

**FY 2018**

**CONGRESSIONAL BUDGET JUSTIFICATION**

**DEPARTMENTAL MANAGEMENT**

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# DEPARTMENTAL MANAGEMENT

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## DEPARTMENTAL MANAGEMENT

### APPROPRIATION LANGUAGE

#### SALARIES AND EXPENSES

#### (INCLUDING TRANSFER OF FUNDS)

*For necessary expenses for Departmental Management, including the hire of three passenger motor vehicles, \$259,550,000, together with not to exceed \$308,000, which may be expended from the Employment Security Administration account in the Unemployment Trust Fund: Provided, That funds available to the Bureau of International Labor Affairs may be used to administer or operate international labor activities, bilateral and multilateral technical assistance, and microfinance programs, by or through contracts and other arrangements, and manage grants that were awarded prior to December 31, 2017: Provided further, That \$8,025,000 shall be used for program evaluation and shall be available for obligation through September 30, 2019: Provided further, That funds available for program evaluation may be used to administer grants for the purpose of evaluation: Provided further, That grants made for the purpose of evaluation shall be awarded through fair and open competition: Provided further, That funds available for program evaluation may be transferred to any other appropriate account in the Department for such purpose: Provided further, That the Committees on Appropriations of the House of Representatives and the Senate are notified at least 15 days in advance of any transfer.*

Note.-A full-year 2017 appropriation for this account was not enacted at the time the budget was prepared; therefore, the budget assumes this account is operating under the Further Continuing Appropriations Act, 2017 (P.L. 114-254). The amounts included for 2017 reflect the annualized level provided by the continuing resolution.

## DEPARTMENTAL MANAGEMENT

<b>AMOUNTS AVAILABLE FOR OBLIGATION</b>						
(Dollars in Thousands)						
	<b>FY 2016 Comparable<sup>1</sup></b>		<b>FY 2017 Estimate<sup>1</sup></b>		<b>FY 2018 Request</b>	
	<b>FTE</b>	<b>Amount</b>	<b>FTE</b>	<b>Amount</b>	<b>FTE</b>	<b>Amount</b>
<b>A. Appropriation</b>	<b>1,236</b>	<b>\$334,065</b>	<b>1,151</b>	<b>\$333,429</b>	<b>1,063</b>	<b>\$259,550</b>
Reimbursements	160	\$37,174	79	\$39,513	79	\$39,513
Trust Funds - Black Lung	146	\$30,279	136	\$30,594	133	\$30,595
Trust Funds - Unemployment Trust Fund	2	\$308	2	\$308	2	\$308
Reduction Pursuant to the Balanced Budget and Emergency Deficit Control Act of 1985	0	-\$2,059	0	-\$2,110	0	\$0
Transfers for Program Evaluation and ILAB	0	\$22,323	0	\$5,854	0	\$0
Unobligated Balance Carried Forward	0	\$51,308	0	\$54,875	0	\$0
<i>Subtotal</i>	<i>1,544</i>	<i>\$473,398</i>	<i>1,368</i>	<i>\$462,463</i>	<i>1,277</i>	<i>\$329,966</i>
<b>B. Gross Budget Authority</b>	<b>1,544</b>	<b>\$473,398</b>	<b>1,368</b>	<b>\$462,463</b>	<b>1,277</b>	<b>\$329,966</b>
Reimbursements	-160	-\$37,174	-79	-\$39,513	-79	-\$39,513
Transfers for Program Evaluation and ILAB	0	-\$22,323	0	-\$5,854	0	\$0
Unobligated Balance Carried Forward	0	-\$51,308	0	\$0	0	\$0
<i>Subtotal</i>	<i>1,384</i>	<i>\$362,593</i>	<i>1,289</i>	<i>\$417,096</i>	<i>1,198</i>	<i>\$290,453</i>
<b>C. Budget Authority Before Committee</b>	<b>1,384</b>	<b>\$362,593</b>	<b>1,289</b>	<b>\$417,096</b>	<b>1,198</b>	<b>\$290,453</b>
Reimbursements	160	\$37,174	79	\$39,513	79	\$39,513
Unobligated Balance Carried Forward	0	\$51,308	0	\$0	0	\$0
<i>Subtotal</i>	<i>1,544</i>	<i>\$451,075</i>	<i>1,368</i>	<i>\$456,609</i>	<i>1,277</i>	<i>\$329,966</i>
<b>D. Total Budgetary Resources</b>	<b>1,544</b>	<b>\$451,075</b>	<b>1,368</b>	<b>\$456,609</b>	<b>1,277</b>	<b>\$329,966</b>
Unobligated Balance End of Year	0	-\$54,875	0	\$0	0	\$0
Direct FTE Lapse and Unobligated Balance Expiring	-22	-\$310	0	\$0	0	\$0
Reimbursable FTE Lapse and Unobligated Balance Expiring	-42	-\$12,788	0	\$0	0	\$0
<b>E. Total, Estimated Obligations</b>	<b>1,480</b>	<b>\$383,102</b>	<b>1,368</b>	<b>\$456,609</b>	<b>1,277</b>	<b>\$329,966</b>

<sup>1</sup> Reflects transfer of \$4,863,000 and 21 FTE from OASAM to OCFO for Departmental Budget Center move.

# DEPARTMENTAL MANAGEMENT

## SUMMARY OF CHANGES

(Dollars in Thousands)

	FY 2017 Estimate	FY 2018 Request	Net Change
<b>Budget Authority</b>			
General Funds	\$333,429	\$259,550	-\$73,879
Trust Funds	\$28,792	\$30,903	+\$2,111
<b>Total</b>	<b>\$362,221</b>	<b>\$290,453</b>	<b>-\$71,768</b>
 <b>Full Time Equivalents</b>			
General Funds	1,151	1,063	-88
Trust Funds	138	135	-3
<b>Total</b>	<b>1,289</b>	<b>1,198</b>	<b>-91</b>

### FY 2018 Change

Explanation of Change	FY 2017 Base		Trust Funds		General Funds		Total	
	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount
<b>Increases:</b>								
<b>A. Built-Ins:</b>								
To Provide For:								
Costs of pay adjustments	1,251	\$160,945	0	\$352	0	\$2,533	0	\$2,885
Personnel benefits	0	\$45,425	0	\$35	0	\$996	0	\$1,031
Two days less of Pay	38	\$0	0	\$0	0	\$0	0	\$0
Federal Employees' Compensation Act (FECA)	0	\$0	0	\$0	0	\$0	0	\$0
Benefits for former personnel	0	\$6	0	\$0	0	\$0	0	\$0
Travel and transportation of persons	0	\$3,454	0	\$0	0	\$0	0	\$0
Transportation of things	0	\$36	0	\$0	0	\$0	0	\$0
Rental payments to GSA	0	\$17,647	0	\$0	0	\$0	0	\$0
Rental payments to others	0	\$9	0	\$0	0	\$0	0	\$0
Communications, utilities, and miscellaneous charges	0	\$2,670	0	\$0	0	\$0	0	\$0
Printing and reproduction	0	\$198	0	\$0	0	\$0	0	\$0
Advisory and assistance services	0	\$8,558	0	\$0	0	\$0	0	\$0
Other services from non-Federal sources	0	\$5,588	0	\$0	0	\$0	0	\$0
Working Capital Fund	0	\$42,464	0	\$0	0	\$0	0	\$0
Other Federal sources (Census Bureau)	0	\$0	0	\$0	0	\$0	0	\$0
Other Federal sources (DHS Charges)	0	\$1,132	0	\$0	0	\$0	0	\$0
Other goods and services from Federal sources	0	\$2,243	0	\$0	0	\$0	0	\$0
Research & Development Contracts	0	\$311	0	\$0	0	\$0	0	\$0
Operation and maintenance of facilities	0	\$589	0	\$0	0	\$0	0	\$0

## DEPARTMENTAL MANAGEMENT

FY 2018 Change

Explanation of Change	FY 2017 Base		Trust Funds		General Funds		Total	
	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount
Operation and maintenance of equipment	0	\$6,768	0	\$0	0	\$0	0	\$0
Supplies and materials	0	\$2,036	0	\$0	0	\$0	0	\$0
Equipment	0	\$1,022	0	\$0	0	\$0	0	\$0
Grants, subsidies, and contributions	0	\$60,861	0	\$0	0	\$0	0	\$0
Insurance claims and indemnities	0	\$35	0	\$0	0	\$0	0	\$0
<b>Built-Ins Subtotal</b>	<b>1,289</b>	<b>+\$361,997</b>	<b>0</b>	<b>+\$387</b>	<b>0</b>	<b>+\$3,529</b>	<b>0</b>	<b>+\$3,916</b>
<b>B. Programs:</b>								
Legal Services Related to Compliance Assistance	0	\$0	0	\$0	10	\$2,171	10	\$2,171
Sequestration Restoration for Adjudication	0	\$0	0	\$1,551	0	\$0	0	\$1,551
Sequestration Restoration for Legal Services	0	\$0	0	\$560	0	\$0	0	\$560
FTE Reduction to Absorb Inflationary Costs	0	\$0	0	\$0	0	\$0	0	\$0
<b>Programs Subtotal</b>			<b>0</b>	<b>+\$2,111</b>	<b>10</b>	<b>+\$2,171</b>	<b>10</b>	<b>+\$4,282</b>
<b>Total Increase</b>	<b>1,289</b>	<b>+\$361,997</b>	<b>0</b>	<b>+\$2,498</b>	<b>10</b>	<b>+\$5,700</b>	<b>10</b>	<b>+\$8,198</b>
<b>Decreases:</b>								
<b>A. Built-Ins:</b>								
To Provide For:								
Federal Employees' Compensation Act (FECA)	0	\$224	0	\$0	0	-\$85	0	-\$85
<b>Built-Ins Subtotal</b>	<b>0</b>	<b>+\$224</b>	<b>0</b>	<b>\$0</b>	<b>0</b>	<b>-\$85</b>	<b>0</b>	<b>-\$85</b>
<b>B. Programs:</b>								
ILAB Technical Assistance	0	\$0	0	\$0	0	-\$59,661	0	-\$59,661
Women's Bureau Program Reduction	0	\$0	0	\$0	-31	-\$8,589	-31	-\$8,589
ILAB Staff Reduction	0	\$0	0	\$0	-31	-\$7,800	-31	-\$7,800
FTE Reduction to Absorb Inflationary Costs	0	\$0	-3	-\$387	-36	-\$3,444	-39	-\$3,831
<b>Programs Subtotal</b>			<b>-3</b>	<b>-\$387</b>	<b>-98</b>	<b>-\$79,494</b>	<b>-101</b>	<b>-\$79,881</b>
<b>Total Decrease</b>	<b>0</b>	<b>+\$224</b>	<b>-3</b>	<b>-\$387</b>	<b>-98</b>	<b>-\$79,579</b>	<b>-101</b>	<b>-\$79,966</b>
<b>Total Change</b>	<b>1,289</b>	<b>+\$362,221</b>	<b>-3</b>	<b>+\$2,111</b>	<b>-88</b>	<b>-\$73,879</b>	<b>-91</b>	<b>-\$71,768</b>



## DEPARTMENTAL MANAGEMENT

<b>SUMMARY BUDGET AUTHORITY AND FTE BY ACTIVITY</b>								
(Dollars in Thousands)								
	FY 2016 Comparable		FY 2017 Estimate		FY 2018 Request		Diff. FY18 Request / FY17 Estimate	
	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount
<b>Program Direction and Support</b>	<b>133</b>	<b>31,010</b>	<b>99</b>	<b>30,951</b>	<b>91</b>	<b>30,951</b>	<b>-8</b>	<b>0</b>
General Funds	133	31,010	99	30,951	91	30,951	-8	0
<b>Legal Services</b>	<b>649</b>	<b>132,812</b>	<b>627</b>	<b>132,633</b>	<b>625</b>	<b>135,364</b>	<b>-2</b>	<b>2,731</b>
General Funds	615	125,000	593	124,762	592	126,933	-1	2,171
Unemployment Trust Funds	2	308	2	308	2	308	0	0
Black Lung Disability Trust Funds	32	7,504	32	7,563	31	8,123	-1	560
<b>International Labor Services</b>	<b>113</b>	<b>86,125</b>	<b>113</b>	<b>85,961</b>	<b>80</b>	<b>18,500</b>	<b>-33</b>	<b>-67,461</b>
General Funds	113	86,125	113	85,961	80	18,500	-33	-67,461
<b>Administration and Management</b>	<b>89</b>	<b>23,550</b>	<b>85</b>	<b>23,496</b>	<b>79</b>	<b>23,496</b>	<b>-6</b>	<b>0</b>
General Funds	89	23,550	85	23,496	79	23,496	-6	0
<b>Adjudication</b>	<b>258</b>	<b>52,716</b>	<b>244</b>	<b>52,860</b>	<b>234</b>	<b>54,411</b>	<b>-10</b>	<b>1,551</b>
General Funds	144	32,000	140	31,939	132	31,939	-8	0
Black Lung Disability Trust Funds	114	20,716	104	20,921	102	22,472	-2	1,551
<b>Women's Bureau</b>	<b>51</b>	<b>11,536</b>	<b>46</b>	<b>11,514</b>	<b>15</b>	<b>2,925</b>	<b>-31</b>	<b>-8,589</b>
General Funds	51	11,536	46	11,514	15	2,925	-31	-8,589
<b>Civil Rights</b>	<b>33</b>	<b>6,880</b>	<b>30</b>	<b>6,867</b>	<b>30</b>	<b>6,867</b>	<b>0</b>	<b>0</b>
General Funds	33	6,880	30	6,867	30	6,867	0	0

## DEPARTMENTAL MANAGEMENT

<b>SUMMARY BUDGET AUTHORITY AND FTE BY ACTIVITY</b>								
(Dollars in Thousands)								
	FY 2016 Comparable		FY 2017 Estimate		FY 2018 Request		Diff. FY18 Request / FY17 Estimate	
	FTE	Amount	FTE	Amount	FTE	Amount	FTE	Amount
<b>Chief Financial Officer</b>	<b>36</b>	<b>9,924</b>	<b>35</b>	<b>9,914</b>	<b>34</b>	<b>9,914</b>	<b>-1</b>	<b>0</b>
General Funds	36	9,924	35	9,914	34	9,914	-1	0
<b>Departmental Program Evaluation</b>	<b>0</b>	<b>8,040</b>	<b>10</b>	<b>8,025</b>	<b>10</b>	<b>8,025</b>	<b>0</b>	<b>0</b>
General Funds	0	8,040	10	8,025	10	8,025	0	0
<b>Total</b>	<b>1,362</b>	<b>362,593</b>	<b>1,289</b>	<b>362,221</b>	<b>1,198</b>	<b>290,453</b>	<b>-91</b>	<b>-71,768</b>
<b>General Funds</b>	<b>1,214</b>	<b>334,065</b>	<b>1,151</b>	<b>333,429</b>	<b>1,063</b>	<b>259,550</b>	<b>-88</b>	<b>-73,879</b>
<b>Unemployment Trust Funds</b>	<b>2</b>	<b>308</b>	<b>2</b>	<b>308</b>	<b>2</b>	<b>308</b>	<b>0</b>	<b>0</b>
<b>Black Lung Disability Trust Funds</b>	<b>146</b>	<b>28,220</b>	<b>136</b>	<b>28,484</b>	<b>133</b>	<b>30,595</b>	<b>-3</b>	<b>2,111</b>

NOTE: 2016 reflects actual FTE.

## DEPARTMENTAL MANAGEMENT

<b>BUDGET AUTHORITY BY OBJECT CLASS</b>					
(Dollars in Thousands)					
		FY 2016 Comparable	FY 2017 Estimate	FY 2018 Request	Diff. FY18 Request / FY17 Estimate
	Full-Time Equivalent				
	Full-time Permanent	1,362	1,289	1,198	-91
	Reimbursable	118	79	79	0
	Total	1,480	1,368	1,277	-91
	Average ES Salary	\$166,854	\$168,573	\$179,669	\$11,096
	Average GM/GS Grade	13/7	13/7	13/8	0
	Average GM/GS Salary	\$107,948	\$109,067	\$116,208	\$7,141
	Average Salary of Ungraded Positions	166,013	167,723	171,420	3,697
11.1	Full-time permanent	159,002	156,935	152,773	-4,162
11.3	Other than full-time permanent	1,278	1,617	1,587	-30
11.5	Other personnel compensation	1,415	2,387	2,332	-55
11.8	Special personal services payments	12	6	6	0
11.9	<b>Total personnel compensation</b>	<b>161,707</b>	<b>160,945</b>	<b>156,698</b>	<b>-4,247</b>
12.1	Civilian personnel benefits	46,463	45,649	44,111	-1,538
13.0	Benefits for former personnel	15	6	6	0
21.0	Travel and transportation of persons	3,586	3,454	2,506	-948
22.0	Transportation of things	39	36	15	-21
23.1	Rental payments to GSA	20,095	17,647	17,915	268
23.2	Rental payments to others	21	9	14	5
23.3	Communications, utilities, and miscellaneous charges	1,706	2,670	2,600	-70
24.0	Printing and reproduction	158	198	145	-53
25.1	Advisory and assistance services	9,907	8,558	8,358	-200
25.2	Other services from non-Federal sources	4,976	5,588	5,564	-24
25.3	Other goods and services from Federal sources 1/	40,022	45,839	42,744	-3,095
25.4	Operation and maintenance of facilities	2,068	589	2	-587
25.5	Research and development contracts	4	311	0	-311
25.7	Operation and maintenance of equipment	7,728	6,768	6,805	37
26.0	Supplies and materials	1,759	2,036	1,946	-90
31.0	Equipment	1,504	1,022	986	-36
41.0	Grants, subsidies, and contributions	60,825	60,861	0	-60,861
42.0	Insurance claims and indemnities	10	35	38	3
51.1	Benefits	0	0	0	0
99.0	Other Fund Sources	0	0	0	0
	<b>Total</b>	<b>362,593</b>	<b>362,221</b>	<b>290,453</b>	<b>-71,768</b>
	1/Other goods and services from Federal sources				
	Working Capital Fund	35,328	42,464	39,369	-3,095
	DHS Services	923	1,132	1,132	0
	Services by DOL Agencies	655	282	282	0
	Services by Other Government Departments	2,926	1,741	1,741	0
	GSA Services	3	46	46	0
	HHS Services	36	0	0	0

# DEPARTMENTAL MANAGEMENT

## AUTHORIZING STATUTES

Public Law / Act	Legislation	Statute No. / US Code	Volume No.	Page No.	Expiration Date
	Bureau of International Labor Affairs (ILAB)				
Pub. L. 101-179	Support for East European Democracy (SEED) Act of 1989	22 U.S.C. 5401 et seq.			
Pub. L. 102-511	(ILAB) FREEDOM Support Act	22 U.S.C.A. 5801 et seq.			
Pub. L. 103-82	(ILAB) Canada-Mexico-United States: North America Agreement on Labor Cooperation (NAALC)				
Pub. L. 106-200	(ILAB) Trade and Development Act of 2000	19 U.S.C. 2464			
Pub. L. 106-554	(ILAB) DOL appropriation provided for funding to be used for ...Departmental bilateral and multilateral foreign technical assistance...	Stat. 2763			
Pub. L. 66-259	Women's Bureau Act to establish the Women's Bureau	29 U.S.C. 11-14			
Pub. L. 103-353	Veterans' Employment and Training Services (VETS)	38 U.S.C. 4100- 4110A and 4321- 4327			
Pub. L. 105-339	VETS Opportunity Act of 1998 Protects veterans' preference in government hiring	5 U.S.C. 3330a.			
Pub. L. 103-353	Uniformed Services Employment and Reemployment Rights Acts of 1994. Protects members of the uniformed services from discrimination in hiring and re- employment after service in the military.	38 U.S.C. 4301- 4333			
	Office of the 21 <sup>st</sup> Century Workforce	E.O. 13218			
	OALJ – Black Lung Appeals Program Title IV, Federal Mine Safety & Health Act of 1977, as amended.	33 U.S.C. Section 901 et seq.			
	OALJ – Longshore Appeals Program Longshore & Harbor Workers Act	33 U.S.C. Section 901 et seq.			
	OALJ – Traditional Program & Board of Alien Labor Certification Appeals	Over 80 labor- related statutes & regulations. See OALJ website <a href="http://www.oalj.dol.gov">www.oalj.dol.gov</a>			
	Benefits Review Board – Black Lung Appeals Program & Longshore Appeals Program	30 U.S.C. Section 901 et seq.			

## DEPARTMENTAL MANAGEMENT

Benefits Review Board – Black Lung Appeals Program & Longshore Appeals Program	33 U.S.C. Section 901 et seq.
Employees’ Compensation Appeals Board. Review appeals of claims under Federal Employees’ Compensation Act	5 U.S.C. Section 8101 et seq.
Pub. L. 99-570 Anti-Drug Act of 1986	

## DEPARTMENTAL MANAGEMENT

<b>APPROPRIATION HISTORY</b>					
(Dollars in Thousands)					
	<b>Budget Estimates to Congress</b>	<b>House Allowance</b>	<b>Senate Allowance</b>	<b>Appropriations</b>	<b>FTE</b>
2008					
Base Appropriation...1/	\$254,236	\$318,046	\$338,503	\$291,874	1,237
2009					
Base Appropriation...2/	\$263,483			\$314,198	1,195
2010					
Base Appropriation	\$355,154	\$375,245	\$382,245	\$356,006	1,241
2011					
Base Appropriation...3/	\$428,624	\$387,927	\$411,982	\$354,627	1,257
2012					
Base Appropriation...4/	\$371,554	\$268,733	\$347,009	\$346,353	1,282
2013					
Base Appropriation...5/	\$348,927			\$328,237	1,255
2014					
Base Appropriation...6/ 7/	\$347,856			\$336,929	1,259
2015					
Base Appropriation...7/	\$346,189			\$337,929	1,250
2016					
Base Appropriation...7/	\$375,985	\$284,229	\$258,727	\$334,373	1,239
2017					
Base Appropriation...7/ 8/ 9/	\$387,925				0
2018					
Base Appropriation	\$290,453				1,198

1/ Reflects a \$5,184,000 reduction pursuant to P.L. 110-161.

2/ This bill was only reported out of Subcommittee.

3/ Reflects a \$29,172,000 reduction pursuant to P.L. 112-10.

4/ Reflects a .189% across the board reduction pursuant to P.L. 112-74

5/ Reflects a 0.2% across the board rescission pursuant to P.L. 113-6 and the sequestration reduction pursuant to the Balanced Budget and Emergency Deficit Control Act of 1985.

6/ Reflects the full appropriation pursuant to P.L. 113-76 without enacted rescissions.

7/ Reflects sequestration reduction to mandatory accounts pursuant to the Balanced Budget and Emergency Deficit Control Act of 1985.

8/ Budget estimates to Congress and Appropriations do not reflect transfers from the Employment and Training Administration for the purposes of program evaluation.

9/ A full-year 2017 appropriation for this account was not enacted at the time the budget was prepared.

# DEPARTMENTAL MANAGEMENT

## OVERVIEW

### Introduction

The Departmental Management (DM) Salaries and Expenses (S&E) appropriation provides policy, regulatory, legal, and administrative services to every agency within the Department. The DM S&E appropriation is composed of the following nine budget activities: Program Direction and Support; Legal Services; International Labor Affairs; Administration and Management; Adjudication; Women's Bureau; Civil Rights; Chief Financial Officer; and Departmental Program Evaluation. Three of the nine activities (Program Direction and Support; Administration and Management; and Adjudication) include a consolidation of several smaller operating programs.

### Program Direction and Support

The Program Direction and Support (PDS) activity provides leadership and direction for the various DOL agencies. As part of its responsibilities, PDS oversees a program of analysis and general research on issues affecting America's workforce and evaluates the effectiveness of Departmental programs. PDS includes funding for the following organizations: Office of the Secretary; Office of the Deputy Secretary; Office of the Assistant Secretary for Policy; Office of Congressional and Intergovernmental Affairs; Office of Public Affairs; Office of Public Engagement; and the Center for Faith-based and Neighborhood Partnerships.

### Office of the Solicitor

The Office of the Solicitor (SOL) provides legal services to the Secretary and to the client agencies within DOL. Its central purposes are law enforcement, legal advice, and compliance assistance. Unlike many of the general counsels' offices in the federal government, SOL has independent litigating authority under a number of Federal statutes. Approximately half of the attorneys in SOL are in regional offices outside Washington, D.C., and their responsibilities deal primarily with litigation in Federal district courts and before administrative law judges. SOL also provides legal advice to the Secretary and other agency heads on a wide variety of matters arising under the nearly 200 laws the Department enforces.

### Bureau of International Labor Affairs

The Bureau of International Labor Affairs (ILAB) supports the Department of Labor (DOL)'s goals of protecting U.S. workers' jobs and improving working conditions through engagement with key trading partners. ILAB works to promote a fair global playing field for workers and businesses in the United States and around the world by enforcing trade commitments, strengthening labor standards, and combating international child labor, forced labor, and human trafficking. These objectives are achieved by: 1) negotiating, monitoring, and enforcing adherence to the labor provisions of U.S. trade agreements and trade preference programs; 2) conducting research and policy analysis; and 3) representing U.S. interests on labor and employment issues in multilateral and bilateral settings.

# DEPARTMENTAL MANAGEMENT

## Administration and Management

The Administration and Management activity develops Departmental policy, administrative programs, systems, and procedures in the areas of information resources; performance management; procurement; human resources; equal opportunity; safety and health; homeland security and emergency management; and administrative services. The Office of the Assistant Secretary for Administration and Management (OASAM) will continue to direct resources to support the following three key Departmental initiatives: (1) IT Modernization; (2) Improved Customer Service; and (3) Budget and Performance Integration and Analysis of Performance Results.

## Adjudication

The Adjudication activity includes the Office of Administrative Law Judges (OALJ), the Benefits Review Board (BRB), the Employees' Compensation Appeals Board (ECAB), and the Administrative Review Board (ARB). They review and determine several thousand appeals each year, make legal interpretations, and establish legal precedents that set standards for the entire nation.

## Women's Bureau

The mission of the Women's Bureau is to develop policies and standards and conduct inquiries to safeguard the interest of working women, advocate for their equality and economic security for themselves and their families, and promote quality work environments.

## Civil Rights Center

The Civil Rights Center's (CRC) mission is to ensure compliance with Federal civil rights laws and regulations that cover DOL employees, applicants for employment, DOL conducted programs, and programs and activities receiving or benefiting from DOL financial assistance.

## Office of the Chief Financial Officer

The Office of the Chief Financial Officer's (OCFO) mission is to deliver timely, accurate, and reliable financial information through efficient and effective financial systems and business processes. The OCFO fosters effective stewardship of public funds, safeguards fiscal integrity through effective internal controls, and provides timely, accurate, and useful financial information to decision makers. The OCFO provides policy advice, technical assistance and related services concerning budget formulation, justification, and execution and oversees the preparation of all Departmental budget submissions.

## Departmental Program Evaluation

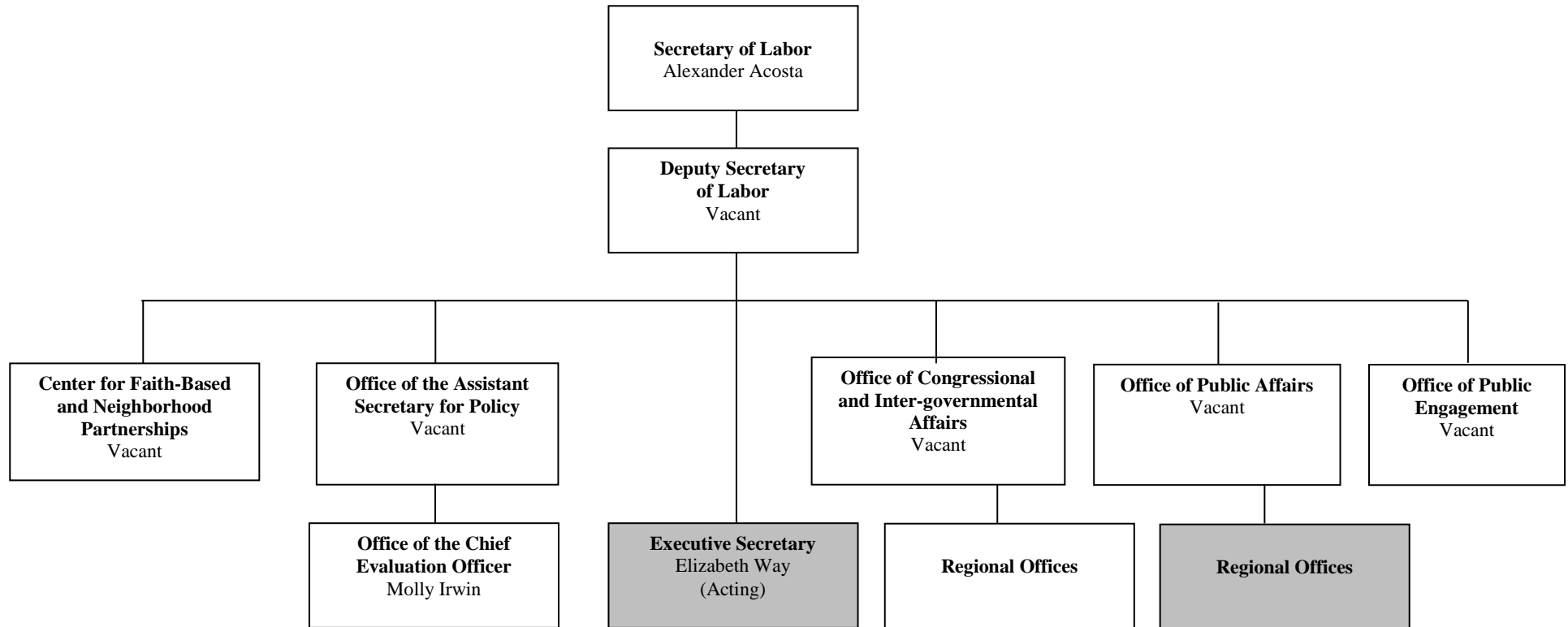
The Departmental Program Evaluation activity designates and centralizes specific program evaluation funds that can be used in collaboration with various Department of Labor agencies for individual program evaluations to identify what is working, what is not working, and improvements that would help ensure resources are spent effectively Department-wide.



# DEPARTMENTAL MANAGEMENT

## ORGANIZATION CHARTS

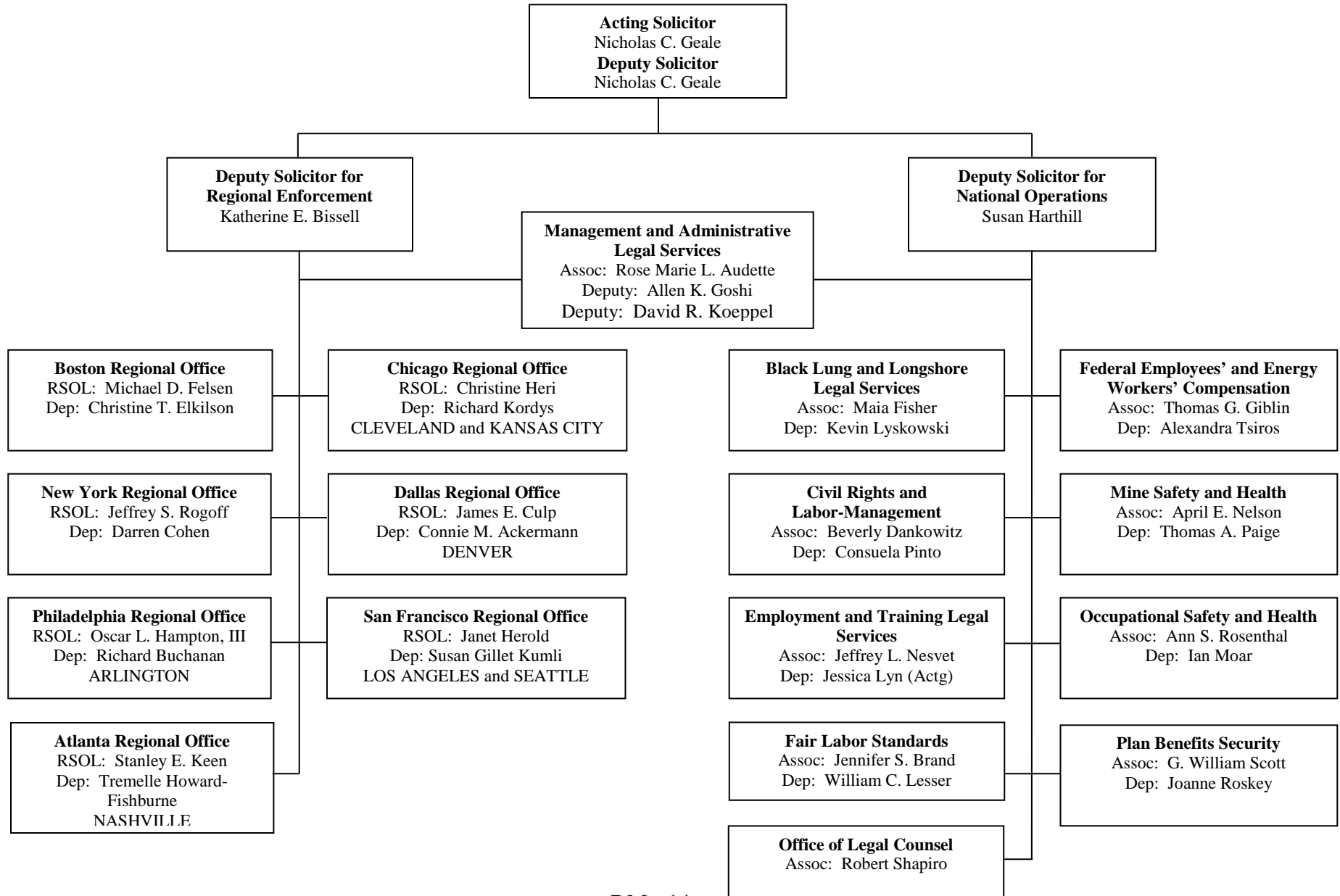
### PROGRAM DIRECTION AND SUPPORT



Shaded box indicates funding through the Working Capital Fund

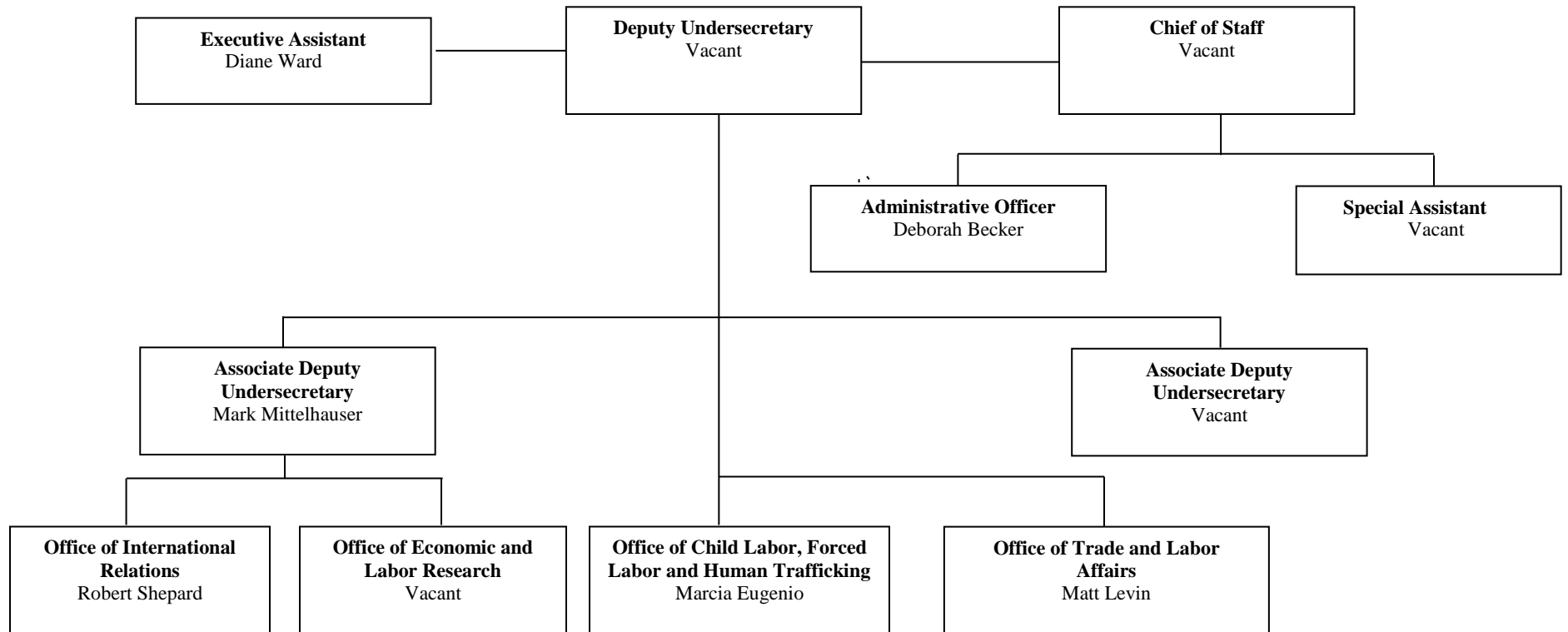
# DEPARTMENTAL MANAGEMENT

## OFFICE OF THE SOLICITOR



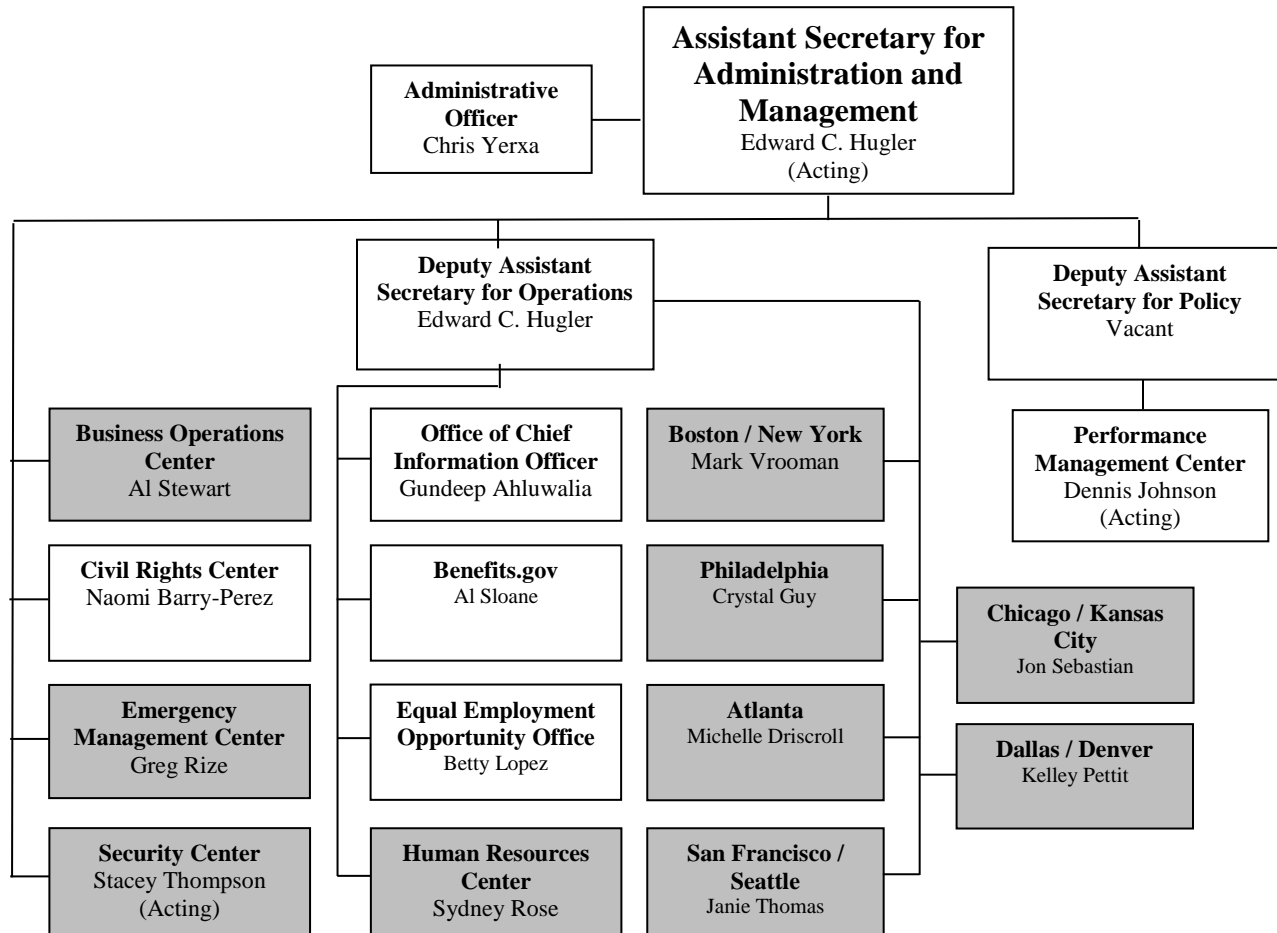
# DEPARTMENTAL MANAGEMENT

## INTERNATIONAL LABOR AFFAIRS BUREAU



# DEPARTMENTAL MANAGEMENT

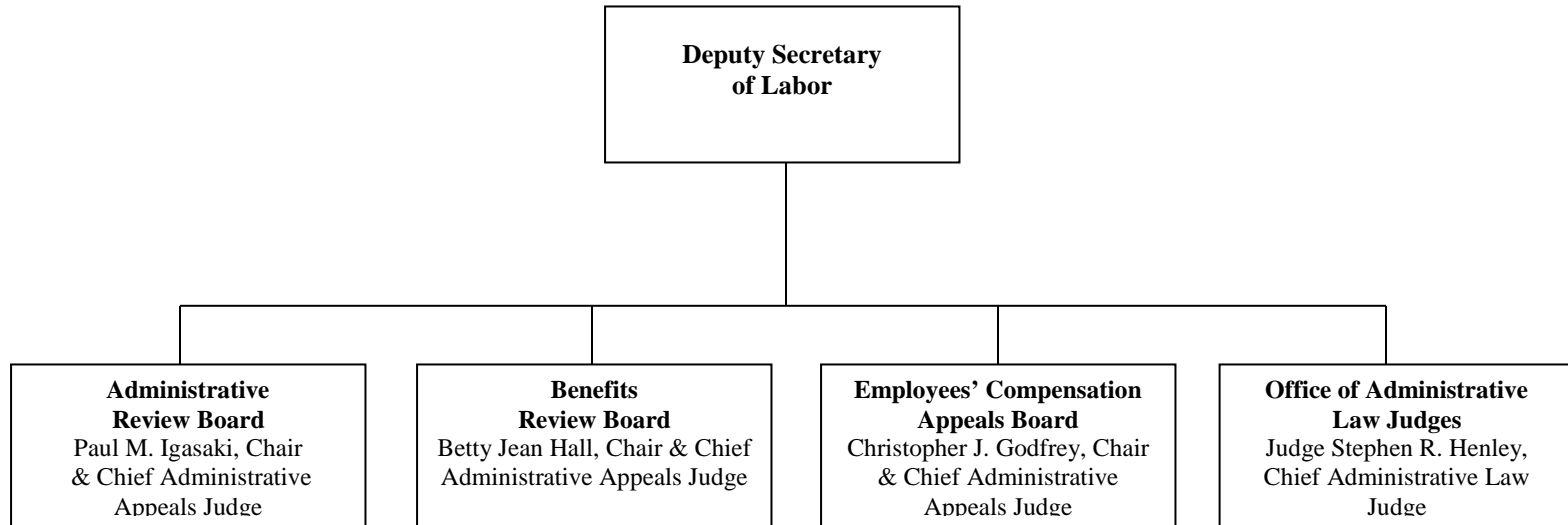
## OFFICE OF ASSISTANT SECRETARY FOR ADMINISTRATION AND MANAGEMENT



Shaded box indicates funding through the Working Capital Fund

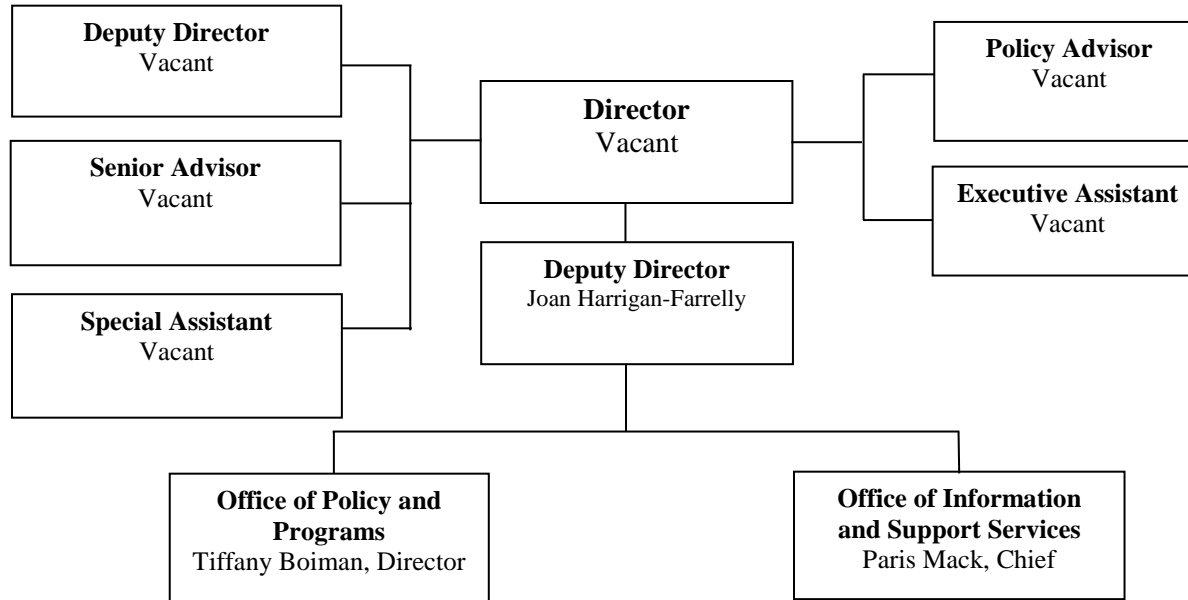
# DEPARTMENTAL MANAGEMENT

## ADJUDICATION



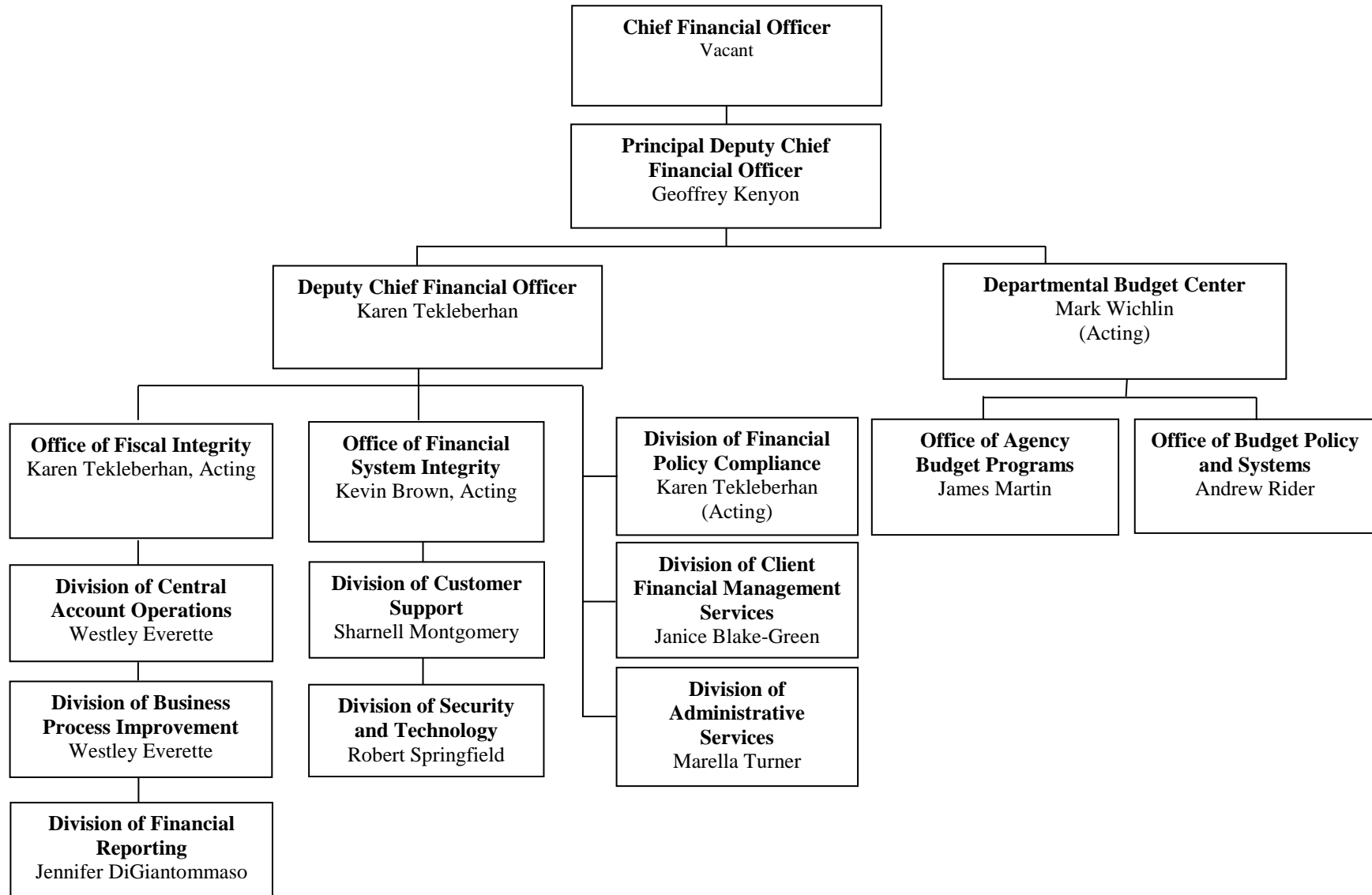
# DEPARTMENTAL MANAGEMENT

## WOMEN'S BUREAU



# DEPARTMENTAL MANAGEMENT

## OFFICE OF THE CHIEF FINANCIAL OFFICER







## PROGRAM DIRECTION AND SUPPORT

<b>BUDGET AUTHORITY BEFORE THE COMMITTEE</b>				
(Dollars in Thousands)				
	<b>FY 2016 Comparable</b>	<b>FY 2017 Estimate</b>	<b>FY 2018 Request</b>	<b>Diff. FY18 Request / FY17 Estimate</b>
<b>Activity Appropriation</b>	<b>31,010</b>	<b>30,951</b>	<b>30,951</b>	<b>0</b>
FTE	133	99	91	-8

NOTE: FY 2016 reflects actual FTE. Authorized FTE for FY 2016 was 136.

### **Introduction**

The Program Direction and Support activity provides funding for the offices that offer centralized leadership and direction for the Department.

In addition to the Office of the Secretary of Labor and the Office of the Deputy Secretary of Labor, the Program Direction and Support activity includes the following offices:

*Office of Public Affairs:* The Office of Public Affairs directs and coordinates the public affairs programs and activities of the U.S. Department of Labor. OPA is the chief adviser on public affairs to the Secretary, Deputy Secretary, agency heads, and departmental staff in developing communication strategies, public affairs, and media relations goals and objectives.

*Center for Faith-Based & Neighborhood Partnerships:* The Center for Faith-based and Neighborhood Partnerships at the U.S. Department of Labor builds partnerships with faith-based groups, community organization, and neighborhood leaders to better serve disadvantaged and underserved workers and job seekers.

*Office of Congressional and Intergovernmental Affairs:* The Office of Congressional and Intergovernmental Affairs is the principal representative on the Department's legislative program and coordinates legislative proposals with staff of other Federal agencies.

*Office of the Assistant Secretary for Policy:* The Office of the Assistant Secretary for Policy (OASP) serves as a source of independent policy analysis and advice for the Secretary, Deputy Secretary, and the Department. The work of OASP staff may be divided into five areas:

- **Policy and Data Analysis:** OASP undertakes broad analytical studies of issues, identifies gaps in policy and data, and initiates policy planning and formulation to fill these gaps.
- **Evaluation:** The Chief Evaluation Office in OASP coordinates DOL's evaluation agenda and carries out consultative statistical and data analytical projects. CEO staff are funded in the Departmental Program Evaluation activity, where evaluation performance is reported.
- **Regulatory Policy and Reform Officer:** OASP serves as the Department's Regulatory Policy Officer, has new responsibilities as the Regulatory Reform Officer, and chairs the Department's newly created Regulatory Reform Task Force.
- **Coordination:** OASP engages agencies within the Department to coordinate and integrate policy initiatives with Secretarial and Administration objectives. OASP staff coordinates

## PROGRAM DIRECTION AND SUPPORT

the Government Accountability (GAO) review process, leads cross-agency initiatives, supports the implementation of agency-led policy initiatives, manages the Department's Data Board, and offers policy feedback on and coordinates agency input into Secretarial communications.

- **Liaison and Outreach:** OASP acts as a liaison with nongovernmental organizations, the academic community, think tanks, and others to exchange expert views on matters relevant to labor policy and to ensure that broad public opinion informs the policy formulation process.

*Office of Public Engagement:* The Office of Public Engagement maintains a program of public information and communications to inform the public of the services and protection afforded by Departmental agencies.

### **Five-Year Budget Activity History**

<b><u>Fiscal Year</u></b>	<b><u>Funding</u></b> (Dollars in Thousands)	<b><u>FTE</u></b>
2013	\$31,482	121
2014	\$31,010	127
2015	\$31,010	136
2016	\$31,010	136
2017	\$0	0

NOTE: A full-year 2017 appropriation for this account was not enacted at the time the budget was prepared.

### **FY 2018**

The FY 2018 budget request for the Program Direction and Support (PDS) activity is \$30,951,000 and 91 FTE. Funding at this level will provide for continued support of leadership on key DOL initiatives and mandates.

### **FY 2017**

Figures shown for FY 2017 reflect the annualized Continuing Resolution level, as a full-year appropriation had not been enacted at the time the budget was produced. The Department will provide an Operating Plan after a full-year appropriation bill is enacted.

## PROGRAM DIRECTION AND SUPPORT

<b>DETAILED WORKLOAD AND PERFORMANCE</b>					
		<b>FY 2016 Enacted</b>		<b>FY 2017 Full Year C.R.</b>	<b>FY 2018 Request</b>
		<b>Target</b>	<b>Result</b>	<b>Target</b>	<b>Target</b>
<b>Program Direction and Support</b>					
OPA-DM-A	DOL Newsletter	51	51	51	51
OPA-DM-B	DOL Twitter (Tweets)	2,000	2,500	2,000	2,000
OPA-DM-C	DOL Facebook (Posts)	150	450	150	150
OPA-DM-D	DOL Instagram (Posts)	50	70	50	50
OPA-DM-E	DOL Blogs	350	410	175	150

Legend: (r) Revised (e) Estimate (base) Baseline -- Not Applicable TBD - To Be Determined [p] - Projection

# **PROGRAM DIRECTION AND SUPPORT**

## **Detailed Workload Performance Narrative for Selected PDS Components**

### **Office of Public Affairs (OPA)**

In FY 2018, OPA will undertake the following as a part of its communication strategies:

- Expand the use of a content management tool known as HootSuite to better meet the needs of the public and to track progress on digital performance metrics.
- Increase public engagement through Facebook, Twitter, YouTube, Instagram, Flickr and other digital media platforms.
- Write and edit news releases, blogs and advisories to inform the public of the Department's mission.
- Respond to inquiries from the news media regarding the Secretary's and Department's activities in a timely and accurate manner.
- Support public engagement activities by Departmental components, such as events and outreach programs.

## PROGRAM DIRECTION AND SUPPORT

<b>BUDGET ACTIVITY BY OBJECT CLASS</b>					
(Dollars in Thousands)					
		<b>FY 2016 Comparable</b>	<b>FY 2017 Estimate</b>	<b>FY 2018 Request</b>	<b>Diff. FY18 Request / FY17 Estimate</b>
11.1	Full-time permanent	15,688	13,170	13,196	26
11.3	Other than full-time permanent	375	288	288	0
11.5	Other personnel compensation	63	144	144	0
11.9	<b>Total personnel compensation</b>	<b>16,126</b>	<b>13,602</b>	<b>13,628</b>	<b>26</b>
12.1	Civilian personnel benefits	4,220	3,781	3,755	-26
13.0	Benefits for former personnel	0	1	1	0
21.0	Travel and transportation of persons	465	448	448	0
22.0	Transportation of things	1	0	0	0
23.1	Rental payments to GSA	2,643	2,430	2,430	0
23.3	Communications, utilities, and miscellaneous charges	508	213	213	0
24.0	Printing and reproduction	26	34	34	0
25.1	Advisory and assistance services	665	1,007	1,007	0
25.2	Other services from non-Federal sources	315	282	282	0
25.3	Other goods and services from Federal sources 1/	5,881	6,131	6,131	0
25.4	Operation and maintenance of facilities	12	0	0	0
25.5	Research and development contracts	4	0	0	0
25.7	Operation and maintenance of equipment	24	2,859	2,859	0
26.0	Supplies and materials	92	130	130	0
31.0	Equipment	28	33	33	0
42.0	Insurance claims and indemnities	0	0	0	0
	<b>Total</b>	<b>31,010</b>	<b>30,951</b>	<b>30,951</b>	<b>0</b>
	1/Other goods and services from Federal sources				
	Working Capital Fund	4,855	5,955	5,955	0
	DHS Services	83	19	19	0
	Services by DOL Agencies	294	79	79	0
	Services by Other Government Departments	604	21	21	0
	GSA Services	0	37	37	0

# PROGRAM DIRECTION AND SUPPORT

## CHANGES IN FY 2018

(Dollars in Thousands)

### Activity Changes

#### Built-In

To Provide For:

Costs of pay adjustments	\$237
Personnel benefits	102
Two days less of Pay	0
Federal Employees' Compensation Act (FECA)	-22
Benefits for former personnel	0
Travel and transportation of persons	0
Transportation of things	0
Rental payments to GSA	0
Communications, utilities, and miscellaneous charges	0
Printing and reproduction	0
Advisory and assistance services	0
Other services from non-Federal sources	0
Working Capital Fund	0
Other Federal sources (DHS Charges)	0
Other goods and services from Federal sources	0
Research & Development Contracts	0
Operation and maintenance of facilities	0
Operation and maintenance of equipment	0
Supplies and materials	0
Equipment	0
Insurance claims and indemnities	0

**Built-Ins Subtotal** **\$317**

**Net Program** **-\$317**

**Direct FTE** **-8**

	Estimate	FTE
<b>Base</b>	<b>\$31,268</b>	<b>99</b>
<b>Program Increase</b>	<b>\$0</b>	<b>0</b>
<b>Program Decrease</b>	<b>-\$317</b>	<b>-8</b>

## LEGAL SERVICES

<b>BUDGET AUTHORITY BEFORE THE COMMITTEE</b>				
(Dollars in Thousands)				
	<b>FY 2016 Comparable</b>	<b>FY 2017 Estimate</b>	<b>FY 2018 Request</b>	<b>Diff. FY18 Request / FY17 Estimate</b>
<b>Activity Appropriation</b>	<b>132,812</b>	<b>132,633</b>	<b>135,364</b>	<b>2,731</b>
FTE	649	627	625	-2

NOTE: FY 2016 reflects actual FTE.

### **Introduction**

The Office of the Solicitor of Labor (SOL) is the legal enforcement and support arm of the Department of Labor. Its mission is to meet the legal service demands of the entire Department, including providing the legal support necessary to enable the Secretary of Labor to further goals that support the President’s strategic vision to improve opportunities and quality of life for the American people. SOL provides its legal services through National Office Divisions that are generally devoted to the major laws under the Department’s jurisdiction and Regional Offices that undertake front-line enforcement initiatives, including trial-level litigation to protect and improve the working conditions and security of America’s working women and men.

SOL plays a critical role in advancing the Department’s mission through enforcement of worker safety and protection laws and implementation of the Secretary’s regulatory and program agendas. SOL works closely with other DOL agencies to develop and implement specific policies and mission critical programs. Additionally, SOL helps improve the effectiveness of training programs for American workers and advises the Secretary and Departmental leadership on a full range of legal issues. As a result, SOL shares the goals of each of its clients. SOL’s services to its client agencies fall into four primary categories: pre-litigation, litigation, opinion and advice, and assistance in development of regulations. SOL contributes to the accomplishment of all of the Department’s enforcement, strategic, and outcome goals by:

- undertaking **litigation** to carry out the Secretary’s priority enforcement initiatives, and to defend the Secretary’s vision and the program agencies of the Department;
- assisting in the development, drafting and legal review of **legislation, regulations, Executive Orders**, and other matters affecting Departmental programs; and
- providing **legal opinions/advice** to the Secretary and Departmental and agency officials.

SOL ensures that all DOL actions are based on sound legal advice that is:

- Timely;
- Understandable;
- Able to identify and mitigate legal risk;
- Effective; and
- In line with clients’ goals and priorities.

## LEGAL SERVICES

The priorities in SOL's Congressional Budget (CBJ) submission for FY 2018 mirror the Department's budget and program priorities, and seek the funding necessary to enable SOL to provide timely and effective advice and litigation services, in support of worker wages, benefits, safety, and rights, thus contributing to a sound economy and economic growth.

This budget submission also seeks to expand legal services supporting the Department's compliance assistance programs to help bring the regulated community into compliance with the laws that the Department implements and enforces.

### Five-Year Budget Activity History<sup>2</sup>

<u>Fiscal Year</u>	<u>Funding</u> (Dollars in Thousands)	<u>FTE</u>
2013	\$122,444	650
2014	\$125,444	650
2015	\$126,444	627
2016	\$125,308	616
2017	\$0	0

NOTE: A full-year 2017 appropriation for this account was not enacted at the time the budget was prepared.

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<sup>2</sup> This table reflects direct discretionary funding sources and FTE.

### FY 2018

In FY 2018, SOL is requesting \$135,364,000 and 625 FTE. This funding and FTE cover General, Unemployment Trust Fund (UTF), and Black Lung Disability Trust Fund (BLDTF) funding. Reimbursement funding and FTE are not included in the above request.

This request includes a program increase of \$2,171,000. This equates to 10 FTE and supporting costs, to expand legal services supporting the Department's compliance assistance programs. SOL will provide legal services to DOL's client agencies to assist in developing ways to bring the regulated community into compliance with laws enforced by the Department in support of worker wages, benefits, and other rights. As the Department seeks to expand its focus on helping employers and industry affirmatively comply with the statutes and regulations administered by the Department of Labor – from addressing workplace safety, to protecting wages and pensions – the demand for legal services will correspondingly increase. Enhanced SOL legal services will be needed as each of the Department's regulatory agencies seeks to develop approaches to compliance assistance that will be evidence-based and avoid legal infirmities. SOL will provide legal advice on establishing new compliance assistance programs, and on developing public-facing materials, preparing and conducting internal training programs, responding to inquiries, and defending legal challenges that may arise in response to these programs.

The request also includes an increase of \$560,000 in BLDTF to restore funding to pre-sequestration levels. Sequestration impedes the ability of SOL to provide legal services necessary for the Department's efforts to ensure the Black Lung Benefits program is properly administered.



## **LEGAL SERVICES**

Absent these additional resources, SOL would not be able to provide additional support for increases in workload or keep pace with the demands for legal services to support existing priorities, which support the full breadth of DOL programs and enforcement activities. Furthermore, SOL would have to ration legal services, resulting in increases in the number of matters pending, as the provision of legal services would be slowed or delayed as limited resources are stretched to meet client demands for legal support.

### **FY 2017**

Figures shown for FY 2017 reflect the annualized Continuing Resolution level, as a full-year appropriation had not been enacted at the time the budget was produced. The Department will provide an Operating Plan after a full-year appropriation bill is enacted.

## LEGAL SERVICES

<b>DETAILED WORKLOAD AND PERFORMANCE</b>					
		<b>FY 2016 Enacted</b>		<b>FY 2017 Full Year C.R.</b>	<b>FY 2018 Request</b>
		<b>Target</b>	<b>Result</b>	<b>Target</b>	<b>Target</b>
<b>Legal Services</b>					
<b>Pre Litigation:</b>					
PRE-01	Matters Opened	3,484[p]	3,265	3,500[p]	3,400[p]
PRE-02	Matters Concluded	3,300[p]	3,265	3,100[p]	3,000[p]
PRE-04	Matters Pending	2,752[p]	2,643	2,752[p]	2,752[p]
<b>Litigation:</b>					
LIT-01	Matters Opened	9,000[p]	9,533	8,600[p]	8,400[p]
LIT-02	Matters Concluded	12,280[p]	12,005	9,900[p]	9,600[p]
LIT-04	Matters Pending	11,905[p]	11,514	11,905[p]	11,905[p]
<b>Opinion/Advice:</b>					
OA-01	Matters Opened	9,000[p]	9,926	9,000[p]	8,720[p]
OA-02	Matters Concluded	10,900[p]	9,349	8,100[p]	7,800[p]
OA-04	Matters Pending	20,332[p]	20,703	20,332[p]	20,332[p]
<b>Regulations:</b>					
REG-01	Matters Opened	8[p]	62	84[p]	84[p]
REG-02	Matters Concluded	61[p]	55	90[p]	90[p]

## LEGAL SERVICES

<b>DETAILED WORKLOAD AND PERFORMANCE</b>					
		<b>FY 2016 Enacted</b>		<b>FY 2017 Full Year C.R.</b>	<b>FY 2018 Request</b>
		<b>Target</b>	<b>Result</b>	<b>Target</b>	<b>Target</b>
REG-04	Matters Pending	122[p]	121	122[p]	122[p]
<b>SOL-OIS:</b>					
MLBP-01	MLBP Matters Opened	2,000[p]	1,804	1,300[p]	1,200[p]
MLBP-02	MLBP Matters Concluded	2,500[p]	2,385	1,700[p]	1,640[p]
MLBP-03	MLBP Matters Pending	1,721[p]	1,192	1,721[p]	1,721[p]

Legend: (r) Revised (e) Estimate (base) Baseline -- Not Applicable TBD - To Be Determined [p] - Projection

## LEGAL SERVICES

### Detailed Workload and Performance Narrative

SOL's workload performance measures involve a simple count of the number of Matters that SOL opens and concludes and the number of pending Matters each quarter in each of four categories of Matters (Pre-litigation, Litigation, Opinion/Advice, and Regulation). SOL considers a Matter a collection of related activities that contribute to a specific investigation, litigation, regulation, or opinion/advice. These performance measures help SOL track its production on a quarterly and annual basis, and provide a contextual basis for SOL to compare its production over time, and help SOL track the demand for and provision of legal services to specific DOL client agencies.

SOL's FY 2018 workload performance targets are best estimates based on FY 2016 year-end results, and projected results for FY 2017 based on the FY 2017 annualized Continuing Resolution level. The FY 2018 projections are further informed by analysis of SOL's Matter data as a reflection of SOL's client agencies' requests for legal services. It should be noted that simple Matter counts do not capture variations in the level of effort and resource investment SOL may need to make for a given Matter, especially with respect to highly complex litigation Matters.

## LEGAL SERVICES

<b>BUDGET ACTIVITY BY OBJECT CLASS</b>					
(Dollars in Thousands)					
		<b>FY 2016 Comparable</b>	<b>FY 2017 Estimate</b>	<b>FY 2018 Request</b>	<b>Diff. FY18 Request / FY17 Estimate</b>
11.1	Full-time permanent	78,703	78,677	79,905	1,228
11.3	Other than full-time permanent	0	198	198	0
11.5	Other personnel compensation	905	1,349	1,349	0
11.8	Special personal services payments	12	6	6	0
11.9	<b>Total personnel compensation</b>	<b>79,620</b>	<b>80,230</b>	<b>81,458</b>	<b>1,228</b>
12.1	Civilian personnel benefits	23,314	23,456	23,825	369
13.0	Benefits for former personnel	15	5	5	0
21.0	Travel and transportation of persons	1,166	811	869	58
22.0	Transportation of things	1	0	0	0
23.1	Rental payments to GSA	8,596	6,446	6,714	268
23.2	Rental payments to others	6	4	9	5
23.3	Communications, utilities, and miscellaneous charges	636	1,894	1,920	26
24.0	Printing and reproduction	28	51	53	2
25.1	Advisory and assistance services	0	0	0	0
25.2	Other services from non-Federal sources	3,552	1,464	1,604	140
25.3	Other goods and services from Federal sources 1/	11,473	16,274	16,747	473
25.4	Operation and maintenance of facilities	3	0	2	2
25.5	Research and development contracts	0	0	0	0
25.7	Operation and maintenance of equipment	2,457	467	529	62
26.0	Supplies and materials	1,002	919	968	49
31.0	Equipment	933	597	643	46
42.0	Insurance claims and indemnities	10	15	18	3
	<b>Total</b>	<b>132,812</b>	<b>132,633</b>	<b>135,364</b>	<b>2,731</b>
	1/Other goods and services from Federal sources				
	Working Capital Fund	11,473	15,706	16,179	473
	DHS Services	0	424	424	0
	Services by Other Government Departments	0	134	134	0

# LEGAL SERVICES

## CHANGES IN FY 2018

(Dollars in Thousands)

### Activity Changes

#### Built-In

To Provide For:

Costs of pay adjustments	\$1,408
Personnel benefits	607
Two days less of Pay	0
Federal Employees' Compensation Act (FECA)	0
Benefits for former personnel	0
Travel and transportation of persons	0
Transportation of things	0
Rental payments to GSA	0
Rental payments to others	0
Communications, utilities, and miscellaneous charges	0
Printing and reproduction	0
Advisory and assistance services	0
Other services from non-Federal sources	0
Working Capital Fund	0
Other Federal sources (DHS Charges)	0
Other goods and services from Federal sources	0
Research & Development Contracts	0
Operation and maintenance of facilities	0
Operation and maintenance of equipment	0
Supplies and materials	0
Equipment	0
Insurance claims and indemnities	0

**Built-Ins Subtotal** **\$2,015**

**Net Program** **\$716**

**Direct FTE** **-2**

	Estimate	FTE
<b>Base</b>	<b>\$134,648</b>	<b>627</b>
<b>Program Increase</b>	<b>\$2,731</b>	<b>10</b>
<b>Program Decrease</b>	<b>-\$2,015</b>	<b>-12</b>

## INTERNATIONAL LABOR SERVICES

<b>BUDGET AUTHORITY BEFORE THE COMMITTEE</b>				
(Dollars in Thousands)				
	<b>FY 2016 Comparable</b>	<b>FY 2017 Estimate</b>	<b>FY 2018 Request</b>	<b>Diff. FY18 Request / FY17 Estimate</b>
<b>Activity Appropriation</b>	<b>86,125</b>	<b>85,961</b>	<b>18,500</b>	<b>-67,461</b>
FTE	113	113	80	-33

NOTE: FY 2016 reflects actual FTE. Authorized FTE for FY 2016 was 112.

### **Introduction**

ILAB promotes a fair global playing field for workers and businesses in the United States by enforcing trade commitments; strengthening labor standards; and combating international child labor, forced labor, and human trafficking. ILAB combines trade and labor monitoring and enforcement, policy engagement, and research to carry out the international responsibilities of the Department.

When other countries fail to enforce their labor laws, abide by their trade-related labor commitments, or allow exported goods to be produced through child labor, forced labor, or in other exploitative labor conditions, they receive an unfair subsidy that undermines the competitiveness of goods made in the United States. ILAB promotes a level global playing field for workers in the United States and around the world by:

- **Making trade fair for U.S. workers and businesses:** ILAB negotiates, monitors, and enforces the labor provisions of trade agreements and trade preference programs as part of its work to ensure that trade partners do not reduce workers' protections in order to gain an unfair trade advantage or attract investment. ILAB works with interagency partners, as well as businesses and workers, to improve compliance with labor standards.
- **Combating abusive child labor, forced labor, and human trafficking:** ILAB produces congressionally mandated research and reporting on child labor, forced labor, and modern-day slavery, including the *Findings on the Worst Forms of Child Labor*; *List of Goods Produced by Child Labor or Forced Labor*; and *List of Goods Produced by Forced or Indentured Child Labor*. ILAB works with governments, workers, and companies to eliminate these abuses and help keep products made under exploitative labor conditions out of the U.S. market.
- **Strengthening global labor standards and promoting inclusive growth.** ILAB represents U.S. interests on labor and employment issues at the International Labor Organization (ILO), G-20, G-7, OECD, and other multilateral institutions. In this capacity, ILAB leads engagement on U.S. positions to improve labor standards, support stronger and more inclusive global growth, and shape policy priorities among major trading partners. ILAB couples these efforts with effective bilateral diplomacy with strategic countries that help level the playing field for American workers and companies while helping to bolster markets for American goods and services. In these efforts, ILAB

## INTERNATIONAL LABOR SERVICES

works closely with DOL's domestic agencies and other U.S. government partners to further policies that support quality job creation in the United States.

### Five-Year Budget Activity History

<u>Fiscal Year</u>	<u>Funding</u> (Dollars in Thousands)	<u>FTE</u>
2013	\$87,481	106
2014	\$91,125	105
2015	\$91,125	106
2016	\$86,125	112
2017	\$0	0

NOTE: A full-year 2017 appropriation for this account was not enacted at the time the budget was prepared.

### FY 2018

The FY 2018 request for ILAB is \$18,500,000 and 80 FTE. This funding level includes a program decrease of \$59,661,000 to eliminate new grants related to workers' rights and combating exploitive child labor internationally.. It also includes a program decrease of \$7,800,000 to reduce staff levels. This reduction reflects the workload decrease associated with the elimination of new grants program as well as ILAB's shift to focus its efforts and resources on ensuring that U.S. trade agreements are fair for U.S. workers by monitoring and enforcing the labor provisions of Free Trade Agreements (FTAs) and trade preference programs.

ILAB will no longer deploy new technical assistance programs or labor attachés; will reduce its research and reporting; and will be more strategic in its representation of U.S. labor and employment priorities at the ILO, G20, and bilateral engagement. ILAB will continue to work to hold U.S. trade partners to their labor related commitments through other means to ensure a fair global playing field for workers and businesses around the world and promote quality job creation in the United States.

### Efforts to Make Trade Fair for U.S. Workers and Business

With the resources requested, ILAB will focus on monitoring and enforcing the labor provisions of the 19 U.S. FTAs that include such provisions. It will also conduct targeted monitoring and enforcement of the labor provisions of trade preference programs with over 125 countries under the Generalized System of Preferences and the African Growth and Opportunity Act. To accomplish this objective, ILAB will use a three-pronged strategy:

- (1) Rigorous monitoring and research: proactively identify the most critical and high-priority labor concerns in trade partner countries, assess and affirmatively target those concerns, and develop the means to address them;
- (2) Increase efficiencies in receiving and reviewing trade complaints: develop streamlined processes for receiving, reviewing, and analyzing public complaints that allege a trade partner is not complying with its labor-related trade obligations, as well as for publishing reports that analyze the facts underlying the complaint and determine



## INTERNATIONAL LABOR SERVICES

whether subsequent U.S. government trade enforcement actions are warranted; and

(3) Identify and leverage a range of enforcement and engagement tools to replace the technical assistance projects: creatively use a variety of tools to enforce labor provisions of free trade agreements and other trade benefit programs, including trade and diplomatic leverage, policy engagement, involvement in international and multilateral organizations, and direct capacity building, among others.

ILAB will continue to act as the principal liaison with U.S. trading partners for the administration of FTA labor subcommittees and labor cooperation mechanisms. ILAB will also work to negotiate strong, enforceable, and clear labor provisions in any trade agreements negotiated or renegotiated in FY 2018 and conduct research on labor rights and the expected employment impact in the United States, per the terms of current Trade Promotion Authority.

ILAB will save on resources by no longer placing Labor Attachés in the field to monitor and engage on labor standards in strategic trading partner countries. Instead, it will seek to work more closely with the State Department and the Office of the U.S. Trade Representative on relevant countries and to find alternative mechanisms to assure reliable on-the-ground assessments of labor conditions.

### Efforts to Combat Child Labor and Modern-Day Slavery

ILAB will continue efforts to combat child labor, forced labor, and human trafficking. ILAB will focus on countries that are key trading partners with the United States to help prevent goods made under exploitative conditions from being imported into the U.S. market. ILAB will also seek statutory changes from Congress to be able to report less frequently on international progress in combatting the worst forms of child labor, including child trafficking, through its *Findings on the Worst Forms of Child Labor* and eliminate the stand-alone reporting for E.O. 13126 - *List of Goods Produced by Forced or Indentured Child Labor* and incorporate this information in other ILAB reports. This will enable ILAB to maintain the accuracy and reliability of information reported in ILAB's flagship reports, while supporting policy engagement efforts to assist governments in addressing suggested actions identified through its reporting. ILAB will work with countries and businesses to address the conditions that lead to inclusion of goods in ILAB's Trafficking Victims Protection Reauthorization Act (TVPRA) list and provide them a systematic framework for collecting information and developing systems to demonstrate how to remove a good from ILAB's list. ILAB will increase coordination with the Department of Homeland Security's Customs and Border Protection (CBP) and Immigration and Customs Enforcement, the Department of Justice, and the Department of Treasury to support implementation of the changes outlined in the Trade Facilitation and Trade Enforcement Act of 2015 as well as disruption of criminal networks that profit from modern-day slavery. This collaboration will include active participation in CBP Customs Commercial Operations Advisory Committee's Forced Labor Working Group and other interagency engagements on these issues.

For the Children in Adversity Action Plan, ILAB in the past has contributed to Objective 3—*Protect children: The U.S. Government will facilitate the efforts of national governments and partners to prevent, respond to, and protect children from violence, exploitation, abuse, and*

## INTERNATIONAL LABOR SERVICES

*neglect*, based on its funding of technical assistance projects to combat child labor internationally. The FY 2018 Budget does not request funding for new ILAB technical cooperation projects, so ILAB will not be reporting any FY 2018 funding in support of the Children in Adversity Action Plan.

### Advancing U.S. Labor and Employment Priorities

In FY 2018, ILAB will continue to use its leadership and expertise on international labor issues to promote U.S. labor and employment policies that benefit workers and businesses in the United States and around the world. ILAB will be more strategic in its focus on promoting and defending U.S. Government's interests and policies in international fora, such as the International Labor Organization, G20, G7, and OECD, and ensuring that U.S. priorities are reflected in the international organizations' policies and programs. Similarly, ILAB will pursue more strategic dialogue and informational exchanges between the Department of Labor and foreign governments to influence policies and enable senior DOL officials to share with, and learn from, practices, policies and programs used in other countries. ILAB will promote the Administration's perspective under the Argentine Presidency of the G20 in 2018 and at meetings of the Inter-American Conference of Ministers of Labor and Asia-Pacific Economic Cooperation.

### Effective Oversight of Existing Technical Assistance Grants

In FY 2018, ILAB will continue to oversee and steadily close out its grants portfolio. ILAB will ensure that: (1) project funds are spent according to U.S. government and DOL requirements; (2) projects achieve desired outcomes; and (3) lessons are learned and incorporated into existing projects. ILAB will use results and findings from implementation evaluations and previously funded impact evaluations to inform and improve the implementation of its current projects and to make this information available to the public for broader use.

## **INTERNATIONAL LABOR SERVICES**

### **FY 2017**

Figures shown for FY 2017 reflect the annualized Continuing Resolution level, as a full-year appropriation had not been enacted at the time the budget was produced. The Department will provide an Operating Plan after a full-year appropriation bill is enacted.

## INTERNATIONAL LABOR SERVICES

<b>DETAILED WORKLOAD AND PERFORMANCE</b>					
		<b>FY 2016 Enacted</b>		<b>FY 2017 Full Year C.R.</b>	<b>FY 2018 Request</b>
		<b>Target</b>	<b>Result</b>	<b>Target</b>	<b>Target</b>
<b>International Labor Services</b>					
ILAB-B	Number of policy positions adopted by international fora and countries that reflect ILAB and DOL priorities.	38	51	45	25
ILAB-20	Percent of ILAB priorities achieved related to improvements in working conditions and labor rights and enforcement around the world.	75%[e]	88%	75%[e]	75%[e]
ILAB-14	Number of targeted Labor Ministries implementing strategy and/or action plan to enforce labor legislation (and/or to inspect worksites), resulting from USDOL-funded project.	13	30	16[e]	16[e]
ILAB-06	Number of countries in which child labor and forced labor are systematically monitored and analyzed.	156	159	142	142
ILAB-16	Number of targeted government partners that implement inspections or deliver other important government services using improved tools or resources from a DOL-funded project and/or direct technical assistance/cooperation.	14	55	25[e]	18[e]
ILAB-D	Number of children engaged in or at high-risk of entering the worst forms of child labor provided education or vocational services.	24,300	33,341	14,625	12,000
ILAB-E	Number of countries with increased capacity to address child labor.	20	26	20	16

Legend: (r) Revised (e) Estimate (base) Baseline -- Not Applicable TBD - To Be Determined [p] - Projection

# INTERNATIONAL LABOR SERVICES

## Detailed Workload Performance Narrative

In support of its FY 2018 budget request, ILAB is revising its performance measures to measure the effectiveness of the following priorities: enforcing the labor obligations of trade agreements and preference programs; combatting child labor, forced labor and human trafficking; and promoting U.S. interests on international labor and employment in international fora.

Policy engagement will be measured via ILAB-B (Number of policy positions adopted by international fora and countries that reflect ILAB and DOL priorities); ILAB-20 (Percent of ILAB priorities achieved related to improvements in working conditions and labor rights and enforcement around the world); and ILAB-14, the number of targeted labor ministries implementing strategies and action plans to enforce labor legislation (and/or to inspect worksites) resulting from DOL engagement. ILAB anticipates that agency resources will be reallocated from other areas of work to intensify focus on the enforcement of trade agreements and preference programs, resulting in a fewer number of policy engagements broadly and therefore a reduction in the number of policy positions adopted by international fora and countries that reflect ILAB and DOL priorities (ILAB-B) in the future.

This intensification of focus on trade enforcement will also result in a flat target for ILAB-20 (Percent of ILAB priorities achieved related to improvements in working conditions and labor rights and enforcement around the world) for FY 2017. ILAB-20 is a quantitative representation of a maturity model with milestones that ILAB uses to track achievement of policy objectives.

ILAB is setting a flat target for FY 2017 because only non-trade related policy engagements are measured as part of the maturity model and ILAB will increase its focus on the enforcement of trade agreements and preference programs. ILAB will reassess this measure for FY 2018 to determine if the measure can capture trade related policy engagements.

An important part of ILAB's approach on trade enforcement involves working with labor ministries to implement strategies and action plans to enforce labor legislation. ILAB piloted a new measure in FY 2016, ILAB-14 (the number of targeted labor ministries implementing strategies and action plans to enforce labor legislation (and/or to inspect worksites), to assess its effectiveness in this area. ILAB plans to review its process for setting realistic but challenging targets in FY 2017. For FY 2017, ILAB anticipates a slight increase in the number of targeted labor ministries to 16. ILAB is also planning to revisit this measure and take lessons learned from piloting this measure to clarify definitions and data collection methods for FY 2018.

In FY 2018, ILAB will continue to have Congressionally-mandated and other required reporting functions related to trade, child labor and forced labor. ILAB reduced the target for FY 2017 because it is not a year in which the agency will be producing its biennial *List of Goods Made with Child Labor or Forced Labor*. The number of countries systematically monitored for child and forced labor in FY 2017 will therefore focus on those countries featured in the annual *Findings on the Worst Forms of Child Labor*, and the target is adjusted downward to reflect this fact.

In FY 2018, ILAB will continue to oversee existing technical assistance projects to implement model programs that address worker rights issues through technical assistance in countries with

## **INTERNATIONAL LABOR SERVICES**

which the United States has free trade agreements or trade preference programs and to combat child labor and forced labor internationally. ILAB staff will oversee existing technical assistance projects for the next several years as projects complete their activities and exhaust their existing funding.

ILAB piloted a new measure in FY 2016 to assess improvements in labor enforcement in trading partner countries: ILAB-16 (the number of targeted government partners that implement inspections or deliver other important government services using improved tools or resources from a DOL-funded technical assistance project and/or direct technical assistance/cooperation). ILAB-D (number of children engaged in or at high-risk of entering the worst forms of child labor provided education and vocational services) and ILAB-E (number of countries with increased capacity to address child labor) measure the performance of projects that address child labor and forced labor. ILAB anticipates a slight increase in targets for ILAB-16 and decreases for ILAB-D and ILAB-E as the agency shifts its focus from implementing new initiatives to shoring up already-existing projects in preparation for the elimination of new grant funding starting in FY 2018.

## INTERNATIONAL LABOR SERVICES

<b>BUDGET ACTIVITY BY OBJECT CLASS</b>					
(Dollars in Thousands)					
		<b>FY 2016 Comparable</b>	<b>FY 2017 Estimate</b>	<b>FY 2018 Request</b>	<b>Diff. FY18 Request / FY17 Estimate</b>
11.1	Full-time permanent	12,552	13,046	9,448	-3,598
11.3	Other than full-time permanent	0	134	138	4
11.5	Other personnel compensation	0	184	184	0
11.9	<b>Total personnel compensation</b>	<b>12,552</b>	<b>13,364</b>	<b>9,770</b>	<b>-3,594</b>
12.1	Civilian personnel benefits	4,044	4,233	3,076	-1,157
21.0	Travel and transportation of persons	1,300	1,300	450	-850
22.0	Transportation of things	37	36	15	-21
23.1	Rental payments to GSA	1,060	1,211	1,211	0
23.3	Communications, utilities, and miscellaneous charges	108	100	45	-55
24.0	Printing and reproduction	49	50	10	-40
25.1	Advisory and assistance services	25	200	0	-200
25.2	Other services from non-Federal sources	192	101	20	-81
25.3	Other goods and services from Federal sources 1/	4,662	5,098	3,889	-1,209
25.4	Operation and maintenance of facilities	2,000	454	0	-454
25.5	Research and development contracts	0	0	0	0
25.7	Operation and maintenance of equipment	135	14	0	-14
26.0	Supplies and materials	67	80	10	-70
31.0	Equipment	69	59	4	-55
41.0	Grants, subsidies, and contributions	59,825	59,661	0	-59,661
	<b>Total</b>	<b>86,125</b>	<b>85,961</b>	<b>18,500</b>	<b>-67,461</b>
	1/Other goods and services from Federal sources				
	Working Capital Fund	4,497	4,223	3,014	-1,209
	DHS Services	23	33	33	0
	Services by DOL Agencies	0	200	200	0
	Services by Other Government Departments	37	602	602	0

# INTERNATIONAL LABOR SERVICES

## CHANGES IN FY 2018

(Dollars in Thousands)

### Activity Changes

#### Built-In

To Provide For:

Costs of pay adjustments	\$263
Personnel benefits	109
Two days less of Pay	0
Federal Employees' Compensation Act (FECA)	-28
Travel and transportation of persons	0
Transportation of things	0
Rental payments to GSA	0
Communications, utilities, and miscellaneous charges	0
Printing and reproduction	0
Advisory and assistance services	0
Other services from non-Federal sources	0
Working Capital Fund	0
Other Federal sources (DHS Charges)	0
Other goods and services from Federal sources	0
Research & Development Contracts	0
Operation and maintenance of facilities	0
Operation and maintenance of equipment	0
Supplies and materials	0
Equipment	0
Grants, subsidies, and contributions	0

**Built-Ins Subtotal** **\$344**

**Net Program** **-\$67,805**

**Direct FTE** **-33**

	Estimate	FTE
<b>Base</b>	<b>\$86,305</b>	<b>113</b>
<b>Program Increase</b>	<b>\$0</b>	<b>0</b>
<b>Program Decrease</b>	<b>-\$67,805</b>	<b>-33</b>



## ADMINISTRATION AND MANAGEMENT

<b>BUDGET AUTHORITY BEFORE THE COMMITTEE</b>				
(Dollars in Thousands)				
	<b>FY 2016 Comparable</b>	<b>FY 2017 Estimate</b>	<b>FY 2018 Request</b>	<b>Diff. FY18 Request / FY17 Estimate</b>
<b>Activity Appropriation</b>	<b>23,550</b>	<b>23,496</b>	<b>23,496</b>	<b>0</b>
FTE	89	85	79	-6

NOTE: FY 2016 reflects actual FTE. Authorized FTE for FY 2016 was 111.

### **Introduction**

The Office of the Assistant Secretary for Administration and Management (OASAM) provides the infrastructure and support that enables the Department to carry out its core missions. The Administration and Management activity develops policies, standards, procedures, systems, and materials for the administrative management of the department, including business operations and procurement; information technology (IT); human resource management; and strategic planning and performance.

Four Administration and Management business units receive funding from this appropriation and are designed as centers of excellence with unique mission responsibilities. OASAM emphasizes integrated performance along with seamless and transparent information sharing across business units. The four business units include:

- Performance Management Center (PMC)
- Human Resources Center (HRC)
- Office of the Chief Information Officer (OCIO)
- Business Operations Center (BOC)

HRC, OCIO, and BOC also receive funding for certain activities funded through the Working Capital Fund (WCF). In addition, OASAM Field Services, Emergency Management Center and the Security Center receive full funding of their activities through the WCF. These activities are detailed in the WCF justification. OASAM civil rights activities are detailed in the Civil Rights budget activity narrative in the Departmental Management justification.

Budget and FTE tables include a comparative transfer from OASAM to the Office of the Chief Financial Officer (OCFO) of \$4,863,000 and 21 FTE. This transfer reflects the move of the Departmental Budget Center from OASAM to OCFO to support budget formulation and execution alignment.

# ADMINISTRATION AND MANAGEMENT

## Five-Year Budget Activity History

<u>Fiscal Year</u>	<u>Funding</u> (Dollars in Thousands)	<u>FTE</u>
2013	\$28,698	111
2014	\$28,413	112
2015	\$28,413	112
2016	\$28,413	111
2017	\$0	0

NOTE: A full-year 2017 appropriation for this account was not enacted at the time the budget was prepared.

## FY 2018

The FY 2018 request includes resource requirements within OASAM to support the Department and the Department's missions. The total budget authority requested is \$23,496,000 and will support 79 FTE. OASAM will continue to direct resources to support key Departmental initiatives, including IT Modernization and Strategic Human Capital Improvement.

The General Provisions of the FY 2018 President's Request also include a proposal to reinstate a transfer authority to move funds from the Department's salaries and expenses accounts to OCIO for the purposes of procuring IT. The transfer authority would not augment the amount spent on IT, but would transfer resources that agencies would have already spent on IT to OCIO where the procurements can be managed most effectively, economies of scale can be gained, and the Department can ensure that all IT acquisitions meet high quality and security standards.

## FY 2017

Figures shown for FY 2017 reflect the annualized Continuing Resolution level, as a full-year appropriation had not been enacted at the time the budget was produced. The Department will provide an Operating Plan after a full-year appropriation bill is enacted.

## ADMINISTRATION AND MANAGEMENT

<b>BUDGET ACTIVITY BY OBJECT CLASS</b>					
(Dollars in Thousands)					
		<b>FY 2016 Comparable</b>	<b>FY 2017 Estimate</b>	<b>FY 2018 Request</b>	<b>Diff. FY18 Request / FY17 Estimate</b>
11.1	Full-time permanent	11,412	10,829	10,853	24
11.3	Other than full-time permanent	0	13	13	0
11.5	Other personnel compensation	117	112	112	0
11.8	Special personal services payments	0	0	0	0
11.9	<b>Total personnel compensation</b>	<b>11,529</b>	<b>10,954</b>	<b>10,978</b>	<b>24</b>
12.1	Civilian personnel benefits	3,421	1,804	1,780	-24
13.0	Benefits for former personnel	0	0	0	0
21.0	Travel and transportation of persons	143	189	189	0
22.0	Transportation of things	0	0	0	0
23.1	Rental payments to GSA	1,665	1,399	1,399	0
23.3	Communications, utilities, and miscellaneous charges	194	0	0	0
24.0	Printing and reproduction	12	4	4	0
25.1	Advisory and assistance services	126	11	11	0
25.2	Other services from non-Federal sources	248	725	725	0
25.3	Other goods and services from Federal sources 1/	4,429	4,912	4,912	0
25.4	Operation and maintenance of facilities	53	0	0	0
25.5	Research and development contracts	0	0	0	0
25.7	Operation and maintenance of equipment	1,409	3,162	3,162	0
26.0	Supplies and materials	231	266	266	0
31.0	Equipment	90	70	70	0
	<b>Total</b>	<b>23,550</b>	<b>23,496</b>	<b>23,496</b>	<b>0</b>
	1/Other goods and services from Federal sources				
	Services by Other Government Departments	152	22	22	0
	Working Capital Fund	3,764	4,876	4,876	0
	DHS Services	513	14	14	0

# ADMINISTRATION AND MANAGEMENT

## CHANGES IN FY 2018

(Dollars in Thousands)

### Activity Changes

#### Built-In

To Provide For:

Costs of pay adjustments	\$194
Personnel benefits	83
Two days less of Pay	0
Federal Employees' Compensation Act (FECA)	-34
Benefits for former personnel	0
Travel and transportation of persons	0
Transportation of things	0
Rental payments to GSA	0
Communications, utilities, and miscellaneous charges	0
Printing and reproduction	0
Advisory and assistance services	0
Other services from non-Federal sources	0
Working Capital Fund	0
Other Federal sources (Census Bureau)	0
Other Federal sources (DHS Charges)	0
Other goods and services from Federal sources	0
Research & Development Contracts	0
Operation and maintenance of facilities	0
Operation and maintenance of equipment	0
Supplies and materials	0
Equipment	0

**Built-Ins Subtotal** **\$243**

**Net Program** **-\$243**

**Direct FTE** **-6**

	Estimate	FTE
<b>Base</b>	<b>\$23,739</b>	<b>85</b>
<b>Program Increase</b>	<b>\$0</b>	<b>0</b>
<b>Program Decrease</b>	<b>-\$243</b>	<b>-6</b>

## ADJUDICATION

<b>BUDGET AUTHORITY BEFORE THE COMMITTEE</b>				
(Dollars in Thousands)				
	<b>FY 2016 Comparable</b>	<b>FY 2017 Estimate</b>	<b>FY 2018 Request</b>	<b>Diff. FY18 Request / FY17 Estimate</b>
<b>Activity Appropriation</b>	<b>52,716</b>	<b>52,860</b>	<b>54,411</b>	<b>1,551</b>
FTE	258	244	234	-10

NOTE: FY 2016 reflects actual FTE. Authorized FTE for FY 2016 was 158.

### **Introduction**

The Adjudication activity is part of the Department’s overarching Worker Protection effort. Adjudication funds two major components: (1) the Office of the Administrative Law Judges (OALJ) and (2) the Adjudicatory Boards, consisting of the Administrative Review Board (ARB), the Benefits Review Board (BRB), and the Employees’ Compensation Appeals Board (ECAB).

The Office of Administrative Law Judges (OALJ) presides over formal hearings concerning many labor-related matters. The office's mission is to render fair and equitable decisions under the governing law, the facts of each case, and the procedures mandated by the Administrative Procedure Act under which OALJ has established its own rules of practice and procedures.

The Adjudicatory Boards (referred to collectively as the Boards) are quasi-judicial bodies that review and make decisions on several thousand appeals every year under a variety of workers’ compensation benefit and protection laws and programs that are part of the Department’s worker protection mission and that set nationwide standards and legal precedent.

### **Office of Administrative Law Judges (OALJ)**

Hearings concerning Black Lung benefits and Longshore Workers' compensation constitute the largest part of the office's work in addition to the significantly increased Permanent Labor Certification (PERM) Immigration case backlog. In an effort to reduce the cases referred to OALJ during FY 2015, ETA’s Office of Foreign Labor Certification (OFLC) changed its process and no longer automatically forward to the Board of Alien Labor Certification Court of Appeals (BALCA) all PERM case Requests for Reconsideration where the original case decision was upheld. Rather, a Notice of Decision is issued when the case is upheld, and the employer must affirmatively request review before BALCA no later than 30 calendar days after the date the Notice of Decision is issued. This change in methodology has resulted in a significant reduction in the number of PERM cases referred to OALJ. The Department's administrative law judges, however, also hear and decide cases arising from over 80 labor-related statutes and regulations, including, for example, such diverse subjects as:

- Whistleblower complaints involving corporate fraud, nuclear, environmental, pipeline safety, aviation, commercial trucking, railways, and other statutes.
- Minimum wage disputes.
- Enforcement actions involving the working conditions of migrant farm laborers.
- Disputes involving child labor violations.
- Civil fraud in federal programs.

## ADJUDICATION

Designated judges also serve as members of the Board of Alien Labor Certification Appeals (BALCA) which adjudicates the PERM Immigration cases. In addition to formal adjudication, OALJ implements alternative dispute resolution through its settlement judge process.

Over the past decade, OALJ has experienced increased workloads as Congress passed new whistleblower protection laws, such as the Aviation Investment and Reform Act, the Sarbanes-Oxley Act, Federal Rail Safety Act, the National Transit Systems Security Act, and the Pipeline Safety Improvement Act of 2002. Since FY 2008, regulatory changes and reallocation of enforcement priorities at the Employment and Training Administration have resulted in significant increases of administrative law judges hearings relating to H-2A and H-2B temporary labor certification applications. Moreover, appeals relating to Permanent Labor Certification (PERM) applications have not decreased due to the large backlog of cases referred to OALJ since FY 2010 totaling 15,272,419 new cases being appealed through FY 2016 as compared to less than 500 cases per year prior to FY 2010.

### **The Adjudicatory Boards**

*The Administrative Review Board (ARB).* The ARB issues final agency decisions in appeals of cases arising under more than 60 worker-protection statutes and executive orders as outlined in Secretary's Order No. 2-2012 dated November 16, 2012. Most of the ARB's cases arise from whistleblower complaints under corporate fraud, environmental, nuclear, aviation, trucking and rail safety statutes filed with the OSHA Whistleblower Protection Program. The ARB also reviews certain civil rights enforcement actions arising under OFCCP's executive orders and statutes, and worker protection statutes such as the Child Labor and Migrant and Seasonal Worker Protection Acts. A growing number of appeals are also considered under the Davis-Bacon and Service Contract Acts and the H-1B non-immigrant visa provisions of the Immigration and Naturalization Act. In the past 10 years, the federal courts have upheld the ARB decisions in more than 96 percent of cases appealed.

*The Benefits Review Board (BRB).* The BRB was created by Congress in 1972 and decides appeals from the OALJ under the Black Lung Benefits Act, the Longshore and Harbor Workers' Compensation Act, and the Defense Base Act.

The BRB has authority to resolve appeals under these statutes, filed by any party-in-interest, which raise a substantial question of law or fact, and it reviews the decisions of administrative law judges in order to determine whether the findings are supported by substantial evidence and are in accordance with law. The BRB's decisions may be appealed to the U.S. Courts of Appeals in the circuit where the injury arose, and from there to the U.S. Supreme Court. Historically, less than 15 percent of the BRB decisions are appealed to the federal circuit courts, and 85 percent of these are affirmed.

The BRB, by statute, consists of five Members appointed by the Secretary of Labor, one of whom is designated as Chair and Chief Administrative Appeals Judge. Consistent with its statutory mandate, the BRB's mission is to issue decisions on the appeals pending before it with expediency, consistency and impartiality.

## ADJUDICATION

*The Employees' Compensation Appeals Board (ECAB).* The ECAB was established by statute in 1946 to hear and make final decisions on appeals from determinations of the Office of Workers' Compensation Programs (OWCP) in claims of federal employees arising under the Federal Employees' Compensation Act (FECA). Any ill or injured federal employee adversely affected by an OWCP decision may request a review of that decision by the ECAB, either before or after a full evidentiary hearing before OWCP's Branch of Hearings and Review. The ECAB's exclusive jurisdiction extends to deciding questions of fact and law, as well as the exercise of discretion. Decisions are based on a de novo review of the supporting case record. The ECAB, through its written decisions, has the responsibility for definitively interpreting the FECA in the resolution of controversies raised on appeal and in such a manner as will fully protect the rights of all interested parties. The ECAB decisions are final, binding on OWCP, and not subject to judicial review.

### **Five-Year Budget Activity History**<sup>3</sup>

<b><u>Fiscal Year</u></b>	<b><u>Funding</u></b> (Dollars in Thousands)	<b><u>FTE</u></b>
2013	\$27,646	158
2014	\$29,420	155
2015	\$29,420	161
2016	\$32,000	158
2017	\$0	0

NOTE: A full-year 2017 appropriation for this account was not enacted at the time the budget was prepared.

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<sup>3</sup> This table reflects direct discretionary funding sources and FTE.

### **FY 2018**

A total of \$54,411,000 and 234 FTE are requested for Adjudication. The request includes an increase of \$1,551,000 in Black Lung Disability Trust Funds to meet workload needs. The Department has made significant progress in addressing the backlog in black lung cases, as performance data included in the request demonstrates, and the additional resources will allow Adjudication to continue to make progress.

**Administrative Law Judges:** At the requested level, OALJ will be able to continue reducing its Black Lung backlog. Under OALJ's Black Lung Reduction Plan which was implemented in FY 2015 and subsequent versions in FY 2016 and FY 2017, the number of cases disposed significantly increased due to the increased funding. In FY 2014 OALJ disposed of 813 Black Lung cases. That number increased to 1,088 cases and in FY 2015, and in FY 2016 OALJ disposed of 1,645 Black Lung cases. In the first half of FY 2017, OALJ has disposed of 842 cases. This is in addition to the thousands of other case types that were disposed of in those same years.

OALJ hears and decides cases that arise from a DOL agency such as the Office of Worker's Compensation for Black Lung and Longshore or cases directly, such as some whistleblower complaints. The life cycle of a case starts within a DOL agency which can be appealed to the

## ADJUDICATION

OALJ for a hearing and may be appealed depending on the regulation to the Benefits Review Board, to the Administrative Review Board, or to other venues. OALJ holds hearings within 75 miles of the claimant's home. To manage this workload, OALJ has seven District Offices across the country in areas where they can easily serve the parties in the cases. Each office houses a courtroom to hold hearings in that location when feasible to the parties. All hearings are open to the public and are transcribed by court reporters. The case file is paper based, but the tracking of all the events which occur in each case and all the documents issued by the judges are electronic. Judges issue approximately 25,000 documents a year and all final decisions are published on OALJ's website as required under eFOIA.

**Adjudicatory Boards:** At the request level, the Boards will continue their commitment to the careful review and consideration of appeals and the issuance of high quality decisions.

*Administrative Review Board (ARB):* The number and range of cases appealed to the ARB in FY 2018 are expected to remain steady with respect to the FY 2016 levels at the FY 2018 President's Budget funding level. Most of the appeals to the ARB arise from decisions of the OALJ, and more than 80 percent of these originate under whistleblower statutes. The stability assumes no additional change in law, environmental factors, and enforcement patterns in FY 2018. The ARB projects the average age of pending cases to remain at 13 months in FY 2018. These projections are affected, however, by the mix, volume and complexity of the cases received during the year and the ARB resource levels. Production is expected to be relatively similar to FY 2017 levels in FY 2018. Decided and new cases are projected to be 100, resulting in 110 pending appeals at the end of the FY 2018 with an average case time of 13 months.

*Benefits Review Board (BRB):* Projected decreases in FY 2018 OALJ production is expected to drive the decrease in workload at the BRB. Traditionally, as the OALJ renders its decisions, the BRB Black Lung receives 30 to 35 percent of those cases in appeals while BRB Longshore/LDA receives 5 to 7 percent. In FY 2018, the BRB will continue to produce timely, high quality decisions and minimize or avoid a backlog. Longshore/LDA will receive 160 new cases and decide 157 cases resulting in pending cases of 111. Black Lung will receive 465 new cases and decide 481 cases resulting in 423 Black Lung pending appeals.

*Employees' Compensation Appeals Board (ECAB):* Appeals to ECAB come directly from the Office of Worker's Compensation Programs (OWCP). ECAB projects that 1,900 new appeals will docketed in FY 2018. At the Request Level, ECAB will be able to close 1,800 appeals. The result will be 1,441 pending appeals. ECAB will continue to seek and make adjustments in case processing to minimize or avoid a backlog and maintain the projected average case processing time of 7 months.

### **FY 2017**

Figures shown for FY 2017 reflect the annualized Continuing Resolution level, as a full-year appropriation had not been enacted at the time the budget was produced. The Department will provide an Operating Plan after a full-year appropriation bill is enacted.



## ADJUDICATION

<b>DETAILED WORKLOAD AND PERFORMANCE</b>					
	<b>FY 2016 Enacted</b>		<b>FY 2017 Full Year C.R.</b>	<b>FY 2018 Request</b>	
	<b>Target</b>	<b>Result</b>	<b>Target</b>	<b>Target</b>	
<b>Adjudication</b>					
<b>Administrative Law Judges</b>					
ALJ-BL-01	OALJ BLACK LUNG New Cases:	1,100[p]	1,198	1,100[p]	1,100[p]
ALJ-BL-02	OALJ BLACK LUNG Dispositions:	1,328	1,645	1,428	1,328
ALJ-BL-03	OALJ BLACK LUNG Pending Cases:	2,909[p]	2,690	2,362[p]	2,134[p]
ALJ-BL-04	OALJ BLACK LUNG Pending Months:	26	20	20	19
ALJ-IM-01	OALJ IMMIGRATION New Cases:	750[p]	853	750[p]	750[p]
ALJ-IM-02	OALJ IMMIGRATION Dispositions:	1,300	1,445	1,350	1,200
ALJ-IM-03	OALJ IMMIGRATION Pending Cases:	3,646[p]	3,604	3,004[p]	2,554[p]
ALJ-IM-04	OALJ IMMIGRATION Pending Months:	34	30	27	26
ALJ-TI-01	OALJ TRADITIONAL IMMIGRATION New Cases:	175[p]	212	175[p]	175[p]
ALJ-TI-02	OALJ TRADITIONAL IMMIGRATION Dispositions:	175	208	180	150
ALJ-TI-03	OALJ TRADITIONAL IMMIGRATION Pending Cases:	35[p]	39	34[p]	59[p]
ALJ-TI-04	OALJ TRADITIONAL IMMIGRATION Pending Months:	2	2	2	5
ALJ-T-01	OALJ TRADITIONAL New Cases:	425[p]	451	450[p]	450[p]
ALJ-T-02	OALJ TRADITIONAL Dispositions:	465	482	475	450

## ADJUDICATION

<b>DETAILED WORKLOAD AND PERFORMANCE</b>					
		<b>FY 2016 Enacted</b>		<b>FY 2017 Full Year C.R.</b>	<b>FY 2018 Request</b>
		<b>Target</b>	<b>Result</b>	<b>Target</b>	<b>Target</b>
ALJ-T-03	OALJ TRADITIONAL Pending Cases:	618[p]	627	602[p]	602[p]
ALJ-T-04	OALJ TRADITIONAL Pending Months:	16	16	15	16
ALJ-LS-01	OALJ LONGSHORE New Cases:	2,050[p]	2,081	2,025[p]	2,025[p]
ALJ-LS-02	OALJ LONGSHORE Dispositions:	2,045	2,155	2,050	2,000
ALJ-LS-03	OALJ LONGSHORE Pending Cases:	1,895[p]	1,816	1,791[p]	1,816[p]
ALJ-LS-04	OALJ LONGSHORE Pending Months:	11	10	10	11
ALJ-LDA-01	OALJ DEFENSE BASE ACT New Cases:	900[p]	981	925[p]	925[p]
ALJ-LDA-02	OALJ DEFENSE BASE ACT Dispositions:	830	991	900	900
ALJ-LDA-03	OALJ DEFENSE BASE ACT Pending Cases:	904[p]	824	849[p]	874[p]
ALJ-LDA-04	OALJ DEFENSE BASE ACT Pending Months:	13	10	11	12
<b>Employees' Compensation Appeals Board</b>					
ECAB-01	New Appeals	2,200[p]	1,918	1,900[p]	1,900[p]
ECAB-02	Closed Appeals	1,780	1,789	1,800	1,800
ECAB-03	Pending Appeals	1,300	1,241	1,341	1,441

## ADJUDICATION

<b>DETAILED WORKLOAD AND PERFORMANCE</b>					
		<b>FY 2016 Enacted</b>		<b>FY 2017 Full Year C.R.</b>	<b>FY 2018 Request</b>
		<b>Target</b>	<b>Result</b>	<b>Target</b>	<b>Target</b>
ECAB-05	Average Case Processing Time	8.50	7.22	7.00	7.00
<b>Adjudication General Fund</b>					
BRB- LS/LDA- 01	New Appeals	192[p]	167	156[p]	160[p]
BRB- LS/LDA- 02	Closed Appeals	170	163	145	157
BRB- LS/LDA- 03	Pending Appeals	166	97	108	111
BRB- LS/LDA- 05	Average Case Processing Time	11.00	9.70	10.50	11.00
BRB- LS/LDA- 06	Attorney Fee Petitions Filed	50[p]	45	45[p]	45[p]
BRB- LS/LDA- 07	Attorney Fee Orders Issued	40[p]	34	35[p]	35[p]
BRB- LS/LDA- 08	Motions for Reconsiderations Filed	17[p]	19	15[p]	15[p]

## ADJUDICATION

<b>DETAILED WORKLOAD AND PERFORMANCE</b>					
		<b>FY 2016 Enacted</b>		<b>FY 2017 Full Year C.R.</b>	<b>FY 2018 Request</b>
		<b>Target</b>	<b>Result</b>	<b>Target</b>	<b>Target</b>
BRB- LS/LDA- 09	Orders on Reconsiderations Issued	17[p]	16	15[p]	15[p]
BRB- LS/LDA- 12	Affirmance Rate	85.00%	84.00%	85.00%	85.00%
<b>Administrative Review Board</b>					
ARB-01	New Appeals	105[p]	94	105[p]	100[p]
ARB-02	Closed Appeals	105	93	105	100
ARB-03	Pending Appeals	104	110	104	110
ARB-05	Average Case Processing Time	13.00	13.00	13.00	13.00
<b>Adjudication Black Lung Fund</b>					
BRB-BL- 01	New Appeals	552[p]	572	500[p]	465[p]
BRB-BL- 02	Closed Appeals	406	536	450	481
BRB-BL- 03	Pending Appeals	414	396	439	423
BRB-BL- 05	Average Case Processing Time	11.00	11.50	11.00	12.00

## ADJUDICATION

<b>DETAILED WORKLOAD AND PERFORMANCE</b>					
		<b>FY 2016 Enacted</b>		<b>FY 2017 Full Year C.R.</b>	<b>FY 2018 Request</b>
		<b>Target</b>	<b>Result</b>	<b>Target</b>	<b>Target</b>
BRB-BL-06	Attorney Fee Petitions Filed	250[p]	224	220[p]	220[p]
BRB-BL-07	Attorney Fee Orders Issued	250[p]	216	225[p]	225[p]
BRB-BL-08	Motions for Reconsiderations Filed	45[p]	24	25[p]	25[p]
BRB-BL-09	Orders on Reconsiderations Issued	45[p]	16	25[p]	25[p]
BRB-BL-12	Affirmance Rate	85.00%	92.50%	85.00%	85.00%

Legend: (r) Revised (e) Estimate (base) Baseline -- Not Applicable TBD - To Be Determined [p] - Projection

# ADJUDICATION

## Detailed Workload Performance Narrative

### Administrative Law Judges:

The FY 2018 request level will enable OALJ to continue reducing Black Lung pending case backlogs. In FY 2018, OALJ will dispose of 1,328 cases. The backlog of cases awaiting decision continues to decrease from 2,690 cases at the end of FY 2016 to projected 2,362 Black Lung cases pending at the end of FY 2017 and continuing to decline with 2,134 projected to be pending at the end of FY 2018.

OALJ will be continuing to utilize its increased funding in FY 2016 into FY 2017 to reduce the projected Immigration backlogs in the Permanent Alien Labor Certification (PERM) program. For the Longshore program, OALJ is projected to dispose of 2,000 cases along with 900 Defense Base Act cases. The Traditional mix of cases is projected at 650 cases.

Thus, in FY 2018, OALJ will continue to address a changing mix of adjudicatory responsibilities, with a rising number of immigration-related appeals, new types of whistleblower cases, and Defense Base Act hearings, plus Longshore, Immigration and Black Lung cases. OALJ will adjust to these changes by assigning cases throughout the country based on geographic location without regard to case type.

### Adjudicatory Boards:

Workload estimates for all three Adjudicatory Boards are based on Worker Protection claims. Actual incoming workload remains outside the control of the Boards and is affected by such factors as changes to workers' compensation laws, attorney/representative involvement in the appeals process, and increases and decreases in the workforce.

More than 90 percent of the Administrative Review Boards (ARB) appeals come from the Office of Administrative Law Judges (OALJ) as do virtually all new appeals to the Benefits Review Board (BRB). All appeals to the Employees' Compensation Appeals Board (ECAB) originate in the Federal Employees Compensation Division of the Office of Workers' Compensation Programs (OWCP). By the time the Boards receive an appeal, the original claim may be several years old. Any delay at the appellate level is likely to be viewed as a hardship by the parties.

The ARB expects 100 new appeals to be filed in FY 2018. The ARB's goal is to close 100 cases at the request level. Pending appeals are projected to increase at 110 appeals. Average case processing time is not expected to change from FY 2017 as a projected 13 months.

The BRB Black Lung (BL) new appeals are expected to decrease to 465 appeals in FY 2018 as a result of the projected production by the OALJ. BRB BL production is directly related to OALJ BL production. Historically, 35% of OALJ BL decisions are appealed to BRB. There are 481 appeals expected to be closed in FY 2018 which is an increase of 31 appeals from FY 2017. Pending appeals will decrease to 423, and the BRB BL is expecting average case processing times to increase slightly to 12 months which is consistent with the FY 2017 actual case processing times.

## ADJUDICATION

The BRB Longshore (LS/LDA) projects new appeals filed in FY 2018 to be 160 which is based on production estimates by the OALJ. The BRB LS/LDA volume is directly related to OALJ LS/LDA production. Historically, approximately 5-7% of OALJ LS/LDA decisions are appealed to the BRB. The BRB LS/LDA expects to close 157 appeals in FY 2018. Based on OALJ LS/LDA projections, pending appeals will increase slightly to 111 pending appeals at the end of FY 2018. Average case processing time is expected to remain at 11 months.

New appeals to the ECAB are expected to be 1,900 in FY 2018. At the request level, closed appeals are expected to decrease to 1,800 by year-end. Pending appeals would increase to 1,441. Funding at this level will allow the ECAB to maintain the average case processing time at 7 months. Full funding will ensure that the ECAB continues to produce high-quality decisions on a timely basis.

## ADJUDICATION

<b>BUDGET ACTIVITY BY OBJECT CLASS</b>					
(Dollars in Thousands)					
		<b>FY 2016 Comparable</b>	<b>FY 2017 Estimate</b>	<b>FY 2018 Request</b>	<b>Diff. FY18 Request / FY17 Estimate</b>
11.1	Full-time permanent	27,382	27,254	28,549	1,295
11.3	Other than full-time permanent	658	764	764	0
11.5	Other personnel compensation	218	421	421	0
11.9	<b>Total personnel compensation</b>	<b>28,258</b>	<b>28,439</b>	<b>29,734</b>	<b>1,295</b>
12.1	Civilian personnel benefits	7,381	8,005	8,261	256
13.0	Benefits for former personnel	0	0	0	0
21.0	Travel and transportation of persons	325	520	520	0
22.0	Transportation of things	0	0	0	0
23.1	Rental payments to GSA	4,170	4,125	4,125	0
23.2	Rental payments to others	15	5	5	0
23.3	Communications, utilities, and miscellaneous charges	183	382	382	0
24.0	Printing and reproduction	6	2	2	0
25.1	Advisory and assistance services	61	276	276	0
25.2	Other services from non-Federal sources	257	2,163	2,163	0
25.3	Other goods and services from Federal sources 1/	7,977	8,055	8,055	0
25.4	Operation and maintenance of facilities	0	0	0	0
25.5	Research and development contracts	0	0	0	0
25.7	Operation and maintenance of equipment	3,508	245	245	0
26.0	Supplies and materials	212	468	468	0
31.0	Equipment	363	175	175	0
42.0	Insurance claims and indemnities	0	0	0	0
	<b>Total</b>	<b>52,716</b>	<b>52,860</b>	<b>54,411</b>	<b>1,551</b>
	1/Other goods and services from Federal sources				
	Working Capital Fund	6,429	7,490	7,490	0
	DHS Services	222	565	565	0
	Services by Other Government Departments	1,326	0	0	0



# ADJUDICATION

## CHANGES IN FY 2018

(Dollars in Thousands)

### Activity Changes

#### Built-In

To Provide For:

Costs of pay adjustments	\$698
Personnel benefits	0
Two days less of Pay	0
Federal Employees' Compensation Act (FECA)	0
Benefits for former personnel	0
Travel and transportation of persons	0
Transportation of things	0
Rental payments to GSA	0
Rental payments to others	0
Communications, utilities, and miscellaneous charges	0
Printing and reproduction	0
Advisory and assistance services	0
Other services from non-Federal sources	0
Working Capital Fund	0
Other Federal sources (DHS Charges)	0
Other goods and services from Federal sources	0
Research & Development Contracts	0
Operation and maintenance of facilities	0
Operation and maintenance of equipment	0
Supplies and materials	0
Equipment	0
Insurance claims and indemnities	0

**Built-Ins Subtotal** **\$698**

**Net Program** **\$853**

**Direct FTE** **-10**

	Estimate	FTE
<b>Base</b>	<b>\$53,558</b>	<b>244</b>
<b>Program Increase</b>	<b>\$1,551</b>	<b>0</b>
<b>Program Decrease</b>	<b>-\$698</b>	<b>-10</b>



## WOMEN'S BUREAU

<b>BUDGET AUTHORITY BEFORE THE COMMITTEE</b>				
(Dollars in Thousands)				
	<b>FY 2016 Comparable</b>	<b>FY 2017 Estimate</b>	<b>FY 2018 Request</b>	<b>Diff. FY18 Request / FY17 Estimate</b>
<b>Activity Appropriation</b>	<b>11,536</b>	<b>11,514</b>	<b>2,925</b>	<b>-8,589</b>
FTE	51	46	15	-31

NOTE: FY 2016 reflects actual FTE. Authorized FTE for FY 2016 was 52.

### **Introduction**

The mission of the Women's Bureau (the Bureau) is to conduct research to help Departmental agencies develop policies that advance the interests of working women. The Bureau achieves this mission by: planning and executing the Bureau's in-house research agenda, which includes both qualitative research and quantitative analysis and providing guidance and input to other agencies regarding the structure and implementation of a wide range of programs, policies and initiatives with implications for women workers.

### **Five-Year Budget Activity History**

<b><u>Fiscal Year</u></b>	<b><u>Funding</u></b> (Dollars in Thousands)	<b><u>FTE</u></b>
2013	\$10,955	56
2014	\$11,536	56
2015	\$11,536	54
2016	\$11,536	52
2017	\$0	0

NOTE: A full-year 2017 appropriation for this account was not enacted at the time the budget was prepared.

### **FY 2018**

A total of \$2,925,000 and 15 FTE are requested for the Women's Bureau in FY 2018. The request includes a program decrease of \$8,589,000 and 31 FTE. At this funding level, the Women's Bureau will focus on its core mission of research to aid the Department in developing policies to address the interests of working women. The Bureau will be streamlined from its current structure; regional offices and the grants program will be eliminated.

The WB will work in collaboration with other agencies at the Department of Labor and throughout the Federal government to support policy development. In particular, the Bureau will conduct research and collaborate with the Employment and Training Administration, Veterans Employment and Training Services, and worker protection agencies to support policy development that addresses the interests of working women.

## WOMEN'S BUREAU

### **FY2017**

Figures shown for FY 2017 reflect the annualized Continuing Resolution level, as a full-year appropriation had not been enacted at the time the budget was produced. The Department will provide an Operating Plan after a full-year appropriation bill is enacted.

## WOMEN'S BUREAU

<b>DETAILED WORKLOAD AND PERFORMANCE</b>					
		<b>FY 2016 Enacted</b>		<b>FY 2017 Full Year C.R.</b>	<b>FY 2018 Request</b>
		<b>Target</b>	<b>Result</b>	<b>Target</b>	<b>Target</b>
<b>Women's Bureau</b>					
1-WB-PRO-01	Number of Policy & Research Deliverables	20	21	18	TBD
2-WB-CEA-01	Number of Community Engagement Activities	144	183	144	TBD
3-WB-POC-01	Number of Public Outreach Communications	24	31	8	TBD
5-WB-PRE-01	Number of Policy and Research Events	6	8	6	TBD
8-WB-CS-02	Percent of survey respondents who report that they gained useful and relevant information from the discussion and/or materials distributed at WB's events	[base]	89.0%	96.0%	TBD

Legend: (r) Revised (e) Estimate (base) Baseline -- Not Applicable TBD - To Be Determined [p] - Projection

# WOMEN'S BUREAU

## Detailed Workload Performance Narrative

The Women's Bureau will rebaseline its measures in FY 2018.

## WOMEN'S BUREAU

<b>BUDGET ACTIVITY BY OBJECT CLASS</b>					
(Dollars in Thousands)					
		<b>FY 2016 Comparable</b>	<b>FY 2017 Estimate</b>	<b>FY 2018 Request</b>	<b>Diff. FY18 Request / FY17 Estimate</b>
11.1	Full-time permanent	5,037	4,637	1,500	-3,137
11.3	Other than full-time permanent	73	34	0	-34
11.5	Other personnel compensation	50	55	0	-55
11.9	<b>Total personnel compensation</b>	<b>5,160</b>	<b>4,726</b>	<b>1,500</b>	<b>-3,226</b>
12.1	Civilian personnel benefits	1,598	1,406	450	-956
21.0	Travel and transportation of persons	144	156	0	-156
22.0	Transportation of things	0	0	0	0
23.1	Rental payments to GSA	748	770	770	0
23.2	Rental payments to others	0	0	0	0
23.3	Communications, utilities, and miscellaneous charges	26	41	0	-41
24.0	Printing and reproduction	30	15	0	-15
25.1	Advisory and assistance services	456	50	50	0
25.2	Other services from non-Federal sources	84	108	25	-83
25.3	Other goods and services from Federal sources 1/	2,185	2,489	130	-2,359
25.4	Operation and maintenance of facilities	0	135	0	-135
25.5	Research and development contracts	0	311	0	-311
25.7	Operation and maintenance of equipment	35	11	0	-11
26.0	Supplies and materials	55	69	0	-69
31.0	Equipment	15	27	0	-27
41.0	Grants, subsidies, and contributions	1,000	1,200	0	-1,200
99.0	Other Fund Sources	0	0	0	0
	<b>Total</b>	<b>11,536</b>	<b>11,514</b>	<b>2,925</b>	<b>-8,589</b>
	1/Other goods and services from Federal sources				
	Working Capital Fund	1,756	1,919	-440	-2,359
	DHS Services	58	59	59	0
	Services by DOL Agencies	361	3	3	0
	GSA Services	3	3	3	0
	Services by Other Government Departments	6	501	501	0

# WOMEN'S BUREAU

## CHANGES IN FY 2018

(Dollars in Thousands)

### Activity Changes

#### Built-In

To Provide For:

Costs of pay adjustments	\$0
Personnel benefits	0
Two days less of Pay	0
Federal Employees' Compensation Act (FECA)	0
Travel and transportation of persons	0
Transportation of things	0
Rental payments to GSA	0
Rental payments to others	0
Communications, utilities, and miscellaneous charges	0
Printing and reproduction	0
Advisory and assistance services	0
Other services from non-Federal sources	0
Working Capital Fund	0
Other Federal sources (DHS Charges)	0
Other goods and services from Federal sources	0
Research & Development Contracts	0
Operation and maintenance of facilities	0
Operation and maintenance of equipment	0
Supplies and materials	0
Equipment	0
Grants, subsidies, and contributions	0

**Built-Ins Subtotal** **\$0**

**Net Program** **-\$8,589**

**Direct FTE** **-31**

	Estimate	FTE
<b>Base</b>	<b>\$11,514</b>	<b>46</b>
<b>Program Increase</b>	<b>\$0</b>	<b>0</b>
<b>Program Decrease</b>	<b>-\$8,589</b>	<b>-31</b>



## CIVIL RIGHTS

<b>BUDGET AUTHORITY BEFORE THE COMMITTEE</b>				
(Dollars in Thousands)				
	<b>FY 2016 Comparable</b>	<b>FY 2017 Estimate</b>	<b>FY 2018 Request</b>	<b>Diff. FY18 Request / FY17 Estimate</b>
<b>Activity Appropriation</b>	<b>6,880</b>	<b>6,867</b>	<b>6,867</b>	<b>0</b>
FTE	33	30	30	0

NOTE: FY 2016 reflects actual FTE. Authorized FTE for FY 2016 was 37.

### **Introduction**

Operating under authority delegated pursuant to Secretary’s Orders, the Civil Rights Center (CRC) is the organizational unit within the Department of Labor (DOL) responsible for ensuring nondiscrimination and equal opportunity for two primary populations: 1) employees of, and applicants for employment with, DOL; and 2) nearly 60 million individuals served and employed by programs and activities across the nation that are related to labor and the workforce. CRC’s responsibility for the latter population is principally concentrated on the public workforce system, which delivers services primarily (although not exclusively) through the nationwide network of American Job Centers/One-Stop Career Centers.

CRC’s Office of Internal Enforcement (OIE) is responsible for processing discrimination complaints filed by DOL employees and applicants for employment with DOL and for managing the Department’s Reasonable Accommodation Resource Center and Centralized Accommodations Fund. OIE also coordinates enforcement of DOL compliance with the Architectural Barriers Act of 1968, develops and submits civil rights-related program plans and accomplishment reports, and provides training and technical assistance to DOL managers, supervisors, and employees about internal Equal Employment Opportunity (EEO) matters.

CRC’s Office of External Enforcement (OEE) assesses, investigates, and/or adjudicates complaints alleging discrimination and/or violations of equal opportunity requirements by recipients of financial assistance under Title I of the Workforce Investment Act (WIA), and, since July 1, 2015, Title I of the Workforce Innovation and Opportunity Act (WIOA); One-Stop partners listed in Section 121 of WIA and/or WIOA that offer programs or activities through the public workforce development system; for disability-related matters only, State and local governments and other public entities operating programs and activities related to labor and the workforce, regardless of whether they receive federal financial assistance; and any recipients of financial assistance from, or programs conducted by, DOL that are not included in the categories above. Public job referral and job training programs, as well as the Unemployment Insurance (UI) and Job Corps programs, are examples of the programs over which OEE has jurisdiction.

The Office of Compliance and Policy (OCAP) conducts compliance reviews of the same entities listed under OEE, including reviewing State Governors’ implementation of their equal opportunity and nondiscrimination plans; develops regulations and guidance documents; reviews proposed legislation, draft regulations, guidance documents, and other materials developed by

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agencies within and outside of DOL; conducts other policy-related activities; and, provides training and technical assistance for internal and external stakeholders.

### **Five-Year Budget Activity History**

<b><u>Fiscal Year</u></b>	<b><u>Funding</u></b> (Dollars in Thousands)	<b><u>FTE</u></b>
2013	\$6,430	34
2014	\$6,880	36
2015	\$6,880	36
2016	\$6,880	37
2017	\$0	0

NOTE: A full-year 2017 appropriation for this account was not enacted at the time the budget was prepared.

### **FY 2018**

For FY 2018, CRC requests a total of \$6,867,000 and 30 FTE. At this level of funding, CRC will be able to maintain its core functions: administering and enforcing statutory, regulatory, and Departmental requirements to prohibit discrimination in programs and activities receiving Federal financial assistance; and directing, implementing, and managing the Department's Equal Employment Opportunity (EEO) program to assure equal opportunity for all DOL employees and applicants for employment.

### **FY 2017**

Figures shown for FY 2017 reflect the annualized Continuing Resolution level, as a full-year appropriation had not been enacted at the time the budget was produced. The Department will provide an Operating Plan after a full-year appropriation bill is enacted.

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<b>DETAILED WORKLOAD AND PERFORMANCE</b>					
		<b>FY 2016 Enacted</b>		<b>FY 2017 Full Year C.R.</b>	<b>FY 2018 Request</b>
		<b>Target</b>	<b>Result</b>	<b>Target</b>	<b>Target</b>
<b>Civil Rights</b>					
OASAM-DM-CRC-2	Internal Enforcement: Percent of EEO Counseling Sessions Completed within Regulatory Timeframes	95.00%	100.00%	95.00%	95.00%
OASAM-DM-CRC-4	Internal Enforcement: ADR Success Rate (demand)	30.00%[p]	50.00%	40.00%[p]	40.00%[p]
OASAM-DM-CRC-6	Internal Enforcement: Percent of Investigations Issued within Regulatory Timeframes	80.00%	84.00%	75.00%	75.00%
OASAM-DM-CRC-7	Internal Enforcement: Percent of Final Agency Decisions (FADs) Issued within Regulatory Timeframes	80.00%	70.00%	70.00%	70.00%
OASAM-DM-CRC-P-2	Internal Enforcement: Number of Informal Internal Complaints Received	200[p]	206	200[p]	200[p]
OASAM-DM-CRC-P-3	Internal Enforcement: Number of Formal Internal Complaints Received	120[p]	129	120[p]	120[p]
OASAM-DM-CRC-11	External Enforcement: Number of Investigations Initiated	25	24	25	31
OASAM-DM-CRC-13	External Enforcement: Number of External Investigations Completed	20	11	22	25
OASAM-DM-CRC-32	External Enforcement: Number of Case Resolutions (Final Determinations and Conciliation Agreements)	22	16	25	25
OASAM-DM-CRC-P-8	External Enforcement: Number of External Complaints Received (Demand)	750[p]	813	750[p]	775[p]

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<b>DETAILED WORKLOAD AND PERFORMANCE</b>					
		<b>FY 2016 Enacted</b>		<b>FY 2017 Full Year C.R.</b>	<b>FY 2018 Request</b>
		<b>Target</b>	<b>Result</b>	<b>Target</b>	<b>Target</b>
OASAM-DM- CRC-P-10	External Enforcement: Number of Dismissals	560[p]	563	560[p]	600[p]
OASAM-DM- CRC-P-13	External Enforcement: Number of Cases Pending a Resolution (Determination/Settlement/Conciliation)	35	30	25	25
OASAM-DM- CRC-15	Compliance and Policy: Percent of Progress Reports Reviewed Annually that Demonstrate Progress Towards Compliance	TBD	--	[base]	TBD
OASAM-DM- CRC-22	Compliance and Policy: Number of External Compliance Reviews Conducted	7	1	7	7
OASAM-DM- CRC-P-15	Compliance and Policy: Number of Webinars Conducted Annually	[base]	--	[base]	TBD
OASAM-DM- CRC-P-16	Compliance and Policy: Number of Guidance Documents Produced Annually	[base]	--	[base]	TBD

Legend: (r) Revised (e) Estimate (base) Baseline -- Not Applicable TBD - To Be Determined [p] - Projection

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## Detailed Workload Performance Narrative

### External Program

The specific entities over which CRC's external program has jurisdiction employ and/or provide services to nearly 60 million people. These entities include, but are not limited to, more than 2500 American Job Centers across the nation, serving millions of customers each year; 125 Job Corps Centers, serving more than 60,000 students annually; the unemployment insurance programs of the 50 states, the District of Columbia, the Commonwealth of Puerto Rico, and other outlying areas; and countless eligible training providers. For disability-related matters only, CRC's external jurisdiction also extends to State and local governments and other public entities operating programs and activities related to labor and the work force, regardless of whether the entities receive federal financial assistance. The Office of External Enforcement (OEE) and the Office of Compliance and Policy (OCAP) comprise CRC's external program.

### *Office of External Enforcement*

CRC's OEE processes, investigates, and adjudicates complaints alleging discrimination against customers, applicants, employees, or members of the general public, by any of the external and DOL-conducted programs and entities described above. For the past several years, CRC has been "re-engineering" OEE, to streamline procedures and improve substantive quality. These efforts have resulted in the elimination of a significant backlog of cases and more-appropriate handling of cases in which violations of the law have been identified.

Given the publicity received by CRC's WIOA nondiscrimination regulations, CRC anticipates the number of complaints filed under external programs to rise. In FY 2016, OEE:

- Resolved 16 cases, either through settlement or issuance of a Final Determination. Significantly, of these 16 cases, only three (3) involved findings of no reasonable cause to believe the law had been violated (final Determinations were issued in two additional cases in which the law had been violated, but for various reasons CRC was unable to hold the named Respondents liable for the violation). The resolutions included settlements that were reached in a total of eleven (11) cases involving apparent violations of the law. All of the latter settlements required the entities involved to take appropriate remedial actions.
- Issued Initial Determinations finding discrimination in five (5) cases.
- Issued Informal Letters of Finding, advising Respondents of OEE's findings of systemic discrimination and inviting them to enter into settlement negotiations, in seven (7) cases.
- Initiated 24 new investigations.

In the first quarter of FY 2017, CRC published revised regulations that implement the nondiscrimination provisions of Section 188 of WIOA. Therefore, OEE's focuses in FY 2017 include bringing staff up to speed on the revised requirements of the regulations and appropriate

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standards for investigating and issuing determinations on complaints brought under those revised requirements. For FY 2018, OEE will also explore various methods of electronic storage and sharing of investigative files in an effort to lessen its reliance on hard-copy documents. In FY 2018, OEE plans to initiate 25 investigations, complete 22 investigations, and resolve 25 cases.

### *Office of Compliance and Policy*

The enactment of the WIOA in FY 2014 required CRC, in FY 2015, to write new implementing regulations for the WIOA nondiscrimination provisions, consuming significant OCAP resources. In FY 2015, OCAP issued the implementing regulations for WIOA in a new 29 CFR part 38 to ensure continued protection against discrimination and, at the same time, worked to update the regulations to reflect changes in civil right laws since the WIA regulations were written more than a dozen years ago. In 2016, OCAP wrote a Notice of Proposed Rulemaking modernizing and streamlining the implementing regulations; received and reviewed public comments; drafted a final rule taking those comments into consideration; shepherded the draft through both departmental, Department of Justice, and OMB clearances; and published a final rule in the Federal Register in December 2016.

The regulated community will require extensive technical assistance to facilitate compliance with the revised rule. Therefore, OCAP will shift its limited resources away from compliance reviews and focus on the delivery of training and compliance assistance for State and local equal opportunity officers. Stakeholders will appropriately expect this introduction before they are asked to demonstrate compliance and/or be subject to enforcement proceedings. Accordingly, in FY 2017, OCAP will focus on training staff on conducting reviews, developing progress reports and compliance assistance material and conducting training as well as training stakeholders on changes to the regulations for Section 188 of WIOA.

In FY 2017, OCAP plans to conduct seven compliance reviews and continue to baseline its new measures: the number of progress reports reviewed that demonstrate continued compliance, the number of webinars, and the number of guidance documents issued. OCAP will use baseline results to establish targets for FY 2018.

### Internal (Equal Employment Opportunity (EEO)) Program

CRC's Office of Internal Enforcement (OIE) administers DOL's internal EEO complaint program and the Reasonable Accommodation Resource Center (funded under the Working Capital Fund), both of which serve DOL employees and applicant for employment with DOL. Funding at this level will support efforts designed to reduce EEO complaints and to adjudicate complaints in a timely and effective manner. To do this, CRC will focus on Alternative Dispute Resolution (ADR) and training. In FY 2016, OIE completed 100 percent of EEO counseling sessions within regulatory timeframes, issued 70 percent of final agency decisions within

## **CIVIL RIGHTS**

regulatory timeframes, and completed 84 percent of internal investigations within regulatory timeframes. During FY 2016, the CRC recruited, trained and appointed 40 collateral-duty EEO counselors to provide EEO counseling services, including ADR.

OIE will maintain its aggressive targets for percent of internal investigations completed within regulatory timeframes and percent of final agency decisions completed within regulatory timeframes in FY 2017/18. In FY 2018, OIE plans to complete at least 95 percent of EEO Counseling Sessions within regulatory timeframes

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<b>BUDGET ACTIVITY BY OBJECT CLASS</b>					
(Dollars in Thousands)					
		<b>FY 2016 Comparable</b>	<b>FY 2017 Estimate</b>	<b>FY 2018 Request</b>	<b>Diff. FY18 Request / FY17 Estimate</b>
11.1	Full-time permanent	3,602	3,350	3,350	0
11.3	Other than full-time permanent	13	19	19	0
11.5	Other personnel compensation	36	34	34	0
11.9	<b>Total personnel compensation</b>	<b>3,651</b>	<b>3,403</b>	<b>3,403</b>	<b>0</b>
12.1	Civilian personnel benefits	1,044	1,033	1,033	0
13.0	Benefits for former personnel	0	0	0	0
21.0	Travel and transportation of persons	25	25	25	0
23.1	Rental payments to GSA	365	351	351	0
23.3	Communications, utilities, and miscellaneous charges	42	34	34	0
24.0	Printing and reproduction	5	40	40	0
25.2	Other services from non-Federal sources	0	412	412	0
25.3	Other goods and services from Federal sources 1/	1,690	1,425	1,425	0
25.4	Operation and maintenance of facilities	0	0	0	0
25.7	Operation and maintenance of equipment	7	7	7	0
26.0	Supplies and materials	51	67	67	0
31.0	Equipment	0	50	50	0
42.0	Insurance claims and indemnities	0	20	20	0
51.1	Benefits	0	0	0	0
	<b>Total</b>	<b>6,880</b>	<b>6,867</b>	<b>6,867</b>	<b>0</b>
	1/Other goods and services from Federal sources				
	Working Capital Fund	1,077	855	855	0
	DHS Services	9	9	9	0
	HHS Services	36	0	0	0
	Services by Other Government Departments	568	461	461	0



# CIVIL RIGHTS

## CHANGES IN FY 2018

(Dollars in Thousands)

### Activity Changes

#### Built-In

To Provide For:

Costs of pay adjustments	\$0
Personnel benefits	87
Two days less of Pay	0
Federal Employees' Compensation Act (FECA)	0
Benefits for former personnel	0
Travel and transportation of persons	0
Rental payments to GSA	0
Communications, utilities, and miscellaneous charges	0
Printing and reproduction	0
Other services from non-Federal sources	0
Working Capital Fund	0
Other Federal sources (DHS Charges)	0
Other goods and services from Federal sources	0
Operation and maintenance of facilities	0
Operation and maintenance of equipment	0
Supplies and materials	0
Equipment	0
Insurance claims and indemnities	0

**Built-Ins Subtotal** **\$87**

**Net Program** **-\$87**

**Direct FTE** **0**

	Estimate	FTE
<b>Base</b>	<b>\$6,954</b>	<b>30</b>
<b>Program Increase</b>	<b>\$0</b>	<b>0</b>
<b>Program Decrease</b>	<b>-\$87</b>	<b>0</b>



## CHIEF FINANCIAL OFFICER

<b>BUDGET AUTHORITY BEFORE THE COMMITTEE</b>				
(Dollars in Thousands)				
	<b>FY 2016 Comparable</b>	<b>FY 2017 Estimate</b>	<b>FY 2018 Request</b>	<b>Diff. FY18 Request / FY17 Estimate</b>
<b>Activity Appropriation</b>	<b>9,924</b>	<b>9,914</b>	<b>9,914</b>	<b>0</b>
FTE	36	35	34	-1

NOTE: FY 2016 reflects actual FTE. Authorized FTE for FY 2016 was 17.

### **Introduction**

The Office of the Chief Financial Officer (OCFO) provides policy advice, technical assistance and related services concerning formulation, justification, execution, and submission of all Departmental budgets. The OCFO is responsible for oversight of all financial management activities in the Department. The OCFO supports overall Departmental management through effective and efficient stewardship of DOL's financial resources.

The OCFO provides comprehensive direction to all DOL program agencies on financial matters arising from legislative and regulatory mandates such as:

- The Chief Financial Officers (CFO) Act of 1990
- The Government Management Reform Act (GMRA) of 1994;
- The Federal Financial Management Improvement Act (FFMIA) of 1996;
- The Federal Managers' Financial Integrity Act (FMFIA) of 1982;
- Debt Collection Improvement Act of 1996;
- The Reports Consolidation Act of 2000;
- The Improper Payments Information Act (IPIA) of 2002;
- The Improper Payments Enforcement and Recovery Act (IPERA) of 2010; and
- The Improper Payments Enforcement and Recovery Improvement Act (IPERA) of 2012

The OCFO also receives funding from the Working Capital Fund.

Budget and FTE tables include a comparative transfer from the Office of the Assistant Secretary for Administration and Management (OASAM) to OCFO of \$4,863,000 and 21 FTE. This transfer reflects the move of the Departmental Budget Center from OASAM to OCFO to support budget formulation and execution alignment.

### **Five-Year Budget Activity History**

<b><u>Fiscal Year</u></b>	<b><u>Funding</u></b> (Dollars in Thousands)	<b><u>FTE</u></b>
2013	\$5,061	19
2014	\$5,061	18
2015	\$5,061	18
2016	\$5,061	17
2017	\$0	0

NOTE: A full-year 2017 appropriation for this account was not enacted at the time the budget was prepared.

## **CHIEF FINANCIAL OFFICER**

### **FY 2018**

The FY 2018 request of \$9,914,000 and 34 FTE will allow the Office of the Chief Financial Officer (OCFO) to continue its core function of budget formulation, justification and execution and providing financial information and services that support the Department and central governmental agencies such as the Office of Management and Budget (OMB) and the Department of Treasury. The OCFO fosters effective stewardship of public funds, safeguards fiscal integrity through effective internal controls, and provides timely, accurate, and useful financial information to decision makers.

### **FY 2017**

Figures shown for FY 2017 reflect the annualized Continuing Resolution level, as a full-year appropriation had not been enacted at the time the budget was produced. The Department will provide an Operating Plan after a full-year appropriation bill is enacted.

## CHIEF FINANCIAL OFFICER

<b>BUDGET ACTIVITY BY OBJECT CLASS</b>					
(Dollars in Thousands)					
		<b>FY 2016 Comparable</b>	<b>FY 2017 Estimate</b>	<b>FY 2018 Request</b>	<b>Diff. FY18 Request / FY17 Estimate</b>
11.1	Full-time permanent	4,626	4,772	4,772	0
11.3	Other than full-time permanent	159	167	167	0
11.5	Other personnel compensation	26	88	88	0
11.9	<b>Total personnel compensation</b>	<b>4,811</b>	<b>5,027</b>	<b>5,027</b>	<b>0</b>
12.1	Civilian personnel benefits	1,441	1,547	1,547	0
13.0	Benefits for former personnel	0	0	0	0
21.0	Travel and transportation of persons	18	5	5	0
23.1	Rental payments to GSA	848	915	915	0
23.3	Communications, utilities, and miscellaneous charges	9	6	6	0
24.0	Printing and reproduction	2	2	2	0
25.1	Advisory and assistance services	534	573	573	0
25.2	Other services from non-Federal sources	328	333	333	0
25.3	Other goods and services from Federal sources 1/	1,725	1,455	1,455	0
25.4	Operation and maintenance of facilities	0	0	0	0
25.7	Operation and maintenance of equipment	153	3	3	0
26.0	Supplies and materials	49	37	37	0
31.0	Equipment	6	11	11	0
	<b>Total</b>	<b>9,924</b>	<b>9,914</b>	<b>9,914</b>	<b>0</b>
	1/Other goods and services from Federal sources				
	Working Capital Fund	1,477	1,440	1,440	0
	DHS Services	15	9	9	0
	GSA Services	0	6	6	0
	Services by Other Government Departments	233	0	0	0

# CHIEF FINANCIAL OFFICER

## CHANGES IN FY 2018

(Dollars in Thousands)

### Activity Changes

#### Built-In

To Provide For:

Costs of pay adjustments	\$85
Personnel benefits	37
Two days less of Pay	0
Federal Employees' Compensation Act (FECA)	-1
Benefits for former personnel	0
Travel and transportation of persons	0
Rental payments to GSA	0
Communications, utilities, and miscellaneous charges	0
Printing and reproduction	0
Advisory and assistance services	0
Other services from non-Federal sources	0
Working Capital Fund	0
Other Federal sources (DHS Charges)	0
Other goods and services from Federal sources	0
Operation and maintenance of facilities	0
Operation and maintenance of equipment	0
Supplies and materials	0
Equipment	0
<b>Built-Ins Subtotal</b>	<b>\$121</b>

#### Net Program

-\$121

#### Direct FTE

-1

	Estimate	FTE
<b>Base</b>	<b>\$10,035</b>	<b>35</b>
<b>Program Increase</b>	<b>\$0</b>	<b>0</b>
<b>Program Decrease</b>	<b>-\$121</b>	<b>-1</b>

## DEPARTMENTAL PROGRAM EVALUATION

<b>BUDGET AUTHORITY BEFORE THE COMMITTEE</b>				
(Dollars in Thousands)				
	<b>FY 2016 Comparable</b>	<b>FY 2017 Estimate</b>	<b>FY 2018 Request</b>	<b>Diff. FY18 Request / FY17 Estimate</b>
<b>Activity Appropriation</b>	<b>8,040</b>	<b>8,025</b>	<b>8,025</b>	<b>0</b>
FTE	0	10	10	0

### **Introduction**

The Departmental Evaluation Program was first funded in FY 2010, after the Administration and the Department recognized the need for a central office to coordinate, oversee and conduct rigorous evaluations. These evaluations include random assignment experimental designs and other rigorous non-experimental studies to determine which programs and interventions work. The findings from evaluations inform policy, management, and resource allocation decisions. Previously, the Department’s evaluation funding and capacity had eroded, and only a few high quality evaluations of programs were conducted. In addition, the Department’s research and evaluation efforts have historically been focused mainly on job training and employment services. The Department-wide evaluation account now allows expansion of evaluation activities to other programs and all operating agencies, with a priority on large, lightly examined, and/or high-priority programs such as those responsible for worker protection and labor standards enforcement. The Department’s research and evaluation agenda is developed from learning agendas prepared by each agency annually, which lay out priority areas on which evaluations are needed and is aligned with the Department’s priorities specified in the Strategic Plan. The Departmental plan is finalized based on feedback from the public, Congress, and stakeholders; and is made public each year.

The Department-wide evaluation activities are overseen by a Chief Evaluation Officer (CEO) with staff skilled in evaluation design and statistical analysis. Members of the office manage evaluations funded with the Department-wide account and evaluation set-asides.

The underlying goals of the Department’s centralization of key evaluation activities are to: (1) build evaluation capacity and expertise in the Department; (2) ensure high standards in evaluations undertaken by, or funded by the Department of Labor; (4) facilitate the use of evaluation and research findings for performance management priorities; (3) ensure the independence of the evaluation and research functions; and (4) make sure that evaluation and research findings are available and accessible in a timely and user-friendly way, so they inform policymakers, program managers, and the public. To further these goals, the Department of Labor is also building partnerships with the academic community and other outside parties to leverage private-sector research expertise.

# DEPARTMENTAL PROGRAM EVALUATION

## Five-Year Budget Activity History

<u>Fiscal Year</u>	<u>Funding</u> (Dollars in Thousands)	<u>FTE</u>
2013	\$8,040	0
2014	\$8,040	0
2015	\$8,040	0
2016	\$8,040	0
2017	\$0	0

NOTE: A full-year 2017 appropriation for this account was not enacted at the time the budget was prepared.

## FY 2018

The FY 2018 request for Departmental Program Evaluation (DPE) is \$8,025,000 and 10 FTE. All evaluations funded through DPE are related to department priorities and agency statutory and operational objectives, using the most rigorous evaluation methods appropriate, and designed and coordinated by the Chief Evaluation Office in collaboration with operating agencies.

## FY 2017

Figures shown for FY 2017 reflect the annualized Continuing Resolution level, as a full-year appropriation had not been enacted at the time the budget was produced. The Department will provide an Operating Plan after a full-year appropriation bill is enacted.



## DEPARTMENTAL PROGRAM EVALUATION

<b>DETAILED WORKLOAD AND PERFORMANCE</b>				
	<b>FY 2016 Enacted</b>		<b>FY 2017 Full Year C.R.</b>	<b>FY 2018 Request</b>
	<b>Target</b>	<b>Result</b>	<b>Target</b>	<b>Target</b>
<b>Departmental Program Evaluation</b>				
OASP – EVAL    Number of CEO evaluation projects (core and set aside) begun each year – 1	16	26	16	16

Legend: (r) Revised    (e) Estimate    (base) Baseline    -- Not Applicable    TBD - To Be Determined    [p] - Projection

# DEPARTMENTAL PROGRAM EVALUATION

## Workload Summary Narrative

The CEO plans to initiate 26 new evaluation studies in FY 2018. As in past years, these evaluations will support department priorities and agency statutory and operational objectives.

Evaluation is integrated into competitive and formula-funded grant programs. For example, the tiered evidence criteria in awarding competitive grants under programs such as the Trade Adjustment Assistance Community College and Career Training Grants and the TechHire Partnership Training Grants builds on evidence accumulated through rigorous evaluation. Additionally, there are requirements for rigorous independent impact evaluations of these competitive grants, and they also have a complementary cross-grantee national evaluation. Some evaluations build on previous evidence, for example the Cascades Job Corps College and Career Academy pilot evaluation examines the effectiveness of a Job Corps pilot with expanded and intensive academic instruction and career pathways technical training for youth ages 16 to 21. Other projects explore the implementation of programs and policies such as the WIOA implementation evaluation, or use administrative program data to measure the outcomes and impacts of programs and strategies. CEO is currently conducting a number of rapid-cycle, low cost studies that test whether insights from behavioral science can be used to improve the performance and outcomes of Labor programs. Three studies, all with very promising findings, are concluding; these include evaluations in partnership with the EBSA and the DOL's Human Resources division to increase retirement savings, with OSHA to boost workplace safety, and with ETA to help unemployed workers become reemployed. A number of new studies in this area are underway or planned.

Finally, the Department's commitment to using evidence in policy and program decisions is also reflected in the expansion of the evidence reviews being included in Clearinghouse for Labor Evaluation and Research (CLEAR). Future resources are being committed to expand the total number of evaluation topics using the CLEAR evidence-based rating standards.

## DEPARTMENTAL PROGRAM EVALUATION

<b>BUDGET ACTIVITY BY OBJECT CLASS</b>					
(Dollars in Thousands)					
		<b>FY 2016 Comparable</b>	<b>FY 2017 Estimate</b>	<b>FY 2018 Request</b>	<b>Diff. FY18 Request / FY17 Estimate</b>
11.1	Full-time permanent	0	1,200	1,200	0
11.3	Other than full-time permanent	0	0	0	0
11.5	Other personnel compensation	0	0	0	0
11.9	<b>Total personnel compensation</b>	<b>0</b>	<b>1,200</b>	<b>1,200</b>	<b>0</b>
12.1	Civilian personnel benefits	0	384	384	0
24.0	Printing and reproduction	0	0	0	0
25.1	Advisory and assistance services	8,040	6,441	6,441	0
25.2	Other services from non-Federal sources	0	0	0	0
25.3	Other goods and services from Federal sources 1/	0	0	0	0
25.4	Operation and maintenance of facilities	0	0	0	0
25.7	Operation and maintenance of equipment	0	0	0	0
31.0	Equipment	0	0	0	0
	<b>Total</b>	<b>8,040</b>	<b>8,025</b>	<b>8,025</b>	<b>0</b>
	1/Other goods and services from Federal sources				

# DEPARTMENTAL PROGRAM EVALUATION

## CHANGES IN FY 2018

(Dollars in Thousands)

**Activity Changes**

**Built-In**

To Provide For:

Costs of pay adjustments	\$0
Personnel benefits	6
Printing and reproduction	0
Advisory and assistance services	0
Other services from non-Federal sources	0
Other goods and services from Federal sources	0
Operation and maintenance of facilities	0
Operation and maintenance of equipment	0
Equipment	0

**Built-Ins Subtotal** **\$6**

**Net Program** **-\$6**

**Direct FTE** **0**

	Estimate	FTE
<b>Base</b>	<b>\$8,031</b>	<b>10</b>
<b>Program Increase</b>	<b>\$0</b>	<b>0</b>
<b>Program Decrease</b>	<b>-\$6</b>	<b>0</b>