

PERFORMANCE BUDGET



Fiscal Year 2009

U. S. Railroad Retirement Board

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Introduction

The Railroad Retirement Board (RRB) has developed this performance budget for 2009 to support our mission (see Figure 1 on the following page) and to communicate our intentions for meeting challenges and seeking opportunities. We will use the plan to hold managers accountable for achieving program results and to improve program effectiveness and public accountability by promoting a renewed focus on results, service quality, and customer satisfaction. We will also use the plan to help managers improve service delivery by requiring that they plan for meeting program objectives and by providing them with information about program results and service quality.

This plan is closely linked to our *Strategic Plan for Fiscal Years 2006 - 2011* and can be easily cross-referenced to that plan. The President's Budget identified a set of Government-wide reforms that agencies are expected to carry out over the next several years. These reforms are reflected in this Performance Budget in order to communicate our intentions for meeting these challenges. We will hold managers accountable for achieving these reforms, thereby making our agency more citizen-centered, results-oriented, and market-based.

The Performance Budget provides detailed performance goals, performance indicators, and target levels to guide agency managers as they implement our Strategic Plan. It also communicates our plans to our stakeholders, including the railroad community, the Administration, the Congress, and other Government agencies. It is one part of a comprehensive set of interlocking plans that cover all major aspects of agency operations. In this plan, we have established specific performance goals (with performance indicators and projected performance levels) to be achieved in 2009. Additionally, it supports our other functional plans required to manage the agency. These functional plans include the *Customer Service Plan* and the *Information Technology (IT) Capital Plan*. These plans reflect input and feedback from our stakeholders, and they result in the annual submission of the agency budget to the Office of Management and Budget (OMB) and the Congress.

RRB's Strategic and Performance Goals are presented on the pages following our Mission Statement. The attached *Exhibit* provides detailed information on our anticipated performance in 2009 for each performance goal, at each of the two budget levels: the OMB guidance level, totaling \$103.5 million, and our agency request level of \$109.5 million.

In support of the President's Management Agenda Initiative to improve financial performance, by November 15, 2009, we will prepare and submit to the President and the Congress a report on program performance for 2009, as part of our Performance and Accountability Report. The report will be audited by RRB's Office of Inspector General (OIG) to help ensure the reliability and utility of our performance information. The reported information will be derived from agency systems and will compare the performance goals and indicators to actual program performance for that fiscal year. This Performance Budget meets the requirements of the Government Performance and Results Act (GPRA) and was prepared by RRB employees.

Figure 1

***RAILROAD RETIREMENT BOARD
MISSION STATEMENT***

The RRB's mission is to administer retirement/survivor and unemployment/sickness insurance benefit programs for railroad workers and their families under the Railroad Retirement Act and the Railroad Unemployment Insurance Act. These programs provide income protection during old age and in the event of disability, death or temporary unemployment and sickness. The RRB also administers aspects of the Medicare program and has administrative responsibilities under the Social Security Act and the Internal Revenue Code.

In carrying out its mission, the RRB will pay benefits to the right people, in the right amounts, in a timely manner, and will take appropriate action to safeguard our customers' trust funds. The RRB will treat every person who comes into contact with the agency with courtesy and concern, and respond to all inquiries promptly, accurately and clearly.

Strategic Goal I: *Provide Excellent Customer Service.*

We aim to satisfy our customers' expectations for quality service both in terms of service delivery options and levels and manner of performance. At the OMB guidance level of the budget, we plan to allocate \$79,388,000 and 684 full-time equivalent employees (FTEs) to this goal; at the agency request level, we are requesting \$83,471,000 to fund 729 FTEs to maintain our high level of customer service. We have established four performance goals that focus on the specifics of achieving this strategic goal.

Performance Goal I-A: Pay benefits accurately and timely. RRB is committed to ensuring that we pay the right benefits to the right people in a timely manner. We have a number of measures in place to track the accuracy and timeliness of the actions we take in a year, regarding both the Railroad Retirement Act (RRA) and the Railroad Unemployment Insurance Act (RUIA) programs.

The principal indicators of **accuracy** are the benefit payment and case accuracy rates in each program. Our long-term performance goal is to meet or exceed 99 percent payment accuracy in the payments we initiate or manually adjust in a given year. (Payment accuracy is defined as the percentage of dollars paid correctly as a result of the adjudication action performed.) We also have long-term case accuracy goals (the percentage of cases paid without material error) so that at least 94 percent of cases handled under the RRA are accurate, and that at least 98 percent of those paid under the RUIA are handled correctly. To accomplish these goals, we will:

- *Monitor payment and case accuracy and identify problems.*
- *Provide feedback and take additional preventive actions as appropriate.*
- *Ensure accurate, up-to-date, accessible instructions to support our front-line employees as they provide customer support.*
- *Inform our customers about their responsibilities.*
- *Ensure that the Customer Service Plan is comprehensive and is revised when appropriate.*
- *Promote direct deposit for benefit payments.*
- *Monitor key payment workloads.*
- *Allocate resources effectively to improve our long-term performance in disability case timeliness.*

In accordance with the Improper Payments Information Act of 2002, RRB has reviewed its benefit payment programs and has concluded they do not have significant improper payments as defined by OMB Circular A-123, Appendix C. Nevertheless, we will continue to monitor our benefit payment programs and take the necessary action to minimize improper payments.

Our performance in the area of benefit **timeliness** is also a key indicator of our customer service. We have a customer service plan with timeliness standards (i.e., targets for when to expect the service requested) in 10 separate claims processing service categories, as shown in the *Exhibit* to this performance budget. The composite for our actual overall performance for

2007 (through March 2007), in these 10 categories, is 98.7 percent. (The composite of our performance targets was 97.7 percent.) This means that our customers got the service level promised in our *Customer Service Plan* for over 98.7 percent of those services. We have also

**Overall Timeliness Performance
(As of March 2007)**

- Retirement applications: 93.1%
(target: 92.6%)
- Survivor applications: 95.4%
(target: 91.6%)
- Disability applications/payments: 82.9%
(target: 78.2%)
- RUIA applications/claims: 99.8%
(target: 99.0%)

developed composite indicators to illustrate our performance in our four major benefit areas. (See adjacent box.)

The Disability Program has been able to raise its goal due to the completion of a disability training class in February 2007, the retention of experienced claims examining staff beyond their retirement eligibility dates, availability of overtime dollars, and the timely performance by the contractors for

consultative medical examinations and opinions needed to make disability decisions.

Performance Goal I-B: Provide relevant, timely, and accurate information which is easy to understand. In addition to making payments, we provide a variety of information services to our customers. We provide general information through our website, publications, and our toll-free automated Help Line. We also provide information to individuals through annual statements of wages and compensation, annuity estimates, notices of annuity and benefit awards and changes, annual income tax statements, and answers to questions regarding benefits. It is important that we provide this information timely and in ways that are accessible and responsive to the individual's needs. The information must also be meaningful to the customer and easy to understand. The timeliness of our information is measured by how well we succeed in achieving the levels of service designated in our *Customer Service Plan* and by maintaining acceptable workload balances. Customer feedback through American Customer Satisfaction Index (ACSI) surveys and directly from customers helps us determine whether the information we are providing satisfies our customers' needs and expectations. To accomplish this objective, we will:

- *Listen to our customers to determine their expectations and whether those expectations are being met.*
- *Adjust our Customer Service Plan or our processes, based on customer feedback.*
- *Monitor key informational workloads.*
- *Focus on interactive electronic solutions that provide immediate responses and intermediate status updates.*
- *Fully develop a customer contact log.*

Performance Goal I-C: Provide a range of choices in service delivery methods. To fulfill customers' needs, we must provide high quality, accurate services on a timely basis, and in ways that are accessible and convenient to all our customers, including the elderly and those with impairments. Consistent with our vision statement, we strive to provide a broad range of choices for customer service. Our customers have strongly indicated that they want us to continue personal service. To accomplish this, we plan to take advantage of technological

developments that will not only satisfy our customers but also improve our internal processes. Consistent with this goal, we intend to implement nationwide toll-free telephone service during fiscal year 2008. This service will include automated call distribution as well as an option for each caller to speak to a claims representative.

Our level of performance will be measured by how well we succeed in providing the level of service our customers expect, and by the number of new electronic services we can provide in each program at a reasonable cost. Our goal is to expand customer choice by offering alternative access to our major services. To achieve this objective, we plan to:

- *Increase opportunities for our customers to conduct business in a secure manner over the Internet.*
- *Provide additional services through the HelpLine.*
- *Seek customers' service delivery preferences.*

Performance Goal I-D: Ensure efficient and effective business interactions with covered railroad employers. To correctly pay benefits, RRB must receive timely and accurate reports of the compensation and service months of covered employees. It is the responsibility of the employer to provide these reports with respect to its employees. To ensure the receipt of accurate and timely annual reports, as well as the proper filing of other reports and forms, the RRB must strive for a system of reporting which is easily understood, places minimal burden on employers, and ensures compliance with the applicable laws. To accomplish this, the RRB intends to:

- *Continue to develop electronic services that enable the employer to conduct daily business transactions and file required reports in an efficient, effective, and secure manner.*
- *Continue to look for ways to encourage employers to file accurate and timely annual service and compensation reports.*

Strategic Goal II: *Serve as Responsible Stewards for Our Customers' Trust Funds and Agency Resources.*

RRB is committed to fulfilling its fiduciary responsibilities to the rail community. At the OMB guidance level of the budget, we plan to allocate \$24,130,000 and 196 FTEs to this goal; at the agency request level, we are requesting \$26,021,000 to fund 209 FTEs to maintain our high level of stewardship. We have established four objectives that focus on this goal.

Performance Goal II-A: Ensure that trust fund assets are projected, collected, recorded and reported appropriately. RRB is committed to prudent management of its trust funds. Our success in this objective is reflected through annual audited financial statements, actuarial valuations, our financial projections, debt collection, experience-based contribution rates, and payroll tax and railroad employee compensation reconciliations. To accomplish this commitment, we will:

- *Continue to issue annual audited financial statements.*

- *Continue to perform RRB's actuarial valuations and financial projections.*
- *Continue to estimate RRB's funding requirements for the Dual Benefits Payments Account.*
- *Continue to carry out RRB's debt collection policy.*
- *Continue to accurately and timely determine the experience-based contribution rates required under the Unemployment and Sickness Insurance Program.*
- *Verify that payroll taxes are fully collected and properly recorded.*

In support of the President's Management Agenda Initiative to improve financial performance, on November 15, 2006, we released our *Performance and Accountability Report for 2006*. The RRB's OIG issued an unqualified ("clean") opinion on the *2006 Financial Statements*, which were included in that report.

Performance Goal II-B: Ensure the integrity of benefit programs. As part of our fiduciary responsibilities to the rail community, we must ensure that the correct benefit amounts are being paid to the right people. We match our benefit payments against the Social Security Administration's earnings and benefits database, the Centers for Medicare & Medicaid Services' utilization and death records, the Office of Personnel Management's benefit records, and State wage reports. We also administer other benefit monitoring programs to identify and prevent erroneous payments, and we refer some cases to RRB's OIG for investigation. After investigation, the Inspector General may pursue more aggressive actions, which include civil and criminal prosecution.

We measure the effectiveness of the program integrity efforts each year by comparing the dollars collected or saved through these initiatives to their cost. For example, in 2006, RRB invested the equivalent of over 24 full-time employees, at a cost of approximately \$1.95 million, in program integrity efforts. This resulted in nearly \$9.7 million in recoveries, \$810,000 in benefits saved, and the referral of 175 cases to the OIG for investigation. This is approximately \$5.36 in savings for each \$1.00 invested in these activities. To accomplish this objective, we will:

- *Maintain established matching programs.*
- *Continue our program integrity reviews.*

Performance Goal II-C: Ensure effectiveness, efficiency, and security of operations. How we do our business is a critical component of good stewardship. RRB is committed to effective, efficient and secure internal operations. Many factors and programs contribute to this goal. We have ongoing programs which help us assess our performance in these areas. We use our management control review process as a means of reviewing critical agency processes in order to provide reasonable assurance of the effectiveness and efficiency of our programs and operations. If material weaknesses are detected, we take swift, aggressive, corrective action. In addition, we perform a variety of quality assurance activities to ensure that our benefit programs comply with established policies, standards and procedures. We consider the findings from these reviews as we plan our information technology initiatives.

To achieve our goals for efficient, effective, and secure operations, we will:

- *Continue to develop an effective human capital planning program.*
- *Ensure the privacy and security of our customers' transactions with the RRB.*
- *Improve our ability to control and monitor information technology investments.*
- *Continue to seek ways to increase competitive sourcing opportunities.*
- *Make greater use of performance-based contracts.*
- *Expand our participation in E-Government initiatives.*
- *Comply with new security requirements for employee identification.*

In addition to our ongoing activities, during the planning period we will continue to emphasize strategic management of human capital, competitive sourcing, and expanded electronic government. These have been identified as key areas in the President's Management Agenda.

Strategic Management of Human Capital -- While there is a wealth of institutional knowledge and practical experience among the current RRB staff, more than a third of them will be eligible for retirement by 2009. Effective succession planning will help to ensure that the benefit of this knowledge and experience can be passed on by our more senior employees before they retire. At the same time, effective training and development programs will prepare the remaining employees to assume leadership roles necessary for effective program administration and management. By adopting and implementing an aggressive hiring plan in 2007, RRB helped position itself for the future by filling a number of entry-level positions for the first time in several years.

We will continue structured succession planning activities in the following areas:

- Improve training capabilities, particularly in the areas of managerial and supervisory skills, through a combination of internal and external programs, including expanded use of video-based presentations on the agency intranet.
- Identify core competencies for key positions, with an emphasis on those with unique needs and/or potential for high turnover.
- Assess the skill level of employees currently in the same or related career tracks and develop enhancement programs to close any identified competency gaps.

Competitive Sourcing -- RRB has inventoried its positions, identified those that are commercial in nature, and published the report on the Internet, as required. In 2007, RRB listed eight commercial activities on its FAIR Act report comprised of 117 FTEs, an increase of 3 FTEs from the previous year. These positions were placed into the following categories: library services; occupational health (nurse); storage and warehousing; printing and reproduction; administrative support services; information operations and information assurance/security; data processing services; and systems design, development, and

programming services. The report also reflects reduced staffing levels, as the total number of FTEs shown on the report declined to 939.8 from 956 the previous year.

In the coming years, we will continue to explore opportunities for competitive sourcing that might improve efficiency and result in cost savings. However, the agency's flexibility in this area is limited, as the inventory lists almost 85 percent of the total positions identified in three categories related to information technology services. Since RRB handles tax information as part of its benefit payment and processing activities, guidance from the Internal Revenue Service has indicated that it would be extremely difficult to provide necessary security for this information as part of a contracted-services initiative.

Performance-Based Contracts -- Performance-based services contracting (PBSC) emphasizes objectives and measures performance requirements and quality standards in developing statements of work, selecting contractors, and determining contract type and incentives. In September 2004, OMB issued guidance on expanded use of PBSC, setting a goal for agencies to award at least 40 percent of service contract dollars, on contracts exceeding \$25,000, using PBSC techniques. In recent years, RRB has awarded well above that percentage of contract dollars using PBSC methods, achieving increases in terms of the numbers of contracts and percentages of dollars awarded. Over the next five years, we will continue to make maximum use of this technique and meet or exceed Government-wide goals for eligible service contracts.

Expanded Electronic Government -- RRB has implemented the Federal Website Standards recommendations of the Interagency Committee on Government Information, as required by the E-Government Act of 2002.

In 2005, we added the capability for customers to submit unemployment insurance claims online and to request duplicate tax statements via our Interactive Voice Response (IVR) telephone line. In November 2005, we implemented the RUIA Account Statement application, which allows customers to review the

status of their unemployment and sickness insurance claims and payments via the Internet. In 2008, we will add an RUIA Sickness Claim application, which will allow customers to file biweekly claims for sickness benefits via the Internet. We also plan to expand IVR to allow customers to check on the status of their RRA annuities, expand Internet services and further expand the Employer Reporting System (ERS).

Plans for ERS in 2008 include: converting existing software to a language that can be supported by in-house staff; completing work on a process to handle pre- and post-payment

**2009 E-Government Initiatives
at the Agency Request Budget Level**

At the agency request level of funding, we will implement automated systems for:

- Online retirement application processing,
- Notice to rail employer of an annuitant's death, and
- Notice to rail employers of Medicare entitlement.

verification of UI and SI claims (ID-4k and ID-4e); and adding functionality to create and file annual reports of service and compensation over the Internet. This streamlined annual reporting process will encompass 13 existing forms involving 7 processes.

At the guidance level of the 2009 Budget, ERS will be expanded to include functionality to notify rail employers of annuities awarded to their employees (RL-5a) and to provide Notice of Tier I Tax Liability on Sickness Payments (ID-6 and ID-6y).

Our plan assumes there will be no change in agency priorities or resource allocations that would draw support from these initiatives. Also, the number and functionality of options provided will be constrained by available funding. The 2009 initiatives to apply online for a retirement annuity and to further enhance the ERS (to provide rail employers with notices of employee death and of Medicare entitlement) are provided for only at the agency request budget level.

IT Systems Improvements -- In 2005, RRB embarked on a major multi-year project to convert an outdated database platform used throughout most of the agency’s benefit systems to a more modern and flexible platform. The project, which directly correlates with RRB’s Enterprise Architecture Strategic Plan, will reduce the agency’s dependence on limited and declining technology, and enable RRB to more fully utilize newer technologies in future development efforts. This project is scheduled for completion by September 30, 2007.

Following conversion of the database management system, RRB will continue with the next phase of development, to optimize the performance of the agency’s databases and further reduce data redundancy. Through this process, RRB will: eliminate multiple representations of the same data; redefine data that is apparently the same but has subtle differences; enhance the efficiency of the database; and document data. Optimization will ensure acceptable response times and adequate system availability, as well as reduce the need for frequent database restructuring, which can be costly and impede performance.

The data optimization process will point out opportunities to modernize RRB’s systems, many of which are old and complex and require a large investment in maintenance. For this reason,

Fiscal Year 2009 Information Technology Capital Plan Investments	
<u>OMB Guidance Level</u>	
Network operations	\$450,000
Infrastructure replacement	50,000
IT tools	100,000
E-Government.....	200,000
Risk management	375,000
System modernization.....	300,000
IT task orders	<u>150,000</u>
Subtotal at guidance levels.....	\$1,625,000
<u>Additional at Agency Request Level</u>	
Infrastructure replacement	850,000
IT tools	30,000
E-Government	250,000
System modernization	195,000
IT task orders	300,000
Enterprise Human Resources Integration...	<u>280,000</u>
Subtotal increases requested	\$1,905,000
Total IT investments at agency request level	
	\$3,530,000
See the IT Initiatives tab for more information.	

the RRB will begin in fiscal year 2008 to plan for the next phase of development, system modernization, by selecting a pilot application for modernization. In 2009, RRB staff will work with contractual assistance to identify possible solutions, analyze them, and begin implementation.

Performance Goal II-D: Effectively carry out the responsibilities of the Railroad Retirement Board under the Railroad Retirement and Survivors' Improvement Act of 2001 with respect to the activities of the National Railroad Retirement Investment Trust.

Although RRB no longer has primary responsibility for the investment of the trust fund monies, it continues to have responsibilities in ensuring that the National Railroad Retirement Investment Trust (NRRIT), and its seven-member Board of Trustees, comply with the provisions of the Railroad Retirement Act. This responsibility is fulfilled through semi-annual meetings between RRB's Board Members and NRRIT's Trustees; periodic meetings between the agency's General Counsel and officials of NRRIT and the Counsel to NRRIT; review of the monthly reports submitted by NRRIT; review of the annual management reports prepared by NRRIT; and review of the annual audit reports of NRRIT's financial statements.

RRB has authority to bring civil action should it detect any violation of the Railroad Retirement Act or noncompliance with any of the provisions of that Act.

Information Security Program

The Federal Information Security Management Act and other guidance require all Federal agencies to develop comprehensive information security programs based on assessing and managing risks. In 2006, we did this by further strengthening the agency's critical computer security infrastructure with the installation of a Network Access Control appliance-based system, which together with our sophisticated Intrusion Detection System and state-of-the-art firewall on RRB's network, provides comprehensive, defense-in-depth protection from a variety of cyber threats. We further enhanced our incident response capability by establishing a Security/Privacy Committee and an Agency Core Response Group, in addition to our existing Computer Emergency Response Team. All end users receive security awareness training, and employees with significant information security responsibilities are provided with additional security education.

The agency's disaster recovery capability is tested with periodic backup site recovery exercises. The Chief Security Officer, who heads the Risk Management Group, is responsible for the information security program; additional staffing in the group includes an Information Technology Security Specialist, an IT Assurance Analyst, and an Information Availability Specialist. Contractual support has provided additional resources to address effective risk management for specialized areas, as needed.

Risk management at the RRB has been classified as either **strategic** or **operational**.

- **Strategic Risk Management:** The Chief Security Officer, who acts in the larger capacity as the director of enterprise risk management, is responsible for strategic elements that include:
 - Planning and integrating enterprise-wide IT risk management policy, procedures, and guidance.
 - Assisting business units in implementing certification and accreditation of RRB's major applications and general support systems.
 - Coordinating agency-wide security policy as well as assessing and underwriting agency-wide security infrastructure and resource investments, and implementing effective enforcement solutions.

- **Operational Risk Management:** Various IT and business unit managers are responsible for day-to-day monitoring and management of the risk posture of the agency including: the administration of access rights (e.g., passwords); ultimate accountability for the integrity of information assets usually associated with application design and information ownership; and, security operations processes (research, monitoring, scanning, incident response management, reporting, and forensics).

RRB Administrative Circular IRM-8, The Information Security Program of the Railroad Retirement Board, and the draft RRB Information Systems Security Policy, Standards, and

Guidelines Handbook identify the responsibilities for security throughout the organization. During 2008, the Risk Management Group will:

- Continue certification and accreditation of agency systems.
- Monitor RRB's network utilizing the Intrusion Detection System.
- Enforce security policy on end-point personal computers utilizing the Network Access Control appliance-based system.
- Take corrective actions to resolve audit recommendations.
- Assist in developing procedures that improve proper use of access controls of LAN/WAN and mainframe systems.
- Incorporate procedures for certification and accreditation into the system development life cycle in accordance with newly developed guidance and standards from the National Institute of Standards and Technology (NIST).
- Provide for general awareness training for agency employees, and continue providing the security education program for all employees with responsibilities for information system security.
- Assist business units with continuity-of-operations plan concerns, with a focus on agency-wide preparedness.
- Conduct and/or ensure the conduct of ongoing system security reviews and tests, and develop associated reports.
- Continue to review and enhance RRB's privacy program in accordance with OMB and NIST guidance.
- Support the RRB Security/Privacy Committee, the Agency Core Response Team, and the Computer Emergency Response Team to address agency-wide security and privacy concerns.
- Finalize the RRB Information Systems Security Policy, Standards, and Guidelines Handbook.

Railroad Retirement Board FY 2009 Initial Performance Budget		2004 Actual ^{1/} (At \$100.7m)	2005 Actual ^{1/} (At \$102.5m)	2006 Actual ^{1/} (At \$101.5m)	2007 Actual ^{1/} (At \$103.7m)	2008 President's Proposed (At \$103.5m)	2009 Guidance Level (At \$103.5m)	2009 Request Level (At \$109.5m)
STRATEGIC GOAL I: Provide Excellent Customer Service								
Performance Goal I-A: Pay benefits accurately and timely.								
I-A-1. Achieve a railroad retirement benefit payment recurring accuracy rate ^{2/} of at least 99%. (Measure: % accuracy rate)	Initial payments:	99.36%	99.62%	99.91%	Not available	99.50%	99.75%	99.90%
	Sample post recurring payments:	99.92%	99.89%	99.94%	Not available	99.50%	99.80%	99.90%
I-A-2. Achieve a railroad unemployment/sickness insurance benefit payment accuracy rate ^{2/} of at least 99%. (Measure: % accuracy rate)	Unemployment:	99.91%	98.73%	99.08%	99.65%	99.00%	99.25%	99.50%
	Sickness:	99.84%	99.94%	99.78%	100%	99.70%	99.80%	99.85%
I-A-3. Achieve a railroad retirement case accuracy rate ^{2/} of at least 94%. (Measure: % of case accuracy)	Initial cases:	94.7%	95.5%	94.5%	Not available	94.0%	94.0%	94.5%
	Post cases:	97.8%	95.8%	96.3%	Not available	96.0%	96.0%	96.5%
I-A-4. Achieve a railroad unemployment/sickness insurance case accuracy rate ^{2/} of at least 98%. (Measure: % of case accuracy)	Unemployment:	99.75%	98.01%	97.5%	97.98%	97.5%	97.5%	98.2%
	Sickness:	99.25%	99.51%	99.03%	100%	99.0%	99.0%	99.25%

Railroad Retirement Board FY 2009 Initial Performance Budget	2004 Actual ^{1/} (At \$100.7m)	2005 Actual ^{1/} (At \$102.5m)	2006 Actual ^{1/} (At \$101.5m)	2007 Actual ^{1/} (At \$103.7m)	2008 President's Proposed (At \$103.5m)	2009 Guidance Level (At \$103.5m)	2009 Request Level (At \$109.5m)
I-A-5. Railroad retirement employee or spouse receives initial annuity payment, or a decision, within 35 days of annuity beginning date, if advanced filed. (Measure: % ≤ 30 adjudicative processing days ^{3/4/})	N/A	93.1%	92.9%	92.3%			
<i>Revised goal for 2008 and later</i>							
I-A-5. The RRB makes a decision to pay or deny a railroad retirement employee or spouse initial annuity application within 35 days of the annuity beginning date, if advanced filed. (Measure: % ≤ 30 adjudicative processing days ^{3/})					92.0%	92.75%	93.1%
I-A-6. Railroad retirement employee or spouse receives initial annuity payment, or notice of denial, within 65 days of the date the application was filed, if not advanced filed. (Measure: % ≤ 60 adjudicative processing days ^{3/4/})	N/A	97.3%	96.2%	96.4%			
<i>Revised goal for 2008 and later</i>							
I-A-6. The RRB makes a decision to pay or deny a railroad retirement employee or spouse initial annuity application within 60 days of the date the application was filed. (Measure: % ≤ 60 adjudicative processing days ^{3/})					96.0%	96.8%	97.3%
I-A-7. Survivor annuitant not already receiving a benefit receives initial payment, a decision, or notice of transfer to SSA within 65 days of the annuity beginning date, or date filed (whichever is later). (Measure: % ≤ 60 processing days ^{4/})	84.5%	92.8% ^{5/}	93.2%	94.1%			

Railroad Retirement Board FY 2009 Initial Performance Budget	2004 Actual ^{1/} (At \$100.7m)	2005 Actual ^{1/} (At \$102.5m)	2006 Actual ^{1/} (At \$101.5m)	2007 Actual ^{1/} (At \$103.7m)	2008 President's Proposed (At \$103.5m)	2009 Guidance Level (At \$103.5m)	2009 Request Level (At \$109.5m)
<i>Revised goal for 2008 and later</i>							
I-A-7. RRB makes a decision to pay, deny or transfer to SSA an initial annuity application for a railroad retirement survivor not already receiving a benefit within 60 days of the annuity beginning date. (Measure: % ≤ 60 days)					94.0%	94.0%	94.2%
I-A-8. Survivor annuitant receiving benefits as a spouse receives payment as a survivor, notice of denial, or notice of application transfer to SSA, within 35 days of RRB's receipt of notice of the employee's death. (Measure: % ≤ 30 processing days ^{4/})	94.1%	94.6%	95.7%	94.2%			
<i>Revised goal for 2008 and later</i>							
I-A-8. RRB makes a decision to pay, deny or transfer to SSA an initial annuity application for a railroad retirement survivor already receiving the benefits as a spouse within 30 days of the date the application was filed. (Measure: % ≤ 30 days)					94.0%	95.1%	95.7%
I-A-9. Applicant for any railroad retirement death benefit receives payment, or notice of denial within 65 days of the date filed. (Measure: % ≤ 60 processing days ^{4/})	95.4%	96.9%	97.5%	97.9%			
<i>Revised goal for 2008 and later</i>							
I-A-9. RRB makes a decision to pay or deny a railroad retirement death benefit application within 60 days of RRB's receipt of the first notice of death. (Measure: % ≤ 60 days)					97.0%	97.25%	97.5%

Railroad Retirement Board FY 2009 Initial Performance Budget	2004 Actual ^{1/} (At \$100.7m)	2005 Actual ^{1/} (At \$102.5m)	2006 Actual ^{1/} (At \$101.5m)	2007 Actual ^{1/} (At \$103.7m)	2008 President's Proposed (At \$103.5m)	2009 Guidance Level (At \$103.5m)	2009 Request Level (At \$109.5m)
I-A-10. Unemployed railroad worker receives UI claim form, or notice of denial, within 15 days of the date applications filed. (Measure: % ≤ 10 processing days ^{4/})	99.25% of cases sampled	99.8%	99.5%	100%			
<i>Revised goal for 2008 and later</i>							
I-A-10. RRB releases a UI claim form or letter of denial within 10 days of receiving an application for unemployment benefits. (Measure: % ≤ 10 days)					99.5%	99.5%	99.8%
I-A-11. Railroad employee unable to work due to temporary illness or injury, receives SI claim form, or notice of denial, within 15 days of the date application filed. (Measure: % ≤ 10 processing days ^{4/})	99.4%	99.6%	99.5%	99.3%			
<i>Revised goal for 2008 and later</i>							
I-A-11. RRB releases an SI claim form or letter of denial within 10 days of receiving an application for sickness insurance benefits. (Measure: % ≤ 10 days)					99.0%	99.25%	99.5%
I-A-12. Railroad employee, unemployed or unable to work due to temporary illness or injury, receives a payment for unemployment or sickness insurance benefits, or a decision, within 15 days of claim receipt. (Measure: % ≤ 10 processing days ^{4/})	99.7 %	99.8%	99.8%	99.8%			
<i>Revised goal for 2008 and later</i>							
I-A-12. RRB certifies a payment or releases a letter of denial of UI or SI benefits within 10 days of the date RRB receives the claim. (Measure: % ≤ 10 days)					99.7%	99.8%	99.8%

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I-A-13. Disabled applicant or family member receives notice of decision to pay or deny within 105 days of the date application for disability is filed. (Measure: % ≤ 100 processing days ^{4/})	55.9%	67.9%	65.9%	68.3%			
<i>Revised goal for 2008 and later</i>							
I-A-13. The RRB makes a decision to pay or deny a benefit for a disabled applicant or family member within 100 days of the date the application is filed. (Measure: % ≤ 100 days)					68.0%	70.0%	71.0%
I-A-14. Disabled applicant receives payment within 25 days of decision or earliest payment date (whichever is later). (Measure: % ≤ 20 processing days ^{4/ 6/})	94.8%	94.4%	95.2%	96.0%	94.5%	95.0%	95.0%
I-A-15. Reduce the number of days elapsed between the date the appeal is filed and a decision is rendered. (Measure: average elapsed days)	194	207	206	159	190	190	180
<i>Performance Goal I-B: Provide relevant, timely, and accurate information which is easy to understand.</i>							
I-B-1. Achieve quality and accuracy of correspondence, publications, and voice communications. (Measure: surveys and reviews; number of valid challenges to published data)	ACSI survey deferred	Completed the final report on a widow(er)s survey. RRB's score of 90 was the highest of Federal agencies.	Completed a survey of initial disability decisions. RRB's score was 85.	ACSI survey deferred	Conduct an ACSI survey	Conduct an ACSI Survey	Conduct an ACSI Survey
	No valid challenges to published data	No challenges to published data	No challenges to published data	No more than two valid challenges to published data in 2007	No more than two valid challenges to published data in 2008	No more than two valid challenges to published data in 2009	No more than two valid challenges to published data in 2009

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<i>Performance Goal I-C: Provide a range of choices in service delivery methods.</i>							
I-C-1. Offer electronic options to our customers, allowing them alternative ways to perform primary services via the Internet or interactive voice response systems. (Measure: # of services available through electronic media)	12 services available	14 services available	16 services available	16 services available as of May 2007.	18 services available	18 services available	19 services available
<i>Performance Goal I-D: Ensure efficient and effective business interactions with covered railroad employees.</i>							
I-D-1. Improve timeliness and efficiency in posting service and compensation data to agency records. (Measure: % of service and compensation records posted by April 15)	New indicator for FY 2005	99.7%	99.6%	99.92% through 4/15/07	99.0%	99.8%	99.9%
I-D-2. Improve accuracy in posting service and compensation data to agency records. (Measure: % of service and compensation records posted accurately)	New indicator for FY 2005	99.0%	99.9%	99.67%	99.0%	99.5%	99.8%
I-D-3. Covered employer annual reports of employees filed electronically, or on magnetic media. (Measure: % of employee records filed electronically, or on magnetic media)	97.0%	98.0%	97.8%	98.2% through 4/15/07	95.0%	98.0%	98.5%
I-D-4. Enable employers to use the Internet to conduct business with RRB, in support of the Government Paperwork Elimination Act. (Measure: % of employers who use the new on-line reporting process (Employer Reporting System - ERS); # of services available through electronic media)	52.0% 4 Internet services available	55.0% 4 Internet services available	58.0% 6 Internet services available	61.0% 6 Internet services available	70.0% 16 Internet services available	73.0% 18 Internet services available	75.0% 20 Internet services available

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<i>STRATEGIC GOAL II: Serve as Responsible Stewards for Our Customers' Trust Funds and Agency Resources</i>							
<i>Performance Goal II-A: Ensure that trust fund assets are projected, collected, recorded, and reported appropriately.</i>							
II-A-1. Debts will be collected through billing, offset, reclamation, referral to outside collection programs, and a variety of other collection efforts. (Measure: funds collected vs. total debts outstanding)	69%	66%	62%	42%	55%	55%	55%
II-A-2. Release quarterly and annual notices accurately and timely to employers regarding their experience rating based contributions. (Measure: Yes/No)	New indicator for 2005	Yes	Yes	Yes	Yes	Yes	Yes
II-A-3. Complete compensation reconciliations at least one year before the statute of limitations expires. (Compensation reconciliations involve a comparison of compensation reported by railroad employers to RRB for benefit calculation purposes with compensation reported to IRS for tax purposes.) (Measure: % completed)	100% of the 2001 reconciliations by 2/20/04	100% of the 2002 reconciliations by 12/17/04	100% of the 2003 reconciliations by 12/15/05	100% of the 2004 reconciliations by 12/11/06.	100% of the 2005 reconciliations by 2/28/08	100% of the 2006 reconciliations by 2/28/09	100% of the 2006 reconciliations by 2/28/09
II-A-4. Perform monthly reasonableness tests comparing railroad retirement taxes deposited electronically, which represent over 99% of all railroad retirement taxes, against tax receipts transferred to RRB trust funds by the Department of the Treasury (Treasury) to provide reasonable assurance RRB trust funds are receiving appropriate tax funds. (Measure: reasonableness test performed and anomalies reconciled with Treasury (Yes/No))	Yes	Yes	Yes	As of 3/31/07, tests were completed through February 2007.	Yes	Yes	Yes

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II-A-5. Prepare annual Performance and Accountability Reports (including audited financial statements and other financial and performance reports) by the required due dates. (Measure: Yes/No)	Yes. The 2003 P&AR was released in 01/04.	Yes. The 2004 P&AR was released on 11/10/04.	Yes. The 2005 P&AR was released on 11/10/05.	Yes. The 2006 P&AR was released on 11/15/06.	Yes	Yes	Yes
II-A-6. Take prompt corrective action on audit recommendations. (Measure: % of audit recommendations implemented by target date)	95.7%	90.3% ^{2/}	97.2%	88.9%	95.0%	95.0%	98.0%
<i>Performance Goal II-B: Ensure the integrity of benefit programs.</i>							
II-B-1. Achieve a return of at least \$3.60 for each dollar spent on program integrity activities. (Measure: recoveries and savings per dollar spent)	\$4.84 : \$1.00	\$5.11: \$1.00	\$5.36 : \$1.00	Data will be available in November 2007.	\$5.00 : \$1.00	\$5.36 : \$1.00	\$5.48 : \$1.00
<i>Performance Goal II-C: Ensure effectiveness, efficiency, and security of operations.</i>							
II-C-1. Continue succession planning by ensuring there is a cadre of highly skilled employees available for key positions. (Measure for 2004 and 2005: # of position types (descriptions) for which core competencies have been defined)	1 position	6 positions					
# of employees whose skills have been assessed	39 employees	73 employees					
# of employees involved with skills-enhancement programs)	18 employees	31 employees					
(Measure for 2006 and later: structured succession planning activities are continuing – Yes/No)			Yes	Yes	Yes	Yes	Yes

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II-C-2. Annually assess/update all computer security, disaster recovery, and business resumption plans for the agency. (Measure: Yes/No)	Assessments and updates of all scheduled plans completed.	Yes. The agency has completed a Business Impact Analysis and a Business Continuity Plan (BCP).	No. The BCP was updated with alternate non-IT site information in January 2006, and Appendix H of the BCP, the Emergency Management Organization, was updated in February 2006. An IT Disaster Recovery Plan is currently in draft status.	Yes. As of July 2007, RRB has acquired contractor assistance to certify and accredit the general support and major applications systems. The agency is in the process of filling an information availability analyst position. RRB has also completed a training test and exercise of the Continuity of Operations Plan.	In compliance with FISMA requirements, self-assessments will be performed on selected control components of the major applications and the general support systems. Contingency planning and related training material will also be updated.	The business impact assessment reports will be examined and revised as necessary. The BCP is also scheduled to be updated as required to maintain currency with the organizational structure.	Business impact assessment reports will be examined and revised as necessary. The BCP will be updated as required to maintain currency with RRB's organizational structure. A disaster training initiative will be developed to engage agency staff in updated continuity of operations program practices.

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II-C-3. Develop and implement new procedures for responding to and reporting computer security incidents. (Measure: Yes/No)	Procedures have been developed, and reports of identified incidents are documented. RRB also purchased an Intrusion Detection System (IDS).	Yes. The IDS was installed on 11/19/04, and was placed in operation on 2/12/05. The IDS tuning phase was completed by 6/30/05. Computer security incident procedures are in place and reports of incidents are documented.	Yes. The Department of Energy's Computer Incident Advisory Center began vulnerability assessment testing in January 2006, and completed testing of RRB's LAN general support system.	Yes. The IDS was recently upgraded to Intrusion Prevention. A network access control device was installed on the agency LAN/WAN general support system to provide increased security management capabilities.	A Network Access Control appliance will be installed and functioning. The computer Security Incident Response Plan will be reviewed and updated as necessary.		
<i>Revised goal for 2009 and later</i>							
II-C-3. Maintain an incident response program for responding to and reporting computer security incidents. (Measure: All cyber security incidents will be reported to US-CERT, Yes/No)						Yes	Yes

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II-C-4. Assess computer security training requirements and implement an ongoing training program for agency staff. (Measure: Yes/No)	Yes. Training needs were assessed and a security curriculum was developed based on audit findings. An ongoing awareness training program for computer users at the agency was completed with 100% participation by agency personnel.	Yes. The agency has established two training tracks. Track one provides technical expertise and functional skills for IT staff, and track two focuses on knowledge of security assessments, planning, policy development and safeguard controls. All employees requiring IT security education participate in track two; however, technical employees use both tracks.	Yes. A total of 181 RRB employees with computer security responsibilities are receiving Web-based training at OPM's USALearning site, with a second training track for specialized technical education. All RRB staff annually complete a computer security awareness program.	Yes. All staff with computer security responsibilities are registered in role-based security training to be completed by 8/31/07 at OPM's GoLearn.gov. In addition, technical IT specialists participate in a second track that requires security-specific technical education associated with their job. The annual computer awareness program for all employees began on 1/22/07. As of June 2007, all RRB staff and contractors with network access have completed the annual computer security awareness program.	The two-track training concept will be maintained. All agency staff with computer security responsibilities will receive role-based security training with a second training track for specialized technical education. Also, all RRB staff will complete a computer security awareness program.	The two-track training concept will be maintained. All agency staff with computer security responsibilities will receive role-based security training with a second training track for specialized technical education. Also all RRB staff will complete a computer security awareness program.	The two-track training concept will be maintained. All agency staff with computer security responsibilities will receive role-based security training with a second training track for specialized technical education. Also all RRB staff will complete a computer security awareness program. To make the computer security awareness program more effective, RRB will purchase additional reinforcement computer security awareness material.

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II-C-5. Implement a methodology to successfully estimate, track and monitor total costs and time schedules for information technology investments through the project life cycle, incorporating both web and mainframe investments. (Measure: Yes/No)	New indicator for 2005	The pilot portion of the multi-phase project was completed at the end of 2005. All projects are now being entered and tracked in MS Project.	A post-implementation review was completed in 2006 to tune the system and ensure that project measures were working in the IT environment. Some best practices were developed.	This objective has been completed with full implementation of the project management system in the Bureau of Information Services.			
II-C-6. Assemble and publicize an annual inventory of RRB commercial activities on the RRB Website. (Measure: Yes/No)	Yes	Yes	Yes	Yes	Yes	Yes	Yes
II-C-7. Complete public-private competitions on the required activities listed on the Federal Activities Inventory Reform (FAIR) Act inventory. (Measure: % of the FTE's listed on the FAIR Act inventory for which competitions completed)	5% (cumulative)	5% (cumulative)	OMB did not establish a target for 2006. RRB has competed about 5% of the FTEs on the FAIR Act inventory.	OMB did not establish a target for 2007. RRB has competed about 5% of the FTEs on the FAIR Act inventory.	Meet target level established by OMB	Meet target level established by OMB	Meet target level established by OMB
II-C-8. Meet government percentage goal for use of performance-based contracting techniques for eligible service contract funds. (Measure: Yes/No)	New indicator for 2005	Yes	Yes	Yes	Yes	Yes	Yes

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II-C-9. Support government-wide procurement of E-Government initiatives using the point of entry vehicle of www.FedBizOpps.gov for all eligible actions. (Measure: Yes/No)	New indicator for 2005	Yes	Yes	Yes	Yes	Yes	Yes
II-C-10. Complete migration from the agency's current mainframe database management system (IDMS) to DB2, and initiate efforts to optimize the performance of those databases and further reduce data redundancy. (Measure: Meet target dates for the migration. Yes/No)				As of July 2007, the IDMS/DB2 database conversion is on schedule for completion in 2007.			
II-C-11. Complete data optimization to optimize the performance of DB2 databases for future developmental efforts, and to further reduce and document the data. (Measure: Meet target dates for the project. Yes/No)				RRB has issued an RFP for data optimization, and plans to begin the project by the end of 2007.	Yes		
II-C-12. Complete modernization of RRB processing systems in accordance with long-range planning goals. (Measure: Meet target dates for the project. Yes/No)						No	Yes
<i>Performance Goal II-D: Effectively carry out the responsibilities of the Railroad Retirement Board under the Railroad Retirement and Survivors' Improvement Act of 2001 with respect to the activities of the National Railroad Retirement Investment Trust.</i>							
II-D-1. Review monthly reports submitted by the Trust. (Measure: Yes/No)	Yes	Yes	Yes	Yes	Yes	Yes	Yes
II-D-2. Review annual management reports submitted by the Trust. (Measure: Yes/No)	Yes	Yes	Yes	Yes	Yes	Yes	Yes

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II-D-3. Review annual audit reports of the Trust's financial statements. (Measure: Yes/No)	Yes	Yes	Yes	Yes	Yes	Yes	Yes

- 1/ Dollar amounts shown are funds appropriated for the fiscal year. Actual results for 2007 represent status as of March 31, 2007, unless otherwise noted.
- 2/ The payment accuracy rate is the percentage of **dollars** paid correctly as a result of adjudication actions performed. The case accuracy rate represents the percentage of **cases** that do not contain a material payment error. Case accuracy rates reflect only those errors that are detected as a result of reviewing award actions performed during the fiscal year being studied. (A material error is an incorrect payment of \$5.00 or more at the point the error is identified; an incorrect payment of less than \$5.00 totaling one percent or more of the monthly rate; or, any situation in which a non-entitled benefit is paid.)
- 3/ In audit report 05-05, dated May 17, 2005, RRB's OIG found problems with the performance data for these indicators. One significant problem has been resolved, allowing us to report performance for 2005 and later. However, there are still some system limitations that prevent inclusion of all internal processing time in the performance data. We are addressing them. Until the system changes are in place, performance will be calculated as the percent of cases adjudicated within the time specified in the measure. Another program error causes a small number (less than 1 percent) of spouse applications to be calculated incorrectly. The performance data includes these cases.
- 4/ Measure does not include the time for customer receipt (from the U.S. Treasury or Postal Service).
- 5/ Measurement and reporting inconsistencies, which resulted in a net understatement of actual performance, were identified during this reporting period. These inconsistencies have been corrected effective with April 2005 data. Therefore, the 2005 performance is for the last six months only.
- 6/ This indicator includes both retirement and survivor disability payments. The retirement payments are impacted by the system limitations identified in footnote 3 above. When the system limitations for retirement cases are corrected, this inconsistency will be eliminated.
- 7/ The percentage has been adjusted from 88.4 percent to reflect two audit recommendations implemented at the end of the fiscal year.