met</b>					MET	NOT MET

**Description of Results:**

We did not meet the FY 2013 target due to poorer than expected performance on energy intensity, mainly due to the colder winter. In FY 2013, it was 23 percent colder than FY 2012. We also experienced mechanical issues as our boiler equipment was beyond its useful life. The boilers were completely refurbished to improve efficiency. We believe that once the Headquarters Energy Savings Performance Contract construction projects are complete in 2015 we will be closer to achieving the 30 percent reduction.

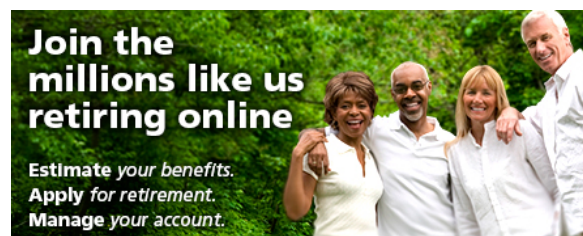
# AGENCY PLANS AND PERFORMANCE

The following is an overview of our performance plans for the next two years and how we plan to measure our accomplishments. Our performance plans are based on full funding of the FY 2015 President's Budget. We organized this section by our strategic goals, objectives, means, and strategies defined in our Agency Strategic Plan for Fiscal Years 2014-2018 <http://www.socialsecurity.gov/asp>. Key initiatives that support our goals, objectives, means and strategies are listed under each objective. Performance measures and targets for FY 2014 and 2015 define how we will evaluate our results. For performance measures with an FY 2013 target, we have included our FY 2013 performance results.

## Strategic Goal 1: Deliver Innovative, Quality Services

We have a long history of exemplary customer service marked by high customer satisfaction. Our high level of customer satisfaction is, in part, the result of our success in using technology to improve and expand the services we offer the American public.

We provide service to the public through multiple service channels: in-person, telephone, and online. In FY 2013, we assisted more than 43 million visitors, handled over 53 million transactions (e.g., changes of address, direct deposit) through our National 800 Number, registered 6.2 million users for *my Social Security*, and processed over 46 million online transactions.



Technology has not replaced our employees or the in-person service for those customers who, for a variety of reasons, require or prefer more personalized service. Our goal is to provide quality and timely services in a manner that offers the convenience of interacting with us from anywhere, while preserving telephone and field office service for situations requiring personalized assistance. Our challenge is to increase customer satisfaction by expanding self-service delivery options that provide a personalized experience.

## Strategic Objective 1.1: Develop and Increase the Use of Self-Service Options

In the past few decades, technology has revolutionized the business world. Advances in communication and IT have changed the face and the pace of our business processes and our ability to offer quality innovative service options. While we expanded the number of services and service delivery options we offer to the public, we continue to provide our customers with their preferred service delivery option, whether it is in person, by telephone, or online.

We will continue to look for ways to improve efficiency through service automation. Our strategies will streamline services and make them more relevant to customers. The public expects to complete more business online, and we will increase the number and types of self-service solutions, paperless processes, and electronic workflows, thereby improving overall efficiency.

We remain committed to meeting the public's needs by using technology. We will address the challenge of expanding easy-to-use online services as alternatives to in-person and telephone service. The public has responded positively to our current online options. In 2007, approximately 10 percent of applicants filed for retirement online. In the last quarter of FY 2013, over 50 percent of claims were filed online.

### Did You Know?

Our most popular new online service, *my Social Security*, gets more than 2 million visits per month.

## Strategies

- Expand personal services available under [my Social Security](#) to include high-volume workloads, such as SSN replacement cards;
- Move our online applications under a single customer account registration;
- Accelerate development of additional online products;
- Expand the availability of online applications using responsive design and the use of self-help personal computers available in our offices or community locations;
- Provide direct access to information and notices for individuals and designated third parties;
- Offer electronic delivery of notices and an option to opt out of paper notices; and
- Increase the public's use of self-service options by aggressively promoting and marketing our online applications and services.

## Key Initiatives

### Expanding Video Remote

#### Interpreting Services

In FY 2012, we began piloting Video Remote Interpreting (VRI) services for hearing-impaired visitors in 37 field offices. Based on the success of this pilot, we expanded VRI services to an additional 262 field offices in FY 2013. In FY 2014, we plan to expand VRI services to approximately 148 field offices that already have video equipment installed.

### Utilizing Self-Help Personal Computers to Develop and Promote Self-Service Options

Self-help personal computers (SHPC) enable field office managers to minimize visitor wait times. SHPCs allow customers to complete select services online using an in-office personal computer dedicated solely for use by the public. This initiative also educates the public on the various online services that we offer. We offer this service in 249 offices nationwide.

### Leveraging [my Social Security](#)

We implemented a new, more secure procedure to authenticate the identity of customers interested in conducting business with us online through an online service called [my Social Security](#)

([www.socialsecurity.gov/myaccount/](http://www.socialsecurity.gov/myaccount/)). Social Security beneficiaries and SSI recipients now can access their benefit verification letters, payment histories, and earnings records instantly. Social Security beneficiaries can also change their address and start or change direct deposit information online. Our [my Social Security](#), which includes the online Social Security Statement, consistently ranks as one of the top 10 in customer satisfaction for all Federal websites.

### Expanding Our Nationwide Marketing Campaign

We use public service announcements on television and radio, printed leaflets, billboards, bus posters, and displays in airport terminals to promote our online services. We also use social media to direct customers to our online service options. Locally, our offices find creative and cost-effective ways to inform the community about the advantages of using our online services.

We work with a broad network of national organizations, advocacy groups, and other stakeholders who represent the American public to promote our online services. Our audiences include individuals who are aged or disabled; claimants' representatives; financial planners; human resource managers; and our colleagues from other Federal agencies and State, local, and tribal governments. We also produce webinars and webcasts to promote online services and explain our programs and services.

People who visit [our website](#) ([www.socialsecurity.gov/](http://www.socialsecurity.gov/)) by smartphones can access a mobile-friendly version of our frequently asked questions and publications they can easily read or listen to in both English and Spanish.

In addition, visitors to the mobile site can learn how to create a personal [my Social Security account](#) ([www.socialsecurity.gov/myaccount/](http://www.socialsecurity.gov/myaccount/)) and connect with us on Facebook, Twitter, YouTube, and Pinterest.

In FY 2014 and FY 2015, we will explore additional online marketing, such as Facebook advertising, and

increase the use of social media as an outreach tool to promote new and updated online services.

### Enhancing iAppeals

We will further improve our online appeals application, iAppeals, by including more propagated fields to reduce the need for representatives to enter the same data multiple times. In FY 2015, representatives will have the option to scan additional forms and documents and submit them online.

#### **Did You Know?**

Social Security is on Facebook, Twitter, and more. Visit our [Social Media Hub \(www.socialsecurity.gov/socialmedia\)](http://www.socialsecurity.gov/socialmedia) to learn more.

### External Factors

The following external factors may affect our efforts to develop and increase the use of self-service options:

- Dramatic increase in mobile and broadband Internet access is driving public expectation for instantaneous service via multiple service delivery channels.
- Input from external entities (i.e., advocacy groups, professional groups, and State, local, and other Federal governmental agencies) can influence our decisions on self-service options.



## Performance Measures - Strategic Objective 1.1

### 1.1a: Improve access to our services by increasing the number of citizens who complete their business with us online (APG) (NEW)

Fiscal Year	2014	2015
Target	Increase the number of citizens completing business online by 10% over FY 2013	Increase the number of citizens completing business online by 10% over FY 2014

**Data definition:** eServices usage for *my Social Security* suite, Pre-Entitlement – Informational Services (excludes visits to Social Security Online, Frequently Asked Questions, and Field Office Locator), Entitlement – Claims & Appeals, and Post Entitlement. In FY 2013, we conducted 46.1 million online transactions. Our FY 2014 goal is to conduct 50.7 million transactions and 55.8 million transactions in FY 2015.

**Data source:** Social Security, Office of Electronic Services and Technology website: eServices Statistics ([http://eis.ba.ssa.gov/oesweb/mi\\_space/index.html](http://eis.ba.ssa.gov/oesweb/mi_space/index.html))

## **Strategic Objective 1.2: Enhance the Customer Experience by Completing Customers' Business at the First Point of Contact**

As we make changes to meet the needs of our customers at the first point of contact, we remain mindful that a one-size-fits-all approach may not meet all of our customers' needs.

To enhance our customers' experience, we will integrate our IT systems and provide electronic solutions that keep individuals in their preferred service mode. Our goal is to provide employee assistance or extra help via online chat, video, or other means to customers who access our online services, enabling them to continue in the online service delivery channel.

Improved call routing, video service delivery (VSD), and employee development contribute to ensuring we complete transactions efficiently, accurately, and at the first point of contact, thereby enhancing our customers' experience.

### **Strategies**

- Implement online support options, including click to talk, screen sharing, and instant messaging;
- Integrate our online applications, such as the streamlined online disability application; and
- Increase the use of video service.

### **Key Initiatives**

#### **Implementing Internet Social Security Number Replacement Card Application**

In FY 2013, we processed over 10 million replacement SSN card applications at field offices and in Social Security Card Centers across the country. This workload is a significant, highly sensitive, and sometimes complex one, often requiring in-person interviews.

In FY 2014, we will begin developing the Internet Social Security Number Replacement Card (iSSNRC), a secure, automated online tool that will allow the public to apply for a replacement SSN card over the

Internet without having to visit a field office to submit proof of identity. The iSSNRC will help reduce this workload for field offices and Social Security Card Centers, providing more time for our employees to process other workloads.

In FY 2014, we will begin developing iSSNRC.

#### **Providing Electronic Folder Access for Representatives**

Representatives transact business with us on behalf of applicants who file for disability benefits. We provide appointed representatives access to their clients' electronic disability folders at the hearing and Appeals Council levels. At the end of FY 2013, nearly 11,300 appointed representatives were enrolled our program that allows them access to their clients' electronic disability folders, accounting for 87 percent of all hearing requests pending with appointed representatives.

#### **Establishing the Social Security Administration Electronic Remittance System**

We will enter into an agreement with the Department of the Treasury's (Treasury) Bureau of the Fiscal Service to establish a partnership to process credit card, debit card, and check transactions. We will then procure and implement commercial off-the-shelf software to provide an Intranet application that supports field office personnel in collecting fees from customers for services provided. We plan a phased rollout of the Social Security Electronic Remittance System to begin in FY 2014. We will collect fees from first or third party, walk-in customers for services associated with pre-approved standard fees, such as copying electronic or paper folders. We may consider collecting programmatic debt through this remittance system in a later phase of the project.

#### **Increase Video Hearings**

Video hearings play a critical role in our disability adjudication process. Since FY 2009, we have held almost 670,000 hearings by video. Video provides claimants the option of participating in a hearing more conveniently located to where they live. Video

hearings are held in hearing offices, permanent remote sites, stand-alone claimant-only sites, claimant-only sites inside field offices, rules National Hearing Centers, and through select representatives participating in the Representative Video Project. Video hearings provide workload allocation flexibility by electronic transfer of cases to offices with lower case receipts, and contribute to the reduction of pending hearings, as well as a reduction in claimant, representative and ALJ travel expenses. In FY 2014 and FY 2015, we will focus on updating systems and infrastructure to improve the quality of video hearings. We will also increase marketing and educational information about the benefits of video hearings, and pursue policy and business process changes to maximize efficiency.

### Expanding Video Service Delivery

Some people who live in rural locations or places without public transportation have difficulty visiting a field office. VSD enables us to provide services to our customers at convenient third-party sites, such as hospitals, libraries, community centers, American Indian tribal centers, and homeless shelters.

In 2013, we provided 20 VSD units for DDSs, allowing them to conduct video disability hearings and video consultative exams. Additionally, we are installing 15 VSD units in video partner locations to assist veterans in Wounded Warrior sites and reduce our travel expenses. In FY 2014, we will expand the list of individuals who can use our VSD process to include all U.S. citizens with primary proof of identity applying for themselves and parents applying on behalf of a child if the parent's name appears on the child's SSN record.

### Highlighting Section 504

Section 504 of the *Rehabilitation Act of 1973* requires Federal agencies to provide individuals with disabilities meaningful access to programs and services. We will ensure meaningful access by:

- Developing policy guidance;

- Developing an automated system for receiving and processing accommodation requests;
- Implementing a broad communication strategy; and
- Providing training for our employees.

Once implemented, individuals with disabilities will be able to efficiently request accommodations that allow them meaningful access to our programs and services.

### Providing Real-Time Assistance to Online Users

We are exploring the use of web-support technologies to improve our level of customer service to online users. In FY 2012, we concluded the Network Online Web support pilot as a precursor to the Click-to-Communicate (C2C) initiative. The NOW pilot helped us develop a strategy for incorporating web support technologies into our business process. As part of the C2C initiative, we are considering using three web support technologies: Click-to-Talk, Screen Sharing, and Instant Messaging.

In FY 2013, we implemented a help desk to provide near real-time telephone support for users of *my Social Security* web services. Users can receive support by calling the National 800 Number or using a web-based form to request a callback from a help desk agent. We will begin planning for additional C2C initiatives in FY 2014.

### External Factors

The following external factors may affect our efforts to enhance the customer experience by completing customer's business at the first point of contact:

- The effectiveness of VSD expansion relies on our customers' acceptance of its use.
- Electronic folder access for representatives relies on external parties to use these enhancements.

## Performance Measure - Strategic Objective 1.2

### 1.2a: Deliver a world-class customer experience by expanding the use of video technology to hold hearings (APG) (NEW)

Fiscal Year	2014	2015
Target	28% of hearings conducted by video	30% of hearings conducted by video

**Data definition:**

The percentage of total hearings held during the fiscal year that were video hearings. The percentage is derived by dividing the total number of video hearings held during the fiscal year by the total number of hearings held during the fiscal year.

**Data source:**

Case Processing Management System

### 1.2b: Expand the services available under *my Social Security* by implementing an online Social Security Number Replacement Card application (NEW)

Fiscal Year	2014	2015
Target	Complete planning and analysis for implementing an online Social Security Number Replacement Card application	Implement the online Social Security Number Replacement Card application

**Data definition:**

FY 2014: Completion of the Planning & Analysis portion of the project, as defined by the Software Development Lifecycle on the Project Resource Guide website

([http://pride.ssa.gov/Planning\\_and\\_Analysis/default.cfm](http://pride.ssa.gov/Planning_and_Analysis/default.cfm)).

FY 2015: Implementation and successful usage of the application as measured by usage management information reports (not yet developed).

**Data source:**

FY 2014: Completed Project Scope Agreement and System Development Plan

FY 2015: Number of successful s submittals as reported by management information reports

**1.2c: Maintain customer satisfaction with our online services (NEW)**

Fiscal Year	2014	2015
Target	Maintain an average customer satisfaction score of at least 80	Maintain an average customer satisfaction score of at least 80

**Data definition:** Average American Customer Satisfaction Index (ACSI) score for the Social Security Administrations (SSA) eServices. Note that ACSI reports their data quarterly, based upon the calendar year. For this measure, to be consistent with the fiscal year, we will deviate from the ACSI time periods and use the fiscal year quarters. As a result, there may be some deviation from ACSI-published documents and the measure reported here.

**Data source:** Table entitled "SSA Average Satisfaction Score"  
[http://eis.ba.ssa.gov/oesweb/web\\_analytics/ACSI/index.html](http://eis.ba.ssa.gov/oesweb/web_analytics/ACSI/index.html)

**1.2d: Provide the public with access to personalized information by increasing the number of established my Social Security accounts (APG) (NEW)**

Fiscal Year	2014	2015
Target	Increase the number of customers who sign up for my Social Security by 15% over FY 2013	Increase the number of customers who sign up for my Social Security by 15% over FY 2014

**Data definition:**

The percentage increase in the number of established my Social Security accounts created in the current and prior fiscal years. In FY 2013, we added 6.32 million my Social Security accounts. Our FY 2014 goal is to add 7.27 million accounts and 8.36 million accounts in FY 2015.

**Data source:**

Office of Electronic Services and Technology, Division of Authentication

### Strategic Objective 1.3: Partner with Other Agencies and Organizations to Improve Customers' Experience and Align with the Administration's One-Government Approach

We recognize that many people seeking benefits from our agency also interact with other government agencies. We are committed to reducing the burden people face when dealing with multiple agencies to get the services they need. Agencies with similar programs can learn from each other, share data, and develop processes and procedures that are less cumbersome and more citizen centric. By partnering with other government agencies, community-based organizations, tribal governments, and the private sector, we can improve the customers' experience despite diminishing resources. The relationships we develop will allow us to provide expanded and innovative access options to our services.

#### Strategies

- Implement SSA Express to provide service using self-service kiosks in community locations;
- Provide Social Security services through other government agencies, community-based organizations, tribal governments, and private organizations that serve our customers;
- Increase collaboration with the Departments of Defense (DoD) and VA to improve processes for veterans and service members; and
- Improve information sharing among other government agencies for records, data, and other information.

#### Key Initiatives

##### Expand Our Partnerships with External Organizations

The public can conduct business with us while at various commercial centers and community locations using SSA Express. SSA Express encompasses three self-service options that allow the public to complete business with us remotely

from external partner locations (local, State, or Federal government agencies like VA or the U.S. Department of Housing and Urban Development). The three self-service options are:

- An SSA Express icon installed on partner computers
- A quick service kiosk offering limited online services
- A full-service kiosk offering the full suite of online services, including chat and video capabilities

In FY 2013, 25 partner sites agreed to download the SSA Express icon to the desktops of their self-help computers, and 4 partner sites have agreed to use SSA-provided, self-help computers. In FY 2014, we plan to pilot a small number of kiosks in partner locations that will give the public access to our online services.

##### Expanding the Virtual Lifetime Electronic Record

In April 2009, DoD and VA launched the [Virtual Lifetime Electronic Record \(VLER\)](http://www.prim.osd.mil/init/vler.html) initiative to create a unified lifetime electronic health record for members of our Armed Services. We are working closely with both agencies to ensure we address veterans' needs for benefits and services as seamlessly as possible, including integrated medical examinations and fully automated access to medical records.

In FY 2014 and FY 2015, we plan to enhance the clinical content available for health IT exchange and continue to evaluate the integration of our eAuthorization initiative into the health IT solution. (eAuthorization allows for electronic signature on our Authorization to Disclose Information, Form SSA-827, and is further described under Strategic Objective 3.2.)

##### Expanding Enumeration at Birth - U.S. Territories

Using information from hospital birth records, we can assign SSNs to newborns. Because the information is obtained directly from State's Bureaus of Vital Statistics, errors and the possibility of fraud

are minimized. In FY 2014, we will expand the Enumeration at Birth (EAB) process to include children born in all the U.S. territories, including: Guam, the Commonwealth of Northern Mariana Islands, the U.S. Virgin Islands, and American Samoa.

### **External Factors**

The following external factors may affect our efforts to partner with other agencies and organizations to improve customer's experience and align with the administration's one-government approach:

- The economy and the number of veterans filing for disability benefits affect VLER. If a veteran has difficulty finding employment, he or she is more likely to file for disability benefits. An increase in disability claims can result in an increased backlog and longer processing times.
- DoD and VA have their own mission-critical work, priorities, and resource limitations, which affect implementation decisions related to VLER.
- Lack of buy-in from potential partners affects this objective.
- Other entities have competing priorities and resource limitations that may impede partnership efforts.
- An FY14 implementation of EAB for the territories is dependent upon the completion of appropriate legal and security agreements with each territory. The Agency cannot implement until the proper agreements are in place.

**Performance Measure - Strategic Objective 1.3**

**1.3a: Minimize the average response time to deliver medical evidence to the VA for wounded warriors and veterans (NEW)**

Fiscal Year	2014	2015
<b>Target</b>	Deliver medical evidence to the VA within an average of 5 days	Deliver medical evidence to the VA within an average of 4 days

**Data definition:** We currently track requests received from the VA for medical evidence. We also track how long it takes us to respond to the request.

**Data source:** Office of Systems

**1.3b: Partner with HHS and VA to better serve the homeless population (NEW)**

Fiscal Year	2014	2015
<b>Target</b>	Partner with HHS and VA to draft a Federal best-practices model for facilitating access to SSI and Social Security Disability Insurance benefits	Work with the United States Interagency Council on Homelessness to determine appropriate next steps in sharing the best-practice model with other Federal agencies.

**Data Definition:** Completion of targeted milestones for FY 2014 and FY 2015.

**Data Source:** Office of Research and Disability Policy



### **Strategic Objective 1.4: Evaluate Our Physical Footprint to Incorporate Improved Service Options**

Our facility maintenance costs continue to increase despite staff losses. We are concerned about the high upfront costs for facilities and associated services (e.g., rent, utilities, security guard services, etc.), especially as more cost-effective and reliable alternatives to in-person service exist. Our success in providing service delivery options to the American public and the public's increased use of our options positions us to reassess our traditional physical infrastructure needs. As technology drives the realignment of our physical footprint, it will be unnecessary to maintain large brick-and-mortar infrastructures to address the needs of the public. However, when in-person contact is required, our services will be accessible.

#### **Strategies**

- Design space, maintain offices, and reassess the structure of internal facilities to optimize cost and maximize opportunities for improved service delivery; and
- Explore solutions that optimize the operational efficiencies of offices, including collocations

#### **Key Initiatives**

##### **Consolidating Field and Hearing Offices**

In FY 2013, we developed a business plan for consolidating field and hearing offices, as well as other permanent remote sites we use to conduct hearings. Consolidated offices can share reception areas, guard services, training rooms, and common areas. As of April 2013, we have five consolidated offices. We will also explore the feasibility of non-conventional approaches to consolidation, such as locating our offices with other Federal, State, and local government facilities.

##### **Developing the Field Office Design Guide**

We are developing the Field Office Design Guide (FODG) to set national standards for field office design. These standards will help ensure a secure, private, and efficient environment for our employees and the public. We are currently testing various aspects of FODG, such as interview windows. In FY 2014, we will begin implementing the FODG.

#### **External Factors**

The following external factors may affect our efforts:

- Increasing costs for rent and contract security guard services may affect savings realized.
- Space availability and labor relations issues also affect this objective.

## Performance Measure - Strategic Objective 1.4

**1.4a: In light of substantial staff losses and availability of many self-service options, we will reassess our physical footprint to identify opportunities for improved service delivery (NEW)**

Fiscal Year	2014	2015
Target	Evaluate potential opportunities for co-locating and consolidating our public service facilities within and outside of SSA	TBD

**Data definition:** Completing the targeted milestones.

**Data source:** Offices of Budget, Finance, Quality and Management and Operations

## Strategic Goal 2: Strengthen the Integrity of Our Programs

We pay \$75 billion in benefits each month across all of our programs. Our most important responsibility is to pay the right person, the right amount, at the right time. We take this responsibility very seriously and strive to be as accurate as possible in administering our programs.

We have a high accuracy rate in paying benefits in our retirement and survivors programs. In recent years, our accuracy rate has been over 99 percent.

Our disability insurance program provides benefits to people who cannot work because they have a medical condition expected to last at least one year or result in death, and is challenging due to the complexity of the laws and possible changes in medical conditions.

Our SSI program is a means-tested program, which provides cash assistance to aged, blind, and disabled people with limited income and resources. Changes in recipients' living arrangements or income can affect their eligibility for payment or the amount of payment. We rely on recipients to self-report this information, which is a significant reason for the inconsistencies in our SSI payment accuracy rate. Delayed reports of income or resource changes could result in improper payments.

We will make investments to enhance partnerships with our beneficiaries, while expanding opportunities to share information with other Federal and State Government agencies, which should result in receiving some payment-affecting information faster. We will also use the latest technology to mitigate identity theft and improve debt collection efforts.

Finally, we are using experts in evaluation methods to review implementation plans for each improper payment initiative. Our goal is to ensure that our initiatives produce clear and measurable outcomes that lead to actionable efforts to reduce improper payments and reclaim associated funds.

## Strategic Objective 2.1: Transform the Way We Record Earnings to Enhance Data Accuracy

We base Social Security benefit amounts on a worker's lifetime earnings. We devote a significant amount of resources to ensure earnings records are accurate because the calculation of benefits is critical.

In FY 2013, we posted more than 251 million earnings items to individuals' records. Maintaining accurate Social Security records requires that we provide workers, employers, and government agencies the tools they need to accurately report wages to us.

Although employers electronically filed over 87 percent of Forms W-2 in calendar year 2013, we received nearly 29 million items on paper Forms W-2. We continue to work toward eliminating paper wage reports while migrating to a fully electronic earnings record process. We encourage electronic wage reporting because it is more accurate.

A multi-year Earnings Redesign initiative is underway to further modernize our earnings reporting system to make our earnings process more efficient and accurate. In addition, we are working with the Internal Revenue Service (IRS) to enhance earnings data exchanges for improved wage reporting.

We will increase efforts to encourage the public to verify their earnings information, broaden our communication efforts across the public and private sectors to promote shared reporting responsibilities, and enhance online service options to facilitate more accurate and timely reporting.

### Strategies

- Modernize our earnings system;
- Encourage electronic wage reporting; and
- Encourage the public to review their Social Security Statement for earnings accuracy.

## Key Initiatives

### Continuing the Earnings Redesign Initiative

We are redesigning our systems to make our earnings process more efficient and accurate.

In addition, we are working with the IRS to enhance the earnings data exchanges for improved wage reporting.

In FY 2013, we implemented the release of the AWR Redesign project, continuing our multi-year effort to:

- Improve our detection and prevention of potential wage reporting fraud;
- Replace outdated technology and business processes; and
- Automate our earnings reconciliation process.

In FY 2014, we will:

- Continue to improve our error-detection capabilities;
- Retire obsolete system functionality;
- Streamline automated business processes;
- Continue to retire outdated business processes; and
- Increase automation of our earnings reconciliation process.

### Increasing Electronic Wage Report Filing

Annually, we receive nearly 29 million paper forms, W-2 from over 3.2 million paper wage reports from employers. Paper wage reports are more error prone, labor intensive, and expensive to process.

In FY 2013, we added functionality to our online Forms W-2 and implemented user-friendly enhancements to make it easier for small businesses to use our Electronic Wage Reporting (EWR) suite of services. We also added an option to our W-2 Online service to make it easier for prior-year customers to complete their current-year submission.

We will continue to encourage employers and third-party submitters to use EWR through promotional materials, articles in trade publications, and direct contact. We market EWR services online and at conferences and meetings attended by the wage reporting community.

### Strengthening the Social Security Number Application Process

Enumeration is our process of assigning SSNs and issuing Social Security cards. Each year we receive approximately 17 million applications for original and replacement Social Security cards. Our employees use SSNAP, a web-based enumeration system to record information and evidence submitted with an individual's application for an SSN. SSNAP is available in all field offices (including Social Security Card Centers), teleservice centers, and Foreign Service posts. SSNAP also enables employees to correct the public's Social Security records.

As resources permit, we will continue to develop and implement the following enhancements to help us enforce enumeration policy:

- Put in place alerts to field office personnel of potential problems with the applicant's immigration status;
- Improve documentation of identity; and
- Enhance enforcement of proof of identity policy.

### Expanding Use of Social Security Number Verification Services

We can accurately post employee wages only when employers report wages under the correct SSN. Social Security Number Verification Services (SSNVS) allow registered users (e.g., employers) to verify the employee's SSN. We will continue to market SSNVS to the business community online, at conferences, and at meetings.

### Accessing the Social Security Statement

The Social Security Statement is a concise, easy-to-read personal record of workers' earnings, the amount of Social Security taxes they paid and a summary of the estimated benefits they and their families may receive. In recent years, we mailed annual Social Security Statements to more than 150 million people; however, we suspended mailing paper Social Security Statements due to budget constraints. We now offer the public the option of obtaining the information online. During the third quarter of 2013, we again began making mailed

Statements available to people who are not able to successfully register online for a [my Social Security](#) account.

Both the mailed and online versions of the Social Security Statement include links to web information and services to help people plan for retirement.

### **External Factors**

The following external factors may affect our efforts to transform the way we record earnings to enhance data accuracy:

- Fluctuating job markets affect the number of wage reports received for any given tax year.
- New and modified tax laws implemented late in the year affect employers' ability to quickly react and update any software used to timely report wages on Forms W-2.

- Available resources for marketing of SSNVS could affect the continued growth and use of these services.
- The initiatives that support this strategic objective may be affected should immigration reform legislation be enacted into law.
- Increased marketing of Business Services Online (BSO)/EWR will foster use of electronic wage reporting. Without directed marketing efforts, small businesses who currently submit on paper may not be aware of the services offered by BSO/EWR.

#### **Did You Know?**

In FY 2013 we processed over 251 million earnings items from over 6.3 million employers.

## Performance Measures - Strategic Objective 2.1

### 2.1a: Redesign our earnings system to improve the accuracy and timeliness of the earnings data used to calculate benefits (NEW)

Fiscal Year	2014	2015
Target	Complete construction of at least 50% of the redesigned functionality to process Forms W-2 within the AWR system	Implement the redesigned functionality to process Forms W-2 within the AWR system

**Data definition:** Construction of the redesigned Annual Wage Reporting (AWR) functionality is defined as the development of the software to meet the high-level requirements for processing Forms W-2. To meet the FY 2014 goal, we must develop software to meet 50 percent of the base-lined, high-level requirements. In FY 2015, we will apply the redesigned AWR software to process forms W-2.

**Data source:** The data source is the aggregate of the base-lined, high-level requirements for the redesigned Form W-2 processing within the AWR system. The software release certification process will document the software implementation.

## Strategic Objective 2.2: Protect the Public's Data and Provide Secure Online Services

Our customers increasingly embrace online services, which save time and are critical to our ability to keep up with the increased number of claims we receive.

We are committed to maintaining the confidentiality and integrity of information in our records. We take the public's trust seriously and take great pride in securing the sensitive data and personal information we maintain to administer our programs. In response to the growing problems posed by identity theft, we will continue to develop ways to enhance protection of our beneficiaries' records.

### Strategies

- Ensure strong authentication technologies and appropriate access to information and services;
- Ensure online services have appropriate security features; and
- Partner with other Federal agencies to aggressively combat identity theft to prevent unauthorized transactions.

### Key Initiatives

#### Implementing Data Loss Prevention Technology

Protecting the personal information the public entrusts to us is integral to our mission. We implemented a Data Loss Prevention (DLP) security tool to help identify, monitor, and protect our sensitive data from unauthorized use or transmission. The DLP alerts us when it detects that personally identifiable information (PII) is leaving the agency's network boundary. We investigate these alerts to determine if our data was disclosed for non-program purposes. Future enhancements of the tool will increase our ability to prevent data from leaving our network.

#### Deploying Management System for Personally Identifiable Information and Federal Tax Information

We developed the Enterprise Test Data Management System (ETDMS) to manage and purge PII and Federal tax information in our test and training systems. We ensure these systems are well controlled and decrease any risk of exposing sensitive public data.

In FY 2013, we released ETDMS and the basic infrastructure for purging specific SSNs, Employer Identification Number, telephone number, email, and bank account data. In FY 2014 and FY 2015, we plan to:

- Sanitize additional data (such as name and address); and
- Extend ETDMS to manage, control, and sanitize new incoming test and training data in environments such as Integration, Training, and Development.

Once fully implemented, ETDMS will enhance management, control, and safeguarding of sensitive public data, including test data.

#### Producing a Public Facing Integrity Review

As we add more online services, we will remain alert to fraudulent and malicious acts against our systems. Our PFIR system identifies unusual and potentially fraudulent activity in our Internet applications.

In FY 2014, we will enhance the system with additional functionality and new scenarios to detect fraud. In FY 2015, we will continue to enhance PFIR and we will implement a robust architecture that will alert us sooner to fraud attempts

### External Factors

The following external factor may affect our efforts to protect the public's data and provide secure online services:

- Unanticipated workload increases could affect planned activities.

**Performance Measure - Strategic Objective 2.2**

**2.2a: Implement a fraud and integrity unit to protect the public's data (NEW)**

Fiscal Year	2014	2015
<b>Target</b>	Establish the <i>my Social Security</i> Fraud Analysis and Coordination Team	Expand the Fraud Analysis and Coordination Team

**Data definition:** Completing the targeted milestones.

**Data source:** Office of Operations

**2.2b: Enhance our security features and business processes to prevent and detect fraud (NEW)**

Fiscal Year	2014	2015
<b>Target</b>	Expand the PFIR system to more rapidly detect a greater variety of fraudulent Internet transactions	Continue to expand the PFIR system to more rapidly detect a greater variety of fraudulent Internet transactions

**Data definition:** Expand functionality by planning, developing, and implementing new or additional reviews for fraud in existing web facing applications and new online services, as they are made available to the public.

**Data source:** Public Facing Integrity Review system



## **Strategic Objective 2.3: Increase Payment**

### **Accuracy**

The American public expects us to be outstanding stewards of general revenues and the Social Security Trust Funds, and we are committed to protecting our programs from waste, fraud, and abuse.

Our most important program integrity tools are CDRs, which are periodic re-evaluations to determine if beneficiaries are still disabled, and SSI redeterminations, which are periodic reviews of non-medical factors of SSI eligibility, such as income and resources. Recent estimates for the FY 2015 President's Budget indicate that CDRs yield on average about \$9 in net program savings for each dollar spent, including Medicare and Medicaid effects, and redeterminations yield on average over \$4 in savings for each dollar spent, including Medicaid effects.

We will continue to perform CDRs and SSI redeterminations, and despite our rising additional workloads, enhance our program integrity efforts in other areas to improve payment accuracy for our programs. We will:

- Make better use of data exchanges between government agencies and payroll providers to receive more accurate earnings information;
- Simplify our work incentive policies and procedures;
- Continue to partner with financial institutions to expand on the success of our Access to Financial Institutions (AFI) initiative to identify financial resources that often go unreported;
- Implement new guidance and expand existing programs to recover more debt; and
- Pilot new computer technologies and data searches to help analyze agency data in new ways to identify and correct the most error-prone aspects of our programs.

Representative payees (i.e., persons who receive payments on behalf of recipients who cannot manage their own benefits) play a significant role in the lives of many beneficiaries. We will explore ways to better identify, screen, and appoint representative payees. We will continue to take

steps to improve the program to monitor representative payees and prevent the misuse of benefits. We will also look for ways to enhance coordination with other Federal agencies and entities that serve similar populations.

### **Strategies**

- Collaborate with other Federal agencies, such as the Department of Veterans Affairs and Centers for Medicare and Medicaid Services, to find innovative ways to prevent and reduce improper payments;
- Increase efforts to recover overpayments;
- Enhance predictive models and automation tools to help identify error-prone aspects of benefit eligibility;
- Expand use of data analytics to reduce fraud and payment errors; and
- Streamline the Representative Payee program to better identify potential misuse of benefits.

### **Key Initiatives**

#### **Promoting Use of the SSI Telephone Wage Reporting System and SSI Mobile Wage Reporting**

Unreported and untimely reported wages continue to be a major source of payment error in the SSI program. To facilitate timely reporting, we implemented the SSI Telephone Wage Reporting (SSITWR) system. Recipients, their spouses and parents, and their representative payees can call a dedicated telephone number to report monthly wages directly into the SSI system via a combination of touch-tone entry and voice-recognition software.

SSITWR is more efficient because it reduces unnecessary visits to the field office, diminishes the opportunity for manual keying errors, and allows us to process wage reports automatically.

As part of our ongoing efforts to promote monthly wage reporting, we are conducting a Representative Payee Outreach Pilot. We mailed notices to a group of representative payees for working SSI recipients asking them to use SSITWR to report wages. Based on the successful results of the pilot, in FY 2013 we

expanded the mailing to a larger group of representative payees for working SSI recipients.

In FY 2013, as part of our online services initiatives, we began piloting the SSI Mobile Wage Reporting (SSIMWR) program, which allows mobile wage reporting on both Android and Apple smartphones. Participants can download and use the free SSIMWR application to report wages. We also posted a webcast to promote the use of SSITWR and SSIMWR.

In FY 2014, we began allowing individuals to report at any time during the month rather than just the first six days of the month.

### Conducting Continuing Disability Reviews

To ensure we pay disability benefits to only those who continue to meet our medical requirements, we conduct CDRs periodically for both Social Security beneficiaries and SSI recipients to determine if their disabling condition has improved and if they are still eligible for benefits. We use statistical modeling to identify a beneficiary's probability of medical improvement and to help us determine which cases to target for CDRs.

Although most CDRs do not result in a cessation of benefits, our CDR process is cost effective. In FY 2014 and FY 2015, we plan to complete 510,000 and 888,000 CDRs respectively.

### Conducting Supplemental Security Income Redeterminations

Changes in recipients' living arrangements or the amount of their income and resources can affect their eligibility for SSI and the amount of their payments. To ensure the accuracy of SSI payments, we conduct redeterminations. In FY 2014 and FY 2015, we plan to conduct 2,622,000 redeterminations each year.

### Using Predictive Modeling in Continuing Disability Review Enforcement Operation

The Continuing Disability Review Enforcement Operation (CDREO) identifies Social Security disability beneficiaries who potentially have substantial earnings after disability onset. We developed and piloted a PM to effectively

identify Social Security disability beneficiaries at risk of incurring overpayments due to high earnings. In FY 2013, we implemented the PM nationwide, based on pilot findings that suggest a 55 percent increase in the proportion of cessations that occur within the first 90 days of using the PM score procedure.

In FY 2013, we completed about 252,900 work CDRs. In FY 2014 and FY 2015, we will evaluate the PM and the outcomes of the processing the work CDRs using the PM scores. Based on the outcomes of the evaluation we will identify and recommend potential model enhancements and processes for minimizing delays and unpredictability to allow the PM to learn and continue to grow.

### Using Predictive Modeling in the Redetermination Process

We do not have the resources to conduct an annual redetermination of every SSI recipient, so we use a statistical scoring model to identify and prioritize for redetermination cases having a high likelihood of error. The statistical model uses various income, resource, and living arrangement variables to predict likely SSI overpayments. We also use third-party data to enhance the effectiveness of our PM.

In FY 2013, the cases we completed resulted in the prevention and recovery of \$3.4 billion in total lifetime SSI overpayments. If we had relied on random case selection rather than using a PM, we project that, we would have prevented and recovered only \$2.1 billion in total lifetime savings for the same period.

We continue to improve our predictive statistical modeling and data mining techniques to determine the potential value of such data in our SSI redetermination modeling and selection process. We will focus these advanced analytical techniques on ways to enhance our current redetermination selection model and potentially the redetermination process.

## Expanding the Access to Financial Institutions Initiative

AFI is an electronic process that verifies bank account balances with financial institutions for purposes of determining SSI eligibility. In addition to verifying alleged accounts, AFI detects undisclosed accounts by using a geographic search to generate requests to other financial institutions. AFI's purpose is to identify excess resources in financial accounts, which are a leading cause of SSI payment errors. We currently use the AFI system in all 50 States, the District of Columbia, and the Commonwealth of the Northern Mariana Islands.

Along with preventing overpayments, AFI will help us to eliminate ineligible applicants at the beginning of the application process, reducing the workload in the State Disability Determination Services. Full implementation is defined as using AFI on every potential SSI claim and redetermination and assumes using no tolerance levels, increasing the number of bank searches, and fully integrating the process with our systems. In FY 2013, we lowered the tolerance levels and increased bank searches. We expect the account verifications we will complete in FY 2014 will be cost effective.

## Expanding Our Cooperative Disability Investigation Program

We will work collaboratively with the Office of Inspector General (OIG), the DDSs, and State and local law enforcement agencies through our Cooperative Disability Investigation (CDI) units to resolve allegations of fraud in our disability programs. CDI units help prevent payments to people who are not disabled and reduce improper payments to beneficiaries who have failed to report medical improvement or work activity. In FY 2013, CDI investigations led to the denial or termination of over 4,100 claims, saving approximately \$340 million in our Social Security and SSI disability programs, and approximately \$246 million in non-SSA programs, such as Medicare and Medicaid.

In FY 2013, we opened a CDI Unit in Puerto Rico. In FY 2014 and FY 2015, we will add additional units and expand existing units as funding permits.

## Continuing the Potential Entitlements Initiative

The law requires that we base a person's benefit amount on a number of factors including age, earnings history, and the type of benefit awarded. Inaccurate information or administrative mistakes can cause errors in calculating benefits.

The potential entitlements initiative is actively addressing improper underpayments and overpayments. In the OASDI program, we are correcting payments to young mothers who did not properly convert to widow's benefits when they attained full retirement age. For the SSI program, we are referring some veterans receiving SSI to the VA when we determine they may be entitled to veteran's benefits.

## Expanding the Use of Electronic Death Data Exchange with Foreign Governments

We use an electronic death data exchange with foreign governments to ensure we do not pay benefits to deceased people who resided outside of the United States. In FY 2013, we transitioned five existing data exchanges to a new methodology and pursued new data exchanges with Canada, Poland, Switzerland, and other partner countries.

In FY 2013, we also identified France and Spain as the next candidate countries, based on the number of beneficiaries and expected results. We hope to engage new partner countries in the future, including the Slovak Republic.

## Using Electronic Data Exchanges

We have over 3,700 data exchanges with a wide range of Federal, State, and local entities that provide us with information we need to adjust the amount of benefits we pay, which includes about 2,300 exchanges with prisons that allow us to quickly and effectively suspend benefits.

One exchange is the Electronic Death Registration (EDR). EDR is a web-based, data exchange application designed to allow a State's Bureau of Vital Statistics to verify decedents' SSNs using the Internet prior to submitting reports of death. EDR results in more timely and accurate State death reports. We continue to work closely with States to

enroll them in the EDR process. As of FY 2013, 34 States, the City of New York, and the District of Columbia participate in EDR, and we anticipate several new EDR States in FY 2014.

### Improving the Death Reporting System Process

We are enhancing and streamlining our death reporting system to ensure we comply with policy, reduce improper payments, reduce improper release of PII, and improve consistency of data in our records.

In FY 2014, we will provide a new user interface for death reporting and collect new, comprehensive management information. Ultimately, our goal is to have one source for death data.

### Implementing Data Exchange and Verification Online

We have a mission-critical need to meet the demands of the verification and data exchange workloads to ensure timely sharing of accurate data with customers such as Federal, State, local, and foreign government agencies, as well as court systems, the medical community, and employers.

In FY 2013, we implemented the Data Exchange and Verification Online (DEVO) application. DEVO will modernize our existing data exchange and verification systems into a new centralized application, replacing the many disparate verification and data exchange programs. In the future, resources permitting, we will process batch and online verifications and data exchanges under the new DEVO environment. The benefits of the new application software environment include:

- Centralized application for processing all SSN verification and data exchange requests;
- Efficient processing and data generation for an increased volume of SSN verifications and data exchange requests;
- Quick and accurate response to customized requests and legislative mandates;
- Enhanced stability and portability;
- Reduced maintenance activity;
- Enhanced management information capabilities;

- Leveraged new technology that maintains existing customer requirements; and
- Flexible, modern, and reusable software to effectively support our current workloads.

### Implementing Direct Deposit Auto-Enrollment Fraud Prevention

In an effort to prevent the unauthorized redirection of payment, we created the direct deposit auto-enrollment fraud prevention service that blocks direct deposit changes initiated by financial Institutions at the request of beneficiaries. This service allows beneficiaries who have been a victim of fraud or who think they may become victims in the future to prevent changes to their payment information. In FY 2014 and FY 2015, to mitigate fraud, we will begin sending notice of changes to beneficiaries' old and new addresses anytime we receive simultaneous requests to change direct deposit and contact information.

### Implementing New Tools for Debt Collection

We have statutory authority to offset eligible State payments due to debtors as a way to collect delinquent debts. In 2009, Treasury published regulations authorizing the State Reciprocal Program. The State Reciprocal Program allows States to enter into reciprocal agreements with Treasury to collect unpaid State debt by offset of Federal non-tax payments and the Federal Government to collect delinquent Federal non-tax debt by offset of State payments.

In FY 2011, we published regulatory changes authorizing us to collect our delinquent debts by offsetting eligible State payments via the Treasury Offset Program (TOP). To offset the payment, the issuing State will have entered into a reciprocal agreement with Treasury. In FY 2013, we implemented the necessary systems enhancements to begin notifying our delinquent debtors and accepting State payment offsets. In FY 2014, we will begin notifying debtors of our ability to offset eligible State payments to collect their delinquent debt, and we will have notified all debtors in FY 2015.

## Maximizing Use of Proven Debt Collection Techniques

Although we strive to pay benefits accurately and timely, the complexity of our programs and dependence on beneficiaries to report changes can lead to improper payments. When overpayments occur we use debt collection techniques (i.e. payment withholding, TOP, Credit Bureau Reporting, Cross Program Recover) to recover overpayments. In FY 2013, we recovered \$3.46 billion in Social Security and SSI overpayments, which was an improvement of \$0.20 billion from FY 2012.

Referral of delinquent debts to TOP is an effective recovery method for individuals who are no longer entitled to our program benefits. From our initial implementation in FY 1992 through FY 2013, we recovered approximately \$2.35 billion dollars through TOP. We also report delinquent debts to credit bureaus and use administrative wage garnishment, which allows us to garnish a debtor's private-sector wages.

## Implementing Automatic Earnings Reappraisal Operation Delay Pilot

We are piloting a new process designed to delay the benefit increase resulting from a recomputation (known as Automatic Earnings Reappraisal Operation or AERO) for a disability beneficiary who has a pending work CDR. Processing the AERO increase before the completion of the work CDR could result in a higher payment that we could later determine to be an overpayment, thereby increasing improper payments.

In FY 2013, we began testing a new method to identify and delay the processing of certain AERO increase cases to allow six additional months to complete the pending work CDRs. We scored all pending work CDRs using the CDREO PM to identify cases with a high risk of incurring large work-related overpayments. We identified the top 10 percent of scored cases pending and matched these cases

against the October AERO increase cases. We identified nearly 11,000 beneficiaries likely to receive an overpayment and for whom we should delay processing the re-computations.

In FY 2013, we evaluated the use of the PM to help us prioritize work CDRs when a delay in benefit re-computation was warranted. The findings included an average overpayment of \$22,000 for nearly 2,000 of the pilot cases. We concluded that we processed the sampled cases more quickly, preventing an even larger overpayment, and properly prevented the release of an underpayment that would have been in error. This conclusion supports the effectiveness of the sample selection criteria. In FY 2014, we will continue the pilot with nearly 15,000 sampled disability beneficiaries.

## Assessing Non-Home Real Property

As previously discussed, SSI is a means-tested program, and undisclosed resources can affect recipients' eligibility. Non-home real property (NHRP) is land or buildings that do not serve as the principal residence of an SSI recipient or his or her deems. In FY 2013, we began a study to research various methods to locate undisclosed NHRP in SSI claims and redeterminations. In FY 2014, we will evaluate study results to determine which methods are cost-beneficial for implementation in FY 2015.

## External Factors

The following external factors may affect our efforts to increase payment accuracy:

- Our ability to implement new debt collection tools depends on the availability of system and operational resources.
- Timely execution of our IT initiatives is always dependent on sufficient funding.
- New legislation and other government mandates can also force a reprioritization of scarce budgetary and personnel resources.

## Performance Measures - Strategic Objective 2.3

### 2.3a: Reduce the percentage of improper payments made under the SSI program (APG) (NEW)

Fiscal Year	2014	2015
Target	No more than 6.2% of all payments made under the SSI program are improper payments (i.e., overpayment and underpayments)	No more than 6.2% of all payments made under the SSI program are improper payments (i.e., overpayment and underpayments)

**Data Definition:** We determine the SSI payments free of overpayment and underpayment error by an annual review of a statistically valid sample of all payments issued. We base the payment accuracy on a non-medical review of sampled individuals who received SS payments during the fiscal year. We determine the overpayment accuracy rate by dividing the total overpayment error dollars by the total dollars paid for the fiscal year and subtracting this percentage from 100 percent. We determine the underpayment accuracy rate by dividing the total underpayment error dollars by the total dollars paid for the fiscal year and subtracting this percentage from 100 percent.

**Data Source:** FY 2014 and 2015 SSI Payment Accuracy (Stewardship) Reports.

### 2.3b: Maintain the low percentage of improper payments made under the Old-Age, Survivors, and Disability Insurance program (NEW)

Fiscal Year	2014	2015
Target	No more than 0.4% of all payments made under the OASDI program are improper payments (i.e., overpayment and underpayments)	No more than 0.4% of all payments made under the OASDI program are improper payments (i.e., overpayment and underpayments)

**Data Definition:** We determine OASDI payment free of overpayment and underpayment error by an annual review of a statistically valid sample of the beneficiary rolls. We determine the overpayment accuracy rate by dividing the total overpayment error dollars by the total dollars paid for the fiscal year and subtracting this percentage from 100 percent. We determine the underpayment accuracy rate by dividing the total underpayment error dollars by the total dollars paid for the fiscal year and subtracting this percentage from 100 percent.

**Data Source:** Old-Age, Survivors and Disability Insurance Stewardship Report.

## **Strategic Goal 3: Serve the Public through a Stronger, More Responsive Disability Program**

Our disability program has been under stress for the last several years. The amount of work we received grew, our resources were severely limited, and our disability program remained increasingly complex to administer.

From FY 2007 to FY 2013, we experienced an increase of nearly 20 percent in initial disability claims and over 40 percent in our hearings workload.

Despite these challenges, we reduced the average time disability claimants wait for a hearing decision by nearly one-third, from an all-time high of 532 days in August 2008 to 396 days in September 2013.

Unfortunately, hearings receipts remain well over 800,000 and high ALJ attrition has left us with insufficient adjudicatory capacity, resulting in the average wait time for hearing decisions to increase again. We will hire ALJs qualified for SSA when the Office of Personnel Management provides a new ALJ register to us. In the meantime, we continue to focus our efforts on quality and efficiency.

While our customers expect us to make timely decisions, they also expect us to make the right decision, appropriately and consistently applying our rules and regulations. We will continue to balance timeliness with an emphasis on quality and consistency in decision-making. We will continue to look for ways to strengthen policies, improve processes, and increase the use of automation.

We will continue to provide timely and appropriate services to beneficiaries. We plan to meet the needs of our disability beneficiaries by increasing opportunities for those who want to return to work and by partnering with other Federal agencies to better coordinate our disability programs.

### **Did You Know?**

Each year, we make over 15 million requests for medical records to over 500,000 medical providers.

### **Strategic Objective 3.1: Improve the Quality, Consistency, and Timeliness of Our Disability Decisions**

Having achieved notable improvements in the timeliness of hearing decisions and in maintaining DDS processing times, we will continue to improve the quality and consistency of our decisions. We do not want to increase wait times at any stage of a disability claim. We recognize the need to balance the number of decisions we make with the assurance that we make our decisions accurately and consistently across the country and at the earliest possible point in our process.

### **Strategies**

- Expand use of management information to identify training needs and areas for improvement;
- Broaden use of case-analysis tools;
- Expand use of predictive modeling;
- Simplify policies;
- Collaborate with Bureau of Labor Statistics (BLS) to collect updated occupational information; and
- Formalize our pre-decisional quality review processes to increase national uniformity.

## Key Initiatives

### Enhancing the Electronic Claims Analysis

#### Tool

We developed a web-based application that guides adjudicators through the five-step sequential evaluation process for determining disability. The electronic claims analysis tool (eCAT) produces a detailed, policy-compliant explanation of the decision made on the case and records the pertinent documentation and analysis necessary to support the decision. The explanation enables an independent reviewer to understand the decision maker's actions and conclusions throughout the claim's development and adjudication processes.

In FY 2013, we required DDSs to use eCAT on all initial and reconsideration level disability claims. We will continue to refine eCAT in response to input and through collaboration with eCAT users. In FY 2014, we will enhance eCAT to handle initial adult CDR cases.

### Advancing Quick Disability Determinations

We use technology to quickly provide benefits to claimants whose medical conditions are so serious that they obviously meet our disability standards. Our QDD PM ([www.socialsecurity.gov/disabilityresearch/qdd.htm](http://www.socialsecurity.gov/disabilityresearch/qdd.htm)) helps us identify cases where favorable disability determinations are highly likely and medical evidence is readily available enabling us to process the cases quickly.

We are refining the QDD model to ensure it continues to select cases with high potential for allowance. In FY 2013, we evaluated a reconfiguration of the QDD PM along with a new approach to the QDD selection process. Our evaluation found that the reconfiguration and the new selection process represent improvements over the existing model in efficiency and accuracy. We implemented the reconfigured PM and new selection process in the second quarter of FY 2014.

### Advancing Compassionate Allowances

We developed the Compassionate Allowances (CAL) process to quickly target the most obviously disabled applicants based on available medical information. We award benefits in nearly all CAL cases if we receive confirmation of the diagnosis with medical evidence and the applicant meets our non-medical eligibility requirements.

In FY 2013, we added 35 new conditions, including certain cancers, adult brain disorders, and a number of rare disorders that affect children, bringing the total number of conditions in this expedited disability process to 200.

In the second quarter of FY 2014, we expanded our list of CAL conditions to 225 and revised the CAL impairment summaries to address advances in medical treatment and updates in the medical listings. Additionally, because many CAL conditions are diseases that affect children or people in specific age ranges, we will refine the CAL selection software to enhance the accuracy of cases selected for fast tracking based upon criteria such as age.

### Developing an Occupational Information System

We rely on occupational information found in the Department of Labor's (DOL) Dictionary of Occupational Titles (DOT) to determine whether adult disability applicants can do their past work or any other work in the national economy. However, the DOL no longer updates the DOT. Since mid-2012, we have been working through an interagency agreement with BLS to test the feasibility of using the National Compensation Survey platform to collect updated occupational requirements for use in a new Occupational Information System (OIS) that will replace the DOT as our primary resource for vocational information.

In FY 2013, BLS completed three phases of test data collection. The results have been encouraging and indicate that BLS will be capable of providing the occupational information we need. We signed a new agreement with BLS to continue testing throughout FY 2014.



In FY 2014 and FY 2015, we will conduct the following activities in partnership with BLS:

- Refine data collection protocols in preparation for a large pre-production test starting mid-FY 2014 and concluding in FY 2015;
- Test collecting the primary mental and cognitive demands of occupations identified by our policy experts in FY 2013 and work together to evaluate and refine these elements based on test results; and
- Determine a sampling plan and updating schedule for production data collection.

In FY 2014 and FY 2015, we will also work with the DOL's Employment and Training Administration to:

- Identify elements of the Occupational Information Network (O\*NET) that we can incorporate with BLS data into our new OIS; and
- Explore the feasibility of using O\*NET's existing online infrastructure to support the IT needs of our new OIS.

### Updating the Medical Listing of Impairments

The medical listing of impairments (Listings) is one of the most effective tools used to make disability decisions. The Listings allow us to find a claimant disabled when his or her impairment meets specified medical criteria, without the need to consider age, education, or work experience. The Listings improve the consistency and accuracy of our decisions throughout all levels of the disability process.

Working with the Institute of Medicine, we established a committee of medical experts to advise us on medical advancements relevant to our Listings. This committee will help ensure that our Listings are relevant, medically supportable, and technologically and scientifically current.

In calendar year 2013, we published in the *Federal Register* Notices of Proposed Rule Making (NPRM) for the respiratory system, genitourinary impairments, growth impairments, and for a change in terminology from "mental retardation" to "intellectual disability." We also published an Advance Notice of Proposed Rulemaking for public comment for hearing and labyrinthine-vestibular disorders.

We also published final rules for congenital impairments that affect multiple body systems, visual disorders, for a change in terminology from "mental retardation" to "intellectual disability," and an extension of the expiration date for mental disorders body system listings. We published a Social Security Ruling regarding drug addiction and alcoholism policy, and developed and submitted to OMB Social Security Rulings regarding diabetes mellitus and endocrine disorders other than diabetes mellitus.

We submitted for agency review NPRMs for malignant neoplastic diseases and hematological disorders. In calendar year 2014, we plan to develop and submit at least five rules for public comment, five final rules, and three Social Security Rulings in our effort to complete the comprehensive body system Listings revisions.

### Ensuring an Adequate Supply of Administrative Law Judges

Only ALJs can conduct hearings; therefore, they are a vital component of the hearings process. Historically high ALJ attrition and dramatic workload growth leaves us short of adjudicatory capacity, resulting in the average wait time for hearing decisions to increase again. Therefore, it is vital that we hire additional ALJs and their support staff to keep up with increasing workloads and to replace ALJ losses as they occur. We will hire ALJs qualified for SSA when the Office of Personnel Management provides a new ALJ register to us.

### Electronic Bench Book

Electronic Bench Book (eBB) is a web-based application designed to assist adjudicators in documenting, analyzing, and deciding disability claims at the hearing level. We use eBB during our case file review to take notes at the hearing, record analysis throughout the decision-making process, and prepare our hearing instructions. eBB guides users through every step of the sequential evaluation process to ensure that each step is fully addressed.

In FY 2014 and FY 2015, we will implement functionality that will generate decision notices using combined data from eBB and other databases,

and continue to refine and enhance eBB. We will expand eBB training to include more ALJs and hearing offices in FY 2014 and beyond.

### Conducting Inline Quality Reviews

The inline quality review initiative involves using senior attorneys to review draft decisions for legal sufficiency and adherence to ALJ instructions. We modeled the initiative after an existing inline quality review program for hearings. We will randomly select cases for review and return those cases to production within five business days. We will provide the results of our review to hearing office management and collect summary data for analysis.

### Reducing the Backlog at the Appeals Council

As we decide more cases at the hearing level, the Appeals Council receives more requests for review. Historically, we received approximately 100,000 requests for review annually. However, in recent years, we received approximately 175,000 requests for review each year. To address this increase, we continued to add staff in the Office of Appellate Operations. We are now focusing on decreasing the percentage of pending Appeals Council requests for review over 365 days old.

### External Factors

The following external factor may affect our efforts to improve the quality, consistency, and timeliness of our disability decisions:

- Continued high levels of disability applications and appeals could negatively impact our ability to reduce the Appeals Council backlog.

## Performance Measures - Strategic Objective 3.1

### 3.1a: Expedite cases for the most severely disabled individuals by achieving the target percentage of initial disability cases identified as Quick Disability Determination (QDD) or Compassionate Allowance (CAL) (NEW)

Fiscal Year	2014	2015
Target	6.5%	6.5%

**Data definition:** We derive the percentage by dividing the total number of initial disability cases identified as QDD, CAL, or both by the total number of electronic initial disability cases filed in the fiscal year.

**Data source:** Management Information Disability

[http://emis.ba.ssa.gov/emis/emisusers/mgmt/oassis\\_dismi/dibmi\\_menu.cfm](http://emis.ba.ssa.gov/emis/emisusers/mgmt/oassis_dismi/dibmi_menu.cfm)

### 3.1b: Ensure the quality of our decisions by achieving the DDS decisional accuracy rate for initial disability decisions

Fiscal Year	2008	2009	2010	2011	2012	2013	2014	2015
Performance	97%	97%	98%	98%	98%	98%		
Target	97%	97%	97%	97%	97%	97%	97%	97%
Target Met	Met	Met	Met	Met	Met	Met		

**Description of Results:**

We have exceeded our DDS decisional accuracy rate goal since 2010.

**Data definition:** Net accuracy is the percentage of correct initial State disability determinations and is based on the net error rate (the number of corrected deficient cases with changed disability decisions), plus the number of deficient cases not corrected within 90 days from the end of the period covered by the report, divided by the number of cases reviewed.

**Data source:** Disability Quality Assurance Databases

**3.1c: Ensure the quality and consistency of our hearing decisions by randomly reviewing a percentage of cases using an inline review process (NEW)**

Fiscal Year	2014	2015
Target	Randomly review 0.1% of our hearing decisions	Randomly review 1% of our hearing decisions

**Data definition:** The percentage of hearing decisions randomly reviewed. The percentage is derived by dividing the total number of hearing decisions reviewed during the fiscal year by the total number of hearing decisions made during the fiscal year.

**Data source:** Case Processing Management System

**3.1d: Increase our ability to provide timely decisions by focusing on our oldest cases first (NEW)**

Fiscal Year	2014	2015
Target	Make decisions on 99.5% of cases that start the year 310 days or older	Make decisions on 99.5% of cases that start the year 285 days or older

**Data definition:** The oldest hearing requests are those cases that are 310 days old (FY 2014) or 285 days old (FY 2015) or more as of the start of each respective fiscal year. We derive the percentage by dividing the total number of those targeted cases disposed during the fiscal year by the total number of those targeted cases identified during the fiscal year.

**Data source:** Case Processing Management System

**3.1e: Increase our ability to provide timely decisions by reducing the percentage of pending Appeals Council requests for review 365 days or older**

Fiscal Year	2008	2009	2010	2011	2012	2013	2014	2015
Performance					12%	8.9%		
Target					20% or less	19% or less	21% or less of case pending 365 days or more	20% or less of cases pending 365 days or more
Target Met					Met	Met		

**Description of Results:**

We met our goal of reducing the percentage of Appeals Council cases pending 365 days or over.

**Data definition:** The percentage of Appeals Council cases that are pending 365 days or more at the end of the fiscal year. The percentage is derived by dividing the total number of Appeals Council cases pending 365 days or more by the total number of Appeals Council cases pending.

**Data source:** Appeals Review Processing System

## Strategic Objective 3.2: Maximize Efficiencies throughout the Disability Program

We remain committed to meeting the public's needs by using technology and using modern tools that are cost effective for the taxpayer and convenient for our customers. We have a history of finding smarter, more cost-effective ways of doing business, as evidenced by our productivity increases year after year. With workloads still at high levels we continue to explore new technologies and the modern business environment to help cut costs, operate more efficiently, and provide the service that Americans expect.

### Strategies

- Enhance our ability to share workloads among our offices to maximize resources;
- Increase process automation; and
- Expand the use of health IT.

### Key Initiatives

#### Simplifying the Disability Application Process with eAuthorization

Every year we send more than 15 million requests for medical records on behalf of over 3 million disability claimants. Each request is accompanied by a signed Authorization to Disclose Information (Form SSA-827). eAuthorization provides claimants the option to sign and submit Form SSA-827 electronically (e827). The eAuthorization process eliminates significant paper handling in all cases. Further, the elimination of mail time and personal re-contacts reduces disability application processing time by an estimated nine days for many cases filed online or by telephone.

As of December 2013, over 95 percent of claimants eligible to use eAuthorization do so, with no significant problems with provider acceptance.

#### Developing the Disability Case Processing System

We have a national initiative to bring greater consistency to the many disparate systems that support our State Disability Determination Services (DDSs). Disability Case Processing System (DCPS) will allow us to systematically support policy changes faster and provide the ability to modify our case processing system nationally. In addition, DCPS will allow us to share work across disability components seamlessly.

#### Using health Information Technology to Expedite Disability Decisions

Obtaining medical records electronically plays a key role in streamlining the disability determination process. Health IT provides health care organizations the ability to electronically share medical information with us. Health IT has already demonstrated its potential to increase efficiencies in the disability program and dramatically improve service to the public by:

- Reducing the time to obtain medical records;
- Decreasing the time to complete a disability claim; and
- Helping to offset increasing workloads and staffing constraints by fully automating requests for evidence and enabling broad computerized decision support.

A primary goal is to increase the volume of medical evidence received via health IT by expanding existing partnerships and adding new partners. We are actively discussing partnering with numerous health organizations and will complete expansion to all Kaiser Permanente sites in FY 2014.

## External Factors

The following external factors may affect our efforts to maximize efficiencies throughout the disability program:

- eAuthorization is practical only to the extent providers of medical records accept it to authorize disclosure. While we have achieved great acceptance of

eAuthorization forms, we remain vulnerable to HHS and State changes in requirements for signatures or authorizations.

- We are dependent on the medical community to respond to our requests for claimants' records. Not all providers have the same electronic capabilities, so we must continue to provide a full range of response options, including traditional methods of obtaining medical records.

## Performance Measures - Strategic Objective 3.2

### 3.2a: Improve the disability determination process by increasing the percentage of initial disability claims with Health IT medical evidence (NEW)

Fiscal Year	2014	2015
Target	2.5% of initial disability claims with health IT medical evidence	4% of initial disability claims with health IT medical evidence

**Data definition:** Percent of initial disability claims with health IT medical evidence.

**Data source:** Health IT Management Information (MI) Database for number of Initial Level health IT cases, Performance Management Reports for number of initial level Disability cases.



### **Strategic Objective 3.3: Enhance Employment Support Programs and Create New Opportunities for Returning Beneficiaries to Work**

To increase opportunities for beneficiaries to return to work, we must create clear and consistent employment incentives. The complexity of our rules, as well as beneficiary fears of incurring an overpayment resulting from earnings, discourages attempts to work. We will continue to:

- Look for ways to simplify work incentives and minimize improper payments due to earnings;
- Strengthen our employment support programs, including the Ticket to Work program, and
- Provide help for beneficiaries who want to work through the Work Incentive Planning and Assistance program.

To encourage beneficiary work efforts and prevent potential work-related overpayments, we updated our SSI work incentive notices in 2013. The new notices provide more information on our work incentive policies and clearly explain beneficiaries' reporting responsibilities.

We will encourage young people who receive SSI benefits to work and reduce their dependency on disability benefits. Recent agency-funded research has found that policy changes and improved services to young adults who receive SSI can sharply improve employment outcomes.

In previous reports, we have measured how many Ticket to Work program participants are working at any earnings level during the reporting year. We did not measure how much these participants earned or how quickly they got a job. Beginning this year, we will be reporting program performance for a much smaller subset of participants.

The new measure will tell us how many participating beneficiaries begin earning at least trial work level (\$770 per month in FY 2014) within a year of starting the program. This will be a count of new beneficiaries each year (not cumulative) and will tell us:

- How rapidly people who sign up are going to work; and
- How many of those rapid job placements result in significant earnings milestones for the participating beneficiaries.

We are committed to the idea that our employment support efforts must be focused on ensuring that the people who use those supports not only work, but work at their maximum capacity, reaching self-sufficient earnings whenever possible.

We are working with OMB and other federal agencies to develop early intervention projects focused on providing resources and support to workers with disabilities to help them stay in the labor force as long as possible. Our FY 2014 budget includes a proposal to test ways to help people with disabilities remain in the workforce.

#### **Strategies**

- Partner with the Departments of Education, Labor, and Health and Human Services to implement Promoting Readiness of Minors on SSI (PROMISE);
- Simplify work incentive policies and improve programs such as Ticket to Work and Vocational Rehabilitation (VR) Cost Reimbursement Program; and
- Develop return to work demonstration proposals.

#### **Key Initiatives**

##### **Improving Employment Support Programs**

We continue our efforts to improve the results of our employment support programs. Disabled beneficiaries who want to work and attain self-sufficiency may receive services and support under the Ticket to Work and Self-Sufficiency Program, as well as under the VR Cost Reimbursement Program. We began enhancing the quality of services and support provided by Employment Networks (EN) in FY 2011 and will continue enhancements in FY 2014 and beyond. These ENs coordinate and deliver employment services under the Ticket to Work program.

We hold ENs accountable at multiple points in the service delivery continuum. In addition to providing

services and support to help beneficiaries obtain jobs, ENs are required to provide ongoing support to help beneficiaries stay employed, remain off the disability rolls, and advance in their jobs.

We monitor the business practices of ENs to ensure they provide quality services that support beneficiaries returning to work. We have also set clear performance goals to ensure ENs support beneficiaries in gaining and sustaining long-term employment, economic security, and financial independence. We publish an annual online EN Report Card that enables beneficiaries to evaluate and select an EN that best meets their needs, interests, and employment goals.

We are improving our beneficiary outreach and education efforts by expanding the use of our Ticket to Work call center, the Internet, and social media tools (e.g., YouTube, Facebook, and Twitter). Similarly, to increase beneficiary access while reducing program costs, we are providing all work incentive seminar events via webinars.

Individuals become eligible to participate in the Ticket-to-Work program when they begin receiving SSDI or SSI disability benefits. We used to send paper tickets to eligible participants. Paper tickets are no longer issued, but the phrase is still used to reference participants. The number of Tickets assigned or in use has increased 3.4 percent from over 309,000 at the end of calendar year 2012 to nearly 320,000 as of December 31, 2013. During that same period, the number of beneficiaries with Tickets in use who had benefits suspended or terminated because they successfully returned to work increased 20 percent.

In FY 2013, Mathematica Policy Research, Inc. completed their seventh, and final, report on the outcomes and net impacts of the Ticket to Work program, including a report on the effects of

changes to Ticket to Work regulations ([http://www.ssa.gov/disabilityresearch/twe\\_reports.htm](http://www.ssa.gov/disabilityresearch/twe_reports.htm)). We will use the results of the evaluation to identify ways we can continue to improve both the Ticket to Work and VR programs.

### Improving Employment Support Outreach to Targeted Working-Age Beneficiaries

We have historically educated beneficiaries about our return to work programs through mass mailings of informational brochures to all new beneficiaries. Beginning January 2012, and continuing through most of FY 2013, we made automated telephone calls to targeted beneficiaries. We expect to continue the calls in FY 2014. This initiative, called Interactive Voice Response (IVR) relies on a model that uses an agency-developed algorithm to determine which beneficiaries are most likely to return to work.

We started a similar IVR campaign in March 2012, targeting beneficiaries who completed training through State VR agencies and who are currently employed. We also expect to continue these calls through 2014 and expect to inform individuals of their eligibility for the ongoing employment services and support available through the Ticket to Work program.

### External Factors

The following external factor may affect our efforts to enhance employment support programs and create new opportunities for returning beneficiaries to work:

- We continue to work with our provider partners to cultivate jobs that can lead to eventual financial independence for a greater number of beneficiaries.

## Performance Measures - Strategic Objective 3.3

### 3.3a: Achieve the target number of beneficiaries participating in the Ticket to Work program who begin earning above a certain level (NEW)

Fiscal Year	2014	2015
Target	1300 beneficiaries	1330 beneficiaries

**Data definition:** Count the number of DI, SSI and concurrent beneficiaries who have achieved trial-work-level (TWL) earnings for the first time within 12 months after assigning their Ticket to an employment network (EN) or to a State VR agency operating as an EN. Beneficiaries achieving TWL earnings prior to Ticket assignment will not be counted in this measure, nor will beneficiaries who place their Ticket in use with VR. Ticket assignments that occur in the previous fiscal year may be counted if TWL earnings are first achieved within the reporting period.

**Data source:** Office of Child Support Enforcement earnings database and the Disability Control File

## **Strategic Goal 4: Build a Model Workforce to Deliver Quality Service**

Our employees are our most valuable asset. The commitment of our employees and State partners in the DDSs allows us to provide dedicated and compassionate services to the public. We will fully support and engage our workforce to create the necessary foundation for achieving the goals laid out in our strategic plan.

It is critical that we build innovative ways to share institutional knowledge. We will make strategic investments in our employees' skills, abilities, and safety, even in the face of challenging economic times.

We continue to consider workplace flexibilities, such as telework, while building an organization that ensures every employee has an opportunity to participate in personal and professional development. We will demonstrate our commitment to employee creativity, work-life balance, and family-friendly policies to help inspire innovation and employee engagement at all levels of the organization.

### **Did You Know?**

We have the most diverse workforce among Federal agencies of comparable size.

### **Strategic Objective 4.1: Attract and Acquire a Talented and Diverse Workforce that Reflects the Public We Serve**

As the public we serve continues to grow more diverse, we will ensure that our employees have the tools enabling them to work effectively with people of all ages, educational levels, cultural backgrounds, and language preference.

The President has made a commitment to promote diversity and inclusion in all Federal workplaces, and

we take pride in knowing our agency mirrors the diversity of the people we serve. To remain an employer of choice for current and future generations, we will use modernized recruitment strategies and a full complement of human resources programs and flexibilities to compete for top talent and remove barriers to employment.

### **Strategies**

- Compete for top talent through modernized recruitment strategies (e.g., social networking tools, virtual fairs) given changing generational expectations;
- Build a strong, diverse applicant pool through the use of various hiring flexibilities and programs, including Office of Personnel Management's (OPM) Pathways programs and volunteer internships;
- Market and expand use of hiring authorities for veterans and individuals with disabilities; and
- Ensure recruitment and selection processes focus on talent needs and core competencies for mission-critical positions.

### **Key Initiatives**

#### **Focusing on the Employment of Veterans and Individuals with Disabilities**

We have long recognized the rich talent pool that exists among veterans and individuals with disabilities. In order to ensure continued success in following the President's hiring directives, we continue to focus on recruitment and retention of these individuals. Each fiscal year, we establish operational goals that integrate strategic methods for recruitment, development, and retention that align with our human capital strategies.

Due to previous budget constraints over the past few years, we experienced hiring limitations. However, despite these challenges, our focus remains on working collaboratively with our external partners and using consistent marketing messages and outreach efforts to publicize us as an employer of choice.

### Highlighting the Pathways Programs (for Students and Recent Graduates to Federal Careers)

In accordance with Executive Order 13562, *Recruiting and Hiring Students and Recent Graduates*, our Pathways Programs offer clear paths to Federal internships for students from high school through post-graduate school and to careers for recent graduates. These programs provide meaningful training and career development opportunities for individuals who are at the beginning of their Federal service.

The traditional hiring process focuses on experience, and very few students and recent graduates are able to compete and be hired through the process. The Pathways Programs compensate for this deficiency in the traditional hiring process. Our Pathways Programs offer a targeted hiring authority for selecting students and recent graduates, thereby helping us build a model workforce and enhancing our ability to attract and acquire a talented and diverse workforce that reflects the public we serve.

### External Factors

The following external factor may affect our efforts to attract and acquire a talented and diverse workforce that reflects the public we serve:

- Our employees are our most valuable asset, and our ability to attract and retain the best talent is critical to the success of our programs. With more hiring flexibilities, it will be easier for us to market Federal benefits and job security.

## Performance Measures - Strategic Objective 4.1

**4.1a:** Achieve the target veteran and disabled veteran new hire percentage to improve their representation in the SSA workforce

Veterans Hiring								
Fiscal Year	2008	2009	2010	2011	2012	2013	2014	2015
Performance	12.93%	15.07%	17.33%	26.72%	36.78%	46.6%		
Target					26.72%	18%	25%	25%
Target Met					Met	Met		

**Description of Results:**

Our percentage of FY 2013 veteran hires increased 26 percent over FY 2012 results.

Disabled Veterans Hiring								
Fiscal Year	2008	2009	2010	2011	2012	2013	2014	2015
Performance	6.04%	7.5%	8.72%	13.59%	15.49%	18.1%		
Target					14.59%	15%	16.49%	17.49%
Target Met					Met	Met		

**Description of Results:**

Our percentage of FY 2013 disabled veteran hires increased 16 percent over FY 2012 results

**Data definition: Veteran Hiring:** For a given fiscal year, the percentage of overall permanent hires who are veterans (e.g., an employee who has been discharged or released from active duty in the armed forces under honorable conditions; OR has a 5-point or 10-point Veterans' Preference; OR has creditable military service; OR has an annuitant indicator; OR has an appointment under either the Veterans Recruitment Appointment, the Veterans Employment Opportunities Act of 1998, or the 30 percent or more disabled veteran hiring authorities).

**Disabled Veteran Hiring:** For a given fiscal year, the percentage of overall permanent hires who are disabled veterans (e.g., an employee who has been discharged or released from active duty in the armed forces under honorable conditions and has a 10-point preference due to a service-connected disability.) This category is a subset of the overall veterans hiring statistic.

Data includes full-time permanent and part-time permanent employees only.

**Data source:** Federal Personnel and Payroll System (FPPS) DataMart

**4.1b: Achieve the target on-board representation of employees with targeted disabilities**

Fiscal Year	2008	2009	2010	2011	2012	2013	2014	2015
Performance	2.03%	2.02%	1.99%	1.99%	1.99%	1.99%		
Target					2%	2%	2%	2%
Target Met					Not met	Not Met		

**Description of Results:**

We just missed our FY 2013 goal for employees with targeted disabilities.

**Data Definition:** The percentage of the on-duty workforce, as of the end of the fiscal year (September 30), who self-identified as an individual with a targeted disability (e.g., an employee who has self-identified with one or more of the following physical or mental impairments: deafness, blindness, missing extremities, partial paralysis, complete paralysis, epilepsy, severe intellectual disability, psychiatric disability, or dwarfism).

Data include full-time permanent and part-time permanent employees only.

**Data Source:** Human Resources Operational Data Store (HRODS)

## **Strategic Objective 4.2: Strengthen the Competency, Agility, and Performance of Our Workforce to Align with the Needs of the Public**

Identifying and reducing skill gaps (i.e., gaps in knowledge of a skill or ability to perform it at a high level of proficiency) at all levels of the organization, while promoting ways for employees to develop more flexible career paths and remaining fully prepared to meet the customer service expectations, are key areas of focus for our agency. We must also ensure we have measures in place to strengthen our management and leadership ranks. Supporting our managers through training, tools, and hands-on experiences is important to ensuring that our workforce has effective leadership in the face of increasing challenges and complexities.

Changing business processes require our employees to demonstrate increasing flexibility and resilience. Finding ways to assist our employees by providing timely training and development opportunities, providing tools and resources, and ensuring employees are held accountable for performance are paramount to enhancing performance.

### **Strategies**

- Ensure effective use of the agency's performance management systems to manage employee performance;
- Improve supervisory competencies and develop talent for future leadership opportunities;
- Create knowledge management tools and processes to ensure the capture of institutional knowledge (e.g., effective use of reemployed retirees);
- Reduce skills gaps in targeted mission-critical occupations to support talent development of employees; and
- Offer ongoing access to training and development resources to support continual learning for all employees.

## **Key Initiatives**

### **Focusing on Career Development Programs**

Our Strategic Human Capital Plan focuses on developing leaders at all levels through comprehensive succession management developmental programs and an extensive array of challenging opportunities. Our National Career Development Programs are the primary mechanisms we use to identify and develop employees who demonstrate potential for becoming future agency leaders.

We offer the Leadership Development Program and the Advanced Leadership Development Program to provide employees with developmental assignments and formal training to gain experience and achieve higher levels of leadership skills. These programs directly support our goal for knowledge transfer and succession planning. We design each program to attract the best and brightest individuals. Once selected, participants are exposed to greater opportunities for continual learning, personal development, and professional growth. Ultimately, the programs provide us with a cadre of leaders who are prepared, equipped, and ready to lead the agency.

Another example of our commitment to maintain programs that enhance leadership opportunities is our Senior Executive Service Candidate Development Program (SES CDP). The SES CDP is a key element of our succession management strategy for filling future executive-level leadership vacancies. We designed the SES CDP to identify, develop, and support a mobile, highly skilled, and diverse cadre of individuals.

### **Creating New Supervisory and Management Training**

The competency-based Leadership Essentials for New Supervisors (LENS) training integrates technical skills with leadership competencies and emphasizes performance management.



## Designing National Union Contract Training

In April 2012, we reached agreement with the American Federation of Government Employees (AFGE) on a national contract. It is mission-critical that we train all supervisors and managers on the content of the agreement, as well as the appropriate interpretation and intent of the agreement language. In preparation for providing this training nationwide, we designed a plan to train approximately 6,900 supervisors and managers, of which 4,040 are new supervisors and managers (i.e., first time supervisors and managers in our agency).

## Closing Skills Gaps

We plan to develop competencies, identify skills gaps, and identify training to assist in closing the gaps in our mission-critical occupations (e.g., front-line service positions, IT support, HR resources support). We also ensure compliance related to competency management and skills gap reduction by aligning with the cross-agency priority goal to close skills gaps as reflected on the Performance.gov website (<http://www.performance.gov/closingskillgaps>).

## Marketing Availability of On-Demand Training and Development

We plan to continue our marketing efforts to promote access to electronic libraries, online and distance training, and development resources to keep our costs low. Employees can choose content delivered in a format they prefer and schedule training that accommodates their job and personal commitments. Our Learning Management System provides courses, curricula, and materials through Video on Demand, customized online courses, and the SkillSoft training libraries available to all employees. SkillSoft's libraries provide over

3,000 interactive, online courses and over 18,000 eBooks, audio books, and training videos, all available anytime and from any location to support training needs on demand. This comprehensive library is easily combined with agency-specific content to provide consistent and equal access to professional development tools regardless of position or geographic location.

## Highlighting our Human Resources Services Portal

Our HR business processes rely on many disparate and standalone applications that need separate security access. To improve our employees' experience and provide the tools they need, we will build a set of role-based portals so that each user has easy access to all the tools his or her role requires. We will also incorporate, where possible, single sign-on so that employees do not have to log in several times. We expect the portal will decrease the time needed for our employees to access applications and their personal information.

## External Factors

The following external factor may affect our efforts to strengthen the competency, agility, and performance of our workforce to align with the needs of the public:

- Successful implementation of our workforce plans is dependent on adequate and sustained funding levels and sufficient levels of qualified staff to administer and maintain these key initiatives and programs.

## Performance Measure - Strategic Objective 4.2

### 4.2a: Reduce skills gaps for leaders and/or potential leaders to improve leadership competencies (NEW)

Fiscal Year	2014	2015
Performance		
Target	Reduce skills gaps in Leadership Development Program participants in at least two critical competencies	Assess skills gaps for participants in the LENS initiative
Target Met		

**Data definition:** A skill gap is a gap in a person’s knowledge of a skill or ability to perform it at a high level of proficiency. Competency is defined as a measurable pattern of knowledge, skills, abilities, behaviors, and other characteristics that an individual needs to perform work roles or occupational functions successfully. Participants in the 2013 LDP and supervisors participating in the 2014 LENS pilot program will identify gaps in their skills associated with agency core and leadership competencies. LDP participants will use 360-degree assessments to identify skill gaps. HR will use the aggregate results to identify the two lowest scored competencies and target learning experiences to raise the aggregate proficiency levels. LENS participants will identify gaps in proficiency levels of skills using a survey tool.

**Data source:** Vendor provided 360-degree assessments and our survey tools.

### 4.2b: Reduce skills gaps in mission critical occupations to improve general and technical competencies (NEW)

Fiscal Year	2014	2015
Performance		
Target	Assess skills gaps for HR specialists	Reduce skills gaps for HR specialists in at least two critical competencies  Assess skills gaps for legal assistants in ODAR
Target Met		

**Data definition:** The expected proficiencies are under development.

**Data source:** Agency Skills Inventory and Interagency Agreement through OPM

### **Strategic Objective 4.3: Foster an Inclusive Culture that Promotes Employee Well-Being, Innovation, and Engagement**

We have consistently ranked among the top 10 Best Places to Work among large agencies in the Federal Government. Our employees believe strongly in our mission and in the work that they do on behalf of the American people.

We are committed to supporting our employees to ensure that they are included in the shared direction of the agency. We believe the more effort we place on employee safety, collaboration between management and labor representatives, and agency-wide communication, the better the opportunities we will have to generate creativity and innovation.

#### **Strategies**

- Promote work-life balance and employee well-being through workplace flexibilities;
- Ensure access to employee services (e.g., financial literacy, career development, work-life resources) regardless of location;
- Provide employees and managers with support to navigate complex personnel matters (e.g., employee conduct, performance, reasonable accommodations);
- Promote safety of employees through ongoing safety training and emergency preparedness activities;
- Engage labor organizations to promote collaboration and transparency; and
- Develop practices that facilitate open communication and understanding in order to enhance employee engagement and appreciation of our diversity.

#### **Key Initiatives**

##### **Improving the Employee Satisfaction Action Plan**

The Federal Employee Viewpoint Survey (FEVS) provided useful information regarding how we can better foster workforce excellence. By measuring employee perceptions and satisfaction across various human capital dimensions (e.g., training and development, teamwork, performance

management, and diversity), the FEVS has helped us hone our focus on specific actions to increase employee satisfaction, morale, productivity, and retention. We created an Improve Employee Satisfaction Action Plan to document the steps we will take. We expect that these actions will have a positive impact on employee satisfaction and engagement.

##### **Creating Management and Labor Forum Meetings and Pre-Decisional Involvement Opportunities**

We are committed to fostering a collaborative labor-management relationship with our four unions (AFGE, International Federation of Professional and Technical Engineers, National Treasury Employees Union, and National Federation of Federal Employees) through discussions during forums. Engaging in pre-decisional involvement in all workplace matters is crucial for strengthening the labor-management relationship. The input and support of employees and management are critical to meeting our long-term public service commitment. We will continue to work collaboratively with employee representatives to ensure we deliver the highest quality service to the American people.

##### **Highlighting Diversity and Inclusion**

We have a long-standing history of being among the most diverse Federal agencies. We strive to recruit, promote, and retain a highly skilled, diverse workforce that draws from all segments of society. In FY 2012, we developed our Diversity and Inclusion (D&I) Strategic Plan that aligns with the government-wide D&I Strategic Plan and supports Executive Order 13583, *Establishing a Coordinated Government-Wide Initiative to Promote Diversity and Inclusion in the Federal Workforce*. Our D&I Strategic Plan highlights proven best practices for attracting, hiring, and retaining a diverse workforce. The plan also describes how we can foster a work environment that draws on our collective talents, respects individual differences, and leverages diversity.

To sustain further D&I commitment, we instituted a D&I Council with representation from all levels of

the agency, including senior leadership. The D&I Council's ongoing mission is to provide overarching guidance and support for the Agency's D&I Strategic Plan. Council members serve as role models and champion initiatives that engender inclusiveness and leverage the diversity of our workforce and recognizing employees' unique perspectives and contributions.

### **External Factors**

The following external factors may affect our efforts to foster an inclusive culture that promotes employee well-being, innovation, and engagement:

- While we are committed to a diverse and inclusive workforce reflecting the public we serve, limited budgets in the past have curtailed our resources to replace lost employees and reduced our ability to participate in outreach and recruitment activities that enhance the diversity of our job applicant pool.
- The Council must draw on resources and people to accomplish the initiatives and educational opportunities it undertakes.

## Performance Measure - Strategic Objective 4.3

### 4.3a: Maintain status as one of top 10 Best Places to Work among large agencies in the Federal Government (NEW)

Fiscal Year	2014	2015
Target	Achieve a Top 10 Ranking	Achieve a Top 10 Ranking

**Data definition:** During a given year, the Partnership for Public Service (PPS) uses data from three FEVSs questions to develop index scores. PPS ranks Federal Government agencies based on the calculated index scores. PPS uses a proprietary formula to calculate the index scores based on the extent to which each question predicts employees' intent to continuing working in their agencies. The three FEVS questions follow:

- Question 40 - I recommend my organization as a good place to work.
- Question 69 - Considering everything, how satisfied are you with your job?
- Question 71 - Considering everything, how satisfied are you with your organization?

**Data source:** The PPS

### 4.3b: Achieve the target two-year new hire retention percentage (NEW)

Fiscal Year	2013	2014	2015
Performance	84.3%		
Target		Retain 85% of newly hired employees	Retain 85% of newly hired employees

**Data definition:** The percentage of employees who entered on duty as a new hire, including former SSA employees who returned, and remained at SSA for 730 days or longer.

Data includes full-time permanent and part-time permanent employees only.

**Data source:** HRODS

**4.3c: Increase workplace flexibilities by expanding telework opportunities for employees (NEW)**

Fiscal Year	2014	2015
<b>Target</b>	Increase the percentage of employees participating in telework by 100% over FY 2013 levels	Increase the percentage of employees participating in telework by 100% over FY 2014 levels

**Data definition:** The agency is increasing the number of employees nationwide who telework (as reported to OPM annually) by 100% in FY 14 and again in FY 15. Telework is defined as working a normal tour of duty at an alternative duty station. In FY 2013, we had a total of 4,100 teleworkers. Our FY 2014 goal is to increase participation to 8,200 and 16,400 in FY 2015.

**Data source:** OPM Annual Telework Data

**Strategic Objective 4.4: Enhance Planning and Alignment of Human Resources to Address Current and Future Public Service Needs**

We will analyze our current workforce and develop strategies to meet our future organizational needs. Using workforce restructuring and reshaping programs, we will develop approaches to streamline and align our workforce. Our approaches will be supported by data analysis and forecasting to ensure we are prepared for the near term and for future service delivery needs.

**Strategies**

- Use workforce restructuring and reshaping programs (e.g., Voluntary Early Retirement Authority) to adjust and align the workforce with agency needs;
- Use HR MI and data analytics to conduct effective workforce planning and forecasting that assists leaders in making data-driven decisions;
- Conduct data-driven performance reviews to assess, monitor, and track alignment of human capital programs with service delivery needs; and
- Utilize effective management principles to optimize organizational structures and workforce composition as we automate processes and expand self-service.

**Key Initiatives**

**Implementing HRStat Review Process**

The OPM is piloting a new method to track and monitor human capital outcomes entitled “HRStat.” Starting in FY 2014, in lieu of the annual Human Capital Management Report, agencies will be required to conduct recurring “data-driven human capital reviews” as part of the Administration’s performance improvement initiative. Through these reviews, agencies are expected to develop internal capability to analyze HR management data and trends, identify HR actions that correlate with and improve agency performance, and evaluate results.

We are one of eight agencies participating in the HRStat pilot in FY 2013. OPM and the Office of

Management and Budget plan to use the results of the pilot to implement HRStat government-wide.

**Using Applicant Flow Data**

Applicants for Federal positions using USAJOBS have the option to complete a form that collects demographic information (i.e., sex, ethnicity, and race, and how they learned about the position). Applicant Flow Data refers to the analysis of this demographic information to determine differences in selection rates among different groups for a particular job. Agencies can use this information to:

- Examine the fairness and inclusiveness of recruiting efforts;
- Determine whether recruitment efforts are reaching all segments of the population, consistent with Federal equal employment opportunity laws;
- Identify barriers to employment and best practices at each stage of the hiring process: application, qualification, referral, and selection; and
- Strategically target resources to efficiently address challenges most applicable to each demographic group.

Applicant Flow Data collection and sharing is a new initiative for the Federal government. OPM strongly supports conducting organizational self-analyses, along with the removal of any discriminatory barriers found through these analyses. OPM also strongly supports the collection of demographic data, including Applicant Flow Data, because such collection is an integral part of the barrier-identification process described in the Equal Employment Opportunity Commission’s Management Directive 715. Management Directive 715 provides policy guidance to Federal agencies on establishing and maintaining effective equal opportunity.

We are entering into a Memorandum of Understanding with OPM to obtain the Applicant Flow Data for all agency job postings.

## External Factors

The following external factors may affect our efforts to enhance planning and alignment of human resources to address current and future public service needs:

- Stakeholders continue to demand higher levels of accountability from the Federal Government.
- OPM is currently crafting new regulatory language to fully integrate Federal agencies' human capital strategies with the *Government Performance and Results Modernization Act* process. OPM intends to eliminate the requirement for agencies to submit separate Strategic Human Capital Plans. Instead, OPM will expect agencies to merge strategic human capital plans with strategic and annual performance plans, in addition to adhering to the new HRStat process. The transition from two separate processes will be labor intensive and could adversely affect the productivity of our human capital efforts in the near term.



## Performance Measure - Strategic Objective 4.4

### 4.4a: Conduct workforce analysis and planning activities to support future workforce transition initiatives (NEW)

Fiscal Year	2014	2015
<b>Target</b>	Conduct workforce staffing analysis to support workforce planning efforts	Expand workforce staffing analysis to include an analysis of workforce skills and competencies

**Data definition:** Workforce analysis and planning, a key component of strategic human capital management, is about aligning an organization’s human capital—its people—with its business plan to achieve its mission. It is a systematic process for analyzing the current workforce, identifying future workforce needs, and establishing the gap between the workforce of today and the human capital needs of tomorrow, to provide a basis for developing and implementing human capital initiatives and solutions

**Data source:** HRODS, FPPS DataMart, and Office of Human Resources.

### 4.4b: Achieve target number of human capital metrics identified in ongoing human capital performance review sessions (NEW)

Fiscal Year	2014	2015
<b>Target</b>	Achieve 75% of the human capital metrics	Achieve 80% of the human capital metrics

**Data Definition:** After the end of the fiscal year, we determine the number of initiatives that met or exceeded the established target. We divide the number of metrics where we achieved the selected targets to the total number of initiatives that we monitored throughout the fiscal year.

**Data Source:** OPM’s Federal Employee Viewpoint Survey, HRODS, FPPS.

## **Strategic Goal 5: Ensure Reliable, Secure, and Efficient Information Technology Services**

We design, deploy, and maintain a robust and cost-effective technology environment that supports our mission-critical service delivery and business operations requirements. We rely upon a large and complex technology infrastructure, as well as a highly motivated and skilled workforce, to support our service delivery.

As our workloads increase, we will use technology to keep pace with the demand. Expanding online and mobile services improves service for those who want the convenience of interacting with us remotely and preserves field office service for situations that require in-person assistance.

The security of our information and systems is an essential responsibility; we will continue to enhance our cyber security protection. We will remain focused on completing the construction of our new data center, the NSC. Once the NSC is complete, we will ensure a smooth transition, with no service interruption.

### **Did You Know?**

Our Internet services are available to the public 365 days a year.

### **Strategic Objective 5.1: Maintain System Performance and the Continuity of Information Technology Services**

Technology is essential to everything we do. If our systems are not functioning optimally, the productivity of our workforce immediately declines, resulting in diminished service. We will maintain strong IT performance despite rising IT demands, increasing cyber security risks, and constant industry changes.

To meet our service delivery challenges, we rely upon a large and complex technology infrastructure that includes dual data centers, extensive national databases, hundreds of software applications, large supporting computing platforms, and thousands of networked computers, printers, telephones, and other devices. Change to our IT infrastructure is constant. We will ensure responsive, reliable performance in the presence of this constant change.

Our dual data centers, the National Computer Center (NCC) and the Second Support Center, maintain the demographic, wage, and benefit information enabling us to make prompt and accurate benefits payments. The NCC has been in continuous operation as a data center since it opened in 1980.

As part of the *American Recovery and Reinvestment Act of 2009*, Congress approved our requested funding to build a new data center. We will transition all current production data center operations from the existing NCC to the NSC in 2015 and 2016. The NSC will provide increased capacity and improved operational reliability and efficiency.

### **Strategies**

- Successfully transition to the new NSC; and
- Maintain responsive, reliable system performance.

### **Key Initiatives**

#### **Maintaining Systems Performance While Transitioning to the National Support Center**

We are extensively planning for our move to the new NSC that will begin in 2014. Efforts are under way now to virtualize and consolidate significant portions of our IT equipment, perform application and asset inventory, and formulate a concise migration plan so that we can meet this goal. The anticipated benefit is the ensured viability of our data center infrastructure. Our multi-year strategy includes using the latest technological advancements for data center operations to enhance the capacity,

flexibility, and performance of our IT environment and infrastructure.

Once operational, the NSC will dramatically increase our computing power, while reducing energy consumption. The NSC will be Leadership in Energy and Environmental Design Gold certified. We will reduce energy consumption by staffing minimally, lighting most areas only in staff's presence, and administering the infrastructure remotely. We will use innovative cooling systems to reduce cooling requirements, costs, and carbon footprint.

### Improving Information Technology Cost and Performance

We use proven technologies to lower IT cost and improve performance. As part of our capital planning and investment control process, we evaluate the cost of IT projects in terms of their return on investment. We adopt new technologies, to provide stable and high-performing environments. In FY 2013, we upgraded the capacity and performance of our mainframe systems to address increasing workload demands and to support projects that will facilitate the transition from the NCC to the NSC during FY 2015 and FY 2016.

At the same time, we will continue virtualizing and consolidating our server-based platform to reduce

the number of physical servers maintained in our data centers. We will continue to leverage Cloud Computing in order to extend the service capabilities of our existing IT environment.

### Enhancing Our Infrastructure

In FY 2012, we completed infrastructure changes to restore national IT operations within one day in the event of a disaster. We test our critical system recovery processes on an annual basis. We will continue to conduct disaster recovery exercises.

Over the next several years, we will implement several technologies including high-speed disc replication, dynamic load balancing with high bandwidth connectivity between data centers, additional data center capacity, and automatic failover and staging systems.

### External Factors

The following external factor may affect our efforts to maintain system performance and the continuity of information technology services:

- New legislation, changing technology, and high volumes of workloads may affect planned activities.

## Performance Measures - Strategic Objective 5.1

### 5.1a: Provide uninterrupted access to our systems during scheduled times of operation

Fiscal Year	2010	2011	2012	2013	2014	2015
Performance	99.84%	99.89%	99.9%	99.96%		
Target			99.5% availability	99.5% availability	99.5% availability	99.5% availability
Target Met			Met	Met		

**Description of Results:**

We exceeded our FY 2013 goal for uninterrupted systems availability.

**Data definition:** We define enterprise availability as a weighted total availability of service channel mission-critical applications for all our customers. We consider an application available when the end user can perform all business functions within the application with reasonable response times. The weighting takes into account the relative impact that an outage could have on our customers, considering both the functionality and the service hours that are potentially affected. Six different service channels (online, DDS electronic disability process, Internet, telephone, data exchange, and weekend online services) and accompanying applications are included. Mission-critical services in our Enterprise Availability include:

- Self-service Internet benefits applications;
- Automated telephone menu data applications;
- Email and case processing systems used by our direct support staff, or by our partnering State DDS staff; and

Data exchange systems used by our governmental or business partners.

**Data source:** HP OpenView Service Center (data is limited to Critical Application Severity 1 outages).

### 5.1b: Ensure the continuity of our agency's operations by transitioning information technology production functions to the National Support Center (NSC) by FY 2016 (NEW)

Fiscal Year	2014	2015
Target	Complete migration planning and preparations	Enable network and telecommunications capabilities, and transition the first group of enterprise workloads to the NSC

**Data Definition:** This includes the planning, design, development, and construction of a new NSC to replace the aging NCC facilities infrastructure.

**Data Source:** NSC Migration Master Schedule

## Strategic Objective 5.2: Enhance and Execute Plans to Modernize Our Systems

We support and employ technologies championed by the Federal Chief Information Officer (CIO) Council and the Federal IT Reform Plan, such as digital government; shared services; modular development; near 24 hours a day, 7 days a week system availability; and cloud computing architecture.

We are constantly evolving our IT to incorporate stable, modern technologies that align with our business needs. We are making good progress in evolving our computer code, once dominated by older programming languages (e.g., Common Business Oriented Language and Assembler Language Code) to reflect a better balance of more modern code with older, well-maintained, and highly-functioning code. We focus on improving the presentation and usability of our older systems and removing technical risks.

We strive for a balanced strategy of investing in new and improving existing business applications and infrastructure as funding permits. We incrementally modernize our older software applications based on business opportunity and technical risk. We will continue to push toward the use of newer, more adaptable technologies, while continuing to maintain the code base and systems that support our critical mission.

### Strategies

- Refresh IT planning activities to effectively prioritize and manage IT investments;
- Employ technology to extend service, mitigate risk, and reduce cost; and
- Assess application portfolios, focusing on cost, business value, and technology sustainability.

#### Did You Know?

As we modernize our core network, we will double our bandwidth while lowering costs.

## Key Initiatives

### Modernizing Older Software Applications

We incrementally modernize our legacy software applications. We evaluate our existing software applications to ensure they meet our business goals and conform to our Enterprise Architecture plans. We use these evaluations to identify applications to retire, modernize, or maintain.

We plan to:

- Modernize our SSI programmatic systems;
- Modernize and consolidate our OASDI programmatic systems;
- Modernize and integrate additional workload processing systems, including Representative Payee, workload management listings, and Appeals processing systems; and
- Upgrade our telecommunications and network infrastructure.

### Improving Information Technology Governance and Architectural Planning

This initiative addresses the governance of our IT planning activities and the technologies that support our infrastructure. Improving IT Governance and Architectural Planning covers a wide range of systems development and planning activities related to standards and regulations, systems management, life-cycle support, user groups, performance and availability, and new technologies. The major driving force for this initiative is to ensure that we develop and maintain our systems in a manner that adheres to our policies and to Federal IT requirements.

This initiative also includes support of technology needed to extend and maintain our services. We provide support for the design, installation, and maintenance of the hardware and software needed to ensure a reliable, efficient, and effective environment for all of our platforms.

## **External Factors**

The following external factors may affect our efforts to enhance and execute plans to modernize our systems:

- It is critical that our budget continues to allow us to modernize our IT infrastructure.

Modern-day IT solutions help us build efficiencies into our processes and provide more service options to the public. .

- Legislative changes and other Federal mandates often require reallocation of scarce resources.

## Performance Measures - Strategic Objective 5.2

**5.2a:** Enhance systems performance and reliability by upgrading the telecommunications infrastructure in our offices (NEW)

Fiscal Year	2014	2015
Target	Complete the infrastructure upgrade to incorporate modern technologies that support future internet and network capacity needs and new capabilities	Modernize the telecommunications infrastructure to include improved external and internal communications capabilities, such as Internet chat and video.

**Data definition:** This target provides for the design, installation, implementation, monitoring, and maintenance of our Wide Area and Local Area Networks and the connectivity to these network services to end users nationwide. It also provides the communication medium through which our employees receive data such as voice and video, administers the Networks services agency-wide, and the exchange of data with other Federal and State agencies. The projects in this initiative involve the National 800 Number, Satellite and Wireless Communications Solutions, Video Conferencing, fax, Voice over Internet Protocol, Electronic Messaging, and the procurements of system hardware and software services.

**Data source:** Our Wide Area and Local Area Networks and Connectivity Plan (Networks)

**5.2b:** Maintain reliable IT services by continually assessing business and infrastructure applications to identify those that are high risk, and determine strategies to renovate, replace, or retire those identified (NEW)

Fiscal Year	2014	2015
<b>Target</b>	Identify high-risk applications and appropriate mitigation strategies  Submit proposals to IT Investment selection process	Identify high-risk applications and appropriate mitigation strategies  Submit proposals to IT Investment selection process

**Data definition:** Application Portfolio Management (APM) is a disciplined and repeatable process used in assessing the business value of each existing software application and service through ensuring alignment with strategic business goals, deciding which applications are eligible to retire, renovate, or maintain while taking into account the risk factors involved.

Selected application candidates are reviewed during our Strategic Information Technology Assessment and Review (SITAR) process to ensure requirements and proposals support our strategic direction (as outlined in our ASP) and other target architecture plans.

**Data source:** APM Annual Review, SITAR Prioritization Review



### **Strategic Objective 5.3: Incorporate Innovative Advances in Service Delivery**

Technology transforms how we conduct business. Advances in computer technology, the increase of high-speed networks, and mobile innovation have introduced new products and reshaped existing service channels. Growing customer expectations drive us to consider an expanding number of service delivery channels.

We will continue to actively participate in the Federal CIO Council, leverage the expertise of industry IT experts and technical consultants, and be attentive to emerging technologies and how other public and private organizations are innovating with technology. We will harness suitable technology innovations to create effective and efficient service delivery options.

Our business and technical staffs will work collaboratively to develop new, more flexible and efficient ways to perform our work, focusing on where reengineering is most needed. We are confident that we can develop the most effective IT solutions for our customers and our employees.

#### **Strategies**

- Deliver accurate, convenient, and flexible agency systems and services in a cost-conscious manner;
- Explore the use of emerging technologies to improve service and increase efficiency; and
- Engage and benchmark private and public IT communities to ensure the timely identification of important new technologies and best practices.

#### **Did You Know?**

We celebrated our National 800 Number's 25<sup>th</sup> anniversary on October 1, 2013.

### **Key Initiatives**

#### **Replacing Our National 800 Number Infrastructure**

The Citizens Access Routing Enterprise 2020 (CARE 2020) replaces our existing National 800 Number telecommunication infrastructure with enhanced menus, self-service features, and speech-recognition technology to improve the caller's experience and reduce customer frustration. CARE 2020 is a cloud-based service awarded under the GSA Networx contract. CARE 2020 utilizes Voice over Internet Protocol technology and will yield significant reductions in usage charges over the current service. CARE 2020 provides a platform for enhanced manageability and expanded options for new communications channels. In FY 2013, we deployed CARE 2020 infrastructure with automated services.

#### **Implementing Field Office Estimated Wait-Time Messaging**

In FY 2013, we implemented a feature that provides callers with the estimated amount of time it will take a field office representative to answer their calls. We will evaluate the results of the first year of service to see if we achieved our expected goals and projected savings. Based on the results of our evaluation, we may enhance this feature in FY 2014.

#### **External Factors**

The following external factor may affect our efforts to incorporate innovative advances in service delivery:

- Although we have used technology to improve our work processes, making them more efficient and enabling us to absorb huge increases in workloads, today's technology-driven information environment means that the public demands more sophisticated, integrated service channels to supplement our traditional structure.

## Performance Measures - Strategic Objective 5.3

**5.3a:** Enhance our IT infrastructure by implementing innovative systems accessibility and performance capabilities (NEW)

Fiscal Year	2014	2015
Target	Implement Bandwidth on Demand, which will provide the ability to increase telecommunications capacity to quickly meet the changing service needs of our offices and clients.	Increase hardware sharing to improve resource management including more efficient use of resources, improved capacity, reduced physical server needs, and enhanced disaster recovery.

**Data definition:** This target provides for the design, installation, implementation, software, monitoring and maintenance of our Wide Area and Local Area Networks and the connectivity to these network services to end-users nationwide. It also provides the communication medium through which our employees receive data such as voice and video, administers the Networxs services agency-wide, and the exchange of data with other Federal and State Agencies. The projects in this initiative involve the National 800# Call Center, Satellite and Wireless Communications Solutions, Video Teleconferencing, Fax, Voice over Internet Protocol, Electronic Messaging, and the procurements of system hardware and software services.

**Data source:** Our Wide Area and Local Area Networks and Connectivity Plan (Networxs)

**5.3b:** Explore the use of emerging technologies by establishing a testing lab to promote research and development of innovative technology solutions that provide more effective and flexible ways for the public to conduct business with us online and for our employees to complete their work (NEW)

Fiscal Year	2014	2015
Target	Identify and implement new innovative tools to expand the capabilities of the testing lab to develop solutions that accommodate evolving customer preferences.	Upgrade testing lab security software and tools that enable us to safely test more innovative security and fraud detection solutions.

**Data definition:** As a result of today’s volatile and unpredictable mobile, tablet and personal computer environment, we must conduct compatibility testing with a multitude of devices, browsers and operating systems to ensure our online customers are able to successfully conduct business with us no matter what device they use. By monitoring the advances being made in delivery channels and by monitoring the use of these channels to access our services, we determine which devices to purchase and test in our testing lab, focusing on the devices with the highest percent of use.

**Data source:** Industry and national trends; Google Analytics (<http://www.socialsecurity.gov/>).

## **Strategic Objective 5.4: Continuously Strengthen Our Cyber Security Program**

Given the sensitive nature of the highly personal information and data within our systems, data integrity and security, as well as the protection of individual privacy, are primary IT service imperatives. New services and delivery channels expose us to modern threats. We must be vigilant and continue to strengthen our cyber security intelligence and protections.

We maintain a comprehensive, agency-wide information security program of controls that protect our information and communications assets. We continually review policies and processes and take appropriate corrective action to ensure adequate safeguards to prevent misuse and unauthorized access to assets and sensitive data, including PII.

### **Strategies**

- Maintain information security preparedness;
- Continually adjust security processes and procedures to reflect changes in technology, the sensitivity of our data and systems, and awareness of actual and potential internal and external threats;
- Perform risk-based systems reviews to enhance continuous monitoring and data loss prevention strategies; and
- Enhance our audit trail, integrity review, and fraud prevention processes.

### **Key Initiatives**

#### **Protecting Our Systems and Data**

We will continue to strengthen our information security program to meet the standards and requirements of the *Federal Information Security Management Act of 2002* by training our employees and implementing effective cyber security technologies. In FY 2012, we instituted agency-wide online systems security awareness training. In FY 2013 we expanded this training. In FY 2014, we plan to further expand and enrich the current cyber security training curriculum and increase training opportunities.

We also continue to deploy new tools and techniques to enhance protection of our data, systems, and business processes. In FY 2013, we deployed a data-loss-prevention tool to strengthen our systems protection. In FY 2014, we will activate additional functionality of this tool, enabling more comprehensive protection of PII and other sensitive information.

#### **Implementing Audit Trail System New Architecture Phase II**

Initially developed in 1990, the Audit Trail System (ATS) ensures we protect our records and funds from improper use. ATS collects and maintains detailed information about transactions performed by employees and the American public. ATS stores data from programmatic and select Internet applications, allowing us to review transactions for the purpose of deterring, detecting, and investigating instances of fraud and abuse. ATS is an integral part of our cyber security program.

Our existing ATS architecture has become outdated, and we must now develop a new architecture. In FY 2014, we will pilot a new ATS architecture, which will include back-up and disaster recovery capabilities. We will also undertake research and systems enhancements to assist in detecting fraudulent activities related to our Internet transactions.

#### **Implementing Information Security Plan**

We maintain a comprehensive, agency-wide information security program of controls that protect information and communications assets, including hardware, systems, software, and data. We employ a defensive in-depth approach to security; whereby, we employ multiple complimentary layers of security defense. We continually review policies and processes and take appropriate corrective action to ensure adequate safeguards to prevent misuse and unauthorized access to assets and sensitive data, including PII.

We adhere to the following DHS's Federal Network Security Compliance and Assurance Program requirements and the Cross-Agency Priority goals:

- Established a single Trusted Internet Connection Access Provider;
- Participated in the National Cyber Protection System;
- Employed an Information Security Continuous Monitoring Strategy to ensure we have an accurate view of our risk position and the effectiveness of our controls. We automatically share our computer security information across the Federal civilian government so that Federal agencies are aware of the threats to their infrastructure and can act swiftly to take corrective measures; and
- Implemented Homeland Security Presidential Directive 12 Personal Identify Verification Cards as a secure form of identification.

New services and delivery channels expose us to modern threats. We must be consistently diligent

and continue to strengthen our cyber security intelligence and protections. We continually adjust our Information Security Plan to reflect changes in technology, the sensitivity of covered information and information systems, and internal or external threats to information and communications.

### External Factors

The following external factor may affect our efforts to continuously strengthen our cyber security program:

- As the agency continues to shift its business model to enable the public to use more online services, the potential for fraud will increase. Sufficient resources are essential to effectively safeguard personal information and protect the public trust against fraudulent activity.

## Performance Measures - Strategic Objective 5.4

**5.4a:** Provide secure and effective services to the public by improving cyber security performance (NEW)

Fiscal Year	2014	2015
<b>Target</b>	Meet the performance requirements of the DHS' Federal Network Security Compliance and Assurance Program and the Cyber Security Cross-Agency Priority Goals	Meet the performance requirements of the DHS' Federal Network Security Compliance and Assurance Program and the Cyber Security Cross-Agency Priority Goals

**Data definition:** Define and implement strong controls to continuously monitor the security status of network, systems and information and ensure that individuals with access to our network resources are using strong authentication to connect.

**Data source:** DHS' Cyber Security Cross-Agency Priority Goals [http://goals.performance.gov/goals\\_2013](http://goals.performance.gov/goals_2013).

# APPENDIX A - OUR MANAGEMENT AND PERFORMANCE CHALLENGES

In Fiscal Year (FY) 2013, the Office of the Inspector General (OIG) identified eight top management and performance challenges (see brief summary below). For additional information, please refer to [OIG's Top SSA Management Issues](#). (Responsible official acronyms are listed in [Appendix E](#), Summary of Key Management Official's Responsibilities.)

- 1. Strengthen Strategic and Tactical Planning (COSS, CSO, DCHR, DCS)**  
Challenge: As workloads rise, a greater proportion of the Social Security Administration's (SSA) workforce becomes eligible to retire. Given the expectation of leaner future budgets, SSA needs long-range plans to meet its long-term challenges, including rising workloads, decreases in experienced staff, complex program policies, and a greater need for electronic services.
- 2. Improve Customer Service (DCDAR, DCO, DCS)**  
Challenge: Many factors challenge SSA's ability to provide quality service to the public, including budget constraints, growing workloads, changing customer expectations, an aging workforce, and shifting demographics.
- 3. Improve the Timeliness and Quality of the Disability Process (DCDAR, DCO)**  
Challenge: SSA needs to address millions of initial disability and reconsideration claims, resulting in a significant backlog. SSA must address efforts to reduce the initial claims and continuing disability review backlog and improve the timeliness and quality of the disability process.
- 4. Improve Transparency and Accountability (DCBFQM, DCCOMM, DCS)**  
Challenge: Transparency and accountability are critical factors in the level of trust and confidence the American public has in the government, including SSA. Mismanagement, waste, and lack of transparency in government operations can erode the public's trust in our ability to accomplish our goals and address challenges. Specific challenges for SSA include concerns over its internal controls, systems security, and administrative cost allocations.
- 5. Invest in Information Technology Infrastructure to Support Current and Future Workloads (DCS)**  
Challenge: SSA faces the challenge of how to best use technology to meet the agency's increasing workloads. Congress, SSA's Advisory Board, the OIG, and others have concerns about SSA's system continuity and availability, system modernization efforts, Information Technology (IT) service delivery, and IT strategic planning, and management of IT investments.
- 6. Reduce Improper Payments and Increase Overpayment Recoveries (DCRDP, DCBFQM)**  
Challenge: Given the large overall dollars involved in SSA's payments, even the slightest error in the overall process can result in millions of dollars in over- or underpayments. SSA needs to adhere to requirements in Executive Order 13520, *Reducing Improper Payments and Eliminating Waste in Federal Programs*; the *Improper Payments Elimination and Recovery Act of 2010*; and the *Improper Payments Elimination Act of 2012* to address improper payments.
- 7. Reduce the Hearings Backlog and Prevent its Recurrence (DCDAR)**  
Challenge: While SSA had a plan to eliminate the hearings backlog by 2013, the number of pending cases increased, and the average processing time remains above the goal of 270 days.
- 8. Strengthen the Integrity and Protection of the Social Security Number (DCS)**  
Challenge: Protecting the Social Security number (SSN) and properly posting the wages reported under SSNs are critical to ensuring eligible individuals receive the full benefits they are due.

The General Accounting Office (GAO) included SSA in the high-risk area for [Improving and Modernizing Federal Disability Programs \(www.gao.gov/highrisk/risks/insurance/federal\\_disability.php\)](#). GAO stated SSA relies on out-of-date criteria to a great extent in making disability benefit decisions. GAO also determined [Management of Disability Claims Workload Will Require Comprehensive Planning \(www.gao.gov/products/GAO-10-667T\)](#).

## 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

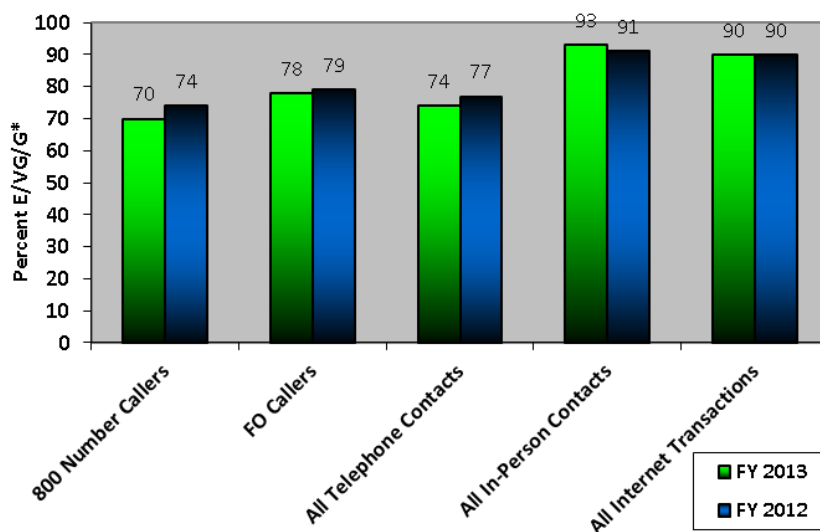
We measure satisfaction with our services by surveying people who use them. The surveys we conduct reflect the public's perception of the services we provide in person, on the Internet, or by telephone at our National 800 Number and in our field offices (FO). The feedback helps us identify strengths 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**



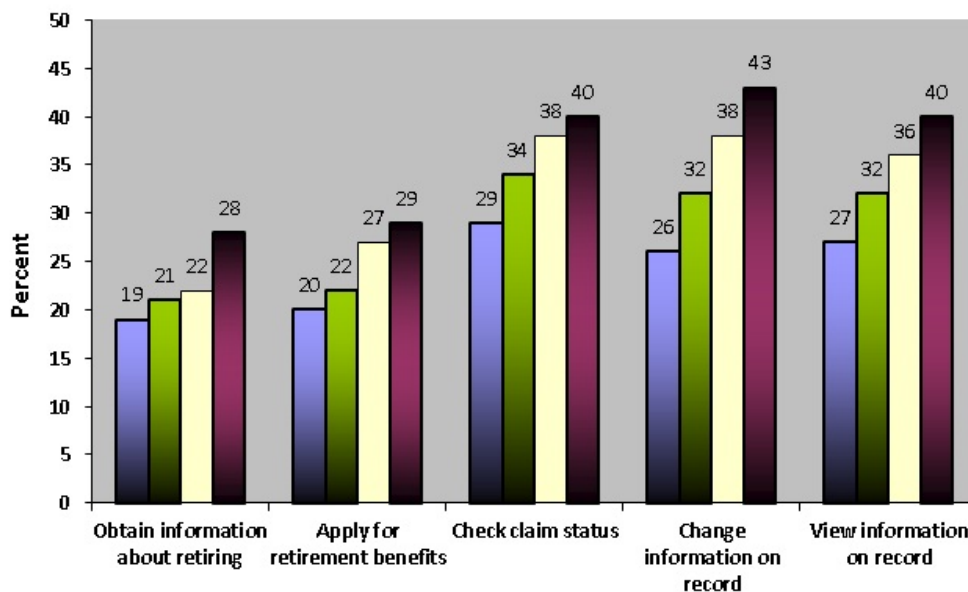
Satisfaction with the service our employees provide is also a very important factor in the overall satisfaction of our service. Our surveys find that our employees receive high marks for their courtesy, helpfulness, job knowledge, and the clarity of their explanations, whether they provide service on 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.

### Preeffectuation 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](#)  
([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))

# APPENDIX C - HOW WE ENSURE OUR DATA INTEGRITY

We remain committed to providing clear, reliable, and valid data for management decision making and oversight. We have internal controls in place to ensure that our data are quantifiable, verifiable, and secure. Our internal systems and controls include:

- Audit trails;
- Integrity reviews;
- Separation of duties;
- Restricted access to sensitive data;
- Reviews at all levels of management; and

- Validation and verification in our System Development Life Cycles.

We designed these controls to safeguard the integrity and quality of our vast data resources and provide assurances that our data contain no material inadequacies. These same controls support the Commissioner's *Federal Managers' Financial Integrity Act* Assurance Statement.

## Data Integrity Systems and Controls

We gather data for our performance measures using automated management information and other workload measurement systems. In fiscal year (FY) 2010, we initiated a new data quality program designed to assess, measure, and monitor the quality of performance data. We evaluate the data in terms of four quality dimensions:

- Accuracy – measuring how well data adheres to specification (e.g., definitions, rules, and policies);
- Consistency – measuring consistency in internal and external reporting of data;
- Completeness – measuring missing occurrences or attributions of the data; and
- Timeliness – measuring the currency of the data (i.e., data are up to date, and reporting occurs on time).

We conduct these quality evaluations based on established internal methodologies. As we introduce new performance measures, we establish a baseline by performing a comprehensive assessment of management information data using these four quality dimensions. After the baseline, we automate the continuous monitoring of the data to make sure we are sustaining high-quality performance data. Continuous monitoring allows us to follow trends in data quality and proactively remediate potential data quality issues.

In FY 2013, we performed baseline assessments for the following performance measures:

- Increase the Percentage of Claims Filed Online;
- Net Disability Determination Service (DDS) Accuracy by State
- Medicare Determinations by State
- Social Security Administration Enumeration Accuracy

These data were in addition to continuously monitoring previously base lined performance measures, thereby expanding data quality program.

Also, the data for several accuracy and public satisfaction measures come from surveys and work samples, which provide confidence levels of 95 percent or higher.

The Audit Trail System (ATS) enables us to execute our fiduciary responsibility by ensuring we protect our records and taxpayer funds from improper use. ATS collects and maintains detailed information about transactions performed by employees and the American public and stores data from programmatic and select Internet applications, allowing us to retrieve transactions for the purpose of deterring, detecting, and investigating instances of fraud and abuse.

## Audit of Our FY 2013 Financial Statements

The *Chief Financial Officers Act of 1990* requires the Office of the Inspector General (OIG) or an independent external auditor that it selects to audit our financial statements. OIG selected Grant Thornton, LLP to conduct the FY 2013 audit.

The audit concluded that our financial statements fairly present in all material respects our financial position. The audit included examining, on a test basis, evidence supporting the amounts and disclosures in the financial statements.

## Role of the Office of the Inspector General

OIG plays a key role in protecting our programs and operations from waste, fraud, and abuse by conducting independent and objective audits, evaluations, and investigations. OIG provides timely, useful, and reliable information and advice to agency officials, Congress, and the public.

OIG's Office of Audit conducts performance audits of our programs and operations and makes recommendations to make sure we achieve our program objectives. In addition, OIG contracted with KPMG, LLP, an independent auditing firm, to audit our performance indicators to ensure our established performance measures comply with the *Government Performance and Results Act (GPRA) Modernization Act of 2010*. In FY 2013, OIG issued two audits evaluating three of our GPRA performance indicators: (1) DDS case production per work year, (2) achieve the target number of initial disability claims pending, and (3) complete the budgeted number of hearing requests.

The reports are:

- [Performance Indicator Audit: Disability Claims \(A-15-12-12116\)](http://oig.ssa.gov/audits-and-investigations/audit-reports/A-15-12-12116) ([oig.ssa.gov/audits-and-investigations/audit-reports/A-15-12-12116](http://oig.ssa.gov/audits-and-investigations/audit-reports/A-15-12-12116)); and
- [Performance Indicator Audit: Hearing Requests \(A-15-12-12115\)](http://oig.ssa.gov/sites/default/files/audit/full/pdf/A-15-12-12115.pdf) (<http://oig.ssa.gov/sites/default/files/audit/full/pdf/A-15-12-12115.pdf>).

The objectives of these audits were to:

- Comprehend and document our sources of data for the specific performance measure OIG selected for review;
- Identify and test critical controls (both electronic data processing and manual) of systems that generated the specified performance data;
- Test the adequacy, accuracy, reasonableness, completeness, and consistency of the underlying data for the specified performance measure; and
- Recalculate each performance measure to ascertain its accuracy.

For the performance measures, *Achieve the Budgeted Goal for Disability Determination Services Cases Production per Work-Year* and *Achieve the Target Number of Initial Disability Claims Pending*, KPMG stated, "Based on the results of our audit, we do not believe the performance indicators (PI) were adequate, accurate, reasonable, complete, and consistent with the underlying data. We noted, however, that internal controls over the system supporting the PIs were operating effectively."

For the third performance measure, *Complete the Budgeted Number of Hearing Requests*, KPMG stated, "Based on the results of our audit, we believe the PI was adequate, accurate, reasonable, complete, and consistent with the underlying data. In addition, we noted that internal controls over the system supporting the PI were operating effectively."

These and other OIG reports are located on [OIG's webpage \(oig.ssa.gov/audits-and-investigations/audit-reports/2012-10--2013-09\)](http://oig.ssa.gov/audits-and-investigations/audit-reports/2012-10--2013-09).

## APPENDIX D - KEY BUDGETED WORKLOADS - HISTORICAL PERFORMANCE

### Achieve the target speed in answering National 800 Number calls (DCO)

	FY 2008	FY 2009	FY 2010	FY 2011	FY 2012	FY 2013
<b>Performance</b>	326 seconds	245 seconds	203 seconds	180 seconds	294 seconds	617 seconds
<b>Target</b>	330 seconds	330 seconds	269 seconds	267 seconds	285 seconds	535 seconds
<b>Target Met</b>	Met	Met	Met	Met	Not Met	Not Met

**Description of Results:**

The multi-year hiring freeze led to a 21 percent decrease in call agent staffing. Additionally, the new CARE2020 network has increased the queuing capacity of the National 800 Number allowing more callers to wait for live agents.

### Achieve the target busy rate for National 800 Number calls (DCO)

	FY 2008	FY 2009	FY 2010	FY 2011	FY 2012	FY 2013
<b>Performance</b>	10%	8%	5%	3%	5%	11.9%
<b>Target</b>	10%	10%	8%	6%	6%	16%
<b>Target Met</b>	Met	Met	Met	Met	Met	Met

**Description of Results:**

We met the FY13 target goal

**Complete the budgeted number of retirement, survivors, and Medicare claims (DCO)**

	FY 2008	FY 2009	FY 2010	FY 2011	FY 2012	FY 2013
<b>Performance</b>	4,236,455	4,742,218	4,700,990*	4,877,955	5,001,092	5,006,855*
<b>Target</b>	4,065,000	4,543,000	4,718,000 (4,658,124 rec'd)	4,590,000	4,918,000	5,269,000 (4,952,591 rec'd)
<b>Target Met</b>	Met	Met	Met	Met	Met	Met

**Description of Results:**

We received over 4.9 million retirement, survivors, and Medicare claims and processed over 5.0 million, meeting the goal once again.

\*Performance results are based on actual receipts because actual receipts were lower than the target.

**Complete the budgeted number of SSI non-medical redeterminations (DCO)**

	FY 2008	FY 2009	FY 2010	FY 2011	FY 2012	FY 2013
<b>Performance</b>	1,220,664	1,730,575	2,465,878	2,456,830	2,624,170	2,634,183
<b>Target</b>	1,200,000	1,711,000	2,422,000	2,422,000	2,622,000	2,622,000
<b>Target Met</b>	Met	Met	Met	Met	Met	Met

**Description of Results:**

We met our SSI non-medical redeterminations goal for FY 2013

**Complete the budgeted number of full medical continuing disability reviews (DCO)**

	FY 2008	FY 2009	FY 2010	FY 2011	FY 2012	FY 2013
<b>Performance</b>	245,388	316,960	324,567	345,492	443,233	428,568
<b>Target</b>	N/A	N/A	N/A	N/A	435,000	422,000
<b>Target Met</b>	N/A	N/A	N/A	N/A	Met	Met

**Description of Results:**

We met our FY 2013 full medical continuing disability review goal.

**Average processing time for initial disability claims (DCO)**

	FY 2008	FY 2009	FY 2010	FY 2011	FY 2012	FY 2013
<b>Performance</b>	106	101	111	109	102	107.4 days
<b>Target</b>	107	129	132	118	111	109 days
<b>Target Met</b>	Met	Met	Met	Met	Met	Met

**Description of Results:**

We met our FY 2013 initial disability claims average processing time goal

Average processing time for hearings decisions (DCDAR)						
September	2008	2009	2010	2011	2012	2013
Performance	509	472	390	345	362	396 days (September only)
Target					321	~389 days (September only)
Target Met					Not met	Not Met
<p><b>Description of Results:</b></p> <p>Despite our hard work and past successes, we missed our goal by 7 days. The record number of hearing requests received between FY 2010 and FY 2012 continued to delay the timely completion of hearings decisions. We could not expand our adjudicative capacity to hear and decide cases because of a depleted administrative law judge (ALJ) register, which will be refreshed in FY 2014. In FY 2014, we plan to hire up to 200 ALJs and associated support staff to begin to decrease wait times once again.</p>						

Complete the budgeted number of initial disability claims (DCO)						
	FY 2008	FY 2009	FY 2010	FY 2011	FY 2012	FY 2013
Performance	2,607,282	2,812,918	3,161,314	3,390,936	3,206,869	2,987,883
Target	2,582,000	2,637,000	3,081,000	3,273,000	3,173,000	2,962,000
Target Met	Met	Met	Met	Met	Met	Met
<p><b>Description of Results:</b></p> <p>We surpassed our FY 2013 goal of completing the budgeted number of initial disability claims by 25,883.</p>						



**Complete the budgeted number of disability reconsiderations (DCO)**

	FY 2008	FY 2009	FY 2010	FY 2011	FY 2012	FY 2013
<b>Performance</b>	560,365	598,098	735,067	828,010	808,521	803,194
<b>Target</b>					787,000	787,000
<b>Target Met</b>					Met	Met

**Description of Results:**

We surpassed our FY 2013 goal of completing the budgeted number of reconsideration disability claims by 16,194.

**Complete the budgeted number of hearing requests (DCDAR)**

	FY 2008	FY 2009	FY 2010	FY 2011	FY 2012	FY 2013
<b>Performance</b>	575,380	660,842	737,616	795,424	820,484	793,580
<b>Target</b>	559,000	647,000	725,000	815,000	875,000	793,000
<b>Target Met</b>	Met	Met	Met	Not Met	Not Met	Met

**Description of Results:**

We surpassed our FY 2013 goal of completing the budgeted number of hearing requests by 580 decisions.

**Achieve the target number of initial disability claims pending (DCO)**

	FY 2008	FY 2009	FY 2010	FY 2011	FY 2012	FY 2013
<b>Performance</b>	556,670	779,854	842,192	759,023	707,700	698,127
<b>Target</b>			1,041,000	845,000	861,000	804,000
<b>Target Met</b>			Met	Met	Met	Met

**Description of Results:**

We reduced our initial disability claims pending from the FY 2012 pending level and exceeded the FY 2013 target.

**Achieve the target number of disability reconsiderations pending (DCO)**

	FY 2008	FY 2009	FY 2010	FY 2011	FY 2012	FY 2013
<b>Performance</b>	115,059	161,264	157,977	164,049	197,788	173,472
<b>Target</b>					184,000	220,000
<b>Target Met</b>					Not Met	Met

**Description of Results:**

We reduced our reconsideration disability claims pending below the FY 2012 level and surpassed our FY 2013 goal by 46,528 claims.

**Achieve the budgeted goal for hearing case production per workyear (DCDAR)**

	FY 2008	FY 2009	FY 2010	FY 2011	FY 2012	FY 2013
<b>Performance</b>	103	105	105	109	111	109
<b>Target</b>	101	107	108	107	114	111
<b>Target Met</b>	Met	Not Met	Not Met	Met	Not Met	Not Met

**Description of Results:**

ALJs denied more cases in FY 2013 than in recent years. Because denial decisions are more difficult to review and write than allowances for both decision writers and ALJs, our productivity declined.

**Achieve the budgeted goal for DDS case production per workyear (DCO)**

	FY 2008	FY 2009	FY 2010	FY 2011	FY 2012	FY 2013
<b>Performance</b>	266	274	273	287	324	322
<b>Target</b>	264	265	268	275	322	320
<b>Target Met</b>	Met	Met	Met	Met	Met	Met

**Description of Results:**

We achieved our FY 2013 DDS case production per workyear goal.

# APPENDIX E - CHANGES TO PERFORMANCE MEASURES

PERFORMANCE MEASURE ESTABLISHED IN FISCAL YEAR 2014	
1.1a	Improve access to our services by increasing the number of citizens who complete their business with us online
1.2a	Provide the public with a more convenient hearing alternative by increasing the percentage of video hearings conducted
1.2b	Expand the services available under <i>my Social Security</i> by implementing an online Social Security Number Replacement Card application
1.2c	Maintain customer satisfaction with our online services
1.2d	Provide the public with access to personalized information by increasing the number of established <i>my Social Security</i> accounts
1.3a	Minimize the average response time to deliver medical evidence to the Department of Veterans Affairs (VA) for wounded warriors and veterans
1.3b	Partner with Department of Health and Human Services and the VA to better serve the homeless population
2.1a	Redesign our earnings system to improve the accuracy and timeliness of the earnings data used to calculate benefits
2.2a	Implement a fraud and integrity unit to protect the public's data
2.2b	Enhance our security features and business processes to prevent and detect fraud
2.3a	Reduce the percentage of improper payments made under the Supplemental Security Income program
2.3b	Maintain the low percentage of improper payments made under the Old-Age, Survivors, and Disability Insurance program
3.1a	Expedite cases for the most severely disabled individuals by achieving the target percentage of initial disability cases identified as Quick Disability Determination or Compassionate Allowances
3.1c	Ensure the quality and consistency of our hearing decisions by randomly reviewing a percentage of cases using an inline quality review
3.2a	Improve the disability determination process by increasing the percentage of initial disability claims with health Information Technology (IT) medical evidence
3.3a	Achieve the target number of beneficiaries participating in the Ticket to Work program who work
4.2a	Reduce skills gaps for leaders and/or potential leaders to improve leadership competencies
4.2b	Reduce skills gaps in mission critical occupations to improve general and technical competencies
4.3a	Maintain status as one of Top 10 Best Places to Work among large agencies in the Federal Government
4.3b	Achieve the target two-year new hire retention percentage
4.3c	Increase workplace flexibilities by expanding telework opportunities for employees

PERFORMANCE MEASURE ESTABLISHED IN FISCAL YEAR 2014	
4.4a	Conduct workforce analysis and planning activities to support future workforce transition initiatives
4.4b	Achieve target number of human capital metrics identified in ongoing human capital performance review sessions
5.1b	Ensure the continuity of our agency's operations by transitioning IT production functions to the National Support Center by fiscal year 2016
5.2a	Enhance systems performance and reliability by upgrading the telecommunications infrastructure in our offices
5.2b	Maintain reliable IT services by continually assessing business and infrastructure applications to identify those that are high risk, and determine strategies to renovate, replace, or retire those identified
5.3a	Enhance our IT infrastructure by implementing innovative systems accessibility and performance capabilities
5.3b	Explore the use of emerging technologies by establishing a testing lab to promote research and development of innovative technology solutions that provide more effective and flexible ways for the public to conduct business with us online and for our employees to complete their work
5.4a	Provide secure and effective services to the public by improving cyber security performance

CARRYOVER PERFORMANCE MEASURES WITH TITLE CHANGES		
	Fiscal Year 2014 New Title	Fiscal Year 2013 Old Title
3.1b	Ensure the quality of our decision by achieving the disability determination services (DDS) decisional accuracy rate for initial disability decisions	DDS decisional accuracy rate for initial disability decisions
3.1d	Increase our ability to provide timely decisions by focusing on our oldest cases first	Eliminate the oldest pending hearing requests
4.1a	Achieve the target veteran and disabled veteran new hire percentage to improve their representation in our workforce	Recruit and hire veterans and disabled veterans
4.1b	Achieve the target on-board representation of employees with targeted disabilities	Employ individuals with targeted disabilities
5.1a	Provide uninterrupted access to our systems during scheduled times of operation	Percentage of enterprise-wide systems availability

# APPENDIX F - SUMMARY OF KEY MANAGEMENT OFFICIALS' RESPONSIBILITIES

**Commissioner of Social Security (COSS), Carolyn W. Colvin (acting)**, manages all agency programs and staff. Also serves as the Chief Operating Officer, responsible for improving agency management and performance.

**Deputy Commissioner of Social Security (DCOSS), [Vacant]** serves as the alter ego for the COSS.

**Chief Strategic Officer (CSO), Ruby Burrell**, advises and assists the Commissioner and Deputy Commissioner to ensure that the mission and goals of the agency are achieved through strategic and performance planning, measurement, analysis, regular assessment of progress, and use of performance information to improve the results achieved. The CSO also serves as the Performance Improvement Officer.

**Chief Actuary (CACT), Stephen C. Goss**, plans and directs program actuarial estimates and analyses for our programs and for any proposed changes in programs and trust funds. The CACT provides technical and consultative services to the COSS, the Board of Trustees of the Social Security Trust Funds, Congress, and their staffs.

**General Counsel (GC), David F. Black**, advises the COSS, DCOSS, and all subordinate organizational components (except the Inspector General) on legal matters.

**Inspector General (IG), Patrick P. O'Carroll Jr.**, promotes economy, efficiency, and effectiveness in the administration of our programs and operations, and prevents and detects fraud, waste, abuse, and mismanagement.

**Deputy Commissioner for Budget, Finance, Quality and Management (DCBFQM), Peter D. Spencer**, directs our comprehensive management programs including budget, quality reviews and studies, financial policy, acquisition and grants, facilities and supply management, and security and emergency preparedness.

**Deputy Commissioner for Communications (DCCOMM), Doug Walker**, conducts our national public information and outreach programs; leads our efforts to improve the clarity, tone, and readability of our notices; and fosters the transparency of our operations.

**Deputy Commissioner for Disability Adjudication and Review (DCDAR), Glenn E. Sklar**, administers our nationwide appeal and review program in accordance with relevant Federal laws.

**Deputy Commissioner for Human Resources (DCHR), Reginald F. Wells, Ph.D.**, administers our human resources programs, including training, human capital initiatives, personnel and employee relations, labor management, and civil rights and equal opportunity.

**Deputy Commissioner for Legislation and Congressional Affairs (DCLCA), Scott L. Frey**, develops and conducts our legislative program, serves as our liaison to Congress, and analyzes legislative and regulatory initiatives.

**Deputy Commissioner for Operations (DCO), Nancy A. Berryhill**, directs our national network of field offices, National 800 Number teleservice centers, and processing centers. The DCO oversees the State disability determination services.

**Deputy Commissioner for Retirement and Disability Policy (DCRDP), Marianna LaCanfora (acting)**, advises the COSS on major policy issues and is responsible for all major activities in the areas of program policy planning, policy research and evaluation, statistical programs, and overall policy development, analysis, and implementation. Also serves as the accountable official for improper payments.

**Deputy Commissioner for Systems (DCS), William B. Zielinski**, directs the strategic management of our systems and databases, which includes the development, validation, and implementation of any new systems. The DCS directs the conduct of systems and operational integration and strategic planning processes, and the implementation of a comprehensive systems configuration management, database management, and data administration program. The DCS also serves as the Chief Information Officer.

## APPENDIX G - GLOSSARY OF ACRONYMS

### A

ACSI	American Customer Satisfaction Index
AERO	Automatic Earnings Reappraisal Operation
AFGE	American Federation of Government Employees
ALJ	Administrative Law Judge
APM	Application Portfolio Management
ARN	Alien Registration Number
ASA	Average Speed of Answer
ASP	Agency Strategic Plan
ATS	Audit Trail System
AWR	Annual Wage Reporting

### B

BLS	Bureau of Labor Statistics
BSO	Business Services Online

### C

C2C	Click-to-Communicate
CAct	Chief Actuary
CAL	Compassionate Allowances
CARE 2020	Citizens Access Routing Enterprise
CDI	Cooperative Disability Investigation
CDR	Continuing Disability Review
CDREO	Continuing Disability Review Enforcement Operation
CIO	Chief Information Officer
COSS	Commissioner of Social Security

### D

DCBFQM	Deputy Commissioner for Budget, Finance, Quality, and Management
DCCOMM	Deputy Commissioner for Communications
DCDAR	Deputy Commissioner for Disability Adjudication and Review
DCHR	Deputy Commissioner for Human Resources
DCLCA	Deputy Commissioner for Legislation and Congressional Affairs
DCO	Deputy Commissioner for Operations
DCOSS	Deputy Commissioner of Social Security
DCPS	Disability Case Processing System
DCQP	Deputy Commissioner for Quality Performance
DCRDP	Deputy Commissioner for Retirement and Disability Policy
DCS	Deputy Commissioner for Systems
DDS	Disability Determination Services
DEVO	Data Exchange and Verification Online
DHS	Department of Homeland Security
DLP	Data Loss Prevention
DoD	Department of Defense
DOL	Department of Labor
DoS	Department of State
DOT	Dictionary of Occupational Titles
D&I	Diversity and Inclusion

### E

EAB	Enumeration at Birth
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eBB	Electronic Bench Book
eCAT	Electronic Claims Analysis Tool
EDR	Electronic Death Registration
EEO	Equal Employment Opportunity
EEOC	Equal Employment Opportunity Commission
EN	Employment Network
ETDMS	Enterprise Test Data Management System
E/VG/G	Excellent, very good, good
EWR	Electronic Wage Reporting
<b>F</b>	
FEVS	Federal Employee Viewpoint Survey
FISMA	Federal Information Security Management
FPPS	Federal Personnel and Payroll System
FY	Fiscal Year
<b>G</b>	
GAO	Government Accountability Office
GC	General Counsel
GPRA	Government Performance and Results Act (GPRA) Modernization Act of 2010
GSA	General Services Administration
<b>H</b>	
HHS	Department of Health and Human Services
HRODS	Human Resources Operational Data Store
<b>I</b>	
iAppeals	Internet Appeal Applications
IRS	Internal Revenue Service
iSSNRC	Internet Social Security Replacement Card
IT	Information Technology
IVR	Interactive Voice Response
<b>L</b>	
LENS	Leadership Essentials for New Supervisors
<b>M</b>	
MI	Management Information
<b>N</b>	
NCC	National Computer Center
NHRP	Non-Home Real Property
NPRM	Notice of Proposed Rulemaking
NSC	National Support Center
<b>O</b>	
O*NET	Occupational Information Network
OAS	Online Authentication Survey
OASDI	Old-Age, Survivors, and Disability Insurance
OASI	Old-Age and Survivors Insurance
OIG	Office of the Inspector General
OIS	Occupational Information System
OPM	Office of Personnel Management

**P**

PFIR	Public Facing Integrity Review
PI	Performance Indicator
PII	Personally Identifiable Information
PM	Predictive Model
PPS	Partnership for Public Service

**Q**

QDD	Quick Disability Determinations
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**S**

SES CDP	Senior Executive Service Candidate Development Program
SHPC	Self help personal computers
SSA	Social Security Administration
SSI	Supplemental Security Income
SSIMWR	SSI Mobile Wage Reporting
SSITWR	SSI Telephone Wage Reporting System
SSN	Social Security number
SSNAP	Social Security number Application Process
SSNVS	Social Security number Verification Services
STW	Suspended or terminated because of work

**T**

TBD	To Be Determined
TOP	Treasury Offset Program
TWL	Trial-work-level

**V**

VA	Department of Veterans Affairs
VLER	Virtual Lifetime Electronic Record
VR	Vocational Rehabilitation
VRI	Video Remote Interpreting
VSD	Video Service Delivery





SOCIAL SECURITY ADMINISTRATION