

Annual Performance Report

Fiscal Years 2019–2021



Annual Performance Plan for Fiscal Year 2021

Revised Performance Plan for Fiscal Year 2020

Annual Performance Report for Fiscal Year 2019

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A Message from the Commissioner



I am pleased to present the Social Security Administration's *Annual Performance Plan for Fiscal Year 2021, Revised Performance Plan for Fiscal Year 2020, and Annual Performance Report for Fiscal Year 2019*, which detail our priorities and goals for the next two fiscal years and our accomplishments in the past fiscal year.

My top priorities are to improve public service, particularly reducing National 800 Number, field office, and hearings wait times and modernizing our disability policies and our information technology (IT), and augmenting in-person services with digital and automated service options.

Last year, the agency made significant progress in addressing some key challenges. For example, we reduced the hearings pending to 575,421 cases, the lowest level since fiscal year (FY) 2004. In addition, we reduced the average wait time for a hearing decision to 470 days, a 26 percent improvement from the height of 633 days in September 2017. We are on track to eliminate the hearings backlog in FY 2021. We need to bring similar improvement to our National 800 Number service, field office wait times, and IT modernization efforts.

Public service will be at the center of my decisions. We will focus on delivering services effectively, improving the way we do business, and ensuring stewardship. We will use these performance goals to measure how well we are delivering public service and preserving the public's trust in our programs. Based on internal evaluations, I affirm that the performance data in this report is complete, reliable, and accurate.

Respectfully,

A handwritten signature in black ink, appearing to read "Andrew Saul". The signature is fluid and cursive, written over a light gray horizontal line.

Andrew Saul

Baltimore, Maryland

February 10, 2020

Our Mission

Deliver quality Social Security services to the public.

Our Programs

Few government agencies touch the lives of as many people as we do. We administer three programs under the Social Security Act, as amended:

- **Old Age and Survivors Insurance:** Established in 1935, the Old-Age and Survivors Insurance (OASI) program provides retirement and survivors benefits to qualified workers and their family members. In fiscal year (FY) 2019, we paid OASI benefits to over 53 million beneficiaries on average each month, and paid about \$888 billion to OASI beneficiaries through the fiscal year.
- **Disability Insurance:** Established in 1956, the Disability Insurance (DI) program provides benefits for workers who become disabled and their families. In FY 2019, we paid DI benefits to more than 10 million beneficiaries on average each month, and paid approximately \$145 billion to DI beneficiaries through the fiscal year.
- **Supplemental Security Income:** Established in 1972, the Supplemental Security Income (SSI) program provides financial support to aged, blind, and disabled adults and children who have limited income and resources. In FY 2019, we paid SSI benefits to approximately 8 million recipients on average each month (approximately 2.7 million of whom concurrently receive OASI or DI benefits), and we paid over \$58 billion in SSI Federal benefits and State supplementary payments through the fiscal year.

In addition, we support national programs administered by other Federal and State agencies, as required by law, such as Medicare, Employee Retirement Income Security Act of 1974, Coal Act, Supplemental Nutrition Assistance Program (formerly Food Stamps), Help America Vote Act, State Children's Health Insurance Program, E-Verify, Medicaid, and Federal Benefits for Veterans.

We administer our programs in accordance with law and regulations. We have implemented enterprise risk management processes to improve the effectiveness of our organization and program administration. Our goals are informed by strategic opportunities as well as our assessment of identified risks.

Our Organization

Approximately 62,000 Federal employees and 15,000 State employees serve the public from a network of more than 1,500 offices across the country and around the world. Most of our employees directly serve the public or provide support to employees who do. Each day, approximately 173,000 people visit and about 233,000 call one of our field offices nationwide for various reasons such as to file claims, ask questions, or update their information.

Our National 800 Number handles over 33 million calls each year. Callers can conduct various business transactions by speaking directly with a customer service representative or through our 24-hour automated services, which include requesting benefit verification letters, ordering replacement Medicare cards, and obtaining claim status updates.

The public can also do business with us online. Our online suite of services provides a convenient, safe option for anyone interested in conducting business with us online, viewing his or her Social Security records, or looking for information about our programs and services.

Our processing centers (PC) handle complex Social Security retirement, survivors, and disability claims, as well as provide support to our National 800 Number and field offices. State agencies make disability determinations for initial claims, reconsiderations, and continuing disability reviews (CDR). Administrative law judges (ALJ) in our hearings offices and administrative appeals judges in our Appeals Council decide appealed cases.

For more information about our organization and its functions, visit our organizational structure webpage at www.ssa.gov/org.

Agency Plans and Performance

This Annual Performance Report addresses the goals, strategic objectives, and strategies in our *Agency Strategic Plan for Fiscal Years 2018–2022* as required by the Government Performance and Results (GPRA) Modernization Act of 2010. We evaluate our progress by the performance measures and targets for each strategic objective.

Cross-Agency Priority Goals

Per the GPRA Modernization Act of 2010 requirement to address Cross-Agency Priority Goals in the agency strategic plan, the annual performance plan, and the annual performance report, please refer to www.performance.gov for the agency's contributions to those goals and progress, where applicable.

Agency Priority Goals

As required by the GPRA Modernization Act of 2010, we established two agency priority goals (APG) for FYs 2018–2019, which will continue into FYs 2020–2021:

1. Improve customer service in the hearings process by prioritizing those individuals who have waited the longest for a hearing decision.
2. Improve the integrity of the Supplemental Security Income program by focusing our efforts on reducing overpayments.

We established an additional APG for FYs 2020–2021:

3. Improve the customer experience by reducing the Average Speed of Answer on the National 800 Number.

The APGs are 24-month goals reflecting the priorities of our executive leadership, as well as those of the Administration. To access our APGs visit www.performance.gov.

Strategic Goal 1: Deliver Services Effectively

We must be able to deliver our services effectively whether it is in-person, on the telephone, or online. As we interact with the public every day, our employees experience firsthand the impact of our programs. We understand that doing our work well matters. We also know that advancements in technology provide opportunities to do business differently, and often more efficiently and conveniently.

Strategic Objective 1.1: Improve Service Delivery

Lead: Deputy Commissioner for Operations and Deputy Commissioner for Hearings Operations

Strategies

- Advance and update the Compassionate And REsponsive Service (CARES) plan to address the number of pending hearings decisions and lengthy wait times
- Implement a comprehensive approach to reduce the number of pending PC actions
- Increase the use of online services

Key Initiatives

Reduce the Hearings Backlog

Noteworthy Progress

Eliminating the hearings backlog and reducing the time it takes to get a hearing decision remains one of our most critical priorities. Our plan for CARES is a multi-pronged approach to eliminate the hearings backlog through increased decisional capacity, business process efficiencies, and information technology (IT) innovations. With our CARES plan, the special hearings backlog funding we have received, and our dedicated employees, we are reducing the average wait for a hearing decision. We expect to eliminate the hearings backlog in FY 2021.

We have made great progress with the hearings backlog, reducing the number of people awaiting a hearing decision for each consecutive month since January 2017, and we will continue building a modern case processing system for hearings and appeals level cases to improve case processing, decisional quality, and efficiency.

- In FY 2019, the number of people waiting for a hearing decision decreased by nearly 33 percent and we reduced the number of hearings to 575,421 cases, which is the lowest level since FY 2004.
- In FY 2020, we project 352,000 hearings pending and an annual average processing time of 380 days. However, by September 30, 2020, we will reduce the average wait time to 340 days.

- In FYs 2020 and 2021, we will continue building and creating a modern case processing system for hearings and appeals level cases to improve case processing, decisional quality, and efficiency.
- In FY 2021, we project 259,000 hearings pending and an annual average processing time of 260 days. However, by September 30, 2021, we will reduce the average wait time to 240 days.

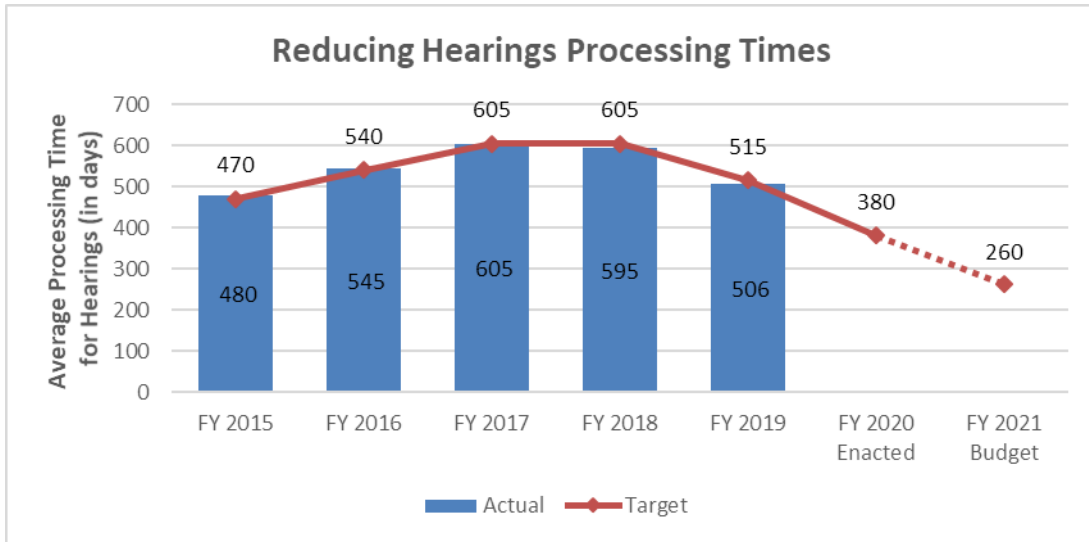


Figure 1. The average number of days a person waits for a decision by an ALJ at the end of each fiscal year from 2015 to 2021.

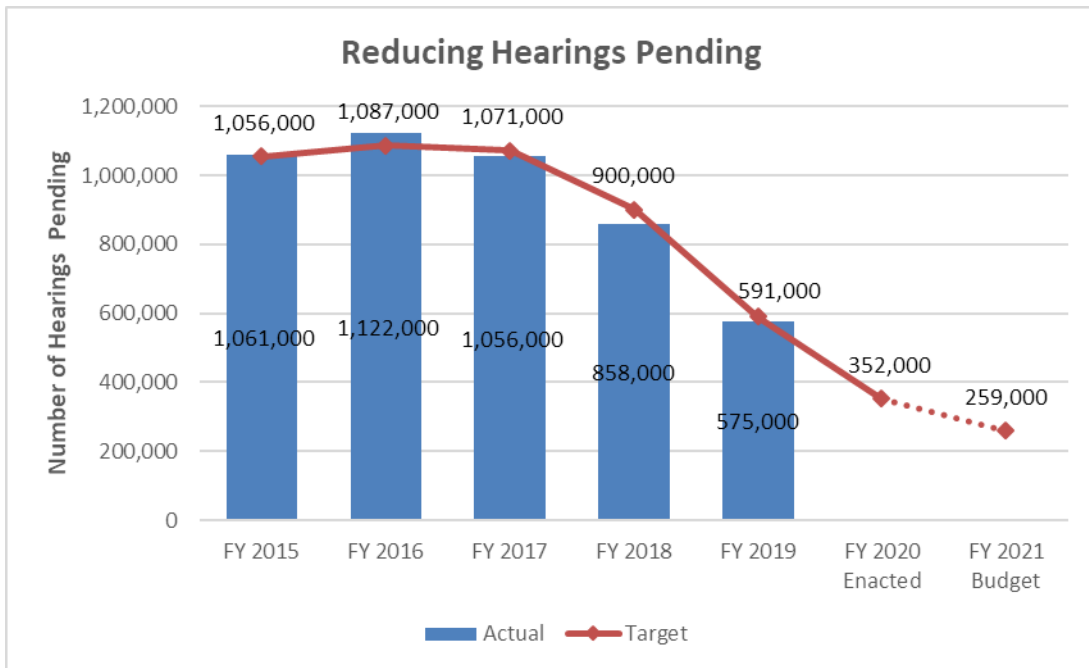


Figure 2. The number of hearings pending in the Office of Hearings Operations at the end of each fiscal year from 2015 to 2021.

Improve 800 Number Services

Millions of our customers depend on our National 800 Number technicians to answer important questions, and we are focused on improving the timeliness of our National 800 Number average speed of answer (ASA). In FY 2019, we handled almost 33.5 million calls with an ASA of 20.4 minutes. We are committed to taking tangible steps toward improving service and reducing wait times through targeted hiring, reassessing training methods, and advancing automated services through our new unified communications platform.

- In FY 2020, we will streamline and enhance our training for new hires, which will allow our new employees to begin handling targeted calls earlier and help increase productivity.
- In FY 2021, we will continue to focus our efforts on improving automated services and our Interactive Voice Response applications to allow more callers to take advantage of self-service options.

Reinstate the Reconsideration Process

Previously, claimants in 10 prototype States were without the reconsideration step and appealed directly to an ALJ—a remnant from a pilot begun in 1999. In January 2019, we began restoring the reconsideration step in 5 States and plan to return all 10 States to a uniform administrative review process by FY 2020. Reinstating the reconsideration step will benefit the public. We will have a nationally consistent, more efficient disability process that will provide standardized service to residents in every State. Some claimants will receive their benefits sooner at the reconsideration step rather than waiting for a favorable decision by an ALJ. Reinstating the reconsideration step will also reduce the number of claimants waiting for an ALJ decision, helping us accelerate the hearings backlog reduction goal from the end of FY 2022 to FY 2021.

- In FY 2019, we restored the reconsideration step in six States: California, Colorado, Louisiana, New Hampshire, New York, and Pennsylvania.
- In FY 2020, we will reinstate the reconsideration in the remaining four States: Alabama, Michigan, Missouri, and Alaska, returning all prototype States to a uniform administrative review process.

Reduce the Processing Center Backlog

Currently, the PCs are working through a backlog of pending actions. Reducing the number of pending actions at the PCs remains a focus area for improvement for the agency. In FY 2019, the PCs provided assistance to our National 800 Number to help address high busy rates and wait times. The PCs also had to rework a number of complex and time-consuming cases based on the outcome of the court case, *Steigerwald v. Berryhill*. These efforts contributed to an increase in the PC backlog, ending FY 2019 with 4.5 million pending cases. While we continue working these complex cases in FYs 2020 and 2021, we remain focused on finding operational

efficiencies. The PCs will also significantly reduce assistance to our National 800 Number in order to focus on the processing center backlog.

- In FY 2019, we provided training to all PCs on existing automation tools and we developed extensive training on overpayment processing to improve our quality.
- In FYs 2020 and 2021, we will increase the number of PC technicians and institute workflow enhancements and quality initiatives to improve overall performance. We will continue to screen new work to address simple tasks more quickly and implement PC automation initiatives that will eliminate duplicate work.

Expand Video Service Delivery

Video service delivery (VSD) allows us to balance our workloads, reduce wait times, and provide a face-to-face service option for individuals living in rural and frontier areas. We offer VSD in over 700 convenient locations across the country such as hospitals, libraries, community centers, American Indian tribal centers, homeless shelters, and other government agencies.

- In FY 2019, we expanded VSD service to 61 additional sites. We also completed over 89,000 video transactions.
- In FYs 2020 and 2021, we will continue to partner with other organizations (e.g., U.S. Department of Veterans Affairs, U.S. Department of Health and Human Services, and tribal governments) to expand VSD service to an additional 130 sites.

Expand Internet Replacement of Social Security Number Cards

Replacing Social Security cards is one of our most requested services and the number one reason our customers visit our field offices. Each year, we process over 11 million applications for Social Security Number (SSN) replacement cards in our field offices. Adults with a [my Social Security](#) account, who meet certain criteria, may apply for a replacement card through the Internet Social Security Number Replacement Card (iSSNRC) online application.

- In FY 2019, we expanded iSSNRC to 8 additional States, making the iSSNRC option available in 40 States and the District of Columbia. Additionally, we processed over 1.3 million replacement cards online.
- In FYs 2020 and 2021, we will continue to expand iSSNRC to additional States.

iSSNRC

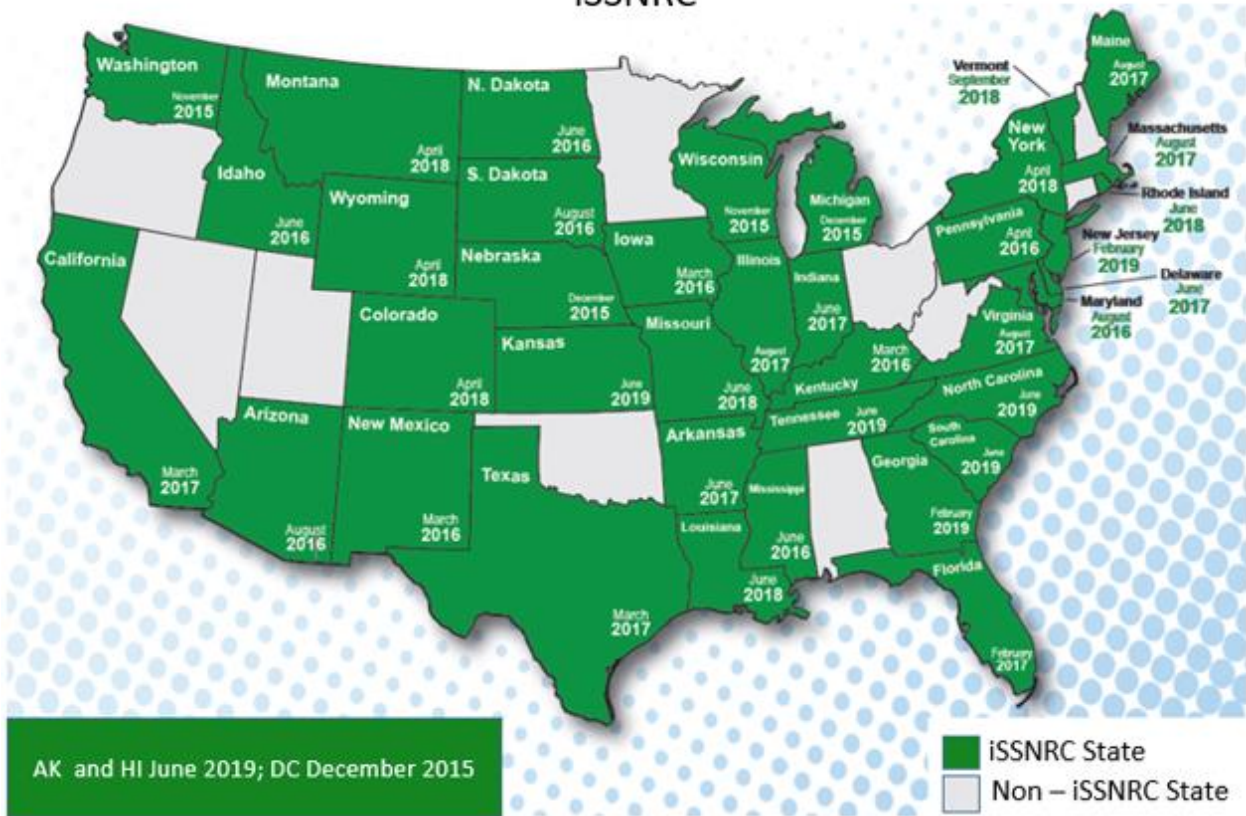


Figure 3. The States that have the iSSNRC option available.

Performance Measures

Performance Measure 1.1a: Improve customer service in the hearings process by prioritizing those individuals who have waited the longest for a hearing decision (APG)

Fiscal Year	2016	2017	2018	2019	2020	2021
Target	Decide 99% of the cases that begin the fiscal year 430 days old or older	Decide 97% of the cases that begin the fiscal year 430 days old or older	Complete 97% of cases that begin the fiscal year 430 days old or older (~374,000 cases)	Complete 95% of cases that begin the fiscal year 350 days old or older (~355,000 cases)	Decide 98% of cases that begin the fiscal year 270 days old or older (~235,000 cases)	Decide 98% of cases that begin the fiscal year 190 days old or older (~180,000 cases)
Target Met	Not Met	Not Met	Met	Met	TBD	TBD
Performance	98%	96%	98%	98%	TBD	TBD
FY 2019 Performance Results	We ended FY 2019, with 98.21% (368,232 aged cases), exceeding our 95% goal.					

Data Definition: The target represents the percentage of aged cases completed.

NEW Performance Measure 1.1b: Improve the customer experience by reducing the Average Speed of Answer on the National 800 Number (APG)

Fiscal Year	2015	2016	2017	2018	2019	2020	2021
Target	12 minutes	16 minutes	16 minutes	25 minutes	13 minutes	17 minutes	11 minutes
Target Met	Met	Met	Met	Met	Not Met	TBD	TBD
Performance	10 minutes	14 minutes	13 minutes	24 minutes	20 minutes	TBD	TBD
FY 2019 Performance Results	In FY 2019, we handled almost 33.5 million calls with an ASA of 20.4 minutes.						

Data Definition: The target represents the ASA, which calculates the average amount of time it takes to answer a call once it routes to an agent for service.

Performance Measure 1.1c: Reinstate Reconsideration to implement a national uniform disability process at step 2 of the appeal stage

Fiscal Year	2019	2020	2021 ¹
Target	Reinstate Reconsideration in 6 prototype States	Reinstate Reconsideration in 4 prototype States	Discontinued
Target Met	Met	TBD	Not Applicable
Performance	Reconsideration Reinstated in 6 prototype states	TBD	Not Applicable
FY 2019 Performance Result	We reinstated the reconsideration level of the disability appeals process in six states: California, Colorado, Louisiana, New Hampshire, New York, and Pennsylvania.		

Data Definition: The target represents the number of States that will reinstate the reconsideration process, no longer allowing disability appeals cases to go directly to an ALJ.

Performance Measure 1.1d: Improve customer service by reducing the number of actions pending at the processing centers

Fiscal Year	2018	2019	2020	2021
Target	3.3 million	2.9 million	5.5 million	5.2 million
Target Met	Met	Not Met	TBD	TBD
Performance	3.2 million	4.5 million	TBD	TBD
FY 2019 Performance Result	The PCs provided support to other critical agency efforts and thereby ended FY 2019 with 4.5 million cases pending.			

Data Definition: The target represents the total number of pending actions in all of the PCs at the end of the fiscal year.

¹ The performance measure to reinstate reconsideration to implement a national uniform disability process at step 2 of the appeal stage will be completed in FY 2020. This measure is discontinued for FY 2021.

Strategic Objective 1.2: Expand Service Delivery Options

Lead: Deputy Commissioner for Operations

Strategies

- Respond to customer feedback on how we connect with the public and improve the customer experience
- Strengthen and enhance the *my Social Security* login and registration process
- Add additional services to *my Social Security*

Key Initiatives

Expand Online Self-Service Options

We continue to explore ways to improve the customer service experience by providing convenient and secure online self-service options and modern, user-friendly interfaces. We are committed to optimizing the navigation and usability of the ssa.gov website.

- In FY 2020, we will streamline content and implement a redesigned ssa.gov homepage. We will solicit customer satisfaction and user feedback by conducting online surveys and hosting at least two focus groups with the public.
- In FY 2021, we will increase customer satisfaction by two points with the redesigned home page.

Enhance *my Social Security*

my Social Security is our online portal for the public to conduct business with us. With over 45.7 million registered users, we increased the number of registered users by 17 percent from FY 2018. We will continue to improve the *my Social Security* user experience and add service options.

- In FY 2019, we enhanced online services for representative payees by adding the representative payee portal, which allows individual representative payees to conduct business online on behalf of their beneficiaries or themselves. We also added a new *my Social Security* Retirement Calculator that allows users to view retirement benefit estimates that compare their selected dates or ages to begin receiving retirement benefits to retirement benefit estimates for ages 62, Full Retirement Age, and 70. Users can also vary their expected future income for inclusion in the estimate.
- In FY 2020, we plan to further expand and enhance the representative payee portal by allowing individual representative payees the ability to view and print benefit verification letters for beneficiaries they represent, and the capability to view, print, or request a mailed copy of a replacement 1099 or 1042 tax form on behalf of their beneficiaries.

- In FY 2021, we will continue expanding representative payee submission and verification features. We will also continue expanding individual representative payee services within *my Social Security*.

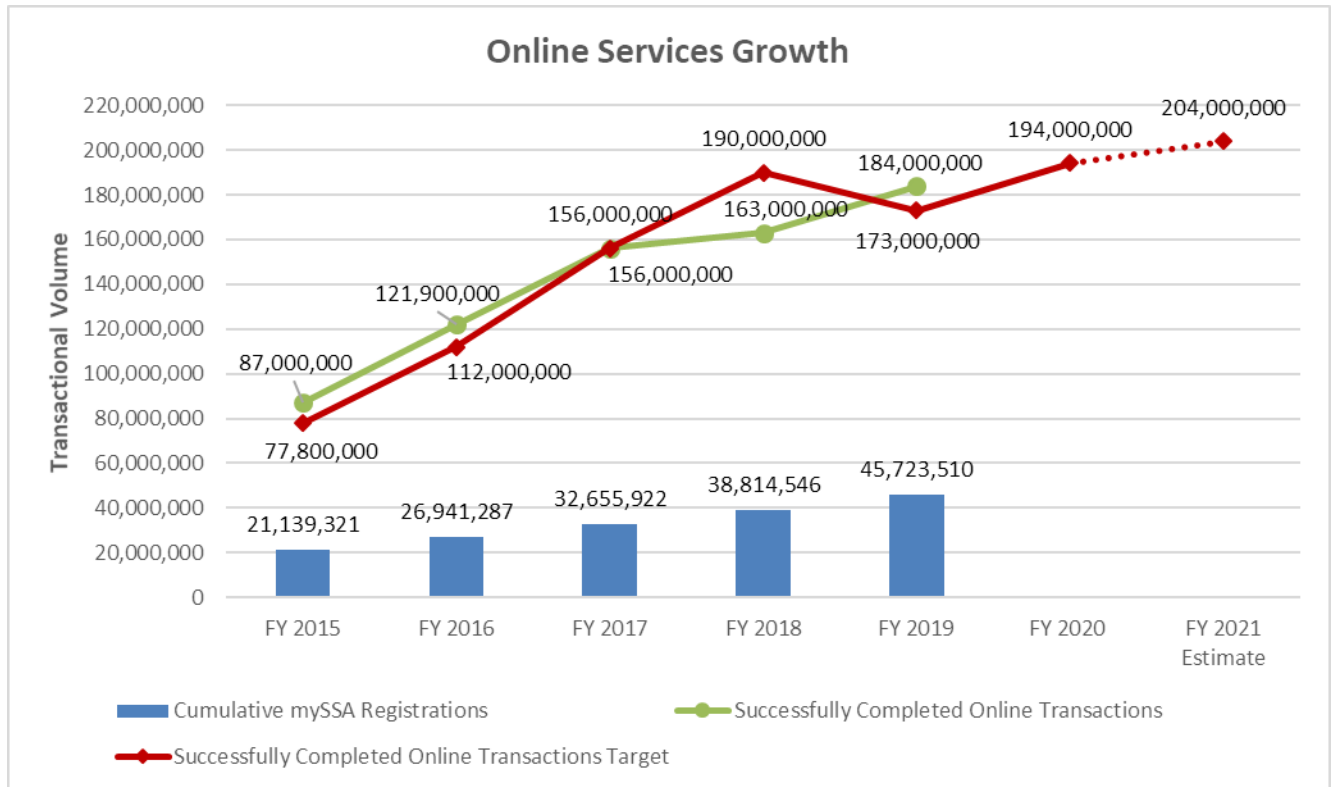


Figure 4. The cumulative number of *my Social Security* registrations, successfully completed online transactions targets, and successfully completed online transactions from fiscal years 2015 to 2021.

Enhance Online Appeals

We are improving the iAppeals online application process for people who are appealing an agency decision for non-medical issues such as overpayments and Medicare premium rates. Our enhancements will integrate iAppeals Medical and iAppeals Non-Medical into a single application behind the *my Social Security* portal.

- In FY 2019, we enhanced screen navigation and clarified language to reduce the potential for users to inadvertently abandon online appeals. Additionally, we opened the iAppeals medical application to individuals in the six States that reinstated the reconsideration appeals process.
- In FY 2020, we will support the use of iAppeals in the remaining States where we are reinstating the reconsideration appeals process.
- In FY 2021, we will provide a single online entry point that will route beneficiaries and appointed representatives to the appropriate medical or non-medical appeal.

Performance Measures

NEW Performance Measure 1.2a: Redesign SSA’s website to enhance the user’s online experience

Fiscal Year	2020	2021
Target	Implement a redesigned ssa.gov web template and home page	Achieve a two point increase in customer satisfaction with the redesigned home page
Target Met	TBD	TBD
Performance	TBD	TBD

Data Definition: The target represents implementation of a redesigned ssa.gov web template and home page, and achieving a ForeSee customer satisfaction score increase over the prior fiscal year.

Performance Measure 1.2b: Maintain customer satisfaction with our online services above ForeSee’s Threshold of Excellence (80)

Fiscal Year	2015	2016	2017	2018	2019	2020	2021
Target	Not Applicable	Satisfaction rating of 84.5 for online services	Satisfaction rating of 85.0 for online services	Satisfaction rating of 85.0 for online services	Satisfaction rating of 85.0 for online services	Satisfaction rating of 85.0 for online services	Satisfaction rating of 85.0 for online services
Target Met	Not Applicable	Met	Met	Not Met	Not Met	TBD	TBD
Performance	Satisfaction rating of 84.0 for online services	Satisfaction rating of 84.9 for online services	Satisfaction rating of 85.5 for online services	Satisfaction rating of 83.5 for online services	Satisfaction rating of 83.1 for online services	TBD	TBD
FY 2019 Performance Results	In FY 2019, we used the feedback from our customers to make necessary adjustments to our online applications. Although we did not meet our FY 2019 target, we continue to exceed the ForeSee Threshold of Excellence of 80.						

Data Definition: The target represents the combined fiscal year average customer satisfaction rating for the following eight online services: Business Services Online, iClaim Disability, Medicare Extra Help, iClaim RIB, iAppeals, my Social Security, Retirement Estimator, and SSA Main Pages.

Performance Measure 1.2c: Increase the number of successfully completed online transactions

Fiscal Year	2015	2016	2017	2018	2019	2020	2021
Target	77.8 million	112.0 million	156.0 million	Increase the number of successfully completed online transactions by 35 million over the prior year (~190 million)	Increase the number of successfully completed online transactions by 10 million over the prior year (~173 million)	Increase the number of successfully completed online transactions by 10 million over the prior year (~194 million)	Increase the number of successfully completed online transactions by 10 million over the prior year. (~204 million)
Target Met	Met	Met	Met	Not Met	Met	TBD	TBD
Performance	87.0 million	121.9 million ²	156.0 million	163 million	184 million	TBD	TBD
FY 2019 Performance Results	In FY 2019, our performance result was 184 million online transactions, which exceeded our target.						

Data Definition: The target represents the total the number of online transactions successfully completed.

² Most fiscal years are 52 weeks; however, FY 2016 included 53 weeks. This data reflects 53 weeks of performance.

Strategic Goal 2: Improve the Way We Do Business

Improving the way we do business is imperative to delivering services effectively to the public. We must continuously evaluate our policies and business processes using data and modern methods to ensure we meet service demands and reinforce efficient and effective service. Recognizing that our current technology infrastructure and existing business systems would not allow us to serve the public the way we want or the way they expect us to, we developed a plan to modernize our IT systems. This multi-year modernization effort is fundamental to our overall ability to improve service to the public.

Strategic Objective 2.1: Streamline Policies and Processes

Lead: Deputy Commissioner for Retirement and Disability Policy

Strategies

- Expand our use of electronic medical evidence
- Strengthen employment support programs
- Explore program and policy areas where rules and agency practices need to be modernized
- Modernize the Social Security Statement to increase the public's understanding of our programs

Key Initiatives

Expand Access to Electronic Medical Evidence

We depend on healthcare providers to provide the medical records we need to determine whether a claimant is disabled. Expanding the use of electronic medical evidence allows disability adjudicators to easily navigate the record to identify pertinent information, makes it easier for medical providers to submit evidence, and provides our agency with additional opportunities to use data analytics to improve the disability process.

- In FY 2019, we received 51 percent of all medical records electronically and our employees reviewed 13 million pieces of medical evidence.
- In FYs 2020 and 2021, we plan to increase the percentage of medical evidence received electronically by investing in additional networks.

Increase the Number of People with Disabilities Who Return to Work

Many disabled beneficiaries want to work, and with adequate support, may attain self-sufficiency. The Ticket to Work program, the Vocational Rehabilitation (VR) cost reimbursement program, and Employment Networks (EN) help beneficiaries transition to employment.

- In FY 2019, approximately 344,000 beneficiaries worked with VR agencies and ENs to attempt to return to the workforce.
- In FYs 2020 and 2021, we will continue employment outreach to beneficiaries through ongoing mailings, marketing efforts, webinars, and social media. To maximize participation rates and earnings outcomes, we will continue to test and apply changes to our Ticket to Work program notices.

Develop an Occupational Information System

We often need information about work to make a disability determination, but the types of jobs in the workforce and job requirements change over time. Our Occupational Information System partnership with the Department of Labor’s Bureau of Labor Statistics (BLS) enables us to collect occupational information for use in our disability adjudication process and to make consistent, better-informed disability decisions.

- In FY 2019, BLS published estimates encompassing the entire three years of initial data collection,³ which we are continuing to analyze. BLS also began a second wave of data collection. We will update the data on a five-year cycle to ensure our disability program continues to use accurate and relevant data.
- In FYs 2020 and 2021, BLS will publish annual estimates from the second wave of data collection.

Update the Listing of Impairments

The Listing of Impairments describes disabling impairments for each of the major body systems. We continue to make significant progress in updating these listings to reflect advances in medical knowledge, and we plan to implement a three to five-year review cycle.

- In FY 2019, we published a Notice of Proposed Rulemaking to update the digestive and skin disorders listings.
- In FY 2020, we plan to publish a final rule for the musculoskeletal body system and a proposed rule for the cardiovascular disorders body system.
- In FY 2021, we plan to publish a final rule for updates to three body systems.

³ Based on an occupational shelf-life study commissioned by BLS, we will update the data every five years after the completion of the initial three years of data collection.

Modernize the Social Security Statement

We are modernizing the online *Social Security Statement* through the *my Social Security* portal to improve customer service and the public’s understanding of our programs. The modernized online *Statement* will continue to provide the public with their earnings record, Social Security and Medicare taxes paid, and future benefit estimates. It will also provide the public with access to retirement planning, benefit eligibility, decisions on their benefit applications, and will be customized based on the user’s age. The modernized online *Statement* will be housed in a central location and linked with the Benefit Entitlement Center (BEC)⁴.

- In FY 2019, we integrated the *my Social Security* online *Statement* with additional benefit estimation tools through the BEC.
- In FYs 2020 and 2021, we will add customized age based features and conduct a *Social Security Statement* user survey to assess customer feedback in relation to the changes and future modernization features and enhancement efforts.

Performance Measures

Performance Measure 2.1a: Improve the disability determination process by increasing the percentage of medical evidence received electronically

Fiscal Year	2018	2019	2020	2021
Target	45%	50%	60%	65%
Target Met	Met	Met	TBD	TBD
Performance	48%	51%	TBD	TBD
FY 2019 Performance Results	In FY 2019, additional organizations participated in Health IT and Electronic Records Express (ERE). As a result, we observed a steady increase in the amount of medical evidence received through these channels. We exceeded our overall target.			

Data Definition: The target represents the percentage of medical records received electronically through ERE, ERE Web Services, Bulk Transfer, and Health IT.

⁴ The Benefits Entitlement Center is a self-service solution that allows customers to easily find available services for planning, filing, appealing and managing benefits within the *my Social Security* portal.

NEW Performance Measure 2.1b: Increase the percentage of beneficiaries whose successful work outcomes within three years of assignment resulted in a payment to an Employment Network (EN) or State Vocational Rehabilitation (VR) agency

Fiscal Year	2020	2021
Target	7.1%	7.2%
Target Met	TBD	TBD
Performance	TBD	TBD

Data Definition: The target represents the percentage of beneficiaries who assigned a Ticket to an EN or VR agency within the last three years who also generated a payment in the current fiscal year.

Performance Measure 2.1c: Update the Listing of Impairments

Fiscal Year	2018	2019	2020	2021
Target	Publish a Notice of Proposed Rulemaking to revise three body systems in the Listing of Impairments	Publish a final rule to revise the Musculoskeletal disorders system, and a proposed rule for the Cardiovascular, Digestive, and Skin body systems	Publish a final rule for the Musculoskeletal body system and a proposed rule for the Cardiovascular disorders body system	Publish a final rule for updates to three body systems
Target Met	Not Met	Not Met	TBD	TBD
Performance	The Notice of Proposed Rulemaking is in process, with a publication goal of early to mid FY 2019	The proposed rule for the Digestive and Skin disorders body systems was published in the Federal Register on 7/25/2019	TBD	TBD
FY 2019 Performance Results	In FY 2019, we successfully published the proposed rule for the Digestive and Skin disorders body systems. The proposed rule for the cardiovascular disorders body system and the final rule for the musculoskeletal disorders body systems are in process, with a new publication goal of early FY 2020.			

Data Definition: The target represents the number of proposed and final rules we will submit to the Office of Management and Budget for review and approval to publish in the Federal Register.

Strategic Objective 2.2: Accelerate Information Technology Modernization

Lead: Deputy Commissioner for Systems

Strategies

- Modernize IT infrastructure to respond to evolving business needs
- Build modern applications that improve the customer and employee experience
- Strengthen our cybersecurity program and modernize our cybersecurity infrastructure
- Modernize disability case processing

Key Initiatives

Information Technology Modernization

Our staff rely on our IT infrastructure to serve the public and safeguard our programs. As program and data needs change, our IT infrastructure must continue to adapt to future demands.

We developed our systems over 30 years ago, and they have grown increasingly complex, inefficient to meet customer demands, and costlier to maintain. In FY 2018, we initiated our IT Modernization Plan to address IT concerns and improve our service to the public.

- In FY 2019, we modernized our database infrastructure and support capabilities; improved access to master file data to allow the retirement of legacy software; consolidated and eliminated duplicate data; expanded our enterprise data warehouse; and delivered Old-Age, Survivors, and Disability Insurance (OASDI) Cost of Living Adjustment Notices online.
- In FYs 2020 and 2021, we will continue to:
 - Modernize our claims-taking process, improve the quality of the data we use to make decisions on eligibility and payment, and improve how we communicate with beneficiaries and recipients;
 - Consolidate data in areas that deliver measurable business value while improving data integrity and access, and continue to improve database support by using modern relational database formats and techniques; and
 - Deploy the Customer Communications Management application capability to collect and react to customer communications preference for receiving information from the agency, allowing them to receive agency correspondence via traditional mail or online.

Strengthen Our Information Security Program and Modernize Our Cybersecurity Infrastructure

Maintaining the public's trust in our ability to protect sensitive data housed in our systems requires continuous monitoring of threats and continual improvement and strengthening of our cybersecurity program. Through constant assessment of the threat landscape and use of advanced cybersecurity controls, we can better protect against cybersecurity incidents and risks.

- In FY 2019, we mitigated vulnerabilities and enhanced our identity management platform to protect our IT assets.
- In FY 2020, we will strengthen our efforts to attract, develop, and retain our cybersecurity workforce. We will automate our detection and response processes to identify threats, mitigate vulnerabilities, and limit the impact of potential cyberattacks.
- In FY 2021, we will continue to align our practices with the National Institute of Standards and Technology Cybersecurity Framework and other Federal initiatives to identify, detect, and stop potential fraudulent transactions before they occur.

Modernize Disability Case Processing

The disability case processing system (DCPS) is a modern system for use by State disability determination services (DDS) and Federal components to process disability claims. It will replace aging systems and will provide more efficient case processing, improve customer service, and reduce administrative costs.

- In FY 2019, we increased functionality as planned, and we completed the deployment of DCPS to 19 DDSs as production sites, bringing the total number of DCPS sites to 31. Also, in FY 2019, 2 DDSs transitioned to only DCPS to process claims and no longer use legacy systems to process claims.
- In FY 2020 and FY 2021, we plan to continue deployment and transition from legacy systems.

Performance Measures

Performance Measure 2.2a: Modernize databases, replacing and retiring outdated technology and designs

Fiscal Year	2018	2019	2020	2021 ⁵
Target	Replace two legacy databases with modern design databases	Replace two legacy databases	Replace three legacy databases	Discontinued
Target Met	Met	Met	TBD	Not Applicable
Performance	Replaced two legacy systems	Replaced two legacy databases	TBD	Not Applicable
FY 2019 Performance Results	In FY 2019, we retired our Appointed Representative database and replaced it with the modernized Registration, Appointment and Services for Representatives database. We also retired our legacy Post Entitlement Management Information database and replaced it with a modern DB2 database.			

Data Definition: The number of legacy databases we replace or retire to reduce infrastructure costs and our mainframe footprint by migrating these databases to the cloud hosted Enterprise Data Warehouse for Management Information and Business Information data.

⁵ The performance measure to modernize databases, replacing and retiring outdated technology and designs will be completed in FY 2020. This measure is discontinued for FY 2021.

Performance Measure 2.2b: Continue to modernize the IT Infrastructure

Fiscal Year	2019	2020	2021
Target	Extend the on premise cloud capability by offering Platform-as-a-Service ⁶	Migrate 100% of agency e-mail to the cloud platform	Migrate 75% of SharePoint to the cloud platform
Target Met	Met	TBD	TBD
Performance	Extended cloud capability	TBD	TBD
FY 2019 Performance Results	We completed our security impact assessment on July 3, 2019, granting operational status.		

Data Definition: The target represents our transition and use of the cloud platform to improve the quality and efficiency of critical agency services.

⁶ Platform-as-a-Service is a category of cloud computing service, which allows the agency to develop, run, and manage applications without the complexity of building and maintaining the infrastructure typically associated with developing and launching an application.

Performance Measure 2.2c: Modernize our customer communications infrastructure

Fiscal Year	2018	2019	2020	2021
Target	Implement a modernized notice infrastructure to enable multiple notice delivery options	Deliver OASDI Cost of Living Adjustment Notices online via <i>my Social Security</i>	Establish the capability to direct agency correspondence through either USPS mail or <i>my Social Security</i> Message Center, based on communications delivery preferences of <i>my Social Security</i> customers	Enhance the enterprise customer communications management architecture to enable front-line customer support technicians to generate manual notices
Target Met	Met	Met	TBD	TBD
Performance	Modernized notice infrastructure implemented	Delivered over 14.8 million online OASDI Cost of Living Adjustment notices	TBD	TBD
FY 2019 Performance Results	In FY 2019, we delivered over 14.8 million online OASDI Cost of Living Adjustment notices to SSA's Message Center.			

Data Definition: The target represents our progress towards offering *my Social Security* customers additional notice delivery options.

NEW Performance Measure 2.2d: Expand Self-Service for Claims Status Inquiries

Fiscal Year	2020	2021
Target	Implement event based emails to SSA customers	Develop infrastructure for a claims status mobile product
Target Met	TBD	TBD
Performance	TBD	TBD

Data Definition: The target represents our goal to implement new functionality that allows SSA customers to receive claims status updates.

Performance Measure 2.2e: Provide uninterrupted access to our systems during scheduled times of operations

Fiscal Year	2015	2016	2017	2018	2019	2020	2021
Target	99.50% availability	99.50% availability	99.90% availability	99.90% availability	99.90% availability	99.90% availability	99.90% availability
Target Met	Met	Met	Met	Met	Met	TBD	TBD
Performance	99.96% availability	99.91% availability	99.96% availability	99.95% availability	99.95% availability	TBD	TBD
FY 2019 Performance Results	In FY 2019, we exceeded the system availability target with a 99.95% availability. We limited the impact of potential cyberattacks and implemented email and network safeguards to detect and prevent malware.						

Data Definition: The target represents the average percentage of availability of our systems infrastructure.

Performance Measure 2.2f: Maintain an effective cybersecurity program

Fiscal Year	2018	2019	2020	2021
Target	Achieve an overall score of “managing risk” on the Federal Cybersecurity risk Management Assessment ⁷	Achieve an overall score of “managing risk” on the Federal Cybersecurity Risk Management Assessment	Achieve an overall score of “managing risk” on the Federal Cybersecurity Risk Management Assessment	Achieve an overall score of “managing risk” on the Federal Cybersecurity Risk Management Assessment
Target Met	Met	Met	TBD	TBD
Performance	Managing Risk score achieved	Managing Risk score achieved	TBD	TBD
FY 2019 Performance Results	Department of Homeland Security (DHS) assesses each agency’s risk across several National Institute of Standards and Technology (NIST) aligned security domains and capabilities. After reviewing our cybersecurity program, DHS rated us as “managing risk” across all five NIST functions of Identify, Protect, Detect, Respond, and Recover.			

Data Definition: The target represents our annual overall risk score from the Federal Cybersecurity Risk Management Assessment.

⁷ Presidential Executive Order 13800, *Strengthening the Cybersecurity of Federal Networks and Critical Infrastructure*, and OMB Memorandum M-17-25 require Federal agencies and departments to implement risk management measures and require OMB to evaluate Federal agencies on how they are managing their cybersecurity risk. Risk ratings are based on capabilities defined in the NIST Cybersecurity Framework. Potential risk ratings range from (1) High Risk, (2) At Risk, or (3) Managing Risk.

Strategic Goal 3: Ensure Stewardship

We take the stewardship of our programs seriously and we will continue to demonstrate a commitment to sound management practices. To ensure stewardship and the efficient administration of our programs, we will focus our efforts in three major areas: improving program integrity; enhancing our fraud prevention and detection activities; and improving workforce performance and increasing accountability.

Strategic Objective 3.1: Improve Program Integrity

Focus Area for Improvement

Lead: Deputy Commissioner for Analytics, Review, and Oversight

Strategies

- Collaborate with partners to address improper payments
- Address the root causes of improper payments to prevent their recurrence
- Modernize our debt management and debt collection business processes

Key Initiatives

Promote Timely Wage Reporting

Changes in a person's work and wages are a leading cause of improper payments in the DI and SSI programs. Currently, we use a number of sources to verify wage amounts, including pay stubs submitted by recipients, annual earnings data from the IRS, and payroll information from The Work Number. However, verifying wages is a manual process, and we continue to rely on beneficiaries being able to self-report wages.

In FY 2017, we implemented an online tool, myWageReport (myWR), which allows DI beneficiaries to report earnings electronically on computers, mobile devices, and smartphones through [my Social Security](#). In FY 2018, we expanded myWR to allow SSI recipients, their representative payees, or their deemors (e.g., an ineligible spouse or parent living with the recipient) to report earnings electronically.⁸

⁸ Over the years, we created a few automated methods to improve wage reporting for SSI recipients. We implemented a telephone wage reporting system that allows recipients to call in their wages and a downloadable wage reporting application for smartphone users.

- In FY 2019, users successfully submitted over 99,000 myWR transactions. In addition, we developed requirements, conducted market research, and awarded a contract to a payroll data provider, which allowed us to collect over 11.8 million consent authorizations from applicants, beneficiaries, and recipients.
- In FYs 2020 and 2021, we plan to expand on our management information capabilities for myWR.

Modernize our Debt Management System

Currently, we use numerous systems to record, track, and manage our OASDI and SSI overpayments. We have begun a multi-year initiative to develop a streamlined, modernized enterprise Debt Management System (DMS) to enable us to more effectively and efficiently post, track, collect, and report our overpayment activity.

- In FY 2019, we developed an online debt collection application for certain benefit overpayments.
- In FY 2020, we will release the online debt collection application to the public. The application will allow individuals to print, save, or request an email confirming their payment after successfully completing a transaction.
- In FY 2021, we plan to implement a new, modernized DMS.

Performance Measures

Performance Measure 3.1a: Improve the integrity of the Supplemental Security Income program by focusing our efforts on reducing overpayments (APG)

Fiscal Year	2015	2016	2017	2018	2019	2020	2021
Target	95.0% (O/P)	95.0% (O/P)	94.0% (O/P)	94.0% (O/P)	94.0% (O/P)	94.0% (O/P)	94.0% (O/P)
Target Met	Not Met	Not Met	Not Met	Not Met	TBD	TBD	TBD
Performance	93.94% (O/P)	92.38% (O/P)	92.71% (O/P)	91.77% (O/P)	Data available summer 2020	TBD	TBD
FY 2019 Performance Results	FY 2019 results will be available in summer 2020.						

Data Definition: The target represents our annual overpayment accuracy rate findings from our stewardship review of non-medical aspects of the SSI program.⁹ (Overpayment (O/P) accuracy rate is the percentage of all dollars paid that are free of O/P errors.)

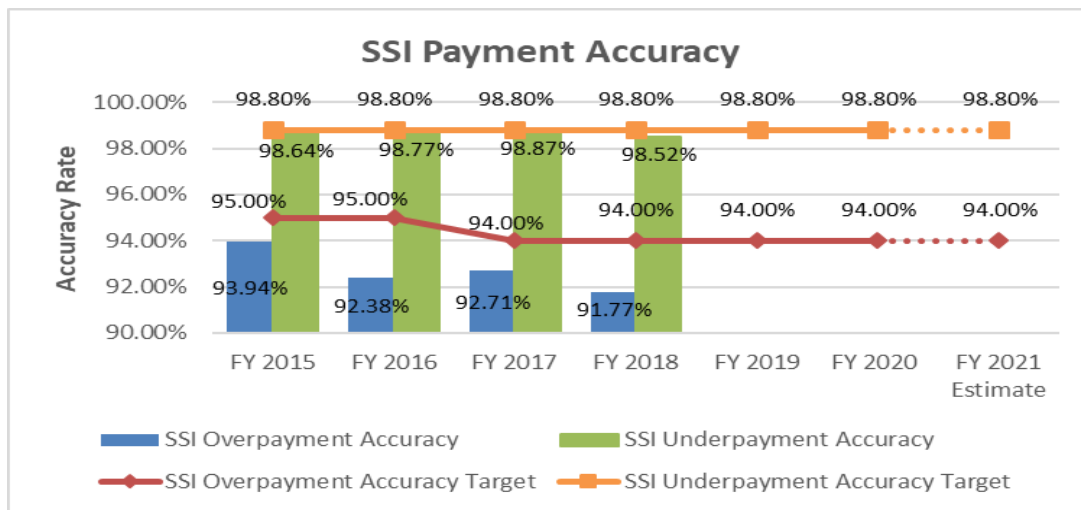


Figure 5. The SSI overpayment and underpayment accuracy rates and targets from fiscal years 2015 to 2021.

⁹ “Ensure Stewardship” is a Strategic Goal in our [Agency Strategic Plan for Fiscal Years \(FY\) 2018–2022](https://www.ssa.gov/agency/asp). Each year, we report improper payment findings, both overpayments and underpayments, from our stewardship reviews of the non-medical aspects of the OASI, DI, and SSI programs.

Performance Measure 3.1b: Maintain a high payment accuracy rate by reducing overpayments, in the Old-Age, Survivors, and Disability Insurance program

Fiscal Year	2015	2016	2017	2018	2019	2020	2021
Target	99.8% (O/P)	99.8% (O/P)	99.8% (O/P)	99.8% (O/P)	99.8% (O/P)	99.8% (O/P)	99.8% (O/P)
Target Met	Not Met	Not Met	Not Met	Not Met	TBD	TBD	TBD
Performance	99.64% (O/P)	99.79% (O/P)	99.36% (O/P)	99.77% (O/P)	Data available summer 2020	TBD	TBD
FY 2019 Performance Results	FY 2019 results will be available in summer 2020.						

Data Definition: The target represents the annual overpayment accuracy rate findings from our stewardship reviews of the non-medical aspects of the OASDI program.¹⁰

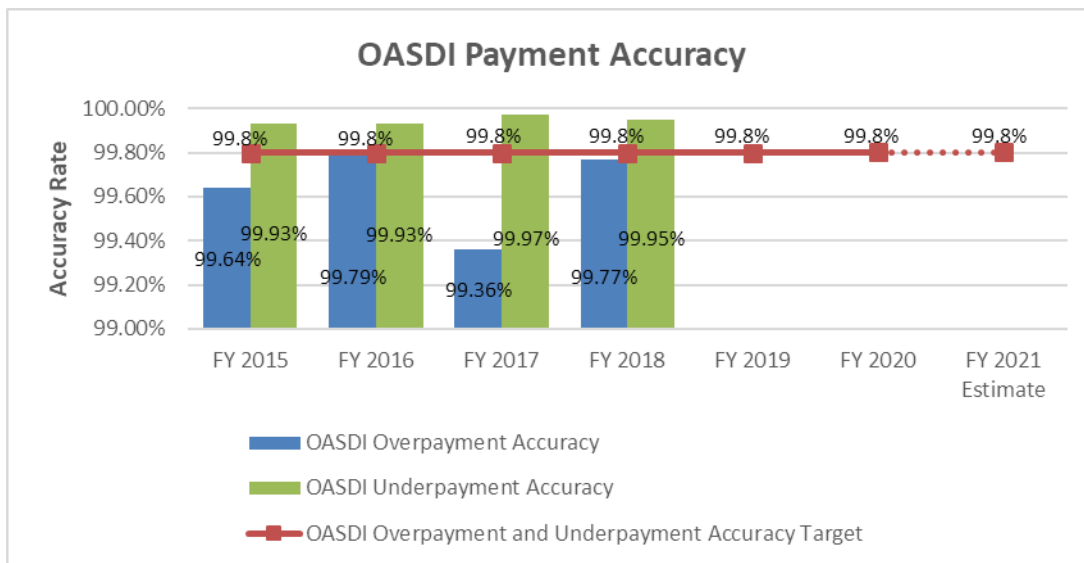


Figure 6. The OASDI overpayment and underpayment accuracy rates and targets from fiscal years 2015 to 2021.

¹⁰ “Ensure Stewardship” is a Strategic Goal in our [Agency Strategic Plan for Fiscal Years \(FY\) 2018–2022](#) (www.ssa.gov/agency/asp). Each year, we report improper payment findings, both overpayments and underpayments, from our stewardship reviews of the non-medical aspects of the OASI, DI, and SSI programs.

Performance Measure 3.1c: Ensure the quality of our decisions by achieving the State disability determination services decisional accuracy rate for initial disability decisions¹¹

Fiscal Year	2015	2016	2017	2018	2019	2020	2021
Target	97% net accuracy	97% net accuracy	97% net accuracy	97% net accuracy	97% decisional accuracy	97% decisional accuracy	97% decisional accuracy
Target Met	Met	Met	Met	Met	Met	TBD	TBD
Performance	98% net accuracy	98% net accuracy	97% net accuracy	98% net accuracy	97% decisional accuracy	TBD	TBD
FY 2019 Performance Results	The public expects us to make timely and accurate decisions. We met our goal in FY 2019, by achieving a 97 percent DDS decisional accuracy for initial disability decisions. We have consistently met our target for this measure since FY 2010.						

Data Definition: The target represents the percentage of correctly decided cases compared to all sampled cases.

¹¹ Decisional Accuracy reflects all DDS medical determinations in which the determination was policy compliant at the time of the quality review and the initial determination did not change after additional documentation was obtained because of a quality review.

Performance Measure 3.1d: Modernize our Debt Management System

Fiscal Year	2019	2020	2021
Target	Implement online debt collection for benefit overpayments	Develop functionality to send an email confirmation as part of SSA's online remittance application	Implement the new modernized debt management system
Target Met	Not Met	TBD	TBD
Performance	Developed the initial release of an online remittance application, which provides individuals with the ability to access a payment portal and make payments via the Department of the Treasury's Pay.gov website	TBD	TBD
FY 2019 Performance Results	In FY 2019, we developed the online overpayments remittance application, but delayed rollout in order to include email receipt functionality.		

Data Definition: The target represents our goal to develop a streamlined modernized enterprise Debt Management System that enables us to more effectively and efficiently post, track, collect, and report our overpayment activity. As part of our progress towards implementation, we will develop functionality for an optional email confirmation.

Strategic Objective 3.2: Enhance Fraud Prevention and Detection Activities

Lead: Deputy Commissioner for Analytics, Review, and Oversight

Strategies

- Expand the use of data analytics and increase internal and external partnerships
- Develop and conduct regular fraud risk assessments of our programs

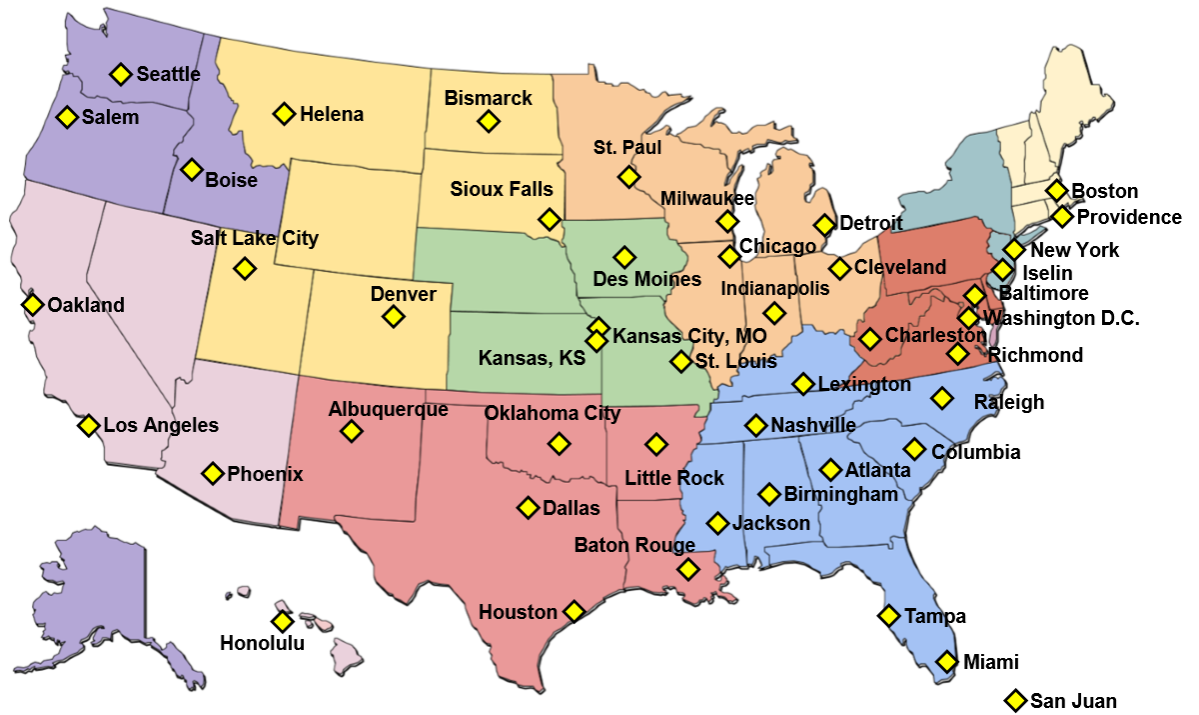
Key Initiatives

Expand Our Cooperative Disability Investigations Program

With the Office of the Inspector General, we jointly operate cooperative disability investigations (CDI) units with State DDSs, and State and local law enforcement. Generally, these units investigate suspected fraud before the agency awards benefits and during the CDR process.

- In FY 2019, we added three CDI units in Bismarck, ND; Boise, ID; and Helena, MT, and provided CDI coverage to the U.S. Virgin Islands. We ended the fiscal year with 46 CDI units covering 40 States and 6 U.S. territories.
- In FYs 2020 and 2021, we plan to add 2 to 4 CDI units each year with the goal of providing coverage to covering all States and U.S. territories by October 1, 2022.

Cooperative Disability Investigations (CDI) Coverage



46 Units covering 40 states, the Commonwealth of Puerto Rico, the District of Columbia and the territories of American Samoa, Guam, the Northern Mariana Islands and the U.S. Virgin Islands.

Figure 7. The CDI unit coverage through FY 2019.

Enhanced Fraud Prevention and Detection Activities

We are focusing on a holistic analytical approach to our fraud risk management and prioritizing our anti-fraud efforts consistent with the Fraud Reduction and Data Analytics Act of 2015 (FRDAA) and the Government Accountability Office (GAO) Framework for Managing Fraud Risks in the Federal Programs.

We continue to expand the use of data analytics and predictive modeling to enhance fraud prevention and detection in our programs. With these models, we can better identify suspicious and evolving patterns of activities in our workloads, allowing us to proactively detect and prevent fraud before payments are made.

- In FY 2019, we developed the disability fraud risk profile. We also completed two additional fraud risk assessments focused on key electronic services (eServices) and administrative areas, such as payroll, contracts, and travel purchase cards. Lastly, we finalized our Enterprise Fraud Risk Management (EFRM) strategy, which establishes a standardized business process and schedule for conducting fraud risk assessments across our major program areas, ensuring compliance with FRDAA and the GAO Framework.
- In FY 2020, we will deploy an updated fraud allegation referral process that will provide employees a modern, streamlined interface to report fraud and improve our ability to analyze allegation data.
- In FYs 2020 and 2021, we will initiate additional risk assessment activities, consistent with our EFRM strategy.

Performance Measures

Performance Measure 3.2a: Expand our CDI coverage

Fiscal Year	2015	2016	2017	2018	2019	2020	2021
Target	Not Applicable	Not Applicable	Not Applicable	Add three CDI units	Add three CDI units	Add two to four CDI units	Add two to four CDI units
Target Met	Not Applicable	Not Applicable	Not Applicable	Met	Met	TBD	TBD
Performance	Added nine CDI units	Added two CDI unit	Added one CDI unit	Added three CDI units	Added three CDI units	TBD	TBD
FY 2019 Performance Results	In FY 2019, we added three CDI Units: Bismarck, North Dakota; Boise, Idaho; and Helena, Montana.						

Data Definition: The target represents the number of additional CDI units to be added to cover the 50 States, the District of Columbia, Puerto Rico, Guam, American Samoa, the Northern Mariana Islands, and the U.S. Virgin Islands.

Performance Measure 3.2b: Mature the Enterprise Fraud Risk Management Program

Fiscal Year	2018	2019	2020	2021
Target	Operationalize AFES and implement eServices analytics	Complete eServices risk assessment, develop disability fraud risk profile, implement anti-fraud disability analytics	Complete the eServices fraud risk profile, the Administrative Issues fraud risk profile, and the Representative Payee fraud risk assessments	Complete the Representative Payee fraud risk profile, the SSI fraud risk assessment, and the Employee Fraud risk assessment
Target Met	Not Met	Met	TBD	TBD
Performance	We have not fully implemented the Anti-Fraud Enterprise Solution (AFES), but we deployed our first disability fraud analytic model and improved our eServices analytics and fraud detection	We completed the eServices risk assessment, developed the disability fraud risk profile, and implemented disability analytics	TBD	TBD
FY 2019 Performance Results	We completed the eServices Fraud Risk Assessment in August 2019, and the final report was presented to the National Anti-Fraud Committee on September 4, 2019. The Disability Fraud Risk Profile was completed in September 2019. We continued to implement disability analytics in FY 2019. We re-ran our first disability fraud model and tested new models.			

Data Definition: The target represents our EFRM strategy to systematically assess fraud risks and determine whether any specific risks require additional actions to further reduce the likelihood or impact of that risk.

Strategic Objective 3.3: Improve Workforce Performance and Increase Accountability

Lead: Deputy Commissioner for Human Resources

Strategies

- Enhance accountability for managing performance through program and automation improvements
- Align employee development with agency succession plans
- Invest in training and support for managers to effectively address performance and conduct challenges

Key Initiatives

Strengthen the Performance Management Process

The electronic 7B (e7B) application provides the ability to complete and track employee performance management documents and required acknowledgement statements (systems access, and handling of personally identifiable information [PII]) that were previously maintained in paper form. The application also provides employees and management the ability to electronically deliver and sign these documents and enhances management and employee accountability.

- In FY 2019, we added a performance standard for managers' and supervisors' performance plans to hold them accountable for addressing employee conduct issues and poor performance.
- In FY 2020 and FY 2021, we plan to increase the percentage of performance management documents completed in a timely manner.

Execute Talent Management and Succession Planning

Our goal is to continue to increase the proficiency of our leadership cadre and pipeline to enhance their readiness to fill potential gaps in leadership and critical positions.

- In FY 2019, we continued to refine our Senior Executive Service Talent and Succession Planning process, including the implementation of Executive Development Plans; launched a National Leadership Development program; and established shared guidelines for regional and component-based developmental programs.
- In FY 2020, we will identify competency baselines in national leadership development program selectees.
- In FY 2021, we will reduce leadership competency gaps among at least 90 percent of leadership development program participants.

Invest in Training and Support for Managers

We are responsible for providing the training and technology necessary for managers and employees to carry out their work in order to provide the level of service the public expects and deserves. Our goal is that within 90 days of a promotion, new supervisors will receive training to develop and improve their leadership skills and competencies.

- In FY 2019, we launched and updated our National Leadership Essentials for New Supervisors (LENS) curriculum to train new SSA managers and supervisors on management laws and responsibilities, in conjunction with SSA and OPM's policies and procedures. We also offered soft-skill training and development resources to

experienced SSA managers and supervisors through our National Leadership Education and Development for Supervisors (LEADS) curriculum.

- In FY 2020, we will develop a new and centralized managerial curriculum that consolidates LENS and LEADS to encompass sequential training for managers within the first three years of their supervisory role.
- In FY 2021, we plan to implement the consolidated LENS and LEADS unified curriculum.

Performance Measures

Performance Measure 3.3a: Strengthen manager accountability for effective performance management

Fiscal Year	2018	2019	2020	2021
Target	90% performance-related documents completed and tracked electronically through our e7B system	93% of performance-related documents completed and tracked electronically through our e7B system	95% of required signed employee acknowledgements maintained in our e7B system	97% of required signed employee acknowledgements maintained in our e7B system
Target Met	Met	Met	TBD	TBD
Performance	92%	94%	TBD	TBD
FY 2019 Performance Results	•Overall, 94.4% of all FY 2019 performance-related documents were uploaded into the e7B, exceeding the 93% performance target.			

Data Definition: The target represents the percentage of required employee acknowledgements that are completed and tracked electronically through our e7B system.

Performance Measure 3.3b: Enhance the leadership pipeline through a modernized national leadership development program

Fiscal Year	2018	2019	2020	2021
Target	Review readiness of at least 95% of career executives	Launch a redesigned national leadership development program	Identify competency baselines in national leadership development program participants	Reduce leadership competency gaps of at least 90% of national leadership development program participants
Target Met	Met	Met	TBD	TBD
Performance	99%	Launch Complete	TBD	TBD
FY 2019 Performance Results	In FY 2019, we launched all three tracks of the new National Leadership Development Program (NLDP) with formal announcements on USAJobs.			

Data Definition: The target represents the release of a redesigned NLDP, which includes developing program graduates by increasing their baseline competency and reducing competency gaps.

Performance Measure 3.3c: Ensure new supervisors receive timely training to improve their leadership skills and competencies

Fiscal Year	2019	2020	2021
Target	At least 90% of new supervisors enroll in supervisor training within 90 days and complete training within one year of the effective date of their supervisory appointment	At least 95% of new supervisors enroll in supervisor training within 90 days and complete training within one year of the effective date of their supervisory appointment	At least 95% of new supervisors enroll in supervisor training within 90 days and complete training within one year of the effective date of their supervisory appointment
Target Met	TBD	TBD	TBD
Performance	TBD	TBD	TBD
FY 2019 Performance Results	Final FY 2019 results will be available in October 2020.		

Data Definition: The target represents the percentage of new supervisors enrolled in supervisor training within the first 90 days and complete training within one year of the effective date of their supervisory appointment.

Strategic Objective 3.4: Improve Organizational Effectiveness and Reduce Costs

Lead: Deputy Commissioner for Budget, Finance, and Management and Deputy Commissioner for Retirement and Disability Policy

Strategies

- Align our real estate footprint with current and future business needs
- Streamline our organization and how we manage workloads
- Improve strategic partnerships with other government and private entities

Key Initiatives

Reduce Our Real Property Footprint

We are reducing our real property footprint as we renovate existing buildings and renew lease agreements. Our *Real Property Efficiency Plan* stipulates a 1,005,000 useable square feet (USF) reduction in our real estate portfolio from FY 2020 through FY 2024.

- In 2019, we reduced our footprint by 25,000 USF, and finalized our revised Space Allocation Standards, which codifies the use of standardized workstations and implements optimized office sizes for all renovations projects and space actions moving forward. We also adjusted the size of furniture workstations to reflect current business needs, which will lower the cost by about 25 percent per workstation and enables us to increase the number of employees that occupy our buildings.
- In FYs 2020 and 2021, we will continue to implement our revised standards as we adjust new leasing actions and modifications.

Expand Strategic Partnerships with External Partners

We provide SSN verifications and exchange birth, death, prisoner, and benefit payment information, as permitted under law, with Federal, State, and private partners, to efficiently obtain data to ensure our payment accuracy and to support the needs of other external programs. Our data exchanges improve organizational effectiveness and reduce costs by providing reliable data to determine benefits and improve administrative processes, which in turn saves costs and reduces improper payments.

- In 2019, we implemented the Foreign Travel Data application, which we built to facilitate access to DHS's Arrival and Departure Information System (ADIS) data. Our technicians can use ADIS to view foreign travel data for non-citizens and determine their SSI eligibility during the SSI redetermination process.

- In FY 2020, our technicians will use ADIS to view foreign travel data for non-citizens and determine their SSI eligibility during the SSI redetermination process. We will also implement systems functionality and pursue a computer-matching agreement to expand the service for batch processing.
- In FY 2021, we will continue to pursue new data exchange partners from government and private sectors.

Develop a new Electronic Consent Based Social Security Number Verification (eCBSV) Service

We are committed to safeguarding SSNs from fraud. We continue our stewardship efforts to reduce fraud through modernizing digital services and expanding public-private partnerships. We will implement the electronic Consent Based Social Security Number Verification (eCBSV) Service. eCBSV is a fee-based SSN verification service that allows permitted entities to verify if an individual's SSN, name, and date of birth combination matches our records consistent with the Economic Growth, Regulatory Relief, and Consumer Protection Act.

- In FYs 2020 and 2021, we will roll out eCBSV to a limited number of permitted entities enrolled during the 2019 initial enrollment period. We will expand the number of permitted entities approximately six months following the initial rollout.

Performance Measures

Performance Measure 3.4a: Reduce our real property footprint

Fiscal Year	2016	2017	2018	2019	2020	2021
Target	Achieve a 190,000 USF reduction	Achieve a 15,000 USF reduction	Achieve a 55,000 USF reduction	Achieve a 25,000 USF reduction	Achieve a 19,500 USF reduction	Achieve a 85,000 USF reduction
Target Met	Not Met	Met	Met	Met	TBD	TBD
Performance	Achieved a 174,755 USF reduction	Achieved a 83,375 USF reduction	Achieved a 182,040 USF reduction	Achieved a 25,000 USF reduction ¹²	TBD	TBD
FY 2019 Performance Results	We achieved this reduction primarily by relocating our headquarters office in Washington, DC and implementing space sharing in the Boston, MA office.					

Data Definition: The target represents the actual space occupied. Usable square footage does not include common areas of a building such as lobbies, restrooms, stairwells, storage rooms, and shared hallways.

NEW Performance Measure 3.4b: Implement the electronic Consent Based Social Security Number Verification (eCBSV) Service

Fiscal Year	2020	2021
Target	Implement eCBSV services for 10 permitted entities selected and enrolled during the initial enrollment period	Implement a second release of eCBSV services for additional permitted entities that applied during the July 2019 initial enrollment period
Target Met	TBD	TBD
Performance	TBD	TBD

Data Definition: The target represents the enrollment of a permitted entity (i.e., financial institution or service provider, subsidiary, affiliate, agent, subcontractor, or assignee) as defined by section 509 of the Gramm Leach Bliley Act, governing the treatment of nonpublic personal information about consumers by financial institutions, that applied in the July 2019 initial enrollment period.

¹²USF results are based on agency calculations pending final reconciliation with GSA in February 2020.

Budgeted Workload Measure Results

In addition to the performance measures and targets we develop to demonstrate our incremental efforts to achieve our strategic goals, we have a number of budgeted workload performance measures that represent how much of our core workloads we will complete each year and how efficiently and effectively we complete this work. While budgeted workload measures support our strategic goals and objectives, the targets and outcomes are directly affected by our funding level each year. Thus, we present our budgeted workload measures separately in the following table.

Retirement and survivor claims completed

Fiscal Year	2015	2016	2017	2018	2019	2020	2021
Target	5,247,000	5,586,000	5,782,000 (4,196,566 received)	5,801,000	6,009,000	6,222,000	6,354,000
Performance	5,327,221	5,602,312	5,619,831	5,862,065	6,020,702	TBD	TBD

Initial disability claims receipts

Fiscal Year	2015	2016	2017	2018	2019	2020	2021
Target	2,755,000	2,807,000	2,499,000	2,476,000	2,295,000	2,399,000	2,545,000
Performance	2,756,319	2,637,755	2,442,592	2,353,970	2,345,615	TBD	TBD

Initial disability claims completed

Fiscal Year	2015	2016	2017	2018	2019	2020	2021
Target	2,767,000	2,695,000 (2,637,755 received)	2,455,000	2,300,000	2,295,000	2,289,000	2,359,000
Performance	2,759,432	2,688,977	2,455,000	2,306,570	2,310,057	TBD	TBD

Initial disability claims pending

Fiscal Year	2015	2016	2017	2018	2019	2020	2021
Target	621,000	733,000	612,000	699,000	565,000	704,000	890,000
Performance	621,315	567,644	522,869	565,013	593,944	TBD	TBD

Average processing time for initial disability claims

Fiscal Year	2015	2016	2017	2018	2019	2020	2021
Target	109 days	113 days	113 days	111 days	113 days	125 days	129 days
Performance	114 days	110 days	111 days	111 days	120 days	TBD	TBD

Disability reconsiderations receipts

Fiscal Year	2015	2016	2017	2018	2019	2020	2021
Target	Not Applicable	Not Applicable	Not Applicable	540,000	635,000	664,000	708,000
Performance	704,341	647,910	582,935	552,755	566,462	TBD	TBD

Disability reconsiderations completed

Fiscal Year	2015	2016	2017	2018	2019	2020	2021
Target	739,000	702,000 (647,910 received)	581,000	518,000	597,000	554,000	613,000
Performance	723,485	666,948	595,588	541,806	544,148	TBD	TBD

Disability reconsiderations pending¹³

Fiscal Year	2015	2016	2017	2018	2019	2020	2021
Target	143,000	136,000	130,000	129,000	153,000	244,000	339,000
Performance	143,540	120,829	105,022	115,028	133,503	TBD	TBD

¹³ The increase in pending is a result of the phased-in reinstatement of the reconsideration process in the 10 prototype States.

Average processing time for disability reconsiderations^{14,15}

Fiscal Year	2015	2016	2017	2018	2019	2020	2021
Target	Not Applicable	Not Applicable	105 days	102 days	105 days	118 days	119 days
Performance	113 days	103 days	101 days	103 days	109 days	TBD	TBD

Hearings receipts

Fiscal Year	2015	2016	2017	2018	2019	2020	2021
Target	805,000	746,000	632,000	582,000	511,000	464,000	467,000
Performance	746,300	712,853	620,164	567,911	510,901	TBD	TBD

Hearings completed

Fiscal Year	2015	2016	2017	2018	2019	2020	2021
Target	727,000	703,000	683,000	738,000	779,000	688,000	559,000
Performance	663,129	652,241	685,657	765,554	793,863	TBD	TBD

Hearings pending

Fiscal Year	2015	2016	2017	2018	2019	2020	2021
Target	1,056,000	1,087,000	1,071,000	900,000	591,000	352,000	259,000
Performance	1,060,907	1,121,519	1,056,026	858,383	575,421	TBD	TBD

¹⁴ Reconsideration processing times could increase slightly due to reconsideration reinstatement and the effect of a learning curve in the prototype States. We will continue to monitor closely.

¹⁵ Average processing time does not include the special processing of iAppeals claims that involve a specific universe of online appeals that claimants abandoned prior to completion.

Annual average processing time for hearings decisions¹⁶

Fiscal Year	2015	2016	2017	2018	2019	2020	2021
Target	470 days	540 days	605 days	605 days	515 days	380 days	260 days
Performance	480 days	545 days	605 days	595 days	506 days	TBD	TBD

National 800 Number calls handled

Fiscal Year	2015	2016	2017	2018	2019	2020	2021
Target	38,000,000	34,000,000	35,000,000	33,000,000	36,000,000	36,000,000	41,000,000
Performance	36,900,641	37,231,564	36,053,988	31,910,965	33,496,515	TBD	TBD

Average speed of answer¹⁷

Fiscal Year	2015	2016	2017	2018	2019	2020	2021
Target	12 minutes	16 minutes	16 minutes	25 minutes	13 minutes	17 minutes	11 minutes
Performance	10 minutes	14 minutes	13 minutes	24 minutes	20 minutes	TBD	TBD

Agent busy rate

Fiscal Year	2015	2016	2017	2018	2019	2020	2021
Target	8.0%	9.5%	12.0%	16%	9%	12%	7%
Performance	7.5%	8.9%	10.2%	14.7%	14.1%	TBD	TBD

Periodic continuing disability reviews completed

Fiscal Year	2015	2016	2017	2018	2019	2020	2021
Target	1,890,000	1,950,000	1,970,000	1,990,000	1,803,000	1,803,000	1,790,000
Performance	1,971,812	2,107,139	2,257,140	2,286,326	1,939,167	TBD	TBD

¹⁶ Average processing time for hearings is an annual figure. End of year (September) processing time for hearings is estimated at 340 days and 240 days for FYs 2020 and 2021, respectively.

¹⁷ To more clearly communicate our National 800 Number performance, we are now reporting the standard unit of measure in minutes instead of seconds.

Full medical continuing disability reviews

Fiscal Year	2015	2016	2017	2018	2019	2020	2021
Target	790,000	850,000	850,000	890,000	703,000	703,000	690,000
Performance	799,013	853,754	874,411	896,508	713,156	TBD	TBD

Supplemental Security Income non-medical redeterminations completed

Fiscal Year	2015	2016	2017	2018	2019	2020	2021
Target	2,255,000	2,522,000	2,562,000	2,900,000	2,822,000	2,150,000	2,000,000
Performance	2,266,993	2,530,446	2,589,638	2,913,443	2,666,287	TBD	TBD

Social Security numbers completed

Fiscal Year	2015	2016	2017	2018	2019	2020	2021
Target	16,000,000	16,000,000	16,000,000	17,000,000	17,000,000	18,000,000	18,000,000
Performance	16,468,018	17,336,833	17,400,585	17,082,844	17,646,561	TBD	TBD

Annual earnings items completed

Fiscal Year	2015	2016	2017	2018	2019	2020	2021
Target	257,000,000	264,000,000	273,000,000	281,000,000	285,000,000	288,000,000	288,000,000
Performance	265,830,718	272,999,400	279,381,782	284,306,239	288,089,658	TBD	TBD

Social Security Statements issued¹⁸

Fiscal Year	2015	2016	2017	2018	2019	2020	2021
Target	44,000,000	38,000,000	10,000,000	14,000,000	15,000,000	14,000,000	15,000,000
Performance	50,092,070	47,507,890	13,724,897	14,971,689	11,347,689	TBD	TBD

Disability determination services production per workyear

Fiscal Year	2015	2016	2017	2018	2019	2020	2021
Target	313	307	301	302	302	304	308
Performance	307	306	306	310	303	TBD	TBD

Office of Hearings Operations production per workyear

Fiscal Year	2015	2016	2017	2018	2019	2020	2021
Target	95	88	94	103	105	106	96
Performance	104	94	96	98	111	TBD	TBD

¹⁸ The Social Security Statements Issued measure includes paper statements only; it does not include electronic statements issued. We send paper statements to individuals aged 60 and over. In FY 2019, *my Social Security* users accessed their Social Security Statements 56 million times.

Major Management and Performance Challenges

As we strive to improve our performance, we face a variety of challenges. Each year, the Office of the Inspector General (OIG) identifies our top management and performance challenges. In addition, our leadership also identifies challenges, which often overlap with the OIG report. A listing of acronyms for the responsible officials is in Appendix D, Summary of Key Management Officials' Responsibilities.

Challenges Identified by the Office of the Inspector General

In FY 2019, OIG identified six top management issues for our agency.

1) Improve Administration of the Disability Programs

Components: DCO, DCHO, DCRDP, DCS, DCHR, DCARO, and DCBFM

Challenge: The Agency continues to face challenges with pending disability hearings and related processing times. Continued focus is necessary to simplify work incentive regulations and create new opportunities for returning beneficiaries to work.

Actions we are undertaking to address this challenge include:

- Reduce the Hearings Backlog;
- Reinstate the Reconsideration Process;
- Reduce the Processing Center Backlog;
- Expand Video Service Delivery;
- Expand Access to Electronic Medical Evidence;
- Increase the Number of People with Disabilities Who Return to Work;
- Develop an Occupational Information System;
- Update the Listing of Impairments;
- Modernize Disability Case Processing; and
- Expand Our Cooperative Disability Investigations Program.

2) Minimize Payment Errors and Improve Management of Payment Workloads

Components: DCRDP, DCBFM, DCO, DCHO, DCS, OCACT, DCCOMM, GC, DCARO, and IG

Challenge: SSA issues monthly payments to approximately 70 million people and must be a responsible steward of the funds entrusted to its care by minimizing the risk of making improper payments and effectively recovering overpayments when they occur.

Actions we are undertaking to address this challenge include:

- Reduce the Processing Center Backlog;
- Promote Timely Wage Reporting;
- Improve the Death Reporting System Process;
- Modernize our Debt Management System;
- Expand Our Cooperative Disability Investigations Program; and
- Enhanced Fraud Prevention and Detection Activities.

3) Improve the Prevention, Detection, and Recovery of Improper Payments

Components: DCRDP, DCBFM, DCO, DCHO, DCS, OCACT, DCCOMM, GC, DCARO, and IG

Challenge: SSA is responsible for issuing approximately \$1 trillion in benefit payments, annually. Given the amounts involved, even the slightest error in the overall payment process can result in millions of dollars in over-or-underpayments. Preventing, detecting, and recovering improper payments continues to be a challenge.

Actions we are undertaking to address this challenge include:

- Improve the Death Reporting Process;
- Expand our Cooperative Disability Investigations Program; and
- Expand Strategic Partnerships with External Partners.

4) Improve Service Delivery

Components: DCO, DCHO, DCBFM, DCRDP, and DCS

Challenge: SSA faces challenges, including growing workloads as experienced employees are expected to retire, as it pursues its mission to deliver quality service to the public.

Actions we are undertaking to address this challenge include:

- Reduce the Hearings Backlog;
- Improve 800 Number Services;

- Reinststate the Reconsideration Process;
- Reduce the Processing Center Backlog;
- Expand Video Service Delivery;
- Expand Internet Replacement of Social Security Number Cards;
- Expand Online Self-Service Options;
- Enhance *my Social Security*;
- Enhance Online Appeals;
- Update the Listing of Impairments;
- Modernize the Social Security Statement; and
- Strengthen the Performance Management Process.

5) Secure Information Systems and Protect Sensitive Data

Component: DCS

Challenge: SSA must ensure its information systems are secure and sensitive data are protected.

Actions we are undertaking to address this challenge include:

- Strengthen Our Information Security Program and Modernize Our Cybersecurity Infrastructure; and
- Enhanced Fraud Prevention and Detection Activities.

6) Modernize Information Technology

Component: DCS

Challenge: SSA must modernize its IT to accomplish its mission despite budget and resource constraints.

Actions we are undertaking to address this challenge include:

- Expand Internet Replacement of Social Security Number Cards;
- Enhance *my Social Security*;
- Enhance Online Appeals;
- Information Technology Modernization;
- Strengthen Our Information Security Program and Modernize Our Cybersecurity Infrastructure; and
- Modernize Disability Case Processing.

Additional Challenges Identified by Our Leadership

Prevent Fraud, Waste, and Abuse

Components: DCO, DCARO, DCRDP, DCBFM, DCS, and IG

Fraud, waste, and abuse erode the public's trust in our ability to efficiently and effectively provide vital services. Prevention is critical to conserving valuable resources and meeting our mission to meet the changing needs of the public.

Actions we are undertaking to address this challenge include:

- Improve the Death Reporting System Process;
- Expand Our Cooperative Disability Investigations Programs;
- Enhance Fraud Prevention and Detection Activities; and
- Reduce Our Real Property Footprint.

Have Enough Employees with the Right Skills in the Right Place at the Right Time

Component: DCHR

Employee turnover challenges our ability to retain and develop empowered, knowledgeable, compassionate, and engaged employees. Having employees with the right skills in the right place at the right time is critical to our mission.

Actions we are undertaking to address this challenge include:

- Strengthen the Performance Management Process;
- Execute Talent Management and Succession Planning; and
- Invest in Training and Support for Managers.

Meet Future Service Delivery Needs

Components: DCO, DCHO, DCS, and DCRDP

The service delivery expectations of our customers are constantly evolving. We must improve our current services and develop new service delivery options to continue to meet customer needs.

Actions we are undertaking to address this challenge include:

- Expand Video Service Delivery;
- Expand Internet Replacement of Social Security Number Cards;
- Expand Online Self-Service Options;
- Enhance *my Social Security*;

- Enhance Online Appeals; and
- Modernize the Social Security Statement.

Keep Pace in the Disability Program with Medicine, Technology, and the World of Work

Components: DCRDP, DCHO, DCO, and DCS

Medicine, technology, and the nature of work are also constantly evolving. We must create a more agile and responsive organization committed to keeping pace with those changes and maximizing efficiencies throughout the disability program.

Actions we are undertaking to address this challenge include:

- Expand Access to Electronic Medical Evidence;
- Develop an Occupational Information System;
- Update the Listing of Impairments; and
- Modernize Disability Case Processing.

Appendix A: Program Evaluations

We routinely conduct studies and surveys to evaluate the effectiveness of our programs. Continuous evaluation of the collection of program data, research, and analyses assists us in identifying strengths and weaknesses in our programs. Information from the program evaluations assist us in developing strategies to address the major challenges we face and improve the day-to-day administration of our programs. We complete many of our evaluations annually, while others may be biennial or one-time efforts. We have included a summary of findings for the most current reports available at this time.

Strategic Goal 1 – Deliver Effective Services

ForeSee Experience Index E-Government Report (Quarterly)

The ForeSee Experience Index E-Government report measures citizen satisfaction with government websites. The fiscal year (FY) 2017 third quarter report noted two SSA websites, “Extra Help with Medicare Prescription Drug Plan Costs” and “SSA Retirement Estimator” topped the E-Government Satisfaction Index. Four out of the top six sites were SSA webpages.

Office Visitor Surveys (Biennial)

Our Office Visitor Survey measures customer satisfaction with our in-person service and includes the field office and hearing office segment and the Social Security Card Center segment. We conducted the surveys annually until FY 2018, but we will now conduct the surveys biennially, with the next series of Office Visitor Surveys occurring in FY 2020.

Overall satisfaction among field office visitors was 93 percent in FY 2018, higher than the FY 2017 rating of 91 percent. Hearing Office visitors’ overall satisfaction rating was 92 percent in FY 2018, which is higher than the FY 2017 rating of 89 percent. In FY 2018, 93 percent of Social Security card center visitors were satisfied with the service they received – an increase from 92 percent in FY 2017.

In FYs 2017 and 2018, all aspects of employee service (helpfulness, courtesy, job knowledge, and clarity of explanations) garnered very favorable ratings from field office, hearing office and Social Security card center visitors.

The rate of Internet use among field office visitors was 44 percent in FYs 2017 and 2018. Internet use by hearing office visitors was 53 percent in FY 2017 and 55 percent in FY 2018. Social Security card center visitors’ rate of Internet use also increased slightly in FY 2018 to 74 percent from 73 percent in FY 2017. In both years, more than half of field office respondents had already created [my Social Security](#) accounts, and a majority of the remainder (59 percent in

FY 2017 and 56 percent in FY 2018) said they were very likely or somewhat likely to create accounts for future use. Hearing office visitor responses were even more encouraging, with more than 60 percent in both years having already created accounts, and a large proportion (73 percent in FY 2017 and 60 percent in FY 2018) of the remainder saying they were likely to create accounts. Card center visitors were less likely to have created *my Social Security* accounts (41 percent in FY 2017 and 47 percent in FY 2018), but those without accounts indicated they would be very or somewhat likely to create one. Most field office, hearing office, and card center visitors who said they were unlikely to create accounts told us it was because they preferred to speak to a person rather than conduct their business online.

Prospective Client Survey (Biennial)

Surveys people between ages 50 and 64 to identify service expectations and preferences of the upcoming wave of retirees. In FY 2017, key survey findings included:

- Retirement planning – Eighty-five percent of survey respondents remembered getting a Social Security Statement within the past year.
- Conducting Business with the Agency – Eighty-seven percent of respondents said they would conduct business by telephone, 84 percent would visit an office, and 79 percent would use the Internet.
- First Choice Service Preferences – More respondents preferred agent phone service for correcting their earnings record (42 percent) and scheduling an appointment to discuss their application (48 percent) than any other channel. On the other hand, the largest group of respondents preferred the Internet for checking application status and changing personal information on their Social Security record (both 44 percent). An office visit was the top choice (35 percent) only for completing an application for benefits.
- Important Features of Service – The majority of respondents considered the ability to speak to an agent on the telephone without having to call back (87 percent) and the ability to complete their business in one office visit (83 percent) as very important features of service.

Retirement Application Survey (Biennial)

The Retirement Application Survey measures customer satisfaction with the retirement application process and identifies service expectations and preferences for future service among recent retirees. In FY 2018, we found an exceptionally high level of satisfaction with the retirement application process, with respondents rating their overall experience at 94 percent Excellent, Very Good, and Good. This rating reflects a slight decline from the FY 2016 satisfaction rating of 95 percent.

In FY 2018, almost half of the respondents – 45 percent – noted they filed their applications for retirement benefits online, significantly higher than the 41 percent in FY 2016. Alternately, the

in-person filing decreased significantly from 45 percent in FY 2016 to 40 percent in FY 2018, while telephone filing remained fairly steady at 15 percent compared to 14 percent in FY 2016.

Most respondents indicated they use the Internet, and 70 percent of those Internet users said they had already created *my Social Security* accounts. Among the remaining Internet users who had not yet created an account, the majority said they would be likely to create one. To identify perceived drawbacks of creating a *my Social Security* account, the survey asked Internet users who had not yet created accounts for the main reason why they might not be likely to do so. More than one third of responders indicated they simply preferred to speak to a person when conducting Social Security business.

Strategic Goal 2 – Improve the Way We Do Business

Evaluation of the Ticket to Work and Other Employment Support Programs (Continuously)

Examines employment patterns and outcomes of disabled beneficiaries, including those beneficiaries who use employment services such as the Ticket to Work, Partnership Plus, and Work Incentives Planning and Assistance programs. We completed an independent 10-year evaluation of the Ticket to Work (TTW) program in 2013, which produced seven reports. All reports are publically available at <http://www.ssa.gov/disabilityresearch/research.htm#Ticket>.

Overall, the TTW evaluation found that beneficiaries who use the program generally like it, and the program has increased the use of return to work services. In addition, those beneficiaries who participate in TTW have better outcomes than those who return to work without the help of SSA-financed employment services. However, we also found that the increase in service use and better outcomes by participants has not translated into net increases in the rate of benefit suspension or termination for work or an increase in the average number of months spent in suspension or termination for work. This finding suggests that TTW has primarily extended the types of services that were available under the previous program where services were offered only through State vocational rehabilitation agencies. To summarize, more beneficiaries are getting these services now, but the success rate has not measurably changed.

Since 2013, we have transitioned to evaluating TTW and other employment support programs through internal research by SSA staff, funding collaborative and external research through our Retirement and Disability Research Consortium, and other grant programs. We also provide public use administrative data and survey on disability and employment through our public use Disability Analysis File, and National Beneficiary Survey file. Both of these files and their documentation are available through data.gov and the SSA website at <https://www.ssa.gov/disabilityresearch/research.htm>. Our research has produced more than 50 papers, reports, statistical abstracts, and published articles on a broad range of return-to-work

topics since 2015. We highlight two recent studies on the effectiveness of our employment support programs below.

A November 2015 *Social Security Bulletin* article, “Changes to the Ticket to Work Regulations in 2008 Attracted Providers and Participants, but Impacts on Work and Benefits Are Unclear” presents new statistics on the extent to which beneficiaries have given up their benefits to return to work since the introduction of the TTW program in 2002. Looking at the 2008 changes to TTW regulations, the analysis found that provider and beneficiary participation increased substantially after the regulations changed, but the percentage of participants foregoing benefits for work declined.

A November 2018 article in the *Social Security Bulletin*, “Social Security Administration Payments to State Vocational Rehabilitation Agencies for Beneficiaries Who Work: Evidence from Linked Administrative Data” examines the extent to which DI and SSI beneficiaries who receive VR services from State VR Agencies go on to earn at a level high enough to forgo disability benefits. The analysis found that the cumulative value of cash benefits foregone due to work exceeded the cumulative value of VR payments more than tenfold, though it could not say what portion of the difference is due specifically to VR services.

Federal Information Security Modernization Act Report (Annually)

Reports to Congress whether our overall information technology security and privacy programs and practices comply with the Federal Information Security Modernization Act of 2014. In FY 2019, we made substantial improvements and progress in securing applications, leveraging the cloud, managing our assets and vulnerabilities, strengthening our network and incident response capabilities, improving our security training, and enhancing the overall effectiveness of our cybersecurity program.

Department of Homeland Security Risk Management Assessment (quarterly)

Reports generated by the Office of Management and Budget (OMB) and DHS as required by Executive Order 13800 and outlined in OMB Memoranda M-17-25 to provide an assessment of risk for each agency based on information submitted by agencies for the Federal Information Security Management Act CIO metrics, which leverage the NIST Cybersecurity Framework. The report is sorted into Security Domains, and organized by the five NIST Framework functions of Identify, Protect and Detect, Respond, and Recover with a risk rating of High Risk, At Risk, or Managing Risk. The risk levels per Security Domain are then used to calculate the overall risk level for the NIST function area. SSA has improved several areas from “At Risk” to “Managing Risk”, and we maintain an assessment of “Managing Risk” overall on the report.

Pre-Effectuation Review of Disability Determinations (Annually)

Assesses the accuracy of initial and reconsideration disability allowances made by DDSs as required in the Social Security Act. In FY 2017, we reviewed 371,214 allowances of applications for benefits and 6,475 continuances of medical continuing disability reviews. We estimate these reviews will result in a present value of net lifetime savings of about \$482 million in benefits to the Old-Age and Survivors Insurance Trust Fund and Disability Insurance Trust Fund on a combined basis. We also estimate a present value of net Federal lifetime savings of \$63 million in SSI payments, \$212 million to the Medicare trust funds, and a net cost of \$5 million in the Federal share of Medicaid payments.

Safeguard Security Report (Annually)

We provide examples of our policies and procedures to demonstrate how we safeguard personally identifiable information and Federal tax information. We submit this report to the Internal Revenue Service (IRS) on an annual basis.

Safeguard Review (Triennial)

Evaluates the use of Federal tax information and the measures we employ to protect this information. This review is an onsite evaluation completed in collaboration with the IRS.

The IRS completed its full Safeguard Review of our agency in the summer of 2016. The review concluded with a closing conference in September 2016 and produced findings pertaining to both physical and IT security. We received one critical finding from the review and addressed it in June 2017. The findings from this review are reported on a semi-annual basis through submission of a corrective action plan to the IRS. The next evaluation is scheduled for June 2020.

Strategic Goal 3 – Ensure Stewardship

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

Reports annually to Congress on the financial and actuarial status of the two Social Security trust funds. At the end of 2018, the Old-Age, Survivors, and Disability Insurance (OASDI) program was providing benefit payments to about 63 million people, 47 million retired workers and dependents of retired workers, 6 million survivors of deceased workers, and 10 million disabled workers and dependents of disabled workers. During 2018, an estimated 176 million people had earnings covered by Social Security and paid payroll taxes on those earnings. The total cost of the program in 2018 was \$1,000 billion. Total income was \$1,003 billion, which consisted of \$920 billion in non-interest income and \$83 billion in interest earnings.

Annual Report to Congress on Medical Continuing Disability Reviews (Annually)

A legislatively mandated report that provides summary information on medical continuing disability reviews (CDR) conducted for a completed fiscal year, including actuarial estimates of the lifetime savings in OASDI; Supplemental Security Income (SSI); Medicare; and Medicaid benefits resulting from the reviews conducted during that fiscal year. In FY 2015, we conducted 1,971,812 periodic CDRs. Based on these reviews, we made initial determinations that benefits should be ceased in 209,270 cases. Our Office of the Chief Actuary estimates that, after all appeals, we will cease paying benefits to 137,195 individuals and their eligible dependents. We estimate the present value of net future Federal benefits saved to be \$14.314 billion. The FY 2016 reviews are in progress.

Annual Report of the Supplemental Security Income Program (Annually)

Reports annually to the President and Congress on the status of the SSI program and provides 25-year projections of program participation and costs. In January 2019, 7.97 million individuals received monthly SSI payments averaging \$549, a decrease of 98,000 recipients from the 8.07 million recipients with an average payment of \$526 in January 2018. By 2043, the end of the 25-year projection period, we estimate that the SSI recipient population will reach 8.7 million. The projected growth in the SSI program over the 25-year period is largely due to the overall growth in the U.S. population, though the growth in the SSI recipient population is projected to be somewhat slower than the growth in the U.S. population.

Enumeration Accuracy Report (Triennial)

Assesses the accuracy of original Social Security numbers assigned during the fiscal year. In FY 2018, the enumeration accuracy rate was 100 percent. The enumeration accuracy rate for FY 2015 accuracy rate was also 100 percent.

Evaluation of the Continuing Disability Review Enforcement Operation Predictive Model (Annually)

We continue to evaluate the results of a predictive model used to score work issue CDR cases to ensure that cases most likely to result in overpayments are prioritized and worked first. Our tracking and evaluation each year indicate the need for improved coordination with the processing centers in reviewing cases based on the scores' priority order. While SSA Enforcement Operation issues various types of alerts, we showed progress on the challenging task of separating enforcement alert events that do not result in work reviews. Our prime objective for the future is aligning together the Continuing Disability Review Enforcement Operation predictive model, based on IRS annual earning data and the quarterly earning work review process, via quarterly reporting.

Federal Employee Viewpoint Survey (Annually)

Assesses employee perspectives of organizational performance across several major human capital areas: recruitment, development, performance culture, leadership, job satisfaction, and personal work experiences. The 2019 Federal Employee Viewpoint Survey results indicate both strengths and opportunities for improvement. The most positive employee perceptions center around willingness to exert extra effort, knowledge of work importance, searching for ways to improve job performance, knowledge of how jobs support agency goals and priorities, and supervisor communication about performance. Opportunities for improvement include questions that reference the linkage between performance and pay raises, dealing with poor performers, performance-based recognition, merit-based promotions, and ability to get a better job within the organization.

Human Capital Evaluations (Annually)

Monitors and evaluates how well human capital policies and programs support our mission accomplishments and is a critical step in evaluating organizational performance and determining how to improve processes. Our Human Capital Evaluation System (HCES) also helps leadership assess the impact of human capital strategies designed to achieve agency goals.

The HCES serves as a mechanism to monitor and evaluate outcomes related to human capital management strategies, policies, programs, and activities. We leverage business intelligence, analytics, and data-based decision-making structures to support our evaluation strategy by tracking agency progress on all milestones and performance measures through its Human Capital Operating Plan (HCOP), HRStat reviews, and Independent Audit Program, as well as an annual Human Capital Reviews with the Office of Personnel Management.

Our HCOP describes plans for executing the human capital elements stated within our Agency Strategic Plan and Annual Performance Report, and supports the Office of Management and Budget's Comprehensive Plan for Reforming the Federal Government and Reducing the Federal Civilian Workforce, as described in Memorandum M-17-22. To ensure our sustained success at both the agency and component levels, we developed mature structures and processes to support executive oversight and accountability and detailed plans for implementation of our key focus areas and corresponding initiatives. We also established an ongoing evaluation process to identify challenges and make course corrections that ensured we achieved our target outcomes.

HRStat is a metric-based, analytical monitoring process that tracks human capital priorities and supports leadership data-driven decision making, as related to agency goals and performance outcome improvement strategies.

Independent Audit Program – We conduct a comprehensive Human Capital Framework audit of all Servicing Personnel Offices (i.e., currently 10 regions, Office of Central Operations and Headquarters) on a cyclical basis so that each site is reviewed at least every five years. SSA conducts audits virtually or onsite, if necessary. We conducted two human capital evaluations in

FY 2019. We evaluated the Seattle Region in January 2019 and the New York Region in May 2019. We reviewed more than 50 outcomes set by OPM covering the following HR functions: training, labor-management/employee relations, civil rights and equal opportunity, staffing (including delegated examining unit hiring and work-life), workers' compensation, and security and suitability. The number of resulting required corrective actions for the Seattle region assessment was low and was for non-critical issues – no illegal appointments or serious violations. However, the number of resulting required corrective actions for the New York region are more than usual indicating areas marked for improvement, most notably the staffing area. We found one illegal Delegated Examining appointment.

Management Directive 715 Report (Annually)

Describes the status of our efforts to establish and maintain effective equal employment affirmation actions programs under Section 717 of Title VII of the Civil Rights Act of 1964 and effective affirmation action programs under Section 501 of the Rehabilitation Act of 1973.

In 2019, the Office of Civil Rights and Equal Opportunity improved or continued efforts toward achieving the status as a Model Equal Employment Opportunity agency. These initiatives include:

- 1) Continued to expand efforts to identify and eliminate potential barriers to Equal Employment Opportunity (EEO) by completing analysis of detected triggers that indicate potential barriers. Developed a Barrier Analysis Project Plan to identify and mitigate potential barriers.
- 2) Provided senior executives with a comprehensive analysis of their components' workforce demographics. The analysis included diversity workforce trends and identified areas in need of improvement based on low representational rates as compared to the civilian labor force.
- 3) Revised the Alternative Dispute Resolution (ADR) policy to increase management participation in the ADR by requiring managers to get Deputy Commissioner-level concurrence to decline ADR. The ADR process is a tool to promote voluntary settlements early and throughout the EEO process and to resolve workplace disputes in a positive and constructive manner at the lowest level.
- 4) Collaborated with Office of Labor-Management and Employee Relations on the Notification and Federal Employee Anti-discrimination and Retaliation Act policy by conducting an independent review of complaints in any discrimination finding. The purpose of the independent review was to determine whether disciplinary action is recommended against named management officials. This review also included significant settlements.
- 5) Increased our efficiencies by implementing eFile, which allows SSA employees to initiate EEO cases and monitor the status of their cases in an electronic environment, and an

electronic tracking tool to monitor the usage of EEO representative time for complainants and union representatives.

Targeted Denial Review (Annually)

Assesses the accuracy of initial and reconsideration disability denials made by the DDS. In FY 2019, we analyzed 56,696 cases and cited 2,279 decisional errors and 5,952 documentation errors. We returned 8,231 cases to the adjudicating components for correction—a return rate of 15.1 percent.

Retirement, Survivors, and Disability Insurance Stewardship Review (Annually)

Measures the accuracy of payments to persons receiving Social Security retirement, survivors, or disability benefits. In FY 2018, the overpayment (O/P) accuracy rate was 99.77 percent, based on overpayments totaling a projected \$2.2 billion. Payment accuracy for underpayments (U/P) was 99.95 percent based on unpaid dollars projected at \$435 million. In FY 2017, the O/P accuracy rate was 99.36 percent, and the U/P accuracy rate was 99.97 percent. For FYs 2017 and 2018, the changes in the overall accuracy rates were not statistically significant.

Supplemental Security Income Stewardship Review (Annually)

Measures the accuracy of payments to persons receiving SSI benefits by reviewing all non-medical factors of eligibility and payment. In FY 2018, the O/P accuracy rate was 91.8 percent based on overpaid dollars totaling a projected \$4.7 billion. This rate represents an increase of 0.9 percentage points from the FY 2017 O/P accuracy rate of 92.7 percent. This change is not statistically significant. The U/P accuracy rate was 98.5 percent based on underpaid dollars totaling a projected \$842 million. This decrease from the FY 2017 U/P accuracy rate of 98.9 percent is not statistically significant.

Supplemental Security Income Transaction Accuracy Review (Annually)

Review of non-medical aspects of eligibility to evaluate the adjudicative accuracy of SSI initial claims, redeterminations, and limited issues to ensure compliance with operational policy. In FY 2018, the sample of 6,997 cases provides meaningful information about the quality of the non-medical aspects of SSI initial claims, redeterminations, and limited issue transactions. The national case accuracy rates for FY 2018, defined as the percentage of cases free of either an O/P or a U/P, are 92.1 percent for O/P and 93.8 percent for U/P. In FY 2017, these rates were 92.0 percent and 94.5 percent, respectively. The changes in both the O/P and U/P case accuracy rates from FY 2017 to FY 2018 are not statistically significant.

Retirement, Survivors, and Disability Insurance Transaction Accuracy Review (Triennial)

Review of non-medical factors of eligibility to evaluate recently processed retirement, survivors, and disability insurance claims to ensure compliance with operational policy. For FY 2017, the overall OASDI O/P case accuracy was 98.9 percent, and the overall OASDI U/P case accuracy was 97.2 percent. The case accuracy rates indicate that approximately 4 out of every 100 claims were incorrectly paid – about 1 out of 100 cases had O/Ps, and about 3 out of 100 cases had U/Ps.

Appendix B:

How We Ensure Our Data Integrity

We are committed to providing consistent, reliable, and valid data. We have internal controls 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.

These same controls support the Commissioner's Federal Managers' Financial Integrity Act Assurance Statement.

Data Integrity Systems and Controls

We gather performance data using automated management information and other workload measurement systems. We evaluate the data in terms of four quality dimensions:

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

We conduct quality evaluations based on established internal methodologies. As we introduce new performance measures, we perform a comprehensive data assessment using the four quality dimensions. From the assessment results, we establish a baseline. After establishing the baseline, we automate continuous monitoring to sustain high-quality data. Continuous monitoring allows us to follow data trends and proactively remediate potential issues.

In our data quality program, we also derive several accuracy and public satisfaction measures from surveys and work samples. These measures provide confidence levels of 95 percent or higher.

As part of our fiduciary responsibility to the public, we use an audit trail system (ATS) to protect our records and taxpayer funds from improper use. The ATS collects and maintains detailed information about our internal and public transactions. We store the data from programmatic and select Internet applications, so we can review transactions for fraud and abuse.

Audit of Our FY 2019 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 2019 audit.

The auditor found we fairly presented the basic financial statements, in all material respects, in conformity with accounting principles generally accepted in the United States of America for Federal entities. This finding marks the 26th consecutive year that we received an unmodified audit opinion. The auditor also found that our agency maintained, in all material respects, effective internal control over our financial reporting.

The audit includes examining, on a test basis, evidence supporting the amounts and disclosures in the financial statements. The audit did not find instances of noncompliance with laws, regulations, or other materials tested.

Appendix C: Changes to Performance Measures

Results for Discontinued or Modified Fiscal Year 2019 Performance Measures

Performance Measure 2.1b: Increase labor force participation: Increase the number of persons with disabilities receiving employment support services who achieve the consequential earnings threshold of the trial work level

Fiscal Year	2015	2016	2017	2018	2019
Target	50,000 beneficiaries	55,000 beneficiaries	67,800 beneficiaries	85,600 beneficiaries	98,000 beneficiaries
Target Met	Met	Met	Met	Met	TBD
Performance	58,341 beneficiaries	62,831 beneficiaries	80,054 beneficiaries	93,600 beneficiaries	Data available Spring 2020

Performance Measure 3.4b: Initiate the data exchange process with new partners or expand existing data exchanges to improve operational efficiency and reduce improper payments

Fiscal Year	2018	2019
Target	Engage with at least two new data exchange partners from government or the private sector	Engage with at least two new data exchange partners from government or the private sector
Target Met	Met	Met
Performance	Engaged with four new data exchange partners	Engaged with four new data exchange partners

Appendix D:

Summary of Key Management Officials' Responsibilities

Commissioner of Social Security (COSS) is a Senate confirmed position. The COSS manages all agency programs and staff.

Deputy Commissioner of Social Security (DCOSS) is a Senate confirmed position, authorized to act on behalf of the COSS. Also serves as the Chief Operating Officer, responsible for improving agency management and performance.

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

General Counsel (GC) advises the COSS, DCOSS, and all subordinate organizational components (except the Inspector General) on legal matters. GC also oversees the implementation of privacy protections and ensures that all privacy requirements are met serving as the Senior Agency Official for Privacy.

Inspector General (IG) promotes economy, efficiency, and effectiveness in administering our programs and operations, and prevents and detects fraud, waste, abuse, and mismanagement.

Deputy Commissioner for Analytics, Review, and Oversight (DCARO) oversees the review of program quality and effectiveness and makes recommendations for program improvement utilizing feedback from the adjudication of cases, predictive modeling, and other advanced data analysis techniques. Additionally, DCARO coordinates the agency's anti-fraud initiatives and responds to the recommendations of external monitoring authorities. DCARO also serves as the accountable official for improper payments.

Deputy Commissioner for Budget, Finance, and Management (DCBFM) directs our comprehensive management programs including budget, financial policy, acquisition, grants, facilities and logistics management, and security and emergency preparedness. DCBFM also serves as the Chief Financial Officer; Performance Improvement Officer; the Program Management Improvement Officer; and the responsible official for Enterprise Risk Management and the Digital Accountability and Transparency Act.

Deputy Commissioner for Communications (DCCOMM) conducts our national public information and outreach programs and fosters the transparency of our operations.

Deputy Commissioner for Hearings Operations (DCHO) administers our nationwide hearings program in accordance with relevant Federal laws.

Deputy Commissioner for Human Resources (DCHR) administers our human resources programs, including training, human capital initiatives, personnel and employee relations, labor

management, and civil rights and equal opportunity. DCHR also serves as the Chief Human Capital Officer and the senior accountable official on employee engagement initiatives.

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

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

Deputy Commissioner for Retirement and Disability Policy (DCRDP) advises the COSS on the 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. DCRDP serves as liaison with the Centers for Medicare and Medicaid Services and leads our efforts to improve the clarity, tone, and readability of our notices. DCRDP also leads our efforts in implementing the Evidence-Based Policymaking Act of 2018.

Deputy Commissioner for Systems (DCS) directs the strategic management of our systems and databases, which includes the development, validation, and implementation of new systems. DCS directs operational integration, strategic planning processes, and implementation of a systems configuration program. DCS is responsible for implementing the agency's five-year IT Modernization Plan. DCS also serves as the Chief Information Officer.

