

U.S. DEPARTMENT OF LABOR
FY 2019 ANNUAL PERFORMANCE REPORT

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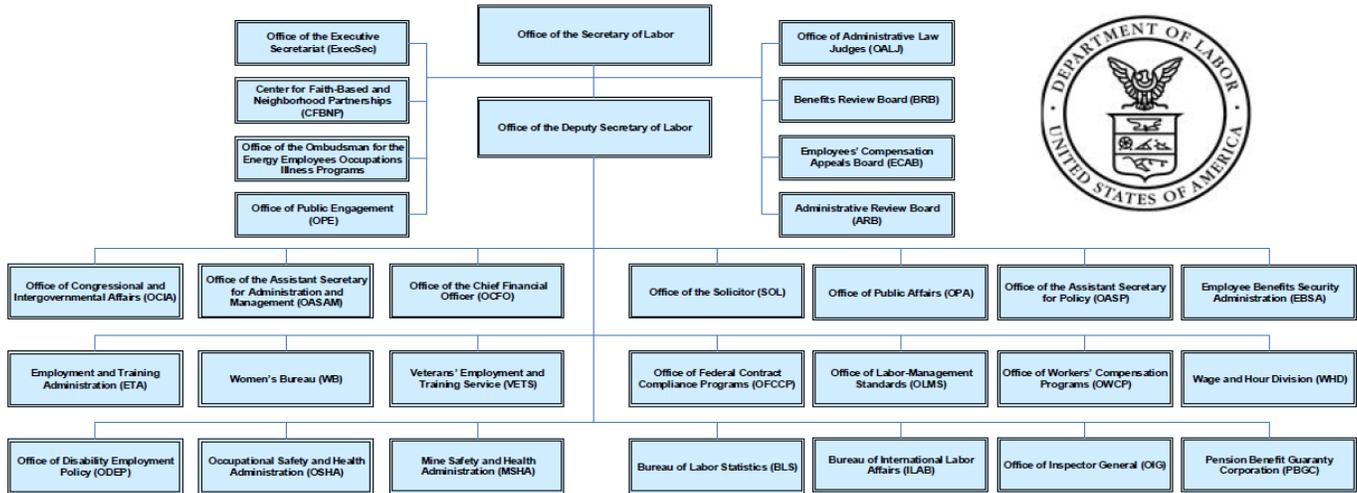
This report, as well as the FY 2019 Agency Financial Report, can be found at <https://www.dol.gov/general/aboutdol#budget>.

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Organization



This document explains how the Department of Labor (DOL) improves the lives of American workers through the management of its agencies and programs. As required by the Government Performance and Results Modernization Act of 2010 (GPRMA), it provides information on planned and actual performance and progress in achieving goals and objectives identified in the [DOL FY 2018-2022 Strategic Plan](#). Also as required by GPRMA, it includes a Strategic Review Summary of Progress (Summary) that assesses evidence of progress, challenges, and risks for each objective at one of three levels: Noteworthy Progress, Adequate Progress, or Area for Improvement. The next four chapters present the Summary, an Analysis and Future Plans section, and measure tables with targets and results for three Strategic Goals and one Management Goal. These four goals are supported by eighteen Strategic and Management Objectives (1.1, etc.—each the responsibility of one DOL component agency) that reflect DOL’s vision and mission.

This report, which also serves as DOL’s FY 2021 Annual Performance Plan, updates measures and targets for FY 2020 and establishes targets consistent with those reflected in the FY 2021 Congressional Budget Justification. Some measures are deleted or modified between annual updates. To present the most current information, this plan provides complete information for the budget year measures only—in this case, those retained or added in FY 2021—including actual performance for the five preceding years, if available.

Strategic objective measure tables list applicable measures, targets, results, and status (whether or not results reached or exceed the target, indicated by Y or N). Where “baseline” appears in the target cell for new indicators, no data were available for establishing a numerical target. If results improved over the prior year but did not reach the target, “I” appears in the status cell. The last column identifies the level of success and plans to improve results.¹

¹ Some measures are “contextual”; i.e., they are important for management purposes but not for judging Agency performance. Contextual measures do not have targets, but they may have projections, which are marked in the target cell as [p]. Status (Y, N, or I) does not apply. Similarly, [r] indicates that results have been revised since last reported, and [e] means the results in that cell are estimated.

DOL Vision, Mission, and Strategic Goals

Vision: Helping American workers gain and hold good, safe jobs.

Mission: To foster, promote, and develop the welfare of the wage earners, job seekers, and retirees of the United States; improve working conditions; advance opportunities for profitable employment; and assure work-related benefits and rights.

Strategic Goal 1: Support the Ability of All Americans to Find Good Jobs

- 1.1 Create customer-focused workforce solutions for American workers.
- 1.2 Provide veterans, service members, and their spouses with resources and tools to gain and maintain employment.
- 1.3 Develop evidence-based policies, practices, and tools to foster a more inclusive workforce to increase quality employment opportunities for individuals with disabilities.
- 1.4 Provide timely, accurate, and relevant information on labor market activity, working conditions, and price changes in the economy.
- 1.5 Formulate policies and initiatives to promote the interests of working women.

Strategic Goal 2: Promote Safe Jobs and Fair Workplaces for All Americans

- 2.1 Secure safe and healthful working conditions for America's workers.
- 2.2 Prevent fatalities, disease, and injury from mining, and secure safe and healthful working conditions for America's miners.
- 2.3 Secure lawful wages and working conditions for America's workers.
- 2.4 Improve the security of retirement, health, and other workplace-related benefits for America's workers and their families.
- 2.5 Promote fair and diverse workplaces for America's federal contractor employees.
- 2.6 Promote a fair global playing field for American workers and businesses by effectively enforcing U.S. trade agreements and combating global child labor and modern slavery.
- 2.7 Promote union financial integrity, transparency, and democracy.

Strategic Goal 3: Administer Strong Workers' Compensation and Benefits Programs

- 3.1 Provide workers' compensation benefits for workers who are injured or become ill on the job.
- 3.2 Support states' timely and accurate benefit payments for unemployed workers.

Management Goal: Optimize the Department of Labor's Enterprise Services Opportunities

- M.1 Improve human resources efficiency, effectiveness, and accountability.
- M.2 Provide modern technology solutions that empower the DOL mission and serve the American public through collaboration and innovation.
- M.3 Maximize DOL's federal buying power through effective procurement management.
- M.4 Safeguard fiscal integrity, and promote the effective and efficient use of resources.

Strategic Goal 1: Support the Ability of All Americans to Find Good Jobs

ETA Strategic Objective 1.1 – Create customer-focused workforce solutions for American workers.

The Employment and Training Administration (ETA) oversees the provision of employment assistance, labor market information, and education through programs authorized by the Workforce Innovation and Opportunity Act of 2014 (WIOA)—for adults, dislocated workers, youth, Job Corps, employment services authorized by the Wagner-Peyser Act, amended by title III of WIOA, and National Programs; Trade Adjustment Assistance (TAA) authorized by the Trade Act of 1974, as amended; Foreign Labor Certification activities authorized by the Immigration and Nationality Act; the Senior Community Service Employment Program authorized by the Older Americans Act; and Apprenticeship programs authorized by the National Apprenticeship Act. Additionally, ETA oversees the federal-state Unemployment Insurance (UI) program, authorized under the Federal Unemployment Tax Act and Title III of the Social Security Act (see Strategic Objective 3.2).

Agency Priority Goal

Job Creation: Apprenticeship Expansion

By Sept 30, 2021, the Department of Labor (DOL) will have enrolled 1 million new apprentices.

The public workforce system contributes to our nation’s global competitiveness and economic productivity by providing lifelong learning opportunities and a wide range of employment services. The workforce system provides critical services to a broad array of customers at all skill levels. These services include career counseling, case management, assessments that identify transferable skills, and skill development. ETA and the workforce system are committed to expanding access to apprenticeships; providing and improving strategies and tools that help connect employers and skilled workers; and continuously improving the effectiveness and efficiency of workforce development programs by providing flexibilities, ensuring accountability, and building and applying evidence of what works in these programs.

Strategic Review Summary of Progress (Area for Improvement)

An impact evaluation released in 2018 suggested that intensive services funded by the Workforce Investment Act Adult and Dislocated Worker programs, which are part of career services under WIOA, were effective at increasing participants’ earnings and employment.² Employment and earnings outcomes for workers are higher when education is closely targeted to specific occupations and industries, particularly in real work-based settings (e.g., Registered Apprenticeships, internships, on-the-job training, sectoral partnerships, firm industry cluster partnerships, public/private/union partnerships, Career Pathways, Sector Strategies, and other work-based learning programs).³ A 2012 study of the Registered

² Fortson, Kenneth, et al. (2017). [Providing Public Workforce Services to Job Seekers: 30-month Impact Findings on the WIA Adult and Dislocated Worker Programs](#) (Washington, DC: Mathematica Policy Research).

³ U.S. Department of Labor et al. (2014). [What Works In Job Training: A Synthesis of the Evidence](#)

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Apprenticeship program found that those who complete the program earn \$240,000 more than similar non-participants over their careers, with net social benefits of over \$50,000 per completing participant.⁴

The DOL Office of Inspector General (OIG) identified “Helping Adults and Youth Succeed in the Labor Market” as one of [DOL’s Top Management and Performance Challenges for FY 2019](#): “Past [OIG] audits have found that participants were often placed into jobs unrelated to their training or jobs that required little-to-no training.” This challenge was identified prior to WIOA implementation. WIOA established the credential attainment rate as one of six required primary indicators of performance and required that credentials be industry-recognized. ETA is monitoring and analyzing credential attainment data in state reports on a quarterly basis. For competitive grant programs, ETA designs grant competitions, where applicable, to specifically promote credential attainment. ETA also provides technical assistance to grantees on resources and strategies for increasing the attainment of industry-recognized credentials. For example, ETA updated its electronic tools to include information on credentials related to each occupation—from short-term certificates to apprenticeship to licensure and certifications—and the quality or value of specific certifications. Finally, ETA and the U.S. Department of Education are working to ensure that all WIOA programs have consistent approaches to counting credentials earned.

On June 15, 2017, President Trump issued Executive Order 13801, Expanding Apprenticeships in America, which directed the Secretary of Labor to promote the establishment of industry-recognized apprenticeship programs by qualified third-party certifiers. In response, ETA has:

- Issued Notice of Proposed Rulemaking regarding the process for recognizing Standards Recognition Entities (SREs).
- Launched 5th Annual National Apprenticeship Week.
- Awarded \$183 million in H-1B Funding Opportunity Announcement (FOA) to scale apprenticeship through sector-based strategies.
- Awarded FY 2018 congressionally appropriated funds to expand opportunities related to registered apprenticeship and submitted a plan to OMB and Congress for FY 2019 funds.
- Announced FOA entitled, “Apprenticeships: Closing the Skills Gap.”
- Implemented new tools (e.g., partnership finder) on Apprenticeship.gov.

DOL established expansion of apprenticeships as an Agency Priority Goal (APG) and is on track to meet the target of adding one million new apprentices over the four years ending September 30, 2021. The results for this effort are displayed in the table below as the *Number of New Apprentices starting FY 2018 (10/1/2017)*.

The WIOA transition presented an opportunity for ETA and states to improve the performance accountability framework and data collection and program reporting processes, as well as to modernize information systems. ETA developed the Workforce Integrated Performance System (WIPS) to

⁴ Reed, Debbie, et al. (2012). [An Effectiveness Assessment and Cost-Benefit Analysis of Registered Apprenticeship in 10 States](#) (Oakland, CA: Mathematica Policy Research).

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align performance reporting for formula and most discretionary grantees. ETA also worked with states and Federal partners to transition the interstate wage record system to align with WIOA. The State Wage Interchange System (SWIS) will fully replace the Wage Record Interchange System (WRIS/WRIS2) in FY 2020. ETA's innovative work is recognized by Results for America's [Invest in What Works Federal Standard of Excellence](#) for building the infrastructure necessary to best use data, evidence, and evaluation in budget, policy, and management decisions. To enhance the body of evidence on employment and training programs, ETA established new evaluation tools. For example, ETA developed the [Evaluation and Research Hub](#) to help states understand their research and evaluation capacity prior to carrying out an evaluation. ETA also updated its [research and evaluation](#) public-facing website and [publications database](#), enhancing the user interface and improving the speed and scope of searches conducted on the site.

OIG continued to identify “Providing a Safe Learning Environment at Job Corps Centers” as a [DOL Top Management and Performance Challenge for FY 2019](#) while noting that DOL finalized its multi-year, comprehensive center safety and security strategic plan in March 2019. The plan describes Job Corps' goals and its strategy and timelines for achieving those goals. It also incorporates measures for assessing its performance in relationship to its goals, guiding decision-making, and establishing implementation priorities.

In FY 2018, by adding temporary staff and modernizing its business processes, ETA eliminated the backlog of Trade Adjustment Assistance (TAA) program investigations that resulted from the 2015 TAA Program legislation and reduced investigation processing times to alleviate long wait periods for workers looking to obtain reemployment services. Nevertheless, median processing times increased from 50 days in FY 2018 to 61 days in FY 2019. The increase is a result of a decrease in investigations staff due to strict agency budget constraints.

Timely resolution of permanent labor certification applications continued to improve in FY 2019. In FY 2014, processing times for applications not selected for integrity review and applications selected for integrity review were 203 days and 452 days, respectively. By the end of FY 2019, processing times were down to 76 days and 210 days, respectively. However, OIG still identifies “Maintaining the Integrity of Foreign Labor Certification Programs” as a [Top Management and Performance Challenge for DOL](#). Increased demand across all four labor certification programs continues to raise the risk for application processing delays. The problem is particularly acute with respect to the peak H-2B filing season. Immediately upon opening the semi-annual H-2B certification process on January 1, 2019, there was an unprecedented demand for more than 97,800 workers requested for 33,000 available visas. Additionally, the iCERT system experienced over 22,900 server login attempts on January 1, 2019, in contrast with only 721 attempts in approximately the same time period for the 2018 filing season. This unprecedented volume of simultaneous system users—30 times the number compared to last year—ultimately caused the iCERT system to fail. The iCERT system was restored by January 7 and—in conjunction with implementation of the new cloud-based Foreign Labor Application Gateway—controls were implemented for all programs to prevent recurrence. In order to help alleviate the strain placed on DOL's technology systems and network infrastructure, ETA's Office of Foreign Labor Certification implemented a procedural change on July 3, 2019, to randomly assign H-2B applications based on the date of filing and the requested start date of work (instead of using a receipt date and time stamp approach). Finally, DOL updated its H-2B Application for Temporary Employment Certification (Form ETA-9142B) and appendices to: 1) better align information collection requirements with DOL's regulations; 2)

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provide greater clarity to employers on regulatory requirements; 3) streamline information collection to reduce employer burden in preparing applications; and 4) facilitate greater efficiencies and cost savings by issuing labor certification decisions electronically.

In addition to IT Modernization solutions, ETA continues to pursue authorization, through its annual budget formulation process, to establish and retain fees to cover the operating costs for foreign labor certification programs. This proposal aligns DOL with the funding structures used by the Departments of Homeland Security and State to finance their application-processing activities related to these programs. Employing a similar model for foreign labor certifications would eliminate the need for congressional appropriations and create a funding structure responsive to market conditions.

Analysis and Future Plans

ETA is working with the Office of Management and Budget (OMB) by participating in two workgroups to support Cross-Agency Priority Goal 8: Results-Oriented Accountability for Grants. One workgroup is examining how agencies may better utilize Single Audit⁵ data, and another workgroup plans to survey agencies to gather additional information concerning performance data.

Since Program Year 2016,⁶ the WIOA core programs and ETA's other WIOA-authorized and partner programs have been required to report on six WIOA primary indicators of performance: employment in the 2nd quarter after exit, employment in the 4th quarter after exit, median earnings in the 2nd quarter after exit, credential attainment, measurable skill gains, and effectiveness in serving employers. DOL is collecting two years of baseline data for each WIOA primary indicator prior to setting targets with the states, using a statistical adjustment model as part of the negotiation process. National targets for the employment measures will be established once ETA has two years of outcomes for each measure, based on the outcomes reported by the states.

ETA has aligned performance reporting definitions and calculations and implemented a streamlined performance reporting system for WIOA and other DOL partner programs. Fourteen workforce grant programs will use a common record layout (the Participant Individual Record Layout or PIRL) to report program participant service and outcome information. Using one system enhances data reliability and accuracy.

Moreover, to close the skills gap and support a competitive workforce, ETA has been directed to: 1) make apprenticeship a “go-to” and valued human capital solution to enable a greater number and variety of industries to hire skilled workers and upskill incumbent workers to meet their needs; and 2) advance modern work-based learning solutions to provide high-quality alternatives to college for youth and adults. In FYs 2018-19, almost 480,000 individuals nationwide began a registered apprenticeship program. For participants engaged in work-based learning, ETA has provided extensive technical assistance to State workforce practitioners, including apprenticeship and business outreach staff, and Apprenticeship Directors to

⁵ This type of audit focuses on a single entity that receives federal funds from a variety of sources.

⁶ Most DOL employment programs are forward-funded and report performance on a Program Year (PY) that lags the fiscal year by nine months (e.g., PY 2018 – July 1, 2018 to June 30, 2019). Exceptions that report on a standard fiscal year are the Apprenticeship program and the Trade Adjustment Assistance program.

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share information on how resources like WIOA formula grants and TAA funds can be used to support work experience, pre-apprenticeship programs, on-the-job training, and supports for apprentices. One outcome from this technical assistance was the development of [an apprenticeship toolkit for workforce practitioners](#) and dissemination of a Fact Sheet explaining the TAA benefits that may coordinate with Apprenticeship participation. In FY 2019, OTAA provided technical assistance documents and webinars to help states to leverage apprenticeships in serving TAA recipients. States have begun to explore flexibilities to support services and training for apprentices using WIOA, TAA, business contributions, and community partner funds.

The President's 2017 Executive Order, *Buy American and Hire American*, touches on three temporary worker programs for which DOL shares administrative or enforcement responsibilities: H-1B, H-2B, and H-2A. Within the "Hire American" directive, the Order calls on DOL to fully enforce the protections in the laws governing temporary worker visas and to prevent any abuse of these programs. Additionally, the President directed federal agencies to review all nonimmigrant visa programs and propose new rules and guidance to eliminate fraud and abuse as part of his initiative to protect U.S. workers. A continuing challenge for the foreign labor certification programs has been balancing the quality review of applications while meeting statutory and regulatory processing timeframes in the context of shifting volumes and legislative changes. As a result of the significant increases in the filing of H-2B (temporary non-agricultural) applications in the first few weeks of calendar year 2016, only 25.5 percent of applications were resolved within 30 days before the date of need. In response, in FY 2017, ETA's Office of Foreign Labor Certification (OFLC) implemented an Interoperability Plan designed to facilitate reassignment of staff to respond to shifts in application filing—leading to an improvement in timely H-2B processing to 73.9 percent by the end of FY 2019. In FY 2019, OFLC implemented a new case processing system for the H-2B program. Due to projections of increased incoming applications and the multi-stage implementation of a new IT system, however, the target for FY 2020 has not increased.

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ETA – Create customer-focused workforce solutions for American workers.

*Target reached (Y), Improved (I), or Not Reached (N)		FY/PY 2015	FY/PY 2016	FY/PY 2017	FY/PY 2018	FY/PY 2019	FY/PY 2020	FY/PY 2021	What Worked	What Didn't Work	Program Performance Improvement Plan
Number of New Apprentices ⁷	Target	--	--	--	200,000	400,000	720,000	1,000,000	Expanding and diversifying opportunities thru apprenticeship grants and intermediaries; accessible information thru Apprenticeship.gov; apprenticeship promotion and partnerships (e.g. NAW, App.gov).	Efforts to identify un-registered apprenticeship programs have not yielded significant results.	Launch national outreach and education campaign; implement Final Rule for Industry Recognized Apprenticeship Program (IRAP); make strategic investments that enable employers to train more apprentices.
	Result	--	--	--	238,549	489,928					
	Status	--	--	--	Y	Y	--	--			
Percentage of participants engaged in work-based learning opportunities, including apprenticeships (OWI/OJC/OTAA/OA)	Target	--	--	--	Base	Base	TBD	TBD	ETA established a methodology and baseline for this measure.	Challenges stem from various stages of PIRL implementation for each ETA program.	Align methodology across all ETA programs.
	Result	--	--	--	23.8%	--					
	Status	--	--	--	--	--	--	--			
Percentage of youth participants in training or education who attained credential within one year of program completion. (OWI)	Target	--	--	--	Base	Base	TBD	TBD	Performance exceeded expectations, given the WIOA indicator is more difficult to achieve with the increase in the OSY population and the requirement to couple employment/education with a credential.	States and local areas report confusion about how to determine which specific credentials could and could not count for the Credential Attainment indicator.	ETA is leading a credential attainment cohort TA project with 9 states to share existing state approaches and developing new and enhanced methods for determining what qualifies as a credential.
	Result	--	--	--	62.2%	--					
	Status	--	--	--	--	--	--	--			

⁷ The number of new apprentices in FY2019 is a cumulative count covering both FY2018 (238,549) and FY2019 (251,379) = 489,928. The measure terminology has been updated to “Number of New Apprentices” (previously entitled, “Number of participants engaged in Apprenticeship”).

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*Target reached (Y), Improved (I), or Not Reached (N)		FY/PY 2015	FY/PY 2016	FY/PY 2017	FY/PY 2018	FY/PY 2019	FY/PY 2020	FY/PY 2021	What Worked	What Didn't Work	Program Performance Improvement Plan
Percentage of program participants employed in the second quarter after exit (OWI/OJC/OTAA)	Target	--	--	--	Base	Base	TBD	TBD	Results reflect outcomes for WIOA title I, title III, Job Corps, and TAA programs.	PY 2018 was the 1st year of baseline; PY 2019 will be the second year of baseline.	Continue to develop and maintain DOL management information systems to enable all programs to report performance information.
	Result	--	--	--	68.5%	--					
	Status	--	--	--	--	--	--	--			
Percent of H-2B Employer Applications Resolved 30 days Before the Date of Need (OFLC)	Target	--	Base	50.0%	60.0%	75.0%	75.0%	75.0% [e]	Launched a case processing module; aligned resources to meet the peak season; executed a staffing contract to support processing; and conducted stakeholder engagements to provide best practices.	A system failure occurred in January, when over 85% of all H-2B applications are filed for an entire FY. Chicago NPC shut down on several occasions, impacting processing and issuance of decisions.	Implement new forms and electronic filing; Issue labor certification decisions electronically; and implement a new case assignment process to alleviate the strain on the network during the peak season.
	Result	84.3%	25.5%	63.7%	78.4%	73.9%					
	Status	--	--	Y	Y	N	--	--			

Sources: State and grantee reports submitted through the Workforce Integrated Performance System (WIPS), Registered Apprenticeship Partners Information Data System (RAPIDS), and OFLC electronic Filing and Case Processing System.

Notes: [e] = estimated. PY18 was the first year states reported fully on credential attainment and the 4th quarter after exit employment measures. Additionally, PY 2018 was the first year ETA calculated the work-based learning measure. All will require two years of baseline data. Targets for subsequent years will be established once PY19 results are reported and analyzed.

VETS Strategic Objective 1.2 – Provide veterans, service members, and their spouses with resources and tools to gain and maintain employment.

The Veterans’ Employment and Training Service (VETS) coordinates efforts to assist veterans seeking employment and employers seeking skilled workers—to provide America’s veterans better job opportunities. VETS administers several programs to meet the employment and education needs of veterans, transitioning service members, and eligible spouses. The Jobs for Veterans State Grants (JVSG) program provides funding to states for Disabled Veterans’ Outreach Program (DVOP) specialists and Local Veterans’ Employment Representative (LVER) staff. The Homeless Veterans’ Reintegration Program (HVRP) addresses one of the most vulnerable populations by reintegrating homeless veterans into society and the workforce.

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DOL's Transition Assistance Program (TAP) Employment Workshop and Career Exploration and Planning Track (CEPT) Workshop provide tools to support a successful transition from military to civilian employment. Pursuant to the Uniformed Services Employment and Reemployment Rights Act of 1994 (USERRA) and the Veterans' Employment Opportunities Act of 1998, VETS investigates complaints received from individuals who believe their employment or reemployment rights under USERRA and federal employment preference rights under Veterans' Preference were violated. Lastly, VETS operates the Honoring Investments in Recruiting and Employing (HIRE) Veterans Medallion Program—the only federal-level veterans' employment award that recognizes a company or organization's commitment to recruiting, employing, and retaining veterans.

Strategic Review Summary of Progress (Adequate Progress)

A study of American Job Centers found that veterans consistently receive Priority of Service (i.e., time from enrollment to first service is faster than for non-veterans); the study also found that those receiving intensive services have higher earnings than those not receiving intensive services.⁸ In PY 2017, the Jobs for Veterans State Grant Program transitioned to the standard WIOA measures and discontinued the use of the intensive services measure. During PY 2018, JVSG placed 58 percent of participants into unsubsidized employment by the second quarter after program completion.

In FY 2018, DOL revised the Transition Assistance Program Career Technical Training Track curriculum and changed the name to the Career Exploration and Planning Track. CEPT is an additional optional two-day workshop focused on exploration of apprenticeships and industry-recognized credentials for transitioning service members and their spouses; this course supplements the required DOL Employment Workshop. The National Defense Authorization Act of 2019 (NDAA) was signed into law in August 2018. The Act makes revisions to TAP, including the structure of the existing Employment Workshop and CEPT courses. In FY 2019, VETS awarded a new TAP services contract.

In response to the HIRE American Military Veterans Act of 2017, VETS established the HIRE Vets Medallion Program. In 2018, VETS established the standard operating procedures and criteria for the award and presented demonstration medallions to 239 recipients. In 2019, 427 award recipients were announced during a ceremony held at DOL on November 6; a full list of awardees can be found at: <https://www.hirevets.gov/awardees>.

Analysis and Future Plans

DVOP specialists provide individualized career services to veterans with significant barriers to employment, transitioning service members, and wounded, ill, or injured service members and their caretakers. VETS tracks the employment outcomes for those served by DVOP specialists, such as the employment rate in the second quarter after exit for veterans. This measure is defined by WIOA; in PY 2018, VETS collected baseline data.

HVRP effectiveness is measured in part by the successful placement of homeless veterans into meaningful employment. In PY 2018, HVRP placed 55.9 percent of participants against a target of 61 percent. VETS made a policy update in PY 2017 that permitted grantees to “carry over” participants into a subsequent grant cycle, if one was awarded. This change allowed grantees to enroll participants well into the fourth quarter of the

⁸ Thompson, Shane, et al. (2015). *Veteran and Non-Veteran Job Seekers: Exploratory analysis of services and outcomes for customers of federally-funded employment services* (Washington, DC: Summit Consulting).

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program year without fear of consequence of low-performance outcomes. The intended outcome of the policy change was to create a stronger incentive among grantees to enroll more veterans experiencing chronic homelessness and to smooth the transition to measuring WIOA performance indicators, which examine longer-term employment and earnings outcomes than the traditional HVRP measures. While the policy update resulted in the largest recorded annual HVRP enrollment, it also resulted in lower placement rates compared to previous years. The total number of homeless veterans placed into employment was nearly identical to last year, but the placement rate declined due to grantees enrolling more participants late in the program year and continuing services into the following program year.

VETS manages its USERRA investigations to ensure each complaint is appropriately investigated in terms of quality and timely completion. The quality is determined by measuring how well VETS developed and investigated the allegations in each complaint. A sample of closed cases is reviewed quarterly; in FY 2019, 98 percent of the closed USERRA cases met VETS’ quality standard.

VETS – Provide veterans, service members, and their spouses with resources and tools to gain and maintain employment.

*Target reached (Y), Improved (I), or Not Reached (N)		FY/PY 2015	FY/PY 2016	FY/PY 2017	FY/PY 2018	FY/PY 2019	FY/PY 2020	FY/PY 2021	What Worked	What Didn't Work	Program Performance Improvement Plan
Employment rate (2nd quarter after exit) for veterans served by DVOP	Target	--	--	--	Base	60.0%	61.0%	61.0%	All states (except PR) were able to meet WIOA reporting requirements and submit accurate and timely data. Baseline data was collected to make an informed PY 2019 target.	With a strong economy, AJCs were sometimes faced with the hardest to serve population. These barriers to employment were evident as the employment rate was below 60 percent for the program year.	Getting veterans placed quickly into quality jobs will remain the focus in FY 2020. VETS will work to provide states with flexibility to best serve veterans with barriers to employment.
	Result	--	--	--	58.0%	--					
	Status	--	--	--	--	--	--	--			
HVRP Placement Rate of Total Enrollments	Target	65.0%	65.0%	65.0%	67.0%	61.0%	62.0%	62.0%	In PY 2019, HVRP served and placed the highest number of veterans in program history.	While the program is placing more veterans into employment, the rate is declining (less than 60 percent this past year) due to grantees enrolling more participants late in the program year.	In PY 2019, VETS will use the placement rate for program exiters as the measure of success. This better aligns with other workforce programs and better illustrates a successful job placement rate.
	Result	68.7%	68.4%	66.0%	60.2%	55.9%					
	Status	Y	Y	Y	N	N	--	--			

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*Target reached (Y), Improved (I), or Not Reached (N)		FY/PY 2015	FY/PY 2016	FY/PY 2017	FY/PY 2018	FY/PY 2019	FY/PY 2020	FY/PY 2021	What Worked	What Didn't Work	Program Performance Improvement Plan
Percent of closed USERRA cases meeting the agency's quality standard (annual)	Target	92.0%	92.0%	95.0%	95.0%	95.0%	95.0%	95.0%	USERRA closed cases met quality standards in FY 2019. VETS maintains a high level of rigor in reviewing cases and ensuring that the USERRA legislation is followed appropriately.	The sample size of USERRA cases reviewed is small due to VETS capacity. Use of a statistically significant sample would entail increasing the sample size, and thus increasing the workload burden.	VETS compliance staff will continue the review and improve the report of investigation (ROI). The ROI provides necessary feedback to reviewing officials on ways to improve case quality in the future.
	Result	91.7%	95.5%	99.0%	96.0%	98.0%					
	Status	--	Y	Y	Y	Y	--	--			

Sources: WIPS (Employment Rate measure), VETS-700 (HVRP Placement Rate measure), USERRA Information Management System (Closed Cases Quality measure).

ODEP Strategic Objective 1.3 – Develop evidence-based policies, practices, and tools to foster a more inclusive workforce to increase quality employment opportunities for individuals with disabilities.

The Office of Disability Employment Policy (ODEP) promotes policies and practices, and coordinates with employers and all levels of government, to increase the number and quality of employment opportunities for individuals with disabilities. ODEP employs strategies to help employers meet their business objectives by fully integrating the skills and talents of job seekers and employees with disabilities. Additionally, ODEP uses data and evidence to promote the adoption and implementation of policy strategies and effective practices to increase the number and quality of job opportunities for people with disabilities. Based on research and evaluation, ODEP develops or identifies effective policy and practices, conducts outreach to share this critical information, and provides technical assistance to all levels of government and employers to aid them in adoption and implementation.

Strategic Review Summary of Progress (Adequate Progress)

In FY 2019, ODEP demonstrated significant success in leveraging state intermediary membership organizations to promote state-level adoption and implementation of evidence-based policies and effective practices. ODEP produced 48 of its 66 policy outputs from this state intermediary work; through this work, state legislatures and governors across the country introduced legislation, executive orders, and other policies designed to improve employment outcomes for people with disabilities. ODEP collaborates with state legislative and administrative intermediary organizations, through the State Exchange on Employment and Disability (SEED), to promote state-level adoption and implementation of ODEP’s evidence-based policies and practices. ODEP faces ongoing challenges, such as budgetary constraints and competing priorities, in getting states to adopt policy recommendations and continues to explore options to overcome these challenges. ODEP, in coordination with DOL’s Chief Evaluation Officer,

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conducted an implementation analysis of SEED. The analysis documented ODEP’s approach in engaging states to adopt policies and examine the barriers and facilitators to their implementation, and the preliminary outcomes of SEED. ODEP will use the SEED implementation analysis to understand the implications of the steps the agency has taken so far to mitigate barriers and improve communication with the intermediaries.

Analysis and Future Plans

In FY 2019, ODEP issued 110 implementation tools to aid entities in adopting and implementing proven practices. For example, ODEP assisted Rhode Island in expanding its Disability Business Enterprises program. The state has set a goal of procuring three percent of its purchases from business owners with disabilities that have been verified by agencies such as the Department of Veterans Affairs or the Social Security Administration. ODEP also developed a number of implementation tools such as the Apprenticeship Inclusion Model (AIM) Resources Library, the AIM TA Plan Tool, and the AIM TA Site Assessment Tool to support the efforts to expand DOL’s apprenticeship programs to individuals with disabilities. The ODEP funded Job Accommodation Network produced a series of training modules to educate supervisors and managers in workplaces on topics such as “Just-In-Time Training Module on Accommodations Individuals with Hidden Disabilities” and “Just-In-Time Training Module on Service Animals in the Workplace,” which support employers and enhance the employment opportunities for individuals with hidden disabilities and those who need service animals in the workplace.

In FY 2019, ODEP focused its investments on initiatives that are of higher priority—for example, the Retaining Employment and Talent after Injury/Illness Network (RETAIN) Demonstration Projects that will test the impact of early intervention strategies on stay-at-work/return-to-work outcomes of individuals who experience an injury or illness that could result in a work disability while employed. ODEP is funding SEED to promote adoption and implementation of ODEP’s policies and practices at the state level, and advance ODEP’s policy development and dissemination efforts. ODEP projects fewer policy outputs and implementation tools in 2020 than in 2019 because the RETAIN projects, which are in an early planning and pilot stage, represent a significant investment that will not immediately produce policy outputs or implementation tools at the pace produced by several prior initiatives.

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ODEP – Develop evidence-based policies, practices, and tools to foster a more inclusive workforce to increase quality employment opportunities for individuals with disabilities.

*Target reached (Y), Improved (I), or Not Reached (N)		FY/PY 2015	FY/PY 2016	FY/PY 2017	FY/PY 2018	FY/PY 2019	FY/PY 2020	FY/PY 2021	What Worked	What Didn't Work	Program Performance Improvement Plan
Number of policy outputs	Target	--	--	23	64	44	44	35	ODEP excelled in leveraging state intermediaries to generate state-level policy supporting and increasing disability employment by influencing state-level business environments.		ODEP will continue to engage state intermediaries to seek additional state-level policy development opportunities.
	Result	--	--	43	63	66					
	Status	--	--	Y	I	Y	--	--			
Number of implementation tools	Target	--	--	117	70	60	70	100	ODEP continues to excel in producing implementation tools as requested by practitioners at all levels of government and employers.		ODEP will continue to engage practitioners and stakeholders in providing input to develop implementation tools that address their dynamic business needs.
	Result	--	--	147	136	110					
	Status	--	--	Y	Y	Y	--	--			

Sources: ODEP Data Management System

BLS Strategic Objective 1.4 – Provide timely, accurate, and relevant information on labor market activity, working conditions, and price changes in the economy.

The Bureau of Labor Statistics (BLS) is the principal federal statistical agency responsible for measuring labor market activity, working conditions, and price changes in the economy. Its mission is to collect, analyze, and disseminate some of the nation’s most sensitive and important economic data to support public and private decision-making. Like all federal statistical agencies, BLS executes its statistical mission with independence. BLS serves the general public, the U.S. Congress, DOL and other federal agencies, state and local governments, and business and labor by providing data products that are accurate, objective, relevant, timely, and accessible, as well as technical assistance and consulting services. Policies and decisions based on BLS data affect virtually all Americans, and the wide range of BLS data products is necessary to fulfill the diverse needs of a broad customer base.

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BLS is committed to maintaining the highest level of scientific integrity in producing official statistics. BLS complies with the Statistical Policy Directives and the Standards and Information Quality Guidelines from OMB, as well as the National Research Council's *Principles and Practices for a Federal Statistical Agency*. Together, these form the foundation for achieving and maintaining scientific integrity within and among the principal statistical agencies. BLS also conforms to the conceptual framework of the Interagency Council on Statistical Policy's Guidelines for Reporting Performance by Statistical Agencies and the "Strengthening Federal Statistics" chapter of the Analytical Perspectives volume in the President's Budget. BLS reports the full cost to produce its data products. BLS also measures accuracy, timeliness, relevance, dissemination, and mission achievement. These six criteria are common among statistical agencies because they represent critical aspects of a statistical program's performance. Using these common concepts as a basis for measuring and reporting on statistical agency outcomes helps inform decision makers more consistently about the performance of statistical agencies.

Strategic Review Summary of Progress (Adequate Progress)

BLS reached 100 percent of the underlying timeliness, accuracy, and relevance targets for its Principal Federal Economic Indicators (PFEIs) with three exceptions over FYs 2015-19. In FY 2019, BLS reached 75 percent (6 out of 8 measures) of the underlying PFEI *relevance* targets. In FY 2019, the result of approximately 13.7 million average page views each month fell short of the target of 15 million. BLS also measures mission achievement through customer satisfaction with the BLS website through the ForeSee Experience Index (FXI); the FY 2019 year-end score was 75, which was lower than the FY 2018 result of 77. Please note that BLS revised its reporting methodology in FY 2019 to provide a cumulative result rather than the score for 4th quarter, as was done previously. For comparison purposes, the cumulative score for FY 2018 was 76.

BLS continues to address the challenges posed by declining survey response rates. Response rates are affected by competing surveys, less willingness on the part of respondents to participate, and concerns about safeguarding respondent confidentiality. To mitigate this, BLS is upgrading strategic communications; providing additional training in survey refusal prevention techniques; offering alternative response modes to reduce the burden, including expanding electronic data interchange collection from large multi-state respondents; and leveraging alternative data sources and technologies, such as web scraping and auto coding.

BLS has been focused on updating the Consumer Price Index (CPI) geographic area sample to reflect changes in population based on the 2010 Decennial Census. Given the breadth of the CPI Geographic Revision, adequate staffing is essential to complete this initiative in a timely manner and to maintain the accuracy of CPI data. To mitigate the risk posed to production and data quality, BLS is proactively managing its hiring process to meet the CPI's staffing needs for the geographic revision.

Analysis and Future Plans

In FY 2019, BLS reached 75 percent (6 out of 8 measures) of the underlying *relevance* targets for all of its PFEIs, missing the Current Employment Statistics (CES) *National monthly and annual series (published and unpublished) maintained*, and the Producer Price Index (PPI) *Indexes published monthly*. The CES program missed its target due to insufficient sample size in certain industries requiring CES to consolidate series for publication

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purposes. The PPI program missed its target due to attrition in old samples and from a backlog of survey units due to staffing shortages, which led PPI to publish less detail for some industries to reflect fewer establishments and prices in the new samples. In FY 2020, CES and PPI will adjust their outyear targets accordingly.

The BLS website has experienced a decline in page views compared to previous years. There are several factors that could be contributing to this decline, and BLS has been investigating these factors to assess how best to move forward. One potential factor is that BLS customers are accessing BLS data via intermediaries and 3rd party sources (for example, through a news source) rather than the BLS website directly. Technology trends and data accessibility via modern methods, such as Application Programming Interfaces (APIs), potentially have impacted the number of website page views. BLS uses Google Analytics to track the average number of BLS website page views each month. While this tool is effective at providing information on the number of human visitors, one of the limitations is that it does not register and report on APIs retrieving information from its website. Given that API usage has affected this measure, BLS explored methods and tools to track API requests in FY 2019. BLS has established a baseline of API usage statistics in FY 2019 and will monitor trends or changes going forward. Beginning in FY 2020, BLS will include API requests in the *Dissemination* measure.

The FY 2019 year-end customer satisfaction score of 75 was above the average score for federal agencies (74) that participate in the ForeSee survey, but was slightly lower than the FY 2018 BLS result of 77. In FY 2020, BLS will continue redesigning the website to ensure that BLS data products are readily accessible and to meet users’ evolving needs and exploring methods that better capture ways in which data are accessed outside of traditional website page views.

BLS – Provide timely, accurate, and relevant information on labor market activity, working conditions, and price changes in the economy.

*Target reached (Y), Improved (I), or Not Reached (N)		FY/PY 2015	FY/PY 2016	FY/PY 2017	FY/PY 2018	FY/PY 2019	FY/PY 2020	FY/PY 2021	What Worked	What Didn't Work	Program Performance Improvement Plan
Percentage of timeliness targets achieved for the Principal Federal Economic Indicators (PFEIs)	Target	100%	100%	100%	100%	100%	100%	100%	BLS released all of its PFEI news releases on schedule.		
	Result	100%	100%	100%	100%	100%					
	Status	Y	Y	Y	Y	Y	--	--			
Percentage of accuracy targets achieved for the PFEIs	Target	100%	100%	100%	100%	100%	100%	100%	BLS met all its underlying PFEI accuracy targets.		
	Result	100%	100%	100%	85%	100%					
	Status	Y	Y	Y	N	Y	--	--			

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*Target reached (Y), Improved (I), or Not Reached (N)		FY/PY 2015	FY/PY 2016	FY/PY 2017	FY/PY 2018	FY/PY 2019	FY/PY 2020	FY/PY 2021	What Worked	What Didn't Work	Program Performance Improvement Plan
Percentage of relevance targets achieved for the PFEIs	Target	100%	100%	100%	100%	100%	100%	100%	BLS achieved 6 out of 8 of its underlying PFEI relevance targets.	CES missed a target because it consolidated series for publication purposes. PPI missed a target because it published less detail for certain industries due to staffing shortages.	CES and PPI will adjust their outyear targets accordingly.
	Result	100%	100%	100%	88%	75%					
	Status	Y	Y	Y	N	N	--	--			
Average number of BLS website page views each month (Dissemination)	Target	17,400,000	17,000,000	16,400,000	15,600,000	15,000,000	13,700,000	13,700,000		Technology trends and modern methods of accessing data, such as using APIs and retrieving data through intermediaries, potentially have impacted the number of page views across the website.	BLS will continue to analyze website trends and will include API requests in the Dissemination measure.
	Result	16,965,254	16,324,885	15,514,973	14,924,242	13,682,746					
	Status	--	N	N	N	N	--	--			
Customer satisfaction with the BLS website through the ForeSee Experience Index (Mission Achievement)	Target	77	75	76	76	76	75	75			BLS will continue redesigning the website to ensure its data products are readily accessible and meet users' evolving needs.
	Result	75	76	75	77	75					
	Status	--	Y	N	Y	N	--	--			

Sources: For most cross-cutting measures, internal BLS documents. For the Mission Achievement measure, the cumulative BLS website FXI score for the FY.

WB Strategic Objective 1.5 – Formulate policies and initiatives to promote the interests of working women.

The Women’s Bureau (WB) conducts research to formulate practices and policies aimed at increasing economic and employment opportunities and advancement for the 75 million working women and their families in the U.S. WB identifies trends, data gaps, policy and programmatic needs, and strategic mechanisms to safeguard the interest of working women. These efforts allow WB to inform and educate individuals and organizations at the local, state, and national levels about the issues facing women in the labor force.

Strategic Goal 1

Strategic Review Summary of Progress (Adequate Progress)

In FY 2019, WB awarded nearly \$1.5 million in Women in Apprenticeship and Nontraditional Occupations (WANTO) grants to three organizations to help recruit, train, and retain women in pre-apprenticeship and apprenticeship programs. The WANTO grants will help women pursue careers in manufacturing, infrastructure, cybersecurity, health care, and other industries. Additionally, WB awarded nearly \$2.5 million in Re-Employment, Support, and Training for the Opioid Related Epidemic (RESTORE) grants to organizations in five states to provide skills development and employment services to women affected by the opioid crisis. Also in FY 2018, in collaboration with VETS and the White House, WB launched an interactive map to assist military spouses in identifying options for obtaining and transferring professional licenses and credentials. In conjunction with the White House, WB held a national convening and 10 regional listening sessions to discuss approaches to expanding access to child care for working families. In February 2019, the WB Director moderated a discussion at the White House with Advisor to the President Ivanka Trump and leading child care experts to share innovative ideas and models on how to expand access to child care. WB initiated a new project to produce a public-use database of child care costs based on local area data. Additionally, in 2018, in conjunction with the White House, Council of Economic Advisers, U.S. Small Business Administration, and U.S. Department of the Treasury, WB began developing an e-learning platform to connect women business owners with the tools and skills they need to scale their businesses.

Analysis and Future Plans

In FY 2019, WB conducted research and developed new products to help expand opportunities for women to access and thrive in apprenticeship programs; assist women affected by opioid abuse in enhancing their skills and obtaining family-sustaining jobs; reduce occupational licensing barriers to employment for military spouses; assess working families' access to affordable, quality child care; and expand opportunities for women in entrepreneurship. WB exceeded its target for the number of policy and research deliverables, producing a total of 21 issue briefs, reports, and other resources. In FY 2020, WB will recognize its 100th anniversary and continue to highlight the work the Administration is doing to advance opportunities for women and serve as a reliable and up-to-date source of information and research on Administration initiatives and data on women and the workforce. WB plans to develop web resources depicting the results of the American Time Use Survey Leave and Job Flexibilities Module, and undertake one or more inter-agency collaborations to search public-health datasets for information shedding light on the connections between women's use of opioids and labor force participation. In FY 2021, WB will streamline programs and eliminate grant funding to reduce duplication with other grants elsewhere in the Department.

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WB – Formulate policies and initiatives to promote the interests of working women.

*Target reached (Y), Improved (I), or Not Reached (N)		FY/PY 2015	FY/PY 2016	FY/PY 2017	FY/PY 2018	FY/PY 2019	FY/PY 2020	FY/PY 2021	What Worked	What Didn't Work	Program Performance Improvement Plan
Number of policy & research deliverables	Target	18	20	18	6	16	15[r]	9	WB redesigned and updated its website with new data and statistics, visualizations, interactive state maps, communications materials, and a tool disaggregating monthly unemployment rates by gender.	The lack of OMB pre-clearance early in the grant review process was challenging. Also, increasing the WANTO grant period of performance would enable full project implementation and reporting outcomes.	WB plans to propose an early round of OMB pre-clearance in its FY 2020 round of grant making. The FY 2021 Budget eliminates the Bureau's grant funding, which is duplicative of other, larger grants elsewhere in the Department.
	Result	20	21	21	16	21					
	Status	Y	Y	Y	Y	Y	--	--			

Sources: WB quarterly productivity reports

Notes: [r] = revised

Strategic Goal 2: Promote Safe Jobs and Fair Workplaces for All Americans

OSHA Strategic Objective 2.1 – Secure safe and healthful working conditions for America’s workers.

The Occupational Safety and Health Administration (OSHA) was established by the Occupational Safety and Health Act of 1970 with the mission to ensure employers provide American workers safe and healthful working conditions. OSHA ensures the safety and health of America’s workers by setting and enforcing workplace safety and health standards; delivering effective enforcement; providing training, outreach, and education; and encouraging continual improvement in workplace safety and health. Through these efforts, OSHA aims to reduce the number of worker illnesses, injuries, and fatalities and contribute to DOL’s broader goals of promoting the competitiveness of our nation’s workforce.

Strategic Review Summary of Progress (Adequate Progress)

Fall protection continues to be the number one violation cited by OSHA. Falls are the leading cause of death in the construction industry and account for 20 percent of all serious injuries. The National Campaign to Prevent Falls in Construction Final Report indicated that thousands of employers received certificates by providing over one million workers and over 1.5 million military and civilian federal personnel fall prevention training. OSHA also has national and local emphasis programs, as well as a strategic plan to direct Compliance Safety and Health Officers (CSHOs) to establishments with the most significant risk of fall hazards. In FY 2019, preliminary data show that OSHA conducted 10,570 inspections of worksites as a result of these programs, and 8,096 fall-related hazards were abated.

OIG has identified “Protecting the Safety and Health of Workers” as a [DOL Top Management and Performance Challenge for FY 2018](#). OSHA’s greatest challenge is determining the best use of its resources to help protect worker safety and health (particularly in high-risk industries), verifying the abatement of construction hazards, and preventing the underreporting of injuries by employers.

OSHA has taken measures to address this challenge. OSHA employs a triage process on severe injury reports to focus inspection resources on the most serious cases. Those employers who are not inspected after submitting a severe injury report are still expected to conduct a rapid response investigation and submit a report to OSHA that describes the root cause of the event causing the injury or illness. Employers are also expected to take steps to address any identified hazards. Severe injury reporting data are also used to identify unknown occupational hazards. The agency addresses these hazards through enforcement, consultation, and outreach.

Agency Priority Goal

Worker Safety: Reduce Trenching and Excavation Hazards

By September 30, 2021, increase trenching and excavation hazards abated by 12 percent compared to FY 2017 through inspections and compliance assistance at workplaces covered by the Occupational Safety and Health Administration (OSHA).

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OSHA's enforcement policies require documentation of hazard abatement and training of enforcement staff in abatement verification policies and procedures. In addition, OSHA incorporates various inspection procedures to verify abatement of hazards, identify employers with past violations, and support the issuance of repeat and willful citations.

In FY 2019, OSHA's Compliance Assistance Specialists and other field staff conducted more than 1,000 outreach activities that addressed OSHA's recordkeeping and reporting requirements. Citations issued to employers for not complying with the severe injury and illness reporting requirements increased from 764 in FY 2016 to 909 in FY 2019. The number of severe injury reports has also increased each year since the reporting requirements went into effect. In FY 2016, OSHA received 10,816 severe injury reports; by FY 2019, that number had increased to 12,245—an increase of more than 13 percent.

Analysis and Future Plans

In FY 2019, OSHA worked with OMB to implement a Customer Experience Plan related to the Voluntary Protection Programs (VPP) that included both a plan and public-facing dashboard. In FY 2020, OSHA will continue to publish existing customer service data. OSHA also plans to continue progress toward implementation of the VPP Customer Service Dashboard, pending design decisions and the implementation of and sufficient response to the VPP Customer Service Survey.

OSHA's compliance officers strategically prioritize enforcement resources to target high hazard industries and irresponsible employers. Corporate Wide Settlement Agreements and the Severe Violator Enforcement Program are additional tools OSHA uses to target establishments that require improvement across a number of locations. In FY 2018, OSHA established an APG to increase hazards abated in trenching and excavation by 10 percent from the FY 2017 baseline. In FY 2019, OSHA exceeded this target by abating 2,710 hazards. OSHA has renewed the APG for FY 2020-2021, setting a more ambitious goal of 12 percent above the FY 2017 baseline. OSHA seeks to reduce injuries and fatalities by targeting workplaces where there are potential trenching/excavation hazards for inspections as well as outreach. OSHA will work with industry associations and the public utilities who hire a significant portion of the work to create a public-private effort to impact these fatalities. Increased inspection activity focusing on trenching/excavation hazards should result in fewer injuries and fatalities—the ultimate outcome for DOL and American workers.

Safety training is a critical piece of OSHA's strategic effort to prevent workplace fatalities, injuries, and illnesses. OSHA conducts training programs at the OSHA Training Institute (OTI), administers the OTI Education Centers Program, and administers the Outreach Training Program. In FY 2019, OSHA provided training for 1,627,368 individuals. VPPs are another important component of OSHA's compliance assistance activities. This program recognizes employers and workers who have implemented effective safety and health management systems and who maintain below-average injury and illness rates in their respective industries. The program also brings OSHA and employers together to cooperatively and proactively prevent future fatalities, injuries, and illnesses. In FY 2019, OSHA completed 361 VPP approvals and re-approvals.

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OSHA also administers and enforces 23 whistleblower protection statutes that protect workers who experience retaliation for reporting violations of the law. Principally, this includes Section 11(c) of the Occupational Safety and Health Act, which prohibits employers from retaliating against employees who bring workplace hazards to the attention of the employer or the Agency. The additional 22 whistleblower protection provisions protect workers in a variety of industries who speak out against unsafe and/or unlawful behavior, including violations of transportation, consumer protection, or financial reform laws. In FY 2019, OSHA completed 3,091 docketed whistleblower investigations, awarding more than \$16 million to complainants, including 34 reinstatements.

OSHA – Secure safe and healthful working conditions for America’s workers.

*Target reached (Y), Improved (I), or Not Reached (N)		FY/PY 2015	FY/PY 2016	FY/PY 2017	FY/PY 2018	FY/PY 2019	FY/PY 2020	FY/PY 2021	What Worked	What Didn't Work	Program Performance Improvement Plan
Number of hazards abated associated with falls in construction, general industry, and maritime	Target	--	--	--	7,500	7,810	7,900	7,940	The Fall Protection Campaign in collaboration with OSHA partners involved over 150 public events.	The number of programmed inspections addressing fall hazards was constrained by resources and other priorities.	Implement enforcement emphasis programs and outreach to focus inspection and compliance assistance resources on fall hazards.
	Result	9,328	7,964	8,032	8,001	8,096 [e]					
	Status	--	--	--	Y	Y	--	--			
Number of trenching and excavation hazards abated	Target	--	--	--	--	2,572	2,619	2,619	OSHA exceeded its target by using enforcement and compliance assistance programs to identify and address trenching and excavation hazards.	Despite substantial outreach efforts, general awareness about trenching and excavation hazards and safe work practices still needs to improve.	OSHA will promote awareness by supporting and participating in trench safety stand down events and by distributing materials and resources for trenching and excavation safety.
	Result	--	--	2,338	2,324	2,710					
	Status	--	--	--	--	Y	--	--			
Number of people trained by OSHA	Target	--	--	--	934,270	1,208,728	1,627,400	1,628,000	OSHA exceeded the target for total students trained. This was a result of high demand for OSHA Outreach Training and increased demand for courses through OSHA Training Institute Education Centers.	Vacancies in current and planned Compliance Assistance Specialist (CAS) positions limited the number of training activities that OSHA could provide to local employer and worker groups.	Fill current and planned Compliance Assistance Specialist vacancies.
	Result	997,708	1,046,580	1,058,894	1,179,551	1,627,368					
	Status	--	--	--	Y	Y	--	--			

Strategic Goal 2

*Target reached (Y), Improved (I), or Not Reached (N)		FY/PY 2015	FY/PY 2016	FY/PY 2017	FY/PY 2018	FY/PY 2019	FY/PY 2020	FY/PY 2021	What Worked	What Didn't Work	Program Performance Improvement Plan
New VPP approvals	Target	--	--	59	100	90	80	80	OSHA implemented a streamlined system for processing new approval reports.	On-site evaluations frequently encounter scheduling delays outside of OSHA control.	OSHA will refine the system for processing new approval reports to make timeliness more consistent, and encourage use of electronic applications to make the application process more convenient.
	Result	--	--	79	58	70					
	Status	--	--	Y	N	I	--	--			
Whistleblower investigations completed	Target	3,050	3,200	2,900	2,725	2,655	3,200	3,400	OSHA continued the expanded administrative closure procedure and implemented new streamlined investigative procedures for increased efficiency resulting in completion of more cases than in FY18.		
	Result	3,273	3,307	3,348	2,929	3,091					
	Status	Y	Y	Y	Y	Y	--	--			
VPP re-approvals	Target	--	--	232	270	280	280	280	Backlog eliminated, freeing time for processing re-approvals. Streamlined system for processing re-approval reports.	On-site evaluations frequently encounter scheduling delays outside of OSHA control.	Refine system for processing re-approval reports to make timeliness more consistent. Encourage use of electronic form for re-approvals to improve the speed of the report preparation process.
	Result	--	--	263	174	291					
	Status	--	--	Y	N	Y	--	--			

Sources: OSHA Information System (OIS) and Integrated Management Information System (IMIS)

MSHA Strategic Objective 2.2 – Prevent fatalities, disease, and injury from mining, and secure safe and healthful working conditions for America’s miners.

The Mine Safety and Health Administration (MSHA) protects the safety and health of the nation’s miners through enforcement of the Federal Mine Safety and Health Act of 1977 (Mine Act), as amended by the Mine Improvement and New Emergency Response Act of 2006. MSHA’s mission is to prevent death, disease, and injury from mining and to promote safe and healthful workplaces for the nation’s miners. This mission is carried out through the promulgation and enforcement of mandatory safety and health standards; mandated inspections, which require four complete inspections annually at active underground mines and two complete inspections annually at active surface mines; miner training; and technical compliance assistance activities.

To prevent miner deaths, operators must have in place effective safety and health programs that are constantly evaluated to identify and eliminate mine hazards, and that provide training for all mining personnel. MSHA has undertaken several measures to prevent mining deaths including increased monitoring and strategic enforcement through targeted inspections at mines with identified problem areas; a Pattern of Violations program; special initiatives such as focusing on inexperienced miners and miners working alone; and outreach efforts such as “Safety Pro in a Box,” which provides guidance to the metal/nonmetal mining industry on best practices and compliance responsibilities.

Strategic Review Summary of Progress (Noteworthy Progress)

In FY 2019, the five-year rolling average of fatal injuries per 200,000 hours worked decreased to 0.0101, a 46 percent decrease from FY 2010, when the measure was first reported; and the lowest in U.S. mining history. The five-year rolling average of all injuries per 200,000 hours worked decreased to 2.17 in FY 2019, which is 15 percent lower than the FY 2015 result.

Also in FY 2019, MSHA completed 86 percent of investigations of miner requests for temporary reinstatements within 20 days of receipt. MSHA completed 92 percent of its Mine Act section 105(c) investigations of miner discrimination complaints within 60 days of receipt.

In FY 2018, MSHA revised and began to vigorously enforce its Scofflaw Program that seeks to improve health and safety conditions at active mines by leveraging the legal actions available when civil penalties are not being paid. As of the end of FY 2019, 81 mine operators have either taken steps to enter into payment agreements or satisfied their delinquent debts, resulting in the recovery of \$3.7 million in fines.

Agency Priority Goal

Worker Safety: Reduce Miner Injuries

By September 30, 2021, reduce the reportable injury rate associated with powered haulage equipment, the primary cause of miners’ injuries, by four percent per year based on a rolling five-year average per 200,000 hours worked.

Strategic Goal 2

In “Protecting the Safety and Health of Workers,” a [DOL Top Management and Performance Challenge in FY 2019](#), OIG identified a number of management and performance challenges facing MSHA, including the underreporting of injuries by operators, an increase in black lung cases, and reducing the number of powered haulage accidents. MSHA has taken action to address each of these areas. In the past ten years, for example, MSHA has conducted over 4,500 audits of 30 C.F.R. Part 50 (Notification, Investigation, Reports and Records of Accidents, Injuries, Illnesses, Employment, and Coal Production in Mines) to identify underreporting of injuries by operators and issued more than 4,800 citations for violations of such underreporting. With regard to black lung disease, MSHA strictly enforces regulatory standards for both respirable coal dust and respirable silica (quartz) and has made the reduction of miners’ exposure to quartz a top agency priority. The prevention of powered haulage accidents has been a MSHA priority since FY 2018, with an initial focus on three areas: large equipment striking smaller equipment; seat belt usage; and conveyor belt safety. To date, the initiative has involved soliciting stakeholder input on best practices for keeping miners safe when working around powered haulage equipment.

Also in FY 2019, MSHA developed guidance for reducing inspection hours in active, non-producing mines, which will be incorporated into the annual refresher training provided to agency enforcement personnel.

Analysis and Future Plans

In FY 2019, MSHA exceeded its target to reduce the five-year rolling average of fatal injuries per 200,000 hours worked. The five-year fatality rate was 0.0101, the lowest in U.S. mining history. MSHA also exceeded its target to reduce the all injury rate based on a five-year rolling average per 200,000 hours worked. The five-year injury rate was 2.17, which is 15 percent lower than the FY 2015 result. Reduced fatalities and injuries are attributed to a number of factors beyond enforcement, including better use of technology, safer mining practices, and improved training.

MSHA’s Agency Priority Goal reflects efforts to reduce workplace hazards that represent a primary cause of fatalities and injuries. In FY 2019, accidents caused by powered haulage equipment, which is a category of moving machines used to transport miners or haul materials in mines, contributed to 32 percent of fatalities and 9 percent of total injuries. MSHA continues to promote best practices to prevent injuries and fatalities associated with powered haulage accidents. The [Powered Haulage Initiative](#) website includes pages highlighting large equipment blind spots, seat belt usage, and conveyor safety. Inspectors at all field offices continue to focus on conveyor safety during mine visits, discussing best practices and distributing hardhat stickers and brochures. Also, in FY 2019, MSHA identified fatalities related to contractors as an area of focus and has begun a compliance assistance initiative to address these deaths. MSHA continues to promote its outreach efforts through social media, the Agency’s public website, msha.gov, and quarterly stakeholder calls. Lastly, MSHA awarded nearly \$400,000 in grant funding through its Brookwood-Sago grant program to support education and training opportunities for miners that focused on powered haulage safety.

Strategic Goal 2

MSHA – Prevent fatalities, disease, and injury from mining and secure safe and healthful working conditions for America’s miners.

*Target reached (Y), Improved (I), or Not Reached (N)		FY/PY 2015	FY/PY 2016	FY/PY 2017	FY/PY 2018	FY/PY 2019	FY/PY 2020	FY/PY 2021	What Worked	What Didn't Work	Program Performance Improvement Plan
Five-year rolling average of reportable injuries associated with powered haulage equipment per 200,000 hours worked	Target	--	--	--	0.170	0.170	0.171	TBD	The focus on injuries caused by powered haulage equipment remains a primary priority for MSHA.	MSHA is not able to identify any enforcement efforts or initiatives that did not work. MSHA continues to work on consistency in enforcement, and increased compliance assistance initiatives.	MSHA will issue a proposed rule with the potential to require mine operators to develop a safety program for mobile equipment at surface mines and surface areas of underground mines in 2020.
	Result	0.201[r]	0.190	0.185[r]	0.181[r]	0.178					
	Status	--	--	--	I	I	--	--			
Five-year rolling average of fatal injuries per 200,000 hours worked	Target	0.0136	0.0120	0.0121	0.0114	0.0114	TBD	TBD	MSHA completed 100% of mandatory health and safety inspections. Additionally, MSHA utilizes stakeholder outreach and safety initiatives to address safety and health concerns.	MSHA is not able to identify any enforcement efforts or initiatives that did not work. MSHA continues to work on consistency in enforcement, and increased compliance assistance initiatives.	MSHA plans to increase inspection and enforcement effectiveness, strengthen and modernize training and education, and increase efforts to protect miners from discrimination.
	Result	0.0126	0.0123	0.0116	0.0110	0.0101					
	Status	Y	I	Y	Y	Y	--	--			
Five-year rolling average of all injuries per 200,000 hours worked	Target	--	--	2.30	2.30	2.25	TBD	TBD	See above.	See above.	See above.
	Result	2.56	2.44	2.35[r]	2.26	2.17					
	Status	--	--	I	Y	Y	--	--			

Sources: Injury data – Mine operators' and non-exempt contractors' Mine Accident, Injury, and Employment reports and MSHA's Standardized Information System

Notes: [r] = revised. MSHA’s fatality and injury rates reflect the number of fatalities or injuries per 200,000 hours worked during the prior five-year period.

WHD Strategic Objective 2.3 – Secure lawful wages and working conditions for America’s workers.

The Wage and Hour Division (WHD) is responsible for administering and enforcing laws that establish the minimum standards for wages and working conditions. WHD enforces and administers the minimum wage, overtime pay, and child labor provisions of the Fair Labor Standards Act (FLSA); the prevailing wage requirements and wage determination provisions of the Davis Bacon Act and Related Acts, Service Contract Act, Contract Work Hours and Safety Standards Act, Walsh-Healey Act, and Copeland Act; the wages and working conditions under the Migrant and Seasonal Agricultural Worker Protection Act; the Family and Medical Leave Act; the Employee Polygraph Protection Act; and the garnishment provisions of the Consumer Credit Protection Act. WHD also enforces the field sanitation and temporary labor camp standards in agriculture and certain employment standards and worker protections of the Immigration and Nationality Act. Collectively, these labor standards cover most private, state, and local government employment. They protect over 143 million of America’s workers in more than 9.8 million establishments throughout the U.S. and its territories.

WHD focuses its enforcement and compliance assistance efforts to achieve the greatest impact. The agency uses data and evidence to identify areas and industries in which serious violations may be widespread and often organizes educational and enforcement initiatives in those areas. WHD complements enforcement with outreach and education to employers. By partnering with industry and employers to produce meaningful compliance assistance, WHD can increase compliance with the laws it enforces. By combining enforcement with education, more workers in this country can obtain stable and secure income and responsible businesses can succeed.

Strategic Review Summary of Progress (Noteworthy Progress)

WHD maximizes resources by using an evidence-based, multi-pronged approach to improve compliance, including compliance assistance to employers; investigations in high-violation industries; engagement and education of private and public stakeholders; and the use of press releases, its website, and social media to inform employers, workers, consumers, and the public about its work and about the resources available to them. These methods have produced record-breaking results.

In the last 5 years, WHD has helped more than 1.3 million workers and recovered more than \$1.4 billion dollars in back wages. In FY 2019 alone, WHD collected over \$322 million in back wages—a record for the second year in a row. WHD enforcement actions in FY 2019 found, on average, approximately \$1,025 for each employee due back wages. In FY 2018, WHD updated its approach to enforcement in nonimmigrant visa programs, such as H-1B, consistent with the President’s Executive Order 13788 on Buy American and Hire American.

WHD conducted more than 3,700 outreach events and presentations in FY 2019, providing critical information and compliance assistance to thousands of employers, employees, and industry associations. This represents a new record for the number of events conducted in a single year (for the second year in a row), reflecting the agency’s commitment to providing employers the information and the tools they need to comply with the law.

Strategic Goal 2

WHD increased agency-initiated investigations from 27 percent of all investigations in FY 2010 to 52 percent of all investigations in FY 2019. Data show that agency-initiated investigations have particularly positive results for low-wage workers who are less likely to file complaints and are more likely to work in industries with a high risk for violations. WHD also focused its investigations and resources better than ever on workplaces with violations. The percentage of agency-initiated investigations with no violations fell to 13 percent, down from 30 percent in FY 2010, while the percentage of complaint investigations with no violations remained at 14 percent, down from 26 percent in FY 2010. This indicates that agency-initiated investigations have been as accurate as complaint-based investigations in finding employers with violations.

In FY 2018, WHD launched the Payroll Audit Independent Determination (PAID) program, which provided an efficient avenue for employers to resolve specific types of violations of the FLSA and for employees to timely receive the back wages they are due. As one of several compliance tools, the value of the self-audit tool derives from its potential to deliver more back wages to employees with significantly fewer enforcement hours than a full investigation. The self-audit tool did not replace investigations, but rather, provided another option for district offices to effectively manage resources and broaden their reach within the regulated community. During FY 2019, WHD concluded 69 PAID cases, representing less than one percent of all compliance actions. A total of \$3,987,895 in back wages was paid to 7,394 employees in PAID cases. PAID self-audits returned more back wages to employees in less time than compliance actions overall. During FY 2019, back wages per case for PAID cases (\$57,796) were more than four times the average back wages per compliance action (\$11,999). Back wages per enforcement hour for PAID cases (\$2,871) were nearly ten times greater than back wages per enforcement hour for all compliance actions (\$297). During FY 2019, PAID self-audits averaged 20 hours of investigator time per case as compared to 40 hours per compliance action agency-wide. PAID self-audits reach employers that WHD would not typically prioritize for enforcement, including government establishments and industry sectors with higher wage occupations. The program design and implementation are built on existing protocols and practices and involve a significant outreach effort. Moving forward, the agency will continue using and evaluating self-audits, consistent with the goals, priorities, and data-driven practices of the agency.

WHD's legacy IT systems are outdated. Although WHD has implemented various solutions to fund certain technology enhancements, it remains at a high risk of outdated technology eroding efforts to modernize business processes and carry out the range of compliance strategies necessary to address compliance systemically. The agency is focused on building a modern, multi-tier, cloud-based system using low-code business process management solutions. The agency will achieve significant efficiency gains while eliminating the costs and risks of operating outdated systems.

Analysis and Future Plans

WHD continues to balance enforcement with compliance assistance. WHD will continue to track the percent of agency-initiated violations and "no violation" rates, as indicators of whether the agency is selecting the right employers to investigate, and will report the number of outreach hours spent in compliance assistance. The goal is to increase impact through direct engagement with industry leaders and the use of more modern compliance assistance methods.

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WHD – Secure lawful wages and working conditions for America’s workers.

*Target reached (Y), Improved (I), or Not Reached (N)		FY/PY 2015	FY/PY 2016	FY/PY 2017	FY/PY 2018	FY/PY 2019	FY/PY 2020	FY/PY 2021	What Worked	What Didn't Work	Program Performance Improvement Plan
Number of compliance actions concluded	Target	30,500	30,500	30,500	29,500	28,000	26,270	26,500	WHD maintained a high number of compliance actions despite losing 55 investigators over the course of the FY. WHD found the highest number of back wages in its history in FY 2019.	This measure does not account for differences in complexity between cases.	WHD developed an FLSA severity index for FY 2020 that will allow more meaningful distinctions between compliance actions and guide future performance framework.
	Result	27,914 [r]	28,589	28,771	28,397	26,876					
	Status	N	I	I	N	N	--	--			
Percent of agency-initiated compliance actions (excluding conciliations)	Target	43%	45%	46%	46%	46%	46%	46%	Data show that agency-initiated investigations have a greater deterrent effect and improve compliance.	WHD needs to continue evolving internal coordination, communication, and planning to maximize the impact of these investigations.	WHD increased its cross-regional initiative coordination for FY 2020 and is focusing on using more nuanced data and external data sources to find and remedy the most severe and systemic violations.
	Result	42%	46%	51%	53%	52%					
	Status	N	Y	Y	Y	Y	--	--			
Percent of no violation, agency-initiated compliance actions (excluding conciliations)	Target	25%	24%	21%	21%	21%	19%	19%	WHD achieved the lowest no violation rate in recent history with a continued shift towards coordinated and data-driven enforcement.	No violation rates provide limited insight into the severity of those violations.	WHD developed an FLSA severity index for FY 2020 that will allow more meaningful distinctions between compliance actions and guide future performance framework.
	Result	21%	19%	14%	14%	13%					
	Status	Y	Y	Y	Y	Y	--	--			
Percent of no violation, complaint compliance actions (excluding conciliations)	Target	21%	21%	21%	21%	21%	19%	19%	WHD’s complaint screening has improved its no violation rates.	See above.	See above.
	Result	18%	16%	15%	14%	14%					
	Status	Y	Y	Y	Y	Y	--	--			

Sources: Wage and Hour Investigative Support and Reporting Database (WHISARD).

Notes: [r] = revised

EBSA Strategic Objective 2.4 – Improve the security of retirement, health, and other workplace-related benefits for America’s workers and their families.

The Employee Benefits Security Administration (EBSA) is charged with protecting nearly 154 million workers, retirees, and their families who are covered by approximately 710,000 private retirement plans, 2.4 million health plans, and similar numbers of other welfare benefit plans. Together, these plans hold estimated assets of \$10.6 trillion. EBSA employs a comprehensive, integrated approach encompassing programs for enforcement, compliance assistance, interpretive guidance, legislation, and research. In FY 2019, the agency recovered over \$2.5 billion for direct payment to plans, participants and beneficiaries. EBSA’s enforcement program seeks to detect and correct violations that result in monetary recoveries for employee benefit plans, participants, and beneficiaries or secure other corrective remedies including, but not limited to, significant broad-based reforms for large plans or common service providers.

Strategic Review Summary of Progress (Noteworthy Progress)

Since FY 2015, EBSA has focused on National Projects and the Major Case Enforcement Priority so that it can have the greatest impact on the protection of plan assets and participants’ benefits. In FY 2019, EBSA spent 27 percent of total investigative staff time on Major Cases, and Major Cases produced \$1.94 billion in monetary results—an increase of 83.5 percent from FY 2018. In FY 2019, EBSA enforcement also recovered another \$82.5 million through non-Major Cases. EBSA conducted 330 national and regional compliance activities in FY 2019, a 2.5 percent increase over the 322 activities it conducted in FY 2018.⁹ EBSA also conducted 128 health-related national and regional compliance activities, exceeding its target of 54. In FY 2019, EBSA’s Benefits Advisors obtained recoveries of \$510 million through their efforts, contributing to the agency’s total recoveries of over \$2.5 billion for direct payment to plans, participants, and beneficiaries.

“Protecting Retirement, Health, and Other Benefit Plans for Workers, Retirees, and Their Families” was identified as a [DOL Top Management and Performance Challenge in FY 2018](#). This challenge is a function of the vast number of plans and plan actors that the agency oversees, as compared to its small staff of investigators. The Major Case initiative leverages this small agency’s positive impact on the vast universe of regulated entities. EBSA’s scope and workload is projected to increase as a result of the President’s October 2017 Executive Order to expand access to Association Health Plans, and the August 2018 Executive Order on expanding access to multiple employer retirement plans. In FY 2018, EBSA issued regulatory guidance regarding Association Health Plans and other related reforms.

EBSA introduced several initiatives in FY 2018 to increase collaboration among regional offices. These initiatives include increased emphasis on cross-regional cases, the development and deployment of subject matter experts, and the use of Specialty Teams. Increasing collaboration among

⁹ EBSA provides education and outreach to assist employers (particularly small businesses), plan officials, and plan service providers in understanding and complying with their obligations under ERISA and related regulations. Seminars, workshops, and webcasts focus on health benefit plan laws and fiduciary responsibilities related to ERISA-governed retirement plans, among other topics.

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regional offices will lead to a more efficient use of investigative talent and expertise, cross-training opportunities for investigators across regions, increased consistency in enforcement policies, and better identification of issues and trends affecting the regulated community on a national basis.

Additionally, EBSA will continue to contract with qualified non-governmental organizations to provide audit services for the Thrift Savings Plan (TSP). The agency believes it is critical to improve DOL's focus and oversight in areas where weaknesses with TSP have been identified but not adequately mitigated, and its efforts have aimed to develop greater accountability and oversight of the Federal Retirement Thrift Investment Board.

Analysis and Future Plans

In FY 2019, EBSA continued to focus its enforcement resources on National Enforcement Projects and the Major Case Enforcement Priority. The Major Case Enforcement Priority concentrates a significant portion of the agency's enforcement resources on cases likely to have the greatest impact on the protection of plan assets and participants' benefits. EBSA also employs metrics to evaluate the efficiency and effectiveness of investigative time. Because Major Case results can be highly volatile from year to year, EBSA based its enforcement measures on careful consideration of historical data. EBSA's FY 2019 results reflected the volatility of Major Case recoveries. The majority of FY 2019 recoveries came from a single initiative, the Terminated Vested Participant Project (TVPP). The TVPP cases have obtained unusually large recoveries for participants and beneficiaries while expending minimal investigative resources. Without the exceptional results of the TVPP initiative, EBSA's FY 2019 results would have been in line with EBSA's projected targets for the year, rather than dramatically exceeding them. In EBSA's view, the TVPP results are anomalous, and TVPP recoveries will begin to decline over the next two to three years, as plan fiduciaries and sponsors improve their recordkeeping and notification practices with respect to "missing" terminated vested participants. In addition, EBSA expects the anticipated expansion of Multiple Employer Welfare Arrangements (MEWAs) to have a substantial impact on its enforcement workload, without a corresponding increase in significant monetary recoveries. The focus of MEWA enforcement efforts will be as much on shutting down fraudulent operations and correcting plan mismanagement as recovering plan losses. If past history is any indication, even where losses have occurred, it will be much more difficult for the agency to recover losses from solvent breaching fiduciaries than is true of the TVPP cases. When EBSA shuts down a fraudulent operation or stops plan mismanagement, it prevents future breaches and losses; but such preventive results are not captured in metrics focused on monetary recoveries. As a result, EBSA expects its reported monetary recoveries to decline over the coming years.

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EBSA – Improve the security of retirement, health, and other workplace-related benefits for America’s workers and their families.

*Target reached (Y), Improved (I), or Not Reached (N)		FY/PY 2015	FY/PY 2016	FY/PY 2017	FY/PY 2018	FY/PY 2019	FY/PY 2020	FY/PY 2021	What Worked	What Didn't Work	Program Performance Improvement Plan
Major Case Monetary Recoveries per Major Case Staff Day	Target	--	--	--	\$16,936	\$23,151	\$39,996	\$39,996	Major Cases are a priority because they enable EBSA to use its limited resources in a way that has the greatest possible positive impact on large numbers of plans and participants.	This year’s large recoveries could create false expectations. Over-performance stemmed from extraordinary TVPP results. Without TVPP, EBSA would have exceeded the target by a much smaller margin.	EBSA anticipates adjusting its targets in future years as TVPP becomes less important. Given the volatility of historical results, targets rely on historical data.
	Result	--	\$15,947	\$30,269	\$62,956	\$108,807					
	Status	--	--	--	Y	Y	--	--			
Monetary Recoveries on Major Cases Closed per Staff Day	Target	--	--	--	\$30,737	\$23,667	\$29,271	\$29,271	In FY 2019, the large TVPP recoveries positively impacted this performance measure.	See above.	See above.
	Result	--	\$44,986	\$13,301	\$22,131	\$79,773					
	Status	--	--	--	I	Y	--	--			
Percent of Delinquent Employee Contribution, Abandoned Plan, Bonding, Health-Part 7 Violation, and Other Reporting and Disclosure Non-Fiduciary Breach Cases Closed or Referred for Litigation in the fiscal year within 18 Months of Case Opening	Target	71%	69%	70%	70%	70%	76%	76%	In FY 2019, EBSA exceeded the targets for its three investigation timeliness measures. Both civil and criminal investigations exhibited greater efficiencies than expected.	EBSA met its goal of timely resolving cases. EBSA is carefully monitoring its timeliness measures, however, to ensure that cases are not closed before issues are appropriately explored and resolved.	Based on the Closed Case Quality Review that EBSA conducted in FY 2019, the agency instituted additional case level management procedures.
	Result	71%	76%	89%	84%	89%					
	Status	Y	Y	Y	Y	Y	--	--			

Sources: Enforcement Management System.

OFCCP Strategic Objective 2.5 – Promote fair and diverse workplaces for America’s federal contractor employees.

The Office of Federal Contract Compliance Programs (OFCCP) requires that employers that do business with the Federal Government comply with contractual equal employment opportunity and affirmative action requirements to ensure a fair and diverse workplace, free of discrimination and

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harassment. OFCCP recognizes the importance of striking a balance between its enforcement efforts and compliance assistance activity. The agency is strengthening contractor engagement through the use of additional compliance resources, tools, and national training.

Strategic Review Summary of Progress (Adequate Progress)

OFCCP's workforce right-sizing process, which reduced FTE from 729 in FY 2013 to 478 in FY 2019, lowered operating costs while continuing to improve consistency and collaboration in compliance evaluations; expand compliance assistance and education to contractors; and obtain record remedies to workers in compliance evaluations. During this time, OFCCP restricted hiring to filling critical vacancies in response to attrition, eliminated all but three GSA lease vehicles, and improved overall cost center management.

In a 2016 study of OFCCP compliance evaluations ([GAO-16-750 Equal Employment Opportunity: Strengthening Oversight Could Improve Federal Contractor Nondiscrimination Compliance](#)), the Government Accountability Office (GAO) recommended that OFCCP make changes to its contractor scheduling list to focus its compliance efforts on contractors with the greatest risk of noncompliance. OFCCP implemented this recommendation by releasing the FY 2019 scheduling list, which includes one-third of the establishments from the top three industries that had the highest rate of discrimination violations. GAO also recommended that OFCCP improve information provided to federal contractors to enhance their understanding of their requirements as well as provide timely and uniform training to OFCCP staff. In response, OFCCP is issuing on a rolling basis improved contractor compliance materials, and revising its staff training and development protocols.

Analysis and Future Plans

OFCCP has changed to a strategy of conducting more focused reviews of compliance, prioritizing larger systemic cases, and maximizing remedies to reach more contractors. This has enabled OFCCP to achieve speedier resolutions and corporate wide conciliations. In FY 2021, OFCCP will continue to recognize high performing contractors through programs such as the Voluntary Enterprise-wide Review Program (VERP). VERP enables the agency to blend its compliance evaluation and compliance assistance activities to work with high performing contractors toward a mutual goal of sustained, enterprise-wide (corporate-wide) compliance, outside of OFCCP's neutral establishment-based scheduling process. This Program helps OFCCP be more effective in achieving its mission to protect workers, promote diversity, and enforce the law by focusing on contractors less likely to be in compliance. The FY 2019 performance measure counted systemic pay discrimination as a percent of all pay discrimination cases and ignored non-pay discrimination. The new FY 2020 performance measure will include all forms of discrimination (hiring, compensation, promotions, and terminations) across all industries and will be computed based on all closed cases.

For the construction industry, OFCCP is replacing mega construction projects as the primary source for scheduling compliance evaluations to a neutral, more robust scheduling methodology. The agency created a database of Notification of Construction Award Program (NCAP), which collects information on all federally assisted construction projects of \$10,000 or more. The NCAP data are then merged with data on prime contractors and subcontractors. The scheduling list will be compiled using neutral criteria and released in FY 2020. OFCCP will track progress on this effort through a new measure, Number of Construction Evaluations Completed.

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OFCCP – Promote fair and diverse workplaces for America’s federal contractor employees.

*Target reached (Y), Improved (I), or Not Reached (N)		FY/PY 2015	FY/PY 2016	FY/PY 2017	FY/PY 2018	FY/PY 2019	FY/PY 2020	FY/PY 2021	What Worked	What Didn't Work	Program Performance Improvement Plan
Number of Construction Evaluations Completed	Target	450	--	--	--	--	300	300			
	Result	266	185	118	--	--					
	Status	--	--	--	--	--	--	--			
Percent of Compliance Evaluations Closed with Discrimination Findings	Target	--	--	--	--	--	3%	3%			
	Result	--	--	--	--	--					
	Status	--	--	--	--	--	--	--			

Sources: Case Management System, Branch of Performance

ILAB Strategic Objective 2.6 – Promote a fair global playing field for American workers and businesses.

The Bureau of International Labor Affairs (ILAB) promotes 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 and forced labor. ILAB seeks to ensure that countries enforce their labor laws and adhere to internationally recognized worker rights so as to prevent exploitation of workers abroad and any risk that American workers are harmed by global competition based on such exploitation. The majority of ILAB’s work involves engagement with other U.S. government agencies; foreign governments; and employers, workers, and other civil society organizations to strengthen the rule of law with respect to labor rights globally and support the creation of quality jobs in the United States.

Strategic Review Summary of Progress (Area for Improvement)

In FY 2019, ILAB engaged with 62 countries in technical cooperation through technical assistance, technical exchanges, or other forms of collaboration. In FY 2019, ILAB-funded initiatives provided education or vocational services to more than 9,000 children engaged in or at risk of entering hazardous child labor and provided livelihood services to more than 11,000 families to reduce their reliance on child labor. These initiatives increased capacity in over 35 countries to address child labor, forced labor, and other violations of workers’ rights through outcomes such as improved labor laws and policies, implementation of child labor monitoring systems, and institutionalization of training and research on these topics. In FY 2019, ILAB staff engagement with partners and ILAB-funded technical assistance led to improved enforcement of labor laws and labor-related trade commitments to the United States in 12 countries. ILAB worked closely with interagency partners, governments, businesses, and workers to improve enforcement of labor-related trade commitments. This included standards on child labor, forced labor, and worker rights issues in Colombia, Cote d’Ivoire, Ghana, Honduras, Jordan, Mexico, and Peru.

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In addition, ILAB closely monitored, analyzed, and reported on the efforts of over 150 countries and territories to adhere to their international commitments to address the worst forms of child labor. ILAB published this work in its 2018 [*Findings on the Worst Forms of Child Labor*](#) (Trade and Development Act or TDA Report) and an accompanying *Sweat & Toil* smartphone app. The TDA Report also included over 1,900 suggested actions for countries to take to improve their efforts to eliminate child labor—1,200 of which focus on the need to strengthen laws and enforcement. In addition, ILAB released Spanish and French versions of *Comply Chain*, a smartphone mobile application to help employers in the United States and abroad develop robust social compliance systems to identify risks and remediate violations of child labor and forced labor in their supply chains.

ILAB lacks long-term trend data on standard outcome indicators across its portfolio of technical assistance projects, with the exception of its longstanding child labor country capacity indicator. However, ILAB has long-term data on a number of output indicators, such as number of children and households served through its child labor technical assistance projects. In the area of ILAB's child labor research, ILAB collected and made available to the public for additional analysis datasets (from 2014 to present) containing information on child labor and forced labor worldwide from ILAB's congressionally-mandated reports. The datasets contain summaries of countries' efforts to eliminate child labor, statistics on child labor, information on goods produced with child labor or forced labor, information on laws countries have adopted and international conventions they have ratified related to child labor, and suggested actions governments can take to end child labor. ILAB is assessing whether it can shift additional resources into conducting additional internal analysis of this data to determine trends over the years. In FY 2018, ILAB piloted several metrics in an effort to better capture and analyze the outcomes and outputs of its work. In FY 2020, ILAB implemented a broad mix of metrics to better capture the impact of its work, including four quarterly measures and three annual measures. In the FY 2020 Operating Plan, ILAB introduced a new outcome indicator that focuses on how high-intensity ILAB engagements with foreign governments and multilateral institutions correlate with actions to improve protection of labor rights.

Analysis and Future Plans

Outcomes achieved in FY 2019 include the adoption of new or improved laws, regulations, or policies against child labor in Burkina Faso, Burma, Paraguay, Peru, the Philippines, Suriname, Uruguay, and Vietnam; the establishment of electronic data systems to improve labor enforcement in Colombia, Costa Rica, Haiti, Philippines, and Vietnam; the launch of child labor monitoring systems or tools in the mining sectors of Colombia, Ghana, and Haiti; institutionalization of labor inspectorate training or materials in Argentina, Belize, Costa Rica, Colombia, Peru, Philippines and Malaysia; and institutionalization of data collection on child labor in Mexico, Panama, and Vietnam. In FY 2020, ILAB anticipates that the passage of the Administration's top trade priority, the United States-Mexico-Canada Agreement (USMCA), will require significant focus on the USMCA labor provisions, both through monitoring and technical assistance, as well as additional enforcement responsibilities. In FY 2021, ILAB plans to streamline operations by eliminating new grants in areas not related to USMCA, and reducing staff levels.

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ILAB – Promote a fair global playing field for American workers and businesses.

*Target reached (Y), Improved (I), or Not Reached (N)		FY/PY 2015	FY/PY 2016	FY/PY 2017	FY/PY 2018	FY/PY 2019	FY/PY 2020	FY/PY 2021	What Worked	What Didn't Work	Program Performance Improvement Plan
Number of trade partner countries in which labor rights, including child labor and forced labor, are systematically monitored and analyzed.	Target	--	--	--	154	154	154	--	ILAB successfully monitored and reported on child labor and forced labor in response to congressional mandates and increased robustness of the methodology and user-friendliness of research outputs.	The report provided evidence that some governments continue to lack the political will and/or know-how to take the necessary steps to prevent and address these labor abuses.	ILAB is working to heighten the awareness and use of its reporting by governments, private sector, and civil society actors to increase the impact of ILAB reporting globally.
	Result	--	--	--	154	--					
	Status	--	--	--	Y	--	--	--			

Sources: Grantee Technical Progress Reports, project monitoring and internal records, administrative records and ILAB’s annual Trade and Development Act Report.

OLMS Strategic Objective 2.7 – Promote union financial integrity, transparency, and democracy.

The Office of Labor-Management Standards (OLMS) administers the Labor-Management Reporting and Disclosure Act of 1959, as amended, and related laws. These laws primarily establish safeguards for union democracy and union financial integrity and require public disclosure reporting by unions, union officers, union employees, employers, labor consultants, and surety companies.

Strategic Review Summary of Progress (Adequate Progress)

By several measures, OLMS has done very well in harnessing limited resources—appropriations decreased from \$47.8 million and 313 FTE in FY 2007 to \$41.2 million and 194 FTE in FY 2019. OLMS reduced the number of days to resolve union officer election complaints from 79 days in FY 2011 to 65.6 days in FY 2019. The percentage of targeted audits that result in a criminal case rose from approximately 15 percent in FY 2011 to 19 percent in FY 2019, and the e-filing rate for required reports increased from 21.4 percent in FY 2011 to 85.3 percent in FY 2019. OLMS continues effective target-setting practices, factoring in staff availability and caseload to roll up targets from the regions into the agency’s overall target. In FY 2019, OLMS continued leveraging relationships with the 43 national and international unions participating in the Voluntary Compliance Partnership program. This program is designed to improve compliance with filing deadlines, increase electronic filing, and ensure that unions are adequately bonded—enabling OLMS investigators to devote more of their time to high-priority investigations.

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OLMS continues to implement patches to its 20-year-old Electronic Labor Organization Reporting System (e.LORS), which uses a client-server architecture that prevents the ability to leverage cloud and mobile computing technologies. Also, much of the system, over time, has been disjointedly “hard-coded,” to meet maintenance needs necessitating piecemeal add-ins to the source code that increase the risk of a total system crash. The system is characterized by an inflexible application architecture, constrained complex workflow processes, retention of specifically skilled contractors, outdated application software, and an inefficient database design. OLMS’ ability to fully leverage and share available data publicly is further hampered by the absence of an automated data analytics capability. Finally, due to its age, the e.LORS system remains increasingly vulnerable to cybersecurity incidents. OLMS is participating in a joint DOL proposal to obtain dedicated funding to accomplish these modernization tasks through the federal Technology Modernization Fund.

Analysis and Future Plans

Timely resolution of election complaints accelerates restoration of democratic voice and a democratically-operated union. OLMS continues to fine-tune methods for further reducing its elapsed days, including use of a team-based approach for handling election cases when resources permit; and early engagement with the Office of the Solicitor in cases that may result in litigation. Targets balance the changes OLMS can make to its processes with outside factors that can affect resolution of these types of cases, such as cooperation from the unions being investigated. OLMS’ investments in expanding the number forms available electronically, outreach to facilitate electronic filing of union financial reports, and a rule that required electronic filing of the Form LM-3 and LM-4 reports for fiscal years beginning on or after January 1, 2017, led to great progress in transparency. OLMS will continue this effort by making additional LM forms available for electronic filing over the course of FY 2020.

OLMS – Promote union financial integrity, transparency, and democracy.

*Target reached (Y), Improved (I), or Not Reached (N)		FY/PY 2015	FY/PY 2016	FY/PY 2017	FY/PY 2018	FY/PY 2019	FY/PY 2020	FY/PY 2021	What Worked	What Didn't Work	Program Performance Improvement Plan
Average number of days to resolve union officer election complaints	Target	73.0	72.0	71.0	70.0	69.0	68.0	67.0	Increased coordination and communication with Office of the Solicitor.		Continue to incorporate earlier coordination with Office of the Solicitor and refine procedures for electronic reports of investigations.
	Result	70.2	67.4	64.7	68.8	65.6					
	Status	Y	Y	Y	Y	Y	--	--			
Percent of targeted audits that result in a criminal case	Target	15.00%	15.25%	15.50%	15.75%	16.00%	16.50%	16.75%	Use of particular financial data to target unions most likely to have experienced fraud or embezzlement.		Continue to update and refine targeting criteria.
	Result	21.46%	17.14%	18.75%	20.00%	19.00%					
	Status	Y	Y	Y	Y	Y	--	--			

Strategic Goal 2

*Target reached (Y), Improved (I), or Not Reached (N)		FY/PY 2015	FY/PY 2016	FY/PY 2017	FY/PY 2018	FY/PY 2019	FY/PY 2020	FY/PY 2021	What Worked	What Didn't Work	Program Performance Improvement Plan
Percent of disclosure reports filed electronically	Target	44.5%	46.0%	48.0%	60.0%	70.0%	80.0%	85.0%	1) Forms LM-3 and LM-4 available electronically 2) regulatory change requiring Forms LM-3 and LM-4 to be filed electronically.		Continue to add to the inventory of LM forms that are available to be filed electronically.
	Result	49.0%	50.1%	58.0%	76.5%	85.3%					
	Status	Y	Y	Y	Y	Y	--	--			

Sources: Office of Labor-Management Standards (OLMS) electronic Labor Organization Reporting System (e.LORS) and internal data tracked by the OLMS Division of Enforcement

Strategic Goal 3: Administer Strong Workers' Compensation and Benefits Programs

OWCP Strategic Objective 3.1 – Provide workers' compensation benefits for workers who are injured or become ill on the job.

The role of the Office of Workers' Compensation Programs (OWCP) is to provide workers' compensation benefits for workers injured or ill on the job. OWCP implements four statutory federal workers' compensation programs that provide monetary, medical, and return-to-work benefits for work-related injuries and illnesses to federal employees, coal mine workers, nuclear weapons workers, longshore and harbor workers, contractors serving overseas, and certain other designated employee groups. The agency adjudicates claims, administers the benefit funds authorized for these purposes, and provides oversight of claims resolutions by responsible parties.

Strategic Review Summary of Progress (Adequate Progress)

Results for key Longshore and Energy program measures continued positive trends. In the Longshore program, the first payment of compensation within 30 days for non-Defense Base Act cases remained at or above 88 percent from FY 2015 to FY 2019. For Energy program cases not sent to the National Institute for Occupational Safety and Health when a hearing was not held (approximately 70 percent of all claims), the average number of days from filing date to final decision improved from 169 in FY 2015 to 155 in FY 2019.

In FY 2019, OWCP reduced the number of black lung claims pending more than 365 days from 20 percent at the beginning of the Aged Case Elimination (ACE) Project to 12 percent, and the pending claims inventory was reduced by 7 percent. Also in FY 2019, the Black Lung program issued more Proposed Decisions and Orders (PDO) than claims received. The average number of days to process Black Lung claims increased from 234 days in FY 2014 to 304 days in FY 2019.

OIG identified "Managing Medical Benefits in OWCP, Including Opioids" as a [DOL Top Management and Performance Challenge in 2019](#). In response to a dramatic increase in the number of claimants, prescriptions, and expenditures for compounded drugs from FY 2011 to FY 2016, the Federal Employees' Compensation Act (FECA) program instituted controls for compounded medication such as a tiered pricing structure and a prior authorization process by requiring the submission of a Letter of Medical Necessity (LMN) by the claimant's physician prior to authorization of any compounded medication. The FECA program's actions led to a significant decrease in expenditures on compounded medication from an average of \$23.1 million per month during the first half of 2016 to less than \$56,000 per month for all of FY 2019. The program also implemented an LMN for new opioid prescriptions in August 2017 and established an APG for FY 2018-19 to address this issue. In FY 2019, preliminary results showed that OWCP reduced initial opioid prescriptions with durations over 29 days for federal employees with work-related injuries by 64 percent from the FY 2016 baseline.

Strategic Goal 3

In the FY 2017 audit of DOL’s consolidated financial statements, independent auditors identified a need for improvement in the review of Energy program liability estimates as a material weakness. In FY 2018, OWCP hired a federal actuary to ensure that the Agency utilizes technical knowledge regarding actuarial science. OWCP resolved the issues behind this finding and received a clean audit opinion during FY 2018 and FY 2019.

Analysis and Future Plans

In FY 2020, OWCP will continue the development and implementation of the OWCP Workers’ Compensation System, an integrated claims processing and management system for all four programs. Also in FY 2019, OWCP supported the President’s Management Agenda (PMA) Cross-Agency Priority (CAP) Goal 4 Improving Customer Experience (CX). OWCP identified dashboards and measures, conducted and analyzed the CX organizational self-assessment, met with OMB-identified industry organizations with proven CX practices, and developing an action plan to increase OWCP’s CX capacity and CX program maturity. In FY 2020, OWCP will continue reporting its quarterly CX results, conduct the annual CX self-assessment and identify its CX strengths and opportunities for improvement, and implement its High-Impact Provider Action Plan to achieve FY 2020 milestones.

In FY 2020, the Energy program will continue to analyze and audit home health care billing practices to identify fraud and abuse. The Energy program completely centralized all program integrity activities and new standards for FY 2020 reflect the program’s emphasis on these audits and ongoing reporting. The Black Lung program will continue to focus on efficient claims inventory management with a special emphasis on claims pending for more than 365 days.

OWCP – Provide workers' compensation benefits for workers who are injured or become ill on the job.

*Target reached (Y), Improved (I), or Not Reached (N)		FY/PY 2015	FY/PY 2016	FY/PY 2017	FY/PY 2018	FY/PY 2019	FY/PY 2020	FY/PY 2021	What Worked	What Didn't Work	Program Performance Improvement Plan
Percentage decrease in initial opioid prescriptions and duration of new opioid prescriptions for federal employees with work-related injuries	Target	--	--	--	24%	30%	--	--	For claimants with long term prescriptions and high Morphine Equivalent Dose (MED) levels, OWCP asked physicians to employ a tailored approach and provide PBM services if receiving 90 MED or higher.	The existing medical bill system limits the program’s ability to implement more flexible and effective controls. FECA currently does not use full PBM services for all claimants.	OWCP will impose stricter controls. Initial fills are limited, claimants can obtain three fills, prior authorization is required. OWCP will move to a new medical bill system and full PBM services.
	Result	--	--	--	59%[r]	64%[e]					
	Status	--	--	--	Y	Y	--	--			

Strategic Goal 3

*Target reached (Y), Improved (I), or Not Reached (N)		FY/PY 2015	FY/PY 2016	FY/PY 2017	FY/PY 2018	FY/PY 2019	FY/PY 2020	FY/PY 2021	What Worked	What Didn't Work	Program Performance Improvement Plan
Percent of first payment of compensation issued within 30 days: non-Defense Base Act cases	Target	85%	86%	86%	87%	87%	--	--	OWCP assigned policy examiners to review cases every quarter and go over them with the employers/carriers to identify opportunities to improve the timely payment process.	Outreach efforts with Non-Appropriated Fund employers did result in an improvement but continued to fall short of the target at 75%.	In FY 2020, OWCP reduced the timeframe for issuing compensation payments from 30 days to 20 days.
	Result	88%	89%	88%	88%	89%					
	Status	Y	Y	Y	Y	Y	--	--			
Percent of black lung claims over 365 days in pending Proposed Decision and Order (PDO) inventory	Target	--	--	--	18%	15%	13%	11%	OWCP prioritized the adjudication of claims pending for more than 365 days and used prototype claims examiner standards to promote a balanced approach to claims inventory management.	The process of transitioning to an end-to-end case processing model resulted in fewer decisions issued than in previous years.	OWCP will use heightened awareness, performance measures targeting the size and age of its pending claims inventory and individual employee performance standards to manage claims adjudication.
	Result	--	--	--	15%	12%					
	Status	--	--	--	Y	Y	--	--			
Average number of days between filing date and final decision for Energy cases not sent to the National Institute for Occupational Safety and Health when a hearing is not held	Target	160	175	170	170	170	170	170	OWCP exceeded processing time measures for cases not involving NIOSH due to a continued focus on process and quality improvements, information technology modernization, and stakeholder engagement.	Not Applicable	OWCP will continue to implement and improve upon the processes and technology currently utilized to maximize efficiencies and quality for cases not sent to NIOSH.
	Result	169	167	169	163	155					
	Status	--	Y	Y	Y	Y	--	--			

Sources: Integrated Federal Employee’s Compensation System (iFECS), Longshore Cases Management System (LCMS), Black Lung Program Automated Support Package (ASP), Energy Compensation System (ECS), and OWCP Unified Reporting System (OURS).

Notes: [e] = estimated. [r] = revised

ETA Strategic Objective 3.2 – Support states’ timely and accurate benefit payments for unemployed workers.

The federal-state Unemployment Insurance (UI) program, authorized under the Federal Unemployment Tax Act and Title III of the Social Security Act, provides temporary, partial wage replacement for unemployed workers, providing them with income support when suitable work is unavailable. To be eligible for benefits, unemployed workers must meet eligibility requirements established by state laws that conform to federal law, including that they are involuntarily unemployed, and are able, available, and actively seeking work. The federal role is to set broad policy for the program, establish performance measures and standards, provide technical assistance and training to states, monitor state performance, promote conformity and compliance of state laws and operations with federal law; and fund the administration of state and federal UI programs. States that do not meet minimum standards are required to develop corrective action plans.

Agency Priority Goal

Decrease Unemployment Insurance Improper Payments

By September 30, 2021, the Unemployment Insurance (UI) improper payment rate will be 9.0 percent.

Strategic Review Summary of Progress (Adequate Progress)

Timely payment of UI claims improved over the last five years, with the percentage of intrastate first payments made within 21 days increasing from 83.3 percent in FY 2015 to 85.8 percent in FY 2019. In FY 2019, detection of recoverable overpayments improved to 57.4 percent from 54.1 percent in FY 2018. In FY 2019, the UI system made significant progress in reducing improper payments. The UI improper payment rate dropped to 10.61 percent – over two percentage points below the FY 2018 level of 13.05 percent. DOL has a new APG to reduce the rate to 9.0 percent (below the 10 percent threshold set in the Improper Payment Elimination and Recovery Act) by the end of FY 2021.

States are required to make timely payments of UI benefits “when due” and they may not stop payments without due process. These structural factors, though essential to the program, create improper payments under the federal definition. In addition, there are lags in the data used that further contributes to states’ inability to prevent these types of improper payments.

DOL has established an APG for reducing improper payments. Many states continue to struggle with high improper payment rates due to nuances in their state laws and limited resources. There are also improper payments that are out of their control to prevent. ETA’s UI Integrity Center is assisting states by: 1) focusing on practices most likely to reduce the rate; 2) providing intensive services to the states with the highest rates that also have the greatest impact on the national rate; and 3) preventing fraud by providing data sources to states, including a front-end identity proofing tool through its Integrity Data Hub.

In its September 2017 report, [ETA Should Do More to Help States Curtail Unemployment Insurance Tax Avoidance Practices](#), OIG reported that 24 states do not have sufficient trust fund reserves to withstand a normal recession for a one-year period. ETA publishes an annual Solvency Report

(<https://oui.doleta.gov/unemploy/solvency.asp>) and has actively promoted trust fund solvency by supporting state development of rational taxing structures with a new benefit financing model. ETA is also promoting state adoption of strategies to address prohibited tax avoidance schemes.

Analysis and Future Plans

ETA continues to work aggressively with states to implement a dynamic Integrity Strategic Plan that includes strategies and actions to address the leading root causes of UI improper payments and fraud. The plan focuses on providing intensive services to the states with the highest rates that also have the greatest impact on the national rate. While work search errors are challenging, this error rate experienced a significant decline of 1.7 percentage points compared to the 2018 result. Other root causes for improper payments also declined from FY 2018—Benefit Year Earnings errors declined by 0.13 percentage points and Separation errors declined by 0.23 percentage points.

In October 2017, ETA collaborated with the UI Integrity Center in the implementation of an Integrity Data Hub (IDH) that allows participating states to submit UI claims for cross-matching and analysis to support the detection and prevention of UI fraud and improper payments. One of the initial datasets offered through the IDH is the Suspicious Actor Repository (SAR) that enables states to share specific data elements associated with known fraudulent UI claims. Twenty-one states are now regularly cross-matching UI claims against IDH data sources and are submitting suspicious claimant data to the SAR. States have reported a total of \$9.08M in prevented fraudulent benefits through their use of IDH. During the past year, the IDH has continued to evolve in both functionality and state participation. Additional functionality that provides for the collection of expanded claims data, foreign Internet Protocol detection, and cross-matching capability to identify UI claims data being used across multiple states has been implemented and is available to states through the IDH. In FY 2020, the IDH will further expand its functionality by providing an identity verification service, fraud alerting capability, and a centralized incarceration cross-match for state use.

Additionally, ETA is working with states to address work search improper payments and to help claimants comply with state work search requirements. These strategies include:

- Developing a model state work search law and framework that builds on the Pathway to Reemployment Framework and encouraging states to consider the adoption of the broader array of work search activities that support rapid reemployment and support claimant compliance with work search requirements, including documentation.
- Implementing improved communication and messaging to claimants on UI eligibility requirements in simple and understandable media such as requiring UI claimants to view a short eligibility video online prior to their first weekly claim. The video should outline claimant reporting requirements, provide information on how to report any earnings accurately, and how to properly document work search activities.
- Working with DOL's Chief Evaluation Office to pilot and evaluate messaging tools with states using behavioral science techniques focused on improving claimant compliance with work search requirements to prevent improper payments.
- Recommending that states require claimants to document work search activities at the time of filing a continued claim for benefits. This recommendation helps prevent a state from paying a benefit to a claimant who fails to provide work search evidence. Additionally, this practice also provides the state with effective tools to help claimants with suitable job referrals and reemployment services.

Strategic Goal 3

- Recommending that states expand acceptable state work search activities to support the goal of reemployment. UI work search policy should reflect the agency goal of the earliest possible reemployment for unemployed workers and include activities such as registering for work, online workshops, Reemployment Services and Eligibility Assessment (RESEA) appointments, and attending job fairs or state-sponsored workshops that support rapid reemployment.
- Providing guidance to states for leveraging the RESEA program to support claimant compliance with work search requirements through continued reinforcement and understanding of work search requirements, development of a reemployment plan that includes specific work search activities that meet work search requirements, and referrals to suitable employment.

In FY 2019, 34 states met or exceeded the first payment timeliness target. Additionally, 28 states improved their first payment timeliness performance over the previous year. ETA continues to provide intensive technical assistance and enhanced monitoring to states that are designated “High Priority” for poor overall performance including first payment timeliness.

ETA – Support states' timely and accurate benefit payments for unemployed workers.

*Target reached (Y), Improved (I), or Not Reached (N)		FY/PY 2015	FY/PY 2016	FY/PY 2017	FY/PY 2018	FY/PY ¹⁰ 2019	FY/PY 2020	FY/PY 2021	What Worked	What Didn't Work	Program Performance Improvement Plan
First Payment Timeliness (Unemployment Insurance)	Target	87.5%	87.5%	87.0%	87.0%	87.0%	87.0%	87.0%	34 states exceeded the timeliness target, 28 states improved performance over previous year, 2 “High Priority” states made significant progress and were removed from their designation in FY19.	Staffing challenges and technology issues continue to impact states’ ability to meet the target. State administration funding is based on workload, which is at historically low levels.	States failing to meet the standard must provide corrective actions on their State Quality Service Plan (SQSP). ETA provides intensive technical assistance and monitoring to “High Priority” states.
	Result	83.7% [r]	84.5%[r]	84.5%	84.5% [r]	85.8% [r]					
	Status	--	I	N	N	I	--	--			

¹⁰ FY 2019 data are for 12-months ending September 30 except the Improper Payment Rate is for 12-months ending June 30.

Strategic Goal 3

*Target reached (Y), Improved (I), or Not Reached (N)		FY/PY 2015	FY/PY 2016	FY/PY 2017	FY/PY 2018	FY/PY ¹⁰ 2019	FY/PY 2020	FY/PY 2021	What Worked	What Didn't Work	Program Performance Improvement Plan
Detection of Recoverable Overpayments (Unemployment Insurance) ¹¹	Target	55.3%	67.9%	61.4%	61.9%	54.5%	54.5%	57.5%	36 states met or exceeded the target. Additionally, 33 states improved their performance over the previous year.	14 states did not meet the target. Massachusetts and Florida were unable to submit performance reports for FY 2019 due to technology issues.	States failing to meet the standard must provide corrective action plans on their SQSP. "High Priority" states receive intensive technical assistance and monitoring to support performance improvement.
	Result	62.7%	56.2%[r]	52.1% [r]	54.1% [r]	57.4% [e]					
	Status	Y	N	N	I	Y	--	--			
Improper Payment Rate (Unemployment Insurance)	Target	11.34%	10.63%	11.55%	13.75%	14.75%	9.50%	9.00%	Decline in percentage points for top causes - Work Search (-1.7), benefit year earnings (-0.13) and Separation (-0.23). ETA works with UI Integrity Center to provide technical assistance to states.	Work search errors were the major driver for the overall improper rate. Work search errors are approximately 33 percent of dollars overpaid.	Implement the ETA Strategic Plan including developing work search messaging using behavioral techniques; promote state use of Integrity Data Hub and secure new data sources for delivery through Hub.
	Result	10.73%	11.65%	12.50%	13.05%	10.61%					
	Status	Y	N	N	Y	Y	--	--			

Sources: First Payment Timeliness: ETA 9050 and 9050p reports; Detection of Recoverable Overpayments: Benefit Accuracy Measurement (BAM) survey and ETA 227 report.

Notes: [e] = estimated. [r] = revised

¹¹ FY 2017-19 results exclude Massachusetts and Florida.

Management Goal: Optimize the Department of Labor’s Enterprise Services Opportunities

OASAM Strategic Objective M.1 – Improve human resources efficiency, effectiveness, and accountability.

The Office of the Assistant Secretary for Administration and Management’s (OASAM) Office of Human Resources (OHR) provides leadership, guidance, and technical expertise on all human capital areas to DOL. The OHR Director serves as DOL’s Chief Human Capital Officer (CHCO). OHR oversees accountability reviews and implements accountability processes to improve HR efficiency, effectiveness, and compliance with laws and regulations.

Strategic Review Summary of Progress (Area for Improvement)

The average time to hire a new employee increased from 98 calendar days in FY 2018 to 106 calendar days in FY 2019. The Hiring Manager Satisfaction Index score decreased slightly from 74 percent in FY 2018 to 72 percent in FY 2019 and is now further below an 80-85 percent target.

Between FY 2017 and FY 2019, DOL reduced its servicing HR Offices from 13 to 10 by consolidating the OSHA and MSHA HR Office with OASAM HR and transferring Atlanta HR staff and services to other OASAM Regional HR Offices. In FY 2019, DOL continued its efforts to centralize HR services across the country by realigning all OASAM personnel performing services in regional HR Offices to the OASAM OHR. OASAM HR Offices were assigned DOL agency-wide staffing assignments instead of geographically-based assignments to support the shift toward shared services. In addition to realigning staff and closing HR Offices, DOL imposed corporate controls through the CHCO Office on employee movements, misconduct, performance management, and administrative investigations. These actions have helped to shape future realignment plans.

DOL continues to make progress under the Enterprise-wide Shared Services initiative as a means to support further consolidate the HR portfolio. The initiative established a future-state organizational design for DOL HR and a governance structure for shared services implementation. Implementation of an HR shared services model at DOL will create greater consistency in the delivery of corporate HR products and services across DOL, reduce overall HR costs, gain efficiency in HR service delivery through economies of scale, and improve efficiency and effectiveness of HR service delivery through corporate strategies. The implementation of an effective shared services solution for HR service will permit DOL program agencies to focus time and resources on mission-oriented outcomes. By the end of FY 2020 Q1, there will be only three servicing HR Offices—OASAM, OIG, and SOL—after ETA, BLS, and OASAM have successfully consolidated their HR Offices into one OHR.

Agency Priority Goal

Administration: Implement an Enterprise-Wide Shared Services Model

By September 30, 2021, the Department of Labor (DOL) will transition from multiple administrative service providers to one for each functional area with a central reporting authority.

Analysis and Future Plans

In support of DOL's Strategic Plan and the Agency Priority Goal (APG), OASAM continued a four-phase implementation plan to transition DOL HR to an Enterprise-wide Shared Services delivery model in FY 2020. A realigned HR service delivery model will improve strategic human capital planning, create greater consistency in the delivery of HR products and services across DOL, reduce overall HR costs, gain efficiency in HR service delivery through economies of scale, and improve efficiency and effectiveness of HR service delivery. The implementation of an effective shared services solution for HR service delivery will permit DOL program agencies to focus time and resources on mission-oriented outcomes. The shared services solution will allow agencies to shift from low-value to high-value work in support of the PMA CAP Goal 6. Specifically, HRC will improve hiring outcomes and reduce burden on hiring managers particularly for mission critical positions. OASAM will also support PMA CAP Goal 5, Sharing Quality Services, by adopting federal-wide HR solutions where feasible. OASAM also achieved its FY 2018-2019 APG by beginning implementation of an enterprise-wide shared services model for DOL core administrative functions. In FY 2020-2021, OASAM has established an APG to transition from multiple administrative service providers to one for each functional area with a central reporting authority.

The first phase, "Stand-up and Strategy," involved significant engagement with staff at all levels (i.e., functional leadership, front-line staff, customers, and senior leadership) to build a collaborative partnership between providers and customer agencies. The project team created a governance structure to inform senior leadership decision-making in terms of prioritization, phasing, and other key components of shared services delivery. The Shared Services Executive Committee (SSEC) is supported by the HR Functional Project Team, comprised by the servicing HR Officers. Through the collaboration and communication of these groups, the future-state HR organization design and concept of operations (CONOPs) were developed and approved in FY 2019.

The transition to DOL Enterprise-wide HR Shared Services that began in FY 2019 involved a planned and phased implementation of HR providers by service/functional area (i.e., talent acquisition, compensation and benefits, HR policy, and workforce development) into the new DOL HR organizational design. This transition is aided by the "Discovery," "Analysis and Planning," and "Implementation" phases. "Discovery" includes conducting a DOL HR process inventory and prioritizing processes for business process reengineering efforts; and workforce and workload analysis, which will inform the organizational design details and future-state DOL HR staffing plan. "Analysis and Planning" includes planning and documentation for the future-state staffing plan and establishment of revised HR processes based on the prioritized business process reengineering efforts. "Implementation" includes execution of the transition to the new DOL HR structure utilizing all of the analysis and planning activities and documentation developed. Each service/functional area will progress through the remaining phases, which conclude in Q1 FY 2020 with full implementation of all HR services/functional areas into the new DOL OHR organization. Stakeholder engagement will continue throughout execution of this transition strategy to ensure that all HR leadership, practitioners and agency customers are informed and able to provide valuable input to drive continuous process improvement.

Currently, OASAM provides HR services for over 95 percent of the entire DOL population, which is an increase from 77.5 percent at the end of FY 2017. OHR also supports PMA CAP Goal 3, People: Workforce of the Future by working toward improving employee performance management

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and engagement; reskilling and redeploying human capital resources; and enabling simple and strategic hiring practices. These actions will enhance alignment and strategic management of the workforce.

OASAM – Improve human resources efficiency, effectiveness, and accountability.

*Target reached (Y), Improved (I), or Not Reached (N)		FY/PY 2015	FY/PY 2016	FY/PY 2017	FY/PY 2018	FY/PY 2019	FY/PY 2020	FY/PY 2021	What Worked	What Didn't Work	Program Performance Improvement Plan
Average Time to Hire (DOL)	Target	80	80	80	80	80	80	80	Quarterly reporting of increased HR and hiring manager accountability for time.	Mandatory SME use had a negative impact on hiring time and satisfaction.	DOL will engage in more standardization efforts to reduce hiring manager burden.
	Result	92	108	82	98	106					
	Status	--	N	I	N	N	--	--			
Strategic Human Capital Planning: Hiring Manager Satisfaction Index Score (DOL)	Target	--	--	80%	80%	85%	85%	85%	85% Mandatory SME use in FY 2016 helped increase hiring manager sat results in 2017 - 2018 but the higher rates were not sustained.	Over time, SME use was tied to longer time to hire results and more manager burden.	DOL will eliminate mandatory use for other than higher graded technical positions.
	Result	--	--	--	74%	72%					
	Status	--	--	--	--	N	--	--			

Sources: Department of Labor Online Opportunities Recruitment System; Office of Personnel Management's Chief Human Capital Officers' Managers' Satisfaction Survey

OASAM Strategic Objective M.2 – Provide modern technology solutions that empower the DOL mission and serve the American public through collaboration and innovation.

OASAM’s Office of the Chief Information Officer (OCIO) provides IT leadership, products, and support for DOL. OCIO plays a critical leadership role in driving reforms in systems development, better managing technology spending, and succeeding in achieving real, measurable improvements in mission performance. OCIO provides guidance to DOL in support of government-wide directives for capital planning, IT security, information management, and enterprise architecture.

Strategic Review Summary of Progress (Adequate Progress)

OCIO leads the Department’s IT modernization efforts, which include consolidating, integrating, and updating the IT infrastructure (e.g., DOL legacy systems and applications); building cloud-based and mobile capabilities; implementing a DOL-wide data strategy and analytics program; modernizing DOL’s mission and business IT systems and applications; and enhancing the security of the IT infrastructure. OCIO is building out the

Management Goal

enterprise IT services platform to provide the necessary capabilities and enhancements to support agency mission and business applications, and providing the necessary resources to assist agencies in transitioning applications to the modernized infrastructure.

OIG identified a [DOL Top Management and Performance Challenge](#) on “Securing and Managing Information Systems,” identifying deficiencies in configuration management, contingency planning, third-party oversight, risk management, and continuous monitoring. To address the OIG audit findings related to timely removal of separated DOL federal staff from IT systems, DOL established a provisioning and de-provisioning capability that automates the creation and disablement of network accounts. Since October 2018, over 450 employees have been de-provisioned after leaving DOL. DOL also implemented tools provided by the U.S. Department of Homeland Security for monitoring network traffic and conducting regular scans for security vulnerabilities. DOL has consistently implemented its information security program with policies and procedures aligned with NIST standards (See [FY 2019 FISMA Metrics](#)). For Q3 FY 2019 reporting, DOL met 6 out of 10 FISMA metrics, along the following categories:

- “Information Security Continuous Monitoring”: 3 out of 4;
- “Identity, Credential and Access Management”: 2 out of 3;
- “Advanced Network and Data Protections”: 1 out of 3.

DOL maintains the highest rating of “Managing Risk” on the FY 2019 Cybersecurity Risk Management Assessment. This recognizes that DOL institutes required cybersecurity policies, procedures, and tools, and actively manages its cybersecurity risks.

DOL faces IT management challenges in the areas of maintaining its current systems, modernizing or replacing legacy systems, and moving additional systems into the cloud. OCIO has made progress by launching the DOL Cloud, implementing the DOL IT platform, and continuing consolidation and optimization of data center facilities. OCIO has successfully transitioned central data center operations to a new co-location facility in order to enhance network and computing resources, provide greater access to leading cloud service providers, and provide greater availability of commercial IT service offerings for future consideration.

With ever-evolving technologies, DOL is consistently challenged to maintain an effective workforce and meet skills gaps in the competitive IT security sector. OCIO has developed a personnel plan to obtain staff with qualifications, competencies, and training necessary to meet strategic and administrative objectives. The plan involves transitioning all IT Specialist positions under a centralized reporting structure to better manage and retain the necessary skills and competency levels, to effectively implement formalized training and development programs, and to standardize career paths and compensation structures.

In parallel with these activities, DOL continues consolidation of DOL IT operations and has established a future-state organization design. The new design provides a revised DOL IT governance structure that will effectively include all agencies in the IT investment decision-making process. DOL is developing an IT shared services model to enhance delivery of IT capabilities at an enterprise level and allow DOL to leverage economies of scale, ensure adherence to federal standards and requirements, solidify CIO oversight, and provide an enhanced customer experience. The IT shared

Management Goal

services model will allow DOL agencies and programs to operate more effectively and efficiently, and focus their resources on advancing the DOL mission.

Analysis and Future Plans

The shared services initiative will support DOL's Strategic Plan and the Administrative APG and help agencies continue to shift from low-value to high-value work in support of PMA CAP Goal 6. OASAM will also support PMA CAP Goal 5, Sharing Quality Services, by adopting federal-wide IT solutions where feasible. To meet these goals, in FY 2018, OASAM began a four-phase implementation plan to transition DOL IT beyond its current infrastructure capacity to an Enterprise-wide Shared Services delivery model, incorporating bureau mission-application support. The project team created a governance structure including SSEC supported by the IT Functional Project Team (IT FPT), which comprised the senior agency IT leads and other subject matter experts. The IT FPT was further supported by the creation of several working groups, which focused on key areas identified from the preliminary engagement efforts to date: 1) identification of the future-state DOL IT shared services delivery model; 2) customer engagement/demand management model; and 3) IT governance.

In early FY 2019, through engagement and collaboration of the IT FPT and working groups, the future-state DOL IT organizational design and associated Concept of Operations was finalized. DOL began the phased transition to DOL Enterprise-wide IT Shared Services to shift the accountability and authority of Agency IT from DOL agencies to a central authority under the CIO. The first waves of administrative staff realignment from DOL agencies to OASAM started on October 1, 2019 with the successful transition of ETA IT into the DOL OCIO. All DOL agencies will undergo a phased transition to the OCIO in FY 2020. The Demand Management Process was developed with the goal of collecting, analyzing, and prioritizing new OCIO projects in the context of other ongoing and planned work. This process will increase collaboration, transparency, and strategic planning in regards to OCIO projects and will help streamline workflows to catalog, evaluate, and plan future work. In addition, the IT governance structure was finalized. This IT governance structure includes three Boards: 1) Investment Review Board (IRB) to govern the existing and proposed IT services, investments, programs, initiatives, and resources for DOL's enterprise-wide and agency-specific technology needs; 2) Enterprise Architecture Review Board (EARB) to review new and existing business and modernization solutions to ensure they are technically sound and comply with DOL architecture standards; and 3) IT Performance Review Board (PRB) to review and evaluate performance and results of IT investments against projected cost, schedule, performance, and expected mission benefits. The IRB was formally kicked off on April 29, 2019 and the EARB was formally kicked off on October 10, 2019. In December 2019, OCIO is kicking off the PRB.

In FY 2019, OCIO continued to support PMA CAP Goal 1, IT Modernization, by embracing modern technology solutions such as migrating major applications to the Cloud; working to continue to reduce cybersecurity risks; and building a modern IT workforce. DOL will further develop the common enterprise platform to refine enterprise-wide standards, processes, and governance. By leveraging a common platform, DOL will eliminate redundancies and accelerate IT modernization; increase accessibility; and enhance security. OCIO also supports CAP Goal 2, Data Accountability & Transparency, by enabling agencies to make data available more quickly and to conduct advanced analytics through its Enterprise Data Analytics Platform. In alignment with these CAP goals, OCIO embarked on a multi-year effort to create the DOL IT Platform to

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include cloud-hosted case management and data analytics capabilities. In FY 2019 alone, these capabilities enabled DOL to launch the Correspondence Tracking System, Apprenticeship.gov, WHD CAPS 14c Data Entry Form, SeasonalJobs.dol.gov, ETA Foreign Labor Application Gateway (Visa Modernization Phase 1), OFCCP Compliance Management System, and the DOL OneWeb initiative. In partnership with National Technical Information Service, OCIO established an enterprise data analytics capability that provides users with custom reports and visualizations, data from across organizational silos, and self-service analytics to enable evidence-based mission work. In FY 2019, DOL deployed applications including the ETA Office of Foreign Labor Certification’s FLAG System. In addition, DOL is developing a CXO dashboard to provide DOL executives with access to key administrative data. Over the next 12 months, OCIO will deliver CXO dashboards to OHR, the Office of the Chief Financial Officer (OCFO), the Business Operations Center, the Departmental Budget Center, and the Performance Management Center. As part of OCIO’s push towards Cloud services, 23 applications (or approximately 10 percent of all applications) are being hosted in the DOL Cloud.

In FY 2019 OCIO supported CAP Goal 10, Federal IT Spending Transparency, by establishing a Technology Business Management community of practice to agree on IT Tower and Cost Pool categorization guidelines, and beginning the plan to develop service costs by aligning application costs to the new OCIO organizational structure. In FY 2020, DOL will develop a roadmap and summary milestone schedule to enable alignment to related government-wide use cases, align data, and begin mapping financial data to services. OCIO achieved a network and application services uptime of 99.96 percent in FY 2019 and will continue to maintain a network and application service uptime of 99.90 percent in FY 2020.

OASAM – Provide modern technology solutions that empower the DOL mission and serve the American public through collaboration and innovation.

*Target reached (Y), Improved (I), or Not Reached (N)		FY/PY 2015	FY/PY 2016	FY/PY 2017	FY/PY 2018	FY/PY 2019	FY/PY 2020	FY/PY 2021	What Worked	What Didn't Work	Program Performance Improvement Plan
Enterprise Services: Percent of network and application services uptime	Target	99.00%	99.00%	99.00%	99.00%	99.90%	99.90%	99.00%	DOL is consolidating infrastructure and services to a single commercial data center or the cloud. Standards allow for better surveillance and tighter focus while addressing single points of failure.	DOL remains focused on consolidation and mitigating single points of failure to reduce overall risk. Competing priorities and a high operational tempo still introduce issues.	DOL will continue to improve its Change Management process to eliminate self-induced issues and to consolidate and standardize its Infrastructure, Operating Systems, and Software.
	Result	99.90%	99.68%	99.86%	99.86%	99.96%					
	Status	Y	Y	Y	Y	Y	--	--			

Sources: SolarWinds (LAN); Verizon Reporting (WAN)

OASAM Strategic Objective M.3 – Maximize DOL’s federal buying power through effective procurement management.

OASAM’s Business Operations Center (BOC), Office of the Chief Procurement Officer (OCPO) provides leadership, guidance, and oversight of all procurement policy and services.

Strategic Review Summary of Progress (Adequate Progress)

To promote efficiencies, accountability, decrease costs, and more fully implement category management, DOL is consolidating all Department procurement activities within OASAM. DOL met the FY 2019 OMB Category Management target for addressable spend through Best in Class (BIC) solutions with 100 percent. Additionally, DOL exceeded the FY 2019 Category Management target for the cumulative percent reduction in unmanaged spend by shifting 36.2 percent of “unmanaged” spend to “managed” spend far exceeding the established 10 percent OMB goal for “tier 0” (unmanaged spend) contract reduction. DOL was very close to the FY 2019 OMB Category Management target for Spend Under Management (SUM)—meeting 97.3 percent of the target.

DOL is utilizing the Enterprise-wide Shared Services initiative as a means to support further consolidation of the procurement portfolio to improve the efficiency, effectiveness, and quality of DOL’s acquisition environment. To date, the initiative has established a future-state organizational design for DOL procurement and established a governance structure for shared services implementation. Implementing a shared services model for procurement services will facilitate enforcement of procurement legislation, regulations, and policies and improve the consistency of acquisition services. The shared services model will help DOL buy smarter and as a single enterprise, thereby increasing DOL’s BIC procurement vehicle usage and SUM goals. Moreover, moving to a shared services environment will eliminate redundancies, increase efficiency, and make available funding that could be used in additional procurements. The shared service environment will improve DOL’s buying power, leading to significant reductions in the price of goods or to better services at lower costs. Finally, realigning procurement services will help enhance DOL’s compliance with federal government initiatives (e.g., category management and Federal Information Technology Acquisition Reform Act).

Analysis and Future Plans

In support of DOL’s Strategic Plan and the Administration APG, OASAM began a four-phase implementation plan to transition DOL procurement services to an Enterprise-wide Shared Services delivery model in FY 2018. By centralizing procurement functions, DOL will achieve economies of scale; gain managerial oversight and efficiencies to more rapidly implement government-wide procurement directives; enforce procurement legislation, regulation, and policies; and strategically plan for customer needs. An effective shared services solution for departmental procurement services will allow DOL program agencies to focus their resources on program delivery and mission outcomes. The shared services solution will allow agencies to shift from low-value to high-value work in support of PMA CAP Goal 6. An effective shared services solution will also leverage the government’s buying power, making it possible to obtain significant reductions in the price of goods and

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receive better services at lower costs. Cost savings may then be redirected toward high-priority mission activities. OASAM will also support PMA CAP Goal 5, Sharing Quality Services, by adopting federal-wide procurement solutions where feasible.

In the first (“Stand-up and Strategy”) phase, the project team created a governance structure to inform senior leadership decision making in terms of prioritization, phasing, and other key components of shared services delivery. The SSEC is supported by the Procurement Functional Project Team, comprised of Heads of Contracting Authority (HCAs) for each of the procurement service providers. Through the collaboration and communication of these groups, the future-state procurement organization design and concept of operations (CONOPs) were developed for leadership review and decision in FY 2019. Remaining phases in the implementation of procurement providers by agency into the new DOL procurement organizational design are identified and described in the corresponding Strategic Objective M.1 (HR) section (Discovery, etc.).

BOC will also support PMA CAP Goal 7, Category Management, by providing and promoting DOL-wide procurement vehicles and Best-in-Class contract solutions. These vehicles will reduce redundancy in procurement vehicles for the same services and gain cost savings with DOL buying power. In FY 2019, BOC exceeded the target of three new DOL enterprise-wide procurement vehicles, with six vehicles. Also in FY 2019, BOC procured 41percent percent of its addressable spend through Best-in-Class solutions. Addressable spend is a figure determined by OMB based on an analysis of DOL’s spend broken down by Product Service Code (PSC) and North American Industry Classification Code (NAICS), compared to the PSC codes and NAICS codes of established BIC vehicles. Where DOL’s PSC and NAIC codes overlap with BIC PSC and NAICS codes, it is determined to be addressable spend. BOC will also support PMA CAP Goal 11, Improve Management of Major Acquisitions, by strengthening talent capabilities; using modern and innovative acquisition flexibilities; and tracking investments using program management principles.

OASAM – Maximize DOL's federal buying power through effective procurement management

*Target reached (Y), Improved (I), or Not Reached (N)		FY/PY 2015	FY/PY 2016	FY/PY 2017	FY/PY 2018	FY/PY 2019	FY/PY 2020	FY/PY 2021	What Worked	What Didn't Work	Program Performance Improvement Plan
Number of new DOL enterprise-wide procurement vehicles	Target	--	--	--	Base	3	3	2	Continued engagement to strategize on common needs and identify improvements for enterprise-wide procurement vehicles. Enforcing mandatory use of enterprise-wide procurement vehicles.	Acquiring sufficient participation in integrated project teams can be challenging, specifically when gathering requirements for consolidation.	Introduce automated process to better analyze and track leakage when enterprise-wide vehicles are not used as intended.
	Result	--	--	--	1	6					
	Status	--	--	--	--	Y	--	--			

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*Target reached (Y), Improved (I), or Not Reached (N)		FY/PY 2015	FY/PY 2016	FY/PY 2017	FY/PY 2018	FY/PY 2019	FY/PY 2020	FY/PY 2021	What Worked	What Didn't Work	Program Performance Improvement Plan
Category Management: Cumulative Spend Through Best in Class Solutions (in millions)	Target	--	--	--	--	\$225.0	\$200.0	TBD	Training DOL acquisition workforce in category management principles, and sharing best practices/strategies at biweekly Procurement Council Meetings.	Targeting requirements for Best in Class Solutions during acquisition planning stage can be challenging for program managers who do not engage in early acquisition planning.	Continue mandatory training for acquisition workforce and to emphasize the importance of acquisition planning. Ensure the acquisition community targets procurements for Best in Class vehicles.
	Result	--	--	--	\$204.4	\$218.2					
	Status	--	--	--	--	I	--	--			
Category Management: Cumulative Common Spend Under Management (in millions)	Target	--	--	--	--	\$648.0	\$700.0	TBD	Training DOL acquisition workforce in category management principles, and sharing best practices/strategies at biweekly Procurement Council Meetings.	Early acquisition planning to target increased managed spend. Transition of ETA's Job Corps center operations contracts from unmanaged spend to managed spend has been challenging.	Transition targeted ETA Job Corps contracts from unmanaged to managed spend. Leverage Shared Services procurement centralization to improve oversight and application of category management principles.
	Result	--	--	--	\$593.6	\$618.7					
	Status	--	--	--	--	I	--	--			

Sources: Acquisition Management System; Federal Procurement Data System- Next Generation

Notes: OMB establishes CM targets annually in Q1

OCFO Strategic Objective M.4 – Safeguard fiscal integrity, and promote the effective and efficient use of resources.

OCFO provides financial management leadership, direction, and guidance to the Office of the Secretary of Labor and all DOL program agencies on matters arising from financial statutes, as appropriate. OCFO oversees DOL-wide accounting, financial management, and financial system, and leads DOL’s annual audit of the Consolidated Financial Statements. OCFO also supports Administration efforts in PMA CAP Goal 5, Sharing Quality Services. Accurate and timely financial information demonstrates DOL’s accountability to stakeholders and facilitates data-driven operational, budget, and policy decisions. OCFO oversees DOL’s responsibility for internal controls by assisting program management in establishing and

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ensuring strong controls over all financial resources in DOL. OCFO leads DOL’s annual financial audit and efforts to address findings resulting from the audit.

Strategic Review Summary of Progress (Adequate Progress)

OCFO works closely with agencies who have identified Significant Control Deficiencies and those susceptible to improper payments. This work is focused on OASAM OCIO, ETA, and OWCP. OCFO continues to work with DOL agencies to track and manage corrective action plans in response to audit findings while strengthening internal controls. OCFO is also working with agencies to improve their overall debt collection process and to improve their budget execution process such that the amount of cancelled appropriations decreases. OCFO continues to work on centralizing all routine transactional accounting and financial management operations across DOL to achieve greater economies of scale and improved risk mitigation.

Analysis and Future Plans

In FY 2019, OCFO eliminated one material weaknesses from its FY 2017 audit. OCFO does not have any material weaknesses to eliminate in FY 2020 from its FY 2018 audit. There were no material weaknesses identified during the FY 2019 audit; therefore, OCFO will not have any to eliminate in FY 2021.

OCFO supports DOL’s programs by providing reliable, relevant, and timely financial information and analysis. OCFO will develop and maintain integrated accounting and program management systems through modernized financial systems. OCFO provides DOL’s managers and decision makers with the financial management tools to drive high performance and accountability, and to responsibly manage financial resources. A measure of spending efficiency is the “percent of discretionary appropriations cancelled after the five years period of obligation authority has expired.” This measure indicates what dollars were not spent—1.69 percent for FY 2019.

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OCFO – Safeguard fiscal integrity, and promote the effective and efficient use of resources.

*Target reached (Y), Improved (I), or Not Reached (N)		FY/PY 2015	FY/PY 2016	FY/PY 2017	FY/PY 2018	FY/PY 2019	FY/PY 2020	FY/PY 2021	What Worked	What Didn't Work	Program Performance Improvement Plan
Number of material weaknesses eliminated	Target	--	--	1	2	1	--	--	OCFO collaborated with the OWCP and ETA to eliminate the material weakness identified in the FY 2018 AFR. The FY 2019 AFR did not identify any new material weaknesses.	While not reflected in this measure, DOL continues to make notable progress towards resolving the Significant Deficiency, Lack of Sufficient Information Technology General Controls over Key Financial.	OCFO will continue effective outreach to DOL programs to help ensure their program integrity to prevent and eliminate material weaknesses.
	Result	--	--	0	2	1					
	Status	--	--	--	Y	Y	--	--			
Percent of discretionary appropriations canceled after the five-year period of obligation authority has expired	Target	--	--	--	2.00%	1.95%	1.90%	1.85%	In its Tri-annual certification process, OCFO works to ensure that obligations are deobligated timely. OCFO also posts a summary of balances that are set to cancel for program review.	DOL programs could do more to increase their awareness of which obligations are no longer valid and ensure the balances are deobligated and re-obligated to support the programs mission.	To provide agencies the information necessary to more effectively obligate funds, OCFO will send a regular summary of unobligated balances of funds near cancellation to the program financial managers.
	Result	--	--	1.10%	1.32%	1.69%					
	Status	--	--	--	I	I	--	--			

Sources: Agency Financial Reports; New Core Financial Management System

Other Information

Quarterly Operating Plan Reviews

To continually improve the efficiency and effectiveness of its programs, DOL uses results-based, data-driven management techniques. Each DOL agency prepares an annual Operating Plan that details the strategies and resources it will apply to reach goals and objectives at all levels of the organization. Departmental leaders review performance against those operating plans each quarter to monitor progress and hold agencies accountable for implementing the plans, achieving milestones, and making adjustments as needed.

This review process has focused Departmental leadership on strategic management of core functions through the use of program performance and budget data. Identification and discussion of key measures; annual and seasonal targets; and how budgets, workload, and strategies affect results have helped clarify priorities and improve performance against benchmarks.

President’s Management Agenda (PMA)/Cross-Agency Priority (CAP) Goals

The PMA sets out a long-term vision for effective and modern government capabilities, with a focus on mission, service, and stewardship. DOL is committed to implementing the applicable CAP Goals, as discussed throughout the document.

Agency Priority Goals (APGs)

DOL has five APGs that support four Strategic Objectives and one Management Objective; each is identified in a text box on the first page of the relevant narrative section of this report. More information about each goal is available on [Performance.gov](#).

Major Management Challenges

The GPRMA requires that federal agencies identify and address in their APPs *Major Management Challenges (MMCs)*—defined as *programmatic or management functions that have greater vulnerability to waste, fraud, abuse, and mismanagement and where failure to perform well could seriously affect the ability of an agency or the federal government to achieve its mission or goals*. MMCs may include issues the GAO identifies as high risk or Top Management and Performance Challenges for DOL identified by OIG.

For FY 2019, DOL has identified three MMCs: 1) Reducing Improper Payments, 2) Job Corps Center Security, and 3) Securing and Maintaining Legacy Information Systems.¹² The Deputy Secretary is the accountable official for each of these challenges, which are described briefly below.

Reducing Improper Payments

As noted by OIG, the estimated improper payment rate for the Unemployment Insurance (UI) program remains above the 10 percent threshold set in the Improper Payment Elimination and Recovery Act, and fraud “continues to be a significant threat to the integrity of the UI program, as identity thieves and organized criminal groups have found ways to exploit program weaknesses.” OIG also recognizes the structural challenge of making timely benefits while ensuring claimants meet eligibility requirements each week. “A payment may

¹² All three appear on the OIG’s list (Identifying and Reducing Unemployment Insurance Improper Payments, Providing a Safe Learning Environment at Job Corps Centers, and Securing and Managing Information Systems.)

later be determined improper as a result of the receipt of information that was not available at the time the payment was required to be made or as a result of the requirement that claimants be provided with due process prior to stopping payment of benefits.”¹³ Yet another source of improper payments is the lag in data sources used by states to identify claimants collecting benefits after returning to work.

DOL established an APG of reducing improper payments below 10 percent by September 30, 2021 and will continue aggressive work with states to address root causes. DOL facilitated the implementation of the UI Integrity Data Hub (IDH) in FY 2018. Since its inception, the IDH continues to evolve in both functionality and state participation. Twenty-one states are now regularly cross-matching UI claims against IDH data sources and have reported \$9.08 million in prevented fraudulent benefits through their IDH use. In addition to the Suspicious Actor Repository available on the IDH since 2018, new functionality was implemented in FY 2019 on the IDH such as the collection of expanded claims data, foreign Internet Protocol detection, and cross-matching capability to identify UI claims data being used across multiple states.

In FY 2020, ETA and the UI Integrity Center will continue to encourage state use of the IDH as well as further expand its functionality by providing an identity verification service, fraud alerting capability, and a centralized incarceration cross-match. In addition, the UI Integrity Center provides experts to identify customized solutions to state-specific causes of improper payments. ETA is also actively working with states on a wide array of strategies to address work search improper payments. These include development of a model state work search law, implementation of improved communications and messaging of work search requirements, and leveraging the Reemployment Services and Eligibility Assessments program to support claimant compliance with work search requirements through continued reinforcement and understanding of work search requirements, development of a reemployment plan that includes specific work search activities that meet state work search requirements, and referrals to suitable employment.

Additional information is in the ETA Strategic Objective 3.2 section of this document and the Improper Payments Reporting Details section of the [FY 2019 AFR](#).

Job Corps Center Security

As noted in the Strategic Review Summary of Progress under ETA Strategic Objective 1.1, OIG also identified safety and security at Job Corps centers as a DOL Top Management and Performance Challenge.

ETA’s Job Corps has taken significant steps to increase security at Job Corps centers, including implementing a revised Zero-Tolerance Student Conduct Policy that established higher behavioral standards, clarifying the meaning of student conduct infractions, and implementing a new structure for behavioral interventions in response to minor infractions. Job Corps has taken a strategic approach to risk management to identify centers with high levels of safety risk based on an assessment of certain factors. Those factors include, but are not limited to, student conduct and zero tolerance implementation.

Job Corps also executed Regional Office Center Assessments (ROCA) that are comprehensive reviews of center operations, and Regional Office Targeted Assessments (ROTA) that are reviews of specific areas of concern at a center. ROCA assessments include elements of center safety and security. The findings of these two assessment approaches, and how contractors responded to them, may result in contractual actions. Job Corps will continue using these contractor accountability tools.

Job Corps developed a framework for conducting physical security risk assessments at all of its centers. In FY

¹³ Office of Inspector General (2019). [Top Management and Performance Challenges Facing the U.S. Department of Labor](#)

2019, Job Corps created a comprehensive safety and security strategic plan, secured the services of physical security experts, implemented a multi-year framework for conducting security assessments, and surveyed or audited centers to ensure that they had emergency action plans and law enforcement agreements. In FY 2020, Job Corps will conduct at least 20 physical security assessments and document physical security risks at centers, prioritize centers based on the severity of assessed vulnerability or risk, and request and allocate available funds for addressing center vulnerabilities and risks. Additional centers will be assessed in FY 2021.

Job Corps will continue to provide and install security controls at its centers. These controls include (1) surveillance equipment; (2) access control systems; (3) enhanced lighting; (4) walk-through and handheld metal detectors; and (5) barriers, fencing, and other ways to manipulate the physical environment to control and detect undesired behaviors. For new centers or centers undergoing major rehabilitation, Job Corps is incorporating physical security considerations into the design process.

Taken together, the actions described will minimize center risks and achieve a desired level of protection for students and staff.

Securing and Maintaining Legacy Information Systems

As noted in the Strategic Review Summary of Progress under OASAM Strategic Objective M.2 and OCFO Strategic Objective M.4, OIG has identified information security and management as a DOL Top Management and Performance Challenge. OIG notes that while DOL has made progress, challenges remain. These include information technology governance, information security, and modernization (replacing legacy systems and moving into secure cloud services).

Legacy systems increase risk of hardware or software failures from non-support for end-of-life products and the lack of current security patches. Degradation of any of DOL's mission-critical systems would imperil mission delivery, with potential impacts to worker safety, inviolability of sensitive economic data, or the confidentiality of citizens' Personally Identifiable Information. Whether the negative impacts are man-made, as is the case with hackers of an unpatched legacy system, or simply the failure of unsupported, irreplaceable legacy system components, the risks are significant.

DOL remains committed to its effort to address the highest-risk legacy systems by applying focused and purposeful attention to developing and implementing appropriate mitigation strategies. DOL OCIO, in partnership with all agencies, has developed a modernization plan for IT systems and applications. It has determined modernization sequencing plans for DOL systems and applications based on prioritization criteria that include years of operation, level of obsolescence and extent of end-of-life technologies, operational performance analysis, and overall operational and security risk assessment. OCIO will continue collaborating with agencies in executing system modernization efforts to align with IT and cybersecurity requirements, adapt the DOL Cloud environment, and leverage the common IT platforms. This will ensure both security of infrastructure and information and increased performance and capability in mission and business systems and applications. DOL has established additional measures to focus on the ongoing performance and effectiveness of IT security operations.

To secure DOL's sensitive information and improve data integrity, OCIO will focus on modernizing and standardizing DOL's infrastructure. Following government-wide guidance, OCIO will increase DOL's overall IT security posture and shift IT investments to more efficient and secure computing platforms and technologies. OCIO will create a centralized enterprise platform to improve service delivery by procuring commodity cloud services and establishing an enterprise cloud environment, allowing DOL component agencies to consume DOL cloud services. Further, OCIO will implement an enterprise-wide IT asset management solution to centrally

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manage all IT assets. To further secure and enhance the IT infrastructure, OCIO reduced DOL's IT footprint through consolidating traditional data centers, promoting the use of Green IT, and reducing the cost of data center hardware.

To enhance safeguards to protect mission critical and sensitive information and reduce risk of unlawful breaches and unauthorized access, OCIO will defend the shared IT environment by rapidly completing technology assessments and using innovative technologies. OCIO will coordinate with the Department of Homeland Security and OMB on implementing a Continuous Diagnostics and Mitigation program. OCIO will also continue migrating DOL applications to incorporate personal identification verification (PIV) usage, implement a single sign-on solution for logical access, and enable standard single sign-on capabilities across DOL

DOL developed an inventory of legacy information systems and applications to be modernized. Using key selection criteria (including congressional priority, mission criticality, application age, high value asset status, cloud or on premises hosting, web capability, public-facing, or support of DOL mission function), DOL developed a list of 50 systems to be modernized. In FY 2020, DOL will focus on modernization of its top 10 applications.

WHD released their Electronic Case File in early October 2019 as a soft launch, with the goal of deploying to all offices in FY 2020. This first module lays the foundation for their new case management system. While WHD has been making incremental progress in replacing the WHISARD system, it is still dependent upon Technology Modernization Fund Platform Funding to replace WHISARD by FY 2022 as planned.

Open Recommendations from OIG

Under the direction of the Deputy Secretary in FY 2018, DOL began an aggressive approach to closing outstanding OIG recommendations, especially those older than two years. In FY 2019, DOL began tracking the percentage of agreed-upon OIG recommendations from all previous fiscal years that have not been closed. The baseline for this measure at the end of FY 2019 was 44 percent. Each DOL agency has a plan to address additional open recommendations in FY 2020.

Program Evaluations and Evidence-Building

The Chief Evaluation Office (CEO) in the Office of the Assistant Secretary for Policy leads DOL's evaluation agenda, working closely with agency staff to implement program evaluations to answer key questions, as detailed in the annual Evaluation Plan. The results from evaluations inform policy and improve DOL's performance-based management initiatives in support of the GPRMA. Further, as described in DOL's Evidence Submission as part of the Fiscal Year 2021 Budget submission, CEO coordinates key evidence-building activities (as per the Foundations for Evidence-Based Policymaking Act of 2018, Public Law No. 115-435), including DOL's Learning Agenda and Capacity Assessment. For more information see <http://www.dol.gov/asp/evaluation/>.

Other Information

Regulatory Reform

Executive Order 13777 (“Enforcing the Regulatory Reform Agenda”) requires that federal agencies establish targets for the six performance indicators in the table below.

*Target reached (Y), Improved (I), or Not Reached (N)		FY 2015	FY 2016	FY 2017	FY 2018	FY 2019	FY 2020	FY 2021
Number of evaluations to identify potential EO 13771 deregulatory actions	Target	--	--	--	2	2	2	TBD
	Result	--	--	--	2	2		
	Status	--	--	--	Y	Y	--	--
Number of EO 13771 deregulatory actions recommended by the Regulatory Reform Task Force to the agency head	Target	--	--	--	7	7	7	TBD
	Result	--	--	--	10	13		
	Status	--	--	--	Y	Y	--	--
Number of EO 13771 deregulatory actions issued that address recommendations by the Regulatory Reform Task Force	Target	--	--	--	7	7	7	TBD
	Result	--	--	--	10	13		
	Status	--	--	--	Y	Y	--	--
Number of EO 13771 regulatory actions	Target	--	--	--	0	2	2	TBD
	Result	--	--	--	0	2		
	Status	--	--	--	--	Y	--	--
Number of EO 13771 deregulatory actions issued	Target	--	--	--	7	7	7	TBD
	Result	--	--	--	11	10		
	Status	--	--	--	Y	Y	--	--
Total incremental cost savings of all EO 13771 deregulatory actions (millions)	Target	--	--	--	(\$68.52)	(\$44.22)	(\$44.22)	TBD
	Result	--	--	--	(\$200.55)	(\$425.40)		
	Status	--	--	--	--	N	--	--

Measures Discontinued

Measures Discontinued in FY 2021

Because this is primarily a planning document that uses historical information to inform future strategies and targets, it is organized around Departmental goals and measures for the budget year (FY 2021). However, DOL is obliged to report results for measures with PY 2018 or FY 2019 targets published in the FY 2018 APR but not included in this year’s plan.

The following table lists these performance measures with their targets and results organized by Strategic Objective. Results are not provided for measures that were collecting baseline data and therefore did not have targets.

Measure	Target FY 2019 PY 2018	Result FY 2019 PY 2018	Why not included?
WHD Strategic Objective 2.3			
Number of outreach hours to employers	12,150	15,221	Measure dropped. The amount of time an outreach event takes is not an indicator of quality, size of audience or impact on compliance.
OFCCP Strategic Objective 2.5			
Percent of construction evaluations completed from high-impact projects	80%	69%	New scheduling employs a neutral and more robust methodology; measure replaced.
Percent of discrimination conciliation agreements with systemic pay discrimination findings	35%	36%	Replaced this measure with one that includes pay and non-pay discrimination cases.
ILAB Strategic Objective 2.6			
Number of countries in which child labor and forced labor are systematically monitored and analyzed.	153	155	Replaced with a broader measure that captures the number of trade partner countries in which labor rights, including child labor and forced labor, are systematically monitored and analyzed.
OWCP Strategic Objective 3.1			
Percent of first payment of compensation issued within 30 days: non-Defense Base Act cases	87%	89%	With implementation of a new claims management system in FY 2020, the Longshore program will introduce a new measure tracking first payments of compensation for non-Defense Base Act cases that will shorten the timeframe from 30 days to 20 days.