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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.

(Departments of Labor, Health and Human Services, and Education, and Related Agencies Appropriations Act, 2019.)

GENERAL STATEMENT

OVERVIEW

The FY 2020 President's Budget for the SSA Office of the Inspector General (OIG) is \$105.5 million in total budget authority and 496 FTE. The OIG intends to obligate \$115.5 million, and operate with 583 FTE, which includes a transfer of cap adjustment funds from SSA as described below.

The FY 2020 Budget provides funding for the OIG direct appropriations account at the FY 2019 appropriated level.

In addition to the request for \$105.5 million in the appropriations account and similar to the FY 2019 appropriation, the Budget requests that SSA transfer up to \$10 million of its program integrity cap adjustment funds in SSA's Limitation on Administration Expenses (LAE) account to the OIG for the cost of jointly operated cooperative disability investigations (CDI) units. This important anti-fraud activity is an authorized use of the cap adjustment.

CDI units are unable to function without an OIG team leader. Each CDI unit includes an OIG Special Agent who serves as the team leader, employees from that State's Disability and Determination Services and an SSA employee who act as programmatic experts, and State or local law enforcement officers. Generally, CDI units investigate suspected fraud before the agency awards benefits and during the CDR and redetermination processes when fraud may be involved. Currently, the CDI program has 43 units covering 37 States, the District of Columbia, Puerto Rico, Guam, the Northern Mariana Islands, and American Samoa. In 2019, we are pursuing expansion to add 3 units in North Dakota; Montana; and Idaho. We are also planning to add 2 to 4 units in FY 2020, and cover all 50 States and U.S. territories by October 2022.

OIG has consistently prioritized this important activity at the detriment of other investigative work. Access to these funds provides OIG with the same access to the cap adjustment funds provided to SSA in support of the jointly-operated CDI units. Prior to FY 2019, OIG had to absorb personnel losses from existing staff in order to meet CDI unit expansion with no increase in resources. With the ability to obligate \$115.5 million in 2020, OIG intends to operate at 583 FTE, an increase of 41 FTE from FY 2019 levels, as well as fund related support costs, such as travel, training, information technology, and law enforcement equipment. 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 2020, our budget includes \$953,000 for training, which satisfies our FY 2020 training requirements. In FY 2020, we will contribute an estimated \$336,000 to the Council of the Inspectors General on Integrity and Efficiency (CIGIE), as requested.

Table 4.1—Justification

	FY 2018 Actual	FY 2019 Estimate	FY 2020 Budget	FY19 to FY20 Change
FTE	496	542	583 ¹	41
Appropriation	\$ 105,500,000	\$ 105,500,000	\$ 105,500,000	\$ 0
Total Obligations	\$ 103,962,105	\$ 105,500,000	\$ 105,500,000	\$ 0
Unobligated balance lapsing	\$ 1,537,895	\$ 0	\$ 0	\$ 0
Reimbursable Obligation*		\$10,000,000*	\$10,000,000*	\$ 0
Total Authority	\$105,500,000	\$115,500,000	\$115,500,000	\$ 0

* For FY 2020, the Budget includes the transfer of up to \$10 million to the Office of the Inspector General from SSA's LAE program integrity cap adjustment funds for the cost of OIG employees (50 FTEs) who serve as team leaders in the jointly operated Cooperative Disability Investigations (CDI) units.

¹ The number of FY 2020 OIG FTEs shown reflects the correct estimate of 583 direct FTE, which is an update to the 561 FTE in the President's Budget Appendix.

ONGOING INITIATIVES

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 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 casework. In FY 2018, the DFT added additional electronic storage to the forensic network in order to help support the ever-growing volume of data collected during search warrants and investigative operations. Moving forward, the DFT will need additional funds to maintain, secure, and expand the forensic network to meet the internal growth within DFT and the growing demands of the ever-evolving cyber-crime movement. Additional funds will also allow the DFT to increase its personnel, 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 Presidential directives, such as OMB Memorandum M-17-12, *Preparing for and Responding to a Breach of Personally Identifiable Information*, which provides guidance on the *Federal Information Security Modernization Act of 2014*, and updates the *Cybersecurity Strategy and Implementation Plan for Federal Civilian Government*, 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. With no budget increase, we must reprogram funds from other 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 2017; however, additional training is necessary to adequately address complex and evolving cyber-crimes. DFT personnel also complete role-based cybersecurity training through the SSA, Office of Information Security (OIS), every year as required due to occupying a position description assigned a National Initiative for Cybersecurity Education (NICE) Framework role. The 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, beneficiaries, 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.

We currently have 43 CDI units, covering 37 states, the District of Columbia, Puerto Rico, Guam, American Samoa, and the Northern Mariana Islands. In FY 2018, we added units in Honolulu, Hawaii; Indianapolis, Indiana; and Albuquerque, New Mexico. The Hawaii CDI unit provides CDI coverage for Guam, American Samoa, and the Northern Mariana Islands. In FY 2019, we plan to add 3 CDI units in North Dakota, Montana, and Idaho. In FY 2020, we plan to add 2 to 4 CDI units with the goal of covering all 50 States and U.S. territories by October 2022.

As the CDI program has expanded to meet the BBA mandate, OIG has reallocated staff to support the CDI mission both in the field and at headquarters, which required us to shift resources away from other investigative priorities. With additional funding of up to \$10 million provided in FY 2019 and requested for FY 2020 from a transfer from program integrity cap adjustment funds in SSA's LAE account to support the cost of CDI team leaders, OIG will no longer have to absorb these personnel costs at a detriment to its other work.

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 2018, these processes contributed significantly to the mission of OIG and SSA. AMFED received 85,286 allegations. Through the development of referred allegations, SSA identified about \$2.6 million in benefit overpayments. AMFED also matched 136,612 fugitive subjects from incoming Federal, State, and local warrant files and referred them to law enforcement for apprehension and warrant verification. AMFED referred 2,035 fugitive subjects for benefit

suspension. Through these data-sharing efforts, law enforcement reports that 557 fugitives were apprehended.

Civil Monetary Penalty Program

We continue our emphasis on enforcing Section 1129 of the *Social Security Act*, which authorizes Civil Monetary Penalties (CMP) 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 \$8,457 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. For a CMP against an individual who violates their position of trust with an applicant for Social Security benefits, the maximum CMP that may be imposed is \$7,975. 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...” We note that these penalties are subject to an annual inflation adjustment, effective each January 15, so the amounts stated above may increase.

Our CMP authority allows us to recover fraud losses from those responsible when prosecutors decline to pursue OIG investigations for criminal or civil prosecution. 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.

We also have authority to enforce Section 1140 of the Social Security Act, the consumer protection prong of the agency’s CMP program. Section 1140, in part, prohibits people or companies from misusing Social Security, 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 and the charging for services that SSA provides for free without providing proper notice. The maximum penalty is \$10,519 for each violation and \$52,596 for each violative broadcast, telecast, dissemination, or viewing of such a communication.

The focus of our 1140 program is prevention and early intervention to minimize harm to the public and SSA’s reputation, while also allowing violating individuals and entities the opportunity to bring their operations into compliance with Section 1140. A cornerstone of our prevention and early detection strategy is outreach to the public and private sector. We continually explore outreach opportunities to educate the public on how to recognize, avoid and

report scams, and the private sector on Section 1140's prohibitions. We also welcome the opportunity to work with the private sector to develop innovative approaches to prevent and combat Section 1140 type scams.

SSA'S SIGNIFICANT MANAGEMENT ISSUES

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. Improve Administration of the Disability Programs
4. Modernize Information Technology Infrastructure
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. While SSA has created annual performance and multi-year strategic plans, we continue to be concerned with the quality of its longer-term vision needed to ensure SSA has the programs, processes, staff, and infrastructure required to provide needed services for the next 10 to 20 years and beyond. In FY 2015, SSA published its Vision 2025 report, which SSA stated is a critical first step in planning how it will serve the public in the future. However, we question whether SSA's Vision 2025 provides a clear path to the organization SSA will need to be in the future to meet its mission. Vision 2025 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 on which it publicly reports. However, SSA has more output-based measures than outcome-based ones, and output measures are less helpful in determining whether SSA is effectively using its resources to achieve its mission.

We have noted in past Statements that SSA needs a strong anti-fraud infrastructure to combat attempts to defraud its programs. SSA's Office of Anti-Fraud Programs is developing the Anti-Fraud Enterprise Solution (AFES) to identify areas that have a high risk of fraud and have the most significant impact to the agency. To further improve its ability to address fraud, SSA needs to ensure AFES is implemented timely and successfully. Regarding accountability, the FY 2018 Independent Auditor's Report contained three significant deficiencies. The auditor

identified four systems control deficiencies that, when aggregated, are considered to be a significant deficiency in the area of IT Systems Controls. The auditor also identified four deficiencies in internal control that, when aggregated, are considered to be a significant deficiency related to weaknesses in internal controls related to accounts receivable/overpayments. Further, the auditor identified a significant deficiency in controls over the reliability of information used in certain control activities.

Issue #2: Improve Customer Service

SSA faces challenges as it pursues its mission to deliver quality services, including growing workloads as experienced employees are expected to retire. In FY 2018, SSA served over 42 million visitors, the National 800-Number handled nearly 32 million calls, and processing centers handled complex Social Security claims as well as provided support to the National 800-Number. SSA continues to acknowledge that one of its greatest challenges is the loss of its most experienced employees. SSA projects that more than 21,000 employees will retire by the end of FY 2022. These retirements, along with regular ongoing attrition, will cause a loss of institutional knowledge and potentially impair succession management and knowledge transfer. As of FY 2017, about 70 percent of supervisors were eligible for retirement in the next 5 years. Further, SSA's biennial survey of future customers shows an increasing preference for conducting business online or by telephone. In FY 2018, SSA customers conducted over 160 million transactions using the agency's website. The agency expects the number of successfully completed transactions in FYs 2019 and 2020 to increase by 10 million each year. Finally, our audits continue to identify problems with SSA's administration of the representative payee program. We found the Agency's implementation of its criminal bar policy had not identified and barred convicted felons from serving as individual representative payees, and our investigations have identified various problems with representative payees including fraud and misuse of beneficiary funds.

Issue #3: Improve Administration of the Disability Programs

We previously raised concerns about various backlogs in SSA's disability workloads, including initial disability claims and continuing disability reviews (CDR). In recent years, SSA made progress in reducing initial disability claims pending and backlogged CDRs. In FY 2018, SSA eliminated the backlog of CDRs that had existed since FY 2002. However, we still have concerns with pending disability hearings. The hearings process has experienced worsening timeliness and growing backlogs. For instance, the average processing time for a hearing increased almost 40 percent from 426 days in FY 2010 to 595 days through the end of FY 2018. Moreover, during the same period, the pending hearings backlog also increased from 705,367 cases to about 858,000 cases. However, over the last 2 years, the number of pending cases has decreased from over 1.1 million cases at the end of FY 2016 to less than 800,000 cases in January 2019. As far as returning to work, our reviews have found that few Ticket-eligible beneficiaries used their Tickets to receive vocational or employment services. Also, an

independent evaluation¹ failed to provide strong evidence of the Ticket Program's impact on employment and found no consistent evidence that it affected employment and benefit receipt.

Issue #4: Modernize Information Technology Infrastructure

SSA must modernize its information technology (IT). 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. 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 improve customer service and convenience by increasing online transactions. To achieve that goal, SSA continues enhancing its *my Social Security* online portal. For example, SSA plans to redesign the portal and expand the availability of services within *my Social Security* to additional user groups, including representative payees, appointed representatives, and business users. In addition, the agency will improve the portal's design to allow broader access from a variety of devices, such as smartphones and tablets. We previously recommended that SSA improve its access controls for *my Social Security*. 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 continues to develop the Disability Case Processing System (DCPS). Historically, the project faced schedule delays and increasing stakeholder concerns.

Issue #5: Secure Information Systems and Protect Sensitive Data

SSA must secure its information systems and protect its sensitive data. 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. SSA is also developing systems in the cloud, which creates security concerns with housing sensitive agency information in public clouds. As SSA expands its services and systems, it is important that it implement security during the development process.

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. Additionally, other recent audits and evaluations have identified concerns with SSA's information security program. One of the agency's priorities is to develop and increase use of self-service options. While we recognize online services are an important component of SSA's

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

strategy to deliver services to the public during a period of increasing workloads and constrained resources, SSA's primary responsibility must be safeguarding the sensitive information entrusted to it. To ensure citizens' sensitive information is adequately protected, we believe the agency needs to implement security controls that meet Federal requirements and ensure individuals applying for benefits are who they claim to be.

Issue #6: Reduce Improper Payments and Increase Overpayment Recoveries

SSA is responsible for issuing over \$1 trillion in benefit payments, annually, to about 70 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 2018 Agency Financial Report, SSA estimated it would make about \$10.9 billion in improper payments and it 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 goals. For example, in FYs 2013 through 2017, SSA's goal was 95-percent payment accuracy for Supplemental Security Income (SSI), but SSA fell short of this goal in each of these years. OIG noted in a May 2018 report that SSA was not compliant with the Improper Payments Elimination and Recovery Act of 2010 requirements for meeting its targeted payment accuracy rates. Once SSA determines an individual has been overpaid, it attempts to recover the overpayment. According to SSA, in FY 2018, it recovered \$4 billion in overpayments at an administrative cost of \$0.07 for every dollar collected and ended the FY with an uncollected overpayment balance of \$23.9 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. Given the preponderance of SSN misuse and identity theft, we continue to believe protecting 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 has shown that the more SSNs are unnecessarily used, the higher the probability individuals could improperly use them. In addition, we remain concerned about SSN misuse by noncitizens 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. The Earnings Suspense File (ESF) is the agency's repository of wage reports on which wage earners' names and SSNs fail to match SSA's records. Per the latest available data, the ESF had accumulated over \$1.6 trillion in wages and about 364 million wage items for Tax Years 1938 through 2017.

MONETARY BENEFITS

In FY 2018, OIG issued 76 audit reports with recommendations, identifying over \$2.1 billion in questioned costs and over \$849 million in Federal funds that could be put to better use. OIG also received over 192,000 allegations of fraud, effected over 775 criminal convictions, and obtained a return of over \$350 million in monetary accomplishments, comprising over \$98 million in SSA recoveries, restitutions, fines, settlements, and judgments, and over \$251 million in projected SSA savings. Our FY 2020 funding will enable us to issue timely reports, provide training required by Government Auditing Standards, and cover mission-critical travel.

STRATEGIC PLANNING

FY 2018 was the third 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 2018, OIG successfully met or exceeded 14 out of 15 of its performance measures. The specific results for FY 2018 are as follows:

Table 4.2—2018 Performance Measure Results

Goal	Target	Result
<i>Impact</i>		
1. Maintain an annual acceptance rate of at least 88% for all audit recommendations.	88%	96%
2. Achieve a 5-year average implementation rate of 85% for accepted recommendations aimed at improving the integrity, efficiency, and effectiveness of SSA.	85%	85%
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%	94%
4. Achieve a successful conclusion on at least 75% of all Title II and Title XVI cases closed during the FY.	75%	82%
<i>Value</i>		
5. Generate a positive return of \$8 for every tax dollar invested in OIG activities.	\$8 to 1	\$32 to 1
6. Evaluate and respond to 90% of all allegations received within 60 days.	90%	98%
7. Complete investigative fieldwork on 75% of all cases within 180 days.	75%	87%
8. Respond to 95% of constituent-based congressional inquiries within 21 days.	95%	97%
9. Take action on 90% of Civil Monetary Penalty (CMP) subjects within 30 days of receipt.	90%	99%
10. Achieve a positive external user assessment rating of 85% for product service quality.	85%	98%
11. Issue 85% of final audit reports within 1 year of the entrance conference with SSA.	85%	92%
12. Complete 85% of requests for legal advice and review within 30 days.	85%	100%
<i>People</i>		
13. Achieve an annual attrition rate of 5% or less.	≤ 5 %	3%
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%	66%
15. Ensure that 90% of OIG staff receives 40 or more hours of appropriate developmental and skill enhancement training annually.	90%	98%

TRANSFER AUTHORITY

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.

In addition, the Budget includes language to transfer up to \$10 million in program integrity cap adjustment funds to the SSA OIG from SSA's LAE account to fund the cost of jointly operated cooperative disability investigations (CDI) units. This anti-fraud activity is an authorized use of the cap adjustment.

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 2020 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. Please note that the split differs slightly from that in the Appendix.

Table 4.3—Amounts Available for Obligation

	(In thousands)		
	FY 2018 Actual	FY 2019 Estimate	FY 2020 Budget
General Funds Annual Appropriation	\$ 30,000	\$ 30,000	\$ 30,000
Trust Funds Annual Transfer	\$ 75,500	\$ 75,500	\$ 75,500
Total Appropriation	\$ 105,500	\$ 105,500	\$ 105,500
Reimbursable Obligation*		\$ 10,000	\$ 10,000
Total Budgetary Resources	\$ 105,500	\$ 115,500	\$ 115,500
Total Obligations	\$ 103,962	\$ 115,500	\$ 115,500
Unobligated balance lapsing	\$ 1,538	\$ 0	\$ 0

** For FY 2020, the Budget proposes to transfer up to \$10 million in program integrity cap adjustment funds to the SSA OIG to fund the cost of jointly operated cooperative disability investigations (CDI) units. This anti-fraud activity is an authorized use of the cap adjustment.*

ANALYSIS OF CHANGES

The FY 2020 request represents no change. Increases in base expenses for employee salaries and benefits will be offset by reductions in other objects.

Table 4.4—Summary of Changes

	FY 2019 Estimate	FY 2020 Budget	<i>FY19 to FY20 Change</i>
General Fund Appropriation	\$ 30,000	\$ 30,000	\$0
Trust Fund Appropriation	\$ 75,500	\$ 75,500	\$0
Total Appropriation	\$ 105,500	\$ 105,500	\$0
Reimbursable Obligation*	\$ 10,000	\$ 10,000	\$0
Total Obligations	\$ 115,500	\$ 115,500	\$0

**For FY 2020, the Budget proposes to transfer up to \$10 million in program integrity cap adjustment funds to the SSA OIG to fund the cost of jointly operated cooperative disability investigations (CDI) units. This anti-fraud activity is an authorized use of the cap adjustment.*

Table 4.5—Explanation of OIG Budget Changes

	FY 2019 Base		Change from Base	
	WYs (FTEs)	Budgetary Resources	WYs (FTEs)	Budgetary Resources
<u>BUILT-IN INCREASES</u>				
Base Payroll Expenses	548		+39	
	(542)		(+41)	
<ul style="list-style-type: none"> • <i>Change in base payroll expenses related to career ladder promotions and within-grade increases</i> 	---	\$71,881,000	---	+ \$ 761,000
<ul style="list-style-type: none"> • <i>Change in base expenses for employee benefits including health benefits and new employees hired under the Federal Retirement Employees System</i> 	---	\$ 29,859,000	---	+ \$ 0
<ul style="list-style-type: none"> • <i>All other payroll changes, including overtime and awards</i> 				
Non-Payroll Costs - All other built-in non-payroll changes, travel management support and equipment	---	\$ 9,060,000	---	+ \$ 0
* Rent	---	\$ 4,700,000	---	+ \$ 0
Subtotal, Built-in increases	548	\$ 115,500,000	+39	+761,000
	(542)		(+41)	
<u>PROGRAM INCREASES</u>				
Subtotal, Program Increases	---	---	---	\$ 0
Total Increases	548	\$ 115,500,000	+39	+\$761,000
	(542)		(+41)	

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	FY 2019 Base		Change from Base	
	WYs (FTEs)	Budgetary Resources	WYs (FTEs)	Budgetary Resources
<u>BUILT-IN DECREASES</u>				
Base Payroll Expenses —Decrease in all other payroll costs	548 (542)	<i>\$ 101,740,000</i>	+39 (+41)	<i>-\$189,000</i>
Non-Payroll Costs	---	<i>\$ 9,060,000</i>	---	<i>-\$172,000</i>
Rent	---	<i>\$ 4,700,000</i>	---	<i>-\$400,000</i>
Subtotal, Built-in decreases	---	<i>\$ 115,500,000</i>	---	<i>-\$761,000</i>
<u>PROGRAM DECREASES</u>				
Decrease in costs for training, other support, services, and supplies	---	---	---	---
Subtotal, Program Decreases	---	---	---	<i>\$0</i>
Total Decreases	---	<i>\$ 115,500,000</i>	---	<i>-\$761,000</i>
Net Change	548 (542)	<i>\$ 115,500,000</i>	+39 (+41)	<i>\$ 0</i>

BUDGET AUTHORITY BY ACTIVITY

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

	(In thousands)		
	FY 2018 Actual	FY 2019 Estimate	FY 2020 Budget
General Funds	\$ 30,000	\$ 30,000	\$ 30,000
OASDI Trust Fund Transfers	\$ 75,500	\$ 75,500	\$ 75,500
Total Appropriation	\$ 105,500	\$ 105,500	\$ 105,500
Total Budgetary Authority	\$ 105,500	\$ 105,500	\$ 105,500
Reimbursable Obligation*	\$0	\$10,000	\$10,000
Obligations	\$ 103,962	\$ 115,500	\$ 115,500
Unobligated balance lapsing	\$ 1,538	\$ 0	\$ 0
FTEs	496	542	583 ¹

* For FY 2020, the Budget proposes that up to \$10 million may be transferred to the Office of the Inspector General from SSA's LAE account to fund the cost of jointly operated cooperative disability investigations (CDI) units. The FY 2019 appropriation provided the transfer as well.

BUDGET RESOURCES BY OBJECT

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

Table 4.7—Budget Resources by Object

	FY 2018	FY 2019	FY 2020	<i>FY19 to FY20 Change</i>
Full-time permanent	\$ 62,814,000	\$ 69,965,000	\$ 70,706,000	+ \$ 741,000

¹ The number of FY 2020 OIG FTEs shown reflects the correct estimate of 583 direct FTE, which is an update to the 561 FTE in the President's Budget Appendix.

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Other than full-time permanent	\$ 347,000	\$ 386,000	\$ 391,000	+ \$ 5,000
Other compensation	\$ 1,373,000	\$ 1,530,000	\$1,545,000	+ \$ 15,000
Subtotal, Personnel Compensation	\$ 64,534,000	\$ 71,881,000	\$ 72,642,000	+ \$ 761,000
Civilian personnel benefits	\$ 27,138,000	\$ 29,859,000	\$ 29,671,000	- \$ 189,000
Total, Compensation and Benefits	\$ 91,672,000	\$ 101,740,000	\$ 102,312,000	+ \$ 572,000
Travel	\$ 2,395,000	\$ 3,142,000	\$ 2,696,000	- \$ 446,000
Transportation of things	\$ 36,000	\$ 40,000	\$ 40,000	\$ 0
Rental payments to GSA	\$ 4,224,000	\$ 4,700,000	\$ 4,300,000	- \$ 400,000
Rental payments to others	\$ 299,000	\$ 0	\$ 0	\$ 0
Communications, utilities, and others	\$ 292,000	\$ 303,000	\$ 481,000	+ \$ 178,000
Printing and reproduction	\$ 8,000	\$ 4,000	\$ 2,000	-\$ 2,000
Other services	\$4,287,000	\$5,207,000	\$ 5,082,000	- \$125,000
Supplies and materials	\$ 390,000	\$ 218,000	\$ 469,000	+ \$ 251,000
Equipment	\$ 869,000	\$ 666,000	\$ 636,000	- \$30,000
Insurance Claims	\$ 2	\$ 0	\$ 2	\$ 0
Adjustments	-\$ 512,000	-\$ 520,000	-\$ 520,000	\$ 0
Total Budgetary Resources	\$ 103,962,000	\$ 115,500,000	\$ 115,500,000	\$ 0

*Note – Totals may not add due to rounding.

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

	FY 2018 Enacted	FY 2019 Estimate	FY 2020 Authorized	FY 2020 Estimate
Office of the Inspector General (P.L. 115-245)	\$ 105,500,000	\$ 105,500,000	Indefinite	\$ 105,500,000

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 2019.

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	\$ 24,355,400
Trust Funds	\$ 65,000,000	\$ 63,700,000	\$ 61,597,000	\$ 63,324,200
2004 Total	\$ 90,000,000	\$ 88,200,000 ¹	\$ 82,460,000 ²	\$ 87,679,600³
General Funds	\$ 26,000,000	\$ 25,748,000	\$ 26,000,000	\$ 25,542,000
Trust Funds	\$ 66,000,000	\$ 65,359,000	\$ 66,000,000	\$ 64,836,100
2005 Total	\$ 92,000,000	\$ 91,107,000 ⁴	\$ 92,000,000 ⁵	\$ 90,378,100⁶
General Funds	\$ 26,000,000	\$ 26,000,000	\$ 26,000,000	\$ 25,740,000
Trust Funds	\$ 67,000,000	\$ 66,805,000	\$ 67,000,000	\$ 65,736,000
2006 Total	\$ 93,000,000	\$ 92,805,000 ⁷	\$ 93,000,000 ⁸	\$ 91,476,000⁹
General Funds	\$ 27,000,000	\$ 26,435,000	\$ 25,740,000	\$ 25,902,000
Trust Funds	\$ 69,000,000	\$ 67,976,000	\$ 65,736,000	\$ 66,149,000
2007 Total	\$ 96,000,000	\$ 94,411,000 ¹⁰	\$ 91,476,000 ¹¹	\$ 92,051,000¹²
General Funds	\$ 27,000,000	\$ 27,000,000	\$ 28,000,000	\$ 25,988,901
Trust Funds	\$ 68,047,000	\$ 68,047,000	\$ 68,047,000	\$ 65,926,000
2008 Total	\$ 95,047,000	\$ 95,047,000 ¹³	\$ 96,047,000 ¹⁴	\$ 91,914,901¹⁵
General Funds	\$ 28,000,000	--	\$ 28,000,000	\$ 28,000,000
Trust Funds	\$ 70,127,000	---	\$ 70,127,000	\$ 70,127,000
2009 Total	\$ 98,127,000	--- ¹⁶	\$ 98,127,000 ¹⁷	\$ 98,127,000¹⁸
ARRA ¹⁹	N/A	N/A	N/A	\$ 2,000,000
General Funds	\$ 29,000,000	\$ 29,000,000	\$ 29,000,000	\$ 29,000,000
Trust Funds	\$ 73,682,000	\$ 73,682,000	\$ 73,682,000	\$ 73,682,000
2010 Total	\$ 102,682,000	\$ 102,682,000 ²⁰	\$ 102,682,000 ²¹	\$ 102,682,000²²
General Funds	\$ 30,000,000	---	\$ 30,000,000	\$ 28,942,000
Trust Funds	\$ 76,122,000	---	\$ 76,122,000	\$ 73,535,000
2011 Total	\$ 106,122,000	--- ²³	\$ 106,122,000 ²⁴	\$ 102,477,000²⁵
General Funds	\$ 30,000,000	---	\$ 28,942,000	\$ 28,887,000
Trust Funds	\$ 77,113,000	---	\$ 73,535,000	\$ 73,396,000
2012 Total	\$ 107,113,000	--- ²⁶	\$ 102,477,000 ²⁷	\$ 102,283,000²⁸
General Funds	\$ 30,000,000	---	\$ 28,887,000	\$ 27,376,000
Trust Funds	\$ 77,600,000	---	\$ 73,396,000	\$ 72,557,000
2013 Total	\$ 107,600,000	--- ²⁹	\$ 102,283,000 ³⁰	\$ 99,933,000³¹
General Funds	\$ 30,000,000	---	\$ 29,689,000	\$ 28,829,000
Trust Funds	\$ 75,733,000	---	\$ 74,972,000	\$ 73,249,000
2014 Total	\$ 105,733,000	---	\$ 104,670,000 ³²	\$ 102,078,000³³

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Fiscal Year	Budget Estimate to Congress	House Committee Passed	Senate Committee Passed	Enacted Appropriation
General Funds	\$29,000,000	\$28,829,000		\$ 29,000,000
Trust Funds	\$75,622,000	\$74,249,000		\$ 74,350,000
2015 Total	\$104,622,000	\$103,078,000 ³⁴		\$103,350,000³⁵
General Funds	\$31,000,000	\$30,000,000	\$28,829,000	\$ 29,787,000
Trust Funds	\$78,795,000	\$78,795,000	\$74,521,000	\$ 75,713,000
2016 Total	\$109,795,000	\$108,795,000 ³⁶	\$103,350,000 ³⁷	\$105,500,000³⁸
General Funds	\$31,000,000	\$29,787,000	\$29,787,000	\$ 29,787,000
Trust Funds	\$81,000,000	\$75,713,000	\$75,713,000	\$ 75,713,000
2017 Total	\$112,000,000	\$105,500,000 ³⁹	\$105,500,000 ⁴⁰	\$105,500,000⁴¹
General Funds	\$30,000,000	\$29,796,270	\$29,796,270	\$30,000,000
Trust Funds	\$75,500,000	\$74,987,280	\$74,987,280	\$75,500,000
2018 Total	\$105,500,000	\$104,783,550 ⁴²	\$104,783,550 ⁴³	\$105,500,000⁴⁴
General Funds	\$30,000,000	\$31,000,000	\$30,000,000	\$30,000,000
Trust Funds	\$75,500,000	\$77,500,000	\$75,500,000	\$75,500,000
2019 Total	\$105,500,000	\$108,500,000 ⁴⁵	\$105,500,000 ⁴⁶	\$105,500,000⁴⁷

¹ H.R. 2660.

² S. 1356.

³ 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.

⁴ H.R. 5006.

⁵ S. 2810.

⁶ 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.

⁷ H.R. 3010.

⁸ H.R. 3010, reported from Committee with an amendment.

⁹ 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).

¹⁰ H.R. 5647.

¹¹ S. 3708.

¹² Revised Continuing Appropriations Resolution, 2007 (P.L. 110-5).

¹³ H.R. 3043.

¹⁴ S. 1710.

- ¹⁵ 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.
- ¹⁶ The House Committee on Appropriations did not report a bill.
- ¹⁷ S. 3230.
- ¹⁸ Omnibus Appropriations Act, 2009 (P.L. 111-8).
- ¹⁹ 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.
- ²⁰ H.R. 3293.
- ²¹ H.R. 3293, reported from Committee with an amendment.
- ²² Consolidated Appropriations Act, 2010 (P.L. 111-117).
- ²³ The House Committee on Appropriations did not report a bill.
- ²⁴ S. 3686.
- ²⁵ 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.
- ²⁶ 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.
- ²⁷ S. 1599.
- ²⁸ 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.
- ²⁹ 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.
- ³⁰ S. 3295.
- ³¹ 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.
- ³² S. 1284.
- ³³ Consolidated Appropriations Act, 2014 (P.L. 113-76).
- ³⁴ H.R. 5464.
- ³⁵ Consolidated Appropriations Act, 2015 (P.L. 113-235).
- ³⁶ H.R. 3020
- ³⁷ S. 1695.
- ³⁸ Consolidated Appropriations Act, 2016 (P.L. 114-113).
- ³⁹ H.R. 5926.
- ⁴⁰ S. 3040.
- ⁴¹ Consolidated Appropriations Act, 2017 (P.L. 115-31).
- ⁴² Further Additional Continuing Appropriations Act, 2018 (P.L. 115-56). Funding includes a rescission of 0.6791% of FY 2017 appropriation. The \$30,000,000 in general funds and \$75,500,000 in trust funds included in the language for this account for FY 2018 were reduced by \$415,284 and \$301,166 respectively, in accordance with P.L. 115-56.

⁴³ Further Additional Continuing Appropriations Act, 2018 (P.L. 115-56). Funding includes a rescission of 0.6791% of FY 2017 appropriation. The \$30,000,000 in general funds and \$75,500,000 in trust funds included in the language for this account for FY 2018 were reduced by \$415,284 and \$301,166 respectively, in accordance with P.L. 115-56.

⁴⁴ Consolidated Appropriations Act, 2017 (P.L. 115-56).

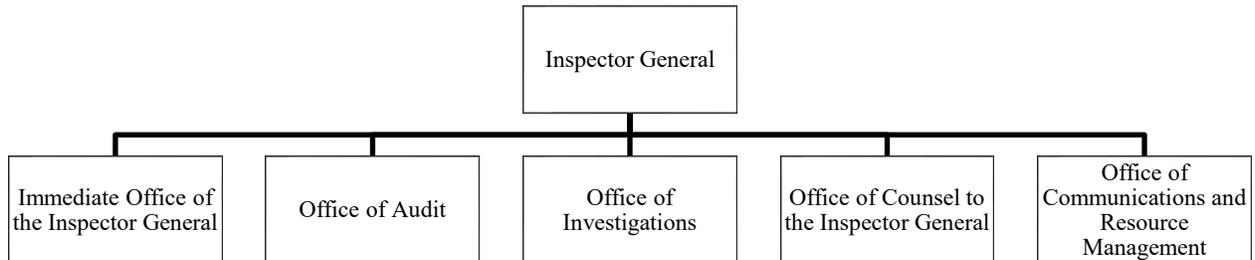
⁴⁵ H.R. 6157.

⁴⁶ H.R. 6157.

⁴⁷ Department of Defense and Labor, Health and Human Services, and Education Appropriations Act, 2019 and Continuing Appropriations Act, 2019 (P.L. 115-245).

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 composed 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), Deputy 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 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. The IO serves as the initial reviewer for complaints of Whistleblower retaliation.

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

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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 the Chief Counsel 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, and reporting.

RATIONALE FOR THE BUDGET REQUEST

The budget request for FY 2020 is \$105,500,000, level with FY 2018 appropriations funding, and the estimated FY 2019 annual appropriations level. The FY 2020 budget request will provide funding for a 583 FTE staffing level, payroll increases (e.g., within-grade increases, scheduled promotions, health benefits, etc.), and other related support costs.

For FY 2020, the Budget again proposes for the transfer of up to \$10 million to the Office of the Inspector General from SSA's LAE program integrity cap adjustment funds for the cost of OIG employees who serve as team leaders in the jointly operated Cooperative Disability Investigations (CDI) units.

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

	FY 2018 Actual	FY 2019 Estimate	FY 2020 Estimate
FTEs	496	542	583 ¹
Overtime/Lump Sum Leave	6	6	4
Total	502	548	587

Table 4.11—Average Grade and Salary

	FY 2018 Actual
Average ES Salary	\$ 182,037
Average GS Grade	13
Average GS Salary	\$ 113,250

¹ The number of FY 2020 OIG FTEs shown reflects the correct estimate of 583 direct FTE, which is an update to the 561 FTE in the President's Budget Appendix.