

In addition to these steps, we specifically performed the following to test the indicators included in this report:

ALIGN EMPLOYEE PERFORMANCE WITH AGENCY MISSION AND STRATEGIC GOALS

- Reviewed policies and procedures, and training manuals for beta testing.
- Inspected project timeline (communication and training plan) for reasonableness.
- Inspected management's sign off of the project timeline.
- Inspected management's monitoring of project milestones.
- Training content outline, training workshops, and manuals were reviewed by Human Resource specialist for reasonableness.
- Inspected a list of employees that participated in beta testing meetings.
- Inspected a list of trainers that attended the trainer sessions.
- Reviewed interactive video teletraining broadcast schedules.

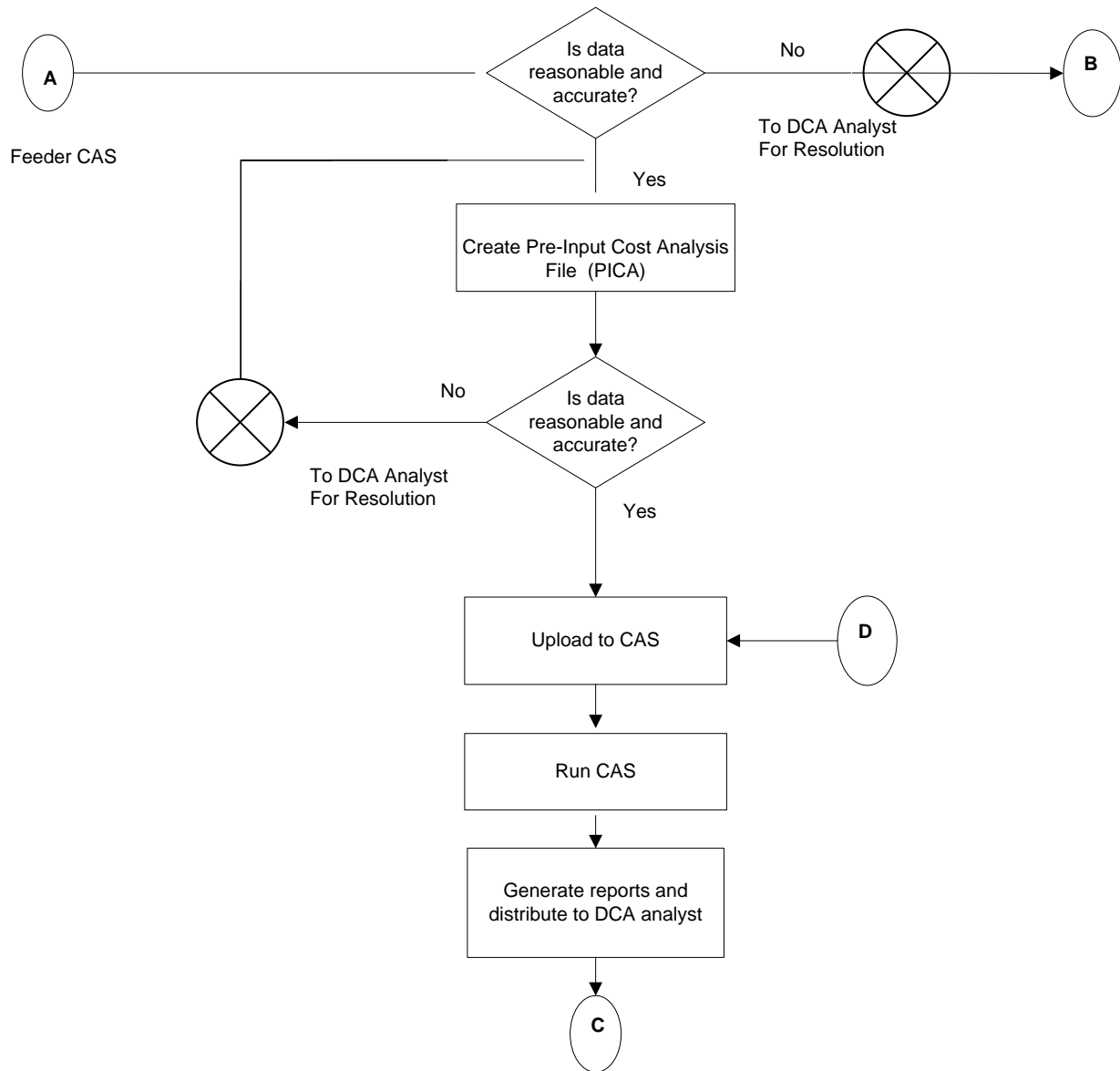
MINIMIZE SKILL AND KNOWLEDGE GAPS IN MISSION CRITICAL POSITIONS

- Reviewed policies and procedures regarding the timeline development.
- Inspected project timeline (communication and training plan) for reasonableness.
- Inspected management's sign off of the project timeline.
- Inspected management's monitoring of project milestones.
- Determined if all milestones outlined in the timeline were completed timely.
- Inspected evidence that surveys were conducted with the Benefits Authorizer, Claims Authorizer, and Technical Support Technicians job positions.
- Curriculum was reviewed by Human Resource specialist for reasonableness.

CONTINUE TO ACHIEVE 2 PERCENT PRODUCTIVITY IMPROVEMENT ON AVERAGE

- Inspected consistency review performed by Division of Cost Analysis analyst.
- Observed the BRIO Query session.
- Reviewed the information on tables for a sample of the components to the information in the pivot table and determine if the pivot table is consistent with the BRIO Query.
- Traced data from the Pivot Tables to the SC-3 sum report for completeness.
- Verified that SC-3 Sum report is inputted accurately into the Excel productivity worksheet.
- Reviewed workload methodology.

Flowchart of Continue to Achieve 2 Percent Productivity Improvement on Average Continued



Continue to Achieve 2 Percent Productivity Improvement on Average

Control Workyears

- Division of Cost Analysis (DCA) analyst extracts payroll data from Operational Data Storage (ODS).
- DCA calculates Agency control Workyears by component.
- Is data reasonable and accurate?
 - Yes – Approve and distribute to DCA analyst.
 - No – DCA analyst re-extracts Payroll ODS data.
- DCA analyst performs split by category and workload.
- The data is sent to Feeder Cost Analysis System (CAS).

Workload Counts

- Workload counts are included from Disability Determination Services, Federal Disability Determination Services, Office of Disability Adjudication and Review, Field Offices, Office of Executive Operations, Program Service Center, and Office of Disability and International Operations.
- DCA analyst extracts workload data.
- Is data reasonable and accurate?
 - Yes – Send to Feeder CAS.
 - No – DCA analyst investigates and resolves the issue and re-extracts workload data.
- Feeder CAS processes the data.
- Is data reasonable and accurate?
 - Yes – Create Pre-Input Cost Analysis (PICA)
 - No – Send to DCA Analyst for resolution
 - Sent to Feeder CAS for reprocessing after resolution
- PICA is created.
- Is data reasonable and accurate?
 - Yes – Upload to CAS.
 - No – Send to DCA Analyst for resolution.
 - Create new PICA after resolution
- Run CAS.
- Generate reports and distribute to DCA Analysts.
- Is data reasonable and accurate?
 - Yes – Data extracted from CAS and input to Excel file.
 - No - Sent to DCA Analyst for resolution.
 - After resolution, uploaded to CAS before it is run again.
- Is data reasonable and accurate?
 - Yes – Distribute to Division Director for Approval.
 - No – Sent to DCA Analyst to investigate and resolve.

Prior Audit Recommendations

During a prior audit¹ of the performance indicator, Continue to Achieve 2% Productivity, we provided the Social Security Administration with the recommendations below:

1. Establish formal written documentation for the performance indicator that includes a complete description and identification of the exact processes and computer programs used to obtain data from the source system files for all 52 workloads.
2. Establish formal written documentation for the performance indicator that includes a clear identification of the exact system files and fields used to obtain the initial source data for each workload.
3. Establish formal written documentation for the performance indicator that includes a complete description and identification of the computer programs and interim calculations used to selectively combine, delete or alter original data extracted from source system files during each stage of the data refinement process.
4. Establish formal written documentation for the performance indicator that includes a requirement to maintain an exact copy of the original source data extracted for each of the 52 workloads.

¹ *Performance Indicator Audit: Productivity (A-15-04-14073)*, November 17, 2004.

Appendix E

Agency Comments



SOCIAL SECURITY

MEMORANDUM

Date: September 13, 2007 **Refer To:** S1J-3

To: Patrick P. O'Carroll, Jr.
Inspector General

From: Larry W. Dye /s/

Subject: Office of the Inspector General (OIG) Draft Report, "Performance Indicator Audit: Staff Skills and Productivity" (A-02-07-17127)--INFORMATION

We appreciate OIG's efforts in conducting this review. Our comments on the recommendations are attached.

Please let me know if we can be of further assistance. Staff inquiries may be directed to Ms. Candace Skurnik, Director, Audit Management and Liaison Staff, at 410 965-4636.

Attachment:
SSA Response

COMMENTS ON THE OFFICE OF THE INSPECTOR GENERAL (OIG) DRAFT REPORT, "PERFORMANCE INDICATOR AUDIT: STAFF SKILLS AND PRODUCTIVITY" (A-02-07-17127)

Thank you for the opportunity to review and provide comments on this draft report. While the specific indicators audited for this period were different as compared to the indicators reviewed in the November 14, 2004 Final Report: "Performance Indicator Audit: Productivity" (A-15-04-14073), the findings and recommendations related to productivity remain essentially the same. Specifically this report states, "We reaffirm our previous recommendations noted in the prior audit of this indicator. We continue to recommend that SSA take action to address these recommendations." (Refer to Appendix D for the prior audit recommendations.)

In our September 24, 2004, written response to recommendations 3-6, in the draft report, we stated, "We agree. However, we do not have the budgeted systems resources to implement them at this time." For this current audit, our position with respect to the repeated recommendations (renumbered 1-4) contained in Appendix D remains unchanged. We reaffirm that the Social Security Administration (SSA) does not have the budgeted systems resources to implement these recommendations.

We also note that recommendation 5, contained in Appendix D, was not included as a recommendation in the 2004 audit. In accordance with SSA and OIG staff discussions, we are not responding to recommendation 5 since it was not part of the final report in November 2004 and was erroneously included in this report.

The following responds to the one new recommendation contained in the report.

Recommendation 1

Specific to the performance indicator, "Continue to achieve 2 percent productivity improvement on average," SSA should ensure that the "least privilege" access principle is in place for SSA personnel who have the ability to directly modify, create or delete the datasets used to calculate the results of this indicator.

Comment

We agree. We have already taken steps to comply with the "least privileged" access rule and appreciate OIG's acknowledgement of that fact in the report.

Overview of the Office of the Inspector General

The Office of the Inspector General (OIG) is comprised of our Office of Investigations (OI), Office of Audit (OA), Office of the Chief Counsel to the Inspector General (OCCIG), and Office of Resource Management (ORM). To ensure compliance with policies and procedures, internal controls, and professional standards, we also have a comprehensive Professional Responsibility and Quality Assurance program.

Office of Audit

OA conducts and/or supervises financial and performance audits of the Social Security Administration's (SSA) programs and operations and makes recommendations to ensure program objectives are achieved effectively and efficiently. Financial audits assess whether SSA's financial statements fairly present SSA's financial position, results of operations, and cash flow. Performance audits review the economy, efficiency, and effectiveness of SSA's programs and operations. OA also conducts short-term management and program evaluations and projects on issues of concern to SSA, Congress, and the general public.

Office of Investigations

OI conducts and coordinates investigative activity related to fraud, waste, abuse, and mismanagement in SSA programs and operations. This includes wrongdoing by applicants, beneficiaries, contractors, third parties, or SSA employees performing their official duties. This office serves as OIG liaison to the Department of Justice on all matters relating to the investigations of SSA programs and personnel. OI also conducts joint investigations with other Federal, State, and local law enforcement agencies.

Office of the Chief Counsel to the Inspector General

OCCIG provides independent legal advice and counsel to the IG on various matters, including statutes, regulations, legislation, and policy directives. OCCIG also advises the IG on investigative procedures and techniques, as well as on legal implications and conclusions to be drawn from audit and investigative material. Finally, OCCIG administers the Civil Monetary Penalty program.

Office of Resource Management

ORM supports OIG by providing information resource management and systems security. ORM also coordinates OIG's budget, procurement, telecommunications, facilities, and human resources. In addition, ORM is the focal point for OIG's strategic planning function and the development and implementation of performance measures required by the Government Performance and Results Act of 1993.