U.S. Department of Labor
Office of the Assistant Secretary for Policy

November 2016

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TAB 1: AGENCY ORGANIZATIONAL OVERVIEW

Mission

The Office of the Assistant Secretary for Policy (OASP) provides advice to the Secretary of Labor, Deputy Secretary of Labor, and Department leadership on policy development, program evaluation, regulations, program implementation, compliance strategies, research, and legislation that will improve the lives of workers, retirees and their families. Integral to this role, OASP develops initiatives and manages cross and intra-departmental activities to advance the mission of the Department. The Chief Evaluation Office, an independent evaluation office within OASP, coordinates the department-wide evaluation agenda and facilitates access to and use of high quality data, and builds evidence on the performance, outcomes, and impacts of DOL programs. The results of evaluations produce evidence-based information for programs and policymaking related to the priorities of the Secretary and mission of the Department.

OASP fulfills DOL's strategic and outcome goals using a variety of strategies to leverage efforts and ensure optimal performance of the Department's program and enforcement agencies, including:

1. Information and analysis reflecting a Department-wide perspective and priorities (for both policymaking purposes and public statements);
2. The timely promulgation of high quality regulations that are consistent with the Secretary's vision, Executive Orders, statutes, and OMB Bulletins;
3. Cross-agency collaboration to enhance our policy, regulatory, and legislative initiatives and innovations; and
4. Rigorous and credible evaluations and data analysis of program outcomes and impacts.

Regulations and Oversight
OASP is responsible for overseeing the Department's regulatory activities. OASP also manages the Department's regulatory interaction with the Office of Management and Budget's Office of Information and Regulatory Affairs (OIRA), and the Office of the Federal Register, as well as the Government Accountability Office (GAO). This work includes an array of functions:

1. Coordinate and prepare studies, analyses, public statements and policies on regulatory, programmatic and enforcement policies, including the impact of Departmental policies and programs on workers, working families and the economy.
2. Conduct economic analysis and data analytics with respect to regulatory issues under consideration by the Department including:
    a) Recommendations and analyses on long- and short-term economic trends; and preparing macroeconomic and microeconomic studies and analyses related to the formulation of regulatory policy;
    b) Economic analyses for priority regulatory agency actions.
3. Manage and facilitate the effective, efficient, and strategic development and review of the Department's regulatory activities and key interagency obligations in partnership with relevant agencies; serve as the Department's Regulatory Policy Officer under E.O. 12866; manage the semi-annual regulatory agendas and regulatory retrospective reviews;

ensure compliance with the regulatory and guidance development requirements of E.O. 12866 and any other related OMB Circulars or Bulletins, including OMB's Final Bulletin for Agency Good Guidance Practices.

4. Serve as the Department's regulatory liaison, overseeing the exchange of information between the Department and OMB, including managing the OMB review of regulations and guidance; facilitating related discussions with OMB and interagency passback comments; and resolving outstanding issues raised by OMB with affected DOL agencies, Solicitor's Office, and the Office of the Secretary.
5. Serve as the Department's liaison to the Office of the Federal Register for the transmission of documents for publication, including the coordination and technical assistance to DOL agencies on regulatory document submission, as well as manage the editorial process between the Department and the *Federal Register* editors and legal staff.
6. Provide general oversight of, and guidance for, the Department's compliance with the Regulatory Flexibility Act (as amended by SBREFA), Small Business Paperwork Reduction Act, and related laws and Executive Orders, OMB Circulars and Bulletins.
7. Lead and manage the process for agency development and clearance of significant guidance, as defined by OMB's Final Bulletin for Agency Good Guidance Practices, to ensure appropriate and transparent development, public engagement, and review by senior departmental officials and OMB.
8. Manage, coordinate, review and process Government Accountability Office (GAO) audits, reports and recommendations.
    a) As the Department's liaison, in close collaboration with DOL agencies, OASP manages all interactions with and responses to GAO's engagements and audits.
    b) OASP's role includes: participating in substantive meetings (including Entrance and Exit Conferences), advising agencies and reviewing agency responses to GAO requests for information, reviewing GAO draft report findings and recommendations, and managing the DOL-wide response to GAO's annual request for the status of efforts to implement open recommendations.
    c) OASP ensures that the Department approaches its GAO engagements strategically, consistently, and expeditiously and convenes the *DOL GAO Liaison Working Group* quarterly to share knowledge and experiences, which consists of each of the DOL Agency GAO Liaisons and OASP policy staff.
9. Represent the Secretary in a variety of forums, including maintaining relationships with stakeholders, federal partners and the White House on matters involving policy, Departmental programs, economic issues, regulations, and evaluations.

Policy

OASP manages the interagency policy innovation and development process within the Department and represents the Department in the broader policy development process in the Administration. This work includes a number of functions:

1. Conducting policy research on priority issues to advance the Department's strategic goals; inform the rulemaking process; leading collaboration on issues that cross agencies

or do not reside in any one DOL agency; and tracking emerging trends in the labor market;
2. Partner and represent the Department with policy experts, academics, think tanks, and others to advance the growth of our knowledge around emerging labor policy;
3. Assist agencies in aligning their priorities with the Secretary's priorities and ensuring that the messaging for their priorities fits within the Department's broader messaging; and
4. Organize and convene key stakeholders for discussions and public forums to explore various long-term economic trends and policies.

Chief Evaluation Office

The Chief Evaluation Office (CEO) coordinates DOL's evaluation agenda -- designing, initiating, and carrying out rigorous and credible evaluations to accumulate evidence on the performance, outcomes, and impacts of DOL programs. The annual Departmental evaluation plan is developed based on learning agendas updated annually by agencies within the Department in consultation with CEO. The results of these evaluations inform Departmental programs and policy, advance the priorities of the Secretary and the mission of the Department, and complement DOL's performance-based management initiatives.

Specific responsibilities include:

1. Institutionalize an evidence-based culture in DOL, including sponsoring seminars and forums on evaluation topics and methodologies and disseminating results of evaluations in various formats appropriate to practitioners, evaluators, and policymakers.
2. Lead the design and implementation of a Department-wide program of research and evaluation to identify effectiveness of policies and programs.
3. Represent the Department in evaluation and evidence discussions with other departments, the White House, the Office of Management and Budget and other Agencies.
4. Promote high standards for data systems and for accessing data appropriate for rigorous evaluation and performance management purposes.
5. Monitor and review research and evaluation plans and projects initiated by DOL agencies to ensure they are consistent the highest standards of methodological rigor are reflected, including the use of experimental designs when possible.
6. Develop an active program of communication, dissemination and networking with research organizations, professionals and other stakeholders to ensure that the Department is aware of the universe of relevant research and evaluation findings and activities and that interested parties are aware of the Department's evaluation activity.

The Departmental Evaluation Policy Statement -- built on the principles of rigor, independence, transparency, relevance, and ethics -- is posted on the CEO website at https://www.dol.gov/asp/evaluation/EvaluationPolicy.htm.

Data Analytics Unit

The Data Analytics Unit (DA) provides quantitative data analysis and analytic consultation to DOL agencies and programs using administrative data, evaluation data, and government survey data from the Bureau of Labor Statistics, the Bureau of the Census, and other statistical agencies. The statisticians provide basic services such as data analysis and data visualization as well as more sophisticated services including complex statistical modeling, accessing, using, or creating

public use data files, and providing support to any DOL programs to effectively analyze administrative and other programmatic data.

Specific responsibilities include:

1. Assistance with statistical methods for data collection;
2. Data quality assurance and assessment;
3. Administrative data management;
4. Data analysis and forecasting in support of program evaluation or performance measurement;
5. Development of descriptive statistics or customized tabulations of data;
6. Linking different data sources, including linking programmatic data with other publically available sources of data;
7. Finding and utilizing available data to support program administration;
8. Consulting on statistical methodology and analytical approaches;
9. Economic analysis and econometric modeling;
10. Assistance with, and access to, statistical software including crosscutting analysis platforms;

Authorizing Legislation

Chief Regulatory Policy Officer
The Regulatory Flexibility Act, as amended by the Small Business Regulatory Enforcement Fairness Act (5 U.S.C. 601 *et seq*.); the Small Business Paperwork Relief Act of 2002 (44 U.S.C. 3506(i)); Executive Order 12866 (“Regulatory Planning and Review,” September 30, 1993); and Executive Order 13272 ("Proper Consideration of Small Entities in Agency Rulemaking," August 13, 2002).

Executive Order 12866 requires the head of each Executive Branch Agency to designate a Regulatory Policy Officer who is responsible for ensuring the Department’s compliance with the Executive Order. The Secretary has designated the Assistant Secretary for Policy, as the Department’s Regulatory Policy Officer. The Office is also responsible for the Department’s compliance with the requirements of the Regulatory Flexibility Act, as amended by the Small Business Regulatory Enforcement Fairness Act of 1996 (SBREFA); the Small Business Paperwork Relief Act of 2002; and management of the Government Accountability Office (GAO) audits, reports and recommendations.

Chief Evaluation Office
Departmental Program Evaluation (DPE) funding is authorized each year through legislative appropriations ($8.5 million in FY 2016), and administered by the CEO. In addition to funds appropriated for DPE, Division G, Title I, Section 107 of Public Law 114-113, the “Consolidated Appropriations Act, 2016” (the Act) authorizes the Secretary of Labor to reserve not more than 0.75 percent from specific budget accounts for transfer to and use by the CEO’s Chief Evaluation Officer for departmental program evaluation. In consultation with the Departmental Budget Office and operating agencies, the Chief Evaluation Officer recommends the set-aside percentage to the Secretary for approval. These evaluation set-aside funds are transferred to CEO

and are available for evaluations of programs administered by the agencies specifically listed in statute fifteen days after notifying Congress of the intent to transfer funds and the planned projects. Evaluation funding (core and set aside) must be obligated within two years.

The Fiscal Year 2016 Consolidated Appropriations Act authorizes DOL's evaluation set aside funding:

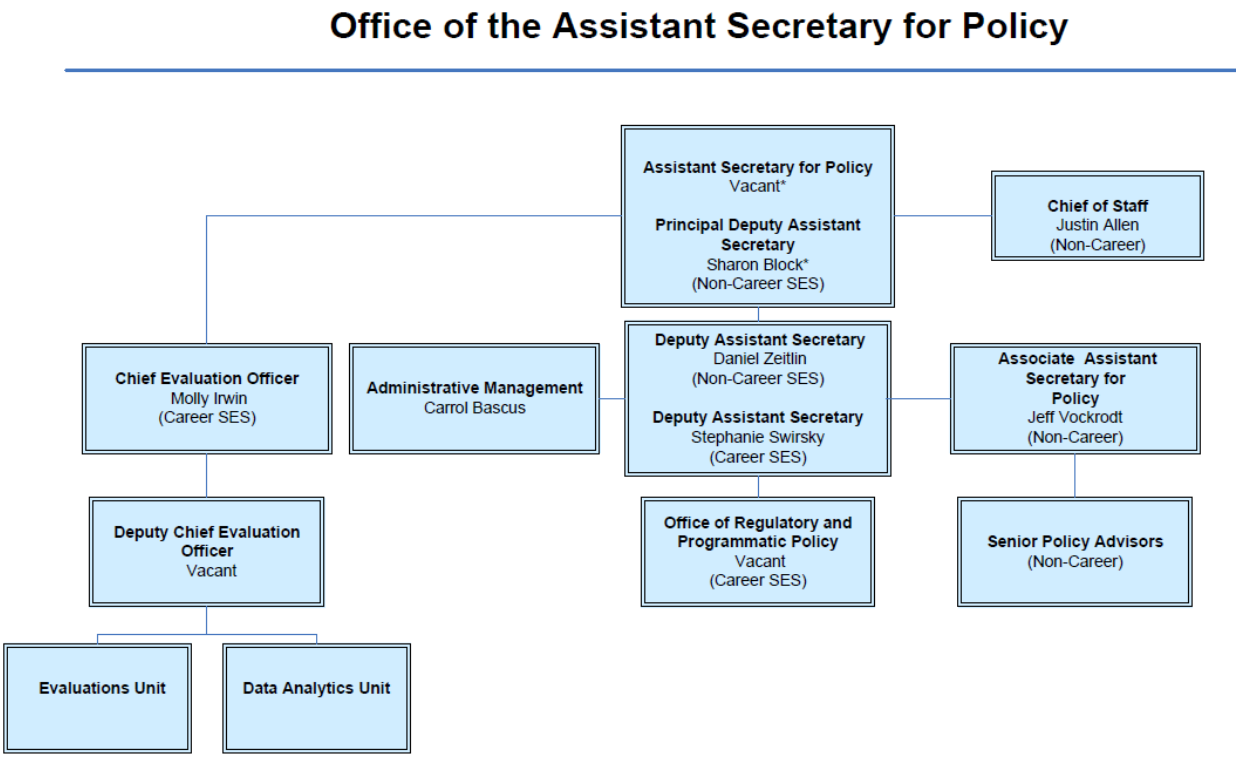
> "Section 107 (a) The Secretary may reserve not more than 0.75 percent from each appropriation made available in this Act identified in subsection (b) in order to carry out evaluations of any of the programs or activities that are funded under such accounts. Any funds reserved under this section shall be transferred to ''Departmental Management'' for use by the Office of the Chief Evaluation Officer within the Department of Labor, and shall be available for obligation through September 30, 2017: *Provided,* That such funds shall only be available if the Chief Evaluation Officer of the Department of Labor submits a plan to the Committees on Appropriations of the House of Representatives and the Senate describing the evaluations to be carried out 15 days in advance of any transfer.
>
> (b) The accounts referred to in subsection (a) are: ''Training and Employment Services,'' ''Job Corps,'' ''Community Service Employment for Older Americans," ''State Unemployment Insurance and Employment Service Operations,'' ''Employee Benefits Security Administration,'' ''Office of Workers' Compensation Programs,'' ''Wage and Hour Division,'' ''Office of Federal Contract Compliance Programs,'' ''Office of Labor Management Standards,'' ''Occupational Safety and Health Administration,'' ''Mine Safety and Health Administration,'' ''Office of Disability Employment Policy,'' funding made available to the ''Bureau of International Labor Affairs'' and ''Women's Bureau'' within the ''Departmental Management, Salaries and Expenses'' account, and ''Veterans Employment and Training.''

Organizational Structure

OASP programmatic and policy work is conducted through the Office of Regulatory and Programmatic Policy, and the evaluation work is conducted through the Chief Evaluation Office and Data Analytics Unit. There are currently 42.5 FTE.

OASP also routinely engages short-term personnel on details to work on a variety of priority projects and assignments through the Presidential Management Fellow Program, DOL Repository of Opportunities Assignments & Details (ROAD) program and the SOL Attorney Leadership Development Program.

Organizational Chart



* Note: Sharon Block is also Senior Counselor to the Secretary.
See OSEC's org chart.

Workforce At-A-Glance

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

AGENCY

Subagency	National Office	Total
OASP	34	34
Total	34	34

RACE & GENDER

Ethnicity	F	M	Total
Asian	3	1	4
Black	8	2	10
Hispanic	0	1	1
Two or more Races	1	0	1
White	10	8	18
Total	22	12	34

BARGAINING UNIT

Local 12	8
Non-BU	26

SUPERVISORY**

Non Supervisor	28
Supervisor	6

WORK SCHEDULE

F-Full Time	32
P-Part Time	2

REGIONS

Natl Ofc	34
Total	34

GRADE DISTRIBUTION

00	4
07	1
11	3
12	2
13	5
14	9
15	10
Total	34

DISABLED STATUS

No Disability	31
Non-targeted	3

APPOINTMENT TENURE

Indefinite	5
Permanent	29

RETIREMENT ELIGIBILITY

Early Out	5
Eligible	5
Not Eligible	24

METRO D.C. AREA EMPLOYEES BY BUILDING

FRANCES PERKINS BLDG	34
Total	34

Includes regional employees working in the D.C. area

GRADE 13 & ABOVE

Ethnicity	F	M
Asian	3	1
Black	3	2
Two or more Races	1	0
White	10	8

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

Organizational Changes During the Past Eight Years

While the key function of regulatory review and analysis has been a constant in OASP for the last eight years, OASP holds responsibility for leading high priority regulatory initiatives through the Department and OMB, including leading the policy development, drafting and engaging agency economists and CHECO in the development and defense of the economic analyses, and managing the Department's equities in the OMB interagency economic and policy review process.

In 2010, to build a culture of evidence, evaluation, and data at DOL, the Department created an independent Chief Evaluation Office within OASP. Since the CEO was established, the appropriated budget and the Congressionally-authorized evaluation set-aside funds have increased. The portfolio of evaluations and the number of evaluation staff have also increased accordingly, with about 50 studies underway at any given time.

Finally, in 2013, the Department created a Data Analytics Unit to support and complement DOL agencies efforts to improve administrative data quality, access to data, use data to conduct analysis to answer program and policy questions, facilitate evaluations, and improve program operations.

Key Leaders

- Assistant Secretary for Policy – (non-career) Vacant
- Sharon Block, Principal Deputy Assistant Secretary (non-career)
- Daniel Zeitlin, Deputy Assistant Secretary (non-career)
- Stephanie Swirsky, Deputy Assistant Secretary (career)
- Jeff Vockrodt, Associate Assistant Secretary (non-career)
- Justin Allen, Chief of Staff (non-career)
- Molly Irwin, Chief Evaluation Officer (career)
- Director Office of Regulatory and Programmatic Policy – Vacant (career; selection pending)
- Carrol Bascus, Administrative Officer (career)

TAB 2: 30/60/90 DAYS – STATE OF PLAY

Key Meetings, Decisions and Announcements

Semi-Annual Regulatory Agenda
The OMB call for agency submissions for the 2017 Spring Regulatory Agenda will likely be issued in February 2017, with the Department's submission due in March.

Regulatory Retrospective Review
The Department's Retrospective Review Report is due on the January 9, 2017.

CEO
One primary evaluation item facing the Secretary in early 2017 involves responding to any external questions or interest that may arise related to publicly released evaluation reports. The Secretary receives advance notice of the release of reports along with a short summary of key findings and possible external or stakeholder interest in the report. See below under "Initiatives" for information on reports and studies. Another item that will require Secretarial attention is approving the 2017 evaluation set-aside funding and the required Notice to Congress, discussed above under legislative authority, usually submitted in February of each year.

GAO
Attached is a list of current GAO audits that GAO has indicated may have final reports issued between January and March 2017. The Presidential Transition Act of 2000 provides for GAO to brief individuals the President-elect intends to nominate as Department heads on the GAO's High-Risk List. There are three categories that GAO considers key issues: Employment in a Changing Economy, Financial Security for Older Americans, and Reducing Government-wide Improper Payments.

Key OASP External Stakeholders

Regulations
OMB
OMB/Office of Information and Regulatory Affairs (OIRA)
OMB/Regulatory Information Service Center (RISC)
OMB/Office of Federal Procurement Policy
EOP/Domestic Policy Council
EOP/National Economic Council
EOP/Council of Economic Advisors
Small Business Administration, Office of Advocacy
FAR Council
Office of the Federal Register
Government Printing Office
EPA/FDMS (erulemaking program)

Policy
EOP/Domestic Policy Council
EOP/National Economic Council
Small Business Administration

EOP/Office of the Vice President
EOP/Office of Public Engagement
Government Accountability Office
Department of Homeland Security (DHS)
DHS Immigration and Customs Enforcement
DHS U.S. Citizenship and Immigration Services
DHS Human Smuggling and Trafficking Center
Federal Mediation and Conciliation Service
Department of Justice
State Department, Office to Monitor and Combat Trafficking in Persons
General Services Administration/Presidential Innovation Fellows

CEO
EOP (NEC, OSTP, CEA, DPC)
OMB (Labor Branch, OIRA-Statistical Office, Evidence Office)
Federal statistical and evaluation agencies and offices (e.g., HHS, DOJ, Education, HUD, CNCS, Agriculture, Transportation, USAID, Census)
National Science Foundation
National Academy of Sciences
State and Local workforce agencies and their national associations and representatives
National Governors Association
Employer and business groups interested in labor standards and worker protection programs
Job training programs and providers
Advocacy associations and organizations
Post-secondary education institutions
Academic researchers and evaluators
Evaluation and research contractors

TAB 3: INITIATIVES

Policy and Regulatory Issues

Regulatory Process

OASP serves as the chief regulatory office for the Secretary, Deputy Secretary, and the Department. The office manages and coordinates the regulatory development, review and clearance process in compliance with the requirements of E.O. 12866, as well as other related OMB Circulars and Bulletins. In this capacity, OASP is the Department's lead office, coordinating the review of regulations with the Office of Information and Regulatory Affairs (OIRA) within OMB.

OASP works with Departmental agencies to develop the Department's regulatory agenda and the office of the Secretary to identify priority regulations. OASP works with the agencies and the Office of the Solicitor (SOL) to draft and review regulations and economic analyses. OASP leads regulatory policy decision-making with the offices of the Secretary and Deputy Secretary, as well as agency leadership and SOL. OASP economists are often responsible for preparing regulatory impact analyses and other economic projects in conjunction with the agencies and the office of the Chief Economist.

OASP manages the Department's clearance process for agency regulations. Agency regulations must be approved by the Offices of the Secretary and Deputy Secretary, the Solicitor, the (Principal Deputy) Assistant Secretary for Policy, and the Chief Economist. Once departmental clearance is complete, OASP works with the Executive Secretariat to secure the Secretary's approval to transmit significant regulations to OIRA for inter-agency review, or publish those not determined to be significant. OASP then manages and coordinates written responses and discussions with OIRA, the Executive Office of the President and other federal partners on comments provided on regulations. OASP transmits regulations that OIRA determines are not significant to the Federal Register for publication. The process appropriately applies to all rulemaking mechanisms under the Administrative Procedures Act, including Requests for Information (RFIs), Advance Notices of Proposed Rulemaking (ANPRMs), Notices of Proposed Rulemaking (NPRMs), Interim Final Rules (IFRs), Final Rules, and Significant Guidance, with consideration of and response to public comments made on proposals occurring during development of Final Rules.

OASP is also responsible for managing the process for publishing NPRMs, Final Rules, and other rulemaking-related notices in the *Federal Register*. This involves working with agencies to ensure regulations are in order to submit to the *Federal Register*, handling special requests for specific dates of publication, working with agencies and the *Federal Register* editorial and legal staffs to address changes requested by the *Federal Register* for regulations and notifying the Department of timing for publications.

Semi-Annual Regulatory Agenda

OASP manages, develops and prepares the Department's Semi-Annual Regulatory Agenda (and Regulatory Plan), which is typically released to the public in October and May. The annual Regulatory Plan is published in the fall, and contains a statement of the Department's regulatory priorities and information about significant regulatory objectives for the year.

Twice yearly, OASP works with the agencies to update their current agenda items and identify new items, as well as facilitate policy discussions among OASP, agency staff and senior department leadership on any issues of concern and to assure that the regulatory agenda reflects the Secretary's priorities. OASP drafts and prepares the Department's regulatory agenda submission for the Secretary's approval and transmittal to OIRA. OASP then manages the OIRA review process and passback, working with the agencies and departmental leadership to answer questions and resolve differences. OIRA publishes and posts the Department's agenda on its website, along with all of the other federal and independent agencies.

The most recent regulatory agenda was published on May 18, 2016, and can be found at www.reginfo.gov. As requested by OIRA, the Department's Fall 2016 Regulatory Agenda and Regulatory Plan was submitted on September 2, 2016, and is under development and review by OIRA.

Retrospective Regulatory Review

Retrospective Reviews or "lookbacks" at regulations are institutionalized in Executive Orders 13563 and 13610, which require agencies to regularly report on the status of retrospective review efforts to OIRA. Agencies are required to review significant rules and determine whether they are obsolete, unnecessary, unjustified, excessively burdensome, counterproductive or duplicative of other Federal regulations. As part of the review, DOL also identifies rules for repeal, modification, strengthening, or modernization. The review is consistent with Section 610 of the Regulatory Flexibility Act (5 U.S.C. 610). Section 610 of the RFA requires Federal agencies to review regulations that have a significant economic impact on a substantial number of small entities within 10 years of their adoption as final rules.

OASP manages the Department's retrospective review reporting requirements, coordinates and reviews the agency submissions, and identifies and resolves issues and concerns. OASP reports on DOL's progress, accomplishments and timelines to OIRA on the second Monday of January and July of each year, unless directed otherwise by OIRA. OASP also includes the retrospective review report in the Department's fall Regulatory Plan Statement, which accompanies the Regulatory Agenda. Once approved by OIRA, the Department makes the report available to the public through its website, as required.

The Retrospective Reviews for the Department can be found at www.whitehouse.gov/omb/oira/regulation-reform

Office of the Federal Register

OASP is the Department's liaison to the Office of the Federal Register (OFR) and manages the submission of all documents published by the Department in the *Federal Register*. In this capacity, and on behalf of the Department, OASP certifies and submits documents (in hardcopy or electronically) to the OFR for publication. These documents include but are not limited to regulations and regulatory-related notices, information collection requests, Federal Advisory Committee Act meeting notices, and stakeholder meeting notices.

Prior to submission to the OFR, OASP coordinates and consults with agencies and the Office of the Secretary to ensure that documents have been appropriately vetted and approved for publication.

OASP facilitates discussions and resolves issues between the Department's agencies and OFR legal and editorial staff on issues including but not limited to drafting, incorporation by reference, delegation of authority, and the Code of Federal Regulations.

Policy Innovation

OASP manages the interagency policy innovation and development process within the Department and represents the Department in the broader policy development process in the Administration. This work includes a number of functions:

1. Conducting policy research on priority issues to advance the Department's strategic goals; inform the rulemaking process; leading collaboration on issues that cross agencies or do not reside in any one DOL agency; and tracking emerging trends in the labor market;
2. Partner and represent the Department with policy experts, academics, think tanks, and others to advance the growth of our knowledge around emerging labor policy;
3. Assist agencies in aligning their priorities with the Secretary's priorities and ensuring that the messaging for their priorities fits within the Department's broader messaging; and
4. Organize and convene key stakeholders for discussions and public forums to explore various long-term economic trends and policies.

Chief Evaluation Office

The CEO develops a Department-wide evaluation plan, conducts or oversees independent formal evaluations, carries out consultative statistical and data analytics projects, disseminates the results of Department-funded evaluations and engages in evaluation and data capacity building activities.

Evaluations: CEO directly funds and sponsors independent evaluations and also collaborates across all DOL agencies and programs to design and conduct evaluations that those agencies sponsor. CEO prepares the Department's annual evaluation plan in close coordination with the operating agencies. Each agency develops a learning agenda in collaboration with CEO and specifies priority evaluation and research topics of particular interest to the agencies. CEO develops the Department's evaluation plan based on the agency learning agendas as well as Department's Strategic Plan priorities, statutory requirements for evaluations, Secretarial and Administration priorities, and continuing discussions with agency leadership and program staff. The plan indicates specific evaluations and related activities that can be funded with CEO core and set-aside funding. Three factors guide the plan:

- Prioritize studies that focus on measuring the efficiency and effectiveness of program outputs and outcomes consistent with the Secretary's priorities, the Departmental Strategic Plan and the agency Operating Plans;
- Encourage the most rigorous evaluation designs of programs and strategies as possible; and
- Expand the knowledge, capacity, value, and understanding of high quality evaluation findings, designs, and methods department-wide.

At any given time, about 50 evaluations are underway. Nearly all evaluations are conducted by independent contractors awarded through competitive procurement. In FY 2016, Congress authorized CEO to also enter into grants for evaluations and research, also competitively awarded.

The first university-based Labor Research and Evaluation Grants will be awarded by CEO in the Fall of 2016.

Attached are lists of pending evaluations and reports completed and released in the past year. Ongoing studies and prime contractors, completed projects and released reports are posted on the CEO website under "Studies" at: https://www.dol.gov/asp/evaluation/#.

Evaluation Capacity Building: CEO leads evaluation capacity-building in the Department and has an important role in expanding evidence-based practice in the Federal government. For example CEO: staff host regular seminars and brown bag sessions for DOL staff on evaluation findings and discussions of study implications; make presentation on evaluation methodology and statistical techniques for internal DOL staff; present at programmatic and academic evaluation conferences, and; funds student and academic research projects in order to build research capacity in areas of interest to the Department. Additional specific capacity building activities include:

> **Clearinghouse for Labor Evaluation and Research:** CEO developed the evidence-based Clearinghouse for Labor Evaluation and Research (CLEAR) see http://clear.dol.gov/ in 2012 as a central source of research and information on labor-related topics, and continues to expand this resource. CLEAR's primary goal is to make labor research more accessible to DOL administrators as well as practitioners, policymakers, researchers, and the public so that it can inform decisions about policies and programs. CLEAR conducts systematic evidence reviews on labor related issues, including studies funded by DOL and other studies with published reports, and summarizes methodologies, findings, and policy/program implications. Evaluations estimating causal impact are also rated according to the strength of the evidence they produced and whether the findings are positive. Conducting systematic reviews requires significant technical capacity, currently provided through two competitively selected contractors (Mathematica Policy Research and ICF International). CEO also uses CLEAR to improve DOL employees' knowledge about evaluation, such as through methodological seminars and by establishing guidelines for high-quality evaluations.

Data Analytics Unit

The Data Analytics unit provides analytical services that build the capacity of DOL staff to use data to help inform program administration and guide decision making and evaluation designs. Projects are conducted incrementally to ensure that they are responsive to the needs of the program offices, and will support and complement the existing capacities of DOL program offices. The data analytics unit works to understand DOL programs, the populations they cover, and program activities and requirements, so they can deliver meaningful analysis and program relevant products. Services provided include identifying data sources that can help answer questions or support modeling; building statistical products including models, programs and program code, and statistical estimates; data visualizations including charts, tables, maps; and documentation to help program offices best use these products.

Major Grants and Contracts

CEO Contracts and Grants
Evaluations are conducted by independent contractors selected through competitive procurement. About 50 evaluations are underway at any given time. Ongoing studies and prime contractors, completed projects and released reports are posted on the CEO website under "Studies" at: https://www.dol.gov/asp/evaluation/#. In FY 2016, Congress authorized CEO to also enter into grants for evaluations and research, with grantees competitively selected. The first university-based Labor Research and Evaluation Grants will be awarded by CEO in the Fall of 2016. Attached are lists of pending evaluations and reports completed and released in the past year.

Audits and Reports

See attached lists for:
1. GAO open audits
2. GAO open recommendations
3. GAO recommendations closed since 2012

Management

IT Opportunities

- **OASP Website**

The OASP website provides information to the public on its rulemaking and regulations activities, policy innovation initiatives and research, Chief Evaluation Office research and reports, and Employment Law Advisors (elaws). The website is a resource to the public, particularly in the use of the elaws advisors and can become even more integral as a portal for the public to access information on DOL regulations, policies and programs. While there are opportunities for the continued development and expansion of the website, there are challenges with keeping the website updated and ensuring the content is maintained in a routine and timely manner. OASP relies on OPA to make manual updates to the site. Currently, there is no mechanism to allow for a more expedient process to update the OASP website.

- **CEO Website**

The CEO website (https://www.dol.gov/asp/evaluation/) is a continuously updated source of information about DOL evaluations, data analytics, and evidence-building activities in DOL and in the Federal government. The Departmental evaluation plan and all evaluations underway and completed are publicly posted on the CEO website. Evaluation results and public use data files are disseminated and make publicly available through the website in various formats appropriate to practitioners, evaluators, and policymakers. The website also links to other evidence websites sites in DOL, OMB evidence memoranda and guidance, and other federal agencies, and to CLEAR and other federal evidence-based clearinghouses.

- **eRulemaking Program (FDMS)**

As part of its role of Chief Regulatory Office under Executive Order 12866, OASP manages and coordinates on matters relating to the eRulemaking portal. DOL is a partner agency on the inter-agency eRulemaking Program and supports the maintenance and operation of the government-wide electronic document management system (Federal Docket Management System). The eRulemaking Program is a collaborative inter-agency effort that has created and manages the common, automated and integrated repository for managing Federal rulemakings and non-rulemaking actions that follow the notice and comment process. The portal consolidates dockets of various departments and agencies and centrally manages them through a web based environment.

- **Employment Laws Assistance for Workers and Small Businesses (elaws)**

The Employment Laws Assistance for Workers and Small Businesses (elaws) Advisor program has been an OASP initiative since 1996. This web-based program helps employers and employees understand their rights and responsibilities under many of the employment laws administered by DOL. Elaws Advisors simulate the interaction a user would have with an expert, answering questions about complex issues specific to the user's workplace and/or employment situation. Currently, there are over 30 elaws Advisors covering many regulations and laws administered by all of the major DOL agencies.

- **Clearinghouse on Labor Evaluation and Research (CLEAR)**

CEO's Clearinghouse for Labor Evaluation and Research (http://clear.dol.gov/) serves as a central source of research and information of labor-related topics for practitioners, policymakers, researchers, the media, and the general public. Maintaining and continuously improving the internet-based CLEAR requires high-level IT capacity, currently provided through a competitively selected contractor (Mathematica Policy Research) in coordination with CEO and the Department's Office of the Chief Information Officer.

- **The Data Exchange and Analysis Platform (DEAP)**

DEAP allows for cross cutting analysis between agencies, and for agencies to test the feasibility of new types of analysis and visualization, and to extend their existing capabilities. This platform is being built by the Data Analytics Unit in conjunction with the advanced technologies unit within the Department's Office of the Chief Information Officer. A number of program offices are using an existing version of the DEAP platform now, and the data analytics unit plans to begin deploying components of the second generation platform in early FY 2017.

IT Challenges

OASP does not have dedicated technical IT staff, and internal demand for equipment and technical support is extremely heavy, given our limited resources.

One critical IT challenge is related to maintaining and continuously expanding the CEO's internet-based CLEAR, which requires high-level IT capacity, currently provided by two competitively-

selected contractors (Mathematica Policy Research and ICF International), who work under the direction of the evaluation staff.

Additionally the Data Analytics team, in coordination with the Department's Chief Information Officer, builds capacity for data analysis, within and across DOL programs and agencies, built on a highly technical data analysis infrastructure.

Employee Engagement
From 2015 to 2016, OASP dramatically improved its employee engagement score, with a 16.9 percentage point increase in the Agency's score between 2015 (63) and 2016 (79.9), a 26.8 percent improvement over 2015. OASP received the highest combined scores under Leaders Lead, Supervisors and Intrinsic Work Experiences, which put it in the top ranking of all DOL agencies under Employee Engagement for 2016. Based on preliminary 2016 Federal Employee Viewpoint Survey data, when compared to other agencies in the Department, OASP was the most improved in employee engagement. OASP also received the highest scores in the Department for the three survey items that combine on the Best Places to Work in the Federal Government ranking and for the survey item, "I believe the results of this survey will be used to make my agency a better place to work."

OASP is focused on employee engagement through its Employee Viewpoint Survey Action Plan. The agency is concentrating efforts in the areas of management and leadership, communication, engagement, performance and professional development. The agency has outlined specific activities, including: facilitated workshops, team retreats, skills assessment/training survey and staff mentoring among other actions intended to be responsive to the issues most important to OASP employees.

Calendar

Regulatory Reporting
OMB generally issues an initial call for agency submissions to the semi-annual regulatory agenda in February and August, with submissions due in March and September. The fall regulatory agenda also includes agencies' Regulatory Plans, which highlight regulatory priorities. The actual publication date of the agenda is at OMB's discretion, but has generally been within two months of the initial data call.

On the second Monday of January and July of each year, unless directed otherwise by OIRA, OASP is required to submit the Department's Retrospective Review Report, with subsequent publication at a date determined by OIRA.

CEO

Finalize DOL Evaluation Plan for new calendar year, based on Learning Agendas and Departmental priorities	January
Send Notice to OMB and Congress on Intent to Transfer Funds Under Evaluation Set-aside Authority, based on the Secretary's approval	February/March
Send Notice to OMB and Congress on Intent to Transfer Additional Funds Under Evaluation Set-aside Authority, as Determined	TBD, based on decisions
Meet End of Fiscal Year Procurement deadlines	May
Prepare Fiscal Year Budget submission & Assist Agencies with Evidence Justification, as Needed	September-December
Complete annual updates of Learning Agendas with agencies	December

TAB 4: BUDGET

PROGRAM DIRECTION AND SUPPORT

BUDGET AUTHORITY AND FTE SUMMARY

(Dollars in millions)

	FY 2013 Enacted	FY 2014 Enacted	FY 2015 Enacted	FY 2016 Enacted	FY 2017 Request
Budget Authority	$31.0	$31.0	$31.0	$31.0	$37.4
FTE	120	122	136	130	161

At-A-Glance

- The Program Direction and Support (PDS) activity is a component of the Departmental Management (DM) appropriation and receives General Funds. The activity includes the following offices:
  - The Office of the Secretary of Labor;
  - The Office of the Deputy Secretary of Labor;
  - The Office of the Assistant Secretary for Policy (ASP);
  - The Office of Congressional and Intergovernmental Affairs;
  - The Office of Public Affairs (OPA);
  - The Center for Faith-based and Neighborhood Partnerships; and
  - The Office of Public Engagement.
- The Chief Evaluation Office (CEO) is a component of ASP.
- ASP provides advice to the Secretary, Deputy Secretary, and Department on matters of policy development, program evaluation, regulations, budget and legislation. The agency was funded at $5.8 million out of the total PDS appropriation.
- CEO's staff costs and FTE were historically included in ASP's budget. Beginning in FY 2016, salaries and benefits for CEO have been covered in the Departmental Program Evaluation activity, which is another activity in DM. FTE will be recorded under the DPE activity beginning in FY 2017.

ASP Funding, FY 2009-FY 2016
(Dollars in millions)

FY 2011	$8.6
FY 2012	$5.5
FY 2013	$5.8
FY 2014	$5.9
FY 2015	$5.7
FY 2016	$5.8

Budget and FTE Trends

- From FY 2009 to FY 2010, PDS's budget increased from $25.8 million to $33.2 million. The FY 2010 President's Budget requested additional resources for the Office of Recovery for Auto Communities and Workers (ORACW) and to support implementation of the American Reinvestment and Recovery Act (ARRA). In FY 2011 and FY 2012, resources were shifted from PDS to other DM activities to address deficits.
- Actual FTE use increased along with the increased budget authority. Actual FTE use was 109 in FY 2009 and 121 in FY 2016.
- PDS's budget authority was reduced by a total of $1.7 million in FY 2013 due to sequestration and a small rescission. The Department reprogrammed an additional $0.5

million from PDS to address deficits in DM caused by sequestration, leaving PDS with a budget authority of $31.0 million. PDS's budget authority has been stable since that time.
- PDS components received funding from the ARRA supplemental appropriation in FY 2009. $0.7 million was used to staff the ORACW. This office completed its work and was not funded in FY 2014.
- ASP provides advice to the Secretary, Deputy Secretary, and Department on matters of policy development, program evaluation, regulations, budget and legislation. The agency was funded at $5.8 million out of the total PDS appropriation.

Upcoming Issues
- The FY 2017 President's Budget includes requests for additional resources for the CEO totaling $1.3 million.

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DEPARTMENTAL PROGRAM EVALUATION
BUDGET AUTHORITY AND FTE SUMMARY
(Dollars in millions)

	FY 2013 Enacted	FY 2014 Enacted	FY 2015 Enacted	FY 2016 Enacted	FY 2017 Request
Budget Authority	$8.0	$8.0	$8.0	$8.0	$9.5
FTE	0	0	0	0	0

At-A-Glance
- The Departmental Program Evaluation (DPE) activity funds evaluations of the Department's programs and activities. DPE was first funded in FY 2010.
- The account receives a base appropriation, but the majority of its funding for evaluations comes from transfers from other agencies. These transfers are authorized by a set-aside authority in the general provisions language.
- DPE has two year funding availability.

Budget and FTE Trends
- The CEO was established in FY 2010 to coordinate, manage and implement the Department's evaluation program. The DPE budget activity was also first centralized in FY 2010.
- Prior to the creation of the DPE activity, evaluation funding was decentralized across agencies with an additional $3.5 million in the Office of the Assistant Secretary for Administration and Management (OASAM).

- DPE's appropriated funding has been stable since FY 2010. In FY 2010, it was directly appropriated $5.0 million and used the additional $3.5 million in OASAM funding for a total of $8.5 million. In subsequent years, it has been directly appropriated between $8.0 and $8.5 million in each year.
- Beginning in FY 2012, the Department has authority in the general provisions to transfer up to a certain percentage of specific agency's funding to DPE, to be managed by the Chief Evaluation Officer for DOL evaluations. The largest source of transfers is the Employment and Training Administration (ETA). Since FY 2012, ETA has transferred a total of $85.4 million from various appropriations. In FY 2016, the Secretary had the authority to transfer up to 0.75 percent of the appropriations from specified operating agencies to DPE for evaluation purposes. Between FY 2013 and FY 2015, the evaluation set-aside authority was "up to .5 percent" of operating funds. The general provision requires that a plan be sent to the Appropriations committees outlining the evaluations DOL intends to fund suing set-aside transfers.
- The appropriation language also provides authority to transfer evaluation funds to any other appropriate account in the Department for evaluation purposes.
- Since its establishment, Congress has added to the appropriation language to provide grant-making authority to the DPE and to direct that grants made for the purpose of evaluations are awarded through fair and open competition. In FY 2016, the appropriation language also added authority to transfer evaluation funds to any other appropriate account in the Department for evaluation purposes. This clause was included in previous fiscal year's appropriations language.

DPE Transfer History
(Dollars in millions)

Year Funds Appropriated	Appropriation	Transfer
FY 2012	ETA/SUIESO	$15.9
FY 2012	WHD	$0.6
FY 2012	EBSA	$0.9
FY 2013	ETA/SUIESO	$11.6
FY 2014	ETA/TES	$7.9
FY 2014	ETA/CSEOA	$1.1
FY 2014	ETA/OJC	$4.2
FY 2015	ETA/TES	$7.8
FY 2015	ETA/CSEOA	$1.1
FY 2015	ETA/OJC	$4.2
FY 2015	ETA/SUIESO	$9.0
FY 2016	ETA/TES	$8.3
FY 2016	ETA/CSEOA	$1.1
FY 2016	ETA/OJC	$4.2
FY 2016	ETA/SUIESO	$9.0
Total	**All**	**$86.9**

Upcoming Issues

- Program evaluation activities have been of significant interest to the appropriations committees and Congress in general. In FY 2016, the Evidence-Based Policymaking Commission Act of 2016 was passed. This law establishes a 15-member commission to study how best to strengthen and expand the use of data to evaluate the effectiveness of federal programs and tax expenditures

Staff Contacts

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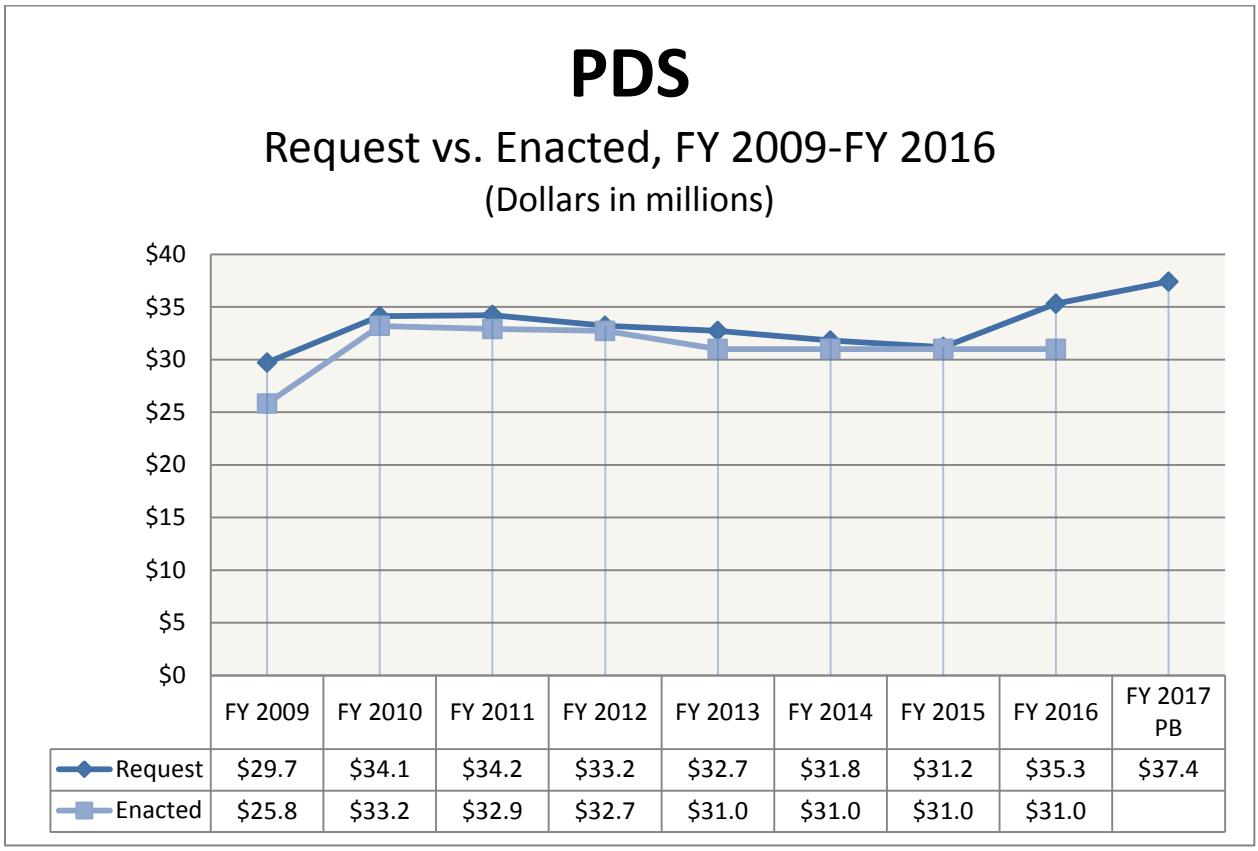
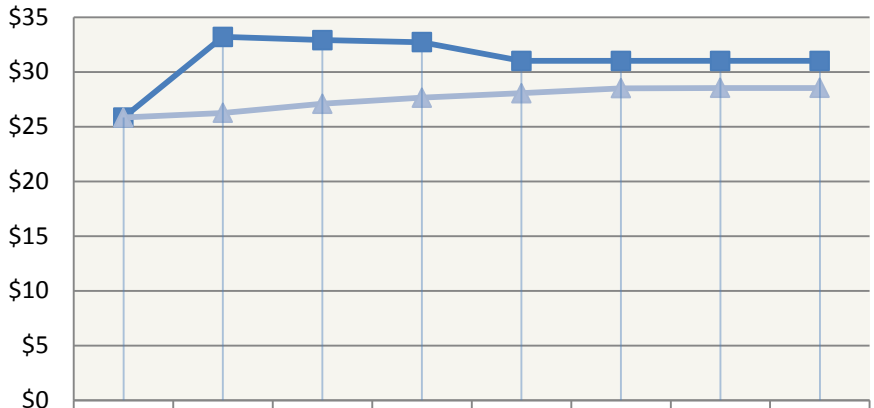


	FY 2009	FY 2010	FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016	FY 2017 PB
Request	$29.7	$34.1	$34.2	$33.2	$32.7	$31.8	$31.2	$35.3	$37.4
Enacted	$25.8	$33.2	$32.9	$32.7	$31.0	$31.0	$31.0	$31.0	

PDS

FY 2009 Inflation Adjusted BA vs. FY 2009-FY 2016 Enacted BA

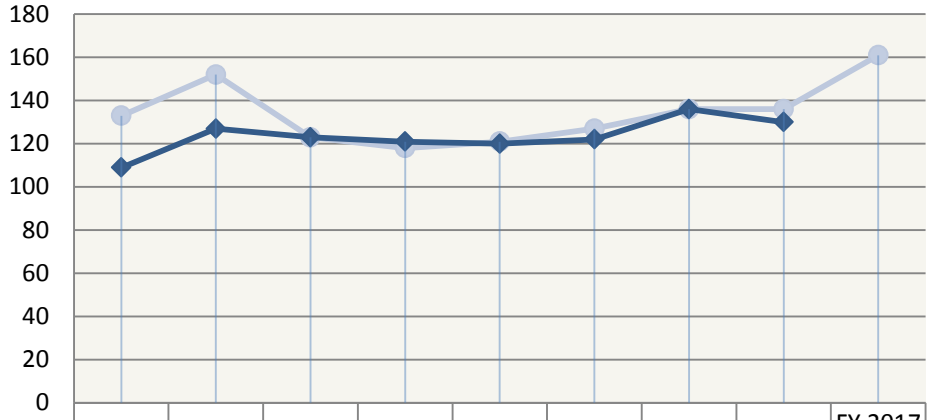
(Dollars in millions)



	FY 2009	FY 2010	FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016
Enacted	$25.8	$33.2	$32.9	$32.7	$31.0	$31.0	$31.0	$31.0
Inflation Adjusted	$25.8	$26.3	$27.1	$27.6	$28.0	$28.5	$28.5	$28.5

PDS

Authorized FTE vs. Actuals, FY 2009-2017

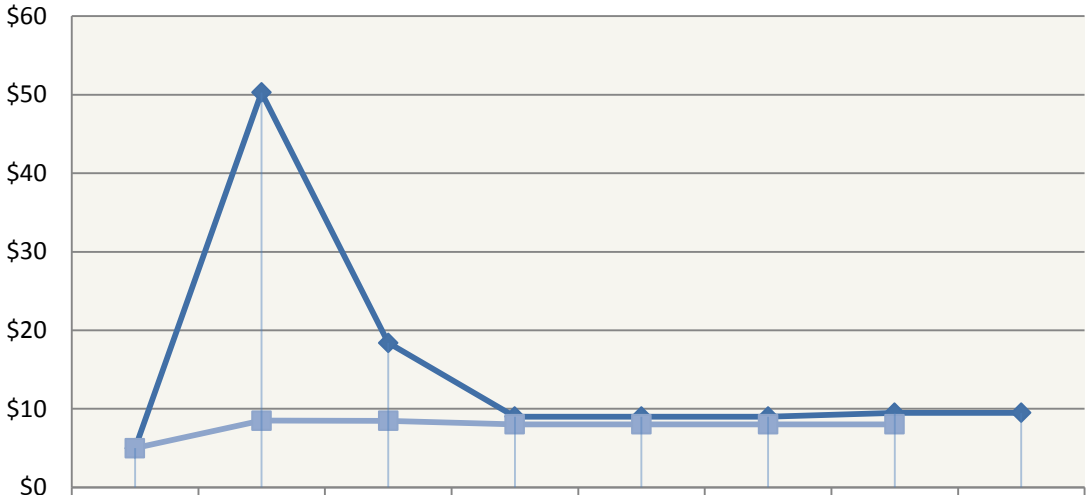


	FY 2009	FY 2010	FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016	FY 2017 PB
Authorized	133	152	123	118	121	127	136	136	161
Actuals	109	127	123	121	120	122	136	130	

Departmental Program Evaluation

Request vs. Enacted, FY 2010-FY 2016

(Dollars in millions)

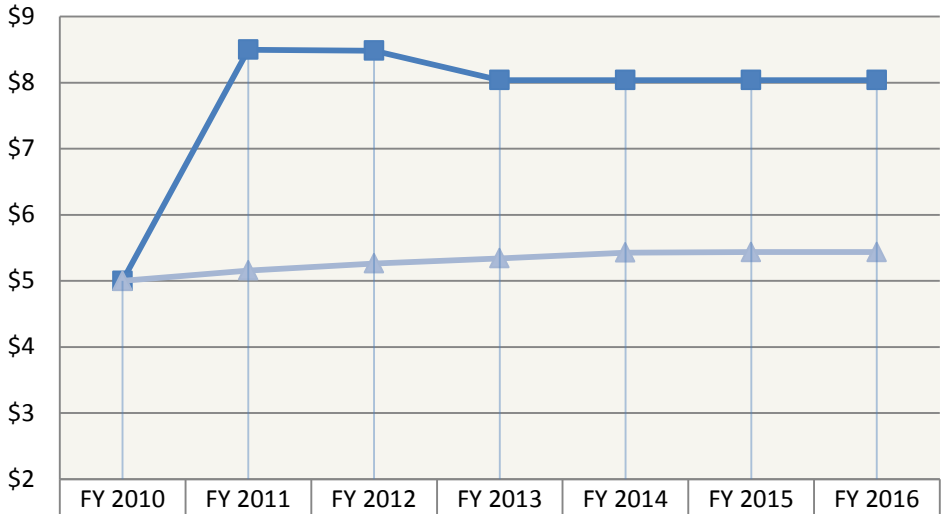


	FY 2010	FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016	FY 2017 PB
Request	$5.0	$50.3	$18.4	$9.0	$9.0	$9.0	$9.5	$9.5
Enacted	$5.0	$8.5	$8.5	$8.0	$8.0	$8.0	$8.0	

Departmental Program Evaluation

FY 2010 Inflation Adjusted BA vs. FY 2010-FY 2016 Enacted BA

(Dollars in millions)



	FY 2010	FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016
Enacted	$5.0	$8.5	$8.5	$8.0	$8.0	$8.0	$8.0
Inflation Adjusted	$5.0	$5.2	$5.3	$5.3	$5.4	$5.4	$5.4

TAB 5: EVALUATION REPORTS

Released Between August 2015 and August 2016

Report Title	Release Date
Understanding Adult Subpopulations Served by Workforce Investment Programs	August 2015
Administrative Data Research and Analysis Project (ADRA) Federal Agency Targeting Inspection (FEDTARG) Program Study Final Report	September 2015
Providing Services to Veterans Through the Public Workforce System: Descriptive Findings from WIA Gold Standard Evaluation	October 2015
Paid Family Leave, Fathers' Leave Taking, and Leave-Sharing in Dual-Earner Households	November 2015
The United Services Military Apprenticeship Program (USMAP)	November 2015
A Review of the Literature Related to Homeless Veteran Reintegration: Final Report	November 2015
Assessing Rhode Island's Temporary Caregiver Insurance Act: Insights form a Survey of Employers	January 2016
Women Veteran Economic and Employment Characteristics	February 2016
Some Implications of The Changing Structure of Work For Worker Retirement Security, Pensions and Healthcare	March 2016
The Changing Structure of Work: Implications for Workplace Health and Safety in the US	March 2016
Domestic Outsourcing in the U.S.: A Research Agenda to Assess Trends and Effects on Job Quality	March 2016
Sector-Based Training Strategies: The Challenges of Matching Workers and Their Skills to Well-Paying Jobs	March 2016
Additional Unemployment Compensation Benefits During the Great Recession: Recipients and Their Post-Claim Outcomes	March 2016
States' Decisions to Adopt Unemployment Compensation Provisions of the American Recovery and Reinvestment Act	March 2016
Encouragement Emails Increase Participation in Reemployment Services	April 2016
Single Email prompts Individuals to Increase Retirement Savings	April 2016
Pilot OSHA Citation Process Increases Employer Responsiveness	April 2016
The Department of Labor 2015 Scholars Program Working Paper Series	April 2016
Understanding the Prevalence and Returns to Working Long Hours and the Gender Pay Gap: Evidence Across Countries - Patricia Cortés	April 2016
The Demands and Resources of Work and Family: A Longitudinal Study of their Effects on the Risk of Injuries in the Workplace - Amit Kramer	April 2016

Examining Differences by Ethnicity in the Propensity to File for Workers' Compensation Insurance - Melissa McInerney	April 2016
Changing Patterns of Work and Poverty During and After the Great Recession - Brian Thiede	April 2016
The Effect of Marketing on Demand for OSHA's On-site Consultation Program	April 2016
Evaluation of the Occupational Safety and Health Administration's Site-Specific Targeting Program Final Report	June 2016
Understanding Attitudes on Paid Family Leave: Discussions with Parents and Caregivers in California, New Jersey and Rhode Island	July 2016
Leaving it to the Family: the Effects of Paid Leave on Adult Child Caregivers	July 2016
Exploring Reemployment Strategies for Army Veterans: Implementation of State Pilots	July 2016