Annual Performance Report

Fiscal Year 2016

Contents

Message from the Acting Director

Over the past year, the U.S. Office of Personnel Management (OPM) has made significant progress on key agency and Administration priorities that advance our mission to recruit, retain, and honor a world-class workforce to serve the American people. This year's Annual Performance Report (APR) highlights the progress we have made on our Strategic Plan and the Administration's priorities, as well as areas where we are continuing to work to improve.

In FY 2016, OPM delivered a range of diverse services for current, former, and aspiring Federal employees. We have strengthened our cybersecurity posture, worked with our interagency partners to strengthen and modernize our background investigation process, provided agency leaders and managers with Federal Employee Viewpoint Survey data and tools that allow them to see the opinions of their workforce down to the office level and use this data to improve employee engagement, brought together managers and HR professionals to dispel myths about the Federal hiring process and clarify the flexibilities and tools they have to find and hire the best talent, expanded our Federal Employees Health Benefits Program to include Self Plus One and treatment coverage for families with autistic children, and have made strong progress to improve customer service to retirees. These are just a few of the many things we have accomplished. And, as this report highlights, we have focused on measurable results and used data to inform our decision-making.

STRENGTHENING CYBERSECURITY AND MODERNIZING IT SYSTEMS

In FY 2016, the Office of the Chief Information Officer collaborated with the Office of the Inspector General (OIG) and our interagency partners to strengthen our cybersecurity posture and modernize our IT systems, including enhancements to the security of our legacy systems and network perimeter. In FY 2016, OPM has:

- fully implemented Phase 1 of the Department of Homeland Security's (DHS) Continuous Diagnostics and Mitigation (CDM) program. We will continue implementation of Phase 2 and Phase 3 in coordination with DHS. CDM will allow us to communicate with DHS more rapidly and effectively during any potential cybersecurity incident. We exceeded our goal of covering 95 percent of our network with Phase 1 capabilities by the end of FY 2016;

- completed the implementation of the latest release of Einstein, Release 3 Accelerated, which is a DHS IT defensive system that collects, detects, and prevents cyber-threats and potential cyber-attacks;

- encrypted 63.6 percent of our high value asset databases, exceeding our FY 2016 target of 60 percent;

- improved our documentation of our system compliance with the Federal Information Security Management Act, exceeding our FY 2016 target;

- deployed two-factor strong authentication for all users, which provides a robust barrier to OPM's networks from individuals who are not authorized to have access;

- deployed HTTPS web security access protections for all OPM web pages;

- established a new 24-hour Security Operations Center;

- formalized and improved OPM's cybersecurity incident response process; and

- deployed new cybersecurity tools, including software that helps to prevent malicious programs and viruses on OPM's networks.

While OPM was one of the leaders in all categories in FY 2015 for the Cybersecurity Cross-Agency Priority Goal, and is becoming a recognizable leader among Federal agencies in meeting or exceeding IT security milestones, there is work to be done. We will continue to modernize our systems and monitor our progress towards meeting our targets in this and other key measures in FY 2017.

IMPROVING FEDERAL BACKGROUND INVESTIGATIONS

In January 2016, the Federal Government announced a series of changes to modernize and further secure the way it conducts investigations for Federal employees and contractors. Central to this announcement was the establishment of the National Background Investigations Bureau (NBIB), a new entity with a strong national security focus, dedicated solely to the background investigations process. While the NBIB is part of OPM, the Department of Defense (DoD) is responsible for the design, development, and security of its IT systems.

Although the NBIB was formally established on October 1, 2016, an interagency transition team spent much of FY 2016 preparing for NBIB to start functioning. This team made significant progress toward establishing rubrics for NBIB that will fundamentally strengthen this critical function.

The NBIB will have modernized business processes and tools, a new organizational model to bolster privacy and intergovernmental communications, and an updated governance structure that will better align policy and operations and facilitate continuous improvements.

As part of this transition, OPM was hard at work building capacity. In FY 2016, OPM made 400 conditional offers of employment to Federal field investigators, brought 363 onboard during the fiscal year, and brought the remaining 37 onboard by the end of CY 2016. OPM also awarded fieldwork contracts to two additional investigative fieldwork service providers–increasing the number of fieldwork contractors from two to four. Although we did not meet our background investigation timeliness targets in FY 2016, this increase in capacity will help us to improve moving forward.

SUPPORTING AN ENGAGED, INNOVATIVE, DIVERSE, AND PRODUCTIVE FEDERAL WORKFORCE

During FY 2016, OPM led efforts to provide leaders and managers at every level of the Federal Government with tools to make data-driven decisions (to the extent compatible with applicable law) to enhance employee engagement. Since 2009, OPM has conducted the Federal Employee Viewpoint Survey (FEVS) on an annual basis and developed dynamic tools such as *UnlockTalent.gov* and the Employee Viewpoint Survey Online Reporting & Analysis Tool to provide leaders and managers with actionable information to improve employee engagement. In that time period, the number of reports to managers and supervisors increased from fewer than 1,000 to more than 26,000. Our data shows that more leaders and managers are accessing these tools. In FY 2016, more than 83 percent of Chief Human Capital Officer (CHCO) Act agency component-level reports were accessed –an increase from nearly 73 percent in FY 2015. In addition, 67 percent of lower-level component reports were accessed–an increase from 45 percent in FY 2015.

This year's FEVS results show the progress we have made to drive greater employee engagement across the Federal workforce. For the second year in a row, the Government-wide employee engagement and global satisfaction indices have risen by one percentage point, breaking a four-year decline. Additionally, 68 percent of the major components or bureaus in agencies increased their employee engagement scores by at least 1 percentage point and 21 percent increased by 6 percentage points or more. More than 70 percent of CHCO organizations increased their "leaders lead" score (which reflects how employees perceive the character and competency of their leaders), exceeding our FY 2016 target of 50 percent.

OPM continued efforts to help agencies create inclusive work environments and a diverse Federal workforce. In FY 2016, OPM announced that the Federal Government surpassed the goal of 100,000 new hires of individuals with disabilities set by a 2010 Executive Order. We continued to see significant progress in expanding opportunities for veterans in many agencies. In FY 2015, the Veteran's Employment Initiative expanded its focus on veteran new hires, disabled veteran new hires, veterans onboard, and veteran retention rates. Since a FY 2009 Executive Order, 24

different agencies have hired more than half a million veterans. In addition, we have worked hard to help mentor, encourage, and facilitate the ability of women to move up the leadership ladder. In September 2009, 30.6 percent of the SES was composed of women. As of March 2016, that percentage was 35. In addition, we have essentially erased any pay gap between men and women at the SES level.

OPM developed new tools to help agencies promote inclusion in the workplace, and administered training concerning the concept of unconscious bias to more than 2,000 Federal employees. OPM has provided "New IQ" technical assistance training to more than 10,000 Federal managers and employees since FY 2013. New IQ is a measure of employee satisfaction based on 20 questions from the Federal Employee Viewpoint Survey that focus on key areas of inclusion such as equitable treatment of employees and support of diversity. In FY 2016, the Government-wide New IQ score increased from 57 to 58 percent.

OPM also launched a nationwide "Hiring Excellence Campaign"–a series of 32 guidance sessions around the country and in virtual forums with participants from 45 agencies. The

campaign brought together Federal HR specialists and hiring managers to help agencies better understand and use existing hiring flexibilities and processes to find and hire the best talent. More than 3,000 supervisors and human resource professionals attended these forums. Ninety-two percent of participants rated the workshops positively and approximately three months after attending a workshop, 74 percent of participants reported that they applied what they learned to their job.

We worked aggressively to implement a 2015 Executive Order on *Strengthening the Senior Executive Service* to support efforts to hire the best talent, strengthen development, and improve accountability for the senior executives across the Federal Government. Agencies have developed plans to streamline their SES hiring processes. GSA and the Department of Energy successfully piloted resume-only applications for career executive positions, significantly cutting their overall time to hire. The Department of Energy shaved 90 days from their hiring timeline.

In support of the Cybersecurity National Action Plan and in collaboration with interagency partners, OPM released a Federal Cybersecurity Workforce Strategy to help meet the growing need for talented cybersecurity professionals in the Federal Government. The plan addresses how to recruit, develop, and retain new and existing talent, and builds off a vision where cybersecurity professionals see a tour of duty in Federal service as an essential stop in their career trajectory. The plan will not only develop a modern cybersecurity workforce but may also serve as a blueprint to inform hiring needs for other critical occupations in the future. In July, OPM helped DHS fill several hundred critical cybersecurity positions by enabling it to use an expedited hiring process at a job fair that drew thousands of candidates. DHS interviewed more than 800 candidates at that job fair and made offers to more than 400 computer scientists, engineers, and entrepreneurs–with many of these candidates already having joined the Government.

PROVIDING TOP QUALITY HEALTH BENEFITS

OPM is proud that the excellent and affordably priced employee health benefits long supplied through the Federal Employees Health Benefits Program (FEHBP) are a key incentive for many Federal employees to join or stay in Federal service. In FY 2016, OPM has taken steps to continue to improve its insurance offerings, improve the quality of care delivered, and expand access to health care through value based payment and benefit updates.

Pursuant to a more recent statutory authority, OPM also extended insurance benefits through the Federal Employees Health Benefits Program (FEHBP) to employees of certain tribes, tribal organizations, and Urban Indian Organizations. The FEHB Tribal Program became available in May 2012 with an initial 15 tribal employers, and has grown to more than 90 such employers today. In FY 2016, more than 19,000 tribal employees received health care coverage, exceeding our target of 18,000. OPM's FEHB Tribal Desk built the program's infrastructure, including the enrollment and premium collection system, created marketing and information materials, provided outreach to Tribal employers, and delivered training programs for Tribal Benefits Officers. As a result, members of the Tribal Desk were recipients of a 2016 President's Customer Service Award.

OPM continued to strengthen the FEHBP by offering comprehensive benefits with strong consumer protections. In 2016, OPM began to offer Self Plus One, a new enrollment type that covers the enrollee and one designated eligible family member. As of March 2016, there were 542,297 Self Plus One enrollments. OPM launched its updated Plan Comparison Tool during Open Season 2016, and allowed employees to shop for coverage more easily, sorting plans by key attributes such as premium, deductible, and maximum out-of-pocket cost. Additionally, 2016 was the first year that FEHB carrier profit was linked to plan performance on 19 measures of clinical quality, customer service, and resource use. Further, in FY 2016, OPM announced that

starting in calendar year 2017, all FEHB insurers will be required to cover applied behavior analysis treatment for childhood autism.

The Patient Protection and Affordable Care Act expanded the scope of OPM's mission to include contracting with health insurance issuers to offer health insurance plans to uninsured individuals and their families, and employees of small businesses through the creation of the Multi-State Plan program. In 2016, consumers in 33 states and the District of Columbia had a Multi-State Plan option as part of their health coverage choices, and 420,000 people have selected this coverage in the marketplace.

IMPROVING RETIREMENT CUSTOMER SERVICE

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 comply with Congress's direction and provide the best possible support to annuitants. During FY 2016, OPM processed more than 77 percent of the retirement cases within 60 days or less. Although the agency did not meet its target of processing 90 percent of retirement cases within 60 days or less, it has made considerable strides in processing claims over time. In 2012, the average processing time for all cases completed was 173 days. By 2016, the processing time had been reduced to an average of 54 days. Since January 2012, OPM reduced the claims inventory from 61,108 cases to 15,146 at the end of FY 2016.

While part of the retirement process is paper-based, in FY 2016, OPM remained focused on transitioning to a fully-digitized process. We are continuing to develop high-level functional requirements for a case management system and an online retirement application.

Further, we focused on improving customer service in our Retirement Services call center. In FY 2016,

OPM handled nearly 1.1 million retirement program customer calls, or 66.8 percent of all calls received by the call center. Although we did not meet our target of handling at least 78 percent of all customer calls, we took steps to improve. To help reduce wait times and assist more retirees and their families, we consolidated all of the call center activities into one location to improve oversight, provided better coaching and mentoring for staff, and hired 38 new representatives. In addition, we have upgraded and added features to the web-based self-service retirement services online website *servicesonline.opm.gov*. Retirees can use the website to update their mailing addresses, change their Federal and state income tax withholding designations, request a duplicate annuity booklet, or print their Retirement Services ID card. The more retirees and their families turn to our online services for basic needs, the quicker our team can respond to more complex questions.

LEADING THE HUMAN CAPITAL CATEGORY MANAGEMENT INITIATIVE

OPM led the Government-wide Human Capital Category Management initiative to help the Federal Government simplify and streamline the procurement of human capital-related services. In FY 2016, OPM established the Category Management Leadership Council, hired the human capital category manager for the Federal Government, and developed the first human capital category management strategic plan.

BUILDING CAPACITY FOR EVIDENCE-BASED POLICY

As part of its goal to become a thought leader in research and data-driven human resource management and policy decision-making, OPM held its inaugural Research Summit in partnership with American University. The Research Summit brought together over 150 academic researchers, 20 Federal agencies, and 20 universities to discuss research in six human capital areas: work/life issues, benefits, performance management, diversity and inclusion, leadership, and employee engagement. In addition, OPM hosted the first

ever Human Capital Analytics Symposium, where we shared strategies on how we can use data to inform decision-making in everything from hiring to recruitment to performance management, consistent with applicable law.

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 Modernization Act of 2010*. If there are instances where full and complete data for a measure is not available, those instances are noted, and final data will be provided in the FY 2017 APR.

CONCLUSION

It has been an honor to lead an agency where 96.3 percent of employees indicated that they would be willing to put in the extra effort to get the job done. Together, through dedication, communication, collaboration, and a focus on customer service, we have made some real progress toward achieving our mission. As we continue to focus on measurable results and use data to inform our decision-making, we will continue to deliver and serve our customer agencies and the American people with excellence, and realize our vision of making the Federal Government a model employer for the 21st century.

Kathleen M. McGettigan

Kathleen McGettigan
Acting Director
May 22, 2017

OPM OVERVIEW

As the Federal Government's chief human resources agency and personnel policy manager, OPM aspires to *Recruit, Retain and Honor a World-Class Workforce to Serve the American People* by directing human resources policy; promoting best practice in human resource management; administering retirement, healthcare, and insurance programs; overseeing merit-based and inclusive hiring practices within the civil service; and providing a secure employment process.

HISTORY

OPM's history began on January 16, 1883. On this date, 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 qualifications for the position being sought, after fair and open competition. Future President Theodore Roosevelt served as Civil Service Commissioner from 1889-95. His energetic and reform-minded outlook made him a strong proponent of the merit system as both 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, including an office within the Board 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 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 2016 gross budget, including appropriated, mandatory administrative authorities and revolving fund activities, totaled $2,112,694,424. In FY 2016, the agency had 5,079 full-time equivalent employees. OPM's discretionary budget authority, excluding the Office of the Inspector General, was $245,238,000.

For more information about OPM, please refer to the agency's website, *opm.gov*.

PURPOSE AND SCOPE

The FY 2016 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 concurrent with OPM's FY 2018 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 2016. The FY 2016 APR meets reporting requirements in the *Government Performance and Results Modernization Act of 2010*, which focuses on improving performance and accountability among Federal agencies, and guidance described in Office of Management and Budget (OMB) 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 Strategic Plan are the primary units of analysis in this report. As part of its annual performance budgeting process, the agency develops 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.
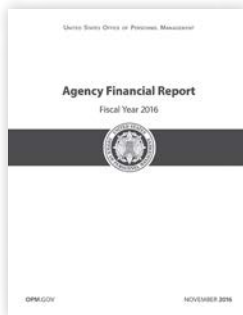
Under separate cover, OPM publishes an Agency Financial Report, focusing on financial results. All reports are available on the OPM website at *https://www.opm.gov/about-us/budget-performance/performance/*.

RESULTS OPM: OPM'S PERFORMANCE MANAGEMENT APPROACH

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Develop 4-year          Set 2-year Agency          Select Performance
Strategic Plan  ──────► Priority Goals      ──────► Measures and Set Targets
                        Aligned to Plan            to Gauge Progress
                        
                        Develop Annual
                        Performance Budget
                        Aligned to Plan

Collect Results ──► Analyze and ──► Report Results ──► Review Results, ──► Plan/Strategize
                    Verify Results                     including in Quarterly
                                                       Performance Point
                                                       Meetings
                                                       
                                                       Make Changes
                                                       to Improve
                                                       Performance
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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. OPM's performance management cycle, dubbed *Results OPM*, consists of (1) planning; (2) prioritization; (3) selecting measures and setting targets; (4) collecting results; (5) analyzing and verifying results; (6) reporting results; (7) reviewing results; and (8) using the results to make changes to improve performance.

1. **Planning**: Every four years, OPM develops a strategic plan, which presents the agency's long-term strategic goals. 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.

2. **Prioritization**: 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. **Selecting measures and setting targets**: The agency develops performance measures and sets targets to gauge its progress in implementing its strategic plan and Agency Priority Goal action plans.

4. **Collecting results**: OPM measures its performance and collects results at the agency-wide level every four to eight weeks.

5. **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.

6. **Reporting results**: OPM reports performance information every four to eight weeks via dashboard reports for internal decision-makers, quarterly via Agency Priority Goal updates for *Performance.gov*, and annually via the Annual Performance Report.

7. **Reviewing results**: OPM conducts data-driven performance meetings every four to eight weeks, including quarterly Performance Point meetings chaired by the Director, to review key data and to bring together the people, resources, and analysis needed to drive progress. Agency leaders diagnose problems and opportunities, learn from past experience, and decide next steps to improve performance.

8. **Using the results to make changes to improve performance**: To improve performance, OPM tracks and follows-up on action items that resulted from its performance review meetings. The agency also uses performance results to inform future plans, including budgets. 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.

OPM'S STRATEGIC FRAMEWORK

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

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

VISION

The Federal Government will Become America's Model Employer for the 21st Century

MISSION

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

VALUES

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 in the spirit of "yes we can."

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**
GOAL 1 **Diverse and Effective OPM Workforce**	Attract and engage a diverse and effective OPM workforce.
GOAL 2 **Timely, Accurate, and Responsive Customer Service**	Provide timely, accurate, and responsive service that addresses the diverse needs of our customers.
GOAL 3 **Evidence-Based Policy and Practices**	Serve as the thought leader in research and data-driven human resource management and policy decision-making.
GOAL 4 **Efficient and Effective Information Systems**	Manage information technology systems efficiently and effectively in support of OPM's mission.
GOAL 5 **Transparent and Responsive Budgets**	Establish responsive, transparent budgeting and costing processes.
GOAL 6 **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.
GOAL 7 **Improved Retirement Benefit Service**	Ensure that Federal retirees receive timely, appropriate, transparent, seamless, and accurate retirement benefits.
GOAL 8 **Enhanced Federal Workforce Integrity**	Enhance the integrity of the Federal workforce.
GOAL 9 **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.

Note: For FY 2017, OPM added a new Strategic Goal 10 - Increase the efficiency and effectiveness of human capital management across the Federal Government.

ORGANIZATIONAL STRUCTURE

As of the end of FY 2016, OPM employs 5,079 full-time equivalent employees who implement the programs and deliver the services that enable the agency to meet its strategic goals. The agency's organizational framework consists of executive, program, and mission-support offices, as well as the Federal Prevailing Rate Advisory Committee (FPRAC) and the Office of the Inspector General. This section describes how each office contributes to OPM's overall mission.

Office of the Director

- Chief Management Officer
- Chief Privacy Officer
- Office of the Chief Financial Officer
- Office of the Chief Information Officer
- Office of Procurement Operations
- Facilities, Security & Emergency Management
- Equal Employment Opportunity
- Diversity & Inclusion
- Office of Small and Disadvantaged Business Utilization
- Suitability Executive Agent Programs

- Office of the General Counsel
- Congressional, Legislative & Intergovernmental Affairs
- Office of Communications
- Executive Secretariat
- Planning & Policy Analysis
- Federal Prevailing Rate Advisory Committee
- Executive Director, Chief Human Capital Officer Council

Office of the Inspector General

Employee Services
- Pay & Leave
- Senior Executive Service and Performance Management
- Partnership & Labor Relations
- Veteran Services
- OPM Human Resources
- Recruitment & Hiring

Retirement Services
- Retirement Operations
- Administrative Operations

Healthcare & Insurance
- National Healthcare Operations
- Federal Employee Insurance Operations
- Healthcare Program Development & Implementation

Merit System Accountability & Compliance
- Voting Rights and Resource Management
- Agency Compliance and Evaluation
- Combined Federal Campaign
- Internal Oversight & Compliance

National Background Investigations Bureau
- Field Operations
- Federal Investigative Records Enterprise
- Quality Oversight
- Customer Engagements
- Information Technology Management Office
- Policy, Strategy & Business Transformation
- Strategic Sourcing/Head of Contracting Activity
- Mission Support

Human Resources Solutions
- Center for Leadership Development
- Federal Staffing Center
- HR Strategy and Evaluation Solutions
- Administrative Law Judges Program
- Training and Management Assistance Program

EXECUTIVE OFFICES

- **The Office of the Director (OD)** provides guidance, leadership and direction necessary to make the Federal Government the model employer in the United States, and OPM its model agency. The Suitability and Security Clearance Reform Performance and Accountability Council's Program Management Office (PAC PMO) is also housed within the OD.

- **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 an effective civilian workforce for the Federal Government. OGC does this by rendering opinions, reviewing proposed policies and other work products, and commenting on their legal efficacy, serving as agency representatives in administration 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 component 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 attend meetings, briefings, markups, and hearings in order to interact, educate, and advise agency, Congressional, State, Local and Tribal Governments.

- **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, OPM officials, and Congress 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 the Executive Secretariat (OES)** is responsible for the administrative management and support for the Office of the Director, and other executive offices including coordination and review of agency correspondence, policy and program proposals, regulations, and legislation. OES also manages and coordinates meetings and the transfer of information between OPM officials and foreign delegations through the agency's international affairs program.

- **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).

- **Office of Diversity and Inclusion (ODI)** examines policy options, Government-wide data trends, and employee survey findings that affect OPM's management of HR policy, as it relates to diversity and inclusion throughout the Federal Government. ODI 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. ODI also designs and implements all required internal OPM diversity and inclusion efforts, to promote diversity management.

- **Office of Procurement Operations (OPO)** provides centralized contract management that supports the operations and Government-wide mission of OPM.

- **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.

- **Suitability Executive Agent Programs (SuitEA)** promotes the integrity and efficiency of the Federal Government by overseeing suitability policy and adjudications for the executive branch. SuitEA was organized as a new office within OPM through a transfer of function and personnel following the establishment of NBIB, to permit NBIB to focus on its investigatory mission and to provide a single-point of leadership for the suitability program. SuitEA will also be responsible for development of policy and interagency coordination related to credentialing standards for the granting of logical and physical access to government facilities and information, in support of the OPM Director's role as Suitability and Credentialing Executive Agent.

PROGRAM OFFICES
- **Employee Services (ES)** provides policy direction and leadership in designing, developing and promulgating Government-wide human resources systems and programs. OPM continued to support agencies' recruiting and hiring programs with tools, education, and direct support. Additionally, ES provides recruitment, pay, leave, performance management and recognition, leadership and employee development, work/life/wellness programs, and labor and employee relations.

ES provides technical support to agencies regarding the full range of human resource management policies and practices, to include veterans' employment as well as the evaluation of their human resource programs. ES also manages the operation of OPM's internal human resources program.

- **Retirement Services (RS)** is responsible for administering, developing, and providing Federal employees, retirees, and their families with benefits programs and services 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 their 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)** includes programs such as the Affordable Care Act's Multi-State Plan Program, OPM's responsibilities to perform external review of consumer complaints, as well as existing responsibilities for the Federal Employees Health Benefits Program (FEHBP), Federal Employees' Group Life Insurance (FEGLI), Federal Long-Term Care Insurance Program (FLTCIP), the Federal Employee Dental Vision Insurance Plan (FEDVIP), and Flexible Spending Accounts for Federal Employees (FSAFEDS). HI is comprised of National Healthcare Operations and Federal Employee Insurance Operations.

- **Merit System Accountability & Compliance (MSAC)** reviews Federal agency human resources programs for effectiveness and consistency with merit system principles and related civil service requirements. MSAC carries out this responsibility with a

staff of employees in five field offices across the nation and in Washington, D.C. The three key components of the oversight and compliance programs are (1) Delegated Examining Unit Evaluations, (2) Large Agency Human Resources (HR) Evaluations, and (3) Small Agency HR Evaluations. MSAC also manages the classification appeals program, which provides Federal employees with an independent third-party review of their classification decisions and provides evidence as to whether agencies are technically accurate in the use of delegated classification and job grading authority. MSAC has Government-wide oversight of the Combined Federal Campaign (CFC) and the Voting Rights (VR) 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 provides observers to monitor and report on elections in political subdivisions (for example counties, cities), designated by the Attorney General. Further, MSAC manages OPM's Office of Internal Oversight and Compliance, which 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 an expedited procurement process to acquire mission-critical training.

- **The National Background Investigations Bureau (NBIB)** serves as the primary executive branch service provider for effective, efficient, and secure personnel background investigations for the Federal Government. In FY 2016, the Federal Investigative Services (now absorbed into NBIB) was responsible for providing investigative products and services for more than 100 Federal agencies to use as the basis for a variety of adjudicative decisions, including but not limited to security clearance and suitability decisions as required by Executive Orders and other rules and regulations. More than 95 percent of the Federal Government's background investigations are provided by OPM.

MISSION SUPPORT OFFICES

- **Chief Financial Officer (CFO)** manages and oversees OPM accounting, billing and collections, disbursements and contractor payments, budgeting, strategic planning, performance, program evaluation, financial systems, financial statements, internal control, and financial policy functions which enable the agency to achieve its mission. CFO also prepares timely and accurate financial reports that improve 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. CIO shapes the application of technology in support of the agency's strategic plan including the information technology that outlines the long-term strategic architecture and systems plans for agency information technology capital planning. 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. CIO provides oversight of major information technology acquisitions to ensure they are consistent with the agency's architecture and the information technology budget, and is responsible for the development of the agency's information technology security policies. CIO delivers agency information technology architecture that is integrated, consistently designed, and compliant with Federal standards. CIO also works with other agencies on Government-wide projects such as E-Government, and develops long range planning 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, realty, safety, physical security, and occupational health programs. FSEM provides personnel security and suitability and national security clearance determinations for OPM personnel and directs the operations and oversight of OPM's preparedness and emergency response programs. The organization also oversees publishing and printing management for internal and external design and reproduction.

- **Planning and Policy Analysis (PPA)** provides planning and analytical support to the Director and the agency. PPA assesses issues that affect OPM across the full array of human resources programs and benefits. A particular area of responsibility is the analysis of policy options, legislative changes, and trends that affect OPM's management of health and retirement benefits for Federal employees. To assure benefits provide maximum value and are secure, the office conducts actuarial analyses, as well as statistical analyses using large databases such as the Enterprise Human Resources Integration - Statistical Data Mart (EHRI-SDM) which contains Federal employee data, and the Health Claims Data Warehouse (HCDW). PPA develops and standardizes

data analysis policies related to evidence-based decisions and practices. The Director of PPA also serves as OPM's Performance Improvement Officer.

OTHER OFFICES

- **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 corrective action.

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 2016 to address the following 10 challenges identified by the OIG in FY 2015, and an eleventh challenge identified in FY 2016.

Environmental challenges:

1. Strategic human capital
2. Federal health insurance initiatives

Internal challenges:

3. Information security governance
4. Security assessment and authorization
5. Data security
6. Information technology infrastructure improvement project

7. Stopping the flow of improper payments
8. Retirement claims processing
9. Procurement process for benefit programs
10. Procurement process oversight

In FY 2016, the OIG added the following environmental challenge:

11. Background investigations

1. STRATEGIC HUMAN CAPITAL

Closing Skills Gaps

Related Strategy and Agency Priority Goal

- Strategy 8.03: Provide guidance, tools, and training to help agencies attain human capital management goals and meet OPM requirements

- Agency Priority Goal: HR Workforce Capability

Responsible Agency Officials

- Veronica Villalobos, Principle Deputy Associate Director, Employee Services

- Shanaz Porter, Manager, Forecasting and Methods, Strategic Workforce Planning

- Linda Datcher, Manager, Learning and Development, Strategic Workforce Planning

- Mark Reinhold, Associate Director, Employee Services

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

FY 2016 Progress Update

Throughout FY 2016, OPM continued to lead and support the Chief Human Capital Officers Council's formal executive steering committee in identifying and closing skills gaps in Government-wide and agency-specific mission critical occupations. In FY 2016, high-risk Government-wide mission critical occupations included economist, HR specialist, auditor, acquisition, cybersecurity, and the STEM functional area.

Upon identifying the Government-wide and agency-specific mission critical occupations, OPM and the Chief Human Capital Officers Council identified and established Federal action skill teams responsible for leading the effort to: (1) identify root causes of skill gaps in the occupations; (2) develop strategies to address

prioritized root causes; (3) establish goals and outcome-oriented metrics; (4) document action plans to address skill gaps; and (5) submit quarterly updates to OPM to monitor progress on executing action plans and achieving targets.

The Government-wide Federal action skill teams were led by occupational leaders who are respected senior technical subject matter experts in Government-wide mission critical occupations. The occupational leaders were partnered with a Chief Human Capital Officer who provided human resource policy and strategy guidance.

In March and April 2016, OPM conducted four in-person training sessions and one virtual training session for Federal action skill teams on topics such as how to apply root cause analysis and develop action plans and metrics. Throughout the process, OPM, in coordination with the executive steering committee, provided ongoing support and technical guidance to agencies and occupational leaders.

Concurrently, OPM, in coordination with OMB, published the proposed rule for revising Title 5, Code of Federal Regulations, Part 250. The regulation, among other things, addresses skill gaps and requires agencies to (1) make progress toward closing any knowledge, skill, and competency gaps; (2) use the OPM designated method to identify skill gaps; (3) monitor and address skill gaps within Government-wide and agency mission critical occupations; (4) describe the skills and human capital information required to achieve agency goals and objectives according to agency strategic plans; and (5) include explicit descriptions of agency skill and competency gaps that must be closed according to annual human capital operating plans.

OPM has had success in creating an infrastructure and governance structures for closing HR skills gaps across the Federal Government. The agency has built coalitions with professionals across the Federal Government to participate and collaborate on activities that will assist agencies in developing strategies over the scope of the five-year strategic plan for closing HR skills gaps.

Phased Retirement

The OIG identified phased retirement as a management challenge in FY 2015, but removed it in FY 2016. OPM fulfilled its primary role of providing regulations and comprehensive guidance to Federal agencies, and is unaware of any significant roadblocks that would prevent an agency from implementing phased retirement. Agencies are continuing to develop phased retirement plans/policies, complete bargaining obligations, and initiate pilot programs for their employees. OPM continues to provide assistance to agencies on phased retirement as necessary.

2. FEDERAL HEALTH INSURANCE INITIATIVES

Federal Employees Health Benefits Program (FEHBP)

Program-wide Claims Analysis/Health Claims Data Warehouse

Related Strategies and Agency Priority Goal

- Strategy: 9.01 Sponsor high quality, affordable insurance products

- Strategy: 9.02 Optimize insurance-related business processes

- Agency Priority Goal: FEHB Plan Performance

Responsible Agency Officials

- Anne Easton, Deputy Director, Planning and Policy Analysis

- Alan Spielman, Director, Healthcare and Insurance

OPM is responsible for ensuring that Federal Employees Health Benefits Program 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.

OPM completed the development of the Health Claims Data Warehouse system. OPM's primary challenges are (1) to ensure that the claims data is entered into the system in a way that facilitates data analysis and manipulation, and (2) to ensure that the data is secure. OPM implemented high security features such as data encryption, masking, and redaction, to protect carrier data. The system was granted an Authority to Operate by the Chief Information Security Office. Additionally, the OIG reviewed the security systems in place for the warehouse and determined that they met the necessary criteria to protect sensitive data. In May 2016, OPM began populating the health claims data warehouse with data from experience-rated carriers. By the close of FY 2017, OPM expects to have populated the system with data from experience-rated and community-rated carriers, and completed initial analyses of selected high volume episodes of care.

Prescription Drug Benefits and Costs

OPM provides oversight of prescription drug costs administered by health plans participating in the Federal Employees Health Benefit Program. Prescription drug costs represent approximately 25 percent of total FEHB Program costs. Therefore, OPM promotes the principle that health plans should offer their best arrangements for prescription drugs. 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 new Chief Pharmacy Officer with extensive formulary management experience.

The agency has called on participating health plans to:

- better manage pharmacy networks;

- implement, operate, and reinforce drug utilization management strategies;

- coordinate coverage of specialty drugs between the medical and pharmacy benefit;

- utilize formulary design principles to optimize the prescription drug benefit; and

- implement cost comparison tools that give current and prospective enrollees access to user-friendly information about the formulary tier and member cost-share for prescription drugs.

Self-reported data from carriers demonstrates efforts to keep the prescription drug benefit competitive and cost effective. Almost all of the top 20 plans with the largest FEHB enrollment utilized cost share tiers. The specific tiers varied, with Generic Drugs, Preferred Brand Name, and Non-preferred Brand Name tiers being the most common. Of the top 20 plans' networks, 15 were characterized as broad, four as managed, and one as tiered.

Plans continued to employ utilization management strategies, with the biggest change in increased implementation of coordination of benefits for Medicare Part B. In 2014, plans covering 28 percent of members had coordination of benefits, increasing to 92 percent of members in 2015. All of the top 20 plans, and 90 percent of all plans, utilize retrospective drug utilization review. Medication therapy management is used by 75 percent of the top 20 plans and 70 percent of all plans, a slight increase from 67 percent of all plans in 2014. Use of narrow networks remains unchanged from 2014 for the top 20 plans at 20 percent, and has increased slightly for all plans from 28 percent to 30 percent.

Depending on the drug, plans employ strategies such as quantity limits, step therapy, and prior approval. For example, 16 of the top 20 plans use quantity limits as a narcotic management strategy. Step therapy is used for nine of the top 20 plans for sleep medications. A prior approval requirement is applied to many high-cost specialty drugs, such as Humira. Humira (a common injectable treatment for Rheumatoid Arthritis) requires prior approval in 17 of the top 20 plans.

Of the top 20 plans, all offer a drug cost calculator with at least the ability to search for individual drugs. Seventeen plans utilize an interactive tool. Member uptake varies by plan, from zero percent to 56 percent of members utilizing the cost tool.

In presentation forums and written communication with carriers, OPM emphasized the safe and effective use of pain medications, the availability of Medication-Assisted Therapy for individuals diagnosed with opioid use disorder, and enhancing access to narcotic reversal agents.

Health Benefit Carriers' Fraud and Abuse Programs

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

FY 2016 Progress Update

In response to recent OIG audits and annual carrier reporting, OPM further examined its practices and procedures and has made several changes to strengthen its existing fraud, waste, and abuse monitoring and enforcement. In FY 2016, OPM:

- strengthened its productive relationship with the OIG in addressing open fraud-related audit recommendations;

- presented an overview of the fraud, waste, and abuse program requirements and discussed updated guidance on fraud, waste, and abuse reporting to the FEHB Fraud, Waste, and Abuse Task Force meeting in January 2016;

- worked with the auditors, Audit Resolution, and Program Analysis and Systems Support groups to conduct more comprehensive training for Health Insurance Specialists (contracts specialists) on updated fraud, waste, and abuse requirements; and

- coordinated with internal stakeholders to review, analyze, and respond to questions from the annual reports received from the plans and the challenges plans face in meeting reporting requirements.

Medical Loss Ratio Implementation and Oversight

OPM's Office of the Actuaries closely monitors the Federal Employees Health Benefits medical loss ratio methodology and documents each year's ratio for each community-rated plan, and the associated penalties or credits, in a formal letter. 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 to ensure 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.

OPM agrees that the subscription income report is not perfect. However, given the Federal Employees Health Benefits Program decentralized enrollment and payroll systems, the payment collection and disbursement method to carriers is not able to yield a completely precise result, which is why the agency allows carriers to use their own income calculation in the Federal Employees Health Benefits Program medical loss ratio calculation.

Affordable Care Act

Securing sufficient resources to further implement the Multi-State Plan Program, as well as attracting new issuers to the program, continue to be a challenge. The statute does not give OPM authority to compel any issuer to participate in the Multi-State Plan Program and explicitly prohibits OPM from requiring Federal Employees Health Benefits Program carriers to participate. Nor does the statute authorize the preemption of state law requirements governing health insurance. This lack of preemption capability is a significant difference between the Multi-State Plan Program and the Federal Employees Health Benefits 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 marketplaces (health insurance exchanges).

FY 2016 Progress Update

To meet the goal of making Multi-State Plan Program options available for enrollment in as many states as possible, OPM has accomplished the following:

- contracted with the Blue Cross Blue Shield Association and two Co-Ops to offer Multi-State Plan options in 32 states plus the District of Columbia in 2016;

- continued to develop relationships with state health care regulators to facilitate the exchange of information on Multi-State Plan Program operations and the state-specific requirements governing the sale of health insurance in a state;

- held a Multi-State Plan issuer conference in November 2015;

- conducted outreach efforts to insurance issuers and other groups to raise awareness of the Multi-State Plan Program in order to expand the Program to additional states;

- continued to work with the Office of Management and Budget and the Department of Health and Human Services to develop standard operating procedures for collecting the Multi-State Plan user fee;

- compiled and transmitted information on each applicable state-level issuer to (1) the

Department of Health and Human Services for the Federally Facilitated Marketplace, (2) states that intend to operate their own exchange but utilize the prescribed Department of Health and Human Services templates, and (3) states that operate their own marketplace; and

- held a second meeting of the Multi-State Plan Program Advisory Board, established in FY 2015, to exchange information, ideas, and recommendations regarding the administration of the Multi-State Plan Program.

3. INFORMATION SECURITY GOVERNANCE

Related Strategy and Agency Priority Goal

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

- Agency Priority Goal: Cybersecurity Monitoring

Responsible Agency Official

- Cord Chase, Chief Information Security Officer

Information security governance is primarily focused on identifying key roles and responsibilities and managing information security policy development, oversight, and ongoing monitoring activities. Throughout FY 2015, OPM successfully filled the vacant information system security officer positions, effectively centralizing IT security responsibility under the Chief Information Officer. However, the OIG's FY 2015 FISMA audit stated that system owners were still not in compliance with many FISMA requirements.

FY 2016 Progress Update

In FY 2016, OPM hired additional information system security officers to support the system owners with their FISMA compliance responsibilities.

OPM continued to work closely with our oversight entities to address and close FISMA audit findings and remediate identified weaknesses. OPM established a Plan of Actions and Milestones Management Review Board that will provide consistent management decisions

on the creation, review, update, closure, and cancellation of Plans of Actions and Milestones.

Since 2007, OPM had 218 FISMA audit findings. As of the end of FY 2016, OPM had mitigated 165 out of the 218 findings (75.7 percent).

In addition, OPM updated performance standards for IT Project Managers within the Office of the Chief Information Officer to include elements for complying with FISMA requirements, such as maintaining valid Authorities to Operate (ATOs) for information systems and remediating Plans of Actions and Milestones.

4. SECURITY ASSESSMENT AND AUTHORIZATION

Related Strategy and Agency Priority Goal

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

- Agency Priority Goal: Cybersecurity Monitoring

Responsible Agency Official

- Cord Chase, Chief Information Security Officer

Information System Security Assessment and Authorization (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 2016 Progress Update

In FY 2016, OPM increased the resources available to support the Authority to Operate process. OPM hired additional information system security officers to support the system owners and awarded an Authority to Operate support contract to help standardize the authorization process. At the end of FY 2016, 67.4 percent of OPM IT systems had current authorities to operate.

5. DATA SECURITY

Related Strategy and Agency Priority Goal

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

- Agency Priority Goal: Cybersecurity Monitoring

Responsible Agency Official

- David DeVries, Chief Information Officer

The OIG audit found that OPM's technical environment was complex and decentralized, and stated that these characteristics made it extremely difficult to secure. Over the past several years, the OIG credited OPM with increasing the staffing levels of its network security team, and procuring a variety of tools to help automate efforts to secure the OPM network. However, the OIG's FY 2015 Federal Information Security Management Act audit determined that not all of these tools were being utilized to their fullest capacity, and found that OPM was having difficulty implementing and enforcing the new controls on all endpoints of its decentralized infrastructure.

FY 2016 Progress Update

In FY 2016, OPM encrypted 63.6 percent of its high value databases, exceeding its target of 60 percent, and completed deployment of two-factor strong authentication for all users, which provides a strong barrier to OPM's networks from individuals who are not authorized to have access.

OPM was one of the first agencies to fully implement Phase 1 of the DHS's Continuous Diagnostics and Mitigation (CDM) program. In FY 2016, OPM exceeded its target to cover 95 percent of its network by Phase 1 of the CDM program, which identifies cybersecurity risks on an ongoing basis and prioritizes these risks based on the potential severity of the risk. Phase 1 included installing security tools in the areas of hardware asset management, software asset management, vulnerability management, and configuration settings management. The agency is currently preparing for Phase 2, which will begin in FY 2017. Phase 2 capabilities include access control management, security-related behavior management, credentials and authentication management, and privileges. OPM will continue implementation of Phase 2 in coordination with DHS. CDM will also allow OPM to communicate with DHS more rapidly and effectively during any potential cybersecurity incident.

6. INFORMATION TECHNOLOGY INFRASTRUCTURE IMPROVEMENT PROJECT

Related Strategy and Agency Priority Goal

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

- Agency Priority Goal: Cybersecurity Monitoring

Responsible Agency Official

- David DeVries, Chief Information Officer

OPM determined that its network infrastructure needed to be overhauled 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 2016 Progress Update

OPM has implemented an application inventory management tool to track and manage all software applications within OPM. The Continuous Diagnostics and Mitigation program includes additional tools to monitor software deployed on the network and supplement the application inventory. In addition, OPM has also consolidated its hardware asset inventory into another application.

In FY 2016, Federal IT Business Solutions, a division within the Office of the Chief Information Officer, completed a technology and platform upgrade of Employee Express. Additionally, OPM

continues to work on the modernization of OPM's retirement systems using a digital services team. OPM has also begun to identify the baseline for owned applications and create application profiles, and start the development of Analysis of Alternatives. OPM reinstituted its Investment Review Board to provide a more corporate review of IT investments.

In addition, in August 2016, the OPM Investment Review Board approved the Infrastructure as a Service Analysis of Alternatives, which recommended that OPM consolidate the nine data centers that it currently operates to two strategic locations in Macon, GA and Boyers, PA. The Analysis of Alternatives was developed as part of OPM's effort to comply with the Office of Management and Budget's Federal Data Center Optimization Initiative and OIG's recommendation that OPM conduct an Analysis of Alternatives to determine the best future-state model for OPM's IT infrastructure. OPM has started the data center consolidation effort, and has completed the move out of one data center, and will vacate a second data center in Q1 of FY 2017. During this consolidation, OPM continues to plan and prepare for system migrations.

7. STOPPING THE FLOW OF IMPROPER PAYMENTS

Related Strategy and Agency Priority Goal

- Strategy: 7.03 Advance the 21st century customer-focused retirement processing system for claims adjudication in a timely and accurate manner
- Agency Priority Goal: Retirement Services Case Processing

Responsible Agency Official

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

Reducing improper payments by Federal agencies continues to be a top priority of both the Administration and Congress. 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 2016 Progress Update

The improper payments rate for the Retirement Program was .37 percent, well below the 1.5 percent threshold prescribed by statute. OPM's rate represents the entirety of improper payments. The percentage to deceased annuitants is only roughly one third of that total.

OPM developed and issued a comprehensive improper payments plan in 2012. OPM completed a revision of the plan in July 2015, and will update the plan in the second quarter of FY 2017 and each year thereafter.

OPM has initiated an ongoing, concerted effort to review and correct social security numbers across the annuity roll so that both OPM's records and those of the Social Security Administration contained in its death master file will have accurate and complete information.

During FY 2016, the Retirement Inspections Branch continued to identify and document overpayment and cost savings through the Disability Earnings Match by terminating annuity payments to annuitants based on earned income information from the Social Security Administration. The Consolidated Death Match has identified and documented overpayments with receipt of death data from the Social Security Administration.

OPM is working with the Social Security Administration to finalize a new Information Exchange Agreement that would authorize OPM to provide the Social Security Administration with recurring death information from OPM's annuity roll. This would enable the Social Security Administration to better protect the integrity of its own Death Master File. OPM expects to complete the negotiations in the second quarter of FY 2017.

OPM continued work on renewing its agreement with the Office of Workers Compensation Program to conduct a match that would identify beneficiaries receiving both wage loss compensation for disability or death under the Federal Employees' Compensation Act, and retirement or death benefits under the Civil Service Retirement System or the Federal Employees Retirement System for the same period. The concurrent receipt of both benefits is prohibited.

8. RETIREMENT CLAIMS PROCESSING

Related Strategy and Agency Priority Goal

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

- Agency Priority Goal: Retirement Services Case Processing

Responsible Agency Official

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

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 2016 Progress Update

OPM continues to implement the core components in the Retirement Services Strategic Plan, which includes delivering quality customer service; implementing productivity and process improvements; partnering with agencies so that they are submitting complete and accurate retirement packages for quicker processing; and making progressive information technology improvements. OPM used Lean Six Sigma to streamline and standardize internal processes; for example, reviewing and assembling complete cases before distributing them to Legal Administrative Specialists for adjudication. OPM also partnered with the Defense Finance and Accounting Service and United States Postal Service to help with claims processing, and coordinated biweekly meetings with United States Postal Service and the National Personnel Records Center to address common retirement processing issues.

OPM is focused on transitioning the Retirement Program to a paperless system. To realize this vision, Retirement Services partnered with the Office of the Chief Information Officer to establish a centralized repository of data to capture, validate, and maintain information concerning an employee's career that will ultimately affect retirement calculations. Retirement Services also established the capability to gather electronic data from the agency HR office and payroll service provider and send it to a centralized data repository.

OPM has embarked on five major IT initiatives that should ultimately lead OPM to realize its IT strategic vision, including the Electronic Retirement Record, Retirement Data Repository, Data Bridge, Online Retirement Application, and Case Management System. These initiatives are at varying levels of completion.

9. PROCUREMENT PROCESS FOR BENEFIT PROGRAMS

Responsible Agency Officials

- Juan Arratia, Director, Office of Procurement Operations

- Gregory Blaszko, Division Director, Acquisition Policy & Innovation

- Elijah Anderson, Division Director, Office of Procurement Operations

The Office of Procurement Operations is responsible for soliciting, for evaluating and awarding agency contracts, orders, and agreements in accordance with the Federal Acquisition Regulation. The Office of Procurement Operations 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, and the Flexible Spending Account Program, has been an agency challenge for several years.

FY 2016 Progress Update

The Office of Procurement Operations awarded, through full and open competition, a new FSAFEDS contract in March 2016 and a new Federal Long-Term Care contract in April 2016. The anticipated award date for the BENEFEDS procurement is FY 2017. In addition, in FY 2016, the Office of Procurement Operations initiated bi-weekly program reviews with OPM's Healthcare and Insurance program office (which administers the benefits programs). The Office of Procurement Operations will continue to provide oversight and management support to the delegated Healthcare and Insurance procurement authority through the commencement of a file review and compliance check process based on developing polices and guidance.

10. PROCUREMENT PROCESS OVERSIGHT

Responsible Agency Officials

- Juan Arratia, Director, Office of Procurement Operations
- Gregory Blaszko, Division Director, Acquisition Policy & Innovation
- J.C. Thieme, Division Director, Office of Procurement Operations
- Elijah Anderson, Division Director, Office of Procurement Operations

OPM's Office of Procurement Operations is responsible for 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 managing the agency purchase card program. In FY 2015, OPM awarded nearly 4,200 transactions totaling $1.2 billion and in FY 2016, more than 3,000 transactions totaling $1.1 billion.

In FY 2015, the Office of Procurement Operations took steps to determine areas for improvement by contracting with a consulting company to perform an independent strategic assessment of OPO's procurement compliance, procurement oversight, workload and staffing, and acquisition certification and training. The consulting group issued a report of its findings, including 16 recommendations. OPM's Office of Inspector General (OIG) validated these findings through an audit on July 8, 2016.

FY 2016 Progress Update

OPM's Office of Procurement Operations has:

- requested and received approval for 11 additional hires over previously approved staffing levels, reviewed benchmarks for similarly situated contracting offices to assess performance and staffing, and created and filled new senior positions to support procurement policy development and compliance/oversight functions;

- developed and issued new contracting officer warrant policy and established an agency warrant module within the Federal Acquisition Institute Training Application System (FAITAS), and continued ongoing efforts to better understand, manage, and oversee roles and responsibilities associated with contract administration functions performed within offices that have delegated procurement authority such as the Healthcare and Insurance program office;

- developed and issued new policy and/or internal guidance in several other areas such as proper file documentation and maintenance, review and approval process, contract review board, acquisition planning, ratification of unauthorized commitments, and purchase card transaction review process;

- begun collaboration with OPM's Lean Six Sigma process improvement team on mapping the agency-wide end-to-end procurement process to identify solutions to address timeliness and quality issues;

- started monthly program reviews with all program offices to review current and planned procurement actions; and

- developed training for both OPO and agency-wide staff in several critical areas to include for example small business subcontracting, the OPO review and approval process, contract review board process, contracting officer warrants, procurement ethics and source selection process, and OPM's contract writing system.

11. BACKGROUND INVESTIGATIONS

Related Strategy and Agency Priority Goal

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

- Agency Priority Goal: Background Investigations

Responsible Agency Official

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

In January 2016, the Federal Government announced a series of changes to modernize and better secure the way it conducts investigations for Federal employees and contractors. Central to this announcement was work to establish a National Background Investigations Bureau (NBIB), a new entity that would have a strong national security focus, dedicated solely to the background investigations process. Although the NBIB is a division of OPM, the Department of Defense is responsible for the design, development, and security of NBIB's IT systems.

NBIB will have modernized business processes and tools, a new organizational model to bolster privacy and intergovernmental communications, and an updated governance structure that will better align policy and operations and facilitate continuous improvements.

In FY 2016, OPM has met neither the timeliness targets established by the Director of National Intelligence nor the targets listed in the Intelligence Reform and Terrorism Prevention Act of 2004. In FY 2016, the agency completed (1) the fastest 90 percent of all initial national security clearance investigations in 123 days, exceeding the target of 40 days; (2) the fastest 90 percent of initial Secret national security investigations in 108 days, exceeding the target of 40 days; and (3) the fastest 90 percent of initial Top Secret national security investigations in 220 days, exceeding the target of 80 days.

FY 2016 Progress Update

On September 29, 2016, the Acting Director of OPM announced the appointment of Charles S. Phalen, Jr., as Director of NBIB. In order to reduce the backlog and improve the timeliness of background investigations, in FY 2016, OPM made 400 conditional offers of employment to Federal field investigators, and brought 363 onboard in FY 2016. OPM also awarded fieldwork contracts to two additional investigative service providers–increasing the number of contractors from two to four. This increased capacity should result in improvements to timeliness.

CROSS-AGENCY PRIORITY GOALS

Cross-Agency Priority (CAP) Goals address the longstanding challenge of tackling horizontal problems across vertical organizational silos. These goals are a tool used by senior leadership to accelerate progress on a limited number of Presidential priority areas where implementation requires active collaboration between multiple agencies. These goals are established or revised every four years based upon nominations solicited by OMB from Federal agencies and several Congressional committees.

OPM is a co-leader of two CAP Goals: (1) People and Culture, and (2) Insider Threat and Security Clearance Reform.

People and Culture

OPM is a co-leader of the CAP Goal for People and Culture. The three components of this CAP goal are (1) driving greater employee engagement; (2) building a world-class Federal management team, starting with the Senior Executive Service (SES); and (3) enabling agencies to recruit and hire the best talent.

In FY 2016, OPM led efforts to drive employee engagement across agencies by increasing the number of Federal Employee Viewpoint Survey (FEVS) office-level reports available to managers through the Employee Viewpoint Survey Online Reporting and Analysis Tool and *UnlockTalent.gov*. Since 2009, the number of available reports to managers and supervisors increased from fewer than 1,000 to more than 26,000. In FY 2016, for the second year in a row, the Government-wide employee engagement and global satisfaction indices have risen by one percentage point, breaking a four-year decline. These results illustrate that employees across Federal agencies are more engaged in their workplaces and more satisfied with their jobs than they were a year ago. The results also show that what Federal employees said about their workplaces and their leaders matter. As a result of the survey, Federal Government leaders reviewed the data, set goals, and put in place initiatives that helped to improve employee engagement.

In FY 2016, OPM worked aggressively to implement a 2015 Executive Order on *Strengthening the Senior Executive Service* and led efforts to implement reforms in the hiring, development, accountability, compensation, and recognition of SES and other Senior Leaders across the Federal Government. The Executive Order also created a Subcommittee of the President's Management Council to advise OPM, members of the President's Management Council, and the President on implementation of the order and additional ways to strengthen and improve the SES workforce.

OPM worked with a group of agencies to pilot work plans to streamline SES hiring processes to help reduce the time to hire, and provided agencies with Qualifications Review Board process guidance and training. OPM also developed talent and succession processes and a talent and succession community of practice to provide organizational visibility into current and emerging talent across the enterprise. In addition, OPM worked with agencies to implement an improved cross-Government onboarding model, and improved SES development opportunities by expanding interagency rotation programs to all President's Management Council agencies and interested regional areas. The specific accomplishments outlined below highlight the overall improved communication, sharing of best practices, and collaboration across agencies.

- Agencies have developed plans to streamline their SES hiring processes. GSA and the Department of Energy successfully piloted resume-only applications for career executive positions, significantly cutting their overall time to hire. The Department of Energy shaved 90 days off their hiring timeline.

- The Department of Defense also piloted a resume-only application process that further reduces the burden on applicants by decreasing requirements for applicants to initially provide information on technical qualifications in their applications.

- OPM provided assistance to multiple agencies to develop and implement robust one-year SES onboarding programs to enhance support provided to new SES and other senior leaders.

- Agencies are now required to provide their senior executives with a 360-degree developmental assessment every three years, an annual Executive Development Plan, and at least one annual developmental opportunity.

- Agencies have prepared plans and committed to increasing the number of SES on rotational opportunities, to achieve a Government-wide goal of 15 percent of SES members on rotations.

- Agencies have been asked to develop pay policies, with the objective of setting and adjusting basic rates of SES pay at levels above the pay rates of subordinate GS employees, to the extent feasible and consistent with applicable law.

- Agencies were authorized to increase the aggregate spending pool for SES, Senior Level, and Scientific or Professional performance awards by 50 percent.

- GSA and the Department of Interior are partnering with OPM to identify more streamlined methods of submitting materials sufficient to permit certification of SES candidates through the Qualifications Review Board process. They have identified an alternative that would reduce burden on applicants and agencies, potentially eliminating $2,000 in costs per candidate that some agencies incur to compile Qualifications Review Board materials.

- OPM created a listserv and a central registry for individuals who have successfully completed SES Candidate Development Programs and have been certified as possessing requisite executive core qualifications to serve in senior executive positions. These tools will support a Community of Practice for SES Candidate Development Program graduates and also provide agencies across the Federal Government access to the noncompetitive hiring of SES candidates who are already certified by the Qualifications Review Board for initial appointment to the SES.

- OPM created a robust talent management cycle that starts with an agency priorities discussion and includes 360-degree reviews of all OPM executives.

- OPM is improving its Executive and Schedule C System IT system to help agencies collect data, build dashboards, and facilitate talent management and succession planning across Government.

- OPM piloted an expansion of the President's Management Council Interagency Rotations program to support SES and field rotations.

- OPM administered a Situational SES Mentoring Program, which provides any current SES member with access to a pool of experienced SES-level mentors who can provide advice and guidance on specific issues at no cost.

- OPM administered a "Manager's Corner" online portal with resources, guidance, and training solutions (such as online courses) for leadership training and development.

- OPM led an interagency effort to design a model Senior Leader/Scientific or Professional performance appraisal system that incorporates legally-required components, reflects the needs and solutions of agencies, and incorporates best practices for an effective system. Subsequently, OPM also led an interagency effort to design an improved and streamlined senior employee performance appraisal system that reduces the administrative burden on agencies while significantly empowering agencies to assess and operate effective systems.

To support agencies' efforts to recruit and hire highly-qualified talent, OPM launched a nationwide "Hiring Excellence Campaign," a series of 32 guidance sessions around the country and in virtual forums with Federal HR professionals and hiring managers, designed to provide technical assistance to help agencies better use existing hiring flexibilities and processes to hire the best talent. Ninety-two percent of participants rated the workshops positively. The average rating for participants who were satisfied with the workshop was 4.37 out of 5, and the average rating for participants who said they would recommend the workshop to a colleague was 4.36 out of 5. Approximately three months after attending a workshop, 74 percent of participants reported that they applied what they learned to their job.

In addition, OPM piloted a series of enhancements to the USAJOBS resume mining tool which allows agencies to mine the database of searchable resumes to strategically recruit and match talent with open positions. The full release of the tool is expected in FY 2017.

Insider Threat and Security Clearance Reform (ITSCR)

OPM serves as a co-leader of the Insider Threat and Security Clearance Reform Cross-Agency Priority Goal to reduce the risks posed by insiders and improve security, suitability, and credentialing (SSC) processes. OPM's Director plays a critical role in these reforms as the Suitability Executive Agent. The Director is responsible for the process and criteria by which candidates' suitability for Federal employment is adjudicated. The Director is jointly responsible, with the Director of National Intelligence, for developing uniform and consistent policies and procedures for the effective, efficient, and timely completion of background investigations that form a basis for adjudications relating to suitability as well as national security. The Director also develops and issues the criteria for adjudicating eligibility for logical or physical access to Federal systems and facilities. The Director of OPM, as overseer of NBIB, is also responsible for 95 percent of the background investigations performed on behalf of the Federal Government.

The Federal Government works to mitigate the inherent risks posed by employees and contractors with access to sensitive facilities, systems, and information, and to other personnel. Agencies collaborate on this effort through a Performance Accountability Council (PAC). The PAC is the interagency body responsible for facilitating security, suitability, and credentialing reform across the Executive Branch. It is currently working toward accomplishment of the following five sub-goals:

- equipping the workforce with the training and resources to responsibly report information;

- improving process and policy modernization for personnel vetting;

- developing secure and efficient information technology tools;

- creating a continuous performance improvement model within the vetting community; and

- establishing insider threat programs across the Government.

As the Suitability Executive Agent, OPM's Director serves as a permanent member of the PAC. OPM supports the PAC's interagency Program Management Office and Security, Suitability, and Credentialing Line of Business, which help facilitate and implement reforms, by housing the organizations and providing necessary business support services.

In FY 2016, OPM played a critical role in supporting this Cross-Agency Priority Goal. Building on years of work to construct a stronger and more effective background investigations process, the Federal Government announced in January 2016 the above-referenced changes to modernize and secure the way the Federal Government conducts investigations for Federal employees and contractors, including the establishment of the National Background Investigations Bureau (NBIB).

The NBIB was formally established on October 1, 2016. While the complete transition will take some time, the interagency team has made significant progress towards what will fundamentally strengthen this critical function. OPM has been working closely with DoD to develop and pilot a new, modern, and secure "eApplication" system to be utilized as an enterprise-wide shared service and replace OPM's current application system (electronic Questionnaire for Investigations Processing).

OPM, in its role as the Suitability Executive Agent and a core member of the PAC, has made significant progress in other key areas within this Cross-Agency Priority goal.

- In March 2016, the PAC issued guidance on Executive Branch-wide requirements for issuing Personal Identity Verification Credentials and a suspension mechanism in accordance with a recommendation arising from a 2013 review that the President accepted. This guidance establishes a uniform set of criteria for issuance of Personal Identity Verification (PIV) credentials and the suspension of PIV credentials for all employees and contractors across the Executive Branch. OPM is working on more elaborate guidance to implement this direction.

- In April 2016, the Director of OPM and the Director of National Intelligence approved the national Quality Assessment Standards Implementation Memorandum and Plan, which will enable the implementation of the investigative quality standards across the Federal Government. The Quality Assessment Standards were established in 2015 to facilitate the measurement and continued improvement of investigative quality across the Executive branch.

- In May 2016, OPM and ODNI jointly issued 5 CFR 1400, "Designation of National Security Positions in the Competitive Services, and Related Matters," which provides uniform and consistent guidance and procedures for designating national security sensitive positions.

- In July 2016, OPM contributed to the approval of the PAC Strategic Intent, which established a unified five-year strategic vision across the Security, Suitability, and Credentialing mission.

- In September 2016, the Security and Suitability Executive Agents issued an authorizing memorandum and established business rules implementing electronic adjudicative business rules for Tier 3 cases to enhance reciprocal acceptance of adjudicative decisions across the executive branch.

- OPM played a critical role in the approval and modification of several questions to standard security/suitability forms related to mental health approved in November 2016.

Other CAP Goals

OPM also currently contributes to the following CAP Goals: Customer Service, Smarter IT Delivery, Open Data, Benchmark and Improve Mission Support Operations, and Category Management.

Per the Government Performance and Results Modernization Act requirement to address Cross-Agency Priority Goals in the agency Strategic Plan, the Annual Performance Plan, and the Annual Performance Report, please refer to *Performance.gov* for the agency's contributions to these goals and progress where applicable.

AGENCY PRIORITY GOALS

An Agency Priority Goal (APG) is a near-term result or achievement that agency leadership wants to accomplish within approximately 24 months that relies predominantly on agency implementation as opposed to budget or legislative accomplishments. APGs help the agency advance progress toward longer-term outcomes.

OPM's APGs covering FY 2016−FY 2017 are as follows:

APG	Related OPM Strategies	Measures
1. **Cybersecurity Monitoring**	Strategy 4.03	• Percent of network covered by phase one Continuous Diagnostics and Mitigation (CDM) capabilities • Percent of High Value Asset (HVA) databases encrypted • Percent of OPM Business Systems migrated to new network infrastructure environment • Percent of OPM IT Systems compliant with FISMA required documentation • Percent of FISMA audit findings mitigated
2. **Retirement claims processing improvements**	Strategy 7.03	• Percent of retirement claims processed within 60 days • Relative ratio of complete retirement submissions versus incomplete cases
3. **Background Investigations Timeliness and Quality**	Strategy 8.01	• Percent of investigations determined to be quality complete • Average number of days to complete the fastest 90 percent of all initial national security investigations • Average number of days to complete the fastest 90 percent of initial Secret national security investigations • Average number of days to complete the fastest 90 percent of initial Top Secret national security investigations • Number of Federal investigators hired by OPM • Number of fieldwork source units completed by OPM's fieldwork contractors
4. **Human Resource Workforce Capability**	Strategy 8.03	• Percent of HR specialists who complete at least one course on HRU
5. **FEHB Plan Performance**	Strategy 9.02	• Percent of plans with timely prenatal care above the national commercial 50th percentile • Percent of plans with all-cause readmission to hospital within 30 days of inpatient hospital stay above the national commercial 50th percentile • Percent of plans controlling blood pressure above the national commercial 50th percentile

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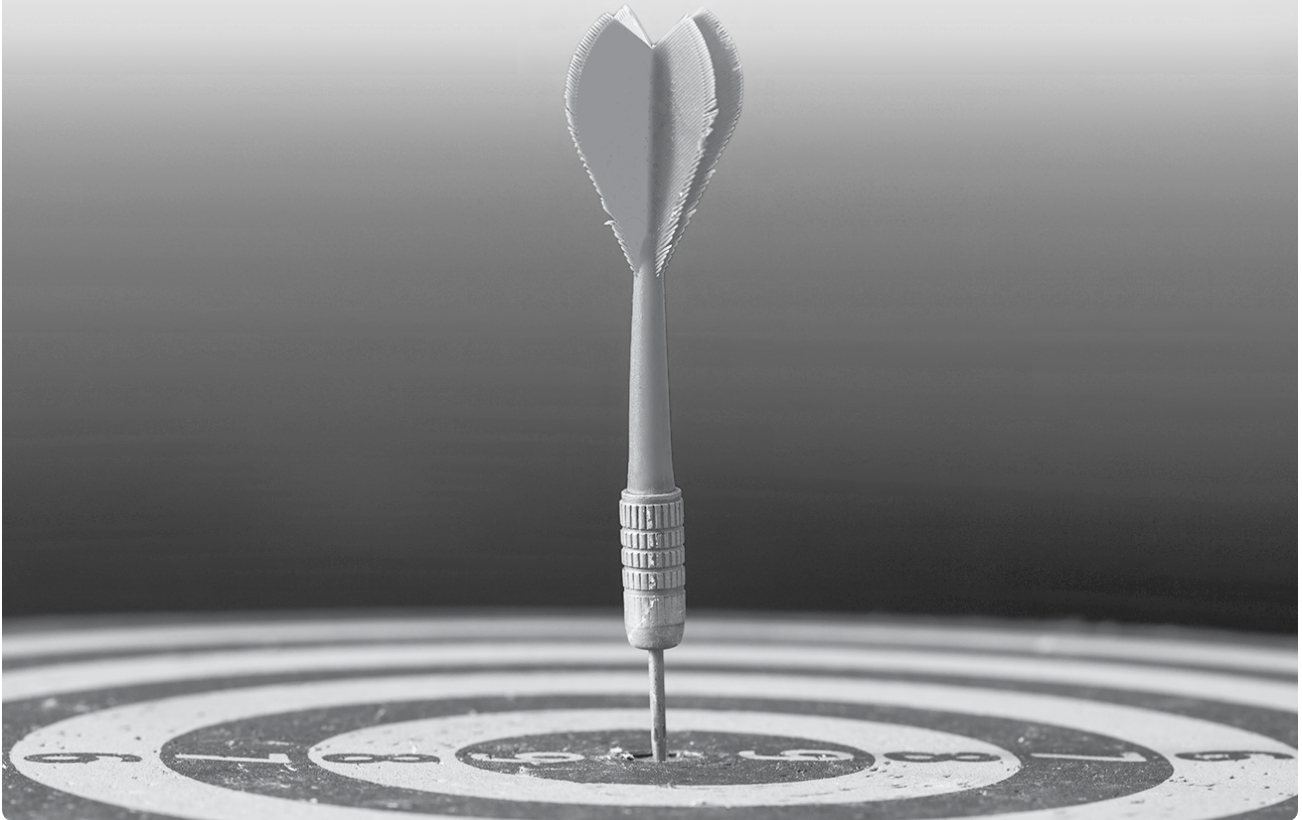
The agency compares actual performance to targets. *Contextual* measures are highly influenced by external factors and, therefore, OPM has not set targets. In other instances, noted with the phrase *Establish Baseline*, measures are new and there are no baseline data. In those cases, OPM has deferred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

The tables that follow display performance results, ordered by strategic goal, for FY 2012-FY 2016. FY 2012-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 2012-FY 2016 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 2012 Results	FY 2013 Results	FY 2014 Results	FY 2015 Results	FY 2016 Results	FY 2016 Target	FY 2016 Target Met/ Not Met	FY 2012- FY 2016 Trend
1.01	Percent of USA Staffing® hiring actions for which OPM managers reviewed applicant flow data	N/A*	N/A*	82.1%	66.1%	100%	≥75%	Met	
1.02A	OPM's Federal Employee Viewpoint Survey Employee Engagement Index score	71%	72%	72%	71.1%	71.3%	≥73%	Not Met	
1.02B	Overall New IQ score	63%	64%	64%	64%	64%	≥66%	Not Met	
1.03A	Percent of employees participating in corporate training opportunities	N/A*	N/A*	28%	94.9%	70%	≥30%	Met	
1.03B	Percent of employees satisfied with the opportunity to improve their skills as reported in the Employee Viewpoint Survey	63%	65%	62%	64%	67%	≥65%	Met	

*N/A – Not Available – no 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 2012 Results	FY 2013 Results	FY 2014 Results	FY 2015 Results	FY 2016 Results	FY 2016 Target	FY 2016 Target Met/ Not Met	FY 2012-FY 2016 Trend
2.01A	Percent of program offices meeting their customer satisfaction score targets	N/A*	N/A*	N/A*	43.8%	66.7%	Establish Baseline	Establish Baseline	
2.01B	Percent of OPM employees who took the online customer service training	N/A*	N/A*	N/A*	22%	28.1%	Establish Baseline	Establish Baseline	
2.02A	Percent of external-facing program offices measuring their customer service accuracy	N/A*	N/A*	N/A*	25%	46.7%	Establish Baseline	Establish Baseline	
2.02B	Percent of external-facing program offices measuring their customer service responsiveness	N/A*	N/A*	N/A*	31.3%	53.3%	Establish Baseline	Establish Baseline	
2.02C	Percent of external-facing program offices measuring their customer service timeliness	N/A*	N/A*	N/A*	37.5%	60%	Establish Baseline	Establish Baseline	
2.03	Percent of Strategy 2.03 milestones from the Customer Experience Strategic Plan completed	N/A*	N/A*	N/A*	37.5%	45.8%	≥10%	Met	
2.04	Percent of Strategy 2.04 milestones from the Customer Experience Strategic Plan completed	N/A*	N/A*	N/A*	50%	54.5%	≥10%	Met	

*N/A – Not Available – no 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

Table	FY 2016 Milestones	Met/ Not Met
3.01A	Release the first annual OPM research agenda	Met
3.01B	Establish a governance board overseeing data analysis	Not Met

Table	Performance Measure	FY 2012 Results	FY 2013 Results	FY 2014 Results	FY 2015 Results	FY 2016 Results	FY 2016 Target	FY 2016 Target Met/ Not Met	FY 2012- FY 2016 Trend
3.02A	Number of user accounts on the Federal Viewpoint Survey Online Reporting and Analysis Tool	567	1,233	1,458	2,156	2,459	≥1,700	Met	
3.02B	Number of users on the Federal Talent Dashboard	N/A*	N/A*	540	10,428	15,490	≥3,700	Met	
3.03	Number of signed research agreements with academic institutions, professional associations, think tanks, or industry	N/A*	N/A*	N/A*	2	2	≥5	Not Met	
3.04	Number of employees (students) who completed a data analytics course	N/A*	N/A*	N/A*	6	33	≥150	Not Met	

*N/A – Not Available – no data available for this period.

Strategic Goal 4: Manage information technology systems efficiently and effectively in support of OPM's mission
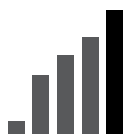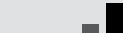
Table	Performance Measure	FY 2012 Results	FY 2013 Results	FY 2014 Results	FY 2015 Results	FY 2016 Results	FY 2016 Target	FY 2016 Target Met/ Not Met	FY 2012- FY 2016 Trend
4.01A	Percent of Federal Human Capital Data Model with standards published	N/A*	N/A*	0%	1.37%	1.37%	≥15%	Not Met	
4.01B	Percent of HR lifecycle examined for automation opportunities	N/A*	N/A*	N/A*	60%	60%	≥60%	Met	
4.02	Percent of major investments with IT program managers certified in Federal Acquisition Institute Training Application System	N/A*	N/A*	N/A*	63.6%	50%	≥80%	Not Met	
4.03A	Customer satisfaction with OPM Help Desk services	N/A*	N/A*	N/A*	3 Satisfied	3 Satisfied	≥4 Highly Satisfied	Not Met	
4.03B	IT security compliance rating for OPM infrastructure services	N/A*	N/A*	N/A*	1 Unsecure	1 Unsecure (As of June 2016)	≥4 Highly Secure	Not Met	
4.03C	Percent of public-facing OPM systems using single sign-on capability	N/A*	N/A*	N/A*	23.5~	35.3%	Establish Baseline	Establish Baseline	
4.03D	Percent of internal OPM systems using single sign-on capability	N/A*	N/A*	N/A*	N/A*	23.1%	Establish Baseline	Establish Baseline	
★ 4.03E	Percent of network covered by Phase 1 Continuous Diagnostics and Mitigation (CDM) capabilities	N/A*	N/A*	N/A*	N/A*	100%	≥95%	Met	
★ 4.03F	Percent of High Value Asset (HVA) databases encrypted	N/A*	N/A*	N/A*	N/A*	63.6%	≥60%	Met	
★ 4.03G	Percent of OPM Business Systems migrated to new network infrastructure environment	N/A*	N/A*	N/A*	N/A*	0%	≥60%	Not Met	
★ 4.03H	Percent of OPM IT Systems compliant with FISMA required documentation	N/A*	N/A*	N/A*	N/A*	67.4%	≥50%	Met	
★ 4.03I	Percent of FISMA audit findings mitigated	N/A*	N/A*	N/A*	N/A*	75.7%	≥80%	Not Met	
4.04A	Aggregate customer satisfaction rating with OPM IT business systems	N/A*	N/A*	N/A*	2.5 Below Standards	2.5 Below Standards	≥4 Highly Satisfied	Not Met	
4.04B	IT security compliance rating for OPM business systems	N/A*	N/A*	N/A*	1 Unsecure	1 Unsecure (As of June 2016)	≥4 Highly Secure	Not Met	

*N/A – Not Available – no data available for this period.
~Previously reported results revised in January 2017 to include the agency's entire portfolio of Federal Information Security Management Act defined systems.
★ Agency Priority Goal measure

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

Table	FY 2016 Milestones	Met/ Not Met
5.03B	Train agency stakeholders on key aspects of OPM's cost accounting program, resulting in increased awareness and application of cost accounting models and toolsets	Met
5.04B	Deploy automated Cost Accounting Technical model that traces direct and indirect agency costs using the pre-defined agency-wide cost accounting	Not Met

Table	Performance Measure	FY 2012 Results	FY 2013 Results	FY 2014 Results	FY 2015 Results	FY 2016 Results	FY 2016 Target	FY 2016 Target Met/ Not Met	FY 2012- FY 2016 Trend
5.01A	Percent of stakeholders who agree that OPM's budget processes are transparent	N/A*	N/A*	N/A*	N/A*	33.2%	Establish Baseline	Establish Baseline	
5.01B	Percent of stakeholders who agree that OPM's budget processes and activities are responsive to their needs	N/A*	N/A*	N/A*	N/A*	31.1%	Establish Baseline	Establish Baseline	
5.03A	Percent of stakeholders who agree that information about OPM's budget processes, activities and tools is communicated to users	N/A*	N/A*	N/A*	N/A*	49.2%	Establish Baseline	Establish Baseline	
5.04A	Revolving Fund net income (three year rolling average)	N/A*	N/A*	$272,000,000	$125,000,000	$162,463,231	≥$0	Met	

*N/A – Not Available – no 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	FY 2016 Milestone	Met/ Not Met
6.01D	Develop and deliver two successful certification of mastery programs with employee engagement as a focus area of learning	Not Met

Table	Performance Measure	FY 2012 Results	FY 2013 Results	FY 2014 Results	FY 2015 Results	FY 2016 Results	FY 2016 Target	FY 2016 Target Met/ Not Met	FY 2012-FY 2016 Trend
6.01A	Percent of components of CHCO organizations that increased "leaders lead" scores	N/A*	N/A*	N/A*	57.3%	70.2%~	≥50%	Met	
6.01B	Number of participants who achieve mastery of competencies upon completion of the manager or executive level LEAD certificate program	N/A*	N/A*	N/A*	20	9	Establish Baseline	Establish Baseline	
6.01C	Number of CHCO Act agencies using Manager and Executive level certificate programs	N/A*	N/A*	N/A*	23	23	Establish Baseline	Establish Baseline	
6.03A	Percent of CHCO Act agencies that access the Employee Viewpoint Survey Online Reporting and Analysis Tool	N/A*	N/A*	N/A*	100%	100%	100%	Met	
6.03B	Percent of CHCO Act Agency component-level reports that have been accessed on the Federal Employee Viewpoint Survey Online Reporting and Analysis Tool	N/A*	N/A*	N/A*	72.6%	83.1%	≥95%	Not Met	
6.03C	Percent of CHCO Act Agency lower-level components reports that have been accessed on the Federal Employee Viewpoint Survey Online Reporting and Analysis Tool	N/A*	N/A*	N/A*	44.8%	66.5%	≥75%	Not Met	
6.03D	Percent of users satisfied with *UnlockTalent.gov*	N/A*	N/A*	N/A*	N/A*	28.7%	Establish Baseline	Establish Baseline	
6.05A	Percent of non-seasonal, full-time permanent employees onboard in the Federal Government with targeted disabilities	.96%	1.02%	1.07%	1.10%	Expected Q3 FY 2017	≥1.1%	Expected Q3 FY 2017	
6.05B	Percent of USAJOBS hiring actions for which managers and/or Human Resources Government-wide reviewed applicant flow data	N/A*	N/A*	53%	76.6%	99.5%^	≥50%	Met	

*N/A – Not Available – no 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).

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

Table	Performance Measure	FY 2012 Results	FY 2013 Results	FY 2014 Results	FY 2015 Results	FY 2016 Results	FY 2016 Target	FY 2016 Target Met/ Not Met	FY 2012- FY 2016 Trend
7.02A	Percent of benefits officers trained per year	55%	63%	65%	93%	83.8%	≥52%	Met	
7.02B	Overall customer satisfaction with guidance material, webinars, virtual conference, live conference, and training	N/A*	N/A*	N/A*	N/A*	78.1%	Establish Baseline	Establish Baseline	
7.03A	Average unit cost (direct labor only) for processing retirement claims	$101.89	$91.37	$129.83	$124.48	$127.86	≤$128.47	Met	
7.03B	Percent of retirement and survivor claims processed accurately	92%	93%	94%	94.1%	95.6%	≥95%	Met	
★ 7.03C	Percent of retirement claims processed within 60 days	N/A*	N/A*	79%	70.1%	77.1%	≥90%	Not Met	
7.03D	Percent of customers satisfied with overall retirement services	73%	76%	78%	76.5%	72.2%	≥75%	Not Met	
7.03E	Rate of improper payments in the retirement program	.36%	.36%	.38%	.38%	.37%	≤.37%	Met	
7.03F	Percent of retirement program customer calls handled	81%	82%	76%	72%	66.8%	≥78%	Not Met	
★ 7.03G	Relative ratio of complete retirement submissions versus incomplete cases	85%	92%	84%	87.7%	89.2%	≥90%	Not Met	

*N/A – Not Available – no data available for this period.
★ Agency Priority Goal measure

Strategic Goal 8: Enhance the integrity of the Federal Workforce

Table	Performance Measure	FY 2012 Results	FY 2013 Results	FY 2014 Results	FY 2015 Results	FY 2016 Results	FY 2016 Target	FY 2016 Target Met/ Not Met	FY 2012-FY 2016 Trend
★ 8.01A	Percent of investigations determined to be quality complete	99.9%	99.8%	99.9%	99.9%	99.8%	≥99%	Met	
★ 8.01B	Average number of days to complete the fastest 90 percent of all initial national security investigations	36	35	35	67	123	≤40	Not Met	
★ 8.01C	Average number of days to complete the fastest 90 percent of initial Secret national security investigations	N/A*	28	30	58	108	≤40	Not Met	
★ 8.01D	Average number of days to complete the fastest 90 percent of initial Top Secret national security investigations	N/A*	80	75	147	220	≤80	Not Met	
★ 8.01E	Number of Federal investigators hired by OPM	N/A*	N/A*	N/A*	N/A*	363	Contextual	Contextual	
★ 8.01F	Number of fieldwork source units completed by OPM's fieldwork contractors	N/A*	N/A*	N/A*	N/A*	2,475,900	Contextual	Contextual	
8.02A	Percent of agency human capital or human resources offices evaluated by OPM that demonstrate progress in improving their human capital programs	N/A*	75%	89%	82.8%	88.5%	≥75%	Met	
8.02B	Percent of required actions cited in reports that are addressed by agencies within prescribed timeframes	N/A*	91%	88%	85%	92.5%	≥85%	Met	
8.02C	Percent of Delegated Examining Units found to have severe problems that demonstrate satisfactory level of competence or cease to independently operate within one year following completion of an audit	91%	85%	93%	100%	100%	≥85%	Met	

Table	Performance Measure	FY 2012 Results	FY 2013 Results	FY 2014 Results	FY 2015 Results	FY 2016 Results	FY 2016 Target	FY 2016 Target Met/ Not Met	FY 2012- FY 2016 Trend
8.03A	Index score of customer satisfaction with quality of delegated examining and evaluator training	92	98	90	97.8	97.9	≥90	Met	
8.03B	Index score of customer satisfaction with HR Solutions products and services (ACSI-Equivalent Index)	76	80	78.8	76	80	≥80	Met	
★ 8.03C	Percent of HR specialists who complete at least one course on HRU	N/A*	N/A*	N/A*	N/A*	66.6%	≥70%	Not Met	
8.04A	Percent of Senior Executive Service and Senior Level/ Scientific or Professional performance appraisal systems that have met the certification criteria	84%	83%	78%	81.6%	82.5%	≥83%	Met	
8.04B	Customer Satisfaction with USA Performance (ACSI Equivalent Score)	N/A*	N/A*	N/A*	86.5%	95.3%	≥65	Met	

*N/A – Not Available – no data available for this period.
★ Agency Priority Goal measure

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 2012 Results	FY 2013 Results	FY 2014 Results	FY 2015 Results	FY 2016 Results	FY 2016 Target	FY 2016 Target Met/ Not Met	FY 2012-FY 2016 Trend
9.01A	Number of people enrolled in the Multi-State Plan Program	N/A*	N/A*	351,437 (Estimate)	473,700 (Estimate)	378,700	≥500,000	Met	
9.01B	Number of tribes, tribal organizations or urban Indian organizations participating in FEHB	N/A*	48	61	85	90	≥84	Met	
9.01C	Number of tribal employees enrolled in FEHB	N/A*	10,304	15,580	17,500	19,551	≥18,000	Met	
9.01D	Percent of FEHBP enrollees satisfied	78%	79.2%	82%	72.9%	73.8%	≥Industry Trend (61.8%)	Met	
9.02A	Percent increase in FEHB premiums	3.4%	3.7%	3.2%	6.4%	4.44%	≤Industry Trend	Met	
★ 9.02B	Percent of plans with timely prenatal care above the national commercial 50th percentile	N/A*	43.4%	39.8%	41%	46%	≥41%	Met	
★ 9.02C	Percent of plans controlling blood pressure above the national commercial 50th percentile	44.6%	43.5%	49%~	43%	49.2%	≥43%	Met	
★ 9.02D	Percent of plans with all-cause readmission to hospital within 30 days of inpatient hospital stay above the national commercial 50th percentile	N/A*	N/A*	49%	51%	44.5%	≥51%	Not Met	
9.03A	Percent of adults receiving flu shots based on Consumer Assessment of Healthcare Providers and Systems Effective Care	52%	53%	50%	49%	50.9%	Contextual	Contextual	
9.04	Percent of employees aware of FEHB tobacco cessation benefit	N/A*	N/A*	10.2%	N/A*	16.3%	≥15%	Met	

*N/A — Not Available — no 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.
★ Agency Priority Goal measure

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

FY 2016 Progress Update

In FY 2016, OPM hiring managers continued to receive support for recruiting efforts. For example, Federal Investigative Services managers participated with OPM Human Resources staff in a job fair for returned Peace Corps volunteers who are eligible for non-competitive appointments. Continuing the focus on collaborative recruitment, OPM provided employee resource groups with weekly lists of all job opportunities to distribute to their members and partners. Additionally, OPM shared job opportunities with all OPM employees through a weekly agency-wide email, to promote awareness of internal growth opportunities.

OPM also continued to review applicant flow data (demographic data that may include an applicant's race, national origin, disability, or gender) to identify and address any barriers to hiring a diverse workforce. In FY 2016, the agency established a new workforce dashboard, which incorporates applicant flow data and is accessible by all hiring managers. Additionally, OPM's internal Diversity and Inclusion Council established a workgroup focused on "problem identification," which analyzed a broad range of relevant workforce data to identify any challenges to the diversity of OPM's workforce.

TABLE 1.01

PERFORMANCE MEASURE: Percent of USA Staffing® hiring actions for which OPM managers reviewed applicant flow data							
FY 2012 Results	FY 2013 Results	FY 2014 Results	FY 2015 Results	FY 2016 Results	FY 2016 Target	FY 2016 Target Met/ Not Met	FY 2012- FY 2016 Trend
N/A*	N/A*	82.1%	66.1%	100%	≥75%	Met	

FY 2016 Analysis of Results:

OPM managers reviewed applicant flow data for 768 of 768 USA Staffing® hiring actions. The agency provided all OPM managers with continuously available access to applicant flow data in FY 2016.

*N/A – Not Available – no 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

FY 2016 Progress Update

During FY 2016, OPM continued to emphasize the importance of engaging employees in collaborative problem-solving to improve individual and organizational success. Each agency subcomponent engages a diverse group of employees in Federal Employee Viewpoint Survey action planning to improve employee engagement and agency outcomes. Each group works throughout the year on an improvement plan. For example, OPM formed a team that has pursued a Compassionate, Accurate, Responsive, and Empowered (CARE) customer service model that has informed OPM's corporate approach to customer service.

All OPM supervisors have performance standards that address expectations concerning diversity, inclusion, and engagement. Supervisors who are in challenging situations, based on the Federal Employee Viewpoint Survey and other data, have been included in an ongoing Supervisor Support Program whereby diversity, inclusion, and other technical assistance training is provided to improve supervisory success.

To increase collaborative problem-solving, OPM continues to provide training on Human Centered Design and Lean Six-Sigma to employees. OPM continues to promote Rapid Improvement Exercises, where employees are asked for ideas to improve OPM, and selected employees are given dedicated time and training to pursue their ideas such as energy savings and corporate sustainability issues.

In FY 2016, OPM established three new employee resource groups to promote employee engagement and improved outcomes for the agency. The agency established a new African American employee resource group, Professionals Working Remotely (to help improve inclusion and engagement among employees who work in remote locations outside the immediate Washington, D.C. area), and Feds With Disabilities. Employee resource groups assist with the leadership development of OPM employees, and assist the agency in strategic outreach and recruitment.

OPM continues to promote the 20 Small Acts of Inclusion, which are 20 actions, based on neuroscience, that increase behaviors that lead to the perception of inclusion, which is a key element to improve employee engagement. OPM also continues the Diversity and Inclusion Dialogues program which promotes open and honest conversations to improve communication, understanding, and teamwork among employees from different offices, backgrounds, and groups.

TABLE 1.02A

PERFORMANCE MEASURE: OPM's Federal Employee Viewpoint Survey Employee Engagement Index score							
FY 2012 Results	**FY 2013 Results**	**FY 2014 Results**	**FY 2015 Results**	**FY 2016 Results**	**FY 2016 Target**	**FY 2016 Target Met/ Not Met**	**FY 2012- FY 2016 Trend**
71%	72%	72%	71.1%	71.3%	≥73%	Not Met	

FY 2016 Analysis of Results:

OPM conducted the survey between May 5 and June 16, 2016. With 3,196 survey respondents, the response rate was 68 percent. While OPM's overall employee engagement score remained at 71, most major components improved. Gains in Employee Services, Human Resources Solutions, Retirement Services, Merit System Accountability and Compliance, Healthcare and Insurance, Planning and Policy Analysis and the Office of the Chief Information Officer were offset by the Federal Investigative Services' (FIS) score, which decreased by two points from 71 to 69. FIS, much of which is now the National Background Investigations Bureau, constituted approximately half of the OPM workforce. In 2016, there were more responses from FIS (1,707) than from all other OPM offices combined (1,489)—affecting OPM's overall engagement score. For the first time since 2013, the overall OPM engagement score is not the same as the FIS engagement score. After more than a year of uncertainty, the transition to the National Background Investigations Bureau provides an opportunity to improve the engagement of roughly half of the OPM workforce.

TABLE 1.02B

PERFORMANCE MEASURE: Overall New IQ score							
FY 2012 Results	**FY 2013 Results**	**FY 2014 Results**	**FY 2015 Results**	**FY 2016 Results**	**FY 2016 Target**	**FY 2016 Target Met/ Not Met**	**FY 2012- FY 2016 Trend**
63%	64%	64%	64%	64%	≥66%	Not Met	

FY 2016 Analysis of Results:

The New IQ (Inclusion Quotient) score is a measure of employees' sense of inclusion in their workplaces—meaning how fair, open, cooperative supportive and empowering they perceive their workplaces to be. OPM conducted the survey between May 5 and June 16, 2016. With 3,196 survey respondents, the response rate was 68 percent. The overall agency-wide result remained at 64 percent for the fourth consecutive year. However, every New IQ sub-index increased.

New IQ sub-indexes:

- *Fair* improved by 1 percentage point to 54 percent from 53 percent in FY 2015.
- *Open* improved by 1 percentage point to 63 percent from 62 percent in FY 2015.
- *Cooperative* improved by 2 percentage points to 60 percent from 58 percent in FY 2015.
- *Supportive* improved by 1 percentage points to 85 percent from 84 percent in FY 2015.
- *Empowered* improved by 1 percentage points to 61 percent from 60 percent in FY 2015.

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

FY 2016 Progress Update

During FY 2016, OPM launched a Supervisory Support Program. Throughout the year, the program provided leadership and engagement soft skills assessments and training, individualized coaching, and HR advisory services. A cohort of 60 supervisors across the agency and country participated. 89.5 percent of participants indicated that they would recommend the program to other supervisors. The agency also revitalized its New Supervisor Boot Camp, doubling the number of sessions offered to provide more opportunities for new supervisors to attend. During FY 2016, OPM made improvements to the Mentoring Program and increased matched pairs from 11 to 51, an increase of 364 percent. OPM had 23 matches on a shadow day event, with an 89

percent satisfaction rate. At the beginning and end of the fiscal year, the agency held workshops for both employees and supervisors on effective career development conversations.

Most of the mission critical technical training is coordinated by individual organizations within OPM. Over the past few years, OPM has added a corporate approach to learning and development. Certain functions such as internal training and development policy, and management of the learning management system are corporately managed. With limited funds for training delivery, however, there is tension between the need for organization specific technical skills and the need for broader competencies like problem-solving and customer service that support agency-wide success. The agency continues to reevaluate and rebalance this function and the associated funding to ensure the workforce has the skills needed to accomplish the agency's mission.

TABLE 1.03A

PERFORMANCE MEASURE: Percent of employees participating in corporate training opportunities							
FY 2012 Results	FY 2013 Results	FY 2014 Results	FY 2015 Results	FY 2016 Results	FY 2016 Target	FY 2016 Target Met/ Not Met	FY 2012- FY 2016 Trend
N/A*	N/A*	28%	94.9%	70%	≥30%	Met	

FY 2016 Analysis of Results:

In FY 2016, 3,769 of 5,388 employees enrolled in one or more corporate learning opportunity through the agency's Learning Management System. OPM Learning provided a broad range of opportunities in FY 2016, from online skills training to career development and soft skill courses. The courses taken covered a variety of different developmental themes and were not required by the agency, which indicates a strong career development commitment. In FY 2015, many OPM employees were required to complete one or more courses (for example, the ART of Customer Service) offered through the Learning Management System, resulting in an unusually high participation rate.

*N/A – Not Available – no data available for this period.

TABLE 1.03B

PERFORMANCE MEASURE: Percent of employees satisfied with the opportunity to improve their skills as reported in the Employee Viewpoint Survey								
FY 2012 Results	FY 2013 Results	FY 2014 Results	FY 2015 Results	FY 2016 Results	FY 2016 Target	FY 2016 Target Met/ Not Met	FY 2012- FY 2016 Trend	
63%	65%	62%	64%	67%	≥65%	Met		

FY 2016 Analysis of Results:

OPM conducted the survey between May 5 and June 16, 2016. With 3,196 survey respondents, the response rate was 68 percent. Of the respondents, 2,141 of 3,196 employees reported that they were satisfied with the opportunity to improve their skills. While OPM saw a three percentage point positive improvement from 2015, the agency aims to continue to improve in 2017 by delivering training based on the core competencies identified by OPM managers, in addition to providing the supervisory support program, management exploration program, and mentoring program. The agency is also committing to provide employees with access to 40 hours of continuing learning.

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

FY 2016 Progress Update

Following OPM's FY 2015 release of its first Customer Experience Strategic Plan, which established a framework that allowed each office within the agency to tailor its efforts to the unique experiences of that office's customers and scale select efforts, as applicable, across OPM, the agency focused in FY 2016 on implementing the "Find and Fix" performance improvement approach. This approach is a method of identifying areas of improvement and opportunities, analyzing options for solutions, developing action plans, implementing and tracking action plans, measuring effectiveness of action items,

and communicating improvements to improve customer experiences. During FY 2016, offices continued to establish customer service metrics to help identify areas of improvement and opportunities for their Find and Fix action plans. Several offices submitted their initial Find and Fix action plans by the end of FY 2016.

During the National Customer Service Week in October 2015, the agency promoted *The ART of Customer Service* course. By the end of National Customer Service Week, participation in the course increased by 3.3 percent.

The agency continued to invest in and reward employees through the FY 2016 Director's Awards for Excellence in Customer Service and submitted two nominations for the President's Award for Customer Service.

Offices encountered some challenges in developing customer service metrics. Lack of funding for an enterprise survey tool delayed the creation of surveys by some offices. Other offices had survey tools but did not receive a sufficient number of survey responses for quantitative analyses. Offices that developed surveys for public customers must follow Paperwork Reduction Act processes, which have delayed administration for some surveys until FY 2017.

TABLE 2.01A

PERFORMANCE MEASURE: Percent of program offices meeting their customer satisfaction score targets							
FY 2012 Results	FY 2013 Results	FY 2014 Results	FY 2015 Results	FY 2016 Results	FY 2016 Target	FY 2016 Target Met/ Not Met	FY 2012- FY 2016 Trend
N/A*	N/A*	N/A*	43.8%	66.7%	Establish Baseline	Establish Baseline	

FY 2016 Analysis of Results:

In FY 2016, 10 of 15 externally-facing offices met their customer satisfaction score targets. This does not include survey results from NBIB, ES, OCFO, and OPO.

*N/A – Not Available – no data available for this period.

TABLE 2.01B

PERFORMANCE MEASURE: Percent of OPM employees who took the online customer service training							
FY 2012 Results	FY 2013 Results	FY 2014 Results	FY 2015 Results	FY 2016 Results	FY 2016 Target	FY 2016 Target Met/ Not Met	FY 2012- FY 2016 Trend
N/A*	N/A*	N/A*	22%	28.1%	Establish Baseline	Establish Baseline	

FY 2016 Analysis of Results:

During FY 2016, 1,465 of 5,215 OPM employees took the customer service training. OPM marketed the course during National Customer Service Week in October 2015, contributing to the increase.

The agency focused on refining the customer service course, originally developed during FY 2015, and developing a new course and customer service resource page on the centralized Learning Management System platform.

In December 2015, OPM administered a survey to all employees who had completed the customer service course. More than 400 employees provided feedback, which was used to make improvements and develop a new training course, The ART of Customer Service 102: People and Language. This course focused on tips for providing more responsive service to diverse customers and using plain language.

Throughout FY 2016, OPM refined the course and therefore did not market it. OPM will continue marketing the refined course throughout FY 2017 to increase participation rates.

*N/A – Not Available – no data available for this period.

Strategy 2.02: Promote shared accountability for the customer service strategy

| FY 2016 Progress Update |

During the National Customer Service Week in October 2015, the agency continued communicating OPM's Customer Experience Strategic Plan to more employees.

In FY 2016, OPM created a joint internal customer survey to assess each office's customer service with internal OPM customers. Implementation of this survey in FY 2017 will enhance shared accountability for the customer service strategy.

OPM continued its participation in the Customer Service Cross-Agency Priority (CAP) Goal Community of Practice, which provides a forum for agencies to share best practices, discuss challenges, and showcase new initiatives. In FY 2016, the CAP Goal also created a Core Federal Services Council to convene senior leaders of core public-facing Federal programs in order to share resources and best practices, address common challenges, serve as a Federal forum to use tools and feedback data, use economies of scale, and identify policy recommendations. USAJOBS and Retirement Services participated in this Council.

OPM also promoted shared accountability for the Customer Experience Strategic Plan by working with Goal 2 project managers in each office to develop Accuracy, Responsiveness, and Timeliness (ART) measures as part of their Find and Fix action planning. However, developing questions that measured accuracy, responsiveness, and timeliness proved to be challenging because questions for these measurements were less common than satisfaction questions on existing surveys.

TABLE 2.02A

PERFORMANCE MEASURE: Percent of external-facing program offices measuring their customer service accuracy							
FY 2012 Results	**FY 2013 Results**	**FY 2014 Results**	**FY 2015 Results**	**FY 2016 Results**	**FY 2016 Target**	**FY 2016 Target Met/ Not Met**	**FY 2012- FY 2016 Trend**
N/A*	N/A*	N/A*	25%	46.7%	Establish Baseline	Establish Baseline	

FY 2016 Analysis of Results:

In FY 2016, 7 of 15 externally-facing offices measured their customer service accuracy. This does not include survey results from ES, OCFO, and OPO.

*N/A – Not Available – no data available for this period.

TABLE 2.02B

PERFORMANCE MEASURE: Percent of external-facing program offices measuring their customer service responsiveness							
FY 2012 Results	FY 2013 Results	FY 2014 Results	FY 2015 Results	FY 2016 Results	FY 2016 Target	FY 2016 Target Met/ Not Met	FY 2012-FY 2016 Trend
N/A*	N/A*	N/A*	31.3%	53.3%	Establish Baseline	Establish Baseline	

FY 2016 Analysis of Results:

In FY 2016, 8 of 15 externally-facing offices measured their customer service responsiveness. This does not include survey results from ES, OCFO, and OPO.

*N/A – Not Available – no data available for this period.

TABLE 2.02C

PERFORMANCE MEASURE: Percent of external-facing program offices measuring their customer service timeliness							
FY 2012 Results	FY 2013 Results	FY 2014 Results	FY 2015 Results	FY 2016 Results	FY 2016 Target	FY 2016 Target Met/ Not Met	FY 2012-FY 2016 Trend
N/A*	N/A*	N/A*	37.5%	60%	Establish Baseline	Establish Baseline	

FY 2016 Analysis of Results:

In FY 2016, 9 of 15 externally-facing offices measured their customer service timeliness. This does not include survey results from ES, OCFO, and OPO.

*N/A – Not Available – no data available for this period.

Strategy 2.03: Improve IT capabilities to interface with customers

FY 2016 Progress Update

OPM's commitment to accurate, responsive, and timely customer service and enhancing customer experiences extends to electronic platforms such as websites and other online resources.

OPM continued its IT improvements through website and web application updates. OPM updated eQIP (investigation application) to version 3.21 and transitioned all customers to a new messaging system with enhanced security.

In FY 2016, USA Staffing® migrated 34 agencies to the upgraded version. The new version of USA Staffing® reduces time spent on transactional tasks through streamlined navigation. It includes full workflow management and tracking capabilities, provides a clear and mobile-friendly application process, and optimizes integration with USAJOBS. The focus on data analytics and interoperability will allow agencies to understand and refine their hiring processes over time.

In FY 2016, OPM used human-center design techniques to research and test seven production releases of the next generation of USAJOBS. OPM implemented the following updates: (1) a responsive, mobile-friendly website; (2) application process redesign; (3) global user interface and Job Opportunity Announcement updates; (4) global navigation and Help Center redesign; (5) bug fixes; (6) a profile redesign; and (7) a new landing page. OPM delivered seven releases for the Agency Talent Portal that included data self-service, a Job Opportunity Announcement Analytics dashboard, and resume mining enhancements. USAJOBS also tackled several infrastructure projects. These projects included continuous integration to implement automated testing into all new releases, zero downtime releases, and plans to incorporate the groundwork for future DevOps capabilities, such as infrastructure as a code with automated deployments.

After the launch of the *UnlockTalent.gov* website in July 2015, in FY 2016 OPM used feedback from Federal employees to make improvements to the site and registration experience.

OPM also updated the Frequently Asked Questions section of *opm.gov*, including updating FAQs on benefits for LGBT Federal employees and annuitants based on legal and policy changes.

In addition to posting updated 2016 Federal Employees Health Benefits (FEHB) Program and Federal Employees Dental/Vision Program (FEDVIP) plan brochures on *opm.gov*, OPM updated the Plan Comparison Tool with additional navigation features, sorting capability, and display changes.

Also in FY 2016, OPM enhanced its virtual training by hosting multiple virtual seminars and webcasts, including a Benefits Officers Network webcast and a two-day Federal Benefits Virtual Seminar. OPM launched a Hiring Toolkit on Human Resources University (HRU) and added a Hiring Excellence webpage on *opm.gov* as a supplement to its in-person training sessions. In January 2016, *HRU.gov* surpassed the $150 million training resources savings benchmark through its centralized online platform.

TABLE 2.03

PERFORMANCE MEASURE: Percent of Strategy 2.03 milestones from the Customer Experience Strategic Plan completed							
FY 2012 Results	FY 2013 Results	FY 2014 Results	FY 2015 Results	FY 2016 Results	FY 2016 Target	FY 2016 Target Met/ Not Met	FY 2012- FY 2016 Trend
N/A*	N/A*	N/A*	37.5%	45.8%	≥10%	Met	

FY 2016 Analysis of Results:

By the end of FY 2016, OPM cumulatively completed 11 of 24 Strategy 2.03 milestones from the FY 2015-2018 OPM Customer Experience Strategic Plan. The FY 2016 target was conservative, as this performance measure was still being developed. Based on this progress, OPM will increase its future targets.

*N/A – Not Available – no data available for this period.

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

FY 2016 Progress Update

To support Strategy 2.04, OPM provided multiple trainings to its customers. OPM hosted a panel on benefits for LGBT Federal employees and annuitants, providing benefit information based on legal and policy changes to nearly 2,000 attendees and hundreds more through the recording on YouTube *(https://www.youtube. com/watch?v=t0As-ESLdsA&feature=youtu.be)*. During Open Season 2015, OPM held webcasts, a Virtual Town Hall and released a video series that included typical FEHB, FEDVIP, and FSAFEDS information, as well as a series of videos about the new Self Plus One option. The Virtual Town Hall and video series received more than 7,000 views. In September 2016, OPM held a webcast on 2016 Federal Employee Group Life Insurance (*https://www.youtube.com/watch?v=gfO2x1Xc5uE*) with more than 30,000 views.

In FY 2016, OPM continued to provide in-person training to supplement its virtual training. OPM hosted a Cyber Talent Summit covering hiring authorities; recruitment, relocation, and retention incentives; the National Science Foundation's Scholarship for Service; and panel discussions. OPM held an FEHB Carrier Conference to provide information on FEHB policies and procedures so the agency's FEHB Carriers can better serve enrollees. OPM offered 912 delegated examining and evaluator training classes for HR professionals to enhance their understanding of policies and procedures that apply throughout their administration of delegated examining at their agency. OPM also traveled to 22 cities as part of its Hiring Excellence campaign to hone skills that will help agencies recruit and hire top talent from across America. More than 3,000 supervisors and human resource professionals attended these forums.

A continuing challenge to the implementation of this strategy will be the ability to communicate policy and procedure information in language understandable by HR specialists, Federal employees and retirees, the public, and OPM's other customers. To mitigate this challenge, OPM included basic plain language tips in *The ART of Customer Service 102: People and Language* course and provided additional plain language resources in the Customer Service Resources page on the agency-wide learning management system.

TABLE 2.04

PERFORMANCE MEASURE: Percent of Strategy 2.04 milestones from the Customer Experience Strategic Plan completed								
FY 2012 Results	FY 2013 Results	FY 2014 Results	FY 2015 Results	FY 2016 Results	FY 2016 Target	FY 2016 Target Met/ Not Met	FY 2012-FY 2016 Trend
N/A*	N/A*	N/A*	50%	54.5%	≥10%	Met	

FY 2016 Analysis of Results:

By the end of FY 2016, OPM cumulatively completed 12 of 22 Strategy 2.04 milestones from the FY 2015-2018 OPM Customer Experience Strategic Plan. The FY 2016 target was conservative, as this performance measure was still being developed. Based on this progress, OPM will increase its future targets.

*N/A – Not Available – no 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

FY 2016 Progress Update

After analyzing existing resources and tools, OPM leveraged Data Ambassadors as an oversight and collaborative body to institutionalize research and analysis at OPM. In addition, OPM developed and completed the process to baseline spending related to use of data tools, and analyzed OPM user satisfaction with analytic tools to drive the future consolidation of relevant software licenses. Further, OPM hired a Senior Data Scientist, who provides expert technical assistance for research and the development of partnerships with academia, and conducts independent evaluations. He works closely with OPM's Senior Advisor on Research and Evaluation.

TABLE 3.01A

FY 2016 Milestone	Met/ Not Met
Release the first annual OPM research agenda	Met

FY 2016 Analysis of Results:

OPM issued the agenda and delivered it to OPM Associate Directors and Office Heads, as part of an OPM Performance Point quarterly meeting. OPM will issue future agendas through a formalized process.

TABLE 3.01B

FY 2016 Milestone	Met/ Not Met
Establish a governance board overseeing data analysis	Not Met

FY 2016 Analysis of Results:

After analyzing the use of resources and existing communities, OPM made the decision to leverage the Data Ambassadors as an oversight and collaborative body. In FY 2017, OPM will establish an Executive Steering Committee to refine decision-making.

Strategy 3.02: Build strong data analysis, infrastructure and implementation tools and talent
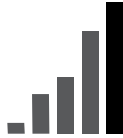
FY 2016 Progress Update

OPM issued the Data Analysis and Analytic Tools Survey Report to OPM Data Analysts and Data Ambassadors, and highlighted the topline results, major takeaways, recommendations, short-term next steps, and online resources. OPM used the results to drive efforts to improve OPM's analytical culture and capability through shared resources, training, and development. In addition, OPM launched a survey of current spending on data analytic tools and talent, hosted webinars, and conducted on-site trainings on statistical software and data visualization. OPM also held the inaugural Human Capital Data Analytics Symposium. More than 94 percent of attendees rated the symposium as good, very good, or excellent.

OPM, in consultation with OMB, has determined that performance toward this strategy is making noteworthy progress.

TABLE 3.02A

PERFORMANCE MEASURE: Number of user accounts on the Federal Viewpoint Survey Online Reporting and Analysis Tool							
FY 2012 Results	FY 2013 Results	FY 2014 Results	FY 2015 Results	FY 2016 Results	FY 2016 Target	FY 2016 Target Met/ Not Met	FY 2012- FY 2016 Trend
567	1,233	1,458	2,156	2,459	≥1,700	Met	

FY 2016 Analysis of Results:

OPM exceeded the FY 2016 target in part due to the agency's collaboration with agency users, customization of the tool based on agency feedback, and the use of how-to webinars.

TABLE 3.02B

PERFORMANCE MEASURE: Number of users on the Federal Talent Dashboard							
FY 2012 Results	**FY 2013 Results**	**FY 2014 Results**	**FY 2015 Results**	**FY 2016 Results**	**FY 2016 Target**	**FY 2016 Target Met/ Not Met**	**FY 2012- FY 2016 Trend**
N/A*	N/A*	540	10,428	15,490	≥3,700	Met	

FY 2016 Analysis of Results:

OPM exceeded the FY 2016 target and made strides in advancing its commitment to making data (including workforce statistics, Government-wide survey results, and reports) more accessible to agencies, Federal employees, and the general public. Throughout FY 2016, OPM proactively conducted demonstrations for various agencies and organizations, conducted focus groups to gather feedback on the current content, received initial feedback on the features that were launched at the end of the fiscal year, and held webinars targeted to diverse audiences on the updates to *UnlockTalent.gov*. OPM added additional content to *UnlockTalent.gov* that targeted different levels of an agency hierarchy—from line-employees, to supervisors and managers, to Senior Executive Service members. Finally, OPM established a point of contact for *UnlockTalent.gov* at each agency to gain a better understanding of each agency's specific needs for the online data visualization tool.

*N/A – Not Available – no data available for this period.

Strategy 3.03: Develop partnerships to access and analyze data

FY 2016 Progress Update

OPM, in partnership with the School of Public Affairs at American University, hosted the inaugural 2016 OPM Research Summit, dedicated to connecting research and policy. The Summit showcased peer-reviewed published research and brought together more than 150 academic researchers, Federal practitioners, and industry partners to exchange ideas, collaborate, and participate in critical conversations about research and policy in areas such as work/life programs, benefits, performance management, leadership, employee focus, and diversity and inclusion. Researchers and others discovered new solutions, learned from best practices, and gained a better understanding of how to incorporate research and data into policy-decision making. For additional information, please refer to *https://www.opm.gov/policy-data-oversight/human-capital-management/opm-research-summit/.*

OPM also hosted a half-day, roundtable discussion on synthetic data–a cutting-edge data disclosure method. This data roundtable brought together experts from Duke University, the Census Bureau, and OPM to discuss synthetic data techniques that their respective teams have developed.

Further, OPM led the skills gap interagency workgroup and provided group and one-on-one technical assistance to all CHCO Act agencies, to prepare them to conduct their root cause analyses of skills gaps within their mission critical occupations.

TABLE 3.03

PERFORMANCE MEASURE: Number of signed research agreements with academic institutions, professional associations, think tanks, or industry							
FY 2012 Results	FY 2013 Results	FY 2014 Results	FY 2015 Results	FY 2016 Results	FY 2016 Target	FY 2016 Target Met/ Not Met	FY 2012- FY 2016 Trend
N/A*	N/A*	N/A*	2	2	≥5	Not Met	

FY 2016 Analysis of Results:
The agency's development of a standardized process for research agreements proved to be difficult. Initially, OPM sought to enter into agreements across multiple sectors (that is, academic, private sector, industry, etc.), but this resulted in privacy concerns for certain types of data. Based on these concerns, in FY 2016, OPM implemented a standardized process, focusing efforts solely on academic research partnerships.

*N/A – Not Available – no data available for this period.

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

FY 2016 Progress Update

OPM's employees led noteworthy original research in FY 2016 that resulted in the publication of 10 articles and white papers, a book, and 35 conference presentations.

In addition, in FY 2016, OPM completed the development, administration, and analysis of the HRStat Maturity Model Assessment Tool, and hosted the inaugural Human Capital Analytics Symposium, which emphasized how to make data-driven decisions for operations, as well as human capital business processes.

TABLE 3.04

PERFORMANCE MEASURE: Number of employees (students) who completed a data analytics course							
FY 2012 Results	FY 2013 Results	FY 2014 Results	FY 2015 Results	FY 2016 Results	FY 2016 Target	FY 2016 Target Met/ Not Met	FY 2012- FY 2016 Trend
N/A*	N/A*	N/A*	6	33	≥150	Not Met	

FY 2016 Analysis of Results:
Data analytics training participation remained low. The significant time commitment required for the training was cited as a concern. To address this issue, OPM worked with Human Recourses to develop classroom training, rather than solely relying on online virtual training. Plans are underway to expand this training for a broader audience.

*N/A – Not Available – no 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 2016 Progress Update

In FY 2016, OPM completed several initiatives to foster the development and adoption of Government-wide business requirements that will drive how the Federal Government develops and procures human capital (HC) information technology (IT). OPM partnered with interagency working groups to develop 109 Government-wide Talent Development, 76 Employee Performance Management, and 50 Work Schedule and Leave Management business requirements that establish baseline service expectations for Shared Services Providers. Pending the approval and publication of the Business Reference Model 3.0, which is currently in legal review, these documents will be made available Government-wide. In addition, the HR Line of Business (HR LOB) created a change control process for Business Reference Model business requirements to support the capacity of published requirements to evolve to meet agency needs.

OPM also worked with the General Services Administration (GSA) to map human capital spend categories with the GSA Schedule 738x (which features a full array of pre-qualified, professional HR service providers) and the HC Category Hallway to the Business Reference Model 3.0 framework to align Government-wide acquisition strategy and promote transparency. OPM also laid the groundwork for a Government-wide data standardization and exchange model by delivering an HC Master Data Roadmap, developing use case model examples for data exchanges, creating the conceptual architecture, and mapping of National Information Exchange Model Core data to HC Master Data, Notice of Personnel Action (SF-50), and Request for Personnel Action (SF-52) data. OPM will continue to build upon these successes in FY 2017, thereby laying the foundation for increased interoperability between disparate HC IT systems and improving the timeliness and accuracy of interagency data exchanges.

In FY 2016, OPM and GSA signed a Memorandum of Understanding to transition the oversight of Shared Service Providers to the newly created United Shared Services Management governance structure.

TABLE 4.01A

PERFORMANCE MEASURE: Percent of Federal Human Capital Data Model with standards published							
FY 2012 Results	**FY 2013 Results**	**FY 2014 Results**	**FY 2015 Results**	**FY 2016 Results**	**FY 2016 Target**	**FY 2016 Target Met/ Not Met**	**FY 2012-FY 2016 Trend**
N/A*	N/A*	0%	1.37%	1.37%	≥15%	Not Met	

FY 2016 Analysis of Results:

OPM has published National Information Exchange Model data standards for 24 of 1,757 data elements in the HR lifecycle. During the first half of FY 2015, OPM's HR LOB met with its stakeholders and customers to determine the strategic direction of the program. This meeting resulted in a decision to focus on updating the Business Reference Model 3.0 Framework. As a part of this decision, the publication of data elements to the National Information Exchange Model HR Domain will be incorporated into the overarching Business Reference Model update initiative. OPM will resume working on the activities associated with this measure in FY 2017 and will leverage the lessons learned from earlier implementation efforts.

*N/A – Not Available – no data available for this period.

TABLE 4.01B

PERFORMANCE MEASURE: Percent of HR lifecycle examined for automation opportunities							
FY 2012 Results	**FY 2013 Results**	**FY 2014 Results**	**FY 2015 Results**	**FY 2016 Results**	**FY 2016 Target**	**FY 2016 Target Met/ Not Met**	**FY 2012-FY 2016 Trend**
N/A*	N/A*	N/A*	60%	60%	≥60%	Met	

FY 2016 Analysis of Results:

OPM has examined 6 out of 10 parts of the HR lifecycle for automation opportunities. Similar to the publication of Federal Human Capital Data Model measure, the identification of additional automation opportunities is subsumed into the Business Reference Model 3.0 Framework initiative. This decision was based on input from the HR LOB stakeholders and customers. In FY 2016, OPM defined a new measure to track the publication of standards for the Business Reference Model 3.0 Framework and will continue to publish the standards in FY 2017. The publication schedule was developed in consultation with the HR LOB stakeholders and customers.

*N/A – Not Available – no data available for this period.

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

FY 2016 Progress Update

In FY 2016, OPM continued to build on the governance-related activities initiated in FY 2015. As reported in FY 2015, OPM revived the Investment Review Board to increase senior leadership's involvement in Information Technology (IT) policy and strategic decision-making. In FY 2016, OPM conducted five Board meetings to address several of the Office of the Chief Information Officer's (OCIO) proposed investments and strategic direction. The Board approved the OCIO's proposed FY 2016-2018 strategy and direction, as well as the recommendations from the analyses of alternatives from two investments: (1) Infrastructure as a Service (IaaS) Data Center Consolidation; and (2) the Consolidated Business Information System.

OPM also began to roll out its program to implement the Federal Information Technology Acquisition Reform Act (FITARA). OPM developed its FITARA Action Plan, issued its FITARA Implementation Memo, and updated its processes for CIO review and approval of all IT acquisitions.

OPM also created application profiles for all business applications or application suites. These profiles include information such as system reliability, security rating, and cost of modernization. The information found on the application profiles will be used in Analyses of Alternatives that OPM will conduct in future modernization strategies.

To strengthen IT leadership in FY 2016, OPM hired new senior executives, including Associate Chief Information Officers and senior IT program managers. The addition of these senior leaders brings to bear the proper level of experience, expertise, and rigor as OPM continues to identify effective and efficient ways to utilize information technology to support its mission. In addition, OPM started the implementation of the Information Technology Infrastructure Library practices and procedures, which focus on aligning IT services with the needs of OPM operations. OPM commenced the Library implementation by providing an agency-wide Library Foundation training. The training is the first in a series of courses that will help OPM implement industry best practices for IT service delivery.

TABLE 4.02

PERFORMANCE MEASURE: Percent of major investments with IT program managers certified in Federal Acquisition Institute Training Application System								
FY 2012 Results	**FY 2013 Results**	**FY 2014 Results**	**FY 2015 Results**	**FY 2016 Results**	**FY 2016 Target**	**FY 2016 Target Met/ Not Met**	**FY 2012-FY 2016 Trend**
N/A*	N/A*	N/A*	63.6%	50%	≥80%	Not Met	

FY 2016 Analysis of Results:
By the end of FY 2016, 7 of 14 major investments IT program managers were certified in the Federal Acquisition Institute Training Application System. In FY 2016, OPM merged three major investments into one by consolidating the Enterprise Case Management System and Infrastructure as a Service (IaaS) investments with the Enterprise Infrastructure Operations investment. This consolidation reduced the number of certified IT program managers because the IT program managers for the case management and IaaS investments were Federal Acquisition Certification for Program and Project Managers Level III certified, while the IT program manager for the Enterprise Infrastructure Operations investment was not certified. In FY 2016, OPM hired several new IT program managers who, while possessing extensive program management experience, have not completed the necessary certification process. OPM will work to get the IT program managers certified in FY 2017 in order to meet the target for this measure.

*N/A – Not Available – no data available for this period.

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

FY 2016 Progress Update

OPM's Investment Review Board approved the recommendation from the IaaS Data Center Consolidation Analysis of Alternatives to consolidate the number of OPM data centers from nine to two. OPM developed the Analysis as part of its effort to comply with the OMB's Federal Data Center Optimization Initiative. OPM has started the data center consolidation effort, and has completed the move out of one data center, and will vacate a second data center in Q1 of FY 2017. During this consolidation, OPM continues to plan and prepare for system migrations.

OPM security operations implemented capabilities to strengthen the security of the overall environment in support of a new defense-in-depth architecture, including enrolling in the Einstein 3–Accelerated program to further increase visibility and to detect and block potential incidents. Also, OPM became the first agency to implement Phase 1 capabilities of the DHS Continuous Diagnostic and Mitigation (CDM) program. OPM continues to work towards the second phase of the CDM program to support trust in people granted access, security-related behavior, credentials and authentication, and privilege management.

OPM, in consultation with OMB, has highlighted this strategy as a focus area for improvement.

TABLE 4.03A

PERFORMANCE MEASURE: Customer satisfaction with OPM helpdesk services							
FY 2012 Results	FY 2013 Results	FY 2014 Results	FY 2015 Results	FY 2016 Results	FY 2016 Target	FY 2016 Target Met/ Not Met	FY 2012-FY 2016 Trend
N/A*	N/A*	N/A*	3 Satisfied	3 Satisfied	≥4 Highly Satisfied	Not Met	

FY 2016 Analysis of Results:

This survey was administered monthly. The response rate was 26.1 percent, with 5,509 respondents. In FY 2016, OPM sustained a rating of 3 (satisfied) for nine months, and 4 (highly satisfied) for four months with a satisfaction rate range of 85 percent to 91 percent. The yearly average was 88 percent satisfied. While OPM did not meet the target for this fiscal year, OPM did not have a month where respondents were not satisfied or highly satisfied. For the first 6 months of the year, the Help Desk escalated tickets that were not resolved within 15 minutes. OPM made a decision to remove this requirement, contributing to higher call wait times, but yielding higher first contact resolution rates, quicker restoration of access and utilization to affected systems, and decreased front-line service demand placed on system administration and development technical experts. OPM also experienced several system outages during early morning work hours that resulted in high volume call surges throughout the year, which affected call wait times and call answer speed. In FY 2017, OPM plans to develop a strategic improvement plan for further improving the Help Desk.

*N/A – Not Available – no data available for this period.

TABLE 4.03B

PERFORMANCE MEASURE: IT security compliance rating for OPM infrastructure services							
FY 2012 Results	**FY 2013 Results**	**FY 2014 Results**	**FY 2015 Results**	**FY 2016 Results**	**FY 2016 Target**	**FY 2016 Target Met/ Not Met**	**FY 2012- FY 2016 Trend**
N/A*	N/A*	N/A*	1 Unsecure	1 Unsecure (As of June 2016)	≥4 Highly Secure	Not Met	

FY 2016 Analysis of Results:

This measure was established before OPM's successful implementation of the Continuous Diagnostics and Mitigation (CDM) program and is no longer representative of OPM's progress in securing the agency's systems and data. In FY 2016, OPM was recognized by DHS as one of the first agencies to fully implement CDM. As reported for OPM's Cybersecurity Agency Priority Goal, OPM met its FY 2016 target of 95 percent coverage for Phase 1 CDM controls, along with its Q4 FY 2016 FISMA Compliance and High Value Assets encryption targets. In addition, OPM achieved 100 percent PIV enforcement for its internal users for OPM network access.

Other cybersecurity improvements in FY 2016 include the hiring of additional Information Systems Security Officers, awarding a contract for additional Federal Information Security Management Act compliance support, upgrading email security gateways to provide additional security functionality, actively participating in the DHS Cyber Hygiene Initiative to address known vulnerabilities in accordance with the OMB Memorandum 15-01 Binding Operational Directives, and implementing a Network Access Control solution across the enterprise to prevent unauthorized operating platforms from accessing the network environment. These results are as of the end of June FY 2016.

*N/A – Not Available – no data available for this period.

TABLE 4.03C

PERFORMANCE MEASURE: Percent of public-facing OPM systems using single sign-on capability							
FY 2012 Results	**FY 2013 Results**	**FY 2014 Results**	**FY 2015 Results**	**FY 2016 Results**	**FY 2016 Target**	**FY 2016 Target Met/ Not Met**	**FY 2012- FY 2016 Trend**
N/A*	N/A*	N/A*	23.5%~	35.3%	Establish Baseline	Establish Baseline	

FY 2016 Analysis of Results:

In FY 2016, 6 of 17 public-facing OPM systems used single sign-on capability. OPM will use the FYs 2015 and 2016 results as the baseline as the agency extends single sign-on capabilities to other systems in FY 2017.

*N/A – Not Available – no data available for this period.

~Previously reported results revised in January 2017 to include the agency's entire portfolio of Federal Information Security Management Act defined systems.

TABLE 4.03D

PERFORMANCE MEASURE: Percent of internal OPM systems using single sign-on capability							
FY 2012 Results	FY 2013 Results	FY 2014 Results	FY 2015 Results	FY 2016 Results	FY 2016 Target	FY 2016 Target Met/ Not Met	FY 2012- FY 2016 Trend
N/A*	N/A*	N/A*	N/A*	23.1%	Establish Baseline	Establish Baseline	

FY 2016 Analysis of Results:

In FY 2016, 6 of 26 internal OPM systems used single sign-on capability. OPM established its FY 2016 baseline using its entire portfolio of Federal Information Security Management Act defined systems. The agency will extend single sign-on capabilities to other systems in FY 2017.

*N/A — Not Available — no data available for this period.

AGENCY PRIORITY GOAL: 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 enhance the use of two-factor authentication in multiple ways. By August of FY 2015, 99 percent of OPM users were required to use Personal Identity Verification (PIV) authentication for network access and the remaining one percent was enforced by the end of October 2015. By the end of FY 2016, 80 percent of non-OPM users who have a PIV card will be required to authenticate to OPM applications using their PIV cards. By the end of FY 2017, OPM will enforce two-factor authentication for 100 percent of all PIV-enabled users and 80 percent of non-PIV-enabled users.

OPM will enhance its security posture by expanding on the Continuous Diagnostic and Mitigation (CDM) capabilities implemented throughout FY 2015. The CDM program enables OPM to 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 and implemented four CDM controls including vulnerability assessment, continuous monitoring, hardware asset management, and software asset management. These tools should increase OPM's ability to identify and respond to security issues. By the end of FY 2016, OPM will have fully implemented dashboard capabilities allowing OPM to benchmark its CDM program with other Federal agencies. In FY 2017, OPM will use the benchmarking results to identify and prioritize the implementation of other CDM controls. OPM will continue to pursue a number of additional actions as outlined in its Cybersecurity Monitoring goal.

FY 2016 Progress Update

OPM continued its Continuous Diagnostic and Mitigation (CDM) implementation plan. OPM implemented all CDM tools for Phase 1 and is preparing for Phase 2. During the implementation of CDM tools in Phase 1, OPM awaited requirements from DHS on the Federal dashboard and resolved issues with the OPM dashboard and data feeds. Once completed, the OPM dashboard will display real-time status from the sensors provided by the CDM toolset. In Q4, OPM exceeded its target of 95 percent of its network covered by CDM Phase 1. OPM has started the configuration of the Federal Compliance module, which will be used to manage Assessment and Authorization activities and reporting.

During Q4, OPM transferred Identity Management implementation responsibilities to its cybersecurity team in order to bring the skillset, experience and expertise from within the cybersecurity team to bear on this important project.

OPM continued to work with the OIG on addressing Federal Information Security Management Act (FISMA) audit findings and towards that end, in FY 2016, OPM launched two major IT system compliance initiatives. By the end of FY 2016, 67.4 percent of OPM IT systems had current authorities to operate.

In addition, the cybersecurity team has established a Plan of Actions and Milestones Management Review Board to facilitate improved consistency in management decisions on the creation, review, update, closure and cancellation of Plan of Actions and Milestones.

On August 25, the OPM Investment Review Board approved the Infrastructure as a Service Analysis of Alternatives, which recommended that OPM consolidate the nine data centers that it currently operates to two strategic locations in Macon, GA and Boyers, PA. OPM has built the IaaS capability and is conducting configuration/testing of systems moving into it as part of its Data Center Initiative. OPM has started the data center consolidation effort, and has completed the move out of one data center, and will vacate a second data center in Q1 of FY 2017. During this consolidation, OPM continues to plan and prepare for system migrations.

TABLE 4.03E

PERFORMANCE MEASURE: Percent of network covered by Phase 1 Continuous Diagnostics and Mitigation (CDM) capabilities							
FY 2012 Results	FY 2013 Results	FY 2014 Results	FY 2015 Results	FY 2016 Results	FY 2016 Target	FY 2016 Target Met/ Not Met	FY 2012-FY 2016 Trend
N/A*	N/A*	N/A*	N/A*	100%	≥95%	Met	

FY 2016 Analysis of Results:

As of the end of FY 2016, 100 percent of Hardware Asset Management, 100 percent of Software Asset Management, 100 percent of Configuration Settings Management, and 100 percent of Vulnerability Management were covered by Phase 1 CDM controls.

*N/A – Not Available – no data available for this period.

TABLE 4.03F

PERFORMANCE MEASURE: Percent of High Value Asset (HVA) databases encrypted							
FY 2012 Results	FY 2013 Results	FY 2014 Results	FY 2015 Results	FY 2016 Results	FY 2016 Target	FY 2016 Target Met/ Not Met	FY 2012- FY 2016 Trend
N/A*	N/A*	N/A*	N/A*	63.6%	≥60%	Met	

FY 2016 Analysis of Results:
OPM has 14 of 22 HVA databases encrypted.

*N/A – Not Available – no data available for this period.

TABLE 4.03G

PERFORMANCE MEASURE: Percent of OPM Business Systems migrated to new network infrastructure environment							
FY 2012 Results	FY 2013 Results	FY 2014 Results	FY 2015 Results	FY 2016 Results	FY 2016 Target	FY 2016 Target Met/ Not Met	FY 2012- FY 2016 Trend
N/A*	N/A*	N/A*	N/A*	0%	≥60%	Not Met	

FY 2016 Analysis of Results:
OPM has built the IaaS capability and is conducting configuration/testing of systems moving into it as part of its Data Center Initiative.

*N/A – Not Available – no data available for this period.

TABLE 4.03H

PERFORMANCE MEASURE: Percent of OPM IT Systems compliant with FISMA required documentation							
FY 2012 Results	FY 2013 Results	FY 2014 Results	FY 2015 Results	FY 2016 Results	FY 2016 Target	FY 2016 Target Met/ Not Met	FY 2012- FY 2016 Trend
N/A*	N/A*	N/A*	N/A*	67.4%	≥50%	Met	

FY 2016 Analysis of Results:
As of the end of FY 2016, 31 of 46 systems had current Authorities To Operate.

*N/A – Not Available – no data available for this period.

TABLE 4.03I

PERFORMANCE MEASURE: Percent of FISMA audit findings mitigated								
FY 2012 Results	FY 2013 Results	FY 2014 Results	FY 2015 Results	FY 2016 Results	FY 2016 Target	FY 2016 Target Met/ Not Met	FY 2012-FY 2016 Trend
N/A*	N/A*	N/A*	N/A*	75.7%	≥80%	Not Met	

FY 2016 Analysis of Results:
OPM worked with oversight entities to address 165 of 218 FISMA audit findings. OPM will continue to update its policies and procedures to align with current Federal laws, regulations, policies, and guidance. The agency will leverage the Plan of Actions and Milestones Management Review Board to help manage and improve its processes and work with the OIG to improve collaboration and to ensure the effective remediation of audit findings in a timely manner.

*N/A – Not Available – no 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

FY 2016 Progress Update

In FY 2016, OPM continued its support of customer agencies across the HR lifecycle with several initiatives. For applicants, the USAJOBS program continued its work to deliver the next generation of USAJOBS with the implementation of seven production releases. Improvements to the USAJOBS system included the implementation of a responsive, mobile-friendly website, redesign of the application process, global navigation, a Help Center, and a new landing page.

For the background investigation community, OPM provided technical and functional support for the establishment of OPM's new National Background Investigations Bureau (NBIB). As noted above, NBIB will be the primary provider of background investigations for the Federal Government. As part of the NBIB roll out, OPM successfully provisioned the *NBIB.gov* domain, email accounts, and an NBIB Help Desk.

For current employees, the electronic Official Personnel Folder (eOPF) program continued its support to agencies and providers. It provided guidance on system requirements, held regular meetings to promote agencies' understanding of their responsibilities, and worked with form owners and HR policy owners to promote compliance.

While not represented in the satisfaction rating measure listed in Table 4.04A, the Human Resources Solutions (HRS) IT Program Management Office, which manages systems such as USAJOBS, USA Staffing®, USA Performance, and Employee Express, achieved an American Customer Satisfaction Index Score of 88, exceeding the Federal Government-wide benchmark of 63.9. In addition, 100 percent of its customers indicated that they would recommend these services to other Federal agencies, and that the agency's services contributed to their organization's effectiveness and saved them time. In support of retirees and annuitants, OPM's Retirement Services IT Program Management Office completed its Adaptable Data Base System data encryption, Retirement Services also supports the Office of the Chief Financial Officer (OCFO) with the DATA Act's requirements, and has completed 90 percent of its programming effort since Q3 FY 2016. Most importantly, the team was able to sustain 100 percent system availability during operational hours for Retirement Services Operations to support accurate and timely payments to Federal retirees and annuitants.

In FY 2016, OPM successfully deployed the Executive & Schedule C System, which is used to store information about the Federal workforce and to generate the Plum Book, which is used during transitions between Presidential administrations.

OPM, in consultation with OMB, has highlighted this strategy as a focus area for improvement.

TABLE 4.04A

PERFORMANCE MEASURE: Aggregate customer satisfaction rating with OPM IT business systems							
FY 2012 Results	**FY 2013 Results**	**FY 2014 Results**	**FY 2015 Results**	**FY 2016 Results**	**FY 2016 Target**	**FY 2016 Target Met/ Not Met**	**FY 2012- FY 2016 Trend**
N/A*	N/A*	N/A*	2.5 Below Standards	2.5 Below Standards	≥4 Highly Satisfied	Not Met	

FY 2016 Analysis of Results:

The eOPF customer satisfaction survey was administered quarterly. Total respondents in FY 2016 totaled 3,415, a response rate of 16.5 percent. For FY 2016, eOPF's yearly average was 86 percent satisfied or very satisfied. eOPF's lowest rating was 84 percent in Q2 FY 2016, and the program steadily improved to a Q4 high of 88 percent. The USAJOBS customer satisfaction survey was administered monthly. The response rate was 40.4 percent, with 8,560 respondents. The USAJOBS yearly customer satisfaction average was 74 percent.

eOPF's lowest rating occurred when the program implemented additional security measures in Q2 and has steadily improved over the last two quarters. In FY 2017, OPM will implement several initiatives to improve eOPF customers' satisfaction, including enhanced instructional and operational guidance, improved record query, and better policy support from HR policy makers. USAJOBS will also focus on improving the customer experience, including the evaluation of all "touch points" (that is, the web, social media, and the Help Desk). In FY 2017, USAJOBS will implement a new search engine and user interface, re-design the job opportunity announcement, continue to identify key performance indicators for the end-to-end customer journey, and create digital campaigns to improve customer experience and increase engagement.

*N/A – Not Available – no data available for this period.

TABLE 4.04B

PERFORMANCE MEASURE: IT security compliance rating for OPM business systems							
FY 2012 Results	**FY 2013 Results**	**FY 2014 Results**	**FY 2015 Results**	**FY 2016 Results**	**FY 2016 Target**	**FY 2016 Target Met/ Not Met**	**FY 2012- FY 2016 Trend**
N/A*	N/A*	N/A*	1 Unsecure	1 Unsecure (As of June 2016)	≥4 Highly Secure	Not Met	

FY 2016 Analysis of Results:

This measure was established before OPM's successful implementation of the CDM program and is no longer representative of OPM's progress in securing the agency's systems and data. In FY 2016, OPM was recognized by the DHS as one of the first agencies to fully implement CDM. As reported for OPM's Cybersecurity Agency Priority Goal, OPM met its FY 2016 target of 95 percent coverage for Phase 1 CDM controls, along with its Q4 FY 2016 Federal Information Security Management Act (FISMA) Compliance and High Value Assets (HVA) encryption targets. In addition, OPM achieved 100 percent PIV enforcement for its internal users for OPM network access.

Other cybersecurity improvements in FY 2016 include the hiring of addition Information Systems Security Officers, awarding a contract for additional FISMA compliance support, upgrading email security gateways to provide additional security functionality, actively participating in the DHS Cyber Hygiene Initiative to address known vulnerabilities in accordance with the OMB Memorandum 15-01 Binding Operational Directives, and implementing a Network Access Control solution across the enterprise to prevent unauthorized operating platforms from accessing the network environment. These results are as of the end of June FY 2016.

*N/A – Not Available – no 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 2016 Progress Update

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

TABLE 5.01A

PERFORMANCE MEASURE: Percent of stakeholders who agree that OPM's budget processes and activities are transparent							
FY 2012 Results	FY 2013 Results	FY 2014 Results	FY 2015 Results	FY 2016 Results	FY 2016 Target	FY 2016 Target Met/ Not Met	FY 2012-FY 2016 Trend
N/A*	N/A*	N/A*	N/A*	33.2%	Establish Baseline	Establish Baseline	▮

FY 2016 Analysis of Results:

The survey was administered between February 3, 2016 and February 26, 2016. The response rate was 7.29 percent, with 359 respondents. Of the 322 respondents who answered the question, 33.2 percent agreed that OPM's budget processes and activities were transparent. An additional 34.8 percent of respondents were neutral.

*N/A – Not Available – no data available for this period.

TABLE 5.01B

PERFORMANCE MEASURE: Percent of stakeholders who agree that OPM's budget processes and activities are responsive to their needs							
FY 2012 Results	FY 2013 Results	FY 2014 Results	FY 2015 Results	FY 2016 Results	FY 2016 Target	FY 2016 Target Met/ Not Met	FY 2012-FY 2016 Trend
N/A*	N/A*	N/A*	N/A*	31.1%	Establish Baseline	Establish Baseline	▮

FY 2016 Analysis of Results:

The survey was administered between February 3, 2016 and February 26, 2016. The response rate was 7.29 percent, with 359 respondents. Of the 318 respondents who answered the question, 31.1 percent agreed that OPM's budget processes and activities were responsive to their needs. An additional 39.0 percent of respondents were neutral.

*N/A – Not Available – no data available for this period.

Strategy 5.02: Institutionalize corporate prioritization

FY 2016 Progress Update

OPM continued to make enhancements to prioritize agency budget requirements, align them to strategic objectives, to the extent possible, and develop them through collaboration among senior leadership.

By the end of FY 2016, OPM awarded a contract to begin implementation of a Budget Management System, which is scheduled for deployment in FYs 2017-2018. The new system will improve processes and tools for budget formulation, performance management, and decision support analytics. This will aid in the analysis and prioritization of funding requirements.

During FY 2016, OPM initiated efforts to develop an Executive View Dashboard for Office of the Chief Financial Officer performance reporting. This will allow enhanced access to data for programs, allowing agency senior leaders and stakeholders to better monitor, reconcile, and perform budget execution activities. In FY 2016, OPM completed work on the development of an improved open obligations report and agency strategic goal report. The planning for implementation for these reports will begin in the first quarter of FY 2017.

TABLE 5.02A

PERFORMANCE MEASURE:
Percent of stakeholders who agree that OPM's budget processes and activities are transparent

Refer to Table 5.01A.

TABLE 5.02B

PERFORMANCE MEASURE:
Percent of stakeholders who agree that OPM's budget processes and activities are responsive to their needs

Refer to Table 5.01B.

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

FY 2016 Progress Update

OPM introduced new initiatives to inform agency stakeholders about the agency budget process. During FY 2016, OPM finalized and implemented a comprehensive Budget, Performance, and Finance training course to provide agency leaders with a broad view of Federal budgeting and related processes. This course covered budget formulation and execution, as well as performance management. The training was initially delivered to senior executives. Training topics included (1) an overview of annual budget, (2) performance and finance requirements and deliverables, (3) timelines, and (4) terminology and guidance for completing related requirements. Future training will be facilitated at lower-levels.

OPM also sought feedback from stakeholders to enhance OPM budget-related processes, tools, and information sharing. OPM developed and administered a customer satisfaction survey to agency employees who performed budget-related activities. Survey participants were asked to rate their level of satisfaction with current processes and activities. The survey results have been useful in determining where the agency can direct actions to increase knowledge and access to budget information and tools. The FY 2016 survey was the first iteration of this survey, which will become a regular tool to gather feedback from stakeholders.

TABLE 5.03A

PERFORMANCE MEASURE: Percent of stakeholders who agree that informaton about OPM's budget processes, activities and tools is communicated to users							
FY 2012 Results	**FY 2013 Results**	**FY 2014 Results**	**FY 2015 Results**	**FY 2016 Results**	**FY 2016 Target**	**FY 2016 Target Met/ Not Met**	**FY 2012- FY 2016 Trend**
N/A*	N/A*	N/A*	N/A*	49.2%	Establish Baseline	Establish Baseline	█

FY 2016 Analysis of Results:

The survey was administered between February 3, 2016 and February 26, 2016. The response rate was 7.29 percent, with 359 respondents. Of the 325 respondents who answered the question, 49.2 percent agreed that OPM's budget processes, activities, and tools were communicated to users. An additional 24.6 percent of respondents were neutral.

*N/A – Not Available – no data available for this period.

TABLE 5.03B

FY 2016 Milestone	Met/ Not Met
Train agency stakeholders on key aspects of OPM's cost accounting program, resulting in increased awareness and application of cost accounting models and toolsets.	Met

FY 2016 Analysis of Results:

During FY 2016, OPM developed and delivered training to CFO staff, as appropriate, and agency program offices to increase their knowledge of cost accounting concepts and techniques. This training was useful as the agency developed cost models and dashboards to demonstrate reporting capabilities.

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

FY 2016 Progress Update

Regarding the configuration and deployment of Cost Accounting Models, significant progress was made during FY 2016 to further develop models and improve data reliability. Specifically in FY 2016, we accomplished the following:

- refined the functional and support activities, and cost objects in the cost accounting model to support model data documentation and to increase cost granularity and transparency of the Enterprise-wide Managerial Cost Accounting (EMCA) Model Data Structure;

- streamlined and aligned OPM's EMCA activities to labor codes which provide a direct method for allocating labor costs to improve the traceability and the quality of the cost data; and

- awarded a contract for the implementation and support of the Enterprise-wide Cost Accounting System implementation planned for FY 2019.

TABLE 5.04A

	PERFORMANCE MEASURE: Revolving Fund net income (three year rolling average)						
FY 2012 Results	FY 2013 Results	FY 2014 Results	FY 2015 Results	FY 2016 Results	FY 2016 Target	FY 2016 Target Met/ Not Met	FY 2012- FY 2016 Trend
N/A*	N/A*	$272,000,000	$125,000,000	$162,463,231	≥$0	Met	

FY 2016 Analysis of Results:

FY 2016 results do not include credit monitoring activities.

*N/A – Not Available – no data available for this period.

TABLE 5.04B

FY 2016 Milestone	Met/ Not Met
Deploy automated Cost Accounting Technical model that traces direct and indirect agency costs using the pre-defined agency-wide cost accounting	Not Met

FY 2016 Analysis of Results:

OPM awarded a contract at the end of FY 2016 to begin the development of a cost accounting system solution. The target timeframe for full agency deployment of this solution is FY 2019.

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

FY 2016 Progress Update

OPM worked with agencies to incorporate people leadership elements into Senior Executive Service (SES) performance plans. These elements include agency workforce goals and metrics, including improvement targets related to employee engagement. OPM reviewed examples of performance plans to gain visibility into agency progress and posted them to *UnlockTalent.gov*.

OPM cross-walked the Supervisory and Managerial Curriculum Framework released September 2015 to courses on OPM's Manager Corner (on *HRU.gov*) to assist agencies in strengthening the leadership development programs.

OPM continued to promulgate improvement in onboarding of senior executives through guidance supporting the December 2015 Executive Order

–*Strengthening the Senior Executive Service*. The guidance outlined the critical requirements and flexible framework that will guide agencies in providing the critical support to executives through their first year of service in new positions.

OPM developed an online course, *Maximizing Employee Engagement*, designed to help educate and provide Federal leaders with knowledge and strategies to successfully support employee engagement–an objective consistently shown through workplace studies as a critical enabler of organizational success, financial performance, and positive human capital management outcomes in critical areas including recruitment and retention. The course is highly-interactive, integrating electronic job aids and activities to increase and enhance learning.

TABLE 6.01A

PERFORMANCE MEASURE: Percent of components of CHCO organizations that increased "leaders lead" scores							
FY 2012 Results	**FY 2013 Results**	**FY 2014 Results**	**FY 2015 Results**	**FY 2016 Results**	**FY 2016 Target**	**FY 2016 Target Met/ Not Met**	**FY 2012-FY 2016 Trend**
N/A*	N/A*	N/A*	57.3%	70.2%~	≥50%	Met	

FY 2016 Analysis of Results:

OPM conducted the survey between May 5 and June 16, 2016. Thirty-three of 47 components of CHCO organizations increased their "leaders lead" scores. OPM encouraged agencies to share results with components and subcomponents and encourage action-planning below the department/agency level. Research has shown that change occurs best at the lower levels and the results seem to support that. In addition, many agencies identified leadership-related challenges as the action planning area of focus and, as a result, instituted efforts that involved improved leadership activity. Agencies placed an emphasis on leaders communicating with employees differently, more often, and more effectively. Agencies incorporated employee engagement in leaders' performance plans, as well as provided leaders with training and development support with the goal of strengthening leadership competencies and skills.

*N/A – Not Available – no 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 2012 Results	**FY 2013 Results**	**FY 2014 Results**	**FY 2015 Results**	**FY 2016 Results**	**FY 2016 Target**	**FY 2016 Target Met/ Not Met**	**FY 2012- FY 2016 Trend**
N/A*	N/A*	N/A*	20	9	Establish Baseline	Establish Baseline	

FY 2016 Analysis of Results:

In FY 2016, nine people received a LEAD Certificate at the Executive and Manager level. As of the end of the fiscal year, another seven had completed the coursework and were in the process of writing or waiting to receive a grade for their capstone requirement for the program. As individuals from different agencies sign up for the certificate programs, different factors influence completion of the certification processes. Some individuals sign up for courses and after taking two or three courses, decide they will continue and pursue the certificate program for their grade. We have seen enrollments rise in taking the individual courses that constitute the certificates but fewer opting to take the entire sequence for certifications. This is a function of factors impacting attendance and enrollments (that is, lack of enforcement of Executive Development Plans, Individual Development Plans, Succession Plan Development, and Workforce Planning in Federal agencies). Future improvements include increased promotional marketing of all certificate programs, reinforcement by the CHCOs to utilize OPM programs for continued professional development, and follow-up with previous certificate recipients regarding promotion in their agencies.

*N/A – Not Available – no data available for this period.

TABLE 6.01C

PERFORMANCE MEASURE: **Number of CHCO Act agencies using Manager and Executive level certificate programs**							
FY 2012 Results	**FY 2013 Results**	**FY 2014 Results**	**FY 2015 Results**	**FY 2016 Results**	**FY 2016 Target**	**FY 2016 Target Met/ Not Met**	**FY 2012- FY 2016 Trend**
N/A*	N/A*	N/A*	23	23	Establish Baseline	Establish Baseline	

FY 2016 Analysis of Results:

In FY 2016, 126 employees from 23 of 25 CHCO agencies (92 percent) self-identified as pursuing LEAD at the Executive and Manager levels. An additional 1,350 individuals from CHCO agencies took courses that could be applied towards a LEAD Certificate at the Executive or Manager level without indicating that they were taking the course towards LEAD.

*N/A – Not Available – no data available for this period.

TABLE 6.01D

FY 2016 Milestone	**Met/ Not Met**
Develop and deliver two successful certification of mastery programs with employee engagement as a focus area of learning	Not Met

FY 2016 Analysis of Results:

OPM has not developed mastery programs that focus on employee engagement. The certificate programs cover a broad set of competencies. Certificate program participants have three years to complete certificate requirements and individuals who enroll in the various courses often take courses to address specific areas of learning and do not enroll in the certificate track. OPM has leadership modules that cover topics that impact engagement, and is proposing a course that specifically focuses on employee engagement.

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

FY 2016 Progress Update

Building on a promising practice in the use of a situational judgment assessment in the managerial hiring process, OPM administered the Supervisory Situational Judgment Test via the USAHire platform for three different agencies in FY 2016: OPM, the Defense Logistics Agency, and U.S. Army Corps of Engineers. These three agencies more than doubled their use of the test in FY 2016, assessing applicants for 280 job opportunity announcements in FY 2016 compared to 106 job opportunity announcements in FY 2015. OPM is also currently working with two additional agencies to prepare for implementation in FY 2017. OPM expects to continue to leverage and promulgate this process for managerial hiring to other Federal agencies in FY 2016. In addition, OPM began work on an executive assessment in FY 2016 that can be used Government-wide for executive hiring. In FY 2016, OPM conducted market research, including interviews with 19 private-sector organizations to determine best practices for executive assessment, and conducted subject matter expert and stakeholder panels with Executive Resources staff, new SES members, experienced SES members, and Qualifications Review Board members to gather input on and shape the assessment strategy. OPM also partnered with the National Academy Public Administration to host a thought leader discussion on principles, strategies, and recommendations for modernizing Federal executive talent management. Representatives from the private sector, academia, and good government groups provided input on SES talent management and executive hiring. OPM will expand the suite of executive assessments in FY 2017. OPM provided agencies guidance with information and tools to implement SES hiring and Qualifications Review Board submission methods that will serve as alternatives to the traditional methods commonly used. The guidance also provided information on streamlining initial SES hiring processes. OPM explored alternative methods of documenting executive qualifications during the agency hiring process (for example, video-based documentation) that could be used to satisfy the needs of Qualifications Review Board assessors, all of which could enable the selection of SES members without the traditional heavy reliance on written materials.

To help support development of leadership skills and provide for broadening experiences, OPM expanded the Interagency Rotation Program to additional President's Management Council agencies and interested regional areas through the Federal Executive Boards.

OPM released two training courses entitled, "*Emotionally Intelligent Leadership*" and "*Leading Change.*" OPM developed these courses for cross-Governmental use as part of OPM's strategic commitment to help agencies create inclusive work environments where the workforce is fully engaged. The courses are part of a collection of executive development tools and courses available to agencies to help meet requirements set forth in 5 CFR 412.202.

OPM continued to promulgate improvement in onboarding of senior executives through guidance supporting the December 2015 Executive Order – *Strengthening the Senior Executive Service*. The guidance outlined the critical requirements and flexible framework that will guide agencies in providing the critical support to executives through their first year of service in new positions.

OPM also worked with agencies to develop strategic talent management and succession planning programs as mandated in the Executive Order. OPM drafted guidance and highlighted agency promising practices through various forums. In accordance with section 3(a)(v) of the Executive Order, OPM also provided instructions for agencies to develop plans to increase the number of SES members on rotation to improve talent development, mission delivery, and collaboration.

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

FY 2016 Progress Update

To maximize the *UnlockTalent.gov* user experience, OPM released many enhancements to the *UnlockTalent.gov* dashboard in FY 2016. OPM added two new levels of access, the Executive level and the Basic User level. The Executive Access provides executives and senior leaders with an additional level of data within their agency. The Basic User access allows Federal employees who work for agencies that do not participate in the Federal Employee Viewpoint Survey to access the Community of Practice page and the HR Core Metrics page on *UnlockTalent.gov*. OPM also enhanced the navigational scheme of the site to make it easier for the user to access information, and created a demographic map on the public landing page to provide an additional benchmark showing what our workforce looks like throughout the country. As resources permit, OPM will continue to enhance the site by building out the HR Core Metrics page to include key metrics for agencies to benchmark across government, adding a feature that will allow for deeper analysis of the data, and enhancing the Community of Practice page to include a search feature and a discussion board.

In addition to the enhancements, OPM continued its efforts to encourage the use of *UnlockTalent.gov* as a tool for engagement. In FY 2016, OPM established *UnlockTalent.gov* points of contact at each agency to increase the effectiveness of the distribution of communication and briefed the Chief Human Capital Officers Council on upcoming changes to the site. OPM also held focus groups and conducted user testing to determine what agencies want from *UnlockTalent.gov* and how they want it. OPM also spoke to various groups and agencies about how to use *UnlockTalent.gov* as a tool to make data-driven decisions, and is currently working to develop a communication strategy to drive users to *UnlockTalent.gov*.

Through the enhancements and improvements for *UnlockTalent.gov*, OPM is maximizing the user's experience and making *UnlockTalent.gov* a meaningful tool as agencies continue to find ways to increase their employee engagement.

Building on foundational research work in FY 2015 on employee engagement, OPM published and disseminated a white paper on employee engagement entitled, "Engaging the Federal Workforce: How To Do It & Prove It" that put forth a common definition and model for measuring and influencing employee engagement across Government. This research was and will continue to be used to shape OPM's policy, oversight, and services with regard to employee engagement. To further disseminate this work, OPM conducted an employee engagement webinar series, which was open to all Federal employees. The series consisted of eight webinars designed to promulgate a framework of employee engagement that can be modeled across agencies, as well as resources and 'how to' information to support agencies and managers in understanding how to make a difference in increasing employee engagement in their organizations.

TABLE 6.03A

PERFORMANCE MEASURE: **Percent of CHCO Act agencies that access the Employee Viewpoint Survey** **Online Reporting and Analysis Tool**							
FY 2012 Results	**FY 2013 Results**	**FY 2014 Results**	**FY 2015 Results**	**FY 2016 Results**	**FY 2016 Target**	**FY 2016 Target Met/ Not Met**	**FY 2012-FY 2016 Trend**
N/A*	N/A*	N/A*	100%	100%	100%	Met	

FY 2016 Analysis of Results:

All 25 CHCO Act agencies have accessed the Employee Viewpoint Survey Online Reporting and Analysis Tool.

*N/A – Not Available – no data available for this period.

TABLE 6.03B

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 2012 Results	**FY 2013 Results**	**FY 2014 Results**	**FY 2015 Results**	**FY 2016 Results**	**FY 2016 Target**	**FY 2016 Target Met/ Not Met**	**FY 2012-FY 2016 Trend**
N/A*	N/A*	N/A*	72.6%	83.1%	≥95%	Not Met	

FY 2016 Analysis of Results:

In FY 2016, 296 of 356 component-level reports were accessed.

*N/A – Not Available – no data available for this period.

TABLE 6.03C

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 2012 Results	**FY 2013 Results**	**FY 2014 Results**	**FY 2015 Results**	**FY 2016 Results**	**FY 2016 Target**	**FY 2016 Target Met/ Not Met**	**FY 2012-FY 2016 Trend**
N/A*	N/A*	N/A*	44.8%	66.5%	≥75%	Not Met	

FY 2016 Analysis of Results:

In FY 2016, 14,045 of 21,119 lower-level component reports were accessed.

*N/A – Not Available – no data available for this period.

TABLE 6.03D

	PERFORMANCE MEASURE: Percent of users satisfied with *UnlockTalent.gov*						
FY 2012 Results	**FY 2013 Results**	**FY 2014 Results**	**FY 2015 Results**	**FY 2016 Results**	**FY 2016 Target**	**FY 2016 Target Met/ Not Met**	**FY 2012- FY 2016 Trend**
N/A*	N/A*	N/A*	N/A*	28.7%	Establish Baseline	Establish Baseline	▮

FY 2016 Analysis of Results:
The survey, with 397 respondents in FY 2016, is an open participation link (anyone who visits the site and clicks on the link has the opportunity to complete the survey). Of the 363 users who responded to the question "Overall, how satisfied are you with this site?" 104 users selected either "very satisfied" or "satisfied." Scores for this question, and for the survey overall, were at the lowest during October 2015, when *UnlockTalent.gov* went live to all Federal employees. During this period, there was some confusion around who could access the site and what specific data they could access. While the overall satisfaction score for FY 2016 is relatively low, breaking the score out by month shows that since October 2015, there has been an increase in the percent of scores that were positive for overall satisfaction with the site.

*N/A – Not Available – no data available for this period.

TABLE 6.03E

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

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

FY 2016 Progress Update

In FY 2016, OPM's MSAC Lead Evaluators met with agency Accountability Program Managers and discussed how agencies could assess the impact of strategies/interventions designed to enhance employee engagement through their independent audit programs.

MSAC developed an employee engagement program checklist and interview guides for executives, supervisors, and employees for agencies to use during independent audits. The tools will help the agency gather valuable information for the agency Senior Accountable Official to further assess the impact of activities designed to improve employee engagement.

In September 2016, the checklist and interview guides were presented to the Accountability Program Manager Council. During the meeting, MSAC shared how the tools could be used, and the agency Accountability Program Managers were encouraged to incorporate employee engagement during self-assessments.

MSAC began incorporating assessment of employee engagement in OPM-led reviews. OPM assessed employee engagement and morale in OPM's review of the Department of Homeland Security.

During Accountability Program Manager Council meetings, MSAC held preliminary discussions on how agency independent audit activity can identify employee engagement "best practices", which can be shared during future council meetings.

MSAC finalized plans to provide formal feedback to agencies on their employee engagement activities when conducting assessments of their evaluation systems using OPM's Accountability Assessment Tool.

TABLE 6.04

> **PERFORMANCE MEASURE:**
> **Percent of components of CHCO organizations that increased "leaders lead" scores**

Refer to Table 6.01A.

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

FY 2016 Progress Update

In FY 2016, OPM continued to focus on Government-wide diversity and inclusion efforts by issuing the FY 2016 Inclusive Diversity Strategic Plan. The plan identifies three primary goals for agencies to achieve.

1. Diversify the federal workforce through active engagement of leadership. Federal agencies shall foster a diverse, high-performing workforce drawn from all segments of American society.

2. Include and engage everyone in the workplace. Federal agencies shall foster a culture that encourages employees to feel uniquely valued and experience a sense of belonging.

3. Optimize inclusive diversity efforts using data-driven approaches.

Federal agencies shall continue to improve their inclusive diversity communication efforts and comply in a timely fashion with Federal Equal Opportunity Recruitment Program requirements.

Agency partners across Government are issuing Government-wide Inclusive Diversity Strategic Plans that identify strategies and specific actions to achieve the inclusive diversity goals.

OPM provided access and canned reporting capability through USA Staffing® for agencies to evaluate applicant flow data, to support efforts to recruit from all segments of American society. Federal managers use this data analysis to improve outreach and recruitment activities to help fill staff vacancies.

OPM continues to work in collaboration with the Office of Management and Budget and the Equal

Employment Opportunity Commission on the Diversity and Inclusion in Government Council. The Council formed three workgroups to tackle several challenges, including providing more unconscious/implicit bias training, and resolving challenging sexual orientation/gender identity issues in the workplace. The Council issued policy guidance to all heads of executive departments and agencies on responding to incidents of societal tension and unrest.

OPM convened a Diversity and Inclusion Collaboration and Innovation Summit to educate diversity and inclusion, human capital, and equal employment opportunity professionals across Government on ways to collaborate and innovate to make progress toward improving the recruitment, development, and engagement of a diverse Federal workforce.

In FY 2016, the Government-wide New IQ score increased to 58 percent from 57 percent. The New IQ is a measure of employee satisfaction with 20 questions from the Federal Employee Viewpoint Survey (EVS). The EVS questions and New IQ measure is broken down into five key habits of Inclusion: Fair, Open, Cooperative, Supportive, and Empowering.

The biggest increases among the five habits of inclusion were Fair and Cooperative, both increasing two percentage points. Open and Empowering both increased one percentage point, whereas, Supportive remained unchanged since FY 2015. All New IQ scores are at or above the results from FY 2013. OPM has provided New IQ technical assistance training to more than 10,000 Federal managers and employees since FY 2013.

During FY 2016, OPM conducted feedback assistance roundtables whereby OPM diversity and inclusion professionals met with Chief Human Capital Officers, Equal Employment Opportunity, and Diversity and Inclusion Officers from twelve Federal agencies to discuss diversity and inclusion outcomes, including New IQ scores, Hispanic representation, and the employment of people with disabilities.

OPM continued to collaborate with agencies to attract applicants and retain employees

from historically underrepresented groups, including people with disabilities, at all levels of Government, resulting in some key successes. Executive Order 13548 committed the Executive Branch to enhancing opportunities for individuals with disabilities in the Federal workforce and included a goal to hire 100,000 people with disabilities into Federal service over five years. In FY 2016, OPM announced that in FYs 2011-2015, during which Federal agencies have been implementing Executive Order 13548, the Federal Government hired 109,575 part-time career and full-time career employees with disabilities.

By the end of FY 2015, the most recent year for which data is available, total non-seasonal full-time career Federal employment for people with disabilities had increased from 247,608 in FY 2014 to 264,844, representing an increase from 13.56 percent, to 14.41 percent. This is more people with disabilities in Federal service both in real terms and by percentage than at any time in the past 35 years. New hires with disabilities also increased from 20,618 in FY 2014 to 26,466 in FY 2015, representing an increase of 5,851 more hires, or 19.02 percent. As of the end of FY 2015, there were more people with targeted disabilities in Federal service than at any time in the past 19 years.

OPM, in consultation with OMB, has determined that performance toward this strategy is making noteworthy progress.

TABLE 6.05A

PERFORMANCE MEASURE: Percent of non-seasonal, full-time permanent employees onboard in the Federal Government with targeted disabilities							
FY 2012 Results	FY 2013 Results	FY 2014 Results	FY 2015 Results	FY 2016 Results	FY 2016 Target	FY 2016 Target Met/ Not Met	FY 2012-FY 2016 Trend
.96%	1.02%	1.07%	1.10%	Expected Q3 FY 2017	≥1.1%	Expected Q3 FY 2017	

FY 2015 Analysis of Results:

In FY 2015, the most recent year for which results are available, 20,274 out of 1,838,352 total non-seasonal, full-time career employees had targeted disabilities. This is a slight increase from 19,536 in FY 2014.

TABLE 6.05B

PERFORMANCE MEASURE: Percent of USAJOBS hiring actions for which managers and/or Human Resources Government-wide reviewed applicant flow data							
FY 2012 Results	FY 2013 Results	FY 2014 Results	FY 2015 Results	FY 2016 Results	FY 2016 Target	FY 2016 Target Met/ Not Met	FY 2012-FY 2016 Trend
N/A*	N/A*	53%	76.6%	99.5%^	≥50%	Met	

FY 2016 Analysis of Results:

Hiring managers and/or HR reviewed applicant flow data for 248,547 of 249,686 announcements. OPM exceeded its target due to increased efforts in FY 2016 to make applicant flow data available to more USA Staffing® customers. OPM facilitated quarterly workgroup meetings with agencies to increase awareness and use of the data. OPM also increased its direct assistance to customers in accessing, retrieving, and analyzing the data. Applicant flow data is now accessible to nearly 100 percent of USA Staffing® customers.

*N/A – Not Available – no data available for this period.

^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.

TABLE 6.05C

PERFORMANCE MEASURE: Percent of components of CHCO organizations that increased "leaders lead" scores

Refer to Table 6.01A.

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 lifecycle

FY 2016 Progress Update

OPM provided webinar trainings to the HR community through OPM's YouTube channel and the OPM website. The webcasts included Insurance Updates, D.C. Government Service, Special Retirement Provisions for Law Enforcement and Firefighters, Non-Appropriated Fund Instrumentality, and Special Benefits Provisions for Senior Officials and Congressional Employees. OPM delivered eight webinars in FY 2016 that received more than 4,000 views. As webcasts are hosted online, they 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 Federal Erroneous Retirement Coverage Corrections Act training in Washington, D.C.; Atlanta, GA; Bethesda, MD; Topeka, KS; and Stennis Space Center, MS.

In FY 2016, budget constraints across the Federal Government resulted in OPM's cancellation of its annual Agency Benefit Officers' Training conference. To continue to meet benefits officers' mandatory training needs, OPM delivered virtual benefits officers training seminars. Through the Benefits Officers Virtual Training Seminar, held in November 2015, OPM provided updates to participants on benefits initiatives, shared best practices, and discussed crosscutting issues in retirement, insurance, and Thrift Savings Plan administration. The event also featured information on OPM's Retirement Audit initiative and how to provide a healthy retirement case to OPM. The agency provided an additional virtual Federal benefits seminar in June 2016 that integrated feedback from the November event. The seminar focused on increasing knowledge of the Federal benefits programs and improvements to the retirement process. More than 585 people registered for the June seminar, an increase from the more than 440 registrations for the November seminar.

OPM, in consultation with OMB, has determined that performance toward this strategy is making noteworthy progress.

TABLE 7.01

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

Refer to Table 7.03G.

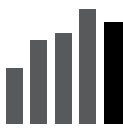**Strategy 7.02: Improve OPM service to Federal agency benefit officers**

FY 2016 Progress Update

In FY 2016, OPM emailed the Annual Training Survey to more than 1,100 benefits officers. The survey results create the foundation of the upcoming year's training plan. OPM provided webcast sessions and two virtual training seminars. As a result of feedback it received from FY 2015, OPM delivered eight new webcasts in FY 2016 for the HR community through the OPM YouTube channel and the OPM website, resulting in more than 4,000 views. Webinar views continue to grow as additional benefits officers take the online trainings.

OPM also delivered two virtual benefits officers training seminars in November and June on benefits initiatives, shared best practices, and crosscutting issues in retirement, insurance, and Thrift Savings Plan administration. The events also featured information on OPM's Retirement Audit initiative and how to provide a healthy retirement case to OPM.

OPM, in consultation with OMB, has determined that performance toward this strategy is making noteworthy progress.

TABLE 7.02A

PERFORMANCE MEASURE: Percent of benefits officers trained per year							
FY 2012 Results	FY 2013 Results	FY 2014 Results	FY 2015 Results	FY 2016 Results	FY 2016 Target	FY 2016 Target Met/ Not Met	FY 2012- FY 2016 Trend
55%	63%	65%	93%	83.8%	≥52%	Met	

FY 2016 Analysis of Results:

OPM conducted the survey in October 2016. OPM trained 57 out of 68 benefits officer survey respondents. To obtain a better assessment of benefit officers trained, OPM posted the survey to a benefits officer's listserv, which increased survey visibility.

In FY 2016, OPM delivered two virtual benefits officers training seminars. The agency also provided webinar trainings to the HR community through OPM's YouTube channel and the OPM website. The FY 2016 webcasts included Insurance Updates, D.C. Government Service, Special Retirement Provisions for Law Enforcement and Firefighters, Non-Appropriated Fund Instrumentality, and Special Benefits Provisions for Senior Officials and Congressional Employees. OPM delivered eight webinars in FY 2016 that received more than 4,000 views. As webcasts are hosted online, they 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/*.

TABLE 7.02B

PERFORMANCE MEASURE: Overall customer satisfaction with guidance material, webinars, virtual conference, live conference, and training							
FY 2012 Results	FY 2013 Results	FY 2014 Results	FY 2015 Results	FY 2016 Results	FY 2016 Target	FY 2016 Target Met/ Not Met	FY 2012- FY 2016 Trend
N/A*	N/A*	N/A*	N/A*	78.1%	Establish Baseline	Establish Baseline	

FY 2016 Analysis of Results:

OPM conducted the survey April 27-May 27, 2016. With 181 survey respondents, the response rate was 12 percent. Across all four categories of training (guidance material, webinars, virtual conference, and live conference) 392 of 502 responses were satisfactory. Survey respondents expressed the greatest satisfaction with live training at 87 percent, and the next greatest with guidance material at 83 percent. On average, respondents' overall satisfaction rate was 78.1 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.

*N/A – Not Available – no data available for this period.

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

FY 2016 Progress Update

OPM continues to implement the core components in the Retirement Services (RS) Strategic Plan, including delivering quality customer service to people; implementing productivity and process improvements; partnering with agencies; and making partial, progressive information technology improvements. When the Retirement Services Strategic Plan was released in January 2012, the inventory was 61,108 claims. As of the end of FY 2016, the inventory has been reduced to 15,146.

OPM is focused on both its internal process improvements and external outreach towards other Federal agencies to meet its goal of processing 90 percent of claims within 60 days. Based on a Lean Six Sigma process improvement review, OPM has streamlined and standardized workflows. For example, OPM changed processes to review and assemble complete cases before distributing them to legal administrative

specialists for adjudication. As of the end of FY 2016, all pending processing claims were processed within an average of 54.1 days, with 77 percent processed within 60 days.

In FY 2016, OPM partnered with the Defense Finance and Accounting Service (DFAS) and the United States Postal Service (USPS) to help with claims processing during the annual retirement surge. This partnership provided vital help to the agency's claims processing efforts. The DFAS and USPS employees assisted OPM with getting manual interim pay to annuitants more quickly.

A portion of OPM's workload also involves retirement benefits provided by other agencies that need to be coordinated with OPM's benefits, such as Federal Employees Retirement System (FERS) disability benefits and Office of Worker's Compensation Programs claims. For instance, the agency receives information from Social Security regularly for its FERS claims processing, and is discussing other process improvements. OPM also meets with both USPS and the National Personnel Records Center on a bi-weekly basis to discuss common issues attendant to retirement processing. The agency anticipates that using

this internal and external process improvement approach will help OPM meet the 60-day goal.

OPM continues to make progress on the five major IT initiatives that will ultimately lead to the realization of its IT strategic vision, including the Electronic Retirement Record, Retirement Data Repository, Data Bridge, Online Retirement Application, and Enterprise Case Management System (ECMS). OPM awarded blanket purchase agreements to five vendors to configure the ECMS Product and also awarded the blanket purchase agreement call for Retirement Services technical requirements development. This will enable OPM to complete the development and documentation of the RS ECMS technical requirements that will be a part of a request for quotes for the RS ECMS configuration. OPM is also working to expand access to the Retirement Data Repository, via Data Viewer, to additional agencies. In FY 2016, OPM continued to add user access to the Data Viewer by working with agencies and payroll providers. At the end of FY 2016, OPM had approximately 600 users and more than 30 agencies using the Data Viewer. These agencies primarily represent the executive branch customers of Defense Finance and Accounting Service and Interior Business Center. OPM has also developed the web service to call Electronic Retirement Record data from the Retirement Data Repository. In addition, the developed Data Gateway will analyze Electronic Retirement Record data and build business rules to transform and map ERR data to the retirement calculator (the Federal Annuity Claims Expert Systems). While OPM anticipates that the implementation of all of the components of its IT strategic vision will impact business operations, the agency cannot determine the impact of each individual system at this time.

In FY 2016, OPM actively encouraged individuals to take advantage of resources available through Services Online, a web platform that provides retirement services on demand (*https://www.servicesonline.opm.gov/*). With 599,505 unique users during FY 2016, OPM surpassed the 513,540 unique users in FY 2015, with 71 percent repeat users. OPM continues

to make improvements to Services Online to enhance the customer experience to encourage both new users and repeat customers.
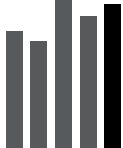
OPM has relied on customer feedback, forward focused initiatives, and process improvements to address customer needs. In FY 2016, OPM completed the relocation of the Boyers Retirement Information Office to Butler, PA and implemented a new phone system which utilizes VoIP technology. Both initiatives will improve OPM's ability to meet customer inquiries. OPM has also added additional call center phone lines to allow for more callers and reduce busy signals. Due to reduced call center staff, OPM has seen an increase in wait times and higher abandonment rates. In the final quarter of FY 2016, OPM hired an additional 38 customer service specialists in the Retirement Information Office to address the high call demand.

A challenging component to implementing this strategy is the unexpected surge in retirement applications. When agencies make Voluntary Early Retirement Authority and Voluntary Separation Incentive Program offers, OPM may see a significant increase in retirement applications. OPM works closely with agencies to understand upcoming retirement offers. However, surges in retirement applications can occur outside of OPM's control and predictions.

OPM also tries to anticipate legislative challenges that may impact the strategy. For example, this may include a change in how retirement annuities are calculated (similar to the White House's initiative on advanced sick leave).

OPM, in consultation with OMB, has highlighted this strategy as a focus area for improvement.

TABLE 7.03A

PERFORMANCE MEASURE: Average unit cost (direct labor only) for processing retirement claims							
FY 2012 Results	**FY 2013 Results**	**FY 2014 Results**	**FY 2015 Results**	**FY 2016 Results**	**FY 2016 Target**	**FY 2016 Target Met/ Not Met**	**FY 2012- FY 2016 Trend**
$101.89	$91.37	$129.83	$124.48	$127.86	≤$128.47	Met	

FY 2016 Analysis of Results:

OPM calculated the average unit cost based on 202,622 claims processed in FY 2016. 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. As part of this effort, OPM manages workload through reporting structures that classify the claims into "buckets" of work. Identifying problem areas and bottlenecks helped OPM develop optimal solutions. Also, consistent with resource constraints in FY 2016, Retirement Services labor costs for claims processing decreased, which decreased the overall cost for claims processing. While OPM relies on direct labor costs to calculate results for this measure, additional costs are incurred when processing claims.

TABLE 7.03B

PERFORMANCE MEASURE: Percent of retirement and survivor claims processed accurately							
FY 2012 Results	**FY 2013 Results**	**FY 2014 Results**	**FY 2015 Results**	**FY 2016 Results**	**FY 2016 Target**	**FY 2016 Target Met/ Not Met**	**FY 2012- FY 2016 Trend**
92%	93%	94%	94.1%	95.6%	≥95%	Met	

FY 2016 Analysis of Results:

The percent of retirement and survivor claims processed accurately is determined from ongoing reviews based on a statistically valid random sample. OPM projected that it accurately processed 123,298 of an estimated 129,020 retirement and survivor claims. OPM has implemented strategies and techniques to support the continued improvement of claims accuracy. The strategies include standardized and improved training for legal administrative specialists, roundtable discussions to create consistency among reviewers, online training modules, and refresher technical training. Claims adjudicators are also using a checklist, developed as part of a Lean Six Sigma process improvement effort, 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 2012 Results	**FY 2013 Results**	**FY 2014 Results**	**FY 2015 Results**	**FY 2016 Results**	**FY 2016 Target**	**FY 2016 Target Met/ Not Met**	**FY 2012- FY 2016 Trend**
N/A*	N/A*	79%	70.1%	77.1%	≥90%	Not Met	

FY 2016 Analysis of Results:

OPM processed 72,913 of 94,545 claims within 60 days, an increase of more than seven percentage points from the FY 2015 results. As stated in the Strategy 7.03 Progress Update, OPM partnered with the Defense Finance and Accounting Service (DFAS) and the United States Postal Service (USPS) to help with claims processing during the annual retirement surge. This partnership provided vital help to the agency's claims processing efforts. The DFAS and USPS employees assisted with getting out manual interim pay to annuitants faster. The 77.1 percent of cases OPM processed in less than 60 days were processed in an average of 45 days, while the remainder was processed in an average of 100 days. For those cases taking an average of 102 days, the primary reason was OPM required additional information from the new annuitant, their former agency, or both.

*N/A – Not Available – no data available for this period.

TABLE 7.03D

	PERFORMANCE MEASURE: Percent of customers satisfied with overall retirement services						
FY 2012 Results	**FY 2013 Results**	**FY 2014 Results**	**FY 2015 Results**	**FY 2016 Results**	**FY 2016 Target**	**FY 2016 Target Met/ Not Met**	**FY 2012- FY 2016 Trend**
73%	76%	78%	76.5%	72.2%	≥75%	Not Met	

FY 2016 Analysis of Results:

OPM conducted the survey from September - November 2016. The response rate was 24 percent. Of the 227 respondents who answered the question, 164 reported that they were satisfied. OPM continued to support excellent customer service in FY 2016 through the Retirement Services (RS) CARE Campaign. The acronym CARE communicates the four key values that RS employees should demonstrate: Compassion, Accuracy, Responsiveness, and Empowerment. The CARE team uses the Federal Employee Viewpoint Survey to identify areas of success and challenges, and communicates the results throughout RS and develops an action plan to address concerns. The team also collects feedback from RS employees on customer satisfaction improvements, which it uses as a resource for future planning. The CARE initiative has helped RS provide enhanced customer service to annuitants, survivors, and family members. In FY 2016, OPM encouraged individuals to take advantage of the resources available through Services Online, a web platform that provides retirement services on demand (*https://www.servicesonline.opm.gov/*). OPM conducted a deeper dive into customer service feedback with annuitants from the FY 2015 survey who volunteered to be interviewed about their experience. Interview results provided OPM with insights into areas that may require additional attention. OPM plans on continuing the process of in-depth interviews in the future.

OPM Retirement Services' Retirement Information Office experienced substantial staffing challenges in FY 2016. In addition, the overflow call services contract ended in July 2016, resulting in a loss of approximately 20 trained contract staff. To address these challenges, OPM hired 38 Customer Service Specialists at the end of FY 2016. While the new staff will not immediately be able to fully participate in call handling, given an estimated a three to four month training time, OPM expects the new staff to enhance the agency's ability to respond to customer service inquiries. Interacting with customers through the Retirement Information Office is an important component of OPM's customer service efforts.

Also in FY 2016, OPM implemented a new phone system, which uses VoIP technology to enhance customer care. During the phone testing phase, however, OPM's ability to handle calls was affected, resulting in a decreased the call handling rate. OPM has completed the testing phase and this issue has been resolved.

TABLE 7.03E

PERFORMANCE MEASURE: Rate of improper payments in the retirement program							
FY 2012 Results	**FY 2013 Results**	**FY 2014 Results**	**FY 2015 Results**	**FY 2016 Results**	**FY 2016 Target**	**FY 2016 Target Met/ Not Met**	**FY 2012- FY 2016 Trend**
.36%	.36%	.38%	.38%	.37%	≤.37%	Met	

FY 2016 Analysis of Results:

Of more than $82 billion in payments, $304 million, or .37 percent, were improper. In FY 2016, OPM's overpayment rate was .29 percent and the underpayment rate was .08 percent. OPM continues to make progress in efforts to reduce the extent and rate of improper payments and to recover an increasing percentage of improper payments.

OPM's Retirement Services Quality Assurance Office performs continuous audits of newly adjudicated retiree and survivor claims to calculate processing accuracy rates and the corresponding value of improper payments, as well as to identify any training or systemic deficiencies. The information gained through these audits is used to make informed decisions regarding resources and to ensure compliance with policies and procedures governing the determination and payment of benefits.

OPM's Annuity Roll is also checked weekly by Retirement Services against the Social Security Administration's death record and annually against the full Social Security Administration Death Master File to identify deceased annuitants. In FY 2016, OPM developed an information exchange agreement with the Social Security Administration (SSA) where OPM will provide data on reported deaths from the annuity roll to SSA. This in turn will also assist SSA in identifying and remediating improper payments.
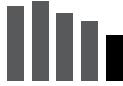
OPM also receives information of deaths or potential disability fraud from outside individuals (for example, family, friends, or co-workers) and investigates these reports using online public databases and by requesting medical records. Additionally, OPM's Office of Inspector General uses a variety of approaches to identify potential cases for further investigation, including proactive reviews of online records to verify annuitant pay. Retirement Services routinely refers potential cases to the Office of the Inspector General for further review and the two offices work collaboratively to address program vulnerabilities.

OPM also has staff dedicated to generate, review and take action on numerous data pulls to maintain and promote the integrity of the Annuity Roll. The agency is continuously on the lookout for other opportunities to detect anomalies or other indicators in its data that may require further analysis through an ad hoc query. OPM uses data mining to show, for example, cases where payments to more than one payee are out of balance, where amounts of benefits exceed a threshold, and when multiple payments are returned.

OPM also trains and provides guidance to agency benefits officers to ensure that employees understand all of the benefit options available to them. A highly trained cadre of human resource benefits officers assists OPM by producing fully developed retirement cases with accurate information, leading to fewer errors or omissions and thus fewer improper payments.

By continuously monitoring payments and taking corrective actions when warranted, OPM believes it can reduce its rate of improper payments. Although OPM's overall improper payments rate for the Retirement program continues to be low considering its size and complexity, OPM will continue working towards reducing retirement related improper payments in FY 2017 and beyond.

TABLE 7.03F

PERFORMANCE MEASURE: Percent of retirement program customer calls handled							
FY 2012 Results	**FY 2013 Results**	**FY 2014 Results**	**FY 2015 Results**	**FY 2016 Results**	**FY 2016 Target**	**FY 2016 Target Met/ Not Met**	**FY 2012-FY 2016 Trend**
81%	82%	76%	72%	66.8%	≥78%	Not Met	

FY 2016 Analysis of Results:

In FY 2016, OPM handled 1,059,998 of 1,585,909 calls. OPM's call handling rate decreased by 5.2 percentage points between FY 2016 and FY 2015. The agency identified several challenges and has implemented plans to enhance OPM's ability to increase the percentage of calls handled.

OPM Retirement Services' Retirement Information Office experienced substantial staffing challenges in FY 2016. In addition, an overflow call services contract ended in July 2016, resulting in a loss of approximately 20 trained contract staff. To address these challenges, OPM hired 38 customer service specialists at the end of FY 2016. The new staff will have a lag time to fully participate in call handling, and OPM estimates a three to four month time period to allow for training. Despite the lag, OPM expects the new staff to enhance the agency's ability to respond to customer service inquiries.

In FY 2016, OPM implemented a new phone system that uses VoIP technology to enhance customer care. However, the phone testing phase impacted the agency's ability to handle calls and thus decreased the call handling rate. The testing phase has been completed and this issue has been resolved.

AGENCY PRIORITY GOAL: 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, 70.1 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 2016 Progress Update

- OPM's claims processing accuracy rate was 95.6 percent for FY 2016, using a weighted average (FY 2016 target is 95 percent).

- In FY 2016, an average of 89.2 percent of retirement applications submissions that OPM received were considered complete. Data is posted on the OPM website: *http://www.opm.gov/about-us/budget-performance/strategic-plans/agency-audit-monthly-update.pdf.*

- OPM also processed 77 percent of pending claims within 60 days (target is 90 percent). The overall average processing time for retirement claims was 54.1 days, with an average of 45 days for claims processed in 60 days or less and 100 days for claims processed in more than 60 days.

- OPM continued to expand access for agency human resources and payroll offices to the Retirement Data Repository via Data Viewer. The Data Viewer enhances productivity and reduces errors by aggregating information from multiple systems and enabling users to see retirement-related data submitted via data feeds and imaged documents based on the users' defined roles and responsibilities in the system. OPM continued to add increased user access to the Data Viewer by working with agencies and payroll providers. At the end of September 2016, approximately 600 users and over 30 agencies were using the Data Viewer. These agencies primarily represent the executive branch customers of the Defense Finance and Accounting Service and the Interior Business Center.

- Retirement Services conducted two Federal Erroneous Retirement Coverage Corrections Act (FERCCA) workshops in early August, at OPM headquarters in D.C. The target audience for the workshops was benefits or staffing human resource specialists who work with retirement coverage determinations or issues. The first day of the workshops included a review of the basic retirement coverage rules and the steps required to process an error decision. Day two of the workshops guided attendees through the process of putting together a complete decision package for employees who need to make a FERCCA election as well as the correction process once the employee makes an election.

- OPM hosted a webcast on Special Benefits Provisions for Senior Officials and Congressional employees. The webcast included topics such as background information and service credit deposits, with the main focus on the special elections that senior officials are entitled to when they became subject to Social Security coverage. The target audience for the website was benefits officers, individuals who fall in the staff categories, and staffing human resource specialists who work with retirement coverage determinations or issues.

- OPM also hosted a webcast on FERS Revised Annuity Employee (RAE) and FERS Further Revised Annuity Employee (FRAE). The webcast included background information and coverage determinations. The target audience for the webcast was benefits officers, individuals who are covered under these benefits, and staffing human resource specialists who work with retirement coverage determinations or issues.

- OPM placed a system for tracking court ordered benefits into production in June 2016. The agency loaded data from the previous system into the new system and is currently doing data cleanup, which is necessary to ensure accurate reporting of processing times and workload. OPM has mapped out the workflows for measuring processing times and will be now testing those workflows with real data. The agency completed training for users by October 2016. OPM will continue to focus on improving retirement claims processing, and has set a new retirement services case processing Agency Priority Goal for 2016-2017.

TABLE 7.03C

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

Refer to Table 7.03C.

TABLE 7.03G

PERFORMANCE MEASURE: **Relative ratio of complete retirement submissions versus incomplete cases**							
FY 2012 Results	**FY 2013 Results**	**FY 2014 Results**	**FY 2015 Results**	**FY 2016 Results**	**FY 2016 Target**	**FY 2016 Target Met/ Not Met**	**FY 2012-FY 2016 Trend**
85%	92%	84%	87.7%	89.2%	≥90%	Not Met	

FY 2016 Analysis of Results:

In FY 2016, 39,937 of 44,769 retirement submissions were complete. The FY 2016 target was an ambitious goal established to continue OPM's upward trend for this measure. The most recent results show an increase of 1.5 percentage points when compared with the FY 2015 results, and 5.2 percentage points when compared with the FY 2014 results.

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

FY 2016 Progress Update

OPM, in consultation with the Office of Management and Budget, has highlighted this strategy as a focus area for improvement for three consecutive fiscal years.

In FY 2016, OPM continued to focus its efforts on maintaining its high quality standards and meeting the timeliness standards established in the Intelligence Reform and Terrorism Prevention Act of 2004 and by the Director of National Intelligence. With respect to background investigation quality, in FY 2016, OPM met its goal–99 percent or more of all investigations were determined to be quality complete. OPM consistently met this goal in FY 2014 and FY 2015.

Since September 2014, when OPM announced it would not exercise options to renew contracts with the contractor that performed the majority of OPM's background investigations, the agency has been unable to meet investigation timeliness standards. OPM met its timeliness goals in FY 2014, but failed to meet its timeliness goals in FY 2015 and FY 2016. The average number of days to complete the fastest 90 percent of all initial national security investigations increased from 35 to 67 to 123 days in FY 2014, FY 2015, and FY 2016 respectively. The target is 40 days. The average number of days to complete the fastest 90 percent of all initial Secret national security investigations increased from 30 to 58 to 108 days in FY 2014, FY 2015, and FY 2016 respectively. The target is 40 days. And the average number of days to complete the fastest 90 percent of all initial Top Secret national security investigations increased from 75 to 147 to 220 days in FY 2014, FY 2015, and FY 2016 respectively. The target is 80 days.

In January 2016, OPM hosted a structured stakeholder engagement to discuss the current state of the investigation program and improvement plans. The improvement plan included hiring 400 additional Federal investigators by the end of FY 2016. Beginning in the second quarter of FY 2017, OPM began the process to hire 200 additional Federal investigators. OPM extended offers to 400 qualified candidates and brought 363 federal investigators onboard in FY 2016. OPM brought onboard an additional 34 investigators in October 2016. In addition, in September 2016, OPM awarded investigative fieldwork services contracts to two additional contractors, increasing the number of fieldwork contractors from two to four, and further expanding its investigative capacity in FY 2017. The new field contract is expected to begin in February 2017. Also in January 2016, OPM announced a decision to create a new Federal entity, the National Background Investigations Bureau (NBIB), to provide a more secure and effective Federal background investigations infrastructure. This followed a 90-day Suitability and Security review conducted by the interagency Suitability and Security Clearance Performance Accountability Council in FY 2015 in light of recent cybersecurity threats, including a well-publicized breach of information housed at OPM. This review re-examined reforms to the Federal background investigations process, assessed additional enhancements to further secure information networks and systems, and determined improvements that could be made to the way the Government conducts background investigations for suitability, national security, and credentialing.

In March 2016, OPM announced the formation of a team to develop and implement a plan for establishing the NBIB. On October 1, 2016, the NBIB began operation with the mission to deliver efficient and effective background investigations to safeguard the integrity and trustworthiness of the Federal workforce. The NBIB absorbed the Federal Investigative Services' mission, workload, and personnel, without interruption to ongoing investigative case processing.

In October 2015, OPM implemented, in accordance with the timelines established in a Government-wide implementation plan, Tier 3 and Tier 3 Reinvestigations of the Federal

Investigative Standards that OPM and the Director of National Intelligence jointly issued in December 2012. In addition, throughout FY 2016, OPM developed the Tier 4 and Tier 4 Reinvestigation, and Tier 5 and Tier 5 Reinvestigation products for implementation on October 1, 2016. OPM provided information about the new investigation products in Federal Investigation Notices 16-02 and 16-07 dated October 6, 2015, and September 26, 2016, respectively.

On October 2, 2015, OPM published FY 2016 investigation pricing rates. The new prices were designed to fully recover a 7.8 percent increase in the costs necessary to run the investigations program. Primary cost drivers were acquisition of additional investigative resources to address the imbalance between existing capacity and workload, and information technology security and system enhancements to protect against cyber-attacks and make the investigative process more efficient.

On September 21, 2016, OPM published FY 2017 investigation billing rates to fully recover an estimated 5.4 percent increase in the costs necessary to sustain and advance the investigation program. The primary cost drivers were the newly re-competed investigative contracts, capacity growth, and alignment initiatives aimed to reduce the backlog and improve and align investigative resources in critical high-workload locations, as well as the establishment of the NBIB.

In FY 2016, OPM continued to work with the Office of Management and Budget, the Director of National Intelligence, and other agencies to implement Government-wide quality standards. The standards were approved by the Security and Suitability Executive Agents in January 2015 to facilitate the measurement and continued improvement of investigative quality across the executive branch. The new automated Quality Assessment Rating Tool will be available in FY 2017 to document agency quality assessments.

The NBIB performance improvement plan includes increasing capacity by hiring additional 200 federal field investigators in FY 2017 and awarding contracts to two additional fieldwork contractors. In addition, the NBIB continues to streamline processes through its business process reengineering efforts.

AGENCY PRIORITY GOAL: 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 2016 Progress Update

- On October 1, 2015, OPM implemented the Tier 3 and the Tier 3 Reinvestigation products. The new products are based on the 2012 Federal Investigative Standards. OPM will assess the impact of the Tier 3 and the Tier 3 Reinvestigation products on timeliness in FY 2017.

- On October 1, 2016, OPM launched the Tiers 4 and 5 investigation products for high risk and top secret clearance determinations.

- In October 2015, OPM published a Federal Investigations Notice announcing its products and service pricing for FY 2016.

- Beginning in the second quarter of FY 2016, OPM began the process to hire 400 additional Federal investigators. In FY 2016, OPM made 400 conditional offers of employment to Federal field investigators, brought 363 onboard, and brought the remaining 37 onboard by the end of CY 2016.

- To counter the impact of the non-renewal of an investigative fieldwork contract with a major FIS contractor in FY 2014, OPM continued to work with its two remaining investigative fieldwork contractors to increase their production. In addition, in September 2016, OPM solicited new proposals for a fieldwork contract and awarded contracts to two additional investigative fieldwork contractors, further expanding its investigation capacity.

- Actions taken to expand investigative capacity were within budget constraints, and maintained the current high quality of OPM's investigations.

OPM will continue to focus on improving background investigation timeliness and quality, and has set a new investigation services case processing Agency Priority Goal for 2016-2017.

TABLE 8.01A

PERFORMANCE MEASURE: Percent of investigations determined to be quality complete							
FY 2012 Results	**FY 2013 Results**	**FY 2014 Results**	**FY 2015 Results**	**FY 2016 Results**	**FY 2016 Target**	**FY 2016 Target Met/ Not Met**	**FY 2012- FY 2016 Trend**
99.9%	99.8%	99.9%	99.9%	99.8%	≥99%	Met	

FY 2016 Analysis of Results:

In FY 2016, OPM determined that 2,513,602 of 2,519,872 investigations were quality complete. While the agency works to improve timeliness and reduce its inventory, OPM continued to focus on the quality of its investigations. OPM uses a multi-level quality review process that includes quality check points throughout the investigation process and a final quality review performed by OPM's Federal employees before the investigations are sent to the agencies. OPM has various methods for collecting feedback from agencies, including an online quality assessment tool, reopen requests, and a quality hotline. In FY 2016, OPM worked with the Office of the Director of National Intelligence and Department of Defense to develop a Quality Assessment Rating Tool to be launched in FY 2017. 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 2012 Results	**FY 2013 Results**	**FY 2014 Results**	**FY 2015 Results**	**FY 2016 Results**	**FY 2016 Target**	**FY 2016 Target Met/ Not Met**	**FY 2012- FY 2016 Trend**
36	35	35	67	123	≤40	Not Met	

FY 2016 Analysis of Results:

OPM completed 346,825 initial national security investigations in FY 2016. Timeliness was 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. To counter the loss of investigative resources, OPM and the two remaining fieldwork contractors increased their field staff in FY 2016.

TABLE 8.01C

PERFORMANCE MEASURE: Average number of days to complete the fastest 90 percent of initial Secret national security investigations							
FY 2012 Results	**FY 2013 Results**	**FY 2014 Results**	**FY 2015 Results**	**FY 2016 Results**	**FY 2016 Target**	**FY 2016 Target Met/ Not Met**	**FY 2012- FY 2016 Trend**
N/A*	28	30	58	108	≤40	Not Met	

FY 2016 Analysis of Results:

OPM completed 296,007 initial Secret national security investigations in FY 2016. On October 1, 2015, OPM implemented the Tier 3 investigation for Secret and Confidential security clearance determinations. The Tier 3 replaced the National Agency Check with Law and Credit and Access National Agency Check and Inquiries investigations. Timeliness was 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. To counter the loss of investigative resources, OPM and two remaining fieldwork contractors increased their field staff in FY 2016.

*N/A – Not Available – no data available for this period.

TABLE 8.01D

PERFORMANCE MEASURE: **Average number of days to complete the fastest 90 percent of initial Top Secret national security investigations**							
FY 2012 Results	**FY 2013 Results**	**FY 2014 Results**	**FY 2015 Results**	**FY 2016 Results**	**FY 2016 Target**	**FY 2016 Target Met/ Not Met**	**FY 2012-FY 2016 Trend**
N/A*	80	75	147	220	≤80	Not Met	

FY 2016 Analysis of Results:

OPM completed 50,818 initial Top Secret national security investigations in FY 2016. Timeliness was 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. To counter the loss of investigative resources, OPM and two remaining fieldwork contractors increased their field staff in FY 2016.

*N/A - Not Available - no data available for this period.

TABLE 8.01E

PERFORMANCE MEASURE: **Number of Federal investigators hired by OPM**							
FY 2012 Results	**FY 2013 Results**	**FY 2014 Results**	**FY 2015 Results**	**FY 2016 Results**	**FY 2016 Target**	**FY 2016 Target Met/ Not Met**	**FY 2012-FY 2016 Trend**
N/A*	N/A*	N/A*	N/A*	363	Contextual	Contextual	

FY 2016 Analysis of Results:

OPM initiated its hiring plan at the beginning of the second quarter of FY 2016. As of the end of FY 2016, OPM extended 400 job offers to qualified job candidates in FY 2016 and brought 363 onboard. The remaining 37 investigators were brought onboard by the end of CY 2016.

*N/A — Not Available — no data available for this period.

TABLE 8.01F

PERFORMANCE MEASURE: **Number of fieldwork source units completed by OPM's fieldwork contractors**							
FY 2012 Results	**FY 2013 Results**	**FY 2014 Results**	**FY 2015 Results**	**FY 2016 Results**	**FY 2016 Target**	**FY 2016 Target Met/ Not Met**	**FY 2012-FY 2016 Trend**
N/A*	N/A*	N/A*	N/A*	2,475,900	Contextual	Contextual	

FY 2016 Analysis of Results:

In FY 2016, OPM completed 2,475,900 total fieldwork source units.

*N/A — Not Available — no data available for this period.

Strategy 8.02: Hold agencies accountable for maintaining efficient, effective and compliant human capital management programs and accountability systems

FY 2016 Progress Update

OPM has helped agencies improve their management of human capital (HC) by using evaluations to identify strengths and weakness in both their HR programs and their workforce and strategic planning, by communicating required and recommended actions to achieve needed progress, and by working closely with them to successfully make all necessary improvements in response to OPM's findings. OPM increased its focus on agencies determined to have less-than-effective accountability systems and on known problem areas, such as competitive examining or improper use of certain appointing authorities. The agency recently revised OPM's approach to reporting so agency Chief Human Capital Officers (CHCOs), Deputy CHCOs, and HR Directors would become more aware of critical human capital deficiencies. The revised approach also provided suggestions for making good human capital framework systems and procedures more impactful and efficient. OPM's human capital evaluations allow for in-depth analysis of agencies' strengths and weaknesses across a broad spectrum of human capital areas, including strategic planning and accountability efforts. The agency has developed a modernized approach to identifying which agencies will benefit most from these strategic reviews. In addition, OPM's interviews and focus-groups with frontline employees, supervisors, and managers have provided a unique source of information to agencies on how programs and efforts to improve human capital management, including employee engagement, are actually working.

OPM's comprehensive review of one agency revealed a pervasive misuse of time-limited appointing authorities. In addition to finding multiple regulatory violations throughout the agency, OPM's study revealed that the use of time-limited appointing authorities did not provide quality and timely HR services to managers and did not help the agency meet its mission. OPM's comprehensive evaluation also identified opportunities for the agency to improve its planning and management of its current HR restructuring initiative. MSAC will continue to work closely with the agency to improve its HR management operations to adhere to Federal requirements and to better support its mission.

OPM's comprehensive review of a second agency included an in-depth review of employee morale and engagement efforts, as well as a programmatic review of performance management and the use of delegated examining authorities. OPM's results provided insightful observations, including a lack of two-way communication which had a direct impact on employee perceptions. While the agency was striving to improve employee morale and engagement, employees felt they were not being heard. Significantly, performance ratings did not distinguish high performers from others, awards were not seen as meaningful, and efforts to engage were not seen as sincere. Results of OPM's evaluation linked specifically to three leadership areas where the agency could establish measures for progress using corresponding executive core qualifications. OPM identified successful practices in certain components that could be translated to other parts of the Department.

In August 2016, OPM issued a report on its special study of agencies' use of Pathways Programs authorities. OPM's findings showed that the Pathways Programs in the agencies generally have adhered to the five core principles to advance merit system principles and the policies established by Executive Order 13562. The findings impact the operations of the student programs in all Federal agencies. OPM's recommendations included calls for (1) strengthening workforce planning efforts for Pathways, (2) exploring low-cost or cost-neutral outreach activities, (3) arranging recruiting training for agency hiring managers, and (4) continually monitoring Pathways Program usage patterns and gauging program effectiveness through oversight activities. Two programmatic findings resulted in changes to OPM guidance to agencies and its Toolkit. These changes were related to (1) granting veterans' preferences to PMF candidates and (2) the appropriate manner to conduct Pathways career fairs to ensure fair and open competition.

TABLE 8.02A

PERFORMANCE MEASURE: Percent of agency human capital or human resources offices evaluated by OPM that demonstrate progress in improving their human capital programs							
FY 2012 Results	FY 2013 Results	FY 2014 Results	FY 2015 Results	FY 2016 Results	FY 2016 Target	FY 2016 Target Met/ Not Met	FY 2012-FY 2016 Trend
N/A*	75%	89%	82.8%	88.5%	≥75%	Met	

FY 2016 Analysis of Results:

Twenty-six offices/installations were in violation of Federal human resource/human capital laws, regulations, or policies and were required to take corrective actions. Twenty-three of those 26 addressed at least 70 percent of their corrective actions within OPM timeframes. OPM's lead evaluators continuously engaged with agencies' HR staffs throughout the year, providing more in-depth and timely 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 corrective action reports.

*N/A – Not Available – no data available for this period.

TABLE 8.02B

PERFORMANCE MEASURE: Percent of required actions cited in reports that are addressed by agencies within prescribed timeframes							
FY 2012 Results	FY 2013 Results	FY 2014 Results	FY 2015 Results	FY 2016 Results	FY 2016 Target	FY 2016 Target Met/ Not Met	FY 2012-FY 2016 Trend
N/A*	91%	88%	85%	92.5%	≥85%	Met	

FY 2016 Analysis of Results:

Of the 361 required actions cited in evaluation reports, 334 were addressed within OPM prescribed timeframes. OPM's continued oversight of agencies' responses to evaluation reports has ensured that most required actions are addressed within OPM prescribed timeframes.

*N/A – Not Available – no data available for this period.

TABLE 8.02C

		PERFORMANCE MEASURE: Percent of Delegated Examining Units found to have severe problems that demonstrate satisfactory level of competence or cease to independently operate within one year following completion of an audit						
FY 2012 Results	FY 2013 Results	FY 2014 Results	FY 2015 Results	FY 2016 Results	FY 2016 Target	FY 2016 Target Met/ Not Met	FY 2012-FY 2016 Trend
91%	85%	93%	100%	100%	≥85%	Met	

FY 2016 Analysis of Results:

Three of three Delegated Examining Units with severe problems improved significantly or ceased to operate independently within the one year assessment period. OPM's continuous engagement with the agencies, assistance with development of action plans, and monitoring of improvement efforts were resource-intensive, but helped ensure agency competitive hiring practices operated effectively and were in full compliance.

Strategy 8.03: Provide guidance, tools, and training to help agencies attain human capital management goals and meet OPM requirements

FY 2016 Progress Update

OPM has developed procedures for certifying personnel responsible for conducting independent audits and evaluations of their agency's human capital management programs. In collaboration with the Accountability Program Managers Council and the CHCO Council's skills gaps work group, OPM identified required competencies and procedures governing the nomination process, including pre-requisites and supporting evidence. This is in line with OPM's commitment to provide agencies with guidance on developing and enhancing their human capital accountability programs, and is a complement to the CHCO Council community efforts to professionalize the HR workforce through training and certification.

OPM also has developed a prototype for a formal credentialing program for delegated examining that includes a more comprehensive set of training prerequisites, required on-the-job activities, a pass/fail assessment component, and a more rigorous re-certification process. One fourth of the Federal workforce is hired under delegated examining procedures, which are governed by complex laws and regulations. OPM's training program and proposed enhanced certification process will help ensure agency HR professionals possess the knowledge and skills required to engage in effective and compliant recruitment and hiring activities. The complexity of the laws and regulations associated with delegated examining contribute to the skills gaps that have been identified in the HR community. The proposed certification program is designed to close those mission-critical skills gaps, to improve competitive examining services Government-wide, and aid in improving the level of hiring manager satisfaction with the quality of new hires.

For Delegated Examining Unit (DEU) and evaluator classes, ongoing challenges include turnover among seasoned instructors who can provide training, limited funds for instructor travel, and the need to update training materials tied to the Delegated Examining Operations Handbook to ensure that they are current.

In order to meet the changing needs of OPM's customers within the current landscape, OPM's Human Resources Solutions (HRS) updated its corporate strategic initiatives after holding strategic planning refresh sessions with each practice area and the HRS senior executive team. The four initiatives that resulted from these sessions represent OPM's highest HRS-level corporate initiatives for FY 2016-2017.

1. **Lead the Federal Government in advancing the field of human capital management**. HRS strategically positioned itself and OPM to have an impact on the Federal Government through its Government-wide reach, as well as its product and service offerings. In FY 2016, HRS was a major force for the Federal Government's Hiring Excellence initiative, launched the Presidential Executive Fellows program, and absorbed the Presidential Management Fellows program.

2. **Create and enhance strategic partnerships to deliver human capital solutions**. In FY 2016, OPM formed a partnership with GSA to launch the Human Capital and Training Solutions contract vehicles. This $11.5 billion indefinite delivery indefinite quantity contract, awarded in FY 2016, will revolutionize the way human capital and training products are purchased across the Federal Government.

3. **Lead the Government-wide Human Capital Category Management initiative**. HRS possesses unique expertise to determine the best products, services, and providers of cost-effective solutions for Federal agencies' human capital challenges. In FY 2016, HRS established the Category Management Leadership Council to oversee this category, sought and hired a human capital category manager for the Federal Government, and developed the first human capital category management strategic plan.

4. **Automate components of the Business Reference Model to drive best-in-breed Human Resources IT Systems, as a foundation for the USA Suite of Services (USA Hire^{SM}, USA Performance^{SM}, USA Survey^{SM}, and USA Learning^{SM})**. In FY 2016, HRS launched the General Schedule version of its USA Performance^{SM} performance management tool. It developed the first draft model of what will become USA Suite. Further, it continued to transition current customers to its new USA Staffing® talent acquisition system.

OPM, in consultation with OMB, has determined that performance toward this strategy is making noteworthy progress.

TABLE 8.03A

						FY 2016	
						Target	FY 2012-
FY 2012	FY 2013	FY 2014	FY 2015	FY 2016	FY 2016	Met/	FY 2016
Results	Results	Results	Results	Results	Target	Not Met	Trend
PERFORMANCE MEASURE: **Index score of customer satisfaction with quality of delegated examining and evaluator training**							
92	98	90	97.8	97.9	≥90	Met	

FY 2016 Analysis of Results:

OPM conducted surveys throughout FY 2016, at the end of each of 47 classes. With 904 respondents, the response rate was 97.9 percent. OPM conducted 40 Delegated Examining certification training classes for 750 employees and 7 evaluator training classes for 162 employees. Of the 912 employees who completed the training, 904 submitted training evaluations, and 885 (97.9 percent) rated the training at level four or five out of five. Only 19 participants (2.1 percent) rated the training at level three.

TABLE 8.03B

						FY 2016	
						Target	FY 2012-
FY 2012	FY 2013	FY 2014	FY 2015	FY 2016	FY 2016	Met/	FY 2016
Results	Results	Results	Results	Results	Target	Not Met	Trend
PERFORMANCE MEASURE: **Index score of customer satisfaction with HR Solutions** **products and services (ACSI-Equivalent Index)**							
76	80	78.8	76	80	≥80	Met	

FY 2016 Analysis of Results:

OPM conducted surveys in February-March 2016 and August-September 2016. With 314 respondents, the response rate was 42.3 percent. The survey consists of 20 core questions, 11 demographic and business items, and three American Customer Satisfaction Index (ACSI) questions. Sixty-five percent of respondents were GS-14s or GS-15s and 47 percent of respondents had more than 20 years of Federal service. The response rate for the fall 2016 survey was 50 percent, the highest single response rate since 2007. Sixteen of 20 core items yielded at least 90 percent positive responses. The annualized ACSI score of 80 meets OPM's FY 2016 target. The scores for individual core questions ranged from 98 percent (Q16: Would you use HR Solutions' services again?) to 55 percent (Q15: How would you compare our performance to other contractors for similar services?). The greatest swing between two scores was on Q15, which decreased from 67 percent in the spring 2016 survey to 55 percent in the fall. The greatest rise in score was Q13 (How would you rate the value of products or services you have received?), which increased 11 percentage points from 83 percent to 94 percent.

AGENCY PRIORITY GOAL: 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 2016 Progress Update

In Q1, OPM developed course titles and content requirements based on internal technical expertise and consultation with the Chief Human Capital Officers Council (CHCOC). The development of these course/titles and requirements is consistent with OPM's university-like approach for the HR curriculum, which includes foundational (community college), specialties (undergraduate), and world class strategy (graduate).

In Q2, OPM worked to identify a vendor with the technical expertise required to build courses based on learning requirements. Meanwhile, OPM partnered with the CHCOC to identify additional resources Federal HR specialists will need to supplement the curriculum. Examples include:

- a competency assessment to identify skills gaps and development needs;

- developmental detail programs that will enable HR specialists to pursue experiential learning to develop competencies; and

- certification of mastery as a micro-credentialing strategy that can develop support for certification as a formal requirement for advancement in the Federal HR profession.

OPM also continued its initiative to validate technical competencies for the classification technical specialty area, as a precursor for eventual development of classification courses. Finally, OPM launched planning for the 2016 HR Virtual Conference, which will focus thematically on staffing in support of the Hiring Excellence Campaign and the HRU curriculum build-out.

In Q3, OPM assembled an integrated program team to redesign the Delegated Examining (DE) Certification Program to include a more robust and comprehensive assessment process. The integrated program team developed a draft framework and presented it to the CHCOC members in May 2016, and received concurrence to continue the effort. The framework will include a formal assessment, as well as proof of mastery through demonstrated experience, so that HR staffing professionals are knowledgeable and capable to perform delegated examining successfully and in accordance with law and regulation.

Also in Q3, OPM awarded a contract for the development of the HR curriculum. The selected contractor began work on developing the objectives and curriculum recommendations for the staffing component of the curriculum. These recommendations and subsequent HR staffing courses will map to OPM learning requirements as well as to needs articulated by the CHCOC. OPM also (1) began planning for the curriculum rollout to take place in Q4, (2) worked with the CHCOC to formulate a strategy for assessing HR competencies in order to help agencies and HR specialists target their developmental investments and activities, (3) continued validating technical competencies for the classification technical specialty area, and (4) continued planning the HR Virtual Conference.

In Q4 of FY 2016, OPM presented the draft objectives and curriculum recommendations for the staffing specialists and a Delegated Examining certification prototype to the CHCOC's Executive Steering Committee for HR Skills Gap for acceptance. OPM also held an HR Virtual Conference to launch HRU staffing courses as part of the Hiring Excellence Initiative. OPM validated technical competencies for classification, which will be used to inform the classification curriculum.

Also in Q4, the HR Closing Skills Gaps Federal Agency Skill Team and the Workforce Data Analytics Strategy group completed a root cause analysis for the Federal HR Specialist. This data will be used to inform OPM's planning efforts in FY 2017 and beyond.

TABLE 8.03C

PERFORMANCE MEASURE: Percent of HR specialists who complete at least one course on HRU							
FY 2012 Results	FY 2013 Results	FY 2014 Results	FY 2015 Results	FY 2016 Results	FY 2016 Target	FY 2016 Target Met/ Not Met	FY 2012- FY 2016 Trend
N/A*	N/A*	N/A*	N/A*	66.6%	≥70%	Not Met	

FY 2016 Analysis of Results:

Of those 201/203s registered on HRU 22,260 of 33,431 have completed at least one HRU course as of the end of Q4 FY 2016. OPM is continuing to partner with the CHCO Council Executive Steering Committee to implement the new HR course curriculum. This includes defining whether HRU will be used as the vehicle to support registration and course completion for the new curriculum. Final decisions have not yet been made regarding how, or whether, HRU will have a continued role in the delivery of the curriculum, and OPM has deferred most of its activities related to HRU, including promotional activities that the agency previously engaged in to drive HR specialists to the site. As a result, the target was not met this quarter, but once final decisions are made, OPM will determine how to proceed.

*N/A – Not Available – no data available for this period.

FY 2016 Milestone	Met/ Not Met
Cover 100 percent of staffing and classification learning requirements by HRU courses and resources	Met

Strategy 8.04: Assure effective human capital management of Senior Executive Service (SES) and other senior employees

FY 2016 Progress Update

In October 2015, OPM announced the revised Senior Executive Service (SES) performance appraisal system certification process, which was available to agencies that have adopted the basic SES performance appraisal system. Since the design of the basic SES system meets all certification criteria, OPM must only review the implementation and application of the system, reducing the amount of documentation that agencies are required to submit to OPM for certification. This decrease in required documentation has decreased the time required to review the documentation. The revised SES performance appraisal system certification process was developed by an interagency working group made up of a diverse group of agency subject matter experts, and allows greater opportunity for agencies to partner with OPM and share responsibility for reviewing certification criteria.

Also, in August 2016, OPM announced the design and issuance of a standard Senior-Level (SL) and Scientific and Professional (ST) performance appraisal system and program available for voluntary agency adoption. A working group of agency subject matter experts developed the system/program. Much like the basic SES performance appraisal system, the design of the basic SL/ST system/program demonstrates compliance with statutory and regulatory requirements for system approval and certification, and those agencies that adopt the system qualify for the streamlined certification process originally introduced for SES certification in October 2015.

OPM expanded USA Performance system users (SES only) from four agencies to six agencies in FY 2016. An additional five agencies signed agreements to start using the system in FY 2017 for both their SES, SL/ST, and GS employees. In August, OPM's USA Performance fielded a major release (2.0) that expanded the functionality of the system to all pay plans. OPM also deployed two releases, which enhanced functionality for the SES, and hosted a joint requirement gathering session with representatives from 10 or more agencies for SL/ST system requirements.

TABLE 8.04A

PERFORMANCE MEASURE: Percent of Senior Executive Service and Senior Level/Scientific or Professional performance appraisal systems that have met the certification criteria							
FY 2012 Results	FY 2013 Results	FY 2014 Results	FY 2015 Results	FY 2016 Results	FY 2016 Target	FY 2016 Target Met/ Not Met	FY 2012- FY 2016 Trend
84%	83%	78%	81.6%	82.5%	≥83%	Met	

FY 2016 Analysis of Results:

As of the end of FY 2016, 85 of 103 agencies had SES and SL/ST performance appraisal systems that were certified (that is, met the certification criteria and achieved full or provisional certification). An additional 18 agencies were not certified. Twelve of these agencies did not request certification in FY 2016.

TABLE 8.04B

PERFORMANCE MEASURE: Customer Satisfaction with USA Performance (ACSI Equivalent Score)								
FY 2012 Results	**FY 2013 Results**	**FY 2014 Results**	**FY 2015 Results**	**FY 2016 Results**	**FY 2016 Target**	**FY 2016 Target Met/ Not Met**	**FY 2012- FY 2016 Trend**
N/A*	N/A*	N/A*	86.5%	95.3%	≥65%	Met	

FY 2016 Analysis of Results:

OPM conducted surveys in April 2016 and September 2016. With three respondents, the response rate was 30 percent. OPM's USA Performance continued to receive positive feedback for an automated system. Customers have consistently given high marks for satisfaction with the system and the service surrounding the system. USA Performance completed its second complete performance cycle with customer agencies, and the system has expanded to include other pay plans. OPM enhanced the system in FY 2016 to increase the ease of use and streamline the paper-intensive process.

*N/A – Not Available – no data available for this period.

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 2016 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 customer satisfaction survey results to enrollees. OPM developed a revised and enhanced plan comparison tool for use during Open Season 2016. Further, OPM aims to provide enrollees a variety of plan choices. For the 2016 plan year,

enrollees had 252 health plan choices. In 2016, OPM approved 245 health plan choices for the 2017 plan year.

One of OPM's roles as administrator of the FEHB is to provide guidance to Federal agencies, Shared Service Centers, and payroll providers to facilitate their compliance with the Employer Shared Responsibility provisions under Sections 6056 and 4980H of the Internal Revenue Code. To assist Federal agencies in their administration of these provisions, OPM has provided guidance on its website. In calendar year (CY) 2016, applicable large employers, including the Federal

government, were required to provide statements to their full-time employees about the health coverage they offered by March 31, and to the IRS by June 30. During FY 2016, agencies met or exceeded all Employer Shared Responsibility reporting deadlines for CY 2016.

In FY 2016, OPM awarded a new contract to a new provider for the Federal Flexible Spending Account Program (FSAFEDS). FSAFEDS conducted an Open Season in FY 2017 and more than 415,000 participants enrolled, an increase of nearly 15 percent from last year's Open Season. Most of that increase came from the addition of the US Postal Service, which joined FSAFEDS for 2017.

In FY 2016, OPM awarded a new contract for the Federal Long-Term Care Insurance Program (FLTCIP) to its prior carrier. OPM held an enrollee decision period to offer Federal Long-Term Care Insurance Program enrollees the opportunity to mitigate premium increases by restructuring benefits (lower daily value, shorter duration, or both).

The Federal Employees' Group Life Insurance Program held an Open Enrollment period at the end of FY 2016. This Open Enrollment period was the first one since 2004.

OPM is also responsible for implementing and overseeing the Multi-State Plan Program, as required by the Affordable Care Act. For the 2016 plan year, OPM contracted with two Multi-State Plan Program issuers to offer more than 260 plans in 32 states, and the District of Columbia. Program options included both individual plans and Small Business Health Options Program plans.

OPM, in consultation with OMB, has determined that performance towards this strategy is making noteworthy progress.

TABLE 9.01A

PERFORMANCE MEASURE: Number of people enrolled in the Multi-State Plan Program							
FY 2012 Results	**FY 2013 Results**	**FY 2014 Results**	**FY 2015 Results**	**FY 2016 Results**	**FY 2016 Target**	**FY 2016 Target Met/ Not Met**	**FY 2012- FY 2016 Trend**
N/A*	N/A*	351,437 (Estimate)	473,700 (Estimate)	378,700	≥500,000	Met	

FY 2016 Analysis of Results:

Due to the volatility of the individual health insurance market, there has been contraction in the number of issuers participating on the Exchanges overall. This trend has extended to the Program, with fewer plan options and, therefore, lower enrollment during FY 2016.

*N/A – Not Available – no data available for this period.

TABLE 9.01B

	PERFORMANCE MEASURE: Number of tribes, tribal organizations or urban Indian organizations participating in FEHB							
FY 2012 Results	FY 2013 Results	FY 2014 Results	FY 2015 Results	FY 2016 Results	FY 2016 Target	FY 2016 Target Met/ Not Met	FY 2012- FY 2016 Trend
N/A*	48	61	85	90	≥84	Met	

FY 2016 Analysis of Results:

The Tribal Desk received the Director's Award for Excellence in Support of OPM's Commitment to Customer Service as well as a 2016 President's Customer Service Award. The tribal program has grown successfully for several reasons. The FEHB benefit packages meet the tribes' needs at a competitive price. In addition, OPM continues to promote FEHB through outreach activities, including attending tribe conferences and hosting training events to familiarize potential tribes with the FEHB. These factors resulted in a high satisfaction level, and new tribes are hearing about the program from other satisfied tribes and contacting the Tribal Desk to learn more about the FEHB Program.

*N/A – Not Available – no data available for this period.

TABLE 9.01C

	PERFORMANCE MEASURE: Number of tribal employees enrolled in FEHB							
FY 2012 Results	FY 2013 Results	FY 2014 Results	FY 2015 Results	FY 2016 Results	FY 2016 Target	FY 2016 Target Met/ Not Met	FY 2012- FY 2016 Trend
N/A*	10,304	15,580	17,500	19,551	≥18,000	Met	

FY 2016 Analysis of Results:

With increased participation of tribes, tribal organizations, and urban Indian organizations, the number of tribal employees has also increased since FY 2015 and exceeds the FY 2016 target by more than 7 percent.

*N/A – Not Available – no data available for this period.

TABLE 9.01D

PERFORMANCE MEASURE: Percent of FEHBP enrollees satisfied							
FY 2012 Results	**FY 2013 Results**	**FY 2014 Results**	**FY 2015 Results**	**FY 2016 Results**	**FY 2016 Target**	**FY 2016 Target Met/ Not Met**	**FY 2012-FY 2016 Trend**
78%	79.2%	82%	72.9%	73.8%	≥Industry Trend (61.8%)	Met	

FY 2016 Analysis of Results:

In FY 2016, the industry trend was 61.8 percent. In FY 2016, the percent of satisfied FEHBP enrollees exceeded the industry trend by more than 10 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. In addition, the Federal Annuitant Benefits Survey was developed and implemented as an annuitant feedback mechanism after the Medicare population was removed from the Consumer Assessment of Healthcare Providers and Systems sample in 2015. The survey includes questions about health plan experience, prescription drug coverage, Federal Employees Health Benefits health plan ratings (importance, adequacy and value), and basic demographics. The survey also includes questions about annuitant health and wellness and tobacco use in order to understand the retiree population's health demographics. To maximize accessibility to the annuitant population, the survey was administered via an "open participation" link posted in various locations on OPM's website. This method of administration ensured that participation was not limited to only annuitants who provided an email address to OPM. (If the survey had been administered to a sample of annuitants, the sample would have been pulled using registered e-mail addresses). The survey was available to participants from October 24, 2016 through December 2, 2016, and results are expected in spring 2017.

Strategy 9.02: Optimize insurance related business processes

FY 2016 Progress Update

OPM utilizes the annual Call Letter to FEHB carriers to emphasize certain initiatives. In FY 2016, the annual Call Letter for 2017 plans emphasized limiting cost growth, managing prescription drugs, supporting access to care, coordinating benefits for the Medicare population, implementing the Plan Performance Assessment, and continuing to implement Self Plus One coverage. The FY 2016 Carrier Conference, which had approximately 400 attendees, reinforced the priorities of the Call Letter.

During FY 2016, OPM implemented the FEHB Health Plan Performance Assessment system 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. In response to carrier feedback, OPM created the FEHB Performance Assessment Best Practices Workgroup to help carriers identify and share best practices. In FY 2016, OPM kicked off the workgroup and held sessions in March, June, and August.

The Bipartisan Budget Act of 2013 amended the FEHB statute to provide for a Self Plus One enrollment type in addition to the Self Only and Self and Family types available at that time. In CY 2016, Self Plus One was available for the first time. As of March 2016, there were 542,297 Self Plus One enrollments.

One of OPM's challenges in administering the FEHB is to contain premium increases while maintaining essential health benefits. OPM engages in annual negotiations with health carriers and has been able to limit average FEHB premium increases to 6.5 percent or less for five consecutive years.

OPM established a Multi-State Plan Advisory Board that provides feedback and insight into the development and implementation of the Multi-State Plan Program. The group met in March 2016 to discuss state plan management and marketplace plan characteristics, standardized plan designs, and potential innovation for Multi-State Plan products.

OPM, in consultation with OMB, has highlighted this strategy as a focus area for improvement.

TABLE 9.02A

PERFORMANCE MEASURE: Percent increase in FEHB premiums							
FY 2012 Results	FY 2013 Results	FY 2014 Results	FY 2015 Results	FY 2016 Results	FY 2016 Target	FY 2016 Target Met/ Not Met	FY 2012- FY 2016 Trend
3.4%	3.7%	3.2%	6.4%	4.44%	≤Industry Trend	Met	

FY 2016 Analysis of Results:

In FY 2016, projected FEHB premiums increased to $503.35 from $481.94 in FY 2015. PriceWaterhouseCoopers released an analysis of private sector premiums predicting a net growth rate of 5.5 percent for premiums going into effect in 2017. In general, FEHB rates reflect changes in the healthcare market. The FEHB uses private market competition and consumer choice to provide comprehensive benefits at an affordable price. In addition, OPM negotiates with health carriers to keep premium increases as reasonable as possible. The net growth rate is inclusive of changes to plan design and patient cost sharing. In FY 2016, OPM negotiated with health carriers to keep premiums below the industry trend for 2017 plans.

AGENCY PRIORITY GOAL: 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 50th 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 2016 Progress Update

In FY 2016, OPM executed the Plan Performance Assessment by:

- conducting end-to-end testing of implementation of the Plan Performance Assessment using 2015 data;

- developing a methodology for the Plan Performance Assessment Improvement Increment;

- announcing measures for potential future use in the Plan Performance Assessment;

- preparing processes for receipt, calculation, and reporting of 2016 Plan Performance Assessment scores;

- participating in working groups examining case studies and best practices;

- holding three meetings of the Plan Performance Best Practices workgroup in March, June, and August 2016 which covered root cause analysis techniques;

- providing FEHB carriers an overview of the Plan Performance Assessment Improvement Increment with a carrier letter and webcast in August 2016;

- researching health care performance in commercial lines of business; and

- conducting ongoing analysis of the OPM measure set alignment with high-priority industry and government measures sets.

All plans successfully submitted their 2016 data and confirmed OPM's calculated scores during an October preview period.

TABLE 9.02B

PERFORMANCE MEASURE: Percent of plans with timely prenatal care above the national commercial 50th percentile							
FY 2012 Results	**FY 2013 Results**	**FY 2014 Results**	**FY 2015 Results**	**FY 2016 Results**	**FY 2016 Target**	**FY 2016 Target Met/ Not Met**	**FY 2012- FY 2016 Trend**
N/A*	43.4%	39.8%	41%	46%	≥41%	Met	

FY 2016 Analysis of Results:

In FY 2016, 52 of 113 FEHB plans were above the national commercial 50th percentile of 84 percent. In FY 2016, OPM assigned this measure to the highest priority in the FEHB Plan Performance Assessment, which impacts plan profit. The financial incentive helped motivate plans to encourage early prenatal care, update claims submission procedures for bundled maternity episodes to include the date of the first prenatal visit, and pursue medical records data to verify the visit date.

*N/A – Not Available – no data available for this period.

TABLE 9.02C

PERFORMANCE MEASURE: Percent of plans controlling blood pressure above the national commercial 50th percentile							
FY 2012 Results	**FY 2013 Results**	**FY 2014 Results**	**FY 2015 Results**	**FY 2016 Results**	**FY 2016 Target**	**FY 2016 Target Met/ Not Met**	**FY 2012- FY 2016 Trend**
44.6%	43.5%	49%~	43%	49.2%	≥43%	Met	

FY 2016 Analysis of Results:

In FY 2016, 59 of 120 FEHB plans controlled blood pressure above the national commercial 50th percentile. In FY 2016, OPM assigned this measure to the highest priority in the FEHB Plan Performance Assessment, which impacts plan profit. OPM's Call Letter emphasized Million Hearts hypertension treatment protocols and medication adherence as strategies to improve measure performance (for more information, please refer to *www.opm.gov/healthcare-insurance/healthcare/carriers/2016/2016-03.pdf0*). In FY 2016, OPM continued as a partner agency with the Million Hearts Initiative, gathering information from FEHB carriers for development of Million Hearts 2.0.

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

TABLE 9.02D

PERFORMANCE MEASURE: Percent of plans with all-cause readmission to hospital within 30 days of inpatient hospital stay above the national commercial 50th percentile							
FY 2012 Results	FY 2013 Results	FY 2014 Results	FY 2015 Results	FY 2016 Results	FY 2016 Target	FY 2016 Target Met/ Not Met	FY 2012- FY 2016 Trend
N/A*	N/A*	49%	51%	44.5%	≥51%	Not Met	

FY 2016 Analysis of Results:

In FY 2016, 53 of 119 FEHB plans were above the industry 50th percentile. In FY 2016, there was a methodology change for risk adjustment for this HEDIS measure. NCQA announced that the change in methodology would impact evaluations of trends between 2016 and prior years. For the NCQA memo discussing the break in trends, please refer to: *https://www.ncqa.org/ Portals/0/HEDISQM/HEDIS2016/HEDIS%202016%20Measure%20Review%20Memo.pdf?ver=2016-05-03-114354-797*. The change to the risk adjustment methodology for this measure impacted FEHB results. Nonetheless, OPM is closely monitoring performance on this measure and working with carriers on process improvement. The agency will highlight the efforts of successful plans in an upcoming Best Practices session.

*N/A – Not Available – no data available for this period.

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

FY 2016 Progress Update

In FY 2016, OPM began comprehensive outreach to plans regarding the prevention and treatment of addiction. In addition, OPM detailed its efforts to safely prescribe prescription pain medication and improve addiction care. OPM continued its partnership with the Substance Abuse and Mental Health Services Administration and the White House Office of National Drug Control Policy, focused on reducing the stigma surrounding substance use disorder. In FY 2016, OPM also served on the Interagency Coordinating Group Executive Committee, which evaluated the Federal Drug-Free Workplace Program and research on marijuana, opioids, and other illicit drugs.

OPM expects all FEHB health plans to sponsor programs that promote healthy lifestyles and help members modify health risks. Information

collected from FEHB carriers indicated that too few FEHB members are participating in health risk screening and wellness activities. In FY 2016, OPM released a carrier letter on the tax implications of wellness incentives, and followed-up with guidance asking plans to limit their use of cash or cash equivalent incentives to those that are used for medical care. This guidance applies beginning with 2017 plans. OPM also released a carrier letter in FY 2016 consolidating OPM guidance on population health. The letter asked FEHB plans to emphasize the importance of screening in targeted communications. OPM also asked plans to review their programs, including those directed at diabetes prevention, obesity management, and reduction of cardiovascular risk, which may satisfy both preventive services and wellness requirements.

In FY 2016, OPM also held a Federal Agency Wellness Coordinator meeting. During that meeting, participants made presentations on key wellness topics, including linking FEHB benefits to employee wellness and the status of worksite wellness across the Federal Government.

OPM also continued to emphasize the importance of vaccinations in FY 2016. In October 2016, OPM and the U.S. Department of Health and Human Services issued a joint memo to all agencies encouraging employees to get their annual flu shot. *https://www.chcoc.gov/content/seasonal-flu-prevention-and-protection-federal-workforce.* In addition, OPM partnered with the National Vaccine Program Office, and other U.S. Department of Health and Human Services offices, on the National Adult Immunization Plan. In FY 2016, OPM began participating on

an Adult Immunization Task Force. The Task Force is reviewing the plan to evaluate its strategic direction, and implementing the plan.

In FY 2016, OPM worked with the National Prevention Council, supporting the development of the Healthy Aging in Action Report, which identifies Federal actions to promote prevention and wellbeing in older Americans. OPM also provided support in the development and release of the Council's Assessments on Food Service Guidelines and Tobacco Free Policy.

TABLE 9.03A

PERFORMANCE MEASURE: Percent of adults receiving flu shots based on Consumer Assessment of Healthcare Providers and Systems Effective Care							
FY 2012 Results	**FY 2013 Results**	**FY 2014 Results**	**FY 2015 Results**	**FY 2016 Results**	**FY 2016 Target**	**FY 2016 Target Met/ Not Met**	**FY 2012-FY 2016 Trend**
52%	53%	50%	49%	50.9%	Contextual	Contextual	

FY 2016 Analysis of Results:

Of 69,377 adults surveyed, 35,344 received flu shots. The CDC originally set an 80 percent target for the percent of adults receiving flu shots in the Healthy People 2020 initiative in December 2010. The target was revised to 70 percent in 2013. Low effectiveness for flu shots has been widely reported in the media, likely impacting the desire for flu shots. OPM continues to emphasize the importance of flu shots, including through a joint memo with the Department of Health and Human Services.

TABLE 9.03B

PERFORMANCE MEASURE: Percent of plans with timely prenatal care above the national commercial 50th percentile

Refer to Table 9.02B.

TABLE 9.03C

PERFORMANCE MEASURE: Percent of plans controlling blood pressure above the national commercial 50th percentile

Refer to Table 9.02C.

Strategy 9.04: Develop novel partnerships in support of population health

FY 2016 Progress Update

In FY 2016, OPM participated in White House Task Forces on Opioid Misuse and Mental Health Parity to address pressing population health problems affecting Americans in all walks of life.

In FY 2016, OPM also released a carrier letter consolidating OPM guidance on population health. In addition to the emphasis on screening and other preventive services, OPM noted that the latest Consumer Assessment of Healthcare Providers and Systems results suggested that tobacco use rates were declining among FEHB members. Results from the Federal Employee Benefits Survey in 2013 and 2016 reinforced

this trend. There was a slight decline from 11.6 percent reporting tobacco use in FY 2013 to 11 percent in FY 2016. The overall rate of use reported by respondents to the survey remains lower than the smoking rate of 15 percent for adults in the U.S. reported by the Center for Disease Control. OPM asked plans to continue this trend by reinforcing communication about the FEHB tobacco cessation benefits to clinicians as well as members.

In FY 2016, OPM participated on the Department of Defense Addictive Substance Misuse Advisory Committee for Tobacco. This work supported the Department of Defense efforts to implement a tobacco-free workplace and facilitated greater outreach to Department of Defense Civilians about the FEHB tobacco cessation benefit.

TABLE 9.04

PERFORMANCE MEASURE: Percent of employees aware of FEHB tobacco cessation benefit							
FY 2012 Results	FY 2013 Results	FY 2014 Results	FY 2015 Results	FY 2016 Results	FY 2016 Target	FY 2016 Target Met/ Not Met	FY 2012- FY 2016 Trend
N/A*	N/A*	10.2%	N/A*	16.3%	≥15%	Met	

FY 2016 Analysis of Results:

OPM conducted the bi-annual survey December 9, 2015 through January 1, 2016. The response rate was 23 percent. Of the 8,119 respondents who answered the question, 1,441 indicated that they were aware of the smoking cessation benefit.

Tobacco use rates are declining among FEHB members, reducing the target audience for the tobacco cessation benefits. OPM continues to ask plans to emphasize the tobacco cessation benefit by reinforcing communication about the FEHB tobacco cessation benefits.

*N/A – Not Available – no data available for this period.

Strategy 9.05: Enhance outreach and health literacy

In FY 2016, OPM collaborated with Federal agencies to disseminate information about health benefits and coverage. For example, OPM worked with agencies and their benefits officers on identifying flu clinics and providing Federal employees and families with accurate information about flu shots. OPM also encouraged use of a Centers for Disease Control app that connects individuals with local flu vaccine clinics.

OPM has also used social media to enhance outreach. For example, in FY 2016, OPM was a social media partner with the D.C. Calls It Quits Initiative, which is a partnership between the D.C. Department of Health and 40 other groups to increase tobacco cessation for D.C. area residents and workforce.

TABLE 9.05

PERFORMANCE MEASURE: Percent of plans with timely prenatal care above the national commercial 50th percentile

Refer to Table 9.02B.

EVIDENCE BUILDING

AGENCY STRATEGY TO ADVANCE THE USE OF EVIDENCE IN DECISION-MAKING

OPM continues to enhance, promote, and integrate evidence-based decision making, consistent with applicable law. It is part of the fabric of the agency's organizational culture. The practice of evidence-based decision making involves using the best available data, both quantitative and qualitative, along with scientific evidence, to make empirically supported decisions. This approach has been mainstreamed into the agency's processes and is being pursued, as evident in the establishment of a specific strategic goal on evidence-based decision-making in the agency's FY 2014-FY 2018 Strategic Plan.

OPM is building a cohesive structure, to manage and integrate 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.

To this end, the agency hired a Senior Data Scientist who is working closely with OPM's Senior Advisor on Research and Evaluation. The Senior Data Scientist provides expert technical assistance necessary for research and for developing research partnerships with academia. The Senior Data Scientist has started conducting independent evaluations using OPM workforce data and developing predictive analyses, such as workforce retirement estimates. This critical position will help establish the strategic direction for the agency's research and evaluation initiatives, which is driven by the needs of the agency's program offices to answer critical questions.

In addition to building and strengthening its data analytic talent, the agency continues to leverage and engage individual components that directly support this strategy. To advance, adopt, and spread best practices that are being deployed within the agency, OPM has established an internal network of Analytic Ambassadors. The role of the Analytic Ambassador is to help promote and advance the analytical work and research being done in OPM's program offices.

RECENT PROGRESS

The agency continues its commitment and efforts for integrating data—administrative, survey, job applicant, and customer experience—into resources and tools developed for internal agency use, Government-wide use, and broader public use. Traditionally, agency data and information processes have been fragmented across program offices, making it difficult to leverage and integrate with other data systems. The agency has made great progress on developing a cohesive and collaborative structure to manage and integrate this data throughout the agency and across government. 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 and operations.

- 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 (EHRI-SDM) 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 have recently been incorporated with the FEVS data. This is one example of how the agency has significantly enhanced the survey. Leveraging EHRI-SDM administrative data and working collaboratively with participating Federal agencies to implement OPM's innovated survey methodology (the Graduated Proportional Sampling method), has dramatically increased the number of subcomponent reports—more managers receiving office-level reports—with less administrative burden. As a result, between 2012 and 2015, the number of agency components receiving survey results has increased by 229 percent.

- In addition to the expansion of the available data elements and reporting breadth, the agency has established relevant Government-wide measures. For example, the FEVS team developed the Employee Engagement Index as a benchmark that is used across the Federal Government. OPM defines employee engagement as "the employee's sense of purpose that is evident in their display of dedication, persistence, and effort in their work or overall attachment to their organization and its mission." More recently, the agency conducted key driver analysis on the Employee Engagement Index. This type of analysis helps agencies determine specific areas in which action can be taken to help drive improvements in employee engagement. Using this data-driven approach, agencies can improve conditions that lead to an engaged workforce by targeting resources on the key drivers of the Employee Engagement Index and its three sub-factors: Leaders Lead, Supervisors, and Intrinsic Work Experience. Each sub-factor reflects a different aspect of an engaging work environment and each is assessed through questions on the FEVS.

- *UnlockTalent.gov* is an innovative comprehensive data visualization dashboard created by OPM to help government leaders make data-driven decisions and design initiatives to improve the overall engagement and satisfaction of the Federal workforce. The dashboard incorporates administrative data from Enterprise Human Resources Integration—Statistical Data Mart (EHRI-SDM) and data from the Federal Employee Viewpoint Survey (FEVS).

OPM made significant strides in advancing 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, in a manner consistent with privacy imperatives. *UnlockTalent.gov* delivers on this commitment. Users can view employee engagement, job satisfaction, and agency workforce data in visual formats–complete with charts, graphs, and maps. It allows for comparisons among agencies, and also provides agencies trends.

UnlockTalent.gov is developed using an agile methodology, an approach that accommodates limited budgets. Each phased enhancement to the site increases data access and functionality for users. Recent enhancements include creating multi-tier data access. When *UnlockTalent.gov* was first launched in July of 2014 only agency senior officials were granted access. Now members of the public are able to view agency-level data on the website and Federal employees can register to see their agency-specific dashboards with more granular data. OPM added two additional levels of access to the site: (1) an Executive User access that provides the most granular data available while protecting employees' data confidentiality and (2) a non-FEVS agency user access for agencies that do not participate in the survey but who would like to access resources such as case studies, videos, research, and best practices under the UnlockTalent Community of Practice link. OPM plans to implement data enhancements which will allow users to gain more insight into engagement scores and identify where to take action. OPM also plans to launch a new HR Core Metrics page. This page will highlight the overall health of an agency's workforce to include workforce demographics, hiring for the Mission Critical Occupations and STEM, Performance Culture such as telework satisfaction and promotions, Strategic Planning and Alignment, and the New Inclusion Quotient.

OPM regularly updates the Unlock Talent Community of Practice with case studies, videos, training, research, best practices and other helpful resources to develop a flexible, inclusive work environment that further engages and energizes the workforce to put forth its best effort, achieve agency missions, and remain committed to public service.

- **USAJOBS** is transforming itself into a federal career site that not only lists vacant positions but also allows for career exploration and job searches to connect the right talent to the right jobs. In FY 2015, more than 350,000 job announcements were posted on USAJOBS and 22 million applications were started.

  In FY 2016, USAJOBS hosted several user workshops to gather feedback on the resume mining tool that allows agencies to mine the database of searchable resumes to recruit talent for open positions, career events, and other outreach activities. The workshops resulted in the development of a more user-friendly interface to support the search and communication functions in the tool. The resume mining pilot began in September 2016 with 50 users, and the pilot has grown to over 500 users. A full rollout of the tool is expected in FY 2017.

  USAJOBS offers an agency service called the Agency Talent Portal that houses the resume mining feature and other data tools to support data-driven, strategic recruitment. USAJOBS marketed its Agency Talent Portal to hiring managers and HR specialists in the Hiring Excellence Campaign to showcase how to use the tools and the expected benefits to talent acquisition. The product will continue to evolve based on user feedback and partnerships to build a recruitment network that attracts the right talent to the right jobs.

- **USA Staffing**® is OPM's talent acquisition system for Federal agencies. The system automates Federal policies, practices, and laws for the full range of Federal hiring. USA Staffing® supports Federal hiring managers and HR professionals in acquiring, assessing, certifying, selecting, and onboarding qualified candidates in alignment with Merit System Principles. It serves as the primary interface for more than 114,000 hiring managers and over 8,000 HR professionals Government-wide, providing a conduit to USAJOBS for posting announcements and accepting, rating, and ranking applications for Federal employment. As a shared service, USA Staffing® enables more than 70 Federal agencies to meet their hiring missions. Approximately 78 percent of USAJOBS vacancy announcements are processed through USA Staffing®.

Through ongoing enhancements that reflect agency business needs and Federal best practices, USA Staffing® continues to evolve by improving usability and enhancing functionality for all key stakeholders. In April 2015, OPM deployed an upgrade to the USA Staffing® system. The upgrade uses agile software development methods, resulting in a system designed to enable Federal hiring goals such as increased hiring manager engagement, strong assessment capabilities, improved applicant experience, and advanced reporting and analytics. Furthermore, USA Staffing® is focusing on continually making enterprise-wide improvements to security and data, regularly prioritizing system functionality based on real user feedback, and expanding onboarding and classification functionality. OPM is currently providing extensive transition and change management support for agencies as they complete their transitions to the new version of USA Staffing® throughout FY 2017 and into FY 2018.

USA Staffing® supports agencies in hiring the right people for the right jobs within the framework of Merit System Principles, as well as leveraging data to further understand and refine Federal hiring. For example, USA Staffing® continues to support hiring excellence by expanding the use of applicant flow data Government-wide. Applicant flow data combines the demographic information collected from USAJOBS with data from each step of the hiring process in USA Staffing®, enabling agencies to identify any barriers and pursue best practices at each stage of the hiring process. Going forward, OPM will continue to support agency efforts to recruit from all segments of society through applicant flow data enhancements. The USA Staffing® upgrade also offers a more streamlined application which is optimally integrated with USAJOBS and enables applicants to apply via mobile devices. By continually assessing applicant satisfaction levels, USA Staffing® monitors, evaluates, and makes system adjustments to provide a positive applicant experience.

- **HRStat** is a Government-wide effort based on the GPRA Modernization Act, in which Federal agencies facilitate data-driven quarterly reviews. The agency continues to develop the HRStat program to enable agencies to improve how they collect, analyze, and report human capital data. OPM established and meets quarterly with the HRStat Community of Practice, which includes members from all 24 CHCO Act agencies.

  OPM, in coordination with the HRStat Community of Practice, developed the HRStat Government-wide guidance, the HRStat Maturity Model, and the HRStat Maturity Model Assessment Tool. The guidance is used to inform the practice of HRStat in conformity with 5 CFR 250. The guidance and the tool were designed to help the agencies continue their quarterly data-driven reviews and make progress against their identified goals. The key areas addressed by the guidance and the tool are critical to the effectiveness and sustainability of the HRStat program.

- **Skills-Gap Closure Strategies Using Data Analysis**: The agency is implementing a data-driven, multi-factor model and environmental scan approach to identify Government-wide skills-gap areas. This is a collaborative partnership with the Chief Human Capital Officers (CHCO) Council's formal Executive Steering Committee for Skills Gaps. This multi-factor model approach identifies those Government-wide and agency-specific Mission-Critical Occupations (MCOs) that have the greatest risk for experiencing skills gaps. Based on input from Federal workforce planning Subject Matter Experts, the model was adjusted to enable it to meet agencies' needs.

  OPM used the multi-factor model to conduct analysis on all of the 24 executive agency's Mission Critical Occupations to determine which occupations were at greatest risk. OPM used the results to identify six Government-wide occupations (cybersecurity, economist, auditor, acquisition, human resources, and STEM as a functional area). OPM

also identified 48 unique agency-specific occupations across the 24 executive agencies.

OPM developed and implemented the first Government-wide environmental scanning process. The qualitative data from the process reinforced the identification of the Government-wide Mission Critical Occupations. Additional information garnered from the process will support the identification of how occupations and skills will evolve so that the information can be incorporated into the development of human capital strategies that will address current and future skill gaps.

Also, OPM led the effort to support the Federal Agency Skills Teams (the Government-wide and agency teams responsible for identifying root causes, developing action plans, and establishing and monitoring metrics) by providing the training and supporting guidance to complete each requirement.

In addition, to institutionalize the skills gaps method, OPM revised Title 5, Code of Federal Regulations, Part 250, subpart B. Agencies will be responsible to use the OPM designated method to identify skill gaps, monitor and address skill 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.

- **Re-Design of Federal Employees Health Benefits (FEHB) Plan Choice**: Each year, more than four million Federal employees and retirees have the opportunity to consider changing to another health plan from among the more than 250 health plan options available under the Federal Employees Health Benefits (FEHB) program. A hallmark of the FEHB Program is the wide range of options members can choose from to best meet their needs and the needs of their families.

In plan year 2016, enrollees were able to choose from 92 plans and 252 plan options.

During open season, typically the second week in November through the first two weeks of December, Federal employees and annuitants have the option to change or continue their enrollment with their health plan. With the large number of plan options and the number of factors to consider (that is, price, quality, provider networks), this can often be a daunting task, and many who could potentially benefit from changing plans, may opt not to. OPM is using the literature about health plan decision-making and decision aid design to re-design of the Plan Comparison Tool.

A revised Plan Comparison Tool reinforces OPM's longstanding commitment to enrollee choice and should increase the number of FEHB members who annually review their options. It will also contribute to the agency's strategic goal to attract and retain a diverse Federal workforce.

The agency is using an agile methodology for the development and design of the Plan Comparison Tool. This methodology will allow the agency to respond to unpredictability through an incremental and iterative work process, as more data elements become available through Benefits Plus–FEHB's new administrative/management database. A cross-agency team is working to align the OPM comparison tool with industry-wide standards, create the capability to customize the plan selection process, and incorporate the latest behavioral economics and choice theory findings about user preferences and consumer selection of health coverage.

- FEHB will initiate Plan Comparison Tool updates each year for the next several years. This approach fits with the agile development methodology and accommodates limited budgets. It also allows the FEHB program to learn consumer preferences for the Plan Comparison Tool updates. Future enhancements will likely include cost calculators.

- **Convene a Research Summit**: To develop partnerships with agencies, academic institutions, and think tanks, OPM held its

inaugural Research Summit in partnership with the School of Public Affairs at American University. This inaugural summit was dedicated to connecting research and policy. It was a collaborative meeting that showcased peer-reviewed published research that used OPM and other Federal data. The Research Summit brought together over 150 academic researchers, federal practitioners, and industry partners to exchange ideas, collaborate, and participate in critical conversations about research and pressing policy issues within six human capital areas: work/life issues; benefits; performance management; diversity and inclusion; leadership; and employee engagement. Summit attendees discovered new solutions, learned from best practices, and gained a better understanding on how to incorporate research and data into policy-decision making.

OPM continues to strengthen these partnerships to leverage data sets, analytic capabilities, and research findings. To further this effort, OPM is evaluating the benefits and challenges of using partnerships for external analytic capabilities related to data-driven evidence-based policy making, and determining the feasibility of expanding the use of these partnerships.

CURRENT BARRIERS

OPM seeks to enhance its infrastructure, technology, data sharing within and across agencies, and data security and privacy as the agency implements its strategy to increase the use of evidence in decision-making. Despite some challenges, OPM continues to make progress in using and expanding access to data, as well as in creating, rebuilding, and enhancing data analytics tools for both internal and external stakeholders.

- **Talent Gap**: Finding people who can work with new and emerging technologies, ask the right questions, and interpret large quantities of data to find meaningful insights continues to be a challenge.

- **Data Access and Infrastructure**: OPM's existing IT and data infrastructure do not yet support the more complex, interactive, and real-time data analytics that might be possible with more enhanced systems. The resulting limitations on insight into real-time data could result in the agency making business and policy-critical decisions without the best possible data. An environment where data is standardized, readily accessible by authorized personnel, and allows for real-time data analysis, would improve data integrity and increase data accessibility.

FY 2016 FINDINGS

OPM employees led noteworthy original research in FY 2016, to include the publication of articles and white papers, a book on Complex Survey Data Analysis, and over 20 conference presentations. In addition, OPM has entered into two major research agreements, collaborating with five universities. One agreement focuses on the evaluation of the Veterans Employment initiative and the second agreement focuses on the impact of the automatic enrollment policy on employee TSP contributions.

OPM Internal Research:

- **Synthetic Data**: OPM hosted a roundtable discussion on best practices of balancing data release and data protection with data disclosure experts from Duke University and the U.S. Census Bureau. For many big datasets, the confidentiality risks associated with disseminating the data may be so high that it is nearly impossible to share record-level data without massive data alterations or highly redacting the data. Unfortunately, in many cases data alterations and/or redactions severely reduce the data quality, and call into question the usefulness of the data being released. The roundtable focused on the use of synthetic data. Synthetic data is a cutting-edge data disclosure method through which original data values with high disclosure risk are replaced with values simulated from statistical models estimated on the confidential data. Applying

this technique to OPM data would allow us to protect personally identifiable information (PII) while enabling analysts and researchers to access record level data with simulated values.

OPM is pilot testing this synthetic data method to generate the 2016 Federal Employee Viewpoint Survey public-release data file (PRDF). OPM has created and released a FEVS-PRDF with each survey administration. Although most items on the FEVS are attitudinal, there are a number of demographic variables that could potentially be used to disclose a respondent's identity. Previous disclosure avoidance strategy for releasing the FEVS-PRDF began by removing variables with PII and collapsing certain categories of the observable demographics such as gender or supervisory status. At a minimum, a work unit required at least 250 respondents to have its unique identifier maintained in the PRDF. A downside to this data disclosure method is that the modifications made to the original survey data can result in a significant loss of information, particularly if substantive variations exist amongst combined or masked work unit identifiers or demographic categories. The 2016 FEVS-PRDF is a partially synthetic data file; only the demographic variables are synthesized. The rational for using a partially synthetic method is based on the idea that only the sensitive or "key" variables that could be used for identification are synthesized and the less sensitive attitudinal variables can remain intact.

- **Employee Engagement Key Driver Analysis**: Research in both academia and the private-sector have consistently indicated that engagement can affect employees' attitudes, levels of absenteeism and turnover, productivity, as well as organizational performance. While an engaged workforce is essential to achieving the critical work of the Federal Government, few analyses have been conducted to help guide and inform agency leaders about which actions to take to strengthen employee engagement. OPM conducted in-depth statistical analyses in which the agency identified and examined the impact of nine different factors on the FEVS Employee Engagement Index

across selected groups of Federal employees, selected agencies, and Government-wide. These nine factors were: (1) Collaborative/Cooperative Management, (2) Employee Training and Development, (3) Job Resources, (4) Merit System Principles, (5) Performance Feedback, (6) Performance Rating, (7) Performance Recognition and Reward, (8) Supportive Coworkers, and (9) Work/Life Balance. OPM also examined the extent to which these nine factors were key drivers of the three sub-indices of the Employee Engagement Index: Leaders Lead, Supervisors, and Intrinsic Work Experience.

Based upon the results of the analysis, we recommend agencies take steps to improve employee engagement through deliberate and concerted efforts across the five key drivers for the Employee Engagement Index: (1) Performance Feedback; (2) Collaborative/Cooperative Management; (3) Merit System Principles; (4) Employee Training and Development; and (5) Work/Life Balance.

Key findings from the current analysis, GAO's report, research on private-sector organizations, and promising practices identified in the Employee Engagement Senior Accountable Official (SAO) Workshops indicate employee engagement is likely to be higher when certain conditions exists. By identifying the key drivers, OPM can refocus attention on and prioritize specific management practices that are most likely to improve the conditions that lead to engagement. It is important to remember that different actions may increase the level of engagement of different employees, and that not every recommendation may be a good fit with every organizational culture. Managers and human resources professionals should determine how best to tailor key driver findings to best fit their organization and the individuals within those organizations.

Links to the published report and infographic: *https://www.fedview.opm.gov/2016FILES/ Keys_Unlocking_Engagement.pdf*

https://www.fedview.opm.gov/2016FILES/ FEVS_Engagement_INFOGRAPHIC.pdf

- **Retirement Tends**: OPM analyzed 20-years of Federal data, where the agency created a comprehensive person-period data set comprised of all non-seasonal, full-time, and permanent employees onboard at any time between 1996 and 2015. The data set consisted of more than 35 million records for approximately 3.8 million distinct Federal employees. This is the first analysis of Federal data where OPM tracked individual employees throughout their Federal career and analyzed retirement patterns for the entire workforce–not just individuals who are eligible to retire. OPM also analyzed the data by retirement plan (the Civil Service Retirement System or the Federal Employees Retirement System). Preliminary findings indicate that although the percentage of Federal employees eligible to retire has increased from 6.3 percent in 1996 to 16.2 percent in 2015, the percentage has remained largely unchanged since 2010. Moreover, the overall retirement rate has remained fairly stable over the years at approximately 3 percent. Taken together, these findings imply that on the average, there is a growing tendency for Federal employees to stay onboard longer after reaching retirement eligibility.

- **Evaluating Federal Employee Benefits**: The Federal Employee Benefits Survey (FEBS) is designed to measure the importance, adequacy, and perceived value of the benefits available to Federal employees. The survey was first administered in 2004, then again in 2006, 2011, 2013, and 2016. The 2016 FEBS was expanded to capture information about the impact some benefit programs may have on employee recruitment and retention. The current survey also incorporated questions to assess how well employees understand the benefit programs in which they are enrolled. Some of the most noteworthy takeaways from the survey results include:

1. The prevalence of benefit programs remained consistent from 2013 to 2016 FEBS administrations. The Thrift Savings Plan (TSP), Federal Employees Retirement System (FERS), and the Federal Employees Health Benefits Program (FEHBP) have proven to be the most prevalent according to survey respondents.

2. Reported enrollment in both the Federal Employees Dental and Vision Insurance Program (FEDVIP) notably increased between 2013 and 2016.

3. In 2014, the Centers for Disease Control and Prevention (CDC) estimated 16.8 percent of U.S. adults smoked cigarettes, which demonstrated a decrease from 20.9 percent in 2005. The rate has continued to decline, with the CDC reporting in 2016 that the U.S. adult smoking rate has fallen to 15 percent. This represents the biggest one-year decline in more than 20 years. Although the reported tobacco use rate among FEBS respondents did not see a comparative decline between the 2013 and 2016 FEBS administrations, the overall use rate reported by survey respondents continues to be lower than that of the general population.

Overall, the results of the FEBS guide Federal benefits policy. OPM uses the results of the FEBS to ensure that currently available Federal benefits align with best practices and employee needs. The results also help OPM evaluate whether or not Federal employees understand the flexibilities and benefits available to them.

Link to the published report:
https://www.opm.gov/policy-data-oversight/data-analysis-documentation/employee-surveys/2016-federal-employee-benefits-survey-results.pdf

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 Modernization Act of 2010.*

The following section describes the steps that OPM has taken to ensure the performance information it reports for each measure is accurate, complete, and reliable. 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 every one to two months. This process includes substantiating that actual results reported are indeed correct whenever those results reveal substantial changes in trends or variances from targets.

- The 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 USA Staffing® hiring actions for which OPM managers reviewed applicant flow data
Definition	The number of OPM selections made through USA Staffing® after applicant flow data have been reviewed by either OPM HR or hiring managers to help recruitment for future hiring actions divided by the number of selections.
Data Source	USA Staffing®, the system used by OPM to manage its hiring process.
Frequency	Quarterly
Verification and Validation	OPM reviews the underlying data for any anomalies.
Data Limitations	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.

TABLE 1.02A

Performance Measure	OPM's Federal Employee Viewpoint Survey Employee Engagement Index score
Definition	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: • 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) • Supervisors: Reflects the interpersonal relationship between worker and supervisor, including trust, respect, and support. (Q 47, 48, 49, 51, and 52) • 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) 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.
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

Performance Measure	Overall New IQ Score
Definition	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: • *Fair*: Are all employees treated equitably? (Q 23, 24, 25, 37, and 38) • *Open*: Does management support diversity in all ways? (Q 32, 34, 45, and 55) • *Cooperative*: Does management encourage communication and collaboration? (Q 58 and 59) • *Supportive*: Do supervisors value employees? (Q 42, 46, 48, 49, and 50) • *Empowering*: Do employees have the resources and support needed to excel? (Q 2, 3, 11, and 30) The number of employees providing positive survey responses to the 20 questions divided by the total number of respondents.
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 1.03A

Performance Measure	Percent of employees participating in corporate training opportunities
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	Learning Management System (LMS) and Enterprise Human Resources Integration (EHRI)
Frequency	Monthly
Verification and Validation	OPM Learning runs an automated report counting all OPM employees who have registered for OPM Learning activities via the LMS, and cleans the database to remove duplicate or erroneous records. OPM HR and Planning and Policy Analysis use standard data management methods to verify the accuracy of EHRI data.
Data Limitations	The data reflect inconsistencies in data collection procedures, and OPM is continuing to review its procedures to identify opportunities to leverage technology to improve the quality of the data.

TABLE 1.03B

Performance Measure	Percent of employees satisfied with the opportunity to improve their skills as reported in the Employee Viewpoint Survey
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

Performance Measure	Percent of external-facing program offices measuring their customer service responsiveness
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

Performance Measure	Percent of external-facing program offices measuring their customer service timeliness
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

Performance Measure	Percent of Strategy 2.03 milestones from the Customer Experience Strategic Plan completed
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	SharePoint spreadsheet tracking milestones
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

Performance Measure	Percent of Strategy 2.04 milestones from the Customer Experience Strategic Plan completed
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	SharePoint spreadsheet tracking milestones
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

Performance Measure	Number of user accounts on the Federal Viewpoint Survey Online Reporting and Analysis Tool
Definition	The number of user accounts on OPM's web-based tool developed to enable agencies to run online analyses and display various types of reports in real time.
Data Source	Data Xplorer, which is an online query and analysis system that allows users access to static OPM-generated reports, pre-configured reports and the ability to perform ad-hoc analyses on FEVS data
Frequency	Quarterly
Verification and Validation	On a quarterly basis, the number of 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	The number of accounts is a proxy measure of agency data dissemination and distribution of reports to all executives, supervisors/managers at the component and office-level, but does not account for the frequency of use.

TABLE 3.02B

Performance Measure	Number of users on the Federal Talent Dashboard
Definition	The number of Federal employees with accounts for OPM's data visualization tool (*UnlockTalent.gov*) that provides far-reaching views of agencies' Federal Employee Viewpoint Survey data to support agencies' identification of subcomponents needing immediate action to improve engagement, as well as resources agencies can apply to their action planning.
Data Source	OPM's database to manage user accounts for OPM websites
Frequency	Monthly
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	The number of accounts is a proxy measure and does not indicate the frequency of use.

TABLE 3.03

Performance Measure	Number of signed research agreements with academic institutions, professional associations, think tanks, or industry
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

Performance Measure	Number of employees (students) who completed a data analytics course
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	The data does not include "Just-in-Time-Learning" where individuals enter a course to find specific information on a course and then exit.

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

TABLE 4.01A

Performance Measure	Percent of Federal Human Capital Data Model with standards published
Definition	The number of Federal Human Capital data categories with all data elements in either the National standard or Federal standard divided by number of data categories (eight).
Data Source	*NIEM.gov* and *OPM.gov*
Frequency	Monthly
Verification and Validation	The data elements for each of the Federal Human Capital data categories are checked against the published list (on *NIEM.gov* or *OPM.gov*). Once all the data elements for a category have been published, on either site, the category is considered complete.
Data Limitations	The total number of data elements in the HR Lifecycle can vary as new elements are identified and added. OPM's HR Line of Business (HRLOB) in conjunction with the MASC and CHCO Council created a new Federal Human Capital Framework. This framework comprises all human capital activities from strategy to separation and beyond. The process to further develop the frameworks functions and sub-functions is expected to take ten years. Throughout this process the number of data elements in each category could change, as new data elements added could impact this measure.

TABLE 4.01B

Performance Measure	Percent of HR lifecycle examined for automation opportunities
Definition	The number of components of the HR lifecycle that was reviewed to determine areas where automation could enhance the related processes divided by the total number of components of the HR lifecycle.
Data Source	HRLOB Business Reference Model Framework schedule
Frequency	Monthly
Verification and Validation	The HRLOB Program Manager performs manual verification.
Data Limitations	This is a subjective measure due to the level of review required to qualify a lifecycle area as being fully reviewed. The HRLOB is working on defining a new Business Reference Model (BRM 3.0). Once this model is defined, requirements need to be published for the updated HR lifecycle and sub lifecycles.

TABLE 4.02

Performance Measure	Percent of major investments with IT program managers certified in Federal Acquisition Institute Training Application System
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	Investment management 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	Investment Management 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

Performance Measure	Customer satisfaction with OPM helpdesk services
Definition	The number of helpdesk customers who indicated that they agreed or strongly agreed that they were satisfied with the overall service they received divided by the number of survey responses.
Data Source	Helpdesk customer satisfaction monthly survey results produced from the remedy ticket survey results.
Frequency	Monthly
Verification and Validation	This is an automated report created from user responses to a system generated survey. The report parameters are pre-defined and the report provides trend results. Trend charts can be used to verify prior month results.
Data Limitations	OPM currently only has the ability to track overall satisfaction of the helpdesk. This measure does not currently account for all infrastructure services. Further, the survey has a low response rate. All samples are subject to multiple sources of error, including but not limited to sampling error, coverage error, and measurement error.

TABLE 4.03B

Performance Measure	IT security compliance rating for OPM infrastructure services
Definition	The average IT security compliance score based on the Continuous Monitoring dashboard rating for infrastructure systems used by OPM. The sum of system ratings is divided by number of systems
Data Source	IT Security Policy Monthly Continuous Monitoring Dashboard
Frequency	Monthly
Verification and Validation	Trusted agent is updated by the Information System Security Officer and reviewed by the Chief of IT Security Policy.
Data Limitations	This measure only tracks systems listed in the trusted agent system. Some of the categories only measure completeness of a requirement and do not account for quality. The agency is reassessing the methodology.

TABLE 4.03C

Performance Measure	Percent of public-facing OPM systems using single sign-on capability
Definition	The number of public-facing systems identified by the IT program managers that have single sign-on capabilities divided by the number of public-facing systems.
Data Source	OCIO tracking spreadsheet with data received by IT program managers
Frequency	Monthly
Verification and Validation	The Performance Measurement and Reporting Official reviews the tracking spreadsheet to ensure that data is captured for each of the listed systems.
Data Limitations	There are no significant data limitations.

TABLE 4.03D

Performance Measure	Percent of internal OPM systems using single sign-on capability
Definition	The number of internal OPM systems identified by the IT program managers that have single sign-on capabilities divided by the number of internal OPM systems.
Data Source	OCIO tracking spreadsheet with data received by IT program managers
Frequency	Quarterly
Verification and Validation	The Performance Measurement and Reporting Official reviews the tracking spreadsheet to ensure that data is captured for each of the listed systems.
Data Limitations	There are no significant data limitations.

TABLE 4.03E

Performance Measure	Percent of network covered by Phase 1 Continuous Diagnostics and Mitigation (CDM) capabilities
Definition	For each control, the number of devices covered by Phase 1 CDM capabilities divided by the total number of devices, averaged across the two networks.
Data Source	Reports from Bix Fix, RES, Rapid 7, and ForeScout. By the end of FY 2016, all information will come from Archer (CDM dashboard tool).
Frequency	Quarterly
Verification and Validation	OPM tracks CDM project implementation and reports to the Director of OPM Security Operation Center. The Director of 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/removed from OPM's networks. The percent listed for each quarter is a snapshot in time.

TABLE 4.03F

Performance Measure	Percent of High Value Asset (HVA) databases encrypted
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 4.03G

Performance Measure	Percent of OPM Business Systems migrated to new network infrastructure environment
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 (IaaS) environment. There will be new systems that are set up in the IaaS environment that were never in the legacy environment.

TABLE 4.03H

Performance Measure	Percent of OPM IT Systems compliant with FISMA required documentation
Definition	The number of systems with active Authority to Operate (ATO) 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 (ATO)
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 4.03I

Performance Measure	Percent of FISMA audit findings mitigated
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 4.04A

Performance Measure	Aggregate customer satisfaction rating with OPM IT business systems
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.

TABLE 4.04B

Performance Measure	IT security compliance rating for OPM IT business systems
Definition	The average IT security compliance score from the Continuous Monitoring dashboard rating, based on an assessment of 15 categories, for the OPM business systems.
Data Source	IT Security Policy Monthly Continuous Monitoring Dashboard
Frequency	Monthly
Verification and Validation	Trusted agent is updated by the Information System Security Officer and reviewed by the Chief of IT Security Policy.
Data Limitations	This measure only tracks systems listed in the trusted agent system. Some of the categories only measure completeness of a requirement and do not account for quality. The agency is reassessing the methodology.

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

TABLE 5.01A

Performance Measure	Percent of stakeholders who agree that OPM's budget processes and activities 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	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. 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.
Data Limitations	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. 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.

TABLE 5.01B

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	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. 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.
Data Limitations	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. 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.

TABLE 5.03A

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	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.
	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.
Data Limitations	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.
	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.

TABLE 5.04A

Performance Measure	Revolving Fund net income (three year rolling average)
Definition	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. 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).
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 to ensure 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

Performance Measure	Percent of components of CHCO organizations that increased "leaders lead" scores
Definition	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:
	• In my organization, senior leaders generate high levels of motivation and commitment in the workforce. (Q 53)
	• My organization's senior leaders maintain high standards of honesty and integrity. (Q 54)
	• Managers communicate the goals and priorities of the organization. (Q 56)
	• Overall, how good a job do you feel is being done by the manager directly above your immediate supervisor? (Q 60)
	• I have a high level of respect for my organization's senior leaders. (Q 61)
	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).
Data Source	Federal Employee Viewpoint Survey
Frequency	Annually
Verification and Validation	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.
	OPM's Planning and Policy Analysis leads the survey administration and conducts extensive data analysis to verify the validity of this index.
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

Performance Measure	Number of participants who achieve mastery of competencies upon completion of the manager or executive level LEAD certificate program
Definition	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).
	LEAD Certificates are pursued over a three-year period. Students take five courses: Core Development, Assessment, Policy Awareness, and two Skill Immersion courses.
Data Source	Center for Leadership Development Central, a web portal
Frequency	Quarterly
Verification and Validation	OPM reviews and scrubs the data after downloading it into Center for Leadership Development Central, eliminating duplicates and rectifying obvious errors.
	Fields are set up in the registration form to ensure that the data is captured for the courses that count towards a LEAD Certificate. There is a customer service representative per group of agencies to validate the data.
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

Performance Measure	Number of CHCO Act agencies using Manager and Executive level certificate programs
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	OPM reviews and scrubs the data after downloading it into Center for Leadership Development Central, eliminating duplicates and rectifying obvious errors.
	Fields are set up in the registration form to ensure that the data is captured for the courses that count towards a LEAD Certificate. There is a customer service representative per group of agencies to validate the data.
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

Performance Measure	Percent of CHCO Act agencies that access the Employee Viewpoint Survey Online Reporting and Analysis Tool
Definition	The number of CHCO Act agencies that access 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

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
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

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
Definition	The number of CHCO Act agency lower-level components 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 6.03D

Performance Measure	Percent of users satisfied with *UnlockTalent.gov*
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	OPM 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

Performance Measure	Percent of non-seasonal, full-time permanent employees onboard in the Federal Government with targeted disabilities
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 EEOC 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 6.05B

Performance Measure	Percent of USAJOBS hiring actions for which managers and/or Human Resources Government-wide reviewed applicant flow data
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 7.02A

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

Performance Measure	Average unit cost (direct labor only) for processing retirement claims
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 ensure accuracy and reliability.
Data Limitations	There are no significant data limitations.

TABLE 7.03B

Performance Measure	Percent of retirement and survivor claims processed accurately
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 ensure 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

Performance Measure	Percent of retirement claims processed within 60 days
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 ensure accuracy and reliability.
Data Limitations	There are no significant data limitations.

TABLE 7.03D

Performance Measure	Percent of customers satisfied with overall retirement services
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 ensure 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

Performance Measure	Rate of improper payments in the retirement program
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	OCFO 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

Performance Measure	Percent of retirement program customer calls handled
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 ensure accuracy and reliability.
Data Limitations	There are no significant data limitations.

TABLE 7.03G

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.

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 ensure 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	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. The number of days to complete the fastest 90 percent of investigations divided by the number of investigations in the fastest 90 percent.
Data Source	Personnel Investigations Processing System (PIPS), OPM's case management system
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 8.01C

Performance Measure	Average number of days to complete the fastest 90 percent of initial Secret national security investigations
Definition	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.
	The number of days to complete the fastest 90 percent of investigations divided by the number of investigations in the fastest 90 percent.
Data Source	Personnel Investigations Processing System (PIPS), OPM's case management system
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

Performance Measure	Average number of days to complete the fastest 90 percent of initial Top Secret national security investigations
Definition	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.
	The number of days to complete the fastest 90 percent of investigations divided by the number of investigations in the fastest 90 percent.
Data Source	Personnel Investigations Processing System (PIPS), OPM's case management system
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).

TABLE 8.01E

Performance Measure	Number of Federal investigators hired by OPM
Definition	The number of Federal investigators hired in the period.
Data Source	OPM Human Resources 206 report
Frequency	Monthly
Verification and Validation	Human Resources information is checked against internal NBIB personnel data.
Data Limitations	The data represents a point in time and may be difficult to re-create at a later time. The measure does not account for attrition.

TABLE 8.01F

Performance Measure	Number of fieldwork source units completed by OPM's fieldwork contractors
Definition	The number of fieldwork source units completed by OPM's fieldwork contractors in the period.
Data Source	Personnel Investigations Processing System (PIPS)
Frequency	Weekly
Verification and Validation	The dashboard report data is checked against other PIPS reports to ensure its accuracy.
Data Limitations	The data represents a point in time and may be difficult to create at a later time.

TABLE 8.02A

Performance Measure	Percent of agency human capital or human resources offices evaluated by OPM that demonstrate progress in improving their human capital programs
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 ensure 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 8.02B

Performance Measure	Percent of required actions cited in reports that are addressed by agencies within prescribed timeframes
Definition	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.
	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.
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	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 ensure 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.
	The Data Reviewer periodically checks formulae in the spreadsheet to ensure they are correct.
Data Limitations	There are no significant data limitations.

TABLE 8.02C

Performance Measure	Percent of Delegated Examining Units (DEUs) found to have severe problems that demonstrate satisfactory level of competence or cease to independently operate within one year following completion of an audit
Definition	The number of DEUs that were evaluated and characterized as having significant or systemic deficiencies in the preceding fiscal year that demonstrate sustained improvement and are determined to be operating at a satisfactory level after a 1-year period or no longer operate independently divided by the number of DEUs evaluated and characterized as having significant or systemic deficiencies in the preceding fiscal year.
Data Source	ACE Severe DEU Log, Improvement Action Plan, and documentation of the results of any follow-up audits
Frequency	Quarterly
Verification and Validation	Verification of improvement or lack thereof is determined through a follow-up audit of a sample of hiring actions to confirm the necessary progress has been made. ACE management reviews all reports issued to agencies. The ACE Delegated Examining Program Manager also monitors and tracks progress.
	ACE management reviews audit reports and Severe DEU Log entries documenting quarterly progress. ACE management reviews all reports issued to agencies. The ACE Delegated Examining Program Manager also monitors and tracks progress.
Data Limitations	There are no significant data limitations.

TABLE 8.03A

Performance Measure	Index score of customer satisfaction with quality of delegated examining and evaluator training
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 8.03B

Performance Measure	Index score of customer satisfaction with HR Solutions products and services (ACSI-Equivalent Index)
Definition	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: • 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) • 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) • 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) HR Solutions calculates a composite score by averaging the means for each question and multiplying that average by 10.
Data Source	Human Resource Solutions Customer Satisfaction Survey
Frequency	Semi-Annually
Verification and Validation	All data is double checked by CMS analysts. If anomalies appear, Human Resource Solutions experts are employed to review the data. Random checks are used to ensure data on the central spreadsheet reflects data downloaded from the survey platform. 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.
Data Limitations	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.

TABLE 8.03C

Performance Measure	Percent of HR specialists who complete at least one course on HR University (HRU)
Definition	The number of HR specialists who complete at least one course on HRU divided by the total number of HR specialists
Data Source	OPM's database of all registered HRU users
Frequency	Quarterly
Verification and Validation	Raw data are checked against registrations and prior baselines. HRU does not record course completions without third-party verification of completion. A course instructor or the online platform must verify that a user has completed a course prior to the course being marked completed.
Data Limitations	There are no significant data limitations.

TABLE 8.04A

Performance Measure	Percent of Senior Executive Service and Senior Level/ Scientific or Professional performance appraisal systems that have met the certification criteria
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 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 Senior Level/Scientific or Professional 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.

TABLE 8.04B

Performance Measure	Customer Satisfaction with USA Performance (ACSI Equivalent Score)
Definition	HR Solutions distributes a Customer Satisfaction Survey twice per year.
	HR Solutions calculates a composite score by averaging the average for each question and multiplying that average by 10. Historically, Human Resource Solutions has not used the proprietary ACSI weighting scheme nor weighted specific solution areas when calculating scores for higher organizational levels.
	This index is comprised of the following items:
	• ACSI Question 1—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.
	• ACSI Question 2—Considering all of your expectations, to what extent have HR Solutions HR Strategy's products and services fallen short of or exceeded your expectations?
	• ACSI Question 3—Imagine an ideal organization providing human resources consulting products or services. How well do you think HR Solutions compares with that ideal organization?
Data Source	Human Resource Solutions Customer Satisfaction Survey
Frequency	Semi-Annually
Verification and Validation	All data is double checked by CMS analysts. If anomalies appear, Human Resource Solutions experts are employed to review the data. Random checks are used to ensure data on the central spreadsheet reflects data downloaded from the survey platform.
	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.
Data Limitations	The data is based on a chosen sample, rather than a random or randomized sampling technique.

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

Performance Measure	Number of people enrolled in the Multi-State Plan Program
Definition	The number of enrollees in the Multi-State Plan program.
Data Source	Centers for Medicare and Medicaid Services (CMS), Department of Health and Human Services, Blue Cross Blue Shield Association, and other contracted issuers
Frequency	Annually
Verification and Validation	OPM compares data from issuers and CMS.
Data Limitations	The results are imprecise because the number depends on the point in time in which the measurement was taken. Enrollees on the Exchanges do not always maintain coverage for an entire year. Typically the total enrollment declines as the year progresses. This is true for all health plans offered in the Exchanges, not just Multi-State Plan options. Further, CMS only obtains enrollment for products in the states using the Federally-Facilitated Marketplace, not the State Based Marketplaces.

TABLE 9.01B

Performance Measure	Number of tribes, tribal organizations or urban Indian organizations participating in the Federal Employees Health Benefits (FEHB) Program
Definition	The number of tribes, tribal organizations and urban Indian organizations who elect FEHB coverage for the calendar year as a result of an Affordable Care Act provision.
Data Source	National Finance Center's Tribal Insurance Processing System
Frequency	Annually
Verification and Validation	National Finance Center processes and procedures
Data Limitations	There are no significant data limitations.

TABLE 9.01C

Performance Measure	Number of tribal employees enrolled in the Federal Employees Health Benefits (FEHB) Program
Definition	The number of tribal employees receiving FEHB coverage for the calendar year.
Data Source	National Finance Center's Tribal Insurance Processing System
Frequency	Annually
Verification and Validation	National Finance Center processes and procedures
Data Limitations	There are no significant data limitations.

TABLE 9.01D

Performance Measure	Percent of Federal Employees Health Benefits Program (FEHBP) enrollees satisfied
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 9.02A

Performance Measure	Percent increase in Federal Employees Health Benefits (FEHB) premiums
Definition	The increase in the amount of FEHB premiums divided by the prior year premium amount, based on a projected population (using the current year's population with the next year's rates). Premiums are weighted using the headcounts for each plan.
Data Source	OPM spreadsheet with FEHB headcount information and FEHB plan information
Frequency	Annually
Verification and Validation	Three actuaries review and compare results, and conduct reasonableness tests for the FEHB headcount information.
Data Limitations	This measure reflects premiums set in the current fiscal year, going into effect for health plans the following year. This premium increase measure is a projection based on population in the year in which premiums were set, not the actual population of the plans affected by the premium increase.

TABLE 9.02B

Performance Measure	Percent of plans with timely prenatal care above the national commercial 50th percentile
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 AHRQ 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 9.02C

Performance Measure	Percent of plans controlling blood pressure above the national commercial 50th percentile
Definition	The number of FEHB plans in which plan member respondents controlled blood pressure above the national commercial 50th 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 9.02D

Performance Measure	Percent of plans with all-cause readmission to hospital within 30 days of inpatient hospital stay above the national commercial 50th percentile
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 AHRQ 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

Performance Measure	Percent of adults receiving flu shots based on Consumer Assessment of Healthcare Providers and Systems (CAHPS) Effective Care
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 AHRQ 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 9.04

Performance Measure	Percent of employees aware of Federal Employees Health Benefit (FEHB) tobacco cessation benefit
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 AHRQ National Quality Measures Clearinghouse).
Data Limitations	Data is self-reported, infrequently collected, and based upon a sample.

CHANGED PERFORMANCE MEASURES

Strategy	Congressional Budget Justification Measure	Change	Reason
4.01	Percent of HR lifecycle for which National Information Exchange Model data standards are published	Percent of Federal Human Capital Data Model with standards published	Some elements are inconsistent with National Information Exchange Model data standards due to applicable laws and regulations.
4.01	Percent of HR lifecycle examined for automation opportunities	Percent of Federal Human Capital Business Reference Model Functional Framework developed	The Chief Human Capital Officers Council provided new direction to create standards for the HR lifecycle. Further, the measure was not useful due to the changing nature of automation.
4.03	Customer satisfaction with OPM infrastructure services	Customer satisfaction with OPM helpdesk services	OPM revised the wording to more clearly describe the measurement.
5.01 5.02	Percent of stakeholders who agree that OPM's budget processes are transparent and responsive	• Percent of stakeholders who agree that OPM's budget processes and activities are transparent • Percent of stakeholders who agree that OPM's budget processes and activities are responsive to their needs	OPM changed the survey item wording after consulting with experts to develop the survey.
5.03	Percent of stakeholders who agree that information is available to educate and inform users	Percent of stakeholders who agree that information about OPM's budget processes, activities, and tools is communicated to users	OPM changed the survey item wording after consulting with experts to develop the survey.
9.02	Percent increase in FEHB premiums based on actual population	Discontinued measure	Reporting on this measure is subject to lag time. Actual population for FY 2016 premiums will not be available until 2017. Additionally, OPM reports premium increases using the measure Percent increase in FEHB premiums for all other reporting (including during the rollout of FEHB Open Season). OPM decided to report the premium change in one way (using a static population) for clarity for enrollees, stakeholders, and the general public. The information is most relevant during the open enrollment period and the only stable number that OPM can present at that time is the static population number.
9.02	Growth of FEHB prescription drug costs	Discontinued measure	This measure is based on self-reported data from health plans. Health plans may differ in how they report pharmacy claims and beneficiaries. Additionally, plans may be using estimates. Finally, reporting does not account for drug claims that are part of the medical benefit. OPM has limited means of validating the data submitted by plans, reducing the usefulness of this measure.

MEASURES NOT TRACKED

Strategy	Performance Measure	Reason
4.03	Deviation from Service Level Agreement cost of OPM infrastructure services	OPM was unable to establish a baseline for this measure in FY 2016 as resources were allocated to other agency priorities.
4.03	Percent of non-OPM users required to use multi-factor authentication to access OPM High Value Asset systems	The Identify Management implementation team will be formulating a strategy for this in Q1 FY 2017 and will provide additional information once the strategy is formulated.
4.03	Percent of network covered by Phase 2 Continuous Diagnostics and Mitigation capabilities	Phase 2 will not begin until FY 2017.
7.03	Average number of days to process court-ordered benefit cases	The system used to track court ordered benefits is undergoing modifications. OPM is not ready to report at this time. The projected reporting date is Q1 FY 2017.
8.03	Percent of course participants demonstrating successful achievement/mastery of learning objectives	In September 2016, OPM piloted the Foundations of Service Excellence for HR Professionals–Staffing instructor-led prototype. The prototype of the course was piloted to demonstrate proof of concept in terms of content, learning strategies, branding/design, and media allowing forward movement with the development of the rest of the curriculum with confidence. The course content and design were well accepted by participants, and achievement of learning objectives demonstrates that the design of the full course will enable mastery of content. Estimated availability is January-April 2017.

ACRONYMS

ACE	Agency Compliance and Evaluation
ACSI	American Customer Satisfaction Index
ALJ	Administrative Law Judge
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
CAP	Cross-Agency Priority
CDC	Centers for Disease Control
CDM	Continuous Diagnostics and Mitigation
CFO	Chief Financial Officer
CHCO	Chief Human Capital Officer
CIO	Chief Information Officer
CLIA	Congressional, Legislative, and Intergovernmental Affairs
CMS	Centers for Medicare and Medicaid
CSRS	Civil Service Retirement System
DE	Delegated Examining
DEU	Delegated Examining Unit
DFAS	Defense Finance and Accounting Service
DHS	Department of Homeland Security
DOD	U.S. Department of Defense
ECMS	Enterprise Case Management System
eOPF	Electronic Official Personnel Folder
EEO	Equal Employment Opportunity
EHRI	Enterprise Human Resource Integration
EHRI-SDM	Enterprise Human Resource Integration – Statistical Data Mart
EMCA	Enterprise-wide Managerial Cost Accounting
ES	Employee Services
FEDVIP	Federal Employee Dental Vision Insurance Plan
FEGLI	Federal Employees' Group Life Insurance
FEHB	Federal Employees Health Benefits
FERCCA	Federal Erroneous Retirement Coverage Corrections Act
FERS	Federal Employees Retirement System
FEVS	Federal Employee Viewpoint Survey
FSAFEDS	Federal Flexible Spending Account
FIN	Federal Investigations Notice
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
FRAE	Further Revised Annuity Employee

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
HRLOB	Human Resources Line of Business
HRS	Human Resources Solutions
HRU	Human Resources University
HVA	High Value Assets
IaaS	Infrastructure as a Service
IQ	New Inclusion Quotient
LEAD	Leadership Education and Development
LMS	Learning Management System
MCO	Mission Critical Occupations
MSAC	Merit System Accountability & Compliance
MSP	Multi-State Plan
NBIB	National Background Investigations Bureau
NCQA	National Committee for Quality Assurance
NIEM	National Information Exchange Model
NPS	National Park Service
OC	Office of Communications
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
OMB	Office of Management and Budget
OPM	US Office of Personnel Management
OPO	Office of Procurement Operations
OSDBU	Office of Small and Disadvantaged Business Utilization
PAC PMO	Performance Accountability Council's Program Management Office
PIPS	Personnel Investigations Processing System
PIV	Personal Identity Verification
POA&M	Plan of Actions and Milestones
PPA	Planning and Policy Analysis
PPO	Preferred Provider Organization
QCR	Clinical Quality, Customer Service, and Resource Use
RAE	Revised Annuity Employee
RS	Retirement Services
SES	Senior Executive Service
SLA	Service Level Agreement
SSA	Social Security Administration
STEM	Science, Technology, Engineering, and Mathematics
USPS	United States Postal Service

"The greatest job in America is serving the public."

– Theodore Roosevelt

U.S. Office of Personnel Management

Chief Financial Officer

1900 E Street, NW, Washington, DC 20415

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