

**U.S. Department of Labor
Office of the Assistant Secretary
for Administration and
Management**



November 2016

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TAB 1: AGENCY ORGANIZATIONAL OVERVIEW

Mission

The Office of the Assistant Secretary for Administration and Management (OASAM) provides the infrastructure and support that enables the Department of Labor to perform its mission. Areas of responsibility include procurement, information technology, human resource management, facilities, space management, telecommunications, civil rights, emergency management, physical security, and strategic planning. OASAM is also responsible for the development and promulgation of policies, standards, procedures, systems, and materials related to the resource and administrative management of the Department and for the execution of such policies and directives at Headquarters and in the field.

The Core of OASAM's Work

OASAM's work in support of the Department and its agencies falls into the five categories below.

- **Set Policy** – OASAM's centers either set policy for Departmental activities and operations, or interpret government-wide administrative/management policies for their application throughout the Department.
- **Provide Information on Policy and Procedures** – In addition to developing and interpreting policy, OASAM's centers and regional offices are responsible for ensuring that agencies (and their respective employees) are made aware of the policies and procedures that are relevant to their work.
- **Assess Agency Competence and Compliance** – OASAM's centers and regional offices have the responsibility of ensuring that agencies are abiding by Departmental and government-wide policies; they are also responsible for evaluating the implementation of these policies.
- **Provide Training, Technical Assistance, and Direct Support to Agencies** – For nearly every function OASAM's centers and regional offices carry out, there are offices within each program agency that have similar responsibilities. Because OASAM has expertise in the policies and procedures related to those functions, OASAM provides training, technical assistance, and – when needed – direct staff support to build capacity throughout the Department.
- **Administer Core Operational Functions** – OASAM provides core operational functions and systems for a significant majority of the DOL agencies and employees, which enable them to achieve their strategic goals and objectives. These core functions and systems include the Enterprise Computer Network (ECN) and the administration of the Department's shared services for human resources management and procurement.

These categories comprise the core functions of the agency in its support of the agencies and Departmental leadership. Two represent the agency's service on behalf of Departmental

leadership: policy setting and assessing agency competence; while the other three represent service to the agencies: providing information on policies and procedures; providing training, technical assistance, and direct support; and administration of core operational functions.

Authorizing Legislation

OASAM's responsibilities are broadly defined by various regulations, government-wide directives, and internal policy. The principle law authorizing the creation of the Assistant Secretary for Administration and Management is 29 U.S. Code § 553.

Within the past twenty years, a number of laws have been passed to establish Department-wide roles. The roles are held by OASAM senior executives and include:

- The *Chief Human Capital Officers Act of 2002* established the role of the Chief Human Capital Officer (CHCO);
- The *Services Acquisition Reform Act of 2003 (SARA)* established the position of the Chief Acquisition Officer (CAO);
- The 1996 *Clinger-Cohen Act* established the Chief Information Officer (CIO) position; and
- The *Government Performance and Results Modernization Act (GPRMA)* (further outlined below) established the role of the Performance Improvement Officer (PIO).

Within the Department, OASAM's responsibilities are codified by Secretary's Orders, Department of Labor Manual Series (DLMS) chapters, and Departmental Personnel Regulations (DPR). These include (but are not limited to):

- *Secretary's Order 05-2009*: Delegation of Authorities and Assignment of Responsibilities to the Assistant Secretary for Administration and Management;
- *Secretary's Order 02-2009*: Delegation of Authority and Assignment of Responsibility to the Chief Acquisition Officer and Assistant Secretary for Administration and Management, and Related Matters;
- *Secretary's Order 03-2008*: Delegation of Authorities and Assignment of Responsibilities to the Chief Human Capital Officer and Others; and
- *Secretary's Order 03-2003*: Update of Delegation of Authority and Assignment of Responsibility to the Chief Information Officer.

Other important legislation impacting OASAM include (but are not limited to):

- The *Federal Information Technology Acquisition Reform Act (FITARA)*, which was enacted on December 19, 2014. Among many other things, it takes major steps toward ensuring agency CIOs have significant involvement in procurement, workforce, and technology-related budget matters.
- *Federal Information Security Modernization Act (FISMA)* of 2014 defines the comprehensive cybersecurity framework to strengthen the overall Federal Government security posture and by which the Department must implement an Enterprise Cybersecurity program to safeguard its most critical information and information technology systems. FISMA requires DOL to provide quarterly and annual reports on the operational effectiveness of its Cybersecurity program.
- *Presidential Policy Directive 8 (National Preparedness)* is aimed at strengthening the

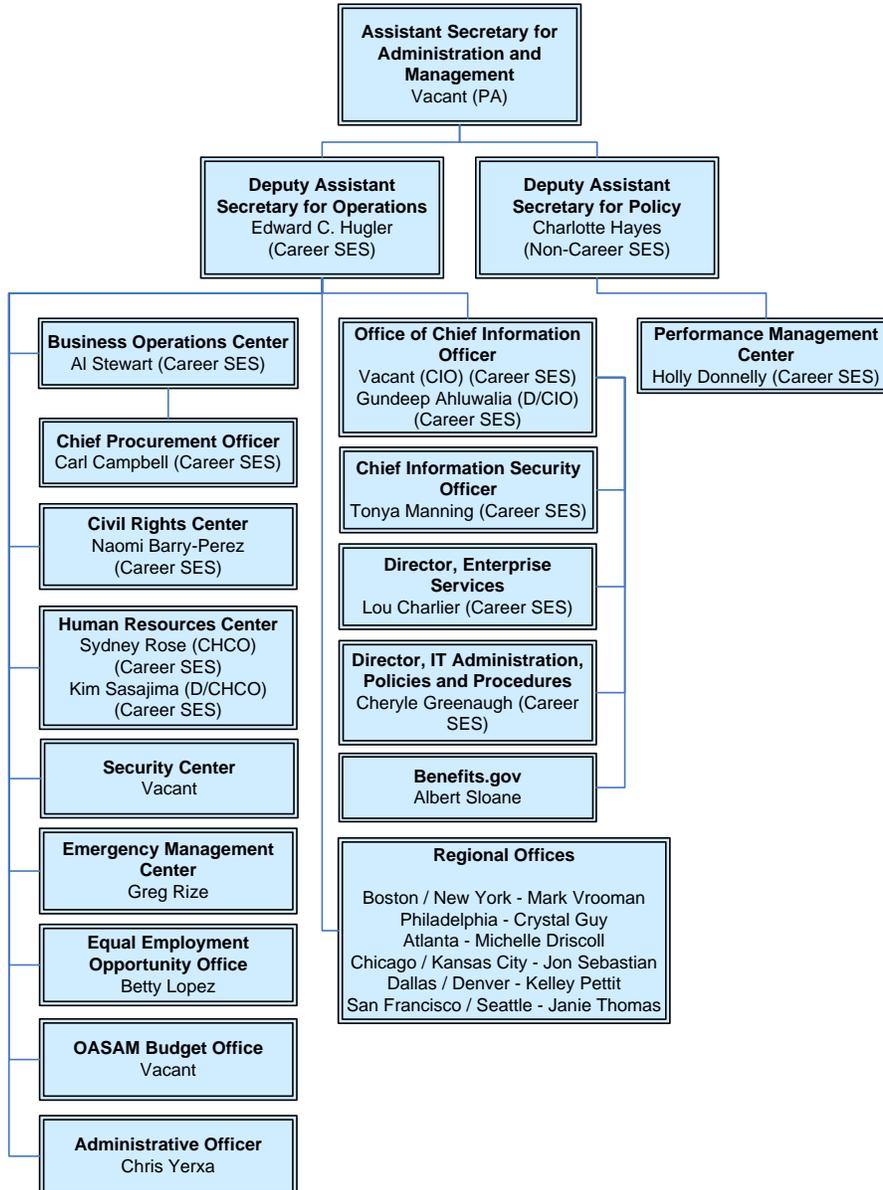
security and resilience of the United States through systematic preparation for the threats that pose the greatest risk to the security of the Nation, including acts of terrorism, cyberattacks, pandemics, and catastrophic natural disasters.

- ***Title 5 of the United States Code*** outlines the role of government organizations and employees, and is critical to HR operations.
- The ***Small Business Act (as amended by Public Law 95-507)*** established the Office of Small and Disadvantaged Business (OSDBU). The Director of the OSDBU is the primary advocate within each Federal Executive Agency responsible for promoting the maximum practicable use of all designated small business categories within the Federal Acquisition process.
- ***Executive Order 12196 (Occupational Safety and Health Programs for Federal Employees)*** requires the Secretary of Labor (delegated to OASAM) the responsibility to perform various services for DOL agencies, including consultation, training, recordkeeping, inspections, and evaluations.
- The ***Presidential and Federal Records Act Amendments of 2014*** amends federal law regarding the preservation, storage, and management of federal records.
- The ***Government Performance and Results Act of 1993 (GPRA)*** was passed to create a greater role for data and empirical evidence in policy, budget, and management decisions. It mandates that federal agencies develop Strategic Plans, with Congressional and stakeholder input. The Plans must communicate the mission, vision and goals of the organization, and must include measures with yearly targets to demonstrate progress toward the goals. The law requires a yearly report on progress against targets and allows agencies to adjust future targets. The report is the Annual Performance Report, delivered to Congress with the President’s Budget Justification in February for the fiscal year that begins each October. The purpose of this report is to assure Congress that the funds produce measurable results toward the goals of the agency.
- The ***GPRA Modernization Act of 2010 (GPRAMA)*** kept in place the major provisions of GPRA and also added a requirement for Agency Priority goals – a short list of top priorities with quarterly results posted on Performance.gov. GPRAMA also created the Deputy Secretary’s role as Chief Operating Officer (COO). The law also synched up Strategic Plan development with the Presidential election cycle, so that each new Administration must begin its term with a Plan reflecting its priorities and values.

Organizational Structure

OASAM has 780 federal employees¹ and nearly 1,180 contractors located in nine National Office centers, six main regional offices, and four satellite regional offices. With the exception of the Security Center, Emergency Management Center, and the Equal Employment Opportunity Office, each National Office center is led by an SES Director. The six main regional offices are led by a GS-15 Regional Administrator.

Organizational Chart



¹ 480 National Office employees and 300 Regional Office employees.

TAB 1: Agency Organizational Overview

Workforce At-A-Glance

**DEPARTMENT OF LABOR EMPLOYMENT *
AS OF 11/1/2016 - OASAM**

AGENCY			
Subagency	National Office	Regional Office	Total
OASAM	475	308	783
Total	475	308	783
RACE & GENDER			
Ethnicity	F	M	Total
American Indian	1	1	2
Asian	21	32	53
Black	234	119	353
Hawaiian/PI	2	0	2
Hispanic	38	31	69
Two or more Races	4	7	11
White	123	170	293
Total	423	360	783

BARGAINING UNIT	
Local 12	183
NCFL	120
Non-BU	480
SUPERVISORY**	
Non Supervisor	639
Supervisor	144
WORK SCHEDULE	
F-Full Time	773
I-Intermittent	3
P-Part Time	7
REGIONS	
1 Boston	27
2 New York	20
3 Philadelphia	46
4 Atlanta	53
5 Chicago	54
6 Dallas	53
7 Kansas City	1
8 Denver	12
9 San Francisco	37
10 Seattle	5
Natl Ofc	475
Total	783

GRADE DISTRIBUTION	
00	16
01	1
02	1
03	3
04	3
05	18
06	7
07	33
08	7
09	36
10	4
11	62
12	163
13	186
14	165
15	78
Total	783
DISABLED STATUS	
No Disability	659
Non-targeted	104
Targeted	20
APPOINTMENT TENURE	
Indefinite	1
Permanent	776
Temporary	6
RETIREMENT ELIGIBILITY	
Early Out	180
Eligible	120
Not Eligible	483

METRO D.C. AREA EMPLOYEES BY BUILDING		
FRANCES PERKINS BLDG		463
TECHWORLD PLAZA		10
TWIN TOWERS		2
Total		475
Includes regional employees working in the D.C. area		
GRADE 13 & ABOVE		
Ethnicity	F	M
American Indian	1	1
Asian	10	26
Black	117	54
Hispanic	20	14
Two or more Races	1	5
White	81	114

* Permanent and Temporary Employees
** Supervisor count includes manager levels 2 and 4

Organizational Changes during the Past Eight Years

Secretary's Security Detail – DOL has provided physical security and protection services for the Secretary of Labor since 1970. In 2014, the Secretary of Labor agreed to the DOL Inspector General's request that DOL reassume responsibility and functions for physical security and protection services for the Secretary. By memorandum on December 19, 2014, at the direction of the Secretary, the Deputy Secretary of Labor approved the establishment of a new Secretary's physical security and protective services team in a new Division of Protective Operations (DPO) within OASAM's Security Center.

OCIO Consolidation – As described in the IT cross-agency paper, in FY 12 DOL began an effort to consolidate DOL's nine disparate Agency IT infrastructure organizations into a unified and standardized IT organization to create a robust and scalable shared services infrastructure. To-date, the Department has integrated infrastructure staff and resources from six agencies, as part of its plan to consolidate DOL's networks from nine to one over five years. The Data Center Consolidation Initiative met 100% of federal milestones to move local Washington, DC data centers to a single, state-of-the-art commercial "Bytegrid" data center. To date, DOL has closed 24 data centers throughout the U.S., improving efficiency and reducing energy costs. OASAM also consolidated siloed agency help desk contracts into one Enterprise-wide Service Desk. The ESD currently services twenty-two DOL agencies and approximately 14,000 employees, and provides 24x7 service.

OCIO Reorganization – As the IT client base and responsibilities have expanded, OASAM has taken important steps to transform the Department's IT organization into one with the breadth and depth needed for DOL to modernize its IT services. Key steps which strengthen the OCIO include: adding platform and software "as-a-service" groups to mirror the changes in the IT industry of providing services over the internet or through cloud computing; hiring key staff and establishing an advanced systems engineering presence that didn't previously exist; and maturing the administrative and financial management, IT governance, Customer Advocacy and infrastructure services functions. Additionally, the Department has recently made changes to the CIO designation. Previously, the CIO had been the Assistant Secretary. Correspondingly with the increase of scope of operations, the designation was reassigned to the career incumbent in 2014. Additionally, as part of Leadership's efforts to strengthen OCIO, in July 2016 OASAM hired an SES Deputy CIO with a strong mix of policy and management experience.

Created SES Chief Information Security Officer Position – One of the key steps to strengthen OCIO and its cybersecurity program has included appointing a Senior Executive to oversee the Department's CyberSecurity efforts. This appointment was critical and allows the Department to effectively respond to federal cyber security mandates and cyber incidents, as well as, provide technical assistance and disseminate timely and actionable notifications to DOL management officials.

Created SES Chief Procurement Officer Position – OASAM has continued its ongoing effort to reform procurement processes throughout the Department by creating a Senior Executive position to oversee procurement policy, the small business procurement program, and contracting services for the majority of DOL's agencies. OASAM's procurement reform initiative has led to an overhaul the Department's procurement processes, improved and

institutionalize internal controls, and raised the bar for accountability.

Designated a Career Executive as the Department's CHCO and Hired an SES Deputy CHCO – Like the CIO, the CHCO designation had previously been given to the Assistant Secretary. In an effort to improve continuity of operations, make the Department more consistent with other federal agencies, and properly assign HR responsibilities to the Department's HR leaders, in 2015 the title was transferred to the incumbent Director of the Human Resources Center. Additionally, as part of Leadership's efforts to strengthen HRC, in 2015 OASAM hired an SES Deputy CHCO.

EEO Consolidation - Since 2009, the OASAM EEO Office has assumed responsibility for the EEO programs from the former-Employment Standards Administration agencies, the Occupational Safety and Health Administration, the Employment and Training Administration, and the Mine Safety and Health Administration. OASAM EEO Office now services 21 client agencies, including 5 major agencies, which together total 11,500 customers (72% of DOL's total workforce of 16,000).

Creating an OASAM Budget Office – In 2016 the Departmental Budget Center (DBC) was realigned with the Office of the Chief Financial Officer. As a result, OASAM has begun the process of staffing a new OASAM Budget Office to oversee the budget formulation and agency-level financial management services previously provided by DBC. This new office is critical in representing OASAM's interests in Working Capital Fund discussions, including those related to IT.

Key Leaders

SES Positions –

- Edward C. Hugler - Deputy Assistant Secretary for Operations
- Charlotte Hayes - Deputy Assistant Secretary for Policy (non-career)
- Al Stewart - Director, Business Operations Center
 - Carl Campbell - Chief Procurement Officer
- Vacant - Chief Information Officer (*vice-Dawn Leaf, retired September 30, 2016*)
 - Gundeep Ahluwalia, Deputy Chief Information Officer
 - Tonya Manning - Chief Information Security Officer
 - Lou Charlier - Director, Infrastructure Services
 - Cheryle Greenaugh - Director, IT Administration, Policies and Procedures
- Sydney Rose - Director, Human Resources Center / Chief Human Capital Officer
 - Kim Sasajima - Deputy Director, Human Resources Center / Deputy Chief Human Capital Officer
- Naomi Barry-Perez - Director, Civil Rights Center
- Holly Donnelly - Director, Performance Management Center

Non-SES Leadership Positions –

- Stacey Thompson – Acting Director, Security Center (GS-15)
- Greg Rize - Director, Emergency Management Center (GS-15)
- Betty Lopez - Director, Equal Employment Opportunity Office (GS-15)
- Mark Vrooman - Regional Administrator, Boston/New York (GS-15)

TAB 1: Agency Organizational Overview

- Crystal Guy - Regional Administrator, Philadelphia (GS-15)
- Michelle Driscoll - Regional Administrator, Atlanta (GS-15)
- Jon Sebastian - Regional Administrator, Chicago/Kansas City (GS-15)
- Kelley Pettit - Regional Administrator, Dallas/Denver (GS-15)
- Janie Thomas - Regional Administrator, San Francisco/Seattle (GS-15)
- Chris Yerxa - Administrative Officer (GS-15)
- Vacant - OASAM Agency Budget Officer (GS-15)

TAB 2: 30/60/90 DAYS – STATE OF PLAY

Key Meetings, Decisions, and Announcements

- ***Working Capital Fund for 2017/2018*** – Of OASAM’s total budget, more than 85% is provided through the Working Capital Fund (WCF); 65% of that is to fund IT services and nearly 10% is to fund HR services (the rest is spread around other OASAM areas, including the regional offices, the Business Operations Center, the Security Center, and the Performance Management Center). (b) (5)

- ***Hiring a new Chief Information Officer*** – With the departure of the CIO in September 2016, it is important to prioritize the hiring of this critical career executive.
- ***Updated rule for Section 188 of the Workforce Innovation and Opportunity Act (WIOA)*** – The Civil Rights Center is currently in the process of finalizing its updated rule for Section 188 of the Workforce Innovation and Opportunity Act (WIOA). Section 188 of WIOA contains the nondiscrimination provisions of the statute, which prohibits the exclusion of an individual from participation in, denial of the benefits of, discrimination in, or denial of employment in the administration of or in connection with any programs and activities funded or otherwise financially assisted in whole or in part under Title I of WIOA on the basis of race, color, religion, sex, national origin, age, disability, or political affiliation or belief, or, for beneficiaries, applicants, and participants only, on the basis of citizenship status or participation in a program or activity that receives financial assistance under Title I of WIOA. We expect that the final rule will be cleared by OMB by early November 2016, published in the Federal Register later that month, and will go into effect in January 2017. We anticipate holding training on the new rule for state and local officials beginning in March or April 2017. Finalizing the Section 188 rule is critical because the requirements of the rule have not been updated since 1999, and there have been significant developments in recipient practices and equal opportunity and nondiscrimination law since that time.
- ***The Annual Performance Report (APR)*** – The APR is a chapter in the Congressional Budget Justification, due each February. PMC works with Agencies to report best practices that led to good performance and to put in place plans for mitigating poor performance.
- ***Department’s Strategic Plan*** – An initial draft of the Department’s Strategic Plan is due to OMB on June 3, 2017. To meet this milestone, the Performance Management Center (which oversees the development of the plan) needs initial decisions on the following items by March 25:
 - Mission and Vision statements
 - Structure (Strategic Goals, Objectives, and Performance Goals)
 - Strategic goal and objective statements
 - Agency Priority Goals for FY 18-19

Key Agency Stakeholders

OASAM provides infrastructure and support that enables agencies to focus on their core missions. Our stakeholders are the Secretary of Labor (as the Department’s Chief Executive Officer), the Deputy Secretary of Labor (as the Chief Operating Officer), and the DOL agencies that receive services from our national office centers and regional offices. The following is an explanation of services not provided to certain agencies:

- *Human Resources* – BLS, ETA, MSHA, OSHA, and SOL have been delegated HR authority to service their National Office staff (except for political appointees and Senior Executives, which are handled solely by the Office of Executive Resources within OASAM) and their regional staff at the GS-14/15 level. OASAM does not provide any HR services for OIG. Please see the next page for more information.
- *Procurement/grants* – BLS, ETA, MSHA, and OIG have been delegated different levels of procurement authority. BLS² and OIG have full procurement authority, while ETA and MSHA have limited authorities that require OASAM to procure their IT purchases. OASAM provides complete oversight and policy direction for all procurement and grant activities.
- *Information Technology* – OASAM/OCIO provides department-wide enterprise IT infrastructure services, with the exception of BLS and OIG. Please note that many agencies have application-level IT support (i.e., personnel who support agency-specific systems or services) in the National and Regional Offices.
- *Equal Employment Opportunity Office* – BLS, EBSA, OIG, and SOL have EEO program managers who administer these functions in both the National and Regional Offices. OASAM services all other agencies.

In addition, OASAM interacts on a regular basis with the Office of Management and Budget, the Chief Human Capital Officer’s Council, the Chief Acquisition Officer’s Council, the Chief Information Officer’s Council, and with the Federal Chief Information Officer at the White House. Further, OASAM manages three program areas that have public stakeholders –

- *Civil Rights Center* – CRC’s Office of External Enforcement (OEE) and Office of Compliance and Policy (OCAP) both support CRC's responsibility to administer and enforce the laws that apply to recipients of financial assistance under Title I of the Workforce Innovation and Opportunity Act and its predecessor, the Workforce Investment Act (WIA); American Job Center partners listed in WIOA/WIA Section 121(b) that offer programs or activities through the workforce development system; State and local governments and other public entities operating programs and activities related to labor and the workforce; and any recipients of financial assistance from, or programs conducted by, DOL that are not included in the categories above.
- *Office of Small and Disadvantaged Business Utilization* (organizationally aligned within

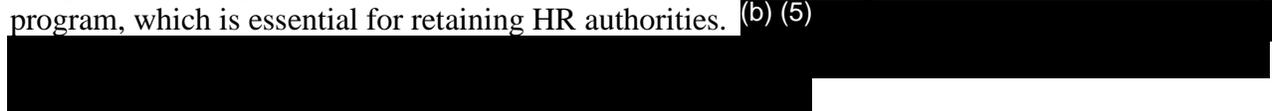
² BLS’ procurement authority is reviewed and authorized in accordance with the authorization agreement.

BOC) – OSDBU administers the Department of Labor's small business program in accordance with the Small Business Act. Its priority is to ensure that small businesses, including small disadvantaged businesses, woman-owned small businesses, service-disabled veteran-owned small businesses, and HUBZone certified businesses have the maximum practicable opportunity to participate in our work as prime contractors and subcontractors. OSDBU also serves as the Department's Ombudsman for small businesses under the Small Business Regulatory Enforcement Fairness Act of 1996 (SBREFA).

- *Benefits.gov* – Launched in 2002, Benefits.gov (formerly GovBenefits.gov) was one of the earliest “E-Government” initiatives to launch as part of the President’s Management Agenda and was established as the official benefits website of the U.S. government. Operated, managed and supported by a federal agency partnership, Benefits.gov provides an innovative, technology-based solution to benefit information delivery. The beneficiaries include U.S. citizens, businesses and federal and state government entities.

HR Structure at DOL

DOL adheres to HR laws and regulations covering executive branch agencies and overseen by the U.S. Office of Personnel Management (OPM). The DOL Chief Human Capital Officer receives delegated authority for HR from OPM. OPM views DOL as having an effective HR accountability program, which is essential for retaining HR authorities. (b) (5)



DOL’s HR structure includes the Office of the Assistant Secretary for Administration and Management (OASAM) Human Resources Center (HRC), six DOL Agency HR Offices (listed below) and six OASAM Regional HR offices --

- Bureau of Labor Statistics (BLS)
- Employment and Training Administration (ETA)
- Mine Safety and Health Administration (MSHA)
- Occupational Safety and Health Administration (OSHA)
- Office of Inspector General (OIG)
- Office of the Solicitor (SOL)
- Six Regional OASAM HR Offices
 - Boston / New York,
 - Philadelphia,
 - Atlanta,
 - Chicago,
 - Dallas,
 - San Francisco

DOL Agency HR Offices service their own employees in the Washington, D.C.-area as well as higher graded field staff, e.g., GS-14 and 15. The rest of the Department receives HR services from (OASAM) HR Offices in the National Office and in the regions. HR services for all Departmental Senior Executive, Senior-Level and political employees are provided by the HRC’s Office of Executive Resources.

Chief Human Capital Officer / OASAM's Human Resources Center

Sydney T. Rose, Chief Human Capital Officer (CHCO), is the chief HR advisor for the Department. The CHCO reports to the Deputy Assistant Secretary for Operations under OASAM. The CHCO oversees HRC and a mission to provide leadership, guidance, and technical expertise in all areas related to the management of human capital and the Department's human resources. HRC provides information on policies and procedures, assesses competence and compliance with policies and procedures, and provides training, technical assistance and direct assistance to client agencies and their personnel. The HRC is comprised of nine offices:

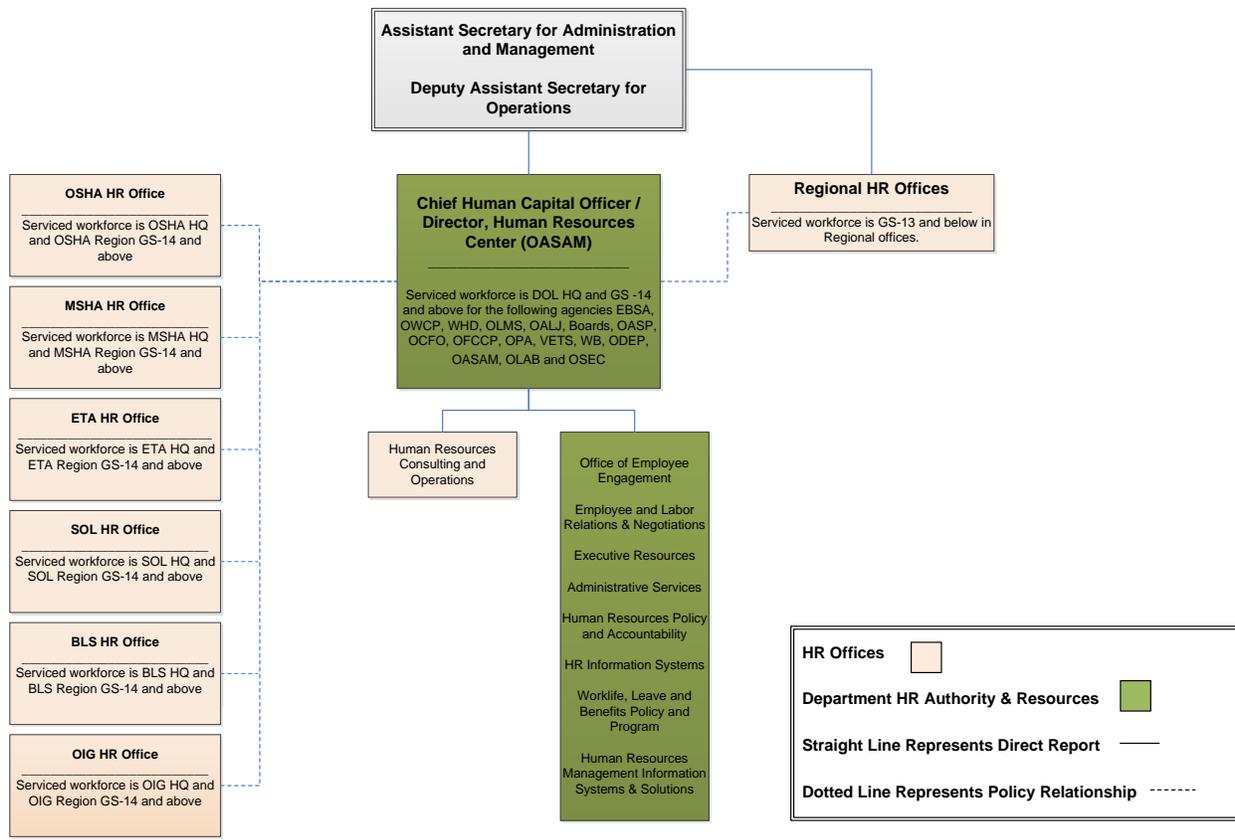
- *Office of the Director* provides leadership, guidance, and technical expertise in all areas related to management of DOL's human resources, including strengthening the diversity of the DOL workforce. (4 FTE)
- *Office of Administration* manages administrative functions for HRC, which includes procurement, budget, property management, information technology, space and telecommunications and interpreting services. (5 FTE)
- *Office of Employee Engagement* oversees employee engagement initiatives, training and development, workplace flexibilities, and diversity and inclusion. It is the result of an August 2016 internal reorganization effort. (21 FTE)
- *Office of Employee and Labor Relations & Negotiations* provides Department-wide labor-management relations program and policy development, guidance, and oversight. (14 FTE)
- *Office of Executive Resources* provides Department-wide leadership and guidance on HR policy and direct human resources management services for Senior Executive Service, Senior Level Presidential Appointments, and Presidential Appointments with Senate Confirmation and Schedule C appointments. (9 FTE)
- *Office of Human Resources Consulting and Operations* is responsible for providing HR staffing, classification, personnel processing services to OASAM National Office customers including. (26 FTE)
- *Office of Human Resources Policy and Accountability* is responsible for providing Departmental leadership, development, and advisory services pertaining to HR policy, workforce analysis, and strategic planning, recruitment, human capital initiatives and HR quality and accountability programs. (10 FTE)
- *Office of Human Resources Management Information Systems & Solutions* manages the Department's Human Resource Information Systems including automated staffing, recordkeeping, and electronic learning. The office leads the modernization of the Department's core HR information systems. (28 FTE)
 - The Department secures HR processing interface and timekeeping systems from the U.S. Department of Treasury and its subcontractors. Since converting in 2012, our HRC HR Works team was worked constantly with Treasury and subcontractors to address significant system problems and issues with poor service. The Department's

Learning Management System, LearningLink, and DOL’s interface with USAJobs are also problematic due to funding difficulties.

- *Office of Worklife, Leave, and Benefits Policy & Programs* is responsible for employee benefits and retirement counseling as well as management of the Department’s worklife and leave programs. (15 FTE)

Structure of HR at DOL

The organizational chart below illustrates the reporting structure for HR Offices and the Human Resources Center. The servicing structure is complex. At times, restructuring interests have surfaced from within DOL and externally through the government-wide benchmarking initiatives. The OMB Benchmarking data results demonstrated a range of HR costs by Agency HR Offices and OASAM. (b) (5)



The charts below are from OMB’s benchmarking data, which shows DOL’s HR services compared to the rest of the government. The first chart is the amount of money Departments spend on Human Capital per employee serviced. As you can see, DOL ranked second to the bottom for Departments

TAB 2: 30/60/90 Days – State of Play

with less than 25,000 employees. The second chart shows Departments Human Capital Servicing Ratio (Servicing Ratios measures the number of employees receiving HR services from Agency HR employees) for this DOL overall is ranked the third highest for Departments with less than 25,000 employees.



HR Funding

OASAM HR Offices, including the HRC, provide HR services to 78% of the DOL population. Funding for OASAM HR Offices is through the Working Capital Fund (WCF). There are two HRC offices that are not covered under the WCF – the Office of the CHCO and the Office of Employee and Labor Relations. The six DOL Agency HR Offices are funded through their Agency appropriations.

Agency allocations to the WCF are usually based on DOL agency size/population. WCF has been flat for the past few years and Agencies are resisting any increase in HR funding. There are some DOL agencies using contractors through the HRC BPA’s to augment HR support but others are

unable to secure the funding for contractors.

There are often requests for HR services that are not funded. (b) (5)

In FY 2016, OASAM experienced higher than normal turnover in Philadelphia, Chicago, San Francisco and Washington DC. The HRC Office of HR Consulting and Operations experienced a 45% turnover in FY 2016 compared to 22% turnover the year prior.

Customer Service

As part of the benchmarking effort, GSA conducted a customer satisfaction survey covering human capital, recruitment, and hiring support, work-life support, training and development, and other core HR support. DOL's results are at the government-wide medians for like-sized organizations. The lowest area of satisfaction is in the recruitment and hiring support with an average score of 4.14 (out of a highest possible score of 7.00). In addition to GSA's survey, Departmental leaders have identified hiring problems as a Departmental challenge. The HRC tracks quarterly hiring manager satisfaction through OPM's CHCO Survey and conducts focus group interviews of hiring managers while conducting audits of HR offices. Hiring managers have identified a number of problems such as hiring delays, cumbersome hiring processes, poor quality candidates and competency gaps of HR practitioners. The Department has taken a number of actions to address concerns. For example, DOL established a new policy mandating the use of subject matter experts (SMEs) that is supporting better satisfaction with the quality of candidates referred for selection. DOL is also working to improve hiring manager guidance and tools. A DOL-OPM training session on Hiring Excellence took place in October 2016.

TAB 3: INITIATIVES

Policy and Regulatory Issues

Human Resources (HR), Information Technology (IT), and the ongoing effort to secure a new headquarters building are three of OASAM’s primary policy issues. These are further described in the cross-agency papers and above.

Major Grants and Contracts

Contract/MOU	Center	Summary	Time period	Cost
Acquisition Management System Contract	BOC	AMS is DOL’s contract writing system that establishes contract awards for all of the Department’s critical mission needs.	The contract expires April 23, 2017. (b) (5)	\$3.3M
Executive and Manager Training Contract w/ the Partnership for Public Service	HRC	Provides front line training for Executives, Managers and Supervisors to perform supervisory and management duties in accordance with DOL Leadership mission and objectives.	09-26-2015 – 09-25-2016	\$1M
HR Connect MOU w/ Treasury	HRC	Provides services for DOL’s Shared Service Center to include Enterprise Content Management, Enterprise Data Management, HR Connect and Web TA Solutions.	10-01-2015 – 09-30-2016	\$5.2M
Transit Subsidy MOU w/ WMATA	HRC	Provides funding for employees to use public and/or private commuter transportation services for their work commute.	10-01-2015 – 09-30-2016	\$3.9M
Sign Language Interpreting Services Contract	HRC	Provides for reasonable accommodations, including assessing and obtaining products and/or services to accommodate employees and DOL clients/guests who are deaf and/or hard of hearing.	08-31-2016 – 08-30-2017	\$571K
Health Unit and Employee Assistance	HRC	Provides services for the Employee Assistance Program (portions of which are	10-01-2015 – 09-30-2016	\$2.0M

TAB 3: Initiatives

program Interagency Agreement (IAA) w/ Federal Occupational Health (Health and Human Services)		required by law), Federal Occupational Health Unit (flu shots, biennial physicals, walk-in services, emergency care, etc.) and Worklife4You (provides services and assistance in managing work-life balance, including emergency dependent care.)		
Permanent Change of Station InterAgency Agreement (IAA) w/ Environmental Protection Agency (EPA) Federal Employee Relocation Center	Chicag o	Provides full-service Permanent Change of Station (PCS) support services to the Department of Labor (DOL) employees. Without this IA all PCS services offered to DOL employees could not be processed and paid thus halting this function within DOL. Current PCS moves already in progress and future moves would all be impacted.	10/1/2016 – 09/30/2017	\$4.0M
Frances Perkins Building Guard Contract	SC	Provides armed security guard services for the Frances Perkins Building. SC has the responsibility of ensuring a safe and secure environment for the work of the DOL to be carried out. This task is accomplished primarily through the use of Protective Security Officers.	10/1/14 – 9/30/19	\$9.3M / year
USAccess/PIV MOU with GSA	SC	This agreement is for the express purpose of interconnecting with and using GSA Homeland Security Presidential Directive 12 (HSPD-12) Shared Services Solutions (USAccess) for the exchange of data to issue and maintain HSPD-12 Personal Identify Verification (PIV) Credentials for government and contractor employees as required by HSPD-12 for logical and physical access to	Annual	\$850K

TAB 3: Initiatives

		government facilities and information systems.		
FPB Building Maintenance Services	BOC	The FPB Building Maintenance Services contract provides essential building maintenance services for the operation and repair of the Frances Perkins Building.	The contract has one option year remaining (b) (5)	\$813K
Telephone Systems and Maintenance Services	BOC	The telephone maintenance services contract provides support/repair services for the FPB/National Office Area Avaya phone systems.	A new contract (1-year base plus 2 option years) was awarded in August 2016.	\$440K
EEO Services MOU w/ USPS	CRC	The Civil Rights Center (CRC) and the United States Postal Service have an agreement in place for USPS to provide EEO counseling, mediation, EEO, and Harassing Conduct investigative and final decision services to the CRC.	Current three year agreement expires September 30, 2017	\$450K
AlertFind, Alert and Notification System Contract	EMC	The AlertFind System is how all Agencies contact their personnel, emergency and non-emergency situations. The Notification and Protocol Booklet specifically outlines Notification processes which includes the Alert Find System.	12/1/2016 – 11/30/2017	\$39K
Classified Program Interagency Agreement w/ DHS	EMC	The agreement outlines how DHS supports the Department's classified program, to include the SCIF, which is how the Secretary could/would communicate with the White House and other Departments during an emergency.	10/1/2016 – 09/30/2017	\$175K
GSA/DOLNet Contract	OCIO	DOL Wide Area Network (Internet connectivity and bandwidth)	10/1/15 – 9/30/16	\$25.7M
GSA/Networx Contract	OCIO	DOL Telecommunication services.	10/1/15 – 9/30/16	\$8.4M
CyberSecurity	OCIO	Provides implementation	2/1/16 - 1/31/19	\$16.7M

TAB 3: Initiatives

contract (Accenture)		support for the DOL Cybersecurity Program, including risk management and incident response activities.		
IT infrastructure operations and maintenance contract (Maximus)	OCIO	Provides support for IT infrastructure operations and maintenance	9/1/16 - 8/31/18	\$59.6M
IT infrastructure operations and maintenance contract (OpTech)			8/1/16 - 1/31/17	\$244K
Data Center contract (Lockheed Martin)	OCIO	Manages and supports Silver Spring and St Louis data centers	2/1/13 - 1/31/20	\$49.8M
InfoReliance Cloud Email	OCIO	Enterprise-wide Cloud email services and support	9/5/16 - 9/4/17	\$6.4M
Advanced Engineering Support contract (SevaTech)	OCIO	Advanced Engineering Support	5/6/16 - 4/30/17	\$3M
Advanced Engineering Support contract (Zolon Tech)			8/19/15 - 12/19/16	\$1.8M
Helpdesk Contract (NuAxis)	OCIO	Enterprise Service Desk	8/4/14 - 8/3/19	\$21.9M
Hardware contract (Dell BPA)	OCIO	Provides laptops and desktops for DOL	4/8/16 - 4/7/17	\$6.3M
IT Security MOU w/ DOJ	OCIO	Information System Security Line of Business (OSS LOB) – FISMA and implementation and maintenance of the Cyber Security Assessment and Management (CSAM) application	Renewed annually	\$245K
Einstein Cybersecurity MOU w/ DHS	OCIO	Deployment of Einstein Cybersecurity Capabilities	Expires after 3 years	\$0

Audits and Reports

OASAM has a number of annual reporting requirements to Congress, the White House, and other Executive branch agencies. These include:

- DOL's Annual Small Business Procurement Scorecard and Plan to the Small Business Administration (January)
- DOL's Annual Alternative Fuel Vehicle Acquisition Report to Congress (February)
- DOL's Annual No FEAR Act Report to Congress, et al (March)
- DOL's Annual MD-715 Report to the Equal Employment Opportunity Commission (March)
- DOL's Annual FISMA Report (OMB in November / Congress in March)
- Pay Agent Report to the President (in collaboration with OPM and OMB) (March)
- DOL's Annual Minority Serving Institutions Plan and Report to the White House Initiatives housed at the Department of Education (May)
- Strategic Sustainability Performance Plan to OMB and Council on Environmental Quality (June)

In addition, over the past several years, OASAM has worked with the Office of Inspector General (OIG) on a number of programmatic audits related to the Department's management functions. The following items have been reported by the OIG in recent Semi-Annual Reports to Congress as challenges for the Department:

Securing and Protecting Information Management Systems

As technology continues to evolve and hackers become increasingly sophisticated in their attempts to breach federal security systems, safeguarding information and information systems will continue to be a challenge for DOL. The security of our information systems has been one of the Department's highest priorities, and we are committed strengthening safeguards to protect our systems and manage identified security risks. In previous audit reports and as part of its major management challenges, the OIG has raised concerns regarding Access Controls, third-party oversight, and configuration management.³ DOL management does not agree with the OIG's characterization of these identified issues as "significant deficiencies," as defined by the Office of Management and Budget. Management has also communicated its concerns with the completeness and accuracy of the subject report. In some cases, several isolated access control related issues have been extrapolated from the various reports and combined with dissimilar issues to suggest a problem larger in scope than that demonstrated by the analysis. Management appreciates the OIG's attention to information security and notification of significant security issues that warrants management's immediate attention. In particular, the OIG's July 28, 2015, notification regarding the ability to gain unauthorized access to DOL sensitive information in an externally-facing agency system (b) (5). Management acted with urgency to deploy corrective actions to remediate the identified vulnerability. This is an example of how the Department and the OIG can collaborate to improve information security.

³ Access Controls are security safeguards that prevent unauthorized access to IT systems and information. Third Party Oversight are processes where government officials are required to perform management oversight processes to ensure contractors who operate systems on behalf of DOL comply with federal security requirements. Configuration Management are settings implemented on information systems that are intended to maintain the integrity of the systems throughout its lifecycle.

Notwithstanding the noted concerns above, management agreed that corrective actions should be taken to address the identified issues and prevent reoccurrences. Despite DOL's budget requests to support many of its planned cyber-security and network improvement being denied by Congress, and having no additional funding or personnel resources, management applied concerted efforts to allocate resources to address the identified issues and completed the following corrective actions:

- Implemented 2-factor authentication technical solution in accordance with government-wide direction following OPM's data breach, securing access to DOL networks via PIV Card logon for 99.7% of the agency's privileged user accounts are enforced while 98% of its general users.
- Expedited system account reviews for all DOL information systems, and updated account management procedures to require full system account reviews occur every 6 months, resulting in the reduction of privileged user access (i.e., users with elevated system access)
- Strengthened policies and procedures for third-party system operators oversight monitoring and provided training sessions to ensure agencies were positioned to implement these security monitoring process to confirm third party systems compliance with federal and DOL security mandates.
- To leverage limited resources, developed and implemented the DOL Enterprise Corrective Action Plan (CAP) targeting five high-profile areas: 1) Access Control, 2) Vulnerability Management, 3) Asset Management, 4) Strengthening Configuration Management, and 5) Third party Contractor Management. Working with the agencies through an in-depth review and analysis process, the CAP identified, prioritized, and focused remediation efforts to address lingering security issues.
- Implemented critical security monitoring and vulnerability management tools and weekly dashboard vulnerability reporting resulting in a steady decline in outstanding security patches and vulnerabilities.

Building on this progress, DOL management will continue its efforts to address the issues identified by the OIG, as well as implement cyber security defenses designed to provide the necessary safeguards for DOL information, information systems, and security boundaries. Management will continue working with OMB to request the necessary funding resources to more adequately support its Cybersecurity program and to strengthen its overall infrastructure. Lastly, management will continue giving priority attention and applying sufficient resources, to the extent practical, to support DOL's Cybersecurity program.

Financial Management System Management and Migration (co-lead with OCFO)

Due to the imminent bankruptcy of our private sector financial system service provider in 2014, the Department was abruptly confronted with the potential loss of automated capability to manage and account for \$60 billion in annual transactions. OASAM and OCFO envisioned and orchestrated an unprecedented innovative solution, collaborating with five other federal departments to purchase data rights, software and intellectual property, and hardware, in addition to securing operational support to run the system (New Core Financial Management System or "NCFMS"). The Department and its interagency partners took operational control of the system in September 2014, successfully closed out the fiscal year, and received a clean audit opinion.

For nearly two years – from September 2014 through June 2016 – DOL and the Department of Transportation’s Enterprise Service Center (DOT/ESC) worked to stabilize and run the highly-customized system through a series of Interagency Agreements. During that time period, DOL and DOT also began collaborating on planning efforts for the Department to migrate to DOT/ESC’s federal shared service financial management system, in accordance with government-wide policy. That work continues.

In July 2016, the Department awarded a three-year contract (one base year, two option years) to Booz Allen Hamilton to operate NCFMS. DOT/ESC chose Booz Allen Hamilton to be the contractor on the NCFMS project for the past two years; by contracting directly with the experienced support contractor, DOL gains project management oversight and efficiency in service and cost.

The OIG has issued a series of reports on the Department’s management of NCFMS, the most recent released in June 2015. The OIG recommended the Department develop and implement a process to review and approve the services and costs requested (by DOT/ESC) for reimbursement, and for the Department to negotiate a firm-fixed price agreement with DOT for a baseline of operation and maintenance services for NCFMS. At this point, both recommendations remain open, pending OIG’s review of management’s actions to date, including direct contracting with Booz Allen Hamilton for NCFMS operations.

Going forward, DOL is currently working with OMB, Unified Shared Services Management (USSM) and ESC to identify alternatives to ensure DOL can migrate to a Shared Service Provider (SSP). (b) (5)

[REDACTED]

Management

In addition to the items previously mentioned and included in the cross-agency briefing papers, OASAM has the lead on the following issue --

HRConnect/Shared Services – Beginning in 2012, DOL began to transition from its highly customized, in-house HR systems to shared service offerings from the U.S. Department of Treasury Shared Service Center (TSSC). TSSC provides DOL access to its PeopleSoft Human Resources Management System (HR Connect), its Time and Attendance system (WebTA) and its Report Generation and Distribution system (Workforce Analytics).

(b) (5)

[REDACTED]

(b) (5)



Due to DOL's experiences with migration to government shared services, OASAM supports improved shared service delivery at the interagency level through participation on the Unified Shared Services Management (USSM) Shared Services Governance Board (SSGB) and Customer Council, which are both led by GSA.

Calendar

The following are significant reoccurring events/deliverables that may impact Departmental leadership.

January

- Small Business Procurement Scorecard & Plan due to the Small Business Administration (*approved by the Secretary*)

March

- No FEAR Act Report due to Congress (*signed by the Secretary*)
- MD-715 Report due to Equal Employment Opportunity Commission (*approved by the Secretary*)

April

- Secretary's Honor Awards nominations and ceremony details to be approved (*May event*)
- Issuance of policy statements on EEO and harassing conduct (*within first 90 days of Secretary's arrival*)

June

- Eagle Horizon 2017, an annual White House-mandated Federal Interagency Continuity of Operations exercise involving DOL leadership.
- Strategic Sustainability Performance Plan due to OMB and Council on Environmental Quality (*previously signed by Secretary and currently signed by Chief Sustainability Officer*)
- Initial draft of the Department's Strategic Plan is due to OMB

September

- End of the Fiscal Year (*procurements and grants for DOL agencies*)

TAB 4: BUDGET

OASAM BUDGET AUTHORITY AND FTE SUMMARY

(Dollars in millions)

	FY 2013 Enacted	FY 2014 Enacted	FY 2015 Enacted	FY 2016 Enacted	FY 2017 Request
Budget Authority	\$28.4	\$28.4	\$28.4	\$28.4	\$36.6
FTE	112	112	111	111	140

At-A-Glance

- The Office of the Assistant Secretary for Administration and Management (OASAM) receives funding from multiple sources, including as an activity in the Departmental Management (DM) appropriation, through the Working Capital Fund (WCF), and through reimbursable agreements. In addition, OASAM’s Civil Rights Center (CRC) receives funding separately as an activity in the DM appropriation and OASAM’s Office of the Chief Information Officer (OCIO) manages the IT Modernization appropriation.
- DM funding supports staff and related expenses for the leadership and policy-making offices of OASAM, including the Performance Management Center, the Departmental Budget Center, and the leadership and policy offices in the Human Resources Center (HRC), the Business Operations Center (BOC) and OCIO.
- The WCF supports staff and all expenses for operational offices, including OASAM’s regional staff and the majority of expenses in BOC, HRC, and OCIO.
- In addition, OASAM receives funding through reimbursable agreements with external agencies to provide shared services.
- In FY 2016, OASAM had \$35.3 million in funding in the DM appropriation (including CRC), \$290.4 million through the WCF, \$29.8 million in funding in the IT Modernization appropriation, and reimbursable authority for the GovBenefits project (\$19.3 million) and to support other agencies in implementing the Fair Pay Safe Workplaces Executive Order (\$1.2 million).

OASAM Budgetary Resources, FY 2016		
Funding	Source	Amount
OASAM	DM appropriation (direct)	\$28.4
CRC	DM appropriation (direct)	\$6.9
External shared services	DM appropriation (reimbursable)	\$20.5
DOL shared services	Working Capital Fund	\$290.4
IT Modernization	IT Modernization appropriation	\$28.8
Total		\$375.0

Budget and FTE Trends

- OASAM's direct funding has dropped from \$32.5 million in FY 2009 to \$28.4 million in FY 2016. In FY 2013, OASAM's budget authority was reduced to \$28.7 million by sequestration and the agency transferred an additional \$0.3 million to alleviate deficits in other DM activities caused by sequestration. OASAM made the same reprogramming in FY 2014, and this was enacted as part of the appropriation in FY 2015 and FY 2016.
- In FY 2009, OASAM's DM appropriation received funding from the American Recovery and Reinvestment Act (ARRA). OASAM received an additional \$2.1 million to support hiring and procurement actions necessary to implement ARRA programs.
- From FY 2009 to FY 2016, OASAM centralized and consolidated the Department's IT infrastructures. These efforts were supported through direct funding in the DM appropriation, the WCF, reimbursable agreements with agencies, and the IT Modernization appropriation. Beginning in FY 2014, OASAM financed much of consolidation efforts through reimbursable agreements with DOL agencies. Using this strategy, OASAM was able to shift funding already used by agencies for IT costs to a more efficient model. The reimbursable authority in FY 2014 was \$59.2 million. This financing strategy continued into FY 2015, but beginning in FY 2016 OASAM began recovering these expenses through the WCF. Reimbursable authority for OCIO services was eliminated and WCF funding for OCIO was increased by a commensurate amount.
- The FY 2017 President's Request includes program increases in OASAM to support IT modernization, Departmental training initiatives, and the Department's program to suspend and disbar contractors who commit serious violations.

Upcoming Issues

- The Department continues to work to modernize its IT systems. In FY 2017, the Department will continue to put significant attention on the maintenance and operations, and eventual replacement, of IT systems and will use multiple funding sources to do so.
- The Departmental Budget Center is scheduled to be transferred from the Office of the Assistant Secretary for Administration and Management to the Office of the Chief Financial Officer at the beginning of FY 2017. The tables do not reflect the transferred funding, which has not been finalized.

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OASAM

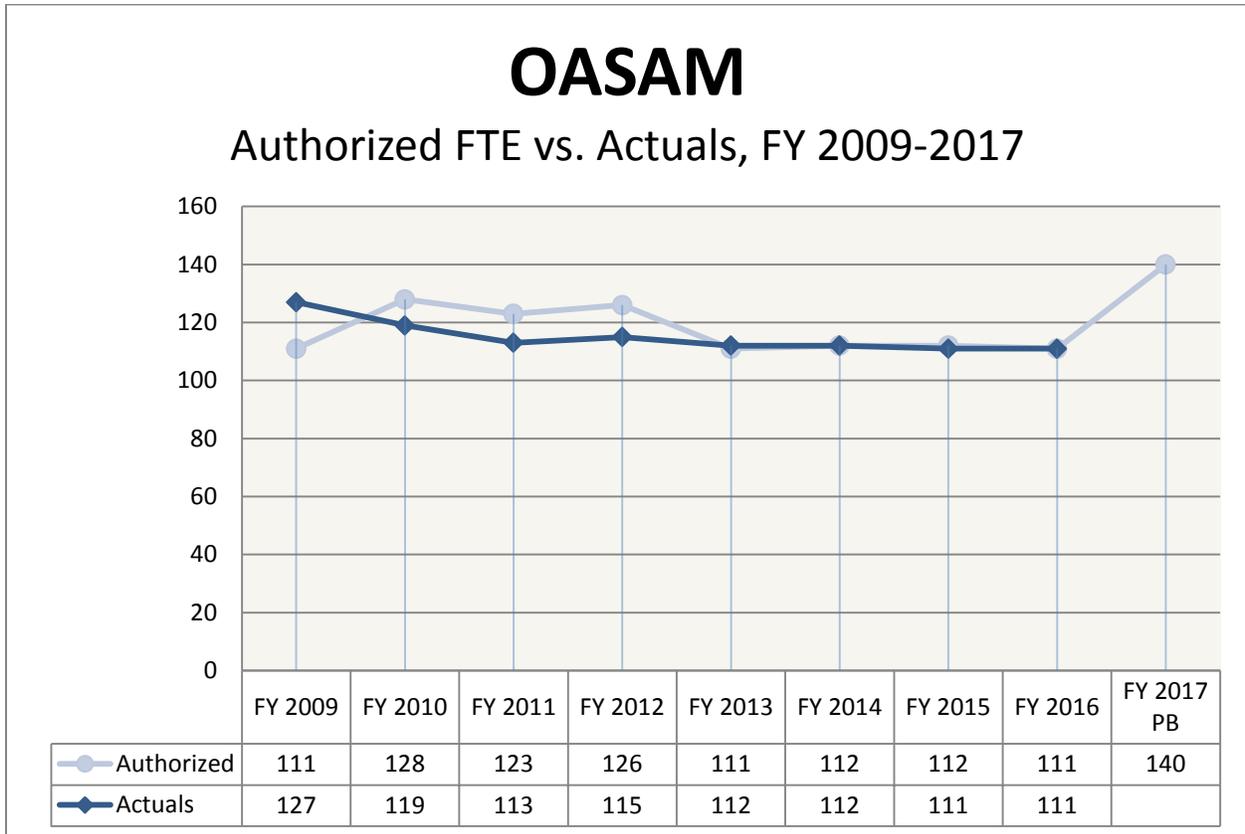
Request vs. Enacted, FY 2009-FY 2016
(Dollars in millions)



OASAM

FY 2009 Inflation Adjusted BA vs. FY 2009-FY 2016 Enacted BA
(Dollars in millions)





IT MODERNIZATION BUDGET AUTHORITY AND FTE SUMMARY

(Dollars in millions)

	FY 2013 Enacted	FY 2014 Enacted	FY 2015 Enacted	FY 2016 Enacted	FY 2017 Request
Budget Authority	\$18.8	\$19.8	\$15.4	\$29.8	\$63.2
FTE	0	0	0	0	0

At-A-Glance

- The IT Modernization appropriation supports the Department’s IT modernization initiatives. These resources are managed by the Office of the Assistant Secretary for Administration and Management’s (OASAM) Office of the Chief Information Officer (OCIO). OCIO is also funded with resources from the Working Capital Fund and the Departmental Management (DM) appropriation.
- The IT Modernization funding supports the consolidation of the Department’s IT infrastructure. This includes resources for common business solutions for all agencies.
- There are no FTE associated with the account.

Budget and FTE Trends

- From FY 2001 to FY 2011, IT modernization initiatives were funded through a “zero-based” budget process in the DM appropriation; each new and ongoing project had to justify the entirety of its funding each year, as opposed to the traditional budgeting process where base funding is assumed and does not need to be justified in the President’s Request.
- In FY 2012, IT Modernization was created in its current form using the standard base budgeting approach used for the rest of the Department’s discretionary accounts.
- IT Modernization’s budget has ranged from a low of \$15.4 million in FY 2015 to a high of \$29.8 million in FY 2016. The FY 2016 enacted budget authority is \$6.0 million higher than the inflation-adjusted FY 2009 budget authority and \$9.3 million higher than the FY 2012 inflation-adjusted budget authority.
- The FY 2016 President’s Budget included a request for a \$104.2 million increase (677 percent) for IT Modernization. The bulk of the increase would have funded the Digital Government Integrated Platform. The enacted budget authority for FY 2016 was \$29.8 million.
- In FY 2015, the Department requested and received a set-aside authority to transfer up to 0.25 percent of salaries and expenses accounts for IT investments. The authority was not used in FY 2015. This authority was not included in the FY 2016 appropriation, but was requested in the FY 2017 President’s Budget at 0.5 percent.
- The Department’s IT modernization initiatives have attracted significant interest from Congress. In the FY 2015 appropriation, the committees requested a detailed IT modernization implementation plan which included information on all new systems and significant improvements on existing systems.

Upcoming Issues

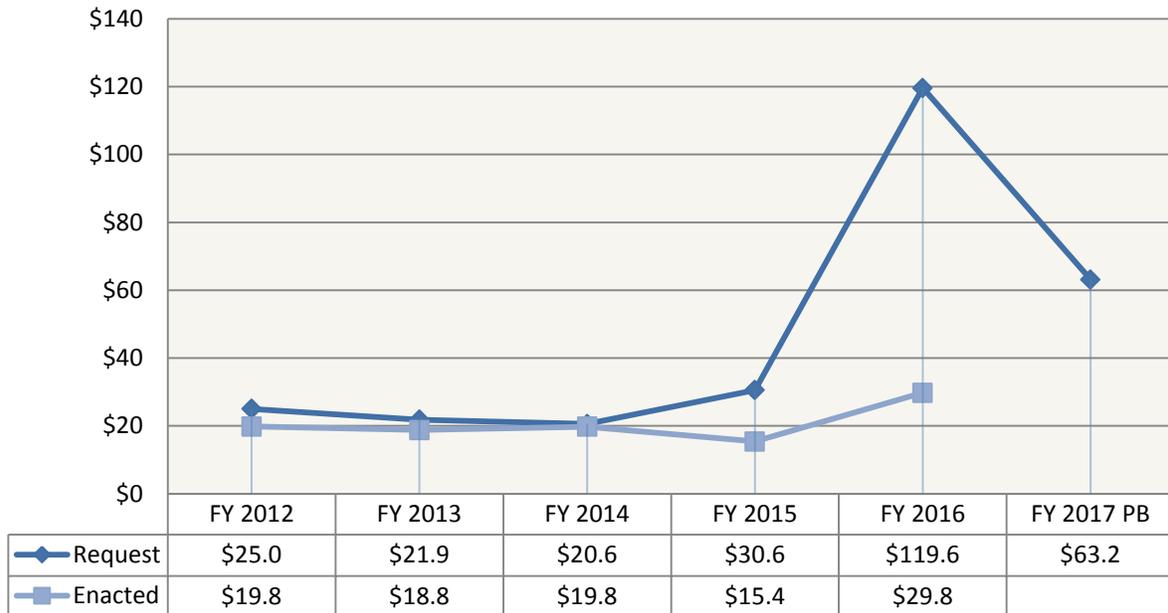
- Internal and external stakeholders, including Congress and OMB, are attentive to the Department’s IT financing strategy, but the budget environment has prevented funding the request level.
- A request to create a “non-recurring expenses fund” has been included in the FY 2016 and FY 2017 President’s Budgets. This fund would allow the Department to capture unobligated balances of expired discretionary funds and use them for capital acquisition, including IT infrastructure. This request has not been enacted.
- Starting with the FY 2016 President’s Budget, the Department has requested 2-year authority for this account. This appropriations language change was not included in the FY 2016 appropriation.
- In FY 2016, costs recovered through reimbursable agreements with agencies were shifted into the Working Capital Fund.

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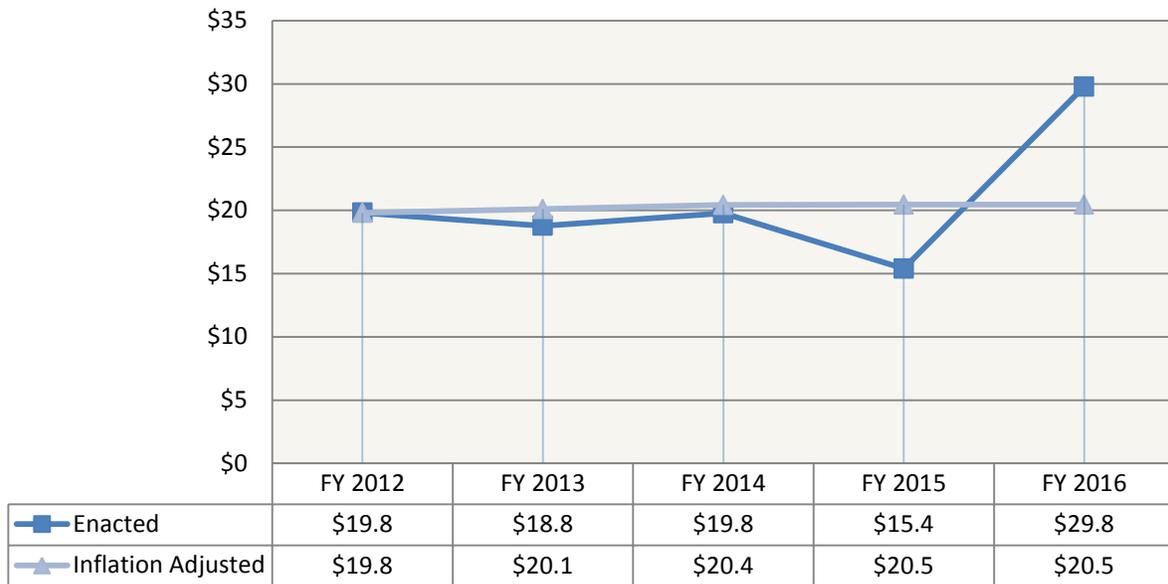
IT Modernization

Request vs. Enacted, FY 2012-FY 2017
(Dollars in millions)



IT Modernization

FY 2012 Inflation Adjusted BA vs. FY 2012-2016 Enacted BA
(Dollars in millions)



CIVIL RIGHTS BUDGET AUTHORITY AND FTE SUMMARY

(Dollars in millions)

	FY 2013 Enacted	FY 2014 Enacted	FY 2015 Enacted	FY 2016 Enacted	FY 2017 Request
Budget Authority	\$6.9	\$6.9	\$6.9	\$6.9	\$8.0
FTE	36	36	37	32	41

At-A-Glance

- The Civil Rights Center (CRC) is funded in the Departmental Management (DM) appropriation. This funding supports salaries and expenses for the office.
- In addition, CRC manages resources in the Working Capital Fund (WCF) to provide reasonable accommodations to support employees with disabilities across the Department. In FY 2016, this fund had \$1.2 million.

Budget and FTE Trends

- CRC’s appropriated budget authority has ranged from \$6.5 million to \$6.9 million from FY 2009 to FY 2016. To fully resource the center, the Department has executed reprogrammings within the DM appropriation. Resources were shifted from other DM agencies in FY 2011 (\$0.2 million), FY 2012 (\$0.5 million), FY 2013 (\$0.5 million), and FY 2014 (\$0.5 million).
- In FY 2015, this reprogramming was enacted as part of the appropriations.
- In addition to these resource shifts, CRC ran a deficit in FY 2010 with permission of the Department. The deficit was addressed by reducing spending in other DM activities.
- The President’s Budgets in FY 2015, FY 2016, and FY 2017 have included requests for additional resources for CRC. The FY 2017 President’s Budget includes a request for \$0.9 million and 4 FTE for CRC’s external enforcement work. These resources have not been included in CRC’s enacted budget.

Upcoming Issues

- CRC has notified the Departmental Budget Center that it will request additional resources for Workforce Innovation and Opportunity Act (WIOA) implementation in FY 2018. CRC is responsible for implementation of WIOA regulations against discrimination. They have requested additional resources to effectively and efficiently implement the new regulations to increase voluntary compliance.

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CRC

Request vs. Enacted, FY 2009-FY 2016
(Dollars in millions)



CRC

FY 2009 Inflation Adjusted BA vs. FY 2009-FY 2016 Enacted BA
(Dollars in millions)



CRC

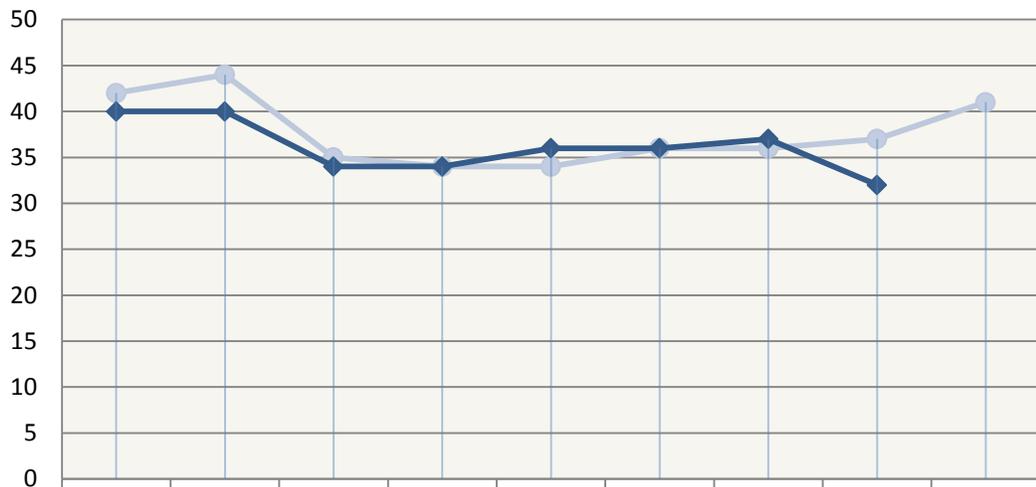
Budget Authority vs. Obligations, FY 2009-FY 2016
(Dollars in millions)



	FY 2009	FY 2010	FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016
Enacted	\$6.5	\$7.2	\$7.0	\$7.3	\$6.9	\$6.9	\$6.9	\$6.9
Obligations	\$6.5	\$7.7	\$6.9	\$7.2	\$6.8	\$6.8	\$6.8	

CRC

Authorized FTE vs. Actuals, FY 2009-2017



	FY 2009	FY 2010	FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016	FY 2017 PB
Authorized	42	44	35	34	34	36	36	37	41
Actuals	40	40	34	34	36	36	37	32	

TAB 5: AGENCY PERFORMANCE

The Assistant Secretary for Administration and Management serves as the Performance Improvement Officer (PIO) for the Department. The PIO supports the Deputy Secretary, who establishes key priorities and goals for each agency or component and holds quarterly meetings to track progress toward those goals. The Office of the Assistant Secretary for Administration and Management (OASAM) is one of the many agencies that report their performance against the priorities established by leadership, which are defined in the annual Operating Plan.

As captured in the Operating Plan, OASAM performs a wide variety of services in support of the Department and its agencies' missions. Due to the varied nature of OASAM services, the quantity of performance metrics captured by OASAM is significantly greater than other mission- and administrative support-agencies at DOL. This document focuses on OASAM's priority areas: budget and performance integration; improved customer service; IT modernization; and Strategic Human Capital Improvement.

OASAM Performance Priorities

Since FY 2011, OASAM has focused on several high-priority focus areas to improve strategic planning, performance and operations of the agency. These priorities have included specific performance metrics (i.e., measures and milestones) to track their progress and have involved all components of the agency in some capacity.

Budget and Performance Integration

In FY 2011 through FY 2015, OASAM worked to more closely align the Department's budget and performance activities – specifically, increasing agencies' use of data, analysis, prioritization, and empirical evidence to inform budget and policy decisions. While DOL's budget and performance teams (both of which currently reside within OASAM; DBC is scheduled to be realigned to the Office of the Chief Financial Officer in November 2016) worked collaboratively for several years, FY 2011 marked significant advances in budget and performance integration with the development of Agency Operating Plans. These plans included quarterly breakouts of resources, output targets, and performance reviews with senior leadership.

Over the course of three years, integration of DOL budget and performance activities was completed as the two departmental communities became more intertwined. Specific highlights of these activities include establishment of the Performance Management Group (PMG) and the Departmental eBusiness Suite (DEBS). The PMG has been institutionalized as a monthly working group comprised of performance management staff to share best practices and lessons learned, and ensure improved coordination of performance activities department-wide. Additionally, DEBS was upgraded to become not only a repository for departmental budget information, but to also capture performance metrics, which are available via a variety of reporting features.

Improved Customer Service

Since FY 2011, OASAM has focused on improved customer service as one of its top priorities each year. OASAM provides services that are essential to support the day-to-day activities of DOL employees and agencies. Because OASAM's efforts are central to the Department's ability to

achieve its mission, the level and quality of the services OASAM centers and regional offices provide to DOL program agencies and their employees is of critical importance.

Significant effort has been put forward to improve customer service that continues today. Specifically, OASAM has: established a working group comprised of customer service coordinators within each of its centers and regional offices to address customer concerns, complete implementation of Operating Plan milestones, and support special projects; established customer service core tenets for the agency; implemented an agency-wide customer service performance standard for all non-SES staff; hosted customer service outreach sessions; established a semi-annual Assistant Secretary Customer Service Award; redesigned all OASAM web content on DOL.gov; and much more.

A key component to OASAM's continual improvement in customer service performance involves gathering feedback from customers and implementing action items to resolve issues and improve services. In addition to numerous mechanisms that OASAM uses to gather feedback from its stakeholders, quarterly customer service surveys provide a valuable source of information for areas of improvement needed. Feedback from customers captured in these surveys serve as the source of action items identified by each OASAM service area that are tracked for completion and communicated back to customers to demonstrate the agency's commitment to continual improvement.

IT Modernization

OASAM has led IT Modernization since FY 2011 with the goal of enhancing the efficiency and effectiveness of the Department's existing technology infrastructure, and providing new technology capabilities to improve overall agency mission performance. The Office of the Chief Information Officer (OCIO) has been working toward creating a modernized, standardized IT infrastructure that streamlines operations, improves customer service and collaboration opportunities, and maximizes technology return on investment to support agency business missions.

In order to implement modernization of IT at DOL, significant work has occurred over the past several years on improving the infrastructure and environment that is needed to support modern technology and applications by DOL staff. This effort has included substantial work on integrating the nine DOL agency legacy network infrastructures. While much work still remains in modernizing IT at DOL, highlights of progress made to date includes: consolidation of agency data centers to offsite facilities; migration of legacy HR and procurement systems; deployment of Windows 7 and Microsoft Office 2010; implementation of Managed Trusted Internet Protocol Service (MTIPS); establishment of Enterprise Service Desk for IT support needs; migration to cloud email; implementation of two-factor authentication sign-on department-wide; significantly reduced IT security vulnerabilities; provided web-conferencing capabilities (i.e., WebEx) department-wide; and implemented several Cloud-based tools (e.g., Skype for Business, Yammer, and SharePoint).

OCIO recognized engagement was critical at all levels of DOL to modernize IT. As a result, OCIO greatly increased their customer outreach and communication capabilities. They established several stakeholder groups (e.g., IT Mod Squad, Field IT Forum); designated customer advocates to service newly-integrated client agencies, as well as for regional IT staff; developed an IT service catalog;

facilitated technical training and outreach for users; and improved IT tools and resources (e.g., Tech Tips, revamped content on LaborNet).

Regardless of the progress made on modernizing IT at DOL, a significant level of effort remains to continue integration, implement unified communications and Identity and Access Management, and migrate users to Windows 10 and Office 2016.

Strategic Human Capital Improvement

Since FY 2015, OASAM has placed significant effort on improving the effectiveness of human resources (HR) through strategic human capital planning – specifically, supporting client agencies with improvements to recruitment, hiring and retention, diversity, workforce engagement, performance management and training and development. Similar to OCIO and their efforts to improve IT at DOL, the OASAM Human Resources Center (HRC) has been working to improve HR across the Department. There are 13 HR offices within DOL, seven of which are managed by OASAM. Despite several challenges to improving strategic human capital department-wide, OASAM has several performance highlights of note during the lifespan of the operating plans to date. Specifically:

- HRC migrated to a new departmental HR and time and attendance system provided as a shared service through Treasury.
- To improve leadership training and development offerings nationwide, HRC established SES Executive Training, facilitated leadership training to managers and supervisors at varying levels (i.e., Leading@Labor), and revised the Essential HR Competencies Course for new supervisors.
- In support of hiring effectiveness, HRC developed and implemented the subject matter expert (SME) policy. This policy engaged hiring managers and subject matter experts in the hiring process to ensure the hiring process reveals the best candidates for selection.
- To support recruitment, retention, diversity, and workforce engagement, HRC established the Office of Diversity and Inclusion, DOL-wide employee-led affinity groups and workplace flexibilities.

Similar to IT, a significant level of effort remains to continue improvements in strategic human capital at DOL.

OASAM Administrative Activities

OASAM and OCFO often serve as the reporting entities for department-wide and agency-specific performance metrics. In an effort to distinguish between the performance results at the departmental-level versus those at the agency level, to include OASAM, PMC established Financial and Administrative (F&A) Measures and Milestones. The F&A scorecard captures the performance of safety, HR, IT, procurement, and financial metrics at the DOL-wide and agency-specific levels and is reviewed by the Chief Operating Officer quarterly.

The F&A scorecard results serve to advise leadership of issues involving agency compliance with federal and/or departmental policies or initiatives, which may require further attention. For example, the average days to hire a new employee standard is established as 80-days by OPM. The F&A scorecard allows senior leadership to review performance of this metric across all DOL HR

TAB 5: Agency Performance

operations offices. In instances where performance is below the established targets for the F&A metric, agencies are required to provide a response to the Chief Operating Officer in their quarterly performance report. The scorecard, therefore, ensures greater accountability for those activities that are outside of OASAM or OCFO’s immediate realm of administrative control.

The following tables display all OASAM FY 2017 Financial and Administrative measures and milestones by program area.

Safety Measures

Measures	OASAM Target	DOL Target
Agency Total Injury and Illness Case Rate	TBD	TBD
Percent of seriously injured employees who successfully return to work within a two-year tracking period	93%	93%

Human Resources Measures

Measures	OASAM Target	DOL Target
Average Days to Issue a Certificate (from Close Date of Vacancy Announcement)	16	16
Average Days Hiring Manager Keeps Certificate of Eligibles before returning to HR	80	80
Hiring Manager Satisfaction Index Score	80	80
Retirement case error rate	10%	10%
Percent of retirements sent to NFC timely	90%	90%
Percentage of employee telework hours	No target	No target
Percent of employees who responded on the EVS that they telework at least one day per week (report in Q1 only)	No target	No target
Attendance at "Essential HR Competency Training for New Supervisors" within the first 90 days of new supervisory appointment	100%	100%
Continuous count of new supervisors who have not attended "Essential HR Competency Training for New Supervisors"	0	0

Information Technology Measures

Measures	OASAM Target	DOL Target
Number of vulnerabilities for which remediation has not occurred within 30 days of identification for DOL major information systems.	0	0
Percent of Requests for Information Technology Services (RITS) corresponding to an item on Agency’s IT Spend Plan	60%	60%
Percent of Requests for Information Technology Services (RITS) submitted at least six months prior to requested implementation date	60%	60%

TAB 5: Agency Performance

Information Technology Milestones

Measures	OASAM Target	DOL Target
Collaborate in partnership with OCIO to finalize IT spend plans, per FITARA		

Procurement Measures

Measures	OASAM Target	DOL Target
Percent of agency contracts per quarter awarded within Target timeframes	90%	90%
Percent of agency contract dollars per quarter competed	85%	85%
Number of agency unauthorized commitments that require ratification	0	0
Percent of agency contract dollars awarded to small businesses (SB)	TBD	TBD
Percent of agency contract dollars awarded to small disadvantaged businesses (SDB)	TBD	TBD
Percent of agency contract dollars awarded to small women-owned businesses (WO)	TBD	TBD
Percent of agency contract dollars awarded to service-disabled veteran-owned small businesses (SDVOSB)	TBD	TBD
Percent of agency contract dollars awarded to HUBZone firms	TBD	TBD
Percent of agencies' contracts meeting the CPARS reporting threshold that have a "Contractor Performance Assessment" completed	90%	90%

Financial Measures

Measures	OASAM Target	DOL Target
Percent of agency approved spend plans for monitoring submitted timely (annual measure, reported in Q1 only)	100%	100%
Percent of quarterly certifications for all required Agencies each quarter, indicating agency ownership of internal controls and financial management (data lag)	100%	100%
Percent of agency Receipt of Goods (ROGs) completed for valid invoices within 7 days of receipt	95%	95%
Percentage of agency obligation (UDO & DO) including complete and adequate documentation to support obligation total and current status	100%	100%
Percent of agency Vendor Invoices Manually Entered into the Financial System	10%	10%
Percent of corrective action plan (CAP) status update submitted quarterly to OCFO	100%	100%