

**U.S. DEPARTMENT OF LABOR**  
**FY 2015 ANNUAL PERFORMANCE REPORT**



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This report, as well as the FY 2015 Agency Financial Report and the FY 2015 Summary of Performance and Financial Information, can be found at <http://www.dol.gov/dol/aboutdol/>.

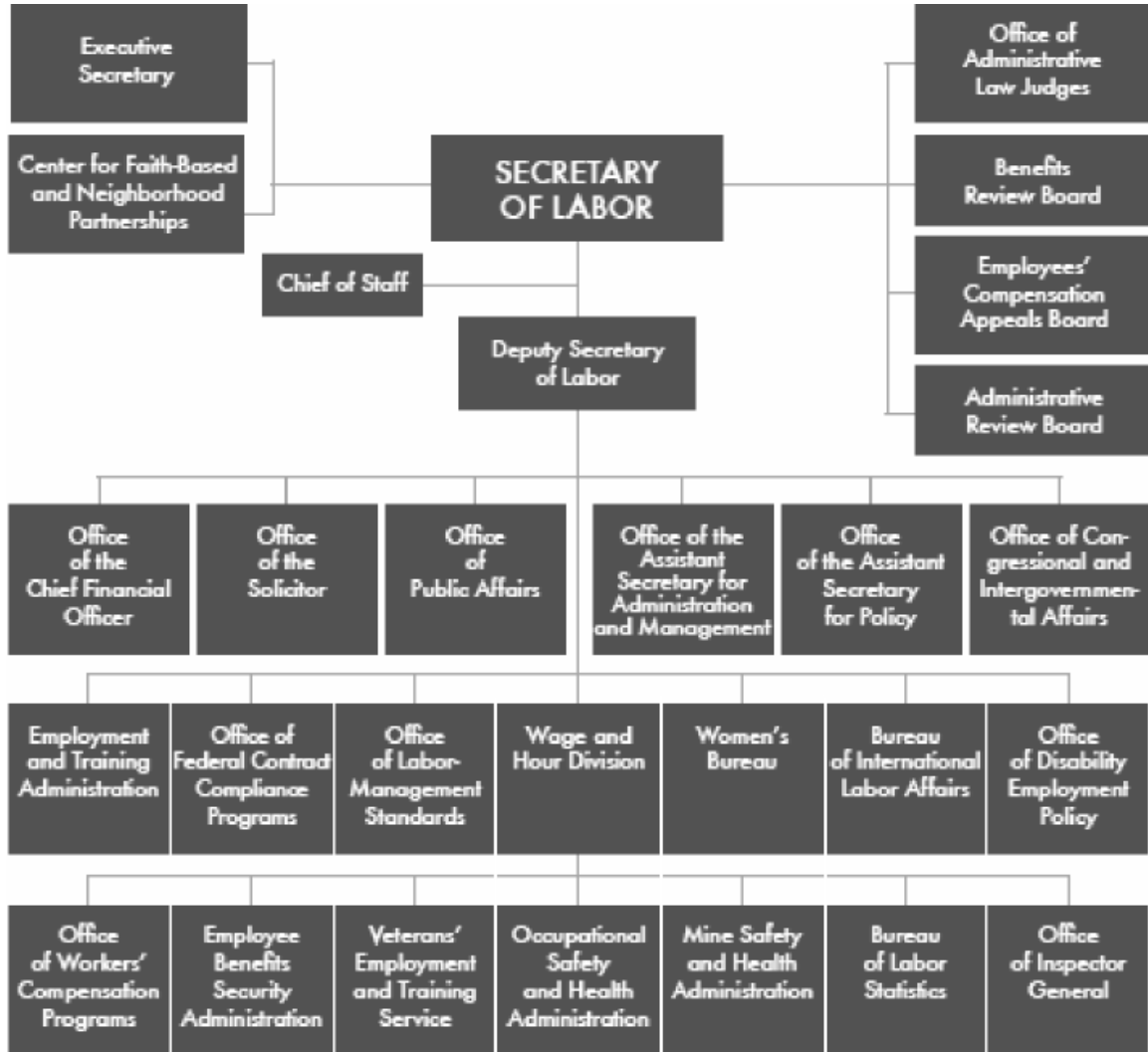
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## Overview

*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.*



Agencies that directly support Departmental goals and objectives in this report are grouped by program type in the following table. The column on the right indicates, for each agency, which Strategic Objectives include performance measures in this report. Brief descriptions of each agency and the programs they administer, organized by program type, follow this Overview.

## Overview

Employment and Training	
Employment and Training Administration (ETA)	Strategic Objectives 1.1, 1.2, and 3.3
Veterans' Employment and Training Service (VETS)	Strategic Objective 1.1
Worker Protection	
Office of Federal Contract Compliance Programs (OFCCP)	Strategic Objective 3.1
Occupational Safety and Health Administration (OSHA)	Strategic Objectives 2.1 and 3.2
Wage and Hour Division (WHD)	Strategic Objectives 3.2 and 3.3
Employee Benefits Security Administration (EBSA)	Strategic Objective 4.2
Mine Safety and Health Administration (MSHA)	Strategic Objectives 2.1 and 3.2
Office of Labor-Management Standards (OLMS)	Strategic Objective 3.2
Policy	
Women's Bureau (WB)	Strategic Objective 3.1
Office of Disability Employment Policy (ODEP)	Strategic Objective 3.1
Bureau of International Labor Affairs (ILAB)	Strategic Objective 1.3
Benefits	
Office of Workers' Compensation Programs (OWCP)	Strategic Objective 4.1
Federal-State Unemployment Insurance (UI) System (administered by ETA)	Strategic Objective 4.1
Statistics	
Bureau of Labor Statistics (BLS)	Strategic Objective 5.1

### Performance Report Outline

This report explains how DOL improves the lives of American workers through the management of its agencies and programs. It also satisfies the requirement of GPRMA to provide information on actual performance and progress in achieving goals identified in the Annual Performance Plan (APP). Measures and targets for FY 2015 were updated in the FY 2014 Annual Performance Report (APR), which was the Department's FY 2016 Annual Performance Plan. The FY 2015 APR serves as the FY 2017 APP, updates measures and targets for FY 2016, and establishes targets consistent with the FY 2017 Congressional Budget Justification.

Some measures are dropped or changed between reports. To present the most current information, the APR provides complete information for the budget year measures only – in this case, those retained or added in FY 2017 – including actual performance for the five preceding

years, if available, plus targets for the most recent year, the current year, and the budget year. Targets and results for measures dropped or changed are in the Measures Discontinued section.

The Strategic Goals sections present results and plans organized by the structure laid out in the DOL FY 2014-2018 Strategic Plan (see <http://www.dol.gov/dol/aboutdol/>). The plan includes five strategic goals (general outcomes clearly linked to the Department's mission), ten strategic objectives that articulate more specific goals associated with one or more programs and DOL agencies, and 19 performance goals that outline agency contributions to the objectives.

Within each strategic objective section, narratives for each contributing agency explain the data, summarize the analyses, provide plans, and provide important context and details as needed to interpret the data and brief summary analyses that follow in tabular form.

These performance goal summary tables list each applicable agency goal, its key indicators, and applicable targets, results, and status (whether or not results reach 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 improve over the prior year but do not reach the target, “I” appears in the status cell. The last three columns identify what worked, what didn't work, and plans to improve results.<sup>1</sup>

## **Management Issues**

### Quarterly Operating Plan Reviews

Budget uncertainties and cuts bring pressure to prioritize and to be more efficient. To address these challenges and continually improve its programs, DOL uses results-based, data-driven management techniques. DOL frequently assesses whether efforts are successful, and why – and seeks ways to improve.

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. These operating plans seek to balance quantity with quality, establish ambitious targets for continuous improvement of program performance, demonstrate prioritization of resource allocation, and identify evidence supporting DOL's strategies. 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.

Agency heads and senior staff meet each quarter with the Deputy Secretary and the Performance Improvement Officer. Agencies submit narrative explanations and analysis of quarter and year-to-date data – prepared with Department staff assistance – for discussion at the meeting. Discussions focus on implications of the data for strategies around what is and what is not working. Agencies usually leave the meeting with action items for the next quarter.

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<sup>1</sup> 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.

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.

### Top Management and Performance Challenges

For 2015, the Office of the Inspector General (OIG) identified the following as the most serious management and performance challenges facing the Department:

- Providing a Safe Learning Environment at Job Corps Centers
- Protecting the Safety and Health of Workers
- Helping Adults, Youth and Veterans Obtain the Education, Training, and Support Services Needed to Succeed in the Labor Market
- Protecting Retirement, Health, and Other Benefit Plans for Workers, Retirees, and Their Families
- Securing and Managing Information Systems
- Reducing Improper Payments

Descriptions of each challenge, progress to date and what remains to be done are summarized in the FY 2015 Agency Financial Report ([www.dol.gov/dol/aboutdol/](http://www.dol.gov/dol/aboutdol/)).

### Program Evaluations

The Chief Evaluation Office (CEO) in the Office of the Assistant Secretary for Policy works closely with agency staff to design, fund, and implement program evaluations. The results from evaluations inform policy and improve DOL's performance-based management initiatives in support of the Government Performance and Results Modernization Act of 2010 (GPRMA). For more information see <http://www.dol.gov/asp/evaluation/>.

### Data Completeness and Reliability

The *FY 2015 Summary of Performance and Financial Information* includes an assessment by the Secretary of the reliability and completeness of DOL performance data reported under the GPRMA. The Department satisfies this with Agency Head level attestations that the data do not contain significant limitations that can lead to inaccurate assessments of results.



## **Agencies and Programs**

### **Employment and Training**

#### **Employment and Training Administration**

The Employment and Training Administration (ETA) provides employment assistance, labor market information, and job training through the administration of the following programs: programs authorized by the Workforce Innovation and Opportunity Act of 2014 (WIOA) for adults, dislocated workers, youth (including Job Corps), and targeted populations; Trade Adjustment Assistance (TAA) authorized by the Trade Act of 1974, as amended; Employment Services authorized under the Wagner-Peyser Act; Foreign Labor Certification activities authorized by the Immigration and Nationality Act; the Senior Community Service Employment Program authorized by the Older Americans Act; Apprenticeship programs authorized by the National Apprenticeship Act; and Competitive Grants for Worker Training and Placement in High Growth and Emerging Industry Sectors authorized under the American Recovery and Reinvestment Act of 2009 (Recovery Act).

The public workforce system has a vital role to play in our knowledge-based economy, directly contributing to our nation's global competitiveness and economic productivity by providing lifelong learning opportunities and a broad array of employment services. The economy's downturn in 2008 posed substantial economic and workforce challenges to our nation, but the workforce system has responded to these challenges. It has become more flexible and innovative in order to get workers back to work quickly and support the workforce needs of employers in the recovering economy, particularly in high demand sectors and emerging industries. The workforce system provides critical services to a broad array of customers at all skill levels. These services include career counseling and case management and assessments that identify transferable skills. By testing and rigorously evaluating new ideas and approaches, ETA and the workforce system are committed to continuous improvement.

#### **Veterans' Employment and Training Service**

The Veterans' Employment and Training Service (VETS) serves America's veterans and transitioning service members and their eligible spouses by preparing them for meaningful careers, providing employment resources and expertise, and protecting their employment rights.

VETS helps veterans and transitioning service members obtain positive employment outcomes through services provided at American Job Centers and the Transition Assistance Program (TAP) DOL Employment Workshop at military installations. Grants are provided to State Workforce Agencies (SWA) to support staff dedicated to serving veterans, specifically those who require special assistance due to disabilities or other significant barriers to employment. VETS coordinates with the Department of Defense to provide workshops at military installations worldwide to prepare service members for transition to meaningful civilian employment. VETS also provides funding, through the Homeless Veterans' Reintegration Program (HVRP), to

organizations that serve veterans experiencing homelessness, who warrant more comprehensive services.

VETS protects the employment and reemployment rights of veterans and members of the National Guard and Reserve forces under the Uniformed Services Employment and Reemployment Rights Act (USERRA) in order that they can serve on active duty without harm to their employment status. VETS also enforces preferences that apply to Federal employment of veterans.

## Worker Protection

### Office of Federal Contract Compliance Programs

The Office of Federal Contract Compliance Programs (OFCCP) requires that employers doing business with the Federal Government comply with the laws and regulations requiring a fair and diverse workplace, free of discrimination and harassment. OFCCP also requires that federal contractors meet contractual equal employment opportunity and affirmative action requirements.

### Occupational Safety and Health Administration

The Occupational Safety and Health Administration (OSHA) was established by the Occupational Safety and Health Act of 1970 with the mission to assure, so far as possible, that every American worker has 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 economic recovery and the competitiveness of our nation's workforce.

### Wage and Hour Division

The Wage and Hour Division (WHD) is responsible for administering and enforcing a number of federal laws that establish the minimum standards for wages and working conditions in the United States.

These labor statutes provide basic protections for all workers and while they differ in scope, all of the statutes enforced by WHD are intended to protect and to promote the welfare of the nation's workforce, to provide opportunities for advancement, and to promote fair compensation for work performed. The Fair Labor Standards Act (FLSA) minimum wage provisions and the prevailing wage laws provide a floor for the payment of fair wages, while the FLSA overtime provisions are intended to broaden work opportunities and promote employment. The Migrant and Seasonal Agricultural Worker Protection Act and the immigration programs establish working conditions intended both to protect the wages and the safety and health of vulnerable workers and to provide that the labor force is not displaced by lower-paid foreign or migrant

labor. The prevailing wage programs provide protection to local middle class workers who may be disadvantaged by competition from outside labor who offer their services at wages lower than those in the locality. The Family and Medical Leave Act (FMLA) was enacted to enable eligible workers to take job-protected family or medical leave from work, and the child labor provisions of the FLSA promote the safe employment of young workers, encourage their educational endeavors, and provide a path to future employment.

### Employee Benefits Security Administration

The Employee Benefits Security Administration (EBSA) has a single outcome goal to improve health benefits and retirement security for all workers. EBSA is charged with protecting more than 143 million workers, retirees and their families who are covered by nearly 677,000 private retirement plans, 2.3 million health plans, and similar numbers of other welfare benefit plans. Together, these plans hold estimated assets of \$8.7 trillion.

The retirement and health benefits security of workers, retirees, and their families continue to be significant factors in the overall financial security of the American public. EBSA's mission and programs are pivotal in providing benefit security to the public and increasing confidence that workers' retirement, health and other benefits will be available when needed. EBSA's mission is carried out in a complex and evolving economic and regulatory environment. In order to enhance benefit security and maintain public confidence in our private benefits system, EBSA administers an integrated program of regulation; compliance assistance and education; civil and criminal enforcement; and research and analysis.

### Mine Safety and Health Administration

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 (MINER Act). The mission of MSHA is to prevent death, disease, and injury from mining and to promote safe and healthful workplaces for the nation's miners. MSHA's mission is carried out through the enactment 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; and miner training and compliance assistance to operators.

### Office of Labor-Management Standards

The Office of Labor-Management Standards (OLMS) administers the Labor-Management Reporting and Disclosure Act of 1959, as amended (LMRDA), 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.

OLMS also administers employee protections under various federally-sponsored transportation programs that require fair, equitable, and protective arrangements for transit employees when

federal funds are used to acquire, improve, or operate a transit system. These arrangements must be approved by DOL before Federal funds may be released to grantees.

## Policy

### Women's Bureau

The Women's Bureau (WB) provides collaborative leadership on policies and activities that impact the 73 million women in the labor force who also comprise nearly 50 percent of the workforce. For over 95 years, WB has been the only Federal office exclusively concerned with serving and promoting the interests of women in the workforce. The Bureau works to create parity for women in the labor force by conducting cutting-edge research and policy analysis; informing and promoting policy change; and increasing public awareness and education.

The Bureau's goals are to advance and improve women's earning power by increasing training opportunities for women in high-growth and in-demand careers; advocating for fair and equal wages; and promoting and advancing workplace policies that reflect a 21st century workplace for working women and families. These include paid leave and workplace flexibility policies that enable more women with family caregiving responsibilities to remain in the labor force, as well as policies to increase women's participation in non-traditional occupations and close the gender pay gap.

The Bureau collaborates with national, state, and local organizations, governments, and employers, providing technical assistance, resources, and education to assist in the implementation of public policy, programs, initiatives, and workplace practices and solutions.

### Office of Disability Employment Policy

Although many American workers with disabilities are educated, trained, willing, and able to work, their labor force participation rate is significantly lower than their similarly qualified counterparts without disabilities. The Office of Disability Employment Policy (ODEP)'s goal is to increase the number and quality of employment opportunities for people with disabilities. Through its national leadership, ODEP impacts the systems that influence the employment outcomes of people with disabilities by developing and improving public and private policies and practices.

To realize its systems change goal, ODEP undertakes research to create and validate promising policy strategies and effective practices; collaborates with Federal agencies, private and public sector employers, labor organizations, and other stakeholders to expand physical and programmatic access to American Job Centers and the workforce system in general; improves employer organizational practices and makes workplaces more inclusive; and increases access to the employment supports that are crucial to every worker's success throughout the employment process, and especially to a job seeker or worker with a disability.

## Bureau of International Labor Affairs (ILAB)

The Bureau of International Labor Affairs (ILAB)'s mission is to improve global working conditions, raise living standards, protect workers' ability to exercise their rights, and address workplace exploitation of children and other vulnerable populations. ILAB leads the U.S. Government's representation on labor and employment issues in bilateral, regional and multilateral engagements and works closely with other agencies to develop and implement economic, trade and labor policies. ILAB's mission also advances DOL's domestic priorities by supporting the creation and retention of good jobs at home by leveling the global playing field through promotion and protection of workers' rights around the world. To these ends, ILAB provides critical technical assistance grants and research to promote labor standards and acceptable conditions of work, eliminating of the worst forms of child labor; and reporting on international labor issues.

## Benefits

### Office of Workers' Compensation Programs

The mission of the Office of Workers' Compensation Programs (OWCP) is to protect the interests of workers who are injured or become ill on the job, as well as their families and their employers, by making timely, appropriate, and accurate decisions on claims, providing prompt payment of benefits, and helping injured workers return to gainful work as early as is feasible. OWCP implements four federal workers' compensation statutes providing 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 and administers the benefit funds authorized for these purpose.

### Federal-State Unemployment Insurance (UI) System (administered by ETA)

The federal-state 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 have worked recently, are involuntarily unemployed, and are able and are available for work.

## Statistics

### Bureau of Labor Statistics

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

## Agencies and Programs

mission is to collect, analyze, and disseminate essential economic information to support the public and private decision-making that forms the basis of our democratic, free-enterprise system. Like all federal statistical agencies, BLS executes its statistical mission with independence, serving its users by providing products and services that are accurate, objective, relevant, timely, and accessible. 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.

BLS serves the general public, the U.S. Congress, other federal agencies, state and local governments, business, and labor by providing up-to-date, high-quality statistical information. It produces some of the nation's most timely, sensitive and important economic data and measures of economic conditions.

BLS conforms to the conceptual framework of the Interagency Council on Statistical Policy's (ICSP) 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.

## Priority Goals

The Department of Labor has identified three performance goals for particular focus in FY 2016-17. These goals are a subset of those used to regularly monitor and report performance. Detailed information on measures and progress for these goals is available at [Performance.gov](http://Performance.gov). This report includes measure data for these goals, as well, but the information is organized by contributing agencies' performance goals under the DOL Strategic Plan structure. At the end of each goal statement is an italicized reference to the relevant goal numbers in this document.

### **Secure safe and healthy workplaces, particularly in high-risk industries**

- By September 30, 2017, increase the number of abated workplace hazards associated with falls by 0.5 percent per year compared to FY 2015 through inspections at workplaces covered by the Occupational Safety and Health Administration.
- By September 30, 2017, reduce worker fatalities in mining by five percent per year based on a rolling five-year average.

*OSHA 2.1 and MSHA 2.1*

### **Improve employment outcomes for veterans**

- Maintain 90 percent of veteran and service member American Job Center participants receiving intensive services from Disabled Veterans' Outreach Program (DVOP) specialists through September 30, 2017.

*VETS 1.1*

### **Expand opportunities for workers to start new careers with good wages, and provide gateways to the middle class by increasing the number of registered apprentices**

- By September 30, 2017, increase the number of registered apprentices from 430,000 as of June, 2015, to 600,000.

*ETA 1.2*

DOL is piloting performance data quality self-assessments with agencies that support our Agency Priority Goals (APGs) for FY 2016-17. Agencies' responses and feedback during the pilot will inform assessment and reporting plans in FY 2016, not just for APGs but for all measures in the DOL FY 2016 Annual Performance Report. APG data quality information will also be available on [Performance.gov](http://Performance.gov).

DOL also contributed to the Job Training and Veteran Career Readiness Cross-Agency Priority (CAP) Goals. Please refer to [www.Performance.gov](http://www.Performance.gov) for more information.

The Cuts, Consolidations and Savings volume of the President's Budget identifies lower-priority program activities, as required under the GPRA Modernization Act, 31 U.S.C. 1115(b)(10). The public can access the volume at: <http://www.whitehouse.gov/omb/budget>.

## Strategic Review Progress Update

The Government Performance and Results Act Modernization Act requires that federal agencies report to Congress on “unmet goals” annually. The Office of Management and Budget’s Circular A-11, Part 6 mandates that agencies meet this requirement through a Strategic Review:

Annually, agency leaders should review progress on each of the agency’s strategic objectives established by the agency Strategic Plans and updated annually in the Annual Performance Plan. These reviews should inform strategic decision-making, budget formulation, and near-term agency actions, as well as preparation of the Annual Performance Plan and Annual Performance Report.

This document summarizes findings of the Department of Labor’s first Strategic Review of our ten Strategic Objectives.

Strategic Objective 1.1 Advance employment opportunities for US workers in 21st century demand sectors and occupations using proven training models through increased employer engagement and partnerships. (Area for Improvement)<sup>2</sup>

The Workforce Innovation and Opportunity Act (WIOA) was signed into law on July 22, 2014. WIOA supersedes titles I and II of the Workforce Investment Act of 1998 (WIA), and amends the Wagner-Peyser Act and the Rehabilitation Act of 1973. WIOA is designed to help job seekers access employment, education, training, and support services to succeed in the labor market and to match employers with the skilled workers they need to compete in the global economy. The six required core programs under WIOA are Adult, Dislocated Worker, and Youth activities, Adult Education, Wagner-Peyser Employment Service, and Vocational Rehabilitation.

Employment and Training Administration and Veterans’ Employment and Training Services programs that support this objective include the Adult, Dislocated Worker, National Emergency Grants, Migrant and Seasonal Farmworker, Indian and Native American, Trade Adjustment Assistance, Community Service Employment for Older Americans, Jobs for Veterans State Grants (JVSG), and Homeless Veterans’ Reintegration Program (HVRP).

The Department’s funding for the above programs goes to a range of states, localities, and other entities, with varying employment and training delivery strategies designed to meet the needs of the target group being served. DOL provides leadership for those programs through technical assistance, policy guidance, and grants administration. Evaluations have indicated positive impact of the WIA Adult and Dislocated Worker programs on participants’ employment and earnings.<sup>3</sup> With few exceptions, DOL employment and training program participants’ entered

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<sup>2</sup> The Department of Labor, in consultation with the Office of Management and Budget, has highlighted this objective as a focus area for improvement.

<sup>3</sup> Heinrich, Carolyn J., Peter R. Mueser, and Kenneth R. Troske (2009). *Workforce Investment Act Non-Experimental Net Impact Evaluation*. Columbia, MD: IMPAQ International, LLC ([http://wdr.doleta.gov/research/keyword.cfm?fuseaction=dsp\\_puListingDetails&pub\\_id=2419&mp=y&start=41&sort=7](http://wdr.doleta.gov/research/keyword.cfm?fuseaction=dsp_puListingDetails&pub_id=2419&mp=y&start=41&sort=7))



employment rate, employment retention rate, and average earnings improved over the past four years. One noteworthy achievement is an increase in the share of veterans who received intensive services from JVSG specialists – from 25 percent in FY 2011 to 76 percent in FY 2015.

The decentralized nature of the workforce system creates challenges in program implementation, as it is more difficult to ensure the uniform adoption of evidence-based and best practices and employer engagement. In addition, the Department has faced issues with the reliability of the performance data it collects under WIA regarding training related employment.<sup>4</sup>

Another barrier to addressing this objective is limited training funds relative to the number of job seekers. As a result, only a small fraction of those served by these programs receive training (as opposed to less expensive core and intensive services). To address this, the FY 2017 President’s Budget funds the DOL WIOA formula grants at their full authorized levels (a \$138 million increase). Another budget proposal will provide \$2 billion over 5 years to fund Career Navigators and establish a WIOA Workforce Data Science and Innovation Fund to assist unemployed and underemployed Americans get into better jobs using best-in-class data and tools to inform their recommendations.

WIOA requires the development of common indicators of performance and a unified or combined State Plan – changes that led to unprecedented cross-agency collaboration aiming to improve performance on this strategic objective. However, reduced funding for Workforce Data Quality Initiative grants poses a challenge for supporting state efforts to develop and build integrated data infrastructure for case management and other purposes.

In order to identify and expand the use of proven models that engage employers, the Department has continued to pursue evaluation and research projects that have strong employer components. Conclusive information from such research will be widely disseminated as it becomes available. In addition, the Department has made a commitment to provide technical assistance to states as they conduct their own evaluations and research projects, as required under WIOA. Where evidence supports a particular approach, states and grantees are encouraged – and for some competitive grant programs, required – to adopt it. The Administration is also seeking to expand the use of models that have been shown to produce positive employment outcomes—such as apprenticeship and Reemployment Services and Eligibility Assessments, for which the Budget provides additional resources.

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<sup>4</sup> The DOL Office of Inspector General (OIG) identifies as a top management and performance challenge for the Department “Helping Adults, Youth and Veterans Obtain the Education, Training, and Support Services Needed to Succeed in the Labor Market” (<http://www.dol.gov/sec/media/reports/annual2015/2015annualreport.pdf>). Additionally, the Government Accountability Office (GAO) found ETA grantees’ training-related employment data unreliable primarily because a significant portion of the data was missing (*WIA: Strategies Needed to Improve Certain Training Outcome Data*, GAO-14-137).

Strategic Objective 1.2 – Provide marketable skills and knowledge to increase workers’ income and help them overcome barriers to the middle class through partnerships among business, education, labor, community organizations, and the workforce system. (Adequate Progress)

Employment and Training Administration programs that support this objective include Registered Apprenticeship, WIA Youth, Job Corps, YouthBuild, and Reintegration of Ex-Offenders.

A recent study of the Registered Apprenticeship program found that those who complete the program earn \$240,000 more than non-participants over their careers, with net social benefits of over \$50,000 per completing participant.<sup>5</sup> And in FY 2015, the six month average earnings for completers of apprenticeship programs were \$31,124. ETA is leveraging Registered Apprenticeship’s success by promoting partnerships with WIA and now WIOA programs. In FY 2014, ETA formed a Registered Apprenticeship College Consortium (RACC) to provide college credit for completion of a Registered Apprenticeship program. In September 2015, ETA awarded \$175 million to grantees that competed for assistance to train and hire more than 34,000 new apprentices over the next five years in industries as diverse as healthcare, IT, and advanced manufacturing. The FY 2016 budget appropriation enacted \$90 million for ApprenticeshipUSA program activities, the first-ever appropriation to support wide-scale apprenticeship expansion across the United States. Funding is aimed at supporting innovative, job-driven approaches that result in the Department’s goal to double and diversify Registered Apprenticeships that train workers with 21st century skills to meet employer and industry workforce needs. The FY 2017 budget requests continuation of this new funding, and supplements it with a \$2 billion mandatory Apprenticeship Training Fund.

Other ETA programs also demonstrated success in increasing workers’ skills and knowledge through partnerships, particularly through targeted technical assistance efforts. In the WIA Youth program, the share of participants entering employment or enrolling in post-secondary education, the military or advanced training/occupational skills training in the first quarter after exit increased from 59 percent in PY 2011 to 67 percent in PY 2014.<sup>6</sup>

Due to the program’s residential structure and highly individualized services, Job Corps students continue to outperform WIA Youth program participants by most measures. For example, in PY 2014 79 percent of its students were placed in employment or education and 63 percent had significant literacy or numeracy gains – compared to 67 percent and 51 percent, respectively, for WIA Youth. However, some Job Corps centers continue to face challenges with safety and security.<sup>7</sup> To address those challenges, Job Corps has begun conducting unannounced visits to centers with an elevated risk profile. Job Corps conducted 30 such visits between September and December 2015. During these visits, federal staff from Job Corps’ national and regional Offices

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<sup>5</sup> Reed, Debbie, et al. (2012). *An Effectiveness Assessment and Cost-Benefit Analysis of Registered Apprenticeship in 10 States*. Oakland, CA: Mathematica Policy Research.

([http://wdr.doleta.gov/research/FullText\\_Documents/ETAOP\\_2012\\_10.pdf](http://wdr.doleta.gov/research/FullText_Documents/ETAOP_2012_10.pdf))

<sup>6</sup> Most DOL training and employment programs are forward-funded and report performance on a Program Year (PY) that lags the Federal fiscal year by nine months (e.g., PY 2014 – July 1, 2014 to June 30, 2015). Exceptions that report on a standard fiscal year are the Apprenticeship program and the Trade Adjustment Assistance program.

<sup>7</sup> The DOL OIG identifies this as a top management and performance challenge for the Department.

(<http://www.dol.gov/sec/media/reports/annual2015/2015annualreport.pdf>).

assess each selected center's compliance with established policy covering center safety and security; disciplinary and behavior management systems; significant incident reporting; residential and recreational programming; student attendance and accountability; and counseling and evaluation of student progress. Each visit also included focus groups with randomly selected students and line staff.

Many job seekers continue to face challenges in finding employment opportunities because jobs now require a higher level of education and credential attainment, pointing to the need for different training strategies that focus on the attainment of industry-recognized credentials.<sup>8</sup> For this reason, the Department is emphasizing the importance of such credentials in its training programs, as well as the involvement of employers in the design of training programs to ensure programs confer skills employers value.

As noted above, resources for training are limited. Even in this challenging climate, ETA achieved the target for the credential attainment priority goal by increasing the percentage of training program<sup>9</sup> exiters who earn an industry recognized credential from 64 percent in FY 2014 to 67 percent in FY 2015. ETA incentivized state formula grantees to place greater emphasis on credentials by designing grant competitions, where applicable, to specifically promote credential attainment. ETA also provides technical assistance and training 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. WIOA continues the focus on credentials and includes credential attainment as one of the primary indicators of performance. The law also emphasizes employer engagement in the development of this measure to better connect employers with jobseekers that have the credential necessary to be marketable in high-demand industries.

To address the serious needs of low-income youth, the FY 2017 President's Budget includes an increase for the Youth formula grant program. It also proposes \$5.5 billion over 4 years to Make a Commitment to a First Job and a Degree for Every Young American, which would provide year-round and summer paid opportunities to create educational and workforce pathways to get more than 1 million disconnected young Americans on the path to a successful career.

Strategic Objective 1.3 Advance workers' rights, acceptable work conditions, and livelihoods, particularly for the world's vulnerable populations. (Adequate Progress)

The Bureau of International Labor Affairs (ILAB) supports this objective.

In FY 2015, working through grantees in 60 countries, ILAB provided education or vocational services to 48,491 children engaged in or at high risk of entering child labor (exceeding its target of 28,538 by 70 percent); helped increase capacity to address child labor in 29 countries; and

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<sup>8</sup> Table 7 in the Bureau of Labor Statistics (BLS) *Employment Projections, 2012-2022* indicates employment in occupations that require some post-secondary education for entry are projected to grow by 14% by 2022 while those without this requirement are projected to grow just 9%. (<http://www.bls.gov/news.release/pdf/ecopro.pdf>)

<sup>9</sup> WIA Adult, WIA Dislocated Workers, WIA National Dislocated Worker Grants, WIA Youth, Trade Adjustment Assistance, Registered Apprenticeship, Reintegration of Ex-Offenders, Job Corps, YouthBuild, Green Jobs Innovation Fund, H-1B Innovation Accelerators, and H-1B Technical Skills Training.

provided livelihood services to over 30,000 families. In addition, ILAB funded model programs to address worker rights through technical assistance and provided support to improve business compliance and technical capacity of governments and to protect worker rights in 17 countries.

In FY 2016, ILAB will further refine its policy performance indicator to more accurately capture the effectiveness of its work.

Strategic Objective 2.1 Secure safe and healthy workplaces, particularly in high-risk industries.  
**(Noteworthy Progress)<sup>10</sup>**

The Occupational Safety and Health Administration (OSHA) and Mine Safety and Health Administration (MSHA) support this objective.

In FY 2015, OSHA continued to focus on preventing fall hazards through inspection targeting. OSHA partnered with the National Institute for Occupational Safety and Health, the Center for Protection of Workers' Rights (CPWR), and the Department of Defense on Safety Stand-Downs in 2014 and 2015. The National Campaign to Prevent Falls in Construction Final Report indicated that thousands of employers received certificates, and over 1 million workers and over 1.5 million military and civilian personnel participated in the Stand-Downs. 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. OSHA has national and local emphasis plans (NEPs and LEPs), as well as a Strategic Plan that directs Compliance Safety and Health Officers (CSHOs) to those establishments with the most significant risk of fall hazards. In FY 2015, preliminary data shows that OSHA conducted about 11,024 inspections of worksites as a result of these programs, and about 9,133 fall-related violations were abated in FY 2015. This level of attention and proactive enforcement will directly impact the workers at these establishments by requiring abatement. More generally, this enforcement activity will alert and educate other employers about fall hazards in the industries affected and in the local areas. It will also serve to incentivize employers to proactively assess and address fall hazards in order to avoid enforcement actions.

OSHA has tracked two measures to monitor its effect on federal employee safety.

The federal agency total injury/illness case rate fell from 3.11 per 100 employees in FY 2010 to 1.68 in FY 2015 (as of 3<sup>rd</sup> quarter FY 2015), and the federal agency lost time injury/illness rate (also per 100 employees) fell from 1.46 to 1.13 over the same period. OSHA contributed to these improved results by providing compliance assistance to federal agencies and by inspecting federal establishments with high numbers of lost time cases.

OSHA issued a Notice of Proposed Rulemaking for crystalline silica on September 12, 2013 and continued work toward a final rule during FY 2014 by holding three weeks of public hearings and collecting post-hearing comments and briefs. During FY 2015, OSHA continued to analyze the public record and work on completing the final rule. OSHA anticipates publishing the final crystalline silica rule during the second quarter of FY 2016. OSHA estimates that the rule will save hundreds of lives per year once the full effects of the rule are realized.

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<sup>10</sup> The Department of Labor, in consultation with the Office of Management and Budget, has determined that performance toward this objective is making noteworthy progress.

OSHA has proposed to amend regulations to improve the quantity, quality, and accessibility of the data it uses to direct and perform its enforcement functions. The proposed regulation on improving tracking of workplace injuries and illnesses will require electronic submission of injury and illness information employers are already required to keep under OSHA's regulations. Combined with the expanded requirements for employers to report severe injuries to OSHA, these data will provide OSHA with a much larger database of information about injuries and illnesses in the workplace, helping OSHA use its resources more effectively by enabling OSHA to identify the workplaces where workers are at greatest risk.

In FY 2015, MSHA achieved its DOL Priority Goal to reduce mining fatalities. The five-year rolling average of fatal injuries per 200,000 hours worked exceeded the target with a result of 0.0125. This is a drop of 33 percent from the FY 2010 result of 0.0187. This reduction is attributed to a number of factors, including stronger enforcement and regulation, better technology, improvements in mining practices, and improved training.

In FY 2014, MSHA published a final rule on lowering miners' exposure to respirable coal dust. The first year under the new respirable dust rule also saw the yearly average respirable dust levels for the dustiest mining occupations drop to the lowest levels ever at 0.65 mg/m<sup>3</sup>. The rule is achieving the intended result of lowering miners' exposures to unhealthy dust.

Strategic Objective 3.1 Break down barriers to fair and diverse work places and narrow wage and income inequality. (Adequate Progress)

The Office of Federal Contract Compliance Programs (OFCCP), the Women's Bureau (WB), and the Office of Disability Employment Policy (ODEP) support this objective.

In FY 2015, OFCCP completed 2,718 compliance evaluations and complaint investigations of federal contractor and subcontractor establishments, uncovering violations of EEO requirements in nearly 20 percent of those reviews and, specifically, found evidence of discrimination at 46 establishments. The agency also negotiated \$5.9 million in back pay and 530 potential job opportunities on behalf of more than 16,000 workers affected by discrimination. These results include resolving 10 cases of pay discrimination and recovering approximately \$600,000 in back pay and salary adjustments for 458 workers. About one-third of OFCCP's settlements of discrimination cases now involve issues of pay discrimination, while in prior years the agency was addressing only a handful of such cases annually.

Also in FY 2015, OFCCP continued to focus on high-quality systemic, compensation-based evaluations that yield more results for workers. All of the pay discrimination notices of violations issued by OFCCP in FY 2015 were related to systemic pay findings. The agency also completed 81 construction evaluations associated with a Mega Construction Project (32 percent of the total of 257 construction compliance evaluations). Mega Construction Projects have the potential for better success in increasing the representation of minorities, women, people with disabilities, and protected veterans in skilled trades through effective recruitment and training, and OFCCP is committed to focusing resources in this area to ensure effective affirmative action and non-discrimination.

The Women's Bureau has a strong record of advancing policies that support working women and their families, including workplace flexibility and paid leave, and working to close the gender pay gap by expanding opportunities for women in higher-paying, in-demand careers, including non-traditional occupations. In FY 2014 and FY 2015, the Bureau funded grants to support research and analysis needed to explore, develop, implement and/or improve paid family and medical leave programs at the State and municipal levels. The Bureau also advocated for equal pay and fair treatment in the workplace by conducting outreach and education and providing technical assistance to public and private sector leaders, employers, advocacy groups, service providers, and community-based organizations. In FY 2016, the Bureau will conduct a Working Women's Survey in order to identify women's current employment issues and how these challenges relate to job and career decisions. The survey will provide the Bureau with information on women's reasons for exiting the workforce, such as family care and household responsibilities, which will inform the Bureau's efforts to promote high-quality work environments that address the realities of women and working families in the 21st century.

Beginning in FY 2010, through the Disability Employment Initiative (DEI), ODEP and ETA developed strategies designed to increase access to, and the use of, American Job Centers' services by all customers, including adults and youth with disabilities. These strategies include promoting the Ticket to Work program through Employment Networks. In FY 2015, ODEP and ETA continued to test DEI models that include career pathways for youth and adults with disabilities, including those with significant disabilities. In addition, from FY 2012 to FY 2015, through its Employment First State Leadership Mentoring Program, ODEP has worked with 19 states to develop over 72 policy products and to implement/adopt 26 major policy changes to promote competitive integrated employment for individuals with disabilities. ODEP continues to work on measuring the success of its policies, recommendations, and technical assistance.

Strategic Objective 3.2 Protect workers' rights. (Adequate Progress)

The Office of Labor-Management Standards (OLMS) and certain programs from the Occupational Safety and Health Administration (OSHA), Mine Safety and Health Administration (MSHA) and the Wage and Hour Division (WHD) support this objective.

OLMS continues to fine-tune its risk-based audit targeting model to more effectively identify unions where criminal activity may be present by detecting anomalies in union financial reports and by using and refining targeting strategies. The percentage of targeted audits that result in a criminal case rose from 14.76 percent in FY 2010 to a record 21.70 percent in FY 2014 and decreased slightly to 21.46 percent in FY 2015.

OSHA Whistleblower Investigations completed per year increased almost 60 percent over the past five years, from 1,904 in FY 2010 to 3,273 in FY 2015. Over the last 17 years, OSHA's whistleblower enforcement responsibilities have doubled, and the number of new whistleblower complaints filed with the agency has steadily increased each year, from about 1,900 new complaints filed in 1997, to 3,288 new complaints received and docketed in FY 2014. In response to the growing demand for whistleblower investigations, OSHA has recently made several changes to increase the effectiveness and efficiency of the whistleblower protection program, including elevating the program to a stand-alone directorate, establishing the

Whistleblower Protection Advisory Committee, and implementing a new, successful management model in all regional offices. OSHA also launched the Alternative Dispute Resolution (ADR) Program in FY 2015, which allows for voluntary resolution of the complaint, and the Quality Review Tool (QRT), which is used to review the quality of whistleblower investigations.

MSHA has also taken a number of actions to give miners a stronger voice in the workplace on their own safety and health. In addition to swiftly responding to safety and health complaints by miners, MSHA filed 35 actions for temporary reinstatements of miners to their jobs – the second highest result since FY 2012, when MSHA filed 40 actions.

For 20 years, enforcement of the Family and Medical Leave Act (FMLA) has been primarily complaint-driven, i.e., compliance actions in many cases only applied to a single employee/situation. WHD has reengineered its approach in FMLA. In order to promote work and family balance, WHD is adapting its FMLA enforcement policies to promote a more comprehensive approach to compliance. Since FMLA compliance at the establishment level is often driven by corporate policies, WHD is developing strategies to provide a more in-depth review of the employer's business practices and leave policies with the objective of making a broader impact on compliance, rather than resolving one individual complaint. In FY 2015, WHD resolved 72 percent of its incoming complaints within the fiscal year (improved from 70 percent in FY 2014) – a result that speaks to the effectiveness of its renewed focus on customer service. In FY 2015, for the first time, every region conducted planned, directed investigations focused on a specific industry where FMLA violations were considered likely. Through the investigations, WHD will be developing strategies in FY 2016 to expand cases from situation-specific to corporate-wide compliance, which requires evaluating implementation of company policy.

Strategic Objective 3.3 Secure wages and overtime. (Adequate Progress)

The Wage and Hour Division (WHD) and the ETA's Office of Foreign Labor Certification (OFLC) programs support this objective.

Since 2009, WHD has put nearly \$1.6 billion in back wages into the pockets of workers. Since FY 2010, WHD has undergone a significant change in how the agency carries out the mission. Fragmentation of employment relationships and the scope and complexity of industry structures combined with the growth of the contingent workforce present complex enforcement challenges that require new levels of coordination and strategy. In FY 2015, WHD's enforcement program continued its evolution from a complaint-based program to a strategic program where directed investigations are conducted in priority industries with an overall increase in the percent of directed investigations from 27 percent in FY 2010 to 42 percent in FY 2015. At the same time, WHD focused its investigations and resources better than ever on workplaces with violations. The percent of directed investigations with no violations fell to 21 percent, down from 30 percent in FY 2010, while the percent of complaint investigations with no violations fell to 18 percent, down from 26 percent in FY 2010. This suggests that directed investigations, despite the absence of on-the-ground information from complainants, are nearly as accurate as a complaint in finding employers with violations.

WHD continues its commitment to focusing on those industries with a history of violations that employ vulnerable workers. Since FY 2010, the agency has maintained a high percent of overall investigations in priority industries. In FY 2008, WHD found back wages of \$57.5 million for 76,900 workers in certain low-wage industries. In FY 2015, WHD found more than \$74 million in those low wage industries for over 102,000 workers. The average amount of back wages per employee rose from \$785 in FY 2009 to \$890 in FY 2014 to \$1026 in FY 2015 – a significant increase for low wage workers. WHD prioritized low wage industries in both complaint and directed investigations while increasing the back wage recoveries per worker in those industries. By focusing on priority industries, along with providing more guidance around the “suffer or permit” standard of the FLSA, WHD also increases the likelihood of detecting instances of misclassification of employees as independent contractors.

The Office of the Solicitor of Labor (SOL) has pursued litigation to recover overtime on behalf of misclassified employees in industries ranging from cable installation to nurse staffing agencies, and has also filed amicus briefs to refocus the case law on the proper standard for determining employee status. And ETA’s Office of Unemployment Insurance continues to create incentives for state unemployment compensation agencies to increase connections with reemployment services as well as identify and address misclassification, including updated audit standards and grant opportunities.

OFLC processes applications and prevailing wage requests from employers who wish to hire non-citizens for professional and specialty occupations, non-agriculture temporary work, and seasonal agriculture work. The certification process ensures US employer compliance with statutory requirements when they hire foreign workers, protecting US workers against adverse impact on wages and working conditions.

Strategic Objective 4.1 Provide income support when work is impossible and facilitate return to work. (Adequate Progress)

The Office of Workers’ Compensation Programs (OWCP) and ETA’s Office of Unemployment Insurance (OUI), Trade Adjustment Assistance, and Employment Services programs support this objective.

The share of federal employees with work-related injuries or illnesses under the Federal Employee Compensation Act (FECA) program’s Disability Management that were reemployed by non-postal federal agencies fell from 91.6 percent in FY 2011 to 89.7 percent in FY 2015. The percent of first payment of compensation issued within 30 days for Defense Base Act (Longshore) cases rose from 56 percent in FY 2011 to 67 percent in FY 2015. The average number of days to process Black Lung claims rose from 238 days in FY 2011 to 273 days in FY 2015. To improve decision quality for Black Lung claims, OWCP launched a pilot to develop supplemental medical evidence for a subset of claims and began conducting spot audits of all Black Lung proposed decisions. The Energy Employees Occupational Illness Compensation Program’s average number of days between filing date and final decision for cases sent to NIOSH when a hearing is held fell from 619 in FY 2011 to 497 in FY 2015.



OUI, in collaboration with the ETA Regional offices, has worked aggressively with states and provided significant technical assistance and resources to reduce the improper payment rate, ensure program integrity, and to improve program performance overall. Intrastate First Payments made within 21 days improved by over three percentage points to 83.5 percent in FY 2015. Although the first payment timeliness performance has improved when compared to FY 2013 and FY 2014, this performance is still below the FY 2015 target for this measure – 87.5 percent. Twenty-four states did not meet the Acceptable Level of Performance (ALP) for the overpayment detection measure in FY 2015, a slight decline in performance improvement over the 22 states not meeting the ALP in FY 2014. States failing to meet the 50 percent overpayment detection ALP were required to develop a corrective action plan as part of their FY 2016 State Quality Service Plan submission.

In FY 2014, ETA embarked on a major multi-year initiative to reengineer the processes to improve program oversight and manage accountability for state Unemployment Insurance (UI) benefit processes with significantly reduced resources. ETA developed a new framework to integrate peer/case review processes with new operational review processes. As part of this effort, ETA established new criteria for designating poorly performing states using a more comprehensive approach that integrates overall program performance, program integrity, and state operational policies and practices. FY 2016 is a pivotal year for the reengineering project with much of the work moving toward full implementation and key new accountability elements that focus more on program operations and business processes moving into pilot testing and refinement before full implementation in FY 2017.

Since 2005, ETA has offered supplemental funding to state UI workforce agencies to address the individual reemployment needs of UI claimants through the voluntary UI Reemployment and Eligibility Assessments (REA) program, and beginning in FY 2015, through the voluntary RESEA program. RESEA participants are active job seekers who are referred to reemployment services best suited to meet their individual needs. In FY 2015, a total of 48 states operated a RESEA program. The President's FY 2017 Budget includes \$150.9 million for a permanent Reemployment Services and Eligibility Assessments (RESEA) program targeting recipients of unemployment benefits identified as those most likely to exhaust their benefits as well as all transitioning veterans receiving Unemployment Compensation for Ex-service members (UCX). The budget also proposes comprehensive Unemployment Insurance (UI) reforms that will put the system on a stronger financial footing, make the program more responsive to future downturns, improve the program's connection to work and training, and expand eligibility for those who need it most.

Evidence suggests that wage insurance and supplements for dislocated workers may help them transition faster to new jobs.<sup>11</sup> Since 2009, the Trade Adjustment Assistance program (TAA) has included a wage supplement in the form of Reemployment Trade Adjustment Assistance (RTAA). This benefit encourages eligible workers age 50 and older to accept new jobs more

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<sup>11</sup> King, C., & Tingle, K. (2015). *Wage Insurance and Wage Supplements: Review of the Literature and Supporting Data*. Austin: Ray Marshall Center for the Study of Human Resources. ([http://sites.utexas.edu/raymarshallcenter/files/2016/01/Wage-Insurance-and-Wage-Supplements\\_Review-of-the-Literature-and-Supporting-Data.pdf](http://sites.utexas.edu/raymarshallcenter/files/2016/01/Wage-Insurance-and-Wage-Supplements_Review-of-the-Literature-and-Supporting-Data.pdf)) Also see Wandner, Steven (2016). "Wage Insurance as a Policy Option in the United States," W.E. Upjohn Institute (<http://www.upjohn.org/sites/default/files/pdf/wage-insurance.pdf>)

rapidly by offsetting earnings losses after losing their previous jobs, providing up to \$10,000 in wage supplements to workers who find reemployment and earn less than \$50,000 a year. From FY 2011 to FY 2015, the proportion of trade participants who are receiving this benefit has increased from 3.3% to 13.1%. In FY 2015, approximately \$24.9 million in RTAA benefits were paid to 6,213 recipients.

Eligible adversely affected workers are also provided access to income support in the form of Trade Readjustment Allowances (TRA) during their participation in the TAA program. From FY 2011 to FY 2015, the proportion of trade participants receiving TRA increased from 30.9% to 56.2%. In FY 2015, approximately \$209.5 million in TRA benefits were paid to 26,595 participants to support their training and reemployment efforts.

Strategic Objective 4.2 Improve health benefits and retirement security for all workers.  
**(Noteworthy Progress)**<sup>12</sup>

The Employee Benefits Security Administration (EBSA) supports this objective by enforcing Title I of the Employee Retirement Income Security Act of 1974 (ERISA) and related laws. In FY 2015, EBSA implemented three timeliness measures designed to increase the effectiveness of the enforcement program while avoiding reliance on raw case numbers. EBSA focused its FY 2015 enforcement resources on National Projects and the Major Case Enforcement Priority. In increasing the investigative time spent on Major Cases, a significant portion of the agency's enforcement resources were concentrated on those cases likely to have the greatest impact on the protection of plan assets and participants' benefits. Major Cases that were closed in FY 2015 resulted in approximately \$186.8M in monetary results. Over the same period, the non-Major cases that were closed resulted in approximately \$78.4M in monetary results, and Benefit Advisor recoveries (through informal resolution) were \$402.9M.

Given the number of plans that the agency oversees relative to the number of its investigators, EBSA has to leverage its available resources by focusing on investigations that it believes will most likely result in the deterrence, detection, and correction of ERISA violations. To that end, EBSA created the Sample Investigation Program (SIP) to measure overall compliance with the civil provisions of ERISA and the impact of EBSA investigations on compliance rates of investigated employee benefit plans. In FY 2015, EBSA continued to analyze the compliance data available to the agency and use lessons learned to improve the SIP as well as the overall enforcement program. EBSA has begun to focus on specific compliance issues of special importance to the integrity of plans and plan benefits. For instance, EBSA initiated a bonding compliance project in FY 2015 that will continue into FY 2016.

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<sup>12</sup> The Department of Labor, in consultation with the Office of Management and Budget, has determined that performance toward this objective is making noteworthy progress.

Strategic Objective 5.1 Provide sound and impartial information on labor market activity, working conditions, and price changes in the economy for decision making, including support for the formulation of economic and social policy affecting virtually all Americans. (Adequate Progress)

This objective is supported by the programs of the Bureau of Labor Statistics (BLS).

BLS has been, and will continue to be, responsive to users' needs to understand changes in the 21st century economy. For example, in FY 2015,

- The Prices and Cost of Living budget activity introduced experimental disease-based price indexes to provide alternative estimates of inflation for medical output and consumption. These indexes use price data from both the Producer Price Index and Consumer Price Index programs along with quantities from the Department of Health and Human Services' Medical Expenditure Panel Survey, and give data users additional ongoing information about the evolution of the nation's healthcare system.
- The Current Population Survey added three questions on certification/licensure and removed three infrequently-used educational attainment questions to offset any increase in survey length and ease.

BLS also demonstrates its responsiveness to users' needs by measuring the *timeliness*, *accuracy*, and *relevance* of its products and services, among other metrics. In FY 2015, BLS reached 100 percent of the underlying *timeliness*, *accuracy*, and *relevance* targets for all of its Principal Federal Economic Indicators. In addition, BLS measured dissemination through the *Average number of BLS website page views each month*, and fell slightly under its target of 17.4 million by averaging approximately 17.0 million page views each month. BLS measured mission achievement with *Customer satisfaction with the BLS website through the American Customer Satisfaction Index*, with a year-end score of 75, under its target of 77. BLS adjusted its outyear targets accordingly.

The external factors most likely to affect the ability of BLS to accomplish its mission are structural shifts in the economy and continued budgetary constraints. The structural shifts in the economy translate into different, and sometimes new, demands for data as industrial sectors supersede others, and as consumer goods replace others. BLS will continue to develop and publish new surveys and products to meet the data needs of the American public. BLS also faces challenges due to budgetary constraints. For example, the FY 2015 funding level was below the President's Budget, requiring BLS to achieve savings to remain within the reduced level. In order to maintain current production and core programs within this funding level, the BLS curtailed spending on a temporary basis in FY 2015. This means, for example, that planned training, improvements, and development and research projects were deferred or curtailed. In addition, BLS has raised the need to promote the sharing of existing economic data among BLS, the Census Bureau, and the Bureau of Economic Analysis, and to improve the nation's economic statistical system by providing the resources necessary to align each agency's data outputs.

## **Strategic Goal 1: Prepare workers for better jobs**

**Strategic Objective 1.1 – Advance employment opportunities for US workers in 21st century demand sectors and occupations using proven training models through increased employer engagement and partnerships**

### **Analysis and Future Plans**

#### Employment and Training Administration

As the economy continues to recover and job growth returns, the reintegration of millions of unemployed and underemployed workers into jobs that pay family-sustaining wages is essential for spreading the benefits of the recovery more broadly. ETA training and employment programs emphasize, through provision of technical assistance (TA) to the workforce system, training for job-seekers that leads to industry-recognized credentials as a means of increasing their earning potential.<sup>13</sup>

The Workforce Innovation and Opportunity Act (WIOA) was signed into law on July 22, 2014 and is the first reform of the public workforce system in more than 15 years. WIOA supersedes the Workforce Investment Act of 1998 (WIA) and the majority of WIOA provisions became effective beginning PY 2015 (July 1, 2015). Programs authorized under WIOA, including the Adult and Dislocated Worker programs, will be undergoing dramatic transformation throughout PY 2015 and 2016 as WIOA provisions are implemented and the program is further aligned with the job-driven training agenda. For example, WIOA significantly broadens available training options beyond traditional classroom training, by encouraging and streamlining access to work-based training, including on-the-job training, Registered Apprenticeship, and customized training. Work-based training is beneficial to job-seekers, especially the long-term unemployed and low-income, low-skill individuals, and also serves as a tool to engage and partner with employers. However, such strategies require significant staff and financial resources. The Department will use information as it becomes available to re-baseline performance targets and provide further TA as needed.

Entered employment rates (EER) for the WIA Adult, WIA Dislocated Worker, and Senior Community Service Employment Program (SCSEP) increased by 2.6, 2.7, and 1.2 percentage points, respectively, over prior year results.<sup>14</sup> For Adult and Dislocated Worker program participants who received training services, the EER increased by 1.6 and 0.5 percentage points in PY 2014. EER increases are primarily due to improved labor

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<sup>13</sup> This was a DOL Priority Goal in FY 2012-15. For more information, see [www.Performance.gov](http://www.Performance.gov).

<sup>14</sup> Most DOL training and employment programs are forward-funded and report performance on a Program Year (PY) that lags the Federal fiscal year by nine months (e.g., PY 2014 – July 1, 2014 to June 30, 2015). Exceptions that report on a standard fiscal year are the Apprenticeship program and the Trade Adjustment Assistance program.

## Strategic Goal 1

markets in the U.S., as evidenced by a reduction in the Total Unemployment Rate from 6.5 percent in FY 2014 to 5.4 percent in FY 2015.<sup>15</sup> Results for those individuals who received training services in Adult and Dislocated Worker programs are significantly higher than results for all exiters who did not receive training. In PY 2014, the EER for all Adult exiters was 63.7 percent; for those receiving training, it was 77.7 percent. For the same period, comparable results for the Dislocated Worker program were 62.7 percent and 81.9 percent, respectively.

Employment Retention Rates (ERR) increased for the Dislocated Worker, National Emergency Grants (NEG), and National Farmworker Job (NFJP) programs in PY 2014 but fell for the Indian and Native American (INA) program. While the ERR for the INA program fell by 2 percentage points from PY 2013 to PY 2014, it should be noted that the program experienced an unusually high ERR in PY 2013. Except for PY 2013, the ERR for PY 2014 is at or above each of the past 5 years' results.

Six Months Average Earnings of Adult program exiters fell by \$281 in PY 2014 while increasing \$731 for Dislocated Worker and almost \$2900 for NEG exiters. The earnings dip for Adult exiters reflects the lack of meaningful wage growth for wages nationally. Individuals who have lost their jobs, through no fault of their own are beginning to successfully reenter the workforce and utilize their skills to increase earnings.

In PY 2015, ETA will continue to build on tested ideas and approaches that work, such as aligning federal, state, and local workforce, education and economic development systems to meet employer demand, strengthening participation of employers, labor, and philanthropic partners in program design and delivery, and increasing use of technology-based training methods. Approaches for the Adult and Dislocated Worker programs include targeting training and reemployment services, especially for vulnerable populations, and evaluating practices that have shown promise over the past decade, such as apprenticeships, on-the-job training, other work-based training and regional and sector strategies. SCSEP remains a mandatory partner in the American Job Center (AJC) network under WIOA. SCSEP participants who can and need to transition to unsubsidized jobs in their communities will benefit from this coordination. SCSEP may also be included in a state's combined state plan, which further promotes the integration of SCSEP into the AJC network.

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<sup>15</sup> The "Total Unemployment Rate," calculated using Bureau of Labor Statistics data, is the sum of the (not seasonally adjusted) unemployment level for October through September divided by the sum of the (not seasonally adjusted) labor force level for October through September.

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ETA – Increase the average earnings of individuals served through the Workforce Investment Act (WIA), Registered Apprenticeship, Community Service Employment for Older Americans (CSEOA), Job Corps, and Trade Adjustment Assistance (TAA) Programs

*Target reached (Y), Improved (I), or Not Reached (N)		FY/PY 2011	FY/PY 2012	FY/PY 2013	FY/PY 2014	FY/PY 2015	FY/PY 2016	FY/PY 2017	What Worked	What Didn't Work	Program Performance Improvement Plan
Entered Employment Rate/Employment in the 2nd quarter after exit (WIA Adult)	Target	53.1%	56.7% [r]	61.2%	62.5% [r]	63.1%	TBD	TBD	Increases can be attributed to the recovering economy and an emphasis on job-driven strategies to ensure low-income adults can develop successful careers.		Beginning in PY 2016, Entered Employment Rate (EER) will be discontinued. The new WIOA measure will be calculated based on the percent employed in the 2nd quarter after program exit.
	Result	57.2%	59.9%	61.1%	63.7%	--	--	--			
	Status	Y	Y	I	Y	--	--	--			
Employment Retention Rate/Employment in the 4th quarter after exit (WIA Adult)	Target	73.1%	80.1%	82.0%	82.1%	82.1%	TBD	TBD	Results are impacted by the emphasis on serving low-income individuals.		Beginning in PY 2016, Employment Retention Rate will be discontinued. The new WIOA measure will be calculated based on the percent employed in the 4th quarter after program exit.
	Result	80.8%	81.9%	82.8%	79.5%	--	--	--			
	Status	Y	Y	Y	N	--	--	--			
Six Months Average Earnings/Median Earning in the 2nd quarter after exit (WIA Adult)	Target	\$12,865	\$14,450 [r]	\$13,684	\$13,945 [r]	\$14,194	TBD	TBD	See above.		Beginning in PY 2016, Six Month Average Earnings will be discontinued. The new WIOA measure will be Median Earnings of those employed in the 2nd quarter after program exit.
	Result	\$13,482 [r]	\$13,335 [r]	\$13,842	\$13,561	--	--	--			
	Status	Y	N	Y	N	--	--	--			
Entered Employment Rate - Training (WIA Adult)	Target	71.2%	74.5%	75.8% [r]	77.1% [r]	77.7%	TBD	TBD	The Adult program has emphasized IRC attainment – vital for programs that provide classroom training – to ensure participants can find quality employment.		Beginning in PY 2016, EER will be discontinued. The new WIOA measure will be calculated based on the percent employed in the 2nd quarter after program exit.
	Result	71.2%	74.5%	76.1%	77.7%	--	--	--			
	Status	Y	Y	Y	Y	--	--	--			

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*Target reached (Y), Improved (I), or Not Reached (N)		FY/PY 2011	FY/PY 2012	FY/PY 2013	FY/PY 2014	FY/PY 2015	FY/PY 2016	FY/PY 2017	What Worked	What Didn't Work	Program Performance Improvement Plan
Entered Employment Rate/Employment in the 2nd quarter after exit (WIA Dislocated Worker)	Target	49.7%	58.6%	61.2% [r]	62.3%	62.8%	TBD	TBD			Beginning in PY 2016, Entered Employment Rate will be discontinued. The new WIOA measure will be calculated based on the percent employed in the 2nd quarter after program exit.
	Result	61.1%	60.0%	60.0%	62.7%	--	--	--			
	Status	Y	Y	N	Y	--	--	--			
Employment Retention Rate/Employment in the 4th quarter after exit (WIA Dislocated Worker)	Target	78.0%	82.0% [r]	84.4% [r]	84.6%	84.6% [r]	TBD	TBD			Beginning in PY 2016, Employment Retention Rate will be discontinued. The new WIOA measure will be calculated based on the percent employed in the 4th quarter after program exit.
	Result	84.2% [r]	84.3%	83.8%	85.0%	--	--	--			
	Status	Y	Y	N	Y	--	--	--			
Six Month Average Earnings/Median Earnings in the 2nd quarter after exit (WIA Dislocated Worker)	Target	\$15,418	\$18,346 [r]	\$16,364 [r]	\$16,694	\$16,998	TBD	TBD			Beginning in PY 2016, Six Month Average Earnings will be discontinued. The new WIOA measure will be Median Earnings of those employed in the 2nd quarter after program exit.
	Result	\$16,500	\$15,930	\$15,977	\$16,708	--	--	--			
	Status	Y	N	I	Y	--	--	--			
Entered Employment Rate/Employment in the 2nd quarter after exit - Training (WIA Dislocated Worker)	Target	--	--	82.4%	83.5%	84.0%	TBD	TBD	The Dislocated Worker program has emphasized IRC attainment which is vital for programs that provide classroom training in order to ensure participants can find quality employment.		Beginning in PY 2016, Entered Employment Rate will be discontinued. The new WIOA measure will be calculated based on the percent employed in the 2nd quarter after program exit.
	Result	80.6%	81.2%	81.4%	81.9%	--	--	--			
	Status	--	--	I	I	--	--	--			

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*Target reached (Y), Improved (I), or Not Reached (N)		FY/PY 2011	FY/PY 2012	FY/PY 2013	FY/PY 2014	FY/PY 2015	FY/PY 2016	FY/PY 2017	What Worked	What Didn't Work	Program Performance Improvement Plan
Employment Retention Rate/Employment in the 4th quarter after exit (WIA National Dislocated Worker Grants)	Target	77.1%	83.9%	88.4% [r]	88.6%	88.6%	TBD	TBD			Beginning in PY 2016, Employment Retention Rate will be discontinued. The new WIOA measure will be calculated based on the percent employed in the 4th quarter after program exit.
	Result	88.3% [r]	88.9% [r]	89.9% [r]	89.7%	--	--	--			
	Status	Y	Y	Y	Y	--	--	--			
Six Month Average Earnings/Median Earnings in the 2nd quarter after exit (WIA National Dislocated Worker Grants)	Target	\$12,953	\$17,935	\$18,619 [r]	\$18,979	\$19,321	TBD	TBD			Beginning in PY 2016, Six Month Average Earnings will be discontinued. The new WIOA measure will be Median Earnings of those employed in the 2nd quarter after program exit.
	Result	\$19,134	\$18,138	\$16,980 [r]	\$21,214	--	--	--			
	Status	Y	Y	N	Y	--	--	--			
Entered Employment Rate/Employment in the 2nd quarter after exit (Senior Community Service Employment Program)	Target	44.1%	48.6%	42.8%	43.9%	45.0% [r]	TBD	TBD	Grantees focused on improving unsubsidized employment placement by increasing employer engagement, enhancing services available to participants through partnerships, and expanding training options.		Beginning in PY 2016, Entered Employment Rate will be discontinued. The new WIOA measure will be calculated based on the percent employed in the 2nd quarter after program exit.
	Result	40.6% [r]	42.5% [r]	45.2%	46.4%	--	--	--			
	Status	--	I	Y	Y	--	--	--			
Number of Participants Served (Senior Community Service Employment Program)	Target	70,852 [p]	70,718 [p]	67,019 [p]	67,019 [p]	67,185 [p]	67,185 [p]	67,185 [p]	Changes at the agency level for several State grantees led to less recruitment efforts and an increase in the minimum wage in several states and localities.		In PY 2015 ETA will consider what technical assistance we can provide to grantees to increase their enrollment of SCSEP eligible participants even as there are organizational changes.
	Result	77,331 [r]	67,551 [r]	67,814	67,356 [r]	--	--	--			
	Status	--	--	--	--	--	--	--			



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*Target reached (Y), Improved (I), or Not Reached (N)		FY/PY 2011	FY/PY 2012	FY/PY 2013	FY/PY 2014	FY/PY 2015	FY/PY 2016	FY/PY 2017	What Worked	What Didn't Work	Program Performance Improvement Plan
Employment Retention Rate/Employment in the 4th quarter after exit (National Farmworker Jobs Program)	Target	70.1%	76.5%	83.2% [r]	83.2%	83.3%	TBD	TBD	NFJP grantees partnered with community organizations and state agencies to provide employment and training services to counter the chronic unemployment experience by farmworkers.		Beginning in PY 2016, Employment Retention Rate will be discontinued. The new WIOA measure will be calculated based on the percent employed in the 4th quarter after program exit.
	Result	80.9%	83.1%	85.6%	86.4%	--	--	--			
	Status	Y	Y	Y	Y	--	--	--			
Number of Participants Served (National Farmworker Jobs Program)	Target	18,340 [p]	18,304 [p]	18,690 [p]	20,676 [p]	20,676 [p]	20,676 [p]	20,676 [p]			
	Result	20,257	20,330	18,025	41,300	--	--	--			
	Status	--	--	--	--	--	--	--			
Employment Retention Rate/Employment in the 4th quarter after exit (Indian and Native American Program)	Target	69.6%	73.1%	78.0% [r]	78.2%	78.2%	TBD	TBD			Beginning in PY 2016, Employment Retention Rate will be discontinued. The new WIOA measure will be calculated based on the percent employed in the 4th quarter after program exit.
	Result	76.8%	77.9%	79.4%	77.4%	--	--	--			
	Status	Y	Y	Y	N	--	--	--			
Number of Participants Served (Indian and Native American Program)	Target	32,000	28,948	27,439	28,047	31,748	34,458	35,837	Emphasis on decreasing the amount unspent funds at the end of the PY by enrolling more participants in the program.		
	Result	38,238	35,464	36,498	31,765	--	--	--			
	Status	Y	Y	Y	Y	--	--	--			

**Sources:** WIA Adult and Dislocated Worker - Annual State WIA performance reports (ETA-9091) and quarterly reports (ETA-9090). INAP - quarterly reports (ETA-9084). NFJP - WIA Standard Participant Record (WIASPR) and Program Status Summary Reports (ETA-9095). SCSEP - SCSEP Performance and Results Quarterly Performance Report (SPARQ).

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**Notes:** Targets for most of the programs that support this strategic objective have been revised [r] based on a regression model that accounts for the effect of unemployment rates on program performance outcomes and OMB's assumptions about future economic conditions. Several states (AK, AR, DE, ID, MT, NE, SC, VT, and WY) are not included in the Entered Employment Rate - Training measure for the Adult and Dislocated Worker programs.

### Veterans' Employment and Training Service

VETS assesses the performance of the American Job Center system on behalf of veterans served by the Jobs for Veterans State Grants (JVSG) program by tracking the services provided to participants and participants' employment outcomes. Over the past three fiscal years, VETS' federal staff have provided monitoring, oversight, and technical assistance to State Workforce Agencies (SWAs) to aggressively increase the rate of intensive services provided to JVSG participants. Intensive services include comprehensive and specialized assessments of skill levels and needs, development of an individual employment plan, group and individual career counseling and planning, and short-term skills development (such as interview and communication skills). Since FY 2011, the rate of intensive services, which have been shown to improve employment outcomes, has increased from 25.0 percent to 75.9 percent. VETS is on target to reach 90 percent for the period ending September 30, 2016.

In April 2014, the Department released guidance which clarified that only veterans with significant barriers to employment, or other veteran populations specified by the Secretary, may be referred to the JVSG program. The guidance also outlined the statutorily-mandated responsibilities of Disabled Veterans' Outreach Program (DVOP) specialists to provide intensive services to veterans, and of Local Veterans' Employment Representative (LVER) staff to conduct outreach activities to local businesses and employers. A 2015 analysis of American Job Centers services by the Department's Chief Evaluation Office found veterans in AJC employment programs, particularly those in JVSG, are doing better than non-veterans on a number of dimensions, including receiving services more quickly (consistent with priority of service), becoming employed, staying employed, and having higher earnings.

VETS also reports on the average earnings of participants, six months after exit from the program. This measure is tracked for all veterans and for the subset of post-9/11 Era veterans, or those who served after September 1, 2001. The FY 2015 result for veterans with significant barriers to employment was higher than the 2014 result but still lower than the target.

In FY 2015, VETS continued work to improve the DOL Employment Workshop for exiting service members. In the final two quarters of the fiscal year, VETS conducted a complete review and revision of the DOLEW curriculum. The curriculum was updated to include employment protections for veterans under the Equal Employment Opportunity (EEO) and Americans with Disabilities Act (ADA). In addition, VETS added content on the Veterans Employment Center portal and expanded the information covering American Job Centers and Registered Apprenticeships. This incorporated extensive input from TAP stakeholders to include; military transition services personnel, transitioning service members, private sector employers, and Veterans Service Organizations (VSOs). The revised curriculum will be implemented in FY 2016.

VETS conducts compliance investigations under the Uniformed Services Employment and Reemployment Rights Act (USERRA). Beginning in FY 2012, VETS implemented a metric to assess the quality of USERRA investigations. Each quarter, a sampling of closed cases is reviewed by

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experienced USERRA investigators. The results of this measure remain on target, with FY 2015 cases receiving an average score of 91.6 percent. VETS is committed to continuous improvement of its USERRA program, and will continue to implement process improvements in FY 2016.

VETS – Provide increased rates of intensive services to veterans and their families to advance their employment opportunities and protect the employment and reemployment rights of service members

*Target reached (Y), Improved (I), or Not Reached (N)		FY/PY 2011	FY/PY 2012	FY/PY 2013	FY/PY 2014	FY/PY 2015	FY/PY 2016	FY/PY 2017	What Worked	What Didn't Work	Program Performance Improvement Plan
Average six-month earnings of veterans served by DVOP specialists	Target	--	\$15,750	\$16,000	\$16,500	\$16,500	\$16,250	\$16,500	In the first year after JVSG refocusing, only those veterans with significant barriers to employment were referred to DVOP specialists, as opposed to all veteran job seekers.	Given that the program provided services to a "harder-to-serve" population, post-participation wages were lower than anticipated.	The agency will correct future targets to more appropriately reflect the wages of veterans with significant barriers to employment.
	Result	\$15,619	\$16,129	\$16,242	\$15,748	\$16,201	--	--			
	Status	--	Y	Y	N	I	--	--			
Average six-month earnings of post-9/11 Era veterans served by DVOP specialists	Target	--	--	Base	\$15,000	\$16,000	\$16,250	\$16,500	JVSG eligibility was expanded in FY 2014 to include any veteran, ages 18-24, and specific groups of transitioning service members.	N/A	VETS continues to promote increasing rates of intensive services for participants to mitigate significant barriers to employment.
	Result	--	--	\$14,742	\$15,725	\$16,346	--	--			
	Status	--	--	--	Y	Y	--	--			
Percent of JVSG Veterans receiving intensive services - FY basis	Target	--	32.0%	38.0%	50.0%	75.0%	90.0%	90.0%	The rate of intensive services continues to increase, due to federal oversight and guidance.	N/A	N/A
	Result	25.0%	31.0%	39.2%	47.4%	75.9%	--	--			
	Status	--	I	Y	I	Y	--	--			
Average facilitator TAP assessment score	Target	--	--	--	Base	90.0%	92.0%	92.0%	This was the second year that the Agency used a standardized tool to assess TAP DOLEW facilitators. The average assessment score continues to improve.	N/A	N/A
	Result	--	--	--	90.8%	94.1%	--	--			
	Status	--	--	--	--	Y	--	--			

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*Target reached (Y), Improved (I), or Not Reached (N)		FY/PY 2011	FY/PY 2012	FY/PY 2013	FY/PY 2014	FY/PY 2015	FY/PY 2016	FY/PY 2017	What Worked	What Didn't Work	Program Performance Improvement Plan
Percent of Closed Cases Meeting the Agency's Quality Standard	Target	--	Base	84.0%	84.0%	92.0%	92.0%	92.0%	The USERRA quality measure remained above 90% for the second straight year. The Agency continues to promote a balance between timeliness of investigations and quality.	N/A	N/A
	Result	--	83.3%	83.4%	91.5%	91.6%	--	--			
	Status	--	--	I	Y	I	--	--			

**Sources:** State reported outcomes via the VETS-200 Reports, except for the states of Pennsylvania, Texas, and Utah, which use the ETA-9133 Reports. The Veterans' Employment and Training Operations and Programs Activity Report (VOPAR) system, USERRA Information Management System.

**Notes:**

**Strategic Objective 1.2 – Provide marketable skills and knowledge to increase workers’ incomes and help them overcome barriers to the middle class through partnerships among business, education, labor, community organizations and the workforce system**

**Analysis and Future Plans**

Employment and Training Administration

In PY 2014, ETA worked to increase the number of participants earning industry-recognized credentials (a DOL Priority Goal in FY 2012-15) through investments in youth education and training under the WIA Youth (Youth), Job Corps, YouthBuild, and Reintegration of Ex-Offenders (RExO) programs, and through increased collaboration with Registered Apprenticeship program sponsors (including employers) and the workforce and education systems via the Apprenticeship program.

As noted in the narrative for Strategic Objective 1.1, implementing WIOA continues to be ETA’s primary focus in FY 2016/PY 2015.

In FY 2015, credential attainment jumped from 59.0 percent in FY 2014 to 67.1 percent in FY 2015 for the programs contributing to this DOL Priority Goal, including Adult, Dislocated Worker, National Emergency Grants (NEG), Youth, Trade Adjustment Assistance, Apprenticeship, REO, Job Corps, and YouthBuild. ETA continued working towards increasing awareness, accuracy, and focus in the workforce system on the attainment of industry recognized credentials. This work included providing guidance and technical assistance to state partners and grantees.

Literacy and numeracy outcomes (measured by the percent who gained one Adult Basic Education (ABE) level in either category) increased slightly in PY 2014 for YouthBuild participants but fell by almost two percentage points for Youth participants and fell by almost three percentage points for Job Corps students. While the literacy and numeracy gains measure decreased slightly for Youth, it continues to remain well above the target at more than four percentage points higher than the target. The literacy and numeracy rate for Job Corps’ has declined over the past two years, however, Job Corps continues to establish aggressive performance targets and was able to achieve 95 percent of the targets. Per WIOA, this measure will be replaced in PY 2016 with a measure of skills gains.

The percent of Job Corps students who earned credentials (e.g., diploma, high school equivalency, or certificate) dropped in PY 2014 by three percentage points. For the same measure, the YouthBuild result increased from 66.84 percent in PY 2013 to 68.32 percent in PY 2014, and the Youth result was slightly lower than in PY 2013. For Job Corps, industry-recognized certification attainment increased to 95.50 percent from 93.50 percent the previous year. Placement in employment, continued education, or the military increased for Job Corps, YouthBuild, and Youth participants in PY 2014 as compared to PY 2013.

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The RExO Entered Employment Rate for Non-Youth decreased by almost six percentage points in PY 2014, and the Recidivism Rate for Non-Youth increased by almost two percentage points. DOL will be working with these grantees to improve their outcomes. Additionally, due to the numerous ways recidivism rates may be measured, adult offender grantees have been reporting inconsistent rates. The recidivism rates found by Social Policy Research using state criminal records data in their random assignment evaluation of previous RExO-Adult grants were much higher than those reported by RExO-Adult grantees. To ensure accuracy, the Chief Evaluation Officer is working with ETA to develop a way to obtain program enrollees' recidivism rates directly from criminal justice system records data.

In FY 2015, the Number of Active Registered Apprentices Nationally increased to nearly 450,000. This represents a nine percent overall increase (37,554) from the start of the Fiscal Year. In September 2015, DOL awarded \$175 million in grant funding to expand Registered Apprenticeship programs in high-skilled, high-growth industries. ETA expects the new grant funding combined with a continued focus to increase the number of active apprentices through its Leaders of Excellence in Apprenticeship Development, Education and Research (LEADERS) initiative, regional Sector of Excellence in Apprenticeship (SEA) efforts, and continued Administration support will raise the number to 500,000 in FY 2016. This measure is an indicator for a DOL Priority Goal for FY 2016-17, with a target of 600,000 apprentices by September 30, 2017. Other related results include a \$157 improvement in Apprentices' six month average earnings compared to FY 2014. While the completion rate (timely receipt of a certificate) declined slightly from 46.00 to 45.15 percent in FY 2015, it still remains comparatively higher than average 2- and 4-year college graduation rates.

ETA – Increase the number of participants earning industry-recognized credentials.

*Target reached (Y), Improved (I), or Not Reached (N)		FY/PY 2011	FY/PY 2012	FY/PY 2013	FY/PY 2014	FY/PY 2015	FY/PY 2016	FY/PY 2017	What Worked	What Didn't Work	Program Performance Improvement Plan
Percent of Training Program Exiters who Earn an Industry Recognized Credential (APG)	Target	--	59.00%	59.50%	59.50%	62.90%	--	--			
	Result	--	57.20%	59.00%	64.50%	66.80%	--	--			
	Status	--	--	I	Y	Y	--	--			
Entered Employment Rate for Non-Youth/Employment in the 2nd quarter after exit (Reintegration of Ex-offenders - Adult)	Target	58.1%	58.5%	59.3%	60.6%	61.2%	TBD	TBD	As of June 30, six of the 16 grants in the first round of the Training to Work initiative have each placed over 100 enrollees in jobs.	Five of the 16 first-round Training to Work grants have extremely low entered employment rates.	Beginning in PY 2016, Employment Retention Rate will be discontinued. The new WIOA measure will be calculated based on the percent employed in the 4th quarter after program exit.
	Result	58.0% [r]	58.6%	57.8%	52.1%	--	--	--			
	Status	--	Y	N	N	--	--	--			

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*Target reached (Y), Improved (I), or Not Reached (N)		FY/PY 2011	FY/PY 2012	FY/PY 2013	FY/PY 2014	FY/PY 2015	FY/PY 2016	FY/PY 2017	What Worked	What Didn't Work	Program Performance Improvement Plan
Recidivism Rate for Non-Youth (Reintegration of Ex-offenders - Adult)	Target	22.00%	22.00%	22.00%	22.00%	22.00%	22.00%	22.00%	The Training to Work grants are showing very low recidivism rates for their enrollees.	There is a problem with the recidivism rates grantees have been reporting as Social Policy Research has found much higher recidivism rates of past enrollees based on state criminal records data.	ETA is working with the Chief Evaluation Officer to obtain recidivism rates for our adult offender enrollees directly from criminal justice system records.
	Result	12.00%	13.20%	10.59%	12.33%	--	--	--			
	Status	Y	Y	Y	Y	--	--	--			
Placement in Employment or Education (Job Corps)	Target	66.3%	74.0%[r]	65.0%	77.0%	77.5%	TBD	TBD	The increased emphasis on initial placement and long-term job market attachment have resulted in better outcomes.		In PY 2016, placement measure will be discontinued. The new WIOA measure will be calculated based on the percent placed in education, training, or employment in the 2nd quarter after program exit.
	Result	73.3%	74.6%	76.7%	79.1%	--	--	--			
	Status	Y	Y	Y	Y	--	--	--			
Attainment of Degree or Certificate (Job Corps)	Target	57.0%	65.0%[r]	58.0%	67.0%	63.0%	TBD	TBD		The new 2014 GED proved to be much more difficult than the previous version. Significantly fewer Job Corps students were able to pass the new GED test in this transition year (PY 2014).	In PY 2016, the attainment measure will be discontinued. The new WIOA measure will be calculated based on the percent placed in education, training, or employment in the 4th quarter after exit.
	Result	64.9%	70.5%	66.8%	63.5%	--	--	--			
	Status	Y	Y	Y	N	--	--	--			
Literacy and Numeracy Gains (Job Corps)	Target	60.0%	65.5%[r]	62.0%	66.5%	63.0% [r]	TBD	TBD			Beginning in PY 2016, Literacy and Numeracy Gains will be discontinued. The new WIOA measure will be credential attainment.
	Result	64.7%	69.2%	66.1%	63.2%	--	--	--			
	Status	Y	Y	Y	N	--	--	--			

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*Target reached (Y), Improved (I), or Not Reached (N)		FY/PY 2011	FY/PY 2012	FY/PY 2013	FY/PY 2014	FY/PY 2015	FY/PY 2016	FY/PY 2017	What Worked	What Didn't Work	Program Performance Improvement Plan
Percent of Job Corps Students Who Attain Industry-Recognized Certifications (Job Corps)	Target	50.0%	51.0%	70.0%	94.0%	65.0% [r]	94.5%	65.0%	Continued emphasis on attainment of Industry-Recognized Credentials (IRCs) have led to upward trending of results since PY 2011.		In PY 2015, this measure was redefined to include primary IRCs.
	Result	77.3%	89.0%	93.5%	95.5%	--	--	--			
	Status	Y	Y	Y	Y	--	--	--			
Average wage of graduates at initial placement (Job Corps)	Target	\$9.25	\$9.30	\$9.35	\$10.00	\$10.10	--	\$10.50			
	Result	\$9.60	\$9.70	\$9.90	\$10.30 [e]	--	--	--			
	Status	Y	Y	Y	Y	--	--	--			
Placement in Employment or Education (YouthBuild)	Target	41.7%	50.2%	50.0% [r]	50.4%	50.5%	TBD	TBD			In PY 2016, placement measure will be discontinued. The new WIOA measure will be calculated based on the percent placed in education, training, or employment in the 2nd quarter after program exit.
	Result	47.5%	49.6%	60.6% [r]	52.4%	--	--	--			
	Status	Y	I	Y	Y	--	--	--			
Attainment of Degree or Credential (YouthBuild)	Target	60.0%	62.9%	67.2% [r]	67.1%	67.1%	TBD	TBD			In PY 2016, the attainment measure will be discontinued. The new WIOA measure will be calculated based on the percent placed in education, training, or employment in the 4th quarter after exit.
	Result	66.2%	67.2%	66.8%	68.3%	--	--	--			
	Status	Y	Y	N	Y	--	--	--			
Literacy and Numeracy Gains (YouthBuild)	Target	52.0%	58.8%	58.5% [r]	57.8%	57.6%	TBD	TBD			See above.
	Result	58.2% [r]	59.1%	59.5%	60.5%	--	--	--			
	Status	Y	Y	Y	Y	--	--	--			



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*Target reached (Y), Improved (I), or Not Reached (N)		FY/PY 2011	FY/PY 2012	FY/PY 2013	FY/PY 2014	FY/PY 2015	FY/PY 2016	FY/PY 2017	What Worked	What Didn't Work	Program Performance Improvement Plan
Placement in Employment or Education (WIA Youth)	Target	53.3%	59.7%	66.4%	66.8%	66.9%	--	--			In PY 2016, placement measure will be discontinued. The new WIOA measure will be calculated based on the percent placed in education, training, or employment in the 2nd quarter after program exit.
	Result	59.3%	66.0%	65.4%	67.3%	--	--	--			
	Status	Y	Y	N	Y	--	--	--			
Attainment of Degree or Certificate (WIA Youth)	Target	54.7%	59.6%	62.3%	62.2%	62.2%	--	--			In PY 2016, the attainment measure will be discontinued. The new WIOA measure will be calculated based on the percent placed in education, training, or employment in the 4th quarter after exit.
	Result	62.6%	62.3%	66.6%	65.7%	--	--	--			
	Status	Y	Y	Y	Y	--	--	--			
Literacy and Numeracy Gains (WIA Youth)	Target	40.4%	40.8%	46.9%	46.2%	46.0%	--	--			Beginning in PY 2016, Literacy and Numeracy Gains will be discontinued. The new WIOA measure will be credential attainment.
	Result	47.7% [r]	47.5%	52.4%	50.7%	--	--	--			
	Status	Y	Y	Y	Y	--	--	--			
Six Months Average Earnings/Median Earning in the 2nd quarter after exit (Apprenticeship)	Target	\$19,352	\$19,352	\$19,999	\$25,201	\$25,201 [r]	\$25,642	\$26,217	The Six Months' Average Earnings for program completers was \$31,124 which is over \$6,675 more than that of all program exiters (i.e., completers or those who cancelled).	The speed of the economic recovery has helped generate new apprenticeships across the county but has not translated into ubiquitous wage gains over the last year.	Beginning in PY 2016, Six Month Average Earnings will be discontinued. The new WIOA measure will be Median Earnings of those employed in the 2nd quarter after program exit.
	Result	\$22,210	\$23,409	\$24,171	\$24,292 [r]	\$24,449	--	--			
	Status	Y	Y	Y	I	I	--	--			

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*Target reached (Y), Improved (I), or Not Reached (N)		FY/PY 2011	FY/PY 2012	FY/PY 2013	FY/PY 2014	FY/PY 2015	FY/PY 2016	FY/PY 2017	What Worked	What Didn't Work	Program Performance Improvement Plan
Number of Active Registered Apprentices	Target	--	--	--	400,000 [p]	450,000 [p]	500,000 [p]	600,000 [p]	The number of commitments from labor unions, community colleges, and industry associations to be Leaders of Excellence in Apprenticeship Development, Education and Research is now at 150 and growing.		OA continues to implement actions in support of the President's challenge to double the number of apprentices by the end of FY 2019
	Result	--	--	375,425	410,375	447,929	--	--			
	Status	--	--	--	--	--	--	--			
Apprenticeship National Completion Rate	Target	--	--	40.00%	45.00%	47.00%	48.00%	49.00%	OA works to improve timely completion of apprentices through enhanced technical assistance to program sponsors.		Timely completions are a major driver for this measure, OA will place a renewed emphasis on reducing the number of overdue apprentices in the system.
	Result	--	--	44.00%	46.00%	45.15%	--	--			
	Status	--	--	Y	Y	N	--	--			

**Sources:** Apprenticeship – Registered Apprenticeship Partners Information Data System (RAPIDS). YouthBuild – grantees’ quarterly reports. Job Corps – Job Corps Management Information System. WIA Youth – Annual State WIA performance reports (ETA-9091). APG – State/Grantee Quarterly Reports.

**Notes:** Targets for most of the programs that support this strategic objective have been revised [r] based on a regression model that accounts for the effect of unemployment rates on program performance outcomes and OMB’s assumptions about future economic conditions. The Entered Employment Rate for Non-Youth (REO) performance measure result reflects program-to-date data (since program inception in Spring 2006).

## Strategic Objective 1.3 – Advance workers’ rights, acceptable work conditions, and livelihoods, particularly for the world’s vulnerable populations

### **Analysis and Future Plans**

#### Bureau of International Labor Affairs (ILAB)

In FY 2015, ILAB met or exceeded targets for two of the four reported outcome measures established in FY 2011. In FY 2016, ILAB will continue refining its policy performance indicator to more accurately capture the effectiveness of its work.

#### ***Policy***

As a result of ILAB activities in FY 2015, various countries and international fora adopted 27 policy positions that reflect USG international labor interests and priorities, representing 74 percent of the targeted number of 34. In light of the high priority that the Administration put on the negotiations of trade agreements, ILAB directed efforts towards the completion of the Trans-Pacific Partnership (TPP) and the initiation of discussions with the European Union for the Transatlantic Trade and Investment Partnership. The TPP includes commitments by 11 countries to maintain the highest labor standards in any free trade agreement in history. ILAB assisted the U.S. Trade Representative and other Administration partners in negotiating consistency plans with three of the signatory countries: Viet Nam, Malaysia, and Brunei. As a result these countries will be required to undertake extensive legal and institutional reforms to ensure compliance with labor standards in the TPP.

#### ***Grant-Funded Technical Assistance***

In FY 2015, ILAB managed 74 active grants for at least part of the year, totaling approximately \$392 million, and met or exceeded targets for all performance measures related to grant-funded technical assistance. ILAB focused on priority countries and initiatives while keeping adequate regional coverage. As in FY 2015, ILAB will continue funding child labor projects that have a broader worker rights and livelihoods component for FY 2016. ILAB will also focus on countries where the political and institutional context offers particular opportunities for the effective application of an integrated approach benefiting both child labor eradication and worker rights goals.

#### ***Grant-Funded Technical Assistance –Worker Rights in Trading Partner Countries***

In FY 2015, ILAB funded model programs in 17 countries to strengthen government enforcement of labor laws, improve voluntary compliance by businesses with international labor standards, and strengthen the capacity of workers’ organizations to represent workers. ILAB worked closely with governments, multilateral and regional organizations, and business and workers’ organizations.

#### ***Grant-Funded Technical Assistance – Child Labor***

In FY 2015, ILAB initiated new projects to provide livelihood services to vulnerable households, continued efforts building global capacity to combat child labor, and oversaw and managed projects initiated in previous fiscal years. ILAB worked with grantees in over 60 countries, reaching

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48,491 children engaged in or at high risk of entering child labor, exceeding its annual target by 170 percent. ILAB also worked on specific projects to help increase the capacity of governments to address child labor in 29 countries through passage of new child labor legislation and policies, establishment of child labor monitoring systems, training teachers and labor inspectors, and support for data collection and research on child labor and forced labor.

DM – Improve worker rights and livelihoods for vulnerable populations

*Target reached (Y), Improved (I), or Not Reached (N)		FY/PY 2011	FY/PY 2012	FY/PY 2013	FY/PY 2014	FY/PY 2015	FY/PY 2016	FY/PY 2017	What Worked	What Didn't Work	Program Performance Improvement Plan
Number of policy positions adopted by international fora and countries that reflect ILAB and DOL priorities	Target	Base	34	34	34	34	38	41	Greater engagement of stakeholders, increased relationship building, and trade-related negotiations.	ILAB prioritized TransPacific Partnership free trade agreement negotiations, a top Administration priority and historic achievement, over increasing policy positions adopted in international fora.	This outcome measure will be modified or removed as ILAB further develops qualitative measures to track the progress of policy priorities over time.
	Result	34	36	45	35	27	--	--			
	Status	--	Y	Y	Y	N	--	--			
Number of children engaged in or at high-risk of entering the worst forms of child labor provided education or vocational services	Target	Base	81,181	67,077	66,760	28,538	26,000	--	Almost all ILAB projects met or exceeded targets for provision of education services. A low target was set because of the Ebola epidemic; however, a project in Liberia served some 7,000 children.		ILAB continues to work with grantees to ensure they set appropriate targets through close monitoring and communication with the projects.
	Result	100,006	100,436	90,217	75,205	48,491	--	--			
	Status	--	Y	Y	Y	Y	--	--			
Number of countries in which worker rights and/or working conditions are improved	Target	Base	13	15	15	15	17	24	Greater engagement of stakeholders, increased relationship building, and trade-related negotiations.		This outcome measure will be removed as ILAB further develops performance measures to capture improvements in workers' rights and working conditions.
	Result	13	7	15	16	21	--	--			
	Status	--	N	Y	Y	Y	--	--			

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*Target reached (Y), Improved (I), or Not Reached (N)		FY/PY 2011	FY/PY 2012	FY/PY 2013	FY/PY 2014	FY/PY 2015	FY/PY 2016	FY/PY 2017	What Worked	What Didn't Work	Program Performance Improvement Plan
Number of countries with improved capacity of the government and/or other social partners to protect worker rights and/or improve working conditions as a result of DOL interventions	Target	Base	18	21	16	20	22	30	Greater engagement of stakeholders, increased relationship building, and trade-related negotiations.		This outcome measure will be removed as IILAB further develops performance measures to capture improvements in workers' rights and working conditions.
	Result	18	8	20	17	19	--	--			
	Status	--	N	I	Y	I	--	--			

**Sources:** Grantee Technical Progress Reports, Project Monitoring and Internal Records.

**Notes:**

## **Strategic Goal 2: Improve workplace safety and health**

### **Strategic Objective 2.1 – Secure safe and healthy workplaces, particularly in high-risk industries**

#### **Analysis and Future Plans**

##### Occupational Safety and Health Administration (OSHA)

In FY 2015, OSHA continued work on establishing baselines and targets for DOL Priority Goals to secure safe and healthy workplaces, particularly in high risk industries OSHA missed its targets for number of safety inspections and number of health inspections by 3 percent and 9 percent, respectively, due in part to a shift in resources. OSHA's new Severe Injury Reporting Program had a significant effect on OSHA inspections in FY 2015. The new requirement for employers to report single hospitalizations, amputations, or losses of an eye is providing OSHA with information on severe injuries in real time and gives OSHA the ability to reach employers the Agency had not been able to reach before. A typical week results in 200-300 reports; OSHA directly inspects about 40 percent of the reports, and the overwhelming majority of these inspections are safety inspections. For the rest of the reports, OSHA responds through Rapid Response Investigations (RRI) or a finding that the event was non-work-related. These and other unprogrammed inspections, such as complaints and referrals, are a vital part of OSHA's work; properly screening complaints and responding in a timely manner are effective ways to target dangerous workplaces.

In addition, to increase focus on those industries and workplaces with the greatest potential for health and safety hazards, in FY 2014 OSHA established a baseline for the percent of inspection that are National Emphasis Programs (NEP) and Local Emphasis Programs (LEP). In FY 2016, OSHA is targeting for 70 percent of all investigations to be NEP/LEP. Programmed inspections are based on analyses of workplace and industry risks and statistics; they are data-driven, focusing on workplaces, practices, and substances posing the greatest risk to workers. Of these, NEP and LEP investigations have historically been critical in supporting the Secretary's goal of securing safe and healthy workplaces.

Also, in FY 2014, OSHA began a trial of an enforcement weighting system that accounts for the different amounts of time and resources required by different types of enforcement activities. In FY 2015, OSHA ran both systems in parallel, analyzing and adapting the enforcement weighting system as the Agency learned more about how it works in practice. In FY 2016, OSHA will use enforcement weighting system results as performance measures.

In FY 2016, OSHA will continue to use enforcement, regulation, compliance assistance, and outreach to meet the agency's priorities of reducing workplace injuries, illnesses, and fatalities. The number of workplaces in the U.S. makes it impossible for OSHA compliance officers to inspect

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more than a fraction of them in a year, so OSHA will strategically prioritize its resources to target those issues and areas which will yield the greatest impact. Corporate Wide Settlement Agreements (CSAs) and the Severe Violator Enforcement Program (SVEP) are additional tools OSHA uses to target establishments which require improvement across a number of locations (CSAs) or are particularly recalcitrant (SVEP). In FY 2016, the Agency will continue to use CSAs and SVEP to gain the maximum advantage from OSHA's enforcement actions.

OSHA – Improve workplace safety and health through the enforcement of occupational safety and health regulations and standards

*Target reached (Y), Improved (I), or Not Reached (N)		FY/PY 2011	FY/PY 2012	FY/PY 2013	FY/PY 2014	FY/PY 2015	FY/PY 2016	FY/PY 2017	What Worked	What Didn't Work	Program Performance Improvement Plan
Safety Inspections	Target	33,200	33,720	31,993	30,108	29,883	27,061	28,261	Hard work by Compliance Safety and Health Officers (CSHOs) and management to meet operational targets despite ever-smaller resources due to attrition within the framework of a hiring freeze.	The increased response activity brought on by the new injury/illness reporting shifted resources toward unprogrammed safety inspections and Rapid Response Investigations.	OSHA will continue to review the impact of the new reporting requirements and make adjustments to the inspection procedures as necessary.
	Result	33,341	33,580	31,948	29,345	28,905	--	--			
	Status	Y	I	N	N	N	--	--			
Health Inspections	Target	6,800	7,280	6,907	7,527	7,602	6,554	7,091	see above	In addition to activity from the injury/illness reporting requirement which was mostly safety related, there was significant attrition of Industrial Hygienists, thereby restricting health activity	With the implementation of the Enforcement Weighting System, which has several categories weighted based on health activity, the outlook for health inspections is good.
	Result	7,317	7,381	7,280	6,818	6,917	--	--			
	Status	Y	Y	Y	N	I	--	--			
Percent of inspections that are LEP/NEP	Target	--	--	--	68.7%	68.7%	70.0%	--	Through strategic targeted programs both nationally and regionally, OSHA was able to allocate inspection resources to high-hazard workplaces.	Not applicable.	Not applicable.
	Result	--	--	--	77.1%	74.0%	--	--			
	Status	--	--	--	Y	Y	--	--			

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*Target reached (Y), Improved (I), or Not Reached (N)		FY/PY 2011	FY/PY 2012	FY/PY 2013	FY/PY 2014	FY/PY 2015	FY/PY 2016	FY/PY 2017	What Worked	What Didn't Work	Program Performance Improvement Plan
Number of hazards abated associated with falls in construction	Target	--	--	--	Base	Base	--	--	Baseline successfully established.	Not applicable.	Not applicable.
	Result	--	--	--	9,148	8,582	--	--			
	Status	--	--	--	--	--	--	--			
Number of hazards abated associated with falls in general industry	Target	--	--	--	Base	Base	--	--	Baseline successfully established.	Not applicable.	Not applicable.
	Result	--	--	--	941	746	--	--			
	Status	--	--	--	--	--	--	--			
Percent of FAME recommendations addressed	Target	--	--	--	Base	60%	--	--	This measure was tracked for the first time in FY 2014. There is no relevant historical data to evaluate year-over-year performance. OSHA succeeded in reaching the target on this measure in FY 2015.	Not applicable.	Not applicable.
	Result	--	--	--	--	60%	--	--			
	Status	--	--	--	--	Y	--	--			
Number of personnel trained in OSHA's training programs	Target	--	--	--	883,517 [p]	836,930 [p]	--	--	OSHA external training programs (OTI Education Centers, Outreach Training, and Susan Harwood Training Grants) showed record highs in the numbers trained. Internal training increased 35% over FY 2014.	Not applicable.	Not applicable.
	Result	857,166	833,117	885,293	938,056	996,523	--	--			
	Status	--	--	--	--	--	--	--			

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

**Notes:** In FY 2016, OSHA will shift from a set number of unweighted inspections to enforcement weighting system results as performance measures.



## Strategic Goal 2

### Mine Safety and Health Administration

In FY 2015, MSHA achieved its DOL Priority Goal to reduce mining fatalities by five percent. The rate actually fell by 11 percent (from .0141 to .0125 fatalities per 200,000 hours worked) after remaining flat from FY 2013-14, resuming a downward trend and resulting in a cumulative drop of 24 percent since FY 2011. In FY 2016, MSHA will continue to develop and implement new ways to make enforcement more effective, less predictable (for miners), and more strategic.

Mining deaths are preventable. In order to prevent mine deaths, operators must have in place effective safety and health management programs that are constantly evaluated, find-and-fix programs to identify and eliminate mine hazards, and training for all mining personnel. MSHA has undertaken a number of measures to prevent mining deaths: increased monitoring and strategic enforcement through impact inspections at mines with troubling compliance histories; a more robust Pattern of Violations (POV) program; special initiatives such as "Rules to Live By," which is regularly evaluated for effectiveness and focuses attention on the most common causes of mining deaths; 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. These efforts will continue in FY 2016.

MSHA conducted comprehensive health inspections at 21.3 percent of MNM mines in FY 2015; 4.5 percentage points above the FY 2014 result. In conjunction with established Agency health priorities, inspectors must use a strategy to review potential hazards at each mine and then, if warranted, select "high risk" occupations for personal sampling. Walk-around observations, reviews of materials mined and/or produced, discussions with miners and mine management, and direct-read area sampling were used to determine which occupations or areas are "high risk" and, if warranted, should be sampled. Some mines also receive a more comprehensive inspection, based on analysis and mine inspector observations.

In FY 2015, MSHA initiated investigations for all 103(g) imminent danger complaints within one day of receipt. Informed miners are an essential element in maintaining a safe and healthful environment in all mines, at all times. The Mine Act gives miners the right to be a full stakeholder in their own health and safety. MSHA will continue to give these complaints the highest priority in FY 2016. MSHA continues on-site monitoring of approved instructors to ensure they are providing effective health and safety training to miners. MSHA is placing special emphasis on evaluation of contract instructors. In FY 2015, MSHA monitored and evaluated 953 training instructors – the most ever.

For the sixth consecutive year MSHA completed all of its statutorily mandated inspections in all 50 states, Puerto Rico and the Virgin Islands. MSHA is in the process of executing its plan for implementing the Mine Act in the US Territories – Guam, American Samoa and the Commonwealth of the Northern Mariana Islands.

In FY 2015, MSHA exceeded its target for timely review of roof control and ventilation plans by seven percentage points with a result of 77 percent against a target of 70 percent. At the end of FY 2013, MSHA evaluated the process for reviewing roof control and ventilation plans and decided to revise the reviews to account for the Operator's time involved in the approval process. As expected, this procedural change resulted in positive effects on the timeliness of plan reviews in FY 2014 and FY 2015.

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In addition to the exceptional work performed at MSHA every day, there were numerous achievements in 2015 that are worthy of recognition. Among them: Sampling taken during the first year of the Respirable Coal Mine Dust Rule shows that compliance with the Rule is achievable. Of the 61,885 samples that operators and MSHA collected from coal mines during the first year of the Rule, August 1, 2014 through July 31, 2015, about 99 percent did not exceed the compliance level. Moreover, operators' average concentrations with the greatest dust exposures are at a new record low of .65 milligrams per cubic meter of air ( $\text{mg}/\text{m}^3$ ), which is far below the  $1.5\text{mg}/\text{m}^3$  standard that will be effective on August 1, 2016 when the last phase of the Rule is implemented. That yearly average has dropped to historic lows each year following the End Black Lung –Act Now campaign launched in late 2009.

In FY 2013, MSHA published a final rule to revise its regulation implementing Section 104(e) of the Mine Act's POV provision. Evidence from the POV process shows compliance improvement by operators. In 2010, the first year of the reforms, MSHA identified 51 mines meeting the screening criteria for further consideration for a POV notice. Since then there has been steady improvement, with 39 mines identified in the screening in 2011 and 20 mines identified in 2012. During the most recent screening in 2015, only one coal mine warranted further review. Upon completion of the review, no coal or metal and nonmetal mines met the criteria for further consideration of a POV notice. Not only are fewer mines being identified, but compliance with health and safety conditions at mines identified through the POV process has improved. As of September 31, 2015, the following impact on compliance at those mines compared to the six months prior to each mine's evaluation period shows the violations per inspection hour among the mines decreased 41 percent, S&S violation rates decreased by 65 percent and the rate of unwarrantable failure violations decreased by 84 percent. The lost time injury rate dropped by 53 percent compared to the 12 months prior to each mine's evaluation period. Moreover, the number of S&S violations dropped by 40 percent at the top 200 mines nationally since the 2010 POV reforms were put in place. During the 2010 screening period, there were about 20,000 S&S violations issued at the top 200 mines. Six years later, during the 2015 screening period, 12,000 S&S violations were issued, a significant reduction.

In May 2015, MSHA launched an initiative requiring quarterly reports to be sent to MSHA Districts and Field Office Supervisors (FOS) showing summary results of contested citations and orders including the summary of changes to improve efficiency, consistency and sustaining of citations and orders. Some MSHA field offices did not receive the results of the citations and orders issued by their offices and were unaware of the overall results of the contested violations. Some field offices had a wider range of modifications of contested citations and orders than others. The newly implemented web tool contains data on all settled citations and orders and will allow MSHA districts and field office supervisors to drill down into each settled citation and order to determine what was modified.

On September 30, MSHA announced it had provided \$8.441 million in grants to 47 states and the Navajo Nation. These grants support safety and health training courses and other programs.

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MSHA – Prevent death, disease, and injury from mining and promote safe and healthful workplaces for the Nation's miners

*Target reached (Y), Improved (I), or Not Reached (N)		FY/PY 2011	FY/PY 2012	FY/PY 2013	FY/PY 2014	FY/PY 2015	FY/PY 2016	FY/PY 2017	What Worked	What Didn't Work	Program Performance Improvement Plan
Five-year rolling average of fatal injuries per 200,000 hours worked	Target	0.0178	0.0156	0.0143	0.0134	0.0134	0.0119	TBD			
	Result	0.0164	0.0150	0.0141	0.0141	0.0125	--	--			
	Status	Y	Y	Y	N	Y	--	--			
Percent of MNM mines receiving comprehensive health inspections	Target	--	--	--	10.0%	20.0%	20.0%	20.0%	Techniques were used to determine which occupations or areas are "high risk" and, if warranted, should be sampled. Mines determined to be "high risk" receive a more comprehensive inspection.		In conjunction with established Agency health priorities, inspectors strategically review potential hazards and, if warranted, select "high risk" occupations for personal sampling.
	Result	--	--	--	16.8%	21.3%	--	--			
	Status	--	--	--	Y	Y	--	--			
Number of 103(g) imminent danger complaint investigations initiated within 1 day of receipt	Target	--	--	100%	100%	100%	100%	100%			
	Result	--	--	100%	100%	100%	--	--			
	Status	--	--	Y	Y	Y	--	--			
Number of approved instructor evaluations	Target	--	675	775	775	800	850	850			MSHA will continue on-site monitoring of instructors to ensure they are providing effective health and safety training to miners and place special emphasis on evaluation of contract instructors.
	Result	--	715	856	682	953	--	--			
	Status	--	Y	Y	N	Y	--	--			
Percent of regular mandated inspections completed	Target	--	--	--	99%	100%	100%	100%			
	Result	--	--	--	99%	100%	--	--			
	Status	--	--	--	Y	Y	--	--			

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*Target reached (Y), Improved (I), or Not Reached (N)		FY/PY 2011	FY/PY 2012	FY/PY 2013	FY/PY 2014	FY/PY 2015	FY/PY 2016	FY/PY 2017	What Worked	What Didn't Work	Program Performance Improvement Plan
Percent of mine plan reviews completed timely	Target	--	--	--	70%	70%	--	--	The districts have found the review process to be quicker when using back-and-forth discussions rather than disapproving plans and requesting resubmission.		The discussions can cause delays in completing the review process as MSHA and mine personnel work together to revise submitted plans to make them acceptable rather than disapproving them.
	Result	--	--	--	76%	77%	70%	70%			
	Status	--	--	--	Y	Y	--	--			

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

**Notes:** MSHA’s fatality rate reflects the number of fatalities per 200,000 hours worked during the prior five-year period. The FY 2016 result is required to calculate the FY 2017 target for this measure

## **Strategic Goal 3: Promote fair and high-quality work environments**

### **Strategic Objective 3.1 – Break down barriers to fair and diverse workplaces and narrow wage and income inequality**

#### **Analysis and Future Plans**

##### Office of Federal Contract Compliance Programs (OFCCP)

In FY 2015, OFCCP continued its commitment to an aggressive posture of Active Case Enforcement that supports the agency's three main strategies of *effective enforcement, outreach to workers, and regulatory reform*. In FY 2015, OFCCP created two categories of measures, Enforcement Priority Measures and Enforcement Activity Measures. Priority Measures involve Compensation, Mega Construction Projects, Quality, Timeliness, and Results for Workers, while Activity Measures include Supply & Service, Construction, and FAAP case closures. This strategic change formally recognized that Priority measures reflect OFCCP's mission critical focus areas for staff and outcomes that have the greatest impact on the job seekers and workers we protect, while Activity measures simply reflect the estimated OFCCP case load necessary to achieve these priority outcomes.

OFCCP continued its strategic approach to balancing quantity and quality in FY 2015, and results show that the agency continues to make progress towards finding this balance. OFCCP initiated its comprehensive strategy in FY 2011 by laying the foundation for embedding sustainable organizational change through the initiation of comprehensive regulatory reform, expanded scope of enforcement, unprecedented outreach to workers and vulnerable populations, redesign of quality assurance monitoring, extensive compliance officer training, and structural reorganization across the agency at many levels.

*Enforcement* – Even more significantly, in the third quarter of FY 2015, OFCCP made the strategic decision to de-emphasize case closure targets, with the intention of eliminating them completely starting in FY 2016. To increase enforcement impact, OFCCP instead focused its resources on developing high quality, larger, and more complex systemic discrimination cases in both compensation and hiring, and used the Mega Project strategy, focusing on construction projects that include a greater number of Federal contractor and subcontractor workers. These and other strategies make OFCCP more efficient. During this transition, FY 2015 results in back pay for workers saw a lull at \$5.9 million as OFCCP focused efforts in FY 2013 and FY 2014 on closing aged cases and developing larger and more complex systemic discrimination cases. Currently, systemic discrimination cases under investigation are at a record high, setting up the agency up for a potential significant increase in settlements in FY 2016.

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*Outreach/Education* – Since 2011, OFCCP has refined its relationship building strategy by prioritizing the development of effective and strategic relationships with an array of stakeholders to drive positive workplace change for workers. In FY 2014, the regions developed comprehensive and diverse lists of stakeholders who can help OFCCP achieve its priority goals centered on outreach, enforcement, and regulatory reform. In FY 2015, OFCCP leveraged these relationships to support specific case enforcement, such as increasing the number of affected class members located, connecting job placement providers with contractors that have job opportunities, and increasing participation in Mega Projects. To support the field’s enforcement efforts, OFCCP launched the Class Member Locator Website and video in late FY 2015, to help locate affected class members during the case investigation. In FY 2016, OFCCP will continue to work on the formal evaluation of its relationship building efforts – to improve its outreach program design and performance. The evaluation will be completed in 2017.

*Regulatory Agenda* – In FY 2015, OFCCP published two Final Rules. On December 9, 2014, “Implementation of Executive Order 13672 Prohibiting Discrimination Based on Sexual Orientation and Gender Identity” was published with an effective date of April 8, 2015. To ensure effective implementation of this Final Rule, OFCCP continued its ongoing stakeholder engagement including training webinars, developing fact sheets, frequently asked questions, talking points, a public directive, an investigative guide, and three internal guidance documents for staff. The second Final Rule published in FY 2015 implements Executive Order (EO) 13665, “Non-Retaliation for Disclosure of Compensation Information.” The Final Rule was published on September 11, 2015 and becomes effective January 11, 2016. EO 13665 amends EO 11246 to prohibit federal contractors from discriminating against employees and job applicants who inquire about, discuss or disclose their own compensation or the compensation of other employees or applicants. In addition to these Final Rules, OFCCP published a notice of proposed rulemaking (NPRM), “Discrimination on the Basis of Sex” in FY 2015. The existing Sex Discrimination Guidelines have not been substantively updated since their adoption in 1970. The Final Rule is expected in FY 2016.

OFCCP – Enforce affirmative action and nondiscrimination in Federal contractor workplaces

*Target reached (Y), Improved (I), or Not Reached (N)		FY/PY 2011	FY/PY 2012	FY/PY 2013	FY/PY 2014	FY/PY 2015	FY/PY 2016	FY/PY 2017	What Worked	What Didn't Work	Program Performance Improvement Plan
Percent of Construction Evaluations Completed from High-Impact Projects	Target	--	--	Base	20%	30%	30%	35%	OFCCP exceeded the new, increased target.	One region's Megas are all either at the very beginning or very end of work, resulting in few opportunities to perform compliance reviews.	Thirteen new Megas were approved in five of six regions during FY 2015, which will provide more opportunities for reviews in FY 2016.
	Result	--	--	9%	26%	32%	--	--			
	Status	--	--	--	Y	Y	--	--			
Percent of Discrimination CAs with Pay Discrimination Findings	Target	--	40%	25%	35%	40%	35%	40%	Thirty-six percent of all cases at all phases are Compensation cases.	OFCCP is encountering challenges in settling pay discrimination cases.	Increase enforcement referrals of systemic pay discrimination cases.
	Result	--	34%	36%	27%	22%	--	--			
	Status	--	--	Y	N	N	--	--			

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*Target reached (Y), Improved (I), or Not Reached (N)		FY/PY 2011	FY/PY 2012	FY/PY 2013	FY/PY 2014	FY/PY 2015	FY/PY 2016	FY/PY 2017	What Worked	What Didn't Work	Program Performance Improvement Plan
Percent of Cases Without Major Deficiencies	Target	--	77%	79%	90%	90%	95%	95%	Management's continued focus along with increased training are producing results.	Not Applicable.	Not Applicable.
	Result	--	74%	85%	90%	98%	--	--			
	Status	--	--	Y	Y	Y	--	--			

**Sources:** Case Management System, Program Advisory Team and Branch of Quality Assurance

**Notes:**

Women’s Bureau

In FY 2015, the Bureau exceeded its target for number of policy and research outputs created, producing a total of 20 fact sheets, research papers, infographics, and other publications containing labor force statistics on working women. The Bureau expanded its commitment to conducting high-quality research and analysis to inform and support policy change to support working women and their families; expand opportunities for women in higher-paying, in-demand careers, including apprenticeships and non-traditional occupations; and promote equal pay and fair treatment in the workplace.

Through its Paid Leave Analysis Grants Program, the Bureau funded a second round of grants to support research and analysis needed to explore, develop, implement and/or improve paid family and medical leave programs at the State and municipal levels, as well as in U.S. Territories and Possessions and federally recognized Indian/Native American Tribes. To disseminate findings from the first round of grantees and explore other research funded by the Chief Evaluation Office, WB convened a large symposium in September on paid family and medical leave. The Bureau also maintained a series of employment data and statistics on working women on its website, which provided graphical depictions of key indicators such as labor force participation rates, earnings, and gender composition within industries. Additionally, the Bureau conducted research on employers’ data collection practices and methodologies relevant to assessing gender-based pay disparities, and performed economic analysis to identify trends, data gaps, and policy and program needs related to targeted populations of women including women of color, working mothers, women with disabilities, women veterans, and immigrant women. The Bureau also worked on a new online portal called Women Build, Protect and Move America that offers information and resources about women accessing higher-paying careers in transportation, construction and protective services.

In FY 2016, the Bureau will strengthen its strategic outreach and communications plan for disseminating its policy and research products in order to increase their impact and influence on policies, programs, and practices both within and outside the federal government. The Bureau will also conduct a customer feedback survey to learn whether the materials distributed were useful and relevant to WB stakeholders and constituents.

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DM – Reduce barriers inhibiting or preventing women's access to and retention in better jobs, and ensure women's fair treatment in the workplace.

*Target reached (Y), Improved (I), or Not Reached (N)		FY/PY 2011	FY/PY 2012	FY/PY 2013	FY/PY 2014	FY/PY 2015	FY/PY 2016	FY/PY 2017	What Worked	What Didn't Work	Program Performance Improvement Plan
Number of Policy & Research Deliverables	Target	16	11	3	20	18	20	18	The Bureau continued its grant program to fund research and analysis needed to explore, develop, implement, and/or improve paid family and medical leave programs at the State and municipal levels.	The Bureau widely disseminated its products, but could have been more strategic in targeting organizations/individuals to use the information to implement policy, practice and program changes.	The Bureau will improve its outreach/communications plan to increase the impact of its policy/research products on policies, programs and practices inside and outside the federal government.
	Result	6	11	3	21	20	--	--			
	Status	--	Y	Y	Y	Y	--	--			
Percent of survey respondents who report that they gained useful and relevant information from the discussion and/or materials distributed at WB's events	Target	--	--	--	--	--	Base	TBD			
	Result	--	--	--	--	--	--	--			
	Status	--	--	--	--	--	--	--			

**Sources:** WB tracks information using quarterly productivity reports.

**Notes:**

Office of Disability Employment Policy

In FY 2015, ODEP met the three targets used to gauge progress toward its mission to develop and influence policies and practices that increase employment opportunities for people with disabilities. ODEP and ETA develop strategies to increase access to and use of American Job Center services by adults and youth with disabilities through the Disability Employment Initiative (DEI). ODEP’s technical assistance centers advise, assist, train, and promote the adoption and implementation of ODEP sponsored or validated policy strategies and effective practices.

In FY 2015, ODEP worked extensively with ETA and WHD to fully establish and effectively manage the WIOA Advisory Committee on Increasing Competitive Integrated Employment for Individuals with Disabilities to make recommendations to the Secretary of Labor and Congress on increasing employment opportunities for people with significant disabilities in competitive, integrated employment, and improving the implementation of the section 14(c) certificate program carried out under the Fair Labor Standards Act. The Committee submitted its Interim Report, with over 100 preliminary recommendations. The Advisory Committee work constituted a significant activity that demanded extensive hours of ODEP (and ETA and WHD) staff time. In addition, ODEP is also working to increase the likelihood of its policies being adopted and implemented at the state level. Consequently, in FY 2015, ODEP began working with partners representing critical state legislative and administrative bodies (e.g., National Conference of State Legislatures, National Governors Association, and Council of State Governments).



Strategic Goal 3

ODEP – Reduce barriers to fair and diverse workplaces for workers with disabilities.

*Target reached (Y), Improved (I), or Not Reached (N)		FY/PY 2011	FY/PY 2012	FY/PY 2013	FY/PY 2014	FY/PY 2015	FY/PY 2016	FY/PY 2017	What Worked	What Didn't Work	Program Performance Improvement Plan
Number of Policy Outputs	Target	41	35	47	82	128	100	128	ODEP's Employment First Leadership State Mentoring Program and its technical assistance centers continue to serve as the greatest source of policy outputs.		
	Result	42	39	54	114	146	--	--			
	Status	Y	Y	Y	Y	Y	--	--			
Number of Effective Practices	Target	24	85	145	149	193	181	193	ODEP's Employment First Leadership State Mentoring Program and its technical assistance centers continue to serve as the greatest source of effective practices.		
	Result	44	131	192	153	193	--	--			
	Status	Y	Y	Y	Y	Y	--	--			
Percent of customers that find technical assistance center information useful	Target	--	--	85%	85%	85%	85%	85%	ODEP technical assistance centers provide quality advice, assistance, and training to promote the adoption and implementation of validated policy strategies and/or effective practices.		
	Result	--	--	98%	96%	88%	--	--			
	Status	--	--	Y	Y	Y	--	--			

Sources: ODEP Data Management System

Notes:

## Strategic Objective 3.2 – Protect workers’ rights

### Analysis and Future Plans

#### Office of Labor-Management Standards

In FY 2015, OLMS exceeded targets for all three measures with targets. For its three measures with projections, results were at or near projection for two measures and significantly better than the projection for another measure.

In FY 2008, OLMS established baselines for its three priority measures: the elapsed number of days to resolve union officer election complaints, the percent of electronically filed reports, and the percent of targeted audits that result in criminal cases. These measures and their targets were established to promote OLMS effectiveness and efficiency at increasing union financial integrity, union democracy, and labor-management transparency. These are major tenets of the Department’s goal to Protect Workers’ Rights (Strategic Objective 3.2).

OLMS strives to more effectively identify unions where criminal activity may be present by pinpointing anomalies in union financial reports, by analyzing and finding other predicates to financial malfeasance, and by using other targeting strategies. OLMS has become more successful in this area, exceeding its financial integrity performance goal for five consecutive years – culminating with a “fallout” rate of 21.46 percent in FY 2015. Fallouts occur when OLMS performs compliance audits of unions and discovers possible criminal activity that results in the opening of a criminal investigation. As a means to continue this improvement, OLMS established a work group that identified targeting methods and “red flags” that may indicate criminal activity. This workgroup continues its efforts and the increased accumulation of statistical data has enabled the workgroup to make further strides in predicting fraud and embezzlement. By instituting risk-based audit targeting models, fewer audits can be undertaken while increasing the percentage of audits that result in the opening of a criminal case, thereby maintaining level the number of criminal cases). Fewer audits mean that OLMS can be more efficient in the assignment of resources to areas directly supporting the Department’s objectives. In FY 2016, OLMS’s fallout rate target is 15.25 percent.

OLMS has invested in new technology to facilitate electronic filing of union financial reports. In FY 2015, the availability of electronic forms coupled with outreach efforts coordinated through OLMS’ district offices and the national office’s Voluntary Compliance Partnership program, resulted in OLMS exceeding its FY 2015 target of 44.5 percent as 49 percent of all filings were submitted electronically (an increase of four percent over FY 2014). The success of the e-filing program paired with the extent of the program’s reach enabled OLMS to increase its target in FY 2015 from 42.5 percent to 44.5 percent. In FY 2016, OLMS, the target for this measure is 46 percent. Approximately 10 percent of e-filers in one year revert to manual filing in the next year. In FY 2016 and beyond, OLMS will analyze existing data to determine common factors among unions reverting to paper filing.

### Strategic Goal 3

In passing the LMRDA in 1959, Congress established a 60-day deadline for court action by the Secretary of Labor upon receipt of an election complaint. Quicker resolution of election complaints accelerates restoration of democratic voice and a democratically operated union. In FY 2015, OLMS averaged just over 70 days elapsed per case; three days better than the 73-day target and a better than two-day improvement from the 72.3 elapsed days achieved in FY 2014. While OLMS made strides in reducing the days elapsed, a large election case load (167 cases versus a projected 112) in 2015 resulted in resources being reassigned to election cases and away from lower priority programs. 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 engaging in early-involvement with the Office of the Solicitor in cases that may result in litigation. Between these continued improvements and a return to a normal work level, OLMS expects to exceed its FY 2016 target of 72 days.

Because timely filing is fundamental to financial transparency, OLMS determined that reducing the number of chronically delinquent unions was important to this goal. For FY 2015, OLMS established a projection of 1,570 chronically delinquent filers. The 1,005 chronically delinquent filers by is 565 below projection. To reduce this number OLMS timely identified those unions that were already chronically delinquent entering the fiscal year and those unions that have been delinquent the past two filings (chronically delinquent is defined as three years). OLMS offer at-risk and delinquent unions compliance assistance to avoid another untimely filing. The FY 2016 projection is 1,470.

Under the LMRDA, employers and outside agents/consultants are required to file a Form LM-10 or LM-20 when they arrange for services that are designed to influence or persuade employees with regard to their rights to organize and bargain collectively. The FY 2015 result was 865 LM-10 and LM-20 persuader reports, 25 above the 840 report projection. Fewer FY 2015 submissions than for prior years were delinquent reports from filers unaware of the requirement. As a result, filings are beginning to level off as fewer and fewer new filers are being identified and known filers are required to file fewer reports. OLMS continues to cross-match LM-10 and LM-20 reports since both the company and the persuader are required to file reports for the same set of services. The FY 2016 projection is 915.

The final measure is customer satisfaction with the OLMS web site, using the American Customer Service Index. The FY 2015 projection was 63, and the result was 62. OLMS will continue to analyze the customer satisfaction surveys to identify potential web site improvements. The FY 2016 projection is 64. OLMS has also started to track and analyze user metrics with respect to on-site behavior and has fine-tuned its ability to analyze this data to provide insights into how users are interacting with the OLMS web site. This analysis is expected to provide guidance on web site design that will also improve user satisfaction.

Strategic Goal 3

OLMS – Promote union financial integrity, democracy, and transparency

*Target reached (Y), Improved (I), or Not Reached (N)		FY/PY 2011	FY/PY 2012	FY/PY 2013	FY/PY 2014	FY/PY 2015	FY/PY 2016	FY/PY 2017	What Worked	What Didn't Work	Program Performance Improvement Plan
Number of LM-10 and LM-20 reports filed on employer-consultant persuader agreements	Target	545[p]	615[p]	690[p]	765[p]	840[p]	915[p]	990[p]	A cross-matching program for LM-10 and LM-20 filers identifies parties that have not filed.	Manual cross-matching requires significant resources to complete. Regulatory reform remains pending.	OLMS will continue to address non-filers through its match initiative.
	Result	648	850	880	1,014	865	--	--			
	Status	--	--	--	--	--	--	--			
Percent of disclosure reports filed electronically	Target	24.5%	30.5%	34.5%	38.5%	44.5%	46.0%	48.0%	Outreach and education through seminars and the Voluntary Compliance Partnership (VCP) program.	Unions that e-file but revert to paper still represent a challenge.	OLMS will continue to focus on paper filers through outreach and training.
	Result	21.4%	37.8%	42.4%	45.0%	49.0%	--	--			
	Status	--	Y	Y	Y	Y	--	--			
Number of chronically delinquent filers of labor organization financial reports	Target	1,970 [p]	1,870[p]	1,770 [p]	1,670 [p]	1,570	1,470	1,370	OLMS' early outreach efforts for known and possible chronically delinquent filers have resulted in considerable reductions.	Some filers remain in the chronically delinquent category even after outreach.	OLMS will continue outreach for chronically delinquent unions, past and potential. OLMS will also expand VCP use to address chronic delinquency.
	Result	1,835	1,711	1,226	1,168	1,005	--	--			
	Status	--	--	--	--	Y	--	--			
Percent of targeted audits that result in a criminal case	Target	13.00%	13.75%	14.25%	14.75%	15.00%	15.25%	15.50%	OLMS uses a targeting algorithm with a series of predicates/red flags to predict unions at a higher risk of fraud or embezzlement.	It is possible that as target unions are audited, the predictive capabilities of the model will diminish.	OLMS will continue to monitor and fine-tune the predictive algorithm adding new predictors as necessary.
	Result	15.18%	13.81%	20.97%	21.70%	21.46%	--	--			
	Status	Y	Y	Y	Y	Y	--	--			
Customer satisfaction score for OLMS web site users	Target	60[p]	60[p]	61[p]	62[p]	63[p]	64[p]	65[p]	OLMS redesigned and improved navigation on the agency website.	Users still express frustration and dissatisfaction over the Union Reports search feature.	OLMS requested IT modernization funds to redesign the website, upgrading the navigation and search functions.
	Result	61	64	62	63	62	--	--			
	Status	--	--	--	--	--	--	--			
Average number of days to resolve union officer election complaints	Target	80.0	76.0	75.0	74.0	73.0	72.0	71.0	OLMS is streamlining communication with the Solicitor's Office to eliminate Process days.	Major increases in election cases required extensive reallocation of resources.	OLMS will continue its successful partnership with the Solicitor's Office.
	Result	79.0	71.0	71.0	72.3	70.2	--	--			
	Status	Y	Y	Y	Y	Y	--	--			

Sources: Office of Labor-Management Standards electronic Labor Organization Reporting System (e.LORS); Answers by Foresee (online survey)

### Strategic Goal 3

#### Occupational Safety and Health Administration (OSHA)

OSHA supports Strategic Objective 3.2 by administering and enforcing twenty-two whistleblower protection statutes that protect workers who speak out to report perceived violations of the law. Principally, this includes Section 11(c) of the Occupational Safety and Health Act (OSH Act), which prohibits employers from discriminating against employees who bring workplace hazards to the attention of the employer or the Agency. The additional twenty-one whistleblower protection provisions protect workers in a variety of industries who speak out against unsafe and/or unlawful behavior, including violations of airline, commercial motor carrier, consumer product, environmental, financial reform, food safety, health insurance reform, motor vehicle safety, nuclear, pipeline, public transportation agency, railroad, maritime, and securities laws. Enforcement of these worker protection laws is critical to ensuring safe, high-quality work-life environments, as workers must feel free to identify, and seek correction of, illegal conditions and conduct when they arise in the workplace without fear of retaliation or discrimination.

Over the last 16 years, OSHA's whistleblower enforcement responsibilities have doubled, and the number of new whistleblower complaints filed with the agency has steadily increased each year, from about 1,900 new complaints filed in 1997, to over 3,200 new complaints received and docketed in FY 2015. In response to the growing demand for whistleblower investigations, OSHA has recently made several changes to increase the effectiveness and efficiency of its whistleblower protection programs, including elevating the program to a stand-alone Directorate, establishing the Whistleblower Protection Advisory Committee, and creating an internal steering committee to guide policymaking and future planning.

OSHA has two performance measures for tracking the effectiveness of OSHA's whistleblower enforcement efforts. The first measure, *Average Age of Pending Whistleblower Investigations*, monitors the program's efforts to reduce its backlog of pending whistleblower investigations by tracking the age of cases that are pending a determination from the Agency. The second measure, *Average Days to Complete New Complaint Screening Process*, tracks OSHA's efforts to provide attentive customer service to new complaint filers. Average age of pending investigations improved from 372 days in FY 2014 to 326 days in FY 2015. Average days to complete new complaint screenings increased from 14 days in FY 2014 to 15 days in FY 2015 but this was significantly better than the target of 20 days.

In FY 2016, OSHA plans to continue to implement several programmatic changes to its Whistleblower Protection Programs, which OSHA believes will allow the whistleblower program to operate more efficiently and effectively for years to come. These changes include continuing the agency's planned expansion of alternative dispute resolution (ADR) processes to additional Regions, as resources permit, as well as direct oversight of investigations by regional whistleblower managers. In addition, OSHA plans to a) plan and conduct a quality review of a specific subset of completed whistleblower cases; b) consider developing a customer service measure, using Google Analytics, related to website traffic on OSHA's whistleblower website; and c) develop two new internal training courses addressing legal concepts and complaint resolution.

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As OSHA continues its efforts to improve the whistleblower protection programs, OSHA will be able to provide more quality investigations to more workers, which will help the Agency to reassure workers that voicing concerns will not leave them susceptible to retaliation and discrimination. Without this assurance, OSHA cannot realize its goal of providing safe, healthy and fair workplaces to American workers.

OSHA – Protect employees' rights to file health and safety complaints and prevent discrimination against workers who report hazards

*Target reached (Y), Improved (I), or Not Reached (N)		FY/PY 2011	FY/PY 2012	FY/PY 2013	FY/PY 2014	FY/PY 2015	FY/PY 2016	FY/PY 2017	What Worked	What Didn't Work	Program Performance Improvement Plan
Average age of pending whistleblower investigations.	Target	--	--	Base	Base	365	340	330	Continued efforts to strengthen caseload management; establishment of core measures for monitoring timeliness and outcome trends; and routine dissemination of up-to-date performance regional reports.	Not applicable.	Not applicable.
	Result	--	--	--	372	317	--	--			
	Status	--	--	--	--	Y	--	--			
Average days to complete new complaint screening process.	Target	--	--	Base	Base	20.0	17.0	15.0	Improved regional rescreening processes had a positive impact on this measure, and strengthened caseload management allowed for greater oversight and accountability for newly-received complaints.	Not applicable.	Not applicable.
	Result	--	--	--	14.0	15.2	--	--			
	Status	--	--	--	--	Y	--	--			

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

**Notes:**

Mine Safety and Health Administration

MSHA's Office of Assessments, Accountability, Special Enforcement and Investigations (OAASEI) oversees MSHA's program to protect miners from discrimination when they exercise their right to report health and safety hazards without fear of retaliation. The FY 2015 result for timely

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investigation of discrimination complaints (82 percent) was 19 percentage points above the FY 2014 result but three percentage points below target. The FY 2015 result for timely investigation of reinstatement requests (78 percent) was 15 percentage points above the FY 2014 result and three percentage points above the target. This turnaround was achieved by assignment of additional compliance specialists to work on discrimination investigations. MSHA executive management continues to meet with the Solicitor’s office bi-weekly to monitor caseloads.

A key achievement of this Administration is enforcement of the anti-discrimination provisions contained in the 1977 Act. This importance was reinforced by the tragedy at the Upper Big Branch (UBB) mine. For the four years prior to the disaster, no one working at UBB had filed a hazard complaint, even though post-disaster investigations documented well-known, long-standing problems at that mine. MSHA has distributed materials directly to miners and has beefed up its special investigations staff to work on claims of retaliation. In 2011, MSHA updated its Miners’ Rights Handbook and developed new training tools, which are available online. In FY 2015, DOL filed 35 requests for temporary reinstatement, the second highest number on record, with the Federal Mine Safety and Health Review Commission on behalf of miners who submitted complaints of discrimination in the form of a suspension, layoff, discharge or other adverse action. Additionally, DOL filed 30 complaints alleging mine safety discrimination during 2015.

To assess whether quality investigations are conducted, MSHA performs a headquarters review of every discrimination investigation conducted by its enforcement personnel.

MSHA – Protect miners from discrimination

*Target reached (Y), Improved (I), or Not Reached (N)		FY/PY 2011	FY/PY 2012	FY/PY 2013	FY/PY 2014	FY/PY 2015	FY/PY 2016	FY/PY 2017	What Worked	What Didn't Work	Program Performance Improvement Plan
Percent of 105(c) investigations of miner discrimination complaints that are completed within 60 days of receipt	Target	80%	85%	75%	75%	85%	85%	85%	MSHA added more compliance specialist staff to investigate complaints.	MSHA identified issues with the Special Enforcement and Investigations tracking system.	Complaints are being tracked and assigned manually until the tracking system is fixed.
	Result	86%	85%	76%	63%	82%	--	--			
	Status	Y	Y	Y	N	I	--	--			
Percent of investigations of miner requests for temporary reinstatements that are completed within 20 days of receipt	Target	70%	70%	70%	70%	75%	75%	75%	See above.	See above.	See above.
	Result	70%	80%	72%	63%	78%	--	--			
	Status	Y	Y	Y	N	Y	--	--			

**Sources:** Special Enforcement and Investigations tracking system

**Notes:**

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Wage and Hour Division

In FY 2015, WHD resolved 72 percent of its FMLA investigations within the fiscal year. In FY 2015, for the first time, every region conducted planned, directed investigations focused on a specific industry where FMLA violations were considered likely. These efforts are balanced against timely resolution of complaints and directing limited resources to pursue employers with systemic FMLA violations to achieve and maintain corporate-wide compliance.

WHD – Increase corporate compliance with the Family Medical Leave Act

*Target reached (Y), Improved (I), or Not Reached (N)		FY/PY 2011	FY/PY 2012	FY/PY 2013	FY/PY 2014	FY/PY 2015	FY/PY 2016	FY/PY 2017	What Worked	What Didn't Work	Program Performance Improvement Plan
Percent of FMLA incoming complaints resolved within the fiscal year	Target	74%	75%	77%	77%	73%	73%	75%	WHD continues to move its FMLA program in a strategic direction. WHD is developing strategies for more review of the employer's policies with the objective of making a broader impact on compliance.	The current measure provides limited information on the extent to which the agency has advanced strategies in FMLA.	WHD is developing a measure to better capture its evolving strategies in FMLA.
	Result	74%	76%	73%	70%	72%	--	--			
	Status	Y	Y	N	N	I	--	--			

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

**Notes:**



## Strategic Objective 3.3 – Secure wages and overtime

### **Analysis and Future Plans**

#### Wage and Hour Division

WHD relies on a balanced set of measures to evaluate the implementation of its strategic enforcement approach to compliance. These measures capture data on productivity, prioritization, and quality. Since FY 2010, WHD has shifted its resources from complaint-based to directed enforcement to promote compliance on behalf of workers in certain industries or program areas. By better integrating the directed and complaint investigations, WHD maximizes limited enforcement resources towards the goal of improving compliance at the industry-level and reaching the greatest number of vulnerable workers. While the FY 2015 result for percent of directed investigations was lower than the FY 2014 result, WHD maintained an overall trend line from the previous three years for this measure. WHD achieved low no violation rates for both directed and complaint investigations and performed better than the targeted levels. The no violation rates are indications of whether WHD is selecting the right employers for investigation. These results show the gap between complaint and directed investigations has narrowed to almost identical levels, which demonstrates that WHD directed investigations are nearly as accurate as a complaint in identifying employers with violations. Also importantly, directed investigations reach workers that are least likely to complain. Moving forward, WHD is continuing to increase its number and percent of directed investigations while maintaining a low no violation rate in both complaint and directed investigations with those no violation targets continuing to merge.

Davis-Bacon wage rates for non-residential construction averaged 46 months in FY 2015. In FY 2015, WHD conducted a top to bottom evaluation of the wage determination process to identify continuing issues and concerns and develop additional process improvements to enhance the accuracy and timeliness of wage rates.

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WHD – Provide that vulnerable workers are employed in compliance and secure sustained and verifiable employer compliance, particularly among the most persistent violators

*Target reached (Y), Improved (I), or Not Reached (N)		FY/PY 2011	FY/PY 2012	FY/PY 2013	FY/PY 2014	FY/PY 2015	FY/PY 2016	FY/PY 2017	What Worked	What Didn't Work	Program Performance Improvement Plan
Number of compliance actions	Target	31,897	34,533	34,231	33,635	30,500	30,500	31,411	WHD continued to prioritize compliance actions, both complaint and directed, in industries with high violations and vulnerable workers.	WHD continued to identify areas where the infrastructure needed further alignment with strategies.	WHD will maintain optimal investigator levels to ensure productivity while advancing strategic enforcement goals through planning, coordination, and evaluation.
	Result	33,293	34,139	33,146	29,483	27,915	--	--			
	Status	Y	I	N	N	N	--	--			
Percent of directed investigations (excludes conciliations)	Target	32%	35%	38%	40%	43%	45%	46%	WHD's enforcement program has evolved from complaint-based to strategic where directed investigations are conducted in priority industries and the complaints are prioritized.	WHD identified various ways the field can be further supported in their efforts to advance strategic initiatives.	WHD is implementing new tools and training to better equip the field with data and guidance
	Result	29%	41%	44%	44%	42%	--	--			
	Status	--	Y	Y	Y	N	--	--			
Percent of directed no violation cases	Target	28%	25%	23%	22%	25%	24%	22%	WHD achieved the lowest no violation rate in recent history with a continued shift towards strategic enforcement in priority industries.	No violation rates provide limited insights on the severity of violations.	WHD is piloting internal measures to evaluate the nature and severity of violations.
	Result	30%	29%	26%	22%	21%	--	--			
	Status	--	I	I	Y	Y	--	--			
Percent of complaint no violation cases	Target	15%	23%	22%	20%	21%	21%	21%	WHD maintained targeted complaint levels through prioritization and leveraged opportunities for strategic enforcement.	WHD continued to balance the goals of strategic directed enforcement and customer service in States with limited enforcement.	See Above
	Result	25%	21%	21%	19%	18%	--	--			
	Status	--	Y	Y	Y	Y	--	--			

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*Target reached (Y), Improved (I), or Not Reached (N)		FY/PY 2011	FY/PY 2012	FY/PY 2013	FY/PY 2014	FY/PY 2015	FY/PY 2016	FY/PY 2017	What Worked	What Didn't Work	Program Performance Improvement Plan
Percent of Directed Investigations in Priority Industries	Target	80%	83%	85%	86%	84%	84%	86%	WHD continues to place high priority and resources in industries with vulnerable workers unlikely to complain.	WHD may have reached the optimum level and is evaluating what other measures are needed to drive continued improvements that can be achieved.	WHD is developing methods and practices to further develop data on priority industries.
	Result	82%	85%	83%	82%	84%	--	--			
	Status	Y	Y	N	N	Y	--	--			
Percent of complaint investigations in priority industries (excludes conciliations)	Target	63%	66%	68%	68%	69%	69%	70%	WHD commits to industries where it expects to find vulnerable workers, which is balanced against doing investigations in each statutory program.	See Above	See Above
	Result	66%	67%	68%	67%	67%	--	--			
	Status	Y	Y	Y	N	N	--	--			
Average age of Davis-Bacon wage rates for non-Residential Construction (in months)	Target	40[p]	36[p]	36[p]	36[p]	--	45[p]	45[p]	WHD has shifted this program to a more data-driven approach to determine where to survey and how to identify where policy changes are needed.	While the measure tracks timeliness in completing surveys, the measure does not adequately reflect survey quality or accuracy.	WHD is identifying areas to enhance the accuracy and timeliness of wage rates. WHD is working on additional improvements to shorten the time to complete surveys and simplify the data submission process
	Result	39	39	42	43	46	--	--			
	Status	--	--	--	--	--	--	--			

**Sources:** Wage Determination Generation System (WDGS) Wage and Hour Investigative Support and Reporting Database (WHISARD)

**Notes:** WHD intends to replace the wage survey measure with one or more measures that better reflect the direction of the program. In the interim, WHD continues to report data from the survey measure without setting targets. The measure is not being used to drive performance, therefore, target-setting is not appropriate.

Employment and Training Administration

The Office of Foreign Labor Certification (OFLC) reviews applications from employers seeking to hire and bring foreign workers as immigrants to the U.S. in permanent positions, and non-immigrant workers for temporary professional positions as well as agricultural and non-agricultural seasonal positions. In addition, OFLC processes employer requests for determination of prevailing wages they need to proceed with the employment-based immigration process. The fundamental determinations, which by statute must be made prior to the granting of labor certification,

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concern whether the hiring of a foreign worker will adversely impact the wages and working conditions of U.S. workers, and that no qualified U.S. workers are willing or available to fill a given vacancy. Statutes, regulations, and administrative requirements establish mandatory timeframes within which the OFLC must issue a final determination or take certain actions.

A key and long-standing challenge within the foreign labor certification programs has been balancing program integrity activities with stakeholder needs for timely processing of applications. In FY 2015, this balance was affected by: available staff resources for processing, the merits of the applications submitted, a 17% increase in volume of applications filed, and implementation of new regulations governing the H-2B (temporary non-agricultural) program. Timely processing improved upon the FY 2014 result for the H-2A (temporary agricultural) program to 97.3 percent of complete applications processed within 30 days before the date of need. OFLC also improved average resolution time for PERM applications not selected for integrity review to 191 days. For PERM applications subject to integrity review, average resolution slowed from 452 days in FY 2014 to 520 days in FY 2015. H-1B applications have sustained the timeliness goal of 100% for FY 2015. H-2B processing was largely impacted by the *Perez v. Perez* ruling on March 4<sup>th</sup> 2015 by the federal district court in the Northern District of Florida that vacated the 2008 H-2B rule. DOL published an H-2B interim Final Rule on April 29<sup>th</sup> 2015; however, as a result of the court ruling, H-2B processing timeliness decreased to 84.3% for FY 2015. In FY 2016, OFLC will focus appropriated resources on meeting processing times mandated by statute and regulation in the temporary nonimmigrant programs and attempting to slow the increase of backlogged cases in the PERM Program while maintaining program integrity.

ETA – Performance Goal ETA 3.3 – Maintain oversight to provide that employers are compliant with wage and overtime laws with respect to certified foreign laborers.

*Target reached (Y), Improved (I), or Not Reached (N)		FY/PY 2011	FY/PY 2012	FY/PY 2013	FY/PY 2014	FY/PY 2015	FY/PY 2016	FY/PY 2017	What Worked	What Didn't Work	Program Performance Improvement Plan
Average Number of Days to Resolve PERM Applications NOT Subject to Integrity Review	Target	--	--	90	225[r]	200	225	300		Reallocation of resources to address the PERM integrity review backlog resulted in an increase of 26% in the PERM non-integrity review backlog .	Resources will be allocated to non-integrity applications to reduce this backlog by 30% by the end of FY 2016.
	Result	--	--	114	203	195	--	--			
	Status	--	--	--	Y	Y	--	--			
Average Number of Days to Resolve PERM Applications Subject to Integrity Review	Target	--	--	200	450[r]	500	350	225			OFLC will enact an OPM recommendation to increase ANPC production FTE which should sustain integrity review applications at their current level.
	Result	--	--	260	452	439	--	--			
	Status	--	--	--	N	Y	--	--			

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*Target reached (Y), Improved (I), or Not Reached (N)		FY/PY 2011	FY/PY 2012	FY/PY 2013	FY/PY 2014	FY/PY 2015	FY/PY 2016	FY/PY 2017	What Worked	What Didn't Work	Program Performance Improvement Plan
Percent of Employer Applications for H-1B Resolved in 7 Business Days	Target	100.0%	100.0%	100.0%	100.0%	100.0%	100.0%	100.0%			
	Result	100.0%	100.0%	100.0%	97.1%	100.0%	--	--			
	Status	Y	Y	Y	N	Y	--	--			
Percent of Complete H-2A Employer Applications Resolved within 30 Days Before the Date of Need	Target	--	--	--	80.00%	95.00% [r]	95.00%	95.00%			OFLC increased this target goal by 15 percentage points for FY 2016.
	Result	--	--	--	90.80%	97.30%	--	--			
	Status	--	--	--	Y	Y	--	--			
Percent of H-2B Employer Applications Resolved in 30 Days	Target	--	--	82.00% [r]	90.00%	90.00%	Base	Base		On March 4th 2015, the US District Court in the Northern District of Florida issued a decision and injunction vacating the 2008 H-2B rule in its entirety, thus shutting down H-2B processing.	Continue to monitor the impact of the April 29th 2015 IFR on application adjudication and establish baseline target goal by Q3 FY 2016.
	Result	--	--	85.30%	97.50%	TBD	--	--			
	Status	--	--	Y	Y	--	--	--			

Sources: OFLC PERM Electronic Filing and Case Processing System

Notes:

## **Strategic Goal 4: Secure retirement, health, and other employee benefits and, for those not working, provide income security**

Strategic Objective 4.1 – Provide income support when work is impossible or unavailable and facilitate return to work

### **Analysis and Future Plans**

#### Office of Workers' Compensation Programs (OWCP)

OWCP supports the Secretary's vision of *Promoting and Protecting Opportunity*, the Department of Labor's Strategic Goal 4: "*Secure retirement, health, and other employee benefits and, for those not working, provide income security*", and DOL's Strategic Objective 4.1, *Provide income support when work is impossible or unavailable and facilitate return to work*. Income support is provided by OWCP through the prompt and accurate adjudication of claims and payment of benefits. Ongoing maintenance of cases receiving long-term benefits, including regular reviews to confirm entitlement and payment accuracy, promotes the integrity of OWCP's benefit delivery. The agency's performance measures also focus on expediting the receipt of new claims from employers to avoid up-front delays in claims processing. OWCP sets performance standards that seek to balance production demands with expected quality levels while ensuring that benefits and services are delivered timely and accurately.

Return to work is most successful through early identification of work injury or illness, prompt development of case information, and efficient provision of assistance services that support recovery. In particular, OWCP uses disability management strategies in the FECA program to assist Federal workers with injury recovery and with returning to work. Contract nurses make early contact and coordinate among claimants, employing agencies and medical providers. They advise injured workers and assess their conditions; confirm return-to-work status; obtain treatment plans from the treating physicians; and work with employing agencies. If claimants remain out of work for extended periods of time, OWCP continues regular monitoring to identify cases when medical conditions improve and provide vocational rehabilitation and job placement services as soon as feasible. In addition, OWCP has upgraded data and communications systems to improve claims filing and other information exchanges with employers and claimants.

**Federal Employees' Compensation Act Program Performance:**

**Increase the share of Federal employees that return to work within two years of entering FECA's disability management program** – OWCP monitors the performance of 14 of the largest Executive Branch agencies to improve return-to-work rates. From FY 2010 to FY 2014, these agencies formed the Protecting Our Workers and Ensuring Reemployment or POWER Return-to-Work Council under the leadership of OWCP. The POWER Council served as a forum to regularly review performance results, share best practices, and set challenging individual agency goals. The POWER initiative expired in FY 2014 and has not been replaced by a new Presidential initiative. Accordingly, OWCP has kept the annual target for the percentage of injured workers receiving FECA disability management services and returning to work within two years of injury at the FY 2014 level of 92.0 percent. From FY 2009 (before POWER) to the end of FY 2014, the results of this measure increased from 85.8 percent to 90.7. In FY 2015, this measure has decreased slightly to 89.7 percent and the annual target of 92.0 percent was not met. This reflects the impact of the expiration of POWER and budgetary factors which may have continued to affect agencies' reemployment efforts. Federal agencies with employees working on more hazardous missions or having other occupational reemployment challenges face even greater challenges.

**Reduce government-wide Lost Production Day (LPD) rates** – LPD rates provide an index reflecting the overall incidence and severity of workplace injuries and the duration of lost time in the first year following occurrence of injury or illness. The measure's usefulness is limited to providing a general historical assessment of an agency's safety and return to work culture. It looks back at the impact injuries and illnesses had on an agency's total lost production days per 100 employees. The LPD rate also is impacted by non-injury related factors such as employment fluctuations during the year. The return-to-work outcome measure is more useful in that it reflects the effectiveness of the FECA program in assisting with recovery and return to work and of Federal agencies in reemploying their injured workers. It also provides information that helps in designing actionable strategies to improve performance. In FY 2015, the government-wide average LPD rate dropped to 30.4 days, exceeding the annual target of 34.4 days.

**Timely submission of Notices of Injury and Wage-Loss Claims** – The ability of OWCP to promptly initiate intervention and return-to-work services is improved if Federal employers are timely in the submission of injury reports and wage-loss claims. Earlier receipt of these forms enables OWCP to begin claims adjudication and payment processing sooner. Federal agencies with Electronic Data Interchange (EDI) capability continued to make gains in timeliness subsequent to their adoption of EDI. To expand electronic filing capability to all agencies, OWCP developed a web-based capability, the Employees' Compensation and Operations Portal (ECOMP), and continues to offer this electronic submission capability to all Federal employing agencies to further cut the time of delivery. From FY 2011 to FY 2015, the percent of notices of injury filing within 10 business days improved from 83.4 percent to 88.6 percent; but still below the target of 90.4 percent. The percentage of wage-loss claims filed within five business days improved to 84.6 percent, which is above the FY 2014 result of 82.9 percent and significantly higher than the target of 78.0 percent.

### **Longshore and Harbor Workers' Compensation Act Program Performance:**

**Increase the timeliness of First Reports of Injury and First Payment of Compensation** – OWCP emphasizes the performance of longshore and harbor workers' employers using four performance measures to confirm that injury reports and first payment of benefits are filed timely and that first payments of compensation benefits are made promptly. Longshore program improvement strategies include a combination of engaging with employers by communicating expectations/requirements; formally publishing performance results; and providing education and technical assistance. Improved communications and information sharing between the parties are also essential to dispute resolution. Timely resolution of disputed issues minimizes interruptions to benefit processing and facilitates more timely return to work of those injured workers.

OWCP exceeded all four FY 2015 Longshore program targets. Injury report timeliness (within 30 days) in FY 2015 for Defense Base Act (DBA) cases was 91 percent within 30 days against a goal of 85 percent. First payment timeliness in FY 2015 for DBA cases was 67 percent against a goal of 65 percent. Injury report timeliness in FY 2015 for non-DBA cases was 89 percent against a goal of 85 percent. First payment timeliness in FY 2015 for non-DBA cases was 88 percent against a goal of 85 percent. In FY 2016, OWCP will work with stakeholders to convert the submission of the LS 202, Employers First Report of Injury, from paper to electronic allowing for quicker notification and improved performance. OWCP will also assign policy examiners to review cases every quarter and identify opportunities to improve the timely payment process.

### **Black Lung Benefits Act Program Performance:**

**Black Lung claims decision timeliness** – In FY 2015, OWCP issued Proposed Decisions and Orders (PDO) within an average of 273 days against a target of 235 days. The Black Lung program issued 5,328 PDOs, an increase of four percent over FY 2014. The average time for the development of medical evidence was 86 days against a target of 82 days. In FY 2016, OWCP will discontinue this measure, average time in days for development of medical evidence for black lung claims, and replace it with two measures, percent of initial 413(b) requests (initial medical evidence development) completed with 90 days and percent of 413(b) supplemental medical evidence development completed within 60 days. The measures will use targeted strategies to improve the quality of initial and supplemental medical evidence while maintaining acceptable levels of timeliness.

The Black Lung program received 6,818 claims in FY 2015, which is a decrease of eight percent compared to 7,394 claims received in FY 2014 but a 57 percent increase over the FY 2009 pre-Affordable Care Act volume of 4,354 claims. Incoming claims filings are expected to increase to 7,400 in FY 2016. The expected increase is attributable to the struggling coal mining economy, where there has been increased responsible operator bankruptcy filings and increased mine closures and layoffs. The significant increase in the number of claims received since 2009, without corresponding staffing increases, contributed to the increase in timeliness trend of PDO issuance. Black Lung program improvement strategies include continuing to engage clinics, physicians, attorneys, employers, insurance companies and other entities and individuals who



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provide medical and employment evidence to emphasize claims processing quality. OWCP will continue to expand on its FY 2015 initiatives to complete the conversion of new case files to electronic form, institute centralized mail processing and implement electronic document submission to gain even more processing efficiencies.

The Black Lung program's performance priority is to improve the quality of the PDO process while minimizing the time it takes to process Black Lung claims. The program is focused on improving the quality and sufficiency of the medical and factual evidence of record and will continue these FY 2015 quality initiatives: 1) requiring a supplemental report from the examining physician who provided the initial medical report for a limited cohort of claims – claims are selected for this pilot based on length of proven coal mine employment and whether the program made a preliminary determination of entitlement; 2) a 100 percent review by Black Lung program management of all decisions made on claims with a diagnosis of complicated pneumoconiosis and 3) pre-decisional quarterly spot audits of PDOs.

In 2016, the program will also continue to work with stakeholder partners like the National Institute of Occupational Safety and Health (NIOSH) to: 1) set up a quality assurance program to minimize the impact of potential bias on the chest X-ray B-reading process; and 2) strengthen grantee commitment to improving the timelines of medical reports; and 3) continue education and training for physicians and professional claims staff on diagnosing and documenting respiratory disorders and quantifying and articulating impairment and disability.

#### **Energy Employees Occupational Illness Compensation Program Performance:**

**Timely adjudication in EEOICPA Claims** – OWCP's Energy program provides timely claims adjudication and benefit delivery. In FY 2015, the program continued to track performance with regard to the overall time to process claims, from intake to final decision. The performance measures combine Part B and Part E results and account for the various actions a case may require, including time for dose reconstruction or oral hearing. The average time to process cases sent to NIOSH when a hearing was held increased in FY 2015 to 497 days – an increase of 28 days from the FY 2014 result of 469 days. The average time to process cases sent to NIOSH when a hearing was not held remained at 352 days. Within OWCP, goals for cases sent to NIOSH are contextual (do not have targets) because OWCP does not have control over NIOSH's processing time. In FY 2015, NIOSH took 228 days to process cases, which is above the target of 200 days OWCP established with NIOSH. In FY 2014, NIOSH averaged fewer than 200 days. In FY 2015, NIOSH reviewed some cases in which the claimant objected to the dose reconstruction during the hearing process, which created an additional delay in NIOSH's processing time.

The Energy program continued to refine and update the Energy Compensation System (ECS), enhancing the way the program manages cases technologically. The program continued to image paper documents through the OWCP Imaging System (OIS), facilitating effective and easy transfer of files between offices, reducing the space needed to store claims files, and enabling portability of case files. In FY 2015, the Energy program fully implemented the Energy Document Portal (EDP) through which documents can be uploaded to the OIS (rather than submitted by mail) and made available immediately to the claims staff. The EDP is used by resource center personnel, claimants, authorized representatives,

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medical providers and others to file most forms and provide supporting documentation. The program continued working with the Social Security Administration to request employment information through secure electronic fax, rather than through the mail. OWCP is in the requirements and development stage of creating a portal between DOL and NIOSH to share case information and eliminate the current process of mailing case information on CDs.

OWCP – Provide income support when work is impossible or unavailable and facilitate return to work (RTW) for workers experiencing workplace injuries or illnesses

*Target reached (Y), Improved (I), or Not Reached (N)		FY/PY 2011	FY/PY 2012	FY/PY 2013	FY/PY 2014	FY/PY 2015	FY/PY 2016	FY/PY 2017	What Worked	What Didn't Work	Program Performance Improvement Plan
Percent of federal employees with work-related injuries or illnesses coming under FECA's Disability Management that are reemployed by non-Postal Federal Agencies	Target	87.0%	88.4%	93.4%	92.0%	92.0%	92.5%	92.0%	OWCP's pilot of the Labor for America portal showed favorable results sufficient to justify full rollout.	Reemploying workers from agencies with more hazardous or physically demanding occupations remains a challenge to the workers' agencies and to OWCP return-to-work efforts.	OWCP will make use of the Labor For America portal, increase timeliness of nurse assignments, and emphasize greater use of assistance technology by agencies.
	Result	91.6%	91.5%	91.9%	90.7%	89.7%	--	--			
	Status	Y	Y	I	N	N	--	--			
Government-wide Lost Production Days Rates (per 100 employees) in Non-Postal Agencies	Target	35.0	35.1	34.7	34.4	34.4[p]	31.5[p]	34.1[p]	Federal agencies continue improving workplace safety; fewer new injury claims are being filed; and Federal reemployment efforts and FECA proactive case management reduced lost production days.	Lost Production Days is viewed as a lagging measure for safety and prevention.	OWCP will emphasize return-to-work and consider new metrics to better align process with outcome improvement.
	Result	33.8	34.8	34.6	31.8	30.4	--	--			
	Status	--	--	--	--	--	--	--			
Percent of Notices of Injury filings by non-Postal Agencies received within 10 business days	Target	81.0%	82.0%	87.8%	90.4%	90.4%	91.4%	90.4%	Automation of the acceptance of claims by electronic means continued to increase the number of claims filed within 10 business days.	Some agencies have not adopted the enhanced electronic capabilities.	OWCP will continue to advertise the electronic filing requirement to agencies and encourage enrollment in the Employees' Compensation Operations and Management Portal system.
	Result	83.4%	85.5%	86.9%	88.8%	88.6%	--	--			
	Status	Y	Y	I	I	N	--	--			

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*Target reached (Y), Improved (I), or Not Reached (N)		FY/PY 2011	FY/PY 2012	FY/PY 2013	FY/PY 2014	FY/PY 2015	FY/PY 2016	FY/PY 2017	What Worked	What Didn't Work	Program Performance Improvement Plan
Percent of wage-loss claims filed by non-Postal Federal employers received within 5 business days	Target	60.0%	64.0%	75.7%	78.0%	78.0%	85.4%	85.0%	See above.	See above.	See above.
	Result	68.5%	75.0%	79.9%	82.9%	84.6%	--	--			
	Status	Y	Y	Y	Y	Y	--	--			
Percent of Employer's First Report of Injury filed within 30 days: Defense Base Act cases	Target	75%	80%	83%	83%	85%	88%	88%	OWCP held quarterly performance review meetings with insurance industry leaders to review performance and inform process improvements.		OWCP will work with stakeholders to convert the submission of the LS 202, Employers First Report of Injury from paper to electronic allowing for quicker notification and improved performance.
	Result	79%	85%	85%	89%	91%	--	--			
	Status	Y	Y	Y	Y	Y	--	--			
Percent of First Payment of Compensation issued within 30 days: Defense Base Act cases	Target	58%	60%	62%	62%	65%	65%	65%	See above.		In FY 2016, OWCP will assign policy examiners to review cases every quarter and go over them with the employers/carriers to identify opportunities to improve the timely payment process.
	Result	56%	63%	67%	63%	67%	--	--			
	Status	--	Y	Y	Y	Y	--	--			
Percent of Employer's First Report of Injury filed within 30 days: non-Defense Base Act cases	Target	78%	85%	85%	85%	85%	87%	87%	See above.		OWCP will work with stakeholders to convert the submission of the LS 202, Employers First Report of Injury from paper to electronic allowing for quicker notification and improved performance.
	Result	79%	86%	86%	87%	89%	--	--			
	Status	Y	Y	Y	Y	Y	--	--			

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*Target reached (Y), Improved (I), or Not Reached (N)		FY/PY 2011	FY/PY 2012	FY/PY 2013	FY/PY 2014	FY/PY 2015	FY/PY 2016	FY/PY 2017	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	83%	85%	85%	85%	85%	86%	86%	See above.		In FY 2016, OWCP will assign policy examiners to review cases every quarter and go over them with the employers/carriers to identify opportunities to improve the timely payment process.
	Result	85%	85%	87%	87%	88%	--	--			
	Status	Y	Y	Y	Y	Y	--	--			
Average number of days to process Black Lung claims	Target	250	240	255	220	235	265	262			
	Result	238	262	221	234	273	--	--			
	Status	Y	N	Y	N	N	--	--			
Percent of initial 413 (b) requests completed within 90 days	Target	--	--	--	--	--	85%	87%			
	Result	--	--	--	--	--	--	--			
	Status	--	--	--	--	--	--	--			
Percent of 413 (b) supplemental medical evidence development completed within 60 days	Target	--	--	--	--	--	85%	87%			
	Result	--	--	--	--	--	--	--			
	Status	--	--	--	--	--	--	--			
Average number of days between filing date and final decision for cases sent to NIOSH when a hearing is held	Target	Base	604	550	485[p]	--	--	--	OWCP exceeded processing time measures for cases not involving NIOSH due to implementation of an Energy Document Portal for submission of forms and supporting documentation.	NIOSH processing time increased significantly over FY 2015, accounting for up to 50 percent of the overall claim processing time. The increases offset gains in OWCP's processing time.	In FY 2016, OWCP will develop a web portal to enable sharing of case information with NIOSH which is expected to improve overall case processing time.
	Result	619	552	452	469	497	--	--			
	Status	--	--	--	--	--	--	--			
Average number of days between filing date and final decision for cases sent to NIOSH when a hearing is not held	Target	Base	445	325	315[p]	--	--	--	See above.	See above.	See above.
	Result	457	331	320	352	352	--	--			
	Status	--	--	--	--	--	--	--			

**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)

### Employment and Training Administration

The federal role in Unemployment Insurance (UI) is to set broad policy for the program, establish performance measures and standards, provide technical assistance 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. While state laws must meet minimum federal requirements to participate in the federal-state UI program, states have broad discretion in establishing eligibility requirements. ETA uses three key performance measures for this program; as indicated in the bulleted list and table below, UI tracks state level performance and provides technical assistance as needed. States that do not meet Acceptable Levels of Performance (ALP) are required to develop corrective action plans. Summaries of FY 2015 results follow:

- **Payment Timeliness** – Intrastate first payments made within 21 days improved by over three percentage points to 83.5 percent in FY 2015. Although the First Payment Timeliness performance has improved when compared to FY 2013 and 2014, this performance is still below the FY 2015 GPRA target for this measure – 87.5 percent. Reasons for the states’ inability to achieve the performance standard include state staff layoffs, high state staff turnover, and technology issues. The staff layoffs are a consequence of the reduction in administrative funding resulting from lower workloads due to expiration of the temporary federal programs and an improved economy. States have experienced loss of experienced staff due to retirements and newer staff has not yet achieved sufficient experience in making claim eligibility determinations. Newer staff takes longer to process claims and require more supervision which has led to workload backlogs in the claims-taking and adjudication units. Additionally, several states have reported technology issues following system modernization implementation efforts or because they have antiquated technology systems. ETA continues to identify states with chronic poor performance and provide intensive technical assistance and enhanced monitoring.
- **Detect Overpayments** – The percent of estimated overpayments that states detect and establish for recovery dropped by several percentage points (to 63.6 percent) compared to the FY 2014 result of 67.12 percent due to state staff layoffs, high state staff turnover, and information technology issues. ETA has developed a comprehensive strategic plan to prevent, reduce and recover improper payments and continues identifying states with high improper payment rates for targeted technical assistance. Additionally, between FY 2005 and 2014, ETA has provided approximately \$330 million to states in supplemental funding for integrity-related projects to help improve the prevention, detection and recovery of improper payments.
- **Percent of Employer Liability Determinations Made Promptly** – In FY 2015, 87.6 percent of new employer tax liability determinations were made within 90 days – slightly below FY 2014 performance.

The Employment Service (ES) assisted over 14 million job seekers in PY 2014 – continuing a downward trend (from about 19 million in PY 2011) due to improving labor markets. ES also served nearly 1 million Veterans in PY 2014 – down from over 1.4 million in PY 2011. The Workforce Innovation and Opportunity Act (WIOA) amended the Wagner-Peyser Act of 1933, which established the Employment Service. ES also provided

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services to over 5 million UI claimants. The changes made to the Employment Service by WIOA take effect in PY 2015 and include greater flexibility for ES staff to use: assessments; career counseling; workforce and labor market information; and referrals and application assistance to other employment and training programs, such as Pell Grants and the GI Bill, to assist individuals in their career exploration. WIOA also requires ES to provide assistance to UI claimants and encourages ES to provide a broader range of staff-assisted services through its American Job Centers. These enhanced services may lead to a higher cost per participant and decrease the number of individuals served. In FY 2016, the Department requested additional funds and authority to target these additional resources to areas that can demonstrate both demand for and ability to provide staff-assisted services.

The Trade Adjustment Assistance (TAA) program provides training, income support, job search allowances, and relocation allowances that expand opportunities for employment and prosperity for trade-affected workers who are threatened to lose their jobs, have lost their jobs, or a significant amount of their wages is reduced due to the impact of international trade. The Trade Adjustment Assistance Reauthorization Act of 2015, Title IV of the Trade Preferences Extension Act of 2015 (Public Law 114-27), was signed into law by President Barack Obama on June 29, 2015. These amendments reauthorize the TAA program for six years and restore benefits and services to the level they were provided in the Trade Adjustment Assistance Extension Act of 2011. Performance in support of this strategic objective is measured by the Employment Retention Rate for participants who exit the program, which increased slightly to 92.4 percent in FY 2015 from the FY 2014 result of 91.1 percent.

ETA – Performance Goal ETA 4.1 – Facilitate timely and accurate payments to unemployed workers and rapid reemployment.

*Target reached (Y), Improved (I), or Not Reached (N)		FY/PY 2011	FY/PY 2012	FY/PY 2013	FY/PY 2014	FY/PY 2015	FY/PY 2016	FY/PY 2017	What Worked	What Didn't Work	Program Performance Improvement Plan
First Payment Timeliness (Unemployment Insurance)	Target	86.0% [r]	85.7%[r]	87.0% [r]	87.1%	87.5%	87.5%	87.0%	Thirty-one states exceeded the GPRA target in FY 2015 in comparison to 24 in the previous fiscal year.		The 22 states below the minimum 87 percent UI Performs criteria were required to address their deficiencies in corrective action as part of their FY 2016 SQSP submission.
	Result	84.6%	82.9%	80.9% [r]	79.7%	83.7%	--	--			
	Status	--	N	N	N	I	--	--			
Detection of Recoverable Overpayments (Unemployment Insurance)	Target	53.1% [r]	52.3%[r]	51.8% [r]	54.2%	55.3%	67.9%	61.4%	The GPRA target for FY 2015 was set 13 percentage points higher than the previous fiscal year. Twenty-four states exceeded the higher FY 2015 GPRA target.		The 24 states below the minimum 50 percent UI Performs criteria were required to address their deficiencies in corrective action as part of their FY 2016 SQSP submission.
	Result	58.9% [r]	63.8%[r]	60.9% [r]	67.1%	61.2%	--	--			
	Status	Y	Y	Y	Y	Y	--	--			

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*Target reached (Y), Improved (I), or Not Reached (N)		FY/PY 2011	FY/PY 2012	FY/PY 2013	FY/PY 2014	FY/PY 2015	FY/PY 2016	FY/PY 2017	What Worked	What Didn't Work	Program Performance Improvement Plan
Employer Liability Determinations Made Promptly (Unemployment Insurance)	Target	90.0% [r]	86.9% [r]	87.5% [r]	88.9%	89.0% [r]	89.0%	88.0%	Eighteen states exceeded the target and 29 states improved their performance compared to the previous year.	Two states failed to meet the UI Performs criteria for the measure.	The 2 states below the minimum 70 percent UI Performs criteria were required to address their deficiencies in corrective action as part of their FY 2016 SQSP submission.
	Result	87.2% [r]	88.7%	88.6% [r]	88.2%	87.3%	--	--			
	Status	--	Y	Y	N	N	--	--			
Number of job seeker participants served – All participants (Employment Service)	Target	--	16,546,000 [p]	17,423,504 [p]	18,216,786 [p]	14,521,898 [p]	14,866,638 [p]	14,866,638 [p]			
	Result	19,081,905	18,383,917 [r]	16,878,178 [r]	14,521,898	--	--	--			
	Status	--	--	--	--	--	--	--			
Number of job seeker participants served – Veterans (Employment Service)	Target	--	--	--	--	--	--	--			
	Result	1,416,435	1,369,207	1,175,655	969,710	--	--	--			
	Status	--	--	--	--	--	--	--			
Employment Retention Rate/Employment in the 4th quarter after exit (Trade Adjustment Assistance)	Target	83.30% [r]	83.20% [r]	83.60% [r]	91.10% [r]	91.20%	91.20%	TBD	ETA continues to work with regional, state, and local partners to ensure that participants are receiving the training and credentials to obtain and retain reemployment.		Beginning in PY 2016, Employment Retention Rate will be discontinued. The new WIOA measure will be calculated based on the percent employed in the 4th quarter after program exit.
	Result	89.40% [r]	91.30% [r]	91.70% [r]	91.40%	92.30%	--	--			
	Status	Y	Y	Y	Y	Y	--	--			

**Sources:** First Payment Timeliness: ETA 9050 and 9050p reports; Detection of Recoverable Overpayments: Benefit Accuracy Measurement (BAM) survey and ETA 227 report; Employer Tax Liability Determinations Made Promptly: ETA 581 report. Trade – Trade Activity Participant Report (TAPR)

**Notes:**

## Strategic Objective 4.2 – Improve health benefits and retirement security for all workers

### **Analysis and Future Plans**

#### Employee Benefits Security Administration (EBSA)

EBSA's enforcement program seeks to detect and correct violations that result in monetary recoveries for employee benefit plans, participants and beneficiaries or in other corrective remedies including, but not limited to, significant broad-based reforms for large plans or common service providers. In FY 2014, EBSA developed measures designed to increase the effectiveness of its enforcement program while avoiding reliance on raw case numbers. As a result, EBSA replaced its cases closed measures in FY 2015 with three measures that track investigation timeliness. EBSA focused its FY 2015 enforcement resources on National Projects and the Major Case Enforcement Priority. The Major Case Enforcement Priority concentrates a significant portion of the Agency's enforcement resources on those cases likely to have the greatest impact on the protection of plan assets and participants' benefits. In FY 2016, EBSA will continue to focus on the timeliness of the Agency's investigations and to shift investigative emphasis to more complex cases. While EBSA knows from experience that achieving a result in a Major Case takes longer and is more resource-intensive, such cases have also resulted in greater monetary results per investigative staff day. EBSA's Benefit Advisors, who are an integral facet of its enforcement efforts, recovered nearly \$403 million for plan participants and beneficiaries through informal resolution, bringing EBSA's total monetary recoveries for the year to over \$668 million.

The Outreach, Education and Assistance program provided superior participant assistance in FY 2015 by responding to over 99 percent of telephone inquiries by the close of the next business day and to over 97 percent of written inquiries within 30 days of receipt. Total inquiry volume for the fiscal year exceeded 201,000. In responding to these inquiries, EBSA continued to achieve high customer satisfaction ratings and surpassed its goal of a 72 percent customer satisfaction rating. Benefit recoveries achieved by the participant assistance program contributed more than \$402 million to EBSA's overall monetary results. This informal resolution of complaints without utilizing the more resource intensive investigative process enables EBSA to direct its investigative resources to more egregious and wide-spread violations of the Employee Retirement Income Security Act (ERISA). In addition, the participant assistance program plays a critical role in EBSA's overall enforcement program. When EBSA's participant assistance program receives an inquiry or complaint that indicates a potential fiduciary breach or systemic problem, that inquiry is referred to staff for possible investigation. Referrals from the participant assistance program in FY 2015 resulted in the opening of 589 enforcement cases. The Agency also conducted outreach and education programs designed to educate plan participants and officials. EBSA completed 300 Affordable Care Act outreach activities reaching over 14,000 individuals, held 692 rapid response workshops for dislocated workers, distributed over 429,000 educational publications, and hosted over 7.7 million visitors on the Agency's website. In FY 2016, EBSA will again strive for a customer satisfaction rating of 72 percent. The Agency will also continue to develop plans, such as the Call Quality Assurance Program, aimed at assessing not merely inquirer satisfaction but also the technical accuracy and quality of inquiry responses.



Strategic Goal 4

Finally, EBSA made progress in closing Sample Investigation Program (SIP) cases in FY 2015. The SIP allows EBSA to broadly measure the rate of baseline employee benefit plan compliance with the civil provisions of ERISA. EBSA reported the compliance rate of plans in the FY 2013 plan filing universe. An estimated FY 2014 compliance rate was also determined. These compliance rates include any and all violations of ERISA, without regard to the seriousness or pervasiveness of the violations. A minor reporting or paper violation that caused no injury and had little importance to plan participants is treated the same as a violation that imperils hundreds of millions of dollars. While this data is meaningful in analyzing trends, the resulting bare baseline statistics do not provide a strong measure of whether the plan universe is in substantial compliance with ERISA’s obligations. Accordingly, EBSA has begun to focus on specific compliance issues of special importance to the integrity of plans and plan benefits. In FY 2016, EBSA will continue to analyze the data, including significant trends, to make it statistically more useful to the Agency. Additionally, EBSA will be considering its options regarding the SIP moving forward.

EBSA – Improve health benefits and retirement security for all workers

*Target reached (Y), Improved (I), or Not Reached (N)		FY/PY 2011	FY/PY 2012	FY/PY 2013	FY/PY 2014	FY/PY 2015	FY/PY 2016	FY/PY 2017	What Worked	What Didn't Work	Program Performance Improvement Plan
Civil Non-Major Case Timeliness – Percent of Non-Major Civil Cases Closed or Referred for Litigation in the fiscal year within 30 Months of Case Opening Except for Category EBSA-OE-02a Cases	Target	--	--	--	--	85.00%	86.00%	86.00%	In FY 2015, EBSA increased the effectiveness of its enforcement program by replacing its cases closed measures with measures focused on investigation timeliness.	While EBSA’s focus on timeliness has ensured the effective management of newly opened cases, the Agency continues to address inventories of cases from prior years.	EBSA will consider more significant adjustments to its timeliness targets once its case backlog has been addressed.
	Result	--	--	--	--	84.00%	--	--			
	Status	--	--	--	--	--	--	--			
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	--	--	--	--	71.00%	69.00%	69.00%	See above	See above	See above
	Result	--	--	--	--	71.00%	--	--			
	Status	--	--	--	--	Y	--	--			
Criminal Case Timeliness – Percent of Criminal Cases Closed or Referred for Litigation in the fiscal year within 18 Months of Case Opening	Target	--	--	--	--	75.00%	75.00%	75.00%	See above	See above	See above
	Result	--	--	--	--	87.00%	--	--			
	Status	--	--	--	--	Y	--	--			

Strategic Goal 4

*Target reached (Y), Improved (I), or Not Reached (N)		FY/PY 2011	FY/PY 2012	FY/PY 2013	FY/PY 2014	FY/PY 2015	FY/PY 2016	FY/PY 2017	What Worked	What Didn't Work	Program Performance Improvement Plan
Participant Assistance Program Customer Satisfaction Index	Target	Base	68.00%	69.00%	72.00%	72.00%	72.00%	72.00%	EBSA used study data in conjunction with training and sharing best practices. Regions created pilot initiatives in FY 2015, and the most effective are being continued/expanded in FY 2016.	EBSA used preliminary data obtained through the study to identify areas for improvement and proactively address any concerns that arose during the fiscal year.	EBSA has developed plans, such as the Call Quality Assurance Program, aimed at assessing not merely inquirer satisfaction but also the technical accuracy and quality of inquiry responses.
	Result	66.00%	69.00%	71.00%	70.00%	72.20%	--	--			
	Status	--	Y	Y	N	Y	--	--			

**Sources:** Enforcement Management System; Gallup Customer Satisfaction Survey Enforcement Management System; Gallup Customer Satisfaction Survey

**Notes:**

## Strategic Goal 5: Produce timely and accurate data on the economic conditions of workers and their families

Strategic Objective 5.1 – Provide sound and impartial information on labor market activity, working conditions, and price changes in the economy for decision making, including support for the formulation of economic and social policy affecting virtually all Americans.

### Analysis and Future Plans

#### Bureau of Labor Statistics (BLS)

In FY 2015, BLS reached 100 percent of the underlying timeliness, accuracy, and relevance targets for all of its Principal Federal Economic Indicators. In addition, BLS measured dissemination through the Average number of BLS website page views each month, and fell slightly under its target of 17.4 million by averaging approximately 17.0 million page views each month. Page view counts for fourth quarter tend to be seasonally lower, but fourth quarter FY 2015 was lower by about 975,000 a month compared to fourth quarter FY 2014. BLS adjusted its outyear targets accordingly, and will continue to ensure that its data products are readily accessible to its customers through the Internet, and meet users’ needs. Finally, BLS measured mission achievement with customer satisfaction with the BLS website through the American Customer Satisfaction Index, with a year-end score of 75, under its target of 77. BLS missed its target due to lower scores particularly in the areas of functionality and search, when compared to fourth quarter FY 2014. BLS adjusted its outyear targets accordingly, and in FY 2016, BLS will review these areas as part of a conceptual analysis for a redesigned website.

BLS – Improve the timeliness, accuracy, and relevance of information on labor market activity, working conditions, and price changes in the economy.

*Target reached (Y), Improved (I), or Not Reached (N)		FY/PY 2011	FY/PY 2012	FY/PY 2013	FY/PY 2014	FY/PY 2015	FY/PY 2016	FY/PY 2017	What Worked	What Didn't Work	Program Performance Improvement Plan
Percentage of timeliness targets achieved for the Principal Federal	Target	--	--	--	100.00%	100.00%	100.00%	100.00%	n/a	n/a	n/a
	Result	100.00%	100.00%	100.00%	100.00%	100.00%	--	--			
	Status	--	--	--	Y	Y	--	--			

Strategic Goal 5

*Target reached (Y), Improved (I), or Not Reached (N)		FY/PY 2011	FY/PY 2012	FY/PY 2013	FY/PY 2014	FY/PY 2015	FY/PY 2016	FY/PY 2017	What Worked	What Didn't Work	Program Performance Improvement Plan
Economic Indicators (PFEIs). 1/											
Percentage of accuracy targets achieved for the PFEIs. 1/	Target	--	--	--	100.00%	100.00%	100.00%	100.00%	n/a	n/a	n/a
	Result	100.00%	100.00%	100.00%	95.00%	100.00%	--	--			
	Status	--	--	--	N	Y	--	--			
Percentage of relevance targets achieved for the PFEIs. 1/	Target	--	--	--	100.00%	100.00%	100.00%	100.00%	n/a	n/a	n/a
	Result	100.00%	90.00%	100.00%	100.00%	100.00%	--	--			
	Status	--	--	--	Y	Y	--	--			
Average number of BLS website page views each month (Dissemination) 2/	Target	--	--	--	Baseline	17,400,000	17,000,000	17,100,000	n/a	Page view counts for 4th quarter tend to be seasonally lower, but 4th quarter FY 2015 was lower by about 975,000 a month compared to 4th quarter FY 2014.	Will continue to ensure that BLS data products are readily accessible to its customers through the Internet, and meet users' needs.
	Result	--	--	--	17,423,845	16,965,254	--	--			
	Status	--	--	--	--	N	--	--			
Customer satisfaction with the BLS website through the American Customer Satisfaction Index (Mission Achievement)	Target	75	75	75	77	77	75	76	n/a	BLS missed its target due to lower scores particularly in the areas of functionality and search, when compared to 4th quarter FY 2014.	In FY 2016, BLS will review these concerns as part of a conceptual analysis for a redesigned website.
	Result	75	77	77	77	75	--	--			
	Status	Y	Y	Y	Y	N	--	--			

**Sources:** For most cross-cutting measures, internal BLS documents. For the Mission Achievement measure, the American Customer Satisfaction Index 2015 E-Gov Scores Q3: <http://www.foresee.com/assets/foresee-egov-index-q3-2015.pdf>

**Notes:**

1/ BLS revised its performance framework in 2014. Cross-cutting measures were new beginning in FY 2014. The FY 2011 - 2013 results are shown for trend-comparison purposes.

2/ In FY 2015, due to a change in software, BLS replaced the dissemination measure of *Average number of Internet site user sessions each month*, with a new, more comprehensive measure, *Average number of BLS website page views each month*.

## Measures Discontinued in FY 2017

Because this APR is primarily a planning document that uses historical information to inform future strategies and targets, it is organized around goals and measures selected to represent Departmental goals for the budget year (FY 2017). Under GPRA, performance goals, measures and targets are identified for reporting purposes in the Congressional Budget Justification (CBJ) issued during that fiscal year. Therefore, DOL is obliged to report PY 2014 and FY 2015 results for measures listed in its FY 2016 Performance Plan, which was published as part of the FY 2016 CBJ in February 2015 (see [www.dol.gov/dol/budget/](http://www.dol.gov/dol/budget/)). Some measures have since been revised, replaced, or discontinued.

The table below lists these performance measures, their targets and results for PY 2014/FY 2015 – organized by the Strategic Objective they supported in the FY 2016 CBJ. Results are not provided for measures that were new this year, i.e., their target was to collect baseline data.

Agency – Measure (Program) FY or PY	Target FY 2015 PY 2014	Result FY 2015 PY 2014	Why not included?
<b>Strategic Objective 3.1</b>			
OFCCP – Number of Supply and Service (S&S) Evaluations Completed	3,840	2,452	In FY 2015 OFCCP de-emphasized case closures so staff could focus instead on high quality systemic discrimination investigations. OFCCP will replace this measure with: Percent of Discrimination CAs with Pay Discrimination Findings.
OFCCP – Number of Construction Evaluations Completed	450	266	In FY 2015 OFCCP de-emphasized case closures so staff could focus instead on high quality systemic discrimination investigations. OFCCP will replace this measure with: Percent of Construction Evaluations Completed from Mega Projects.
OFCCP – Number of Compliance Evaluations and Complaint Investigations Completed	4,290	2,718	In FY 2015 OFCCP de-emphasized case closures so staff could focus instead on high quality systemic discrimination investigations. OFCCP will replace this measure with: Percent of Cases Without Major Deficiencies.
OFCCP – Number of FAAP Evaluations	76	62	OFCCP is changing the methodology for this measure in FY 2016 and it will be de-emphasized along with the other case closure measures. OFCCP will focus instead on high quality systemic discrimination investigations as shown by the replacement measures on pay discrimination findings, mega construction projects, and cases without major deficiencies.

Measures Discontinued

Agency – Measure (Program) FY or PY	Target FY 2015 PY 2014	Result FY 2015 PY 2014	Why not included?
Percent of collaborators who implement recommended policies/strategies	20%	23%	After careful review, WB determined this measure does not properly measure WB’s work or its effectiveness due to the multitude of external factors involved in policy implementation. WB will be implementing a customer satisfaction survey to help ascertain its impact on its constituents and stakeholders.
<b>Strategic Objective 3.2</b>			
Percent of No Violation FMLA cases	38%	35%	WHD is developing a new measure to reflect the strategic direction for this program area.
<b>Strategic Objective 4.1</b>			
Average time in days for development of medical evidence for black lung claims (OWCP)	82	86	For FY 2016, the target was bifurcated in order to segregate the measurement of initial medical evidence development for new claims and supplemental medical evidence development for pilot project cases.
Facilitate Claimant Reemployment: Percent of UI claimants reemployed by the end of the first quarter after quarter in which they received first payment. (ETA)	--	--	ETA suspended this GPRA measure for FY 2015 to develop a measure that integrates UI more closely with the larger workforce system. It will use one of the new employment rate measures established by Workforce Innovation Opportunity Act (WIOA) – the employment rate at the second quarter after exit. This measure, which includes all UI claimants registered with the Wagner-Peyser system, even if they are employed upon entry, will be implemented in FY 2017.
<b>Strategic Objective 4.2</b>			
Percent of Employee Benefit Plans in Compliance with Civil Provisions of ERISA (EBSA)	--	30% (FY 2014)	EBSA has begun to focus on specific compliance issues of special importance to the integrity of plans and plan benefits. Due to a reporting period lag, the FY 2015 result will not be available until the end of FY 2016.

## Acronyms

<b>BLS</b>	Bureau of Labor Statistics	<b>OSHA</b>	Occupational Safety and Health Administration
<b>DOL</b>	U.S. Department of Labor	<b>OWCP</b>	Office of Workers' Compensation Programs
<b>DVOP</b>	Disabled Veterans' Outreach Program	<b>PY</b>	Program Year
<b>EBSA</b>	Employee Benefits Security Administration	<b>SWA</b>	State Workforce Agencies
<b>EEO</b>	Equal Employment Opportunity	<b>TAA</b>	Trade Adjustment Assistance
<b>ERISA</b>	Employee Retirement Income Security Act	<b>UI</b>	Unemployment Insurance
<b>ETA</b>	Employment and Training Administration	<b>VETS</b>	Veterans' Employment and Training Service
<b>FECA</b>	Federal Employees' Compensation Act	<b>WB</b>	Women's Bureau
<b>FLSA</b>	Fair Labor Standards Act	<b>WHD</b>	Wage and Hour Division
<b>FMLA</b>	Family and Medical Leave Act	<b>WIA</b>	Workforce Investment Act
<b>FTE</b>	Full Time Equivalent	<b>WIOA</b>	Workforce Innovation and Opportunity Act
<b>FY</b>	Fiscal Year		
<b>GAO</b>	U.S. Government Accountability Office		
<b>GPRA</b>	Government Performance and Results Act		
<b>HVRP</b>	Homeless Veterans' Reintegration Program		
<b>ILAB</b>	Bureau of International Labor Affairs		
<b>IT</b>	Information Technology		
<b>LMRDA</b>	Labor-Management Reporting and Disclosure Act		
<b>LPD</b>	Lost Production Days		
<b>LVER</b>	Local Veterans' Employment Representative		
<b>MSHA</b>	Mine Safety and Health Administration		
<b>ODEP</b>	Office of Disability Employment Policy		
<b>OFCCP</b>	Office of Federal Contract Compliance Programs		
<b>OFLC</b>	Office of Foreign Labor Certification		
<b>OIG</b>	Office of Inspector General		
<b>OLMS</b>	Office of Labor-Management Standards		
<b>OMB</b>	Office of Management and Budget		

## Internet Links

### Employment Information (For Workers and Employers)

America's Career InfoNet <http://www.acinet.org/acinet/>  
Occupational Outlook Handbook <http://www.bls.gov/oco/>  
Job Corps <http://jobcorps.dol.gov/>  
DOL Jobs <http://www.dol.gov/dol/jobs.htm>  
Job Accommodation Network (JAN) <http://www.jan.wvu.edu/>

### Workplace Laws and Related Information

DOL Compliance Assistance <http://www.dol.gov/compliance>  
Employment Laws Assistance for Workers and Small Businesses <http://www.dol.gov/elaws/>  
Fair Labor Standards Act <http://www.dol.gov/compliance/laws/comp-flsa.htm>  
Small Business Compliance Assistance <http://www.dol.gov/osbp/sbrefa/>

### Statistical Information

Consumer Price Indexes <http://www.bls.gov/cpi/>  
Bureau of Labor Statistics Most Requested Data <http://www.bls.gov/data/>  
Current Population Survey <http://www.bls.gov/cps/>  
Workplace Injury, Illness & Fatality Statistics <http://www.osha.gov/oshstats/work.html>  
Employment Projections <http://www.bls.gov/emp/>  
International comparisons <http://www.bls.gov/fls/>  
Employment, Hours, and Earnings <http://www.bls.gov/ces/>

### Safety and Health Information

OSHA's Partnership Page <http://www.osha.gov/dcsp/partnerships/index.html>  
OSHA Standard Industrial Classification (SIC) Search <http://www.osha.gov/oshstats/sicser.html>  
OSHA Reading Room <http://www.osha.gov/readingroom.html>  
MSHA's Accident Prevention Program [http://www.msha.gov/Accident\\_Prevention/appmain.htm](http://www.msha.gov/Accident_Prevention/appmain.htm)  
Health Hazard Information (MSHA) <http://www.msha.gov/hhicm.htm>  
MSHA's National Hazard Reporting Page <http://www.msha.gov/codeophone/codephonenew.htm>

### Labor Department History

History at the Dept of Labor <http://www.dol.gov/oasam/programs/history/main.htm>  
Annals of the Dept of Labor <http://www.dol.gov/oasam/programs/history/webannalspage.htm>

### Labor Agencies

Bureau of International Labor Affairs <http://www.dol.gov/ilab/>  
Bureau of Labor Statistics <http://www.bls.gov/>  
Employee Benefits Security Administration <http://www.dol.gov/ebsa/>  
Employment and Training Administration <http://www.doleta.gov/>  
Mine Safety and Health Administration <http://www.msha.gov/>  
Occupational Safety and Health Administration <http://www.osha.gov/index.html>  
Office of Disability Employment Policy <http://www.dol.gov/odep/>  
Veterans' Employment and Training Service <http://www.dol.gov/vets/>  
Wage and Hour Division <http://www.dol.gov/whd/>  
Women's Bureau <http://www.dol.gov/wb>