

# FY 2021 Treasury Performance Validation and Verification Appendix

## Introduction

This Appendix provides a detailed listing of the agency's performance measures and indicators 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 performance measure quality review was conducted between June – September 2021 at the department level to analyze the strengths and limitations of these measures, as recommended in OMB Circular A-11. This process involves assessing the quality of performance data across the following criteria: data source and capture, data verification and validation, strategic alignment, how intuitive it is for the audience to understand, and how useful it is for the intended decision-maker. Findings from this assessment are used to determine whether or not performance data and measures/indicators are still relevant, valid, and of sufficient quality for the intended purpose, whether new measures/indicators are needed to capture the impact of new programs or activities, and whether performance measures/indicators should be discontinued because they no longer serve a sufficiently useful purpose. These findings are also used to identify and rectify weaknesses with data collection processes or validation and verification practices. A cross-system consistency and verification check revealed that the definition, indicator type, and all other data fields were complete for each measure. However, the review noted areas of improvement to many measures' validation and verification processes. Treasury will continue to 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 2021

**STRATEGIC GOAL:** 1 - Promote Equitable Economic Growth and Recovery

**STRATEGIC OBJECTIVE:** 1.1 - Tax Administration and Policy

### Internal Revenue Service

MEASURE: Collection Coverage (Units)						
	FY 2016	FY 2017	FY 2018	FY 2019	FY 2020	FY 2021
Target	41.8	37.5	38.6	40.1	39.7	33
Actual	43.4	42.2	41.6	41.3	34.9	41.2
Target Met?	Y	Y	Y	Y	N	Y

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

**Measure Status:** ACTIVE

**FY 2021 Measure Status:** ACTIVE

**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

**Future Plans/Explanation for Shortfall:**

## FY 2021 Usages

AFR	BIB	CJ	QPR	SOAR
Approved		Approved		

## Allocations

**2018-2022 Goals (Old) :** Goal 1: Boost U.S. Economic Growth

**2022-2026 Goals :** Goal 1: Promote Equitable Economic Growth and Recovery

**Activities :** Exam & Collections

MEASURE: Conviction Rate (%)						
	FY 2016	FY 2017	FY 2018	FY 2019	FY 2020	FY 2021
Target	92	92	92	92	92	92
Actual	92.1	91.5	91.7	91.2	90.4	89.4
Target Met?	Y	N	N	N	N	N

**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.

**Measure Status:** ACTIVE

**FY 2021 Measure Status:** ACTIVE

**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

**Future Plans/Explanation for Shortfall:**

## FY 2021 Usages

AFR	BIB	CJ	QPR	SOAR
Approved		Approved		

## Allocations

**2018-2022 Goals (Old) :** Goal 1: Boost U.S. Economic Growth

**2022-2026 Goals :** Goal 1: Promote Equitable Economic Growth and Recovery

**Activities :** Investigation

**MEASURE:** Cost to Collect \$100

	FY 2016	FY 2017	FY 2018	FY 2019	FY 2020	FY 2021
Actual			0.34	0.33	0.35	0.33

**Definition:** The cost to collect \$100 of revenue; measure ability to emphasize the use of data analytics, in conjunction with qualitative information, to select high-priority work.

**Measure Status:** ACTIVE

**FY 2021 Measure Status:** ACTIVE

**Indicator Type:** Indicator

**Data Capture and Source:** The cost of collecting \$100 is computed as total operating costs divided by gross collection divided by 100. Total operating costs include dollars obligated, expended and disbursed against direct resources, including funds for Business Systems Modernizations and Health Insurance Tax Credit Administration; excluded are costs reimbursed by other federal agencies and private entities for services performed for these external parties. Gross collections are before refunds are issued and include penalties and interest in addition to taxes collected.

**Data Verification and Validation:** The data used is from the IRS Data Book prepared by Statistics of Income (SOI).

**Data Accuracy:** Reasonable

**Data Frequency:** Annually

**Explanation of Outcome/Future Plans:**

**FY 2021 Usages**

AFR	BIB	CJ	QPR	SOAR
Approved		Approved	Approved	

**Allocations**

**2018-2022 Goals (Old) :** Goal 1: Boost U.S. Economic Growth

**2022-2026 Goals :** Goal 1: Promote Equitable Economic Growth and Recovery

**Activities :** Exam & Collections

**MEASURE:** Criminal Investigations Completed

	FY 2016	FY 2017	FY 2018	FY 2019	FY 2020	FY 2021
Target	3800	3100	3000	2800	2700	2600
Actual	3721	3089	3051	2797	2624	2766
Target Met?	N	N	Y	N	N	Y

**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.

**Measure Status:** ACTIVE

**FY 2021 Measure Status:** ACTIVE

**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

**Future Plans/Explanation for Shortfall:**

## FY 2021 Usages

AFR	BIB	CJ	QPR	SOAR
Approved		Approved		

## Allocations

**2018-2022 Goals (Old) :** Goal 1: Boost U.S. Economic Growth

**Activities :** Investigation

MEASURE: Customer Accuracy - Customer Accounts (Phones)						
	FY 2016	FY 2017	FY 2018	FY 2019	FY 2020	FY 2021
<b>Target</b>	94	95	95	94	94	91
<b>Actual</b>	96.1	96	96.1	94.3	93.5	93
<b>Target Met?</b>	Y	Y	Y	Y	N	Y

**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.

**Measure Status:** ACTIVE

**FY 2021 Measure Status:** ACTIVE

**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

**Future Plans/Explanation for Shortfall:**

## FY 2021 Usages

AFR	BIB	CJ	QPR	SOAR
Approved	Approved	Approved		

## Allocations

**2018-2022 Goals (Old) :** Goal 1: Boost U.S. Economic Growth

**2022-2026 Goals :** Goal 1: Promote Equitable Economic Growth and Recovery

**Activities :** Filing & Account Services

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

	FY 2016	FY 2017	FY 2018	FY 2019	FY 2020	FY 2021
<b>Target</b>	92	95	95	92	92	90
<b>Actual</b>	96.4	96.7	95.5	91.6	91	92.8
<b>Target Met?</b>	Y	Y	Y	N	N	Y

**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.

**Measure Status:** ACTIVE

**FY 2021 Measure Status:** ACTIVE

**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

**Future Plans/Explanation for Shortfall:**

**FY 2021 Usages**

AFR	BIB	CJ	QPR	SOAR
Approved		Approved		

**Allocations**

**2018-2022 Goals (Old) :** Goal 1: Boost U.S. Economic Growth

**2022-2026 Goals :** Goal 1: Promote Equitable Economic Growth and Recovery

**Activities :** Filing & Account Services

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

	FY 2016	FY 2017	FY 2018	FY 2019	FY 2020	FY 2021
<b>Target</b>	47	64	75	63	60	32
<b>Actual</b>	53.4	77.1	75.9	65.4	53.1	18.5
<b>Target Met?</b>	Y	Y	Y	Y	N	N

**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.

**Measure Status:** ACTIVE

**FY 2021 Measure Status:** ACTIVE

**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

**Future Plans/Explanation for Shortfall:**

## FY 2021 Usages

AFR	BIB	CJ	QPR	SOAR
Approved	Approved	Approved		

## Allocations

**2018-2022 Goals (Old) :** Goal 1: Boost U.S. Economic Growth

**2022-2026 Goals :** Goal 1: Promote Equitable Economic Growth and Recovery

**Activities :** Filing & Account Services

**IRS\_Programs :** Taxpayer Services

MEASURE: Enterprise Self-Assistance Participation Rate (ESAPR)						
	FY 2016	FY 2017	FY 2018	FY 2019	FY 2020	FY 2021
Target	90				82	89
Actual	89	79	82	85.4	90.6	92.3
Target Met?	N				Y	Y

**Definition:** Data comes from Intelligent Contact Management (ICM), Integrated Customer Communications Environment (ICCE) Web Applications WMR (IRFOF), MOD I-EIN, WMAR, Get Transcripts Online (GT), Get Transcripts Mail (OAT), and Federal Student Aid – DataShare (FSA-D) = sum of FOTW (FAFSA on the Web) (FSA-D) + IDR (Income Driven Repayments) (IBR), Google Analytics (ITA), SAP Business Objects (BO) (TDS (IRTD04)), WP&C (Income Verification Express Service (IVES) and Return and Income Verification Services RAIVS), Custodial Detail Database (CDDB) Payment Report (IMF Electronic and IMF Paper Payments), Collection Office Information System (COINS) Collections Reports (IMF Electronic Online Payment Agreements OPA and Installment Agreements), Accounts Management Information Report (AMIR) (Customer Accounts Resolved (CAR)), SAP BO (Field Assistance Management Information System2 (FAMIS2) Report) (TAC Face-to-Face Walk-ins & Non-Face-to-Face). As new self-assistance applications are provided to the public, they are added to the methodology. The ESAPR was an indicator from FY2017-FY2019.

**Measure Status:** ACTIVE

**FY 2021 Measure Status:** ACTIVE

**Indicator Type:** Measure

**Data Capture and Source:** Data comes from Intelligent Contact Management (ICM), Integrated Customer Communications Environment (ICCE) Web Applications WMR (IRFOF), MOD I-EIN, WMAR, Get Transcripts Online (GT), Get Transcripts Mail (OAT), and Federal Student Aid – DataShare (FSA-D) = sum of FOTW (FAFSA on the Web) (FSA-D) + IDR (Income Driven Repayments) (IBR), Google Analytics (ITA), SAP Business Objects (BO) (TDS (IRTD04)), WP&C (Income Verification Express Service (IVES) and Return and Income Verification Services RAIVS), Custodial Detail Database (CDDB) Payment Report (IMF Electronic and IMF Paper Payments), Collection Office Information System (COINS) Collections Reports (IMF Electronic Online Payment Agreements OPA and Installment Agreements), Accounts Management Information Report (AMIR) (Customer Accounts Resolved (CAR)), SAP BO (Field Assistance Management Information System2 (FAMIS2) Report) (TAC Face-to-Face Walk-ins & Non-Face-to-Face). As new self-assistance applications are provided to the public, they are added to the methodology.

**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

**Future Plans/Explanation for Shortfall:**

## FY 2021 Usages

AFR	BIB	CJ	QPR	SOAR
Approved		Approved		

## Allocations

**2018-2022 Goals (Old) :** Goal 1: Boost U.S. Economic Growth

**2022-2026 Goals :** Goal 1: Promote Equitable Economic Growth and Recovery

**Activities :** Filing & Account Services

**MEASURE: Exam Starts - High-Income Individuals**

FY 2016	FY 2017	FY 2018	FY 2019	FY 2020	FY 2021
Actual					2227

**Definition:** The number of high-income individual examinations with a Total Positive Income (TPI) > \$10M started or opened during the fiscal year.

**Measure Status:** BASELINE

**FY 2021 Measure Status:** ACTIVE

**Indicator Type:** Indicator

**Data Capture and Source:** High-Income Individuals TPI > \$10M – subset of AC 281)

281 No Earned Income Tax Credit present – TPI > \$999,999

**Data Verification and Validation:** The Audit Information Management System (AIMS) will be the primary source of the data.

NOTE: Once the final methodology is determined, detailed data collection & validation procedures will be input into PMM and included in the data dictionary.

**Data Accuracy:** Reasonable

**Data Frequency:** Annually

**Explanation of Outcome/Future Plans:**

**FY 2021 Usages**

AFR	BIB	CJ	QPR	SOAR
Approved		Approved	Approved	Approved

Approved

**Allocations**

**2022-2026 Goals :** Goal 1: Promote Equitable Economic Growth and Recovery

**Activities :** Exam and Collections

**MEASURE: Exam Starts - Large Corporations**

FY 2016	FY 2017	FY 2018	FY 2019	FY 2020	FY 2021
Actual					1490

**Definition:** The number of large corporate examinations with assets > \$250M started or opened during the fiscal year.

**Measure Status:** BASELINE

**FY 2021 Measure Status:** ACTIVE

**Indicator Type:** Indicator

**Data Capture and Source:** Large Corporations (Assets > \$250M – AC 226-230)

226 \$250 million to \$500 million (valid after 12-31-2006 for all tax periods)

227 \$500 million to \$1 billion (valid after 12-31-2006 for all tax periods)

228 \$1 billion to \$5 billion (valid after 12-31-2006 for all tax periods)

229 \$5 billion to \$20 billion (valid after 12-31-2006 for all tax periods)

- 230 \$20 billion and over (valid after 12-31-2006 for all tax periods)
- 231 \$250 million or greater not yet assigned (valid after 12-31-2006 for all tax periods)

**Data Verification and Validation:** The Audit Information Management System (AIMS) will be the primary source of the data.

NOTE: Once the final methodology is determined, detailed data collection & validation procedures will be input into PMM and included in the data dictionary.

**Data Accuracy:** Reasonable

**Data Frequency:** Annually

**Explanation of Outcome/Future Plans:**

## FY 2021 Usages

AFR	BIB	CJ	QPR	SOAR
		Approved	Approved	Approved

Approved

## Allocations

**2022-2026 Goals :** Goal 1: Promote Equitable Economic Growth and Recovery

**Activities :** Exam and Collections

MEASURE: Exam Starts - Partnerships						
	FY 2016	FY 2017	FY 2018	FY 2019	FY 2020	FY 2021
Actual						2396

**Definition:** The number of partnership examinations started or opened during the fiscal year.

**Measure Status:** BASELINE

**FY 2021 Measure Status:** ACTIVE

**Indicator Type:** Indicator

**Data Capture and Source:** Exam Starts - Partnerships (AC 480-483)

- 480 Returns Processed before 1988 (no longer valid)
- 481 10 or less partners-gross receipts under \$100,000
- 482 10 or Less Partners-gross receipts \$100,000 and over
- 483 11 or more partners.

**Data Verification and Validation:** The Audit Information Management System (AIMS) will be the primary source of the data.

NOTE: Once the final methodology is determined, detailed data collection & validation procedures will be input into PMM and included in the data dictionary.

**Data Accuracy:** Reasonable

**Data Frequency:** Annually

**Explanation of Outcome/Future Plans:**

## FY 2021 Usages

AFR	BIB	CJ	QPR	SOAR
Approved		Approved	Approved	Approved

Approved

## Allocations

**Activities :** Exam and Collections

**MEASURE:** Percent of Aged Hardware



	FY 2016	FY 2017	FY 2018	FY 2019	FY 2020	FY 2021
<b>Target</b>			Baseline	43.8	30	20
<b>Actual</b>			45.5	31	16	9.3
<b>Target Met?</b>			Y	Y	Y	Y

**Definition:** Quantity of hardware in operation past its useful life as a share of total hardware in use.

**Measure Status:** ACTIVE

**FY 2021 Measure Status:** ACTIVE

**Indicator Type:** Measure

**Data Capture and Source:** KISAM OAR provides the total quantity of hardware in operation past its useful life as a share of total hardware in use as of a point in time. Each hardware category has a useful life that is periodically assessed against industry standards and IRS IT risk tolerance and approved by IT leadership. The useful life is applied to the date that the asset was received and applied against the current date to determine whether the asset is aged. Hardware that will not require refreshment funding and is no longer critical to operations because of a change in technology or how IRS delivers the IT Service (Ex. Fax Machines, Low-End Printers and Scanners) may be labeled as "Never to Refresh" and excluded from the OAR to better define the risk of aged hardware to the IT environment.

**Data Verification and Validation:** Data will be collected from the IRS's asset management system (HP Knowledge, Incident/Problem, Service Asset Management – KISAM).

**Data Accuracy:**

**Data Frequency:** Annually

**Future Plans/Explanation for Shortfall:**

## FY 2021 Usages

AFR	BIB	CJ	QPR	SOAR
Approved		Approved		

## Allocations

**2018-2022 Goals (Old) :** Goal 5: Achieve Operational Excellence

**2022-2026 Goals :** Goal 1: Promote Equitable Economic Growth and Recovery

**Activities :** Infrastructure

<b>MEASURE:</b> Percent of Major IT Investments within +/-10% Cost Variance at the Investment Level						
	FY 2016	FY 2017	FY 2018	FY 2019	FY 2020	FY 2021
<b>Target</b>	90	90	90	90	90	90
<b>Actual</b>	76.2	50	72.2	88.9	84.2	94.1
<b>Target Met?</b>	Y	Y	Y	Y	Y	N

**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.

**Measure Status:** ACTIVE

**FY 2021 Measure Status:** ACTIVE

**Indicator Type:** Measure

**Data Capture and Source:** On a monthly basis, leadership for each investment team reviews cost data before members add it into SPIKE. Monthly, IM&C employees and management review all SPIKE input and calculations to ensure data completeness. Once reviewed, the data is posted to a SharePoint site in the form of monthly variance reports. Quarterly, multiple levels of management within S&P ACIO review and approve the investment measure data and narratives prepared by the PMT. Quarterly, the chief information officer's office reviews the investment measure data and narratives prepared by the PMT and approves for transmission to the chief financial officer.

**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

**Future Plans/Explanation for Shortfall:**

#### FY 2021 Usages

AFR	BIB	CJ	QPR	SOAR
Approved		Approved		

#### Allocations

**2018-2022 Goals (Old) :** Goal 5: Achieve Operational Excellence

**2022-2026 Goals :** Goal 1: Promote Equitable Economic Growth and Recovery

**Activities :** Information Technology Investments

MEASURE: Percent of Major IT Investments within +/-10% Schedule Variance at the Investment Level						
	FY 2016	FY 2017	FY 2018	FY 2019	FY 2020	FY 2021
Target	90	90	90	90	90	90
Actual	85.7	88.9	83.3	88.9	94.7	100
Target Met?	Y	Y	Y	Y	N	N

**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.

**Measure Status:** ACTIVE

**FY 2021 Measure Status:** ACTIVE

**Indicator Type:** Measure

**Data Capture and Source:** On a monthly basis, leadership for each investment team reviews cost data before members add it into SPIKE. Monthly, IM&C employees and management review all SPIKE input and calculations to ensure data completeness. Once reviewed, the data is posted to a SharePoint site in the form of monthly variance reports Quarterly, multiple levels of management within S&P ACIO review and approve the investment measure data and narratives prepared by the PMT. Quarterly, the chief information officer's office reviews the investment measure data and narratives prepared by the PMT and approves for transmission to the chief financial officer.

**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

**Future Plans/Explanation for Shortfall:**

#### FY 2021 Usages

AFR	BIB	CJ	QPR	SOAR
Approved		Approved		

#### Allocations

**2018-2022 Goals (Old) :** Goal 5: Achieve Operational Excellence

**2022-2026 Goals :** Goal 1: Promote Equitable Economic Growth and Recovery

**Activities :** Information Technology Investments

MEASURE: Rentable Square Feet Per Person						
	FY 2016	FY 2017	FY 2018	FY 2019	FY 2020	FY 2021
Target		Baseline			298	280
Actual		297	301*	298	278	278
Target Met?		Y			N	N

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

**Measure Status:** ACTIVE

**FY 2021 Measure Status:** ACTIVE

**Indicator Type:** Measure

**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

**Future Plans/Explanation for Shortfall:**

#### FY 2021 Usages

AFR	BIB	CJ	QPR	SOAR
Approved		Approved		

#### Allocations

**2018-2022 Goals (Old) :** Goal 5: Achieve Operational Excellence

**2022-2026 Goals :** Goal 1: Promote Equitable Economic Growth and Recovery

**Activities :** Admin - Tax Provisions

MEASURE: Repeat Non-Compliance Rate						
	FY 2016	FY 2017	FY 2018	FY 2019	FY 2020	FY 2021
Actual			Baseline	31.4	35.6	30.7

**Definition:** The percentage of individual taxpayers in a Fiscal Year with additional non-compliance two years after the initial tax year that contains a filing, payment, or reporting compliance issue, compared to total taxpayers.

**Measure Status:** ACTIVE

**FY 2021 Measure Status:** ACTIVE

**Indicator Type:** Indicator

**Data Capture and Source:** The percentage of individual taxpayers with repeat non-compliance two years after the initial tax year for filing, payment, or reporting compliance. Reporting data includes data from Exam tax assessments, Automatic Underreporter (AUR) taxpayers who had a positive assessment after getting a "Proposed Amount Due" or "Your tax return doesn't match the information we have on file" notice resulting in a positive assessment, and Math Error cases that result in \$100+ owed.

**Data Verification and Validation:** Data used for this calculation is from the Enforcement Revenue Information Systems (ERIS) and Compliance Data Warehouse (CDW) databases.

**Data Accuracy:** Reasonable

**Data Frequency:** Annually

**Explanation of Outcome/Future Plans:**

#### FY 2021 Usages

AFR	BIB	CJ	QPR	SOAR
		Approved		

#### Allocations

**2018-2022 Goals (Old) :** Goal 1: Boost U.S. Economic Growth

**2022-2026 Goals :** Goal 1: Promote Equitable Economic Growth and Recovery

**Activities :** Filing & Account Services

MEASURE: Taxpayers Satisfied with the IRS						
	FY 2016	FY 2017	FY 2018	FY 2019	FY 2020	FY 2021
Actual			Baseline	73	74	70

**Definition:** The percentage of Taxpayers Satisfied with the IRS According to the American Customer Satisfaction Index (ACSI) Survey.

**Measure Status:** ACTIVE

**FY 2021 Measure Status:** ACTIVE

**Indicator Type:** Indicator

**Data Capture and Source:** This measure is calculated from separate ACSI Individual Paper Filer and Electronic Filer Customer Satisfaction Index Scores (Paper filer customer satisfaction score X percentage of paper returns) + (E-filer customer satisfaction score X percentage of e-filed returns) using the number of individual tax filers from Document 6187 Fall Update.

**Data Verification and Validation:** The American Customer Satisfaction Index (ACSI) is the only uniform, cross-industry/government measure of customer satisfaction with the quality of goods and services available to U.S. residents. It covers ten economic sectors, 43 industries, more than 200 private sector companies, two types of local government services, the U.S. Postal Service, and a substantial portion of the federal government.

**Data Accuracy:** Reasonable

**Data Frequency:** Annually

**Explanation of Outcome/Future Plans:**

#### FY 2021 Usages

AFR	BIB	CJ	QPR	SOAR
Approved		Approved		

#### Allocations

**2018-2022 Goals (Old) :** Goal 1: Boost U.S. Economic Growth

**2022-2026 Goals :** Goal 1: Promote Equitable Economic Growth and Recovery

**Activities :** Filing & Account Services

MEASURE: Time to Resolve Compliance Issue After Filing						
	FY 2016	FY 2017	FY 2018	FY 2019	FY 2020	FY 2021
Actual			Baseline	469	491	484

**Definition:** The average (mean) time it takes to close all individual income tax enforcement cases in days. This is an annual measure based on all cases closed in a Fiscal Year.

**Measure Status:** ACTIVE

**FY 2021 Measure Status:** ACTIVE

**Indicator Type:** Indicator

**Data Capture and Source:** Mean time to resolve compliance issue after filing.

**Data Verification and Validation:** Data collection will come from the Enforcement Revenue Information System, and comprises of three primary compliance workstreams: examination, underreporter, and collection.

**Data Accuracy:**

**Data Frequency:** Annually

**Explanation of Outcome/Future Plans:**

### FY 2021 Usages

AFR	BIB	CJ	QPR	SOAR
		Approved		

### Allocations

**2018-2022 Goals (Old) :** Goal 1: Boost U.S. Economic Growth

**2022-2026 Goals :** Goal 1: Promote Equitable Economic Growth and Recovery

**Activities :** Filing & Account Services

MEASURE: Time to Start Compliance Resolution						
	FY 2016	FY 2017	FY 2018	FY 2019	FY 2020	FY 2021
Actual			Baseline	60.9	66.3	66

**Definition:** Time to Start measures the ability to quickly identify compliance issues.

**Measure Status:** ACTIVE

**FY 2021 Measure Status:** ACTIVE

**Indicator Type:** Indicator

**Data Capture and Source:** The percentage of all individual income tax enforcement cases started within six months of the return posting date.

**Data Verification and Validation:** Data collection will come from the Enforcement Revenue Information System.

**Data Accuracy:** Reasonable

**Data Frequency:** Annually

**Explanation of Outcome/Future Plans:**

### FY 2021 Usages

AFR	BIB	CJ	QPR	SOAR
Approved		Approved		

### Allocations

**2018-2022 Goals (Old) :** Goal 1: Boost U.S. Economic Growth

**2022-2026 Goals :** Goal 1: Promote Equitable Economic Growth and Recovery

**Activities :** Filing & Account Services

MEASURE: Timeliness of Critical Individual Filing Season Tax Products to the Public (%)						
	FY 2016	FY 2017	FY 2018	FY 2019	FY 2020	FY 2021
Target	87	89	89	85	89	85

<b>Actual</b>	92.5	93.1	59.6	92.6	78.4	92
<b>Target Met?</b>	Y	Y	N	Y	N	Y

**Definition:** The percentage of Critical Individual Filing Season (CIFS) tax products available to the public seven calendar days before the official IRS start of the (individual) filing season. CIFS tax products are those tax forms, schedules, instructions, and publications required by large number of filers to prepare a complete and reasonably accurate Individual Income Tax Return.

**Measure Status:** ACTIVE

**FY 2021 Measure Status:** ACTIVE

**Indicator Type:** Measure

**Data Capture and Source:** Publishing Services Data System (PSD) and the Electronic Tax Forms Distribution Production Log (ETFDPL)

**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

**Future Plans/Explanation for Shortfall:**

## FY 2021 Usages

AFR	BIB	CJ	QPR	SOAR
Approved		Approved		

## Allocations

**2018-2022 Goals (Old) :** Goal 1: Boost U.S. Economic Growth

**2022-2026 Goals :** Goal 1: Promote Equitable Economic Growth and Recovery

**Activities :** Pre-filing Taxpayer Assistance & Education

<b>MEASURE: Timeliness of Critical TE/GE and Business Tax Products to the Public (%)</b>						
	FY 2016	FY 2017	FY 2018	FY 2019	FY 2020	FY 2021
<b>Target</b>	87	91	91	85	89	85
<b>Actual</b>	98	96.7	100	96.1	96	92.9
<b>Target Met?</b>	Y	Y	Y	Y	Y	Y

**Definition:** The percentage of Critical Tax Exempt/Government Entities (TE/GE) and Business (CTB) tax products available to the public seven calendar days before the official IRS start of the individual filing season. CTB tax products are forms, schedules, instructions, and publications used by large number of TE/GE and Business filers to prepare a complete and reasonably accurate return or form by the filing date occurring during the fiscal year (e.g., income tax, excise tax, exempt organization return, etc.).

**Measure Status:** ACTIVE

**FY 2021 Measure Status:** ACTIVE

**Indicator Type:** Measure

**Data Capture and Source:** Publishing Services Data System (PSD) and the Electronic Tax Forms Distribution Production Log (ETFDPL).

**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

**Future Plans/Explanation for Shortfall:**

## FY 2021 Usages

AFR	BIB	CJ	QPR	SOAR
Approved		Approved		

## Allocations

**2018-2022 Goals (Old)** : Goal 1: Boost U.S. Economic Growth

**Activities** : Pre-filing Taxpayer Assistance & Education

**STRATEGIC OBJECTIVE:** 1.2 - Global Economic Leadership

**Departmental Offices - S & E**

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

	FY 2016	FY 2017	FY 2018	FY 2019	FY 2020	FY 2021
Target	100	100	100	100		
Actual	100	100	100			
Target Met?	Y	Y	Y			

**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.

**Measure Status:** ACTIVE

**FY 2021 Measure Status:** ACTIVE

**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

**Future Plans/Explanation for Shortfall:**

## FY 2021 Usages

AFR	BIB	CJ	QPR	SOAR
Approved		Approved		

## Allocations

**2018-2022 Goals (Old)** : Goal 4: Transform Government-wide Financial Stewardship

**2022-2026 Goals** : Goal 1: Promote Equitable Economic Growth and Recovery

**Activities** : International Affairs and Economic Policy

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

	FY 2016	FY 2017	FY 2018	FY 2019	FY 2020	FY 2021
Target	100	100	100	100	100	100
Actual	100	100	100	100	100	
Target Met?	Y	Y	Y	Y	Y	

**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.

**Measure Status:** ACTIVE

**FY 2021 Measure Status:** ACTIVE

**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

**Future Plans/Explanation for Shortfall:**

### FY 2021 Usages

AFR	BIB	CJ	QPR	SOAR
Approved		Approved		

### Allocations

**2018-2022 Goals (Old) :** Goal 4: Transform Government-wide Financial Stewardship

**2022-2026 Goals :** Goal 1: Promote Equitable Economic Growth and Recovery

**Activities :** International Affairs and Economic Policy

MEASURE: IA - Percentage of MDB Grant and Loan Proposals Containing Satisfactory Frameworks for Results Measurement						
	FY 2016	FY 2017	FY 2018	FY 2019	FY 2020	FY 2021
Target	94	94	95	95	95	95
Actual	89	96	97.6	95	96	
Target Met?	N	Y	Y	Y	Y	

**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.

**Measure Status:** ACTIVE

**FY 2021 Measure Status:** ACTIVE

**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

**Future Plans/Explanation for Shortfall:**

### FY 2021 Usages

AFR	BIB	CJ	QPR	SOAR
Approved		Approved		

### Allocations

**2018-2022 Goals (Old) :** Goal 4: Transform Government-wide Financial Stewardship

**2022-2026 Goals :** Goal 1: Promote Equitable Economic Growth and Recovery

**Activities :** International Affairs and Economic Policy



MEASURE: OTA - Program Engagement						
	FY 2016	FY 2017	FY 2018	FY 2019	FY 2020	FY 2021
Target	3.6	3.6	3.6	3.8	3.6	3.6
Actual	3.9	4	3.8	3.6	3.3	
Target Met?	Y	Y	Y	N	N	

**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.

**Measure Status:** ACTIVE

**FY 2021 Measure Status:** ACTIVE

**Indicator Type:** Measure

**Data Capture and Source:** Generated by the Financial Technical Assistant Advisor who manage the project in the countries where technical assistance 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

**Future Plans/Explanation for Shortfall:**

#### FY 2021 Usages

AFR	BIB	CJ	QPR	SOAR
Approved		Approved		

#### Allocations

**2018-2022 Goals (Old) :** Goal 2: Promote Financial Stability

**2022-2026 Goals :** Goal 1: Promote Equitable Economic Growth and Recovery

**Activities :** International Affairs and Economic Policy

**STRATEGIC OBJECTIVE:** 1.3 - Economically Resilient Communities

#### Alcohol and Tobacco Tax and Trade Bureau

MEASURE: Initial Error Rate on Label and Formula Applications						
	FY 2016	FY 2017	FY 2018	FY 2019	FY 2020	FY 2021
Target		Baseline	25	25	25	25
Actual		43	40	37	34	31
Target Met?		Y	Y	Y	Y	Y

**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).

**Measure Status:** ACTIVE

**FY 2021 Measure Status:** ACTIVE

**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

**Future Plans/Explanation for Shortfall:**

## FY 2021 Usages

AFR	BIB	CJ	QPR	SOAR
Approved	Approved	Approved		

## Allocations

**2018-2022 Goals (Old) :** Goal 1: Boost U.S. Economic Growth

**2022-2026 Goals :** Goal 1: Promote Equitable Economic Growth and Recovery

**Activities :** Protect the Public

MEASURE: Initial Error Rate on Permit Applications						
	FY 2016	FY 2017	FY 2018	FY 2019	FY 2020	FY 2021
Target		25	25	25	25	25
Actual	57	85	80*	71	62	67
Target Met?		Y	Y	Y	Y	Y

**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.

**Measure Status:** ACTIVE

**FY 2021 Measure Status:** ACTIVE

**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

**Future Plans/Explanation for Shortfall:**

## FY 2021 Usages

AFR	BIB	CJ	QPR	SOAR
Approved	Approved	Approved		

## Allocations

**2018-2022 Goals (Old) :** Goal 1: Boost U.S. Economic Growth

**2022-2026 Goals :** Goal 1: Promote Equitable Economic Growth and Recovery

**Activities :** Collect the Revenue

**MEASURE: Large Taxpayer Compliance Rate**

	FY 2016	FY 2017	FY 2018	FY 2019	FY 2020	FY 2021
<b>Target</b>	Baseline	90	90	95	95	95
<b>Actual</b>		90	90	91	91	93
<b>Target Met?</b>		Y	Y	N	N	N

**Definition:** Voluntary compliance rate of large taxpayers (>\$50K in annual tax liability)

**Measure Status:** ACTIVE

**FY 2021 Measure Status:** ACTIVE

**Indicator Type:** Measure

**Data Capture and Source:** TTB uses Tableau to capture Key Performance Indicators (KPIs). The KPIs collected for this measure include taxpayer tax return, operational report, and payment factors. Those are then assigned to Tiers 3-6, and defined as the External Tax Compliance Group - LARGE. We also capture the data by commodity and time (monthly, quarterly, annually). The KPIs freeze results as of the 15th of the second month after the end of the period, allowing us snapshots of raw monthly and Fiscal Year to Date (FYTD) data.

Actual points

\_\_\_\_\_ = Compliance rate

Potential points

1. Assign points for each tax filing type – tax payment, tax return, and operational report – with potential points totaling to 100.
  - a. 1 point per dollar received in Tax Payment
  - b. 1 point per Tax Return received
  - c. 1 point per Operational Report received
2. Calculate actual points based on taxpayer submissions. The full point value is earned for timely submissions; points earned are reduced for late and missing submissions on a progressive scale:
  - a. On time – 100%
  - b. 1 – 7 days late – 95%
  - c. 8 – 30 days late – 75%
  - d. 31+ days late – 55%
  - e. Missing – 0%
3. Calculate compliance scores for each tax filing type - tax payments, tax returns, and operational report.
  - a. [Calculated Tax Payment Points] ÷ [Eligible Tax Payments Points (1 point per \$ owed)] = Tax Payment Score
  - b. [Calculated Tax Return Points] ÷ [Eligible Tax Return Points (1 point per expected tax return)] = Tax Return Score
  - c. [Calculated Operational Reports Points] ÷ [Eligible Operational Reports Points (1 point per expected operational report)] = Operational Report Score
4. Apply weights to the three initial scores.
  - a. Tax Payment Score = 50%
  - b. Tax Return Score = 25%
  - c. Operational Report Score = 25%
  - d. Generate overall compliance rate.
  - e. [Tax Payment Score + Tax Payment Score + Tax Return Score + Operational Report Score] ÷ 4 = Overall Compliance Rate.

**Data Verification and Validation:** TTB generates the compliance results by taxpayer and overall in the TTB Compliance Tool. TTB auditors/specialists validate the non-compliance data results before any reporting and/or follow up action is taken. The tasks involved in the data validation process include reviewing the tax account (unposted returns/payments, single payments split between taxpayers/tax periods, payments other than credit to a tax return, other pending actions with non-compliance, application of the five-day count back rule, pending claims, and unposted adjustments), identifying operational reports pending corrections/data entry, and identifying special taxpayer circumstances (pending bankruptcy, ongoing field audit/investigation, changes in control/proprietorship, notification of appointed fiduciary, undeliverable mail, etc.). The results are reviewed by Tax Services management, and reported through TTB's Strategic Objective Captain for Improving Voluntary Compliance.

**Data Accuracy:** Reasonable

**Data Frequency:** Annually

**Future Plans/Explanation for Shortfall:**

## FY 2021 Usages

AFR	BIB	CJ	QPR	SOAR
Approved	Approved	Approved	Approved	Approved

Approved

### Allocations

**2018-2022 Goals (Old)** : Goal 1: Boost U.S. Economic Growth

**2022-2026 Goals** : Goal 1: Promote Equitable Economic Growth and Recovery

**Activities** : Collect the Revenue

MEASURE: Percent of Electronically Filed Label and Formula Applications						
	FY 2016	FY 2017	FY 2018	FY 2019	FY 2020	FY 2021
Actual	97	98	98	99	99	99.5

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

**Measure Status:** ACTIVE

**FY 2021 Measure Status:** ACTIVE

**Indicator Type:** Indicator

**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

**Explanation of Outcome/Future Plans:**

## FY 2021 Usages

AFR	BIB	CJ	QPR	SOAR
Approved	Approved	Approved		

### Allocations

**2018-2022 Goals (Old)** : Goal 1: Boost U.S. Economic Growth

**2022-2026 Goals** : Goal 1: Promote Equitable Economic Growth and Recovery

**Activities** : Protect the Public

MEASURE: Percent of Electronically Filed Permit Applications						
	FY 2016	FY 2017	FY 2018	FY 2019	FY 2020	FY 2021
Target	87	82	87	90	80	90
Actual	84	85	86	89	92	95
Target Met?	N	Y	N	N	Y	Y

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

**Measure Status:** ACTIVE

**FY 2021 Measure Status:** ACTIVE

**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

**Future Plans/Explanation for Shortfall:**

## FY 2021 Usages

AFR	BIB	CJ	QPR	SOAR
Approved	Approved	Approved		

## Allocations

**2018-2022 Goals (Old) :** Goal 1: Boost U.S. Economic Growth

**2022-2026 Goals :** Goal 1: Promote Equitable Economic Growth and Recovery

**Activities :** Protect the Public

MEASURE: Percentage of Alcohol Beverage Label and Formula Applications Processed within Service Standards						
	FY 2016	FY 2017	FY 2018	FY 2019	FY 2020	FY 2021
Target	85	85	85	85	85	85
Actual	75	62	84	48	83	92
Target Met?	N	N	N	N	N	Y

**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).

**Measure Status:** ACTIVE

**FY 2021 Measure Status:** ACTIVE

**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

**Future Plans/Explanation for Shortfall:**

## FY 2021 Usages

AFR	BIB	CJ	QPR	SOAR
Approved	Approved	Approved		

## Allocations

**2018-2022 Goals (Old) :** Goal 1: Boost U.S. Economic Growth

**2022-2026 Goals :** Goal 1: Promote Equitable Economic Growth and Recovery

**Activities :** Protect the Public

MEASURE: Percentage of Permit Applications Processed within Service Standards						
	FY 2016	FY 2017	FY 2018	FY 2019	FY 2020	FY 2021
Target	85	85	85	85	85	85
Actual	32	48.1	71.2	57.6	84.1	92
Target Met?	N	N	N	N	N	Y

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

**Measure Status:** ACTIVE

**FY 2021 Measure Status:** ACTIVE

**Indicator Type:** Measure

**Data Capture and Source:** Permits Online

**Data Verification and Validation:** TTB established a strategic goal to timely issue permits to qualified applicants. Timely and consistent service levels facilitate commerce, as TTB must qualify and issue permits or registrations to businesses before they can operate in the alcohol or tobacco industries. TTB uses automated reports generated from its data warehouse maintained by TTB's Office of Analytics. All performance data are vetted through the bureau's strategic management review process.

**Data Accuracy:** Reasonable

**Data Frequency:** Quarterly

**Future Plans/Explanation for Shortfall:**

## FY 2021 Usages

AFR	BIB	CJ	QPR	SOAR
Approved	Approved	Approved		

## Allocations

**2018-2022 Goals (Old) :** Goal 1: Boost U.S. Economic Growth

**2022-2026 Goals :** Goal 1: Promote Equitable Economic Growth and Recovery

**Activities :** Protect the Public

## Community Development Financial Institutions Fund

MEASURE: ALL - Award Cycle Time (Months)						
	FY 2016	FY 2017	FY 2018	FY 2019	FY 2020	FY 2021
Target	7	7	7	6.5	6.5	6.5
Actual	7.6	6.3	5.8	6.4	5.5	
Target Met?	Y	N	N	N	N	

**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.

**Measure Status:** ACTIVE

**FY 2021 Measure Status:** ACTIVE

**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

**Future Plans/Explanation for Shortfall:**

## FY 2021 Usages

AFR	BIB	CJ	QPR	SOAR
Approved	Approved	Approved	Approved	

## Allocations

**2018-2022 Goals (Old) :** Goal 5: Achieve Operational Excellence

**2022-2026 Goals :** Goal 1: Promote Equitable Economic Growth and Recovery

**Activities :** Administration

MEASURE: All - Time to Initial Disbursement (# Months)						
	FY 2016	FY 2017	FY 2018	FY 2019	FY 2020	FY 2021
Target	Baseline	4.5	4.5	4.5	4.5	4.5
Actual	4.5	7.5	7	7	4.4	
Target Met?	Y	Y	Y	Y	N	

**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.

**Measure Status:** ACTIVE

**FY 2021 Measure Status:** ACTIVE

**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

**Future Plans/Explanation for Shortfall:**

## FY 2021 Usages

AFR	BIB	CJ	QPR	SOAR
Approved	Approved	Approved	Approved	

## Allocations

**2018-2022 Goals (Old) :** Goal 5: Achieve Operational Excellence

**2022-2026 Goals :** Goal 1: Promote Equitable Economic Growth and Recovery

**Activities :** Administration

MEASURE: Bank Enterprise Award Program (BEA) Leverage Ratio is the \$ Sum of All Award Recipients Qualified Activities to the \$ Sum of All Awards in a Given Year.						
	FY 2016	FY 2017	FY 2018	FY 2019	FY 2020	FY 2021
Target						Baseline

**Actual****Target Met?**

**Definition:** The BEA Program's new performance measure is a leverage ratio that compares the sum of all award recipients' qualified activities in eligible distressed communities and to certified CDFIs, to the sum of all awards in a given year.

**Measure Status:** BASELINE

**FY 2021 Measure Status:** ACTIVE

**Indicator Type:** Measure

**Data Capture and Source:** BEA awardee data is reported to the CDFI Fund's Award Management and Information system which collects geocoded transaction level reports to validate that the transaction address is located in an eligible census distressed tract or that the qualified CDFI investment was made to an certified CDFI. CDFI Fund analysts review and compile the data to ensure the records comply with program requirements.

**Data Verification and Validation:** BEA Program sums all qualified geocoded transactions to validate that the activities are located in eligible census tracts or made to certified CDFIs located in distressed communities and compares this sum to the sum of all awardees in the current reporting year to compute the leverage ratio.

**Data Accuracy:** Reasonable

**Data Frequency:** Annually

**Future Plans/Explanation for Shortfall:**

**FY 2021 Usages**

AFR	BIB	CJ	QPR	SOAR
Approved		Approved	Approved	

**Allocations**

**2018-2022 Goals (Old) :** Goal 1: Boost U.S. Economic Growth

**2022-2026 Goals :** Goal 1: Promote Equitable Economic Growth and Recovery

**Activities :** Bank Enterprise Award Program

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

	FY 2016	FY 2017	FY 2018	FY 2019	FY 2020	FY 2021
<b>Target</b>	60	60	60	60	60	60
<b>Actual</b>	80.9	81.2	73.7	75.6*	75	
<b>Target Met?</b>	Y	Y	Y	Y	Y	

**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.

**Measure Status:** ACTIVE

**FY 2021 Measure Status:** ACTIVE

**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

**Future Plans/Explanation for Shortfall:**

## FY 2021 Usages

AFR	BIB	CJ	QPR	SOAR
Approved		Approved	Approved	

## Allocations

**2018-2022 Goals (Old) :** Goal 1: Boost U.S. Economic Growth

**2022-2026 Goals :** Goal 1: Promote Equitable Economic Growth and Recovery

**Activities :** Community Development Financial Institutions Program

MEASURE: CDFI - Percentage of Loans & Investments Originated in Eligible Distressed or Underserved Communities by Number of Loans						
	FY 2016	FY 2017	FY 2018	FY 2019	FY 2020	FY 2021
<b>Target</b>	60	60	60	60	60	60
<b>Actual</b>	81.5	83	72.1	78.8	79.6	
<b>Target Met?</b>	Y	Y	Y	Y	Y	

**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.

**Measure Status:** ACTIVE

**FY 2021 Measure Status:** ACTIVE

**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

**Future Plans/Explanation for Shortfall:**

## FY 2021 Usages

AFR	BIB	CJ	QPR	SOAR
Approved	Approved	Approved	Approved	

## Allocations

**2018-2022 Goals (Old) :** Goal 1: Boost U.S. Economic Growth

**2022-2026 Goals :** Goal 1: Promote Equitable Economic Growth and Recovery

**Activities :** Community Development Financial Institutions Program

<b>MEASURE: HFFI - Retail Outlets Created/Preserved</b>						
	<b>FY 2016</b>	<b>FY 2017</b>	<b>FY 2018</b>	<b>FY 2019</b>	<b>FY 2020</b>	<b>FY 2021</b>
<b>Actual</b>	19	24	20	23	25	

**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.

**Measure Status:** ACTIVE

**FY 2021 Measure Status:** ACTIVE

**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

**Explanation of Outcome/Future Plans:**

#### FY 2021 Usages

<b>AFR</b>	<b>BIB</b>	<b>CJ</b>	<b>QPR</b>	<b>SOAR</b>
Approved		Approved	Approved	

#### Allocations

**2018-2022 Goals (Old) :** Goal 1: Boost U.S. Economic Growth

**2022-2026 Goals :** Goal 1: Promote Equitable Economic Growth and Recovery

**Activities :** Healthy Food Financing Initiative

<b>MEASURE: NACA - Percentage of NACA Loans and Investments in Native Areas (# of Loans)</b>						
	<b>FY 2016</b>	<b>FY 2017</b>	<b>FY 2018</b>	<b>FY 2019</b>	<b>FY 2020</b>	<b>FY 2021</b>
<b>Target</b>	50	50	50	50	50	50
<b>Actual</b>	96.3	95.1	94.4	86*	72.1	
<b>Target Met?</b>	Y	Y	Y	Y	Y	

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

**Measure Status:** ACTIVE

**FY 2021 Measure Status:** ACTIVE

**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

Future Plans/Explanation for Shortfall:

## FY 2021 Usages

AFR	BIB	CJ	QPR	SOAR
Approved		Approved	Approved	

## Allocations

2018-2022 Goals (Old) : Goal 1: Boost U.S. Economic Growth

2022-2026 Goals : Goal 1: Promote Equitable Economic Growth and Recovery

Activities : Native American CDFI Assistance Program

MEASURE: NACA - Percentage of NACA Loans and Investments in Native Areas (\$ Amount of Loans)						
	FY 2016	FY 2017	FY 2018	FY 2019	FY 2020	FY 2021
Target	50	50	50	50	50	50
Actual	61.2	47.9	84.9	78*	57.2	
Target Met?	Y	N	Y	Y	Y	

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

**Measure Status:** ACTIVE

**FY 2021 Measure Status:** ACTIVE

**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

Future Plans/Explanation for Shortfall:

## FY 2021 Usages

AFR	BIB	CJ	QPR	SOAR
Approved		Approved	Approved	

## Allocations

2018-2022 Goals (Old) : Goal 1: Boost U.S. Economic Growth

2022-2026 Goals : Goal 1: Promote Equitable Economic Growth and Recovery

Activities : Native American CDFI Assistance Program

MEASURE: NMTC - Percentage of Loans and Investments That Went Into Severely Distressed Communities						
	FY 2016	FY 2017	FY 2018	FY 2019	FY 2020	FY 2021

<b>Target</b>	72	74	75	75	75	75
<b>Actual</b>	74.5	77.5	73.6	80.3	77.2	
<b>Target Met?</b>	Y	Y	N	Y	Y	

**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

**Measure Status:** ACTIVE

**FY 2021 Measure Status:** ACTIVE

**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

**Future Plans/Explanation for Shortfall:**

## FY 2021 Usages

AFR	BIB	CJ	QPR	SOAR
Approved	Approved	Approved	Approved	

## Allocations

**2018-2022 Goals (Old) :** Goal 1: Boost U.S. Economic Growth

**2022-2026 Goals :** Goal 1: Promote Equitable Economic Growth and Recovery

**Activities :** New Markets Tax Credit Program

## Departmental Offices - S & E

<b>MEASURE: Percent of Procurement Dollars Spent on Small Business</b>						
	FY 2016	FY 2017	FY 2018	FY 2019	FY 2020	FY 2021
<b>Target</b>	37	35	40	39.5	39	36
<b>Actual</b>	36.17	35	42.63	40.4	45	39.84
<b>Target Met?</b>	N	Y	Y	Y	Y	Y

**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.

**Measure Status:** ACTIVE

**FY 2021 Measure Status:** ACTIVE

**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

**Future Plans/Explanation for Shortfall:**

**FY 2021 Usages**

AFR	BIB	CJ	QPR	SOAR
		Approved		

**Allocations**

**2018-2022 Goals (Old) :** Goal 5: Achieve Operational Excellence

**2022-2026 Goals :** Goal 1: Promote Equitable Economic Growth and Recovery

**Activities :** Treasury-wide Management and Programs

**STRATEGIC OBJECTIVE:** 1.4 - Resilient Housing Market

**Community Development Financial Institutions Fund**

MEASURE: ALL - Number of Affordable Housing Units Developed or Produced						
	FY 2016	FY 2017	FY 2018	FY 2019	FY 2020	FY 2021
Actual	35251	27433	34083	61839	44361	

**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.

**Measure Status:** ACTIVE

**FY 2021 Measure Status:** ACTIVE

**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

**Explanation of Outcome/Future Plans:**

**FY 2021 Usages**

AFR	BIB	CJ	QPR	SOAR
Approved	Approved	Approved	Approved	

**Allocations**

**2018-2022 Goals (Old) :** Goal 1: Boost U.S. Economic Growth

**2022-2026 Goals :** Goal 1: Promote Equitable Economic Growth and Recovery

**Activities :** Administration

**STRATEGIC GOAL:** 2 - Enhance National Security

**STRATEGIC OBJECTIVE:** 2.1 - Cyber Resiliency of Financial Systems and Institutions

**Cybersecurity Enhancement Account**

**MEASURE: Number of Major Incidents**

	FY 2016	FY 2017	FY 2018	FY 2019	FY 2020	FY 2021
<b>Actual</b>			Baseline	2	2	

**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.

**Measure Status:** ACTIVE

**FY 2021 Measure Status:** ACTIVE

**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

**Explanation of Outcome/Future Plans:**

**FY 2021 Usages**

AFR	BIB	CJ	QPR	SOAR
Approved	Approved	Approved		

**Allocations**

**2018-2022 Goals (Old) :** Goal 5: Achieve Operational Excellence

**2022-2026 Goals :** Goal 2: Enhance National Security

**Activities :** Cybersecurity Enhancement Account

**MEASURE: Number of Reported Incidents**

	FY 2016	FY 2017	FY 2018	FY 2019	FY 2020	FY 2021
<b>Actual</b>			Baseline			150

**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.

**Measure Status:** ACTIVE

**FY 2021 Measure Status:** ACTIVE

**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

**Explanation of Outcome/Future Plans:**

**FY 2021 Usages**

AFR	BIB	CJ	QPR	SOAR
Approved	Approved	Approved		

**Allocations**

**2018-2022 Goals (Old) :** Goal 5: Achieve Operational Excellence

**2022-2026 Goals :** Goal 2: Enhance National Security

**Activities :** Cybersecurity Enhancement Account

<b>MEASURE:</b> Percent of High and/or Critical Findings from Risk and Vulnerability Assessments (RVAs) or Security Architecture Reviews (SARs) on Tier 1 High Value Assets (HVAs) that are Closed by the end of the Fiscal Year						
	FY 2016	FY 2017	FY 2018	FY 2019	FY 2020	FY 2021
Target				Baseline	65	75
Actual				57		
Target Met?				Y		

**Definition:** This is a measure of how Treasury addresses the vulnerabilities and potentially-exploitable weaknesses of its most important systems, based on its recurring HVA review and assessment process. In the past three years, Treasury's CEA performance targets were based upon the percentage of HVA system assessments/reviews that were conducted in a timely manner. Treasury has consistently recorded a 100 percent completion rate, even though it faced increasing challenges over the mid- and long-term period. Treasury will now focus on steps to address findings resulting from these assessments. This focus will assure that the proper Plans of Action and Milestones (POAMs) are both in place for all reviewed systems and that the POAMs have been acted upon in a timely manner. The investment will focus on remediation of vulnerabilities, as well as increased review and reporting on corrective actions to resolve all findings and recommendations discerned during the assessment process.

**Measure Status:** ACTIVE

**FY 2021 Measure Status:** ACTIVE

**Indicator Type:** Measure

**Data Capture and Source:** The number of High and or Critical vulnerabilities closed throughout the year divided by the total number identified. The Department of Homeland Security determines the rating based on impact and ease of exploitation. If a vulnerability is not closed by the end of the year it's included in the roll up of open findings.

**Data Verification and Validation:** Each Bureau identifies and reports the High and Critical vulnerabilities. The respective Bureau CISO validates and signs off when the vulnerability is closed out.

**Data Accuracy:** Reasonable

**Data Frequency:** Annually

**Future Plans/Explanation for Shortfall:**

#### FY 2021 Usages

AFR	BIB	CJ	QPR	SOAR
Approved	Approved	Approved		

#### Allocations

**2018-2022 Goals (Old) :** Goal 5: Achieve Operational Excellence

**2022-2026 Goals :** Goal 2: Enhance National Security

**Activities :** Cybersecurity Enhancement Account

<b>MEASURE:</b> Percentage of Tier I High Value Assets (HVA) with an overdue Risk and Vulnerability Assessment (RVA) or Security Architecture Review (SAR)						
	FY 2016	FY 2017	FY 2018	FY 2019	FY 2020	FY 2021
Target			Baseline			
Actual						
Target Met?						

**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.

**Measure Status:** ACTIVE

**FY 2021 Measure Status:** ACTIVE

**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

**Future Plans/Explanation for Shortfall:**

## FY 2021 Usages

AFR	BIB	CJ	QPR	SOAR
Approved	Approved	Approved		

## Allocations

**2018-2022 Goals (Old) :** Goal 5: Achieve Operational Excellence

**2022-2026 Goals :** Goal 2: Enhance National Security

**Activities :** Cybersecurity Enhancement Account

**STRATEGIC OBJECTIVE:** 2.2 - Economic Measures to Advance National Security

## Departmental Offices - S & E

MEASURE: IA - Timely Review of CFIUS Cases						
	FY 2016	FY 2017	FY 2018	FY 2019	FY 2020	FY 2021
Target	100	100	100	100	100	100
Actual	100	100	100	100	100	
Target Met?	Y	Y	Y	Y	Y	

**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.

**Measure Status:** ACTIVE

**FY 2021 Measure Status:** ACTIVE

**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

**Future Plans/Explanation for Shortfall:**

## FY 2021 Usages

AFR	BIB	CJ	QPR	SOAR
Approved	Approved	Approved		

## Allocations

**2018-2022 Goals (Old) :** Goal 2: Promote Financial Stability



**2018-2022 Goals (Old) :** Goal 3: Enhance National Security

**Activities :** International Affairs and Economic Policy

## Terrorism and Financial Intelligence

**MEASURE:** Number of Outreach Events for Other US Government Agencies, the Public, the Business Sector, and Foreign Governments Per Calendar Year

	FY 2016	FY 2017	FY 2018	FY 2019	FY 2020	FY 2021
Actual					Baseline	

**Definition:** For TFI to be successful in their mission involvement and buy-in with the private sector and government officials is necessary. This performance measure tracks the amount of outreach events conducted by TFI.

**Measure Status:** ACTIVE

**FY 2021 Measure Status:** ACTIVE

**Indicator Type:** Indicator

**Data Capture and Source:** Number of Outreach Events for Other US Government Agencies, the Public, the Business Sector, and Foreign Governments Per Calendar Year.

**Data Verification and Validation:** The data is collected and verified by TFFC.

**Data Accuracy:** Reasonable

**Data Frequency:** Annually

**Explanation of Outcome/Future Plans:**

### FY 2021 Usages

AFR	BIB	CJ	QPR	SOAR
Approved	Approved	Approved	Approved	Approved

Approved

### Allocations

**2018-2022 Goals (Old) :** Goal 3: Enhance National Security

**2022-2026 Goals :** Goal 2: Enhance National Security

**Activities :** Terrorism and Financial Intelligence

**MEASURE:** Number of Roundtables with Private Sector on ML/TF Threats, Vulnerabilities, and Risk

	FY 2016	FY 2017	FY 2018	FY 2019	FY 2020	FY 2021
Actual					Baseline	

**Definition:** Measures the number of roundtables with the private sector that TFFC takes part in. Roundtables contribute to the success of TFI mission since private sector buy-in support compliance. The data is collected by TFFC.

**Measure Status:** ACTIVE

**FY 2021 Measure Status:** ACTIVE

**Indicator Type:** Indicator

**Data Capture and Source:** TFFC tracks number of roundtables with private sector.

**Data Verification and Validation:** The data is collected and verified by TFFC.

**Data Accuracy:** Reasonable

**Data Frequency:** Annually

**Explanation of Outcome/Future Plans:**

### FY 2021 Usages

AFR	BIB	CJ	QPR	SOAR
Approved	Approved	Approved	Approved	Approved

Approved

## Allocations

**2018-2022 Goals (Old)** : Goal 3: Enhance National Security

**2022-2026 Goals** : Goal 2: Enhance National Security

**Activities** : Terrorism and Financial Intelligence

MEASURE: Participation in International Mutual Evaluations (FATF) and Follow up Reports						
	FY 2016	FY 2017	FY 2018	FY 2019	FY 2020	FY 2021
Actual						

**Definition:** FATF Mutual Evaluations are peer evaluations of countries' levels of effectiveness and implementation of the FATF AML/CFT Standards. Additionally, the metric includes reviews and comments on reports produced by the nine FSRBs; and, work assessing and reviewing countries as part of the ICRG. Participation on mutual evaluations usually requires several extended on-site visits in country, extensive analysis of a country's AML/CFT system.

**Measure Status:** NONE

**FY 2021 Measure Status:** ACTIVE

**Indicator Type:** Indicator

**Data Capture and Source:** TFFC tracks how many mutual evaluations the U.S. participates in and the follow-up reports produced in response to evaluations by the nine FSRBs.

**Data Verification and Validation:** The data is collected and verified by TFFC.

**Data Accuracy:** Reasonable

**Data Frequency:** Annually

**Explanation of Outcome/Future Plans:**

## FY 2021 Usages

AFR	BIB	CJ	QPR	SOAR
Approved	Approved	Approved	Approved	Approved

Approved

## Allocations

**2018-2022 Goals (Old)** : Goal 3: Enhance National Security

**2022-2026 Goals** : Goal 2: Enhance National Security

**Activities** : Terrorism and Financial Intelligence

**STRATEGIC OBJECTIVE:** 2.3 - Modernize Sanctions Regime

## Terrorism and Financial Intelligence

MEASURE: Number of New Sanctions Programs Modified by EO or Congressional Mandate						
	FY 2016	FY 2017	FY 2018	FY 2019	FY 2020	FY 2021
Actual					Baseline	

**Definition:** This indicator measures new actions or expansion of existing sanction programs. The creation of sanctions programs requires a significant upfront dedication of policy, legal, and regulatory resources to ensure proper coordination and documentation of the changes.

**Measure Status:** ACTIVE

**FY 2021 Measure Status:** ACTIVE

**Indicator Type:** Indicator

**Data Capture and Source:** Number of New Sanctions Programs Modified by EO or Congressional Mandate.

**Data Verification and Validation:** The data is collected and verified by OFAC.

**Data Accuracy:** Reasonable

**Data Frequency:** Annually

**Explanation of Outcome/Future Plans:**

#### FY 2021 Usages

AFR	BIB	CJ	QPR	SOAR
Approved	Approved	Approved	Approved	Approved

Approved

#### Allocations

**2018-2022 Goals (Old) :** Goal 3: Enhance National Security

**2022-2026 Goals :** Goal 2: Enhance National Security

**Activities :** Terrorism and Financial Intelligence

MEASURE: Number of Sanctions Programs Modified by EO or Congressional Mandate						
	FY 2016	FY 2017	FY 2018	FY 2019	FY 2020	FY 2021
Actual					7	7

**Definition:** This indicator measures actions or expansion of existing sanction programs. The modification of sanctions programs requires a significant upfront dedication of policy, legal, and regulatory resources to ensure proper coordination and documentation of the changes.

**Measure Status:** ACTIVE

**FY 2021 Measure Status:** ACTIVE

**Indicator Type:** Indicator

**Data Capture and Source:** Recording the number of congressional mandates and Executive Orders that modify existing sanction programs.

**Data Verification and Validation:** The data is collected and verified by OFAC.

**Data Accuracy:** Reasonable

**Data Frequency:** Annually

**Explanation of Outcome/Future Plans:**

#### FY 2021 Usages

AFR	BIB	CJ	QPR	SOAR
Approved	Approved	Approved	Approved	Approved

Approved

#### Allocations

**2018-2022 Goals (Old) :** Goal 3: Enhance National Security

**2022-2026 Goals :** Goal 2: Enhance National Security

**2022-2026 Goals :** Goal X: Mission Critical

**Activities :** Terrorism and Financial Intelligence

**STRATEGIC OBJECTIVE:** 2.4 - Transparency in the Financial System

**Financial Crimes Enforcement Network**

**MEASURE:** Percentage of Law Enforcement and Regulators who Assert that they Queried BSA Data that Led to Detection and Deterrence of Illicit Activity

	FY 2016	FY 2017	FY 2018	FY 2019	FY 2020	FY 2021
<b>Target</b>	84	85	86	84	88	90
<b>Actual</b>	84	86*	85	92	90	93
<b>Target Met?</b>	Y	Y	N	Y	Y	Y

**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.

**Measure Status:** ACTIVE

**FY 2021 Measure Status:** ACTIVE

**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

**Future Plans/Explanation for Shortfall:**

## FY 2021 Usages

AFR	BIB	CJ	QPR	SOAR
Approved	Approved	Approved		

## Allocations

**2018-2022 Goals (Old) :** Goal 3: Enhance National Security

**2022-2026 Goals :** Goal 2: Enhance National Security

**Activities :** BSA Administration and Analysis

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

	FY 2016	FY 2017	FY 2018	FY 2019	FY 2020	FY 2021
<b>Target</b>	80	86	84	84	84	85
<b>Actual</b>	83	87	86	89	88	87
<b>Target Met?</b>	Y	Y	Y	Y	Y	Y

**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.

**Measure Status:** ACTIVE

**FY 2021 Measure Status:** ACTIVE

**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

**Future Plans/Explanation for Shortfall:**

## FY 2021 Usages

AFR	BIB	CJ	QPR	SOAR
Approved	Approved	Approved		

## Allocations

**2018-2022 Goals (Old) :** Goal 3: Enhance National Security

**2022-2026 Goals :** Goal 2: Enhance National Security

**Activities :** BSA Administration and Analysis

**STRATEGIC GOAL:** 3 - Protect Financial Stability and Resiliency

**STRATEGIC OBJECTIVE:** 3.3 - Financial Innovation

## Fiscal Service

MEASURE: FYTD Percentage of Total Federal Government Receipts Settled Electronically (in dollars) [%]						
	FY 2016	FY 2017	FY 2018	FY 2019	FY 2020	FY 2021
Target	Baseline			98	98	98
Actual		98.3	98	98.4	99	99.6
Target Met?				Y	Y	Y

**Definition:** Measures the percentage of revenue collection dollars settled electronically. The comparison is with the total revenue collected.

**Measure Status:** ACTIVE

**FY 2021 Measure Status:** ACTIVE

**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:** Annually

**Future Plans/Explanation for Shortfall:**

## FY 2021 Usages

AFR	BIB	CJ	QPR	SOAR
Approved	Approved	Approved	Approved	

## Allocations

**2018-2022 Goals (Old) :** Goal 5: Achieve Operational Excellence

**2022-2026 Goals :** Goal 3: Protect Financial Security and Resiliency

**Activities :** Collections

MEASURE: Percentage of Treasury Payments Made Electronically						
	FY 2016	FY 2017	FY 2018	FY 2019	FY 2020	FY 2021
Target	94.9	95.2	95.2	95.4	95.8	96.1
Actual	94.9	95.1	95.4	95.6	96	96.2
Target Met?	Y	N	Y	Y	Y	Y

**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.

**Measure Status:** ACTIVE

**FY 2021 Measure Status:** ACTIVE

**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 inquiries 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

**Future Plans/Explanation for Shortfall:**

#### FY 2021 Usages

AFR	BIB	CJ	QPR	SOAR
Approved	Approved	Approved		

#### Allocations

**2018-2022 Goals (Old) :** Goal 5: Achieve Operational Excellence

**2022-2026 Goals :** Goal 3: Protect Financial Security and Resiliency

**Activities :** Payments

**STRATEGIC GOAL:** 5 - Modernize Treasury Operations

**STRATEGIC OBJECTIVE:** 5.2 - Future Work Routines

#### Bureau of Engraving and Printing

MEASURE: FEVS Satisfaction						
	FY 2016	FY 2017	FY 2018	FY 2019	FY 2020	FY 2021
Target				65	65	65
Actual				74	74	
Target Met?				Y	Y	

**Definition:** BEP's Federal Employee Viewpoint Survey (FEVS) results provide a window into how engaged the Federal workforce is and the level of satisfaction. Having an engaged workforce is critical to each agency's ability to achieve its mission of providing excellent service to the American people.

**Measure Status:** ACTIVE

**FY 2021 Measure Status:** ACTIVE

**Indicator Type:** Measure

**Data Capture and Source:** FEVS(OPM) published results.

**Data Verification and Validation:** OPM survey results.

**Data Accuracy:** Reasonable

**Data Frequency:** Annually

**Future Plans/Explanation for Shortfall:**

**FY 2021 Usages**

AFR	BIB	CJ	QPR	SOAR
Approved	Approved	Approved		

**Allocations**

**2018-2022 Goals (Old) :** Goal 5: Achieve Operational Excellence

**2022-2026 Goals :** Goal 5: Modernize Treasury Operations

**Activities :** Manufacturing

**Departmental Offices - S & E**

MEASURE: Treasury-wide Engagement Index of the FEVS						
	FY 2016	FY 2017	FY 2018	FY 2019	FY 2020	FY 2021
Target	67	67	69	69	70	75
Actual	67	68	68	70	75	74
Target Met?	Y	Y	N	Y	Y	

**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.

**Measure Status:** ACTIVE

**FY 2021 Measure Status:** ACTIVE

**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

**Future Plans/Explanation for Shortfall:**

**FY 2021 Usages**

AFR	BIB	CJ	QPR	SOAR
Approved		Approved		

**Allocations**

**2018-2022 Goals (Old) :** Goal 5: Achieve Operational Excellence

**2022-2026 Goals :** Goal 5: Modernize Treasury Operations

**Activities :** Treasury-wide Management and Programs

<b>MEASURE: Treasury-wide Footprint (Square Footage)</b>						
	<b>FY 2016</b>	<b>FY 2017</b>	<b>FY 2018</b>	<b>FY 2019</b>	<b>FY 2020</b>	<b>FY 2021</b>
<b>Target</b>	34927	34310	33600	33100	32895	32341
<b>Actual</b>	34894	34100	33766	33209	32517	
<b>Target Met?</b>	N	N	Y	Y	N	

**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 determine at the end of the calendar year.

**Measure Status:** ACTIVE

**FY 2021 Measure Status:** ACTIVE

**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

**Future Plans/Explanation for Shortfall:**

#### FY 2021 Usages

<b>AFR</b>	<b>BIB</b>	<b>CJ</b>	<b>QPR</b>	<b>SOAR</b>
		Approved		

#### Allocations

**2018-2022 Goals (Old) :** Goal 5: Achieve Operational Excellence

**2022-2026 Goals :** Goal 5: Modernize Treasury Operations

**Activities :** Treasury-wide Management and Programs

<b>MEASURE: Treasury-wide Leaders Lead Index of the Federal Employee Viewpoint Survey (FEVS)</b>						
	<b>FY 2016</b>	<b>FY 2017</b>	<b>FY 2018</b>	<b>FY 2019</b>	<b>FY 2020</b>	<b>FY 2021</b>
<b>Target</b>	55	67	69	69	70	65
<b>Actual</b>	55	68	68	70	65	
<b>Target Met?</b>	Y	Y	N	Y	N	

**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).

**Measure Status:** ACTIVE

**FY 2021 Measure Status:** ACTIVE

**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

**Future Plans/Explanation for Shortfall:**

#### FY 2021 Usages

AFR	BIB	CJ	QPR	SOAR
Approved	Approved	Approved		

#### Allocations

**2018-2022 Goals (Old) :** Goal 5: Achieve Operational Excellence

**2022-2026 Goals :** Goal 5: Modernize Treasury Operations

**Activities :** Treasury-wide Management and Programs

**STRATEGIC OBJECTIVE:** 5.4 - Customer Experience Practices

#### Alcohol and Tobacco Tax and Trade Bureau

MEASURE: Customer Satisfaction Rate with eGov Systems – COLAs Online						
	FY 2016	FY 2017	FY 2018	FY 2019	FY 2020	FY 2021
Target		80	80	80	80	80
Actual	74	82	81	77	80	83
Target Met?		Y	Y	N	Y	Y

**Definition:** Results of TTB's customer survey to determine user satisfaction with the online filing system for Certificates of Label Approval (COLAs), including ease of accessing the system, submission process, online guidance, ability to complete the application without assistance, time to complete the application, and experience using the system.

The survey provides feedback on respondent opinions and perceptions. Statistical validation is dependent on response rates. If the response rates are high enough, the survey provides a snapshot of respondent opinions, which may provide a statistically valid overview of overall satisfaction.

**Measure Status:** ACTIVE

**FY 2021 Measure Status:** ACTIVE

**Indicator Type:** Measure

**Data Capture and Source:** Collection:

- 1) TTB's Office of Analytics provides a monthly statistical sample of users for COLAs Online based on a 95% confidence interval with a 10% response rate.
- 2) TTB uploads email addresses into pre-saved surveys in Survey Monkey and then sends out survey.
- 3) Five business days after the survey is sent, TTB closes the survey, and downloads the results.
- 4) TTB collects results from survey questions 1, 2, 3, 5, 6, and 7.

Validation:

Survey Monkey designers provide and test for proper data collection standards to ensure the accuracy and completeness of results. The Strategic Objective Captain for TTB Objective 15, Optimize Electronic Systems, verifies the results calculated by the measure owner.

**Data Verification and Validation:**

**Data Accuracy:** Reasonable

**Data Frequency:** Quarterly

**Future Plans/Explanation for Shortfall:**

#### FY 2021 Usages

AFR	BIB	CJ	QPR	SOAR
Approved	Approved	Approved	Approved	Approved

Approved

## Allocations

**2018-2022 Goals (Old)** : Goal 1: Boost U.S. Economic Growth

**2018-2022 Goals (Old)** : Goal 5: Achieve Operational Excellence

**2022-2026 Goals** : Goal 5: Modernize Treasury Operations

**Activities** : Protect the Public

MEASURE: Customer Satisfaction Rate with eGov Systems – Formulas Online						
	FY 2016	FY 2017	FY 2018	FY 2019	FY 2020	FY 2021
<b>Target</b>	Baseline	80	80	80	80	80
<b>Actual</b>	58	70	79	70	73	80
<b>Target Met?</b>	Y	N	N	N	N	Y

**Definition:** Results of TTB's customer survey to determine user satisfaction with the online filing system for beverage alcohol formula applications, including ease of accessing the system, submission process, online guidance, ability to complete the application without assistance, time to complete the application, and experience using the system.

The survey provides feedback on respondent opinions and perceptions. There are currently not enough users to generate a statistically valid sample for nonbeverage FONL users. However, TTB uses the survey results to provide a snapshot of respondent opinions, which may provide a representative view of user satisfaction (though likely biased toward negative responses).

**Measure Status:** ACTIVE

**FY 2021 Measure Status:** ACTIVE

**Indicator Type:** Measure

**Data Capture and Source:** Collection:

- 1) TTB's Office of Analytics provides a monthly statistical sample of users for Formulas Online (beverage) based on a 95% confidence interval with a 10% response rate.
- 2) TTB uploads email addresses into pre-saved surveys in Survey Monkey and then sends out survey.
- 3) Five business days after the survey is sent, TTB closes the survey, and downloads the results.
- 4) TTB collects results from survey questions 1, 2, 3, 5, 6, and 7.

Add the percentage of respondents who were "somewhat satisfied" or "extremely satisfied" with six survey questions (enumerated according to the survey item): (1) ease of accessing the system; (2) online guidance; (3) ability to complete the application without assistance; (5) submission process; (6) time it took to complete the application; and (7) experience using our electronic system.

**Data Verification and Validation:** Validation:

Survey Monkey designers provide and test for proper data collection standards to ensure the accuracy and completeness of results. The Strategic Objective Captain for TTB Objective 15, Optimize Electronic Systems, verifies the results calculated by the measure owner.

**Data Accuracy:** Reasonable

**Data Frequency:** Quarterly

**Future Plans/Explanation for Shortfall:**

## FY 2021 Usages

AFR	BIB	CJ	QPR	SOAR
Approved	Approved	Approved	Approved	Approved

Approved

## Allocations

**2018-2022 Goals (Old) :** Goal 1: Boost U.S. Economic Growth

**2018-2022 Goals (Old) :** Goal 5: Achieve Operational Excellence

**2022-2026 Goals :** Goal 5: Modernize Treasury Operations

**Activities :** Protect the Public

MEASURE: Customer Satisfaction Rate with TTB Permitting Process						
	FY 2016	FY 2017	FY 2018	FY 2019	FY 2020	FY 2021
Target	80	80	80	80	80	80
Actual	71	80	77*	68	78	
Target Met?	N	Y	N	N	N	

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

**Measure Status:** ACTIVE

**FY 2021 Measure Status:** ACTIVE

**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

**Future Plans/Explanation for Shortfall:**

#### FY 2021 Usages

AFR	BIB	CJ	QPR	SOAR
Approved	Approved	Approved		

#### Allocations

**2018-2022 Goals (Old) :** Goal 1: Boost U.S. Economic Growth

**2022-2026 Goals :** Goal 5: Modernize Treasury Operations

**Activities :** Protect the Public

**STRATEGIC GOAL:** X - Mission Critical

**STRATEGIC OBJECTIVE:** X.1 - Mission Critical

#### Alcohol and Tobacco Tax and Trade Bureau

MEASURE: Amount of Revenue Collected Per Program Dollar						
	FY 2016	FY 2017	FY 2018	FY 2019	FY 2020	FY 2021
Actual	414	406	369	339	380	375

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

**Measure Status:** ACTIVE

**FY 2021 Measure Status:** ACTIVE

**Indicator Type:** Indicator

**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

**Explanation of Outcome/Future Plans:**

### FY 2021 Usages

AFR	BIB	CJ	QPR	SOAR
Approved	Approved	Approved		

### Allocations

**2018-2022 Goals (Old) :** Goal 5: Achieve Operational Excellence

**2022-2026 Goals :** Goal X: Mission Critical

**Activities :** Collect the Revenue

### Bureau of Engraving and Printing

MEASURE: Currency Notes Delivered Returned Due to Defects (Parts per Million)						
	FY 2016	FY 2017	FY 2018	FY 2019	FY 2020	FY 2021
Target		Baseline	1	1	1	1
Actual		0.008	0.0031	0.09	0.02	0.016
Target Met?		Y	N	N	N	N

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

**Measure Status:** ACTIVE

**FY 2021 Measure Status:** ACTIVE

**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

**Future Plans/Explanation for Shortfall:**

### FY 2021 Usages

AFR	BIB	CJ	QPR	SOAR
Approved	Approved	Approved		

### Allocations

**2018-2022 Goals (Old) :** Goal 5: Achieve Operational Excellence

**2022-2026 Goals :** Goal X: Mission Critical

**Activities :** Manufacturing

MEASURE: Lost Time Accident Rate per 100 Employees						
	FY 2016	FY 2017	FY 2018	FY 2019	FY 2020	FY 2021
Target	1.8	1.8	1.8	1.8	1.8	1.8
Actual	1.77	1.36	0.78	1.48	1.01	1.59

Target Met?

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

**Measure Status:** ACTIVE

**FY 2021 Measure Status:** ACTIVE

**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

**Future Plans/Explanation for Shortfall:**

#### FY 2021 Usages

AFR	BIB	CJ	QPR	SOAR
Approved	Approved	Approved	Approved	

#### Allocations

**2018-2022 Goals (Old) :** Goal 5: Achieve Operational Excellence

**2022-2026 Goals :** Goal X: Mission Critical

**Activities :** Manufacturing

MEASURE: Manufacturing Costs For Currency (Dollar Costs Per Thousand Notes Produced)						
	FY 2016	FY 2017	FY 2018	FY 2019	FY 2020	FY 2021
Target	50	50	48	51.66	59.65	64.33
Actual	44.25	43.58	47.41	51.01	56.19	61.81
Target Met?	Y	Y	Y	Y	Y	Y

**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.

**Measure Status:** ACTIVE

**FY 2021 Measure Status:** ACTIVE

**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

**Future Plans/Explanation for Shortfall:**

#### FY 2021 Usages

AFR	BIB	CJ	QPR	SOAR
	Approved	Approved		

## Allocations

**2018-2022 Goals (Old)** : Goal 5: Achieve Operational Excellence

**2022-2026 Goals** : Goal X: Mission Critical

**Activities** : Manufacturing

## Departmental Offices - S & E

MEASURE: Variance Between Estimated and Actual Receipts (Annual Forecast)(%)						
	FY 2016	FY 2017	FY 2018	FY 2019	FY 2020	FY 2021
Target	4.25	4.25	4.25	4.25	4.25	4.25
Actual	3.1	4	2.33	3.14	11.1	
Target Met?	Y	Y	Y	Y	N	

**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.

**Measure Status:** ACTIVE

**FY 2021 Measure Status:** ACTIVE

**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 ( $A_t - F_t$ ), and dividing this error of forecast by the actual value, and then multiplying it by 100.  $PE_t = ((A_t - F_t)/A_t) * 100$ .  $A_t$  is actual value of receipts at time  $t$ , and  $F_t$  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  $APE = |(\sum_{t=1}^T PE_t)|/T$  where  $PE_t$  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

**Future Plans/Explanation for Shortfall:**

## FY 2021 Usages

AFR	BIB	CJ	QPR	SOAR
Approved	Approved	Approved		

## Allocations

**2018-2022 Goals (Old)** : Goal 4: Transform Government-wide Financial Stewardship

**2022-2026 Goals** : Goal X: Mission Critical

**Activities** : Domestic Finance and Tax Policy

## Financial Crimes Enforcement Network

**MEASURE:** Number of Bank Secrecy Act (BSA) Users

	FY 2016	FY 2017	FY 2018	FY 2019	FY 2020	FY 2021
Actual		11452	11679	12801	13047	

**Definition:** The number of BSA system users such as law enforcement, counter-terrorism agencies, financial regulators, and the intelligence community who access the BSA data technology to detect money laundering and illicit finance use.

**Measure Status:** ACTIVE

**FY 2021 Measure Status:** ACTIVE

**Indicator Type:** Indicator

**Data Capture and Source:** Count

**Data Verification and Validation:** The number is derived from a tracking system and a count is done and validated.

**Data Accuracy:** Reasonable

**Data Frequency:** Annually

**Explanation of Outcome/Future Plans:**

#### FY 2021 Usages

AFR	BIB	CJ	QPR	SOAR
		Approved	Approved	Approved

Approved

#### Allocations

**2018-2022 Goals (Old) :** Goal 3: Enhance National Security

**2022-2026 Goals :** Goal X: Mission Critical

**Activities :** BSA Administration and Analysis

MEASURE: Number of Suspicious Activity Reports (SARS) Filed						
	FY 2016	FY 2017	FY 2018	FY 2019	FY 2020	FY 2021
Actual		2401896	2537230	2698841	3039421	

**Definition:** The number of SARS filed during the fiscal year. A SAR is a report made by a financial institution about suspicious activity or potentially suspicious activity.

**Measure Status:** ACTIVE

**FY 2021 Measure Status:** ACTIVE

**Indicator Type:** Indicator

**Data Capture and Source:** Count

**Data Verification and Validation:** Report is derived from a tracking system and a count is done and validated.

**Data Accuracy:** Reasonable

**Data Frequency:** Annually

**Explanation of Outcome/Future Plans:**

#### FY 2021 Usages

AFR	BIB	CJ	QPR	SOAR
		Approved	Approved	Approved

Approved

#### Allocations

**2018-2022 Goals (Old) :** Goal 3: Enhance National Security

**2022-2026 Goals :** Goal X: Mission Critical

**Activities :** BSA Administration and Analysis

**MEASURE: Number of Total Bank Secrecy Act (BSA) Reports Filed**

	FY 2016	FY 2017	FY 2018	FY 2019	FY 2020	FY 2021
<b>Actual</b>		19322891	20404002	20755285	20051834	

**Definition:** The number of BSA reports filed during the fiscal year. The BSA requires The BSA requires depository institutions and other industries vulnerable to money laundering to take a number of precautions against financial crime. This includes filing and reporting certain data about financial transactions possibly indicative of money laundering, including cash transactions over \$10,000 and suspicious transactions.

**Measure Status:** ACTIVE

**FY 2021 Measure Status:** ACTIVE

**Indicator Type:** Indicator

**Data Capture and Source:** Count

**Data Verification and Validation:** Report is derived from a tracking system and a count is done and validated.

**Data Accuracy:** Reasonable

**Data Frequency:** Annually

**Explanation of Outcome/Future Plans:**

**FY 2021 Usages**

AFR	BIB	CJ	QPR	SOAR
		Approved	Approved	Approved

Approved

**Allocations**

**2018-2022 Goals (Old) :** Goal 3: Enhance National Security

**2022-2026 Goals :** Goal X: Mission Critical

**Activities :** BSA Administration and Analysis

**Fiscal Service****MEASURE: All Delinquent Debt Collected FYTD as a Percentage of all Delinquent Debt Referred FYTD (%)**

	FY 2016	FY 2017	FY 2018	FY 2019	FY 2020	FY 2021
<b>Target</b>					14.9	14.9
<b>Actual</b>					15.73	15.9
<b>Target Met?</b>					Y	Y

**Definition:** Tracks Fiscal Service's performance in reducing total delinquent federal debt growth. Measure tracks the total debt collections during a FY (regardless of originating FY) against the total delinquent debt referred in the fiscal year (dollars).

**Measure Status:** ACTIVE

**FY 2021 Measure Status:** ACTIVE

**Indicator Type:** Measure

**Data Capture and Source:** FYTD Cross-Servicing collections + FYTD TOP collections / FYTD Cross-Servicing referrals + FYTD TOP referrals.

**Data Verification and Validation:** The data for this measure is pulled from the CSNG database. The data is then reviewed for accuracy and completeness by the Business Analytics branch.

**Data Accuracy:** Reasonable

**Data Frequency:** Annually

**Future Plans/Explanation for Shortfall:**

**FY 2021 Usages**



AFR	BIB	CJ	QPR	SOAR
Approved	Approved	Approved	Approved	

## Allocations

**2018-2022 Goals (Old)** : Goal 4: Transform Government-wide Financial Stewardship

**2022-2026 Goals** : Goal X: Mission Critical

**Activities** : Collections

MEASURE: Amount of Delinquent Debt Collected Through All Available Tools (\$ billions)						
	FY 2016	FY 2017	FY 2018	FY 2019	FY 2020	FY 2021
Target				7.7	8.88	8.78
Actual				9.65	10.68	5.04
Target Met?				Y	Y	N

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

**Measure Status:** ACTIVE

**FY 2021 Measure Status:** ACTIVE

**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:** Annually

**Future Plans/Explanation for Shortfall:**

## FY 2021 Usages

AFR	BIB	CJ	QPR	SOAR
Approved		Approved		

## Allocations

**2018-2022 Goals (Old)** : Goal 4: Transform Government-wide Financial Stewardship

**2022-2026 Goals** : Goal X: Mission Critical

**Activities** : Debt Collection

MEASURE: Count of Improper Payments Identified or Stopped Fiscal Year To Date [#]						
	FY 2016	FY 2017	FY 2018	FY 2019	FY 2020	FY 2021
Target			Baseline	19530	20500	21500
Actual			20336	22415		23801
Target Met?			Y	Y		Y

**Definition:** For payments IDENTIFIED, DNP matches PAM payment data to death data and flags payments. Flagged records are provided to the agency to make determination. For improper payments that are STOPPED, DNP matches an OPM pre-payment file to death data, flag records, and OPM makes determination. OPM pulls deceased individuals from their certified payment file, thus preventing improper payments. Measure is based on the agency's/OPM's determination that a payment identified or prevented was improper.

**Measure Status:** ACTIVE

**FY 2021 Measure Status:** ACTIVE

**Indicator Type:** Measure

**Data Capture and Source:** Sum of # of payments identified improper after payment plus the number of payments stopped before they occur.

**Data Verification and Validation:** Do Not Pay (DNP) Analytics Director receives monthly file from OFAS and this data requires coordination with PAM and OPM to ensure accuracy. Often there is a one-month lag in reporting. DNP keeps record of these files and volumes and reports out accordingly.

**Data Accuracy:** Reasonable

**Data Frequency:** Annually

**Future Plans/Explanation for Shortfall:**

## FY 2021 Usages

AFR	BIB	CJ	QPR	SOAR

## Allocations

**2018-2022 Goals (Old) :** Goal 4: Transform Government-wide Financial Stewardship

**2022-2026 Goals :** Goal X: Mission Critical

**Activities :** Payments

MEASURE: Dollar Amount of Improper Payments Identified or Stopped Fiscal Year To Date						
	FY 2016	FY 2017	FY 2018	FY 2019	FY 2020	FY 2021
Target			Baseline	33.6	35.3	35.3
Actual			35.53	41.1	43.5	42.22
Target Met?			Y	Y	Y	Y

**Definition:** For payments IDENTIFIED, DNP matches PAM payment data to death data and flags payments. Flagged records are provided to the agency to make determination. For improper payments that are STOPPED, DNP matches an OPM pre-payment file to death data, flag records, and OPM makes determination. OPM pulls deceased individuals from their certified payment file, thus preventing improper payments. Measure is based on the agency's/OPM's determination that a payment identified or prevented was improper.

**Measure Status:** ACTIVE

**FY 2021 Measure Status:** ACTIVE

**Indicator Type:** Measure

**Data Capture and Source:** Sum of dollar of payments identified improper after payment plus the dollar of payments stopped before they occur.

**Data Verification and Validation:** Do Not Pay (DNP) Analytics Director receives monthly file from OFAS and this data requires coordination with PAM and OPM to ensure accuracy. Often there is a one-month lag in reporting. DNP keeps record of these files and volumes and reports out accordingly.

**Data Accuracy:** Reasonable

**Data Frequency:** Annually

**Future Plans/Explanation for Shortfall:**

## FY 2021 Usages

AFR	BIB	CJ	QPR	SOAR
Approved	Approved	Approved		

## Allocations

**2018-2022 Goals (Old)** : Goal 4: Transform Government-wide Financial Stewardship

**2022-2026 Goals** : Goal X: Mission Critical

**Activities** : Payments

### MEASURE: Percent of Auction Results Released Accurately

	FY 2016	FY 2017	FY 2018	FY 2019	FY 2020	FY 2021
Target	100	100	100	100	100	100
Actual	100	98.9	98.9	98.8	100	100
Target Met?	Y	N	N	N	Y	Y

**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.

**Measure Status:** ACTIVE

**FY 2021 Measure Status:** ACTIVE

**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

**Future Plans/Explanation for Shortfall:**

### FY 2021 Usages

AFR	BIB	CJ	QPR	SOAR
Approved	Approved	Approved		

## Allocations

**2018-2022 Goals (Old)** : Goal 4: Transform Government-wide Financial Stewardship

**2022-2026 Goals** : Goal X: Mission Critical

**Activities** : Wholesale Securities Services

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

	FY 2016	FY 2017	FY 2018	FY 2019	FY 2020	FY 2021
Target				Baseline	100	100
Actual						100
Target Met?						Y

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

**Measure Status:** ACTIVE

**FY 2021 Measure Status:** ACTIVE

**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

**Future Plans/Explanation for Shortfall:**

FY 2021 Usages

AFR	BIB	CJ	QPR	SOAR
Approved	Approved	Approved		

Allocations

**2018-2022 Goals (Old)** : Goal 4: Transform Government-wide Financial Stewardship

**2022-2026 Goals** : Goal X: Mission Critical

**Activities** : Wholesale Securities Services

MEASURE: Percentage of Government-Wide Accounting Reports Issued Timely						
	FY 2016	FY 2017	FY 2018	FY 2019	FY 2020	FY 2021
Target	100	100	100	98	99.5	99.5
Actual	100	100	100	99.6	100	100
Target Met?	Y	Y	Y	Y	Y	Y

**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.

**Measure Status:** ACTIVE

**FY 2021 Measure Status:** ACTIVE

**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

**Future Plans/Explanation for Shortfall:**

FY 2021 Usages

AFR	BIB	CJ	QPR	SOAR
		Approved		

Allocations

**2018-2022 Goals (Old)** : Goal 4: Transform Government-wide Financial Stewardship

**2022-2026 Goals** : Goal X: Mission Critical

**Activities** : Accounting and Reporting

MEASURE: Percentage of Retail Securities Transactions That Are Unassisted						
	FY 2016	FY 2017	FY 2018	FY 2019	FY 2020	FY 2021

<b>Target</b>	Baseline	70	71
<b>Actual</b>		70	63
<b>Target Met?</b>		Y	N

**Definition:** The percent of total closed retail customer service transactions that are processed without the assistance of customer service staff.

**Measure Status:** ACTIVE

**FY 2021 Measure Status:** ACTIVE

**Indicator Type:** Measure

**Data Capture and Source:** Unassisted retail customer service transactions/Total retail transactions.

**Data Verification and Validation:** System Data

**Data Accuracy:** Reasonable

**Data Frequency:** Annually

**Future Plans/Explanation for Shortfall:**

#### FY 2021 Usages

AFR	BIB	CJ	QPR	SOAR
Approved	Approved	Approved		

#### Allocations

**2018-2022 Goals (Old) :** Goal 5: Achieve Operational Excellence

**2022-2026 Goals :** Goal X: Mission Critical

**Activities :** Retail Securities Services

<b>MEASURE:</b> Percentage of the Active Delinquent Debt Portfolio Collected FYTD (%)						
	FY 2016	FY 2017	FY 2018	FY 2019	FY 2020	FY 2021
<b>Target</b>				Baseline	7	6.5
<b>Actual</b>					9.17	7.28
<b>Target Met?</b>					Y	Y

**Definition:** Measures Fiscal Service's performance in collecting debts which are eligible for debt collection activities (i.e. "Active" in the portfolio). Measure tracks the total debt collected Fiscal Year To Date (FYTD) against the total active debt portfolio. The active portfolio is defined as any debt which receives at least one payment during that Fiscal Year (FY). The active portfolio resets to "\$0" at the beginning of each FY.

**Measure Status:** ACTIVE

**FY 2021 Measure Status:** ACTIVE

**Indicator Type:** Measure

**Data Capture and Source:** FYTD Cross-Servicing collections + FYTD TOP collections / FYTD Cross-Servicing Active Debts + FYTD TOP Active Debts.

**Data Verification and Validation:** The data for this measure is pulled from the CSNG database. The data is then reviewed for accuracy and completeness by the Business Analytics branch.

**Data Accuracy:** Reasonable

**Data Frequency:** Annually

**Future Plans/Explanation for Shortfall:**

#### FY 2021 Usages

AFR	BIB	CJ	QPR	SOAR
	Approved			

## Allocations

**2018-2022 Goals (Old)** : Goal 4: Transform Government-wide Financial Stewardship

**2022-2026 Goals** : Goal X: Mission Critical

**Activities** : Debt Collection

## Inspector General for Tax Administration

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

	FY 2016	FY 2017	FY 2018	FY 2019	FY 2020	FY 2021
Target	68	68	68	68	70	70
Actual	75	79	81	84	79	93
Target Met?	Y	Y	Y	Y	Y	Y

**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.

**Measure Status:** ACTIVE

**FY 2021 Measure Status:** ACTIVE

**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

**Future Plans/Explanation for Shortfall:**

## FY 2021 Usages

AFR	BIB	CJ	QPR	SOAR
Approved	Approved	Approved		

## Allocations

**2018-2022 Goals (Old)** : Goal 5: Achieve Operational Excellence

**2022-2026 Goals** : Goal X: Mission Critical

**Activities** : Audit

### MEASURE: Percentage of Closed Investigations Resulting in a Criminal, Administrative, or Law Enforcement Action

	FY 2016	FY 2017	FY 2018	FY 2019	FY 2020	FY 2021
Target	81	81	79	79	81	85
Actual	90	90	89	91	92	90
Target Met?	Y	Y	Y	Y	Y	Y

**Definition:** This measurement is based on the percentage of those cases within the universe of all TIGTA cases, which align with the mission of the organization. These mission-critical cases provide the greatest impact on the protection of the integrity of tax administration.

This percentage is determined by first taking the number of investigations closed during the fiscal year, then dividing that number by defined, quantifiable, value-added results derived from those cases.

**Measure Status:** ACTIVE

**FY 2021 Measure Status:** ACTIVE

**Indicator Type:** Measure

**Data Capture and Source:** The percentage is calculated by dividing the total number of cases closed that fiscal year by the number of cases with a reportable action taken. An example would be an Internal Revenue Service (IRS) employee receiving a suspension as result of a TIGTA investigation.

**Data Verification and Validation:** Information comes from results provided by the IRS, concerning actions taken as result of a TIGTA investigation, reported on Form 2076. Information also comes from court documents and other judicial or administrative actions. TIGTA validates this information through quality reviews of its investigations and investigative offices.

**Data Accuracy:** Reasonable

**Data Frequency:** Quarterly

**Future Plans/Explanation for Shortfall:**

## FY 2021 Usages

AFR	BIB	CJ	QPR	SOAR
Approved	Approved	Approved		

## Allocations

**2018-2022 Goals (Old) :** Goal 5: Achieve Operational Excellence

**2022-2026 Goals :** Goal X: Mission Critical

**Activities :** Investigations

## Office of Comptroller of the Currency

MEASURE: Percentage of Licensing Applications and Notices Completed within Established Timeframes						
	FY 2016	FY 2017	FY 2018	FY 2019	FY 2020	FY 2021
Target	95	95	95	95	95	95
Actual	98	96	97	99	98	99*
Target Met?	Y	Y	Y	Y	Y	Y

**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.

**Measure Status:** ACTIVE

**FY 2021 Measure Status:** ACTIVE

**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

**Future Plans/Explanation for Shortfall:** Target of 95% was met and exceeded. The OCC continues to leverage its licensing/application program to continue meeting and/or exceeding the target.

## FY 2021 Usages

AFR	BIB	CJ	QPR	SOAR
Approved	Approved	Approved		

## Allocations

**2018-2022 Goals (Old) :** Goal 5: Achieve Operational Excellence

**2022-2026 Goals :** Goal X: Mission Critical

**Activities :** Charter

MEASURE: Percentage of National Banks and Federal Savings Associations That Are Categorized As Well Capitalized						
	FY 2016	FY 2017	FY 2018	FY 2019	FY 2020	FY 2021
Target	95	95	95	95	95	95
Actual	96	97	95	98	99	99
Target Met?	Y	Y	Y	Y	Y	Y

**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.

**Measure Status:** ACTIVE

**FY 2021 Measure Status:** ACTIVE

**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

**Future Plans/Explanation for Shortfall:** Target of 95% was met and exceeded. The OCC continues to monitor the capital levels of all institutions and take appropriate corrective action on a timely basis.

## FY 2021 Usages

AFR	BIB	CJ	QPR	SOAR
Approved	Approved	Approved		

## Allocations

**2018-2022 Goals (Old) :** Goal 1: Boost U.S. Economic Growth

**2022-2026 Goals :** Goal X: Mission Critical

**Activities :** Supervise



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

	FY 2016	FY 2017	FY 2018	FY 2019	FY 2020	FY 2021
<b>Target</b>	90	90	90	90	90	90
<b>Actual</b>	93	94	96	96	96	96
<b>Target Met?</b>	Y	Y	Y	Y	Y	Y

**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.

**Measure Status:** ACTIVE

**FY 2021 Measure Status:** ACTIVE

**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

**Future Plans/Explanation for Shortfall:** The OCC continues to focus on ensuring timely examinations and monitoring corrective action at all of its institutions.

**FY 2021 Usages**

AFR	BIB	CJ	QPR	SOAR
Approved	Approved	Approved		

**Allocations**

**2018-2022 Goals (Old) :** Goal 3: Enhance National Security

**2022-2026 Goals :** Goal X: Mission Critical

**Activities :** Supervise

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

	FY 2016	FY 2017	FY 2018	FY 2019	FY 2020	FY 2021
<b>Actual</b>	98	97	98	98	98	98

**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.

**Measure Status:** ACTIVE

**FY 2021 Measure Status:** ACTIVE

**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

**Explanation of Outcome/Future Plans:** Target of 94% was met and exceeded. The OCC continues to maintain a strong focus on consumer compliance at all of its institutions.

## FY 2021 Usages

AFR	BIB	CJ	QPR	SOAR
Approved	Approved	Approved		

## Allocations

**2018-2022 Goals (Old) :** Goal 1: Boost U.S. Economic Growth

**2022-2026 Goals :** Goal X: Mission Critical

**Activities :** Supervise

MEASURE: Total OCC Costs Relative To Every \$100,000 in Bank And Federal Savings Associations Assets Regulated (\$)						
	FY 2016	FY 2017	FY 2018	FY 2019	FY 2020	FY 2021
Target	10.2	10.16	10	8.5	8.1	7.71
Actual	9.65	9.49	9.12	8.05	7.78	6.79
Target Met?	Y	Y	Y	Y	Y	Y

**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.

**Measure Status:** ACTIVE

**FY 2021 Measure Status:** ACTIVE

**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

**Future Plans/Explanation for Shortfall:**

## FY 2021 Usages

AFR	BIB	CJ	QPR	SOAR
Approved	Approved	Approved		

## Allocations

**2018-2022 Goals (Old) :** Goal 5: Achieve Operational Excellence

**2022-2026 Goals :** Goal X: Mission Critical

**Activities :** Supervise

## Office of Financial Research

MEASURE: Number of LEIs Issued Cumulatively in the United States and Internationally						
	FY 2016	FY 2017	FY 2018	FY 2019	FY 2020	FY 2021
Actual	395861*	587941	1222643	1487695	1733473	1941554

**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.

**Measure Status:** ACTIVE

**FY 2021 Measure Status:** ACTIVE

**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

**Explanation of Outcome/Future Plans:**

### FY 2021 Usages

AFR	BIB	CJ	QPR	SOAR
Approved	Approved	Approved		

## Allocations

**2018-2022 Goals (Old) :** Goal 1: Boost U.S. Economic Growth

**2022-2026 Goals :** Goal X: Mission Critical

**Activities :** Data Center

MEASURE: Number of Times That Financial Data Standards Related are Incorporated in Rules and Regulations						
	FY 2016	FY 2017	FY 2018	FY 2019	FY 2020	FY 2021
Actual	2	4	1	1	3	2

**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.

**Measure Status:** ACTIVE

**FY 2021 Measure Status:** ACTIVE

**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

**Explanation of Outcome/Future Plans:**

### FY 2021 Usages

AFR	BIB	CJ	QPR	SOAR
Approved	Approved	Approved		

## Allocations

**2018-2022 Goals (Old)** : Goal 1: Boost U.S. Economic Growth

**2022-2026 Goals** : Goal X: Mission Critical

**Activities** : Data Center

MEASURE: Percent of Monitors Updated or Expanded During the Reporting Period.						
	FY 2016	FY 2017	FY 2018	FY 2019	FY 2020	FY 2021
Target						Baseline
Actual						100
Target Met?						Y

**Definition:** The extent to which the OFR keeps its financial monitors refreshed quarterly.

**Measure Status:** BASELINE

**FY 2021 Measure Status:** ACTIVE

**Indicator Type:** Measure

**Data Capture and Source:** Calculated by measure manager based on update schedule for each individual financial monitor.

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

**Data Accuracy:** Reasonable

**Data Frequency:** Annually

**Future Plans/Explanation for Shortfall:**

## FY 2021 Usages

AFR	BIB	CJ	QPR	SOAR
Approved		Approved		

## Allocations

**2018-2022 Goals (Old)** : Goal 4: Transform Government-wide Financial Stewardship

**2022-2026 Goals** : Goal X: Mission Critical

**Activities** : Data Center

MEASURE: Timeliness of Responses to FSOC Research and Analysis Requests.						
	FY 2016	FY 2017	FY 2018	FY 2019	FY 2020	FY 2021
Target						Baseline
Actual						100
Target Met?						Y

**Definition:** How responsive OFR is to FSOC requests; the extent to which OFR delivers, as promised, on time. It also signals OFR's focus on providing good customer service to the FSOC.

**Measure Status:** BASELINE

**FY 2021 Measure Status:** ACTIVE

**Indicator Type:** Measure

**Data Capture and Source:** Calculated by measure manager based on FSOC requests per quarter.

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

**Data Accuracy:** Reasonable

**Data Frequency:** Quarterly

**Future Plans/Explanation for Shortfall:**

#### FY 2021 Usages

AFR	BIB	CJ	QPR	SOAR
Approved		Approved		

#### Allocations

**2018-2022 Goals (Old) :** Goal 4: Transform Government-wide Financial Stewardship

**2022-2026 Goals :** Goal X: Mission Critical

**Activities :** Research and Analysis Center

#### Office of Financial Stability

MEASURE: Clean Audit Opinion on TARP Financial Statements (ensure transparency of operations to the public)						
	FY 2016	FY 2017	FY 2018	FY 2019	FY 2020	FY 2021
Target	1	1	1	1	1	1
Actual	Met	Met	Met	Met	Met	
Target Met?	Y	Y	Y	Y	Y	

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

**Measure Status:** ACTIVE

**FY 2021 Measure Status:** ACTIVE

**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

**Future Plans/Explanation for Shortfall:**

#### FY 2021 Usages

AFR	BIB	CJ	QPR	SOAR
Approved		Approved		

#### Allocations

**2018-2022 Goals (Old) :** Goal 4: Transform Government-wide Financial Stewardship

**2022-2026 Goals :** Goal X: Mission Critical

**Activities :** EESAP - TARP Administrative Account

<b>MEASURE: Percentage of Congressional Constituent Correspondence Responses Completed within 10 Business Days of Receipt</b>						
	<b>FY 2016</b>	<b>FY 2017</b>	<b>FY 2018</b>	<b>FY 2019</b>	<b>FY 2020</b>	<b>FY 2021</b>
<b>Target</b>	100	100	100	100	100	100
<b>Actual</b>	66.75	87.5	100	93.75	100	100
<b>Target Met?</b>	N	N	Y	N	Y	Y

**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.

**Measure Status:** ACTIVE

**FY 2021 Measure Status:** ACTIVE

**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

**Future Plans/Explanation for Shortfall:**

#### FY 2021 Usages

<b>AFR</b>	<b>BIB</b>	<b>CJ</b>	<b>QPR</b>	<b>SOAR</b>
Approved		Approved		

#### Allocations

**2018-2022 Goals (Old) :** Goal 4: Transform Government-wide Financial Stewardship

**2022-2026 Goals :** Goal X: Mission Critical

**Activities :** EESAP - TARP Administrative Account

<b>MEASURE: Percentage of FOIA Assignments On-Time or Less Than 30-Days Overdue (ensure transparency within the government)</b>						
	<b>FY 2016</b>	<b>FY 2017</b>	<b>FY 2018</b>	<b>FY 2019</b>	<b>FY 2020</b>	<b>FY 2021</b>
<b>Target</b>	33	33	80	95	80	100
<b>Actual</b>	56.56	85	85	97.5	100	100
<b>Target Met?</b>	Y	Y	Y	Y	Y	

**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.

**Measure Status:** ACTIVE

**FY 2021 Measure Status:** ACTIVE

**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

**Future Plans/Explanation for Shortfall:**

## FY 2021 Usages

AFR	BIB	CJ	QPR	SOAR
Approved		Approved		

## Allocations

**2018-2022 Goals (Old)** : Goal 4: Transform Government-wide Financial Stewardship

**2022-2026 Goals** : Goal X: Mission Critical

**Activities** : EESAP - TARP Administrative Account

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

	FY 2016	FY 2017	FY 2018	FY 2019	FY 2020	FY 2021
<b>Target</b>	100	100	100	100	100	100
<b>Actual</b>	100	100	100	99.5	100	100
<b>Target Met?</b>	Y	Y	Y	N	Y	

**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.

**Measure Status:** ACTIVE

**FY 2021 Measure Status:** ACTIVE

**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

**Future Plans/Explanation for Shortfall:**

## FY 2021 Usages

AFR	BIB	CJ	QPR	SOAR
Approved		Approved		

## Allocations

**2018-2022 Goals (Old)** : Goal 4: Transform Government-wide Financial Stewardship

**2022-2026 Goals** : Goal X: Mission Critical

**Activities** : EESAP - TARP Administrative Account

<b>MEASURE: Percentage of Statutorily-Mandated Reports Submitted On-Time (ensure transparency of operations to the public)</b>						
	<b>FY 2016</b>	<b>FY 2017</b>	<b>FY 2018</b>	<b>FY 2019</b>	<b>FY 2020</b>	<b>FY 2021</b>
<b>Target</b>	100	100	100	100	100	100
<b>Actual</b>	94.7	96.25	100	100	100	
<b>Target Met?</b>	N	N	Y	Y	Y	

**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).

**Measure Status:** ACTIVE

**FY 2021 Measure Status:** ACTIVE

**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

**Future Plans/Explanation for Shortfall:**

## FY 2021 Usages

<b>AFR</b>	<b>BIB</b>	<b>CJ</b>	<b>QPR</b>	<b>SOAR</b>
Approved		Approved		

## Allocations

**2018-2022 Goals (Old) :** Goal 4: Transform Government-wide Financial Stewardship

**2022-2026 Goals :** Goal X: Mission Critical

**Activities :** Domestic Finance and Tax Policy

## Office of Inspector General

<b>MEASURE: Number of Completed Audit Products</b>						
	<b>FY 2016</b>	<b>FY 2017</b>	<b>FY 2018</b>	<b>FY 2019</b>	<b>FY 2020</b>	<b>FY 2021</b>
<b>Target</b>	77	86	74	74	74	74
<b>Actual</b>	98	90	91	79	85	74
<b>Target Met?</b>	Y	Y	Y	Y	Y	Y

**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.

**Measure Status:** ACTIVE

**FY 2021 Measure Status:** ACTIVE

**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

**Future Plans/Explanation for Shortfall:**

### FY 2021 Usages

AFR	BIB	CJ	QPR	SOAR
Approved	Approved	Approved		

### Allocations

**2018-2022 Goals (Old)** : Goal 5: Achieve Operational Excellence

**2022-2026 Goals** : Goal X: Mission Critical

**Activities** : Audit

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

	FY 2016	FY 2017	FY 2018	FY 2019	FY 2020	FY 2021
<b>Target</b>	100	100	100	100	100	100
<b>Actual</b>	100	100	97	100	100	100
<b>Target Met?</b>	Y	Y	N	Y	Y	Y

**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.

**Measure Status:** ACTIVE

**FY 2021 Measure Status:** ACTIVE

**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

**Future Plans/Explanation for Shortfall:**

### FY 2021 Usages

AFR	BIB	CJ	QPR	SOAR
Approved	Approved	Approved		

### Allocations

**2018-2022 Goals (Old)** : Goal 5: Achieve Operational Excellence

**2022-2026 Goals** : Goal X: Mission Critical

**Activities** : Audit

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

Administrative Action

	FY 2016	FY 2017	FY 2018	FY 2019	FY 2020	FY 2021
<b>Target</b>	80	80	80	80	80	80

<b>Actual</b>	84	84	98.9	80.2	91
<b>Target Met?</b>	Y	Y	Y	Y	Y

**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.

**Measure Status:** ACTIVE

**FY 2021 Measure Status:** ACTIVE

**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

**Future Plans/Explanation for Shortfall:**

#### FY 2021 Usages

AFR	BIB	CJ	QPR	SOAR
Approved	Approved	Approved		

#### Allocations

**2018-2022 Goals (Old) :** Goal 5: Achieve Operational Excellence

**2022-2026 Goals :** Goal X: Mission Critical

**Activities :** Investigations

#### Special IG for TARP

<b>MEASURE:</b> Number of Completed Audit Products Identifying Waste, Abuse, Mismanagement, Inefficiencies, or Referrals to Investigations Divisions (Units)						
	FY 2016	FY 2017	FY 2018	FY 2019	FY 2020	FY 2021
<b>Target</b>		Baseline	3	3		2
<b>Actual</b>			6	4	1	
<b>Target Met?</b>			Y	Y		

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

**Measure Status:** ACTIVE

**FY 2021 Measure Status:** ACTIVE

**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

**Future Plans/Explanation for Shortfall:**

#### FY 2021 Usages

AFR	BIB	CJ	QPR	SOAR
Approved	Approved	Approved		

## Allocations

**2007-2012 Goals (OLD)** : Management and Organizational Excellence

**2007-2012 Objectives (OLD)** : Enabled and effective Treasury Department

**2018-2022 Goals (Old)** : Goal 4: Transform Government-wide Financial Stewardship

**2022-2026 Goals** : Goal X: Mission Critical

**Activities** : Audit

**Outcomes (OLD DO NOT USE)** : Exceptional accountability and transparency

MEASURE: Percentage of Cases Accepted for Consideration by Civil or Criminal Authorities Resulting in a Positive Final Outcome						
	FY 2016	FY 2017	FY 2018	FY 2019	FY 2020	FY 2021
Target	Baseline	70	70	70	70	35
Actual	77	81	79	77	77	
Target Met?	Y	Y	Y	Y	Y	

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

**Measure Status:** ACTIVE

**FY 2021 Measure Status:** ACTIVE

**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

**Future Plans/Explanation for Shortfall:**

## FY 2021 Usages

AFR	BIB	CJ	QPR	SOAR
Approved	Approved	Approved		

## Allocations

**2018-2022 Goals (Old)** : Goal 4: Transform Government-wide Financial Stewardship

**2022-2026 Goals** : Goal X: Mission Critical

**Activities** : Investigations

MEASURE: Percentage of Cases Presented to Civil or Criminal Authorities within Eight Months of the Case Being Opened						
	FY 2016	FY 2017	FY 2018	FY 2019	FY 2020	FY 2021
Target	Baseline	70	70	84	70	25

<b>Actual</b>	80	80	85	80	72
<b>Target Met?</b>	Y	Y	Y	N	Y

**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.

**Measure Status:** ACTIVE

**FY 2021 Measure Status:** ACTIVE

**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

**Future Plans/Explanation for Shortfall:**

## FY 2021 Usages

AFR	BIB	CJ	QPR	SOAR
Approved	Approved	Approved		

## Allocations

**2018-2022 Goals (Old) :** Goal 4: Transform Government-wide Financial Stewardship

**2022-2026 Goals :** Goal X: Mission Critical

**Activities :** Investigations

<b>MEASURE:</b> Percentage of Cases That are Joint Agency/Task Force Investigations						
	FY 2016	FY 2017	FY 2018	FY 2019	FY 2020	FY 2021
<b>Target</b>	70	70	70	70	70	70
<b>Actual</b>	71	75	78	76	86	
<b>Target Met?</b>	Y	Y	Y	Y	Y	

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

**Measure Status:** ACTIVE

**FY 2021 Measure Status:** ACTIVE

**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

**Future Plans/Explanation for Shortfall:**

## FY 2021 Usages

AFR	BIB	CJ	QPR	SOAR
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Approved	Approved	Approved		
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## Allocations

**2018-2022 Goals (Old)** : Goal 4: Transform Government-wide Financial Stewardship

**2022-2026 Goals** : Goal X: Mission Critical

**Activities** : Investigations

## Terrorism and Financial Intelligence

<b>MEASURE:</b> Number of Analytic Products Published (Includes Number of IIRs Published, Number of Finished Intelligence Pieces Published)						
	FY 2016	FY 2017	FY 2018	FY 2019	FY 2020	FY 2021
<b>Actual</b>						

**Definition:** TFI includes both formal analytical intelligence briefings as well as final analytical intelligence products that were published.

**Measure Status:** ACTIVE

**FY 2021 Measure Status:** ACTIVE

**Indicator Type:** Indicator

**Data Capture and Source:** OIA records number of analytical products created for TFI and CI community.

**Data Verification and Validation:** The data is collected and verified by OFAC.

**Data Accuracy:** Reasonable

**Data Frequency:** Annually

**Explanation of Outcome/Future Plans:**

## FY 2021 Usages

AFR	BIB	CJ	QPR	SOAR
Approved		Approved	Approved	Approved

Approved

## Allocations

**2018-2022 Goals (Old)** : Goal 3: Enhance National Security

**2022-2026 Goals** : Goal X: Mission Critical

**Activities** : Terrorism and Financial Intelligence

<b>MEASURE:</b> Number of Petition Cases Resolved Each Fiscal Year						
	FY 2016	FY 2017	FY 2018	FY 2019	FY 2020	FY 2021
<b>Actual</b>						Baseline

**Definition:** This indicator measures the number of petition requests resolved for removal from OFAC Specially Designated Nationals and Blocked Persons list ("SDN List") and all other sanctions lists administered by OFAC.

**Measure Status:** BASELINE

**FY 2021 Measure Status:** ACTIVE

**Indicator Type:** Indicator

**Data Capture and Source:** OFAC tracks the number of investigation for petitions closed during the fiscal year.

**Data Verification and Validation:** The data is collected and verified by OFAC.

**Data Accuracy:** Reasonable

**Data Frequency:** Annually

**Explanation of Outcome/Future Plans:**

**FY 2021 Usages**

AFR	BIB	CJ	QPR	SOAR
Approved	Approved	Approved	Approved	Approved

Approved

**Allocations**

**2018-2022 Goals (Old)** : Goal 3: Enhance National Security

**2022-2026 Goals** : Goal X: Mission Critical

**Activities** : Terrorism and Financial Intelligence

MEASURE: Number of Security Clearances Processed						
	FY 2016	FY 2017	FY 2018	FY 2019	FY 2020	FY 2021
Actual					Baseline	

**Definition:** This indicator reports the number of security clearances processed by OIA's Office of Security Programs (OSP).

**Measure Status:** ACTIVE

**FY 2021 Measure Status:** ACTIVE

**Indicator Type:** Indicator

**Data Capture and Source:** OSP tracks number of security clearance they process.

**Data Verification and Validation:** The data is collected and verified by OSP.

**Data Accuracy:** Reasonable

**Data Frequency:** Annually

**Explanation of Outcome/Future Plans:**

**FY 2021 Usages**

AFR	BIB	CJ	QPR	SOAR
Approved	Approved	Approved	Approved	Approved

Approved

**Allocations**

**2018-2022 Goals (Old)** : Goal 3: Enhance National Security

**Activities** : Terrorism and Financial Intelligence

MEASURE: Percent Customer Satisfaction with OIA Products						
	FY 2016	FY 2017	FY 2018	FY 2019	FY 2020	FY 2021
Target						Baseline
Actual						
Target Met?						

**Definition:** OIA products are rated by customers using a survey. The rating help OIA improve the quality of products and customer support.

**Measure Status:** BASELINE

**FY 2021 Measure Status:** ACTIVE

**Indicator Type:** Measure

**Data Capture and Source:** OIA surveys customers that use intelligence products.

**Data Verification and Validation:** Collected and verified by OIA.

**Data Accuracy:** Reasonable

**Data Frequency:** Annually

**Future Plans/Explanation for Shortfall:**

## FY 2021 Usages

AFR	BIB	CJ	QPR	SOAR
Approved	Approved	Approved	Approved	Approved

Approved

## Allocations

**2018-2022 Goals (Old) :** Goal 2: Promote Financial Stability

**2022-2026 Goals :** Goal X: Mission Critical

**Activities :** Terrorism and Financial Intelligence

**MEASURE:** Percent of Designations and Identifications Released On Time to the Public Without Errors

FY 2016

FY 2017

FY 2018

FY 2019

FY 2020

FY 2021

Target

Baseline

Actual

Target Met?

**Definition:** This performance measure captures the number of actions taken to impose sanctions released to the public on time and without errors.

**Measure Status:** ACTIVE

**FY 2021 Measure Status:** ACTIVE

**Indicator Type:** Measure

**Data Capture and Source:** Calculating percent of timely release of designation to the public and without errors i.e. incorrect alias. Financial institutions use OFAC designation lists to block the designated from using banking services and notify OFAC.

**Data Verification and Validation:** The data is collected and verified by OFAC.

**Data Accuracy:** Reasonable

**Data Frequency:** Annually

**Future Plans/Explanation for Shortfall:**

## FY 2021 Usages

AFR	BIB	CJ	QPR	SOAR
Approved	Approved	Approved	Approved	Approved

Approved

## Allocations

**2018-2022 Goals (Old) :** Goal 3: Enhance National Security

**Activities :** Terrorism and Financial Intelligence

**MEASURE:** Respond to De-Confliction Requests Received From Law Enforcement Within 7 Days

FY 2016

FY 2017

FY 2018

FY 2019

FY 2020

FY 2021

Target

Baseline

Actual

Target Met?

**Definition:** OFAC is tasked with providing a timely response to law enforcement agencies regarding conflicts in law enforcement information.

**Measure Status:** ACTIVE

**FY 2021 Measure Status:** ACTIVE

**Indicator Type:** Measure

**Data Capture and Source:** OFAC records the time de-confliction requests are received and provided response.

**Data Verification and Validation:** The data is collected and verified by OFAC.

**Data Accuracy:** Reasonable

**Data Frequency:** Annually

**Future Plans/Explanation for Shortfall:**

## FY 2021 Usages

AFR	BIB	CJ	QPR	SOAR
Approved	Approved	Approved	Approved	Approved

Approved

## Allocations

**2018-2022 Goals (Old) :** Goal 3: Enhance National Security

**2022-2026 Goals :** Goal X: Mission Critical

**Activities :** Terrorism and Financial Intelligence

## Treasury Forfeiture Fund

MEASURE: Percent of Forfeited Cash Proceeds Resulting from High-Impact Cases						
	FY 2016	FY 2017	FY 2018	FY 2019	FY 2020	FY 2021
Target	80	80	80	80	80	80
Actual	89.09	81.79	94.19	91	82.87	89.65
Target Met?	Y	Y	Y	Y	Y	Y

**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.

**Measure Status:** ACTIVE

**FY 2021 Measure Status:** ACTIVE

**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

**Future Plans/Explanation for Shortfall:**

## FY 2021 Usages

AFR	BIB	CJ	QPR	SOAR
Approved	Approved	Approved		

## Allocations

**2018-2022 Goals (Old) :** Goal 3: Enhance National Security



**2022-2026 Goals :** Goal X: Mission Critical

**Activities :** Asset Forfeiture Fund

## Treasury Franchise Fund

MEASURE: Annual Effective Spend Rate (CTAS)						
	FY 2016	FY 2017	FY 2018	FY 2019	FY 2020	FY 2021
Target				Baseline	96	
Actual				97.8		
Target Met?				Y		

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

**Measure Status:** ACTIVE

**FY 2021 Measure Status:** ACTIVE

**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

**Future Plans/Explanation for Shortfall:**

### FY 2021 Usages

AFR	BIB	CJ	QPR	SOAR
	Approved	Approved		

### Allocations

**2018-2022 Goals (Old) :** Goal 5: Achieve Operational Excellence

**Activities :** Centralized Treasury Administrative Services

MEASURE: Annual Effective Spend Rate (SSP)						
	FY 2016	FY 2017	FY 2018	FY 2019	FY 2020	FY 2021
Target				Baseline	96	
Actual				97.1		
Target Met?				Y		

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

**Measure Status:** ACTIVE

**FY 2021 Measure Status:** ACTIVE

**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

Future Plans/Explanation for Shortfall:

## FY 2021 Usages

AFR	BIB	CJ	QPR	SOAR
	Approved	Approved		

## Allocations

2018-2022 Goals (Old) : Goal 5: Achieve Operational Excellence

2022-2026 Goals : Goal X: Mission Critical

Activities : Shared Services Programs (SSP)

MEASURE: Average Cost Per FTE						
	FY 2016	FY 2017	FY 2018	FY 2019	FY 2020	FY 2021
Target				Baseline	1534	
Actual				1436.53		
Target Met?				Y		

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

Measure Status: ACTIVE

FY 2021 Measure Status: ACTIVE

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

Future Plans/Explanation for Shortfall:

## FY 2021 Usages

AFR	BIB	CJ	QPR	SOAR
	Approved	Approved		

## Allocations

2018-2022 Goals (Old) : Goal 4: Transform Government-wide Financial Stewardship

2022-2026 Goals : Goal X: Mission Critical

Activities : Shared Services Programs (SSP)

MEASURE: Customer Satisfaction with ARC Administrative Services						
	FY 2016	FY 2017	FY 2018	FY 2019	FY 2020	FY 2021
Target				Baseline	80	80
Actual					91.1	90.4
Target Met?					Y	Y

**Definition:** Business Line measure of the percentage of ARC customer satisfaction level determined by direct customer input.

**Measure Status:** ACTIVE

**FY 2021 Measure Status:** ACTIVE

**Indicator Type:** Measure

**Data Capture and Source:** Data gathered from survey results from ARC's 'OneVoice' Team led by the Office of Agency Outreach (OAO)

**Data Verification and Validation:**

**Data Accuracy:** Reasonable

**Data Frequency:** Annually

**Future Plans/Explanation for Shortfall:**

#### FY 2021 Usages

AFR	BIB	CJ	QPR	SOAR
Approved	Approved	Approved		

#### Allocations

**2018-2022 Goals (Old) :** Goal 5: Achieve Operational Excellence

**2022-2026 Goals :** Goal X: Mission Critical

**Activities :** Administrative Services

MEASURE: Customer Satisfaction with Centralized Treasury Administrative Services						
	FY 2016	FY 2017	FY 2018	FY 2019	FY 2020	FY 2021
Target				Baseline		
Actual				75	93.5	
Target Met?				Y		

**Definition:** Measure the Customers' Overall Satisfaction with the Services Received Through Centralized Treasury Administrative Services.

**Measure Status:** ACTIVE

**FY 2021 Measure Status:** ACTIVE

**Indicator Type:** Measure

**Data Capture and Source:** The percentage of survey respondents who answer a 4 or 5 on a 5 point satisfaction scale.

**Data Verification and Validation:** OTFFMO will send a yearly survey to its customer contact distribution list.

**Data Accuracy:** Reasonable

**Data Frequency:** Annually

**Future Plans/Explanation for Shortfall:**

#### FY 2021 Usages

AFR	BIB	CJ	QPR	SOAR
Approved	Approved	Approved		

#### Allocations

**2018-2022 Goals (Old) :** Goal 5: Achieve Operational Excellence

**2022-2026 Goals :** Goal X: Mission Critical

**Activities :** Centralized Treasury Administrative Services

**MEASURE: Customer Satisfaction with Shared Services Programs**

	FY 2016	FY 2017	FY 2018	FY 2019	FY 2020	FY 2021
Target				Baseline		
Actual				75		
Target Met?				Y		

**Definition:** Measure the customers' overall satisfaction with the services received through Shared Service Programs.

**Measure Status:** ACTIVE

**FY 2021 Measure Status:** ACTIVE

**Indicator Type:** Measure

**Data Capture and Source:** The percentage of survey respondents who answer a 4 or 5 on a 5 point satisfaction scale.

**Data Verification and Validation:** OTFFMO sends a yearly survey to its customer contact distribution list.

**Data Accuracy:** Reasonable

**Data Frequency:** Annually

**Future Plans/Explanation for Shortfall:**

**FY 2021 Usages**

AFR	BIB	CJ	QPR	SOAR
Approved	Approved	Approved		

**Allocations**

**2018-2022 Goals (Old) :** Goal 5: Achieve Operational Excellence

**Activities :** Shared Services Division

**MEASURE: Customer Unmodified Audit Opinions %**

	FY 2016	FY 2017	FY 2018	FY 2019	FY 2020	FY 2021
Actual	100	100	100	100	100	100

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

**Measure Status:** ACTIVE

**FY 2021 Measure Status:** ACTIVE

**Indicator Type:** Indicator

**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

**Explanation of Outcome/Future Plans:**

**FY 2021 Usages**

AFR	BIB	CJ	QPR	SOAR
Approved	Approved	Approved		

**Allocations**

**2018-2022 Goals (Old) :** Goal 4: Transform Government-wide Financial Stewardship

**2022-2026 Goals :** Goal X: Mission Critical

**Activities :** Administrative Services

MEASURE: Percent of IT Portfolio Treasury Franchise Fund (TFF) Software and Hardware Currency						
	FY 2016	FY 2017	FY 2018	FY 2019	FY 2020	FY 2021
Actual						70

**Definition:** Tracks the percentage of the Treasury Franchise Fund IT Portfolio software and hardware currency, where currency is the measure of technical components (i.e. hardware, software, application frameworks) that have current vendor support and are not end-of-life).

**Measure Status:** BASELINE

**FY 2021 Measure Status:** ACTIVE

**Indicator Type:** Indicator

**Data Capture and Source:** Total number of current IT Portfolio (TFF) Software and Hardware / Total number of IT Portfolio (TFF) Software and Hardware

**Data Verification and Validation:** Architecture and Engineering Division

**Data Accuracy:** Reasonable

**Data Frequency:** Annually

**Explanation of Outcome/Future Plans:**

#### FY 2021 Usages

AFR	BIB	CJ	QPR	SOAR
Approved	Approved	Approved	Approved	

#### Allocations

**2018-2022 Goals (Old) :** Goal 5: Achieve Operational Excellence

**2022-2026 Goals :** Goal X: Mission Critical

**Activities :** Information Technology Services

MEASURE: Percent of On-Premise Target Service Level Agreements (SLA) Met						
	FY 2016	FY 2017	FY 2018	FY 2019	FY 2020	FY 2021
Target						Baseline
Actual						95
Target Met?						Y

**Definition:** Tracks the percentage of service level agreement targets that are met or exceeded, where on-premise is defined by the technology infrastructure housed and managed onsite in Parkersburg, WV and Kansas City, MO.

**Measure Status:** BASELINE

**FY 2021 Measure Status:** ACTIVE

**Indicator Type:** Measure

**Data Capture and Source:** Total number of On-Premise SLAs that were met / Total number of On-Premise SLAs.

**Data Verification and Validation:** Service Operations Division

**Data Accuracy:** Reasonable

**Data Frequency:** Annually

**Future Plans/Explanation for Shortfall:**

#### FY 2021 Usages

AFR	BIB	CJ	QPR	SOAR
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## Allocations

**2018-2022 Goals (Old)** : Goal 5: Achieve Operational Excellence

**2022-2026 Goals** : Goal X: Mission Critical

**Activities** : Information Technology Services

MEASURE: Percentage of Shared Services Service Level Agreement Performance Metrics Met or Exceeded [%]						
	FY 2016	FY 2017	FY 2018	FY 2019	FY 2020	FY 2021
Actual			Baseline	89.41	86.17	89.58

**Definition:** Business Line measure of SLA performance metrics that met or exceeded service levels compared to the total number of performance outcomes across all ARC clients.

**Measure Status:** ACTIVE

**FY 2021 Measure Status:** ACTIVE

**Indicator Type:** Indicator

**Data Capture and Source:** (Number of SLA performance metrics met /Total number of SLA performance metrics)\* 100

**Data Verification and Validation:** ARC Business Management Branch reviews for reasonability each quarter. All service catalog cost per units factored with changes from prior period, while weighted ensures larger more impactful services influence calculation greater as is case for customer's overall price

**Data Accuracy:** Reasonable

**Data Frequency:** Quarterly

**Explanation of Outcome/Future Plans:**

## FY 2021 Usages

AFR	BIB	CJ	QPR	SOAR
Approved		Approved		

## Allocations

**2018-2022 Goals (Old)** : Goal 5: Achieve Operational Excellence

**2022-2026 Goals** : Goal X: Mission Critical

**Activities** : Administrative Services

## United States Mint

MEASURE: Customer Satisfaction Index (%)						
	FY 2016	FY 2017	FY 2018	FY 2019	FY 2020	FY 2021
Target	90	90	90	90	90	87
Actual	91	91.7	93.6	93.6	91.7	84.5
Target Met?	Y	Y	Y	Y	Y	N

**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.

**Measure Status:** ACTIVE

**FY 2021 Measure Status:** ACTIVE

**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

**Future Plans/Explanation for Shortfall:**

#### FY 2021 Usages

AFR	BIB	CJ	QPR	SOAR
Approved	Approved	Approved		

#### Allocations

**2018-2022 Goals (Old) :** Goal 1: Boost U.S. Economic Growth

**2022-2026 Goals :** Goal X: Mission Critical

**Activities :** Manufacturing

MEASURE: Numismatic Sales Units (Million Units)						
	FY 2016	FY 2017	FY 2018	FY 2019	FY 2020	FY 2021
Target	4.6	4.4	3.5	3.9	3.8	3.6
Actual	4.2	3.9	3.3	4.3	3.4	3.66294

**Target Met?**

**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.

**Measure Status:** ACTIVE

**FY 2021 Measure Status:** ACTIVE

**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

**Future Plans/Explanation for Shortfall:**

#### FY 2021 Usages

AFR	BIB	CJ	QPR	SOAR
Approved	Approved	Approved	Approved	

#### Allocations

**2018-2022 Goals (Old) :** Goal 1: Boost U.S. Economic Growth

**2022-2026 Goals :** Goal X: Mission Critical

**Activities :** Manufacturing

MEASURE: Safety Incident Recordable Rate						
	FY 2016	FY 2017	FY 2018	FY 2019	FY 2020	FY 2021
Target	2.96	2.83	2.46	2.39	2.32	2.3
Actual	2.53	1.96	1.9	1.45	1.29	0.71

Target Met?

**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).

**Measure Status:** ACTIVE

**FY 2021 Measure Status:** ACTIVE

**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

**Future Plans/Explanation for Shortfall:**

#### FY 2021 Usages

AFR	BIB	CJ	QPR	SOAR
Approved	Approved	Approved		

#### Allocations

**2018-2022 Goals (Old) :** Goal 5: Achieve Operational Excellence

**2022-2026 Goals :** Goal X: Mission Critical

**Activities :** Manufacturing

MEASURE: Seigniorage per Dollar Issued (\$)						
	FY 2016	FY 2017	FY 2018	FY 2019	FY 2020	FY 2021
Target	0.47	0.48	0.43	0.36	0.36	0.41
Actual	0.52	0.45	0.37	0.4	0.47	0.37
Target Met?	Y	N	N	Y	Y	N

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

**Measure Status:** ACTIVE

**FY 2021 Measure Status:** ACTIVE

**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

**Future Plans/Explanation for Shortfall:**

#### FY 2021 Usages

AFR	BIB	CJ	QPR	SOAR
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Approved

## Allocations

**2018-2022 Goals (Old)** : Goal 5: Achieve Operational Excellence

**2022-2026 Goals** : Goal X: Mission Critical

**Activities** : Manufacturing

## Measures not Linked to Strategic Objectives

MEASURE: Debts Processed Through Cross Servicing						
	FY 2016	FY 2017	FY 2018	FY 2019	FY 2020	FY 2021
Actual						911073

**Definition:** This is a year-to-year workload indicator that displays the number of new debts processed through Cross-Servicing.

**Measure Status:** BASELINE

**FY 2021 Measure Status:** ACTIVE

**Indicator Type:** Indicator

**Data Capture and Source:** The total number of new debts referred to Cross-Servicing within a fiscal year.

**Data Verification and Validation:** An economist from the Business Analytics branch pulls and validates the data. This data is extracted from the CSNG system before it is submitted to be used for this measure.

**Data Accuracy:** Reasonable

**Data Frequency:** Annually

**Explanation of Outcome/Future Plans:**

### FY 2021 Usages

AFR	BIB	CJ	QPR	SOAR

## Allocations

**2018-2022 Goals (Old)** : Goal 4: Transform Government-wide Financial Stewardship

**Activities** : Debt Collection

MEASURE: Debts Processed Through Treasury Offset Program (TOP) (#M)						
	FY 2016	FY 2017	FY 2018	FY 2019	FY 2020	FY 2021
Actual						Baseline

**Definition:** This is a year-to-year workload indicator that displays the number of new debts processed through the Treasury Offset Program (TOP).

**Measure Status:** BASELINE

**FY 2021 Measure Status:** ACTIVE

**Indicator Type:** Indicator

**Data Capture and Source:** The total number of new debts referred to TOP within a fiscal.

**Data Verification and Validation:** A TOP data analyst pulls and validates this data. This data is extracted directly from the TOP system before it is submitted to be used for this measure.

**Data Accuracy:** Reasonable

**Data Frequency:** Annually

**Explanation of Outcome/Future Plans:**

## FY 2021 Usages

AFR	BIB	CJ	QPR	SOAR

## Allocations

**2018-2022 Goals (Old)** : Goal 4: Transform Government-wide Financial Stewardship

**Activities** : Debt Collection

MEASURE: Count of Governmentwide Accounting Reports Issued Timely						
	FY 2016	FY 2017	FY 2018	FY 2019	FY 2020	FY 2021
Target						264
Actual						263
Target Met?						N

**Definition:** Indicator of a count of Governmentwide Accounting reports issued timely.

**Measure Status:** ACTIVE

**FY 2021 Measure Status:** ACTIVE

**Indicator Type:** Measure

**Data Capture and Source:** The total number of Daily Treasury Statements and Monthly Treasury Statements that are issued timely within a fiscal year.

**Data Verification and Validation:** The Daily Treasury Statement (DTS) must be published by 4:00 pm every business day. Fiscal Accounting accountants conduct pre-check activities throughout the day and a final check at 4:00 pm to ensure that the DTS was published to the Fiscal Service website.

The Monthly Treasury Statement (MTS) must be published on the 8th business day of the month by 2:00 pm. Fiscal Accounting accountants conduct pre-check activities during the first 8 business days of the month and a final check on the 8th business day at 2:00pm to ensure that the report has been published to the Fiscal Service website.

**Data Accuracy:** Reasonable

**Data Frequency:** Annually

**Future Plans/Explanation for Shortfall:**

## FY 2021 Usages

AFR	BIB	CJ	QPR	SOAR

## Allocations

**2012-2015 Goals (OLD)** : Goal 4: Pursue Comprehensive Tax and Fiscal Reform

**Activities** : Accounting and Reporting