

# Government Accountability Office (GAO) – Open Recommendations

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Agency	Title & GAO Report #	Date Published	Open Recommendation
ETA	H-2A and H-2B Visa Programs: Increased Protections Needed for Foreign Workers GAO-15-154	3/6/15	To help protect workers from being hired by employers who have been debarred from program participation, the Secretary of Labor should direct the Assistant Secretary, Employment and Training Administration, to use all employer-related information it collects on debarred employers to screen new applications.
WHD	H-2A and H-2B Visa Programs: Increased Protections Needed for Foreign Workers GAO-15-154	3/6/15	To ensure that H-2B workers are adequately protected and that DOL's investigative resources are appropriately focused, the Secretary of Labor should direct the Administrator, Wage and Hour Division, to review its enforcement efforts and conduct a national investigations-based evaluation of H-2B employers.
WHD, OIG, and ETA	H-2A and H-2B Visa Programs: Increased Protections Needed for Foreign Workers GAO-15-154	3/6/15	To determine to what extent, if any, the 2-year statute of limitations on debarment limits its use as a remedy for employers who violate program requirements: (1) the Secretary of Labor should direct the Assistant Secretary, Employment and Training Administration, and the Administrator, Wage and Hour Division, to collect data on the nature of the cases where debarment would have been recommended but was not because the 2-year statute of limitations had expired, and based on that data determine whether to pursue a legislative proposal to extend the statute of limitations; and (2) the Department of Labor Inspector General should direct the Assistant Inspector General, Office of Labor Racketeering and Fraud Investigations to provide the Assistant Secretary, Employment and Training Administration, and the Administrator, Wage and Hour Division, data on the number of referrals for debarment that the Inspector General's Office sent to the department after the 2-year statute of limitations had expired.

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ETA	H-2A and H-2B Visa Programs: Increased Protections Needed for Foreign Workers GAO-15-154	3/6/15	To help protect workers from being hired by employers who have been debarred from program participation, the Director of U.S. Citizenship and Immigration Services and the Secretary of Labor should finalize and implement their agreement to share data, including those on debarred employers.
ETA	Job Corps: Assessment of Internal Guidance Could Improve Communications with Contractors GAO-15-93	1/22/15	To enhance communication with contractors about Job Corps program changes, the Secretary of Labor should direct the Assistant Secretary for Employment and Training to review the sufficiency of ETA's guidance for internal notices--including Program Instruction Notices, Policy and Requirements Handbook Change Notices, and Information Notices--to ensure that contractors are provided with adequate notification of program changes before they are expected to be implemented, and an adequate level of information to assist them in carrying out their responsibilities.
ETA	WORKFORCE INVESTMENT ACT: Strategies Needed to Improve Certain Training Outcome Data GAO-14-137	3/5/14	To provide policymakers and program managers with better quality information to assess the value of training provided by WIA's Adult and Dislocated Worker Programs, the Secretary of Labor should identify and share with states strategies for collecting and reporting data on training-related employment that could either increase access to employment information or reduce the subjectivity of determining when training is related to employment.
ETA	WORKFORCE INVESTMENT ACT: DOL Should Do More to Improve the Quality of Participant Data GAO-14-4	12/20/13	To improve the consistency and completeness of national data on participants in the WIA Adult and Dislocated Worker Programs, the Secretary of Labor should take additional steps to improve the uniformity of participant data reported by states. The Secretary of Labor should promote a formal, continuous process for improving the quality of data on participants in the WIA Adult and Dislocated Worker Programs through such measures as the following: (a) consistently

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			<p>sharing the results of all oversight activities with states and local areas, including findings from validation of participant data; (b) reviewing the methods used for data validation, such as its scope and error rate threshold, to identify opportunities to increase efficiencies and accountability in the process. This could include implementing, if appropriate, recommendations from the Regions' review of data validation procedures; (c) evaluating data validation efforts to determine their effects on data quality, particularly on systemic errors, and providing targeted guidance and assistance to states and local areas to address such errors; (d) regularly monitoring Social Policy Research Associates' corrections and analyses of state WIA participant data, sharing this information with states, and coordinating with states to ensure that any corrections are appropriate and accurate; and (e) collecting and disseminating promising practices to states and local areas on data collection and reporting on a regular basis.</p>
ETA	<p>Actions Needed to Improve the Transparency and Reliability of Labor's Data on the H-2A Program GAO-13-144R</p>	7/2/13	<p>The Secretary of Labor should direct the Assistant Secretary for Employment and Training to enhance the validity of the data reported in the data files on multi-employer applications by collecting separate data on where workers will be employed and where they will be housed, and by providing additional guidance on how to report requested worker positions.</p>
ETA	<p>Actions Needed to Improve the Transparency and Reliability of Labor's Data on the H-2A Program GAO-13-144R</p>	7/2/13	<p>The Secretary of Labor should direct the Assistant Secretary for Employment and Training to improve the reliability of the data on H-2A applications filed on behalf of multiple employers in the new H-2A module of the iCERT system by assessing the feasibility of adding data edit checks to the module that would flag inconsistencies in the data. For example, one check could compare the total number of H-2A positions requested on a multi-employer</p>

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			application to the sum of the number of positions listed on the application for each employer listed and flag applications for further review if the numbers do not match.
ETA	EMPLOYMENT AND TRAINING: Labor's Green Jobs Efforts Highlight Challenges of Targeted Training Programs for Emerging Industries GAO-13-555	7/19/13	To enhance Labor's ability to implement training programs in emerging industries, the Secretary of Labor should identify lessons learned from implementing the green jobs training programs. This could include: (1) Identifying challenges and promising strategies associated with training workers for emerging industries--through both targeted grant programs and existing programs--and considering ways to improve such efforts in the future. For example, taking a more measured or multi-phased approach could allow the time necessary to better determine demand for an emerging industry and establish the partnerships needed to properly align training with available jobs. (2) Taking steps to ensure training programs adequately document outcome variables, particularly for targeted programs where tracking training relatedness is of particular interest
OWCP	RETURNED PEACE CORPS VOLUNTEERS: Labor and Peace Corps Need Joint Approach to Monitor Access to and Quality of Health Care Benefits GAO-13-27	11/19/12	The Secretary of Labor and the Director of the Peace Corps should jointly develop and implement an approach for working together to use available information to monitor the access to and quality of FECA benefits provided to returned volunteers.

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**Open GAO Studies - 30.60.90 Day Final Report Expected**

<b>Agency</b>	<b>Title</b>	<b>Date of Notification Letter</b>	<b>Current Status</b>	<b>Anticipated/Tentative Publication Date</b>
ASAM	Enterprise Risk Management (ERM) practice in the federal government	9/28/2015	Statement of Facts received	Draft - end of Aug/early Sept
ASAM	Independent Government Cost Estimates for Service Contracts	2/2/2016	Follow-up meeting	Draft - Oct/Nov
ASAM	Federal Managers Survey	3/3/2016	Additional information sent to GAO	Draft - Jan/Feb
ASAM	Agencies' Telework Internal Controls	3/11/2016	Interview with OASAM	Draft - Jan/Feb
ASAM	Religious Freedom Restoration Act Exemptions	4/15/2016	Additional Information requested by GAO	Draft - Feb/March
ASAM	GSA Telecommunications Program	4/21/2016	Follow-up meeting	Draft - March/April
ASAM	Federal Government Efforts to Reduce the Use of Social Security Numbers & Incentives for Federal Real Property Disposal	5/12/2016	Both studies were combined for the entrance conference	Draft - March/April
ASAM	Conversions of Employees from Noncareer to Career Positions at Executive Branch Agencies & Political Conversion Jobs	5/31/2016	Both studies were combined for the entrance conference	Draft - Nov/Dec
ASAM	Data Center Optimization Progress	7/26/2016	GAO seeking additional information	Draft - Nov/Dec
ASAM	Review of Data Center Consolidation Planning and Progress	7/29/2016	Notification Letter & GAO seeking Documentation	Draft - April/May
ASAM	Review of Federal Digital Service Improvement Programs (18F, the Office of Management and Budget's U.S. Digital Service team, and the Presidential Innovation Fellows program)	10/26/2015	Technical Comments submitted to GAO	Final - Oct/Nov
ASP	Gig Economy Workers' Access to Federal Employment and Training Resources	4/4/2016	Additional information sent to GAO	Draft - April/May

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BLS	Alternative Approaches to Increasing American Samoa Minimum Wage	11/18/2015	Exit Conference Held	Draft - Oct 2016
BLS	Long-term Care Workforce	5/6/2015	Draft Response sent to GAO	Final - Oct/Nov
BLS	Contingent Faculty	5/20/2016	Entrance Conference Held	Draft - Jan/Feb
BLS	Working Families and Social Safety Net Programs	6/7/2016	Entrance Conference Held	GAO anticipates concluding Part 1 of this study in early 2017
CFO	Federal Chief Information Security Officer (CISO) Authorities	6/22/2015	Draft Report Received DOL had no comment	Final - Oct/Nov
CFO	Agencies' Use of the Do Not Pay (DNP) Initiative	6/15/2015	Exit Conference Held	Draft - Aug/Sept
EBSA	Eligibility and Vesting Requirements	1/15/2015	Exit Conference Held	Draft- Aug/Sept
EBSA	401(k) Spend-down Options	11/12/2014	Draft Report Received	Final - Oct/Nov
EBSA	Self-directed Individual Retirement Accounts (IRA)	9/1/2015	Exit Conference Held	Draft- Oct 2016
EBSA	Unclaimed Workplace Retirement Accounts	8/10/2015	Entrance Conference Held	Draft - Dec 2016
EBSA	State of Retirement in America	3/4/2016	Entrance Conference Held	Draft -Apr/May
EBSA	Central States Pension Fund Consent Decree	5/2/2016	Entrance Conference Held	Draft - May/June
EBSA	Phased Retirement	6/10/2016	Entrance Conference Held	Draft - May/June
EBSA	Central States Pension Fund Investment Policy	8/1/2016	Entrance Conference Held	GAO anticipates issuing a final Summer 2017
ETA	Federal Disaster Assistance Expenditures	5/18/2015	Follow-up Questions	Draft - Dec/Jan
ETA	Federal Manufacturing Programs	4/28/2015	Additional information sent to GAO	Draft - May/June

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ETA	Workforce Innovation and Opportunity Act (WIOA) Implementation	10/19/2015	Exit Conference Scheduled	Draft - September 22, 2016
ETA	Tiered evidence based grants	10/28/2015	Statement of Facts sent	Draft - Oct/Nov
ETA	Performance Partnerships	11/24/2015	Tentative Exit Conference	Draft - Nov/Dec
ETA	Early Learning and Child Care Programs	5/2/2016	Follow-up Questions	Draft - April/May
ETA	National Network for Manufacturing Innovation	6/14/2016	Entrance Conference Held	Draft - April/May
ETA	FY 2014 Inspector General Reporting of Agency Compliance under the Improper Payments Elimination and Recovery Act	10/28/2015	Draft Report Received	Final - Oct/Nov
ETA	Head Start Teachers and Unemployment Insurance Payments	8/27/2015	Statement of Facts received	Draft - Mid Sept
ILAB	Agencies Collecting and Reporting in the Foreign Assistance Dashboard	8/14/2015	Draft Report Received - DOL had no comment	Final - Oct/Nov
ILAB	Federal agencies' trade enforcement expenditures	5/20/2016	Entrance Conference Held	Draft - Jan/Feb
ODEP	Services for Youth with Autism Spectrum Disorder (ASD) Transitioning to Adulthood	12/18/2015	Additional information sent to GAO	Draft - Feb/March
OFCCP	Anti-Discrimination in Federal Contracting	1/30/2015	Exit Conference Held	Draft -Aug 2016
OFCCP	Diversity in the Technology Sector	5/17/2016	Additional Information requested	Draft - Jan/Feb



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OSHA	Review of the Department of Veterans Affairs Oversight of Employee Misconduct Allegations	3/26/2015	No Entrance Required	GAO plans to send a courtesy copy of the final report when it is issued - no timeline given
OSHA	Training for Workers and Employers	3/22/2016	Additional Information Sent to GAO	Draft - March/April
OSHA	Low Dose Radiation	4/22/2016	Questions from GAO	Draft - Spring 2017
OSHA	Meat and Poultry Worker Safety Part II	5/10/2016	Entrance Conference Held	Draft - Summer 2017
OSHA	High Containment Laboratories: Inactivation and Attenuation Protocols	11/24/2015	Entrance Conference Held	Draft - Summer 2017
OWCP	The Department of Defense's Use of the Federal Employees' Compensation Act	11/10/2015	Exit Conference Held	Draft - Jan/Feb
SOL	Freedom of Information Act Litigation Costs	2/2/2016	Draft Report Received	Final - Oct/Nov
VETS	Department of Veterans Affairs' (VA) Enhanced-Use Leasing (EUL) efforts to provide Housing for Homeless Veterans	12/3/2015	Follow-up with GAO	DOL and GAO agreed not to have an exit conference on this study. A request was made to GAO for a copy of the draft report when it is published
VETS	Transition Assistance Program (TAP)	3/4/2016	Follow-up Question	Draft - Spring 2017
VETS	DOD's Credentialing and Licensing Programs	1/22/2016	Entrance Conference Held	Draft - Spring 2017

<b>DOL'S GAO OPEN RECOMMENDATIONS NEEDING ADDRESSING</b>			
<b>Agency</b>	<b>Title &amp; GAO Report #</b>	<b>Date Published</b>	<b>Open Recommendation</b>
EBSA	Retirement Security: Better Information on Income Replacement Rates Needed to Help Workers Plan for Retirement GAO-16-242,	3/1/16	To help workers make appropriate adjustments to the replacement rates used in calculating their specific retirement income needs, the Secretary of Labor should include in its retirement planning tools information about examples of individual circumstances that research has shown to result in higher or lower income replacement needs (e.g., household characteristics and income level) and guidance on the direction and magnitude of the changes attributable to such circumstances as well as those due to particular lifestyle choices.
EBSA	Retirement Security: Better Information on Income Replacement Rates Needed to Help Workers Plan for Retirement GAO-16-242,	3/1/16	To help workers make appropriate adjustments to the replacement rates used in calculating their specific retirement income needs, the Secretary of Labor should modify its retirement planning tools to allow for some user flexibility in adjusting the replacement rate used in calculating retirement income needs.
EBSA	RETIREMENT SECURITY: Federal Action Could Help State Efforts to Expand Private Sector Coverage GAO-15-556	9/29/15	To facilitate state efforts to expand coverage in workplace retirement savings programs, the Secretary of Labor and Secretary of the Treasury should consider their authority and review and revise, if necessary, existing regulations and guidance causing uncertainty for state efforts. For example, the Secretary of Labor could direct the Employee Benefits Security Administration's (EBSA) Assistant Secretary to revise Interpretive Bulletin 99-1 to clarify whether states can offer payroll deduction Individual Retirement Accounts (IRAs) and, if so, whether features in relevant enacted state legislation--such as automatic enrollment and/or a requirement that employers offer a payroll deduction--would cause these programs to be treated as employee benefit plans.
EBSA	401(K) PLANS: Clearer Regulations Could Help Plan Sponsors Choose Investments for Participants GAO-15-578	9/4/15	To encourage plan sponsors to continue efforts to improve plan participation and overall retirement savings through the use of Qualified Default Investment Alternatives, the Secretary of Labor should direct the Assistant Secretary for the Employee Benefits Security Administration to assess the challenges that plan sponsors and stakeholders reported, including the extent to which these challenges can be addressed, and implement corrective actions through clarifying guidance or regulations, as appropriate.
EBSA	Private Pensions: Participants Need Better Information When Offered Lump Sums That Replace Their Lifetime Benefits GAO-15-74	1/27/15	To ensure that federal regulators have better information about lump sum windows and to better ensure that participants have ready access to key information they need to make a decision when presented with a lump sum offer, the Department of Labor should require plan sponsors to notify DOL at the time they implement a lump sum window offer, including the number and category of participants being extended the offer (e.g., separated vested; retiree) as well as examples of the materials provided to them.
EBSA	Private Pensions: Participants Need Better Information When Offered Lump Sums That Replace Their Lifetime Benefits GAO-15-74	1/27/15	To ensure that federal regulators have better information about lump sum windows and to better ensure that participants have ready access to key information they need to make a decision when presented with a lump sum offer, the Department of Labor should coordinate with the Internal Revenue Service and the Pension Benefit Guaranty Corporation (PBGC) to clarify the guidance regarding the information sponsors should provide to participants when extending lump sum window offers and place the guidance on the agency's website. Guidance should include clear and understandable presentations of information, such as the relative value of the lump sum, the role and level of protections provided by PBGC, and the positive and negative ramifications of accepting the lump sum. Such guidance could also include promising practices for information materials from plan sponsors which are particularly effective in facilitating informed participant decision-making.
EBSA	401(K) Plans: Greater Protections Needed for Forced Transfers and Inactive Accounts GAO-15-73	11/21/14	To ensure that individuals have access to consolidated online information about their multiple 401(k) plan accounts, the Secretary of Labor should convene a taskforce to consider establishing a national pension registry. The taskforce could include industry professionals, plan sponsor representatives, consumer representatives, and relevant federal government stakeholders, such as representatives from Social Security Administration, Pension Benefit Guaranty Corporation, and Internal Revenue Service, who could identify areas to be addressed through the regulatory process, as well as those that may require legislative action.
EBSA	401(K) Plans: Greater Protections Needed for Forced Transfers and Inactive Accounts GAO-15-73	11/21/14	To prevent forced-transfer IRA balances from decreasing due to the low returns of the investment options currently permitted under the Department of Labor's safe harbor regulation, the Secretary of Labor should expand the investment alternatives available. For example, the forced-transfer IRA safe harbor regulations could be revised to include investment options currently under the qualified default investment alternatives regulation applicable to automatic enrollment, and permit forced-transfer IRA providers to change the investments for IRAs already established.
EBSA	401(K) PLANS: Improvements Can Be Made to Better Protect Participants in Managed Accounts GAO-14-310	7/29/14	To better protect plan sponsors and participants who use managed account services, the Secretary of Labor should direct the Assistant Secretary for the Employee Benefits Security Administration (EBSA) to review provider practices related to additional managed account services offered to participants in or near retirement, with the aim of determining whether conflicts of interest exist and, if it determines it is necessary, taking the appropriate action to remedy the issue.
EBSA	401(K) PLANS: Improvements Can Be Made to Better Protect Participants in Managed Accounts GAO-14-310	7/29/14	To better protect plan sponsors and participants who use managed account services, the Secretary of Labor should direct the Assistant Secretary for the EBSA to consider the fiduciary status of managed account providers when they offer services on an opt-in basis and, if necessary, make regulatory changes or provide guidance to address any issues.

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EBSA	401(K) PLANS: Improvements Can Be Made to Better Protect Participants in Managed Accounts GAO-14-310	7/29/14	To help sponsors who offer managed account services or who are considering doing so better protect their 401(k) plan participants, the Secretary of Labor should direct the Assistant Secretary for EBSA to require plan sponsors to request from record keepers more than one managed account provider option, and notify the Department of Labor if record keepers fail to do so.
EBSA	401(K) PLANS: Improvements Can Be Made to Better Protect Participants in Managed Accounts GAO-14-310	7/29/14	To help sponsors and participants more effectively assess the performance of managed accounts, the Secretary of Labor should direct the Assistant Secretary for EBSA to amend participant disclosure regulations to require that sponsors furnish standardized performance and benchmarking information to participants. To accomplish this, EBSA could promulgate regulations that would require sponsors who offer managed account services to provide their participants with standardized performance and benchmarking information on managed accounts. For example, sponsors could periodically furnish each managed account participant with the aggregate performance of participants' managed account portfolios and returns for broad-based securities market indexes and applicable customized benchmarks, based on those benchmarks provided for the plan's designated investment alternatives.
EBSA	401(K) PLANS: Improvements Can Be Made to Better Protect Participants in Managed Accounts GAO-14-310	7/29/14	To help sponsors and participants more effectively assess the performance of managed accounts, the Secretary of Labor should direct the Assistant Secretary for EBSA to amend service provider disclosure regulations to require that providers furnish standardized performance and benchmarking information to sponsors. To accomplish this, EBSA could promulgate regulations that would require service providers to disclose to sponsors standardized performance and benchmarking information on managed accounts. For example, providers could, prior to selection and periodically thereafter, as applicable, furnish sponsors with aggregated returns for generalized conservative, moderate, and aggressive portfolios, actual managed account portfolio returns for each of the sponsor's participants, and returns for broad-based securities market indexes and applicable customized benchmarks, based on those benchmarks provided for the plan's designated investment alternatives.
EBSA	401(K) PLANS: Improvements Can Be Made to Better Protect Participants in Managed Accounts GAO-14-310	7/29/14	To help sponsors who offer managed account services or who are considering doing so better protect their 401(k) plan participants, the Secretary of Labor should direct the Assistant Secretary for EBSA to provide guidance to plan sponsors for selecting and overseeing managed account providers that addresses: (1) the importance of considering multiple providers when choosing a managed account provider, (2) factors to consider when offering managed accounts as a Qualified Default Investment Alternative or on an opt-in basis, and (3) approaches for evaluating the services of managed account providers.
EBSA	PRIVATE PENSIONS: Targeted Revisions Could Improve Usefulness of Form 5500 Information GAO-14-441	7/7/14	To ease the burden on preparers and ensure the collection of consistent and reliable data, the Secretaries of DOL and Treasury, and the Director of PBGC should conduct advance testing--such as focus groups, in-person observations and users' perception of forms and questions--as appropriate and before proposing major changes to the form for public comment, in addition to its other outreach efforts. GAO website reads: To improve the usefulness, reliability, and comparability of Form 5500 data for all stakeholders while limiting the burden on the filing community, the Secretaries of DOL and Treasury, and the Director of PBGC should consider implementing the findings from our panel when modifying plan investment and service provider fee information, including: (1) revising Schedule H plan asset categories to better match current investment vehicles and provide more transparency into plan investments; (2) revising the Schedule of Assets attachments to create a standard searchable format; (3) developing a central repository for EIN and PN numbers for filers and service providers to improve the comparability of form data across filings; (4) clarifying Schedule C instructions for direct, eligible indirect, and reportable indirect compensation so plan fees are reported more consistently and, as we recommended in the past, better align with the 408(b)(2) fee disclosures; and (5) simplifying and clarify Schedule C service provider codes to increase reporting consistency.
EBSA	PRIVATE PENSIONS: Clarity of Required Reports and Disclosures Could Be Improved GAO-14-92	12/17/13	To ease the burden on plan sponsors, enhance compliance, and help ensure that disclosures to participants are written in a manner that can be understood by the average participant, Labor, IRS, and PBGC should work together to create and regularly update a comprehensive online tool for plan sponsors to search for the reports and disclosures they are required to provide based on plan type, design, and circumstances.
EBSA	PRIVATE PENSIONS: Clarity of Required Reports and Disclosures Could Be Improved GAO-14-92	12/17/13	To ease the burden on plan sponsors, enhance compliance, and help ensure that disclosures to participants are written in a manner that can be understood by the average participant, Labor, IRS, and PBGC should work together to define criteria for complying with the readability provisions in ERISA and the Internal Revenue Code (IRC), and apply the criteria to agency-generated model notices as well as those developed by plan sponsors. As part of these criteria, consider requiring clear, simple, brief highlights at the beginning of disclosures, reflecting federal plain language guidelines.
EBSA	PRIVATE PENSIONS: Clarity of Required Reports and Disclosures Could Be Improved GAO-14-92	12/17/13	To better ensure plan participants have access to information about their rights and benefits, as currently in force under their plans, Labor should direct plan sponsors to post to any intranet website maintained by the employer, as soon as determined feasible by Labor, a copy of the most current summary plan description (SPD) and any summary of material modifications issued subsequent to that SPD.

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EBSA	401(K) PLANS: Other Countries' Experiences Offer Lessons in Policies and Oversight of Spend-down Options GAO-14-9	12/16/13	As DOL and Treasury continue their efforts to determine the actions needed to enhance the retirement security of 401(k) plan participants, DOL and Treasury should consider the approaches taken by other countries to formalize access to multiple spend-down options for U.S. plan participants that address varying retirement risks and needs. To the extent possible, lessons from other countries should be used to help DOL and Treasury ensure plan sponsors have information about their flexibilities and the ability to facilitate access to a mix of appropriate options for 401(k) plan participants.
EBSA	401(K) PLANS: Other Countries' Experiences Offer Lessons in Policies and Oversight of Spend-down Options GAO-14-9	12/16/13	As DOL considers changes to participant benefit statements and other disclosures, the Secretary of DOL should consider strategies other countries have employed to help participants make sound decisions, such as providing timely information at or before retirement about available spend-down options and projections of future retirement income.
EBSA	401(K) PLANS: Other Countries' Experiences Offer Lessons in Policies and Oversight of Spend-down Options GAO-14-9	12/16/13	As DOL continues to review regulatory barriers to lifetime income options for 401(k) plan participants it should consider other countries' approaches to plans offering annuities, such as their reliance on existing solvency requirements and insurance industry standards to provide assurances rather than place responsibility on plan sponsors to make an assessment of an annuity provider's financial stability. As DOL considers the approaches of other countries and continues to work with the National Association of Insurance Commissioners, which facilitates interactions between insurance companies and state insurance regulators, DOL may wish to consult with the Federal Insurance Office, which coordinates federal efforts on prudential aspects of international insurance matters.
EBSA	PRIVATE PENSIONS: Revised Electronic Disclosure Rules Could Clarify Use and Better Protect Participant Choice GAO-13-594	11/5/13	The Secretary of Labor and the Secretary of the Treasury should work together to develop clear and consistent requirements for default electronic delivery of pension-related disclosures.
EBSA	PRIVATE PENSIONS: Revised Electronic Disclosure Rules Could Clarify Use and Better Protect Participant Choice GAO-13-594	11/5/13	The Secretary of Labor and the Secretary of the Treasury should consider requiring pension plan sponsors to provide participants with an opportunity to opt out of all forms of electronic delivery, including (but not limited to) disclosures sent by default electronic delivery and disclosures posted on a secure continuous access website.
EBSA	PRIVATE PENSIONS: Revised Electronic Disclosure Rules Could Clarify Use and Better Protect Participant Choice GAO-13-594	11/5/13	The Secretary of Labor and the Secretary of the Treasury should consider requiring pension plan sponsors to send a periodic paper notice to participants reminding them of their right to change their preferred delivery method at any time and the steps they must take to make these changes.
EBSA	401(K) PLANS: Labor and IRS Could Improve the Rollover Process for Participants GAO-13-30	4/3/13	To help reduce obstacles and disincentives to keeping retirement savings in the 401(k) plan environment, the Commissioner of Internal Revenue and Secretary of Labor should review policies that affect separating employees leaving retirement savings in an employer's plan and, for those who choose to roll their distributions into another 401(k) plan, the process of plan-to-plan rollovers. As part of such a review, the Commissioner of Internal Revenue and the Secretary of Labor should review the lack of standardization of sponsor practices related to plan-to-plan rollovers and of policies affecting participants who leave plan savings in a former employer's plan, with the aim of taking any regulatory action they deem appropriate. Such action could address obstacles like sponsors refusing to accept rollovers from other plans, and disincentives like plans restricting participants' control over savings once they separate from the employer, and charging different fees for inactive participants.
EBSA	401(K) PLANS: Labor and IRS Could Improve the Rollover Process for Participants GAO-13-30	4/3/13	To help reduce obstacles and disincentives to keeping retirement savings in the 401(k) plan environment, the Commissioner of Internal Revenue and Secretary of Labor should review policies that affect separating employees leaving retirement savings in an employer's plan and, for those who choose to roll their distributions into another 401(k) plan, the process of plan-to-plan rollovers. As part of such a review, the Commissioner of Internal Revenue and the Secretary of Labor should work together to communicate to plan sponsors IRS's guidance on the relief from tax disqualification provided for plans that accept rollovers later determined to have come from a plan that was not tax qualified. In helping to better disseminate IRS's guidance to plan sponsors, Labor may also provide feedback to IRS to help ensure that the guidance is clear and understandable, so that it adequately addresses plan sponsors' concerns about their own plans' qualified status and helps reduce delays in processing rollovers from other plans.
EBSA	401(K) PLANS: Labor and IRS Could Improve the Rollover Process for Participants GAO-13-30	4/3/13	To help reduce obstacles and disincentives to keeping retirement savings in the 401(k) plan environment, the Commissioner of Internal Revenue and Secretary of Labor should review policies that affect separating employees leaving retirement savings in an employer's plan and, for those who choose to roll their distributions into another 401(k) plan, the process of plan-to-plan rollovers. As part of such a review, the Commissioner of Internal Revenue should revise rules that allow plans and providers to send direct-rollover distribution checks to individuals rather than to the receiving entities to which the checks are written.

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EBSA	401(K) PLANS: Labor and IRS Could Improve the Rollover Process for Participants GAO-13-30	4/3/13	To help ensure that when plan participants separate from an employer and are deciding what to do with their retirement plan savings they receive adequate, timely, and balanced information, the Secretary of Labor should develop a concise written summary explaining a participant's four distribution options and listing key factors a participant should consider when comparing possible investments, and require sponsors to provide that summary to a participant upon separation from an employer. Should Labor conclude that additional statutory authority is needed to take this action, it should seek that authority from the Congress.
EBSA	PRIVATE SECTOR PENSIONS: Federal Agencies Should Collect Data and Coordinate Oversight of Multiple Employer Plans GAO-12-665	10/4/12	The Secretary of Labor should instruct the Assistant Secretary of EBSA and the Secretary of the Treasury should instruct the Commissioner of Internal Revenue to formalize their coordination with regard to the statutory interpretations reflected in Labor's advisory opinions related to MEPS. Furthermore, the agencies should coordinate to develop compliance-related guidance on the establishment and operation of MEPS under ERISA and the IRC.
EBSA	401(K) PLANS: Increased Educational Outreach and Broader Oversight May Help Reduce Plan Fees GAO-12-325	5/23/12	In order to help plan sponsors better understand how fees are charged to their plans and to help them make well-informed decisions, the Secretary of Labor should develop and implement alternative approaches to Labor's plan sponsor outreach and education initiatives that actively engage sponsors and allow the agency to track sponsor engagement. Such actions could include e-mailing sponsors about new regulations, guidance, and tools available on its website, and then monitoring website traffic and publication downloads to determine whether such initiatives are reaching their targeted audience.
EBSA	401(K) PLANS: DOL Could Improve Use of Lifetime Income Options GAO-16-433	8/9/16	The Secretary of the Department of Labor (DOL) should help encourage plan sponsors to offer lifetime income options by clarifying the safe harbor from liability for selecting an annuity provider by providing sufficiently detailed criteria to better enable plan sponsors to comply with the safe harbor requirements related to assessing a provider's long-term solvency.
EBSA	401(K) PLANS: DOL Could Improve Use of Lifetime Income Options GAO-16-433	8/9/16	The Secretary of the DOL should help encourage plan sponsors to offer lifetime income options by considering providing legal relief for plan fiduciaries offering an appropriate mix of annuity and withdrawal options, upon adequately informing participants about the options, before participants choose to direct their investments into them.
EBSA	401(K) PLANS: DOL Could Improve Use of Lifetime Income Options GAO-16-433	8/9/16	To guide fiduciaries as they consider how the account balances of their participants will translate into financial security in retirement, DOL should modify its Meeting Your Fiduciary Responsibilities publication or issue new guidance to encourage plan sponsors to use a record keeper that includes annuities from multiple providers on their record keeping platform.
EBSA	401(K) PLANS: DOL Could Improve Use of Lifetime Income Options GAO-16-433	8/9/16	To guide fiduciaries as they consider how the account balances of their participants will translate into financial security in retirement, DOL should modify its Meeting Your Fiduciary Responsibilities publication or issue new guidance to encourage plan sponsors to offer participants the option to partially annuitize their account balance by allowing them the ability to purchase the amount of guaranteed lifetime income most appropriate for them.
EBSA	401(K) PLANS: DOL Could Improve Use of Lifetime Income Options GAO-16-433	8/9/16	To guide fiduciaries as they consider how the account balances of their participants will translate into financial security in retirement, DOL should modify its Meeting Your Fiduciary Responsibilities publication or issue new guidance to encourage plan sponsors to consider whether a contract with a service provider ensures future service provider changes do not cause participants to lose the value of their lifetime income guarantees.
EBSA	401(K) PLANS: DOL Could Improve Use of Lifetime Income Options GAO-16-433	8/9/16	To guide fiduciaries as they consider how the account balances of their participants will translate into financial security in retirement, DOL should modify its Meeting Your Fiduciary Responsibilities publication or issue new guidance to encourage plan sponsors to include participant access to advice on the plan's lifetime income options from an expert in retirement income strategies.
EBSA	401(K) PLANS: DOL Could Improve Use of Lifetime Income Options GAO-16-433	8/9/16	To guide fiduciaries as they consider how the account balances of their participants will translate into financial security in retirement, DOL should modify its Meeting Your Fiduciary Responsibilities publication or issue new guidance to encourage plan sponsors to consider providing RMD-based default income-plan distributions as a default stream of lifetime income based on the RMD methodology-beginning, unless they opt-out, when retirement-age participants separate from employment, rather than after age 70½.
ETA	H-2A and H-2B Visa Programs: Increased Protections Needed for Foreign Workers GAO-15-154	3/6/15	To help protect workers from being hired by employers who have been debarred from program participation, the Secretary of Labor should direct the Assistant Secretary, Employment and Training Administration, to use all employer-related information it collects on debarred employers to screen new applications.
ETA	H-2A and H-2B Visa Programs: Increased Protections Needed for Foreign Workers GAO-15-154	3/6/15	To ensure that H-2B workers are adequately protected and that DOL's investigative resources are appropriately focused, the Secretary of Labor should direct the Administrator, Wage and Hour Division, to review its enforcement efforts and conduct a national investigations-based evaluation of H-2B employers.

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ETA	H-2A and H-2B Visa Programs: Increased Protections Needed for Foreign Workers GAO-15-154	3/6/15	To determine to what extent, if any, the 2-year statute of limitations on debarment limits its use as a remedy for employers who violate program requirements: (1) the Secretary of Labor should direct the Assistant Secretary, Employment and Training Administration, and the Administrator, Wage and Hour Division, to collect data on the nature of the cases where debarment would have been recommended but was not because the 2-year statute of limitations had expired, and based on that data determine whether to pursue a legislative proposal to extend the statute of limitations; and (2) the Department of Labor Inspector General should direct the Assistant Inspector General, Office of Labor Racketeering and Fraud Investigations to provide the Assistant Secretary, Employment and Training Administration, and the Administrator, Wage and Hour Division, data on the number of referrals for debarment that the Inspector General's Office sent to the department after the 2-year statute of limitations had expired.
ETA	H-2A and H-2B Visa Programs: Increased Protections Needed for Foreign Workers GAO-15-154	3/6/15	To help protect workers from being hired by employers who have been debarred from program participation, the Director of U.S. Citizenship and Immigration Services and the Secretary of Labor should finalize and implement their agreement to share data, including those on debarred employers.
ETA	Job Corps: Assessment of Internal Guidance Could Improve Communications with Contractors GAO-15-93	1/22/15	To enhance communication with contractors about Job Corps program changes, the Secretary of Labor should direct the Assistant Secretary for Employment and Training to review the sufficiency of ETA's guidance for internal notices--including Program Instruction Notices, Policy and Requirements Handbook Change Notices, and Information Notices--to ensure that contractors are provided with adequate notification of program changes before they are expected to be implemented, and an adequate level of information to assist them in carrying out their responsibilities.
ETA	WORKFORCE INVESTMENT ACT: Strategies Needed to Improve Certain Training Outcome Data GAO-14-137	3/5/14	To provide policymakers and program managers with better quality information to assess the value of training provided by WIA's Adult and Dislocated Worker Programs, the Secretary of Labor should identify and share with states strategies for collecting and reporting data on training-related employment that could either increase access to employment information or reduce the subjectivity of determining when training is related to employment.
ETA	WORKFORCE INVESTMENT ACT: DOL Should Do More to Improve the Quality of Participant Data GAO-14-4	12/20/13	To improve the consistency and completeness of national data on participants in the WIA Adult and Dislocated Worker Programs, the Secretary of Labor should take additional steps to improve the uniformity of participant data reported by states. The Secretary of Labor should promote a formal, continuous process for improving the quality of data on participants in the WIA Adult and Dislocated Worker Programs through such measures as the following: (a) consistently sharing the results of all oversight activities with states and local areas, including findings from validation of participant data; (b) reviewing the methods used for data validation, such as its scope and error rate threshold, to identify opportunities to increase efficiencies and accountability in the process. This could include implementing, if appropriate, recommendations from the Regions' review of data validation procedures; (c) evaluating data validation efforts to determine their effects on data quality, particularly on systemic errors, and providing targeted guidance and assistance to states and local areas to address such errors; (d) regularly monitoring Social Policy Research Associates' corrections and analyses of state WIA participant data, sharing this information with states, and coordinating with states to ensure that any corrections are appropriate and accurate; and (e) collecting and disseminating promising practices to states and local areas on data collection and reporting on a regular basis.
ETA	Actions Needed to Improve the Transparency and Reliability of Labor's Data on the H-2A Program GAO-13-144R	7/2/13	The Secretary of Labor should direct the Assistant Secretary for Employment and Training to enhance the validity of the data reported in the data files on multi-employer applications by collecting separate data on where workers will be employed and where they will be housed, and by providing additional guidance on how to report requested worker positions.
ETA	Actions Needed to Improve the Transparency and Reliability of Labor's Data on the H-2A Program GAO-13-144R	7/2/13	The Secretary of Labor should direct the Assistant Secretary for Employment and Training to improve the reliability of the data on H-2A applications filed on behalf of multiple employers in the new H-2A module of the iCERT system by assessing the feasibility of adding data edit checks to the module that would flag inconsistencies in the data. For example, one check could compare the total number of H-2A positions requested on a multi-employer application to the sum of the number of positions listed on the application for each employer listed and flag applications for further review if the numbers do not match.
ETA	EMPLOYMENT AND TRAINING: Labor's Green Jobs Efforts Highlight Challenges of Targeted Training Programs for Emerging Industries GAO-13-555	7/19/13	To enhance Labor's ability to implement training programs in emerging industries, the Secretary of Labor should identify lessons learned from implementing the green jobs training programs. This could include: (1) Identifying challenges and promising strategies associated with training workers for emerging industries--through both targeted grant programs and existing programs--and considering ways to improve such efforts in the future. For example, taking a more measured or multi-phased approach could allow the time necessary to better determine demand for an emerging industry and establish the partnerships needed to properly align training with available jobs. (2) Taking steps to ensure training programs adequately document outcome variables, particularly for targeted programs where tracking training relatedness is of particular interest

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ETA	RETURNED PEACE CORPS VOLUNTEERS: Labor and Peace Corps Need Joint Approach to Monitor Access to and Quality of Health Care Benefits GAO-13-27	11/19/12	The Secretary of Labor and the Director of the Peace Corps should jointly develop and implement an approach for working together to use available information to monitor the access to and quality of FECA benefits provided to returned volunteers.
ILAB	FREE TRADE AGREEMENTS: U.S. Partners Are Addressing Labor Commitments, but More Monitoring and Enforcement Are Needed GAO-15-160	11/13/14	To improve the capacity of the U.S. government to monitor and enforce FTA partners' compliance with mutually agreed FTA labor provisions, DOL should take steps to better inform stakeholders in FTA partner countries about its FTA labor submission process.
ILAB	FREE TRADE AGREEMENTS: U.S. Partners Are Addressing Labor Commitments, but More Monitoring and Enforcement Are Needed GAO-15-160	11/13/14	To improve the capacity of the U.S. government to monitor and enforce FTA partners' compliance with mutually agreed FTA labor provisions, USTR and DOL, in cooperation with State, should establish a coordinated strategic approach to monitoring and enforcing FTA labor provisions, to ensure that they systematically assess the consistency of priority FTA partner countries' laws, regulations, and practices with trade agreement labor provisions and address any identified concerns.
ILAB	FREE TRADE AGREEMENTS: U.S. Partners Are Addressing Labor Commitments, but More Monitoring and Enforcement Are Needed GAO-15-160	11/13/14	To improve the capacity of the U.S. government to monitor and enforce FTA partners' compliance with mutually agreed FTA labor provisions, DOL should reevaluate and adjust, if necessary, its FTA labor submission review time frame to ensure that it more accurately reflects the time required to thoroughly investigate and to report on most labor submissions.
OASP	Regulatory Guidance Processes: Selected Departments Could Strengthen Internal Control and Dissemination Practices GAO-15-368	4/16/15	To improve agencies' guidance development, review, evaluation, and dissemination processes for non-significant guidance, we recommend that the Secretaries of USDA, HHS, DOL, and Education should improve the usability of selected component websites to ensure that the public can easily find, access, and comment on online guidance. These improvements could be informed by the web and customer satisfaction metrics that components have collected on their websites. Some examples of changes that could facilitate public access to online guidance include (1) improving website usability by clarifying which links contain guidance; (2) highlighting new or important guidance; and (3) ensuring that posted guidance is current.
OASAM	DATA CENTER CONSOLIDATION: Agencies Making Progress, but Planned Savings Goals Need to Be Established GAO-16-323	3/3/16	The Secretaries of the Departments of Agriculture, Commerce, Defense, Education, Energy, Health and Human Services, Homeland Security, Housing and Urban Development, the Interior, Labor, State, Transportation, the Treasury, and Veterans Affairs; the Attorney General of the United States; the Administrators of the Environmental Protection Agency, General Services Administration, National Aeronautics and Space Administration, and U.S. Agency for International Development; the Director of the Office of Personnel Management; the Chairman of the Nuclear Regulatory Commission; and the Commissioner of the Social Security Administration should take action to improve progress in the data center optimization areas that we reported as not meeting OMB's established targets, including addressing any identified challenges.
OASAM	INFORMATION TECHNOLOGY REFORM: Billions of Dollars in Savings Have Been Realized, but Agencies Need to Complete Reinvestment Plans GAO-15-617	9/15/15	To improve the department's tracking of reinvestments, the Secretary of Labor should direct the CIO to use existing governance mechanisms and any improvements resulting from the implementation of FITARA to improve tracking of how savings have been reinvested.
OASAM	MANAGING FOR RESULTS: Greater Transparency Needed in Public Reporting on the Quality of Performance Information for Selected Agencies' Priority Goals GAO-15-788	9/10/15	To improve the public reporting about how agencies are ensuring the quality of performance information used to measure progress towards their priority goals, the Secretaries of Agriculture, Defense, Homeland Security, Interior, and Labor, and the Administrator of NASA should more fully address GPRAMA requirements and OMB guidance by working with OMB to describe on Performance.gov how they are ensuring the quality of performance information used to measure progress towards their APGs.
OASAM	MANAGING FOR RESULTS: Greater Transparency Needed in Public Reporting on the Quality of Performance Information for Selected Agencies' Priority Goals GAO-15-788	9/10/15	To improve the public reporting about how agencies are ensuring the quality of performance information used to measure progress towards their priority goals, the Secretaries of Agriculture, Defense, Interior, and Labor, and the Administrator of NASA should more fully address GPRAMA requirements and OMB guidance by describing in their agencies' annual performance plans and reports how they are ensuring the quality of performance information used to measure progress towards their APGs.
OASAM	DATA CENTER CONSOLIDATION: Reporting Can Be Improved to Reflect Substantial Planned Savings GAO-14-713	9/25/14	The Secretaries of HHS, the Interior, Justice, and Labor, and the Administrators of GSA and NASA should complete action plans for addressing their challenges in reporting cost savings, as discussed in this report.
OASAM	FEDERAL SOFTWARE LICENSES: Better Management Needed to Achieve Significant Savings Government-Wide GAO-14-413	5/22/14	To ensure the effective management of software licenses, the Secretary of Labor should establish a comprehensive inventory of software licenses using automated tools for the majority of agency software license spending and/or enterprise-wide licenses.
OASAM	FEDERAL SOFTWARE LICENSES: Better Management Needed to Achieve Significant Savings Government-Wide GAO-14-413	5/22/14	To ensure the effective management of software licenses, the Secretary of Labor should regularly track and maintain a comprehensive inventory of software licenses using automated tools and metrics.

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OASAM	FEDERAL SOFTWARE LICENSES: Better Management Needed to Achieve Significant Savings Government-Wide GAO-14-413	5/22/14	To ensure the effective management of software licenses, the Secretary of Labor should analyze agency-wide software license data, such as costs, benefits, usage, and trending data, to identify opportunities to reduce costs and better inform investment decision making.
OASAM	FEDERAL SOFTWARE LICENSES: Better Management Needed to Achieve Significant Savings Government-Wide GAO-14-413	5/22/14	To ensure the effective management of software licenses, the Secretary of Labor should provide software license management training to appropriate agency personnel addressing contract terms and conditions, negotiations, laws and regulations, acquisition, security planning, and configuration management.
OASAM	COMPUTER MATCHING ACT: OMB and Selected Agencies Need to Ensure Consistent Implementation GAO-14-44	2/12/14	To improve the implementation of the act, the Secretary of Labor should develop and implement policies and procedures for cost-benefit analyses related to computer matching agreements to include key elements such as personnel and computer costs, as well as avoidance of future improper payments and recovery of improper payments and debts.
OASAM	COMPUTER MATCHING ACT: OMB and Selected Agencies Need to Ensure Consistent Implementation GAO-14-44	2/12/14	To improve the implementation of the act, the Secretary of Labor should ensure the DIB reviews cost-benefit analyses to make certain cost savings information for the computer matching program is included before approving CMAs.
OASAM	COMPUTER MATCHING ACT: OMB and Selected Agencies Need to Ensure Consistent Implementation GAO-14-44	2/12/14	To improve the implementation of the act, the Secretary of Labor should ensure the DIB performs annual reviews and submits annual reports on agency computer matching activities, as required by the act.
OASAM	INFORMATION TECHNOLOGY: Additional OMB and Agency Actions Are Needed to Achieve Portfolio Savings GAO-14-65	11/6/13	To improve the department's implementation of PortfolioStat, the Secretary of Labor should direct the CIO to develop a complete commodity IT baseline.
OASAM	INFORMATION TECHNOLOGY: Additional OMB and Agency Actions Are Needed to Achieve Portfolio Savings GAO-14-65	11/6/13	To improve the department's implementation of PortfolioStat, in future reporting to OMB, the Secretary of Labor should direct the CIO to fully describe the following PortfolioStat action plan elements: (1) consolidate commodity IT spending under the agency CIO and (2) establish targets for commodity IT spending reductions and deadlines for meeting those targets.
OASAM	INFORMATION TECHNOLOGY: Additional OMB and Agency Actions Are Needed to Achieve Portfolio Savings GAO-14-65	11/6/13	To improve the department's implementation of PortfolioStat, the Secretary of Labor should direct the CIO to report on the department's progress in consolidating the cloud e-mail services to a shared service as part of the OMB integrated data collection quarterly reporting until completed.
OASAM	PERSONAL ID VERIFICATION: Agencies Should Set a Higher Priority on Using the Capabilities of Standardized Identification Cards GAO-11-751	9/20/11	To meet the HSPD-12 program's objectives of using the electronic capabilities of PIV cards for access to federal facilities, networks, and systems, the Secretary of Labor should ensure that the department's plans for PIV-enabled physical access at major facilities are implemented in a timely manner.
OASAM	MANAGING FOR RESULTS: Agencies Need to Fully Identify and Report Major Management Challenges and Actions to Resolve them in their Agency Performance Plans GAO-16-510	6/15/16	To improve the public reporting of major management challenges and to ensure performance information is useful, transparent, and complete, the Secretary of Labor should describe the Department of Labor's major management challenges and include performance goals, performance measures, milestones, planned actions, and an agency official responsible for resolving each of its major management challenges as part of the Department of Labor's agency performance plan.
OASAM	INFORMATION TECHNOLOGY: Agencies Need to Improve Their Application Inventories to Achieve Additional Savings GAO-16-511	9/29/16	To improve federal agencies' efforts to rationalize their portfolio of applications, the heads of the Departments of Agriculture, Commerce, Education, Energy, Health and Human Services, Housing and Urban Development, the Interior, Labor, State, Transportation, the Treasury, and Veterans Affairs; and heads of the Environmental Protection Agency; National Aeronautics and Space Administration; National Science Foundation; Nuclear Regulatory Commission; Office of Personnel Management; Small Business Administration; Social Security Administration; and U.S. Agency for International Development should direct their Chief Information Officers (CIOs) and other responsible officials to improve their inventories by taking steps to fully address the practices we identified as being partially met or not met.
OASAM	INFORMATION TECHNOLOGY: Agencies Need to Improve Their Application Inventories to Achieve Additional Savings GAO-16-511	9/29/16	To improve federal agencies' efforts to rationalize their portfolio of applications, the Secretaries of Defense, Homeland Security, the Interior, and Labor; and the Director of the National Science Foundation should direct the CIOs and other responsible officials to modify existing investment management processes to address applications more completely. Specifically, the Secretary of Labor should direct the department's CIO to consider a segmented approach to further rationalize and identify a function for which it would modify existing processes to collect and review application-specific cost, technical, and business value information.
OFCCP	EQUAL EMPLOYMENT OPPORTUNITY: Strengthening Oversight Could Improve Federal Contractor Nondiscrimination Compliance GAO-16-750	9/22/16	To ensure that federal contractors are complying with equal employment opportunity requirements, the Secretary of Labor should direct the Director of OFCCP to make changes to the contractor scheduling list development process so that compliance efforts focus on those contractors with the greatest risk of not following equal employment opportunity and affirmative action requirements.
OFCCP	EQUAL EMPLOYMENT OPPORTUNITY: Strengthening Oversight Could Improve Federal Contractor Nondiscrimination Compliance GAO-16-750	9/22/16	To ensure that federal contractors are complying with equal employment opportunity requirements, the Secretary of Labor should direct the Director of OFCCP to develop a mechanism to monitor AAPs from covered federal contractors on a regular basis. Such a mechanism could include electronically collecting AAPs and contractor certification of annual updates.



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OFCCP	EQUAL EMPLOYMENT OPPORTUNITY: Strengthening Oversight Could Improve Federal Contractor Nondiscrimination Compliance GAO-16-750	9/22/16	To ensure that federal contractors are complying with equal employment opportunity requirements, the Secretary of Labor should direct the Director of OFCCP to make changes to the current scheduling list distribution process so that it addresses changes in human capital and does not rely exclusively on geographic location.
OFCCP	EQUAL EMPLOYMENT OPPORTUNITY: Strengthening Oversight Could Improve Federal Contractor Nondiscrimination Compliance GAO-16-750	9/22/16	To ensure that federal contractors are complying with equal employment opportunity requirements, the Secretary of Labor should direct the Director of OFCCP to provide timely and uniform training to new staff, as well as provide continuing training opportunities to assist compliance officers in maintaining a level of competence to help ensure quality and consistency of evaluations across regions and district offices.
OFCCP	EQUAL EMPLOYMENT OPPORTUNITY: Strengthening Oversight Could Improve Federal Contractor Nondiscrimination Compliance GAO-16-750	9/22/16	To ensure that federal contractors are complying with equal employment opportunity requirements, the Secretary of Labor should direct the Director of OFCCP to review outreach and compliance assistance efforts and identify options for improving information provided to federal contractors and workers to enhance their understanding of nondiscrimination and affirmative action requirements to ensure equal employment opportunities for protected workers.
OFCCP	EQUAL EMPLOYMENT OPPORTUNITY: Strengthening Oversight Could Improve Federal Contractor Nondiscrimination Compliance GAO-16-750	9/22/16	To ensure that federal contractors are complying with equal employment opportunity requirements, the Secretary of Labor should direct the Director of OFCCP to assess existing contractor guidance for clarity to ensure that contractors have information that helps them better understand their responsibilities regarding nondiscrimination and affirmative action requirements to ensure equal employment opportunities for protected workers.
OSHA	Workplace Safety and Health: Additional Data Needed to Address Continued Hazards in the Meat and Poultry Industry GAO-16-337	4/25/16	To strengthen DOL's efforts to ensure employers protect the safety and health of workers at meat and poultry plants, the Secretary of Labor should direct the Assistant Secretary for Occupational Safety and Health, working together with the Commissioner of Labor Statistics as appropriate, to develop and implement a cost-effective method for gathering more complete data on musculoskeletal disorders.
OSHA	Workplace Safety and Health: Additional Data Needed to Address Continued Hazards in the Meat and Poultry Industry GAO-16-337	4/25/16	To develop a better understanding of meat and poultry sanitation workers' injuries and illnesses, the Secretary of Labor should direct the Assistant Secretary for Occupational Safety and Health and the Commissioner of Labor Statistics to study how they could regularly gather data on injury and illness rates among sanitation workers in the meat and poultry industry.
OSHA	WORKPLACE SAFETY AND HEALTH: Additional Efforts Needed to Help Protect Health Care Workers from Workplace Violence GAO-16-11	3/17/16	To help reduce the risk of violence against health care workers, the Secretary of Labor should direct the Assistant Secretary for Occupational Safety and Health to provide additional information to assist inspectors in developing general duty clause citations in cases involving workplace violence.
OSHA	WORKPLACE SAFETY AND HEALTH: Additional Efforts Needed to Help Protect Health Care Workers from Workplace Violence GAO-16-11	3/17/16	To help reduce the risk of violence against health care workers, the Secretary of Labor should direct the Assistant Secretary for Occupational Safety and Health to establish a policy that outlines a process for following up on health care workplace violence-related hazard alert letters.
OSHA	WORKPLACE SAFETY AND HEALTH: Additional Efforts Needed to Help Protect Health Care Workers from Workplace Violence GAO-16-11	3/17/16	To help determine whether current efforts are effective or if additional action may be needed, such as development of a workplace violence prevention standard for health care employers, the Secretary of Labor should direct the Assistant Secretary for Occupational Safety and Health to develop and implement cost-effective ways to assess the results of the agency's efforts to address workplace violence.
OSHA	CHEMICAL SAFETY: Actions Needed to Improve Federal Oversight of Facilities with Ammonium Nitrate GAO-14-274	5/21/14	The Secretary of Labor should direct the Assistant Secretary for Occupational Safety and Health to take steps to identify high risk facilities working with ammonium nitrate and develop options to target them for inspection.
OSHA	CHEMICAL SAFETY: Actions Needed to Improve Federal Oversight of Facilities with Ammonium Nitrate GAO-14-274	5/21/14	To strengthen federal oversight of facilities with ammonium nitrate, the Secretary of Labor and the Administrator of EPA should direct OSHA and EPA, respectively, to consider revising their related regulations to cover ammonium nitrate and jointly develop a plan to require high risk facilities with ammonium nitrate to assess the risks and implement safeguards to prevent accidents involving this chemical.
OSHA	CHEMICAL SAFETY: Actions Needed to Improve Federal Oversight of Facilities with Ammonium Nitrate GAO-14-274	5/21/14	The Secretary of Labor should direct the Assistant Secretary for Occupational Safety and Health to consider updating regulations for the storage of ammonium nitrate taking into consideration, as appropriate, other related standards and current practices.
OSHA	WORKPLACE SAFETY AND HEALTH: Further Steps by OSHA Would Enhance Monitoring of Enforcement and Effectiveness GAO-13-61	2/25/13	In order to improve OSHA's assessments of its effectiveness and its monitoring of federal and state enforcement efforts, the Secretary of Labor should direct the Assistant Secretary of Labor for Occupational Safety and Health to consistently incorporate outcomes in its assessments of enforcement activities.
OSHA	WORKPLACE SAFETY AND HEALTH: Further Steps by OSHA Would Enhance Monitoring of Enforcement and Effectiveness GAO-13-61	2/25/13	In order to improve OSHA's assessments of its effectiveness and its monitoring of federal and state enforcement efforts, the Secretary of Labor should direct the Assistant Secretary of Labor for Occupational Safety and Health to annually analyze the results of its Management Accountability Program (MAP) and Federal Annual Monitoring and Evaluation (FAME) audits to identify and address systemic problems and leading practices.
OSHA	WORKPLACE SAFETY AND HEALTH: Further Steps by OSHA Would Enhance Monitoring of Enforcement and Effectiveness GAO-13-61	2/25/13	In order to improve OSHA's assessments of its effectiveness and its monitoring of federal and state enforcement efforts, the Secretary of Labor should direct the Assistant Secretary of Labor for Occupational Safety and Health to provide consistent guidance for scheduling state Enhanced Federal Annual Monitoring and Evaluation (EFAME) audits to ensure that they are conducted on a regular basis and include mandatory on-site case file reviews.

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OSHA	PRODUCT SAFETY LABORATORIES: OSHA's Accreditation Process Needs Reexamination GAO-13-88	12/11/12	To improve the timeliness of the NRTL accreditation process, the Secretary of Labor should direct the Assistant Secretary for Occupational Safety and Health to review the NRTL program's structure and accreditation application procedures to identify and implement any alternatives that better align program design with resource levels and improve program timeliness while remaining consistent with the agency's mission. This review should draw upon the expertise of NIST or other organizations that provide guidance on developing effective and efficient accreditation schemes. It should include identifying and evaluating the risks, costs, and benefits of various structural approaches for making accreditation decisions in terms of both timeliness and effectiveness in achieving OSHA's mission. Approaches could include using an external accrediting organization to implement some or all of the lab accreditation duties, using contractors to support in-house portions of the accreditation process, or separating testing from certification
OSHA	PRODUCT SAFETY LABORATORIES: OSHA's Accreditation Process Needs Reexamination GAO-13-88	12/11/12	To improve the timeliness of the NRTL accreditation process, the Secretary of Labor should direct the Assistant Secretary for Occupational Safety and Health to review the NRTL program's structure and accreditation application procedures to identify and implement any alternatives that better align program design with resource levels and improve program timeliness while remaining consistent with the agency's mission. This review should include reviewing OSHA's current regulations and procedures to identify areas where increased alignment with international standards on accreditation may result in time savings without impairing the agency's mission to protect workers' safety and health. This could include analyzing the risks, costs, and benefits to effectiveness involved in making any program modifications or changes to existing regulations.
OSHA	PRODUCT SAFETY LABORATORIES: OSHA's Accreditation Process Needs Reexamination GAO-13-88	12/11/12	To improve the timeliness of the NRTL accreditation process, the Secretary of Labor should direct the Assistant Secretary for Occupational Safety and Health to review the NRTL program's structure and accreditation application procedures to identify and implement any alternatives that better align program design with resource levels and improve program timeliness while remaining consistent with the agency's mission. This review should include improving overall program guidance and transparency to help prevent delays in the approval process.
OWCP	ENERGY EMPLOYEES COMPENSATION: DOL Generally Followed Its Procedures to Process Claims but Could Strengthen Some Internal Controls GAO-16-74	3/10/16	To enhance consistency with DOL policy and procedures in adjudicating EEOICPA Part E claims, the Secretary of Labor should strengthen internal controls by requiring district offices to take steps to ensure that all claimant correspondence for Recommended and Final Decisions receives supervisory review.
OWCP	ENERGY EMPLOYEES COMPENSATION: DOL Generally Followed Its Procedures to Process Claims but Could Strengthen Some Internal Controls GAO-16-74	3/10/16	To enhance consistency with DOL policy and procedures in adjudicating EEOICPA Part E claims, the Secretary of Labor should strengthen internal controls by requiring district offices to document that the SEM was checked for updates just prior to issuing a Recommended Decision to deny a claim in cases in which the date of the last SEM update has not changed since the claims examiner's prior check.
OWCP	FEDERAL EMPLOYEES' COMPENSATION ACT: Case Examples Illustrate Vulnerabilities That Could Result in Improper Payments or Overlapping Benefits GAO-13-386	5/3/2013	The Secretary of Labor should assess the feasibility of developing a cost-effective mechanism to share FECA compensation information with states, such as reporting information to the National Directory of New Hires, to help identify whether claimants are inappropriately receiving overlapping UI and FECA payments.
SOL	FREEDOM OF INFORMATION ACT: Department of Labor Can Improve Management of Its Program GAO-16-248	6/30/16	To improve DOL's management of FOIA requests, the Secretary of Labor should direct the Chief FOIA Officer to establish a time frame for finalizing and then issue an updated FOIA regulation.
SOL	FREEDOM OF INFORMATION ACT: Department of Labor Can Improve Management of Its Program GAO-16-248	6/30/16	To improve DOL's management of FOIA requests, the Secretary of Labor should direct the Chief FOIA Officer to establish a time frame for implementing, and take actions to implement, section 508 requirements in the department's FOIA system and online portal.
SOL	FREEDOM OF INFORMATION ACT: Department of Labor Can Improve Management of Its Program GAO-16-248	6/30/16	To improve DOL's management of FOIA requests, the Secretary of Labor should direct the Chief FOIA Officer to establish a time frame for implementing, and take actions to fully implement, recommended best practice capabilities for enhanced processing of requests in the department's FOIA system and online portal.
SOL	FREEDOM OF INFORMATION ACT: Department of Labor Can Improve Management of Its Program GAO-16-248	6/30/16	To improve DOL's management of FOIA requests, the Secretary of Labor should direct the Chief FOIA Officer to require components to document in the Secretary's Information Management System for FOIA the rationales for delays in responding to FOIA requests, and to notify requesters of the delayed responses when processing requests.
SOL	FREEDOM OF INFORMATION ACT: Department of Labor Can Improve Management of Its Program GAO-16-248	6/30/16	To improve DOL's management of FOIA requests, the Secretary of Labor should direct the Chief FOIA Officer to establish a time frame for consulting with the Department of Justice's Office of Information Policy on including language in DOL's response letters to administrative appeals notifying requesters of the National Archives and Records Administration's Office of Government Information Services' mediation services as an alternative to litigation, and then ensure that the department includes the language in the letters.

<b>DOL'S GAO OPEN RECOMMENDATIONS NEEDING ADDRESSING</b>			
<b>Agency</b>	<b>Title &amp; GAO Report #</b>	<b>Date Published</b>	<b>Open Recommendation</b>
VETS	VETERANS' EMPLOYMENT: Need for Further Workshops Should Be Considered before Making Decisions on Their Future GAO-15-518	7/16/15	To inform decisions on any potential future iterations of the veterans' employment workshop, the Secretary of Labor should assess and report to Congress the extent to which further delivery of employment workshops to veterans and their spouses could fill a niche not fully served by existing federal programs. Such an assessment could involve collaboration with VA and other stakeholder organizations.
VETS	Veterans' Reemployment Rights: Department of Labor Has Higher Performance Than the Office of Special Counsel on More Demonstration Project Measures GAO-15-77	11/25/14	Any federal agency designated to investigate future USERRA claims against federal executive agencies should undertake efforts to increase the response rate of the customer satisfaction survey if it continues to be administered, so more tenable conclusions can be drawn from its data. Such efforts may include follow-up phone calls to nonrespondents, additional email notifications requesting participation in the survey, or making the survey easier to complete and submit.
VETS	NATIVE AMERICAN VETERANS: DOL Needs a Clear Plan to Improve Employment and Training Services on Tribal Lands GAO-13-664	11/4/13	To strengthen DOL's efforts to respond to the 2010 report recommendations to improve employment services and training opportunities for Native American veterans on tribal land, the Secretary of Labor should identify and disseminate lessons learned and promising practices from DOL and other agencies' efforts. To identify such lessons or practices, DOL could: (a) Review efforts by Jobs for Veterans State Grants (JVSG) grantees to improve Disabled Veterans' Outreach Program and Local Veterans' Employment Representative outreach, such as the use of mobile units to conduct outreach on tribal lands; and (b) Review DOL's portfolio of employment and training grants and guidance related to economic development for application to JVSG and the Workforce Investment Act of 1998 Section 166 grantees.
WHD	Fair Labor Standards Act: Extending Protections to Home Care Workers GAO-15-12	12/17/14	Depending on the outcome of the litigation, the Secretary of Labor should take steps to ensure the agency will be positioned to conduct a meaningful retrospective review consistent with the Executive Order at an appropriate time. These steps should be taken in consultation with the Centers for Medicare & Medicaid Services, and could include, for example, identifying metrics that could be used to evaluate the rule, and implementing a plan to gather and analyze the necessary data.
WHD	DAVIS-BACON ACT: Methodological Changes Needed to Improve Wage Survey GAO-11-152	4/6/11	To improve the quality and timeliness of Labor's Davis-Bacon wage surveys, the Secretary of Labor should direct the Wage and Hour Division to enlist the National Academies, or another independent statistical organization, to evaluate and provide objective advice on the survey, including its methods and design; the potential for conducting a sample survey instead of a census survey; the collection, processing, tracking, and analysis of data; and promotion of survey awareness.
WHD	DAVIS-BACON ACT: Methodological Changes Needed to Improve Wage Survey GAO-11-152	4/6/11	To improve the transparency of wage determinations while maintaining the confidentiality of specific survey respondents, the Secretary of Labor should direct the Wage and Hour Division to publicly provide additional information on the data used to calculate its Davis-Bacon wage rates, such as the number and wages of workers included in each wage rate calculation, and to clearly communicate the meaning of various dates and codes used in wage determinations in the same place the prevailing wage rates are posted.

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GAO-12-402	FEDERAL EMPLOYEES' COMPENSATION ACT (FECA) PRELIMINARY REPORT	1/25/2012
GAO-12-309R	DEPARTMENT OF LABOR'S ADMINISTRATION OF THE FEDERAL EMPLOYEES' COMPENSATION ACT PROGRAM	2/6/2012
GAO-12-324	DEFINED BENEFIT PENSION PLAN INVESTMENTS IN ALTERNATIVE ASSETS	2/16/2012
GAO-12-419T	PROMISING STRATEGIES IN WORKFORCE COLLABORATION TESTIMONY	2/16/2012
GAO-12-408	UNEMPLOYMENT INSURANCE AND CASH WELFARE AS SAFETY NETS	2/17/2012
GAO-12-54	MAXIMIZING THE EFFICIENCY AND UTILITY OF FEDERAL STATISTICAL PROGRAM	2/24/2012
GAO-12-326	OPTIONS TO INCREASE SMALL BUSINESS RETIREMENT SAVINGS PLAN COVERAGE	3/5/2012
GAO-12-459T	OPTIONS TO INCREASE SMALL BUSINESS RETIREMENT PLAN SPONSORSHIP TESTIMONY	3/7/2012
GAO-12-511T	MODERNIZING SSA DISABILITY PROGRAMS: PRELIMINARY OBSERVATIONS ON UPDATES TO MEDICAL AND OCCUPATIONAL CRITERIA	3/20/2012
GAO-12-508R	FEDERAL EMPLOYMENT COMPENSATION ACT MANAGEMENT CHALLENGES	3/21/2012
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GAO-12-325	SURVEY OF 401(K) PLAN SPONSORS ON DISCLOSURE OF PLAN FEES	4/24/2012
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GAO-12-594	FEDERAL TRANSITION PROGRAMS FOR STUDENTS WITH DISABILITIES	7/12/2012
GAO-12-699	WOMEN'S RETIREMENT INCOME SECURITY	7/19/2012
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