

# FY 2017 Treasury Performance Validation and Verification Appendix

## Introduction

This Appendix provides a detailed listing of all performance measures and indicators included in the Annual Performance Report (APR) with their respective definitions, data sources, data collection methodologies, assessments of reliability, and reporting frequency. Performance measures and indicators are listed by the strategic objective to which they align and, within each strategic objective, by component and in the order that the component reported them.

## Verification and Validation Process

The Department recognizes the importance of collecting complete, accurate, and reliable performance data since this helps determine progress toward achieving program and Department goals and objectives. Performance data are considered reliable if transactions and other data that support reported performance measures are properly recorded, processed, and summarized to permit the preparation of performance information in accordance with criteria stated by management. OMB Circular A-136, Financial Reporting Requirements, OMB Circular A-11 (A-11), and the Reports Consolidation Act of 2000 (P.L. No. 106-531) further delineate this responsibility by requiring Agency heads to attest to the completeness and reliability of the performance data they report. Treasury employs a central system of record for all publicly reported performance data and requires components to validate the data entered into that system on either a quarterly or annual basis, depending on the frequency with which the data are reported. Performance data are discussed with senior department leadership at Quarterly Performance Reviews (QPRs).

## Analysis

A review was conducted in March 2018 at the department level to analyze the data limitations of these measures, as recommended in OMB Circular A-11. A cross-system consistency and verification check revealed that the definition, indicator type, and all other data fields were complete for each measure. Treasury will continue to maintain and strengthen its validation and verification practices, focusing on improved reporting of the most critical information (definitions, data capture source, and data verification and validation method).

## Detailed Measure/Indicator Listing by Strategic Objective 2018

**STRATEGIC GOAL:** 1 - Boost U.S. Economic Growth

**STRATEGIC OBJECTIVE:** 1.1 - Tax Law Implementation

### **MEASURE:** Automated Collection System (ACS) Accuracy (%)

**Definition:** The percent of taxpayers who receive the correct answer to their ACS question.

**Indicator Type:** Measure

**Data Capture and Source:** The Centralized Quality Review System (CQRS) monitors the calls as they are reviewed. Data is input to the Quality Review Database for product review and reporting.

**Data Verification and Validation:** 1.CQRS management samples QRDbv2 records and validates that sample plans have been followed.

2.CQRS management reviews QRDbv2 employee input DCIs for consistency and coding.

3.CQRS tracks and reviews rebuttals quarterly, and an annual sample of each product line's rebuttals are performed.

4.A rebuttal web site is used to share technical and coding issues in CQRS.

**Data Accuracy:** Reasonable

**Data Frequency:** Quarterly

### **MEASURE:** Automated Underreporter (AUR) Coverage (%)

**Definition:** A percentage representing the total number of W&I and SB/SE contact closures (a closure resulting from a case where SB/SE and W&I made contact) divided by the total return filings for the prior year.

Effective: 10/2006

**Indicator Type:** Measure

**Data Capture and Source:** NUMERATOR: The sum of all individual returns closed will be extracted as follows: SB/SE AUR: AUR MISTLE Report; W&I AUR: AUR MISTLE Report.

**DENOMINATOR:** The source for the total individual return filings for the prior calendar year is the Office of Research Projections of return filings as shown in IRS Document 6187 (Table 1A ). AUR MISTLE AUR Management Information System for Top Level Executives (MISTLE).

**Data Verification and Validation:** 1.AUR run controls are reviewed to see if the weekend processing has been completed and are accurate. 2.MISTLE reports are reviewed with other AUR reports to see if processing has been completed and are accurate. 3.MISTLE reports are reviewed to see if information is complete and accurate.

**Data Accuracy:** Reasonable

**Data Frequency:** Annually

#### **MEASURE:** Automated Underreporter (AUR) Efficiency

**Definition:** The total number of W&I and SB/SE contact closures (a closure resulting from a case where we made contact) divided by the total FTE, including overtime.

Effective: 10/2006

**Indicator Type:** Measure

**Data Capture and Source:** Each case initiated in AUR results in a closure either in the pre-notice or notice phases. All closing actions are posted on the system through the use of process codes that describe the reason& type of closure. Pre-notice closures (no taxpayer contact) include screenouts (discrepancy accounted for on the return), transfers and referrals. Pre-notice closures are included in the Efficiency Measure numerator. Notice phase closures can be posted at the CP2501, CP2000 or Statutory phases. Tax examiners evaluate taxpayer/practitioner responses to the notice and close cases using process codes that denote the respondent's full or partial agreement or disagreement, no change to the original tax liability, transfer or referral. Time: Examiners complete Form 3081 to record time charged to each program code. The Form 3081 is input onto the WP&C system and a Resource Allocation Report generated.

Source: Management Information System for Top Level Executives (MISTLE).

**Data Verification and Validation:** Closures - 1.AUR run controls are reviewed to see if the weekend processing has been completed and are accurate. 2.MISTLE Reports are reviewed with other AUR reports to see if processing has been completed and are accurate. 3.MISTLE reports are reviewed to see if information is complete and accurate.

Time - 1.Managers review Form 3081 prior to input to verify that time is appropriately charged. 2.WP and C monitored to ensure appropriate time usage.

**Data Accuracy:** Reasonable

**Data Frequency:** Annually

#### **MEASURE:** Collection Coverage (Units)

**Definition:** The volume of collection work disposed compared to the volume of collection work available.

**Indicator Type:** Measure

**Data Capture and Source:** The data comes from the Collection Activity Report (CAR).

**Data Verification and Validation:** 1. Changes to programming of Collection Activity Reports are generally made once a year. Those changes are tested and verified by program analysts at headquarters before the first new report is released. Monthly spot checks are also done to verify they match the data sent to the DataMart. 2. Accuracy of Automated Offer in Compromise database is validated by management checks in the operating units.

**Data Accuracy:** Reasonable

**Data Frequency:** Annually

#### **MEASURE:** Collection Efficiency (Units)

**Definition:** The volume of collection work disposed divided by total collection FTE.

**Indicator Type:** Measure

**Data Capture and Source:** The data comes from the Collection Activity Report (CAR) and the Integrated Financial System (IFS).

**Data Verification and Validation:** 1.Changes to programming of Collection Activity Reports are generally made once a year. Those changes are tested and verified by program analysts at headquarters before the first new report is released. Monthly spot checks are also done to verify they match the data sent to the DataMart.

2.Accuracy of Automated Offer in Compromise database is validated by management checks in the operating units.

**Data Accuracy:** Reasonable

**Data Frequency:** Annually

#### **MEASURE:** Conviction Rate (%)

**Definition:** The percent of adjudicated criminal cases that result in convictions. The conviction rate is defined as the total number of cases with CIMIS status codes of guilty plea, nolo-contendere, judge guilty, or jury guilty divided by these status codes and nolle prosequi, judge dismissed and jury acquitted.

**Indicator Type:** Measure

**Data Capture and Source:** Cases are tracked in CIMIS with frequent updates to the status code.

**Data Verification and Validation:** Criminal Investigation management dictates that the lead agent assigned to the investigation and/or the agent's manager(s) input investigation data directly into CIMIS. Agents and management directs first line managers to review individual work group CIMIS reports for accuracy each month to ensure any system input errors or omissions are corrected within 30 days of the initial issuance of the monthly data tables. (Rev. 1-07) Standardized reports extract data related to the status codes cited above on a monthly basis. This calculation is performed monthly.

**Data Accuracy:** Reasonable

**Data Frequency:** Quarterly

#### **MEASURE: Criminal Investigations Completed**

**Definition:** The total number of subject criminal investigations completed during the fiscal year, including those that resulted in prosecution recommendations to the Department of Justice as well as those discontinued due to a lack of prosecution potential.

**Indicator Type:** Measure

**Data Capture and Source:** Criminal Investigations Management Information System (CIMIS)

**Data Verification and Validation:** The guidance and direction given by upper management to first line managers is that the first line managers should review their individual work group CIMIS data tables at the beginning of each month. The use of this procedure will assure that system input errors are corrected no later than 30 days after the error is initially reported in the monthly CIMIS data tables. Additionally, national standard monthly reports and statistical information are circulated among the senior staff and headquarter analysts for their review and use. If the published information on the official critical measure appears to be out of line with what is normal or expected, headquarters analysts or senior staff request that the CI research staff verify that the published and circulated information and/or report is accurate. If the published and circulated information is not accurate, then the CI research staff corrects the error and issues revised data for the month.

**Data Accuracy:** Reasonable

**Data Frequency:** Quarterly

#### **MEASURE: Customer Accuracy - Customer Accounts (Phones)**

**Definition:** The percentage of correct answers given by a live assistor on Toll-free account inquiries. The measure indicates how often customers receive the correct answer to their account inquiry and/or had their case resolved correctly based upon all available information and Internal Revenue Manual required actions.

**Indicator Type:** Measure

**Data Capture and Source:** Quality reviewers on the Centralized Quality staff complete a data collection instrument as calls are reviewed. Data is input to the Quality Review Database for product review and reporting.

**Data Verification and Validation:** Field 715 on the DCI is coded by the CQRS monitor as calls are reviewed. Data is input to the NQRS. The NQRS contains several levels of validation that occur as part of the review process. The input records are validated requiring entries and combinations of entries based upon the relationships inherent in different product lines or based upon an entry in a quality attribute. The national reviews conducted by CQRS site staff on telephone product lines are sampled by local management and management officials at the CQRS site. In addition, every review is available on-line to the site for verification purposes. Sites monitor their review records daily and have a small rebuttal period to contest any review.

**Data Accuracy:** Reasonable

**Data Frequency:** Quarterly

#### **MEASURE: Customer Accuracy - Tax Law Phones (%)**

**Definition:** The percentage of correct answers given by a live assistor on Toll-free tax law inquiries. The measure indicates how often customers receive the correct answer to their tax law inquiry based upon all available information and Internal Revenue Manual required actions.

**Indicator Type:** Measure

**Data Capture and Source:** Quality reviewers on the Centralized Quality staff complete a data collection instrument as calls are reviewed. Data is input to the Quality Review Database for product review and reporting.

**Data Verification and Validation:** Field 715 on the DCI is coded by the CORS monitor as calls are reviewed. Data is input to the NQRS. The NQRS contains several levels of validation that occur as part of the review process. The input records are validated requiring entries and combinations of entries based upon the relationships inherent in different product lines or based upon an entry in a quality attribute. The national reviews conducted by CORS site staff on telephone product lines are sampled by local management and management officials at the CORS site. In addition, every review is available on-line to the site for verification purposes. Sites monitor their review records daily and have a small rebuttal period to contest any review.

**Data Accuracy:** Reasonable

**Data Frequency:** Quarterly

#### **MEASURE: Customer Contacts Resolved Per Staff Year**

**Definition:** The number of Customer Contacts resolved in relation to staff years expended. Customer Contacts Resolved are derived from all telephone and paper inquiries received by Accounts Management, in which all required actions have been taken, and the taxpayer has been notified as appropriate. The measure includes all self-service, Internet-based applications, such as the "Where's My Refund?" service available on [www.irs.gov](http://www.irs.gov).

**Indicator Type:** Measure

**Data Capture and Source:** Contacts resolved volumes are derived from internal telephone management systems and modernization project websites. Staff year data is extracted from the weekly Work Planning & Control report and consolidated and included in the weekly resource usage report.

**Data Verification and Validation:** 1. Data is compiled from several sources (see individual components below). Each area is responsible for component accuracy: Enterprise Telephone Data (ETD) Snapshot Report, Accounts Management Information Report (AMIR), Internet Refund/Fact of Filing, MIS Reporting Tool, Electronic Tax Administration (ETA) Website, Work Planning & Control (WP&C) Report, Resource Allocation Report (RAR).

**Data Accuracy:** Reasonable

**Data Frequency:** Quarterly

#### **MEASURE: Customer Service Representative (CSR) Level of Service (LOS) (%)**

**Definition:** The number of toll-free callers that either speak to a Customer Service Representative or receive automated informational messages divided by the total number of attempted calls.

**Indicator Type:** Measure

**Data Capture and Source:** Enterprise Telephone Database (ETD).

**Data Verification and Validation:** 1. Validation of monthly report data by W&I P&A staff. 2. The JOC validates CSR LOS data prior to publication of the weekly official Snapshot report. Independent weekly CSR LOS source data is also gathered and validated by comparing data with the data used to produce the official Snapshot report.

**Data Accuracy:** Reasonable

**Data Frequency:** Quarterly

#### **MEASURE: Enterprise Taxpayer Self-Assistance Participation Rate (ESAPR)**

**Definition:** This measure shows the success of the IRS in providing and marketing self-assistance channels to taxpayers. As more taxpayers use automated services for routine inquiries, the IRS frees valuable human resources to assist taxpayers who need the knowledge and skill of an IRS employee.

**Indicator Type:** Indicator

**Data Capture and Source:** Data comes from Aspect Automated Call Distributor (ACD), Intelligent Contact Management (ICM), Accounts Management Information Report (AMIR), Integrated Customer Communications Environment (ICCE) Web Applications (IRFOF, MOD I-EIN, EFP, Get Transcripts Mail (OAT), Get Transcripts Online (GT), Federal Student Aid – Data Share(FSA-D) and WMAR), SAP Business Objects (TDS (IRTDS04), TAC Contacts), Google Analytics (ITA). TRIS Product Line Detail by DNIS Report, CDDB Report, COINS Collections Reports and Miscellaneous Inventory Meeting Report.

**Data Verification and Validation:** Management Controls for items on critical path:

1. Data is compiled from several sources (see individual components).
2. Each area is responsible for component accuracy. See individual component controls

**Data Accuracy:** Reasonable

**Data Frequency:** Quarterly

#### **MEASURE: Examination Coverage - Business Assets >\$10 million (%)**

**Definition:** The number of LB&I returns (C and S Corporations with assets over \$10 million and all partnerships) examined and closed by LB&I during the current fiscal year divided by the number of filings for the preceding calendar year.

**Indicator Type:** Measure

**Data Capture and Source:** The number of returns examined and closed during the Fiscal Year is from the Audit Information Management System (AIMS) closed case database, accessed via A-CIS (an MS Access application). Filings are from Document 6186, which is issued by the Office of Research, Analysis and Statistics.

**Data Verification and Validation:** 1. Examination Support & Processing (ESP) group (SBSE) validates data on AIMS (Detroit server) and makes necessary correction. 2. LMSB picks closing codes and downloads data down to (A-CIS) Access database (Atlanta server). Charles Johnson (Plantation, FL) validates data, uploads to A-CIS. 3. (LMSB - Chicago) downloads LMSB version of data and performs data validation before providing data to CPP. 4. The information in Document 6186 is validated by the Office of Research, Analysis and Statistics before it is released.

**Data Accuracy:** Reasonable

**Data Frequency:** Annually

#### **MEASURE:** Examination Coverage - Individual (1040)

**Definition:** The sum of all individual 1040 returns closed by Small Business/Self Employed (SB/SE), Wage & Investment (W&I), Tax Exempt and Government Entities (TEGE) and Large Business & International (LB&I) (Field Exam and Correspondence Exam programs) divided by the total individual return filings for the prior calendar year. In FY 2005, Automated Underreported (AUR) cases were included as part of this measure. In FY 2006, AUR is covered as a separate measure.

**Indicator Type:** Measure

**Data Capture and Source:** The data comes from the Audit Information Management System (AIMS) closed case data base, the automated underreporter Management Information System for Top Level Executives (MISTLE) reports and Research projections for individual return filings.

**Data Verification and Validation:** Management Controls for items on Critical Path:

SB/SE Field and LB&I Closures:

1. Case closing documents are reviewed for accuracy by managers before closing from the group and during sample reviews by quality reviewers.
2. Audit Information Management System (AIMS) data is validated prior to distribution.
3. Queries used to retrieve data are reviewed for thoroughness and accuracy.

SB/SE and W&I Campus Correspondence Exam - AIMS Closures:

1. Case closing documents are reviewed for accuracy during sample reviews by managers and quality reviewers.
2. Audit Information Management System (AIMS) data is validated prior to distribution.
3. Queries used to retrieve data are reviewed for thoroughness and accuracy.

**Data Accuracy:** Reasonable

**Data Frequency:** Annually

#### **MEASURE:** Examination Efficiency - Individual (1040)

**Definition:** The sum of all individual 1040 returns closed by SB/SE, W&I, TEGE and LB&I (Field Exam and Correspondence Exam programs) divided by the Total Full Time Equivalents (FTE) expended in relation to those individual returns. In FY 2005, Automated Underreporter (AUR) cases were included as part of this measure.

**Indicator Type:** Measure

**Data Capture and Source:** The data comes from the Audit Information Management System (AIMS) closed case data base, the automated underreporter Management Information System for Top Level Executives (MISTLE) reports and Exams time reporting system and the Integrated Financial System.

**Data Verification and Validation:** Closures and AIMS Closures - 1. Case closing documents are reviewed for accuracy during sample reviews by managers and quality reviewers.

2. AIMS data is validated prior to distribution. 3. Queries used to retrieve data are reviewed for thoroughness and accuracy.

Frivolous Filers (Non-AIMS Closures): 1. Cases are reviewed by managers for accuracy, timeliness and completeness at any point in the process. 2. Headquarters Analyst reconciles WP&C data to Summary Report in order to validate data.

SB/SE AUR: Closures - 1. Managerial review samples (phone calls, open and closed cases). 2. Checks and balances exist in the AUR Control System to validate the input. 3. Sample physical review of cases closed on the AUR Control System by Program Analysis System ("PAS") for accuracy and appropriateness of actions.

**Data Accuracy:** Reasonable

**Data Frequency:** Annually

#### **MEASURE:** Examination Quality - LB&I - Large Business

**Definition:** Average of the scores of Large Business Return (LBR) cases reviewed by LB&I Quality Measurement System (LQMS). LBRs include large corporations (assets > \$10m), large 1120Fs (assets > \$10m), large partnerships, and large S corporations (assets > \$10m).

**Indicator Type:** Measure

**Data Capture and Source:** The formula comes from a statistically valid random sample of "closed" Large Business Return (LBR) cases are reviewed by the LB&I Quality Measurement System (LQMS). LBR's reviewed include large corporations, large 1120F's, large partnerships, and large S corporations. For International Business Compliance cases, only International Examiner controlled cases are to be included in the LBR score. Determinations are made as to which elements have been met or not met on each case. Each Element is rated "Yes", "No", or in some instances "Not Applicable". The quality score is computed as a percentage of "Yes" ratings divided by the total "Yes" and "No" ratings. Scores are updated quarterly and are reported fiscal year-to-date at the LB&I Level. (Update 2-16)

The data source is The LB&I Quality Measurement System (LQMS) database is used. This is a Microsoft Access database. The database is maintained by a LQMS QRA Team Member. (Update 2-16)

**Data Verification and Validation:** A statistically valid random sample is used to select taxpayers to review. The Examination Records Control System (ERCS) database is used to identify the universe of taxpayers that will be reviewed.

**Data Limitations:** The data accurately reflects the professional judgment of the LB&I Quality Measurement System (LQMS) Reviewer as to how successfully the case has met the elements of each Standard. The Reviewers are all experienced examiners and have been trained as LQMS Reviewers. They have specific guidelines to assist them in making their determinations. The review teams conduct consistency meetings on a regular basis. This assists with the goal of having consistent determinations made on all cases reviewed.

**Data Accuracy:** Reasonable

**Data Frequency:** Quarterly

#### **MEASURE: Field Collection National Quality Review Score**

**Definition:** The score awarded to a reviewed collection cases by a Quality Reviewer using the NQRS quality attributes.

**Indicator Type:** Measure

**Data Capture and Source:** Monthly reports supplied from the EQMS database.

**Data Verification and Validation:** Cases are sent to the review sites to be reviewed. The cases are then reviewed and results are recorded into the CQMS EQ database. A validity check is conducted by EQ review site management. Once the data has been validated the information is transmitted to the EQ website.

**Data Accuracy:** Reasonable

**Data Frequency:** Quarterly

#### **MEASURE: Field Examination National Quality Review Score**

**Definition:** The score awarded to a reviewed Field Examination case by a Quality Reviewer using the National Quality Review System (NQRS) quality attributes.

**Indicator Type:** Measure

**Data Capture and Source:** Monthly reports supplied from the EQMS database.

**Data Verification and Validation:** A manual validation for inconsistencies in the data input is completed at the end of each monthly cycle. Potential errors are sent to the EQMS site managers for either verification or correction. Monthly consistency meetings are held with EQMS management, analyst and reviewers to ensure consistent application of the quality ratings.

**Data Accuracy:** Reasonable

**Data Frequency:** Quarterly

#### **MEASURE: Number of Convictions**

**Definition:** The number of criminal convictions. Convictions are the total number of cases with Criminal Investigation Management Information System (CIMIS) status codes of guilty plea, nolo-contendere, judge guilty, or jury guilty.

**Indicator Type:** Measure

**Data Capture and Source:** Standardized reports extract data related to the status codes cited above on a monthly basis.

**Data Verification and Validation:** Cases are tracked in CIMIS with frequent updates to the status code.

**Data Accuracy:** Reasonable

**Data Frequency:** Quarterly

#### **MEASURE: Office Examination National Quality Review Score**

**Definition:** The score awarded to a reviewed Office Examination case by a Quality Reviewer using the National Quality Review System (NQRS) quality attributes.

**Indicator Type:** Measure

**Data Capture and Source:** Examination Quality Measurement System.

**Data Verification and Validation:** A manual validation for inconsistencies in the data input is completed at the end of each monthly cycle. Potential errors are sent to the EQMS site managers for either verification or correction. Monthly consistency meetings are held with EQMS management, analyst and reviewers to ensure consistent application of the quality ratings.

**Data Accuracy:** Reasonable

**Data Frequency:** Quarterly

**MEASURE: Percent Individual Returns Processed Electronically (%)**

**Definition:** The percentage of electronically filed individual tax returns divided by the total individual returns filed.

**Indicator Type:** Measure

**Data Capture and Source:** Working Planning and Control reports from W&I Submission Processing campuses.

**Data Verification and Validation:** 1. At each Submission Processing Center, managerial oversight is used to ensure that the balancing instructions for the Balance Forward Listing are followed and that necessary adjustments are made. 2. Management Officials review "II" Report prior to its release to Headquarters personnel. 3. Headquarters Personnel release preliminary data for peer and managerial review prior to releasing data for the measure.

**Data Accuracy:** Reasonable

**Data Frequency:** Quarterly

**MEASURE: Percent of Business Returns Processed Electronically**

**Definition:** The percentage of electronically filed business tax returns divided by the total business returns filed.

**Indicator Type:** Measure

**Data Capture and Source:** Work Planning and Control reports from W&I Submission Processing campuses.

**Data Verification and Validation:** 1. At each Submission Processing Center, managerial oversight is used to ensure that the balancing instructions for the Balance Forward Listing are followed and that necessary adjustments are made. 2. Management Officials review Program Analysis Reports prior to its release to Headquarters personnel. 3. Headquarters Personnel release preliminary data for peer and managerial review prior to releasing data for the measure.

**Data Accuracy:** Reasonable

**Data Frequency:** Quarterly

**MEASURE: Percent of Voluntary Compliance from Large Taxpayers in Filing Tax Payments Timely and Accurately (In Terms of Revenue)**

**Definition:** The percentage of total revenue dollars from taxpayers who file over \$50,000 in tax payments annually collected on or before the scheduled due date (without notification of any delinquency from the National Revenue Center).

**Indicator Type:** Measure

**Data Capture and Source:** The NRC maintains all tax return and payment information in the FET database.

**Data Verification and Validation:** The National Revenue Center (NRC) generates reports to identify late-filed returns and payments in the Federal Excise Tax (FET) database.

**Data Accuracy:** Reasonable

**Data Frequency:** Quarterly

**MEASURE: Refund Timeliness - Individual (Paper)**

**Definition:** The percentage of refunds resulting from processing Individual Master File paper returns issued within 40 days or less.

**Indicator Type:** Measure

**Data Capture and Source:** Submission Processing Measures Analysis and Reporting Tool (SMART). Data is extracted from a Generalize Mainframe Framework computer run that processes data input by the processing centers.

**Data Verification and Validation:** The calculation for Refund Timeliness is a ratio of untimely IMF paper refunds in a sample compared against the total number of IMF paper refunds reviewed in a sample. The result of the ratio is weighted against the entire volume of refund returns a center has processed on a monthly basis. The monthly results are tabulated to determine the performance rating at the corporate and site level.

**Data Accuracy:** Reasonable

**Data Frequency:** Quarterly

**MEASURE: TEGE Determination Case Closures**

**Definition:** The number of cases closed in the Employee Plans or Exempt Organizations Determination programs, regardless of type of case or type of closing.

**Indicator Type:** Measure

**Data Capture and Source:** Tax Exempt and Government Entities (TE/GE) Determination System (EDS) Table 2A

**Data Verification and Validation:** 1. Group managers review data entered on closing documents by determination specialists prior to approving the case for closing. 2. Error registers/reports are generated for data not meeting system consistency checks

**Data Accuracy:** Reasonable

**Data Frequency:** Quarterly

**MEASURE: Timeliness of Critical Individual Filing Season Tax Products to the Public (%)**

**Definition:** The percentage of critical individual filing season tax products (tax forms, schedules, instructions, publications, tax packages, and certain notices required by a large number of filers to prepare a complete and accurate tax return) available to the public in a timely fashion. This measure will assess the percentage of Critical Individual Filing Season (CIFS) tax products available to the public by the fifth workday in January. CIFS tax products are those tax forms, schedules, instructions, publications, tax packages, and certain notices required by a large number of filers to prepare a complete and accurate individual income tax return by April 15th.

**Indicator Type:** Measure

**Data Capture and Source:** Publishing Services Data (PSD) System.

**Data Verification and Validation:** Nightly processes provide analysts and management with reports concerning production status, missing data problems, and past due situations.

**Data Accuracy:** Reasonable

**Data Frequency:** Annually

**MEASURE: Timeliness of Critical TE/GE and Business Tax Products to the Public (%)**

**Definition:** The percentage of Critical Other Tax Products, paper and electronic, available to the public in a timely fashion. Critical Other Tax Products are business tax products, Tax Exempt and Government Entities and miscellaneous tax products. This measure contains two components: (1) percentage of paper tax products that meet the scheduled start to ship date within five business days of the actual start to ship date and (2) percentage of scheduled electronic tax products that is available on the Internet within five business days of the ok-to-print date. The intent is to have the tax products available to the public 30 days before the form is required to be filed.

**Indicator Type:** Measure

**Data Capture and Source:** Publishing Services Data System (PSD).

**Data Verification and Validation:** Nightly processes provide analysts and management with reports concerning production status, missing data problems, and past due situations.

**Data Accuracy:** Reasonable

**Data Frequency:** Annually

**STRATEGIC OBJECTIVE: 1.2 - Strong Economic Fundamentals**

**MEASURE: ALL - Number of Affordable Housing Units Developed or Produced**

**Definition:** Number of affordable housing units created by CDFI Fund programs. This includes real estate construction and rehabilitation financed in part by CDFI Program financial assistance awardees, New Markets Tax Credit allocatees and CMF awardees.

**Indicator Type:** Indicator

**Data Capture and Source:** Each awardee and allocatee collects and tracks information in its own management information system(s). The information is self-reported by awardees and allocatees. The Financial Strategies and Research Unit administers the Institution Level and Transaction Level Reports which contain business lending data for each CDFI Financial Assistance awardee and NMTC allocatee. CMF reporting systems will be established in 2011.

**Data Verification and Validation:** The Fund will collect affordable housing unit data through the annual Institution Level and Transaction Level Reports. Data provided is compared to the awardees' and allocatees' actual financial statements for accuracy and "reasonableness" as defined by the Fund. Awardees and allocatees are contacted regarding any discrepancies.

**Data Accuracy:** Reasonable

**Data Frequency:** Annually

**MEASURE: BEA - Increase in Community Development Activities Over Prior Year For All BEA Program Applicants (\$ million)**

**Definition:** This measures the Bank Enterprise Award (BEA) applicants' increase in qualified community development activities over prior year.

**Indicator Type:** Indicator

**Data Capture and Source:** Each BEA Program applicant is required to submit an application containing a Report of Transactions. The BEA Program Unit administers the BEA application. All reports are submitted electronically and the data is stored in the Fund's databases.

**Data Verification and Validation:** The data is self-reported by applicants during the application process.

**Data Accuracy:** Reasonable

**Data Frequency:** Annually



**MEASURE: CDFI - Percentage of Loans & Investments Originated in Eligible Distressed or Underserved Communities by Dollar Amount of Loans (Annual %)**

**Definition:** Percentage of loans and investments originated in eligible distressed communities or made to underserved populations by amount of loans reported by CDFI Financial Assistance awardees during the program year. By policy all certified CDFIs must originate 60% or more of their loans and investments in eligible distressed census tracts or to underserved communities or populations. Note the target is a threshold that must be met or exceeded. The objective is to make sure that the program is meeting its basic requirements for serving distressed and underserved communities. Also note that the threshold recognizes that CDFIs must balance their mission of serving distressed communities and underserved populations against their safety and soundness considerations so the threshold is not an increasing threshold as that might engender unacceptable financial risks.

**Indicator Type:** Measure

**Data Capture and Source:** Each awardee collects and tracks information in its own management information system(s). The information is self-reported by awardees in the Community Investment Impact System (CIIS). The geocoded transaction data on the location of the loans is then compared to eligible census tracts in distressed communities or the targeted populations to determine the percentage deployed to their target markets.

**Data Verification and Validation:** The Fund will collect data on loans and investments originated by awardees through the Institution Level and Transaction Level Reports. Data provided is compared to the underlying demographics and socioeconomic characteristics of the awardees' transactions and the volume of transactions is compared to their audited financial statements for accuracy and "reasonableness" as defined by the Fund. Awardees are contacted regarding any discrepancies.

**Data Accuracy:** Reasonable

**Data Frequency:** Annually

**MEASURE: CDFI - Percentage of Loans & Investments Originated in Eligible Distressed or Underserved Communities by Number of Loans**

**Definition:** The percentage share of loans/investments originated in eligible distressed or made to underserved populations by reporting CDFI Financial Assistance awardees during the program year. By regulation all certified CDFIs must originate 60% or more of their loans and investments in eligible distressed census tracts or to underserved populations. Note the target is a threshold that must be met or exceeded. The objective is to make sure that the program is meeting its basic requirements for serving distressed communities and underserved populations. Also note that the threshold recognizes that CDFIs must balance their mission of serving distressed communities and underserved populations against their safety and soundness considerations so the threshold is not an increasing threshold as that might engender unacceptable financial risks.

**Indicator Type:** Measure

**Data Capture and Source:** Each awardee collects and tracks information in its own management information system(s). The information is self-reported by awardees in the Community Investment Impact System (CIIS). The geocoded transaction data on the location of the loans is then compared to eligible census tracts in distressed communities or the targeted populations to determine the percentage deployed to their target markets.

**Data Verification and Validation:** The Fund collects data on loans and investments originated by awardees through the Institution Level and Transaction Level Reports. Data provided is compared to the underlying demographics and socioeconomic characteristics of the awardees' transactions and the volume of transactions is compared to their audited financial statements for accuracy and "reasonableness" as defined by the Fund. Awardees are contacted regarding any discrepancies.

**Data Accuracy:** Reasonable

**Data Frequency:** Annually

**MEASURE: EO 13771 - Number of Deregulatory Actions Issued**

**Definition:** EO 13771 encourages agencies to issue two de-regulatory items for each new regulatory action (as that term is defined in OMB guidance). Treasury has an inventory of EO 13771 items and through the work of the Regulatory Reform Task Force, will continue to add items to that list.

**Indicator Type:** Indicator

**Data Capture and Source:** Consult the EO 13771 inventory of planned de-regulatory actions.

**Data Verification and Validation:** The EO 13771 inventory of planned de-regulatory actions should be consulted and items can be confirmed as complete by consulting the Federal Register.

**Data Accuracy:** Reasonable

**Data Frequency:** Annually

**MEASURE: EO 13771 - Number of Deregulatory Actions Issued that Address Recommendations by the Regulatory Reform Task Force**

**Definition:** EO 13771 regulatory actions are those designated as such by the Office of Information and Regulatory Affairs (OIRA), Office of Management and Budget. These regulations would be included in the Department's inventory of EO 13771 regulatory items and may include significant regulatory actions under EO 12866.

**Indicator Type:** Indicator

**Data Capture and Source:** A count can be made from items listed on the Department's EO 13771 inventory that have been designated by

OIRA and have been issued as final and/or effective regulations.

**Data Verification and Validation:** Confirm the number is correct by reviewing the Department's EO 13771 inventory and confirm that the item has published in the Federal Register.

**Data Accuracy:** Reasonable

**Data Frequency:** Annually

**MEASURE:** EO 13771 - Number of Deregulatory Actions Issued that Address Recommendations by the Regulatory Reform Task Force to the Agency Head Consistent with Applicable Law

**Definition:** EO 13777 authorizes a Regulatory Reform Task Force chaired by a Regulatory Reform Officer. The task force is reviewing items listed on Treasury's EO 13771 inventory as well as items recommended by stakeholders in response to a June 14, 2017 request for information. The task force makes periodic reports to the Secretary.

**Indicator Type:** Indicator

**Data Capture and Source:** The task force will produce a report that lists the EO 13771 de-regulatory actions that can be used to calculate this measure.

**Data Verification and Validation:** The task force's report will list and describe the de-regulatory actions it recommends to the Secretary.

**Data Accuracy:** Reasonable

**Data Frequency:** Annually

**MEASURE:** EO 13771 - Number of Evaluations to Identify Potential Deregulatory Actions That Included Opportunity for Public Input and/or Peer Review

**Definition:** EO 13771 encourages agencies to seek public input on deregulatory actions to prioritize. The Department issued a request for information in the Federal Register on June 14, 2017 and the bureaus were encouraged to share that request with stakeholders. Additional contacts with stakeholders on this subject should be included in this count.

**Indicator Type:** Indicator

**Data Capture and Source:** This number should include any solicitation or follow-up with members of the public in soliciting de-regulatory actions, including email messages, phone calls, announcements at public meetings, notices, and other publications.

**Data Verification and Validation:** This information can be verified with cites to or copies of the solicitations if written, or a summary or statement (e.g., meeting minutes).

**Data Accuracy:** Reasonable

**Data Frequency:** Annually

**MEASURE:** EO 13771 - Number of Regulatory Actions Issued

**Definition:** EO 13771 regulatory actions are those designated as such by the Office of Information and Regulatory Affairs (OIRA), Office of Management and Budget. These regulations would be included in the Department's inventory of EO 13771 regulatory items and may include significant regulatory actions under EO 12866.

**Indicator Type:** Indicator

**Data Capture and Source:** A count can be made from items listed on the Department's EO 13771 inventory that have been designated by OIRA and have been issued as final and/or effective regulations.

**Data Verification and Validation:** Confirm the number is correct by reviewing the Department's EO 13771 inventory and confirm that the item has published in the Federal Register

**Data Accuracy:** Reasonable

**Data Frequency:** Annually

**MEASURE:** EO 13771 - Total Incremental Cost of All Regulatory Actions and Deregulatory Actions (Including Costs or Cost Savings Carried Over From Previous Fiscal Years)

**Definition:** EO 13771 mandates that the cost of regulations must be zero and encourages agencies to achieve a cost savings. In order to achieve this zero cost, agencies must offset any costly regulations with de-regulatory actions that cover the cost (OMB has issued guidance to agencies on calculating costs).

**Indicator Type:** Indicator

**Data Capture and Source:** Using the EO 13771 regulatory actions, identify the costs of such actions and subtract from that cost the savings from de-regulatory actions.

**Data Verification and Validation:** For EO 13771 regulatory actions and de-regulatory actions, the agency will have identified and analyzed the costs and cost savings in the regulatory or subregulatory documents.

**Data Accuracy:** Reasonable

**Data Frequency:** Annually

**MEASURE: HFFI - Retail Outlets Created/Preserved**

**Definition:** Each HFFI awardee must report the number of retail food outlets that have been created or preserved as a result of the HFFI project financed by the awardee in a low-income/low-access area designated as a "food desert" under the program criteria.

**Indicator Type:** Indicator

**Data Capture and Source:** Each HFFI awardee will be required to submit an annual report on their activities. All reports are submitted electronically and the data is stored in the Fund's databases.

**Data Verification and Validation:** The data is self-reported by awardees but must include a complete address (or latitude and longitude) so that the investment can be verified as occurring in a qualified "food desert" as defined by program criteria.

**Data Accuracy:** Reasonable

**Data Frequency:** Annually

**MEASURE: NACA - Percentage of NACA Loans and Investments in Native Areas (# of Loans)**

**Definition:** Quantifies the extent to which eligible areas are being serviced by NACA awardees in relation to Total Loan/Investment Activity, (# of loans).

**Indicator Type:** Measure

**Data Capture and Source:** Each awardee collects and tracks information in its own management information system(s). The information is self-reported by awardees in the Community Investment Impact System (CIIS). The geocoded transaction data on the location of the loans is then compared to eligible census tracts in distressed communities or the targeted populations to determine the percentage deployed to their target markets.

**Data Verification and Validation:** The Fund collects data on loans and investments originated by awardees through the Institution Level and Transaction Level Reports. Data provided is compared to the underlying demographics and socioeconomic characteristics of the awardees' transactions and the volume of transactions is compared to their audited financial statements for accuracy and "reasonableness" as defined by the Fund. Awardees are contacted regarding any discrepancies.

**Data Accuracy:** Reasonable

**Data Frequency:** Annually

**MEASURE: NACA - Percentage of NACA Loans and Investments in Native Areas (\$ Amount of Loans)**

**Definition:** Quantifies the extent to which eligible areas are being serviced by NACA awardees in relation to Total Loan/Investment Activity, (\$ amount of loans).

**Indicator Type:** Measure

**Data Capture and Source:** Each awardee collects and tracks information in its own management information system(s). The information is self-reported by awardees in the Community Investment Impact System (CIIS). The geocoded transaction data on the location of the loans is then compared to eligible census tracts in distressed communities or the targeted populations to determine the percentage deployed to their target markets.

**Data Verification and Validation:** The Fund collects data on loans and investments originated by awardees through the Institution Level and Transaction Level Reports. Data provided is compared to the underlying demographics and socioeconomic characteristics of the awardees' transactions and the volume of transactions is compared to their audited financial statements for accuracy and "reasonableness" as defined by the Fund. Awardees are contacted regarding any discrepancies.

**Data Accuracy:** Reasonable

**Data Frequency:** Annually

**MEASURE: NMTC - Percentage of Loans and Investments That Went Into Severely Distressed Communities**

**Definition:** Portfolio data being reported by allocatees' at the project level is used to determine the percentage of loans going into a distressed community. A distressed community is composed of any of the following criteria:

- 1)Poverty > 30%
- 2)Median Income < 60%
- 3)Unemployment Rate 1.5x National Average

**Indicator Type:** Measure

**Data Capture and Source:** Each allocatee collects and tracks their portfolio data in its own management information system(s). It is then uploaded into the CDFI Fund's Community Investment Impact System (CIIS). This information is self-reported by the awardees.

**Data Verification and Validation:** The CDFI Fund will collect portfolio data thru annual transaction level reports. Data provided is compared to the awardees' actual financial statements for accuracy and "reasonableness" as defined by the CDFI Fund. Awardees are contacted

regarding any discrepancies.

**Data Accuracy:** Reasonable

**Data Frequency:** Annually

**MEASURE:** Number of LEIs Issued Cumulatively in the United States and Internationally

**Definition:** Quarterly result equals the cumulative number of Legal Entity Identifiers (LEI) assigned in the U.S. and internationally based on registration date. Note: The Office of Financial Research (OFR) compiles the LEI data from public-access websites maintained by Local Operating Units ("pre-LOUs") that have been sponsored by public authorities across the globe. The compilation is done on a best-efforts basis, and the OFR makes no warranty as to the accuracy or completeness of these underlying data.

**Indicator Type:** Indicator

**Data Capture and Source:** Public LEI websites.

**Data Verification and Validation:** Data verified by measure manager designated by division chief or deputy director, followed by quality assurance check by SGP, certification by measure owner (chief or deputy director), and validation by PMO.

**Data Accuracy:** Reasonable

**Data Frequency:** Quarterly

**MEASURE:** Number of Times That Data Standards Related are Incorporated in Rules and Regulations

**Definition:** Number of responses to Council data and research requests that meet delivery targets divided by the total number of data and research requests received.

**Indicator Type:** Indicator

**Data Capture and Source:** Report from OFR service desk on SharePoint.

**Data Verification and Validation:** Data verified by measure manager designated by division chief or deputy director, followed by quality assurance check by SGP, certification by measure owner (chief or deputy director), and validation by PMO.

**Data Accuracy:** Reasonable

**Data Frequency:** Quarterly

**MEASURE:** Percentage of National Banks and Federal Savings Associations That Are Categorized As Well Capitalized

**Definition:** This measure reflects whether the national banking and federal savings association system is well capitalized at fiscal year-end. The Federal Deposit Insurance Act established a system of prompt corrective action (PCA) that classifies insured depository institutions into five categories (well capitalized; adequately capitalized; undercapitalized, significantly undercapitalized; and critically undercapitalized) based on their relative capital levels. The purpose of PCA is to resolve the problems of insured depository institutions at the least possible long-term cost to the deposit insurance fund.

**Indicator Type:** Measure

**Data Capture and Source:** National banks and federal savings associations file quarterly Reports of Condition and Income with the Federal Finance Institution Examination Council through the Federal Deposit Insurance Corporation's data processing center. The Supervisory Information office reviews the Reports of Condition and Income (i.e., call reports) for each quarter to identify national banks and federal savings association that meet all of the criteria for a well-capitalized institution. The number of national banks and federal savings association at fiscal year-end is obtained from the Federal Reserve Board's National Information Center database. The percentage is determined by comparing the number of national banks and federal savings associations that meet all of the established criteria for being well capitalized to the total number of national banks and federal savings association at fiscal year-end.

**Data Verification and Validation:** The banks' and thrifts' boards of directors attest to the accuracy of the reported data. The reliability of these quarterly reports is evaluated by OCC examiners during bank and thrift examinations.

**Data Accuracy:** Reasonable

**Data Frequency:** Quarterly

**MEASURE:** Percentage of National Banks and Federal Savings Associations With Consumer Compliance Rating of 1 or 2

**Definition:** This measure reflects the national banking and federal savings association system's compliance with consumer laws and regulations. Bank regulatory agencies use the Uniform Financial Institutions Rating System, Interagency Consumer Compliance Rating, to provide a general framework for assimilating and evaluating significant consumer compliance factors inherent in a bank. Each bank and thrift is assigned a consumer compliance rating based on an evaluation of its present compliance with consumer protection and civil rights statutes and regulations, and the adequacy of its operating systems designed to ensure continuing compliance. Ratings are on a scale of 1 through 5 in increasing order of supervisory concern.

**Indicator Type:** Indicator

**Data Capture and Source:** The Supervisory Information office identifies the number of banks and thrifts with current consumer compliance ratings of 1 or 2 and the total number of national banks and federal savings associations from Examiner View (EV) and Supervisory Information System (SIS) subject to consumer compliance examinations at fiscal year-end. The percentage is determined by comparing the number of national banks and federal savings associations with current consumer compliance ratings of 1 or 2 to the total number of national

banks and federal savings associations subject to consumer compliance examinations at fiscal year-end.

**Data Verification and Validation:** Consumer compliance ratings are assigned at the completion of each consumer compliance examination. These ratings are entered into OCC's management information systems, Examiner View (EV) and Supervisory Information System (SIS), by the banks' Examiner-in-Charge and reviewed and approved by the Supervisory Offices' Assistant Deputy Comptroller (Mid-Size/Community banks) or Deputy Comptroller (Large banks).

**Data Accuracy:** Reasonable

**Data Frequency:** Quarterly

**MEASURE:** Rehabilitated National Banks And Federal Savings Associations As A Percentage Of Problem National Banks One Year Ago  
(CAMEL 3,4, or 5)

**Definition:** This measure reflects the successful rehabilitation of problem national banks and federal savings associations during the past twelve months. Problem banks and thrifts can ultimately reach a point where rehabilitation is no longer feasible. The OCC's early identification of and intervention with problem banks and thrifts can lead to successful remediation of problem banks and thrifts.

**Indicator Type:** Indicator

**Data Capture and Source:** The Supervisory Information office in OCC's headquarters office uses Examiner View (EV) and the Supervisory Information System (SIS) to identify and compare the composite CAMELS ratings for problem banks or thrifts from twelve months prior to the current period composite CAMELS ratings for the same banks or thrifts. The percentage is determined by comparing the number of national banks or federal savings associations that have upgraded composite CAMELS ratings of 1 or 2 from composite CAMELS ratings of 3, 4 or 5 to the total number of national banks or federal savings associations that had composite CAMELS ratings of 3, 4 or 5 twelve months ago.

**Data Verification and Validation:** Either quarterly or semi-annually, an independent reviewer compares a sample of Reports of Examination to the Examiner View (EV) and Supervisory Information System (SIS) data to ensure the accuracy of the recorded composite ratings. Any discrepancies between the supporting documentation and the systems data are reported to the respective Assistant Deputy Comptroller or Deputy Comptroller for corrective action.

**Data Accuracy:** Reasonable

**Data Frequency:** Quarterly

**STRATEGIC OBJECTIVE:** 1.3 - Trusted Currency and Services

**MEASURE:** Customer Satisfaction Index (%)

**Definition:** The United States Mint conducts a quarterly Customer Satisfaction Measure (CSM) Tracking Survey among a random sample of active customers. The CSM Survey is intended to capture customer satisfaction with the United States Mint's performance as a coin supplier and the quality of specific products. The CSI is as a single quantitative score of CSM Survey results.

**Indicator Type:** Measure

**Data Capture and Source:** A professional survey consultant administers quarterly CSM survey to a random sample of active customers.

**Data Verification and Validation:** Results and data are captured and verified by the professional survey consultant.

**Data Accuracy:** Reasonable

**Data Frequency:** Quarterly

**MEASURE:** Customer Satisfaction Rate with TTB Permitting Process

**Definition:** Results of the TTB customer survey of the permitting process, including application length, complexity, assistance received, and the electronic filing system.

**Indicator Type:** Measure

**Data Capture and Source:** TTB Permit satisfaction monthly survey using a commercial survey tool.

**Data Verification and Validation:** The survey data provides an indicator of satisfaction across qualitative and quantitative aspects of customer experience, with questions designed to support analysis of the effectiveness of efforts to reduce processing times, improve guidance, and decrease filing burdens. The data is subject to the data standards and security controls of the online survey tool. Reported results are verified by the Operations Services Branch chief at the National Revenue Center. All performance data are subject to annual internal audit.

**Data Accuracy:** Reasonable

**Data Frequency:** Annually

**MEASURE:** Initial Error Rate on Label and Formula Applications

**Definition:** The total number of label and beverage formula applications received that required TTB to return to the applicant for corrections (missing or incomplete application fields) or revisions (noncompliance with federal labeling and/or production requirements).

**Indicator Type:** Measure

**Data Capture and Source:** COLAs Online and Formulas Online.

**Data Verification and Validation:** Errors on label and formula applications add to TTB's reprocessing work and delay overall approval times for industry. This measure enables ongoing review of compliance errors to drive strategic improvements. TTB uses automated queries to extract data from its online system, which are subject to strict data controls. Results are verified through TTB's Office of Analytics and reviewed by management in the Advertising, Labeling, and Formulation Division. All performance data are subject to annual internal audit.

**Data Accuracy:** Reasonable

**Data Frequency:** Quarterly

#### **MEASURE: Initial Error Rate on Permit Applications**

**Definition:** The total number of applications received that required TTB to return to the applicant for corrections (missing or incomplete application fields) or additional information (missing or incomplete documentation to support the application). A high volume of errors impedes timely review and approval as the total processing time includes all back-and-forth with applicants.

**Indicator Type:** Measure

**Data Capture and Source:** Permits Online.

**Data Verification and Validation:** Errors on original permit applications add to TTB's reprocessing work and delay overall approval times for industry. This measure enables ongoing review of compliance errors to drive strategic improvements. TTB uses automated queries to extract data from its online systems, which are subject to strict data controls. Results are verified through TTB's Office of Analytics and reviewed by management in the National Revenue Center. All performance data are subject to annual internal audit.

**Data Accuracy:** Reasonable

**Data Frequency:** Quarterly

#### **MEASURE: Numismatic Sales Units (Million Units)**

**Definition:** The numismatic sales units indicates the number of coin products sold to the public from numismatic operations. It quantifies the demand for the Nation's official numismatic products. Increases in units sold allow the Mint to potentially reduce the sales prices, as fixed costs will spread among more units. More units sold will also demonstrate that the Mint is meeting demand for products.

**Indicator Type:** Measure

**Data Capture and Source:** Net Product Sales (NPS) report

**Data Verification and Validation:** The cumulative Net Product Sales (NPS) report is derived from Oracle, the United States Mint's financial system of record. This system is subject to annual audit by independent auditors. The financial system of record is subject to periodic reviews conducted internally according to Office of Management and Budget (OMB) Circular A-123 requirements. On a monthly basis, analysts in the Numismatic and Bullion Directorate, the Accounting Division, and Policy, Planning and Budget (PPB) Division review the numismatic sales data for reasonableness and accuracy.

**Data Accuracy:** Reasonable

**Data Frequency:** Quarterly

#### **MEASURE: Percent of Electronically Filed Label and Formula Applications**

**Definition:** Measure of the rate at which TTB receives alcohol beverage label and formula applications via electronic filing systems (COLAs Online and Formulas Online).

**Indicator Type:** Measure

**Data Capture and Source:** COLAs Online and Formulas Online.

**Data Verification and Validation:** Increased use of e-Gov systems provides numerous advantages that increase efficiency for both internal and external users. All systems are subject to TTB IT data standards and security controls for data collection and maintenance. The method of data extraction is static and has been tested against back-up data sources. Reported results are verified by management in the Advertising, Labeling, and Formulation Division. All performance data are subject to annual internal audit.

**Data Accuracy:** Reasonable

**Data Frequency:** Quarterly

#### **MEASURE: Percent of Electronically Filed Permit Applications**

**Definition:** Measures the rate at which TTB receives original permit applications via its electronic filing system, Permits Online.

**Indicator Type:** Measure

**Data Capture and Source:** Permits Online; Integrated Revenue Information System (IRIS).

**Data Verification and Validation:** Increased use of e-Gov systems provides numerous advantages that increase efficiency for both internal and external users. All systems are subject to TTB IT data standards and security controls for data collection and maintenance. The method of data extraction is static and has been tested against back-up data sources. Reported results are verified by the Operations Services Branch

chief at the National Revenue Center. All performance data are subject to annual internal audit.

**Data Accuracy:** Unknown

**Data Frequency:** Quarterly

**MEASURE: Percentage of Alcohol Beverage Label and Formula Applications Processed within Service Standards**

**Definition:** Measures the percent of alcohol beverage label and formula applications that TTB processes within the customer service standards for the respective programs (annually reviewed for workload and resources and published).

**Indicator Type:** Measure

**Data Capture and Source:** COLAs Online and Formulas Online.

**Data Verification and Validation:** TTB's level of service in timely processing applications is central to its mission to facilitate compliant trade. TTB must pre-approve the label and, in many cases, formula for an alcohol beverage before it can enter domestic commerce. TTB uses automated queries to extract data from its online systems and results are verified by management in the Advertising, Labeling, and Formulation Division. All performance data are subject to annual internal audit.

**Data Accuracy:** Reasonable

**Data Frequency:** Quarterly

**MEASURE: Percentage of Permit Applications Processed within Service Standards**

**Definition:** Measures the percentage of original permit applications and registrations that TTB processes within its established service standards (reviewed annually based on workload and resources and published).

**Indicator Type:** Measure

**Data Capture and Source:** Permits Online; Integrated Revenue Information System (IRIS).

**Data Verification and Validation:** TTB's level of service in timely processing applications is central to its mission to facilitate compliant trade. TTB must qualify and issue a permit to businesses before they can operate in the alcohol or tobacco industries. TTB uses automated queries to extract data from its online systems and tax database and results are verified by the Applications Services chief at the National Revenue Center. All performance data are subject to annual internal audit.

**Data Accuracy:** Reasonable

**Data Frequency:** Quarterly

**STRATEGIC GOAL: 2 - Promote Financial Stability**

**STRATEGIC OBJECTIVE: 2.3 - Foreign Technical Assistance**

**MEASURE: OTA - Program Engagement**

**Definition:** The degree to which a OTA's foreign counterparts are engaging proactively and constructively with OTA advisors, at the working and policy levels. Counterpart engagement is both a key outcome of OTA efforts to structure and execute effective technical assistance projects that support host country ownership as well as the most crucial input to the successful achievement of the intermediate goals and ultimate outcomes described in the project's terms of reference and work plan during the fiscal year – such as passage of law or regulation, an increase in government revenues, an improvement in a government's credit rating, or a reduction in economic crimes.

**Indicator Type:** Measure

**Data Capture and Source:** Generated by the Financial Technical Assistant Advisor who manage the project in the countries were technical assistant project exist.

**Data Verification and Validation:** The data is verified and validated by the five contracting office representatives, the Associate Director of OTA and approved by the Director of OTA.

**Data Accuracy:** Reasonable

**Data Frequency:** Annually

**STRATEGIC OBJECTIVE: 2.4 - Financial Sector Critical Infrastructure and Cybersecurity**

**MEASURE: Percentage of Tier I High Value Assets (HVA) with an overdue Risk and Vulnerability Assessment (RVA) or Security Architecture Review (SAR)**

**Definition:** The percentage of Treasury's top tier high value assets scheduled for a third party risk assessment, but that did not undergo one on time. This is a measure of how often Treasury's most important systems are being actively reviewed and assessed for weaknesses that could be exploited by an adversary.

**Indicator Type:** Measure

**Data Capture and Source:** Number of overdue HVA RVAs / number of scheduled HVA RVAs.

**Data Verification and Validation:** A schedule denoting which HVAs will undergo an RVA will be established each year. If a scheduled system does not undergo an RVA in a given FY, it will be counted as overdue.

**Data Accuracy:** Reasonable

**Data Frequency:** Quarterly

## **STRATEGIC GOAL: 3 - Enhance National Security**

### **STRATEGIC OBJECTIVE: 3.1 - Strategic Threat Disruption**

#### **MEASURE: IA - Timely Review of CFIUS Cases**

**Definition:** Treasury tracks compliance with statutory deadlines for completing national security reviews of transactions notified to CFIUS to ensure that the CFIUS process is timely and efficient.

**Indicator Type:** Measure

**Data Capture and Source:** Manual updates of electronic tracker recording all cases reviewed.

**Data Verification and Validation:** Weekly review by Deputy Assistant Secretary and staff.

**Data Accuracy:** Reasonable

**Data Frequency:** Annually

#### **MEASURE: Impact of TFI Programs and Activities**

**Definition:** This measure is used to assess TFI's impact as an organization through its sanctions, law enforcement, intelligence, regulatory and diplomatic programs to reduce threats to U.S. national security. The Office of Terrorist Financing and Financial Crimes is responsible for the impact of policy making, outreach and diplomacy. The Office of Foreign Assets Control is responsible for the impact of economic sanctions. The Office of Intelligence and Analysis is responsible for the impact of information and analysis used by Department decision makers. The Financial Crimes Enforcement Network is responsible for the impact of activities that create safer and more transparent financial systems.

**Indicator Type:** Measure

**Data Capture and Source:** "An annual survey is conducted by OIA. Performance measure actuals are captured in PRS to determine the rating for FinCEN's performance measures. OFAC and TFFC provide documentation of activities, and use a self assessment rating.

**Data Verification and Validation:** The Office of Strategic Planning and Performance Management validates all final information. TFFC and OFAC provide a self-assessed rating and supporting documentation. OIA uses an internal (within the Department) customer satisfaction survey to achieve it's performance rating. The survey and raw data are provided, and validated at the SECRET level to ensure reliability of the data. The Department reviews/validations, and gives suggestions and recommendations to each office, with a chance to provide additional information.

**Data Accuracy:** Reasonable

**Data Frequency:** Annually

#### **MEASURE: Percent of Financial Regulators Who Find FinCEN's Enforcement and Compliance Efforts Effective**

**Definition:** The new measure captures more of the effects of FinCEN's compliance and enforcement measures by including more questions. In addition, the new measure represents more regulators that may have not answered the single enforcement action question. The new measure will still include the impact of the prior enforcement action question while also incorporating questions that gauge improved cooperation on actions taken against financial institutions, consistency in the application of the BSA, and compliance observed.

**Indicator Type:** Measure

**Data Capture and Source:** Raw data received from the survey vendor is received to calculate the impact of FinCEN's enforcement actions, level of cooperation on actions taken against financial institutions, consistency in the application of the BSA, and improved compliance observed. Responses of a seven or above are counted as effective.

**Data Verification and Validation:** Raw data are received from the survey vendor and results are calculated and verified.

**Data Accuracy:** Reasonable

**Data Frequency:** Annually

#### **MEASURE: Percent of Forfeited Cash Proceeds Resulting from High-Impact Cases**

**Definition:** A high impact case is a case resulting in a cash forfeiture deposit equal to or greater than \$100,000. The performance percentage is calculated by dividing the amount of forfeited cash proceeds from high impact cases, by the total amount of forfeited cash proceeds from all cases.

**Indicator Type:** Measure

**Data Capture and Source:** The Treasury Forfeiture Fund is able to capture this data on a monthly basis and the source of the data is the



Detailed Collection Report (DCR). The Forfeiture Fund receives the DCR from the Customs and Border Protection's (CBP's) National Finance Center.

**Data Verification and Validation:** The source of the data that supports our performance calculation comes from the general ledger of the Treasury Forfeiture Fund which data is audited annually pursuant to our financial statement audit. Therefore, the annual financial statement audit process serves to "verify and validate" the data used to support our performance measure on an annual basis.

**Data Accuracy:** Reasonable

**Data Frequency:** Annually

**MEASURE:** Percentage of Customers Finding that FinCEN's Analytic Products and Advanced Research Positively Affected Investigations, Operations, or Understanding of Threats to the Financial System

**Definition:** This measure examines the survey responses of domestic law enforcement and Foreign FIU customers who have received FinCEN's analysis and products in support of financial crime investigations. Analytic products should assist customers in the detection and deterrence of financial crimes. Survey results help to facilitate refinement of analytic products and ensure that the products are relevant to law enforcement customers. The survey looks at the impact of FinCEN's analysis products, such as whether the product was used to open a new investigation, whether it generated new leads, or whether it provided information previously unknown. This measure is meaningful because valuable analysis contributes to the detection and deterrence of financial crime.

**Indicator Type:** Measure

**Data Capture and Source:** Data are captured via a survey.

**Data Verification and Validation:** Raw data are received from the survey vendor and results are calculated and verified.

**Data Accuracy:** Reasonable

**Data Frequency:** Annually

**MEASURE:** Percentage of National Banks and Federal Savings Associations with Composite CAMELS Rating 1 or 2

**Definition:** Bank regulatory agencies use the Uniform Financial Institutions Rating System, CAMELS, to provide a general framework for assimilating and evaluating all significant financial, operational and compliance factors inherent in a bank or Federal Savings Association. Evaluations are made on: Capital adequacy, Asset quality, Management, Earnings, Liquidity, and Sensitivity to Market Risk. The rating scale is 1 through 5 where 1 is the highest rating granted.

**Indicator Type:** Measure

**Data Capture and Source:** The Supervisory Information office identifies the current composite rating from its supervisory information systems. The percentage is determined by comparing the number of national banks with current composite CAMELS ratings of 1 and 2 to the total number of banks.

The data used is stored in the OCC's Operational Data Store system. The data is captured in the OCC's Supervisory Information Systems-Examiner View (SIS-EV), the application is used to capture all supervisory data related to national banks and federal savings associations. The data is accessed through FINDRS.

**Data Verification and Validation:** Validation continues throughout the life of each supervisory activity, first entered by supervisory staff, then reviewed and approved by the staff's immediate supervisor, and finally approved by the supervisory office.

**Data Accuracy:** Reasonable

**Data Frequency:** Quarterly

**MEASURE:** Percentage of Stakeholders Finding FinCEN's Information Sharing Has Contributed to Their Organization's Responsibilities

**Definition:** This measure examines the survey responses of the FinCEN customers who have had contact with the FinCEN's liaison division to exchange information. This includes industry, regulators, and law enforcement, both domestic and foreign partners. This is a new composite measure that consists of the following questions: Call center guidance response was understandable; rate the usefulness of the 314(a) requests FinCEN processed on behalf of your agency for investigations of financial crimes or money laundering; how satisfied are you with the information sharing you have with FinCEN; and over the past 12 months how satisfied are you with FinCEN. This is a meaningful measure as it tracks FinCEN's efforts to share financial intelligence.

**Indicator Type:** Measure

**Data Capture and Source:** Data are captured via the following: the foreign Financial Intelligence Unit (FIU) survey, the analytic products and services survey, the regulatory resource center service, Regulatory Compliance Memoranda of Understanding (MOU) survey.

**Data Verification and Validation:** Raw data are received from the survey vendor and results are calculated and verified.

**Data Accuracy:** Reasonable

**Data Frequency:** Annually

**MEASURE:** Percentage of Users Finding That the Financial Intelligence Collected by FinCEN Pursuant its Regulations Provides Valuable Information to Safeguard the Financial System, Combat Money Laundering, and Counter Terrorist Financing

**Definition:** This measure examines the survey responses of domestic law enforcement users directly querying the Bank Secrecy Act (BSA) data in support of financial crime investigations. It also includes responses from regulators querying the system for their BSA compliance examinations. FinCEN has over 11,000 external users who rely on BSA data to identify financial crime. The survey looks at the value of BSA data, such as whether the data provided unknown information, supplemented or expanded known information, verified information, helped identify new leads, opened a new investigation or examination, supported an existing investigation or examination, and provided information for an investigative or examination report. This is a meaningful measure as valuable and useful BSA data contribute to the detection and deterrence of financial crime and improve BSA consistency and compliance.

**Indicator Type:** Measure

**Data Capture and Source:** Data are captured via a survey. The vendor survey team developed questionnaires for the customers, with FinCEN input. They conducted e-mail surveys of FinCEN's customers in law enforcement and regulatory agencies accessing BSA information.

**Data Verification and Validation:** Raw data are received from the survey vendor and results are calculated and verified.

**Data Accuracy:** Reasonable

**Data Frequency:** Annually

#### **MEASURE: Percentage of Users Satisfied with FinCEN Information Sharing Systems**

**Definition:** This measure is a composite survey measure and represents the users' satisfaction with the technology systems. This measure tracks satisfaction with BSA E-Filing, FinCEN Query, and the Egmont Secure Web questions. Starting with industry, FinCEN collects and maintains BSA reports filed by financial institutions and other filers. In turn, FinCEN provides internal users (including Treasury and TFI), and external law enforcement and regulatory users access to a query system containing 11 years of BSA data; provides internal users with a tool to conduct advanced analysis; and provides foreign FIUs in the Egmont Group with a secure system for exchanging financial intelligence to combat money laundering and terrorist financing. This measure is meaningful because the technology allows authorized persons to more readily access BSA information and better enable them to conduct investigations more efficiently and effectively.

**Indicator Type:** Measure

**Data Capture and Source:** Data are captured via a survey: Foreign FIU survey, the BSA E-filing survey, and the FinCEN portal/query satisfaction survey.

**Data Verification and Validation:** Raw data are received from the survey vendor and results are calculated and verified.

**Data Accuracy:** Reasonable

**Data Frequency:** Annually

### **STRATEGIC GOAL: 4 - Transform Government-wide Financial Stewardship**

#### **STRATEGIC OBJECTIVE: 4.1 - Financial Data Access and Use**

#### **MEASURE: Clean Audit Opinion on TARP Financial Statements (ensure transparency of operations to the public)**

**Definition:** This measure identifies whether OFS receives a clean audit opinion from the GAO on its TARP financial statements.

**Indicator Type:** Measure

**Data Capture and Source:** The OFS Office of the Chief Financial Officer generates the TARP financial statements and will receive and communicate the audit opinion from GAO.

**Data Verification and Validation:** TARP financial statements are subject to an audit conducted by GAO.

**Data Accuracy:** Reasonable

**Data Frequency:** Annually

#### **MEASURE: IA - Monitor Quality and Enhance Effectiveness of International Monetary Fund (IMF) Lending Through Review of IMF Country Programs**

**Definition:** This measure tracks efforts by International Affairs (IA) staff to monitor quality of IMF country programs and ensure the application of appropriately high standards. IA staff endeavors to review each country program and provide a synopsis, analysis, and recommendation for action at least one day before the IMF Board voting date. The measure tracks the percentage of times the staff review is completed in a timely manner (at least one day before Board action) to allow for alterations in language or policy position if deemed necessary.

**Indicator Type:** Measure

**Data Capture and Source:** International Affairs staff tracks and accounts for actions undertaken during the reporting period.

**Data Verification and Validation:** Publicly available accounts of meetings (press, etc.), communiqués issued following multilateral or bilateral meetings.

**Data Accuracy:** Reasonable

**Data Frequency:** Annually

**MEASURE: IA - Monitor Quality and Enhance Effectiveness of MDB Lending Through Review of MDB Grant and Loan Proposals**

**Definition:** Treasury tracks the percentage of multilateral development bank grant and loan proposals it reviews to help ensure that proposed projects will have a measurable development impact, support long-term U.S. objectives, and are consistent with congressional mandates.

**Indicator Type:** Measure

**Data Capture and Source:** Loan Review Database and Weekly Operations Agenda.

**Data Verification and Validation:** Weekly review by Loan Review Staff.

**Data Accuracy:** Reasonable

**Data Frequency:** Annually

**MEASURE: IA - Percentage of MDB Grant and Loan Proposals Containing Satisfactory Frameworks for Results Measurement**

**Definition:** The percentage of grant and loan project proposals that contain a satisfactory framework for measuring project results (such as outcome indicators, quantifiable and time-bound targets, etc.) This information is measured on an annual basis.

**Indicator Type:** Measure

**Data Capture and Source:** MDB monthly operational report, special requests to MDBs for loan and grant approvals, MDB annual reports and U.S. voting positions

**Data Verification and Validation:** Data provided by the MDB is compared with Treasury MDB Office vote history database and internal supporting memoranda.

**Data Accuracy:** Reasonable

**Data Frequency:** Annually

**MEASURE: Number of Completed Audit Products Identifying Waste, Abuse, Mismanagement, Inefficiencies, or Referrals to Investigations Divisions (Units)**

**Definition:** This measures the number of completed audit products that identify waste, abuse, mismanagement, inefficiencies, or referrals to SIGTARP Investigations Divisions in units.

**Indicator Type:** Measure

**Data Capture and Source:** SIGTARP audit reports are sequentially numbered and posted on <http://www.sig tarp.gov/reports.shtml>.

**Data Verification and Validation:** Official audit files support the performance data.

**Data Accuracy:** Reasonable

**Data Frequency:** Quarterly

**MEASURE: Percentage of Cases Accepted for Consideration by Civil or Criminal Authorities Resulting in a Positive Final Outcome**

**Definition:** This measures the percentage of SIGTARP criminal or civil investigations that a federal, state, or local prosecutor has formally accepted to prosecute.

**Indicator Type:** Measure

**Data Capture and Source:** The Data originates from the assigned Case Agent and is stored on the SIGTARP ID Case Management System.

**Data Verification and Validation:** This data is entered into the CMS by the case agent and verified by the case supervisor. At the headquarters level SIGTARP Investigations staff validates the data with other Law Enforcement headquarters contacts as well as through weekly reports by the Investigative Squad's assigned ID Investigative Counsel.

**Data Accuracy:** Reasonable

**Data Frequency:** Annually

**MEASURE: Percentage of Cases Presented to Civil or Criminal Authorities within Eight Months of the Case Being Opened**

**Definition:** This measures the percentage of SIGTARP criminal or civil investigations that a federal, state, or local prosecutor has presented to within eight months of the case being opened.

**Indicator Type:** Measure

**Data Capture and Source:** When an investigator or supervisor assesses the information contained in an allegation of wrongdoing, a number of factors are considered prior to determining what type of case should be opened. For example, if the allegation includes significant supporting documentation or witness testimony showing illegal activity, then a case, or "full" investigation, would be opened immediately. However, if the allegation has only brief details, a "preliminary" investigation can be opened to provide a mechanism to develop further information regarding the allegation. The data originates with the case agent and the official case file. The data used to track this metric comes from the SIGTARP investigations Division (ID) Case Management System.

**Data Verification and Validation:** This measure is calculated in the case management system; the system tracks the dates remaining of cases that have not yet been converted as well as historic case conversion data. A report is run to show cases converted.

**Data Accuracy:** Reasonable

**Data Frequency:** Annually

**MEASURE: Percentage of Cases That are Joint Agency/Task Force Investigations**

**Definition:** This is the overall percentage of cases during the reporting cycle that are joint with other law enforcement agencies.

**Indicator Type:** Measure

**Data Capture and Source:** The Data originates from the assigned Case Agent and is stored on the SIGTARP ID Case Management System.

**Data Verification and Validation:** This data is entered into the CMS by the case agent and verified by the case supervisor. At the headquarters level SIGTARP Investigations staff validates the data with other Law Enforcement headquarters contacts as well as through weekly reports by the Investigative Squad's assigned ID Investigative Counsel.

**Data Accuracy:** Reasonable

**Data Frequency:** Quarterly

**MEASURE: Percentage of Congressional Constituent Correspondence Responses Completed within 10 Business Days of Receipt**

**Definition:** This measure tracks the percentage of congressional correspondence letters sent to OFS that have a response letter completed (drafted, cleared and signed) within 10 business days of receipt.

**Indicator Type:** Measure

**Data Capture and Source:** Correspondence is logged in Main Treasury's TACT system.

OFS staff maintains a subsidiary tracking report in Excel to monitor and calculate the response time.

**Data Verification and Validation:** The OFS team lead confirms all correspondence response times by reviewing TACT-generated and COO response emails to verify dates and lapsed time.

**Data Accuracy:** Reasonable

**Data Frequency:** Quarterly

**MEASURE: Percentage of Customers Satisfied with FinancialStability.gov (Self Selected Respondents) (ensure transparency of operations to the public)**

**Definition:** This measure tracks the percentage of customers that are sufficiently satisfied with the information provided on our website as well as the ease of navigating the site itself.

**Indicator Type:** Measure

**Data Capture and Source:** The survey presents randomly to 60% of the visitors who have viewed at least 2 pages of the web site. Respondents are asked to evaluate a series of questions around the website's content, functionality, look & feel, navigation, transparency, and performance. The results are combined into a single customer satisfaction score.

**Data Verification and Validation:** ForeSee employs random sampling and seeks a response rate in excess of 8% to ensure data validity.

**Data Accuracy:** Reasonable

**Data Frequency:** Quarterly

**MEASURE: Percentage of FOIA Assignments On-Time or Less Than 30-Days Overdue (ensure transparency within the government)**

**Definition:** Number of assigned FOIA cases on time divided by total number of assignments. An assignment is "on time" if it is closed out within 30 days.

**Indicator Type:** Measure

**Data Capture and Source:** The Office of Privacy, Transparency and Records (PTR) receives FOIA requests from the public and assigns them to the appropriate UST office with an assigned due date. The responses are required to be returned to PTR within 30 days.

**Data Verification and Validation:** The OFS Information Disclosure Coordinator (IDC) receives the request from the Office of Privacy, Transparency and Records and assigns it to the appropriate OFS Program Area with the applicable due date. The IDC coordinates with the OFS Program Office on any related records and uploads documents into the goFOIA database; closing out the case on OFS' end for processing by PTR. This process is completed within 30 days.

**Data Accuracy:** Reasonable

**Data Frequency:** Quarterly

**MEASURE: Percentage of Government-Wide Accounting Reports Issued Timely**

**Definition:** All Governmentwide financial data that FMS publishes relating to U.S. Treasury cash-based accounting reports (i.e., the Daily

Treasury Statement, the Monthly Treasury Statement, and the Annual Combined Report) will be on time 100% of the time.

**Indicator Type:** Measure

**Data Capture and Source:** A monthly reporting system is used to track the release dates to the public of all of the various governmentwide statements.

**Data Verification and Validation:** Procedures are in place to validate that the statements are released on time to the public 100% of the time.

**Data Accuracy:** Reasonable

**Data Frequency:** Quarterly

**MEASURE:** Percentage of Governmentwide Accounting Reports Issued Accurately [Includes Daily Treasury Statement-Table 1 and Monthly Treasury Statement-Table 1]

**Definition:** All Governmentwide financial data that FMS publishes relating to U.S. Treasury cash-based accounting reports (i.e., the Daily Treasury Statement, the Monthly Treasury Statement, and the Annual Combined Report) will be 100% accurate.

**Indicator Type:** Measure

**Data Capture and Source:** A monthly tracking system reports on the various published statements and monitors errata as it pertains to this data.

**Data Verification and Validation:** There are no errata in any of the published governmentwide financial information.

**Data Accuracy:** Reasonable

**Data Frequency:** Quarterly

**MEASURE:** Percentage of SIGTARP and GAO Oversight Recommendations Responded to On-Time (ensure transparency of operations to the public)

**Definition:** This measure tracks the percentage of SIGTARP and GAO oversight recommendations that were responded to within the required timeframes.

SIGTARP: 30 days.

GAO: 60 days.

**Indicator Type:** Measure

**Data Capture and Source:** Upon completion of an audit, SIGTARP and GAO have the opportunity to issue recommendations to which OFS provides responses detailing actions, if any, taken by Treasury to remedy the SIGTARP and GAO recommendations.

OFS staff inputs GAO recommendations and OFS responses into Treasury's Joint Management Enterprise System (JAMES). SIGTARP inputs SIGTARP recommendations into JAMES and OFS inputs the associated responses.

**Data Verification and Validation:** The data in the periodic reports are compared to data entered into JAMES. The number of recommendations and their associated statuses are tallied and analyzed by OFS analysts.

**Data Accuracy:** Reasonable

**Data Frequency:** Quarterly

**MEASURE:** Percentage of Statutorily-Mandated Reports Submitted On-Time (ensure transparency of operations to the public)

**Definition:** Timely submission of statutorily and other housing transaction required reports to the Congress:

§105 Report: by the 10th of each month

Transaction Report: 2 business days following a TARP transaction (investment).

Transaction Report: 2 business days following a TARP transaction (housing).

**Indicator Type:** Measure

**Data Capture and Source:** OFS posts all statutorily-mandated and other housing transaction reports submitted to the Congress on FinancialStability.gov.

**Data Verification and Validation:** The submission date for each report is posted alongside each report link on FinancialStability.gov.

**Data Accuracy:** Reasonable

**Data Frequency:** Quarterly

## STRATEGIC OBJECTIVE: 4.2 - Debt Management

### MEASURE: Percent of Auction Results Released Accurately

**Definition:** This measures the elapsed time from the auction close to the public release of the auction results. The annual percentage of auctions meeting the release time target of 2 minutes plus or minus 30 seconds is calculated for the fiscal year.

**Indicator Type:** Measure

**Data Capture and Source:** BPD's automated auction processing systems.

**Data Verification and Validation:** For each auction, analysts verify and validate the system time stamps that record the auction close and auction posting times.

**Data Accuracy:** Reasonable

**Data Frequency:** Quarterly

### MEASURE: Percentage of Auctions Successfully Completed by the Scheduled Close Date %

**Definition:** This indicates that all auctions will be conducted successfully, timely, and without any issues.

**Indicator Type:** Measure

**Data Capture and Source:** (# of auctions successfully completed by the close date / # of auctions scheduled) \* 100.

**Data Verification and Validation:** Use the press releases posted to TD.gov. The "auction announcement" provides the announced auction close date. The "auction results" provide when the auction actually closed. If there is a difference between those two, then we would miss the measure. Validation will be done by having two people calculate the measure. Excluded are instances where the auction close is moved by the Department for policy reasons.

**Data Accuracy:** Reasonable

**Data Frequency:** Quarterly

### MEASURE: Variance Between Estimated and Actual Receipts (Annual Forecast)(%)

**Definition:** Percentage error measures the accuracy of the Benchmark receipt forecasts produced monthly by the Office of Fiscal Projections (OFP). It measures the relative amount of error or bias in receipt forecasts.

**Indicator Type:** Measure

**Data Capture and Source:** OFP within the Office of the Fiscal Assistant Secretary creates estimates of Federal receipts by major categories (e.g., withheld income/FICA taxes, individual/SECA taxes, corporate taxes, customs deposits, estate and gift taxes and excise taxes) as well as by collection mechanisms (e.g., electronic and paper coupons) as a part of an extensive cash flow forecast used to inform Treasury's debt management decisions. OFP is also responsible for forecasting the daily tax receipts in order to manage the federal government's cash flow. Data on daily and monthly estimated and actual federal tax receipts are compiled by the office and used to report on the United States' daily, monthly, and annual cash position.

**Data Verification and Validation:** The percentage error is computed by subtracting the forecast value of tax receipts from the actual (At -Ft), and dividing this error of forecast by the actual value, and then multiplying it by 100.  $PE_t = ((At - Ft)/At) * 100$  At is actual value of receipts at time t, and Ft is forecasted value of receipts at time t. The average percentage error is more general measure that will be used to compare the relative error in the forecasts. This measure adds up all the percentage errors at each point and divides them by the number of time point  $APE = (|PE_t|)/T$  where PE<sub>t</sub> is the percentage error of forecasts in (1) and T is the total number of time point. The absolute value of the average percentage error will be used to measure the magnitude of error or bias in the receipts forecasts.

**Data Accuracy:** Reasonable

**Data Frequency:** Annually

## STRATEGIC OBJECTIVE: 4.3 - Federal Finance Performance

### MEASURE: Amount of Delinquent Debt Collected Through All Available Tools (\$ billions)

**Definition:** This measure provides information on the total amount collected, in billions, through debt collection tools operated by Debt Management Services.

**Indicator Type:** Measure

**Data Capture and Source:** The process of collecting and reporting the debt collection data is performed on a monthly basis. The methodology and the origin of the data are consistent from month to month. The collection data is generated by the program systems (TOP and DMSC) and is reported on a monthly basis. The tools include: tax refund offset, administrative offset, private collection agencies, demand letters, and credit bureau reporting. FMS also collects debt through the State debt program and tax levy.

**Data Verification and Validation:** The data from the program systems is validated against the data contained in the Debt Management Account System (DMAS).

**Data Accuracy:** Reasonable

**Data Frequency:** Quarterly

**MEASURE: Average Cost Per FTE**

**Definition:** Measure the cost of Shared Services Programs for the Treasury customers.

**Indicator Type:** Measure

**Data Capture and Source:** Signed customer interagency agreements; Enacted FTE numbers.

**Data Verification and Validation:** Office of Treasury Franchise Fund Management and Oversight reviews for reasonability each quarter.

**Data Accuracy:** Reasonable

**Data Frequency:** Annually

**MEASURE: Customer Satisfaction with Financial Planning Staff %**

**Definition:** Customer Satisfaction with Financial Planning Staff.

**Indicator Type:** Measure

**Data Capture and Source:** Annual SSP customer survey.

**Data Verification and Validation:** Office of Treasury Franchise Fund Management and Oversight reviews for reasonability annually.

**Data Accuracy:** Reasonable

**Data Frequency:** Annually

**MEASURE: Direct Cost as a Percentage of Award Dollars**

**Definition:** Procurement Services measure comparing direct operational costs to total amount of award dollars obligated.

**Indicator Type:** Measure

**Data Capture and Source:** Trial Balance Detail from Oracle database and awards dollars from PRISM database.

**Data Verification and Validation:** ARC Business Management Branch reviews for reasonability each quarter.

**Data Accuracy:** Reasonable

**Data Frequency:** Quarterly

**MEASURE: Direct Cost per AP Transaction**

**Definition:** Financial Management Services measure comparing all direct accounts payable operational costs to # of accounts payable transactions.

**Indicator Type:** Measure

**Data Capture and Source:** Trial Balance Detail and # of transactions from Oracle database.

**Data Verification and Validation:** ARC Business Management Branch reviews for reasonability each quarter.

**Data Accuracy:** Reasonable

**Data Frequency:** Quarterly

**MEASURE: Direct Cost per FTE in Core HR Services**

**Definition:** Human Resource Services measure comparing direct operational costs to # of unique employees serviced within core HR services (Classification, Staff Acquisition, Processing Operations, and Employee Benefits).

**Indicator Type:** Measure

**Data Capture and Source:** Trial Balance Detail from Oracle database and # of employees from EOR.

**Data Verification and Validation:** ARC Business Management Branch reviews for reasonability each quarter.

**Data Accuracy:** Reasonable

**Data Frequency:** Quarterly

**MEASURE: Direct Cost per System User - Oracle**

**Definition:** Systems measure comparing all Oracle direct operational costs to # of Oracle users.

**Indicator Type:** Measure

**Data Capture and Source:** Trial Balance Detail and # of system users from Oracle database.

**Data Verification and Validation:** ARC Business Management Branch reviews for reasonability each quarter.

**Data Accuracy:** Reasonable

**Data Frequency:** Quarterly

**MEASURE:** Direct Cost per Travel Voucher

**Definition:** Travel Services measure comparing direct operational costs of E-Gov travel services to # travel drivers within same service.

**Indicator Type:** Measure

**Data Capture and Source:** Trial Balance Detail and # of travel transactions from Oracle database.

**Data Verification and Validation:** ARC Business Management Branch reviews for reasonability each quarter.

**Data Accuracy:** Reasonable

**Data Frequency:** Quarterly

**MEASURE:** HR Connect Customer Satisfaction %

**Definition:** Using a five point scale with 1 being 'Completely dissatisfied' and 5 being 'Completely satisfied', please report the percentage of respondents who indicated that they were either 'Somewhat satisfied' or 'Completely satisfied'.

**Indicator Type:** Measure

**Data Capture and Source:** Annual HR Connect User Satisfaction survey administered in Survey Gizmo.

**Data Verification and Validation:** Office of Treasury Franchise Fund Management and Oversight works with the Enterprise Business Solutions Program to review annually for reasonability.

**Data Accuracy:** Reasonable

**Data Frequency:** Annually

**MEASURE:** Indirect Cost Admin Services %

**Definition:** Indirect costs are defined as administrative costs not directly associated with providing our services. The measure will represent the percentage of this type of expense compared to all expenses incurred for the Administrative Services business line.

**Indicator Type:** Measure

**Data Capture and Source:** Trial Balance Detail from Oracle database.

**Data Verification and Validation:** ARC Business Management Branch reviews for reasonability each quarter.

**Data Accuracy:** Reasonable

**Data Frequency:** Quarterly

**MEASURE:** Unqualified Audit Opinions %

**Definition:** Financial Management measure of percentage of audit opinions for items under ARC control and responsibility.

**Indicator Type:** Measure

**Data Capture and Source:** From Financial Management staff reporting metrics using internal tracking log.

**Data Verification and Validation:** ARC Business Management Branch reviews for reasonability each quarter.

**Data Accuracy:** Reasonable

**Data Frequency:** Annually

**STRATEGIC GOAL:** 5 - Achieve Operational Excellence

**STRATEGIC OBJECTIVE:** 5.1 - Workforce Management

**MEASURE:** Best Places to Work in Federal Government Ranking

**Definition:** Purpose: To provide a measure of the success of BEP management's efforts to improve employee morale and engagement.

**Indicator Type:** Indicator

**Data Capture and Source:** OPM collects information from Federal employees via the Employee Viewpoint Survey; OPM then notifies the Bureau of Engraving and Printing of its annual ranking.

**Data Verification and Validation:** BEP reviews the information from OPM.

**Data Accuracy:** Reasonable



**Data Frequency:** Annually

**MEASURE:** Treasury-wide Engagement Index of the FEVS

**Definition:** The FEVS Engagement Index concentrates on factors that lead to an engaged workforce. OMB M-15-04, dated December 23, 2014, sets a top-line goal for federal agencies to achieve 67 percent rating in the Engagement Index on the 2016 survey.

Engagement is made up of Leaders Lead, Supervisors, and Intrinsic Work Experiences indices.

**Indicator Type:** Measure

**Data Capture and Source:** Treasury employees provide responses to the Federal Employee Viewpoint Survey (FEVS) questions; source FEVS.

**Data Verification and Validation:** The Office of Personnel Management (OPM) verifies and validates the employee responses to FEVS questions.

**Data Accuracy:** Reasonable

**Data Frequency:** Annually

**MEASURE:** Treasury-wide Leaders Lead Index of the Federal Employee Viewpoint Survey (FEVS)

**Definition:** Employees' perceptions of leadership's integrity as well as leadership behaviors such as communication and workforce motivation (Q. 53, 54, 56, 60, and 61).

**Indicator Type:** Measure

**Data Capture and Source:** Treasury employees provide responses to the Federal Employee Viewpoint Survey (FEVS) questions; source FEVS.

**Data Verification and Validation:** The Office of Personnel Management (OPM) verifies and validates the employee responses to FEVS questions.

**Data Accuracy:** Reasonable

**Data Frequency:** Annually

**STRATEGIC OBJECTIVE:** 5.2 - Treasury Infrastructure

**MEASURE:** Fiscal IT Hosting - Percentage of Time Service is Operational (Up Time Excluding Planned Maint.)

**Definition:** Measurement of System Performance on non-scheduled outages.

**Indicator Type:** Measure

**Data Capture and Source:** Sitescope metrics - Alex.

**Data Verification and Validation:** This measure is calculated using data from the SiteScope monitoring tool. The tool is constantly monitoring the infrastructure, and collects real time data for critical programs and systems: Wholesale Securities Services (Auctions); Government Agency Investment Services; Retail Securities Services; Franchising; and IT Infrastructure. These data points are averaged to determine overall uptime. The process is repeatable, and the Sitescope data is stored and backed up for future review.

**Data Accuracy:** Reasonable

**Data Frequency:** Quarterly

**MEASURE:** Lost Time Accident Rate per 100 Employees

**Definition:** Purpose: To improve employee safety and minimize unnecessary safety-related costs.

**Indicator Type:** Measure

**Data Capture and Source:** Data is collected from collecting lost time hours from NFC payroll reports as well as information from Human Resources; rate per 100 employees.

**Data Verification and Validation:** Subject matter experts from the Office of Environmental Health and Safety will collect and verify information.

**Data Accuracy:** Reasonable

**Data Frequency:** Annually

**MEASURE:** Number of Major Incidents

**Definition:** The number of major incidents, as defined in OMB M-18-02, reported by Treasury to Congress in a given fiscal year. This is a measure of how effective Treasury's collective defenses are in mitigating the most damaging security threats as well as an indicator of the threat environment facing the Department.

**Indicator Type:** Indicator

**Data Capture and Source:** Any cybersecurity incident reported to Congress in accordance with OMB M-18-02 will be included in this metric.

**Data Verification and Validation:** Any cybersecurity incident reported to Congress in accordance with OMB M-18-02 will be included in this metric.

**Data Accuracy:** Reasonable

**Data Frequency:** Quarterly

#### **MEASURE: Number of Reported Incidents**

**Definition:** The number of cybersecurity incidents reported by Treasury to US-CERT in a given fiscal year. This is a measure of how effective Treasury's defenses are at mitigating all security threats, as well as an indicator of how often Treasury is being targeted by malicious actors.

**Indicator Type:** Indicator

**Data Capture and Source:** The total number of incidents reported to US-CERT by Treasury.

**Data Verification and Validation:** Incidents are reported by bureaus through a central reporting portal maintained by the GSOC, and then onto US-CERT. A total of incidents is captured through this portal.

**Data Accuracy:** Reasonable

**Data Frequency:** Quarterly

#### **MEASURE: Percent of Major IT Investments within +/-10% Cost Variance at the Investment Level**

**Definition:** Number of major IT investments within +/-10 percent variance between planned total cost and projected/actual cost within a fiscal year divided by the total number of major IT investments in that fiscal year. Cost variances less than or equal to +/- 10% are categorized as being within acceptable tolerance thresholds. Cost variances greater than +/- 10% of the variance are categorized as being outside of acceptable thresholds.

**Indicator Type:** Measure

**Data Capture and Source:** The Treasury SharePoint Information Knowledge Exchange (SPIKE) system reports Major IT Business Case Detail performance data.

**Data Verification and Validation:** The baseline data will be reviewed/ validated by the Program Performance Management (PPM) Team and Manager. To indicate the baseline is valid and approved, the manager will send a notification that the data (Excel spreadsheets) may be placed in the PPM shared library. Before the measure is reported, the PPM Team and Manager will review/ validate the report. The PPM Manager will provide the monthly report to the Deputy Associate CIO for Business Integration for approval. Concurrence will be obtained from the Associate CIO for BSM. To indicate the report is validated and approved, the manager will send a notification to store the report in the PPM shared library and report on Improvement Measure externally.

**Data Accuracy:** Reasonable

**Data Frequency:** Annually

#### **MEASURE: Percent of Major IT Investments within +/-10% Schedule Variance at the Investment Level**

**Definition:** Number of major IT investments within +/-10 percent variance between planned days and projected/actual days within a fiscal year divided by the total number of major IT investments in that fiscal year. Schedule variances less than or equal to +/- 10% will be categorized as being within acceptable tolerance thresholds. If schedule variances are greater than +/- 10%, the variance will be categorized as being outside of acceptable thresholds.

**Indicator Type:** Measure

**Data Capture and Source:** The Treasury SharePoint Information Knowledge Exchange (SPIKE) system reports Major IT Business Case Detail performance data.

**Data Verification and Validation:** The baseline data will be reviewed/ validated by the Program Performance Management (PPM) Team and Manager. To indicate the baseline is valid and approved, the manager will send a notification that the data (Excel spreadsheets) may be placed in the PPM shared library. Before the measure is reported, the PPM Team and Manager will review/ validate the report. The PPM Manager will provide the monthly report to the Deputy Associate CIO for Business Integration for approval. Concurrence will be obtained from the Associate CIO for BSM. To indicate the report is validated and approved, the manager will send a notification to store the report in the PPM shared library and report on Improvement Measure externally.

**Data Accuracy:** Reasonable

**Data Frequency:** Annually

#### **MEASURE: Percentage of POA&Ms Scheduled for Closure in Last 30 Days - Closed Early or On Time**

**Definition:** Number of Plan of Action and Milestones (POA&Ms) completed on time over total number of POA&Ms that were due during the month X 100 = Percentage of POA&Ms scheduled for closure in last reporting period- closed early or on time [%].

**Indicator Type:** Measure

**Data Capture and Source:** AMS & Manual Tracking.

**Data Verification and Validation:** Fiscal Service uses the Treasury FISMA Inventory Management System (TFIMS) to enter and track

POA&Ms. Data to support the Percentage of POA&Ms scheduled for closure in last 30 days - closed early or on time [%] is pulled from TFIMS.

**Data Accuracy:** Reasonable

**Data Frequency:** Quarterly

**MEASURE:** Percentage of Tier I High Value Assets (HVA) with an overdue Risk and Vulnerability Assessment (RVA) or Security

Architecture Review (SAR)

**Definition:** The percentage of Treasury's top tier high value assets scheduled for a third party risk assessment, but that did not undergo one on time. This is a measure of how often Treasury's most important systems are being actively reviewed and assessed for weaknesses that could be exploited by an adversary.

**Indicator Type:** Measure

**Data Capture and Source:** Number of overdue HVA RVAs / number of scheduled HVA RVAs.

**Data Verification and Validation:** A schedule denoting which HVAs will undergo an RVA will be established each year. If a scheduled system does not undergo an RVA in a given FY, it will be counted as overdue.

**Data Accuracy:** Reasonable

**Data Frequency:** Quarterly

**MEASURE:** Risk Management Assessment Overall Rating

**Definition:** This is an assessment performed by OMB to evaluate agencies' overall cybersecurity risk management capabilities. It consists of a risk management rating and a maturity rating. This is a measure of how well Treasury is managing risk across the enterprise as well as the maturity level of the program.

**Indicator Type:** Measure

**Data Capture and Source:** The rating is determined by OMB.

**Data Verification and Validation:** The Risk Management Assessment Overall Rating is determined by OMB based on the Inspector General (IG) Federal Information Security Modernization Act (FISMA) audit report and quarterly self-assessments from the CIO's office.

**Data Accuracy:** Reasonable

**Data Frequency:** Annually

**MEASURE:** Safety Incident Recordable Rate

**Definition:** Safety incident recordable rate measures the occurrence of work-related incidents involving death, lost time and restricted work, loss of consciousness, and medical treatment. This definition follows Part 1904 of Title 29, Code of Federal Register (29 CFR 1904).

**Indicator Type:** Measure

**Data Capture and Source:** The data is captured in the Safety and Health Information Management System (SHIMS). SHIMS is used to record, track, and manage safety incidents and workers' compensation claims.

**Data Verification and Validation:** Results and data are captured and verified by Unites States Mint analysts.

**Data Accuracy:** Reasonable

**Data Frequency:** Quarterly

**STRATEGIC OBJECTIVE:** 5.3 - Customer Value

**MEASURE:** ALL - Award Cycle Time (Months)

**Definition:** Cycle time from the date when applications are received to the date of award announcement (in months). Cycle time is calculated as a weighted average across all CDFI Fund programs, weighted by the number of awards per program in each round. A value that is less than or equal to the target is required to meet the target.

**Indicator Type:** Measure

**Data Capture and Source:** Application intake dates and award announcement dates posted.

**Data Verification and Validation:** Verification is derived from administrative data on dates of receipt of applications and date of award announcements.

**Data Accuracy:** Reasonable

**Data Frequency:** Annually

**MEASURE: All - Time to Initial Disbursement (# Months)**

**Definition:** Number of months from the date when applications are received to the date of award announcement. Months is calculated as a weighted average across all CDFI Fund programs, weighted by the number of awards per program in each round.

**Indicator Type:** Measure

**Data Capture and Source:** Data on date of award announcements and date of initial disbursement are captured through the Awards Management and Information System managed by the CDFI Fund.

**Data Verification and Validation:** Verification is derived from administrative data on date of award announcements and date of initial disbursement.

**Data Accuracy:** Reasonable

**Data Frequency:** Annually

**MEASURE: Amount of Revenue Collected Per Program Dollar**

**Definition:** Represents the amount of federal excise taxes collected divided by the amount of resources expended to collect the taxes.

**Indicator Type:** Measure

**Data Capture and Source:** Taxes collected are captured by the Federal Excise Tax (FET) database; expense data are maintained in Oracle Financials.

**Data Verification and Validation:** Both of these components represent information that is subject to annual audits and routine reconciliation.

**Data Accuracy:** Reasonable

**Data Frequency:** Annually

**MEASURE: Annual Effective Spend Rate (CTAS)**

**Definition:** This measures the obligation rate for CTAS programs, excluding funds that are collected for reserve programs.

**Indicator Type:** Measure

**Data Capture and Source:** The total approved CTAS budget is divided by the total CTAS obligations. Any reserve collections or obligations are excluded.

**Data Verification and Validation:** The denominator for this calculation is the CTAS approved budget from signed IAA's. This denominator excludes any collection for reserve funds. The numerator for this calculation is the CTAS obligations, as determined by Oracle after year-end close. This numerator excludes any spending out of a reserve fund.

**Data Accuracy:** Reasonable

**Data Frequency:** Annually

**MEASURE: Annual Effective Spend Rate (SSP)**

**Definition:** This measures the obligation rate for CTAS programs, excluding funds that are collected for reserve programs.

**Indicator Type:** Measure

**Data Capture and Source:** Signed customer interagency agreements; Trial balance detail from Oracle database.

**Data Verification and Validation:** Office of Treasury Franchise Fund Management and Oversight reviews for reasonability each quarter.

**Data Accuracy:** Reasonable

**Data Frequency:** Annually

**MEASURE: Average Cost Per FTE**

**Definition:** Measure the cost of Shared Services Programs for the Treasury customers.

**Indicator Type:** Measure

**Data Capture and Source:** Signed customer interagency agreements; Enacted FTE numbers.

**Data Verification and Validation:** Office of Treasury Franchise Fund Management and Oversight reviews for reasonability each quarter.

**Data Accuracy:** Reasonable

**Data Frequency:** Annually

**MEASURE: Cost Per Customer Assisted Retail Transaction (\$)**

**Definition:** Measures the unit cost of a customer assisted transaction for current Retail securities.

**Indicator Type:** Measure

**Data Capture and Source:** (1) Costs are provided from Fiscal Service's cost accounting system.

(2) Volumes are collected from the retail customer relationship management system and from financial agent reports.

**Data Verification and Validation:** Measure = FY Cost / FY Volume

(1) Cost – direct and indirect costs for customer service of current securities offerings.

(2) Volume – customer service records for current securities offering.

**Data Accuracy:** Reasonable

**Data Frequency:** Quarterly

**MEASURE: Cost Per Electronic Retail Transaction (\$)**

**Definition:** Measures the unit cost of an electronic transaction for current Retail securities.

**Indicator Type:** Measure

**Data Capture and Source:** (1) Costs are provided from Fiscal Service's cost accounting system.

(2) Volumes are collected from the financial agent and Fiscal Service's system through which customers purchase and manage electronic securities.

**Data Verification and Validation:** Measure = FY Cost / FY Volume

(1) Cost – direct and indirect costs for current securities offerings.

(2) Volume – electronic transactions of current securities offerings, including: account openings, sales, redemptions & maturities, interest payments, account updates, savings bond conversions to current securities, internal & external transfers, and gifts.

**Data Accuracy:** Reasonable

**Data Frequency:** Quarterly

**MEASURE: Currency Notes Delivered Returned Due to Defects (Parts per Million)**

**Definition:** Measured to incentivize continuous product quality improvement and reduce defect-driven returns of currency notes by the Federal Reserve back to BEP.

**Indicator Type:** Measure

**Data Capture and Source:** When BEP's Office of Security receives defective notes back from the Federal Reserve Banks, the notes are recorded and turned over to Office of Quality to investigate cause, determine date of issuance and possible remedy.

**Data Verification and Validation:** BEP's Office of Security collects and tracks the number of notes by denomination returned from the Federal Reserve Banks.

**Data Accuracy:** Reasonable

**Data Frequency:** Annually

**MEASURE: ECM/Web Solutions Response Time to Resolve ECM and Web Solutions Non-Critical Issues/Help Desk Tickets within 10-15 Business Days**

**Definition:** Response time to resolve Enterprise Content Management and Web Solutions non critical issues/helpdesk tickets within 10-15 business days.

**Indicator Type:** Measure

**Data Capture and Source:** Web Solutions/ECM Webtrack ticketing system.

**Data Verification and Validation:** Office of Treasury Franchise Fund Management and Oversight works with the Enterprise Business Solutions Program to review each quarter for reasonability.

**Data Accuracy:** Reasonable

**Data Frequency:** Annually

**MEASURE: First Call Resolution - Oracle %**

**Definition:** Systems measure of first call resolution in 60 minutes of call-related tickets (not emails) about Oracle concerns.

**Indicator Type:** Measure

**Data Capture and Source:** From HPSM ticket system.

**Data Verification and Validation:** ARC Business Management Branch reviews for reasonability each quarter.

**Data Accuracy:** Reasonable

**Data Frequency:** Quarterly

**MEASURE: Hiring Timeliness %**

**Definition:** Human Resource Services measure of percentage completed of ARC portion of the 80 day OPM hiring process within 23 calendar days.

**Indicator Type:** Measure

**Data Capture and Source:** From Human Resource Services staff reporting metrics using internal tracking log.

**Data Verification and Validation:** ARC Business Management Branch reviews for reasonability each quarter.

**Data Accuracy:** Reasonable

**Data Frequency:** Quarterly

**MEASURE: HR Connect Employee Update Files-Transmission of Employee Update Files Made to the Specified External Benefit Provider**

Within Established Timeframes

**Definition:** Number of outbound interface files delivered and/or made available to other SSCs that do not require resubmission due to SSC errors out of the total number of outbound interface files sent to other SSCs.

**Indicator Type:** Measure

**Data Capture and Source:** Interface Inbound/Outbound Commitment Performance Report through HR Connect.

**Data Verification and Validation:** Office of Treasury Franchise Fund Management and Oversight works with the Enterprise Business Solutions Program to review each quarter for reasonability.

**Data Accuracy:** Reasonable

**Data Frequency:** Annually

**MEASURE: HR Connect Number of Tickets Escalated to Tier 3**

**Definition:** Number of Helpdesk Tickets escalated to Tier 3 Helpdesk in one quarter out of the total number of overall Helpdesk tickets opened in one quarter.

**Indicator Type:** Measure

**Data Capture and Source:** Sharepoint and Excel are used to identify the tickets escalated to the development team (Tier 3).

**Data Verification and Validation:** Office of Treasury Franchise Fund Management and Oversight works with the Enterprise Business Solutions Program to review each quarter for reasonability.

**Data Accuracy:** Reasonable

**Data Frequency:** Quarterly

**MEASURE: Manufacturing Costs For Currency (Dollar Costs Per Thousand Notes Produced)**

**Definition:** An indicator of currency manufacturing efficiency and effectiveness of program management. This standard is developed annually based on the past year's performance, contracted price factors, and anticipated productivity improvements. Actual performance comparison against the standard depends on BEP's ability to meet annual spoilage, efficiency, and capacity utilization goals established for this product line.

**Indicator Type:** Measure

**Data Capture and Source:** Cost data is collected through BEP's accrual-based cost accounting system.

**Data Verification and Validation:** BEP's accrual-based cost accounting system is audited annually as part of the financial statement audit.

**Data Accuracy:** Reasonable

**Data Frequency:** Quarterly

**MEASURE: Number of Completed Audit Products**

**Definition:** Audits, attestation engagements, and evaluations: (1)promote economy, efficiency, and effectiveness of Treasury programs and operations; (2)prevent and detect fraud, waste, and abuse in those programs and operations; (3)keep the Secretary and the Congress fully informed; and (4)help the Federal government to be accountable to the public.

**Indicator Type:** Measure

**Data Capture and Source:** OIG audits, attestation engagements, and evaluations result in sequentially numbered written products.

**Data Verification and Validation:** Official audit files support the performance data.

**Data Accuracy:** Reasonable

**Data Frequency:** Quarterly

**MEASURE: Number of Engagements in Strategic Sourcing or "Service Provider" or Other Shared Services Opportunity**

**Definition:** Individual Security Assessment & Accreditation (SA&A). A strategic sourcing engagement is defined as a new customer, performing completely new work for an existing customer, or a contract that can be used outside of Fiscal Service.

**Indicator Type:** Measure

**Data Capture and Source:** Fiscal FISMA Inventory External SA&As Completed.

**Data Verification and Validation:** Additional customer engagements are documented by Interagency agreements, and Strategic Sourcing Contracts are documented through procurement documents that are signed and recorded in the PRISM system.

**Data Accuracy:** Reasonable

**Data Frequency:** Annually

**MEASURE: Percent of Currency Notes Delivered Returned Due to Defects**

**Definition:** Purpose: To incentivize continuous product quality improvement and reduce defect-driven returns of currency notes by the Federal Reserve back to BEP.

**Indicator Type:** Measure

**Data Capture and Source:** When BEP's Office of Security receives defective notes back from the Federal Reserve Banks, the notes are recorded and turned over to Office of Quality to investigate cause, determine date of issuance and possible remedy.

**Data Verification and Validation:** BEP's Office of Security collects and tracks the number of notes by denomination returned from the Federal Reserve Banks.

**Data Accuracy:** Reasonable

**Data Frequency:** Annually

**MEASURE: Percent of Procurement Dollars Spent on Small Business**

**Definition:** This goal measures the percentage of procurement dollars obligated toward small businesses (or Treasury's overall small business goal) and highlights Treasury's efforts to ensure that small businesses have the maximum practicable opportunity to provide goods and services to the federal government.

**Indicator Type:** Measure

**Data Capture and Source:** Federal Procurement Data System-Next Generation.

**Data Verification and Validation:** Treasury Office of Small and Disadvantaged Business Utilization reviews for reasonability each week.

**Data Accuracy:** Reasonable

**Data Frequency:** Annually

**MEASURE: Percent of Statutory Audits Completed by the Required Date**

**Definition:** Legislation mandating certain audit work generally prescribes, or authorizes OMB to prescribe, the required completion date for recurring audits and evaluations, such as those for annual audited financial statements. For other types of mandated audit work, such as a Material Loss Review (MLR) of a failed financial institution, the legislation generally prescribes a timeframe to issue a report (6 months for an MLR, as an example) from the date of an event that triggers the audit.

**Indicator Type:** Measure

**Data Capture and Source:** The date OIG issues an audit, attestation engagement, or evaluation report is printed on the cover. The required dates may vary each year and are specified in different legislation.

**Data Verification and Validation:** Official audit files and the dates on the reports themselves support the performance data.

**Data Accuracy:** Reasonable

**Data Frequency:** Quarterly

**MEASURE: Percentage (%) of All Cases Closed During Fiscal Year that were Referred for Criminal/Civil Prosecution or Treasury Administrative Action**

**Definition:** In order to protect the integrity and efficiency of Treasury programs it is important that findings of criminal or civil misconduct be referred to the Justice Department, state and/or local governments for prosecution and litigation in a timely manner. Criminal and civil convictions have a greater impact and carry a greater deterrent effect when they are prosecuted expeditiously. Some investigations will

identify violations of the Ethical Standards of conduct, Federal Acquisition Regulations, or other administrative standards, which do not rise to the level of criminal or civil prosecution. In these cases it is important that OIG findings are reported to the bureau or office in a timely manner to allow them to take administrative action against the individuals engaging in misconduct.

**Indicator Type:** Measure

**Data Capture and Source:** This data will be retrieved from the Investigations case management system.

**Data Verification and Validation:** All case files will be reviewed to ensure that the case data is correct and supported by documentation.

**Data Accuracy:** Reasonable

**Data Frequency:** Quarterly

#### **MEASURE: Percentage of Audit Products Delivered When Promised to Stakeholders**

**Definition:** This measure tracks the percentage of TIGTA's audit products that are delivered on or before the contract date that TIGTA has committed to. It is critical that TIGTA's work be done in time to support Internal Revenue Service (IRS) and Congressional decision making. The likelihood that our products will be used is enhanced if they are delivered on time.

**Indicator Type:** Measure

**Data Capture and Source:** Information regarding contract dates and actual delivery dates for audits is maintained on the Team Central Management Information System (TCMIS). TIGTA's Management Information System (MIS) coordinators in the Office of Audit's Operating/Business Units monitor overall data accuracy and maintain secure controls over key milestone and contract data entries.

**Data Verification and Validation:** Summary data used for purposes of reporting on this measure are extracted from the Office of Audit's Team Central Management Information System (TCMIS) and analyzed and summarized by personnel in TIGTA-OA's Office of Management and Policy. A qualified staff member independent of the process validates the statistics.

TCMIS data are reviewed and validated monthly by MIS coordinators, Audit Managers and Directors.

**Data Accuracy:** Reasonable

**Data Frequency:** Quarterly

#### **MEASURE: Percentage of Licensing Applications and Notices Completed within Established Timeframes**

**Definition:** This measure reflects the extent to which OCC meets its established timeframes for reaching decisions on licensing applications and notices. The OCC's timely and effective approval of corporate applications and notices contributes to the nation's economy by enabling national banks and federal savings associations to engage in corporate transactions and introduce new financial products and services.

**Indicator Type:** Measure

**Data Capture and Source:** The Chief Counsel's office uses the Corporate Activity Information System (CAIS) and the National Applications Tracking System (NATS) to identify applications completed during the fiscal year. For each filing, the actual decision date is compared to the target action date to determine whether the application was completed within established standards. The percentage is determined by comparing the number of licensing applications processed within the required timeframes to the total number of licensing applications processed during the fiscal year. The processing time is the number of calendar days from the date of OCC receipt to the date of OCC's decision. The established processing timeframe depends on the application type and if the application qualifies for expedited processing.

**Data Verification and Validation:** The Licensing Department tracks processing of all applications and notices through the Corporate Activity Information System (CAIS) and the National Applications Tracking System (NATS). The analyst who is assigned the application will verify the accuracy of the CAIS/NATS data as the application is processed. The senior analyst or manager who approves the final decision also verifies the accuracy of the CAIS/NATS data.

**Data Accuracy:** Reasonable

**Data Frequency:** Quarterly

#### **MEASURE: Percentage of Recommendations Made That Have Been Implemented**

**Definition:** The Office of Audit (OA) makes recommendations designed to improve administration of the Federal tax system. The Internal Revenue Service (IRS) must implement these recommendations in order for TIGTA's work to produce financial or non-financial benefits. This measure assesses TIGTA's effect on improving the IRS's accountability, operations, and services. Because the IRS may need more than one year to fully implement some of our recommendations, TIGTA identifies the percentage of recommendations made four years ago that have since been implemented by the IRS. This timeframe is used because four years is the point at which TIGTA-OA believes that if a recommendation has not been implemented, it is not likely to be. For example, the FY 2017 actual percentage is the percentage of recommendations made in FY 2013 that the IRS has implemented.

**Indicator Type:** Measure

**Data Capture and Source:** The IRS records recommendations in the Department's Joint Audit Management Enterprise System (JAMES) as they are issued. Summary data regarding the status of the IRS's corrective actions taken in response to TIGTA's recommendations are provided to the Office of Audit via JAMES reports. TIGTA-OA's Office of Management and Policy monitors implementation of recommendations as the IRS submits updated information to the JAMES.

**Data Verification and Validation:** Through a formal process, each audit team identifies the number of recommendations included in each report and the IRS enters the findings and corresponding recommendations into the Department of the Treasury's Joint Audit Management Enterprise System (JAMES). The database is updated frequently. TIGTA-OA's Office of Management and Policy receives summary data and monitors the data regularly to make sure the recommendations reported as implemented have been accurately recorded, as well as to



accumulate data in regard to progress in meeting this measure. A qualified staff member independent of the process validates the progress related statistics.

**Data Accuracy:** Reasonable

**Data Frequency:** Quarterly

#### **MEASURE: Percentage of Results From Investigative Activities**

**Definition:** The Office of Investigations (OI) accomplishes its strategic mission objectives with performance measures, defined as the percentage of results from investigative activities which most accurately align with the mission of the organization, and which provide the greatest impact on the protection of the integrity of Federal tax administration. TIGTA's investigations are based on a performance model that focuses on OI's three primary areas of investigative responsibility: employee integrity; employee and infrastructure security; and external attempts to corrupt Federal tax administration. OI's strategic plan is designed to adapt to the IRS's constantly evolving operations and to mitigate intensified risks associated with responses to threats and attacks directed against IRS employees and infrastructure, and to protect the integrity of IRS operations by detection and deterrence of waste, fraud, abuse, or misconduct.

**Indicator Type:** Measure

**Data Capture and Source:** The total number of investigative cases closed along with the total number of completed Criminal, Civil and Administrative Actions is extracted from the Performance and Results Information System (PARIS). PARIS is a management information system that, among other things, provides TIGTA with the ability to manage and account for the thousands of complaints received, investigations initiated, and leads developed from local and national investigative initiatives. It consists of three major elements: the Complaints Screen, the Investigations Screen, and the Leads Screen. PARIS data is housed in an SQL database monitored by information technology staff in Atlanta, Georgia. With the exception of OI staff that perform routine duties, access to data is limited to the OI Performance Team to process performance and production reports, ensure PARIS input accuracy, and identify statistical trends.

**Data Verification and Validation:** Reports of Investigation and PARIS are reviewed for consistency by Special Agents in Charge prior to closing the investigation. Additionally, independent reviews are conducted periodically of each field office where a sample of closed investigations are quality reviewed by the Operations Division Inspection Team to ensure accuracy of the PARIS data. Periodic tests of PARIS data are also conducted to ensure accuracy.

**Data Accuracy:** Reasonable

**Data Frequency:** Quarterly

#### **MEASURE: Percentage of Total Federal Government Receipts Settled Electronically (in dollars)**

**Definition:** Electronic collections data are retrieved from the CA\$H-LINK system, which encompasses eight collection systems.

**Indicator Type:** Measure

**Data Capture and Source:** This measure considers the percentage of government collections that are collected by electronic mechanisms (Electronic Federal Tax Payment System, Plastic Card, FEDWIRE Deposit System, Automated Clearinghouse (ACH)) compared to total government collections. The system receives deposit and accounting information from local depositories and provides detailed accounting information to STAR, FMS' central accounting and reporting system.

**Data Verification and Validation:** The agencies that report collections are responsible for ensuring the deposit reports are correct. Financial institutions and Federal agencies report deposits into the CA\$H-LINK deposit reporting system using an Account Key which identifies the collection mechanism (lockbox, which is non-electronic or ACH, electronic) through which the collection was made. FMS analysts gather deposit information from CA\$H-LINK reports and then report totals and percentages on a monthly Collections Summary Report and on the Total Government Collections Report. The Total Government Collections Report totals all deposits divided into electronic/non-electronic mechanisms and tax and non-tax totals within the mechanisms.

**Data Accuracy:** Reasonable

**Data Frequency:** Quarterly

#### **MEASURE: Percentage of Treasury Payments Made Electronically**

**Definition:** The portion of the total volume of payments that is made electronically by FMS. Electronic payments include transfers through the automated clearinghouse and wire transfer payments through the FEDWIRE system.

**Indicator Type:** Measure

**Data Capture and Source:** The volume of payments is tracked through FMS' Production Reporting System. The amount and number of payments are also maintained under accounting control.

**Data Verification and Validation:** Accounting controls provide verification that the number of payments, both checks and EFT, is accurately tracked and reported. The number of inquires made against Federal check payments, whether disbursed by FMS or by other agencies, is separately tracked and reported. Additionally, payment files are balanced with payment authorizations that are electronically certified and submitted to FMS by Federal program agencies. The Federal Reserve Banks also validate the payment files.

**Data Accuracy:** Reasonable

**Data Frequency:** Quarterly

**MEASURE: Rentable Square Feet Per Person**

**Definition:** The amount of Rentable Square Feet the IRS maintains per Personnel requiring space.

**Indicator Type:** Indicator

**Data Capture and Source:** Data is from GDI – RSF data, personnel count. Data Limitations: RSF – IRS uses the GSA square footage based on the rent bill. If not billed for a particular month it may affect the totals for a particular location.

**Data Verification and Validation:** Measures Owners review measure results and work with the measures team on the analysis.

Associate Directors – Review, validate and approve the measures results and subsequent analysis.

FMSS Chief – Review and approve the measure results and analysis. Provide directions for further analysis.

**Data Accuracy:** Reasonable

**Data Frequency:** Quarterly

**MEASURE: Seigniorage per Dollar Issued (\$)**

**Definition:** Seigniorage per total face value of circulated coinage shipped to Federal Reserve Banks.

**Indicator Type:** Measure

**Data Capture and Source:** The data is captured in Oracle Financials system and reported through Oracle's Discoverer Reporting system.

**Data Verification and Validation:** External auditors perform routine audits of financial statements. Seigniorage and the total value of circulating coinage shipped to the Federal Reserve Banks are included in the financial statements.

**Data Accuracy:** Reasonable

**Data Frequency:** Quarterly

**MEASURE: Timely Contract Issuance**

**Definition:** Procurement Services measure of percentage of all contract types completed within their designated business days as labeled on service.

**Indicator Type:** Measure

**Data Capture and Source:** From Procurement Services staff reporting metrics using internal tracking log.

**Data Verification and Validation:** ARC Business Management Branch reviews for reasonability each quarter.

**Data Accuracy:** Reasonable

**Data Frequency:** Quarterly

**MEASURE: Total OCC Costs Relative To Every \$100,000 in Bank And Federal Savings Associations Assets Regulated (\$)**

**Definition:** This measure reflects the efficiency of OCC operations while meeting the increasing supervisory demands of a growing and more complex national banking and federal savings association system.

**Indicator Type:** Measure

**Data Capture and Source:** OCC costs are those reported as total program costs on the annual audited Statement of Net Cost. Banks and thrift assets are those reported quarterly by national banks and federal savings associations on their Reports of Condition and Income.

**Data Verification and Validation:** OCC's financial statements and controls over the data are audited by an independent accountant each year. National banks and federal thrift associations file quarterly Reports on Condition and Income with the FFIEC through the FDIC's data processing center.

The banks' and thrifts' boards of directors attest to the accuracy of the reported data. The reliability of these quarterly reports is evaluated by OCC examiners during bank and thrift examinations.

**Data Accuracy:** Reasonable

**Data Frequency:** Annually

**MEASURE: Travel Voucher Payments Timeliness %**

**Definition:** Travel Services measure of percentage of approved travel vouchers, including split disbursements, paid within five business days.

**Indicator Type:** Measure

**Data Capture and Source:** From Travel Services staff reporting metrics using internal tracking log.

**Data Verification and Validation:** ARC Business Management Branch reviews for reasonability each quarter.

**Data Accuracy:** Reasonable

**Data Frequency:** Quarterly

**MEASURE:** Treasury-wide Footprint (Square Footage)

**Definition:** This goal measures the total square footage occupied by Treasury's owned and leased buildings. To reduce the Department's real property footprint and maximize the use of existing real property assets, the Department maximized space utilization by undertaking space realignments, consolidations, and through improved work station standards.

NOTE: Actuals are determined at the end of the calendar year.

**Indicator Type:** Measure

**Data Capture and Source:** 1. GSA annually provides detailed inventory spreadsheet for the Department's GSA controlled space.

2. Treasury-controlled space inventory data is pulled from the Federal Real Property Profile.

**Data Verification and Validation:** Treasury Operations and the Bureau Real Property Officer's Working Group reviews for reasonability at the end of each calendar year.

**Data Accuracy:** Reasonable

**Data Frequency:** Annually