

UNITED STATES OFFICE OF PERSONNEL MANAGEMENT

# Annual Performance Report

Fiscal Year 2017





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## Message from the Acting Director

The U.S. Office of Personnel Management (OPM) leads and serves the Federal Government in enterprise human resources management by delivering policies and services to achieve a trusted, effective civilian workforce. In FY 2017, we assisted agencies' workforce reshaping efforts in support of the Administration's *Comprehensive Plan for Reforming the Federal Government and Reducing the Federal Civilian Workforce*. At the same time, we maintained our focus on our agency priorities, including reducing the Federal background investigations inventory, improving retirement processing customer service, providing quality and affordable health benefits, and advancing evidence-based human capital management policy, consistent with merit systems principles and applicable law. This report highlights our progress advancing these priorities in FY 2017.

### **REDUCING THE FEDERAL BACKGROUND INVESTIGATIONS INVENTORY**

In FY 2017, we increased the investigator workforce by awarding additional investigative fieldwork contracts; provided fieldwork contractors with incentives to build capacity, increase production, and reduce the inventory of aged investigations; hired more Federal investigators; and concentrated the investigative workforce in the highest workload locations.

We also began work with a cross-agency Backlog Reduction & Mitigation Initiative working

group to identify potential initiatives and recommendations, and improved business processes through the development of enterprise measures.

We secured and modernized our information technology through the development of an eAdjudication prototype, and continued to partner with the Department of Defense to build a new, secure, and flexible case management system to allow more efficient and effective case processes.

While we did not meet our FY 2017 timeliness targets, we remain committed to further increasing investigative workforce capacity to more quickly decrease the inventory and improve the timely delivery of high-quality cases to our Federal agency customers.

### **IMPROVING RETIREMENT CUSTOMER SERVICE**

In FY 2017, OPM processed 57.3 percent of retirement claims within 60 days. Though we fell short of our case processing timeliness target, we will improve by developing staff and improving training. Also in FY 2017, we handled 67.5 percent of retirement program customer calls. While a slight improvement from FY 2016, we did not meet our call handling target. To address this challenge, we hired 43 customer service specialists in the fourth quarter of FY 2017 to handle calls. From May through September, the average speed of answer improved by 15 percent and the call handling rate increased by 3 percent.

## PROVIDING QUALITY, AFFORDABLE HEALTH BENEFITS

Sponsoring high quality, affordable insurance products is a significant challenge for the agency and Federal Employees Health Benefits (FEHB) carriers. We have developed a method for measuring and rewarding carrier performance on industry-endorsed clinical quality measures as a means to promote better care outcomes and better overall population health. Improvement on these parameters (for example, diabetes control) across the program requires diligent attention and multiyear investment by FEHB carriers. In FY 2017, OPM met or exceeded all three of its FEHB plan performance assessment targets. While this effort will contribute to reducing health risk and maintaining affordable coverage, it is counterbalanced by upward cost pressures related to prescription drugs and emerging technology.

## ADVANCING EVIDENCE-BASED HUMAN CAPITAL MANAGEMENT POLICY

In FY 2017, we applied evidence-based decision-making to our daily operations at all levels through the use of data analytic tools, dashboards, employee development, a community of practice, and an employee resource group. We have expanded the breadth and depth of data and data analytics online courses, books, and videos available, at no cost, to the OPM workforce. In June 2017, in conjunction with American University School of Public Affairs, we hosted our 2nd Annual OPM Research Summit. The theme of the summit, “Transforming Human Capital Management Policy through Research, Innovation, and Analytics,” was

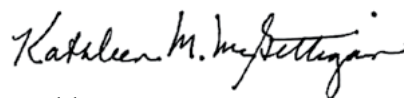
designed to identify ways to improve human capital management policy, and drew more than 300 attendees representing Federal agencies, universities, companies, and the general public. The event provided a forum for stakeholders to share new ideas and current research. Going forward, we will continue to advance evidence-based human capital management policy by establishing a Center of Excellence, leveraging data analytics and research.

## COMPLETENESS AND RELIABILITY OF PERFORMANCE INFORMATION

The performance information used by OPM in this report is complete and reliable, as defined by the *Government Performance and Results Act Modernization Act of 2010*. If there are instances where full and complete data for a measure is not available, those instances are noted.

## CONCLUSION

This is the final report on OPM’s progress in implementing its FY 2014-2018 Strategic Plan, and we’re now focused on implementing the agency’s new strategic plan for FYs 2018-2022. As we implement the new strategic plan, we’ll remain focused on results, using data to inform our decision-making to advance OPM’s mission and achieve our goals.



Kathleen M. McGettigan  
Acting Director  
February 12, 2018

## OPM OVERVIEW

As the Federal Government’s chief human resources agency and personnel policy manager, OPM aspires to lead and serve the Federal Government in enterprise human resources management by delivering policies and services to achieve a trusted effective civilian workforce. OPM directs human resources policy; promotes best practices in human resource management; administers retirement, healthcare, and insurance programs; oversees merit-based and inclusive hiring practices within the civil service; and provides a secure employment process.



## HISTORY

On January 16, 1883, President Chester A. Arthur signed the *Civil Service Act of 1883*. Among other things, the Act established OPM’s predecessor agency, the United States Civil Service Commission. Prior to 1883, Federal employment was largely based on political affiliation or personal connections, a system known as the “spoils system,” rather than candidates’ knowledge, skills, and abilities. The newly established merit system ushered in a new era and created a competitive civil service, which emphasized an applicant’s relative level of qualifications for the position being sought, after fair and open competition. Theodore Roosevelt served as Civil Service Commissioner from 1889-1895. His energetic and reform-minded outlook made him a strong proponent of the merit system both as Commissioner and later as U.S. President.

Another watershed date in OPM’s history occurred in 1978. With the passage of the *Civil Service Reform Act of 1978*, the Civil Service Commission was abolished and reorganized into four new organizations: the Office of Personnel Management, the Merit Systems Protection Board (which included an office that would later become a fifth separate agency--the Office of Special

Counsel); the Federal Labor Relations Authority; and the Office of Government Ethics. Each of these new organizations took over a portion of the Civil Service Commission’s responsibilities, with OPM responsible, among other things, for hiring and personnel management of the civil service of the Government.

## PROFILE

Ranked as one of the best places to work in the Federal Government, OPM maintains its headquarters in the Theodore Roosevelt Federal Office Building at 1900 E Street, NW, Washington, D.C. OPM has field offices in 16 locations across the country, and operating centers in Pennsylvania, Maryland, and Georgia. OPM’s FY 2017 gross budget, including appropriated, mandatory administrative authorities and revolving fund activities, totaled \$2,099,873,211. In FY 2017, the agency had 5,539 full-time equivalent employees. OPM’s discretionary budget, excluding the Office of the Inspector General, was \$259,000,000.

For more information about OPM, please refer to the agency’s website, [opm.gov](http://opm.gov).

## PURPOSE AND SCOPE

The FY 2017 Annual Performance Report (APR) provides an overview of OPM's progress in implementing the strategies and achieving the goals in its FY 2014-FY 2018 Strategic Plan. The APR is issued concurrently with OPM's FY 2019 Congressional Budget Justification, and is intended to be used by Congress in reviewing the agency's budget proposals. It is also intended to help Congress, the President, and the public assess OPM's stewardship over the financial resources entrusted to the agency in FY 2017. The FY 2017 APR meets reporting requirements in the *Government Performance and Results Act Modernization Act of 2010*, which focuses on improving performance and accountability among Federal agencies, and guidance described in Office of Management and Budget Circular A-11.

The report does not include performance information for additional Government-wide mandated or compliance functions supported by

OPM or enabling structural capacity functions of OPM. These functions, which include executive direction and leadership, legal advice and representation, public affairs, and administrative operations, support the accomplishment of OPM's goals, but are not included in the strategic plan.

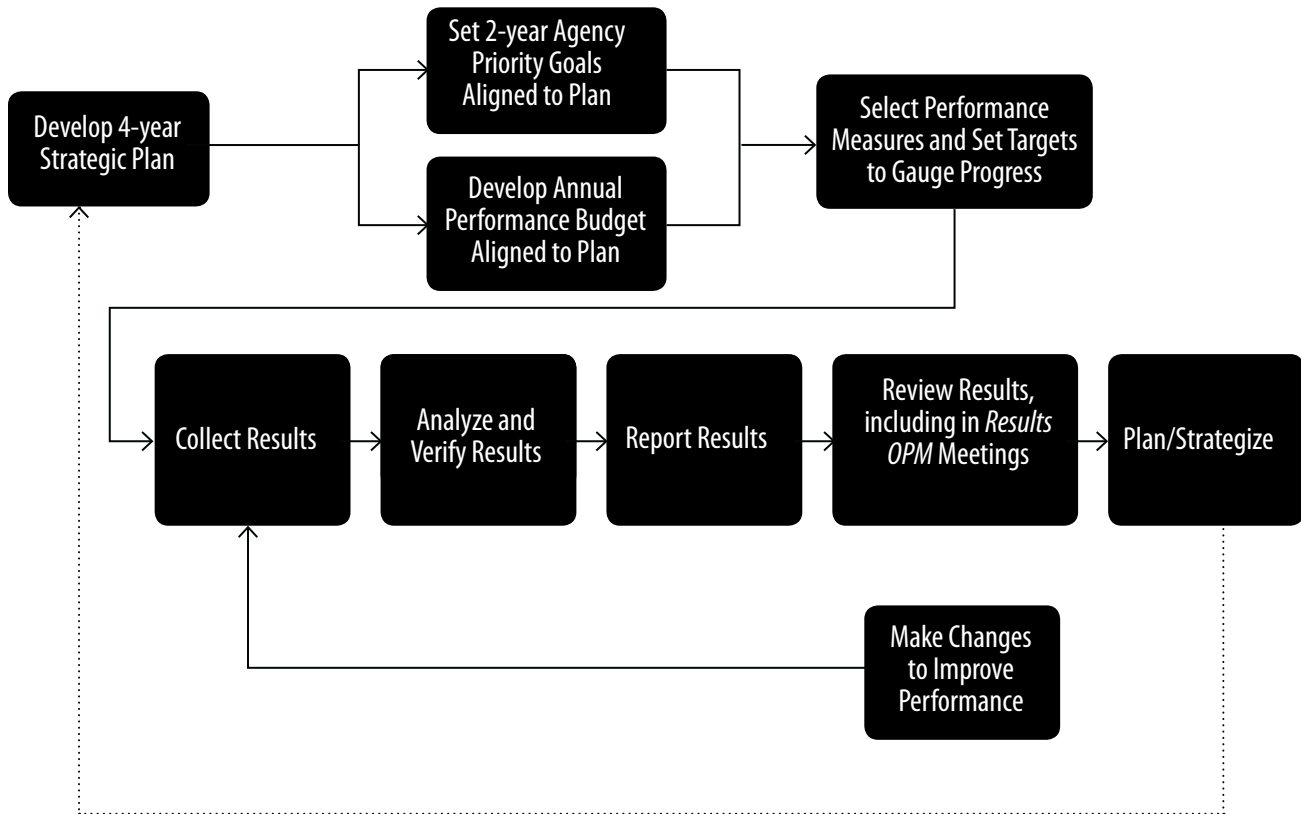
The strategies in OPM's FY 2014-FY 2018 Strategic Plan are the primary units of analysis in this report. As part of its annual performance budgeting process, the agency developed performance measures and targets aligned to these strategies. The targets indicate the agency's planned levels of performance, and were set based on the amount of resources requested for each strategy. In this report, the agency compares these planned levels of performance to actual performance, explaining any variances or trends. OPM identifies successful or promising practices relative to the performance targets, and where targets were not met, describes plans for improvement.



Under separate cover, OPM publishes an Agency Financial Report, focusing on financial results. All reports are available on the OPM website at <https://www.opm.gov/about-us/budget-performance/performance/>.



## RESULTS OPM: OPM'S PERFORMANCE MANAGEMENT APPROACH



### RESULTS OPM

OPM is committed to building a strong performance culture through effective performance management processes that are designed to promote management decision-making based on the use of data to measure progress toward specific goals, in conformity with applicable law. OPM's performance management cycle consists of (1) developing the four-year Strategic Plan; (2) setting two-year agency priority goals aligned to the plan; (3) developing an annual performance budget aligned to the plan; (4) selecting performance measures and setting targets to gauge progress; (5) collecting results; (6) analyzing and verifying results; (7) reporting results; (8) reviewing results, including reviewing results in *Results OPM* meetings; (9) making changes to improve performance; and (10) planning and strategizing.

- 1. Developing the four-year Strategic Plan:** Every four years, OPM develops a Strategic Plan, which presents the agency's long-term strategic goals.
- 2. Setting two-year Agency Priority Goals aligned to the plan:** Based on the top priorities of the agency and Administration, OPM develops two-year Agency Priority Goals (APG) and action plans that are aligned to the Strategic Plan. The Agency Priority Goals are near-term priorities and results that the agency wants to accomplish.
- 3. Developing an annual performance budget aligned to the plan:** As part of the annual budgeting process, OPM develops performance plans that reflect the full scope of the Strategic Plan and describe the level of performance to be achieved in the current and next fiscal year. OPM submits the Annual Performance Plan and budget (referred to as the Performance Budget) to the Office of Management and Budget (OMB) in September.
- 4. Selecting performance measures and setting targets to gauge progress:** The agency develops performance measures and sets targets to gauge its progress in implementing its Strategic Plan.
- 5. Collecting results:** OPM measures its performance and collects results at the agency-wide level at least quarterly.
- 6. Analyzing and verifying results:** OPM analyzes its performance results, exploring the data and conducting deep-dive analyses as needed. The agency verifies the results to promote accuracy and reliability.
- 7. Reporting results:** OPM reports performance information at least quarterly via internal reports for agency decision-makers, quarterly via APG updates for [Performance.gov](https://www.performance.gov), and annually via the Annual Performance Report.
- 8. Reviewing results, including reviewing results in *Results OPM* meetings:** OPM conducts data-driven performance review (or *Results OPM*) meetings at least quarterly, to review key data and to bring together the people, resources, and analysis needed to drive progress. The meeting is chaired by the Director or Chief Management Officer. Agency leaders diagnose problems and opportunities, learn from past experience, and decide next steps to improve performance.
- 9. Making changes to improve performance:** To improve performance, OPM tracks and follows-up on action items that resulted from its performance review meetings. Where the results indicate a need to transform processes, OPM uses agency experts in Lean Six Sigma, Human Centered Design, and other process improvement methodologies to identify root causes and develop solutions.
- 10. Planning and strategizing:** OPM uses performance results to inform future plans, strategies, and budgets.

## OPM'S STRATEGIC FRAMEWORK

In its pursuit of the ten strategic goals outlined in the agency's Strategic Plan for FY 2014-FY 2018, OPM aimed to achieve its mission: *Recruit, Retain and Honor a World-Class Workforce to Serve the American People*.

The agency divided its strategic goals into two categories: management and program outcome goals. Management goals were focused on OPM's internal systems and processes, while the program outcome goals were focused on OPM's external responsibilities. Each goal was supported by implementation strategies, and the agency monitored the performance results aligned to each strategy to track its progress towards achieving the goals in the Strategic Plan. OPM's FY 2014-FY 2018 Strategic Plan is available at <https://www.opm.gov/about-us/budget-performance/strategic-plans/2014-2018-strategic-plan.pdf>.

### VISION

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The Federal Government Will Become America's Model Employer for the 21<sup>st</sup> Century

### MISSION

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Recruit, Retain and Honor a World-Class Workforce to Serve the American People

### VALUES

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**SERVICE:** We pledge through our oath to encourage and support those who serve the wider public or community through their work as Federal employees.

**RESPECT:** We extend consideration and appreciation to employees, customers and stakeholders fostering a fair, open and honest workplace environment. We listen to the ideas and opinions expressed by others. We treat others as we would wish to be treated.

**INTEGRITY:** We uphold a standard of transparency, accountability, and reliability. We conscientiously perform our operations to promote a Federal workforce that is worthy of the public trust.

**DIVERSITY:** We honor our employees and customers through inclusiveness and respect for the various perspectives and backgrounds that each brings to the workforce.

**ENTHUSIASM:** We embrace our work and the challenges of the future with excitement, energy, and optimism. We are open to the myriad possibilities of change and eagerly unite.

**EXCELLENCE:** We fulfill our mission by providing relevant and timely products and superior customer service that reflect our commitment to collaboration and the highest standards of quality.

**INNOVATION:** We constantly seek new ways to accomplish our work and to generate extraordinary results. We are dedicated to delivering creative and forward-looking solutions and advancing the modernization of human resource management.

**TABLE 1 - Strategic Goals**

Strategic Goal	Goal Statement
<b>GOAL 1</b> Diverse and Effective OPM Workforce	Attract and engage a diverse and effective OPM workforce.
<b>GOAL 2</b> Timely, Accurate, and Responsive Customer Service	Provide timely, accurate, and responsive service that addresses the diverse needs of our customers.
<b>GOAL 3</b> Evidence-Based Policy and Practices	Serve as the thought leader in research and data-driven human resource management and policy decision-making.
<b>GOAL 4</b> Efficient and Effective Information Systems	Manage information technology systems efficiently and effectively in support of OPM's mission.
<b>GOAL 5</b> Transparent and Responsive Budgets	Establish responsive, transparent budgeting and costing processes.
<b>GOAL 6</b> Engaged Federal Workforce	Provide leadership in helping agencies create inclusive work environments where a diverse Federal workforce is fully engaged and energized to put forth its best effort, achieve their agency's mission, and remain committed to public service.
<b>GOAL 7</b> Improved Retirement Benefit Service	Ensure that Federal retirees receive timely, appropriate, transparent, seamless, and accurate retirement benefits.
<b>GOAL 8</b> Enhanced Federal Workforce Integrity	Enhance the integrity of the Federal workforce.
<b>GOAL 9</b> Healthier Americans	Provide high quality health benefits and improve the health status of Federal employees, Federal retirees, their families, and populations newly eligible for OPM-sponsored health insurance products.
<b>GOAL 10</b> Efficient and Effective Federal Human Capital Management	Increase the efficiency and effectiveness of human capital management across the Federal Government by providing procedures and services that increase accountability, and provide greater organizational and management flexibility.

OPM has developed a new strategic plan for FY 2018-FY 2022 that is being released concurrent with this report. Performance and accountability at OPM begins with the Strategic Plan.



## EXECUTIVE OFFICES

- **The Office of the Director (OD)** provides guidance, leadership and direction necessary to lead and serve the Federal Government by delivering policies and services to achieve a trusted effective civilian workforce. The Suitability and Security Clearance Reform Performance and Accountability Council's Program Management Office (PAC PMO) is also housed within the OD. Also included within OD is the Executive Secretariat (ExecSec) function which is responsible for coordination and review of agency correspondence, policy and program proposals, regulations and legislation. ExecSec serves as the agency's regulatory interface with the Office of Management and Budget and the Federal Register. The office is also responsible for the administrative and resource management support for the OD and other executive offices. And finally, ExecSec coordinates OPM's international affairs activities and contacts.

Within OD, the Chief Privacy Officer/Senior Agency Official for Privacy serves as the principal privacy advisor to the OPM Director and is responsible for formulating and implementing OPM policies related to the collection, maintenance, and use of personally identifiable information. These responsibilities include compliance with the Privacy Act, the privacy provisions of the E-Government Act, and other privacy-related laws, regulations, and guidance throughout OPM.

- **Office of the General Counsel (OGC)** provides legal advice and representation to the Director and OPM managers and leaders so they can work to provide the Federal Government an effective and trusted civilian workforce. OGC does this by rendering opinions, reviewing proposed policies and other work products, and commenting on their legal efficacy, serving as agency representatives in administrative litigation, and supporting the Department of Justice in its representation of the Government on matters concerning the civilian workforce. OGC also carries out several programmatic, substantive functions that fulfill other statutory or regulatory mandates and thus benefit other

OPM offices or the Executive Branch as a whole. For example, OGC is responsible for the Government-wide Hatch Act regulations, administers the internal agency Hatch Act and ethics programs, and serves in a policy and legal role in the Government-wide function of determining which Merit Systems Protection Board and arbitral decisions are erroneous and have a substantial impact on civil service law, and, thus, merit judicial review.

- **Congressional, Legislative and Intergovernmental Affairs (CLIA)** is the OPM office that fosters and maintains relationships with Members of Congress and their staff. CLIA accomplishes its mission by keeping informed of issues related to programs and policies administered by OPM. CLIA staff attends meetings, briefings, markups and hearings in order to interact, educate, and advise agency, Congressional, State, and Local Governments. CLIA is also responsible for supporting Congressional efforts through providing technical assistance and substantive responses to Congressional inquiries.
- **Office of Communications (OC)** coordinates a comprehensive effort to inform the public of the Administration's and OPM's goals, plans, and activities through various media outlets. The OC provides the American public, Federal agencies, and pertinent stakeholders with accurate information to aid in their planning and decision-making process. The OC coordinates the publication and production of all video products, printed materials, and websites generated by OPM offices. The office develops briefing materials for the Director and other OPM officials for various activities and events. The OC also plans events that amplify the Administration's and OPM's key initiatives within the agency and Government-wide.
- **Office of Strategy and Innovation (OSI)** uses data and research to develop human capital strategy and lead human resources innovation throughout the Federal Government. OSI includes both a Data Analysis Group and the Federal Employee Viewpoint Survey Group.

## PROGRAM OFFICES

- **Employee Services (ES)** provides policy direction and leadership in designing, developing and promulgating Government-wide human resources systems and programs. ES supports agencies' recruitment, strategic workforce planning, pay, leave, performance management and recognition, leadership and employee development, work/life/wellness programs, and labor and employee relations efforts with tools, education, and direct support. ES provides technical support to agencies regarding the full range of human resources management policies and practices, to include veterans' employment as well as the evaluation of agency human resource programs. ES, through its center for Outreach, Diversity, and Inclusion, also examines policy options, Government-wide data trends, and employee survey findings that affect OPM's management of HR policy, as it relates to recruitment and outreach, diversity and inclusion, and veteran's employment throughout the Federal Government. ES develops comprehensive strategies to drive diversity and inclusion practices throughout the Federal Government and build a diverse and inclusive workforce, respecting individual and organizational cultures, while complying with merit principles and applicable Federal laws.
- **Retirement Services (RS)** is responsible for administering, developing, and providing Federal employees, retirees and their families with benefits programs and services that offer choice, value, and quality to help maintain the Government's position as a competitive employer. RS is responsible for administering the Civil Service Retirement System (CSRS) and the Federal Employees Retirement System (FERS), serving nearly 2.6 million Federal retirees and survivors who receive monthly annuity payments. Even after a case is adjudicated and added to the annuity roll, OPM continues to serve annuitants by making address or tax status changes to annuitant accounts, sending out 1099-Rs, surveying certain annuitants to ensure their continued eligibility to receive benefits, and conducting other post adjudication activities.
- **Healthcare & Insurance (HI)** consolidates OPM's healthcare and insurance responsibilities into a single organization. This includes functions such as the Federal Employees Health Benefits (FEHB) Program, Federal Employees' Group Life Insurance (FEGLI), Federal Long Term Care Insurance Program (FLTCIP), the Federal Employee Dental and Vision Insurance Program (FEDVIP), Flexible Spending Accounts for Federal Employees (FSAFEDS), and OPM's responsibilities to administer the Multi-State Plan Program.
- **Merit System Accountability & Compliance (MSAC)** ensures through rigorous oversight that Federal agency human resources programs are effective and efficient, and comply with merit system principles and related civil service requirements. MSAC evaluates agencies' programs through a combination of OPM-led evaluations and participating in agency-led reviews. The evaluations may focus on all or some of the four systems of OPM's Human Capital Framework: (1) strategic planning and alignment of human resources to mission, (2) performance culture, (3) talent management, and (4) evaluation systems. MSAC reports may identify required corrective actions, which agencies must show evidence of implementing, as well as recommendations for agencies to improve their systems and procedures. MSAC also conducts special cross-cutting studies to assess the use of HR authorities and flexibilities across the Government. Moreover, MSAC reviews and renders decisions on agencies' requests to appoint political appointees to competitive or non-political excepted service positions to ensure such appointments are free of political influence. MSAC also adjudicates classification appeals, job grading appeals, Fair Labor Standards Act claims, compensation and leave claims, and declination of reasonable appeals, all of which provides Federal employees with an administrative due process rights to challenge compensation and related agency decisions without having

to resort to seeking redress in Federal courts. MSAC has Government-wide oversight of the Combined Federal Campaign (CFC) and the Voting Rights programs. The mission of the CFC is to promote and support philanthropy through a program that is employee focused, cost-efficient, and effective in providing all Federal employees the opportunity to improve the quality of life for all. The Voting Rights Program deploys Federal observers to monitor polling sites (as determined by the Attorney General) and provides written reports to the Department of Justice. Finally, MSAC manages OPM's Office of Internal Oversight and Compliance (IOC). IOC drives the resolution of audit recommendations, conducts program evaluations, and oversees the review of capital investments to strengthen OPM's risk management and operational performance.

- **Human Resources Solutions (HRS)** is a reimbursable organization offering a complete range of tailored and standardized human resources products and services designed to meet the unique and dynamic needs of the Federal Government. As such, HRS provides customer agencies with innovative, high quality Government-to-Government solutions to help them develop leaders, attract and build a high quality public sector workforce, and achieve long-lasting results. This includes recruiting and examining candidates for Administrative Law Judge positions for employment by Federal agencies nationwide, managing the Leadership for a Democratic Society program, automating the full range of Federal rules and procedures for external hires, developing specialized assessments and performance management strategies, and offering Federal customers' with requirements development expertise, ultimately procuring solutions through best-in-class awards.
- **National Background Investigations Bureau (NBIB)** is responsible for providing investigative products and services for over 100 Federal agencies to use as the basis for a variety of personnel adjudicative decisions, including but not limited to security clearance and

suitability decisions as required by Executive Orders and other rules and regulations. It focuses on continuous process improvements through innovation, stakeholder engagement, agile acquisition strategy, and a focus on national security. NBIB absorbed most of the roles, responsibilities, and staff of Federal Investigative Services starting in FY 2017.

- **Suitability Executive Agent (SuitEA)** was established as a distinct program office within OPM in December 2016 to strengthen the effectiveness of suitability, fitness, and credentialing vetting across the Government. SuitEA prescribes suitability standards and conducts oversight of functions delegated to the heads of agencies while retaining jurisdiction for certain suitability determinations and taking Government-wide suitability actions when appropriate. SuitEA also issues guidelines and instructions to the heads of agencies to promote appropriate uniformity, centralization, efficiency, effectiveness, reciprocity, timeliness, and security in suitability/fitness/credentialing processes.

## MISSION SUPPORT SERVICES

- **Human Resources (HR)** is responsible for OPM's internal human resources management programs. OPM HR supports the human capital needs of program offices throughout the employment lifecycle, from recruiting and hiring candidates for employment opportunities at OPM, to coordinating career development opportunities, to processing retirement applications. The Chief Human Capital Officer leads HR, and is responsible for shaping corporate human resources strategy, policy, and solutions to workforce management challenges within the agency.
- **Chief Financial Officer (CFO)** provides leadership and coordination of OPM financial management services, accounting, financial systems, budget, performance, enterprise risk management and internal controls programs which enable the agency to achieve strategic objectives and mission. Additionally, the CFO ensures the completion of timely and accurate



financial reports that support decision making, comply with Federal requirements and demonstrate effective management of taxpayer dollars.

- **Chief Information Officer (CIO)** develops the Information Resource Management Plan and defines the information technology vision and strategy to include information technology policy and security for OPM. The CIO manages the IT infrastructure that supports OPM business applications and operations. The CIO shapes the application of technology in support of the agency's Strategic Plan including information technology that outlines the long term strategic architecture and systems plans for agency information technology capital planning. The CIO supports and manages pre- and post-implementation reviews of major information technology programs and projects, as well as project tracking at critical review points. The CIO provides review and oversight of major information technology acquisitions for consistency with the agency's architecture and the information technology budget, and is responsible for the development of the agency's information technology security policies. The CIO leads the agency's information technology architecture engineering to further architecture integration, design consistency, and compliance with Federal standards. The CIO also works with other agencies on Government-wide projects such as E-Government, and developing long-term plans for human resource information technology strategies.
- **Facilities, Security & Emergency Management (FSEM)** manages the agency's personal and real property, building operations, space design and layout, mail management, safety, physical security, and occupational health programs. FSEM provides personnel security, suitability, and national security adjudicative determinations for OPM personnel. FSEM directs the operations and oversees OPM's preparedness and emergency response programs. In addition, it oversees publishing and printing management for internal and external design and reproduction.
- **Office of Procurement Operations (OPO)** awards and administers several thousand contract actions and interagency agreements annually, with an estimated value of \$1 billion. OPO provides acquisition support to OPM programs and also provides assisted acquisition services in support of other Federal agencies that require support under OPM contracts. OPO supports the agency suspension and debarment program, as well as supports the small business utilization efforts for OPM in conjunction with public law, Federal regulations, and OPM contracting policies. The Acquisition Policy and Innovation function within OPO provides acquisition policy development and guidance agency-wide, as well as provides compliance and oversight over OPM's procurement program. OPO provides acquisition support and oversight for all Contracting Officers and Contracting Officer Representatives, and also manages and provides oversight of the purchase card program. OPO serves as OPM's liaison to the Office of Federal Procurement Policy, Chief Acquisition Officers Council, and other key external agency partnerships.
- **Office of Small and Disadvantaged Business Utilization (OSDBU)** manages the development and implementation of appropriate outreach programs aimed at heightening the awareness of the small business community to the contracting opportunities available within OPM. The office's responsibilities, programs, and activities are managed under three lines of business: advocacy, outreach, and unification of the business process.
- **Equal Employment Opportunity (EEO)** provides a fair, legally-correct, and expeditious EEO complaints process (for example, EEO counseling, Alternative Dispute Resolution, and EEO Complaints Intake, Investigation, Adjudication, and Record-Keeping). EEO also designs and implements all required internal OPM diversity and inclusion efforts to promote diversity management.

## **OTHER OFFICES**

- **Planning and Policy Analysis (PPA)** provides planning and analytical support to the agency. PPA assesses issues that affect Federal human resource programs and benefits. A particular area of responsibility has been the analysis of policy options, legislative changes, and trends affecting OPM's management of health and retirement benefits for Federal employees.
- **Federal Prevailing Rate Advisory Committee (FPRAC)** studies the prevailing rate system and other matters pertinent to the establishment of prevailing rates under Subchapter IV of Chapter 53 of Title V, United States Code, and advises the Director of OPM on the Government-wide administration of the pay system for blue-collar Federal employees.

## **OFFICE OF THE INSPECTOR GENERAL**

- **Office of the Inspector General (OIG)** conducts comprehensive and independent audits, investigations, and evaluations relating to OPM programs and operations. It is responsible for administrative actions against health care providers that commit sanctionable offenses with respect to the FEHBP or other OPM programs. The OIG keeps the Director and Congress fully informed about problems and deficiencies in the administration of agency programs and operations, and the need for and progress of corrective action.

## SUMMARY OF PERFORMANCE RESULTS

In this section, OPM summarizes the performance results for each strategy in its FY 2014-2018 Strategic Plan. OPM gauges its progress towards implementing each strategy using one or more performance measures or, in instances where the agency cannot express a performance goal in a quantifiable form, with milestones.







The agency compares actual performance to targets. *Contextual* measures are highly influenced by external factors and, therefore, OPM has not set targets. In other instances, noted with the phrase Establish Baseline, measures are new and there are no baseline data. In those cases, OPM has deferred setting firm targets until enough data is collected to set ambitious but achievable targets.

The tables that follow display performance results, ordered by strategic goal, for FY 2013-FY 2017. FY 2013 results precede the current strategic plan, but are included to show long-term trends. Trends are visualized in small charts that represent

the FY 2013-FY 2017 results, subject to data availability. Note that the scales of the charts are not displayed, and they are automatically adjusted to “zoom in” on the data. This can have the effect of making small changes appear more dramatic, and large changes appear less significant.

In the next section, OPM explains any variances or trends, identifies successful or promising practices relative to the performance targets, and, where targets were not met, describes plans for improvement. Please refer to the specific table numbers that follow for additional details, including explanations of the results.

### Strategic Goal 1: Attract and engage a diverse and effective OPM workforce

Table	Performance Measure	FY 2013 Results	FY 2014 Results	FY 2015 Results	FY 2016 Results	FY 2017 Results	FY 2017 Target	FY 2017 Target Met/Not Met	FY 2013 FY 2017 Trend
1.01	Percent of hiring managers who indicate they were actively involved in recruiting to fill the position	39%	52%	62%	60%	—*	≥60%	—*	
1.02A	OPM's Federal Employee Viewpoint Survey Employee Engagement Index score	72%	72%	71.1%	71.3%	71%	≥74%	Not Met	
1.02B	Overall New IQ score	64%	64%	64%	64%	65%	≥67%	Not Met	
1.03	Percent of employees satisfied with the opportunity to improve their skills as reported in the Employee Viewpoint Survey	65%	62%	64%	66.6%	66%	≥65%	Met	

\* No historical data available for this period.

**Strategic Goal 2: Provide timely, accurate, and responsive service that addresses the diverse needs of our customers**





Table	Performance Measure	FY 2013 Results	FY 2014 Results	FY 2015 Results	FY 2016 Results	FY 2017 Results	FY 2017 Target	FY 2017 Target Met/ Not Met	FY 2013- FY 2017 Trend
2.01A	Percent of program offices meeting customer satisfaction score targets	—*	—*	43.8%	70%	83.3%~	Delay in Establishing Baseline	Delay in Establishing Baseline	
2.01B	Percent of OPM employees who took online customer service training	—*	—*	22%	28.1%	32%	≥30%	Met	
2.02A	Percent of external-facing program offices measuring customer service accuracy	—*	—*	25%	46.7%	44.4%~	≥75%	Not Met	
2.02B	Percent of external-facing program offices measuring customer service responsiveness	—*	—*	31.3%	53.3%	61.1%~	≥75%	Not Met	
2.02C	Percent of external-facing program offices measuring customer service timeliness	—*	—*	37.5%	60%	61.1%~	≥75%	Not Met	
2.03	Percent of Strategy 2.03 milestones from the Customer Experience Strategic Plan completed	—*	—*	37.5%	45.8%	53.8%	≥40%	Met	
2.04	Percent of Strategy 2.04 milestones from the Customer Experience Strategic Plan completed	—*	—*	50%	54.5%	62.5%	≥60%	Met	

\* No historical data available for this period.

~ In FY 2017, OPM changed the methodology to include all OPM offices. Previously, only externally facing offices were included.

**Strategic Goal 3: Serve as the thought leader in research and data-driven human resource management and policy decision making**

Table	FY 2017 Milestones	Met/Not Met
3.01A	Issue the first annual research agenda report	Met
3.01B	Host a summit to showcase the research studies, including the methods and findings	Met

Table	Performance Measure	FY 2013 Results	FY 2014 Results	FY 2015 Results	FY 2016 Results	FY 2017 Results	FY 2017 Target	FY 2017 Target Met/Not Met	FY 2013 FY 2017 Trend
3.02A	Percent of analysts who are satisfied with analytics software	—*	—*	78%	—*	No Survey (Biannual)	No Survey (Biannual)	No Survey (Biannual)	
3.02B	Percent of analysts who agree that they have all the analytic tools needed to do their jobs	—*	—*	47%	—*	No Survey (Biannual)	No Survey (Biannual)	No Survey (Biannual)	
3.03	Cumulative number of signed research agreements with academic institutions, professional associations, think tanks, or industry	—*	—*	2	2	2	≥7	Not Met	
3.04	Number of employees (students) who completed a data analytics course	—*	—*	6	33	184	≥165	Met	

\* No historical data available for this period.

**Strategic Goal 4: Manage information technology systems efficiently and effectively in support of OPM's mission**

Table	Performance Measure	FY 2013 Results	FY 2014 Results	FY 2015 Results	FY 2016 Results	FY 2017 Results	FY 2017 Target	FY 2017 Target Met/Not Met	FY 2013 FY 2017 Trend
4.01	Percent of Federal Human Capital Business Reference Model Functional Framework developed	—*	—*	—*	20%	33%	≥48%	Not Met	
4.02	Percent of major investments with IT program managers certified in Federal Acquisition Institute Training Application System	—*	—*	63.6%	50%	90%	100%	Not Met	
4.03A	Percent of systems with multi-factor authentication enables	—*	—*	—*	—*	53.3%	New Measure	New Measure	
4.03B	Percent of High Value Asset databases encrypted	—*	—*	—*	54.5%	89.5%	≥90%	Met	
4.03C	Percent of OPM IT Systems with FISMA required documentation	—*	—*	—*	67.4%	100%	≥100%	Met	
4.03D	Percent of FISMA audit findings mitigated	—*	—*	—*	75.7%	70.9%	≥90%	Not Met	
4.03E	Percent of network covered by Phase 2 Continuous Diagnostics and Mitigation (CDM) capabilities	—*	—*	—*	—*	0%	≥95%	Not Met	
4.03F	Percent of OPM business systems migrated to new network infrastructure environment	—*	—*	—*	0%	100%	≥80%	Met	
4.04	External customer satisfaction rating with OPM IT services	—*	—*	2.5 Below Standards	2.5 Below Standards	2.5 Below Standards	≥4 Highly Satisfied	Not Met	

—\* No historical data available for this period.

### Strategic Goal 5: Establish responsive, transparent budgeting and costing processes

Table	Performance Measure	FY 2013 Results	FY 2014 Results	FY 2015 Results	FY 2016 Results	FY 2017 Results	FY 2017 Target	FY 2017 Target Met/Not Met	FY 2013 FY 2017 Trend
5.02A	Percent of stakeholders who agree that OPM's budget processes are transparent	—*	—*	—*	33.2%	No Survey	≥35.2%	No Survey	
5.02B	Percent of stakeholders who agree that OPM's budget processes and activities are responsive to their needs	—*	—*	—*	31.1%	No Survey	≥33.1%	No Survey	
5.03	Percent of stakeholders who agree that information is available to educate and inform users	—*	—*	—*	49.2%	No Survey	≥51.2%	No Survey	
5.04	Revolving Fund net income (three year rolling average)	—*	\$272 million	\$125 million	\$162 million	\$198 million	≥\$0	Met	

—\* No historical data available for this period.



**Strategic Goal 6: Provide leadership in helping agencies create inclusive work environments where a diverse Federal workforce is fully engaged and energized to put forth its best effort, achieve their agency’s mission, and remain committed to public service**

Table	Performance Measure	FY 2013 Results	FY 2014 Results	FY 2015 Results	FY 2016 Results	FY 2017 Results	FY 2017 Target	FY 2017 Target Met/ Not Met	FY 2013 FY 2017 Trend
6.01A	Percent of components of CHCO organizations that increased “leaders lead” scores	—*	—*	57.3%	70.2%~	68.8%	≥68%	Met	
6.01B	Number of participants who achieve mastery of competencies upon completion of the manager or executive level LEAD certificate program	—*	—*	20	9	16	Delay in Establishing Baseline	Delay in Establishing Baseline	
6.01C	Number of CHCO agencies using Manager and Executive level certificate programs	—*	—*	23	23	21	Delay in Establishing Baseline	Delay in Establishing Baseline	
6.03A	Percent of CHCO Act Agency component-level reports that have been accessed on the Federal Employee Viewpoint Survey Online Reporting and Analysis Tool	—*	—*	72.6%	83.1%	59.5%	100%	Not Met	
6.03B	Percent of CHCO Act Agency lower-level components reports that have been accessed on the Federal Employee Viewpoint Survey Online Reporting and Analysis Tool	—*	—*	44.8%	66.5%	40.3%	≥90%	Not Met	
6.03C	Percent of users satisfied with <a href="#">UnlockTalent.gov</a>	—*	—*	—*	28.7%	31.6%	≥40%	Not Met	
6.05A	Percent of non-seasonal, full-time permanent employees onboard in the Federal Government with targeted disabilities	1.02%	1.07%	1.10%	1.10%	Expected Q3 FY 2018	≥1.2%	Expected Q3 FY 2018	
6.05C	Percent of USAJOBS hiring actions for which managers and/or Human Resources Government-wide reviewed applicant flow data	—*	53%	76.6%	99.5%^	99.7%	≥75%	Met	

—\* No historical data available for this period.

~ In FY 2016, the definition of components was changed to include only the selected components of the CHCO agencies that were identified in accordance with the 2014 joint OPM-OMB memorandum to agency heads on strengthening employee engagement and organizational performance (OMB-M-15-04).

^The calculation method was changed In FY 2016. The FY 2016 result was calculated using only hiring actions made by USA Staffing® customers. In previous years, the denominator was defined as all USAJOBS announcements, regardless of the service provider. Sufficient data on applicant flow data access from service providers other than USA Staffing® does not currently exist.


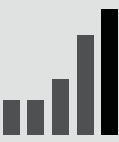
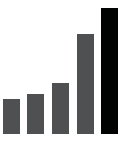
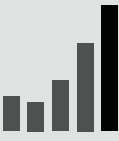
**Strategic Goal 7: Ensure that Federal retirees receive timely, appropriate, transparent, seamless, and accurate retirement benefits**

Table	Performance Measure	FY 2013 Results	FY 2014 Results	FY 2015 Results	FY 2016 Results	FY 2017 Results	FY 2017 Target	FY 2017 Target Met/ Not Met	FY 2013 FY 2017 Trend
7.01	Relative ratio of complete retirement submissions versus incomplete cases	92%	84%	87.7%	89.2%	91.9%	≥90%	Met	
7.02A	Percent of benefits officers trained per year	63%	65%	93%	83.8%	82.9%	≥60%	Met	
7.02B	Overall customer satisfaction with guidance material, webinars, virtual conference, live conference, and training	—*	—*	—*	78.1%	83.1%	≥78%	Met	
7.03A	Average unit cost (direct labor only) for processing retirement claims	\$91.37	\$129.83	\$124.48	\$127.86	\$135.05	≤\$128.15~	Not Met	
7.03B	Percent of retirement and survivor claims processed accurately	93%	94%	94.1%	95.6%	93.6%	≥95%	Not Met	
7.03C	Percent of retirement claims processed within 60 days	—*	79%	70.1%	77.1%	57.3%	≥90%	Not Met	
7.03D	Percent of customers satisfied with overall retirement services	76%	78%	76.5%	72.2%	75.1%	≥78%	Not Met	
7.03E	Rate of improper payments in the retirement program	.36%	.38%	.38%	.37%	.38%	≤.36%	Not Met	
7.03F	Percent of retirement program customer calls handled	82%	76%	72%	66.8%	67.5%	≥75%	Not Met	
7.03G	Average number of days to process court	—*	—*	—*	—*	67.5%	Establish Baseline	Establish Baseline	

—\* No historical data available for this period.

~ OPM is converting to a full cost accounting model which will likely change the current calculations for this measure.

## Strategic Goal 8: Enhance the integrity of the Federal Workforce

Table	Performance Measure	FY 2013 Results	FY 2014 Results	FY 2015 Results	FY 2016 Results	FY 2017 Results	FY 2017 Target	FY 2017 Target Met/Not Met	FY 2013 FY 2017 Trend
8.01A	Percent of investigations determined to be quality complete	99.8%	99.9%	99.9%	99.8%	99.9%	≥99%	Met	
8.01B	Average number of days to complete the fastest 90 percent of all initial national security investigations	35	35	67	123	161	≤40	Not Met	
8.01C	Average number of days to complete the fastest 90 percent of initial Secret national security investigations	28	30	58	108	134	≤40	Not Met	
8.01D	Average number of days to complete the fastest 90 percent of initial Top Secret national security investigations	80	75	147	220	331	≤80	Not Met	

**Strategic Goal 9: Provide high quality health benefits and improve the health status of Federal employees, Federal retirees, their families, and populations newly eligible for OPM-sponsored health insurance products**

Table	Performance Measure	FY 2013 Results	FY 2014 Results	FY 2015 Results	FY 2016 Results	FY 2017 Results	FY 2017 Target	FY 2017 Target Met/ Not Met	FY 2013 FY 2017 Trend
9.01A	Number of tribes, tribal organizations or urban Indian organizations participating in FEHB	48	61	85	90	96	≥92	Met	
9.01B	Number of tribal employees enrolled in FEHB	10,304	15,580	17,500	19,551	22,593	≥20,000	Met	
9.01C	Percent of FEHBP enrollees satisfied	79.2%	82%	72.9%	73.8%	75.3%	≥Industry Trend (61.4%)	Met	
9.02	Percent of plans with all-cause readmission to hospital within 30 days of inpatient hospital stay above the national commercial 50 <sup>th</sup> percentile	—*	49%	51%	44.5%	53.6%	≥2016 Result	Met	
9.03A	Percent of adults receiving flu shots based on Consumer Assessment of Healthcare Providers and Systems Effectiveness of Care measures	53%	50%	49%	50.9%	52.2%	Contextual^	Contextual^	
9.03B	Percent of plans controlling blood pressure above the national commercial 50 <sup>th</sup> percentile	43.5%	49%~	43%	49.2%	50.8%	≥2016 Result	Met	
9.03C	Percent of plans with timely prenatal care above the national commercial 50 <sup>th</sup> percentile	43.4%	39.8%	41%	46%	54.6%	≥2016 Result	Met	
9.04	Percent of employees aware of FEHB tobacco cessation benefit	—*	10.2%	—*	16.3%	No Survey (Biannual)	No Survey (Biannual)	No Survey (Biannual)	

—\* No historical data available for this period.

~ Previously reported results revised in October 2016 following a National Committee for Quality Assurance revision to the methodology in 2015.

^ Contextual measures are highly influenced by external factors and, therefore, OPM has not set targets.

**Strategic Goal 10: Increase the efficiency and effectiveness of human capital management across the Federal Government by providing procedures and services that increase accountability, and provide greater organizational and management flexibility**

Table	Performance Measure	FY 2013 Results	FY 2014 Results	FY 2015 Results	FY 2016 Results	FY 2017 Results	FY 2017 Target	FY 2017 Target Met/ Not Met	FY 2013 FY 2017 Trend
10.01A	Number of "hallway" users	—*	—*	—*	219	213	≥100	Met	
10.01B	Number of vendors who deliver human capital goods and services that meet the "best in class" criteria	—*	—*	—*	84	90	≥75	Met	
10.02A	Index score of customer satisfaction with quality of delegated examining and evaluator training	98	90	97.8	97.9	97.2	≥92	Met	
10.02B	Index score of customer satisfaction with HR Solutions products and services (ACSI-Equivalent Index)	80	78.8	76	80	82.9	≥10 Points Above Federal Average (68)	Met	
10.02C	Percent of HR specialists who complete at least one course on HRU	—*	—*	—*	66.6%	—*	≥85%	—*	
10.02D	Percent of course participants demonstrating successful achievement /mastery of learning objectives	—*	—*	—*	—*	61.4%	≥80%	Not Met	
10.03	Percent of high-risk mission critical occupations/areas making progress toward meeting closing skill gap targets	—*	—*	—*	72%	90.9%	Delay in Establishing Baseline	Delay in Establishing Baseline	
10.04A	Percent of Senior Executive Service and Senior Level/ Scientific or Professional performance appraisal systems that have met the certification criteria	83%	78%	81.6%	82.5%	93.4%	≥83%	Met	
10.04B	Customer Satisfaction with USA Performance (ACSI Equivalent Score)	—*	—*	86.5%	95.3%	88.9%	≥10 Points Above Federal Average (79)	Met	
10.05A	Percent of agency human capital or human resources offices evaluated by OPM that demonstrate progress in improving their human capital programs	75%	89%	82.8%	88.5%	85.4%	≥75%	Met	
10.05B	Percent of required actions cited in reports that are addressed by agencies within prescribed timeframes	91%	88%	85%	92.5%	91.7%	≥85%	Met	

—\* No historical data available for this period.




## PERFORMANCE DETAILS

### STRATEGIC GOAL 1: ATTRACT AND ENGAGE A DIVERSE AND EFFECTIVE OPM WORKFORCE

Strategy 1.01: Deploy agile recruitment and outreach tactics to attract a diverse and talented workforce

TABLE 1.01

PERFORMANCE MEASURE: Percent of hiring managers who indicate they were actively involved in recruiting to fill the position							
FY 2013 Results	FY 2014 Results	FY 2015 Results	FY 2016 Results	FY 2017 Results	FY 2017 Target	FY 2017 Target Met/Not Met	FY 2013-FY 2017 Trend
39%	52%	62%	60%	—*	≥60%	—*	


#### FY 2017 Analysis of Results:

In FY 2017, OPM hired more than 600 employees. Of the hiring managers who completed the survey, only 10 responded to this survey question. Of the 10, three stated that they were actively involved in recruiting. Because of the low response rate, the agency believes the results do not accurately represent the involvement of hiring managers.

—\* No historical data available for this period.

**Strategy 1.02: Create a work environment where OPM employees are fully engaged and energized to put forth their best efforts and achieve OPM’s mission**


**TABLE 1.02A**

PERFORMANCE MEASURE: OPM’s Federal Employee Viewpoint Survey Employee Engagement Index score							
FY 2013 Results	FY 2014 Results	FY 2015 Results	FY 2016 Results	FY 2017 Results	FY 2017 Target	FY 2017 Target Met/ Not Met	FY 2013- FY 2017 Trend
72%	72%	71.1%	71.3%	71%	≥74%	Not Met	

**FY 2017 Analysis of Results:**

OPM conducted the survey between May and June 2017. With 2,914 survey respondents, the response rate was 59 percent. OPM’s Employee Engagement Index Score remained stable in FY 2017. OPM’s employees have remained engaged at a relatively high level, continuing to exceed the Government-wide average. OPM’s leadership will continue to actively engage employees, by focusing on local engagement efforts, and providing tools and support to front line supervisors throughout the agency.

**TABLE 1.02B**

PERFORMANCE MEASURE: Overall New IQ score							
FY 2013 Results	FY 2014 Results	FY 2015 Results	FY 2016 Results	FY 2017 Results	FY 2017 Target	FY 2017 Target Met/ Not Met	FY 2013- FY 2017 Trend
64%	64%	64%	64%	65%	≥67%	Not Met	

**FY 2017 Analysis of Results:**

OPM conducted the survey between May and June 2017. With 2,914 survey respondents, the response rate was 59 percent. OPM’s New IQ index score decreased by 1.6 percentage points, and was five percentage points above the Government-wide average. The agency’s Supportive sub-index score was particularly high, at 85 percent, eight percentage points above the Government-wide average.


During FY 2017, OPM continued to emphasize the importance of engaging employees in collaborative problem solving to lead to individual and organizational success. Agency subcomponents evaluate Federal Employee Viewpoint Survey results and engage diverse employees to improve employee engagement and agency outcomes.

During FY 2017, OPM developed and implemented a new vision and approach to Government-wide diversity and inclusion to increase awareness of the impact diversity and inclusion has on organizational performance. OPM used a research-based approach, and designed a model based on people, practices, and performance. The approach offers Federal leaders an opportunity to review business and research cases for diversity and inclusion. OPM presented this approach to all Associate Directors and Office Heads, as well as other members of the OPM Diversity and Inclusion Council, including Employee Resource Group officials.

OPM also issued an Employee Resource Groups Handbook that provides guidelines, and makes the business case that the Employee Resource Groups help OPM achieve strategic goals and objectives while contributing to the leadership development of OPM employees.

**Strategy 1.03: Provide targeted learning and developmental opportunities for OPM employees**

**TABLE 1.03**

PERFORMANCE MEASURE: Percent of employees satisfied with the opportunity to improve their skills as reported in the Employee Viewpoint Survey							
FY 2013 Results	FY 2014 Results	FY 2015 Results	FY 2016 Results	FY 2017 Results	FY 2017 Target	FY 2017 Target Met/ Not Met	FY 2013- FY 2017 Trend
65%	62%	64%	66.6%	66%	≥65%	Met	

**FY 2017 Analysis of Results:**


OPM conducted the survey between May and June 2017. With 2,914 survey respondents, the response rate was 59 percent. Of the respondents, 1,923 of 2,914 employees reported that they were satisfied with the opportunity to improve their skills. In FY 2017, OPM’s senior leadership pledged 40 hours of training to every employee in the agency and committed to supporting mission-related training requests. As a result, in addition to meeting the agency’s target on this Federal Employee Viewpoint Survey item, OPM improved on several other training and development-related questions. These included “My training needs are assessed,” at 60 percent (an increase of two percentage points), “My supervisor provides me with opportunities to demonstrate my leadership skills,” at 73 percent (an increase of one percentage point), and “Supervisors in my work unit support employee development,” at 76 percent (an increase of one percentage point).



**STRATEGIC GOAL 2: PROVIDE TIMELY, ACCURATE, AND RESPONSIVE SERVICE THAT ADDRESSES THE DIVERSE NEEDS OF OUR CUSTOMERS**

**Strategy 2.01: Develop and implement a strategic plan for customer service that addresses each of our major program goals**

**TABLE 2.01A**

PERFORMANCE MEASURE: Percent of program offices meeting customer satisfaction score targets							
FY 2013 Results	FY 2014 Results	FY 2015 Results	FY 2016 Results	FY 2017 Results	FY 2017 Target	FY 2017 Target Met/ Not Met	FY 2013- FY 2017 Trend
—*	—*	43.8%	70%	83.3%~	Delay in Establishing Baseline	Delay in Establishing Baseline	

**FY 2017 Analysis of Results:**


Of six program offices that set targets for FY 2017, five have met their satisfaction targets. Of 18 program offices, 12 program offices were measuring overall customer satisfaction, two more than in FY 2016. Six out of the 12 program offices have established targets and the other six are baselining and will establish internal targets in FY 2018.

—\* No historical data available for this period.

~ In FY 2017, OPM changed the methodology to include all OPM offices. Previously, only externally facing offices were included.



**TABLE 2.01B**

PERFORMANCE MEASURE: Percent of OPM employees who took online customer service training							
FY 2013 Results	FY 2014 Results	FY 2015 Results	FY 2016 Results	FY 2017 Results	FY 2017 Target	FY 2017 Target Met/ Not Met	FY 2013- FY 2017 Trend
—*	—*	22%	28.1%	32%	≥30%	Met	


**FY 2017 Analysis of Results:**

By the end of FY 2017, 1,628 of an average of 5,094 OPM employees had taken the customer service training. OPM advertised the course during National Customer Service Week in October 2016, contributing to an increase in participation. Based on feedback from over 400 employees, OPM refined the original course and developed a new course entitled “The ART of Customer Service 102: People and Language.” The new course focused on tips for providing more responsive service to diverse customers and using plain language.

—\* No historical data available for this period.

**Strategy 2.02: Promote shared accountability for the customer service strategy**

**TABLE 2.02A**

PERFORMANCE MEASURE: Percent of external-facing program offices measuring customer service accuracy							
FY 2013 Results	FY 2014 Results	FY 2015 Results	FY 2016 Results	FY 2017 Results	FY 2017 Target	FY 2017 Target Met/ Not Met	FY 2013- FY 2017 Trend
—*	—*	25%	46.7%	44.4%~	≥75%	Not Met	

**FY 2017 Analysis of Results:**

In FY 2017, 8 of 18 OPM offices measured their customer service accuracy. OPM did not meet the target because the agency shifted its focus and resources in FY 2017.

—\* No historical data available for this period.

~ In FY 2017, OPM changed the methodology to include all OPM offices. Previously, only externally facing offices were included.

**TABLE 2.02B**

PERFORMANCE MEASURE: Percent of external-facing program offices measuring customer service responsiveness							
FY 2013 Results	FY 2014 Results	FY 2015 Results	FY 2016 Results	FY 2017 Results	FY 2017 Target	FY 2017 Target Met/Not Met	FY 2013-FY 2017 Trend
—*	—*	31.3%	53.3%	61.1%~	≥75%	Not Met	

**FY 2017 Analysis of Results:**

In FY 2017, 11 of 18 OPM offices measured their customer service responsiveness. OPM did not meet the target because the agency shifted its focus and resources in FY 2017.

—\* No historical data available for this period.

~ In FY 2017, OPM changed the methodology to include all OPM offices. Previously, only externally facing offices were included.

**TABLE 2.02C**

PERFORMANCE MEASURE: Percent of external-facing program offices measuring customer service timeliness							
FY 2013 Results	FY 2014 Results	FY 2015 Results	FY 2016 Results	FY 2017 Results	FY 2017 Target	FY 2017 Target Met/Not Met	FY 2013-FY 2017 Trend
—*	—*	37.5%	60%	61.1%~	≥75%	Not Met	

**FY 2017 Analysis of Results:**


In FY 2017, 11 of 18 OPM offices measured their customer service timeliness. OPM did not meet the target because the agency shifted its focus and resources in FY 2017.

—\* No historical data available for this period.

~ In FY 2017, OPM changed the methodology to include all OPM offices. Previously, only externally facing offices were included.

**Strategy 2.03: Improve IT capabilities to interface with customers**

**TABLE 2.03**

PERFORMANCE MEASURE: Percent of Strategy 2.03 milestones from the Customer Experience Strategic Plan completed							
FY 2013 Results	FY 2014 Results	FY 2015 Results	FY 2016 Results	FY 2017 Results	FY 2017 Target	FY 2017 Target Met/Not Met	FY 2013-FY 2017 Trend
—*	—*	37.5%	45.8%	53.8%	≥40%	Met	


**FY 2017 Analysis of Results:**

In FY 2017, OPM completed 14 of 26 Strategy 2.03 milestones from the Customer Experience Strategic Plan.

—\* No historical data available for this period.

**Strategy 2.04: Improve customers understanding of the policies and procedures that apply throughout the employee lifecycle**

**TABLE 2.04**

PERFORMANCE MEASURE: Percent of Strategy 2.04 milestones from the Customer Experience Strategic Plan completed							
FY 2013 Results	FY 2014 Results	FY 2015 Results	FY 2016 Results	FY 2017 Results	FY 2017 Target	FY 2017 Target Met/Not Met	FY 2013-FY 2017 Trend
—*	—*	50%	54.5%	62.5%	≥60%	Met	

**FY 2017 Analysis of Results:**

In FY 2017, OPM completed 15 of 24 Strategy 2.03 milestones from the Customer Experience Strategic Plan.

—\* No historical data available for this period.



**STRATEGIC GOAL 3: SERVE AS THE THOUGHT LEADER IN RESEARCH AND DATA-DRIVEN HUMAN RESOURCE MANAGEMENT AND POLICY DECISION MAKING**

**Strategy 3.01: Create an owner to drive focused attention to data analysis**

**TABLE 3.01A**

FY 2017 Milestone	Met/ Not Met
Issue the first annual research agenda report	Met

**FY 2017 Analysis of Results:**

In FY 2017, OPM issued the six priorities from the first quadrennial Federal Workforce Priorities Report to agencies. The report includes key Government-wide human capital priorities and suggested strategies, and helps inform agency strategic and human capital planning. OPM requested that agencies align their human capital management strategies to support the Federal Workforce Priorities Report, as demonstrated in agencies’ Human Capital Operating Plans.

OPM began conducting research in 2015 to identify current and future workforce management challenges and opportunities. OPM reviewed Inspector General reports that identified management challenges as well as the GAO High Risk List areas that referenced human capital management issues or needs. The top six GAO themes included training and development, staffing levels, skills, hiring and recruitment, data and analysis, and planning. OPM continues to review these trends and challenges and address them as part of the agency’s ongoing research agenda, and will continue to focus upon them when collaborating with agencies and other stakeholders.

**TABLE 3.01B**

FY 2017 Milestone	Met/ Not Met
Host a summit to showcase the research studies, including the methods and findings	Met

**FY 2017 Analysis of Results:**

In June 2017, OPM, in conjunction with American University School of Public Affairs, hosted its 2nd Annual OPM Research Summit. The theme of the summit “Transforming Human Capital Management Policy through Research, Innovation, and Analytics” was designed to identify ways to improve human capital management policy. The summit focused on four policy areas: (1) analytics and technology, (2) diversity and inclusion, (3) performance management, and (4) workforce reshaping. More than 300 Federal practitioners, academic researchers, non-profits, and industry leaders, representing 56 Federal agencies, 13 universities, 49 companies and the general public attended the summit. The event provided a forum for stakeholders to share new ideas and current research for improving human capital policy development and implementation.

**Strategy 3.02: Build strong data analysis, infrastructure and implementation tools and talent**

**TABLE 3.02A**

PERFORMANCE MEASURE: Percent of analysts who are satisfied with analytics software							
FY 2013 Results	FY 2014 Results	FY 2015 Results	FY 2016 Results	FY 2017 Results	FY 2017 Target	FY 2017 Target Met/ Not Met	FY 2013- FY 2017 Trend
—*	—*	78%	—*	No Survey (Biannual)	No Survey (Biannual)	No Survey (Biannual)	█

**FY 2017 Analysis of Results:**

OPM did not conduct a survey in FY 2017.

—\* No historical data available for this period.

**TABLE 3.02B**

PERFORMANCE MEASURE: Percent of analysts who agree that they have all the analytic tools needed to do their jobs							
FY 2013 Results	FY 2014 Results	FY 2015 Results	FY 2016 Results	FY 2017 Results	FY 2017 Target	FY 2017 Target Met/ Not Met	FY 2013- FY 2017 Trend
—*	—*	47%	—*	No Survey (Biannual)	No Survey (Biannual)	No Survey (Biannual)	█

**FY 2017 Analysis of Results:**

OPM did not conduct a survey in FY 2017.

—\* No historical data available for this period.

**Strategy 3.03: Develop partnerships to access and analyze data**

**TABLE 3.03**

PERFORMANCE MEASURE: Cumulative number of signed research agreements with academic institutions, professional associations, think tanks, or industry							
FY 2013 Results	FY 2014 Results	FY 2015 Results	FY 2016 Results	FY 2017 Results	FY 2017 Target	FY 2017 Target Met/ Not Met	FY 2013- FY 2017 Trend
—*	—*	2	2	2	≥7	Not Met	███

**FY 2017 Analysis of Results:**

OPM experienced difficulty in developing a standardized process for research agreements. While OPM did not meet its target number of signed research agreements, the agency did increase the number of collaborative, joint research papers, conference presentations, and products.

—\* No historical data available for this period.

**Strategy 3.04: Make data analytics a fundamental part of OPM culture**

**FY 2017 Progress Update**

In FY 2017, OPM applied evidence-based decision-making, consistent with applicable law, to its daily operations at all levels. This included the use of data analytic tools, dashboards, employee development, a community of practice, and an employee resource group. OPM has expanded the breadth and depth of data and data analytics online courses, books,

and videos available, at no cost, to the OPM workforce. During FY 2017, OPM offered 33 data-focused learning tools, including advanced data management, data collection techniques, data visualization, data analysis and modeling, evaluation and presentation of results, and performance risk analysis.

OPM has established an objective in the agency’s new strategic plan for FYs 2018-2022 to establish a Center of Excellence by leveraging data analytics and research to advance evidence-based human capital management.

**TABLE 3.04**

PERFORMANCE MEASURE: Number of employees (students) who completed a data analytics course							
FY 2013 Results	FY 2014 Results	FY 2015 Results	FY 2016 Results	FY 2017 Results	FY 2017 Target	FY 2017 Target Met/Not Met	FY 2013-FY 2017 Trend
—*	—*	6	33	184	≥165	Met	— ■

**FY 2017 Analysis of Results:**

Throughout FY 2017, OPM emphasized the importance of a continuous learning environment for the workforce, and focused on using data, data analytics, and data-driven decision making.

—\* No historical data available for this period.




**STRATEGIC GOAL 4: MANAGE INFORMATION TECHNOLOGY SYSTEMS EFFICIENTLY AND EFFECTIVELY IN SUPPORT OF OPM’S MISSION**

**Strategy 4.01: Commit to a Federal enterprise-wide IT systems strategy based on the principle that business drives IT strategy**

**FY 2017 Progress Update**

In FY 2017, OPM approved the updated Human Capital Business Reference Model. Additionally, OPM’s HR Line of Business worked to develop Government-wide business requirements, services, service outcomes, and performance metrics for talent acquisition. In support of the Unified Shared Services Management’s Payroll Software as a Service, OPM developed activities, business capabilities, and use cases for payroll and time and attendance, and finalized Government-wide Human Capital Federal Integrated Business Framework use cases for work schedule leave management and talent acquisition.

**TABLE 4.01**

PERFORMANCE MEASURE: Percent of Federal Human Capital Business Reference Model Functional Framework developed							
FY 2013 Results	FY 2014 Results	FY 2015 Results	FY 2016 Results	FY 2017 Results	FY 2017 Target	FY 2017 Target Met/Not Met	FY 2013-FY 2017 Trend
—*	—*	—*	20%	33.3%	≥48%	Not Met	


**FY 2017 Analysis of Results:**

OPM completed the framework for 20 of 60 human capital functions, and partially completed the framework for an additional 9 functions. In the second quarter of FY 2017, OPM re-prioritized efforts to support a Unified Shared Services Management payroll and time and attendance pilot. As a result, OPM changed the schedule in order to complete all talent management functions by the end of FY 2018. Data standards activities are now part of the Employee Digital Record effort. OPM released the Employee Digital Record “alpha” version at the end of October 2017, and was scheduled to release the “beta” version at the end of December 2017.

—\* No historical data available for this period.

**Strategy 4.02: Implement enabling successful practices and initiatives that strengthen IT leadership and IT governance**

**TABLE 4.02**

PERFORMANCE MEASURE: Percent of major investments with IT program managers certified in Federal Acquisition Institute Training Application System							
FY 2013 Results	FY 2014 Results	FY 2015 Results	FY 2016 Results	FY 2017 Results	FY 2017 Target	FY 2017 Target Met/Not Met	FY 2013-FY 2017 Trend
—*	—*	63.6%	50%	90%	100%	Not Met	

**FY 2017 Analysis of Results:**

While OPM did not meet the target, the agency made significant improvements in FY 2017. Nine of 10 IT programs managers were certified at Level III under the certification system for Federal Acquisition Certification for Program and Project Managers, an increase of 40 percentage points from FY 2016. OPM’s IT program managers have certifications from other Federal agencies as well as industry recognized certifications. OPM will leverage the Federal Acquisition Institute’s policy for reciprocity to achieve the required Federal acquisition certifications.

—\* No historical data available for this period.

**Strategy 4.03: Implement enterprise initiatives that leverage capabilities and tools throughout OPM**

**TABLE 4.03A**

PERFORMANCE MEASURE: Percent of systems with multi-factor authentication enabled							
FY 2013 Results	FY 2014 Results	FY 2015 Results	FY 2016 Results	FY 2017 Results	FY 2017 Target	FY 2017 Target Met/ Not Met	FY 2013- FY 2017 Trend
—*	—*	—*	—*	53.3%	New Measure	New Measure	

**FY 2017 Analysis of Results:**

In FY 2017, OPM enabled multi-factor authentication for 24 of 45 Federal Information Security Management Act systems.

—\* No historical data available for this period.



**Cybersecurity Monitoring**

**Goal Statement:** Continue enhancing the security of OPM’s information systems by strengthening authentication and expanding the implementation of continuous monitoring.

OPM will increase the use of multi-factor strong authentication in multiple ways. While OPM enforces Personal Identity Verification (PIV) authentication for its internal users, OPM targets PIV usage for OPM services at 50 percent of Federal users by the end of FY 2016. By the end of FY 2017, OPM will enforce multi-factor authentication for 100 percent of all PIV-enabled users and 80 percent of non-PIV-enabled users.

OPM will increase its security posture by expanding the Information Security Continuous Monitoring (ISCM) capabilities throughout FY 2015. Leveraging the Continuous Diagnostic and Mitigation (CDM) program, OPM will expand continuous diagnostic capabilities by increasing the network sensor capacity, automating sensor collections, and prioritizing risk alerts. By the end of the second quarter of FY 2016, OPM will have acquired, implemented, and refined the four CDM controls including vulnerability management, secure configuration management, hardware asset management, and software asset management. These tools will increase OPM’s ability to identify and respond to security issues. By the end of FY 2016, 95 percent of OPM’s assets will be visible in the CDM dashboard. In FY 2017, OPM will use the benchmarking results to identify and prioritize the implementation of other ISCM controls.

OPM will continue to pursue a number of additional actions as outlined in its Cybersecurity Monitoring goal.



## FY 2017 Progress Update

In FY 2017, OPM added information system security officers to support all of OPM's major information systems. OPM also completed an Authorization to Operate Sprint and an Authorization to Operate Relay initiatives, resulting in a current Authority to Operate for all OPM major information systems. Although additional work remains to be done, these efforts resulted in OPM's OIG lowering its assessment of the level of concern relating to Authority to Operate for major information systems from a material weakness to a significant deficiency, an important improvement in that rating. As of FY 2017, all Authorities to Operate remained current.

In addition, in FY 2017 the Security Operations Center implemented capabilities to strengthen the security of the overall environment in support of the OPM defense-in-depth architecture. In the FY 2017 OIG Federal Information Security Management Act (FISMA) Audit Report, the Incident Response domain was reported as operating at Level 4, Managed and Measurable. As a result, the OIG did not issue any recommendations in this domain – a good result. Further reflecting these improvements, the Department of Homeland Security's Trusted Internet Connection audit score improved from 77 percent in FY 2015 to 92 percent to FY 2016. The security capabilities implemented in FY 2017 include:

- a zero trust model for network resource access;
- tightened encryption standards to include network encryption (data in transit, data at rest, data in use);
- upgraded email security gateways to provide additional security functionality;
- full deployment of encrypted communications for all agency public websites;


- improved anti-malware solutions to detect malicious processes in real time; and
- phishing training to decrease user click rate, the time for users to report e-mails to security, and remediation time.

The agency made significant improvements to security training in FY 2017. The agency is now operating at FISMA Inspector General Reporting Metrics Information Security Continuous Monitoring Maturity Model Level 2. The maturity model evaluation system is derived from the National Institute of Standards and Technology Cybersecurity Framework. The agency-wide IT security training program is now more tailored for employees with significant security responsibilities. These improvements address two FY 2016 OIG FISMA recommendations.

By the end of FY 2017, OPM enabled multi-factor authentication for 24 of 45 Federal Information Security Management Act systems. OPM was unable to track multi-factor authentication at the user level, however, as originally planned, because of fluctuations in the number of users accessing OPM systems.

One hundred percent of OPM's network was covered by phase one Continuous Diagnostics and Mitigation capabilities by the end of FY 2016, and OPM's implementation of phase two capabilities in FY 2017 followed the Department of Homeland Security's timeline. As of the end of FY 2017, OPM was testing the following capabilities: Access Control Management (Trust in People Granted Access or TRUST), Security-Related Behavior Management (BEHAVE), Credentials and Authentication Management (CRED), and Privileges (PRIV).

**TABLE 4.03B**


PERFORMANCE MEASURE: Percent of High Value Asset (HVA) databases encrypted							
FY 2013 Results	FY 2014 Results	FY 2015 Results	FY 2016 Results	FY 2017 Results	FY 2017 Target	FY 2017 Target Met/Not Met	FY 2013-FY 2017 Trend
—*	—*	—*	54.5%	89.5%	≥90%	Met	

**FY 2017 Analysis of Results:**

Seventeen of 19 OPM-developed High Value Asset systems have databases where data are encrypted at rest.

—\* No historical data available for this period.

**TABLE 4.03C**


PERFORMANCE MEASURE: Percent of OPM Business Systems with FISMA required documentation							
FY 2013 Results	FY 2014 Results	FY 2015 Results	FY 2016 Results	FY 2017 Results	FY 2017 Target	FY 2017 Target Met/Not Met	FY 2013-FY 2017 Trend
—*	—*	—*	67.4%~	100%	100%	Met	

**FY 2017 Analysis of Results:**

Forty-seven of 47 systems have FISMA-required documentation. In FY 2017, OPM utilized the best practices and lessons learned from a 2016 Cyber Sprint to achieve Authorizations to Operate for all of its systems by January 2017.

—\* No historical data available for this period.

**TABLE 4.03D**

PERFORMANCE MEASURE: Percent of FISMA audit findings mitigated							
FY 2013 Results	FY 2014 Results	FY 2015 Results	FY 2016 Results	FY 2017 Results	FY 2017 Target	FY 2017 Target Met/Not Met	FY 2013-FY 2017 Trend
—*	—*	—*	75.7%	70.9%	≥80%	Not Met	

**FY 2017 Analysis of Results:**

OPM worked with oversight entities to address 173 of 244 FISMA audit findings. OPM will review and update its policies and procedures as needed to align with current Federal laws, regulations, policies, and guidance. The agency will continue to leverage the Plan of Actions and Milestones Management Review Board to help manage and improve its processes continue to and work with the OIG to enhance collaboration and to promote the effective remediation of audit findings in a timely manner.

—\* No historical data available for this period.

**TABLE 4.03E**

PERFORMANCE MEASURE: Percent of network covered by Phase 2 Continuous Diagnostics and Mitigation (CDM) capabilities							
FY 2013 Results	FY 2014 Results	FY 2015 Results	FY 2016 Results	FY 2017 Results	FY 2017 Target	FY 2017 Target Met/Not Met	FY 2013-FY 2017 Trend
—*	—*	—*	—*	0%	≥95%	Not Met	

**FY 2017 Analysis of Results:**

The implementation of four Continuous Diagnostics and Mitigation phase two capabilities followed the Department of Homeland Security’s timeline. OPM dedicated the first half of FY 2017 to the finalization of requirements. As of the end of FY 2017, OPM was testing the following capabilities: (1) Access Control Management (Trust in People Granted Access or TRUST), (2) Security-Related Behavior Management (BEHAVE), (3) Credentials and Authentication Management (CRED), and (4) Privileges (PRIV).

—\* No historical data available for this period.

**TABLE 4.03F**

PERFORMANCE MEASURE: Percent of OPM business systems migrated to new network infrastructure environment							
FY 2013 Results	FY 2014 Results	FY 2015 Results	FY 2016 Results	FY 2017 Results	FY 2017 Target	FY 2017 Target Met/Not Met	FY 2013-FY 2017 Trend
—*	—*	—*	0%	100%	≥80%	Met	

**FY 2017 Analysis of Results:**

25 of 25 OPM hosted business systems reside on network and security infrastructures that have greatly improved as compared to the legacy infrastructure in place when this measure was initially developed. OPM has reinforced computing capability at its Boyers, PA and Macon, GA data centers, migrated from unsupported software, and deployed new network security capabilities, including Personal Identity Verification requirements, data encryption, network monitoring, and intrusion detection.

—\* No historical data available for this period.

**Strategy 4.04: Implement business initiatives that provide capabilities spanning the HR life cycle, allowing OPM and other Federal agencies to achieve their missions**

**TABLE 4.04**

PERFORMANCE MEASURE: External customer satisfaction rating with OPM IT services							
FY 2013 Results	FY 2014 Results	FY 2015 Results	FY 2016 Results	FY 2017 Results	FY 2017 Target	FY 2017 Target Met/ Not Met	FY 2013- FY 2017 Trend
—*	—*	2.5 Below Standards	2.5 Below Standards	2.5 Below Standards	≥4 Highly Satisfied	Not Met	■■■

**FY 2017 Analysis of Results:**

The external customer satisfaction rating is the average of the customer service ratings for eOPF and USAJOBS. The eOPF survey was administered during the first, second and fourth quarters of FY 2017. The response rate for the eOPF survey was 14.7 percent, with 2,293 respondents. Eighty-six percent of eOPF's customers rated the services as a three (satisfied) or four (highly satisfied). The USAJOBS survey is administered monthly to 0.5 percent of web users that visited three pages or more and 15 percent of mobile users that visited 3 pages or more. Of the 19,756 respondents, 71 percent of customers indicated that they were satisfied or very satisfied. To achieve the target of four (highly satisfied), the two programs needed a 90 percent satisfaction rate or higher.

In FY 2018, the USAJOBS program will transform its user emails to be more responsive and HTML-rich, and use plain language. The program will also work with agencies to improve the timeliness and messaging for status notifications. These activities will provide USAJOBS users with more timely and transparent information. eOPF is moving to a feature-rich MyCareer folder, which will further enhance the user experience. The eOPF program will also proactively work with agencies to identify agency-specific ways to enhance services.

—\* No historical data available for this period.



## STRATEGIC GOAL 5: ESTABLISH AND MAINTAIN RESPONSIVE, TRANSPARENT BUDGETING AND COSTING PROCESSES

### Strategy 5.01: Implement cost re-baselining

#### FY 2017 Progress Update

OPM completed all planned actions under this strategy prior to FY 2016.

### Strategy 5.02: Institutionalize corporate prioritization

TABLE 5.02A

PERFORMANCE MEASURE: Percent of stakeholders who agree that OPM's budget processes are transparent							
FY 2013 Results	FY 2014 Results	FY 2015 Results	FY 2016 Results	FY 2017 Results	FY 2017 Target	FY 2017 Target Met/Not Met	FY 2013-FY 2017 Trend
—*	—*	—*	33.2%	No Survey	≥35.2%	No Survey	█

#### FY 2017 Analysis of Results:

In FY 2017, OPM focused on implementing new tools aimed at improving transparency, and did not administer its internal survey. However, OPM continued to review the General Services Administration annual mission-support benchmarking survey results, and noted that the agency's financial management satisfaction score was 4.7, 0.41 percentage points below the Government-wide average of 5.11.

—\* No historical data available for this period.

TABLE 5.02B

PERFORMANCE MEASURE: Percent of stakeholders who agree that OPM's budget processes and activities are responsive to their needs							
FY 2013 Results	FY 2014 Results	FY 2015 Results	FY 2016 Results	FY 2017 Results	FY 2017 Target	FY 2017 Target Met/Not Met	FY 2013-FY 2017 Trend
—*	—*	—*	31.1%	No Survey	≥33.1%	No Survey	█


#### FY 2017 Analysis of Results:

In FY 2017, OPM focused on implementing new tools aimed at improving transparency, and did not administer its internal survey. However, OPM continued to review the General Services Administration annual mission-support benchmarking survey results, and noted that the agency's financial management satisfaction score was 4.7, 0.41 percentage points below the Government-wide average of 5.11.

—\* No historical data available for this period.

**Strategy 5.03: Widely inform key stakeholders on new agency budget process**

**TABLE 5.03**

PERFORMANCE MEASURE: Percent of stakeholders who agree that information is available to educate and inform users							
FY 2013 Results	FY 2014 Results	FY 2015 Results	FY 2016 Results	FY 2017 Results	FY 2017 Target	FY 2017 Target Met/Not Met	FY 2013-FY 2017 Trend
—*	—*	—*	49.2%	No Survey	≥51.2%	No Survey	

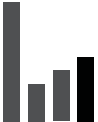
**FY 2017 Analysis of Results:**

In FY 2017, OPM focused on implementing new tools aimed at improving transparency, and did not administer its internal survey. However, OPM continued to review the General Services Administration annual mission-support benchmarking survey results, and noted that the agency’s financial management satisfaction score was 4.7, 0.41 percentage points below the Government-wide average of 5.11.

—\* No historical data available for this period.

**Strategy 5.04: Configure and deploy agency-wide cost accounting models**

**TABLE 5.04**

PERFORMANCE MEASURE: Revolving Fund net income (three year rolling average)							
FY 2013 Results	FY 2014 Results	FY 2015 Results	FY 2016 Results	FY 2017 Results	FY 2017 Target	FY 2017 Target Met/Not Met	FY 2013-FY 2017 Trend
—*	\$272 million	\$125 million	\$162 million	\$198 million	≥\$0	Met	

**FY 2017 Analysis of Results:**

The FY 2017 fund increase was due to the removal of a contingent liability from the FY 2017 balance. OPM excluded the credit monitoring balance.

—\* No historical data available for this period.



**STRATEGIC GOAL 6: PROVIDE LEADERSHIP IN HELPING AGENCIES CREATE INCLUSIVE WORK ENVIRONMENTS WHERE A DIVERSE FEDERAL WORKFORCE IS FULLY ENGAGED AND ENERGIZED TO PUT FORTH ITS BEST EFFORT, ACHIEVE THEIR AGENCY’S MISSION, AND REMAIN COMMITTED TO PUBLIC SERVICE**

**Strategy 6.01: Design and deliver leadership training to increase employee engagement**

**TABLE 6.01A**

PERFORMANCE MEASURE: Percent of components of CHCO organizations that increased “leaders lead” scores							
FY 2013 Results	FY 2014 Results	FY 2015 Results	FY 2016 Results	FY 2017 Results	FY 2017 Target	FY 2017 Target Met/ Not Met	FY 2013- FY 2017 Trend
—*	—*	57.3%	70.2%~	68.8%	≥68%	Met	

**FY 2017 Analysis of Results:**

Thirty-three of 48 CHCO organizations increased “leaders lead” scores.

—\* No historical data available for this period.

~ In FY 2016, the definition of components was changed to include only the selected components of the CHCO agencies that were identified in accordance with the 2014 joint OPM-OMB memorandum to agency heads on strengthening employee engagement and organizational performance (OMB-M-15-04).

**TABLE 6.01B**

PERFORMANCE MEASURE: Number of participants who achieve mastery of competencies upon completion of the manager or executive level LEAD certificate program							
FY 2013 Results	FY 2014 Results	FY 2015 Results	FY 2016 Results	FY 2017 Results	FY 2017 Target	FY 2017 Target Met/ Not Met	FY 2013- FY 2017 Trend
—*	—*	20	9	16	Delay in Establishing Baseline	Delay in Establishing Baseline	

**FY 2017 Analysis of Results:**

In FY 2017, OPM more heavily promoted LEAD courses at the Manager and Executive levels to current and prospective participants. In addition, OPM extended the three-year timeframe to complete the program, so that students who had exceeded the timeframe could complete the requirements and receive their LEAD certificate. In FY 2018, OPM began to develop and will implement a marketing plan specifically to promote LEAD.

—\* No historical data available for this period.

**TABLE 6.01C**

PERFORMANCE MEASURE: Number of CHCO Act agencies using Manager and Executive level certificate programs							
FY 2013 Results	FY 2014 Results	FY 2015 Results	FY 2016 Results	FY 2017 Results	FY 2017 Target	FY 2017 Target Met/Not Met	FY 2013-FY 2017 Trend
—*	—*	23	23	21	Delay in Establishing Baseline	Delay in Establishing Baseline	

**FY 2017 Analysis of Results:**

In 2017, OPM made a more concerted effort to promote the LEAD program to prospective participants who are attending Manager and Executive level courses but who are not in the program. In FY 2018, OPM began to develop and will implement a marketing plan to promote LEAD to agencies, including CHCO agencies that are not currently purchasing LEAD certificates in bulk or sending employees to LEAD classes. The marketing plan targets LEAD at all levels including Manager and Executive levels.

—\* No historical data available for this period.

**Strategy 6.02: Support agencies in hiring leaders strong in managing and leading high performing organizations**

**TABLE 6.02**

PERFORMANCE MEASURE: Percent of components of CHCO organizations that increased “leaders lead” scores
Refer to Table 6.01A.

**Strategy 6.03: Provide a comprehensive suite of engagement services and models for agencies and employees**

**TABLE 6.03A**

PERFORMANCE MEASURE: Percent of CHCO Act Agency component-level reports that have been accessed on the Federal Employee Viewpoint Survey Online Reporting and Analysis Tool							
FY 2013 Results	FY 2014 Results	FY 2015 Results	FY 2016 Results	FY 2017 Results	FY 2017 Target	FY 2017 Target Met/Not Met	FY 2013-FY 2017 Trend
—*	—*	72.6%	83.1%	59.5%	100%	Not Met	


**FY 2017 Analysis of Results:**

Of 368 component-level reports, 219 were accessed. OPM has been pushing reports out earlier and with a compilation of information so that agencies are able to access the information they need without waiting for unique reports, such as the subcomponent reports. Agency points of contact may download a report once and disseminate it to lower levels. Consequently, it may appear in the data OPM has that fewer components and lower level components are accessing the FEVS Online Reporting and Analysis Tool; but in fact, the reports are being accessed and shared. OPM will continue to collaborate with agencies to determine their report needs.

—\* No historical data available for this period.



**TABLE 6.03B**


PERFORMANCE MEASURE: Percent of CHCO Act Agency lower-level components reports that have been accessed on the Federal Employee Viewpoint Survey Online Reporting and Analysis Tool							
FY 2013 Results	FY 2014 Results	FY 2015 Results	FY 2016 Results	FY 2017 Results	FY 2017 Target	FY 2017 Target Met/ Not Met	FY 2013- FY 2017 Trend
—*	—*	44.8%	66.5%	40.3%	≥90%	Not Met	

**FY 2017 Analysis of Results:**

Of 28,430 lower-level component reports, 11,467 were accessed. OPM has been pushing reports out earlier and with a compilation of information so that agencies are able to access the information they need without waiting for unique reports, such as the subcomponent reports. Agency points of contact may download a report once and disseminate it to lower levels. Consequently, it may appear in the data OPM has that fewer components and lower level components are accessing the FEVS Online Reporting and Analysis Tool; but in fact, the reports are being accessed and shared. OPM will continue to collaborate with agencies to determine their report needs.

—\* No historical data available for this period.

**TABLE 6.03C**

PERFORMANCE MEASURE: Percent of users satisfied with <a href="https://unlocktalent.gov">UnlockTalent.gov</a>							
FY 2013 Results	FY 2014 Results	FY 2015 Results	FY 2016 Results	FY 2017 Results	FY 2017 Target	FY 2017 Target Met/ Not Met	FY 2013- FY 2017 Trend
—*	—*	—*	28.7%	31.6%	≥40%	Not Met	

**FY 2017 Analysis of Results:**

The survey, with 227 respondents in FY 2017, is an open participation link (anyone who visits the site and clicks on the link has the opportunity to complete the survey). Of the 215 users who responded to the question “Overall, how satisfied are you with this site?” 68 users selected either “very satisfied” or “satisfied.” While OPM did not meet the target, the agency did see an increase in overall satisfaction of 2.9 percentage points, compared to FY 2017.

The overall number of respondents to the feedback survey was significantly lower than the actual number of users on [UnlockTalent.gov](https://unlocktalent.gov). In addition, many respondents only responded after experiencing problems with the site.

To maximize the [UnlockTalent.gov](https://unlocktalent.gov) user experience, in FY 2017, OPM released several enhancements to the [UnlockTalent.gov](https://unlocktalent.gov) dashboard to include (1) increased access rights for executives to allow them to delve deeper into their data, (2) a cross demographic feature that allows users to cross up to two demographic categories for the Employee Engagement Index, and (3) an agency indicators page (formerly the static HR Core Metrics page) which is frequently updated, structured using the new Human Capital Framework, and allows agencies to better align human capital activities with the agency’s mission. In addition, in FY 2017, OPM continued to communicate [UnlockTalent.gov](https://unlocktalent.gov) changes and enhancements to agencies and the Chief Human Capital Officers Council, and promote it as a useful tool to help make data driven decisions. In FY 2018, OPM plans to continue to enhance the [UnlockTalent.gov](https://unlocktalent.gov) user experience by (1) expanding the agency indicators page to include additional metrics and data at the overall agency level and (2) transforming the Community of Practice page into a more user friendly repository of best practices.

—\* No historical data available for this period.

**TABLE 6.03D**

<b>PERFORMANCE MEASURE: Percent of components of CHCO organizations that increased “leaders lead” scores</b>
Refer to Table 6.01A.

**Strategy 6.04: Ensure agencies target, address, and measure key drivers of employee engagement**

**TABLE 6.04**

<b>PERFORMANCE MEASURE: Percent of components of CHCO organizations that increased “leaders lead” scores</b>
Refer to Table 6.01A.

**Strategy 6.05: Partner with agencies to drive greater diversity, inclusion and employee engagement**

**TABLE 6.05A**

<b>PERFORMANCE MEASURE: Percent of non-seasonal, full-time permanent employees onboard in the Federal Government with targeted disabilities</b>							
FY 2013 Results	FY 2014 Results	FY 2015 Results	FY 2016 Results	FY 2017 Results	FY 2017 Target	FY 2017 Target Met/ Not Met	FY 2013- FY 2017 Trend
1.02%	1.07%	1.10%	1.10%	Expected Q3 FY 2018	≥1.2%	Expected Q3 FY 2018	- - - -

**FY 2016 Analysis of Results:**

In FY 2016, the most recent year for which results are available, 20,711 of 1,847,116 total non-seasonal, full-time career employees had targeted disabilities. This is a slight increase from 20,274 in FY 2015.

In FY 2017, OPM developed and implemented a new vision and approach to Government-wide diversity and inclusion to increase awareness of the impact diversity and inclusion have on organizational performance. OPM used a research-based approach, and designed a model based on people, practices, and performance. The approach offers Federal leaders an opportunity to review business and research cases for diversity and inclusion. OPM has presented to Senior Executives and political appointees at 16 cabinet agencies.

During FY 2017, OPM conducted feedback assistance roundtables with 81 percent of agencies, whereby OPM diversity and inclusion professionals met with Chief Human Capital Officers, Equal Employment Opportunity, and Diversity and Inclusion Officers. At each roundtable, OPM representatives reviewed agency data and held robust discussions on diversity and inclusion outcomes, including the employment of people with disabilities. OPM collaborated with the Equal Employment Opportunity Commission, Department of Labor, and Federal Exchange on Employment and Disability partners to prepare resources to educate and engage employees on the value of self-identification. OPM encouraged agencies to use the resources to educate all employees on the revised **Standard Form 256**, and how disability workforce data supports each agency’s Diversity and Inclusive Strategic Plan and affirmative action requirements for individuals with disabilities.

**TABLE 6.05B**

<b>PERFORMANCE MEASURE: Percent of components of CHCO organizations that increased “leaders lead” scores</b>
Refer to Table 6.01A.

**TABLE 6.05C**

<b>PERFORMANCE MEASURE: Percent of USAJOBS hiring actions for which managers and/or Human Resources Government-wide reviewed applicant flow data</b>							
FY 2013 Results	FY 2014 Results	FY 2015 Results	FY 2016 Results	FY 2017 Results	FY 2017 Target	FY 2017 Target Met/ Not Met	FY 2013- FY 2017 Trend
—*	53%	76.6%	99.5% <sup>^</sup>	99.7%	≥75%	Met	

**FY 2017 Analysis of Results:**

Of 231,502 announcements, 230,920 were made by agencies with access to applicant flow data. OPM exceeded the target by 24.7 percentage points due to continued efforts to make applicant flow data available to more USA Staffing customers. One effort involved increasing the number of agencies moving to the USA Staffing upgrade. Applicant flow data is now accessible to nearly 100 percent of USA Staffing customers.

During FY 2017, the percentage of applicants who voluntarily disclosed their race and ethnicity data during the application process increased significantly from 45.6 percent in October 2015, to 84.5 percent in June 2017.

—\* No historical data available for this period.

<sup>^</sup> The calculation method was changed. The FY 2016 result was calculated using only hiring actions made by USA Staffing customers. In previous years, the denominator was defined as all USAJOBS announcements, regardless of the service provider. Sufficient data on applicant flow data access from service providers other than USA Staffing does not currently exist.



**STRATEGIC GOAL 7: ENSURE THAT FEDERAL RETIREES RECEIVE TIMELY, APPROPRIATE, TRANSPARENT, SEAMLESS, AND ACCURATE RETIREMENT BENEFITS**

**Strategy 7.01: Prepare the Federal workforce for retirement from entry-on-duty across every stage of the employee life-cycle**

**TABLE 7.01**

PERFORMANCE MEASURE: Relative ratio of complete retirement submissions versus incomplete cases							
FY 2013 Results	FY 2014 Results	FY 2015 Results	FY 2016 Results	FY 2017 Results	FY 2017 Target	FY 2017 Target Met/Not Met	FY 2013-FY 2017 Trend
92%	84%	87.7%	89.2%	91.9%	≥90%	Met	


**FY 2017 Analysis of Results:**

In FY 2017, 35,912 of 39,070 retirement submissions received from agencies were complete. OPM continued to collaborate with agency Chief Human Capital Officers to improve the accuracy and completeness of incoming claims. The agency provided educational opportunities and monthly feedback to agencies on errors, which OPM expects will minimize errors on retirement claim submissions.

The results for this measure continued their upward trend since October 1, 2013, when the error definitions were expanded to include 19 additional error conditions that had not previously been included.

## Strategy 7.02: Improve OPM service to Federal agency benefit officers

TABLE 7.02A

PERFORMANCE MEASURE: Percent of benefits officers trained per year							
FY 2013 Results	FY 2014 Results	FY 2015 Results	FY 2016 Results	FY 2017 Results	FY 2017 Target	FY 2017 Target Met/Not Met	FY 2013-FY 2017 Trend
63%	65%	93%	83.8%	82.9%	≥60%	Met	


### FY 2017 Analysis of Results:

OPM trained 68 out of 82 benefits officer survey respondents. In FY 2017, OPM held two training events, one in Pittsburgh with 275 attendees, and one in Atlanta with 411 attendees. Benefits officers from agencies across the Federal Government took part in workshops on Federal retirement, insurance, benefits, and financial planning.

OPM provided webinar trainings to the HR community through OPM’s YouTube channel and the OPM website. The FY 2017 webcasts included DC Government Service, Workforce Reshaping and Retirement Benefits, *Your Federal Retirement Annuity for CSRS and FERS, Financial Literacy Education Plans: Ideas and Resources for Your Agency, Military Service Credit and Deposit Issue and Tips on Submitting a Disability Retirement Package*. OPM delivered six webinars in FY 2017 that received more than 16,200 views. The webcasts continue to provide training to benefits officers on key topics related to retirement. The webinars are available at: <https://www.opm.gov/retirement-services/benefits-officers-center/training/>.

OPM also provided three Federal Erroneous Retirement Coverage Corrections Act trainings (two in Washington, D.C., and one at Fort Meade, MD).

TABLE 7.02B

PERFORMANCE MEASURE: Overall customer satisfaction with guidance material, webinars, virtual conference, live conference, and training							
FY 2013 Results	FY 2014 Results	FY 2015 Results	FY 2016 Results	FY 2017 Results	FY 2017 Target	FY 2017 Target Met/Not Met	FY 2013-FY 2017 Trend
—*	—*	—*	78.1%	83.1%	≥78%	Met	


### FY 2017 Analysis of Results:

OPM conducted the survey in FY 2017. With 218 survey respondents, the response rate was 25.4 percent. Across all four categories of training (guidance material, webinars, virtual conference, and live conference), 687 of 827 responses were satisfactory. Survey respondents expressed the greatest satisfaction with live training at 91.5 percent, and the next greatest with guidance material at 85 percent. On average, respondents’ overall satisfaction rate was 83.1 percent for all four categories. The results from the survey are used to improve service delivery and create the upcoming fiscal year’s training plan.

—\* No historical data available for this period.

**Strategy 7.03: Advance the 21<sup>st</sup> century customer-focused retirement processing system for claims adjudication in a timely and accurate manner**

**TABLE 7.03A**


PERFORMANCE MEASURE: Average unit cost (direct labor only) for processing retirement claims							
FY 2013 Results	FY 2014 Results	FY 2015 Results	FY 2016 Results	FY 2017 Results	FY 2017 Target	FY 2017 Target Met/Not Met	FY 2013-FY 2017 Trend
\$91.37	\$129.83	\$124.48	\$127.86	\$135.05	≤\$128.15~	Not Met	

**FY 2017 Analysis of Results:**

OPM calculated the average unit cost based on 198,703 claims processed in FY 2017. This includes annuitant, survivor, and refund and deposit claims. The agency reduced the retirement claims inventory to a steady state by implementing core strategies within the Retirement Services Strategic plan, such as hiring and maintaining staff, implementing process improvements, partnering with agencies, and improving information technology. Through identification of problem areas and bottlenecks, OPM developed optimal solutions. While costs remained relatively the same from last fiscal year, the number of cases processed decreased by about two percent, which accounted for the increase in cost per unit.

~ OPM is converting to a full cost accounting model which will likely change the current calculations for this measure.


**TABLE 7.03B**

PERFORMANCE MEASURE: Percent of retirement and survivor claims processed accurately							
FY 2013 Results	FY 2014 Results	FY 2015 Results	FY 2016 Results	FY 2017 Results	FY 2017 Target	FY 2017 Target Met/Not Met	FY 2013-FY 2017 Trend
93%	94%	94.1%	95.6%	93.6%	≥95%	Not Met	

**FY 2017 Analysis of Results:**

OPM projected that it accurately processed 143,142 of an estimated 152,874 retirement and survivor claims. The percent of retirement and survivor claims processed accurately is determined by ongoing reviews based upon a statistically valid random sample. OPM continued to implement strategies and techniques that improved claims accuracy. The strategies included standardized and improved training for legal administrative specialists, roundtable discussions to enhance consistency among reviewers, online training modules, and refresher technical training. Claims adjudicators continued to use a checklist, to assist in the reduction of errors. These efforts have resulted in a steady increase of processing accuracy.


**TABLE 7.03C**

PERFORMANCE MEASURE: Percent of retirement claims processed within 60 days							
FY 2013 Results	FY 2014 Results	FY 2015 Results	FY 2016 Results	FY 2017 Results	FY 2017 Target	FY 2017 Target Met/Not Met	FY 2013-FY 2017 Trend
—*	79%	70.1%	77.1%	57.3%	≥90%	Not Met	

**FY 2017 Analysis of Results:**

OPM has not met the case processing timeliness target due, in part, to delayed staffing actions stemming from hiring lapses. These lapses are attributed to budget and hiring delays. Additionally, the case preparation time increased, causing the cases to age. Consequently, OPM processed more cases that were over 60 days old. To mitigate this issue, OPM will continue to develop additional customer service specialists and legal administrative specialists, improve training, and promote continuous development.

**TABLE 7.03D**


PERFORMANCE MEASURE: Percent of customers satisfied with overall retirement services							
FY 2013 Results	FY 2014 Results	FY 2015 Results	FY 2016 Results	FY 2017 Results	FY 2017 Target	FY 2017 Target Met/Not Met	FY 2013-FY 2017 Trend
76%	78%	76.5%	72.2%	75.1%	≥78%	Not Met	

**FY 2017 Analysis of Results:**

Of the 34,010 individuals that responded to a survey question dealing with customer satisfaction, 25,534 were satisfied. OPM conducted the survey from September – October 2017. The response rate was 8.4 percent.

In FY 2017, the Customer Satisfaction Survey was e-mailed to all annuitants on the OPM retirement roll who had an e-mail address on file. This year, no surveys were sent by postal mail. As a result, the size of the population changed. The FY 2017 target of 78 percent was based on the smaller discrete population. OPM’s results for FY 2017 will serve as a new baseline for future tracking. OPM continues to encourage individuals to take advantage of the resources available through Services-On-Line, a web platform that provides retirement services on demand. In addition, OPM hired 43 customer service specialists in late FY 2017 who are expected to impact performance in FY 2018.

**TABLE 7.03E**

PERFORMANCE MEASURE: Rate of improper payments in the retirement program							
FY 2013 Results	FY 2014 Results	FY 2015 Results	FY 2016 Results	FY 2017 Results	FY 2017 Target	FY 2017 Target Met/Not Met	FY 2013-FY 2017 Trend
.36%	.38%	.38%	.37%	.38%	≤.36%	Not Met	


**FY 2017 Analysis of Results:**

Of more than \$82.6 billion in payments, \$313.81 million, or 0.38 percent were improper. Of those, 76.1 percent were overpayments and 23.9 percent were underpayments. OPM continues to make progress in reducing the extent and rate of improper payments and to recovering improper payments.

The agency enhanced an online death reporting tool to gather more information up front to facilitate both the termination of annuity payments and the authorization of survivor benefits, if applicable. Retirement Services also initiated steps to survey a sampling of payees that are over age 90, to verify that they are still eligible for benefits.

By continuously monitoring payments and taking corrective actions when warranted, OPM believes it can reduce its rate of improper payments. Although the improper payments rate continues to be very low considering its size and complexity, OPM will continue working towards reducing retirement-related improper payments in FY 2018 and beyond.

**TABLE 7.03F**

PERFORMANCE MEASURE: Percent of retirement program customer calls handled							
FY 2013 Results	FY 2014 Results	FY 2015 Results	FY 2016 Results	FY 2017 Results	FY 2017 Target	FY 2017 Target Met/Not Met	FY 2013-FY 2017 Trend
82%	76%	72%	66.8%	67.5%	≥75%	Not Met	

**FY 2017 Analysis of Results:**

In FY 2017, OPM handled 1,125,752 of 1,667,959 calls. OPM’s call handling rate increased by 0.7 percentage points between FY 2017 from FY 2016. OPM did not meet its target due to an increase in the number of calls and staffing challenges.

OPM hired 43 customer service specialists in the fourth quarter of FY 2017. The new hires came on board in groups from July to September. The average training time for customer service specialists is four weeks to handle basic phone calls, followed by an additional four weeks to handle more advanced calls. A customer service specialist is fully trained in 4 to 6 months. From May through September, the average speed of answer improved by 15 percent and the call handling rate increased by 3 percent.





## Retirement Services Case Processing

**Goal Statement:** Reduce Federal retirement case processing time by making comprehensive improvements and moving toward electronic processing of all retirement applications.

In FY 2016, process 90 percent of cases in 60 days or less (as of March 2015, 81.6 percent of cases were processed in 60 days or less). Support the 90/60 goal by:

- increasing the percentage of complete cases received from agencies to 90 percent or greater;
- continuing to develop capabilities to receive electronic retirement applications; and
- building a court-ordered benefit case reporting mechanism to capture inventory and timeliness of court-ordered cases by the first quarter of FY 2016. Establish baseline data for timeliness by the end of FY 2016.

### FY 2017 Progress Update

OPM processed 52,811 of 92,125 claims (57.3 percent) within 60 days during FY 2017. The 57.3 percent of claims OPM processed in less than 60 days were processed in an average of 47 days, while the remainder were processed in an average of 93 days. The average number of days to process all claims was 67 days.

OPM is responsible for approving Voluntary Early Retirement Authority and Voluntary Separation Incentive Program requests from agencies. When agencies make Voluntary Early Retirement Authority and Voluntary Separation Incentive Program offers, OPM may experience a significant increase in retirement applications. OPM worked closely with agencies to understand upcoming retirement offers; however, surges in retirement applications can occur outside of OPM's control and predictions.

OPM has not met the case processing timeliness target, in part, due to delayed staffing actions stemming from hiring lapses. These lapses are attributed to budget and hiring delays. Additionally, the case preparation time increased, causing the cases to age. Consequently, OPM

processed more cases that were over 60 days old. To mitigate this issue, OPM hired 43 customer service specialists, 15 additional legal administrative specialists. OPM will continue to develop additional customer service specialists and legal administrative specialists, improve training, and promote continuous development.

In FY 2017, 91.1 percent of retirement submissions received from agencies were complete, exceeding the target of 90 percent. This was an improvement over the 89.2 percent received by OPM in FY 2016. OPM continued to collaborate with agency Chief Human Capital Officers to improve the accuracy and completeness of incoming claims. The agency provided educational opportunities and monthly feedback to agencies on errors, which OPM expects to minimize errors on retirement claim submissions.

By the end of FY 2017, OPM finalized and tested a reporting mechanism to track court-ordered benefits. OPM was able to finalize the calculation method for the measure of the average number of days to process court-ordered benefit cases. It is currently in beta testing and will be in production for FY 2018.

**TABLE 7.03G**

**PERFORMANCE MEASURE:**  
**Percent of retirement claims processed within 60 days**

Refer to Table 7.03C.

**TABLE 7.03H**

**PERFORMANCE MEASURE:**  
**Relative ratio of complete retirement submissions versus incomplete cases**

Refer to Table 7.01.

## **STRATEGIC GOAL 8: ENHANCE THE INTEGRITY OF THE FEDERAL WORKFORCE**

**Strategy 8.01: Enhance policy, procedures and processes used to ensure people are fit to serve**



### **Background Investigations Case Processing Timeliness and Quality**

**Goal Statement:** Increase investigative capacity and implement additional process improvements with the aim of meeting the timeliness standards set by the Intelligence Reform and Terrorism Prevention Act of 2004 for background investigations while maintaining investigative quality. Throughout FY 2017, OPM will improve production output in response to the increasing workload demands of its customers, while reducing the larger than normal inventory of cases created during the transition from one of its investigative contractors. OPM will accomplish this while maintaining its target of 99 percent or more of all OPM investigations adjudicated as “quality complete” for investigations closed.

#### **FY 2017 Progress Update**

OPM increased investigative capacity, implemented several process improvements, and maintained its high-quality delivery of background investigation products, but did not meet timeliness standard goals. Timeliness has continued to be impacted by OPM’s decision in September 2014 to not exercise the agency’s options to renew contracts with the contractor that performed the majority of background investigations, resulting in a growing inventory of cases. Recognizing the need for additional investigative resources to reduce inventory, in FY 2017, NBIB increased the investigator workforce by awarding two additional investigative

fieldwork contracts, increasing the total number of investigative fieldwork contractors from two to four, and providing the four fieldwork investigative contractors with incentives to build capacity, increase production, and reduce the inventory of aged investigations. NBIB also hired more than 200 additional Federal investigators while backfilling existing and new vacancies (due to investigator attrition), and concentrated the investigative workforce in locations with the highest workload .

NBIB began work with a cross-agency Backlog Reduction and Mitigation Initiative working group to identify potential initiatives and recommendations that will lead to the reduction of the investigative backlog and/or mitigate the


impact to mission readiness. NBIB improved business processes through the development of enterprise measures in collaboration with the Performance Accountability Council Project Management Office.

NBIB further secured and modernized information technology through the development of an eAdjudication prototype, and has also continued to partner with the Department of Defense Information Systems Agency to build a new, secure, and flexible case management system - the National Background Investigation System -

to allow more efficient and effective case processes across the Government as a shared service.

OPM remains committed to increasing investigative workforce capacity by hiring more Federal investigators and motivating OPM contractors to employ additional contract investigators, to more quickly decrease pending case inventory and improve the timely delivery of high-quality cases to OPM's Federal agency customers.

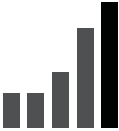
**TABLE 8.01A**

PERFORMANCE MEASURE: Percent of investigations determined to be quality complete							
FY 2013 Results	FY 2014 Results	FY 2015 Results	FY 2016 Results	FY 2017 Results	FY 2017 Target	FY 2017 Target Met/Not Met	FY 2013-FY 2017 Trend
99.8%	99.9%	99.9%	99.8%	99.9%	≥99%	Met	

**FY 2017 Analysis of Results:**

In FY 2017, OPM determined that 2,427,989 of 2,431,008 investigations were quality complete. While the agency works to improve timeliness and reduce the inventory, OPM continued to focus on the quality of investigations. During FY 2017, NBIB worked with the Office of the Director of National Intelligence and Department of Defense to develop and launch a Quality Assessment Rating Tool. The feedback collected is used to evaluate policies and procedures, and enhance employee training and resources.

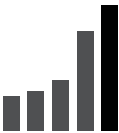
**TABLE 8.01B**

PERFORMANCE MEASURE: Average number of days to complete the fastest 90 percent of all initial national security investigations							
FY 2013 Results	FY 2014 Results	FY 2015 Results	FY 2016 Results	FY 2017 Results	FY 2017 Target	FY 2017 Target Met/Not Met	FY 2013-FY 2017 Trend
35	35	67	123	161	≤40	Not Met	

**FY 2017 Analysis of Results:**

OPM completed 365,891 initial national security investigations in FY 2017. Timeliness has continued to be impacted by OPM’s decision in September 2014 to not exercise the agency’s options to renew contracts with the contractor that performed the majority of background investigations, resulting in a growing inventory of cases. Recognizing the need for additional investigative resources to reduce inventory, during FY 2017 OPM awarded new fieldwork contracts to four vendors, doubling contractor support from the previous contract. OPM remains committed to increasing investigative workforce capacity by hiring more Federal investigators and motivating OPM contractors to employ additional contract investigators, to more quickly decrease pending case inventory and improve the timely delivery of high-quality cases to OPM’s Federal agency customers.

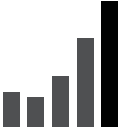
**TABLE 8.01C**

PERFORMANCE MEASURE: Average number of days to complete the fastest 90 percent of initial Secret national security investigations							
FY 2013 Results	FY 2014 Results	FY 2015 Results	FY 2016 Results	FY 2017 Results	FY 2017 Target	FY 2017 Target Met/Not Met	FY 2013-FY 2017 Trend
28	30	58	108	134	≤40	Not Met	

**FY 2017 Analysis of Results:**

OPM completed 305,189 initial Secret investigations in FY 2017. Timeliness has continued to be impacted by OPM’s decision in September 2014 to not exercise its options to renew its contracts with the contractor that performed the majority of its background investigations, resulting in a growing inventory of cases. Recognizing the need for additional investigative resources to reduce inventory, during FY 2017 OPM awarded new fieldwork contracts to four vendors, doubling contractor support from the previous contract. OPM remains committed to increasing investigative workforce capacity by hiring more Federal investigators and motivating OPM contractors to employ additional contract investigators, to more quickly decrease pending case inventory and improve the timely delivery of high-quality cases to OPM’s Federal agency customers.

**TABLE 8.01D**

<b>PERFORMANCE MEASURE:</b> <b>Average number of days to complete the fastest 90 percent of initial Top Secret national security investigations</b>							
FY 2013 Results	FY 2014 Results	FY 2015 Results	FY 2016 Results	FY 2017 Results	FY 2017 Target	FY 2017 Target Met/Not Met	FY 2013-FY 2017 Trend
80	75	147	220	331	≤80	Not Met	

**FY 2017 Analysis of Results:**

OPM completed 60,702 initial Top Secret investigations in FY 2017. On October 1, 2016, OPM implemented the Tier 5 investigation for Top Secret security clearance determinations, replacing the Single Scope Background Investigation. The implementation of this new product requires training for employees and also impacts the level of effort required in some cases, impacting timeliness. In addition, timeliness has continued to be impacted by OPM’s decision in September 2014 to not exercise the agency’s options to renew contracts with the contractor that performed the majority of background investigations, resulting in a growing inventory of cases. Recognizing the need for investigative resources, during FY 2017 OPM awarded new fieldwork contracts to four vendors, doubling contractor support from the previous contract. OPM remains committed to increasing investigative workforce capacity by hiring more Federal investigators and motivating OPM contractors to employ additional contract investigators, to more quickly decrease pending case inventory and improve the timely delivery of high-quality cases to OPM’s Federal agency customers.



## **STRATEGIC GOAL 9: PROVIDE HIGH QUALITY HEALTH BENEFITS AND IMPROVE THE HEALTH STATUS OF FEDERAL EMPLOYEES, FEDERAL RETIREES, THEIR FAMILIES, AND POPULATIONS NEWLY ELIGIBLE FOR OPM-SPONSORED HEALTH INSURANCE PRODUCTS**

### **Strategy 9.01: Sponsor high quality, affordable insurance products**

#### **FY 2017 Progress Update**

OPM administers the Federal Employees Health Benefits (FEHB) Program, which provides a comprehensive package of health benefits for more than 8.2 million employees, retirees, tribal employees, and their family members. In order to help provide sufficient information for enrollees to make health plan decisions, OPM provides plan brochures, web-based decision tools, and health plan quality and customer satisfaction survey results to enrollees. Further, OPM aims to provide enrollees a variety of plan choices. For the 2017 plan year, FEHB enrollees had 245 health plan choices.

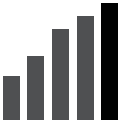
Sponsoring high quality, affordable insurance products is a significant challenge for the agency and FEHB carriers. OPM has developed a method for measuring and rewarding carrier performance on industry-endorsed clinical quality measures as a means to promote better care outcomes and better overall population health. Improvement on these parameters (for example, diabetes control) across the program requires diligent attention

and multiyear investment by FEHB carriers, even in circumstances where best practices are well established. Ultimately, this effort will contribute to reducing health risk and maintaining affordable coverage. However, it is counterbalanced by upward cost pressures related to prescription drugs and emerging technology.

In 2017, OPM published final rulemaking for tribal employees eligible for FEHB benefits and exceeded target enrollment for both number of tribes and number of tribal employees participating in the program.

Additionally, OPM performed extensive preparation for enrollment of certain TRICARE eligible employees into the Federal Employees Dental and Vision Insurance Program, as authorized by the National Defense Authorization Act. TRICARE is the health care program for uniformed service members and their families around the world. While actual enrollment will not take place until the fall of 2018, OPM performed advance work to support this initiative.


**TABLE 9.01A**

PERFORMANCE MEASURE: Number of tribes, tribal organizations or urban Indian organizations participating in FEHB							
FY 2013 Results	FY 2014 Results	FY 2015 Results	FY 2016 Results	FY 2017 Results	FY 2017 Target	FY 2017 Target Met/ Not Met	FY 2013- FY 2017 Trend
48	61	85	90	96	≥92	Met	

**FY 2017 Analysis of Results:**

The tribal program continued to grow for several reasons. The FEHB benefit packages meet the needs of tribes at a competitive price. In addition, OPM continues to promote the FEHB through outreach activities. Further, the OPM Tribal Desk has been recognized for its customer service. With a high satisfaction level among participating tribes, new tribes are hearing about the program and contacting the Tribal Desk for more information.

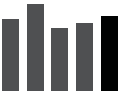
**TABLE 9.01B**

PERFORMANCE MEASURE: Number of tribal employees enrolled in FEHB							
FY 2013 Results	FY 2014 Results	FY 2015 Results	FY 2016 Results	FY 2017 Results	FY 2017 Target	FY 2017 Target Met/ Not Met	FY 2013- FY 2017 Trend
10,304	15,580	17,500	19,551	22,593	≥20,000	Met	

**FY 2017 Analysis of Results:**

OPM exceeded the target by nearly 13 percent, continuing an upward trend. Participation of tribes, tribal organizations, and urban Indian organizations increased in FY 2016 and existing participants remain satisfied with the FEHBP, contributing to the increase in the number of tribal employees enrolled in FY 2017.

**TABLE 9.01C**

PERFORMANCE MEASURE: Percent of FEHBP enrollees satisfied							
FY 2013 Results	FY 2014 Results	FY 2015 Results	FY 2016 Results	FY 2017 Results	FY 2017 Target	FY 2017 Target Met/ Not Met	FY 2013- FY 2017 Trend
79.2%	82%	72.9%	73.8%	75.3%	≥Industry Trend (61.4%)	Met	

**FY 2017 Analysis of Results:**

Of 4,000,145 enrollees surveyed, 3,012,988 were satisfied. In FY 2016, the industry trend was 61.4 percent. In FY 2017, the percent of FEHBP enrollees satisfied exceeded the industry trend by nearly 14 percentage points. There was a break in trend between FY 2014 and FY 2015 because Medicare patients were excluded from the sample beginning in FY 2015 to conform to standardized sampling rules for commercial plans. Subsequently, the Federal Annuitant Benefits Survey was developed and implemented as an annuitant feedback mechanism. The Federal Annuitant Benefits Survey administered in FY 2017 indicated annuitants viewed their FEHB plans as important, believed them to be a good value, and indicated that their plans were meeting their needs.

**Strategy 9.02: Optimize insurance related business processes**

**TABLE 9.02**

PERFORMANCE MEASURE: Percent of plans with all-cause readmission to hospital within 30 days of inpatient hospital stay above the national commercial 50 <sup>th</sup> percentile							
FY 2013 Results	FY 2014 Results	FY 2015 Results	FY 2016 Results	FY 2017 Results	FY 2017 Target	FY 2017 Target Met/Not Met	FY 2013-FY 2017 Trend
—*	49%	51%	44.5%	53.6%	≤2016 Result	Met	

**FY 2017 Analysis of Results:**

In FY 2017, 67 of 125 FEHB plans performed above the national commercial 50<sup>th</sup> percentile. OPM exceeded the target by more than 20 percent. The agency targeted this area for improvement, holding a best practices working group session on improving performance. There was a change in methodology in FY 2016, limiting comparability of trends before and after that change.

—\* No historical data available for this period.





## FEHB Plan Performance

**Goal Statement:** Improve health outcomes for the 8.2 million Federal employees, retirees, and their dependents enrolled in health plans participating in the Federal Employees Health Benefits (FEHB) program. In 2016, FEHB plan performance will be assessed based on a common set of measures of clinical quality, customer service and appropriate resource use; this performance assessment will be used in the determination of plan profit margins. While each plan will be assessed based on its performance, overall progress for the FEHB program will be measured by an increase in the number of FEHB plans at or above the 50<sup>th</sup> percentile of the relevant national, commercial benchmark year-on-year as measured by FEHB plan scored values on the designated high-priority indicators used continuously during the evaluation period. These high-priority measures include: risk adjusted all cause readmissions, timeliness of prenatal care, and blood pressure control.

### FY 2017 Progress Update

OPM accomplished its goal of improving health outcomes for the 8.2 million Federal employees, retirees, and their dependents enrolled in health plans participating in the FEHB program. OPM met or exceeded all three of its FEHB plan performance assessment targets for FY 2017. OPM exceeded the industry trend for plans providing timely prenatal care above the 50<sup>th</sup> percentile by nearly 19 percent. The agency exceeded the industry trend for percent of plans with all-cause readmission to hospital within 30 days of inpatient hospital stay above the national commercial 50<sup>th</sup> percentile by more than 20 percent. Further, the agency met its performance target percentage of plans controlling blood pressure above the national commercial 50<sup>th</sup> percentile.

During FY 2017, OPM successfully completed the first year of the FEHB Health Plan Performance Assessment cycle to measure and reward FEHB plan performance through the use of common, objective, and quantifiable performance measures. The performance assessment framework uses 19 measures to assess key aspects of clinical quality, customer service, and resource use performance, as well as a separate evaluation of contract oversight. The performance assessment is linked to health plan profit, with the overall performance score impacting the service charge or performance adjustment. All FEHB carriers were able to report required

measures and OPM published an overview of the first year. OPM continued to conduct the FEHB Performance Assessment Best Practices Workgroup to help carriers identify and share best practices. OPM presented de-identified aggregate data to FEHB carriers on how health plans performed overall on targeted measures. OPM held best practices working groups to improve performance on the quality measure tracking hospital readmissions and to calculate and utilize cost of care measures. OPM added an additional measure for tracking diabetes control. Additionally, OPM focused on communication to FEHB carriers by redesigning the website listing performance assessment resources and released FEHB Plan Performance Assessment educational videos on the OPM YouTube channel.

OPM is keenly aware of the health challenges associated with the opioid epidemic and is working with industry leading measure stewards to select and adopt a relevant performance measure as soon as preliminary testing on such a measure is completed.

**TABLE 9.02B**

<b>PERFORMANCE MEASURE: Percent of plans with timely prenatal care above the national commercial 50<sup>th</sup> percentile</b>
Refer to Table 9.03C.

**TABLE 9.02C**


<b>PERFORMANCE MEASURE: Percent of plans controlling blood pressure above the national commercial 50<sup>th</sup> percentile</b>
Refer to Table 9.03B.

**TABLE 9.02D**

<b>PERFORMANCE MEASURE: Percent of plans with all-cause readmission to hospital within 30 days of inpatient hospital stay above the national commercial 50<sup>th</sup> percentile</b>
Refer to Table 9.02.

**Strategy 9.03: Improve preventive services delivery to employees, retirees, families, tribal employees, and newly insured Americans**

**TABLE 9.03A**

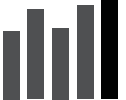
<b>PERFORMANCE MEASURE: Percent of adults receiving flu shots based on Consumer Assessment of Healthcare Providers and Systems Effective Care measures</b>							
FY 2013 Results	FY 2014 Results	FY 2015 Results	FY 2016 Results	FY 2017 Results	FY 2017 Target	FY 2017 Target Met/Not Met	FY 2013-FY 2017 Trend
53%	50%	49%	50.9%	52.2%	Contextual~	Contextual~	

**FY 2017 Analysis of Results:**

Of 69,758 adults surveyed, 36,393 received flu shots in FY 2017. The percentage increased 2.6 percent over FY 2016. The Centers for Disease Control (CDC) target for the Healthy People 2020 initiative was originally set at 80 percent of adults receiving flu shots, but was revised to 70 percent in 2013. Overall uptake of the flu vaccination remains below the CDC target. The CDC reported 43.3 percent of adults received seasonal flu vaccinations for the 2016-2017 season. OPM continues to emphasize the importance of flu shots, including through a joint memo with the Department of Health and Human Services.

~ Contextual measures are highly influenced by external factors and, therefore, OPM has not set targets.

**TABLE 9.03B**


PERFORMANCE MEASURE: Percent of plans controlling blood pressure above the national commercial 50 <sup>th</sup> percentile							
FY 2013 Results	FY 2014 Results	FY 2015 Results	FY 2016 Results	FY 2017 Results	FY 2017 Target	FY 2017 Target Met/Not Met	FY 2013-FY 2017 Trend
43.5%	49%~	43%	49.2%	50.8%	≥2016 Result	Met	

**FY 2017 Analysis of Results:**

In FY 2017, 63 of 124 FEHB plans performed above the national commercial 50<sup>th</sup> percentile. In FY 2017, OPM assigned this measure the highest priority in the FEHB Plan Performance Assessment, which impacts plan profit.

~ Previously reported results revised in October 2016 following a National Committee for Quality Assurance revision to the methodology in 2015.

**TABLE 9.03C**


PERFORMANCE MEASURE: Percent of plans with timely prenatal care above the national commercial 50 <sup>th</sup> percentile							
FY 2013 Results	FY 2014 Results	FY 2015 Results	FY 2016 Results	FY 2017 Results	FY 2017 Target	FY 2017 Target Met/Not Met	FY 2013-FY 2017 Trend
43.4%	39.8%	41%	46%	54.6%	≥2016 Result	Met	

**FY 2017 Analysis of Results:**

In FY 2017, 65 of 119 FEHB plans performed above the national commercial 50<sup>th</sup> percentile. The FY 2017 result exceeded the target by nearly 19 percent. In FY 2017, OPM assigned this measure the highest priority in the FEHB Plan Performance Assessment, which impacts plan profit.

**Strategy 9.04: Develop novel partnerships in support of population health**

**TABLE 9.04**

PERFORMANCE MEASURE: Percent of employees aware of FEHB tobacco cessation benefit							
FY 2013 Results	FY 2014 Results	FY 2015 Results	FY 2016 Results	FY 2017 Results	FY 2017 Target	FY 2017 Target Met/Not Met	FY 2013-FY 2017 Trend
—*	10.2%	—*	16.3%	No Survey (Biannual)	No Survey (Biannual)	No Survey (Biannual)	

**FY 2017 Analysis of Results:**


The Federal Employee Benefits Survey was not administered during FY 2017. It will be administered again in FY 2018.

—\* No historical data available for this period.

**STRATEGIC GOAL 10: INCREASE THE EFFICIENCY AND EFFECTIVENESS OF HUMAN CAPITAL MANAGEMENT ACROSS THE FEDERAL GOVERNMENT BY PROVIDING PROCEDURES AND SERVICES THAT INCREASE ACCOUNTABILITY, AND PROVIDE GREATER ORGANIZATIONAL AND MANAGEMENT FLEXIBILITY**

**Strategy 10.01: Through the Category Management Initiative, enable the Federal Government to have products, services and providers that support the human capital management and organizational performance of Federal agencies**

**TABLE 10.01A**


PERFORMANCE MEASURE: Number of "hallway" users							
FY 2013 Results	FY 2014 Results	FY 2015 Results	FY 2016 Results	FY 2017 Results	FY 2017 Target	FY 2017 Target Met/ Not Met	FY 2013- FY 2017 Trend
—*	—*	—*	219	213	≥100	Met	

**FY 2017 Analysis of Results:**

OPM has increased the number of Human Capital Category Management hallway users by raising agencies’ awareness of the value proposition of the information provided on the hallway, and sharing of the hallway links via recurring communications through the various human capital governance entities. The hallway is a place for agencies to discover guidance, with content curated by subject matter experts who share market intelligence, buying practices, and data.

—\* No historical data available for this period.

**TABLE 10.01B**

PERFORMANCE MEASURE: Number of vendors who deliver human capital goods and services that meet the "best in class" criteria							
FY 2013 Results	FY 2014 Results	FY 2015 Results	FY 2016 Results	FY 2017 Results	FY 2017 Target	FY 2017 Target Met/ Not Met	FY 2013- FY 2017 Trend
—*	—*	—*	84	90	≥75	Met	


**FY 2017 Analysis of Results:**

The number of vendors that meet the “best in class” criteria will mostly remain steady for some time because USA Learning has a designated list of three vendors and Human Capital Training Solutions has completed onboarding of the minimum required in each pool. OPM can initiate the process to add new vendors if the number falls below the minimum in any pool/track. OPM provides off-ramping procedures, which are based on limited vendor activity or poor performance.

—\* No historical data available for this period.

**Strategy 10.02: Provide guidance, tools, and training to help agencies attain human capital management goals and meet OPM requirements**


**TABLE 10.02A**

PERFORMANCE MEASURE: Index score of customer satisfaction with quality of delegated examining and evaluator training							
FY 2013 Results	FY 2014 Results	FY 2015 Results	FY 2016 Results	FY 2017 Results	FY 2017 Target	FY 2017 Target Met/ Not Met	FY 2013- FY 2017 Trend
98	90	97.8	97.9	97.2	≥92	Met	

**FY 2017 Analysis of Results:**

OPM conducted 37 classes and surveyed participants at the end of each class during FY 2017. OPM conducted 33 Delegated Examining certification training classes for 651 employees and four evaluator training classes for 94 employees. Of the 745 employees who completed the training, 738 submitted training evaluations (a response rate of 99.1 percent), and 717 (97.2 percent) rated the training at level four or five out of five. Only 21 participants (2.85 percent) rated the training at level three.

**TABLE 10.02B**

PERFORMANCE MEASURE: Index score of customer satisfaction with HR Solutions products and services (ACSI-Equivalent Index)							
FY 2013 Results	FY 2014 Results	FY 2015 Results	FY 2016 Results	FY 2017 Results	FY 2017 Target	FY 2017 Target Met/ Not Met	FY 2013- FY 2017 Trend
80	78.8	76	80	82.9	≥10 Points Above Federal Average (68)	Met	

**FY 2017 Analysis of Results:**

With 171 survey respondents, the response rate was 45.4 percent. The survey was conducted between August 2017 and September 2017. The Federal average score was 68.



## HUMAN RESOURCE WORKFORCE CAPABILITY

**Goal Statement:** Improve the ability of the Federal human resource workforce to attract, develop, train, and support talent in the Federal Government by developing and launching a Federal HR curriculum. By the end of FY 2016, build and launch curricula for staffing and classification. Baseline HR professionals' proficiency levels for the staffing specialty area competencies, and set targets for improvement. By the end of FY 2017, build and launch curricula for employee relations and labor relations and design a certification of mastery for existing HR University curricula.

### FY 2017 Progress Update

The Federal Human Resources Institute (formerly HR University) is a key part of the Government-wide initiative to grow the Federal HR workforce's capability. Human resources is a designated Government-wide mission critical occupation. The Institute curriculum will lead the development of a standardized framework that will be a comprehensive Federal development program for Federal HR practitioners.

OPM envisions that, as the incumbent workforce attends the classes developed specifically for them, development of necessary competencies and increased individual performance will follow to contribute to and support mission accomplishment within the agencies. The curriculum is in early design and development, with the 22 course staffing specialist curricula due to be fully launched in FY 2018. This is the first of eight specialty functions that will be addressed in the curricula. Completed design, development, and launch are planned for 2019.

The successful outcomes of both OPM's competency model development and the design of the curriculum that is being informed by the

models are highly dependent on the ongoing, active involvement of the networks of subject matter experts in the agencies. While schedule adherence is more challenging where all assets are not under direct control by OPM, the quality of the final products is superior and thus worth the extra time. Further, the "networked" approach creates a higher probability of early adoption by the participants and their agencies. OPM developed, launched, and proved this concept of operation with the staffing specialist function, and will carry it through in all remaining functions.

Delays to the design, development and implementation of the HR curricula were due to an unexpected and prolonged period of time to acquire the contractor to support OPM's efforts. Additionally, based on the priority needs of the HR community in the staffing domain and the curriculum design appropriate to fill those needs, OPM made a strategic decision to expand initial investment in that domain, significantly increasing the number of courses developed.

**TABLE 10.02C**

PERFORMANCE MEASURE: Percent of HR specialists who complete at least one course on HRU							
FY 2013 Results	FY 2014 Results	FY 2015 Results	FY 2016 Results	FY 2017 Results	FY 2017 Target	FY 2017 Target Met/Not Met	FY 2013-FY 2017 Trend
—*	—*	—*	66.6%	—*	≥85%	—*	

**FY 2017 Analysis of Results:**

OPM transitioned HRU to a new platform, the Federal HR Institute (the Institute), in June 2017. Because the new platform does not require users to register, OPM is no longer able to track the percent of HR specialists who completed at least one course. As of June 2017, 42 percent of HR specialists (4,478) had completed at least one course on HRU.

The Institute will deliver a comprehensive curriculum to promote continued improvement of the Federal HR workforce so it is agile, strategic, and competent. The curriculum is based on new career mapping in each function for HR practitioners and analyses of requisite competencies developed by a multi-agency cross-section of Federal HR experts. The curriculum is in early development, with the 22 course staffing specialist curricula fully launching by the end of CY 2017.

—\* No historical data available for this period.

**TABLE 10.02D**

PERFORMANCE MEASURE: Percent of course participants demonstrating successful achievement/mastery of learning objectives							
FY 2013 Results	FY 2014 Results	FY 2015 Results	FY 2016 Results	FY 2017 Results	FY 2017 Target	FY 2017 Target Met/Not Met	FY 2013-FY 2017 Trend
—*	—*	—*	—*	61.4%	≥80%	Not Met	


**FY 2017 Analysis of Results:**

The Federal HR Institute data here represents the FY 2017 course pilot outcomes, with 210 participants, 129 of whom achieved full grasp of learning objectives. Ninety-one of the 129 participants began below the fully successful threshold prior to the course. Ninety-two percent of the 210 participants demonstrated improvements in subject knowledge as shown in pre- and post- course testing.

—\* No historical data available for this period.

**Strategy 10.03: Hold agencies accountable for closing skills gaps in their mission critical occupations**

**TABLE 10.03**

PERFORMANCE MEASURE: Percent of high-risk mission critical occupations/areas making progress toward meeting closing skill gap targets							
FY 2013 Results	FY 2014 Results	FY 2015 Results	FY 2016 Results	FY 2017 Results	FY 2017 Target	FY 2017 Target Met/ Not Met	FY 2013- FY 2017 Trend
—*	—*	—*	72%	90.9%	Delay in Establishing Baseline	Delay in Establishing Baseline	

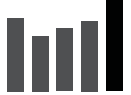
**FY 2017 Analysis of Results:**

Twenty of the 22 agencies that have actively participated in the closing skills gaps initiative have submitted the required documents demonstrating that they made progress towards closing the gaps. All of the agencies have submitted a root cause analysis identifying which root causes they will focus on and have developed and submitted actions plans outlining their strategies, milestones, and metrics.

—\* No historical data available for this period.

**Strategy 10.04: Assure effective human capital management of Senior Executive Service (SES) and other senior employees**

**TABLE 10.04A**

PERFORMANCE MEASURE: Percent of Senior Executive Service and Senior Level/Scientific or Professional performance appraisal systems that have met the certification criteria							
FY 2013 Results	FY 2014 Results	FY 2015 Results	FY 2016 Results	FY 2017 Results	FY 2017 Target	FY 2017 Target Met/ Not Met	FY 2013- FY 2017 Trend
83%	78%	81.6%	82.5%	93.4%	≥83%	Met	


**FY 2017 Analysis of Results:**

The percentage of Senior Executive Service (SES) and Senior Level (SL) and Scientific or Professional (ST) performance appraisal systems that have met the certification criteria increased by 10.9 percent in FY 2017 because of the implementation and widespread use of the streamlined SES and SL/ST certification processes, available to those agencies that have adopted the Basic SES or Basic SL/ST Performance Appraisal Systems. Because the design of the Basic SES and Basic SL/ST Systems meet all certification criteria, OPM must only review the implementation and application of the systems, reducing the amount of documentation that agencies are required to submit to OPM for certification. This decrease in required documentation has resulted in a decrease in the amount of time required by OPM to review the documentation and has made the process to request certification less cumbersome for agencies. In FY 2017, 47 percent of agencies adopted, for the first time, the Basic SL/ST Performance Appraisal System issued in FY 2016. Additionally, 98 percent of agencies with SES members had adopted the Basic SES System by the close of FY 2017.

OPM continues to provide guidance on the criteria with which agencies' appraisal systems must demonstrate compliance to be granted certification through its quarterly Executive Resources Forums, and the FY 2017 SES and SL/ST Streamlined Certification and SES and SL/ST Measurable Results Workshops. In these workshops, OPM also provided guidance on the process and tools for requesting SES/SL/ST appraisal system certification using the streamlined processes. Further, OPM issued the SES and SL/ST Performance Appraisal System Certification Reference Guide in FY 2017 to support agency leaders in designing, implementing and applying SES and SL/ST performance appraisal systems, effectively leading and monitoring an agency's performance appraisal cycle, and understanding and appropriately demonstrating the certification criteria with which agencies' appraisal systems must demonstrate compliance.



**TABLE 10.04B**

PERFORMANCE MEASURE: Customer Satisfaction with USA Performance (ACSI Equivalent Score)							
FY 2013 Results	FY 2014 Results	FY 2015 Results	FY 2016 Results	FY 2017 Results	FY 2017 Target	FY 2017 Target Met/Not Met	FY 2013-FY 2017 Trend
—*	—*	86.5%	95.3%	88.9%	≥10 Points Above Federal Average (79)	Met	

**FY 2017 Analysis of Results:**

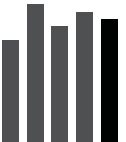
OPM administered the Customer Satisfaction Survey in April and September 2017, sending one survey to each customer agency. With six survey respondents, the response rate was 37.5 percent. USA Performance received a score of 88.9 in FY 2017, exceeding the target of 79, based on the FY 2017 Federal average of 69. Mid-year, OPM created a new USA Performance organization on the survey to obtain more targeted feedback. Previously, OPM surveyed the performance management solution area, a component of the HR Strategy Group, which included USA Performance and performance management consulting/training.

In FY 2017, USA Performance completed its third complete performance cycle with customer agencies. OPM enhanced the system in FY 2017 to increase the ease of use and streamline the paper-intensive process.

—\* No historical data available for this period.

**Strategy 10.05: Hold agencies accountable for maintaining efficient, effective and compliant human capital management programs and accountability systems**

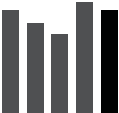
**TABLE 10.05A**

PERFORMANCE MEASURE: Percent of agency human capital or human resources offices evaluated by OPM that demonstrate progress in improving their human capital programs							
FY 2013 Results	FY 2014 Results	FY 2015 Results	FY 2016 Results	FY 2017 Results	FY 2017 Target	FY 2017 Target Met/Not Met	FY 2013-FY 2017 Trend
75%	89%	82.8%	88.5%	85.4%	≥75%	Met	

**FY 2017 Analysis of Results:**

OPM required 41 offices/installations to take corrective actions due for agency resolution during FY 2017. Of those, 35 addressed at least 85 percent of their corrective actions within OPM timeframes. OPM’s lead evaluators continuously engaged with agencies’ HR staffs throughout the year, providing in-depth knowledge of strategic and compliance-based human capital challenges and more direct access to help agencies take action on the issues OPM identified in its evaluation reports.

**TABLE 10.05B**

<b>PERFORMANCE MEASURE:</b> <b>Percent of required actions cited in reports that are addressed by agencies within prescribed timeframes</b>							
FY 2013 Results	FY 2014 Results	FY 2015 Results	FY 2016 Results	FY 2017 Results	FY 2017 Target	FY 2017 Target Met/Not Met	FY 2013-FY 2017 Trend
91%	88%	85%	92.5%	91.7%	≥85%	Met	

**FY 2017 Analysis of Results:**

Of the 495 required actions cited in evaluation reports with resolutions due to OPM in FY 2017, agencies addressed 454 within OPM prescribed timeframes. Most corrective actions required in evaluation reports are addressed within OPM prescribed timeframes due to OPM’s continuous engagement with agencies.

## MAJOR MANAGEMENT PRIORITIES AND CHALLENGES

Major management challenges are management and programmatic issues and risks or areas that have greater vulnerability to waste, fraud, abuse, and mismanagement where failure to perform could seriously affect the agency's mission delivery and ability to achieve its goals. OPM's Office of Inspector General (OIG) identified several management challenges and divided them into environmental challenges and internal challenges. Environmental challenges result mainly from factors external to OPM and may be long-term or even permanent. Internal challenges are likely short-term, temporary challenges. This section describes the actions OPM took in FY 2017 to address the following 11 challenges identified by the OIG.



### Environmental challenges:

1. Strategic human capital
2. Federal health insurance initiatives
3. Background investigations

### Internal challenges:

4. Information security governance
5. Security assessment and authorization
6. Data security
7. Information technology infrastructure improvement project
8. Stopping the flow of improper payments
9. Retirement claims processing
10. Procurement process for benefit programs
11. Procurement process oversight

# 1. STRATEGIC HUMAN CAPITAL

## Closing Skills Gaps

### Related Strategy

- Strategy 10.03: Provide guidance, tools, and training to help agencies attain human capital management goals and meet OPM requirements

### Responsible Agency Officials

- Mark Reinhold, Associate Director, Employee Services;
- Veronica Villalobos, Principal Deputy Associate Director, Employee Services;
- Linda Datcher, Manager, Learning and Development, Strategic Workforce Planning, Employee Services
- Jason Barke, Manager, Forecast and Methods, Strategic Workforce Planning, Employee Services Strategic Workforce Planning

### Summary of Challenge

Strategic human capital management, specifically as it relates to closing skill gaps in Government-wide and agency-specific mission critical occupations, remains on the U.S. Government Accountability Office's (GAO) high-risk list of Government-wide challenges requiring focused attention.

### FY 2017 Progress Update

In April 2017, OPM, in coordination with OMB, published the revised rule for Title 5, Code of Federal Regulations, Part 250, Subpart B, which requires agencies to incorporate program-specific workforce investments and strategies to close skills gaps into their Human Capital Operating Plans.

In FY 2017, the Government-wide and Federal Agency Skills Teams (FAST) provided quarterly updates to OPM on their skills gaps closure process, as defined in their action plans. OPM monitors quarterly reporting and provides assistance to agencies and Government-wide teams where appropriate.

In FY 2017, as part of its initiative to close HR skills gaps, OPM emphasized maintaining and building HR capability. Building HR capability involves continuously developing Federal HR professionals' capacity to recruit and retain individuals with the knowledge, skills, and abilities to achieve agency missions.

In FY 2017, OPM (1) secured funding for the delegated examining certification program, (2) completed technical competencies for the HR specialty areas of classification and employee relations/ labor relations, (3) incorporated the validated technical competencies for classification into HR specialist position descriptions and job opportunity announcement templates, and (4) marketed and launched eight new HR curriculum staffing courses.

In consultation with the Chief Human Capital Officers Council, OPM prioritized which technical competencies for the remaining HR specialty areas (performance management, benefits, compensation, HR development, policy, and HR information systems) to develop and validate next.

In FY 2018, OPM will launch the new delegated examining certification program, which includes developing and implementing the delegated examining assessment and tracking/registration. OPM will also incorporate the validated technical competencies for employee relations/labor relations specialty area, and establish a definitive timeline for the production of a hiring decision-making tool.

**TABLE MMC-1A**

<b>PERFORMANCE MEASURE: Percent of agencies reporting ≥ 60% progress in cumulative milestones</b>				
<b>FY 2014 Result</b>	<b>FY 2015 Result</b>	<b>FY 2016 Result</b>	<b>FY 2017 Result</b>	<b>FY 2017 Target</b>
—*	—*	—*	66.7%~	New Measure

—\* No historical data available for this period.

~ Of the 15 Federal Agency Skills Team agencies, 10 reported greater than or equal to 60 percent progress in cumulative milestones.

**TABLE MMC-1B**

<b>PERFORMANCE MEASURE: Percent of Government-wide reporting ≥ 60% progress in cumulative milestones</b>				
<b>FY 2014 Result</b>	<b>FY 2015 Result</b>	<b>FY 2016 Result</b>	<b>FY 2017 Result</b>	<b>FY 2017 Target</b>
—*	—*	—*	75%~	New Measure

—\* No historical data available for this period.

~ Of the four Government-wide Federal Agency Skills Teams, three reported greater than or equal to 60 percent progress in cumulative milestones.

**TABLE MMC-1C**

<b>PERFORMANCE MEASURE: Percent of Government-wide reporting ≥ 60% progress in cumulative milestones</b>				
<b>FY 2014 Result</b>	<b>FY 2015 Result</b>	<b>FY 2016 Result</b>	<b>FY 2017 Result</b>	<b>FY 2017 Target</b>
—*	—*	—*	80%~	New Measure

—\* No historical data available for this period.

~ Of the 15 Federal Agency Skills Team agencies monitoring progress metrics, 12 met the progress metric.

**TABLE MMC-1D**

PERFORMANCE MEASURE: Percent of Government-wide monitoring progress metrics that are "met"				
FY 2014 Result	FY 2015 Result	FY 2016 Result	FY 2017 Result	FY 2017 Target
—*	—*	—*	75%~	New Measure

—\* No historical data available for this period.

~ Of the four Government-wide Federal Agency Skills Teams, three met the progress metric.

**2. FEDERAL HEALTH INSURANCE INITIATIVES**

**Federal Employees Health Benefits Program (FEHBP)**

**Program-wide Claims Analysis/Health Claims Data Warehouse**

**Related Strategies**

- Strategy 9.01: Sponsor high quality, affordable insurance products
- Strategy 9.02: Optimize insurance-related business processes

**Responsible Agency Officials**

- Alan Spielman, Director, Healthcare and Insurance

**Summary of Challenge**

OPM is responsible for delivering a Federal Employees Health Benefits Program in which participants receive quality health care services, while controlling the costs of premium increases. This has been a challenge because historically, OPM had not routinely collected or analyzed program-wide claims data. In response to this challenge, OPM initiated the Health Claims Data Warehouse project in order to collect, maintain, and analyze health care data on an ongoing basis.

**A. Federal Employees Health Benefits (FEHB) Program**

**A-1) Health Claims Data Warehouse**

**Summary of Challenge**

OPM is responsible for delivering quality health care services to FEHB Program members while controlling the costs of premium increases. In response to this challenge, OPM initiated the Health Claims Data Warehouse project in order to collect, maintain, and analyze health care data on an ongoing basis, and better understand and control the drivers of health care costs in the FEHB Program.

## **FY 2017 Progress Update**

The Health Claims Data Warehouse has made progress over the last few years and continues to evolve. Planning and Policy Analysis (PPA) and the Office of the Chief Information Officer (OCIO) have worked to provide a safe environment for data in the warehouse. Setbacks, in obtaining the required data, however, have included the inability to get all FEHB carriers to provide the required data. PPA and Healthcare and Insurance (HI) are working with FEHB carriers to facilitate the release of their data. PPA has worked with HI and the Office of the General Counsel on required documentation describing how the Health Claims Data Warehouse data is used. Most recently, OPM met with additional external stakeholders to collect information that will inform ongoing efforts.

### **A-2) Prescription Drug Benefits and Costs**

#### **Summary of Challenge**

OPM provides oversight of prescription drugs benefits administered by health plans participating in the FEHB Program. Prescription drug costs represent approximately one fourth of the total FEHB Program costs. OPM promotes the principle that health plans should offer prescription drugs that are clinically effective and provide value. Many carriers use pharmacy benefit managers to administer their prescription drug coverage. In order to offer a prescription drug benefit that is competitive and cost effective, OPM hired a Chief Pharmacy Officer with extensive formulary management experience.

## **FY 2017 Progress Update**

The FEHB Program is market-based. Each FEHB Program plan offers comprehensive medical services, including services provided by physicians and other health care professionals, hospital services, surgical services, prescription medications, medical supplies and devices, and mental health services. At present, HI is not pursuing carving out pharmacy benefits. A proposal to carve out any of these services or

the other services covered under the contract, and administer the benefit as a separate contract or program could undermine the fundamental market-based nature of the FEHB Program. OPM's research in this area has not proven that cost savings could be achieved that may offset the substantial risk of pursuing such a proposal. FEHB Program plans compete to offer all of the aforementioned benefits in a high quality manner at the most competitive price possible. In order to manage the cost of prescription drugs, OPM works with carriers to better manage pharmacy networks, focus on drug utilization techniques, coordinate coverage of specialty drugs between the medical and pharmacy benefit, optimize the prescription drug benefit via formulary design, implement effective cost comparison tools for members and prospective enrollees, and encourage sharing of best practices between the health plans.

### **A-3) Health Benefits Carriers' Fraud and Abuse Programs**

#### **Summary of Challenge**

Carriers participating in the FEHB Program are required to operate programs designed to prevent, detect, investigate, report, and eliminate fraud, waste, and abuse by employees, subcontractors, health care providers, and FEHB Program members. These programs must follow industry standards and adhere to mandatory information sharing requirements via written case notifications and referrals to OIG.

## **FY 2017 Progress Update**

OPM has continued its strong collaboration with OIG to strengthen the fraud, waste, and abuse program, carrier reporting, and internal controls. During FY 2017, HI presented the FEHB fraud, waste, and abuse task force with an overview of a draft carrier letter (a revised version of Carrier Letter No. 2014-29) and discussed the proposed guidance to improve procedures and reporting. HI provided an overview and summary analysis of the 2015 fraud, waste, and abuse report, using this and other carrier feedback opportunities to further refine ideas on new guidance. The task force

session had high in-person or webcast attendance among health plans.

HI distributed a draft update to Carrier Letter No. 2014-29 to health plans in early November 2016. Carrier reporting has increased in recent years and the updates, improvements, and clarifications in the draft carrier letter will further improve health plans' understanding, compliance and reporting quantity and quality. It will also assist in compilation and analysis of that reporting.

OPM efforts are now guided by a formal HI fraud waste and abuse team that includes representatives from Program Analysis and Systems Support, all Health Insurance Groups, and Audit Resolution. The team regularly consults with the OIG. The establishment of the team has fostered collaboration, and has led to a better understanding of each entity's roles and responsibilities as they apply to the fraud, waste, and abuse program. Most importantly, formal involvement and participation by health insurance contracting officers has been particularly beneficial. These health insurance contracting officers (1) provide additional insight, greater knowledge and familiarity with current contract requirements, and identify potential changes/improvements to the fraud, waste, and abuse program, (2) serve as a resource/spokesperson to share fraud, waste, and abuse program information within their Health Insurance Groups, (3) serve as a resource and provide informed guidance to health plans, (4) provide valuable input in the process of proposing, reviewing, and finalizing improvements to the fraud, waste, and abuse program due to contract oversight experience that is better leveraged, and (5) add awareness regarding compliance and enforcement of fraud, waste, and abuse program requirements and health plan accountability.

OPM/HI reviewed and analyzed fraud, waste, and abuse reports from the FEHB health plans. Overall, reporting by health plans has improved. HI continues to partner with the OIG to resolve open fraud-related audit recommendations.

OPM/HI is updating the fraud, waste, and abuse report with a "new look" moving forward. Rather than a simple compilation and aggregation of data, the report will be narrative in nature with the intent of offering readers insights on results.

OPM will continue to collaborate among OIG, the fraud, waste, and abuse team, and the Audit Resolution function, to review reports, analyze data, strengthen the fraud, waste, and abuse programs, and improve compliance and reporting.

#### **A-4) Medical Loss Ratio Implementation and Oversight**

##### **Summary of Challenge**

OPM's Office of the Actuaries closely monitors the FEHB Program medical loss ratio methodology and documents each year's ratio for each community-rated plan, and the associated penalties or credits. The Office of the Actuaries works closely with OPM's Office of the Chief Financial Officer to confirm that proper accounting for medical loss ratio credits and penalties is established so that both disbursement and receipts of medical loss ratio transactions are appropriately accounted for and documented.

In order to calculate the medical loss ratio, carriers divide the total portion of premium dollars spent on clinical services and quality improvement by the total premium income received. Community-rated carriers are required to spend at least 85 percent of premium dollars on medical care, and may use the remaining portion of premium dollars on other costs such as administration, overhead, and marketing. OPM provides carriers with their subscription income to use in the medical loss ratio calculation. However, because of OPM's decentralized enrollment and payroll systems, these amounts may differ from the premium income amounts carriers have tracked in their own internal systems. Carriers may choose to use their own premium amounts when calculating the medical loss ratio, but these amounts are subject to audit.



## FY 2017 Progress Update

OPM's transition to a FEHB Medical Loss Ratio for community-rated carriers has resulted in unique circumstances. OPM remains committed to providing appropriate, flexible, and responsible guidance, leadership, and oversight to carriers as they develop, submit, and support their Medical Loss Ratio calculations. OPM has (1) worked diligently to review and research the audit issues identified, (2) collaborated closely with OIG auditors, management, and leadership to understand and explore reported findings, and (3) consulted with the Office of the General Counsel, which has reviewed the facts and circumstances of the Federal income tax allocation method.

OPM acknowledges the importance of providing guidance that is flexible and not overly prescriptive to account for the diversity of carriers in the program. Nonetheless, OPM's 2018 rate instructions added language to clarify one way in which plans may calculate their FEHB specific Federal income tax.

OPM addresses Medical Loss Ratio calculation issues as the agency becomes aware of them and deems it necessary to address. OPM will continue to evaluate additions to the instructions when the agency feels it is necessary.

## B. Affordable Care Act

### Summary of Challenge

Attracting new issuers to the Multi-State Plan (MSP) Program continues to be a challenge. The statute does not give OPM authority to compel any issuer to participate in the MSP Program and explicitly prohibits OPM from requiring FEHB Program carriers to participate.

Further, the statute does not authorize the preemption of state law requirements governing health insurance. This lack of preemption capability is a significant difference between the MSP Program and the FEHB Program. These statutory challenges have been amplified by the volatility of the individual and small group health insurance markets, which has caused a number of issuers to cease offering products on the Health Insurance Exchanges.

## FY 2017 Progress Update

OPM continues to identify and contact new issuers to encourage their participation in the MSP Program (the Program). OPM has had discussions with state-level issuers who have participated in the Program in the past but have declined to participate in 2017. OPM has also solicited ideas for improving the Program from the two current issuers.

In addition, OPM issued the MSP Program Annual Letter for Plan Year 2018, which emphasized OPM's program flexibility and also encouraged alternatives for issuer participation in the Program. <https://www.opm.gov/media/5589092/mspp-annual-letter.pdf>

Flexibilities include revoking the requirement that state-level issuers use "Multi-State Plan" in plan names for their MSP options, and leaving this decision to the state-level issuer.

**TABLE MMC-2**

PERFORMANCE MEASURE: Percent of FEHB enrollees in quality affordable plans				
FY 2014 Result	FY 2015 Result	FY 2016 Result	FY 2017 Result	FY 2017 Target
—*	—*	74.3%~	Expected End of February 2018	New Measure

—\* No historical data available for this period.

~ Of the 2,433,931 enrollees, 1,809,383 enrollees were in quality affordable plans.

### 3. BACKGROUND INVESTIGATIONS

#### Related Strategy

- Strategy 8.01: Enhance policy, procedures and processes used to ensure people are fit to serve

#### Responsible Agency Official

- Charles S. Phalen, Jr., Director, National Background Investigation Bureau

#### Summary of Challenge

In January 2016, the Federal Government announced a series of changes to modernize and better secure the way it conducts background investigations to help ensure the integrity of the Federal workforce. Central to this announcement was the establishing of the National Background Investigations Bureau (NBIB), a new organization with a strong national security focus, dedicated solely to the background investigations process. In addition to the NBIB standing up as a semi-autonomous bureau under OPM, the Department of Defense became responsible, pursuant to Executive Order 13741, for the design, development, and security of new IT systems to support NBIB’s operational mission. OPM continues to be responsible for NBIB legacy systems.

NBIB is currently working to modernize business processes and tools, has in place a new organizational model to bolster security and intergovernmental communications, and utilizes an updated governance structure that will better align policy and operations and facilitate continuous improvements.

In FY 2017, OPM did not meet the timeliness targets established by the Director of National Intelligence or the targets listed in the Intelligence Reform and Terrorism Prevention Act of 2004. In FY2017, the agency completed:

- the fastest 90 percent of all initial national security clearance investigations in 161 days, not meeting the target of 40 days;
- the fastest 90 percent of initial Secret national security investigations in 134 days, not meeting the target of 40 days; and
- the fastest 90 percent of initial Top Secret national security investigations in 331 days, not meeting the target of 80 days.

However, NBIB continues to exceed its target of over 99 percent of investigations determined to be quality complete.

#### FY 2017 Progress Update

In FY 2017, NBIB increased its investigator workforce by awarding two additional investigative fieldwork contracts, increasing the total number of investigative fieldwork contractors from two to four, and provided the four fieldwork investigative contractors with incentives to build capacity, increase production, and reduce the inventory of aged investigations. NBIB also hired 200 additional Federal investigators while backfilling existing and new vacancies (due to investigator attrition), and concentrated the investigative workforce in the highest workload locations.

Further, NBIB began work with a cross-agency Backlog Reduction and Mitigation Initiative working group to identify potential initiatives and recommendations that will lead to the reduction of the investigative backlog and/or mitigate the impact to mission readiness. NBIB also improved business processes through the development of enterprise measures in collaboration with the Performance Accountability Council Project Management Office.

NBIB further secured and modernized its information technology through the development of an eAdjudication prototype. NBIB has also continued to partner with the DOD Defense Information Systems Agency to build a new, secure, and flexible case management system - the National Background Investigation System - to allow more efficient and effective case processes across the Government as a shared service.

**TABLE MMC-3A**

<b>PERFORMANCE MEASURE: Percent of investigations determined to be quality complete</b>				
<b>FY 2014 Result</b>	<b>FY 2015 Result</b>	<b>FY 2016 Result</b>	<b>FY 2017 Result</b>	<b>FY 2017 Target</b>
99.9%	99.9%	99.8%	99.9%~	≥99%

~ Of the 2,431,008 investigations, 2,427,989 were determined to be quality complete.

**TABLE MMC-3B**

<b>PERFORMANCE MEASURE: Number of cases in the inventory</b>				
<b>FY 2014 Result</b>	<b>FY 2015 Result</b>	<b>FY 2016 Result</b>	<b>FY 2017 Result</b>	<b>FY 2017 Target</b>
217,000*	330,000*	573,000*	708,000*	New Measure

\*Rounded

## 4. INFORMATION SECURITY GOVERNANCE

### Related Strategy

- Strategy 4.03: Implement enterprise initiatives that leverage capabilities and tools throughout OPM

### Responsible Agency Official

- David Garcia, Chief Information Officer, Office of the Chief Information Officer
- Cord Chase, Chief Information Security Officer, Office of the Chief Information Officer

### Summary of Challenge

OPM has faced challenges in recruiting and maintaining information system security professionals, and developing information security processes and controls to protect OPM's IT systems. In FY 2016, OPM made progress and successfully filled the vacant Chief Information Security Officer position and effectively centralized IT security responsibility under the Chief Information Security Officer.

### FY 2017 Progress Update

In recognition of OPM's cyber-defense needs and to safeguard OPM's information technology systems, OPM has continued to implement critical enhancements to cybersecurity governance processes, network protections, access controls, and situational awareness. Working across organizations within OPM and with its interagency partners, OPM has enhanced the use of technology, development and deployment of cyber skills, and the implementation of new processes and controls to strengthen the security of OPM's networks. OPM takes a "defense in depth" approach to its cybersecurity program. Even if a potential vulnerability existed within the OPM environment, mitigations have been implemented that would require multiple defensive techniques to fail before a successful attack could be established.

Over the past eighteen months, OPM centralized cybersecurity under a Chief Information Security

Officer (CISO), hired additional information system security officers (ISSOs), and is publishing policies that empower the CISO and Office of the Chief Information Officer (OCIO) to take further proactive steps to secure and control access to sensitive information. The central IT Cybersecurity organization housed under the CISO has scheduled regular, recurring discussions with the OPM Office of the Inspector General to collaborate and more effectively remediate audit findings in a timely manner.

Cybersecurity is more than the latest technology; it is also about people and processes. The CISO organization has helped successfully manage cybersecurity-related matters and enhancement of general cybersecurity awareness across the agency. OPM has also updated policies and processes to provide more consistent review of systems prior to authorization to operate, and continues to work towards a centralization of agency IT security management and accountability within the OCIO, where appropriate.

Cybersecurity awareness has been integrated into many internal agency-wide communication products such as the Director's Blog and Help Desk email communications. The effectiveness of OPM's increased end-user awareness was demonstrated in a recent Department of Homeland Security (DHS) phishing exercise where OPM showed significant improvement as compared to prior phishing exercises at OPM. OPM has also been working with DHS to ascertain how its efforts are working in real time.

OPM actively participated in numerous Government-wide Federal initiatives, including the Office of Management and Budget's Cyber Sprint, the identification of High Value Assets, Personal Identity Verification Implementation, and the establishment of incident response teams. OPM facilitated an expeditious implementation of the DHS Continuous Diagnostic and Mitigation program, as well as the DHS Einstein 3 Accelerated initiative. OPM embraced the DHS Cyber Hygiene Initiative and the DHS Binding Operational Directives to proactively detect and remediate identified vulnerabilities.

In FY 2017, the OCIO has established a framework to mature the processes in support of its Security Assessment and Authorization program. As a result of the Cyber Sprint and related efforts, OPM had updated all of its authorizations to operate by January 2017, and is

continuously improving this program. In addition to these efforts, OCIO is also working towards the logical segmentation of the OPM network to separate the data, systems, and users to further enhance cybersecurity protections. OCIO will continue this initiative in FY 2018.

**TABLE MMC-4**

PERFORMANCE MEASURE: Number of FISMA audit findings mitigated				
FY 2014 Result	FY 2015 Result	FY 2016 Result	FY 2017 Result	FY 2017 Target
~*	~*	75.7%	70.9%	≥90%

~\* No historical data available for this period.  
~ Of the 244 FISMA audit findings, 173 were mitigated.

## 5. SECURITY ASSESSMENT AND AUTHORIZATION

### Related Strategy

- Strategy 4.03: Implement enterprise initiatives that leverage capabilities and tools throughout OPM

### Responsible Agency Official

- Cord Chase, Chief Information Security Officer, Office of the Chief Information Officer

### Summary of Challenge

Information System Security Assessment and Authorization is a comprehensive assessment that evaluates whether a system’s security controls are meeting the security requirements of that system. In FY 2015, the OIG found that the number of OPM systems without a current and valid authorization increased, and the OIG reinstated its previous material weakness related to this issue in its FY 2015 FISMA audit.

### FY 2017 Progress Update

During the 2016 Cyber Sprint, OCIO embarked on an “authorization sprint” to establish a baseline of compliance for all of OPM’s authorizations to operate, and to allow the Authorizing Official to

make an informed risk-based decision on whether to authorize a system to operate. As a result of the sprint, OPM updated all of its authorizations to operate (ATOs) by January 2017. Consistent with standard processes, the authorization letters clearly outlined the missing components and vulnerabilities and laid out necessary remediation for the system and the risks involved. Upon issuance of the ATOs, the Authorizing Officials began immediate efforts to address the identified vulnerabilities. In the meantime, OPM planned, developed, and executed more thorough follow-up assessments. Throughout the planning and rollout of this initiative, OIG was kept apprised, and collaborated with the OCIO, as appropriate.

OPM has established a framework to mature its authorization program and is continuously improving this program. OPM is also working on improving the assessment methodologies pursuant to which OPM analyzes authorizations to operate. Towards that end, OPM has been updating the templates, guidance, and policies that support the security assessment and authorization process.

**TABLE MMC-5**

PERFORMANCE MEASURE: Percent of OPM IT Systems with FISMA required documentation				
FY 2014 Result	FY 2015 Result	FY 2016 Result	FY 2017 Result	FY 2017 Target
—*	—*	67%	100%	100%

—\* No historical data available for this period.  
 ~ Of 47 OPM IT systems, 47 had FISMA required documentation.

**6. DATA SECURITY**

**Related Strategy**

- Strategy 4.03: Implement enterprise initiatives that leverage capabilities and tools throughout OPM

**Responsible Agency Official**

- David Garcia, Chief Information Officer, Office of the Chief Information Officer

**Summary of Challenge**

OIG’s FY 2016 Top Management Challenges report stated that OPM’s technical environment was complex and decentralized, and therefore difficult to secure. In order to enhance the security of its data and applications, OPM has focused on multifactor authentication, data encryption, and implementation of the Continuous Diagnostics and Mitigation program.

**FY 2017 Progress update**

OPM enforces multifactor authentication, specifically PIV authentication, to grant all OPM users (both privileged and non-privileged) access to its network and information systems. This stringent layer of access control measures restricts access to only allow multifactored (or PIV enabled) users.

In FY 2017, 53 percent (24 of 45) of current OPM FISMA systems had multifactor authentication enabled. In addition, OPM has started to inventory multifactor authentication at the application level in order to baseline compliance and facilitate planning. OPM plans to incorporate multifactor authentication as a requirement when modernizing existing systems. New systems must have multifactor authentication enabled in order to receive an Authority to Operate.

To further strengthen OPM’s data security, 89.5 percent (17 of 19) of OPM managed High Value Asset systems have databases that are encrypted at rest.

**TABLE MMC-6A**

<b>PERFORMANCE MEASURE: Percent of HVA systems/applications Personal Identity Verification enabled</b>				
<b>FY 2014 Result</b>	<b>FY 2015 Result</b>	<b>FY 2016 Result</b>	<b>FY 2017 Result</b>	<b>FY 2017 Target</b>
—*	—*	—*	53.3%~	New Measure

—\* No historical data available for this period.

~ Of the 45 HVA systems/applications, 24 were Personal Identify Verification enabled.

**TABLE MMC-6B**

<b>PERFORMANCE MEASURE: Percent of network covered by Phase 2 Continuous Diagnostics and Mitigation (CDM) capabilities</b>				
<b>FY 2014 Result</b>	<b>FY 2015 Result</b>	<b>FY 2016 Result</b>	<b>FY 2017 Result</b>	<b>FY 2017 Target</b>
—*	—*	—*	0%~	≥95%

—\* No historical data available for this period.

~ Of OPM's four high value asset systems, none were multi-factor authentication enabled.

## 7. INFORMATION TECHNOLOGY INFRASTRUCTURE IMPROVEMENT PROJECT

### Related Strategy

- Strategy 4.03: Implement enterprise initiatives that leverage capabilities and tools throughout OPM

### Responsible Agency Official

- David Garcia, Chief Information Officer,  
Office of the Chief Information Officer

### Summary of Challenge

OPM has determined that its network infrastructure needed to be updated and migrated into a more centralized and manageable architecture. The OIG identified three challenges to OPM's IT infrastructure improvement project: (1) OPM's lack of a mature program to maintain a comprehensive, current, and accurate information system inventory, (2) the complexity of migrating old information systems (legacy technology) into a new environment, and (3) OPM's lack of dedicated funding to support the project.

### FY 2017 Progress Update

In FY 2017, OPM closed four centers, reducing the agency's data center footprint from the nine in FY 2016 to the current five. Planning efforts are underway to further reduce the number of data centers to two strategically located data centers by the end of FY 2018. In addition, OPM successfully migrated the Consolidated Business Information System to a Federal shared service center. These were the key steps in OPM's Mitigate, Migrate, and Modernize initiative to achieve a more manageable IT architecture. The seven month continuing resolution and the resultant budget in May 2017 did not enable the OCIO to modernize or upgrade its legacy IT infrastructure to the extent that was planned. There are seven key initiatives as part of the FY 2017 IT modernization, currently being developed, that will utilize \$11 million in two-year funding.

TABLE MMC-7

PERFORMANCE MEASURE: Percent of end-of-life hardware operating on OPM's infrastructure				
FY 2014 Result	FY 2015 Result	FY 2016 Result	FY 2017 Result	FY 2017 Target
—*	—*	—*	48.5%~	New Measure

—\* No historical data available for this period.

~ Of the 10,108 hardware devices operating on OPM's infrastructure, 4,901 are end-of-life hardware devices.



## 8. STOPPING THE FLOW OF IMPROPER PAYMENTS

### Related Strategy

- Strategy 7.03: Advance the 21<sup>st</sup> century customer-focused retirement processing system for claims adjudication in a timely and accurate manner

### Responsible Agency Official

- Kenneth Zawodny, Jr., Associate Director, Retirement Services

### Summary of Challenge

Reducing improper payments by Federal agencies continues to be a top priority. OPM paid \$82 billion in defined-benefits to retirees, survivors, representative payees, and families during FY 2016. OPM's retirement programs continue to meet OMB's definition of programs susceptible to significant improper payments because annual improper payments are more than \$100 million per year. OPM's recapture rate for improper payments has improved from 67.2 percent in FY 2013 to 78 percent in FY 2016, and the agency recovered funds amounting to \$106.6 million.

### FY 2017 Progress Update

Retirement Services (RS) remains committed to stopping improper payments based on eligibility for continued benefits, death, and adjudication errors.

These ongoing efforts include the following two key data matches:

1. Consolidated Death Match: OPM compares the Consolidated Death Match with OPM's weekly annuity roll to identify annuitants who are reported as deceased by the Social Security Administration (SSA). The Validated Agency Match System processes the death information for the purpose of terminating Federal benefits and subsequently preventing improper payments. OPM initiates collection actions for any overpayments that are discovered.
2. Social Security Administration (SSA) Death Master File Match: Retirement

Services conducts yearly data matches between OPM's annuity roll and the SSA Death Master File. These matches compare annuitant identifiers with current SSA death records. These matches supplement the weekly Consolidated Death Match and help to identify reported deaths that might be missed in the Consolidated Death Matches due to timing differences.

Moreover, RS administers a number of surveys of the following activities to identify possible anomalies in the annuity roll that need to be investigated further, and to evaluate the ongoing entitlement status of specific and discrete populations of annuitants. These surveys include:

1. FERS Annuity Supplement: RS conducts the FERS annuity supplement survey annually. OPM sends the survey to all annuitants who receive the FERS supplement. Annuitants whose income has exceeded the minimum level of earning must have their annuities reduced.
2. Marital: RS conducts the marital survey annually to determine if surviving spouses are still eligible for benefits. The survey determines whether the surviving spouse remarried prior to age 55. The survivor annuity is terminated if the surviving spouse or former spouse was married to the employee for less than 30 years and remarries before age 55.
3. Representative Payee: RS conducts the representative payee survey to verify that the person receiving the benefits on behalf of an annuitant is the payee on record. The payee also certifies that he or she is using and managing the annuity in the best interest of the annuitant.
4. Student: RS conducts the student survey to verify that surviving children meet basic eligibility requirements. A student must be enrolled full time at an accredited educational institution for a monthly survivor annuity benefit.

5. Disability: RS conducts the legally mandated disability survey because there is a limit on the amount certain disabled retirees can earn in the calendar year. The annuitant cannot exceed the 80 percent earning capacity limit.

In addition, RS has updated the following three existing stand-alone efforts.

1. RS enhanced an online death reporting tool to gather more information up front to facilitate both the termination of annuity

payments and the authorization of survivor benefits, if applicable.

2. RS continued the 1099R project, in which RS analyzes 1099Rs returned by the US Postal Service as undeliverable. Some are returned for changes of address, others are returned because the annuitant is deceased.
3. RS has initiated steps to survey a sampling of payees that are over age 90, to verify that they are still eligible for benefits.

**TABLE MMC-8**

PERFORMANCE MEASURE: Rate of improper payments in the retirement program				
FY 2014 Result	FY 2015 Result	FY 2016 Result	FY 2017 Result	FY 2017 Target
.38%	.38%	.37%	.38%	≤0.36%

## 9. RETIREMENT CLAIMS PROCESSING

### Related Strategy

- Strategy 7.03: Advance the 21<sup>st</sup> century customer-focused retirement processing system for claims adjudication in a timely and accurate manner

### Responsible Agency Official

- Kenneth Zawodny, Jr., Associate Director, Retirement Services

### Summary of Challenge

OPM is responsible for the administration of the Federal Retirement Program covering more than 2.7 million active employees, including the United States Postal Service, and nearly 2.6 million annuitants and survivors. OPM is dedicated to processing Federal retirement claims quickly and accurately to provide the best possible support to annuitants. During FY 2016, OPM processed 77.1 percent of the retirement cases within 60 days or less. Those cases were processed in 45 days, on average. Cases requiring more than 60 days took 100 days, on average.

### FY 2017 Progress Update

Retirement Services (RS) has taken on the challenge of reducing call wait times, hiring 43 customer service specialists. RS also hired 15 additional legal administrative specialists. Further, RS delivered a pre-retirement seminar on Capitol Hill to Congressional staffers. The event was webcast and the recording will be available to House and Senate staff.

RS also held two training events in Pittsburgh (275 attendees) and Atlanta (411 attendees). Benefits officers from agencies across the Federal Government took part in workshops on Federal retirement, insurance, benefits, and financial planning.

**TABLE MMC-9**

PERFORMANCE MEASURE: Average number of days to process cases				
FY 2014 Result	FY 2015 Result	FY 2016 Result	FY 2017 Result	FY 2017 Target
53	56	54	67	New Measure

**10. PROCUREMENT PROCESS FOR BENEFIT PROGRAMS**

**Related Strategy**

- Unaligned

**Responsible Agency Officials**

- Alan P. Spielman, Director, Healthcare and Insurance
- Juan Arratia, Director, Office of Procurement Operations

**Summary of Challenge**

The Office of Procurement Operations (OPO) is responsible for soliciting, evaluating, and awarding agency contracts, orders, and agreements in accordance with the Federal Acquisition Regulation. OPO emphasizes the competitive solicitation process, which helps the Government receive the best value. Issuing timely competitive solicitations for OPM’s benefits programs, specifically the BENEFEDS benefits portal, the Federal Long Term Care Insurance Program (FLTCIP), and the Federal Flexible Spending Account Program (FSAFEDS), has been an agency challenge for several years.

**FY 2017 Progress Update**

The Office of Procurement Operations (OPO) in collaboration with Healthcare and Insurance (HI) awarded, through full and open competition, the referenced FSAFEDS requirement in March 2016, the FLTCIP requirement in April 2016, and the BENEFEDS requirement in March 2017.

OIG Advisory Report 4K-RS-00-16-024, issued in October 2015, included four recommendations for OPO. The OIG has formally closed two of those recommendations and is reviewing the remaining two for potential closure.

**TABLE MMC-10**

PERFORMANCE MEASURE: Percent of FSAFEDS, FLTCIP, and BENEFEDS awards competitively executed				
FY 2014 Result	FY 2015 Result	FY 2016 Result	FY 2017 Result	FY 2017 Target
—*	0%	67%	100%~	100%

—\* No historical data available for this period.

~ Of the three contract awards executed (FSAFEDS, FLTCIP, BENEFEDS), three were competitively executed.

## 11. PROCUREMENT PROCESS OVERSIGHT

### Related Strategy

- Unaligned

### Responsible Agency Officials

- Juan Arratia, Director, Office of Procurement Operations
- Elijah Anderson, Director of Contracts, Office of Procurement Operations

### Summary of Challenge

OPM’s Office of Procurement Operations (OPO) is responsible for (1) providing centralized contract management that supports the operations and Government-wide mission of OPM, across the complete acquisition lifecycle, as well as directly supporting the agency suspension and debarment program, and (2) managing the agency purchase card program. In FY 2016, OPM awarded more than 3,000 transactions totaling \$1.1 billion.

In FY 2015, OPO took steps to determine areas for improvement across the contracting function. An independent consulting firm conducted a strategic assessment of OPO’s procurement compliance, procurement oversight, workload and staffing, and acquisition certification and training functional areas. Based on the assessment, the firm issued a report which included numerous findings and 16 recommendations. OPM’s Office of Inspector General (OIG) validated these findings and recommendations through a subsequent audit dated July 8, 2016.

### FY 2017 Progress Update

In FY 2017, OPO worked with OPM’s Office of Internal Oversight and Compliance (IOC) to successfully execute a Corrective Action Plan that addresses OIG audit report recommendations in the following areas.

#### *Resource Levels*

In FY 2017, OPO secured limited contractor-provided resourcing support through an established FY 2016 contract. Contractor personnel support is limited and provides focused support for critical OCIO IT requirements and agency-wide closeout efforts. OPO also presented resource level challenges to OPM leadership using OMB benchmarking data. According to the benchmarking cost to spend ratio data, OPM has an estimated 60 fewer FTE or contractors than peer agencies (that is, agencies of similar size, with similar spend).

#### *Delegation of Authority*

In FY 2018, OPO will finalize the agency-wide warrant (delegated procurement authority) refresh so that such authority is current and properly administered through the established Federal Acquisition Institute Training Application System. In FY 2017, OPO completed OPM internal review of, approved, and disseminated a newly established oversight and compliance policy, and began full implementation of the policy in FY 2018. OPM commenced an aspect of this policy, contract file reviews, in June 2017. At that time, OPO began

reviewing contract files that were awarded under delegated procurement authority. Contract file review efforts initiated in FY 2017 are a part of the standard oversight and compliance efforts that will be carried out going forward.

### ***Customer Communications and Outreach***

OPO conducted weekly or bi-weekly program reviews with all program offices to review current and planned procurement actions (for example, weekly reviews with the Office of the Chief Information Officer (OCIO) and Human Resource Solutions (HRS), and bi-weekly program reviews with Healthcare and Insurance (HI).

OPO directly supported critical IT modernization projects. OPO communicated and collaborated with (1) OCIO on far-reaching IT modernization efforts under OCIO's Information Technology Infrastructure Improvement Project, (2) OCFO on the modernization of the Trust Fund Federal Financial System, and (3) NBIB and OCIO on the modernization of NBIB's IT systems.

OPO collaborated with the OMB Office of Federal Procurement Policy on the Acquisition 360 initiative. OPO is currently analyzing the survey data from the initiative to identify opportunities for improvement.

OPO also conducted multiple agency-wide briefings on updated policies and procedures, including policies on contracting officer representatives, acquisition planning policy, and ratifications of unauthorized commitments. Further, OPO held an Annual Training Forum, an Agency Acquisition Training Summit, and several requirements workshops.

### ***Standardized Documentation and Updated Policies and Procedures***

OPO continues to refresh dated guidance while establishing new policies and procedures. For example, OPO recently issued new policy or guidance on acquisition planning, contracting officer representatives, Procurement Administrative Lead Time (PALT), end-of-fiscal-year processing, and ratification of unauthorized commitments. Additionally, in Q4

FY 2017, OPO finalized, formally approved, and disseminated several policies including oversight and compliance, unique procurement instrument identifier, and contract file organization and storage. OPO began to implement these policies in FY 2018.

### ***Policy and Procedure Training***

OPO conducted agency-wide training, including an Annual Training Forum, an Agency Acquisition Training Summit, and several requirements workshops. OPO also conducted training associated with all newly released and/or refreshed policies and procedures, to include acquisition planning, contracting officer representative, and ratification of unauthorized commitments. In Q4 of FY 2017, OPO prepared for its Q1 FY 2018 internal training events and FY 2018 annual agency-wide acquisition conference, which was held in Q1 FY 2018. The FY 2018 training included briefings on oversight and compliance, unique procurement instrument identifier, and contract file organization and storage policies.

### ***Oversight and Compliance***

OPO finalized, formally approved, and disseminated newly established oversight and compliance policy in Q4 FY 2017, and began full implementation of this policy in FY 2018. Further, OPO conducted Delegated Procurement Authority contract file reviews for HI and OCIO, and scheduled FY 2018 reviews of OIG and Human Resource Solutions. Contract file reviews, an aspect of oversight and compliance, will continue for all of the delegated procurement authority offices initiated in FY 2017. In FY 2017, OPO Acquisition Policy reviewed more than 600 contractual documents in accordance with Contracting Policy 1.603(b) Review and Approval of Contractual Documentation.

### ***Accessibility of Documents***

In FY 2016, OPO established an internal (agency-wide) Wiki page which provides a single location for policies and procedures, procurement-related links, forms and templates, training, and program specific guidance. In FY 2017, OPO continually updated the Wiki page, most recently including

IT acquisitions and end-of-fiscal-year links and resources. OPO finalized, formally approved, and disseminated newly established contract filing policy in Q4 FY 2017, and began to implement this policy in FY 2018. This policy standardizes the content, storage location, and storage nomenclature of all contract files prepared in Q1 FY 2018 and beyond.

**Improve Acquisition System**

OPO submitted and received approval to fund contract system training for OPO staff and contractor support. OPO continues to face challenges to improving OPM’s end-to-end acquisition process because OPM’s contract writing and financial systems, managed by the OCFO, are not integrated and are outdated. The

outdated contract writing system platform is no longer compatible with the Federal Procurement Data System. Dated, disjointed end-to-end systems currently drive continued manual, labor intensive data validation efforts, further taxing already limited OPO resources. OPO finalized, formally approved, and disseminated refreshed procurement instrument identifier policy in Q4 FY 2017, and began to implement this policy in FY 2018. This policy standardizes procurement numbering nomenclature in accordance with Federal regulations for all contractual transactions prepared in Q1 FY2018 and beyond. OPO has included updated associated with this policy in contract system refresh efforts both internal and external to OPM.

**TABLE MMC-11**

PERFORMANCE MEASURE: Percent of completed reviews conducted in accordance with contracting policy				
FY 2014 Result	FY 2015 Result	FY 2016 Result	FY 2017 Result	FY 2017 Target
—*	0%	60.2%	85.8%~	≥85%

—\* No historical data available for this period.

~ Of the 310 contract awards, 266 were reviewed in accordance with contracting policy.

**EVIDENCE BUILDING**

OPM has integrated data, analytics, and research in the agency’s day-to-day operations and decision making, reflecting a strategic priority to enhance, promote, and integrate evidence-based decision making, consistent with applicable law. The practice of evidence-based decision making involves using the best available data, both quantitative and qualitative, along with scientific evidence to make decisions that are empirically supported as well as compliant with applicable law.

With this effort, the overall use of data has expanded throughout the agency and across the Federal workforce. It has become part of the fabric of the agency’s organizational culture.

OPM continues to build a cohesive structure, data point by data point, to manage and integrate evidence and data usage across the agency and with external partners. This enables OPM to not only process and analyze data more efficiently, but to identify issues that may affect future workforce planning. This increased focus on data integration has enriched the data that OPM uses to support policy development and operations, and has enabled OPM to contribute to rigorous research and evaluations. As highlighted below, the agency’s increased focus on data integration and data visualization has enriched the information that the agency uses to support policy development, operations, and evidence building.

- **Excepted Service Evaluation Study:** OPM MSAC began a Government-wide study of excepted service hiring in FY 2017, based on its analysis of various data points. Specifically, OPM observed a pattern of compliance and policy issues that emerged from the results of human capital evaluations it conducted over the last five years. After conducting data analysis of key variables in OPM's Enterprise Human Resource Integration system, OPM found an increasingly upward trend in the use of excepted service hiring authorities in the Executive Branch.

The goals of the excepted service study are to:

1. assess the extent to which agencies use various excepted service appointing authorities;
2. evaluate the effectiveness of excepted service hiring policies and practices; and
3. identify areas of non-compliance with applicable laws and regulations.

The findings may also help OPM identify and address knowledge gaps among HR and hiring officials about excepted service hiring. Any Government-wide patterns or anomalies found in agency hiring policies and operations also may be helpful in identifying any needed changes or clarification in OPM's guidance to agencies relating to excepted service hiring.

- **2017 Federal Workforce Priorities Report:** Effective April 11, 2017, Title 5, Code of Federal Regulations, Part 250, Subpart B, Strategic Human Capital Management, requires OPM to issue a quadrennial Federal Workforce Priorities Report. The report communicates key Government-wide human capital priorities and suggested strategies based on extensive research conducted over a two-year period, and helps inform agency strategic and human capital planning. OPM requested that agencies align their human capital management strategies to support the report, as demonstrated in agencies' Human Capital Operating Plans. The report establishes

Government-wide human capital priorities based upon current and emerging workforce challenges. However, the report is not intended to serve as a plan that obligates the human capital community to specific actions, timeframes, and measures of success. Rather, the report includes a process for establishing such Government-wide requirements, and may be used as a resource by agencies when developing human capital goals and strategies.

Agencies will engage in activities to support the priorities, while maintaining flexibility and autonomy in how they do so. Agencies will use Human Capital Operating Plans to document supporting agency efforts, including timeframes and performance measures. Agencies will use evaluation initiatives, such as HRStat and Human Capital Reviews, to help monitor progress, assess effectiveness, and refine strategies.

- **HRStat:** HRStat is an institutionalized Government-wide effort based on the *Government Performance and Results Act Modernization Act of 2010*, in which Federal agencies implement HR data-driven quarterly reviews. HRStat is also now institutionalized with Title 5, Code of Federal Regulations, Part 250, Subpart B which became effective in April 2017. OPM issued the HRStat guidance to help agencies continually improve their HR analytics capability to inform leadership decisions and support organizational outcomes. OPM developed a Maturity Model Assessment Tool along with the guidance to help agencies assess their HRStat's progress and maturity towards advancing their agencies' missions, goals, and objectives. For each HRStat agency, OPM will provide (1) a report that contains an analysis of their self-assessment and (2) consultative assistance so that agencies have the necessary resources to achieve improvements. OPM continues to lead HRStat Community of Practice meetings, which are held semi-annually in person and bi-monthly virtually, to provide guidance, assistance, and training on Government-wide HRStat implementation.

- **Skills Gap Closure Strategies using Data Analysis:** Closing skills gaps in Government-wide and agency mission critical occupations is a collaborative effort between OPM and the Chief Human Capital Officers Council's formal Executive Steering Committee for Skills Gaps. OPM implemented a data-driven, multi-factor model that helped agencies identify mission critical occupations that were at the greatest risk for skills gaps. Based on the results of the multi-factor model, agencies identified one to three agency-specific high risk mission critical occupations to focus on, to close skills gaps. OPM also led the effort to support the Federal Agency Skills Teams (the Government-wide and agency established teams who are responsible for identifying root causes, developing action plans, establishing measures, and monitoring results) by providing the training and supporting guidance on how to take action to complete each requirement.

OPM worked with agencies to conduct a comprehensive root cause analysis, developed an action plan with milestones, and developed long-term and short-term measures.

OPM implemented a quarterly reporting requirement. As a result, in the latest GAO High Risk report, the leadership criteria was moved from "partially met" to "met." Additionally, to institutionalize the skills gaps method, OPM revised Title 5, Code of Federal Regulations, Part 250, Subpart B. Agencies will be responsible for using the OPM designated method to identify skills gaps, monitor and address skills gaps within Government-wide and agency mission critical occupations, describe the skills and human capital information required to achieve agency goals and objectives within agency strategic plans, and include explicit descriptions of agency skill and competency gaps that must be closed in their Human Capital Operating Plans. OPM issued guidance and has conducted webinars for agencies on the plans and the new requirements under the regulation.

- **SES Exit Survey:** The Senior Executive Service (SES) Exit Survey is an ongoing data collection effort that is designed to (1) capture

information regarding the circumstances under which senior executives leave the Federal Government and (2) provide executives with an opportunity to give candid feedback about their work experiences. The survey was launched in 2013. OPM analyzes the data on an annual basis. The data presented is intended to support agency and Government-wide recruitment, engagement, retention, and succession planning efforts for current and future executives. Specifically, the most recent report provides insight on (1) SES separations, (2) stay factors, (3) factors influencing decisions to leave, (4) succession management, (5) performance management, (6) compensation, and (7) executive perceptions of the Senior Executive Service and agency. With SES retirement rates remaining high and steady, it is imperative for OPM and agencies to understand what they can do to engage and retain top-performing executives, while mitigating factors that cause executives to leave the Federal Government. Agencies with sufficient response rates receive agency-specific reports. In addition, OPM hosted 11 forums with an average of 75 attendees, where agency points of contacts share information on how they use the information, as well as ways to improve survey participation. For the 2017 survey report, please refer to <https://www.chcoc.gov/sites/default/files/2017%20SES%20Exit%20Survey%20Report.pdf>.

- **The Federal Employee Viewpoint Survey (FEVS)** is a powerful management tool that is driving real change. OPM continues to leverage the Enterprise Human Resources Integration-Statistical Data Mart administrative data in administering, analyzing, and reporting FEVS results. Integrating administrative data into the survey process enables the agency to add analytic breadth without additional respondent burden. Organizational structure, occupational series, education level, and date of birth are administrative variables that OPM has recently incorporated with the FEVS data. This is one example of how the agency has enhanced the survey. Leveraging administrative data and working collaboratively with



participating Federal agencies to implement OPM's innovative sampling strategy (the Graduated Proportional Sampling method), has dramatically increased the number of subcomponent reports—more managers receiving office-level reports—with less administrative burden. As of 2017, the total number of subcomponent reports generated is approximately 30,000, from a baseline sample size of approximately 1.1 million employees. A pending redesign of the public-facing survey website ([www.fedview.opm.gov](http://www.fedview.opm.gov)) will allow for a much more user-friendly interface with reports and data that is easier to locate.

In response to stakeholder concerns that the conventional Employee Engagement Index, comprised of sub-factors Leaders Lead, Supervisors, and Intrinsic Work Experience, may not sufficiently measure engagement per se, but rather conditions conducive to employee engagement, the FEVS Team has been actively piloting alternative methods for measuring employee engagement. The administration team is evaluating several alternatives from the industrial/organizational psychology literature that scholars have argued more directly measure employee engagement.

Approximately one-half of all Federal employees invited to participate in the survey fail to do so. This introduces the risk of nonresponse bias in the survey results generated only from those who responded. Although the FEVS team employs a comprehensive, multi-stage weighting procedure to make the respondent pool look more representative of the target population, the risk of residual nonresponse bias still remains. In an effort to gauge the risk, the FEVS team developed an innovative strategy whereby a subset of employees were permitted to opt-out, or effectively unsubscribe from the FEVS in exchange for relaying the single most influential reason to not participate. Data from this experimental cohort will provide insight into root nonresponse causes and their associated prevalence, as well as provide evidence regarding the efficacy of tailored messages crafted to mitigate them.

- **Unlocktalent.gov** is a comprehensive data visualization dashboard created by OPM to help Government leaders (1) make data-driven decisions and (2) design initiatives to improve employee engagement and the overall performance of the Federal workforce. The dashboard incorporates administrative data from OPM's Enterprise Human Resources Integration—Statistical Data Mart and data from the FEVS.

OPM advanced its commitment to making data, including workforce statistics and Government-wide survey results and reports, more accessible to agencies, Federal employees, and the general public. With **Unlocktalent.gov**, users can view employee engagement, job satisfaction, and agency workforce data, including charts, graphs, and maps, and drill down to lower levels within the agency. **Unlocktalent.gov** allows for comparisons among agencies, and also provides agency trends. The community of practice page is also a useful resource for agency best practices and information sharing.

OPM has recently increased the amount of data available on the site. The agency indicators page (formerly known as the HR Core Metrics) was a static page since **Unlocktalent.gov** was first launched in July of 2014. Now the page includes numerous measures organized into five sections consistent with the new Human Capital Framework: (1) workforce demographics, (2) talent management, (3) performance management, (4) strategic planning and alignment, and (5) evaluation. OPM has incorporated secondary pages for each measure, which include additional data breakouts. Data for these pages comes from the survey and the data mart. The agency indicators page allows users to gain more insight into their agency's workforce through data in order to create an effective work environment by forecasting the short and long-term needs to enhance decision-making and improve the overall health of the organization.

Another recent enhancement is the employee engagement cross demographic feature for the employee engagement index. This

feature allows users to cross two demographic categories for the employee engagement index at the overall agency level. Crossing two demographic categories allows agencies to dig deeper into the results to gain a better understanding of where resources are needed to improve engagement.

OPM has communicated these resources and features with [Unlocktalent.gov](https://unlocktalent.gov) agency points of contact. OPM speaking engagements highlighting [UnlockTalent.gov](https://unlocktalent.gov) have also increased awareness, as well as the number of users. At the end of the third quarter of FY 2017, there were a total of 18,446 [UnlockTalent.gov](https://unlocktalent.gov) users, an increase of 2,229 users since the beginning of FY 2017.

OPM plans to shift the focus of [Unlocktalent.gov](https://unlocktalent.gov) to the agency indicators page to focus on overall performance and the health of the agency. OPM will continue to (1) build out the agency indicators page by incorporating agency level data, (2) add secondary pages with additional data breakouts, and (3) add new measures. At the same time, OPM will reorganize the structure and content of the community of practice page, making the page more user-friendly and allowing agency users an easier and quicker way to access the content. These improvements will help agencies remain current with research and best practices and allow for proactive responses to changes.

- **Research Summit:** To develop partnerships with agencies, academic institutions, and think tanks, OPM held its 2nd annual Research Summit (the Summit) in partnership with

the School of Public Affairs at American University. The theme of the summit “Transforming Human Capital Management Policy through Research, Innovation, and Analytics” was designed to identify ways to improve human capital management policy. The summit focused on four policy areas: (1) analytics and technology, (2) diversity and inclusion, (3) performance management, and (4) workforce reshaping. The Summit brought together more than 300 Federal practitioners, academic researchers, non-profits, and industry leaders, representing 56 Federal agencies, 13 universities, 49 companies and the general public, marking a 100 percent increase from the attendance level of the inaugural conference in 2016. Summit registration reached capacity within 34 hours.

The event provided the forum by which stakeholders could engage in discussions of new ideas and current research to be shared across organizations, raising the bar for improvement in human capital policy development and implementation. In FY 2017, OPM introduced a mobile app that attendees could download for free to network with other attendees, view a detailed conference agenda, rate presentations, and answer questions from real-time polls. Results from one of the polls indicated that 93 percent of attendees plan to return again next year. The conference also experienced a dramatically improved social media presence, and the hashtag #OPMResearchSummit reached more than 140,000 Twitter accounts.

## APPENDIX

### DATA VALIDATION AND VERIFICATION OVERVIEW

OPM uses its performance data to promote improved outcomes, and senior leaders regularly review performance information to identify successful or promising practices, where the agency is not making sufficient progress, and plans for future improvement. The performance information in this report is reasonably complete and reliable, as defined by the *Government Performance and Results Act Modernization Act of 2010*.

The following section describes the steps that OPM has taken to promote the accuracy, completeness, and reliability of the performance information it reports for each measure. Additionally, the following steps outline how the agency promotes data quality:

- OPM has developed and regularly updates dashboards with the agency's performance results, facilitating senior management review. Senior agency leaders participate in performance dashboard reviews at least quarterly. This process includes substantiating that actual results reported are indeed correct whenever those results reveal substantial changes in trends or variances from targets.
- The Office of the Chief Financial Officer (OCFO) provides guidance to goal teams on data quality, and has developed a standard form for goal teams to document data collection and reporting procedures, definitions, source data, validation and verification, and limitations. The Office reviews such documentation for adequacy, providing feedback and recommendations for improvement to goal teams. This documentation serves as a job aid to performance measurement and reporting staff, helping to promote the use of consistent definitions and methods.

- To reduce the risk of human error, the OCFO is developing a single repository for all performance results.
- The OCFO and Goal Owners assess the use and effectiveness of the agency's performance measures and consider alternative measures during the agency's annual performance budgeting process. Cross-organizational teams of Goal Owners establish consensus on the validity of the measures.

These agency-wide efforts, in addition to the specific actions that Goal Owners have taken for each measure, described in the following section, support the completeness, reliability, and quality of OPM's performance information.

## MEASURE DEFINITIONS, DATA SOURCES, VERIFICATION, AND VALIDATION

### STRATEGIC GOAL 1: ATTRACT AND ENGAGE A DIVERSE AND EFFECTIVE OPM WORKFORCE

TABLE 1.01

Performance Measure	Percent of hiring managers who indicate they were actively involved in recruiting to fill the position
Definition	The number of hiring managers who completed the Chief Human Capital Officer (CHCO) Council Hiring Manager Survey who indicated they were actively involved in recruiting divided by the total number of respondents.
Data Source	CHCO Council Hiring Manager Survey
Frequency	Quarterly
Verification and Validation	OPM conducts extensive data analysis to verify the results and identify any systemic data issues.
Data Limitations	Data and results are based on the responses from those who voluntarily complete the survey. These responses provide an accurate portrayal of their experience regarding involvement in recruiting. Potential sources of error including inconsistent/inaccurate interpretation of the survey question, including what involvement in recruiting process encompasses.

TABLE 1.02A

Performance Measure	OPM's Federal Employee Viewpoint Survey Employee Engagement Index score
Definition	<p>The percent of employees providing positive survey responses to the 15 items included in the Employee Engagement Index. The Engagement Index comprised the following subfactors and items:</p> <ul style="list-style-type: none"> <li>• Leaders Lead: Reflects the employees' perceptions of the integrity of leadership, as well as leadership behaviors such as communication and workforce motivation. (Q 53, 54, 56, 60, and 61)</li> <li>• Supervisors: Reflects the interpersonal relationship between worker and supervisor, including trust, respect, and support. (Q 47, 48, 49, 51, and 52)</li> <li>• Intrinsic Work Experience: Reflects the employees' feelings of motivation and competency relating to their role in the workplace. (Q 3, 4, 6, 11, and 12)</li> </ul> <p>The index score is calculated by dividing the number of employees satisfied/very satisfied on each of the 15 items in the index by the total number of respondents, and then averaging the percentages.</p>
Data Source	Federal Employee Viewpoint Survey
Frequency	Annually
Verification and Validation	OPM's Planning and Policy Analysis leads the survey administration, and conducts extensive data analysis to verify the results and identify any systemic data issues. Each OPM subcomponent that receives an individual score is responsible for data analysis and action planning.
Data Limitations	The FEVS is collected annually and therefore reflects employee opinions at a single point in time. However, because the agency has gathered data over several years, it is able to identify long-term trends. While the survey is voluntary, OPM's response rate of more than 70 percent is a statistically significant sample of the OPM employee population.

**TABLE 1.02B**

<b>Performance Measure</b>	<b>Overall New IQ Score</b>
Definition	<p>The percent of employees providing positive survey responses to the 20 questions of OPM’s Federal Employee Viewpoint Survey (FEVS) that are highly correlated with inclusive environments. The New IQ is comprised of the following subfactors and items:</p> <ul style="list-style-type: none"> <li>• Fair: Are all employees treated equitably? (Q 23, 24, 25, 37, and 38)</li> <li>• Open: Does management support diversity in all ways? (Q 32, 34, 45, and 55)</li> <li>• Cooperative: Does management encourage communication and collaboration? (Q 58 and 59)</li> <li>• Supportive: Do supervisors value employees? (Q 42, 46, 48, 49, and 50)</li> <li>• Empowering: Do employees have the resources and support needed to excel? (Q 2, 3, 11, and 30)</li> </ul> <p>The number of employees providing positive survey responses to the 20 questions divided by the total number of respondents.</p>
Data Source	Federal Employee Viewpoint Survey
Frequency	Annually
Verification and Validation	OPM’s Planning and Policy Analysis leads the survey administration and conducts extensive data analysis to verify the results. Each OPM subcomponent that receives an individual score is responsible for data analysis and action planning.
Data Limitations	The FEVS is collected annually and therefore reflects employee opinions at a single point in time. However, because the agency has gathered data over several years, it is able to identify long-term trends. While the survey is voluntary, OPM’s response rate of more than 70 percent is a statistically significant sample of the OPM employee population.

**TABLE 1.03**

<b>Performance Measure</b>	<b>Percent of employees satisfied with the opportunity to improve their skills as reported in the Employee Viewpoint Survey</b>
Definition	The number of OPM employees who registered for learning activities via OPM’s Learning Management System divided by the number of OPM employees.
Data Source	Federal Employee Viewpoint Survey
Frequency	Annually
Verification and Validation	OPM’s Planning and Policy Analysis leads the survey administration and conducts extensive data analysis to verify the results and identify any systemic data issues. Each OPM subcomponent that receives an individual score is responsible for data analysis and action planning.
Data Limitations	The FEVS is collected annually and therefore reflects employee opinions at a single point in time. However, because the agency has gathered data over several years, it is able to identify long-term trends. While the survey is voluntary, OPM’s response rate of more than 70 percent is a statistically significant sample of the OPM employee population.

## STRATEGIC GOAL 2: PROVIDE TIMELY, ACCURATE, AND RESPONSIVE SERVICE THAT ADDRESSES THE DIVERSE NEEDS OF OUR CUSTOMERS

TABLE 2.01A

Performance Measure	Percent of program offices meeting their customer satisfaction score targets
Definition	The number of program offices that meet their customer satisfactions score targets divided by the total number of program offices.
Data Source	Strategic Goal 2 team survey of each program office
Frequency	Weekly
Verification and Validation	Associate Directors and Office Heads review and validate program results in conjunction with Strategic Goal 2 team members.
Data Limitations	The data fluctuate nominally due to employee departures and moves from and within the agency. The HR data may include experts or other individuals who may not be considered "employees" in this measure.

TABLE 2.01B

Performance Measure	Percent of OPM employees who took online customer service training
Definition	The number of OPM employees who successfully completed the online customer service training course divided by the total number of OPM employees.
Data Source	OPM Learning Connection Learning Management System and an OPM HR employee report
Frequency	Weekly
Verification and Validation	Associate Directors and Office Heads review and verify program results in conjunction with Strategic Goal 2 team members.
Data Limitations	The data fluctuate nominally due to employee departures and moves from and within the agency. The HR data may include experts or other individuals who may not be considered "employees" in this measure.

TABLE 2.02A

Performance Measure	Percent of external-facing program offices measuring their customer service accuracy
Definition	The number of program offices that self-identified as serving external customers that measure accuracy of their customer service divided by the number of external-facing program offices.
Data Source	Strategic Goal 2 team survey of each program office
Frequency	Quarterly
Verification and Validation	Associate Directors and Office Heads review and verify program results in conjunction with Strategic Goal 2 team members.
Data Limitations	Program offices use inconsistent survey methodologies and questions.

**TABLE 2.02B**

<b>Performance Measure</b>	<b>Percent of external-facing program offices measuring their customer service responsiveness</b>
Definition	The number of program offices that self-identified as serving external customers that measure timeliness of their customer service divided by the number of external-facing program offices.
Data Source	Strategic Goal 2 team survey of each program office
Frequency	Quarterly
Verification and Validation	Associate Directors and Office Heads review and verify program results in conjunction with Strategic Goal 2 team members.
Data Limitations	Program offices use inconsistent survey methodologies and questions.

**TABLE 2.02C**

<b>Performance Measure</b>	<b>Percent of external-facing program offices measuring customer service timeliness</b>
Definition	The number of program offices that self-identified as serving external customers that measure timeliness of their customer service divided by the number of external-facing program offices.
Data Source	Strategic Goal 2 team survey of each program office
Frequency	Quarterly
Verification and Validation	Associate Directors and Office Heads review and verify program results in conjunction with Strategic Goal 2 team members.
Data Limitations	Program offices use inconsistent survey methodologies and questions.

**TABLE 2.03**

<b>Performance Measure</b>	<b>Percent of Strategy 2.03 milestones from the Customer Experience Strategic Plan completed</b>
Definition	The cumulative number of completed milestones in the project plan accompanying the Customer Experience Strategic Plan that correspond to Strategy 2.03 divided by the number of milestones that correspond to Strategy 2.03.
Data Source	Milestone-tracking spreadsheet
Frequency	Monthly
Verification and Validation	At least one Goal 2 team member reviews the SharePoint spreadsheet to verify the results before the Data Point of Contact provides the final data to the Data Collection Lead.
Data Limitations	There are no significant data limitations.

**TABLE 2.04**

<b>Performance Measure</b>	<b>Percent of Strategy 2.04 milestones from the Customer Experience Strategic Plan completed</b>
Definition	The cumulative number of completed milestones in the project plan accompanying the Customer Experience Strategic Plan that correspond to Strategy 2.04 divided by the number of milestones that correspond to Strategy 2.04.
Data Source	Milestone-tracking spreadsheet
Frequency	Monthly
Verification and Validation	At least one Goal 2 team member will review the SharePoint spreadsheet to verify the results before the Data Point of Contact provides the final data to the Data Collection Lead.
Data Limitations	There are no significant data limitations.

### **STRATEGIC GOAL 3: SERVE AS THE THOUGHT LEADER IN RESEARCH AND DATA-DRIVEN HUMAN RESOURCE MANAGEMENT AND POLICY DECISION-MAKING**

**TABLE 3.02A**

<b>Performance Measure</b>	<b>Percent of analysts who are satisfied with analytics software</b>
Definition	The number of analysts who indicated that they agreed or strongly agreed with the statement "I am satisfied with the analysis tools I currently have" divided by the total number of respondents.
Data Source	OPM Goal 3 Data Analysis and Analytic Tools Survey of OPM analysts
Frequency	Biennial
Verification and Validation	These are survey results, and therefore accurate as entered into the system by the individual answering the web based survey. Out of range variables are not accepted on the survey platform. Analysis is performed via Statistical Package for the Social Sciences (SPSS), a statistical package for data analysis.  Goal 3 owners review the survey questions every other year for validity and appropriateness.
Data Limitations	The time between survey administrations may not capture substantial changes in satisfaction once new and/or updated analytic tools are provided.



**TABLE 3.02B**

<b>Performance Measure</b>	<b>Percent of analysts who agree that they have all the analytic tools needed to do their jobs</b>
Definition	The number of analysts who indicated that they agreed or strongly agreed with the statement "I currently have all the analytic tools I need to get my job done" divided by the total number of respondents.
Data Source	OPM Goal 3 Data Analysis and Analytic Tools Survey
Frequency	Biennial
Verification and Validation	These are survey results, and therefore accurate as entered into the system by the individual answering the web based survey. Out of range variables are not accepted on the survey platform. Analysis is performed via SPSS, a statistical package for data analysis. Goal 3 owners review the survey questions every other year for validity and appropriateness.
Data Limitations	The time between survey administrations may not capture substantial changes in satisfaction once new and/or updated analytic tools are provided.

**TABLE 3.03**

<b>Performance Measure</b>	<b>Cumulative number of signed research agreements with academic institutions, professional associations, think tanks, or industry</b>
Definition	The number of research agreements that have been signed by both OPM and an authorized or official outside representative of an academic institution, professional association, think tank, or industry.
Data Source	SharePoint site
Frequency	Quarterly
Verification and Validation	The number of agreements is checked bi-annually by the Data Ambassadors, and both the data reviewer and the data collection lead verify the number of signed agreements.
Data Limitations	There are no significant data limitations.

**TABLE 3.04**

<b>Performance Measure</b>	<b>Number of employees (students) who completed a data analytics course</b>
Definition	The number of OPM employees who take and complete a data analytics course within the OPM Learning Connection
Data Source	OPM Learning Management System (LMS) and the Enterprise Human Resources Integration (EHRI) system
Frequency	Quarterly
Verification and Validation	On a monthly basis, the number of new user accounts is sent to the data reviewer, who then compares those numbers with the monthly and final quarterly numbers submitted by the data collection lead.
Data Limitations	<p>The results include formal training, either in-person classroom or virtual, and do not necessarily include more informal data analytics training. For example, OPM employees attended workshops, webinars, and conferences that included data analytics breakout sessions.</p> <p>The data also does not include “Just-in-Time-Learning” where individuals enter a course to find specific information on a course and then exit.</p>

#### **STRATEGIC GOAL 4: MANAGE INFORMATION TECHNOLOGY SYSTEMS EFFICIENTLY AND EFFECTIVELY IN SUPPORT OF OPM’S MISSION**

**TABLE 4.01**

<b>Performance Measure</b>	<b>Percent of Federal Human Capital Business Reference Model Functional Framework developed</b>
Definition	The number of Functional Framework items completed divided by the number of Framework items
Data Source	Project Manager
Frequency	Quarterly
Verification and Validation	The project manager manually verifies results by updating tracking sheet once framework items are developed. This is the tracking sheet provided to the data collection lead and data reviewer
Data Limitations	There are no significant data limitations.

**TABLE 4.02**

<b>Performance Measure</b>	<b>Percent of major investments with IT program managers certified in Federal Acquisition Institute Training Application System</b>
Definition	The number of major investments with level three certified project managers divided by the number of major investments.
Data Source	Federal Acquisition Institute Training Application System (FAITAS) report from OPM's Office of Procurement Operations and OCIO list of major investments
Frequency	Every four to eight weeks
Verification and Validation	OCIO's investment management team performs a manual review of the FAITAS report and compares it to the list of major investment Project Managers. Quality Assurance reviews reports to double check results.
Data Limitations	OCIO's investment Management team does not have access to run the reports from FAITAS. While this is a monthly measure, OPM does not receive reports every month. The number of major investments can change throughout the reporting period.

**TABLE 4.03A**

<b>Performance Measure</b>	<b>Percent of systems with multi-factor authentication enabled</b>
Definition	The number of OPM High Value Asset (HVA) systems with multi-factor authentication enabled divided by the number OPM HVA systems.
Data Source	OCIO FISMA system and HVA list and IT project manager reporting on systems compliance
Frequency	Quarterly
Verification and Validation	Each system implementing multi-factor authentication is required to perform system testing prior to releasing update to production, and is counted only after functionality is released into production. Data is verified with IT cyber security as well as the IT project manager for the High Value Asset system.
Data Limitations	The number of HVA systems can change as new ones can come online and some may be decommissioned.

**TABLE 4.03B**

<b>Performance Measure</b>	<b>Percent of High Value Asset (HVA) databases encrypted</b>
Definition	The average of the number of HVAs encrypted at rest divided by the number of HVA defined databases, and the number of HVAs encrypted in transit divided by the number of HVA defined databases.
Data Source	Database Encryption Dashboard created by Imperva Database Scanning
Frequency	Quarterly
Verification and Validation	OPM uses automated tools to determine encryption of databases and identify any new databases.
Data Limitations	The number of HVA databases can change.

**TABLE 4.03C**

<b>Performance Measure</b>	<b>Percent of OPM IT Systems compliant with FISMA required documentation</b>
Definition	The number of systems with an active Authority to Operate divided by the number of OPM IT systems.
Data Source	Trusted agent, the system used by IT Security and Privacy to track the date of last Authority to Operate
Frequency	Quarterly
Verification and Validation	The Information System Security Officer updates trusted agent, and the lead information technology specialist reviews the updates.
Data Limitations	There are no significant data limitations.

**TABLE 4.03D**

<b>Performance Measure</b>	<b>Percent of FISMA audit findings mitigated</b>
Definition	The number of FISMA audit findings mitigated divided by the number of FISMA audit findings since 2007.
Data Source	Office of the Chief Information Officer (OCIO) Audit Dashboard
Frequency	Quarterly
Verification and Validation	The report is reviewed at the Monthly OCIO/OIG meeting.
Data Limitations	Duplicate findings can inflate the number of open findings.

**TABLE 4.03E**

<b>Performance Measure</b>	<b>Percent of network covered by Phase Two Continuous Diagnostics and Mitigation (CDM) capabilities</b>
Definition	For each control, the number of devices covered by phase one CDM capabilities divided by the total number of devices, averaged across the two networks.
Data Source	Archer (CDM dashboard tool)
Frequency	Quarterly
Verification and Validation	OPM tracks CDM project implementation and reports to the Director of the OPM Security Operation Center. The Director of the Security Operations Center verifies information provided by the CDM project manager.
Data Limitations	The number of devices monitored by each of the CDM controls can vary as devices are added or removed from OPM's networks. The percent listed for each quarter is a snapshot in time.

**TABLE 4.03F**

<b>Performance Measure</b>	<b>Percent of OPM Business Systems migrated to new network infrastructure environment</b>
Definition	The number of OPM Business Systems migrated to the new network infrastructure environment divided by the number of OPM Business Systems.
Data Source	Manual tracking by the Enterprise Architect using the Troux Enterprise Architecture Tool
Frequency	Quarterly
Verification and Validation	The project team manually verifies that system production has been moved to the new environment. After this verification, the project team informs the enterprise architect, who then updates the Troux Enterprise Architecture Tool.
Data Limitations	This measure will not track total number of systems on the Infrastructure as a Service environment. There will be new systems that are set up in the Infrastructure as a Service environment that were never in the legacy environment.

**TABLE 4.04**

<b>Performance Measure</b>	<b>External customer satisfaction rating with OPM IT services</b>
Definition	The average of the customer satisfaction ratings for USAJOBS and eOPF.
Data Source	Monthly USAJOBS survey results and Quarterly eOPF customer satisfaction results
Frequency	Quarterly
Verification and Validation	The Associate CIO reviews automated reports.
Data Limitations	This measure is currently limited to results from surveys for two systems. There are many more systems at OPM, but the agency currently does not have the ability to collect customer satisfaction data for them. Throughout FY 2016, OPM worked to define methods to track customer satisfaction for additional systems. As methods are implemented, the satisfaction ratings will be added to the aggregate score. Further, the survey respondents are a sample of customers. All samples are subject to multiple sources of error, including but not limited to sampling error, coverage error, and measurement error.

## STRATEGIC GOAL 5: ESTABLISH AND MAINTAIN RESPONSIVE, TRANSPARENT BUDGETING AND COSTING PROCESSES

TABLE 5.02A

Performance Measure	Percent of stakeholders who agree that OPM's budget processes are transparent
Definition	The number of survey respondents who identified as budget users who agreed or strongly agreed that OPM's budget processes and activities are transparent divided by the number of survey respondents who identified as budget users.
Data Source	Strategic Goal 5 Transparent and Responsive Budgets: Customer Satisfaction Survey
Frequency	Annually
Verification and Validation	<p>As part of the verification process, responses to the survey item were checked for appropriate and accurate coding (for example, there were no out of range responses and responses corresponded with survey skip patterns). Double-checking the coding of each survey item enhanced data quality by ensuring the data file was as accurate, complete, and reliable as possible.</p> <p>Prior to administration, a survey link was emailed to employees in the Office of the Chief Financial Officer (who had the option to share the link with others) to serve as a pilot of the survey items. These "testers" were asked to provide feedback about the survey aesthetics as well as the item wording. Regarding the wording, testers were asked to comment on whether each item measured what it was intended to measure—that is, did the question capture the needed information? Was the question clearly worded? Was the question understandable? Based upon the feedback, edits to several survey items were made and the revised survey measures were used. These efforts were taken to enhance the face validity of the survey items and reduce measurement error.</p>
Data Limitations	<p>Data and results were based upon the responses from those who voluntarily completed the survey and who self-identified as performing budget-related activities. These responses provide an accurate portrayal of their perceptions and experiences regarding the information received about the Agency's budget processes, activities, and tools. However, the number of actual budget users is currently unknown. Thus, it is likely that the voluntary nature of the survey and self-identification as a budget user underestimate the actual number of users.</p> <p>All samples are subject to multiple sources of error, including but not limited to sampling error, coverage error, and measurement error. While these types of errors cannot be totally eliminated from survey research, efforts were taken to diminish the potential impact of these errors for this survey. To minimize sampling error and coverage error, a complete and updated list of employees was obtained from the Office of the Chief Financial Officer. To reduce coverage error and improve response rates, multiple email reminders were sent and the time to take the survey was extended by one week. Lastly, the survey items were pilot tested to minimize measurement error. Despite these potential limitations, the data is sufficiently accurate, valid, and reliable for the purpose of exploring whether OPM's budget processes are transparent and responsive to users.</p>

**TABLE 5.02B**

Performance Measure	Percent of stakeholders who agree that OPM’s budget processes and activities are responsive to their needs
Definition	The number of survey respondents who identified as budget users who agreed or strongly agreed that OPM’s budget processes and activities are responsive to their needs divided by the number of survey respondents who identified as budget users.
Data Source	Strategic Goal 5 Transparent and Responsive Budgets: Customer Satisfaction Survey
Frequency	Annually
Verification and Validation	<p>As part of the verification process, responses to the survey item were checked for appropriate and accurate coding (for example, there were no out of range responses and responses corresponded with survey skip patterns). Double-checking the coding of each survey item enhanced data quality by ensuring the data file was as accurate, complete, and reliable as possible.</p> <p>Prior to administration, a survey link was emailed to employees in the Office of the Chief Financial Officer (who had the option to share the link with others) to serve as a pilot of the survey items. These “testers” were asked to provide feedback about the survey aesthetics as well as the item wording. Regarding the wording, testers were asked to comment on whether each item measured what it was intended to measure—that is, did the question capture the needed information? Was the question clearly worded? Was the question understandable? Based upon the feedback provided, edits to several survey items were made and the revised survey measures were used. These efforts were taken to enhance the face validity of the survey items and reduce measurement error.</p>
Data Limitations	<p>Data and results were based upon the responses from those who voluntarily completed the survey and who self-identified as performing budget-related activities. These responses provide an accurate portrayal of their perceptions and experiences regarding the information received about the Agency’s budget processes, activities, and tools. However, the number of actual budget users is currently unknown. Thus, it is likely that the voluntary nature of the survey and self-identification as a budget user underestimate the actual number of users.</p> <p>All samples are subject to multiple sources of error, including but not limited to sampling error, coverage error, and measurement error. While these types of errors cannot be totally eliminated from survey research, efforts were taken to diminish the potential impact of these errors for this survey. To minimize sampling error and coverage error, a complete and updated list of employees was obtained from the Office of the Chief Financial Officer. To reduce coverage error and improve response rates, multiple email reminders were sent and the time to take the survey was extended by one week. Lastly, the survey items were pilot tested to minimize measurement error. Despite these potential limitations, the data is sufficiently accurate, valid, and reliable for the purpose of exploring whether OPM’s budget processes are transparent and responsive to users.</p>

**TABLE 5.03**

Performance Measure	Percent of stakeholders who agree that information about OPM’s budget processes, activities, and tools is communicated to users
Definition	The number of survey respondents who identified as budget users who agreed or strongly agreed that information about OPM’s budget processes, activities, and tools is communicated to users divided by the number of survey respondents who identified as budget users.
Data Source	Strategic Goal 5 Transparent and Responsive Budgets: Customer Satisfaction Survey
Frequency	Annually
Verification and Validation	<p>As part of the verification process, responses to the survey item were checked for appropriate and accurate coding (for example, there were no out of range responses and responses corresponded with survey skip patterns). Double-checking the coding of each survey item enhanced data quality by ensuring the data file was as accurate, complete, and reliable as possible.</p> <p>Prior to administration, a survey link was emailed to employees in the Office of the Chief Financial Officer (who had the option to share the link with others) to serve as a pilot of the survey items. These “testers” were asked to provide feedback about the survey aesthetics as well as the item wording. Regarding the wording, testers were asked to comment on whether each item measured what it was intended to measure—that is, did the question capture the needed information? Was the question clearly worded? Was the question understandable? Based upon the feedback provided, edits to several survey items were made and the revised survey measures were used. These efforts were taken to enhance the face validity of the survey items and reduce measurement error.</p>
Data Limitations	<p>Data and results were based upon the responses from those who voluntarily completed the survey and who self-identified as performing budget-related activities. These responses provide an accurate portrayal of their perceptions and experiences regarding the information received about the Agency’s budget processes, activities, and tools. However, the number of actual budget users is currently unknown. Thus, it is likely that the voluntary nature of the survey and self-identification as a budget user underestimate the actual number of users.</p> <p>All samples are subject to multiple sources of error, including but not limited to sampling error, coverage error, and measurement error. While these types of errors cannot be totally eliminated from survey research, efforts were taken to diminish the potential impact of these errors for this survey. To minimize sampling error and coverage error, a complete and updated list of employees was obtained from the Office of the Chief Financial Officer. To reduce coverage error and improve response rates, multiple email reminders were sent and the time to take the survey was extended by one week. Lastly, the survey items were pilot tested to minimize measurement error. Despite these potential limitations, the data is sufficiently accurate, valid, and reliable for the purpose of exploring whether OPM’s budget processes are transparent and responsive to users.</p>



**TABLE 5.04**

<b>Performance Measure</b>	<b>Revolving Fund net income (three year rolling average)</b>
Definition	<p>Net income represents the amount of money remaining after all operating expenses, interest, taxes, and preferred stock dividends (but not common stock dividends) have been deducted from an organization's total revenue.</p> <p>Net income can also be referred to as the bottom line, net profit or net earnings. The net income formula is calculated by subtracting total expenses United States Standard General Ledger series 6000 from total revenues (United States Standard General Ledger series 5000).</p>
Data Source	Monthly Revolving Fund Financial Statements and the financial system's (Consolidated Business Information System) General Ledger Module
Frequency	Monthly
Verification and Validation	OPM accountants and specialists review the financial system general ledger data for compliance with Federal accounting guidelines and regulations. In addition the financials are reviewed by the designated program office personnel to verify the data (including adjustments or errors) in the financial system reconciles to their records.
Data Limitations	The data is limited to the configurations of the financial systems and is subject to potential transactional errors made by data entry personnel.

**STRATEGIC GOAL 6: PROVIDE LEADERSHIP IN HELPING AGENCIES CREATE INCLUSIVE WORK ENVIRONMENTS WHERE A DIVERSE FEDERAL WORKFORCE IS FULLY ENGAGED AND ENERGIZED TO PUT FORTH ITS BEST EFFORT, ACHIEVE THEIR AGENCY’S MISSION, AND REMAIN COMMITTED TO PUBLIC SERVICE**

**TABLE 6.01A**

<b>Performance Measure</b>	<b>Percent of components of CHCO organizations that increased “leaders lead” scores</b>
Definition	<p>The percent of components of CHCO organizations that increased Leaders Lead scores, which reflect employees’ perceptions of the integrity of leadership, as well as leadership behaviors such as communication and workforce motivation. The scores are made up of the following FEVS items:</p> <ul style="list-style-type: none"> <li>• In my organization, senior leaders generate high levels of motivation and commitment in the workforce. (Q 53)</li> <li>• My organization’s senior leaders maintain high standards of honesty and integrity. (Q 54)</li> <li>• Managers communicate the goals and priorities of the organization. (Q 56)</li> <li>• Overall, how good a job do you feel is being done by the manager directly above your immediate supervisor? (Q 60)</li> <li>• I have a high level of respect for my organization’s senior leaders. (Q 61)</li> </ul> <p>The number of components of CHCO organizations with scores rounded to the nearest number that increased at least one percentage point is divided by the total number of CHCO agency sub-components, which includes the selected components of the CHCO agencies that were identified in accordance with the 2014 joint OPM-OMB memorandum to agency heads on strengthening employee engagement and organizational performance (OMB-M-15-04).</p>
Data Source	Federal Employee Viewpoint Survey
Frequency	Annually
Verification and Validation	<p>Survey data is verified through 11 separate data processing steps, including electronic and manual data quality controls. Once the FEVS data are uploaded to the dashboard, analysts conduct systematic data checks against 20 percent of the agencies (across large, medium, and small agencies). Each OPM subcomponent that receives an individual score is responsible for data analysis and action planning. While the survey is voluntary, OPM’s response rate of more than 70 percent has resulted in a statistically significant sample of the OPM employee population.</p> <p>OPM’s Planning and Policy Analysis leads the survey administration and conducts extensive data analysis to verify the validity of this index.</p>
Data Limitations	All samples are subject to multiple sources of error, including, but not limited to sampling error, coverage area, and measurement error.

**TABLE 6.01B**

<b>Performance Measure</b>	<b>Number of participants who achieve mastery of competencies upon completion of the manager or executive level LEAD certificate program</b>
Definition	<p>The number of participants who are pursuing a Leadership Education and Development (LEAD) Certificate at the Manager and Executive levels who achieve mastery of the competencies addressed by the five courses in the program (Project/Team lead, Supervisor, Manager, Executive and Professional).</p> <p>LEAD Certificates are pursued over a three-year period. Students take five courses: Core Development, Assessment, Policy Awareness, and two Skill Immersion courses.</p>
Data Source	Center for Leadership Development Central, a web portal
Frequency	Quarterly
Verification and Validation	<p>OPM reviews and scrubs the data after downloading it into Center for Leadership Development Central, eliminating duplicates and rectifying obvious errors.</p> <p>OPM set up fields in the registration form to capture data for the courses that count towards a LEAD Certificate. There is a customer service representative per group of agencies to validate the data.</p>
Data Limitations	LEAD can be a self-paced program over three years, so some customers do not self-identify until they are ready to complete their capstone papers, which is the final step in the process before receiving their certificates. This may reduce the accuracy of the report by under-reporting the number of LEAD Certificate Program participants.

**TABLE 6.01C**

<b>Performance Measure</b>	<b>Number of CHCO Act agencies using Manager and Executive level certificate programs</b>
Definition	The number of Chief Human Capital Officers(CHCO) Act agencies with participants, who self-identify as pursuing a Leadership Education and Development (LEAD) Certificate at the Manager and Executive levels by selecting the LEAD level for Manager/Executive level course when they register.
Data Source	Registration records in the Center for Leadership Development Central, a web portal.
Frequency	Quarterly
Verification and Validation	<p>OPM reviews and scrubs the data after downloading it into Center for Leadership Development Central, eliminating duplicates and rectifying obvious errors.</p> <p>OPM set up fields in the registration form to capture data for the courses that count towards a LEAD Certificate. There is a customer service representative per group of agencies to validate the data.</p>
Data Limitations	LEAD can be a self-paced program over three years, so some customers do not self-identify until they are ready to complete their capstone papers, which is the final step in the process before receiving their certificates. This may reduce the accuracy of the report by under-reporting the number of LEAD Certificate Program participants.

**TABLE 6.03A**

<b>Performance Measure</b>	<b>Percent of CHCO Act Agency component-level reports that have been accessed on the Federal Employee Viewpoint Survey Online Reporting and Analysis Tool</b>
Definition	The number of CHCO Act agency component reports that have been accessed on OPM's web-based capability developed to enable agencies to run online analyses and display various types of reports in real time divided by the number of CHCO Act agencies.
Data Source	Online Reporting and Analysis Tool usage reports
Frequency	Annually
Verification and Validation	The Online Reporting & Analysis tool automatically produces a report of the agencies that access the tool.
Data Limitations	This is a proxy measure of agency data dissemination and distribution of reports to all executives, supervisors/managers.

**TABLE 6.03B**

<b>Performance Measure</b>	<b>Percent of CHCO Act Agency component-level reports that have been accessed on the Federal Employee Viewpoint Survey Online Reporting and Analysis Tool</b>
Definition	The number of CHCO Act agency component reports that have been accessed on OPM's web-based capability developed to enable agencies to run online analyses and display various types of reports in real time divided by the number of CHCO Act agencies.
Data Source	Online Reporting and Analysis Tool usage reports
Frequency	Annually
Verification and Validation	The Online Reporting & Analysis tool automatically produces a report of the agencies that access the tool.
Data Limitations	This is a proxy measure of agency data dissemination and distribution of reports to all executives, supervisors/managers.

**TABLE 6.03C**

<b>Performance Measure</b>	<b>Percent of users satisfied with Unlocktalent.gov</b>
Definition	The number of survey respondents who indicated that they were satisfied or very satisfied divided by the total number of survey respondents.
Data Source	Vovici survey software
Frequency	Quarterly
Verification and Validation	Planning and Policy Analysis conducts industry standard survey data processes and analysis for data verification.
Data Limitations	This is a self-report satisfaction survey. All samples are subject to multiple sources of error, including, but not limited to sampling error, coverage area, and measurement error.

**TABLE 6.05A**

<b>Performance Measure</b>	<b>Percent of non-seasonal, full-time permanent employees onboard in the Federal Government with targeted disabilities</b>
Definition	The number of non-seasonal, full-time permanent Federal employees with disabilities targeted for emphasis in affirmative action planning divided by the number of non-seasonal, full-time permanent Federal employees. The targeted disabilities are: deafness, blindness, missing extremities, partial paralysis, complete paralysis, convulsive disorders, mental retardation, mental illness, and genetic or physical condition affecting limbs and/or spine. Although the list of targeted disabilities is meant to include those who are most likely to suffer job discrimination, the Equal Employment Opportunity Commission recognizes that some disabilities that are not targeted are nevertheless just as severe as or more severe than some of the targeted disabilities.
Data Source	OPM's EHRI database, which contains a variety of workforce demographic information
Frequency	Annually
Verification and Validation	Data is verified by Federal agencies. Further, OPM analyzes the trend data to reduce risk of significant errors.
Data Limitations	OPM is able to draw inferences from only those applicants who volunteer to provide disability data. The agency is aware of the limitations due to the voluntary nature of the data, but based on OPM's analyses, the agency believes the data are sufficiently accurate for its purposes.

**TABLE 6.05C**

<b>Performance Measure</b>	<b>Percent of USAJOBS hiring actions for which managers and/or Human Resources Government-wide reviewed applicant flow data</b>
Definition	The number of Government-wide hiring actions made through USA Staffing® after applicant flow data have been reviewed by either HR or hiring managers to help optimize recruitment for future hiring actions divided by the number of hiring actions.
Data Source	USA Staffing® the system used by OPM to manage its hiring process
Frequency	Annually
Verification and Validation	OPM reviews the underlying data for any anomalies.
Data Limitations	The data reported only includes hiring actions made by USA Staffing® customers. Further, OPM is able to draw inferences from only those applicants who volunteer to provide applicant flow data. The agency is aware of the limitations due to the voluntary nature of the data, but based on OPM's analyses, the agency believes the data is sufficiently accurate for its purposes. This only includes hiring actions made by USA Staffing customers. Sufficient data on applicant flow data access from service providers other than USA Staffing does not currently exist.

## STRATEGIC GOAL 7: ENSURE THAT FEDERAL RETIREES RECEIVE TIMELY, APPROPRIATE, TRANSPARENT, SEAMLESS, AND ACCURATE RETIREMENT BENEFITS

TABLE 7.01

Performance Measure	Relative ratio of complete retirement submissions versus incomplete cases
Definition	The number of complete packages divided by the total number of packages as determined by an audit of agency submissions.
Data Source	Agency Audit Tracking System
Frequency	Monthly
Verification and Validation	Benefits officers verify results in the monthly posted reporting and provide corrections if the data is not accurate. OPM's Benefits Officer Training and Development and the Management Information Branch review the data for anomalies. Current data is also compared with historical trends as applicable
Data Limitations	There are no significant data limitations.

TABLE 7.02A

Performance Measure	Percent of benefits officers trained per year
Definition	The number of benefits officers responding to an email survey who indicate that they received training divided by total number of responses to the surveys.
Data Source	Email-based survey
Frequency	Annually
Verification and Validation	Retirement Services Benefits Officers Training and Development and the Management Information Branch review the data for anomalies. Current data is also compared with historical trends as applicable.
Data Limitations	The list of employees doing benefits work may not reflect the entire universe of benefits officers.

TABLE 7.02B

Performance Measure	Overall customer satisfaction with guidance material, webinars, virtual conference, live conference, and training
Definition	The number of survey recipients that responded that they were "satisfied" or "very satisfied" with guidance material, webinars, virtual conference, live conference, and training divided by the number of survey respondents.
Data Source	Benefits Officers Training and Development Annual Survey
Frequency	Annually
Verification and Validation	Retirement Services Benefits Officers Training and Development and the Management Information Branch review the data for anomalies, comparing current data with historical trends as applicable.
Data Limitations	There are no significant data limitations.

**TABLE 7.03A**

<b>Performance Measure</b>	<b>Average unit cost (direct labor only) for processing retirement claims</b>
Definition	The dollar value of the number of labor hours worked to process retirement claims divided by the number of claims processed (includes annuitant, survivor, and refunds and deposits claims).
Data Source	Employee Time & Attendance Management System (labor hours) and the Annuity Roll Processing System (claims processed)
Frequency	Quarterly
Verification and Validation	Data is tested to assess its accuracy. These tests include comparing data for a given fiscal year to similar data collected for previous years and researching any anomalies that are observed, and comparing data with similar information collected from other sources. Quality and management-control devices are built into these data collection mechanisms to promote accuracy and reliability.
Data Limitations	There are no significant data limitations.

**TABLE 7.03B**

<b>Performance Measure</b>	<b>Percent of retirement and survivor claims processed accurately</b>
Definition	The number of CSRS and FERS annuity claims reviewed by OPM and found to have no errors divided by the number of claims reviewed by OPM.
Data Source	Annuity Roll Processing System
Frequency	Monthly
Verification and Validation	OPM's independent auditor reviews data samples and cases.  OPM conducts data matches to verify that populations being sampled are valid representations of the universe of cases adjudicated during the timeframe being reviewed. Claims processing accuracy is based on statistically valid samples of retirement claims calculations. Appropriate statistical analysis methods are used to identify the appropriate customer populations and select samples to ensure a 95 percent confidence interval and a +/- 5 percent margin of error. Samples are determined by an automated computer program that ensures absolute randomness in the selection criteria.
Data Limitations	There is a two month lag due to data processing.

**TABLE 7.03C**

<b>Performance Measure</b>	<b>Percent of retirement claims processed within 60 days</b>
Definition	The number of pending claims processed within 60 days divided by the number of claims processed.
Data Source	Annuity Roll Processing System
Frequency	Monthly
Verification and Validation	Data collection and reporting procedures are reviewed, and data is tested to assess its accuracy. These tests include comparing data for a given fiscal year to similar data collected for previous years and researching any anomalies that are observed and comparing data with similar information collected from other sources. Quality and management-control devices are built into these data collection mechanisms to promote accuracy and reliability.
Data Limitations	There are no significant data limitations.

**TABLE 7.03D**

<b>Performance Measure</b>	<b>Percent of customers satisfied with overall retirement services</b>
Definition	The number of annuitants (retiree and survivor) who indicated that they were “very satisfied” or “satisfied” with overall retirement program services in response to a survey divided by the number of respondents.
Data Source	Retirement Services Customer Satisfaction Survey
Frequency	Annually
Verification and Validation	To promote completeness and accuracy, Retirement Services/Quality Assurance conducts a random audit of the survey responses.  Retirement Services ensures that sufficient surveys are collected for a valid sample size.
Data Limitations	The sample does not include those with pending claims that may be in interim pay.

**TABLE 7.03E**

<b>Performance Measure</b>	<b>Rate of improper payments in the retirement program</b>
Definition	The number of payments made that should not have been, or that were in an incorrect amount under statutory, contract, administrative, or other legally applicable requirements divided by the number of payments made. Improper payments can be both overpayments and underpayments.
Data Source	US Treasury report (overpayment information) and Retirement Services Quality Assurance reports (underpayment information)
Frequency	Annually
Verification and Validation	OPM reviews retirement and survivor cases for both the Civil Service Retirement System and Federal Employees Retirement System using both statistically valid samples across each month of the fiscal year.
Data Limitations	There are no significant data limitations.

**TABLE 7.03F**

<b>Performance Measure</b>	<b>Percent of retirement program customer calls handled</b>
Definition	The number of retirement program customer calls answered divided by the number of calls.
Data Source	OPM’s ORION tracking system
Frequency	Monthly
Verification and Validation	Data is tested to assess its accuracy. These tests include comparing data for a given reporting period with similar date ranges in a previous fiscal year and researching any anomalies that are observed. Quality and management control devices are in place to promote accuracy and reliability.
Data Limitations	There are no significant data limitations.



## STRATEGIC GOAL 8: ENHANCE THE INTEGRITY OF THE FEDERAL WORKFORCE

TABLE 8.01A

Performance Measure	Percent of investigations determined to be quality complete
Definition	The number of investigations closed that meet Federal investigation standards divided by the number of investigations closed.
Data Source	Quality Assessment Tool, Quality Hotline, Quality Reopen database, and Personnel Investigations Processing System (PIPS)
Frequency	Quarterly
Verification and Validation	The performance reports were developed specifically to track this measure and were tested extensively by OPM for accuracy at that time. Further, the National Background Investigations Bureau (NBIB) works with the Operations Support Group to promote the accuracy of information.
Data Limitations	The data collected from PIPS captures a point in time. Data may change in subsequent collections for the same period because the system is constantly being updated (for example, with investigation reopens and closings).

TABLE 8.01B

Performance Measure	Average number of days to complete the fastest 90 percent of all initial national security investigations
Definition	<p>The average number of days to complete the investigation portion of the security clearance process, from the day a complete investigation package (with all required forms, such as background questionnaire, authorization forms, and fingerprints) is received by the National Background Investigations Bureau (NBIB) to either 1) the day NBIB mails the hard copy investigation report to the customer agency or 2) the day that NBIB receives the customer agency receipt if NBIB transmitted the investigation report electronically.</p> <p>The number of days to complete the fastest 90 percent of investigations divided by the number of investigations in the fastest 90 percent.</p>
Data Source	Personnel Investigations Processing System (PIPS)
Frequency	Quarterly
Verification and Validation	<p>The performance reports, which were developed specifically to track this measure, were tested extensively by NBIB Federal staff for accuracy at that time. NBIB Federal staff transcribes the data directly from this report, and the data is not manipulated in any way.</p> <p>OPM has used PIPS since 1984 and it has gone through repeated and continual testing to ensure the data is free from systematic error. Data is collected based on specific criteria that eliminate bias and manipulation of the data.</p>
Data Limitations	The data collected from PIPS captures a point in time. Data may change in subsequent collections for the same period because the system is constantly being updated (for example, with investigation reopens and closings).

**TABLE 8.01C**

<b>Performance Measure</b>	<b>Average number of days to complete the fastest 90 percent of initial Secret national security investigations</b>
Definition	<p>The average number of days to complete the investigation portion of the Secret security clearance process, from the day a complete investigation package (with all required forms, such as background questionnaire, authorization forms, and fingerprints) is received by the NBIB to either 1) the day NBIB mails the hard copy investigation report to the customer agency or 2) the day that NBIB receives the customer agency receipt if NBIB transmitted the investigation report electronically.</p> <p>The number of days to complete the fastest 90 percent of investigations divided by the number of investigations in the fastest 90 percent.</p>
Data Source	Personnel Investigations Processing System (PIPS)
Frequency	Quarterly
Verification and Validation	The performance reports, which were developed specifically to track this measure, were tested extensively by NBIB Federal staff for accuracy at that time. NBIB Federal staff transcribes the data directly from this report, and the data is not manipulated in any way. OPM has used PIPS since 1984 and it has gone through repeated and continual testing to ensure the data is free from systematic error. Data is collected based on specific criteria that eliminate bias and manipulation of the data.
Data Limitations	The data collected from PIPS captures a point in time. Data may change in subsequent collections for the same period because the system is constantly being updated (for example, with investigation reopens and closings).

**TABLE 8.01D**

<b>Performance Measure</b>	<b>Average number of days to complete the fastest 90 percent of initial Top Secret national security investigations</b>
Definition	<p>The average number of days to complete the investigation portion of the security clearance process begins the day a complete investigation package is received by NBIB and ends either 1) on the day NBIB mails the hard copy investigation report to the customer agency or 2) on the day that NBIB receives the customer agency receipt if NBIB transmitted the investigation report electronically.</p> <p>The number of days to complete the fastest 90 percent of investigations divided by the number of investigations in the fastest 90 percent.</p>
Data Source	Personnel Investigations Processing System (PIPS)
Frequency	Quarterly
Verification and Validation	The performance reports, which were developed specifically to track this measure, were tested extensively by NBIB Federal staff for accuracy at that time. NBIB Federal staff transcribes the data directly from this report, and the data is not manipulated in any way. OPM has used PIPS since 1984 and it has gone through repeated and continually testing to ensure the data is free from systematic error. Data is collected based on specific criteria that eliminate bias and manipulation of the data.
Data Limitations	The data collected from PIPS captures a point in time. Data may change in subsequent collections for the same period because the system is constantly being updated (for example, with investigation reopens and closings).

**STRATEGIC GOAL 9: PROVIDE HIGH QUALITY HEALTH BENEFITS AND IMPROVE THE HEALTH STATUS OF FEDERAL EMPLOYEES, FEDERAL RETIREES, THEIR FAMILIES, AND POPULATIONS NEWLY ELIGIBLE FOR OPM-SPONSORED HEALTH INSURANCE PRODUCTS**

**TABLE 9.01A**

<b>Performance Measure</b>	<b>Number of tribes, tribal organizations or urban Indian organizations participating in the Federal Employees Health Benefits (FEHB) Program</b>
Definition	The number of tribes, tribal organizations and urban Indian organizations who elect FEHB coverage as a result of an Affordable Care Act provision.
Data Source	Healthcare and Insurance Tribal Desk spreadsheet
Frequency	Monthly
Verification and Validation	The Healthcare and Insurance Tribal Desk cross-checks its count with the individual files for each actively participating tribal employer.
Data Limitations	There are no significant data limitations.

**TABLE 9.01B**

<b>Performance Measure</b>	<b>Number of tribal employees enrolled in the Federal Employees Health Benefits (FEHB) Program</b>
Definition	The number of tribal employees receiving FEHB coverage for the calendar year.
Data Source	National Finance Center's Tribal Insurance Processing System
Frequency	Monthly
Verification and Validation	The National Finance Center runs two monthly reports to determine the current number of active enrollees, and verifies the number by using the monthly billing report to cross-check the total number of enrollees billed.
Data Limitations	There are no significant data limitations.

**TABLE 9.01C**

<b>Performance Measure</b>	<b>Percent of Federal Employees Health Benefits Program (FEHBP) enrollees satisfied</b>
Definition	The number of FEHB enrollees surveyed who indicated that they were somewhat satisfied or very satisfied with their FEHB plan divided by the total number of FEHB enrollees surveyed.
Data Source	National Committee for Quality Assurance (NCQA); Healthcare Effectiveness Data and Information Set (HEDIS); Consumer Assessment of Healthcare Providers and Systems (CAHPS)
Frequency	Annually
Verification and Validation	OPM reviews apparent anomalies in results and consults with the NCQA when required. This leads to increased understanding of the results for the agency. OPM believes that the NCQA is exceedingly aware of the importance of the veracity and the credibility of its data since it is used nationwide by hundreds of health plans to monitor and improve services. This sensitivity extends to NCQA's internal application of expert statistical methodology as well as to the use of professional external audits of NCQA's findings, which precede the issuance of results each year. NCQA is a leading healthcare measures steward, and develops, tests, and evaluates measures for error or bias, updating measure specifications annually. OPM instructs plans to follow these specifications (available at Agency for Healthcare Research and Quality National Quality Measures Clearinghouse). NCQA-certified auditors then validate data submissions before they are submitted to NCQA. This includes both the measure results and the data used to develop the benchmarks in Quality Compass.
Data Limitations	Due to the data reporting, verification, and validation process, the measure results reported to OPM are based on prior-year experience of the population.

**TABLE 9.02**

<b>Performance Measure</b>	<b>Percent of plans with all-cause readmission to hospital within 30 days of inpatient hospital stay above the national commercial 50<sup>th</sup> percentile</b>
Definition	The number of FEHB plans in which plan member respondents are admitted to the hospital within 30 days of an acute inpatient discharge from the hospital divided by the number of FEHB plans.
Data Source	National Committee for Quality Assurance (NCQA); Healthcare Effectiveness Data and Information Set (HEDIS); Consumer Assessment of Healthcare Providers and Systems (CAHPS). The Quality Compass is the nation's leading database of comparable information on clinical performance and patient experience for 415 commercial health plan products serving 94 million enrollees. The Quality Compass contains information drawn from audited data reported to NCQA through HEDIS as well as CAHPS.
Frequency	Annually
Verification and Validation	NCQA-certified HEDIS auditors verify data before submission to NCQA. This includes measure results for the purposes of individual plan reporting, which is aggregated by NCQA to develop the benchmarks in Quality Compass.  NCQA is a leading healthcare measures steward, and develops, tests, and evaluates measures for error or bias, updating measure specifications annually. OPM instructs plans to follow these specifications (available at Agency for Healthcare Research and Quality National Quality Measures Clearinghouse). NCQA-certified HEDIS auditors then validate data submissions before they are submitted to NCQA. This includes both the measure results and the data used to develop the benchmarks in Quality Compass.
Data Limitations	Due to the data reporting, verification, and validation process, the measure results reported to OPM are based on prior-year experience of the population.

**TABLE 9.03A**

<b>Performance Measure</b>	<b>Percent of adults receiving flu shots based on Consumer Assessment of Healthcare Providers and Systems (CAHPS) Effective Care</b>
Definition	The number of FEHB enrollees surveyed who reported receiving a flu shot during the past year as calculated using the Consumer Assessment of Healthcare Providers and Systems care methodology divided by the number of adults surveyed.
Data Source	OPM is a “subscriber” to the National Committee for Quality Assurance (NCQA); Healthcare Effectiveness Data and Information Set (HEDIS); Consumer Assessment of Healthcare Providers and Systems (CAHPS) services.
Frequency	Annually
Verification and Validation	NCQA-certified HEDIS auditors verify data before submission to NCQA. This includes measure results for the purposes of individual plan reporting, which is aggregated by NCQA to develop the benchmarks in Quality Compass. NCQA is a leading healthcare measures steward, and develops, tests, and evaluates measures for error or bias, updating measure specifications annually. OPM instructs plans to follow these specifications (available at Agency for Healthcare Research and Quality National Quality Measures Clearinghouse). NCQA-certified HEDIS auditors then validate data submissions before they are submitted to NCQA. This includes both the measure results and the data used to develop the benchmarks in Quality Compass.
Data Limitations	Due to the data reporting, verification, and validation process, the measure results reported to OPM are based on prior-year experience of the population.

**TABLE 9.03B**

<b>Performance Measure</b>	<b>Percent of plans with timely prenatal care above the national commercial 50<sup>th</sup> percentile</b>
Definition	The number of FEHB plans in which plan member respondents experiencing live birth deliveries received a prenatal care visit as a member of the FEHB plan in the first trimester or within 42 days of enrollment in the organization, divided by the number of FEHB plans. The results include only visits that occur while the member was enrolled, women who delivered a live birth on or between November 6 of the year prior to the measurement year and November 5 of the measurement year.
Data Source	National Committee for Quality Assurance (NCQA); Healthcare Effectiveness Data and Information Set (HEDIS); Consumer Assessment of Healthcare Providers and Systems (CAHPS)
Frequency	Annually
Verification and Validation	NCQA is leading healthcare measures steward, and OPM instructs plans to follow their specifications (available at Agency for Healthcare Research and Quality National Quality Measures Clearinghouse). Committee-certified Healthcare Effectiveness Data and Information Set auditors then verify data submissions before they are submitted to the Committee. This includes the measure results for the purposes of individual plan reporting, which is aggregated by NCQA to develop the benchmarks in Quality Compass. NCQA is leading healthcare measures steward, and develops, tests, and evaluates measures for error or bias, updating measure specifications Annually. OPM instructs plans to follow these specifications (available at Agency for Healthcare Research and Quality National Quality Measures Clearinghouse).
Data Limitations	Due to the data reporting, verification, and validation process, the measure results reported to OPM are based on prior-year experience of the population. Not all FEHB Carriers reported this measure result in 2014 due to insufficient numbers of pregnancies to follow the measure specification.

**TABLE 9.03C**

<b>Performance Measure</b>	<b>Percent of plans controlling blood pressure above the national commercial 50<sup>th</sup> percentile</b>
Definition	The number of FEHB plans in which plan member respondents controlled blood pressure above the national commercial 50 <sup>th</sup> percentile divided by the number of FEHB plans.
Data Source	National Committee for Quality Assurance (NCQA); Healthcare Effectiveness Data and Information Set (HEDIS); Consumer Assessment of Healthcare Providers and Systems (CAHPS) services.  The Quality Compass is the nation's leading database of comparable information on clinical performance and patient experience for 415 commercial health plan products serving 94 million enrollees. The Quality Compass contains information drawn from audited data reported to NCQA through HEDIS as well as CAHPS.
Frequency	Annually
Verification and Validation	NCQA-certified HEDIS auditors verify data before submission to NCQA. This includes measure results for the purposes of individual plan reporting, which is aggregated by NCQA to develop the benchmarks in Quality Compass.  NCQA is a leading healthcare measures steward, and develops, tests, and evaluates measures for error or bias, updating measure specifications annually. OPM instructs plans to follow these specifications (available at Agency for Healthcare Research and Quality National Quality Measures Clearinghouse).
Data Limitations	Due to the data reporting, verification, and validation process, the measure results reported to OPM are based on prior-year experience of the population.

**TABLE 9.04**

<b>Performance Measure</b>	<b>Percent of employees aware of Federal Employees Health Benefit (FEHB) tobacco cessation benefit</b>
Definition	The number of employees who reported being aware of the availability of tobacco cessation programs offered by the FEHB divided by the number of employees.
Data Source	Federal Employee Benefits Survey
Frequency	Bi-Annually
Verification and Validation	NCQA is leading healthcare measures steward, and OPM instructs plans to follow their specifications (available at the Agency for Healthcare Research and Quality National Quality Measures Clearinghouse). Committee-certified Healthcare Effectiveness Data and Information Set (HEDIS) auditors then verify data submissions before they are submitted to the Committee. This includes the measure results for the purposes of individual plan reporting, which is aggregated by NCQA to develop the benchmarks in Quality Compass.  NCQA is leading healthcare measures steward, and develops, tests, and evaluates measures for error or bias, updating measure specifications annually. OPM instructs plans to follow these specifications (available at Agency for Healthcare Research and Quality National Quality Measures Clearinghouse).
Data Limitations	Data is self-reported, infrequently collected, and based upon a sample.

**STRATEGIC GOAL 10: INCREASE THE EFFICIENCY AND EFFECTIVENESS OF HUMAN CAPITAL MANAGEMENT ACROSS THE FEDERAL GOVERNMENT BY PROVIDING PROCEDURES AND SERVICES THAT INCREASE ACCOUNTABILITY, AND PROVIDE GREATER ORGANIZATIONAL AND MANAGEMENT FLEXIBILITY**

**TABLE 10.01A**

<b>Performance Measure</b>	<b>Number of “hallway” users</b>
Definition	The number of new users who access the “hallway” to obtain information about how to purchase human capital goods and services.
Data Source	GSA Common Acquisition Platform (CAP) team. They manage the “hallway”.
Frequency	Monthly
Verification and Validation	OPM verifies the data in conjunction with GSA.
Data Limitations	There are no significant data limitations.

**TABLE 10.01B**

<b>Performance Measure</b>	<b>Number of vendors who deliver human capital goods and services that meet the “best in class” criteria</b>
Definition	The number of vendors who deliver human capital goods and services that meet the “best in class” criteria, indicating the highest current performance level in human capital.
Data Source	An Excel spreadsheet is used to track and monitor the data.
Frequency	Quarterly
Verification and Validation	The program office uses a fact checking process to verify that vendors meet the “best in class” criteria.
Data Limitations	There are no significant data limitations.

**TABLE 10.02A**

<b>Performance Measure</b>	<b>Index score of customer satisfaction with quality of delegated examining and evaluator training</b>
Definition	The number of Federal employees who participated in Merit System Accountability and Compliance delegated examining or evaluator training and rated the quality of the training at either 4 or 5 points out of 5 divided by the number of training evaluations received.
Data Source	Training evaluation forms
Frequency	Monthly
Verification and Validation	Training evaluations undergo two reviews. The first is done by the instructor’s immediate supervisor, and the second is by the Delegated Examining or Accountability Program Managers.
Data Limitations	Not all training participants agree to complete the evaluation forms. All samples are subject to multiple sources of error, including, but not limited to sampling error, coverage area, and measurement error.

**TABLE 10.02B**

Performance Measure	Index score of customer satisfaction with HR Solutions products and services (ACSI-Equivalent Index)
Definition	<p>The composite index score calculated using a 10-point scale for the three final non-text items on the customer satisfaction survey of recipients of HR Solutions products and services:</p> <ul style="list-style-type: none"> <li>• ACSI Question 1 — Please consider all your experiences to date with the products and services you have received. Using the 10-point scale below, indicate how satisfied you are with these products and services. (1=Very dissatisfied, 10=Very satisfied)</li> <li>• ACSI Question 2 — Considering all of your expectations, to what extent have HR Solutions products and services fallen short of or exceeded your expectations? (1= Falls short of expectations, 10=Exceeds expectations)</li> <li>• ACSI Question 3 — Imagine an ideal organization providing [service type varies by sub-org] products and services. How well do you think HR Solutions compares with that ideal organization? (1=Not close to the ideal, 10=Very close to the ideal)</li> </ul> <p>HR Solutions calculates a composite score by averaging the means for each question and multiplying that average by 10.</p>
Data Source	Human Resource Solutions Customer Satisfaction Survey
Frequency	Semi-Annually
Verification and Validation	<p>Analysts check all data, and Human Resource Solutions experts review any anomalies. Human Resource Solutions uses random checks to verify that data on the central spreadsheet reflects data downloaded from the survey platform.</p> <p>To develop valid items for this survey instrument, OPM reviewed extensive research on “customer satisfaction” in the fields of organizational psychology, management, and marketing. From this literature, OPM identified nine underlying service dimensions of customer satisfaction, including the courtesy, knowledge, and timeliness of the service staff as well as the extent of choice and quality for the specific service. OPM developed a set of survey scales with 20 core items for these nine dimensions, along with four general items about overall quality and satisfaction. The core items were pretested with staff in three agencies before the measures were included in OPM’s customer satisfaction surveys.</p>
Data Limitations	<p>The data is based on a chosen sample, rather than a random or randomized sampling technique. All samples are subject to multiple sources of error, including, but not limited to sampling error, coverage area, and measurement error.</p>



**TABLE 10.03**

<b>Performance Measure</b>	<b>Percent of high-risk mission-critical occupations/areas making progress toward meeting closing-skill-gap targets</b>
Definition	The number of agencies that have submitted the required documents demonstrating that they made progress towards closing skills gaps, divided by the number of agencies actively participating in the closing skills gaps initiative.
Data Source	CHCO agency quarterly submissions
Frequency	Monthly
Verification and Validation	<p>OPM meets with the Occupational Leaders who are responsible for developing strategies for closing gaps in Government-wide mission critical occupations to verify the accuracy of the data they submit and monitor their progress. In addition, OPM serves as technical advisors to the Occupational Leaders to determine which metrics to use to monitor progress with closing skills gaps. This includes providing guidance about the validity and availability of data so that the best measures are selected.</p> <p>OPM works with the CHCO Council agencies to provide guidance on closing skills gaps in agency-specific mission critical occupations. Agencies submit quarterly reports to OPM on the progress they are making in closing skills gaps. OPM conducts its own analysis of skill gap data, comparing it to agency submissions to verify it. OPM consults with agencies to determine where errors occur to correct them.</p>
Data Limitations	The range of data OPM needs to analyze is not comprehensive as the data required often does not exist.

**TABLE 10.04A**

<b>Performance Measure</b>	<b>Percent of Senior Executive Service and Senior Level / Scientific or Professional performance appraisal systems that have met the certification criteria</b>
Definition	The number of applicable agency performance appraisal systems under subpart D of 5 Code of Federal Regulations part 430 for Senior Executive Service (SES) members and Senior Level / Scientific or Professional (SL/ST) employees that have obtained certification from OPM, with OMB concurrence based on the current certification criteria and requirements (alignment, consultation, results, balance, organizational assessment and guidelines, oversight, accountability, performance distinctions, pay differentiation, training, and communication of results) divided by the number of applicable agency performance appraisal systems.
Data Source	Data and information submitted by agencies on their SES and SL/ST performance management implementation, including agency performance ratings and awards distribution as well as sample performance plans
Frequency	Quarterly
Verification and Validation	Data is verified through coordination with agencies (including review and approval by the appropriate agency official, such as the agency head or Chief Human Capital Officer) and cross-checking with the Executive and Schedule C System.
Data Limitations	Occasionally, the status of an agency's certification will change, that is, an agency's existing SES or SL/ST appraisal system certification may expire before certification is achieved. Additionally, the baseline of certifiable agencies may increase as a result of an increase in the number agencies that were not previously certifiable. These two situations may cause a slight increase or decrease in the performance results at any time. Agencies referenced are those on file as having SL/ST employees and SES members.

**TABLE 10.04B**

<b>Performance Measure</b>	<b>Customer Satisfaction with USA Performance (ACSI Equivalent Score)</b>
Definition	<p>The average of the mean for each question in the index, multiplied by 10.</p> <p>This index is comprised of the following items:</p> <ul style="list-style-type: none"> <li>• ACSI1: Please consider all your experiences to date with HR Solutions HR Strategy's products and services you have received. Using the 10-point scale below, indicate how satisfied you are with these products and services.</li> <li>• ACSI2: Considering all of your expectations, to what extent have HR Solutions HR Strategy's products and services fallen short of or exceeded your expectations?</li> <li>• ACSI3: Imagine an ideal organization providing human resources consulting products or services. How well do you think HR Solutions compares with that ideal organization?</li> </ul>
Data Source	HRS Customer Satisfaction Survey
Frequency	Semi-annually
Verification and Validation	<p>Analysts check all data, and Human Resource Solutions experts review any anomalies. Human Resource Solutions uses random checks to verify that data on the central spreadsheet reflects data downloaded from the survey platform.</p> <p>To develop valid items for this survey instrument, OPM reviewed extensive research on "customer satisfaction" in the fields of organizational psychology, management, and marketing. From this literature, OPM identified nine underlying service dimensions of customer satisfaction, including the courtesy, knowledge, and timeliness of the service staff as well as the extent of choice and quality for the specific service. OPM developed a set of survey scales with 20 core items for these nine dimensions, along with four general items about overall quality and satisfaction. The core items were pretested with staff in three agencies before the measures were included in OPM's customer satisfaction surveys.</p>
Data Limitations	The data is based on a chosen sample, rather than a random or randomized sampling technique.

**TABLE 10.05A**

<b>Performance Measure</b>	<b>Percent of agency human capital or human resources offices evaluated by OPM that demonstrate progress in improving their human capital programs</b>
Definition	The number of agency Human Resources/Human Capital (HR/HC) offices evaluated by OPM where it is revealed that the office has violated Federal laws, regulations, or policies, and, in a response to the evaluator's report of findings, address 80 percent or more of the corrective action(s) to bring specific personnel action(s) into compliance or ensure program compliance within OPM timeframes divided by the number of HR/HC offices evaluated by OPM whose reports included required actions and whose response to the report is due to OPM within the reporting period.
Data Source	Merit System Accountability and Compliance's Agency Compliance and Evaluation (ACE), Performance Goal Tracker, which tracks data based on evaluation reports, agency responses to the reports, and documented follow-up actions taken by ACE staff.
Frequency	Quarterly
Verification and Validation	ACE management reviews all reports issued to agencies. ACE evaluators and managers review agency steps to address OPM required actions for compliance. Management then reviews any outliers to verify accuracy. ACE management regularly reviews the data annotated in the ACE Goal Tracker. The Data Collection Lead provides status updates to the ACE management team monthly.
Data Limitations	There are no significant data limitations.

**TABLE 10.05B**

<b>Performance Measure</b>	<b>Percent of required actions cited in reports that are addressed by agencies within prescribed timeframes</b>
Definition	<p>Percent of HR offices evaluated by OPM revealed to have violated Federal laws, regulations, or policies that, in response to the issuance of a report of findings, take or plan the steps to address 85 percent of all corrective actions within OPM timeframes.</p> <p>The number of required actions responded to timely divided by the total number of required actions issued for all reports that have required actions and responses due to MSAC/ACE at the time of reporting.</p>
Data Source	MSAC/ACE evaluation reports, agency responses to the reports, and documented follow-up actions taken by MSAC/ACE staff.
Frequency	Quarterly
Verification and Validation	<p>ACE management reviews all reports issued to agencies. ACE evaluators and managers review agency steps to address OPM required actions for compliance. Management then reviews any outliers to verify accuracy. ACE management regularly reviews the data annotated in the ACE Goal Tracker. The Data Collection Lead provides status updates to the ACE management team monthly.</p> <p>The Data Reviewer periodically checks formulae in the spreadsheet to verify they are correct.</p>
Data Limitations	There are no significant data limitations.

**OTHER MAJOR MANAGEMENT CHALLENGE MEASURES****TABLE MMC-1A**

<b>Performance Measure</b>	<b>Percent of agencies reporting <math>\geq 60</math> percent progress in meeting cumulative milestones</b>
Definition	The number of milestones reported as completed from the Closing Skills Gaps Federal Agency Skills Team action plans divided by the number of milestones.
Data Source	Agency action plans and Closing Skills Gaps Federal Agency Skills Team quarterly report template
Frequency	Quarterly
Verification and Validation	OPM reviews all Closing Skills Gaps Federal Agency Skills Team action plans for dates and milestones. OPM verifies that each agency action plan is complete.
Data Limitations	There are no significant data limitations.

**TABLE MMC-1B**

<b>Performance Measure</b>	<b>Percent of Government reporting <math>\geq 60</math> percent progress in meeting cumulative milestones</b>
Definition	The number of milestones reported as completed from the Closing Skills Gaps Government-wide Federal Agency Skills Team action plans divided by the number of milestones.
Data Source	Government-wide Federal Agency Skills Team Closing Skills Gaps Action Plans and Quarterly Report template
Frequency	Quarterly
Verification and Validation	OPM review all Government-wide Federal Agency Skills Team CSG Action Plans for dates and milestones. OPM validates each action plan for completeness.
Data Limitations	There are no significant data limitations.

**TABLE MMC-1C**

<b>Performance Measure</b>	<b>Percent of agency monitoring progress metrics that are "met"</b>
Definition	The number of intermediate metrics completed from the closing skills gaps Federal Agency Skills Team action plans divided by the number of intermediate metrics.
Data Source	Closing skills gaps Federal Agency Skills Team action plans
Frequency	Quarterly
Verification and Validation	OPM will review all closing skills gaps Federal Agency Skills Team action plans for dates and metrics. OPM verifies closing skills gaps Federal Agency Skills Team action plans for completeness.
Data Limitations	There are no significant data limitations.

**TABLE MMC-1D**

<b>Performance Measure</b>	<b>Percent of Government-wide monitoring progress metrics that are "met"</b>
Definition	The number of intermediate metrics completed from the Government wide closing skills gaps Federal Agency Skills Teams action plans divided by the number of intermediate metrics.
Data Source	Government-wide closing skills gaps Federal Agency Skills Team action plans
Frequency	Quarterly
Verification and Validation	OPM reviews all Government-wide closing skills gaps Federal Agency Skills Team action plans for dates and metrics. OPM verifies each Government-wide closing skills gaps Federal Agency Skills Team action plan for completeness.
Data Limitations	There are no significant data limitations.

**TABLE MMC-2**

<b>Performance Measure</b>	<b>Percent of FEHB enrollees in quality affordable plans</b>
Definition	The number of employees enrolled in quality (FEHB plan with a Clinical Quality, Customer Service and Resource Use score of at least 0.6) affordable (FEHB plan with enrollee share of premium below a certain percentage of the enrolled employee's income, as established annually by the IRS) plans divided by the total number of employees enrolled in FEHB plans as of the last pay period in March.
Data Source	March Health Benefit Data File for individual-level FEHB enrollment and income, and Benefits Plus for the plan premium and the Clinical Quality, Customer Service and Resource Use score
Frequency	Annually
Verification and Validation	The Office of Actuaries reviews the Health Benefit Data File for reasonableness as a whole for the purpose of the actuarial studies it supports. In general, it does not modify the file.
Data Limitations	<p>The Health Benefit Data File is only available with a one year delay. It does not include certain judicial and legislative branch employees. Retirees are not included in the calculation because the available income information is limited (for example, it does not include the Thrift Savings Plan) and because most retirees over the age of 65 are eligible for Medicare, many of whom also pay a Medicare premium.</p> <p>Adjusted Basic Pay is outside OPM's control, as are broader health care inflation drivers. Health care inflation has significantly outpaced general inflation and wage growth.</p> <p>Employee's Adjusted Basic Pay is used because total individual / family income is not available. Annual Adjusted Basic Pay is based on the employee's pay grade and step as of the last pay period in March.</p> <p>FEHB premium is used in the measure calculation because information on total out of pocket cost including costs sharing is not available. Depending on plan benefits, cost sharing and the health status of employees / family members, enrollment in a plan with a higher premium can lead to lower total out of pocket costs for the employee / family.</p> <p>For this calculation, OPM uses only the last processed enrollment transaction for every unique pseudo ID.</p>

**TABLE MMC-3A**

See Table 8.01A

**TABLE MMC-3B**

<b>Performance Measure</b>	<b>Number of cases in the inventory</b>
Definition	The number of pending investigations (that is, in scheduled or assigned status). This may include cases awaiting completion of fieldwork and/or third party records as well as investigations under quality review.
Data Source	Personnel Investigations Processing System (PIPS)
Frequency	Monthly
Verification and Validation	The performance reports, which were developed specifically to track this measure, were tested extensively by NBIB Federal staff for accuracy at that time. NBIB Federal staff transcribes the data directly from this report, and the data is not manipulated in any way. OPM has used PIPS since 1984 and it has gone through repeated and continual testing to ensure the data is free from systematic error. Data is collected based on specific criteria that eliminate bias and manipulation of the data.
Data Limitations	The data collected from PIPS captures a point in time. Data may change in subsequent collections for the same period because the system is constantly being updated.

**TABLE MMC-4**

See Table 4.03D

**TABLE MMC-5**

See Table 4.03C

**TABLE MMC-6A**

<b>Performance Measure</b>	<b>Percent of High Value Asset systems/applications Personal Identity Verification enabled</b>
Definition	The number of OPM High Value Asset systems with multi-factor authentication enabled divided by the number OPM High Value Asset systems.
Data Source	OCIO FISMA system and High Value Asset list and IT Project Manager reporting on systems compliance
Frequency	Quarterly
Verification and Validation	Each system implementing multi factor authentication is required to perform system testing prior to releasing update to production, and is counted only after functionality is released into production. Data is verified with IT cyber security as well as the IT project manager for the High Value Asset system.
Data Limitations	The number of HVA systems can change as new ones can come online and some may be decommissioned.

**TABLE MMC-6B**

See Table 4.03E

**TABLE MMC-7**

<b>Performance Measure</b>	<b>Percent of end-of-life hardware operating on OPM's infrastructure</b>
Definition	The amount of end-of-life hardware operating on OPM's infrastructure divided by the total amount of hardware operating on OPM's infrastructure.
Data Source	Network scan report
Frequency	Quarterly
Verification and Validation	OPM generates an automated report with a network scanning tool. The results of the report are reviewed by a member of the Security Operation Center, the Enterprise Architecture team, and a Network Management representative.  The report only identifies hardware components that are compared to published end of support dates published by the component's vendor.
Data Limitations	The number of network devices will change as the IT infrastructure is re-architected.

**TABLE MMC-8**

See Table 7.03E

**TABLE MMC-9**

<b>Performance Measure</b>	<b>Average number of days to process cases</b>
Definition	The average number of days to process retirement claims.
Data Source	Annuity Roll Processing System
Frequency	Monthly
Verification and Validation	OPM reviews data collection and reporting procedures, and tests data to assess its accuracy. These tests include comparing data for a given fiscal year to similar data collected for previous years and researching any anomalies that are observed, and comparing data with similar information collected from other sources. Quality and management control devices are built into these data collection mechanisms to promote accuracy and reliability.
Data Limitations	There are no significant data limitations.

**TABLE MMC-10**

<b>Performance Measure</b>	<b>Percent of FSAFEDS, FLTCIP, and BENEFEDS awards competitively executed</b>
Definition	The number of FSAFEDS, FLTCIP, and BENEFEDS contracts that were competitively awarded divided by the number of contract awards.
Data Source	Federal Business Opportunities and PRISM contract writing system
Frequency	Annually
Verification and Validation	The OPO data collection lead compares and evaluates the contract award files with the data in Federal Business Opportunities and PRISM.
Data Limitations	Federal Business Opportunities and PRISM data is subject to data entry errors by contracting officers.

**TABLE MMC-11**

<b>Performance Measure</b>	<b>Percent of completed reviews conducted in accordance with contracting policy</b>
Definition	The number of completed contract award document reviews conducted in accordance with established OPM Contracting Policy No. 1.602-1, Revision 1, divided by the total number of contract awards.
Data Source	Acquisition Policy and Innovation tracking sheet; PRISM contract writing system
Frequency	Annually
Verification and Validation	OPO data collection lead verifies and compares, for the applicable fiscal year, the number of contract award packages reviewed in accordance with Contracting Policy No. 1.602-1, Revision 1, (as documented in the Acquisition Policy and Innovation tracking sheet), with the total number of contracts awarded (as identified in the agency contract writing system, PRISM).
Data Limitations	Acquisition Policy and Innovation tracking sheet and PRISM data is subject to data entry errors by API team members, contracting officers, and contract specialists.

**CHANGED PERFORMANCE MEASURES**

<b>Strategy</b>	<b>Congressional Budget Justification Measure</b>	<b>Change</b>	<b>Reason</b>
4.03	Percent of non-OPM users required to use two factor authentication	Percent of OPM systems with Multi-factor Authentication Enabled	OPM cannot track this at the user level

**MEASURES NOT TRACKED**

<b>Strategy</b>	<b>Performance Measure</b>	<b>Reason</b>
4.01	Percent of Federal Human Capital Data Model with standards published	The publication of data elements is included in the Business Reference Model 3.0 Framework. Separately, OPM measured the percent of the Federal Human Capital Business Reference Model Functional Framework developed.
4.03	Percent of network covered by Phase One Continuous Diagnostics and Mitigation capabilities	As of FY 2016, 100 percent of OPM's network is covered by Continuous Diagnostics and Mitigation capabilities.
7.03	Average number of days to process court-ordered benefit cases	Due to technical issues, OPM did not develop and test a database to track court-ordered benefits until the end of FY 2017.



# Acronyms

Acronym	Definition
ACE	Agency Compliance and Evaluation
ACSI	American Customer Satisfaction Index
APG	Agency Priority Goal
APR	Agency Performance Report
ART	Accuracy, Responsiveness, and Timeliness
ATO	Authority to Operate
CAHPS	Consumer Assessment of Healthcare Providers and Systems
CDC	Centers for Disease Control and Prevention
CDM	Continuous Diagnostics and Mitigation
CFC	Combined Federal Campaign
CFO	Chief Financial Officer
CHCO	Chief Human Capital Officer
CIO	Chief Information Officer
CLIA	Congressional, Legislative, and Intergovernmental Affairs
CISO	Chief Information Security Officer
CMS	Centers for Medicare and Medicaid
CSRS	Civil Service Retirement System
DFAS	Defense Finance and Accounting Service
DHS	Department of Homeland Security
eOPF	Electronic Official Personnel Folder
EEO	Equal Employment Opportunity
EHRI	Enterprise Human Resource Integration
EHRI-SDM	Enterprise Human Resource Integration – Statistical Data Mart

Acronym	Definition
ES	Employee Services
ExecSec	Executive Secretariat
FAITAS	Federal Acquisition Institute Training Application System
FAST	Federal Agency Skills Team
FEDVIP	Federal Employee Dental Vision Insurance Plan
FEGLI	Federal Employees' Group Life Insurance
FEHB	Federal Employees Health Benefits
FEHBP	Federal Employees Health Benefits Program
FERS	Federal Employees Retirement System
FEVS	Federal Employee Viewpoint Survey
FSAFEDS	Federal Flexible Spending Account
FIS	Federal Investigative Services
FISMA	Federal Information Security Management Act
FITARA	Federal Information Technology Acquisition Reform Act
FLTCIP	Federal Long-Term Care Insurance Program
FPRAC	Federal Prevailing Rate Advisory Committee
FSEM	Facilities, Security & Emergency Management
GSA	General Services Administration
HC	Human Capital
HEDIS	Healthcare Effectiveness Data and Information Set
HI	Healthcare & Insurance
HR	Human Resources
HRS	Human Resources Solutions

Acronym	Definition
HRU	Human Resources University
HVA	High Value Assets
IaaS	Infrastructure as a Service
IOC	Internal Oversight and Compliance
IQ	New Inclusion Quotient
ISSO	Information System Security Officer
LEAD	Leadership Education and Development
LMS	Learning Management System
MSAC	Merit System Accountability & Compliance
MSP	Multi-State Plan
NCQA	National Committee for Quality Assurance
NBIB	National Background Investigations Bureau
NBIS	National Background Investigation System
NCQA	National Committee for Quality Assurance
OC	Office of Communications
OCIO	Office of the Chief Information Officer
OD	Office of the Director
ODI	Office of Diversity and Inclusion
OES	Office of the Executive Secretariat
OGC	Office of the General Counsel
OIG	Office of Inspector General

Acronym	Definition
OMB	Office of Management and Budget
OPM	Office of Personnel Management
OPO	Office of Procurement Operations
OSDBU	Office of Small and Disadvantaged Business Utilization
OSI	Office of Strategy and Innovation
PAC PMO	Performance Accountability Council's Program Management Office
PALT	Procurement Administrative Lead Time
PIPS	Personnel Investigations Processing System
PIV	Personal Identity Verification
PPA	Planning and Policy Analysis
PPO	Preferred Provider Organization
QCR	Clinical Quality, Customer Service, and Resource Use
RS	Retirement Services
SES	Senior Executive Service
SL	Senior Level
SPSS	Statistical Package for the Social Sciences
SSA	Social Security Administration
ST	Scientific or Professional
SuitEA	Suitability Executive Agent
USPS	United States Postal Service





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