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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~~] \$33,000,000, together with not to exceed [~~\$75.500.000~~] \$83,000,000, 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: *Provided, That \$4,000,000 shall remain available until expended for information technology modernization, including related hardware and software infrastructure and equipment, and for administrative expenses directly associated with information technology modernization.*

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, 2020.)

GENERAL STATEMENT

OVERVIEW

The FY 2021 President's Budget for the SSA Office of the Inspector General (OIG) is \$116 million in total budget authority and 497 FTE. The OIG intends to obligate \$127.2 million, and operate with 547 FTE, which includes a transfer of cap adjustment funds from SSA as described below.

The FY 2021 Budget supports OIG investments in staffing and resources necessary to conduct effective oversight of SSA, which processes over \$1 trillion in Social Security benefits, including to some of the nation's most vulnerable

OIG has had level budgets since FY 2016. The FY 2021 Budget provides funding for OIG direct appropriations that is \$10.5 million above the FY 2019 and 2020 appropriated levels and includes appropriation language to indicate that \$4 million remain available until expended for IT modernization. OIG's internal IT systems have not been updated in nearly 15 years and are nearing end-of-life. A dedicated IT modernization account will support OIG software and hardware spending, the enhancement of the OIG's key systems, and increased staffing to fill needs related to software development, project management, and systems security.

In addition to the request for \$116 million in direct appropriations, the Budget allows SSA to transfer up to \$11.2 million of its program integrity cap adjustment funds in SSA's Limitation on Administration Expenses (LAE) account, an increase of \$1.2 million from FY 2020, to the OIG for the cost of jointly operated Cooperative Disability Investigations (CDI) units. This important anti-fraud initiative 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 Determination Services, and a programmatic expert from SSA, and State or local law enforcement officers. Generally, the CDI units investigate suspected fraud before the agency awards benefits and during the CDR and redetermination processes when fraud may be involved. In FY 2019, SSA added three CDI units in Bismarck, North Dakota; Boise, Idaho; and Helena, Montana, and provided CDI coverage to the U.S. Virgin Islands. At the end of FY19, there were 46 CDI units covering 40 States and 6 U.S. territories. In FY 2020, SSA plans to add four additional units in Nebraska, Nevada, New Hampshire, and Wyoming, totaling 50 units. The FY 2021 Budget will allow us to add 3 new units, bringing us closer to our goal of coverage in all 50 States and U.S. territories by October 1, 2022

The OIG Budget incorporates \$11.7 million in increases to the FY 2020 Budget. A breakdown of these increases includes \$3.8 million in Base Payroll and Employee Benefits, which includes CDI team leaders, and \$7.9 million in increase non-payroll costs. The increase for non-

payroll costs includes \$2.7 million in contracted services, \$3.7 million in equipment, and \$68,000 in Rent.

The OIG budget also includes \$1,159,000 for training, which satisfies the organization's FY 2021 training requirements. In FY 2021, OIG will contribute an estimated \$370,000 to the Council of the Inspectors General on Integrity and Efficiency (CIGIE), as requested by CIGIE.

The FY 2021 Budget supports OIG efforts that have consistently generated a high return-on-investment (ROI). In FY 2019, the OIG identified \$39 in returns to the government, through investigative recoveries and audit findings, for every \$1 it received through its appropriation; in FY 2018, the ROI was \$32-to-\$1. OIG attributes these returns to successfully identifying areas within SSA that are in most need of oversight and improvement.

Table 4.1—Justification

	FY 2019 Actual	FY 2020 Estimate	FY 2021 Budget	FY20 to FY21 Change
FTE	508 ¹	533	547	14
Appropriation	\$ 105,500,000	\$ 105,500,000	\$ 116,000,000 ²	\$ 10,500,000
Total Obligations	\$ 104,969,893	\$ 105,500,000	\$ 116,000,000	\$ 10,500,000
Unobligated balance lapsing	\$ 530,107	\$ 0	\$ 0	\$ 0
Reimbursable Obligation	\$9,338,112 ³	\$10,000,000 ³	\$11,200,000 ⁴	\$ 1,200,000
Total Authority	\$115,000,000	\$115,500,000	\$127,200,000	\$ 11,700,000

¹ For FY 2019, OIG FTEs shown reflects correct final FTE level of 508, which is an update to the 501 FTEs in the President's Budget Appendix.

² For FY 2021, the Budget includes appropriations language providing \$4 million be made available until expended for IT modernization, including related hardware and software infrastructure and equipment, and for administrative expenses directly associated with IT modernization.

³ For FYs 2019 and 2020, the enacted appropriations included language allowing 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 jointly operated Cooperative Disability Investigations (CDI) units.

⁴ For FY 2021, the Budget allows the transfer of up to \$11.2 million to the Office of the Inspector General from SSA's LAE program integrity cap adjustment funds for the jointly operated Cooperative Disability Investigations (CDI) units.

ONGOING INITIATIVES

Modernizing Information Technology

To keep pace with current IT trends and technologies necessary to support efficient and effective OIG audit and investigative functions, OIG requires additional IT staff to handle various responsibilities, including IT support and services, systems development and infrastructure maintenance, and security and compliance. Currently, an OIG IT staff of about 30 employees supports OIG IT functions nationwide. OIG requires additional IT professionals, trained and skilled in these areas, to support current and future workloads.

Additionally, OIG is in the process of updating its investigative case management system and critical administrative applications. The FY 2021 President's Budget establishes a dedicated OIG account available until expended for IT modernization, to support OIG efforts to upgrade and maintain administrative applications and utilize the cloud and virtualization to reduce the future cost of IT ownership by consolidating server footprints. The cloud initiative will further enhance OIG's evolving business needs by improving reliability and availability of those systems. Cloud systems will make it easier to complete upgrades to applications and operating systems.

Combatting SSA Imposter Scams

In FY 2019, OIG received more than 478,000 allegations related to Social Security-related phone scams, a massive increase in this allegation type. The vast majority of these allegations are complaints from individuals who received a phone call, or several calls, from someone claiming to be from SSA or another government agency. According to reports, scammers claim there is a problem with an individual's Social Security number, account, or benefits. They may threaten arrest or other legal action, or may offer to increase benefits, protect assets, or resolve identity theft. They often demand immediate payment via retail gift card, cash, wire transfer, internet currency, or pre-paid debit card. They also may try to convince victims of their legitimacy by sending emails with fake letters and reports that appear to be from SSA or SSA OIG. The Federal Trade Commission has reported that Social Security-related scams have far outpaced IRS impersonation scams in terms of allegation volume and fraud losses.

Since the beginning of FY 2019, more than 100 OIG employees, or approximately 20 percent of the organization's total workforce, have contributed to efforts to combat these scams, including public outreach, deterrence, allegation processing, and investigative work. In FY 2019, OIG dedicated an estimated \$2.1 million in human capital resources and related overhead expenses to undertake these scam-related efforts, and it expended an estimated \$912,000 in overtime and extended hotline call center operations, for a total cost of about \$3 million.

OIG has dedicated additional resources to these efforts. In the first three months of FY 2020, OIG committed an estimated \$950,000 in human capital expenses and related financial costs; at the current rate of involvement in scam-related initiatives, the organization could expect to commit about \$3.8 million in total resources to these efforts in FY 2020.

Specifically, in October 2019, OIG established the Major Case Unit (MCU) within the Office of Investigations to focus resources and expertise on major frauds against SSA programs. The new unit applies investigative, analytical, and legal resources on those efforts requiring a coordinated national or multi-jurisdictional investigative approach. The MCU liaises with other agencies and organizations to establish strategic partnerships and leverage available resources.

The top priority of the MCU is to lead and coordinate our efforts to address the rise in Social Security imposter scams. These efforts include a three-tiered approach designed to investigate and disrupt ongoing scam activities. This approach includes investigations into the scam calls themselves, and those entities and individuals that facilitate them; targeting of “money mule” networks that collect, launder, and move money received from victims; and disruption efforts designed to impair the ability of robo-callers to deceive people by working to shut down telephone numbers used in the scams. Notably, MCU investigative efforts resulted in the Department of Justice’s (DOJ) January 28, 2020 filing of two civil complaints seeking injunctions against five telecommunications companies and their owners, for allegedly facilitating government imposter telephone scams that have reached Americans’ personal phones for years. The MCU continues to work with DOJ and other agencies, such as U.S. Postal Inspection Service, Homeland Security Investigations, Treasury Inspector General for Tax Administration, and the Federal Trade Commission, to combat these scams

The OIG will continue to enhance efforts to combat these scams with using the requested base funding increases in the FY 2021 President’s Budget.

Enhancing Cybersecurity Oversight

Federal information systems—and the information they hold—are increasingly becoming targets of cyber-attacks. Breaches at several other Federal agencies have underscored the importance of securing government systems and protecting sensitive information. It is imperative that Federal agencies have robust vulnerability management and intrusion detection programs. SSA must implement a strong information security program to detect and prevent intrusions. Our prior audit and investigative work has revealed serious concerns with the security of SSA’s information systems.

SSA’s total IT expenditure for FY 2019 was \$2 billion, or about 15% of its total expenses. Through our ongoing, independent assessments of SSA’s information security initiatives, OIG plays a vital role in helping to ensure those IT investments are made wisely, and in keeping SSA, the Congress, and the American public informed.

To ensure the organization is positioned to provide timely, effective oversight of SSA’s information security efforts in this ever-changing environment, we must ensure we have the necessary knowledge and skills. OIG in FY 2020 has begun to establish the framework for an in-house Cybersecurity Team, which will seek to coordinate with SSA and other federal agencies on potential SSA information security vulnerabilities and recommended improvements.

With the requested base funding increases in the FY 2021 President’s Budget, OIG plans to:

- **Train and Develop Existing Staff.** OIG will invest in ongoing training for information technology audit staff to keep abreast of advances in technology, new vulnerabilities, and emerging threats.
- **Hire Information Security Experts.** OIG will expand IT audit resources and hire additional staff with cybersecurity expertise. These experts would develop and execute a strategy to oversee SSA's cybersecurity protection efforts.
- **Contracts with Experts.** To support its audit staff and fill critical skill gaps, OIG will seek to contract with cybersecurity experts take a more in-depth look into SSA's cybersecurity efforts.

Detecting and Preventing Disability Fraud: Cooperative Disability Investigations (CDI)

The CDI Program is a key SSA anti-fraud initiative that combats fraud, waste, 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. From inception in FY 1998 through FY 2019, CDI program efforts nationwide have resulted in over \$4 billion in projected savings to SSA's Title II and Title XVI disability programs, and over \$3 billion in related Federal and state benefit programs.

The CDI Program currently consists of 46 units covering 40 states, the District of Columbia, the Commonwealth of Puerto Rico, Guam, the Northern Mariana Islands, and American Samoa. In 2020, OIG plans to add 4 units in Nebraska, Nevada, New Hampshire, and Wyoming. OIG also plans to add 3 units in FY 2021, and cover all 50 States and U.S. territories by October 1, 2022, as required by the *Bipartisan Budget Act of 2015* (BBA).

As the CDI Program expands, OIG will add staff to support the CDI mission both in the field and at headquarters and replace those resources diverted to the program. The FY 2021 President's Budget supports this replacement of OIG resources by allowing SSA to transfer up to \$11.2 million of program integrity cap adjustment funds from the Limitation on Administrative Expenses (LAE) account to the OIG for CDI unit personnel expenses for CDI team leaders.

At OIG Headquarters, OIG expects to add CDI management and legal resources from the increase in base funding to manage this growing program, to stand up new units in a timely and efficient manner, and to ensure investigative consistency among units across the country.

Expanding Capacity for In-House Data Analytics

Efficient access to data and robust data analytics are critically important to identifying, prioritizing, and pursuing cases and audits that optimize the utilization of our resources. In the past, OIG has partnered with SSA's Analytics Center of Excellence (ACE) to provide a significant portion of the datasets and analytics necessary for successful cases and audits. Management for ACE recently indicated that their staff will discontinue providing data requested by OIG for use in OIG audits and investigations. While OIG can assume this workload from

ACE, the OIG does not currently have the capabilities or resources required to perform this workload. To assume this workload, OIG will seek to hire a data scientist and expend approximately \$40,000 for licensure for appropriate programs and applications, including Python, TOAD, SAS, and Webfocus, and an appropriate open-database connection for online/real-time access to the Enterprise Data Warehouse (EDW).

Social Security Act Enforcement

The OIG in recent years has increased enforcement efforts under Sections 1129 and 1140 of the *Social Security Act* to impose civil monetary penalties (CMPs) against individuals who make false statements, representations, and/or omissions, in connection with obtaining or retaining payments under Titles II, VIII, or XVI of the *Social Security Act* and who choose to misuse the SSA's reputation for financial gain. In FY 2019, OIG created the Office of Counsel for Investigations and Enforcement (OCIE) to enhance enforcement of civil and administrative penalties for abuses of SSA programs, and to increase prosecution of priority caseloads..

The OIG's CMP program is a critical deterrent against abuses of the SSA programs. The assessment of CMPs must discourage not only individuals from committing fraud to obtain improper disability benefits, but also third-party facilitators, including those who endeavor to commit large scale fraud schemes. Additionally, the CMP program is often the only enforcement mechanism when the prosecution of discrete fraudulent acts, such as those identified by the CDI units, are declined for prosecution because there has been no monetary loss.

The requested increase in the FY 2021 President's Budget helps to support OIG plans to fully staff OCIE, expand its CMP program, and enhance criminal prosecution efforts.

SSA'S SIGNIFICANT MANAGEMENT CHALLENGES

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

1. Improve Administration of the Disability Programs
2. Minimize Payment Errors and Improve Management of Payment Workloads
3. Improve Prevention, Detection, and Recovery of Improper Payments
4. Improve Service Delivery
5. Secure Information Systems and Protect Sensitive Data
6. Modernize Information Technology

A summary of each management challenge is discussed below:

Challenge #1: Improve Administration of the Disability Programs

The Agency continues to face challenges with pending initial disability claims and pending hearings, as well as hearings processing times. While pending levels and hearings timeliness have improved in recent years, SSA has not yet achieved its average hearings processing time goal of 270 days. Average processing time for hearings increased 65 percent from 360 days in Fiscal Year (FY) 2011 to 595 days in FY 2018, but it improved to 506 days in FY 2019. Also, few Ticket-eligible beneficiaries used their Tickets for vocational or employment services. To improve administration of the disability program, we believe SSA needs to 1) continue to implement and monitor its Compassionate and REsponsive Service initiative, designed to improve timeliness and reduce the hearings backlog; 2) focus resources on capacity issues to better balance processing times and hearing office workloads. In addition, SSA should continue to create new opportunities for returning beneficiaries to work and ensure measurement of costs, savings, and effectiveness are part of the design of such initiatives. In FY 2019, we completed nine audits in this area; as of January 2020, we have seven reviews ongoing.

Challenge #2: Minimize Payment Errors and Improve Management of Payment Workloads

SSA issues monthly payments to an average of over 70 million people and must be a responsible steward of the funds entrusted to its care by minimizing the risk of making improper payments, and effectively managing payment workloads. In FY 2018, SSA estimated computation errors resulted in \$942 million in over- and underpayments, and verification deficiencies resulted in nearly \$1 billion in overpayments. Improper payments can also result from inadequate management and processing of payment workloads. SSA has taken steps to minimize payment errors and improve management of payment workloads, but we believe the Agency needs to 1) do more to address the root causes of improper payments; 2) enhance accountability through program and automation improvements; 3) ensure staff have adequate training and technology; and 4) periodically review manual processes to determine whether they can be automated to reduce computation errors. In FY 2019, we completed 11 audits in this area and; as of January 2020, we have completed three reports in FY 2020 and have 19 reviews ongoing.

Challenge #3: Improve the Prevention, Detection, and Recovery of Improper Payments

SSA is responsible for issuing over \$1 trillion in benefit payments, annually. Given the amounts involved, even the slightest error in the overall payment process can result in millions of dollars in over- or underpayments. Preventing, detecting, and recovering improper payments continues to be a challenge. In its FY 2019 Agency Financial Report, SSA estimated it had made approximately \$8.2 billion in improper payments in FY 2018. The Agency continues collaborating with external partners to address the root causes of improper payments to prevent their recurrence, and modernize its debt management and collection processes. We believe SSA needs to 1) prevent improper payments through automation and data analytics, identifying changes that affect benefit payments; 2) expand efforts to collect data from reliable third-party sources that would aid SSA in mitigating discrepancies that can occur when beneficiaries and recipients self-report information; and 3) develop new initiatives to address improper payments. In FY 2019, we completed 15 audits in this area; as of January 2020, we have completed two reports in FY 2020 and have seven reviews ongoing.

Challenge #4: Improve Service Delivery

SSA faces several challenges as it pursues its mission to deliver quality service to the public. SSA estimates, in FY 2020, it will pay over \$1 trillion in Old-Age, Survivors and Disability Insurance (OASDI) benefits to nearly 65 million beneficiaries and nearly \$60 billion in Supplemental Security Income (SSI) payments to 8 million recipients. The Agency expects to process, among other workloads, 8.7 million initial OASDI and SSI claims, and 100 million post-entitlement actions. SSA faces growing workloads, but expects that more than 10,000 of its approximately 62,000 employees will retire within the next 5 years. SSA continues expanding its suite of automated and on-line service options, but we continue to have concerns about identity authentication for on-line transactions. Finally, the Agency must focus on strengthening its representative payment program, to ensure the protection of its most vulnerable customers. The Agency must continue to implement the provisions of the *Strengthening Protections for Social Security Beneficiaries Act of 2018*. In FY 2019, we completed nine audits in this area; as of January 2020, we have five reviews ongoing.

Challenge #5: Secure Information Systems and Protect Sensitive Data

Information breaches at several Federal agencies have underscored the importance of securing Federal systems and protecting sensitive information. SSA houses sensitive information about every individual who has been issued a Social Security number (SSN). It is imperative that SSA have a robust information security program yet auditors have identified weaknesses that, when aggregated, created a significant deficiency in SSA's overall information systems security program. In the most recent report for SSA's compliance with the *Federal Information Security Modernization Act of 2014*, Grant Thornton LLP identified a number of deficiencies that may limit SSA's ability to protect the confidentiality, integrity, and availability of SSA's information systems and data. To address this significant challenge, SSA must 1) address the deficiencies identified by the independent auditor; 2) ensure its electronic services are secure and comply with Federal security requirements; 3) continue to be vigilant in protecting SSNs and ensure any electronic applications related to SSN card issuance include effective authentication; and 4) improve wage reporting by informing employers about potential SSN misuse cases, identifying and resolving employer reporting problems, re-examining the validity and integrity checks used to prevent suspicious W-2s from being posted, and encouraging greater use of SSA's employee verification programs. In FY 2019, we completed three audits in this area; as of January 2020, we have completed four reports in FY 2020 and have four reviews ongoing.

Challenge #6: Modernize Information Technology

SSA must continue to modernize its IT infrastructure to accomplish its mission despite budget and resource constraints. SSA's aging infrastructure is increasingly difficult and expensive to maintain: the agency continues relying on outdated applications and technologies to process its core workloads. In addition, the Agency requires modern software engineering tools and skills that could make its operations more efficient. SSA reports that budget constraints have forced it to use much of its IT funding to operate and maintain existing systems. Still, to ensure the Agency can keep pace with increasing workloads, it must maintain its legacy systems while developing their modern replacements.

For several years, SSA has worked incrementally to modernize its IT infrastructure. The Agency's Chief Information Officer has acknowledged the Agency must undertake a larger, multi-year effort. However, SSA faces challenges in executing and implementing major IT projects and delivering expected functions on-schedule and within budget. For example, SSA estimated its costs for its Disability Case Processing System through FY 2022 would be approximately \$191 million, and the Agency needs to finish developing full functionality for all claim types and communication with State fiscal systems and implement DCPS in 21 more disability determination services (DDS). In FY 2019, SSA deployed the system to 31 states and plans to transition from legacy systems in FY 2020 and FY 2021. To address its modernization challenges, SSA needs to 1) prioritize modernization activities to ensure available resources lead to service it provides the public; and 2) ensure its IT planning and investment control processes are effective. Since FY 2018, we completed three audits in this area; as of January 2020, we have completed one report in FY 2020 and have two reviews ongoing.

MONETARY BENEFITS

In FY 2019, OIG issued 65 audit reports with recommendations, identifying over \$1.4 billion in questioned costs and over \$2.6 billion in Federal funds that could be put to better use. OIG also received over 635,000 allegations of fraud, effected over 797 criminal convictions, and obtained a return of over \$395 million in monetary accomplishments, comprising over \$171 million in SSA recoveries, restitutions, fines, settlements, and judgments, and over \$223 million in projected SSA savings. Additionally, OIG successfully resolved 128 civil monetary penalty actions against individuals who made false statements, representations, or omissions to obtain, retain, or convert Social Security benefits (violating Section 1129 of the *Social Security Act*), imposing more than \$12 million in penalties and assessments. Overall in FY 2019, the OIG identified \$39 in returns to the government for every \$1 it received through its appropriation.

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 \$11.2 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 2021 consists of \$33,000,000 appropriated from the general fund, and \$83,000,000, 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 4.2—Amounts Available for Obligation
(In thousands)

	FY 2019 Actual	FY 2020 Estimate	FY 2021 Budget
General Funds Annual Appropriation	\$ 30,000	\$ 30,000	\$ 33,000
Trust Funds Annual Transfer	\$ 75,500	\$ 75,500	\$ 83,000 ¹
Total Appropriation	\$ 105,500	\$ 105,500	\$ 116,000¹
Reimbursable Authority	\$9,500²	\$10,000²	\$11,200
Reimbursable Obligation	\$ 9,338	\$ 10,000	\$ 11,200³
Total Budgetary Resources	\$ 115,000	\$ 115,500	\$ 127,200
Total Obligations	\$ 104,970	\$ 115,500	\$ 127,200
Unobligated balance lapsing	\$ 530	\$ 0	\$ 0
Reimb. Bal returned to SSA LAE	\$162	\$ 0	\$ 0

¹ For FY 2021, the Budget includes appropriations language providing \$4 million be made available until expended for IT modernization, including related hardware and software infrastructure and equipment, and for administrative expenses directly associated with IT modernization.

² The FY 2019 and 2020 appropriations provided for the transfer of 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.

³ For FY 2021, the Budget includes language allowing the transfer of up to \$11.2 million to the Office of the Inspector General from SSA’s LAE program integrity cap adjustment funds for jointly operated Cooperative Disability Investigations (CDI) units.

ANALYSIS OF CHANGES

The FY 2021 request represents an increase of \$10.5 million to the Total Appropriation and \$1.2 million to the Reimbursable Obligation for a total increase of \$11.7 million from the FY 2020 Budget. Increases in base expenses for employee salaries and benefits will be offset by reductions in other objects.

Table 4.3—Summary of Changes (in thousands)

	FY 2020 Estimate	FY 2021 Budget	FY20 to FY21 Change
General Fund Appropriation	\$ 30,000	\$ 33,000	\$3,000
Trust Fund Appropriation	\$ 75,500	\$ 83,000 ¹	\$7,500
Total Appropriation	\$ 105,500	\$ 116,000¹	\$10,500
Reimbursable Obligation	\$ 10,000²	\$ 11,200³	\$1,200
Total Obligations	\$ 115,500	\$ 127,200	\$11,700

¹ For FY 2021, the Budget includes appropriations language providing \$4 million be made available until expended for IT modernization, including related hardware and software infrastructure and equipment, and for administrative expenses directly associated with IT modernization.

² For FY 2020, the enacted Budget included language allowing the transfer of 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.

³ For FY 2021, the Budget includes language allowing the transfer of up to \$11.2 million to the Office of the Inspector General from SSA's LAE program integrity cap adjustment funds for jointly operated Cooperative Disability Investigations (CDI) units.

Table 4.4—Explanation of OIG Budget Changes

	FY 2020 Base		Change from Base	
	WYs (FTEs)	Budgetary Resources	WYs (FTEs)	Budgetary Resources
<u>BUILT-IN INCREASES</u>				
Base Payroll Expenses	538		+14	
	(533)		(+14)	
• <i>Change in base payroll expenses related to career ladder promotions and within-grade increases</i>	---	\$71,989,000	---	+ \$ 3,435,000
• <i>Change in base expenses for employee benefits including health benefits and new employees hired under the Federal Retirement Employees System</i>	---	\$ 31,202,000	---	+ \$ 335,000
• <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	---	\$ 7,706,000	---	+ \$ 7,862,000
* Rent	---	\$ 4,603,000	---	+ \$ 68,000
Subtotal, Built-in increases	538	\$ 115,500,000	+14	+11,700,000
	(533)		(+14)	
<u>PROGRAM INCREASES</u>				
Subtotal, Program Increases	---	---	---	\$ 0
Total Increases	538	\$ 115,500,000	+14	+\$11,700,000
	(533)		(+14)	

Table Continues on the Next Page

	FY 2020 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	538 (533)	<i>\$ 101,740,000</i>	+14 (+14)	
Non-Payroll Costs	---	<i>\$ 9,060,000</i>		
Rent	---	<i>\$ 4,700,000</i>		
Subtotal, Built-in decreases	---	<i>\$ 115,500,000</i>	---	<i>\$0</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>\$0</i>
Net Change	538 (533)	<i>\$ 115,500,000</i>	+14 (+14)	<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 4.5—Budget Authority by Activity
(In thousands)**

	FY 2019 Actual	FY 2020 Estimate	FY 2021 Budget
General Funds	\$ 30,000	\$ 30,000	\$ 33,000
OASDI Trust Fund Transfers	\$ 75,500	\$ 75,500	\$ 83,000
Total Appropriation	\$ 105,500	\$ 105,500	\$ 116,000¹
Total Budgetary Authority	\$ 105,500	\$ 105,500	\$ 116,000
Reimbursable Obligation	\$9,338²	\$10,000²	\$11,200³
Obligations	\$ 104,970	\$ 115,500	\$ 127,200
Unobligated balance lapsing	\$ 530	\$ 0	\$ 0
FTEs	508 ⁴	533	547

¹ For FY 2021, the Budget includes appropriations language providing \$4 million be made available until expended for IT modernization, including related hardware and software infrastructure and equipment, and for administrative expenses directly associated with IT modernization.

² For FY 2019 and FY 2020 appropriations language provided for the transfer of 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.

³ For FY 2021, the Budget includes language allowing the transfer of up to \$11.2 million to the Office of the Inspector General from SSA's LAE program integrity cap adjustment funds for jointly operated Cooperative Disability Investigations (CDI) units.

⁴ For FY 2019, OIG FTEs shown reflects correct final FTE level of 508, which is an update to the 501 FTEs in the President's Budget Appendix.

BUDGET RESOURCES BY OBJECT

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

Table 4.6—Budget Resources by Object¹

	FY 2019	FY 2020	FY 2021	<i>FY20 to FY21 Change</i>
Full-time permanent	\$ 64,474,000	\$ 69,598,000	\$ 72,919,000	+ \$ 3,321,000
Other than full-time permanent	\$ 365,000	\$ 394,000	\$ 413,000	+ \$ 19,000
Other compensation	\$ 1,850,000	\$ 1,997,000	\$2,092,000	+ \$ 95,000
Subtotal, Personnel Compensation	\$ 66,689,000	\$ 71,989,000	\$ 75,424,000	+ \$3,435,000
Civilian personnel benefits	\$ 28,017,000	\$ 31,202,000	\$ 31,537,000	+ \$ 335,000
Total, Compensation and Benefits	\$ 94,706,000	\$ 103,191,000	\$ 106,961,000	+ \$3,770,000
Travel	\$ 2,745,000	\$ 1,656,000	\$ 1,441,000	- \$ 215,000
Transportation of things	\$ 41,000	\$ 40,000	\$ 40,000	\$0
Rental payments to GSA	\$ 4,250,000	\$ 4,181,000	\$ 4,243,000	+ \$ 62,000
Rental payments to others	\$ 100,000	\$ 0	\$ 0	\$ 0
Communications, utilities, and others	\$ 524,000	\$ 735,000	\$ 834,000	+ \$ 99,000
Printing and reproduction	\$ 22,000	\$ 30,000	\$ 36,000	+\$ 6,000
Other services	\$5,878,000	\$3,703,000	\$ 7,598,000	+ \$3,895,000
Supplies and materials	\$ 367,000	\$ 352,000	\$ 620,000	+ \$ 268,000
Equipment	\$ 6,198,000	\$ 1,889,000	\$ 5,556,000 ²	+\$3,667,000
Insurance Claims	\$ 3	\$ 4	\$ 5	\$ 1
Adjustments	-\$ 526,000	-\$ 281,000	-\$ 134,000	+\$147,000
Total Budgetary Resources	\$ 104,970,000	\$ 115,500,000	\$ 127,200,000	\$ 11,700,000

¹ Totals may not add due to rounding.

² \$4 million of no-year funds added to Equipment line item

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 4.7—Authorizing Legislation

	FY 2019 Enacted	FY 2020 Enacted	FY 2021 Authorized	FY 2021 Estimate
Office of the Inspector General (P.L. 116-94)	\$ 105,500,000	\$ 105,500,000	Indefinite	\$ 116,000,000

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 2020.

Table 4.8—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

Office of the Inspector General

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
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
2020 Total	\$105,500,000	\$108,500,000 ⁴⁸	\$105,500,000 ⁴⁹	\$105,500,000⁵⁰

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).

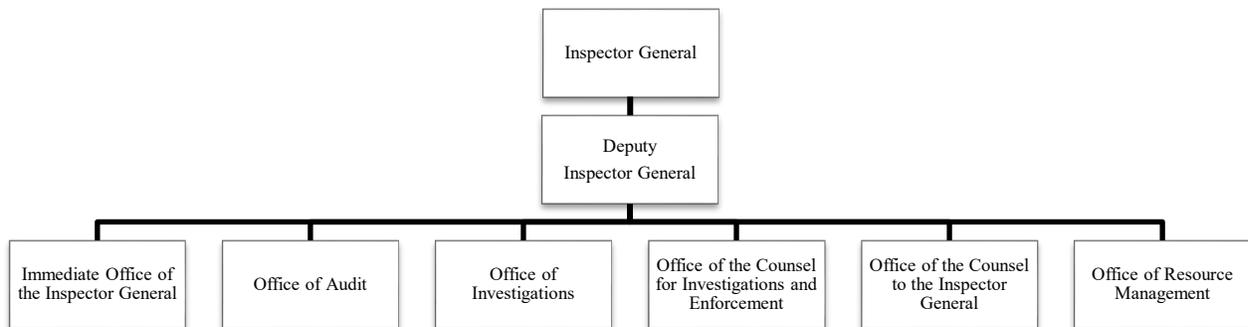
⁴⁸ H.R. 1865.

⁴⁹ H.R. 1865.

⁵⁰ Departments of Labor, Health and Human Services, and Education, and Related Agencies Appropriations Act, 2020 (P.L. 116-94).

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, abuse, and mismanagement. OIG provides timely, useful, and reliable information and advice to Administration officials, Congress, and the public.

OIG is composed of six components: The Immediate Office of the Inspector General (IO), the Office of Audit (OA), the Office of Investigations (OI), the Office of the Counsel for Investigations and Enforcement (OCIE), the Office of Counsel to the Inspector General (OCIG), and the Office of Resource Management (ORM).

Immediate Office of the Inspector General

IO provides the Inspector General (IG), Deputy IG, and the Chief of Staff with staff assistance on the full range of their responsibilities. IO staff leads the OIG's strategic planning efforts, directs OIG communications with the public and the media, provides liaison with all agencies sharing common interests with the OIG, and ensures coordination with congressional committees, SSA, the Social Security Advisory Board, and the Council of Inspectors General on Integrity and Efficiency.

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 public.

Office of Investigations

OI conducts and coordinates investigative activity related to fraud, waste, abuse, and mismanagement in SSA programs and operations. The office serves as OIG's liaison to the Department of Justice on all matters relating to the investigation of SSA programs and personnel. OI also conducts joint investigations with other Federal, State, and local law enforcement agencies. OI additionally operates the Cooperative Disability Investigations (CDI) program, in coordination with SSA, and manages the OIG's Allegation Management and Fugitive Enforcement Division.

Office of the Counsel for Investigations and Enforcement

OCIE is comprised of investigative counsel, which supports the organization, development, and prosecution of complex and high-priority Social Security fraud cases, as well as the administration of the Civil Monetary Penalty (CMP) program. OCIE also includes the Office of Quality Assurance and Professional Responsibility (OQAPR), which conducts reviews of each of the OIG's component offices to ensure compliance with Federal laws and regulations, Agency policies, and relevant professional standards, as well as investigates allegations of misconduct by OIG employees.

Office of the Inspector General

Office of the Counsel to the Inspector General

OCIG provides independent authoritative legal advice, guidance, and counsel to the IG and OIG executives 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.

Office of Resource Management

ORM carries out the OIG's budget and logistics, human resources, and information technology functions, encompassing a comprehensive range of programs, initiatives, and responsibilities. These include OIG budget formulation and execution; the establishment and coordination of OIG's general personnel management policies and procedures; and the design, development, and management of major technical systems, programs, and information security practices throughout OIG.

RATIONALE FOR THE BUDGET REQUEST

The budget request for FY 2021 is \$116,000,000, an increase of \$10.5 million from the FY 2019 and FY 2020 appropriations. The FY 2021 budget request will include appropriations language to indicate that \$4 million of the \$116 million remain available until expended for IT modernization. Moreover, the FY 2021 budget request will provide funding for a 547 FTE staffing level, payroll increases (e.g., within-grade increases, scheduled promotions, health benefits, etc.), and other related support costs.

For FY 2021, the Budget proposes for the transfer of up to \$11.2 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. This is an increase of \$1.2 million from FY 2020 and will provide funding for 53 CDI unit team leaders, payroll increases, and other related support costs.

Table 4.9—Detail of Full-Time Equivalent Employment and Workyears

	FY 2019 Actual	FY 2020 Estimate	FY 2021 Estimate
FTEs	508*	533	547
Overtime/Lump Sum Leave	10	5	5
Total	518	538	552

* For FY 2019, OIG FTEs shown reflects correct final FTE level of 508, which is an update to the 501 FTEs in the President's Budget Appendix.

Table 4.10—Average Grade and Salary

	FY 2019 Actual
Average ES	\$ 188,292
Average GS	13
Average GS	\$ 116,011