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**APPROPRIATION LANGUAGE**

*For expenses necessary for the Office of Inspector General in carrying out the provisions of the Inspector General Act of 1978, \$30,000,000, together with not to exceed \$75,500,000, to be transferred and expended as authorized by section 201(g)(1) of the Social Security Act from the Federal Old-Age and Survivors Insurance Trust Fund and the Federal Disability Insurance Trust Fund.*

*In addition, an amount not to exceed 3 percent of the total provided in this appropriation may be transferred from the "Limitation on Administrative Expenses", Social Security Administration, to be merged with this account, to be available for the time and purposes for which this account is available: Provided, That notice of such transfers shall be transmitted promptly to the Committees on Appropriations of the House of Representatives and the Senate at least 15 days in advance of any transfer.*

Note.—A full-year 2017 appropriation for this account was not enacted at the time the budget was prepared; therefore, the budget assumes this account is operating under the Further Continuing Appropriations Act, 2017 (P.L. 114–254). The amounts included for 2017 reflect the annualized level provided by the continuing resolution.

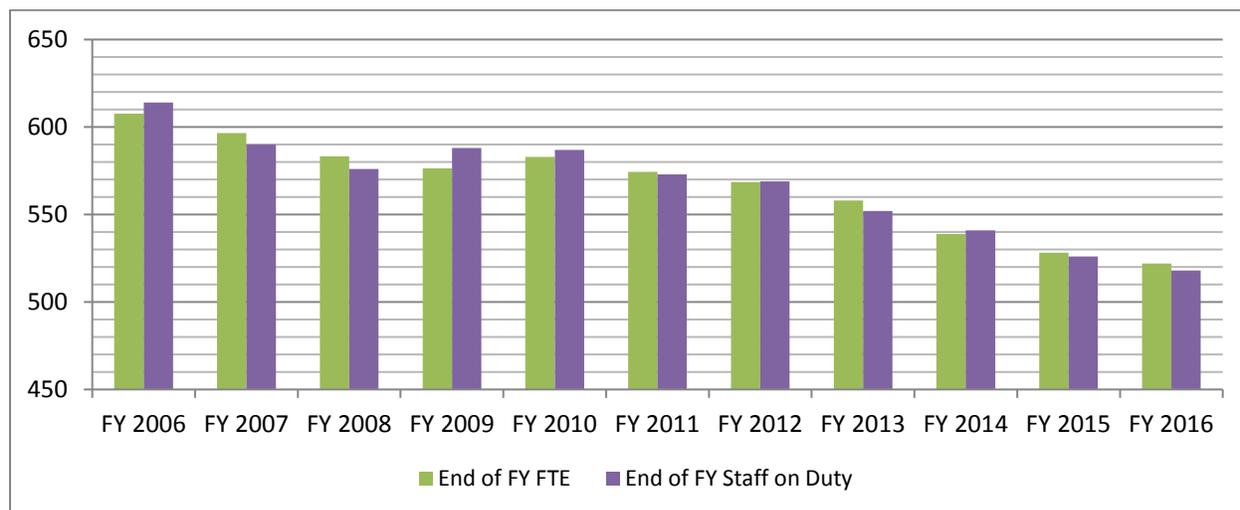
## GENERAL STATEMENT

### OVERVIEW

The Fiscal Year (FY) 2018 President's Budget for the SSA Office of the Inspector General (OIG) is \$105,500,000 in total budget authority and 517 FTE. There is no increase in funding from the Consolidated Appropriations Act, 2016 (P.L. 114-113). For FY 2017, a full-year appropriation for this account was not enacted at the time the budget was prepared; therefore, the budget assumes this account is operating under the Further Continuing Appropriations Act, 2017 (P.L. 114-254). The amounts included for 2017 reflect the annualized level provided by the continuing resolution.

As the FY 2018 request is approximately flat with FYs 2016 and 2017, our staffing levels must decrease in order to absorb increased fixed costs. Our Payroll represents 87% of our budget. Our FY 2018 budget request will provide funding for 517 FTE staffing level, a 1.9% projected pay raise, other payroll increases (e.g., within-grade increases, scheduled promotions, health benefits, etc.), and related support costs.

OIG staffing has dropped from 608 FTE at the end of FY 2006 to 522 FTE at the end of FY 2016, a decrease of 86 FTE. In order to meet Congressionally mandated Cooperative Disability Investigations (CDI) unit expansion with no budget increase, we will have to absorb all personnel losses from existing staff. OIG will continue to meet its homeland security responsibilities through audit and investigative activities that focus on strengthening the enumeration process and combating SSN misuse.



In FY 2018, our budget includes \$400,000 for training, which satisfies our FY 2018 training requirements. In FY 2018, we will contribute about \$317,000 to the Council of the Inspectors General on Integrity and Efficiency (CIGIE), as requested.

**Table 4.1—Justification**

	<b>FY 2016 Actual</b>	<b>FY 2017 Estimate</b>	<b>FY 2018 Passback</b>	<b>FY17 to FY18 Change</b>
FTE	522	517	517	0
Appropriation	\$ 105,500,000	\$ 105,238,000	\$ 105,500,000	\$262,000
Total Obligations	\$ 104,709,459	\$ 105,238,000	\$ 105,500,000	\$262,000
Unobligated balance lapsing	\$ 790,541	\$ 0	\$ 0	\$ 0

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**ONGOING INITIATIVES**


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**Computer Forensic Cyber-Related Investigations**

Our *Digital Forensics Team* (DFT) provides forensic support to investigations involving at least one computer, network, electronic data storage, communication, mobile device or other form of digital media; as well as the collection, examination, analysis and reporting of the data acquired. The DFT provides needed forensic assistance to the field in support of ongoing investigations. In FY 2015, the DFT implemented the initial infrastructure of a “private cloud” based forensics network that now allows the DFT to offer faster processing and examining times and provides an overall better digital forensics solution for the OIG. This infrastructure allows the DFT to maintain a secure central repository for forensic evidence and DFT case work. Moving forward, the DFT will need additional funds to maintain, secure and expand the forensic network to meet the growing demands of the ever-evolving cyber-crime movement, which the OIG will prioritize in its spending. Additional funds will also allow the DFT to increase its infrastructure and data storage capabilities. Data storage is vital to a computer forensics program so we can provide adequate support as components request it.

In addition to traditional forensic services, the DFT works hand-in-hand with SSA to protect SSA’s network and Personally Identifiable Information (PII). With the issuance of *National Security Presidential Directive 54* and the emphasis placed on the *Government’s Trusted Internet Connection* initiative, protecting government networks has become a critical priority. There has been an increase in cyber based attacks on networks, to include government maintained electronic data; therefore, the potential for computer-based fraud against SSA systems and programs is growing exponentially. Techniques used to compromise computer systems are on the rise nationally, as computer crimes become more prevalent. To be effective, we must keep pace with technological advances. To maintain this essential priority at flat funding, we must reduce funding in lower priority areas in order to provide our computer forensic examiners with additional equipment, training, and software needed to combat increasingly complex computer crimes.

DFT personnel received basic network intrusion training in FY 2016; however, additional training is necessary to adequately address complex and evolving cyber-crimes. In FY 2018, DFT will receive additional skills training to continually enhance its abilities in the area of

computer security and incident response. Training in cyber-crime prevention will allow DFT to respond quickly and appropriately to cyber-incidents before any PII is compromised.

### **Cooperative Disability Investigations**

The Cooperative Disability Investigations (CDI) Program is a key SSA anti-fraud initiative that plays a vital role in combating fraud, similar fault, and abuse within SSA's disability programs. CDI units, consisting of personnel from SSA, OIG, State disability determination agencies, and local law enforcement investigate initial disability claims and post-entitlement events involving suspected fraud. CDI units investigate claimants as well as third parties who are potentially facilitating disability fraud.

CDI investigations help SSA:

- prevent claimants who do not meet eligibility requirements from receiving benefits;
- terminate the benefits of those who have concealed medical improvement or failed to disclose substantial gainful activity; and,
- revisit administrative determinations of claimants who may never have been eligible for benefits.

In FY 2016, the CDI program consisted of 39 units covering 33 states, the District of Columbia, and the Commonwealth of Puerto Rico. We will continue to expand this program in FY 2018. The *Bipartisan Budget Act of 2015* (BBA) requires SSA to expand the CDI program to cover all States and Territories no later than October 1, 2022. This requirement will be subject to the availability of funding and participation of local law enforcement agencies. As the CDI program expands to meet the BBA mandate, OIG will relocate staff to support the CDI mission both in the field and at headquarters, which will require us to shift resources away from other investigative priorities.

### **Allegation Management and Fugitive Enforcement**

The Allegation Management and Fugitive Enforcement Division (AMFED) is responsible for receiving, analyzing, and referring allegations of fraud, waste, and abuse in Social Security programs and operations. AMFED is also responsible for managing the fugitive warrant verification and referral process for Social Security's fugitive enforcement operations.

In FY 2016, these processes contributed significantly to the mission of OIG and SSA. AMFED received 92,134 allegations. Through the development of referred allegations, SSA identified \$3,382,791 in benefit overpayments. AMFED matched 145,351 fugitive subjects from incoming Federal, State, and local warrant files and referred them to law enforcement for apprehension and warrant verification. AMFED referred 1,923 fugitive subjects for benefit suspension. Through these data-sharing efforts, law enforcement reports that 617 fugitives were apprehended.

## Civil Monetary Penalty Program

Section 701 of the Bipartisan Budget Act of 2015, PL 114-74 (BBA of 2015) amended the Federal Civil Penalties Inflation Adjustment Act of 1990 (the Inflation Adjustment Act) (Public Law 104-410), to improve the effectiveness of civil monetary penalties and to maintain their deterrent effect. Penalties under the Social Security Act, which were previously excluded by a 1996 amendment to the Inflation Adjustment Act, are now subject to the catch-up and annual inflation increases. The provision requires agencies to: (1) adjust the level of civil monetary penalties with an initial “catch-up” adjustment through an interim final rulemaking; and (2) make subsequent annual adjustments for inflation. Inflation adjustments will be based on the percent change in the Consumer Price Index for all Urban Consumers (CPI-U) for the month of October preceding the date of the adjustment, relative to the October CPI-U in the year of the previous adjustment. On June 27, 2016, we published an interim final rule providing notice of the adjusted level of our civil monetary penalties with an initial “catch-up” adjustment to take effect on August 1, 2016. On December 29, 2016, we published notice of the initial annual adjustments for inflation of our civil monetary penalties to take effect on January 15, 2017.

We continue our emphasis on enforcing Section 1129 of the *Social Security Act*, which authorizes Civil Monetary Penalties (CMPs) against those who make false statements or misrepresentations in connection with obtaining or retaining payments under Titles II, VIII, or XVI of the *Social Security Act*. We can also penalize representative payees for wrongful conversion of payments and penalize individuals who knowingly withhold a material fact from SSA. If the Department of Justice or a local prosecutor does not pursue criminal or civil prosecution, we are authorized to impose penalties of up to \$8,084 for each false statement, misrepresentation, conversion, or omission. A person may also be subject to an assessment, in lieu of damages, of up to *twice* the amount of any resulting overpayment. In addition to providing for an initial “catch up adjustment” and annual adjustments for inflation for all CMPs imposed under section 1129 of the *Social Security Act*, the BBA of 2015 amended section 1129 to specifically increase the CMP that may be imposed against an individual who violates their position of trust with an applicant for Social Security benefits from a maximum of \$5,000, to a maximum of \$7,500. After applying the initial inflation adjustment that took effect on January 15, 2017, the current maximum CMP that may be imposed on a person in a position of trust that defrauds SSA is \$7,623. Section 813(b) of the BBA of 2015 defines a person in a position of trust as someone who “receives a fee or other income for services performed in connection with any determination with respect to benefits under [Titles II, VIII and XVI of the Social Security Act] (including a claimant representative, translator, or current or former employee of the Social Security Administration), or who is a physician or other health care provider who submits, or causes the submission of, medical or other evidence in connection with any such determination....”

Our CMP authority allows us to recover fraud losses from those responsible, when prosecutors decline to pursue OIG investigations for criminal or civil prosecution. Many times, our investigations of individuals result in fraud losses below financial thresholds set by U.S. Attorneys’ offices. The Section 1129 program is an effective supplemental tool to prevent and deter fraud, and recover fraud losses, thereby strengthening public trust in the agency. Thus, we remain committed to aggressive enforcement.

Also, using authority delegated by the Acting Commissioner of Social Security, we aggressively enforce Section 1140 of the Social Security Act. Section 1140, the consumer protection prong of the agency's civil monetary penalty program, prohibits people or companies from misusing Social Security or Medicare symbols, emblems, or names to mislead consumers by giving the false impression that they are associated with, or endorsed by, SSA when they advertise, solicit services, or otherwise communicate with the public. These communications can take many forms, including mailed or televised advertisements, Internet sites, social media accounts, and mobile applications. Section 1140 also prohibits the reproduction and sale of Social Security publications and forms without authorization. We can impose CMPs of up to \$10,055 for each violation and \$50,276 for each violative broadcast, telecast, dissemination, viewing, or accessing of such a communication. We continually explore outreach opportunities to educate the public on how to recognize and avoid scams, and we welcome the opportunity to work with companies to develop innovative approaches to combat Section 1140 violations.

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## SSA'S SIGNIFICANT MANAGEMENT ISSUES

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OIG annually identifies the most significant management issues facing SSA based on congressional mandates and its audit and investigative work. These issues are:

1. Strengthen Planning, Transparency, and Accountability
2. Improve Customer Service
3. Reduce Pending Disability Claims and Improve Decisional Quality
4. Invest in Information Technology Modernization to Support Current and Future Workloads
5. Secure Information Systems and Protect Sensitive Data
6. Reduce Improper Payments and Increase Overpayments Recoveries
7. Strengthen the Integrity and Protection of the Social Security Number

A summary of each management issue is discussed below:

### **Issue #1: Strengthen Planning, Transparency, and Accountability**

Planning, transparency, and accountability are critical factors in effective management. Failure to plan properly to meet its mission and challenges will lessen the Agency's ability to provide its services efficiently and effectively now and in the future. We have previously noted that while planning for the next few years is important, a longer-term vision is critical to ensuring that SSA has the programs, processes, staff, and infrastructure required to provide needed services 10 to 20 years from now and beyond. In FY 2015, SSA published its *Vision 2025* report, which presents three priorities - superior customer experience, exceptional employees, and innovative organization. However, *Vision 2025* itself does not include specific, measurable goals or outline the strategy needed to implement SSA's proposed vision. To show transparency, the Agency has a mixture of outcome and output performance measures (PM) on which it publicly reports. However,

many of the output measures relate to budgeted workloads and do not inform a reader whether the completion of the workloads has positive outcomes. Measuring outputs, or steps in a process, does not inform the public whether SSA is having the outcomes it needs to efficiently and effectively provide its services and meet its mission. Regarding accountability, the FY 2016 Independent Auditor's Report contained three significant deficiencies in (a) internal controls related to calculation, recording, and prevention of overpayments, (b) redeterminations, and (c) information systems controls. The Acting Commissioner has made addressing these deficiencies a priority.

## **Issue #2: Improve Customer Service**

SSA faces several challenges as it pursues its mission to deliver quality services, include rapid advances in technology and an aging population and workforce. SSA stated that the population aged 65 and older would grow by about 18 million from FY 2016 to 2025, and an additional 20.4 million by 2050, thereby dramatically increasing the demand for its services. SSA continues to face significant service delivery challenges due to the aging of the baby boomer population and the expectation that many of its most experienced staff will retire in the near future. While SSA estimates that retirement and disability beneficiaries will increase from 59 million in 2016 to 86.7 million in 2025, it projects that more than one-third of its workforce will retire by 2022. Further, the rapid spread of mobile devices, ease of use, and growth in service provision via these devices will fuel expectations for mobile access to government services. Finally, our audits continue to identify problems with SSA's administration of the representative payee program and our investigations identified various types of representative payee fraud. In March 2016, the Social Security Advisory Board released *Representative Payees: A Call to Action*, which outlines some of the issues facing the representative payee program, reasons for concern, and encourages further research.

## **Issue #3: Reduce Pending Disability Claims and Improve Decisional Quality**

While pending initial disability claims have decreased since FY 2010, the Agency still faces challenges with pending hearings and appeals. Continued focus on decisional quality is essential to ensure the integrity of the process. SSA ended FY 2016 with almost 568,000 initial disability claims pending. SSA has had a backlog of full medical continuing disability reviews (CDR) since FY 2002. While the backlog has decreased recently, it remained at 280,000 at the end of FY 2016. SSA has increased the number of full medical CDRs completed in recent years, and expects to eliminate the backlog by the end of FY 2019. As far as returning to work, a recent review of the Ticket to Work and Self-Sufficiency Program found that few Ticket-eligible beneficiaries used their Tickets to receive vocational or employment services. Also, an independent evaluation<sup>1</sup> failed to provide strong evidence of the Ticket Program's impact on employment and concluded that many successful Program

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<sup>1</sup> Mathematica Policy Research, Executive Summary of the Seventh Ticket to Work Evaluation Report, p. 1, July 2013.

participants might have been equally successful without SSA-financed services or with services provided by state vocational rehabilitation agencies under the payment system that predated the Ticket Program. Another part of the disability program, the hearings and appeals process, has experienced worsening timeliness and growing backlogs. For instance, the average processing time for a hearing increased 27 percent from 426 days at the end of FY 2010 to 543 days at the end of FY 2016. Moreover, during the same period, the pending hearing backlog grew 59 percent, from over 700,000 cases at the end of FY 2010 to more than 1.1 million cases at the end of FY 2016.

#### **Issue #4: Invest in Information Technology Modernization to Support Current and Future Workloads**

SSA must modernize its information technology (IT) to accomplish its mission despite budget and resources constraints. SSA's aging IT infrastructure is increasingly difficult and expensive to maintain. The Agency continues to rely on outdated applications and technologies to process its core workloads, such as retirement and disability claims. According to SSA, budget constraints have forced it to use much of its IT funding to operate and maintain existing systems. To ensure SSA can keep pace with increasing workloads, the Agency must maintain its legacy systems while developing their modern replacements. One of the Agency's priorities is to develop, and increase the use of, self-service options. To achieve that goal, SSA plans to rapidly expand the services available through its *my Social Security* online portal. In addition, the Agency is expanding the availability of an application to permit certain individuals to request replacement SSN cards online. In 2015, we evaluated SSA's Authentication Risk Assessment for the Internet Social Security Number Replacement Card Project and identified some concerns with the mitigating controls SSA plans to use for the application. SSA also faces challenges in executing and implementing major IT projects and delivering expected functions on-schedule and within budget. For example, to simplify system support and maintenance, improve the speed and quality of the disability process, and reduce the overall growth rate of infrastructure costs, SSA plans to develop the Disability Case Processing System (DCPS), which, once implemented, will be used by all DDSs. However, the project has faced schedule delays and increasing stakeholder concerns.

**Issue #5: Secure Information Systems and Protect Sensitive Data**

SSA must ensure its information systems are secure and sensitive data is protected. Recent breaches at several Federal agencies have underscored the importance of securing Federal systems and protecting sensitive information. The information SSA houses on nearly every U.S. citizen is invaluable to would-be hackers and potential identity thieves. Consequently, the Agency's information systems may be at particular risk of attack. Given the highly sensitive nature of the personal information in its systems, it is imperative that SSA have a robust information security program. Our prior audit and investigative work has revealed a number of concerns with the security of SSA's information systems. Since FY 2012, auditors have identified weaknesses that, when aggregated, created a significant deficiency in SSA's overall information systems security program that compromised the security of the Agency's information and information systems. Additionally, other recent audits and evaluations have identified serious concerns with SSA's information security program. While expanding its inventory of electronic services, the Agency needs to ensure those services are secure. Prior investigative and audit work have identified multiple incidents of fraud committed through SSA's electronic services. For example, despite controls to prevent unauthorized access to *my Social Security*, we continue to receive fraud allegations related to *my Social Security* accounts.

**Issue #6: Reduce Improper Payments and Increase Overpayment Recoveries**

SSA is responsible for issuing over \$900 billion in benefit payments, annually, to about 65 million people. Given the large overall dollar amounts involved, even the slightest error in the overall process can result in millions of dollars in over- or underpayments. In its FY 2016 Agency Financial Report, SSA reported about \$7.9 billion in over- or underpayments and incurred an administrative cost of \$0.07 for every overpayment dollar it collected. SSA strives to balance its service commitments to the public with its stewardship responsibilities. However, given the size and complexity of the programs the Agency administers, some payment errors will occur. Nonetheless, SSA has not met its payment accuracy targets in the last few years. Both the OIG and Government Accountability Office noted in 2016 reports that SSA is not in compliance with the Improper Payments Elimination and Recovery Act of 2010 requirements for meeting its targeted payment accuracy rates. Because of this noncompliance, SSA prepared remediation plans that outlined steps it plans to take to become compliant. Once SSA determines an individual has been overpaid, it attempts to recover the overpayment. According to SSA, in FY 2016, it recovered \$3.3 billion in overpayments at an administrative cost of \$0.07 for every dollar collected and ended the FY with an uncollected overpayment balance of \$18.5 billion.

**Issue #7: Strengthen the Integrity and Protection of the Social Security Number**

Protecting the Social Security number (SSN) and properly posting the wages reported under SSNs are critical to ensuring eligible individuals receive the full benefits they are due. While SSA has improved its enumeration process, given the preponderance of SSN misuse and identity theft in U.S. society, we continue to believe protection of this critical number is a considerable challenge for SSA as well as its millions of stakeholders. Unfortunately, once SSA assigns an SSN, it has no authority to control how other entities collect, use, and protect it. Our audit and investigative work have shown that the more frequently SSNs are unnecessarily used, the higher the probability individuals could use them to commit crimes. Further, we remain concerned about SSN misuse by non-citizens who are not authorized to work in the United States. Properly posting earnings ensures eligible individuals receive the full retirement, survivors, and/or disability benefits due them. If employers report earnings information incorrectly or not at all, SSA cannot ensure all individuals entitled to benefits are receiving the correct payment amounts. SSA spends scarce resources correcting earnings data when employers report incorrect information.

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## MONETARY BENEFITS

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In FY 2016, OIG issued 79 audit reports with recommendations, identifying nearly \$982 million in questioned costs and nearly \$306 million in Federal funds that could be put to better use. OIG also received over 143,000 allegations of fraud, effected almost 1,200 criminal convictions, and obtained a return of over \$484 million in monetary accomplishments, comprised of nearly \$129 million in SSA recoveries, restitutions, fines, settlements, and judgments, and over \$355 million in projected SSA savings. Our FY 2018 funding will enable us to issue timely reports, provide training required by Government Auditing Standards, and cover mission-critical travel.

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## STRATEGIC PLANNING

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FY 2016 was the first year under OIG's 5-year Strategic Plan (FY 2016-FY 2020). OIG operates within a framework set by three general goals: the *Impact* OIG's investigations, audits, and legal activities have on SSA's effectiveness and efficiency; the *Value* OIG brings to SSA, Congress, and the public; and the strategies OIG uses to cultivate the talents of its *People*. These general goals are further broken down into 15 separate performance measures. All of these measures are designed to support OIG's core mission to inspire public confidence by detecting and preventing fraud, waste, and abuse in SSA's programs and operations. For FY 2016, OIG successfully met or exceeded all 15 of its performance measures. The specific results for FY 2016 are as follows:

**Table 4.2—2016 Performance Measure Results**

<b>Goal</b>	<b>Target</b>	<b>Result</b>
<b><i>Impact</i></b>		
1. Maintain an annual acceptance rate of at least 88% for all audit recommendations.	88%	<b>99%</b>
2. Achieve a 5-year average implementation rate of 85% for accepted recommendations aimed at improving the integrity, efficiency, and effectiveness of SSA.	85%	<b>85%</b>
3. Ensure at least 80% of all cases opened during the FY directly relate to improper payments within SSA's Title II and Title XVI Programs.	80%	<b>96%</b>
4. Achieve a successful conclusion on at least 75% of all Title II and Title XVI cases closed during the FY.	75%	<b>87%</b>
<b><i>Value</i></b>		
5. Generate a positive return of \$8 for every tax dollar invested in OIG activities.	\$8 to 1	<b>\$17 to 1</b>
6. Evaluate and respond to 90% of all allegations received within 45 days.	90%	<b>97%</b>
7. Complete investigative fieldwork on 75% of all cases within 180 days.	75%	<b>90%</b>
8. Respond to 95% of constituent-based congressional inquiries within 21 days.	95%	<b>98%</b>
9. Take action on 90% of Civil Monetary Penalty (CMP) subjects within 30 days of receipt.	90%	<b>99%</b>
10. Achieve a positive external user assessment rating of 85% for product service quality.	85%	<b>95%</b>
11. Issue 85% of final audit reports within 1 year of the entrance conference with SSA.	85%	<b>97%</b>
12. Complete 85% of requests for legal advice and review within 30 days.	85%	<b>97%</b>
<b><i>People</i></b>		
13. Achieve an annual attrition rate of 5% or less.	≤5 %	<b>2%</b>
14. Conduct an annual employee job-satisfaction survey and implement corrective action plans to identify areas where improvements are needed. (Improvement is indicated when the score of questions relating to job satisfaction is ≤ 75%.)	75%	<b>77%</b>
15. Ensure that 90% of OIG staff receives 40 or more hours of appropriate developmental and skill enhancement training annually.	90%	<b>99%</b>

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### TRANSFER AUTHORITY

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The budget request includes language providing authority to transfer an amount of up to 3 percent of the total OIG appropriation from SSA's LAE appropriation. This language provides the flexibility to meet unanticipated funding requirements and to ensure that adequate resources are available to meet program objectives. The request is consistent with similar authority to transfer funds between appropriations provided to other departments and agencies in appropriation language.

## BUDGETARY RESOURCES

The OIG annual appropriation consists of appropriations from both the general fund and the trust funds. The President's budget request for FY 2018 consists of \$30,000,000 appropriated from the general fund, and \$75,500,000 which will be transferred and expended as authorized by Section 201(g) (1) of the Social Security Act from the Federal Old-Age and Survivors Insurance Trust Fund and the Federal Disability Insurance Trust Fund.

**Table 4.3—Amounts Available for Obligation**

	(In thousands)		
	FY 2016 Actual	FY 2017 Estimate	FY 2018 Passback
General Funds Annual	\$ 29,787	\$ 29,713	\$ 30,000
Trust Funds Annual Transfer	\$ 75,713	\$ 75,525	\$ 75,500
<b>Total Appropriation</b>	<b>\$ 105,500</b>	<b>\$ 105,238</b>	<b>\$ 105,500</b>
<b>Total Budgetary Resources</b>	<b>\$ 105,500</b>	<b>\$ 105,238</b>	<b>\$ 105,500</b>
Total Obligations	\$ 104,710	\$ 105,238	\$ 105,500
Unobligated balance lapsing	\$ 790	\$ 0	\$ 0

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**ANALYSIS OF CHANGES**


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The FY 2018 request represents no change from the FY 2016 enacted figure and a \$262,000 increase from the FY 2017 estimated appropriation, which included a rescission. Increases in base expenses for employee salaries and benefits, including a proposed pay increase for related support costs, will be offset by reductions in other objects.

**Table 4.4—Summary of Changes**

	<b>FY 2017 Estimate</b>	<b>FY 2018 Passback</b>	<b><i>FY17 to FY18 Change</i></b>
General Fund Appropriation	\$ 29,713,000	\$ 30,000,000	\$287,000
Trust Fund Appropriation	\$ 75,525,000	\$ 75,500,000	\$-25,000
<b>Total Appropriation</b>	<b>\$ 105,238,000</b>	<b>\$ 105,500,000</b>	<b>\$262,000</b>
<b>Total Obligations</b>	<b>\$ 105,238,000</b>	<b>\$ 105,500,000</b>	<b>\$262,000</b>

Table 4.5—Explanation of OIG Budget Changes

	FY 2017 Base		Change from Base	
	WYs (FTEs)	Budgetary Resources	WYs (FTEs)	Budgetary Resources
<b><u>BUILT-IN INCREASES</u></b>				
<b>Base Payroll Expenses</b>	<b>520</b> <b>(517)</b>		<b>+0</b> <b>(+0)</b>	
• <i>Change in base payroll expenses related to career ladder promotions and within-grade increases</i>	---	\$ 65,758,000	-- -	+ \$ 380,000
• <i>Change in base expenses for employee benefits including health benefits and new employees hired under the Federal Retirement Employees System</i>	-- -	\$ 25,573,000	---	+ \$ 147,000
• <i>All other payroll changes, including overtime and awards</i>	---		-- -	
<b>Non-Payroll Costs</b> - All other built-in nonpayroll changes, travel management support and equipment	---	\$ 8,771,000	-- -	---
* <b>Rent</b>	---	\$ 4,872,000	---	-- -
* <b>CIGIE Contribution</b>	---	\$264,000	-- -	+\$53,000
<b>Subtotal, Built-in increases</b>	<b>520</b> <b>(517)</b>	<b>\$ 105,238,000</b>	<b>+0</b> <b>(+0)</b>	<b>+\$580,000</b>
<b><u>PROGRAM INCREASES</u></b>				
<b>Increase for operations and maintenance of facilities and equipment</b>	---	---	---	\$ 0
<b>Subtotal, Program Increases</b>	---	---	---	\$ 0
<b>Total Increases</b>	<b>520</b> <b>(517)</b>	<b>\$ 105,238,000</b>	<b>+0</b> <b>(+0)</b>	<b>+\$580,000</b>

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	FY 2017 Base		Change from Base	
	WYs (FTEs)	Budgetary Resources	WYs (FTEs)	Budgetary Resources
<b><u>BUILT-IN DECREASES</u></b>				
<b>Base Payroll Expenses</b> —Decrease in all other payroll costs	<b>520</b> <b>(517)</b>	<b>\$ 91,331,000</b>	<b>+0</b> <b>(+0)</b>	<b>---</b>
<b>Non-Payroll Costs</b>	<b>---</b>	<b>\$ 8,771,000</b>	<b>---</b>	<b>\$-276,000</b>
<b>Rent</b>	<b>---</b>	<b>\$ 4,872,000</b>	<b>---</b>	<b>-\$42,000</b>
<b>CIGIE Contribution</b>	<b>---</b>	<b>\$ 264,000</b>	<b>---</b>	<b>---</b>
<b>Subtotal, Built-in decreases</b>	<b>---</b>	<b>\$ 105,238,000</b>	<b>---</b>	<b>-\$318,000</b>
<b><u>PROGRAM DECREASES</u></b>				
<b>Decrease in costs for training, other support, services, and supplies</b>	<b>---</b>	<b>---</b>	<b>---</b>	<b>---</b>
<b>Subtotal, Program Decreases</b>	<b>---</b>	<b>---</b>	<b>---</b>	<b>---</b>
<b>Total Decreases</b>	<b>---</b>	<b>\$ 105,238,000</b>	<b>---</b>	<b>-\$318,000</b>
<b>Net Change</b>	<b>520</b> <b>(517)</b>	<b>\$ 105,238,000</b>	<b>+0</b> <b>(+0)</b>	<b>\$ 262,000</b>

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**BUDGET AUTHORITY BY ACTIVITY**


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The table below displays budget authority, split by type of funding, and obligations. This table also includes FTEs.

**Table 4.6—Budget Authority by Activity**

	<b>(In thousands)</b>		
	<b>FY 2016 Actual</b>	<b>FY 2017 Estimate</b>	<b>FY 2018 Passback</b>
General Funds	\$ 29,787	\$ 29,713	\$ 30,000
OASDI Trust Fund Transfers	\$ 75,713	\$ 75,525	\$ 75,500
<b>Total Appropriation</b>	<b>\$ 105,500</b>	<b>\$ 105,238</b>	<b>\$ 105,500</b>
<b>Total Budgetary Authority</b>	<b>\$ 105,500</b>	<b>\$ 105,238</b>	<b>\$ 105,500</b>
Obligations	\$ 104,710	\$ 105,238	\$ 105,500
Unobligated balance lapsing	\$ 790	\$ 0	\$ 0
FTEs	522	517	517

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**BUDGET RESOURCES BY OBJECT**


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The table below displays the breakdown of budget resources by object class.

**Table 4.7—Budget Resources by Object**

	<b>FY 2016</b>	<b>FY 2017</b>	<b>FY 2018</b>	<b><i>FY17 to FY18 Change</i></b>
Full-time permanent	\$ 62,548,000	\$ 63,650,000	\$ 64,163,000	+ \$ 513,000
Other than full-time permanent	\$ 516,000	\$ 600,000	\$ 600,000	\$ 0
Other compensation	\$ 1,142,000	\$ 1,508,000	\$1,375,000	-\$ 133,000
Subtotal, Personnel Compensation	\$ 64,206,000	\$ 65,758,000	\$ 66,138,000	+ \$ 380,000
Civilian personnel benefits	\$ 26,826,000	\$ 25,573,000	\$ 25,720,000	+\$ 147,000
Total, Compensation and Benefits	\$ 91,032,000	\$ 91,331,000	\$ 91,858,000	+ \$ 527,000
Travel	\$ 3,005,000	\$ 2,318,000	\$ 2,281,000	-\$ 37,000
Transportation of things	\$ 43,000	\$ 35,000	\$ 35,000	-\$ 0
Rental payments to GSA	\$ 4,576,000	\$ 4,559,000	\$ 4,517,000	- \$42,000
Rental payments to others	\$ 82,000	\$ 20,000	\$ 50,000	+ \$30,000
Communications, utilities, and others	\$ 230,000	\$ 33,000	\$ 35,000	+\$ 2,000
Printing and reproduction	\$ 19,000	\$ 5,000	\$ 5,000	\$ 0
Other services	\$4,794,000	\$6,663,000	\$ 5,811,000	- \$852,000
Supplies and materials	\$ 270,000	\$ 150,000	\$ 300,000	+ \$ 150,000
Equipment	\$ 924,000	\$ 686,000	\$ 1,119,000	+ \$433,000
Insurance Claims	\$ 2	\$ 0	\$ 0	\$ 0
Adjustments	-\$ 267,000	-\$ 562,000	-\$ 511,000	+\$ 51,000
<b>Total Budgetary Resources</b>	\$ 104,710,000	\$ 105,238,000	\$ 105,500,000	+ \$ 262,000

## BACKGROUND

### AUTHORIZING LEGISLATION

The Office of the Inspector General is authorized necessary expenses to carry out the provisions of the Inspector General Act of 1978, as amended.

**Table 4.8—Authorizing Legislation**

	<b>FY 2016 Enacted</b>	<b>FY 2017 Estimate</b>	<b>FY 2018 Authorized</b>	<b>FY 2018 Estimate</b>
<b>Office of the Inspector General (P.L. 114-254)</b>	<b>\$ 105,500,000</b>	<b>\$ 105,238,000</b>	<b>Indefinite</b>	<b>\$105,500,000</b>

- \* Note.-A full-year 2017 appropriation for this account was not enacted at the time the budget was prepared; therefore, the budget assumes this account is operating under the Further Continuing Appropriations Act, 2017 (P.L. 114-254). The amounts included for 2017 reflect the annualized level provided by the continuing resolution.

## APPROPRIATION HISTORY

The table below displays the President's budget request, amounts passed by the House and Senate, and the actual amount appropriated for the period FY 2004 to FY 2016.

**Table 4.9—Appropriation History Table**

Fiscal Year	Budget Estimate to Congress	House Committee Passed	Senate Committee Passed	Enacted Appropriation
General Funds	\$ 25,000,000	\$ 24,500,000	\$ 20,863,000	<b>\$ 24,355,400</b>
Trust Funds	\$ 65,000,000	\$ 63,700,000	\$ 61,597,000	<b>\$ 63,324,200</b>
2004 Total	\$ 90,000,000	\$ 88,200,000 <sup>1</sup>	\$ 82,460,000 <sup>2</sup>	<b>\$ 87,679,600<sup>3</sup></b>
General Funds	\$ 26,000,000	\$ 25,748,000	\$ 26,000,000	<b>\$ 25,542,000</b>
Trust Funds	\$ 66,000,000	\$ 65,359,000	\$ 66,000,000	<b>\$ 64,836,100</b>
2005 Total	\$ 92,000,000	\$ 91,107,000 <sup>4</sup>	\$ 92,000,000 <sup>5</sup>	<b>\$ 90,378,100<sup>6</sup></b>
General Funds	\$ 26,000,000	\$ 26,000,000	\$ 26,000,000	<b>\$ 25,740,000</b>
Trust Funds	\$ 67,000,000	\$ 66,805,000	\$ 67,000,000	<b>\$ 65,736,000</b>
2006 Total	\$ 93,000,000	\$ 92,805,000 <sup>7</sup>	\$ 93,000,000 <sup>8</sup>	<b>\$ 91,476,000<sup>9</sup></b>
General Funds	\$ 27,000,000	\$ 26,435,000	\$ 25,740,000	<b>\$ 25,902,000</b>
Trust Funds	\$ 69,000,000	\$ 67,976,000	\$ 65,736,000	<b>\$ 66,149,000</b>
2007 Total	\$ 96,000,000	\$ 94,411,000 <sup>10</sup>	\$ 91,476,000 <sup>11</sup>	<b>\$ 92,051,000<sup>12</sup></b>
General Funds	\$ 27,000,000	\$ 27,000,000	\$ 28,000,000	<b>\$ 25,988,901</b>
Trust Funds	\$ 68,047,000	\$ 68,047,000	\$ 68,047,000	<b>\$ 65,926,000</b>
2008 Total	\$ 95,047,000	\$ 95,047,000 <sup>13</sup>	\$ 96,047,000 <sup>14</sup>	<b>\$ 91,914,901<sup>15</sup></b>
General Funds	\$ 28,000,000	--	\$ 28,000,000	<b>\$ 28,000,000</b>
Trust Funds	\$ 70,127,000	---	\$ 70,127,000	<b>\$ 70,127,000</b>
2009 Total	\$ 98,127,000	--- <sup>16</sup>	\$ 98,127,000 <sup>17</sup>	<b>\$ 98,127,000<sup>18</sup></b>
ARRA <sup>19</sup>	N/A	N/A	N/A	<b>\$ 2,000,000</b>
General Funds	\$ 29,000,000	\$ 29,000,000	\$ 29,000,000	<b>\$ 29,000,000</b>
Trust Funds	\$ 73,682,000	\$ 73,682,000	\$ 73,682,000	<b>\$ 73,682,000</b>
2010 Total	\$ 102,682,000	\$ 102,682,000 <sup>20</sup>	\$ 102,682,000 <sup>21</sup>	<b>\$ 102,682,000<sup>22</sup></b>
General Funds	\$ 30,000,000	---	\$ 30,000,000	<b>\$ 28,942,000</b>
Trust Funds	\$ 76,122,000	---	\$ 76,122,000	<b>\$ 73,535,000</b>
2011 Total	\$ 106,122,000	--- <sup>23</sup>	\$ 106,122,000 <sup>24</sup>	<b>\$ 102,477,000<sup>25</sup></b>
General Funds	\$ 30,000,000	---	\$ 28,942,000	<b>\$ 28,887,000</b>
Trust Funds	\$ 77,113,000	---	\$ 73,535,000	<b>\$ 73,396,000</b>
2012 Total	\$ 107,113,000	--- <sup>26</sup>	\$ 102,477,000 <sup>27</sup>	<b>\$ 102,283,000<sup>28</sup></b>
General Funds	\$ 30,000,000	---	\$ 28,887,000	<b>\$ 27,376,000</b>
Trust Funds	\$ 77,600,000	---	\$ 73,396,000	<b>\$ 72,557,000</b>
2013 Total	\$ 107,600,000	--- <sup>29</sup>	\$ 102,283,000 <sup>30</sup>	<b>\$ 99,933,000<sup>31</sup></b>
General Funds	\$ 30,000,000	---	\$ 29,689,000	<b>\$ 28,829,000</b>
Trust Funds	\$ 75,733,000	---	\$ 74,972,000	<b>\$ 73,249,000</b>
2014 Total	\$ 105,733,000	--- <sup>32</sup>	\$ 104,670,000 <sup>32</sup>	<b>\$ 102,078,000<sup>33</sup></b>

<b>Fiscal Year</b>	<b>Budget Estimate to Congress</b>	<b>House Committee Passed</b>	<b>Senate Committee Passed</b>	<b>Enacted Appropriation</b>
General Funds	\$29,000,000	\$28,829,000		<b>\$ 29,000,000</b>
Trust Funds	\$75,622,000	\$74,249,000		<b>\$ 74,350,000</b>
2015 Total	\$104,622,000	\$103,078,000 <sup>34</sup>		<b>\$103,350,000<sup>35</sup></b>
General Funds	\$31,000,000	\$30,000,000	\$28,829,000	<b>\$ 29,787,000</b>
Trust Funds	\$78,795,000	\$78,795,000	\$74,521,000	<b>\$ 75,713,000</b>
2016 Total	\$109,795,000	\$108,795,000 <sup>36</sup>	\$103,350,000 <sup>37</sup>	<b>\$105,500,000<sup>38</sup></b>
General Funds	\$31,000,000	\$29,713,000	\$29,713,000	
Trust Funds	\$81,000,000	\$75,525,000	\$75,525,000	
2017 Total	\$112,000,000	\$105,238,000 <sup>39</sup>	\$105,238,000 <sup>40</sup>	

<sup>1</sup> H.R. 2660.

<sup>2</sup> S. 1356.

<sup>3</sup> Consolidated Appropriations Act, 2004 (P.L. 108-199). The \$24,500,000 in general funds and \$63,700,000 in trust funds included in the language for this account for FY 2004 were reduced by \$144,600 and \$375,800, respectively, in accordance with P.L. 108-199.

<sup>4</sup> H.R. 5006.

<sup>5</sup> S. 2810.

<sup>6</sup> Consolidated Appropriations Act, 2005 (P.L. 108-447). The \$25,748,000 in general funds and \$65,359,000 in trust funds included in the language for this account for FY 2005 were reduced by \$206,000 and \$522,900, respectively, in accordance with P.L. 108-447.

<sup>7</sup> H.R. 3010.

<sup>8</sup> H.R. 3010, reported from Committee with an amendment.

<sup>9</sup> Departments of Labor, Health and Human Services, and Education, and Related Agencies Appropriations Act, 2006 (P.L. 109-149). The \$26,000,000 in general funds and \$66,400,000 in trust funds included in the language for this account for FY 2006 were reduced by \$260,000 and \$664,000, respectively, in accordance with the Emergency Supplemental Appropriations Act to Address Hurricanes in the Gulf of Mexico and Pandemic Influenza, 2006 (P.L. 109-148).

<sup>10</sup> H.R. 5647.

<sup>11</sup> S. 3708.

<sup>12</sup> Revised Continuing Appropriations Resolution, 2007 (P.L. 110-5).

<sup>13</sup> H.R. 3043.

<sup>14</sup> S. 1710.

<sup>15</sup> Consolidated Appropriations Act, 2008 (P.L. 110-161). The \$26,451,000 in general funds and \$67,098,000 in trust funds included in the language for this account for FY 2008 were reduced by \$462,099 and \$1,172,000 respectively, in accordance with P.L. 110-161.

<sup>16</sup> The House Committee on Appropriations did not report a bill.

<sup>17</sup> S. 3230.

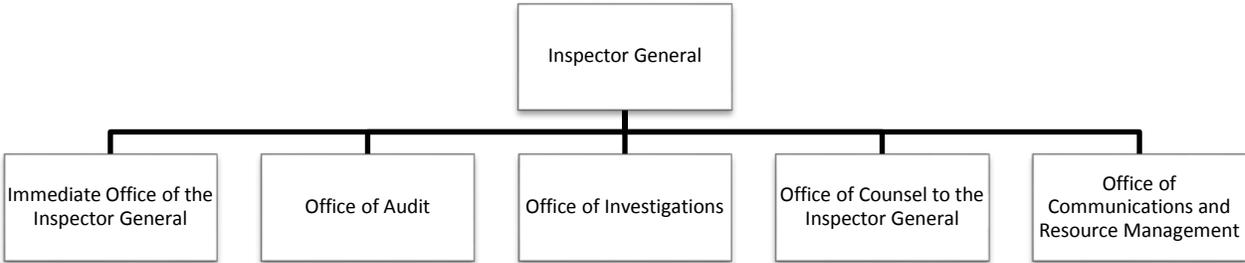
<sup>18</sup> Omnibus Appropriations Act, 2009 (P.L. 111-8).

<sup>19</sup> OIG received \$2,000,000 through the American Recovery and Reinvestment Act of 2009 (P.L. 111-5). OIG will conduct necessary oversight and audit of SSA programs, projects, and activities, assessing whether SSA used the resources as intended by the Act, and will identify any instances of fraud, waste, error, and abuse.

- <sup>20</sup> H.R. 3293.
- <sup>21</sup> H.R. 3293, reported from Committee with an amendment.
- <sup>22</sup> Consolidated Appropriations Act, 2010 (P.L. 111-117).
- <sup>23</sup> The House Committee on Appropriations did not report a bill.
- <sup>24</sup> S. 3686.
- <sup>25</sup> Department of Defense and Full-Year Continuing Appropriations Act, 2011 (P.L. 112-10). The \$29,000,000 in general funds and \$73,682,000 in trust funds included in the language for this account for FY 2011 were reduced by \$58,000 and \$147,000 respectively, in accordance with P.L. 112-10.
- <sup>26</sup> The House Committee on Appropriations did not report a bill. Appropriations Chairman Rehberg introduced H.R. 3070, which included \$30,000,000 from general funds and \$77,113,000 from trust funds, totaling \$107,113,000.
- <sup>27</sup> S. 1599.
- <sup>28</sup> Consolidated Appropriations Act, 2012 (P.L. 112-74). The \$28,942,000 in general funds and \$73,535,000 in trust funds included in the language for this account for FY 2012 were reduced by \$55,000 and \$139,000 respectively, in accordance with P.L. 112-74.
- <sup>29</sup> The House Committee on Appropriations did not report a bill. The Committee posted a draft bill which included \$28,887,000 from general funds and \$77,600,000 from trust funds, totaling \$106,487,000.
- <sup>30</sup> S. 3295.
- <sup>31</sup> Consolidated Appropriations Act, 2013 (P.L. 113-6). The \$69,557,000 in trust funds included in the language for this account for FY 2013 were increased by \$3,000,000 to \$72,557,000 as a transfer from SSA to OIG.
- <sup>32</sup> S. 1284.
- <sup>33</sup> Consolidated Appropriations Act, 2014 (P.L. 113-76).
- <sup>34</sup> H.R. 5464.
- <sup>35</sup> Consolidated Appropriations Act, 2015 (P.L. 113-235).
- <sup>36</sup> H.R. 3020
- <sup>37</sup> S. 1695.
- <sup>38</sup> Consolidated Appropriations Act, 2016 (P.L. 114-113).
- <sup>39</sup> Further Continuing Appropriations Act, 2017 (P.L. 114-254)
- <sup>40</sup> Further Continuing Appropriations Act, 2017 (P.L. 114-254)

# OIG'S ORGANIZATIONAL STRUCTURE AND MISSION

## GENERAL PURPOSE



As mandated by the *Inspector General Act of 1978*, as amended, OIG’s mission is to protect the integrity of SSA's programs. By conducting independent and objective audits, evaluations, and investigations, OIG works to ensure public confidence in the integrity and security of SSA’s programs and operations, and works to protect them against fraud, waste, and abuse. OIG provides timely, useful, and reliable information and advice to Administration officials, Congress, and the public.

OIG is comprised of five components: The Immediate Office of the Inspector General (IO), Office of Audit (OA), Office of Investigations (OI), Office of Counsel to the Inspector General (OCIG), and the Office of Communications and Resource Management (OCRM).

### Immediate Office of the Inspector General

IO provides the Inspector General (IG) and the Chief of Staff (CoS) with staff assistance on the full range of their responsibilities. IO also administers a comprehensive Quality Assurance and

## Office of the Inspector General

Professional Responsibility program, and conducts Quality Control reviews that ensure the adequacy of OIG compliance with its policies and procedures, internal controls, and professional standards. In addition, IO empowers the Organizational Health Committee (OHC). The purpose of the OHC is to be an agent of positive change by discussing, evaluating, and presenting to senior management employee issues and proposed solutions that affect the operations, administration, and efficiency of OIG. In doing this, the committee acts as a representative of all OIG employees.

### **Office of Audit**

OA conducts and/or supervises comprehensive financial and performance audits of SSA's programs and operations and makes recommendations to ensure that program objectives and operational functions are achieved effectively and efficiently. Financial audits, required by the *Chief Financial Officers' Act of 1990*, assess whether SSA's financial statements fairly present the agency's financial position, results of operations, and cash flow. Performance audits review the economy, efficiency, and effectiveness of SSA's programs and operations. OA also conducts short-term management and program evaluations focused on issues of concern to SSA, Congress, and the general public. Evaluations often focus on identifying and recommending ways to prevent and minimize program and operational fraud, waste, and abuse, as well as inefficiency and ineffectiveness.

### **Office of Investigations**

OI conducts and coordinates investigative activity related to fraud, waste, abuse, and mismanagement in SSA programs and operations, including wrongdoing by individuals such as applicants, grantees, or contractors perpetrating criminal activity against SSA programs and operations. OI is responsible for managing DFT and administering the CDI Program. OI also investigates allegations of employee misconduct in the performance of their official duties. This office serves as the OIG liaison to the Department of Justice on all matters relating to investigations of SSA programs and personnel. OI works with other investigative agencies and organizations on special projects and assignments.

### **Office of Counsel to the Inspector General**

OCIG provides independent authoritative legal advice, guidance, and counsel to the IG and senior staff on a wide range of issues, including regulatory strategy, policy directives, and interpretation of new and emerging authorities and agency responsibilities. OCIG reviews materials to ensure sufficiency and compliance with regulatory and statutory requirements. OCIG advises the IG on investigative procedures and techniques, as well as on legal implications and conclusions to be drawn from audit and investigative material. OCIG is also responsible for the CMP program, including imposition of penalties and assessments and the settlement and litigation of CMP cases, and serves as the Whistleblower Ombudsman.

## **Office of Communications and Resource Management**

OCRM provides administrative and management support to OIG by providing information resource management; systems security and software development; and the coordination of budget, procurement, telecommunications, facilities, equipment, and human resources activities. OCRM also administers the Fugitive Felon Program and the OIG Fraud Hotline, manages OIG's public affairs programs, develops OIG's media and public information policies, and serves as the primary contact for those seeking information about OIG. In addition, OCRM is responsible for strategic planning, organizational performance management, reporting, and serves as the initial reviewer for complaints of Whistleblower retaliation.

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**RATIONALE FOR THE BUDGET REQUEST**


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The budget request for FY 2018 is \$105,500,000 and 517 FTE, which reflects no increase from the FY 2016 or estimated FY 2017 annual appropriations level. A full-year FY 2017 appropriation for this account was not enacted at the time the budget was prepared; therefore, the budget assumes this account is operating under the Further Continuing Appropriations Act, 2017 (P.L. 114-254). The amounts included for FY 2017 reflect the annualized level provided by the continuing resolution.

The FY 2018 budget request will provide funding for a 517 FTE staffing level, a 1.9% projected pay raise, payroll increases (e.g., within-grade increases, scheduled promotions, health benefits, etc.), and other related support costs.

**Table 4.10—Detail of Full-Time Equivalent Employment and Workyears**

	<b>FY 2016 Actual</b>	<b>FY 2017 Estimate</b>	<b>FY 2018 Estimate</b>
FTEs	522	517	517
Overtime/Lump Sum Leave	4	3	3
<b>Total</b>	<b>526</b>	<b>520</b>	<b>520</b>

**Table 4.11—Average Grade and Salary**

	<b>FY 2016 Actual</b>
Average ES Salary	\$ 176,295
Average GS Grade	13
Average GS Salary	\$ 107,614