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1900 E Street, N.W.  
OPIM/FOIA Room 5H35  
Washington, D.C. 20415-7900  
Email: [FOIA@opm.gov](mailto:FOIA@opm.gov)

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UNITED STATES OFFICE OF PERSONNEL MANAGEMENT  
Washington, DC 20415

Office of the Director

August 11, 2023

Via Electronic Mail

Re: Final Response to Freedom of Information Act (FOIA) Request No. 2021-02241

This is the final response to your FOIA request received January 1, 2021, by the U.S. Office of Personnel Management (OPM), assigned tracking number 2021-02241. You requested the following:

“A digital/electronic copy of the transition briefing document(s) (late 2020) prepared by OPM for the incoming Biden Administration.”

Your request was processed under the FOIA, 5 U.S.C. § 552.

A search was conducted by the Office of the Director. Responsive records totaling 66 pages were located. The records are being released to you in full.

If you are not satisfied with OPM’s determination in response to this request, you may administratively appeal in writing by email to [OGCAtty@opm.gov](mailto:OGCAtty@opm.gov) or by mail to:

U.S. Office of Personnel Management  
Office of the General Counsel  
1900 E Street, N.W.  
Washington, D.C. 20415

An appeal should include a copy of the initial request, a copy of the letter denying the request, and a statement explaining why you believe the denying official erred. Appeals must be electronically transmitted or postmarked within 90 calendar days of the date of this letter. FOIA administrative appeals should be submitted via email to avoid processing delays.

Additionally, you may contact the Office of Government Information Services (OGIS) at the National Archives and Records Administration to inquire about the FOIA mediation services they offer. You may contact OGIS by e-mail at [ogis@nara.gov](mailto:ogis@nara.gov); telephone at 202-741-5770; toll free at 1-877-684-6448; facsimile at 202-741-5769; or mail at:

2021-02241

Office of Government Information Services  
National Archives and Records Administration  
8601 Adelphi Road-OGIS  
College Park, Maryland 20740-6001

You may also contact OPM's FOIA Public Liaison, Camille C. Aponte-Rossini, at [Camille.Aponte-Rossini@opm.gov](mailto:Camille.Aponte-Rossini@opm.gov) or 202-606-1153.

I trust this fully satisfies your request. If you need any further assistance or would like to discuss any aspect of your request, please do not hesitate to contact Tiffany Ford at [Tiffany.Ford@opm.gov](mailto:Tiffany.Ford@opm.gov) or 202-936-2469.

Sincerely,

JOHN PETTIT Digitally signed by JOHN  
PETTIT  
Date: 2023.08.15 11:46:25  
-04'00'

John Pettit  
Chief Administrative Officer  
Office of the Director  
U.S. Office of Personnel Management

Enclosure: Responsive Records (66 pages)

# U.S. Office of Personnel Management 2020 Briefing Overview

## Table of Contents

Congressional, Legislative and Intergovernmental Affairs (CLIA) .....	3
Office of Equal Employment Opportunity (EEO) .....	5
Employee Services (ES) .....	7
Facilities, Security, and Emergency Management (FSEM) .....	11
Federal Prevailing Rate Advisory Committee.....	13
Human Capital Data Management and Modernization (HCDMM) .....	15
Healthcare and Insurance (HI).....	17
Human Resources Solutions (HRS) .....	21
Merit System Accountability & Compliance (MSAC) .....	28
Office of Communications (OC).....	33
Office of the Chief Financial Officer (OCFO).....	35
Office of the Chief Information Officer (OCIO).....	39
Office of the General Counsel (OGC) -2016.....	41
Office of Privacy and Information Management (OPIM) .....	45
OPM Human Resources (OPM HR) .....	49
Office of Procurement Operations (OPO) .....	51
Office of Small & Disadvantaged Business Utilization (OSDBU).....	53
Retirement Services (RS) .....	54
Suitability Executive Agent Programs (SuitEA).....	60
Chief Human Capital Officers Council (CHCOC) .....	66

# Congressional, Legislative and Intergovernmental Affairs (CLIA)

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## Mission

Congressional, Legislative and Intergovernmental Affairs is the OPM office that fosters and maintains relationships with Members of Congress and their staff. CLIA accomplishes its mission by keeping informed of issues related to programs and policies administered by OPM. CLIA staff attends meetings, conducts briefings, and monitors markups and hearings in order to interact, educate, and advise agency personnel as well as Congressional stakeholders, and if required, State, Local and Tribal Governments.

## Workforce Functions

CLIA is organized into these subgroups that have unique roles and areas of responsibility:

- **Congressional Relations (CR)** -- CR serves as the principal liaison with Congressional Committees and individual Members of Congress. Working with CLIA's subgroups and OPM program offices, CR designs and implements legislative strategies that support OPM's legislative agenda. CR takes the lead at staffing congressional hearings, meetings, and briefings with other CLIA and program office staff. (Note: these positions are currently vacant, but duties are fulfilled by LA staff).
- **Legislative Analysis (LA)** -- LA is the principal contact point for the Legislative Reference Division of the Office of Management and Budget (OMB). LA coordinates the development of OPM's Legislative Program, including the drafting and clearance of legislative proposals. LA facilitates the clearance within the Administration of OPM legislative proposals, views letter, and testimony. Through OMB, LA reviews legislative documents and testimony from other departments and agencies to ensure that OPM's positions are accurately and appropriately represented. LA also provides technical assistance in drafting legislation to other agencies, Members of Congress, and Congressional committees. Working with OPM program offices, LA prepares Congressional testimony (for the record or for delivery by OPM officials) for oversight hearings or on OPM's appropriations request. LA also supports other program offices in responding to Congressional Research Service and Government Accountability Office requests.

- **Constituent Services (CS)** -- CS provides services to Members of Congress and active and retired federal employees with questions about retirement, healthcare and other OPM programs and policies. CS responds to constituent and federal employee inquiries in a timely, professional, and, when related to private personal information, confidential manner. CS monitors inquiries and develops educational and outreach activities.
- **Intergovernmental Affairs (IA)** -- IA serves as OPM's principal interface with State, local, and tribal governments. IA develops and maintains relationships with these governments and monitors State legislation and regulations for their impact on OPM programs and policies. IA also ensures that OPM meets requirements for tribal consultation, including maintaining and updating the OPM tribal consultation plan and serving as OPM's designated tribal consultation official. (Note: This role is currently performed by the Director, CLIA).
- **Correspondence Analyst (CA) (support staff)** – The CA reports to the Director, CLIA. The CA facilitates routing, tracking and clearance of correspondence from Congressional Committees and individual Members of Congress. In addition, the CA serves as the point of contact for the Congressional Research Service's information and research requests. The CA also serves as the office liaison for Continuity of Operations, Freedom of Information Act requests, website postings, and notary services.

# Office of Equal Employment Opportunity (EEO)

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## Vision and Goals

### EEO Vision

Our vision is to achieve the highest standards of excellence and implement the building blocks necessary to create and maintain a work environment where everyone is treated with dignity and respect.

### EEO Goals

- In partnership with the Office of Diversity and Inclusion and Human Resources, make every effort to attract, recruit, develop and retain a diverse and professional workforce.
- Through education and training, develop an efficient workforce who strives to value and respect all personnel.
- Promote and sustain a safe work environment free of harassment and retaliation.
- Ensure management and program accountability.

## Workforce Functions

### EEO Primary Function

- EEO Complaint Processing -- EEO Counseling, Alternate Dispute Resolution (ADR), EEO complaints intake, investigation, adjudication and EEO appellate actions)
- Preparation and issuance of internal EEO reports
- Providing policy support, guidance and training for OPM's Human Resources office

### EEO Laws

- Title VII of the Civil Rights Act of 1964
- Age Discrimination in Employment Act of 1967
- Rehabilitation Act of 1973, as amended
- Equal Pay Act of 1973
- Pregnancy Discrimination Act of 1978
- Genetic Information Non-Discrimination Act of 2008



## EEO Complaint Process

The EEO complaint process is a venue of redress for employees, former employees, or applicants who believe that they have been discriminated against (based on prohibited personnel or activity) by a federal agency.

**Informal Process:** EEO Counseling and ADR/Mediation

**Formal Process:** Acceptance or Dismissal of the complaint, Investigation, EEOC Hearing, Final Agency Decision, Decision Hearings, Appeal.

**EEO Protected Classes:** Race, Color, Religion, Sex, National Origin, Genetic Information, Retaliation, Disability, Age.

**EEO Complaints:** Claims of discrimination based upon race, color, religion, sex, national origin, prior protected activity, genetic information, age or disability **must** be raised with an EEO Counselor at the agency alleged to have taken a discriminatory action, **within 45 days of the alleged discrimination.**

## Needed Action after Installation of any new Agency Head

### Anti-Discrimination Policy

This is a signed policy statement declaring the agency's position against discrimination on any protected basis. This statement shall affirm the principles of equal employment opportunity and assure that EEO program requirements will be enforced by the agency head and agency management.

Issuance of an Anti-discriminatory policy is in accordance with 29 C.F.R. § 1614.102 and EEOC Management Directive 715 (MD-715). An EEO policy statement must be issued within six months of the installation of the Agency Head.

**Key Stakeholders:** Agency Director, Senior Leadership, EEO Director.

# Employee Services (ES)

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## Mission

### ES provides:

- Policy direction and leadership in designing, developing and promulgating Government-wide human resources systems, programs, and policies that support the current and emerging needs of Federal agencies.
- Technical support and guidance to agencies regarding the full range of human resources management policies and practices.
- Operational services to agencies requesting authorization to exercise personnel management authorities that are subject to OPM approval under the law/regulation.
- Stewardship and execution of Administration and OPM priorities and strategic goals concerning Government-wide human capital management matters, including those within the President's Management Agenda.
- A full range of human resources services supporting the operation of OPM's internal human resources program.

## Workforce Functions

### Talent Acquisition & Workforce Shaping (TAWS)

- **Hiring, Position Classification and Assessment Policy:** Designs, develops, and promulgates Government-wide policies, regulations, and programs that Federal agencies use to recruit, examine, hire, classify work duties, and assess high-quality employees.
- **Agency Services:** Acts on agency request for approvals, variations, waivers, and exceptions to established policies, rules, and regulations.

### Pay and Leave (PL)

- **Pay Systems:** In support of Administration priorities, provide technical and policy support to develop options for maintaining and reforming the Federal employee compensation components of total rewards. Administer Government-wide pay

structures including the General Schedule and its locality pay component and Prevailing Rate Systems. Provide staff support to the President's Pay Agent, the Federal Salary Council, and the Federal Prevailing Rate Advisory Committee. Draft the President's alternative pay plans and annual pay adjustment Executive orders.

- **Pay Administration:** Provide leadership on pay, premium pay and hours of work for civilian Federal employees. Accomplish this by developing and maintaining Government-wide regulations and policies on authorities such as basic pay setting, locality pay, critical position pay, special rates, back pay, pay limitations, premium pay, grade and pay retention, and severance pay, and recruitment, relocation, and retention incentives.
- **HR Flexibilities for Recruitment and Retention:** Promote use of pay and leave flexibilities, including special rates, critical pay, enhanced leave accrual, and recruitment, relocation and retention incentives to attract, motivate, and retain high quality employees.
- **Leave and Hours of Work:** Lead the Federal Government's efforts to implement, manage, and improve Government-wide leave administration policies and programs, and develop and implement policies and programs that will assist Federal agencies in meeting their strategic goals and assist employees in balancing work and family needs. This includes alternative work schedules, Family and Medical Leave Act (FMLA), annual/sick leave, sick leave for adoption, bone marrow/organ donor, voluntary leave transfer, etc.
- **HR Flexibilities for Emergencies:** Respond to emergency situations by providing guidance on the various flexibilities that agencies have during an emergency situation that includes weather & safety leave, evacuation payments, telework, and initiation of any emergency leave transfer programs.

### Senior Executive Service and Performance Management (SESPM)

- **Senior Executive Service/Senior Professional Policy and Operations:** Designs, develops, and promulgates merit-based systems, policies and programs to recruit, develop, pay, motivate, and retain members of the Federal Government's Senior Executive Service (SES), and other senior positions.
- **Performance Management:** Develops and promulgates merit-based performance management systems, policies and programs to help ensure the Federal Government has an effective and accountable civilian workforce.
- **Leadership Development:** Responsible for policy, guidance and programs to ensure the Government's learning and development programs support leadership training and

development. Administers Government-wide leadership development programs such as the Interagency Rotations Program.

- **Work/Life/Wellness:** Provides agencies assistance, guidance and policy so their employees will have a flexible, supportive work environment that allows them to be focused and productive at work.

## Outreach, Diversity & Inclusion

- **Diversity and Inclusion Program:** Develops government-wide policies and provides guidance, best practices, and technical assistance to assist Federal agencies in maximizing organizational and employee performance by building diverse workforces and inclusive workplace cultures. Assures agency compliance with the Merit Systems Protection Principles, ensures conformance with the doctrines in the Prohibited Personnel Practices, and confirms all government employees are trained in Diversity and Inclusion in accord with the [Executive Order 13950](#), issued September 22, 2020.
- **Recruitment and Outreach Policy and Programs:** Designs, develops and promulgates policies, tools, and techniques for conducting recruitment and outreach for Federal positions, including the [Pathways Programs](#) for students and recent graduates.
- **Veterans Services:** Provides Government-wide leadership for improving employment opportunities for veterans in the Federal civil service. Supports the Council on Veterans Employment, established by Executive Order, by providing support in developing and implementing the [Government-wide strategic plan for veterans' employment](#).

## Accountability and Workforce Relations

- **Federal Employee Accountability:** Designs, develops, and promulgates systems, strategies, and policies to insure Federal employee accountability to standards of performance, conduct, and ethical behavior.
- **Labor Relations:** Serves as liaison to the unions on labor-management relations and consultation with National unions on policies and issues affecting their members, as required by statute. Provides policy guidance and technical assistance on Government-wide labor-management relations matters. Provides administrative support to the interagency Labor Relations Group (LRG), established by Executive Order.

## Strategic Workforce Planning (SWP)

- **Strategic Human Capital Management:** Develops Government-wide frameworks to define components of the Federal human capital system and approaches to enable

consistent assessment of Federal agency performance in human resources management as required under the Chief Human Capital Officer (CHCO) Act of 2002. Engages in research and forecasting to inform planning of future human capital management programs and systems.

- **Workforce Planning:** Provides leadership to Government-wide workforce planning and skills gap closure efforts, including management of Government-wide priority areas such as the cybersecurity workforce and National Security Professionals.
- **Learning and Development:** Responsible for policy, guidance and programs to ensure the Government's learning and development programs support employee (non-leadership) training and development. Administers partnerships with colleges and universities to provide discounted tuition for Federal employees in critical skills/educational areas.
- **Federal Executive Boards:** Provides programmatic direction and oversight of the 28 Federal Executive Boards (FEBs) that are established in regulation as a network and resource for sharing information and messaging, coordinating field emergency planning and management, providing feedback from the field perspective, engaging with local Federal employees, and piloting high-level interagency initiatives.
- **Demonstrations and Pilots:** Drive and institutionalize innovation through development and support of pilots and demonstration projects to test concepts and theories (e.g., retraining due to impact of technology and changing work roles, centers of excellence, reskilling programs).

# Facilities, Security, and Emergency Management (FSEM)

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## Mission

The mission of Facilities, Security, and Emergency Management (FSEM) is to administer the Office of Personnel Management's (OPM) operations of facilities, personnel security, physical security, emergency planning/actions, and administrative operations.

## Workforce Functions by Division

### Facilities Management (FM)

Facilities Management (FM) oversees agency-wide personal and real property, building operations, space procurement, energy efficiencies, space design/layout/construction, and occupational safety and health programs. FM manages delegated authority for the operations and maintenance of OPM's Headquarters located in the Theodore Roosevelt Building (TRB) Federal Building.

### Personnel Security (PS)

Personnel Security (PS) provides background investigative processing, suitability, and national security adjudicative determinations for OPM personnel. Federal employees and contractors, plus Entry-on-Duty approval determinations are processed in accordance with (IAW) investigative/PIV processing requirements. PS provides assignment of risk-level designations for OPM Position Descriptions IAW Suitability Federal Regulations and requirements. PS also provides oversight to OPM's Personal Identification Verification (PIV) program and directs day-to-day operations. These services are provided to several Federal agencies on reimbursable bases of shared service support ranging from screening and release of e-QIP submissions to providing fitness review recommendations of closed background investigations. PS processes clearance nominations and makes clearance eligibility determinations in support of OPM's Classified National Security Information Program.

### Emergency Management (EM)

Emergency Management (EM) is responsible for OPM's emergency preparedness and response programs. These actions include maintaining situational awareness utilizing a 24/7 Situation Room to keep OPM leadership apprised of events impacting all Federal employees. EM ensures OPM's Continuity of Operations Plan (COOP) program, the ability to carry out essential functions, and the Occupant Emergency Program remain current and actionable at all times. EM

prepares for and implements Crisis Management Planning at any moment to achieve an acceptable level of resiliency, such as with the 2020-2021 COVID-19 global pandemic.

### Security Services (SS)

Security Services (SS) manages OPM's Physical Security, Industrial Security, Classified National Security Information, and Insider Threat programs, including managing the integrated security systems at the TRB, FEI, and four field offices. SS also manages OPM's Sensitive Compartmented Information Facilities and performs insider threat deterrence, detection, and mitigation activities.

### Administrative Operations (AO)

Administrative Operations (AO) manages all of FSEM's budgetary, finance, and human resource management; all of OPM's internal/external graphic design, printing and publishing; and serves as OPM's external printing liaison on behalf of program offices. AO also manages OPM's Mail Operations and all OPM parcel services accounts.

# Federal Prevailing Rate Advisory Committee

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## Mission

The Federal Prevailing Rate Advisory Committee (FPRAC) is the statutory labor-management committee that studies the prevailing rate system and other matters pertinent to the establishment of prevailing rates and advises the Director of OPM on the administration of the pay system for prevailing rate Federal employees. *(For more information about FPRAC's mission, as well as meeting transcripts and annual reports, see <http://www.opm.gov/fprac>).*

## Workforce Functions

FPRAC has five management members, five labor members, and one Chair appointed by the Director of OPM. Labor and management seats are allocated by statute, as follows:

- Management: Department of Defense, two of the military departments (Army, Navy, and Air Force rotate through 2 seats annually), the Department of Veterans Affairs, and OPM.
- Labor: the current allocation of seats includes two representatives of the American Federation of Government Employees (AFGE), and one each from the AFL-CIO Metal Trades Department, the National Association of Government Employees (NAGE), and the Association of Civilian Technicians (ACT).

## Organizational Chart

FPRAC's only full-time staff member is its Chair. Support functions are provided by career staff in Employee Services and the Office of the Director.

## Top Issues

### FPRAC Chair

Under a new administration, the OPM Director will need to appoint FPRAC's Chair. Because FPRAC meets only at the call of its Chair, and because OPM has never implemented a change in regulation affecting the Federal Wage System (FWS) without a prior FPRAC recommendation, it is likely that the new OPM Director will want to name FPRAC's Chair promptly.

The law specifies that FPRAC's Chair must be non-career SES. One of the non-career SES positions allocated to OPM therefore needs to be reserved for FPRAC's Chair.



It will be important to remind Federal agencies and unions that are entitled to seats on FPRAC to propose as their representatives (or at least, as their alternates) individuals who commit to attend Committee meetings in-person on a regular basis.

The law requires that the allocation of labor seats on FPRAC be reviewed every 2 years, to ensure that it reflects current union representation patterns. The next such review is due in 2021.

### AFGE Proposals

Pursuant to an AFGE proposal, FPRAC recommended by majority vote in 2010 that FWS wage areas (or portions of them) that lie within General Schedule locality pay areas, should be consolidated. Following a request by OPM's Director that FPRAC undertake further study of the issue, the original recommendation was reaffirmed in 2012, again by majority vote.

Pursuant to an AFGE proposal, FPRAC recommended by majority vote in 2015 to move Monroe County, PA, from the Scranton-Wilkes-Barre, PA, FWS wage area to the New York, NY, FWS wage area.

Since neither of the above recommendations were ever rejected or implemented by OPM's Director, AFGE reintroduced them for discussion at FPRAC's September 2018 meeting.

There is strong union and Congressional interest in these recommendations.

# Human Capital Data Management and Modernization (HCDMM)

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The Human Capital Data Management and Modernization Directorate works to lead government-wide human capital strategic management through innovation of interoperable data, services, and operations. HCDMM reports to the Office of the Director and provides guidance on the collection, management, modernization, and utilization of human capital data across the government.

HCDMM's mission is "To lead government-wide Human Capital strategic management through innovation of interoperable data, services, and operations." HCDMM's work supports building a government-wide human capital data culture through:

- Establishment of an OPM interoperable, modern data platform, and tools to support evidence-based decisions about the workforce and employee life-cycle activities;
- Development and deployment of standardized models for human capital management operations, from strategy to separation, in concert with the Human Capital Business Reference Model (HCBRM); and
- Publication of policy and comprehensive guidance for human capital data development, collection, management, and utilization by end-users.

HCDMM leverages an OPM enterprise-wide approach to managing federal human capital data through programmatic responsibility for four programs:

## Human Resources Line of Business (HRLOB)

The HRLOB leads the development of human capital management services models for the end-to-end lifecycle of federal human capital management. With the development of the Human Capital Business Reference Model, Federal Integrated Business Framework, and the Human Capital Information Model, the HRLOB delivers the operational service models and data standardization to promote interoperability, accessibility, and usability of data across the human capital management lifecycle from strategy to separation.

## Enterprise Human Resources Integration (EHRI)

The EHRI program is the current, primary government-wide human resources data collection and analysis platform and houses human capital, payroll, and training data for over 2.1 million federal employees. EHRI data is made publicly available via the FedScope web tool, which allows users to dynamically query the most requested personnel data series to create statistical tables and visualizations of the federal civilian workforce.

## Electronic Official Personnel Folder (eOPF)

The eOPF Program manages a government-wide mission critical system that aggregates and displays HR documents and retirement information accumulated during a federal employee's career. Employee records are stored in electronic personnel folders available 24/7 via secure online access to the eOPF system. These automation and security benefits are vital not only to today's geographically dispersed workforce, but also to HR professionals who can exchange federal employee HR information government-wide through a safe, streamlined approach.

## Data Support and Analysis (DSA)

The DSA program serves as the authoritative source of all government-wide human capital data and information, providing data files, reports, and analyses to internal OPM, and external customers on a daily basis, including other agencies, Congress, GAO, the White House, media, universities, and private citizens. DSA analysts are experts in utilizing human capital data for analysis, predictive modeling, data visualization, and development of end-user tools for the consumption of data in day-to-day evidence based decision-making.

HCDMM is leading the Federal government in establishing a human capital data culture through modernization of government-wide human capital data management and utilization.

# Healthcare and Insurance (HI)

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## Mission

Healthcare and Insurance provides Federal employees, retirees, their eligible family members and other eligible groups and persons with benefit programs that offer choice, value and quality to help maintain the Government's position as a competitive employer. Our programs cover over eight million individuals located worldwide. HI conducts contract oversight and administration, develops policy, operational guidance, and systems/applications to manage the following healthcare and insurance benefits programs:

- Federal Employees Health Benefits (FEHB) Program;
- Federal Employees' Group Life Insurance (FEGLI) Program;
- Federal Flexible Spending Account (FSAFEDS) Program;
- Federal Long-Term Care Insurance Program (FLTCIP); and the
- Federal Employees Dental and Vision Insurance Program (FEDVIP).

## Workforce Functions by Division

### Front Office

#### Chief Medical Officer (CMO)

This position focuses on the effectiveness of policies, procedures, and processes related to the quality of care, cost containment, and access that are based on best evidence and reflect the priorities of the programs and the government. The CMO also provides clinical leadership to assure that OPM conforms to and advances the priorities of other pertinent and applicable legislative or regulatory activities.

#### Chief Pharmacy Officer (CPO)

This position focuses on the effectiveness of policies, procedures, and processes related to the quality of pharmaceuticals, cost containment, and access that are based on best evidence and reflect the priorities of the programs and the government. The CPO also oversees drug programs, formularies, etc., for the FEHB Program. Pharmacy costs represent roughly 30 percent of FEHB spending and effectively managing these costs is essential for long term program stability. This position serves as liaison with other government programs and agencies (i.e., DHA/TRICARE, FDA, HHS, OMB, VA) on pharmacy related issues.

## Operations and Resource Management (ORM)

The ORM provides budget guidance, resource allocation, human resource support and liaison and a variety of planning and support activities in support of HI's mission to the organization's senior officials, program managers, and other key personnel. The ORM provides administrative and program support for various internal operations, including budget and financial management, human resources, administrative management, performance management, procurement and related projects in achieving its goals and objectives. The team oversees all procurements made by each HI office, as well as coordinates with OPM's Human Resources office to draft Job Opportunity Announcements and recruit employees for HI. The ORM also manages time and attendance for each HI employee, and completes other administrative activities across HI.

## Office of the Actuaries

The Office of the Actuaries (OA) analyzes and determines annual premiums for FEHB and FEDVIP, premiums for FEGLI and provides actuarial oversight of FLTCIP. In addition, OA determines the actuarial liabilities for Federal retirement, to includes determining agency normal cost contributions and annual treasury payments for the Civil Service Retirement System (CSRS) and Federal Employees Retirement System (FERS). OA also provides supporting documentation as required by the annual audit of OPM's Consolidated Financial Statements.

## Federal Employees Insurance Operations

Federal Employees Insurance Operations (FEIO) contracts with insurance carriers and administrators to provide enrollees with health, life, long term care, flexible spending accounts and dental and vision insurance choices. FEIO conducts annual benefit negotiations and performs contract oversight and program management for all the Federal healthcare and insurance benefits programs offered by OPM.

## Audit Resolution and Compliance (ARC)

Resolves Office of the Inspector General (OIG) audit findings related to Federal healthcare and insurance benefits. Also facilitates resolution of Monetary and Non-Monetary audit findings to include recovering costs that have been questioned in OIG and other audit reports.

## Federal Employees Health Benefits (FEHB) 1, 2, and 3

Responsible for oversight of the contracts and contracting process in accordance with the Federal Acquisition Regulation, as supplemented by the Federal Employees Health Benefit Acquisition Regulation. The three groups also manage the negotiation and administration of the individual contracts through which health insurance benefits are provided.

### Life and Ancillary Benefits (LAB)

Manages and is responsible for the FEGLI Program, FSAFEDS Program, the FLTCIP Program and future voluntary benefit programs. LAB also manages BENEFEDS, the enrollment engine for FEDVIP, along with premium administration for FEDVIP, FLTCIP and FSAFEDS.

### Federal Employees Dental and Vision Insurance Program (FEDVIP)

Manages the voluntary enrollee-pay-all dental and vision benefit program available for Federal employees, uniformed service members, annuitants and their family members. Responsible for oversight of the FEDVIP carrier contracts, monitoring and oversight.

### Performance Improvement (PI)

Manages the FEHB Plan Performance Assessment. The assessment is the agency's key initiative that continues to improve the quality of FEHB plans which offer enrollees more affordable choices.

### Contract Administration and Planning Support (CAPS)

Performs customer service for general FEIO program-related inquiries, correspondence management, Freedom of Information Act (FOIA) processing and tracking, FEHB and FEDVIP contract amendments, FEHB and FEDVIP brochure and brochure handbook guidance and special projects to support the leadership team.

### Program Development and Support

Program Development and Support (PDS) is responsible for extensive operational, analytical, and systems development and support; policy and program development and implementation; data collection and analysis; and stakeholder outreach and education for programs administered by HI. PDS also manages the annual Federal Benefits Open Season, which touches all of the major stakeholders involved in HI programs: Federal employees and annuitants; members of the uniformed services; eligible family members; Federal agency benefits officers and shared service providers; and insurance carriers.

### Program Analysis and Development (PAD)

Analyzes, researches, and develops overall strategies, policy, and guidance in support of Federal employee benefit programs administered by OPM, including healthcare reform initiatives, insurance, and other related issues. PAD performs rulemaking for all HI benefit programs. It also conducts extensive fact-finding and analysis of employee benefits policies and the practical operating realities of health care delivery and insurance systems to ensure that OPM's policies and legislative proposals are effective, strategic and are crafted to achieve workable goals. PAD

serves as the primary source of policy development and assistance regarding proposed reviews or changes in Federal benefits programs administered by OPM.

#### Systems Development and Implementation (SDI)

Responsible for the development, testing, deployment, and enhancement of web-based systems that HI relies on to manage and implement its healthcare and insurance benefits programs.

#### Health Systems Analytics (HSA)

Responsible for the collection, cleaning, assimilation, and analysis of more than 250 pharmacy use and cost data files from FEHB carriers. HSA is also responsible for implementing the Master Enrollment Index, an agency priority goal for FY 20-21. The MEI will bring together multiple data sources from inside OPM and FEHB Carriers to create a comprehensive single source of truth of FEHB enrollment.

#### Outreach and Program Services (OPS)

Manages the Federal Benefits Open Season, a multi-faceted effort that requires months of preparation and extensive coordination with numerous internal and external stakeholders. OPS is also responsible for HI's overall stakeholder outreach, which includes training for agency benefits officers and coordination of the FEHB Program Advisory Group. OPS manages special initiatives, such as administering the participation of tribes and tribal organizations in the FEHB Program, analysis of FEHB carriers' reports on their efforts to prevent and detect fraud, waste, and abuse, and management of the annual FEHB Carrier Conference.

#### Enrollment and Member Support (EMS)

Responsible for identifying and implementing improvements to the FEHB enrollment process for Federal employees and annuitants, Federal agencies, shared service providers, and FEHB carriers. This includes efforts to enhance current decision support tools and enrollment processes. EMS also has the lead on the concept of operations for the FEHB Central Enrollment Program, which would provide a comprehensive, end-to-end enrollment solution featuring robust enrollee decision support at the point of enrollment.

# Human Resources Solutions (HRS)

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## Executive Summary

As part of the U.S. Office of Personnel Management’s human capital leadership program, Human Resources Solutions (HRS) provides customized human capital and training products and services to Federal agencies to maximize their organizational and individual performance and to drive their mission results. Utilizing our internal human capital experts and/or our private sector partners, our solutions help agencies design effective organizations, recruit and hire top talent, develop and cultivate leaders and HR and other professionals, manage the performance management process, and achieve long-lasting human capital results. HRS operates under the provisions of the Revolving Fund, 5 U.S.C. §1304 (e)(1), that authorizes OPM to perform human resources services for Federal agencies on a reimbursable basis.

## Our People

HRS has approximately 430 employees. Employees are experts in human capital management, organizational psychology, human resources systems management, education and learning, project management, financial management, and contract administration. HRS has employees located in offices or working remotely across the country, allowing HRS to service customers quickly and efficiently.

## Our Partners

HRS leverages partnerships with numerous private-sector firms to design and implement large-scale human capital strategies. These relationships allow HRS to blend its expertise of the Federal human capital environment with the leading practices and technologies of private sector companies. Additionally, we have relationships with non-profit organizations and universities to provide future-focused, research-based thought leadership, training and consulting talent to the Federal government.

## Our Customers

HRS has active projects with every Cabinet-level department/agency and numerous Independent and Small agencies. Our top customers are the Departments of Defense, Homeland Security, Veterans Affairs, Justice, and Health and Human Services. We partner with our customers on the full array of human capital management solutions, including workforce planning, talent acquisition, leadership development, and performance management.



## Our Programs

HRS comprises four program areas, plus the Human Capital Category Manager. These program areas are the Center for Leadership Development, the Federal Staffing Center, Human Resources Strategy and Evaluation Solutions, which includes the Administrative Law Judges Program, and Human Capital Industry Solutions (formerly Training and Management Assistance Program). Management support services are provided to each Practice Area through the Center for Management Services.

## Our Programs (In Detail)

**The Center for Leadership Development (CLD)** develops visionary leaders and professionals who transform their government. CLD provides career-long leadership and professional development programs that prepare public servants for the complex challenges facing our government. Courses and programs are offered to Federal employees as open-enrollment offerings and to organizations as customized solutions for sustainable organizational change.

**Federal Executive Institute (FEI)**, established in 1968 and headquartered on a 14-acre campus in Charlottesville, Virginia, offers both interagency and customized leadership development courses and programs through a variety of delivery modes. FEI's month-long *Leadership for a Democratic Society* program is recognized world-wide as a premier resource for preparing tomorrow's senior executives for adaptive leadership in government. Its SES Leading EDGE program offers orientation briefings, onboarding forums, and executive leadership labs for the ongoing professional development of government's senior leaders. FEI also develops relationships with international leaders and partnerships with allied countries or regional components interested in leadership development

**Management Development Centers (MDCs)** (Eastern MDC and Western MDC) are located in Washington, DC and Denver, Colorado, respectively and provide a continuum of leadership development for Federal employees to enhance their professional and leadership performance. Programs offered include the Leadership Education and Development (LEAD) certificate program and customized programs for individual organizations. Courses and programs are delivered nation-wide to support the Federal workforce.

**USALearning (USAL)**, a recognized Software as a Service (SAAS) and Platform as a Service (PAAS), offers public sector organizations off-the-shelf and customized Learning Technology to support their workforce and organizational development strategies. USAL provides Learning Management Systems, online forums such as Communities of Practice and Social Media integration, learning records stores, executive coaching, online assessments, virtual conferencing, and various online technological support tools. In addition, USALearning maintains training platforms for OPM mandatory training through The Learning Connection and

Human Resources University and supplies specific applications for Presidential Management Fellows and the National Background Investigations Bureau. USAL has been designated a Best in Class contract by OMB.

**The Presidential Management Fellows (PMF) Program** is the Federal government's flagship, entry-level leadership development program for advanced degree candidates. Created by Executive Order in 1977, the PMF Program helps agencies build their leadership succession pipelines by recruiting and developing highly skilled graduate degree holders for future leadership positions. PMFs can be non-competitively converted to permanent civil service positions upon successful completion of the rigorous Fellowship program.

**The Federal Human Resources Institute (FHRI)** is developing and delivering a human resources curriculum that addresses the critical skills gap in the Federal HR community identified by OPM and the Chief Human Capital Officers (CHCO) Council. The curriculum will cover all general and technical specialty competencies by proficiency level as well as management and leadership skills. The first phase focuses on staffing-related courses. Eighteen of the 22-course curriculum for the Staffing Specialty area have been developed and are open for registration.

**Design Lab** builds public sector capabilities in design-led innovation by developing skills in human-centered design across the Federal workforce. The Lab delivers learning through the following three strategic offerings: (1) Lead, bringing thought leaders from private, non-profit and international organizations to share advances in design with the Federal innovation network; (2) Teach, delivering a curriculum of progressive skills in design, and (3) Do, partnering with agencies and organizations to use project-based learning to teach design while delivering concrete improvements to processes and products.

**The Federal Staffing Center (FSC)** provides products and services to support Federal agencies in their hiring processes. Agencies use OPM's talent acquisition solution, which includes USAJOBS®, USA Staffing®, and USA Hire<sup>SM</sup>, to connect citizens to Federal job opportunities and hire the best talent to meet mission critical hiring requirements. FSC comprises a nationwide network of HR professionals, business analysts, project managers, IT professionals, and data analysts who deliver talent acquisition solutions across four main programs:

- **USAJOBS, the Federal Government's official employment site, connecting applicants with Federal employment opportunities across the United States and around the world.** USAJOBS offers applicants a central, online repository for finding job opportunities across government and enables agencies to identify and conduct strategic recruitment activities via its Agency Talent Portal. USAJOBS also provides the Open Opportunities capability, which facilitates the movement of current Federal employees throughout government to close skill gaps through detail opportunities.

- **USA Staffing, the Federal Government’s Talent Acquisition System.** USA Staffing automates the complex Federal hiring process and policies. It is uniquely designed to support large Federal agencies and handles the full range of hiring flexibilities and requirements along with high applicant volumes. USA Staffing supports over 173,000 hiring managers and over 13,900 HR professionals, government-wide and accounts for 78% of USAJOBS vacancies.
- **USA Hire, USA Staffing’s online assessment platform.** USA Hire delivers high quality, professionally developed assessments via enabling technologies in both proctored and un-proctored environments to aid in the agency decision-making process.
- **Staff Acquisition,** which provides agencies with expert examining, high-level strategic staffing, recruitment and branding, onboarding, HR technical training, and solutions designed to attract, assess, and build a high-quality Federal workforce and meet the diverse hiring needs of the Federal Government.

**Human Capital Category Management (HCCM)** became part of OPM’s HRS in 2016 when OMB’s Office of Federal Procurement Policy (OFPP), with support from the Category Management Leadership Council (CMLC) selected the OPM to lead the Human Capital Category. OPM was chosen because of its role as the central agency for human resources management for the Federal Government and based on the following legislation:

1. The Chief Human Capital Officer (CHCO) Act, which directs OPM to establish systems, standards and metrics to define human capital management in government and
2. The Government Employees Training Act (GETA) which grants OPM government-wide oversight of employees training and the responsibility to advise and assist in the establishment, operations, and maintenance of agency training programs and plans.

As the category manager for human capital, OPM’s HRS HCCM has the following responsibilities:

- Define the Government-wide human capital management purchasing requirements;
- Determine the human capital products and services that best meet those purchasing requirements;
- Select the Best-in-Class solutions (government and private) to offer those human capital products and services;
- Direct GSA on the development on the development of the human capital ‘hallway’/corridor of the Acquisition Gateway Portal, and
- Evaluate the effectiveness and efficiency of human capital products and services as well as the human capital outcomes of the Category Management Initiative.

Category Management (CM) is an acquisition strategy Federal Agencies are applying to buy smarter and more like a single enterprise for the purchase of common goods and services (like IT, office supplies, travel, medical, human capital and others). CM is an established commercial best practice for acquisition that increases efficiency, reduces costs, and minimizes redundancies. It focuses on collaboration and applying business intelligence to enable more informed buying for common goods and services, using government-wide contracts. CM is about optimizing ALL of the acquisition vehicles, products, and services currently available to best address customer needs and generate savings by applying these Category Management Principles (CMPs):

- Optimizing contract vehicles
- Improving data collection efforts and analysis
- Leveraging industry intelligence
- Maximizing customer insights and bring more spend under management
- Growing and sharing expertise

Human Capital is one of the ten common spends for federal agencies, with an approximate total spend of \$4.7B. Though it is one of the smaller categories in dollar terms, it is the most critical since the Federal workforce is the primary resource for how work gets done, and decisions are made. The HCCM vision is to improve the quality of human capital outcomes through a streamlined buying process that help agencies achieve their mission goals

**The Human Capital Industry Solutions (HCIS) organization (formerly Training and Management Assistance Program)** uses a public-private partnership to provide customized training and development, human capital, and organizational performance improvement solutions to Federal agencies. HCIS offers agencies the opportunity to access world-class companies through the Human Capital and Training Solutions (HCaTS) contracts (Unrestricted and Small Business), which became effective in FY17. These contracts have been designated as Best-in-Class by OMB.

The HCaTS contracts are the result of a partnership and collaboration between GSA and OPM. Under the partnership, agencies can access the contracts through two channels: (1) HCaTS Direct, where agencies use their own contracting and project management staff and (2) HCaTS Assisted Acquisition Services where agencies use OPM's expertise in human capital and project management and GSA's contracting staff.

The HCaTS contracts are indefinite delivery, indefinite quantity (IDIQ) contracts offering government agencies a cadre of prequalified commercial contractors with expertise in (1) designing, developing, and implementing customized training and development solutions for the functional and technical disciplines, (2) end-to-end human capital strategy and operations, and (3) organizational performance improvement to enable individual, group, and enterprise

performance. The strategically sourced services provide economies of scale and scope to the Government. Cost associated with delivering these solutions to Federal agencies are through contracted private firms and are recovered through a Contract Access Fee (CAF) and an established fee schedule for assisted acquisition services.

**Human Resources Strategy and Evaluation Solutions (HRSES)** provides organizational and individual-focused strategic solutions to help agencies plan and position for maximum performance, including advanced strategic assessments and workforce planning, classification, restructuring, performance management, and program evaluation services.

*Assessment and Evaluation Branch:*

- Leadership and Workforce Development Assessment – develops, validates, and administers leadership and workforce planning assessments to assess leader and employee effectiveness. Assessments target competencies, personality, and leadership potential. Also, conducts competency modeling and gap assessments for workforce training and development.
- Selection and Promotion Assessment – develops, validates, and administers cognitive and non-cognitive competency assessments for selection, promotion, and diagnostic purposes. This includes job analysis, written and non-written tests, job knowledge tests, performance tests, and computer simulations. Also provides assessment training and support.
- Organizational Assessment – provides surveys, including employee climate, customer satisfaction, exit, and custom surveys; the USA Survey automated survey administration and reporting system; OPM Leadership 360; action planning and organizational development; mentoring programs; and program evaluation.

*Human Resources Strategy Branch:*

- Workforce Design – provides strategic workforce planning, including environment scanning/strategic alignment, workforce and workload analysis and succession management; offers organization design, restructuring and reduction-in-force (RIF) services, including RIF mitigation and employee transition support; conducts position management reviews and provides classification services, including desk audits.
- Performance Management – develops and delivers the USA Performance® automated performance management system; provides performance management strategy and program development; performance appraisal program development; performance plan reviews; supervisor, manager, and executive performance management training; employee relations consulting; and telework services.

*ALJ Program Office* reviews and approves agency requests for ALJ personnel actions and manages the ALJ Loan, Senior ALJ, and ALJ Priority Referral Programs.

**Center for Management Services (CMS)** provides the HRS enterprise with market/customer research and analysis; business intelligence and Customer Relationship Management (CRM); product education, awareness, and outreach; analytics, research and development innovation; financial fund and project cost reporting and trend analysis; budgeting and budget forecasting; revenue, expense, and financial forecasting and reporting; risk management, and HRS-wide annual strategic planning and mission support activities.

# Merit System Accountability & Compliance (MSAC)

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## Mission

Merit System Accountability and Compliance (MSAC) is responsible for carrying out four key oversight and oversight-related functions for OPM. Through its largest component, Agency Compliance and Evaluation, MSAC ensures Federal human capital management across the Government is effective, efficient, and in compliance with merit system principles and other civil service requirements. MSAC's accountability and compliance activities also include oversight of the Government's Combined Federal Campaign; deploying Federal Observers to select polling sites at the request of the Department of Justice to support the enforcement of voting rights protections; and oversight and compliance issues internal to OPM itself.

## Agency Compliance & Evaluation (ACE)

ACE plays a critical role in three areas:

**Oversight of Federal Human Capital Management.** Under the Civil Service Reform Act of 1978, OPM has statutory responsibility for overseeing the Federal Government's implementation of human capital management policies and Governmentwide initiatives. ACE carries out this responsibility by ensuring all executive branch agencies subject to provisions of title 5 U.S. Code operate their human capital management programs effectively and in accordance with merit system principles, veterans' preference and other civil service laws.

ACE evaluates agencies' programs through a combination of OPM-led evaluations and participating in Agency-led reviews. Our evaluations may focus on all or some of the key components of the Human Capital Framework: Strategic Planning and Alignment, Talent Management, Performance Culture, and Evaluation.

Under 5 CFR 250, OPM requires agencies to establish human capital evaluation systems. ACE is responsible for ensuring those systems are in place and are operating effectively. ACE accomplishes this through periodic assessments of the 24 CHCO agencies' evaluation systems, using standards developed in partnership with the agencies to determine their level of maturity. The assessments help determine our level of involvement with agencies, with the majority of our time spent working with those having less mature systems. Our evaluation reports may identify required corrective actions, which agencies must show evidence of

implementing, as well as recommendations for agencies to improve their systems and procedures.

We also conduct special studies to assess the use of HR authorities and flexibilities across the Government (e.g., one study assessed how well agencies have implemented the Pathways Programs and used them to support their respective missions). ACE further provides leadership to the agencies through the Accountability Program Managers' Council, which serves as a forum for problem solving and sharing best practices.

**Pre-Appointment Reviews of Current or Recent Political Appointees to Non-Political Permanent Positions.** ACE reviews most executive branch agencies' requests to appoint political appointees (and those who have served as political appointees within the past five years) to competitive or non-political excepted service positions to ensure such appointments comply with merit system principles and applicable civil service laws. ACE also conducts merit staffing reviews of agencies' request to appoint a current or recent political appointee to a career SES position. The Associate Director of MSAC, a career senior executive, makes the final decision as to whether these appointments are free of political influence. On an annual basis (and quarterly in the last year of a presidential term), OPM provides Congress with a report of all requested appointments and their final disposition, as required by the Edward 'Ted' Kaufman and Michael Leavitt Presidential Transitions Improvement Act of 2015.

ACE partners and collaborates with Employee Services and HR Solutions to carry out Strategic Objective 3.1 of OPM's Strategic Plan: Strengthen OPM coordination of policy, service delivery, and oversight resulting in agencies' achievement of human capital objectives. Some of our recent collaborations include: developing agency personas for use in conducting Human Capital Reviews and other engagements with agencies; revitalizing and implementing the delegated examining certification program for federal HR Specialists; conducting Human Capital Reviews with the 24 CFO Act agencies, as well as writing and issuing a report summarizing what we learned from agencies during the reviews; and identifying data analysis training to provide our staffs, collectively. Staff currently are receiving training on data visualization.

**Appellate Functions.** ACE also adjudicates classification appeals, job grading appeals, Fair Labor Standards Act claims, compensation and leave claims, and declination of reasonable appeals, all of which provide most executive branch employees with administrative due process rights to challenge compensation and related agency decisions without having to seek redress in Federal courts.

MSAC devotes 80 percent of its allocated Salaries and Expenses (S&E) funds for work of ACE. In FY20, its expenditures totaled \$10,296,000 with roughly 90 percent of the total covering employee salaries and benefits, 3 percent covering travel, and 7 percent covering other budget categories.



## Voting Rights & Resource Management (VRRM)

Under the Voting Rights Act of 1965 (as amended), OPM provides Federal Observers to monitor the election process in areas designated by the U.S. Attorney General. Observers may enter any place where an election is being held to monitor (1) whether persons who are entitled to vote are being permitted to vote, and (2) whether votes cast are being properly tabulated. Their written reports support the U.S. Department of Justice's (DOJ's) mission to ensure that no citizen's right to vote is abridged or denied due to race, color, or membership in certain minority language groups. Voting Rights observations are held every year for various national, state, or local contests, including primaries and run-off elections. DOJ could potentially request our observation of election sites for any jurisdiction within the United States.

While the Department of Justice enforces the Voting Rights Act and makes decisions about the type of and specific locations for observer coverage (see [DOJ's Civil Rights Division webpage](#) for details), OPM is responsible for recruiting, training, deploying, and supervising Federal Observers. OPM maintains a standing list of about 800 persons, many of whom are bilingual in covered minority languages. They live across the Nation and serve as Federal Observers only on an as-needed basis.

Federal Observer deployment coverage has varied year to year, reaching its highest level in 2008 when 800 were deployed. After the Supreme Court's 2013 decision in *Shelby County v. Holder*, coverage drastically decreased – reaching its lowest level in FY 2020 with the deployment of only 24 to Alaska in October 2019. For the first time since the establishment of the Voting Rights Act, in FY 2021 we will likely not be deploying any federal observers to polling sites if the consent agreement with the state of Alaska (the remaining agreement in place) expires.

As much of the work of the Voting Rights Program is administrative in nature, we have paired it with our resources management office, which services the entire division with support in the areas of budget, finance, human resources, procurement, and space and property management. About 10 percent of MSAC's S&E budget supports the resources management office, over 92 percent of it covering employee salaries and benefits. The costs associated with the Voting Rights Program are recovered under an Advancements and Reimbursements (A&R) mechanism with DOJ.

## Combined Federal Campaign (CFC)

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 by charitable giving. About 8 percent of MSAC's S&E funds support our CFC office, with over 92 percent of its total covering employee salaries and benefits.

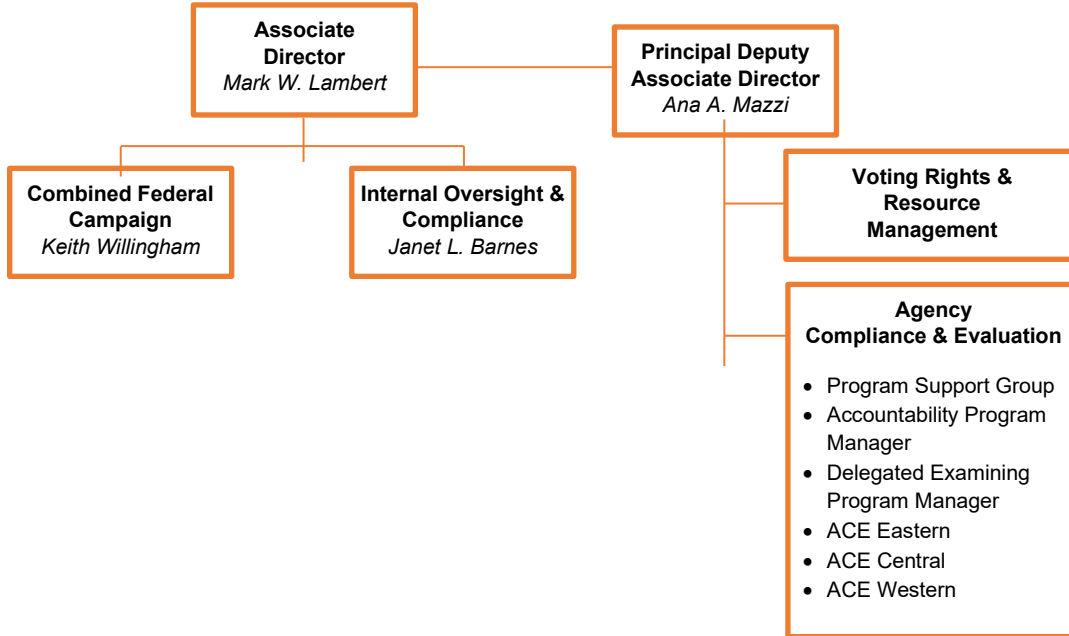
CFC is the world's largest and most successful annual workplace charity campaign, with almost 125 CFC campaigns throughout the country and overseas. Over \$8 billion in donations have been raised through the CFC. Pledges made by Federal civilian, postal, and military donors during the campaign season (September 1 to December 15) support eligible non-profit organizations that provide health and human service benefits throughout the world. MSAC's CFC office manages the Governmentwide program, overseeing the work of the local campaigns, monitoring campaigns' independent financial audits, and reviewing and approving applications from national and international charities to ensure compliance with regulations at 5 CFR 950.

## Internal Oversight & Compliance (IOC)

IOC is responsible for holding OPM program managers accountable for operating efficiently and effectively in accordance with applicable laws, regulations, policies, guidance, and standards. Our goal is to strengthen OPM's risk management and operational performance by guiding OPM's audit response process, overseeing the resolution and closure of audit recommendations, and tracking the status of the agency's audit activities. IOC, which focuses on OPM internally, is funded entirely through OPM's Common Services (CS) fund, with employee salaries and expenses accounting for most of costs.

To carry out IOC's internal OPM oversight responsibility, IOC serves as the liaison with audit and review organizations such as the Office of the Inspector General, the Government Accountability Office, Merit Systems Protection Board, and the Internal Revenue Service. IOC facilitates and coordinates all OPM engagements with these bodies. IOC arranges for appropriate subject matter experts to advise on audit-related engagements, schedules and participates in audit-related conferences and meetings, and provides guidance to OPM programs in preparing management responses to data requests and reports. IOC also ensures OPM programs take timely action to address recommendations resulting from an audit as required by OMB Circular A-50, by tracking and monitoring the status of all recommendations until they are closed. In addition, IOC works with the programs to develop robust corrective action plans, and provides periodic status reports to OPM managers and executives.

## Organizational Chart



## Workforce

Component	Number of Employees	Locations
OAD	1	DC only
ODAD	3	<i>Full-time staff:</i> DC and field offices in Atlanta, Chicago, Dallas, Philadelphia & San Francisco
ACE	52	
VRRM	6 full-time & 800+ intermittent	<i>Intermittent staff:</i> Nationwide
CFC	7	DC only
IOC	6	DC only

# Office of Communications (OC)

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## Mission

The 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 communications channels. We provide the American public, Federal agencies, and pertinent stakeholders with accurate information to aid their planning and decision-making processes, plan and coordinate the publication and production of all video and webcast products; photography services; graphics, branding, and printed materials; and, digital services (i.e., social media and website postings). We develop briefing materials for the Director, OPM officials, and Congress for various activities and events. We also work in unison with program offices to plan events that amplify the Administration's and OPM's key initiatives within the agency and governmentwide.

OC is composed of professional staff with experience in distinct areas of expertise to identify the most effective communications solutions. Our team works collaboratively with OPM program offices to identify the most effective single platform or multiple platforms to tell the best "stories" about OPM's successes and challenges, whether through news, media outreach, print, web, social media or other digital strategies. We also work across teams to provide cohesive and integrated communications solutions to program offices for high-impact strategic projects.

## Workforce Functions

### Director of Communications

- Interacts with the Office of the Director and senior leaders across the agency to advise on policy decisions and corresponding media planning
- Advises the Director and agency leadership on potential reception of policy positions and messaging
- Informs OC messaging and strategy
- Coordinates with OC's Deputies on personnel decisions and setting of office-wide policies

### Deputy Director of Communications

- Advises the Director of Communications and agency leadership on policy positions and messaging
- Office management
- Personnel Management
- Direct supervisor for all staff not directly reporting to the Director of Communications

- Drafts and /or reviews all internal and external materials written in the Director's voice

### Public Affairs (including social media)

- Formulates press strategy
- Manages the press interactions and messaging of the public affairs staff
- Maintains and cultivates media relationships
- Political Advisor
- Messaging advisor
- Creates e-mail newsletter

### Social Media

- Specializing in analytics and content formatting across platforms
- Creates and executes social media campaigns
- Works with graphics and creative services to produce content for social media platforms

### Audio-Visual Services

- Specializes in video recording/editing, photography, and webcasting
- Produces content for internal and external campaigns

### Graphics

- Develops materials for the Office of Communications and for all other Common Services areas within OPM
- Products are for multiple platforms, print and digital (including social media) are used to support internal and governmentwide campaigns

### Content Development

- Advises on content creation for various platforms
- Works with program offices (and OC colleagues) to research, produce, and review and edit content

### Digital Director

- Informs on overall messaging, including messaging specific to social media
- overseeing the content on OPM.gov and interfacing with the CIO on consistent design principles maintenance of the agency web content clearance process
- Internally reviews all updates to OPM.gov
- Liaison with the web development team for branding consistency, timeliness, and quality

# Office of the Chief Financial Officer (OCFO)

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## Mission

The mission of the Office of the Chief Financial Officer (OCFO) is to deliver the highest quality financial management oversight and services to OPM stakeholders through comprehensive financial and budgetary analysis, policy, reporting, and systems that enhance integrity, transparency, and accountability, thereby maximizing value for American taxpayers.

## Vision

Our vision is to provide exemplary customer service to OPM organizations and stakeholders to assist in making effective financial decisions in accordance with Federal financial, performance, and accountability standards.

## Role

The OCFO leads and manages all financial management and related responsibilities for the agency as set forth in the Chief Financial Officers Act of 1990 and OPM's Delegations of Authority for financial accounting and reporting, financial systems management, budget formulation and execution, agency performance, strategic planning, internal control and enterprise risk management. Specifically, the CFO Act mandates that agency CFO Financial Officers develop and maintain agency financial management systems that comply with applicable accounting principles, standards, and requirements; internal control standards; and requirements of OMB, the Department of Treasury, and others.

With the support of six organizations, OCFO ensures timely and accurate financial data and analytics that improve decision making for program managers and demonstrate effective management of taxpayer dollars.

Our organizations are:

- Financial Services
- Budget and Performance
- Financial Strategy and Operations
- Risk Management and Internal Control
- Projects and Initiatives
- Resource Management Office

Through a collaborative effort, these organizations deliver consolidated financial management services to all OPM program offices.

## Program Functions

**Financial Services (FS)** manages accounting, financial statement preparation, and reporting functions for all OPM programs; including salaries and expense, reimbursable and revolving fund operations, retirement, health, and insurance fund programs.

- **Financial Reporting and Analysis** prepares and coordinates the various monthly, quarterly, annual, and special financial reports required by Federal statutes and regulations.
- **Financial Policy** oversee the development and implementation of financial policy and procedures.
- **Trust Funds Management** administers accounting functions for the four major benefits programs: Retirement and Disability Program; Federal Employees' Health Benefits Program; Retired Employees' Health Benefits Program; and Federal Employees' Life Insurance Program. The organization also collects improper payments derived from the Civil Service Retirement Fund, records voluntary contribution payments and service credit deposits, redeposits payments to individual accounts for federal employees, and provides financial guidance to all levels of OPM management and senior financial managers throughout the government.

**Budget and Performance (BP)** manages OPM's budget and agency-wide planning, performance management, and evaluation functions. The organization manages these functions through the following Offices:

- **Budget Office** manages the agency's budget formulation, justification, and execution functions for a highly complex fund structure with an annual operating value of approximately \$3 billion. The team recommends resource levels to the CFO, Associate Directors, and Director, and represents OPM on budget matters with OMB, Treasury, other regulatory agencies, and Congressional staffs. The budget team develops 10-year financial models for OPM's employee earned benefit programs, with assets approaching \$1 trillion, and also conducts financial reviews of interagency agreements, reviewing more than 291 such agreements totaling more than \$187 million in FY 2020.
- **Planning, Performance, and Evaluation Office** is responsible for designing and implementing the agency's strategic planning, organizational performance management, program and project management improvement, and evaluation and evidence-building functions. The team is responsible for OPM's implementation of the *Government Performance and Results Modernization Act of 2010*, *Program Management Improvement Accountability Act of 2016*, and the *Foundations for Evidence-Based Policymaking Act of 2018*. These functions provide OPM with the data,

body of evidence, and practices necessary to: (1) make better-informed policy and budgeting decisions, (2) develop performance improvements, (3) foster transparency in how the agency is performing, (4) promote accountability for delivering results, and (5) enable a culture of learning and continuous improvement.

**Financial Strategy and Operations (FSO)** serves as a catalyst for the development and management of the financial vision and strategy across all CFO's business functions while providing systems, program, and business management oversight. FSO assesses the finance function and refines CFO's operating model as shifts in financial management mandates and technology occurs. This involves a wide-range review of the finance operation, matching process functions to business requirements and diagnosing areas for improvement across the CFO landscape.

- **Financial Systems Operations** group oversees daily operation and maintenance of all OPM financial management systems and applications which are designed to monitor, reconcile, and report funding for programs which OPM has legislative oversight.
- **Systems Planning and Development** oversees the design and implementation of enterprise financial management systems to meet OPM's financial management responsibilities based on project management best practices and methodologies; and in accordance with customers' requirements, internal policies, procedures, and applicable laws and regulations as defined by the federal regulatory agencies and entities.
- **Business Services and Operations** oversees the day-to-day financial operations of key functions related to the agency's financial transactions and shared services oversight. The organization is also responsible for overseeing and managing OPM's centralized travel customer service center and automated travel system (E2), travel card program, the use of the Mass Transit program, and purchase card administration.

**Risk Management and Internal Control** is responsible for implementing and facilitating all aspects of OMB Circular A-123, Management's Responsibility for Enterprise Risk Management (ERM) and Internal Control that enables an Enterprise Risk Management capability coordinated with the strategic planning and strategic review process established by the Government Performance Results Act (GPRA) Modernization Act and the internal control processes required by the Federal Managers Financial Integrity Act of 1982 (FMFIA).

**Projects and Initiatives (OPI)** is responsible for tracking and measuring key performance financial indicators and activity within OPM's core financial system (CBIS) which directly ensures CFO delivers services and technical assistance to customers. Additionally, the organization participates in planning and management of all new system development activities, evaluates financial processes, programs, and systems, and recommends new solutions and proposals to improve financial operations and services.



**Resource Management Office (RMO)** supports the internal infrastructure of the CFO by providing balanced and customer focused services in the areas of: Financial Management, including budget formulation and execution; Procurement Management, including contract programs; Information Management, including technology-based tools and media; Human Resources, including recruitment, training, and retention; Administrative Services, including property management and work space management; and Strategic and Program Planning including performance and efficiency measures. Additionally, the OCFO RMO has oversight of the OPM Time and Attendance, Cost Accounting, Payroll Processing and related programs and leads other OPM/OCFO initiatives as directed.

# Office of the Chief Information Officer (OCIO)

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## Mission

We are committed to delivering innovative, cost-effective, and secure information technology solutions that support Office of Personnel Management programs and initiatives.

## Vision

We are a model information and technology center recognized for strategic thinking, proactive leadership, collaborative partnerships, and innovative solutions advancing the Office of Personnel Management mission to recruit, retain, and honor a world-class workforce to serve the American people.

## Workforce Functions

### IT Strategy and Policy

IT Strategy and Policy establishes and oversees the vision, governance, and compliance activities for the CIO in support of OPM IT and Federal-wide HR IT. IT Strategy and Policy supports internal and external stakeholders through the following groups:

- Strategic Planning
- IT Enterprise Architecture
- IT Investment Management
- Information Management
- Federal Data Solutions
- Data Management
- Data Warehouse

### Enterprise Infrastructure Solutions

Enterprise Infrastructure Solutions is responsible for providing network and desktop services throughout OPM as well as web services and program office support. Additionally, it supports HR IT business systems by provisioning development, test, and production environments and storage, as well as back-up and recovery capabilities. The infrastructure services are delivered through the following groups:

- Web Services
- Network Management
- Data Center

- Program Office Support IT PMO

### Federal IT Business Solutions

Federal IT Business Solutions is responsible for providing business solutions that support the entire Federal Government. The solutions are delivered by IT Program Managers (IT PMs) to Business System Sponsors and reflect the business sponsors in their organizational titles to emphasize the customer-focused business area each CIO group directly supports. Federal IT Business Solutions comprises the following groups:

- Retirement Services IT PMO
- Human Resources Solutions IT PMO
- Employee Services IT PMO
- Health and Insurance & Merit System Accountability Compliance IT PMO
- Federal Applications IT PMO

### IT Security

IT Security is responsible for establishing and overseeing security policies and architecture, monitoring the security of OPM's IT environment via a 24x7x365 Security Operations Center, implementing and managing OPM enterprise security tools, and conducting digital forensics, penetration testing, and malware reverse engineering. In addition, the CSP is responsible for implementing Continuous Diagnostics and Mitigation, and Continuous Monitoring and Assessment. The Cybersecurity Program is made up of the following groups:

- Data Protection Branch
- Cybersecurity Engineering Branch
- Cybersecurity Policy Branch
- Continuous Monitoring & Assessment Branch

# Office of the General Counsel (OGC)-2016

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## Workforce Functions

### OGC Staffing Overview

OGC currently employs 36 employees:

- Attorneys: 30
- Legal Assistants: 2
- Administrative and support staff: 4

### Organizational Structure

Two of the current employees are career senior executives who will remain in place before and after the transition – the Deputy General Counsel and the Associate General Counsel. The Associate General Counsel oversees the Compensation, Benefits, Products & Services Group (Compensation Group). A career GS-15 has the title Assistant General Counsel and oversees the Merit Systems and Accountability Group (Merit Group). Legal work is divided between the two groups along topical lines, and each group has approximately 10-13 staff attorneys. We have a number of teams organized around a particular type of work (*e.g.*, EEO, labor, ethics) that may draw from both divisions. Team leaders report to the Deputy General Counsel on team-related matters and coordinate assignments with the Associate General Counsel and Assistant General Counsel.

In addition to the Compensation and Merit groups, OGC recently created two new, smaller groups, dedicated to NBIB and Information Security. A career GS 15 attorney serves as Special Counsel, National Background Investigation Bureau. The Special Counsel reports directly to the General Counsel and has, at present, one direct report. Those attorneys provide dedicated support to NBIB on a wide range of legal issues unique to that organization. A career GS 15 attorney will serve as Special Counsel for Information Security, reporting directly to the General Counsel and supported by one GS 14 attorney. Those attorneys will provide legal advice and analysis to the General Counsel on matters including but not limited to OPM's compliance with FISMA, FITARA, the Privacy Act and FOIA; agency policies concerning IT security; IT contract clauses; records management; privacy; and information sharing.

### Political Appointee Positions

Three current OGC employees are political appointees of the current administration. The General Counsel is a non-career senior executive. She requested the appointment of two

additional non-career senior executives and gave them the titles Deputy General Counsel (to serve as a political deputy) and Special Counsel and Advisor. Assuming these positions become vacant, we will hold open two slots for the next General Counsel to fill; it will be up to the next incumbent to decide upon titles for any non-career staff she or he may wish to bring aboard.

### Scope of Work for Attorneys

Given the office's small size, and the wide scope of the problems it handles, most members of our professional staff perform as generalists, although each eventually develops several areas of enhanced expertise.

The Governmentwide topics OPM attorney/advisors advise and/or litigate include, but are not limited to:

- Federal employment staffing policy,
- Suitability policy concerning appointment to the Federal service,
- Credentialing criteria for individuals requiring long-term logical or physical access to Government systems or facilities,
- Background investigations that support suitability, national security, credentialing, and other adjudications,
- The Governmentwide Administrative Law Judge program,
- Federal employee pay and leave policy,
- Federal Labor Statute,
- Federal employee performance management policy,
- Federal policy concerning adverse actions and performance-based actions,
- Federal employees' insurance benefits,
- Multi-State Plan Program,
- Federal employee retirement benefits,
- Combined Federal Campaign,
- Governmentwide Hatch Act regulations, and
- The agency's support to the Voting Rights program at the Department of Justice.

Like counsel's offices in other agencies, OGC also advises on and litigates matters related to internal OPM operations, which include, but are not limited to, matters involving:

- Adverse actions,
- Performance-based actions,
- EEO claims,
- Grievances,
- Government Travel,

- Government property management,
- Intellectual property,
- Emerging technologies such as Social media,
- Information Technology and Cybersecurity,
- Records management, and
- Compliance with the Freedom of Information and Privacy Acts.

OPM serves as the appeals office for appeals from initial decisions concerning requests under FOIA and the Privacy Act. The General Counsel is the Designated Agency Ethics Official for OPM, and OGC also handles requests for agency testimony in matters to which OPM is not a party. OGC adjudicates administrative tort claims lodged under the Federal Torts Claims Act.

We have two relatively senior attorneys who have been working primarily on procurement matters and matters related to appropriations law, and have recently hired two more junior attorneys to strengthen the core cadre that works on contracting and procurement issues. As noted above, two senior positions carry the title of Special Counsel, each with a direct report at the GS 14 level. OGC is in the process of hiring for some of these posts and expects to be fully staffed in these smaller groups by early 2017.

#### Scope of Work for Paralegals

Both the Merit and Compensation divisions have paralegals assigned to them. The paralegal assigned to the Merit Group serves as an agency representative for appeals to the Merit Systems Protection Board arising from suitability actions OPM takes itself, relating to particular suitability issues reserved to OPM for resolution (e.g., fraud or misrepresentation in the examination for Federal employment). In the Compensation Group, the paralegal is heavily involved in the processing of administrative tort claims filed with OPM pursuant to the Federal Tort Claims Act (primarily claims arising from automobile accidents involving OPM's vast mobile workforce working on background investigations). Each paralegal is also available to support other work of the office as assigned.

#### Scope of Work for Administrative Staff

Members of the administrative staff prepare and submit budgets, process purchases and payments, serve as the contracting officer's representative with respect to contracts for goods and services, process personnel actions, prepare offices for new staff, obtain necessary equipment and supplies, monitor necessary repairs for office equipment, escort visitors and perform hand deliveries as required, handle incoming telephone calls to the general number, and provide a variety of other services for the balance of the staff.

### Critical Need to Meet Hiring Targets

OGC has been working assiduously since the sequester and its impacts to restore itself to full strength and meet new commitments to the Office of Procurement Operations and the new National Background Investigation Bureau (NBIB). OGC will need to bring itself to the level of 43 full-time equivalents outlined above to meet this goal.

Similarly, OGC has a strong need to compete the vacant Administrative Officer position and fill it with a candidate with the right talent to vigorously further OGC's efforts to improve records management; assess our future needs with respect to case management systems, litigation support, and on-line research capabilities; and initiate appropriate decision-making processes to perpetuate those functions. We also need to add two administrative/support staff to our current complement of four, three of whom are retirement eligible. (Until recently, the Administrative Officer supervised a staff of eight.) Strengthening our support component will help with succession planning, relieve the professional staff from tasks that could be performed by others, and maximize the efficiency of the professional staff and their utility to the agency as a whole.

# Office of Privacy and Information Management (OPIM)

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## Background

The Office of Privacy and Information Management (OPIM) was established in February, 2019, in order to elevate and co-locate certain important and complementary subject matter areas and, in so doing, call attention to their significance in the day-to-day business operations of OPM and ensure they were properly resourced. This included realigning the former Information Management and Freedom of Information Act (FOIA) groups from OCIO into OPIM and realigning the Chief Privacy Officer/Senior Agency Official for Privacy from the Office of the Director to lead the new organization.

OPIM's primary areas of responsibility are:

- Privacy
- FOIA
- Records Management
- Forms Management/Paperwork Reduction Act
- Controlled Unclassified Information (CUI)

## Workforce Functions

### Privacy

OPIM's key responsibilities with respect to its Privacy mission include the following:

- Advises and supports the OPM Director to ensure compliance, develop and administer policy, and manage risks in accordance with Federal law and government-wide policies, including the following:
  - Privacy Act of 1974, 5 U.S.C. § 552a
  - Privacy Procedures for Personnel Records, 5 C.F.R. part 297
  - E-Government Act of 2002, 44 U.S.C. Chapter 36
  - Federal Information Security Modernization Act of 2014, Pub.L. 113–283
  - OMB Circulars a-108, A-123, A-130
  - OMB Memoranda M-05-08, M-16-24, M-17-06 and M-17-12



- NIST Standards and Controls FIPS199, SP 800-37, 800-53, 800-60, 800-64, 800-144
- Establishes breach response plan, leads breach response team, and advises the OPM Director on notification and mitigation requirements (OMB M-17-12)
- Develops Privacy Act systems of records notices (SORNs) in accordance with the Privacy Act and OMB A-108, to include OPM internal and OPM government-wide SORNs
- Assists with the inventory of PII and compliance with requirements regarding creation, collection, storage, disclosure of personally identifiable information. (NIST 800-53)
- Conducts Privacy Threshold Analyses, Privacy Impact Assessments and risk evaluation for all IT projects and OPM programs
- Develops and provides agency-wide privacy awareness training – general and role based

## Freedom of Information Act

OPIM's key responsibilities with respect to its FOIA mission include the following:

- Administer and implement the requirements of:
  - Freedom of Information Act (FOIA), 5 U.S.C. § 552
  - e-FOIA amendments of 1996
  - FOIA Improvement Act of 2016
  - OPM FOIA regulation, 5 C.F.R. part 294
  - Relevant guidance from DOJ's Office of Information Policy (OIP), OMB, and Executive Orders
- Provide the most complete and efficient disclosure of records to the public as possible while safeguarding the interests recognized by the FOIA, Privacy Act, and agency policy.
- Work with all OPM program offices to process all FOIA and Privacy Act requests and provide training and guidance to the program offices.
- Work with each office to fulfill the requirements and ensure that all proper FOIA redactions are made and fees are collected (if required)
- Provide guidance to the United States Attorney's Office about OPM data release procedures and policies for all OPM program offices for FOIA litigation

## Records Management

OPIM's key responsibilities with respect to its Records Management mission include the following:

- Advise program offices throughout OPM regarding, and implement the requirements of the following relevant Federal law and guidance:
  - the Federal Records Act, as amended (44 U.S.C. Chapters 21, 29, 31, and 33)
  - 36 C.F.R. 1220–1249
  - OMB Memorandum 12-18, Managing Government Records
- Develop and implement records management policies and strategies to meet records management requirements and standards
- Promote proper management of records throughout the information lifecycle, from creation to final disposition, including through developing and using appropriate, approved disposition schedules/instructions for all agency records
- Develop and provide training and resources to employees to ensure easy access to and understanding of records management policies, tools, schedules, and practices to, for example, avoid sanctions for unlawful removal or destruction of federal records, 18 U.S.C. § 2071

### Paperwork Reduction Act/Forms

OPIM's key responsibilities with respect to its Paperwork Reduction Act and Forms mission include the following:

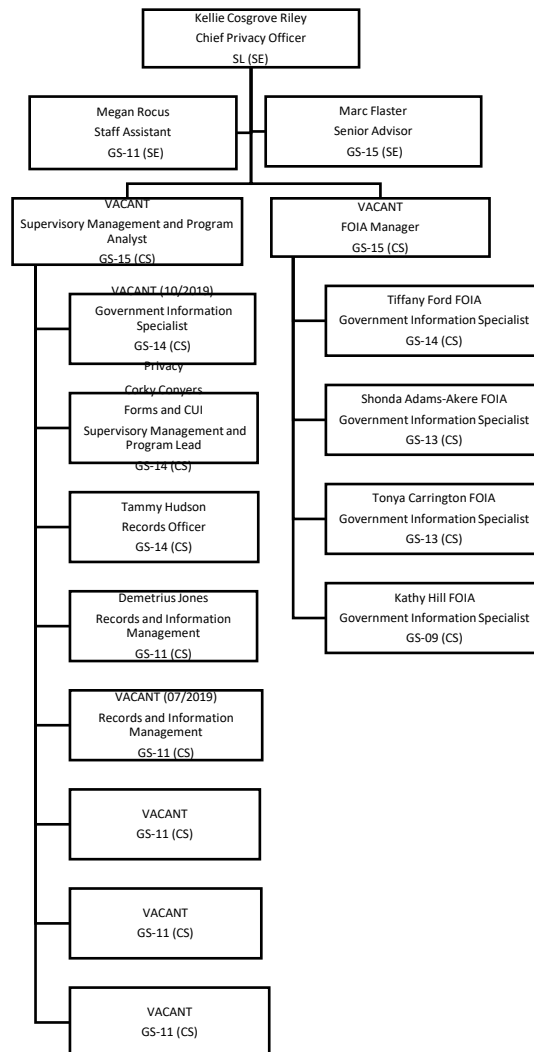
- Provide guidance and training regarding all information collections, to include those covered by the Paperwork Reduction Act, 44 U.S.C. § 3501(1)
- Coordinate OMB approval for all PRA information collections (forms) from 10 or more members of the public
- Support program offices in developing documents and other collection mechanisms, to minimize public burden while adhering to the PRA requirements
- Promote integration of proper PRA/Forms process into program offices' business operations through training

## Controlled Unclassified Information (CUI)

OPIM's key responsibilities with respect to its CUI mission include the following:

- Develop and implement a CUI program across OPM, pursuant to Executive Order 13556 and 32 C.F.R. part 2002, which established CUI to replace former programs for Sensitive but Unclassified (SBU) information throughout the Federal government (which was never formalized at OPM).
- Develop and implement a CUI policy for OPM, addressing the public registry of authorized categories, subcategories, and markings of CUI and their definitions, along with applicable safeguarding, dissemination, and decontrol procedures.
- Develop and provide training in practices related to CUI.

## OPIM Organization Chart



# OPM Human Resources (OPM HR)

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## Mission

OPM HR provides internal human capital operational services to OPM. The office is headed by Tyshawn Thomas the HR Director and Chief Human Capital Officer. There are four sub-groups within the organization all headed by GS-15 managers: Jessica Parton serves as the OPM HR Operations Manager. This group provides the staffing & classification services for GS employees and processing for the entire OPM population. Anne Mortensen serves at the Employee & Labor Relations Group Manager. Yadira Guerrero is the Chief Learning Officer and Group Manager of Talent Management and Development Services. This group includes training, benefits, and policy & accountability services. Carmen Garcia serves as the Human Capital Strategist and Group Manager over Executive Resources, HR Strategy, and Performance Management.

## Workforce Functions

### HR Director and Chief Human Capital Officer

- Provides advice and guidance to senior leadership on all human capital matters
- Serves OPM's representative on the Chief Human Capital Officer Council
- Requests all human resources flexibilities, and authorities from OPM
- Develops and implements all human resources policies internal to OPM
- Manages the recruitment and retention of the OPM's workforce

### HR Operations

- Responsible for all classification reviews and approvals; position management; reorganizations; personnel processing; and recruitment and hiring.
- Provides advice and guidance to supervisors across the agency on all human capital operational aspects as it pertains to talent acquisition, retention and employee movements

### Employee and Labor Relations

- Serves as the agency's labor relations program manager

- Provides advice and guidance to management on all labor relations matters, including grievances and off-line bargaining
- Responsible for employee relations actions, reasonable accommodation, Family and Medical Leave Act (FMLA) request
- Manages the agency's workers compensation program
- Provides training to management on employee/labor relations matters

### Talent Management and Development

- Oversees OPM HR's Policy Development and standard operating procedures (SOPs); provides technical assistance regarding policy
- Manages the accountability and oversight of OPM HR's Human Capital Programs
- Provides guidance on Benefits, Work Life programs, and retirement counseling
- Supports the agency training and development program, including coaching and mentoring agency employees
- Runs the agency's learning management system

### Executive Resources, Strategy, and Performance Management

- Provides guidance to leadership on all Executive and Schedule C hiring across the agency
- Manages the Executive Resources Board and Performance Resources Board
- Responsible for all employee survey research (e.g., FEVS, Exit Survey), the Human Capital dashboard, agency's HR Information System
- Provides advice and guidance on workforce reshaping and organizational development
- Manages the agency's performance management and awards program

# Office of Procurement Operations (OPO)

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## Mission

The Office of Procurement Operations (OPO) awards and administers thousands of contracting actions and interagency agreements annually, with an estimated value in excess of \$1 billion. The authority to perform this critical function is delegated through the Agency Head to the Senior Procurement Executive (SPE) and is carried out in accordance with Federal regulations, Office of Management and Budget (OMB) policy, and internal agency guidance. OPO provides acquisition support to OPM programs as well as assisted acquisition services in support of other federal agencies that require support under OPM contracts. In successfully managing the agencies acquisition system, OPO supports oversight and compliance, policy development and dissemination, data tracking and reporting, internal and external data call preparation, acquisition career training and certification, and the agency purchase card and suspension and debarment programs. OPO serves as OPM's liaison to the Office of Federal Procurement Policy, Chief Acquisition Officers Council, and other key external agency partnerships.

## Workforce Functions

### OPM, Senior Procurement Executive

The Senior Procurement Executive (SPE) authority is delegated through the Agency Head as represented in OPM's Reservations and Delegations of Administrative Authority. The SPE is responsible for, among other duties, appointing and rescinding delegated procurement authority, the agencies acquisition system, and acquisition career management.

OPM does not have a Chief Acquisition Officer (CAO) position. The position of CAO was established by the Services Acquisition Reform Act of 2003 (SARA). The SARA provides statutory authority for only certain CFO Act agencies to have a CAO position; OPM is not one of them. Instead, OPM has the position of SPE, which was established by the Office of Federal Procurement Policy Act Amendments of 1983.

### OPO, Contract Specialists and Contracting Officers

The Contract Specialists (CS) and Contracting Officers (CO) in OPO are primarily from the 1102 contracting series and as a team they work together to prepare, execute (award) and administer contracts, agreements, and/or orders on behalf of the agency. The OPO operational CS and COs include all levels and competencies necessary to successfully address the agencies requirements, several of which hold warrants, an authority delegated through the SPE.

## OPO, Procurement Policy

Procurement policy includes procurement analysts, cost and price analysts, and contract specialists within the 1102 contracting series. The OPO procurement policy team also includes one program analyst, 0343 series. Procurement policy team members support oversight and compliance, policy development and dissemination, data tracking and reporting, internal and external data call preparation, acquisition career training and certification, and the agency purchase card and suspension and debarment programs.

## Top Issue

Starting in Fiscal Year 2020 the OPO Contracting Team began working with the Human Resources Solutions (HRS), Center for Leadership Development (CLD) on the USA Learning Management System (LMS) Recompete. In June 2020, OPO requested that Acting Director Michael Rigas authorize a one (1) year sole source contract to the current vendor, PowerTrain, in order to sustain current contract operations and allow enough time for the recompete. In accordance with Federal Acquisition Regulation requirements the approval of the one (1) year sole source contract in the amount of \$250 million had to be authorized by the Agency Director. Following approval by the Director for the sole source contract OPO and HRS/CLD team have been diligently working on recompete and it is on track to award in Fiscal Year 2021.

# Office of Small & Disadvantaged Business Utilization (OSDBU)

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## Mission

OPM's OSDBU was created in March 2011 as part of the Small Business Act to ensure that small and disadvantaged businesses are provided maximum practicable opportunity to participate in the agency's contracting process.

## Workforce Functions

In accordance with Section 15(k) of the Small Business Act, OSDBU shall:

- identify proposed solicitations that involve significant bundling of contract requirements
- assist small business concerns to obtain payments, required late payment interest penalties, or information regarding payments due to such concerns from an executive agency or a contractor
- review and advise such agency on any decision to convert an activity performed by a small business concern to an activity performed by a Federal employee
- provide to the Chief Acquisition Officer and senior procurement executive of such agency advice and comments on acquisition strategies, market research, and justifications



# Retirement Services (RS)

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## Mission

Retirement Services is responsible for the Government-wide administration of retirement benefits and services for Federal employees, retirees, and their families. These benefits and services offer employees the opportunity to plan for their retirement and to know that their retirement system is effectively managed. We also strive to provide timely and responsive services and information to retirees and their families, whenever needed.

We are also responsible for administering the Civil Service Retirement System (CSRS) and the Federal Employee Retirement System (FERS), serving 2.7 million Federal retirees and survivors who receive monthly annuity payments.

## Background

Retirement Services (RS) is responsible for developing, administering, and providing Federal employees, retirees, and their families with benefits programs to help maintain the Government's position as a competitive employer. Our retirement programs serve employees in the executive, legislative and judicial branches of the Government, including both department level and independent agencies. The programs also include employees of the United States Postal Service.

Most of the 2.5 million Federal employees in the executive branch of government are covered by either the Federal Employees' Retirement System (FERS), in effect since 1986 or the older Civil Service Retirement System (CSRS), which became operative in 1920. Virtually all employees hired after 1986 are in the FERS program, a three-tier plan consisting of a defined benefit annuity, Social Security benefits, and a Thrift Savings Plan component. It was designed as a fully funded plan that would roughly approximate the benefits offered by the CSRS. As of FY 2018, 96% of all current Federal employees are under FERS. The remaining employees are covered under the closed CSRS system, a nearly pure defined benefit system, with benefits based upon the individual's age and service history.

Retirement Service's major functions include providing advice and direction to Federal agencies on retirement issues; adjudicating applications for both immediate retirements and survivor annuities; and servicing the 2.7 million retirees on the annuity roll once employees retire and are being paid benefits by OPM. In FY 2020, OPM paid out more than \$92 billion dollars to our retirees receiving benefits. In 2019, the average CSRS monthly annuity was \$3,939 and the FERS monthly annuity was \$1,576.

The workloads that Retirement Services manages are complex and the volume can be overwhelming. We received over 109,000 retirement claims (including about 9,000 disability claims) and 80,000 survivor annuities in FY 2019, along with 8,300 reconsideration requests. Our Retirement Information Office received over 1,737,000 telephone calls this year. Also, in FY 2019, written correspondence emails and address changes combined were over the 500,000 mark. In FY 2019, we handled over 7.4 million transactions on our Services On-Line platform, and currently there are nearly 600,000 users in this system. Furthermore, we issue 1099-Rs to retirees, as well as provide them with information and materials on the annual Open Season for health insurance for those who wish to make changes in their insurance options. In addition, we manage many other workloads that are necessary to maintain the accuracy and integrity of the retirement benefit program.

All retirement services activity is conducted by 896 employees, as of September 2020. Staff are located in two primary sites, one in Boyers, PA. with an attendant call center close by in Butler, PA, and one in Washington, DC, located at OPM's Theodore Roosevelt Building. Our organization is comprised on two operational units, which handles case management, retirement processing (including disability retirements), post-retirement changes and eligibility determinations, customer service, and operations support. We also provide counseling and training to Federal agencies, policy guidance on all retirement matters, quality assurance, executive correspondence, and resource management support, including human resource, budget and performance reporting, as well as many other administrative functions. We receive funding support of approximately \$100 million annually from a variety of sources to perform these activities.

Retirement Services is responsible for elements of two OPM strategic goals: Goal 1.3 - Reduce the complexity and costs to administer Federal employee retirement earned benefits by achieving and implementing legislative reform; and Goal 4.4 - Improve retirement services by reducing the average time to answer calls to five (5) minutes or less and achieve an average cases processing time of 60 days or less. As we carry out our mission, we are also guided by the principles of our organizational RS Strategic Plan, developed in January 2012, which focuses on four pillars of improvement - people, productivity and process improvement, partnering with agencies, and partial progressive information technology improvements. OPM reduced the retirement claim inventory backlog, creating a steady state of pending claims inventory by implementing core strategies within the RS 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.

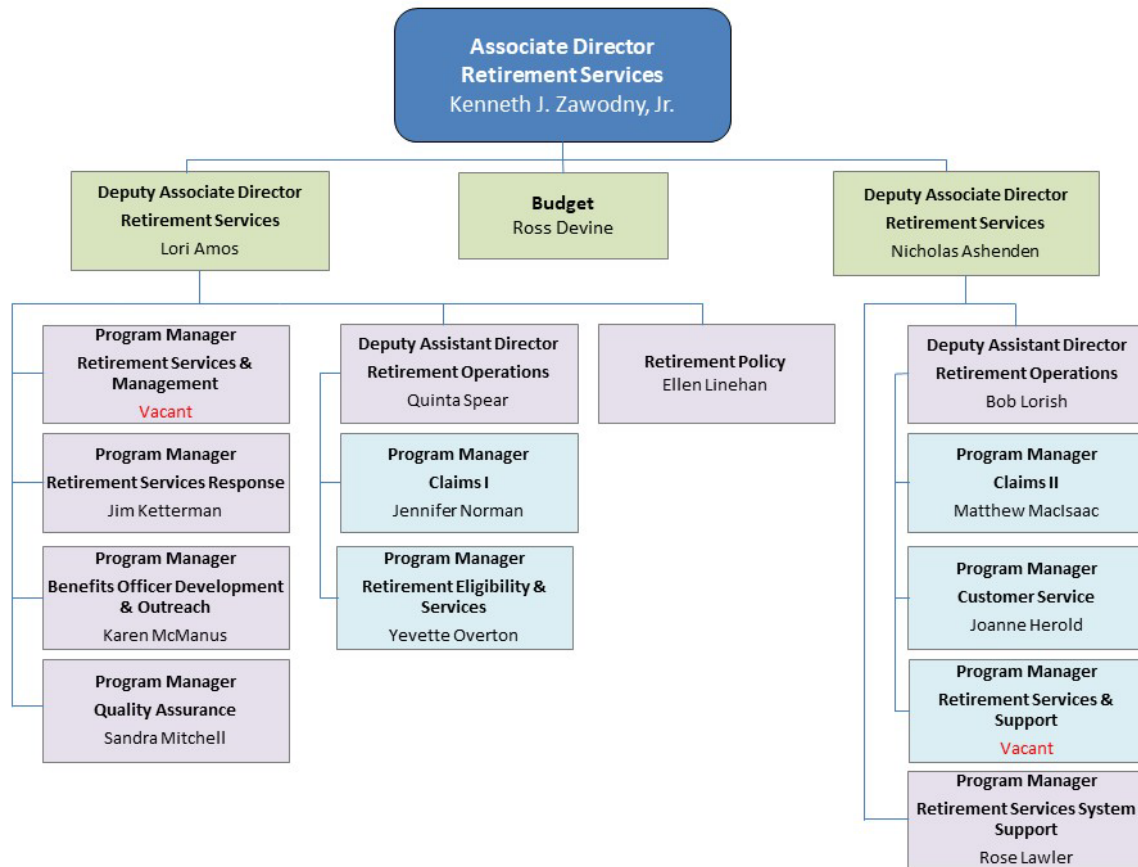
## Workforce Functions

The Retirement Services component consists of the following offices. These offices are in Boyers, PA and Washington, DC. The major offices and their responsibilities are as follows:

- **Claims I** adjudicates non-disability and disability retirement claims involving court ordered benefits, deferred and postponed retirements, and congressional computations; determines benefits payable in accordance with acceptable court orders received for processing; and processes post retirement claims. (DC)
- **Claims II** adjudicates non-disability and disability retirements that do not involve court ordered benefits, and survivor claims. (PA)
- **Customer Service** handles all customer phone and email inquiries, written inquiries, post retirement work, refund, service credit and FERRCA. (PA)
- **Retirement Eligibility and Services** administers health benefits open season for retirees and their survivors; maintains integrity of the annuity roll; reviews and assesses potential fraud issues; renders a final decision in response to reconsideration requests; and represents OPM/RS at MSPB on retirement matters. (DC)
- **Retirement Services System Support** - provides IT management services for RS to include operation of the IT Project Review Board (PRB); serves as product/business owners on IT modernization projects; coordinates and tracks legacy system enhancements/maintenance activities performed by OCIO; provides user access management for RS systems; and ensure security compliance of RS systems.
- **Retirement Services and Support** maintains files; manages the Boyers facility; operates the imaging team, responsible for disability determinations; and handles the front end of the retirement process. (PA)
- **Benefits Officer Development and Outreach** provides general and tailored training and technical assistance to agency Benefit Officers; manages the Agency Retirement Application Package Audit process and provides results and reports to agencies; conducts classroom instruction, observes training, and provides feedback to build high performing workforce and enhanced training experience; prepares technical guidance on a wide variety of regulations, laws, and policies affecting RS; maintains a repository of all resource materials; coordinates and updates forms to incorporate the latest legislative or policy directives; manages the aging of separations report.

- **Retirement Services and Management** handles the Human Resources staffing and classification activities for RS' employees; provides administrative support for RS, including facility, communication, computer matching agreements, contracting and publication services.
- **Retirement Policy** develops and interprets legislation and regulations; provides guidance to Retirement Operations on complex issues; represents OPM at the second appellate level of MSPB review in non-disability retirement matters; and provides technical assistance to OGC and DOJ for retirement litigation in the federal courts.
- **Retirement Services Response** responds to written, email, and telephone inquiries from the White House, Congress, OPM Director's Office, NARFE and various agencies; manages the Retirement Walk-In center in Washington DC; and responds to all retirement Freedom of Information Act requests.
- **Quality Assurance** directs recurring and ad hoc evaluations of RS programs, operations and systems; assesses accuracy for CSRS and FERS retirement and survivor adjudications; coordinates the preparation of statistical/quantitative data on the retirement programs, and analyzes the Retirement Services program performance against goals, objectives and measures and projecting the impact of program or policy changes.
- **Budget** provides budget formulation and execution for RS; and provides travel management, Capital Investment Committee presentation support and guidance, Inter-Agency Agreements execution and PAYGO budget estimates for pending legislative proposals.

## Organizational Chart



Updated: 9/25/2020

## Budget

RS is funded from trust fund allocations comprised of various components, namely Trust Fund Annual (TFA), Title V Mandatory and FERCCA which are related to specific activities that cannot be moved outside of RS.

RS' budget is comprised of over 85% personnel costs and less than 15% object class costs, most of which is required by law or regulation (such as mail, printing, and open season expenses). Being a heavily dependent service organization requires RS to maintain the ability to fill vacant and affordable positions. Based on lessons learned, not being able to backfill losses suffered through attrition, hiring freezes and budget reductions, reducing RS trust fund allocation should not be an option.

An evaluation of service demands, and expectations has determined that 1,162 FTE are required to perform at an acceptable level of customer experience. Funding restrictions allows RS to hire roughly 965, hence creating missed goals and service delivery shortfalls.

## Congressional Considerations

### Eliminate the Annual Limitation of the Trust Fund

This proposal has been submitted with prior budget requests. The proposal would provide that the administrative expenses that OPM, OPM's Inspector General, and the Merit System Protections Board incurs in providing retirement and insurance benefits to active and retired employees, and their survivors; would not be subject to Congressional limitation in annual appropriations. The trust fund would be available to OPM for the costs it incurs in administering the CSRS and FERS retirement, FEHB and FEGLI programs. Use of these administrative funds will be subject to the approval of the Director of OPM, in consultation with the Office of Management and Budget (OMB), and will remain subject to oversight under the apportionment process.

# Suitability Executive Agent Programs (SuitEA)

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## Background

OPM has statutory responsibilities to prescribe standards of suitability based on character and conduct and to ascertain the fitness of applicants to be appointed to federal positions.

Additionally, Executive Order 13467 established the OPM Director as the Suitability Executive Agent in 2016. E.O. 13467 was later amended in 2017 and re-established the OPM Director as the Suitability *and* Credentialing Executive Agent with specific duties commensurate with each role. **Suitability Executive Agent Programs (SuitEA)** was established as a distinct program office within OPM in December 2016, to strengthen the effectiveness of vetting for and determinations of suitability or fitness for Federal employment or to perform work under a Government contract. Government-wide responsibilities supporting the Credentialing Executive Agent, regarding the eligibility of individuals for credentials (that is, logical and physical access to agency IT systems and facilities) are now also performed by the program office.

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***Mission:** We lead and serve the Suitability and Credentialing Community by promoting an effective vetting process for a trusted workforce through policy development, guidance, education, and oversight.*

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## Organizational Overview

SuitEA prescribes suitability, fitness, and credentialing standards and conducts oversight of functions delegated to the heads of agencies while retaining jurisdiction to make suitability determinations and take Government-wide suitability actions in certain circumstances. SuitEA also issues guidelines and instructions to the heads of agencies to promote appropriate uniformity, centralization, efficiency, effectiveness, reciprocity, timeliness, and security in suitability/fitness/credentialing processes. SuitEA shares with the Office of the Director of National Intelligence (ODNI) the responsibility for establishing the investigative standards that all Investigative Service Providers must follow. SuitEA is responsible for delegating authority to conduct suitability, fitness, and credentialing investigations, and as such, must conduct oversight of delegated investigative functions.

## Suitability

OPM sets the standards by which agencies determine whether an individual is suitable for appointment or continued employment in positions in the competitive service, positions in the excepted service that non-competitively convert to the competitive service, or career appointments to the Senior Executive Service (hereinafter referred to as “covered positions”).

Suitability is an assessment of one's person's character or conduct to determine if their employment will protect the integrity and promote the efficiency of the service.

OPM will take a suitability action to debar an individual employment in a covered position for up to three years when there is evidence of material, intentional false statements, or deception or fraud in examination or appointment, refusal to furnish testimony as required by the Civil Service Rules, or when there are other serious issues that merit government-wide debarment. This function is performed by the SuitEA Operations (Adjudications) program office.

OPM otherwise delegates to the heads of agencies authority for making suitability determinations and taking suitability actions, including limited, agency-specific debarments. For both oversight and reciprocity purposes, agencies must report to OPM their adjudicative decisions, and agencies that conduct investigations must report the nature, level, and completion date of the investigations.

In addition to its major functions of performing suitability adjudications and taking suitability actions, the SuitEA Operations staff develops course content and delivers instruction for the its government-wide training offerings which are open to suitability and fitness adjudicators and are compliant with the National Training Standards for Suitability Adjudicators, issued by the OPM Director in 2012. The standards promote uniform decision-making across government, professional development of the suitability workforce, and reciprocal recognition of favorable determinations. SuitEA is, once again, co-chairing the National Training Standards for the Trusted Workforce 2.0 initiative described below under Top Priorities for the Administration.

## Credentialing

A credentialing decision is the decision, based on an investigation, that an individual does not present an unacceptable risk to people, property, or information systems. Agencies use criteria established by OPM to make a credentialing decision to issue a Personal Identity Verification (PIV) card to an individual working for or on behalf of the Government.

The Credentialing program office also collaborates with the Federal Chief Information Office to establish credentialing policies to address gaps identified. Most recently, SuitEA is working on meeting OMB mandates in OMB Memorandum M-19-17 to establish credentialing vetting policy for short term employees and individuals outside of Federal space who may inadvertently have access to information in IT systems off sites such as cloud administrators.

## Oversight

SuitEA conduct audits of agencies' suitability, credentialing, and background investigation programs to assess compliance and effectiveness. SuitEA will then work with agencies to address deficiencies and findings reported.



## Stakeholders

Agency stakeholders have a strong representation in SuitEA's programs. SuitEA holds regular Stakeholder's meetings, virtual training, and education and awareness sessions. SuitEA operates a suitability helpline and additional platforms to provide customer support on technical and interpretative matters related to suitability, fitness, and credentialing. SuitEA also participates in the Homeland Security Presidential Directive -12 Steering Committee and the Federal Identity Credential and Access Management Subcommittee.

SuitEA acts on behalf of agencies by providing requirements for the systems used to support position designation, adjudication, and reciprocity management for federal employees and contractors, including the systems for federal vetting being developed by the Defense Counterintelligence and Security Agency.

## Organizational Chart

SuitEA consists of Policy/Strategy program office and Oversight program office at OPM headquarters (TRB) and an Operations (Adjudications) program office in Slippery Rock, PA.

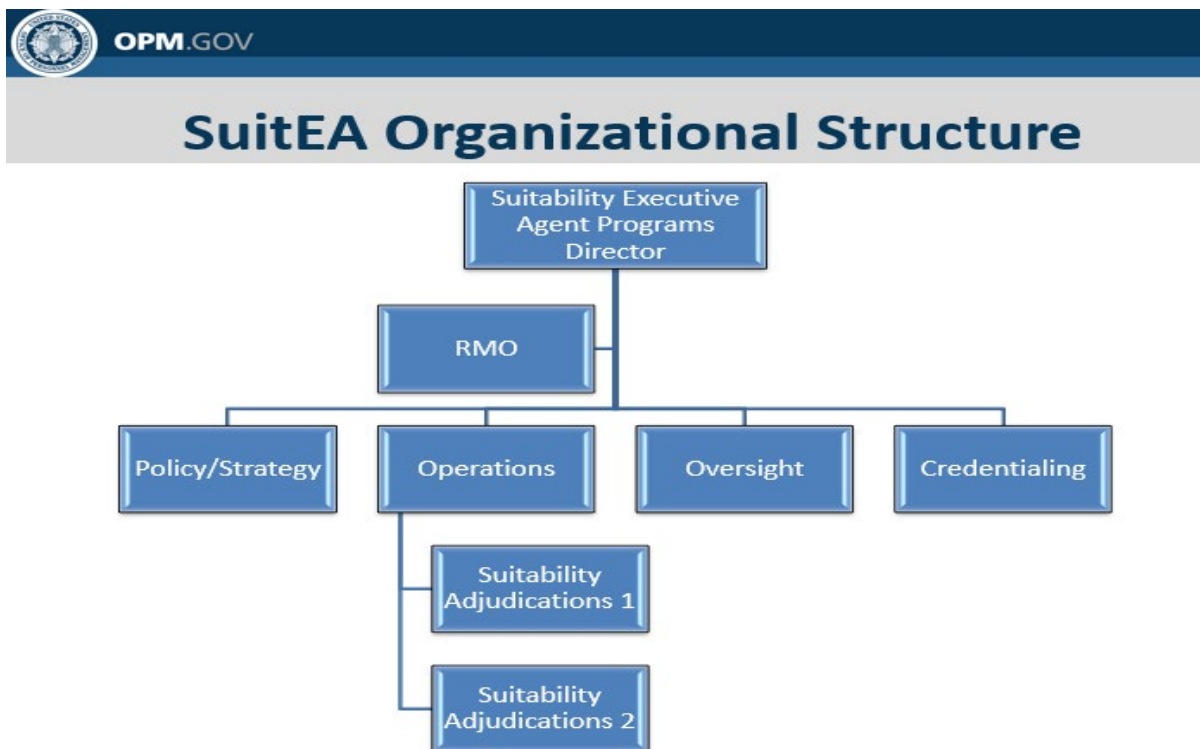


Chart 1- Organizational Structure

## Budget Structure

SuitEA is part of the OPM revolving fund, and as such acts as a fee-for-service entity. The goal is to break even annually and keep costs down while providing the highest level of service

possible. Up until FY 21, SuitEA was funded from a small percentage of the cost of each investigation conducted by NBIB. With the transfer of the investigative functions out of OPM, SuitEA is now entering into yearly inter-agency agreements (IAAs) with its customers agencies to fund its revolving fund budget. Funding allocation for each Federal customer is based on the average number of all background investigations the agency submitted, over a historical period, as a percentage of all requests by all agencies.

## Top Priorities for Administration

### Suitability, Security, and Credentialing (SSC) Reform

Over the last three administrations, the OPM Director, as the Suitability and Credentialing Executive Agent has served as a principal member for the Security, Suitability, and Credentialing (SSC) Performance Accountability Council (PAC) alongside the Director of National Intelligence (DNI), in his capacity as the Security Executive Agent, the OMB, Deputy Director for Management, and the DOD, Under Secretary of Defense for Intelligence & Security.

The SSC PAC goal is to lead transformational change in how the government vets its workforce to promote a Federal workforce entrusted to protect Government information and property and to promote a safe and secure work environment, sustained by an enhanced risk management approach supported by: Improved early detection enabled by an informed, aware; and responsible Federal workforce; quality decisions enabled by improved investigative and adjudicative capabilities; optimized government-wide capabilities through enterprise approaches; and strong partnership with Insider Threat Programs to strengthen the identification, deterrence, and mitigation of problems before they negatively impact the workforce or national security. In order to drive cross-government collaboration for these objectives, the last two administrations have established this as a Cross-Agency Priority (CAP) goal for *Security Clearance, Suitability, and Credentialing Reform*.

The culmination of the recent reform efforts is an initiative known as the Trusted Workforce 2.0. (TW 2.0), led by the OPM Director as the Suitability and Credentialing Executive Agent and the Director of National Intelligence as the Security Executive Agent. Begun in 2018, the TW 2.0 effort successful reduced and eliminated the backlogged investigation inventory and is now in its second phase, to establish a transformed government-wide approach to vetting. The intended outcomes are to increase the mobility of the federal workforce and to increase the speed at which vetting is accomplished and by which it addresses and reduces risk.

SuitEA's efforts to streamline vetting are also integrated with OPM efforts to streamlining hiring processes. SuitEA is a deputy owner of OPM Strategic Objective 1.1, "Drive improvements to the hiring process so agencies are able to hire the best candidate in a timely manner." SuitEA is collaborating with HRS to identify ways to integrate and improve the flow of human resources

and vetting related data in a manner that will improve efficiencies for agencies in hiring and personnel vetting.

## Regulations

SuitEA is in the process of revising several regulations relevant to OPM's suitability and credentialing responsibilities. We are also jointly responsible with ODNI for a regulation regarding the designation of national security sensitive positions.

- *5 CFR 731 - Suitability*: SuitEA will propose revisions to implement new requirements of EO 13467, as amended in January 2017 to incorporate fitness standards and continuous vetting requirements. The intended outcome is to promote consistence in federal vetting and provide for greater mobility of individuals who seek to serve for or on behalf of the government. The rule, which provides direction to agencies regarding the timing of suitability inquiries will be further amended, as needed, to incorporate specific measures of the *Fair Chance to Compete for Jobs Act of 2019* which limits request for criminal history record information from applicants for civilian and contractor prior to conditional offer of employment and establishes a complaint and penalty process for non-compliance.
- *5 CFR 732, 5 CFR 1400 Designating National Security Positions*: SuitEA intends to issue modification to regulation to remove duplicative and obsolete sections of 5 CFR 732 and to jointly with the Office of the Director of National Intelligence (ODNI) amend and update 5 CFR 1400 reference to Executive Order 10450 and implement requirements of the *Securely Expediting Clearances Through Reporting Transparency Act* (SECRET Act of 2018). The SECRET Act requires the reassessment of sensitive position designations not less than every four years and the submission of associated reports to Congress relative to sensitive position designation activity. Proper position designation is necessary to establish the appropriate level of federal vetting of those who work for or on behalf of the government and have access to its facilities and information.
- *5 CFR 736 - Personnel Investigations*: SuitEA is proposing to revise its regulation to address requirements governing the use of polygraphs for employment screening of applicants and appointees. OPM grants authority to agencies to use the polygraph in the examination process for hiring certain competitive service positions in agencies with particular missions. The proposed rule change will put into regulation policies that were formerly prescribed in the Federal Personnel Manual, now abolished, chapter 736, section 2-6, titled Use of Polygraph in Personnel Investigations
- *Credentialing Standard Procedures*: SuitEA will be issuing interim credentialing standard procedures as non-regulatory guidance that will update and enhance procedures previously issued in 2008 as interim guidance. SuitEA will then proceed to develop a notice of proposed rulemaking to include these procedures document along with credentialing adjudicative standards. Agencies use standards and procedures established by OPM to determine eligibility to hold a Personal Identity Verification (PIV) credentials for access to federal property and information systems.

## Congressional Considerations

The SSC PAC Principal representatives participate in quarterly Congressional briefings regarding SSC reform efforts to the staffers of the following committees:

- House Oversight (COR)
- House Armed Services (HASC)
- House Intelligence (HPSCI)
- House Appropriation (HAC)
- House Homeland Security (CHS)
- Senate Oversight / Homeland Security (HSGAC)
- Senate Armed Services (SASC)
- Senate Intelligence (SSCI)
- Senate Appropriations (SAC)

The SuitEA Director represents OPM at these briefings with support from OPM's CLIA.

There is significant interest from the Senate Intelligence committee, in particular, regarding the Trusted Workforce initiative to transform security clearance and suitability vetting processes.

# Chief Human Capital Officers Council (CHCOC)

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## Mission

The Chief Human Capital Officers Council (CHCOC) serves the Nation by advising and collaborating with the U.S. Office of Personnel Management and other stakeholders to create human capital management strategies that attract, develop and retain a high performing, engaged and diverse federal workforce.

## Workforce Functions

The Chief Human Capital Officers Act of 2002, enacted as part of the Homeland Security Act of 2002 on November 25, 2002, required the heads of 24 Executive departments to appoint or designate Chief Human Capital Officers (CHCOs) and to establish a Chief Human Capital Officers (CHCO) Council.

Specifically, the Act established the CHCO Council “to advise and coordinate the activities of the agencies of its members on such matters as modernization of human resources systems, improved quality of human resources (HR) information, and legislation affecting human resources operations and organizations.” The Act’s effective date was May 24, 2003 (180 days after enactment).

The Council is composed of the Director of the Office of Personnel Management (OPM), who serves as chair; the Deputy Director for Management of the Office of Management and Budget (OMB), who acts as vice chair; the CHCOs of the 24 Executive departments and the Small Agency Council, as designated by the OPM Director.

The Council holds monthly meetings for CHCOs and Deputy CHCOs to discuss progress on priority initiatives of the Administration or the Council and to share concerns and effective practices with each other. The Council also forms work groups around topics as needed.

The Council office has a communications programs component, consisting primarily of the CHCOC.gov website and the “CHCO Bulletin,” an electronic newsletter sent each Friday.