

U.S. Department of Labor
Mine Safety and Health Administration

FY 2003 Annual Performance Plan

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**U.S. Department of Labor
Mine Safety and Health Administration
Fiscal Year 2003 Performance Plan**

1. Introduction

The mission of the Mine Safety and Health Administration (MSHA) is to protect the safety and health of the Nation's miners under the mandate of the Federal Mine Safety and Health Act (Mine Act). This mission is in concert with the Department of Labor's Strategic Goal of *Quality Workplaces: Foster quality workplaces that are safe, healthy, and fair* and the Outcome Goal to *Reduce workplace injuries, illnesses, and fatalities*. The five MSHA strategic goals are to: ***Reduce fatalities and injuries in the Nation's mines, reduce miners' exposure to health hazards, establish MSHA as a model workplace, improve organizational performance and enhance services provided to the public through effective deployment of information technology resources, and secure and protect information technology resources.***

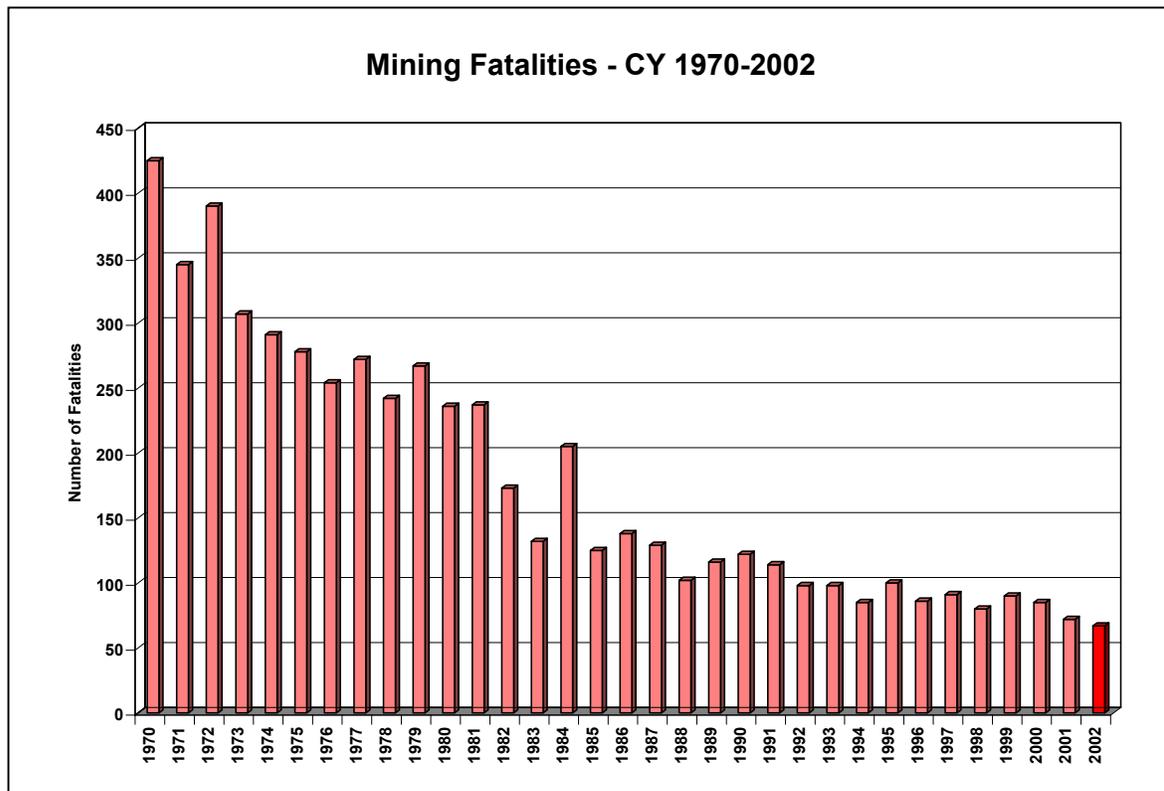
The Mine Act provides that MSHA inspect surface mines at least twice a year and underground mines at least for times a year (seasonal or intermittent operations are inspected less frequently). MSHA believes that enforcement alone cannot solve all safety and health problems nor can MSHA accomplish this mission alone. MSHA strongly encourages a partnership with the mine operators, miners, unions, state officials and others in the mining community working cooperatively on programs aimed at preventing accidents and injuries and focusing on serious health concerns. MSHA is refocusing its regulatory philosophy and practice to place additional emphasis on accident prevention. The Agency is expanding its existing outreach efforts in the mining community and shifting the emphasis of regulatory programs from after-the-fact enforcement to compliance assistance and prevention, focusing attention on root causes of persistent safety and health problems and helping mine workers and operators address these problems by working proactively and sharing best practices information.

Although mining is now recognized as one of the safest industries with a lower rate of injuries and illnesses per 100 employees than agriculture or construction, the mining environment can be a hazardous place to work. Contributing factors may include unforeseen geologic instabilities, constantly changing terrain, and prevalence of large and complex haulage and mining equipment. Potential dust, noise and chemical exposures must be properly controlled through engineering and administrative controls and through the use of appropriate protective equipment. Changing workplace factors in the mining industry require constant vigilance on the part of the mine operators and miners to mitigate the conditions that cause accidents, injuries and illnesses.

Production demands have been rising in the metal and nonmetal mining sector, especially for aggregates--crushed stone, sand and gravel. United States Geological Survey data shows a steady increase in the production of crushed stone, sand and gravel since 1995. Demand for basic building materials is expected to continue to rise as a result of the Transportation Equity Act for the 21st Century (TEA 21). TEA 21 provided for massive investments in highway, bridge, and mass transit construction. These activities, along with resultant office and housing development, will put increasing demands on the production of sand, gravel, stone, and other construction-related minerals.

Coal continues to be the predominant fuel for electricity generation in the U.S. accounting for approximately 51 percent of electricity production. Coal is also used for residential and commercial heating, for the production of coke for the steel industry, and as a raw material in the chemical industry. The National Energy Policy has promoted the development and use of all the resources and technologies available to increase our ability to produce electricity. The Department of Energy has been directed to invest funds for clean coal technology research and development. The Clean Air Act, deregulation of the utility industry, and globalization of the mining industry are influencing the structure and operation of the industry. With the energy crisis and the push for greater production, mining operations are expanding and increasing in number to meet this demand. Because of the increase in production noted in both the metal and nonmetal and coal mining sectors resulting in an increase in new inexperienced miners, MSHA must develop new training initiatives to address these concerns. Small mine operator training is a particularly sensitive area needing additional resources and compliance assistance.

MSHA's FY 2003 program activities and initiatives focus on reducing miner fatalities and injuries and reducing exposure to health hazards by applying the Agency's human, financial and information technology resources in the most effective manner. Completion of mandatory inspections and investigations will continue as a critical part of ascertaining compliance with Federal safety and health standards. Special emphasis and educational outreach initiatives will be strengthened focusing attention on root causes of persistent safety and health problems as well as to address new inexperienced miner training issues. MSHA will strive to find new ways to improve working conditions in the Nation's mines. We must reach and maintain a healthy balance among enforcement, education and training, compliance assistance and technical support. This approach assures our customers, both external and internal receive program services and support of the highest caliber.



2. Overview of the MSHA Strategic Plan

The MSHA FY 2003-2008 Strategic Plan focuses attention on the key element in the Agency mandate—protecting the safety and health of miners. The strategic plan sets five Agency results goals: reduce fatalities and injuries in the Nation's mines, reduce miners' exposure to health hazards, establish MSHA as a model workplace, improve organizational performance through effective deployment of information technology resources, and secure and protect information technology resources.

2.1 Mission

MSHA's mission is to protect the safety and health of the Nation's miners. The Mine Act requires MSHA to establish and determine compliance with Federal safety and health standards through inspections and investigations and to work cooperatively with the mining industry, labor, and the States to improve training programs aimed at preventing accidents and occupationally caused illnesses.

2.2 Vision

MSHA's vision is to be a full partner with the mining community in eliminating preventable deaths, injuries, and illnesses in the Nation's mines.

2.3 MSHA Strategic Goals

The MSHA strategic goals focus on the results to be achieved in support of MSHA's mission. Each goal has performance objectives that set the course for MSHA's annual plan:

C Reduce fatalities and injuries in the Nation's mines.

- < Reduce the fatal injury incidence rate by 15% per year.
- < Reduce the all-injury incidence rate 50% below the FY 2000 baseline by the end of FY 2005.

C Reduce exposure to health hazards in the Nation's mines.

- < Reduce the percentage of respirable dust samples in coal mines exceeding applicable standards by 5% per year for designated occupations.
- < Reduce the percentage of silica samples in metal and nonmetal mines exceeding the applicable standards by 5% per year for designated high-risk occupations.
- < Reduce the percentage of noise exposures above the citation level in coal and metal and nonmetal mines by 5%.

Establish MSHA as a model workplace.

- < Competitively source 10% of commercially competitive functions.
- < Convert 30% of service contracts over \$25,000 to performance-based contracts.
- < Reduce MSHA employee injury and illness claims and incidence rate by 20% below the projected baseline.

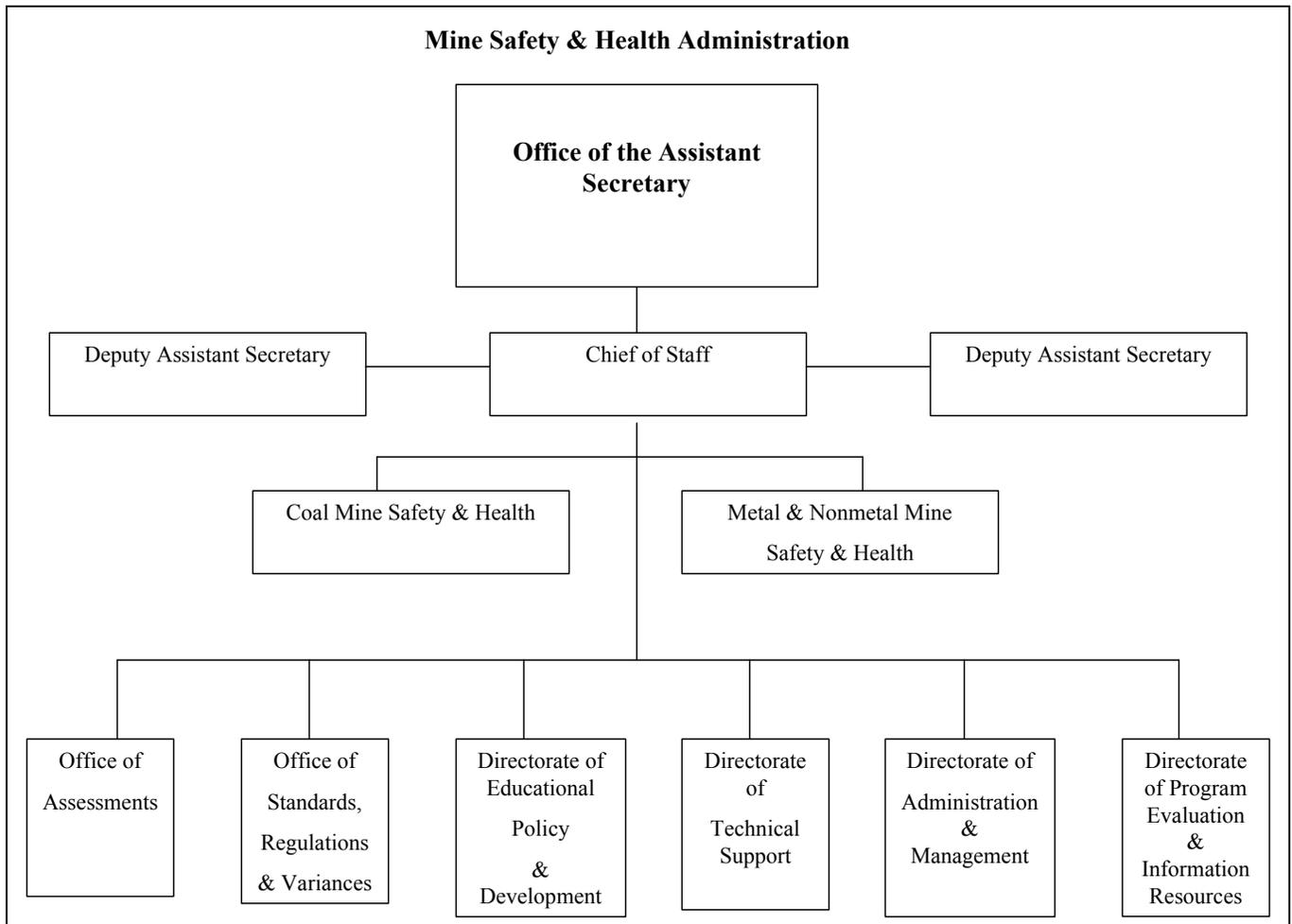
- < Reduce MSHA employee injury incidence rate for lost time injuries by 5% below the baseline.
 - < Reduce workers' compensation costs by 5% each year.
- C Improve organizational performance and enhance services provided to the public through effective deployment of information technology resources.
- < Continue implementation of MSHA's Standardized Information System (MSIS).
 - < Complete MSHA's network expansion.
 - < Continue implementation of E-Government.
- C Secure and protect information technology resources through a highly available and secure processing environment.
- < Test and review security procedures and controls.

2.4 MSHA Organization

MSHA is headed by an Assistant Secretary of Labor for Mine Safety and Health. The Agency carries out its mission through its enforcement, compliance, and support organizations in a synergistic effort. The Agency has its headquarters in Arlington, Virginia, and includes 11 Coal Mine Safety and Health districts and associated field offices and 6 Metal and Nonmetal Mine Safety and Health districts and associated field offices. MSHA also operates the National Mine Health and Safety Academy in Beckley, West Virginia—one of the seven permanent Federal academies; the Pittsburgh Safety and Health Technology Center in Bruceton, Pennsylvania; and the Approval and Certification Center in Triadelphia, West Virginia. The MSHA FY 2003 budget request level is \$254,323,000, which included funds for 2,264 Full-Time Equivalents.

MSHA has the following organization:

- C Office of the Assistant Secretary
- C Coal Mine Safety and Health Administration
- C Metal and Nonmetal Mine Safety and Health Administration
- C Office of Assessments
- C Office of Standards, Regulations and Variances
- C Directorate of Educational Policy and Development
- C Directorate of Technical Support
- C Directorate of Administration and Management
- C Directorate of Program Evaluation and Information Resources



3. Strategic Goals and the FY 2003 Budget

3.1 Introduction

The MSHA FY 2003 Performance Plan is an integral component of the Department of Labor's Performance Plan. It specifically addresses the Departmental cross-cutting strategic goal of ***Quality Workplaces—Foster quality workplaces that are safe, healthy, and fair*** and the Departmental outcome goal to ***Reduce workplace injuries, illnesses, and fatalities***.

For the FY 2003 budget formulation process, MSHA submitted a policy neutral budget. A policy neutral budget takes the current year budget and adjusts for the scheduled pay raise and inflation factors. MSHA's FY 2003 request level is \$254,323,000 and 2,264 FTE. MSHA is committed to reducing mine-related accidents, injuries, and fatalities, as well as continuing to place emphasis on health issues. This budget request supports MSHA programs in Coal Mine Safety and Health; Metal and Nonmetal Mine Safety and Health; Assessments; Standards, Regulations and Variances; Educational Policy and Development; Technical Support; and Program Administration. All MSHA program activities work in a complementary fashion to identify and mitigate the many hazards in mine operations.

MSHA requirements relate directly to national and international economic trends and the response by the mining industry. These include construction and road building activity, precious metal and other metal prices, energy and clean air policies, global competition for mineral products, and mining technologies, processes, and workforce practices.

3.2 Major efforts conducted by MSHA

C *Enforce the provisions of the Mine Act and provide compliance assistance.* MSHA will continue to implement an integrated approach toward the prevention of serious accidents, injuries and occupational illnesses in the mining industry.

- < Expand existing outreach efforts in the mining community and shift the emphasis of regulatory programs from after-the-fact enforcement to compliance assistance and prevention, focusing attention on root causes of persistent safety and health problems and assist mine workers and operators address these problems.
- < Direct informational outreach programs to occupations with a high incidence of exposures to airborne contaminants and physical agents, with particular attention to dust and noise. Focus activities and increase sampling presence in mines with excessive dust and noise levels.
- < Conduct mandated safety inspections and assistance, with special attention on mines experiencing significant methane liberation or a high incidence rate of accidents and injuries. Place special inspection emphasis on the types of mines experiencing high levels of injuries and fatalities.
- < Provide timely approval/certification of mining plans and equipment. Pursue development of technological advances such as real-time dust monitors. Work with equipment manufacturers, mine operators and miners to address safety and health hazard controls.
- < Conduct mandated investigations prompted by accidents, by safety and discrimination complaints, and identification of mine operators who demonstrate reckless disregard for safety or health standards or refuse to comply with orders issued under the Act.

C *Develop and promulgate mandatory safety and health standards.* MSHA develops and promulgates standards to provide reliable, practical protection for the health and safety of all miners. Mandatory standards provide a benchmark for voluntary compliance and a legal basis for enforcement. The Agency initiates the processing of all petitions for site-specific modification of safety standards and grants variances when mine operators or representatives of miners show that the application of the standard will result in a diminution of safety or there is an alternative method which is as effective as the standard. The procedure allows compliance flexibility to the mining community for unique conditions in a mine.

C *Provide education and training.* Training plays a critical role in preventing deaths, injuries and illnesses on the job. Only with effective training can miners recognize possible hazards and know safe procedures to follow.

- < Manage education and training programs and policies. Develop and distribute materials,

provide outreach to the mining community, and contribute to targeted safety sweeps to educate and assist miners and operators in ways to improve mine safety.

- < Manage the State Grants program.
- < Approve and evaluate training plans for Parts 46 and 48.
- < Operate the National Mine Health and Safety Academy to provide professional instruction in mine safety and health to MSHA safety and health specialists and the mining community. This includes the design and delivery of training courses, instructional materials, and innovative educational programs to assist in reducing fatalities, injuries, and illnesses in mining.

C *Provide technical support to the Agency and mining industry.*

- < Approve and certify equipment, instruments, materials, explosives, and personal protective apparatus that can be used in mines.
- < Provide specialized scientific and engineering expertise during forensic field and laboratory investigations.
- < Conduct field and laboratory investigations to support MSHA evaluations of safety and health standards compliance, analyses of existing environmental conditions, projections of future technological developments, and the development of solutions to accident and compliance programs through partnerships with MSHA and the mining community.

C *Assess civil penalties for violations of safety and health standards.* MSHA will assess civil monetary penalties for all violations of the Mine Act consistently, and in accordance with statutory criteria; assess all penalties in a timely manner, and at a level that will encourage compliance; account for all penalty cases in litigation before the Federal Mine Safety and Health Review Commission; and collect and account for penalties paid. MSHA works to minimize the number of contested assessments through outreach sessions to educate the mining industry on the civil penalty process and through the continued use of district conference officers trained in alternative dispute resolution techniques.

C *Provide efficient and effective Program Administration.* MSHA's program administration supports the Agency's mission through the full range of executive policy and direction, administrative management, program evaluation and information technology management, public affairs and information programs, legislative and Congressional liaison activities, and equal opportunity.

- < Through our computer infrastructure we will create Internet portals to provide miners, mine operators and our state partners with mine specific accident, injury, illness and compliance information. Through this system, mine operators will only be able to access information related to their particular mining operations. Improved access to MSHA's data will facilitate the timely development of measures to prevent conditions that cause hazardous and unhealthy conditions

- < Through MSHA's E-government initiative, enhance the collection of injury and illness information, operator filing of employment and production information, the plan approval process and equipment certification through on-line filings.

3.3 Specific budget initiatives for FY 2003

MSHA must develop innovative strategies to achieve FY 2003 performance goals even as work practices in the mining industry present us with ever changing, increasingly complex challenges. Despite MSHA's past effectiveness with traditional approaches to protecting miners' safety and health, solving the persistent and newly emerging problems that miners face every workday demands that we look at our programs from new perspectives. Budget initiatives for FY 2003 address these concerns. The following describes each initiative and links it to the strategic and performance goals supported.

Health, Safety and Compliance Assistance Inspections: \$1.8 million and 20 FTE to be responsive to the significant growth of the metal and nonmetal mining industry and allow MSHA to meet its goals of proactively addressing issues of accident, injury and illness prevention. There has been an 11.8% increase in the number of metal and nonmetal mines over the past three years. The U.S. Geological Survey projects that the total amount of aggregates to be mined in the next 25 years will be almost equal to all the aggregates mined in this country over the past 100 years. Contributing to this trend in increased production is the Transportation Equity Act for the 21st Century (TEA 21) which earmarked more than \$200 billion over six years for transportation projects. The majority of metal and nonmetal mines are small businesses, many of which have no safety formal program. In the mining industry, smaller size does not mean fewer risks. Mine hazards are inherent in the nature of the work – moving and processing large volumes of materials and operating heavy equipment. With the approval of this request, MSHA expects to be able to focus its accident prevention efforts to reduce workplace fatalities, injuries and illnesses.

Electronic Government Initiative: \$2.0 million in FY 2003 for contractor support, software and hardware to implement an Electronic Government solution to improve customer service to those interacting with MSHA to comply with the Government Paperwork Elimination Act (GPEA) and Electronic Government initiatives. A guiding principle of the E-government initiative is to innovate and evolve, rather than just automate manual business processes. This initiative addresses these principles through development of fully electronic services for public interaction with MSHA. Current Agency systems cannot adequately support electronic alternatives to manual forms due to obsolete technology and aging applications. MSHA's Migration and Upgrade of Information Systems initiative (1999-2003, MSHA Standardized Information System - MSIS) is replacing existing legacy systems with technology that will facilitate MSHA's compliance with GPEA. In FY 2003, MSHA will be positioned to add a public portal that will allow for true E-government interaction and innovation.

4. Performance Goals and Indicators

MSHA's FY 2003 program activities and initiatives focus on reducing miners' injuries and fatalities and exposure to health hazards by applying the Agency's human, financial, and information technology resources in the most effective manner. Completion of mandatory inspections and investigations will continue as a critical part of ascertaining compliance with

Federal safety and health standards. Special emphasis, compliance assistance, and educational outreach initiatives will focus attention on the root causes of persistent safety and health problems and the implementation of preventive measures.

In FY 2003, MSHA will measure its performance against the goal of reducing the fatal injury incidence rate by 15% per year and the all-injury incidence rate 50% below the FY 2000 baseline by the end of FY 2005 based on accident and injury data reported by mine operators. The Agency's current reporting and auditing procedures provide reasonable assurance that the data collected is accurate. Externally, the Agency uses this information to report on accident and injury trends in the mining industry. Internally the analysis is used to determine the distribution of resources for compliance initiatives, special emphasis programs, targeted compliance assistance, and rule-making considerations.

Measures related to the compliance rates of metal and nonmetal mines and coal mines with the current health standards for exposures for noise, dust, and silica, are also well established. Effective use of this information should result in a reduction in miners' exposure to health hazards and, ultimately, a reduction in occupationally caused illnesses and diseases.

MSHA's 2003 program initiatives and activities focus on ensuring a model workplace, a safe and healthy work environment and a highly available secure processing environment for information technology resources by applying the Agency's human, financial and information technology resources in the most cost effective manner.

Measures that relate to a safe and healthy work environment will be injury and illness data from the Office of Workers Compensation database. Effective use of this information should result in reduction of employee injuries, illnesses, lost time and compensation costs.

Measurements relating to information technology management and security will be provided through internal and external surveys regarding customer service, and self-assessments and internal and external audits.

4.1 Validation of Performance Measures and Indicators

MSHA has a significant database and collection system that captures the information necessary to track performance under the strategic plan.

For performance measures under the strategic goal *Reduce fatalities and injuries in the Nation's mines—reduce the fatal injury incidence rate by 15% annually; and reduce the all-injury incidence rate 50% below the FY 2000 baseline by the end of FY 2005*, data to support these goals has been collected for many years and the database is well established. MSHA relies on mine operators and contractors to comply with legal requirements to report injuries and accidents accurately and timely. The number of audits conducted by MSHA safety and health specialists may influence the degree of compliance.

For performance measures under the strategic goal *Reduce miners' exposure to health hazards—reduce the percentage of samples exceeding the applicable standards for respirable coal mine dust by 5% annually for designated occupations*, MSHA's system for determining compliance with the coal respirable dust standard has been in place since the 1970's and procedures are well

established to ascertain the accuracy and reliability of the data. Automated devices are used to weigh the safety and health specialist dust samples and automatically enters the results into a custom-designed program that updates the dust data files daily. A quality control program developed jointly by MSHA and the National Bureau of Standards assures that the weighing process continues to produce reliable results over time, and computer edit checks assure the accuracy of the database.

While operators are still required to measure coal dust in their mines, the performance measure will be based on MSHA safety and health specialist samples. MSHA is working with NIOSH to develop a continuous monitor that will improve the Agency's future ability to measure performance.

Reduce by 5% per year the number of silica samples exceeding the applicable standards in metal and nonmetal mines for designated high-risk occupations, safety and health specialists have conducted industry-wide sampling since the 1970's. Health policies, sampling procedures, and management information system (MIS) are well established and reliable. Automated devices are used to weigh the safety and health specialist dust samples at MSHA's analytical lab that was certified by the American Industrial Hygiene Association in FY 1998. Computer edits assure the accuracy of MIS data input.

Reduce the number of noise exposures above the citation level in mines by 5% annually, MSHA's health policies, sampling procedures and management information systems (MIS) are well established and reliable. Samples collected in FY 2000 and 2001 form the baseline.

4.2 FY 2003 Performance Goals

This section presents MSHA's FY 2003 performance goals and indicators. For each strategic goal, the section highlights the following:

- C MSHA Strategic Goal—The MSHA Strategic Goal from the MSHA Strategic Plan.
- C Cross Cutting Strategic Goal—The Departmental goal which MSHA's goal supports.
- C Outcome Goal—The Departmental outcome to be achieved relative to the Departmental Strategic Goal.
- C Supporting Budget Activity/Decision Unit Titles—The program activity structure.
- C FY 2003 Performance Goal—The specific targets relative to the MSHA Strategic Goal accomplishment.
- C Source of Data—The measurement that will be used to assess progress towards the Performance Goal accomplishment.
- C Baseline—The baseline year and baseline level against which progress will be evaluated.
- C Comment—Issues related to goal accomplishment, measurement systems, and strategies that provide a context or description of the performance goal or indicator.

Following the listing of performance goals for each Strategic Goal, the Performance Plan provides a summary of the means and strategies that will be used by MSHA in achieving the outcome and performance goals. Means and strategies for both continuing efforts and new initiatives are identified.

4.2.1 MSHA Strategic Goal 1—Reduce fatalities and injuries in the Nation’s mines

This strategic goal has two performance goals:

C Reduce the fatal injury incidence rate by 15% per year.

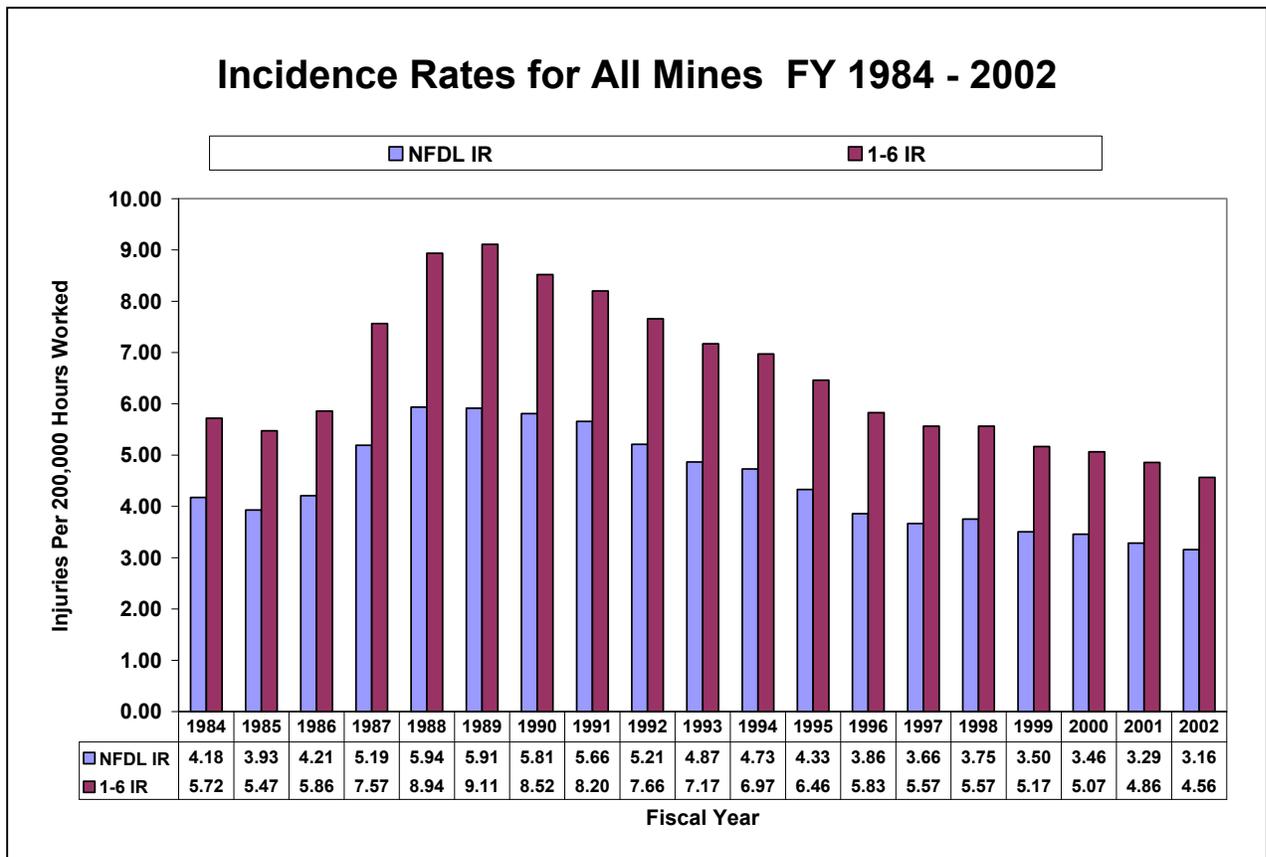
C Reduce the all-injury incidence rate 50% below the FY 2000 baseline by the end of FY 2005.

MSHA has made significant strides in reducing the number of mine fatalities and injuries. There has been an overall decline in the number of fatalities over the past ten years as well as the injury incidence rate. FY 2001 experienced the lowest number of fatalities in the history of the mining industry - 71. This was repeated in FY 2002 with 71 fatalities. Although mining deaths and injuries are at all time lows, they appear to have reached a plateau in the past several years. Meanwhile, mining productivity continues to increase, particularly in the coal mining sector where the number of mines and miners has decreased. Approximately the same amount of coal was produced domestically in 1990 as was produced in 2000, but the 2000 production levels were accomplished with half the number of mines. Production in the Metal and Nonmetal sector is at all time highs as the number of mines have increased from 10,843 in 1996 to over 12,400 in 2001. While advances in technology have resulted in improved production rates and also translated into improvements in miner safety, over the period of 1990-2000 there has been no significant reduction in fatal accident rates.

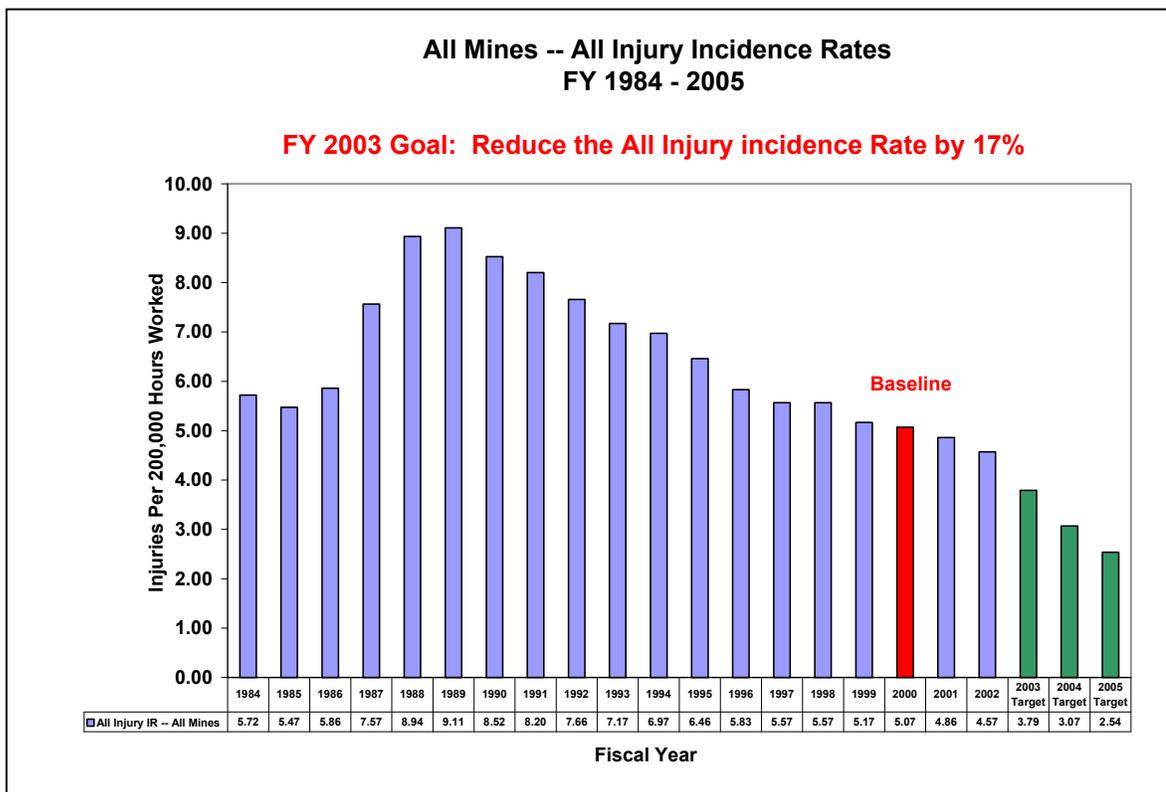
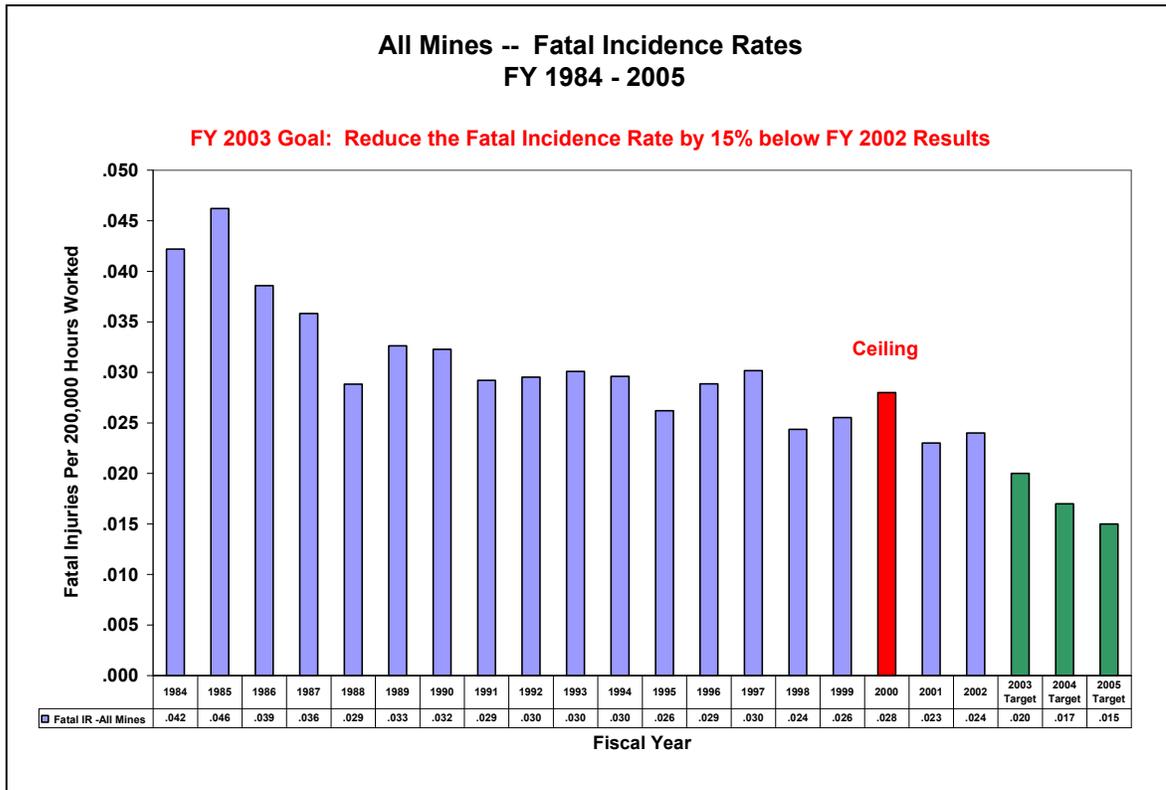
In order to challenge our employees and stakeholders in the industry to cut mining related fatality and injury rates in half in four years, in FY 2002 MSHA changed this goal from the previously used five-year moving average baseline. The FY 2002 goal used actual numbers of fatalities and non-fatal injuries with lost time, set FY 2000 as a baseline year and targets to reduce fatalities 15% per year and non-fatal-days-lost injury incidence rates by 50% in four years. Upon closer examination and analysis, MSHA decided to change the safety goals in FY 2003. MSHA is replacing the number of mining fatalities as a measurement with the fatal injury incidence rate. The nonfatal days lost injury incidence rate is being replaced with the all-injury incidence rate in mines. The fatal injury incidence rate is a more statistically accurate measurement than the previous measurement of the number of fatal accidents. The incidence rate takes into consideration increases and decreases in mining activity by associating the number of fatalities with the number of mining work hours reported. The all-injury incidence rate is more comprehensive than the previous measurement that excluded accidents resulting in no lost work time. These new measurements will more accurately measure annual changes in mine safety levels.

The following chart compares the former FY 2002 non-fatal-days-lost injury incidence rate data with the new FY 2003 all-incidence rates. As the chart illustrates, by changing this goal, MSHA will effect a larger number of the mining population.

FY 2002 and FY 2003 goal comparison

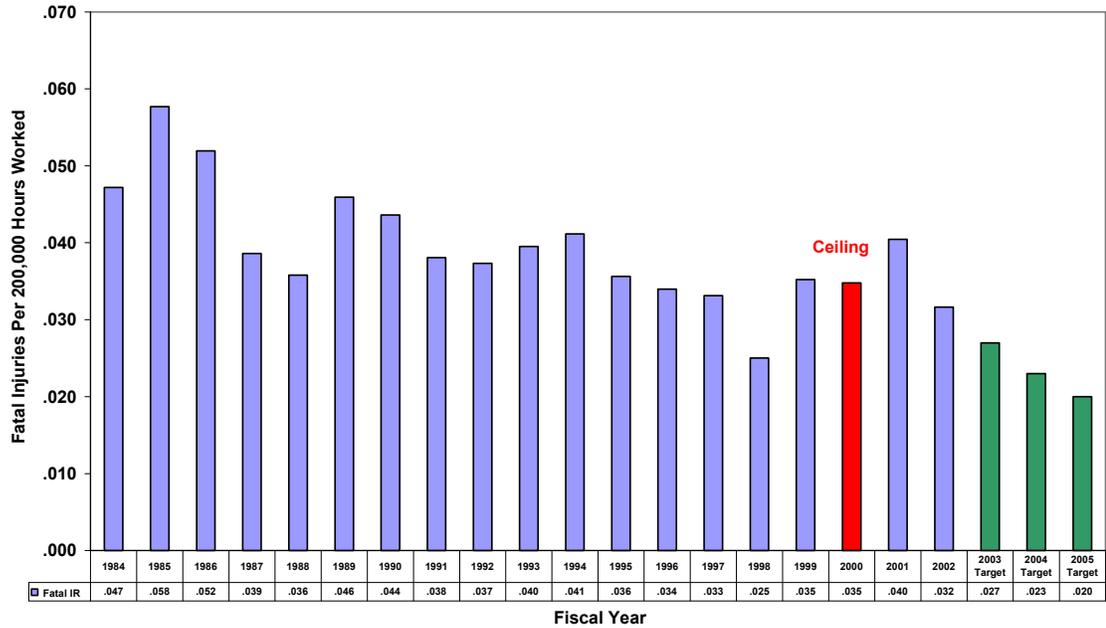


The following charts show the new FY 2003 safety goal targets, for all mines, as well as coal and metal and nonmetal mines individually.



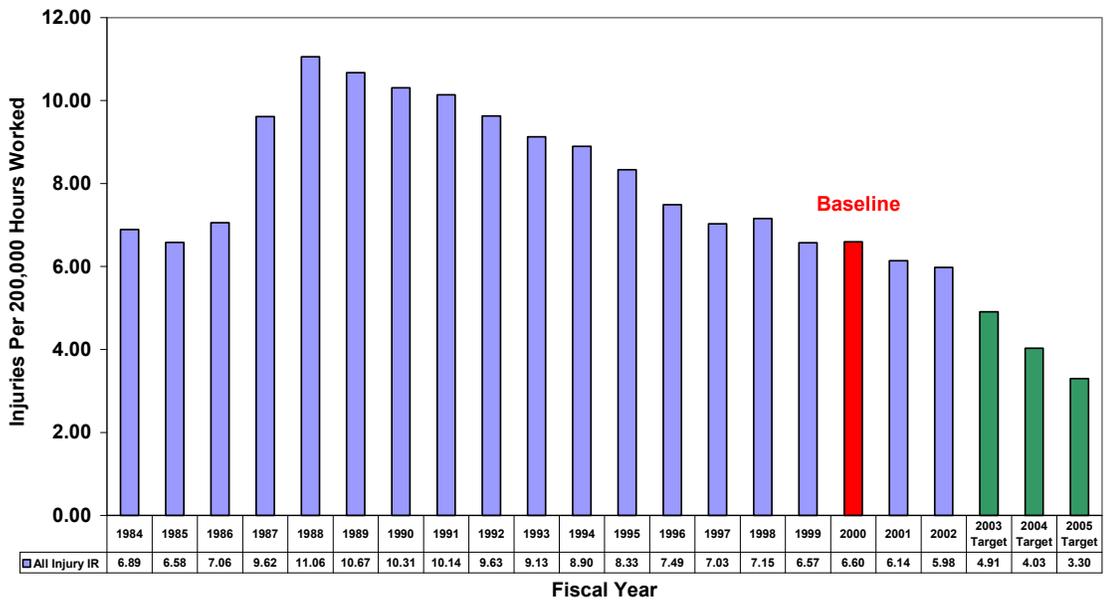
Coal Mines -- Fatal Incidence Rates FY 1984 - 2005

FY 2003 Goal: Reduce the Fatal Incidence Rate by 15% below FY 2002 Results



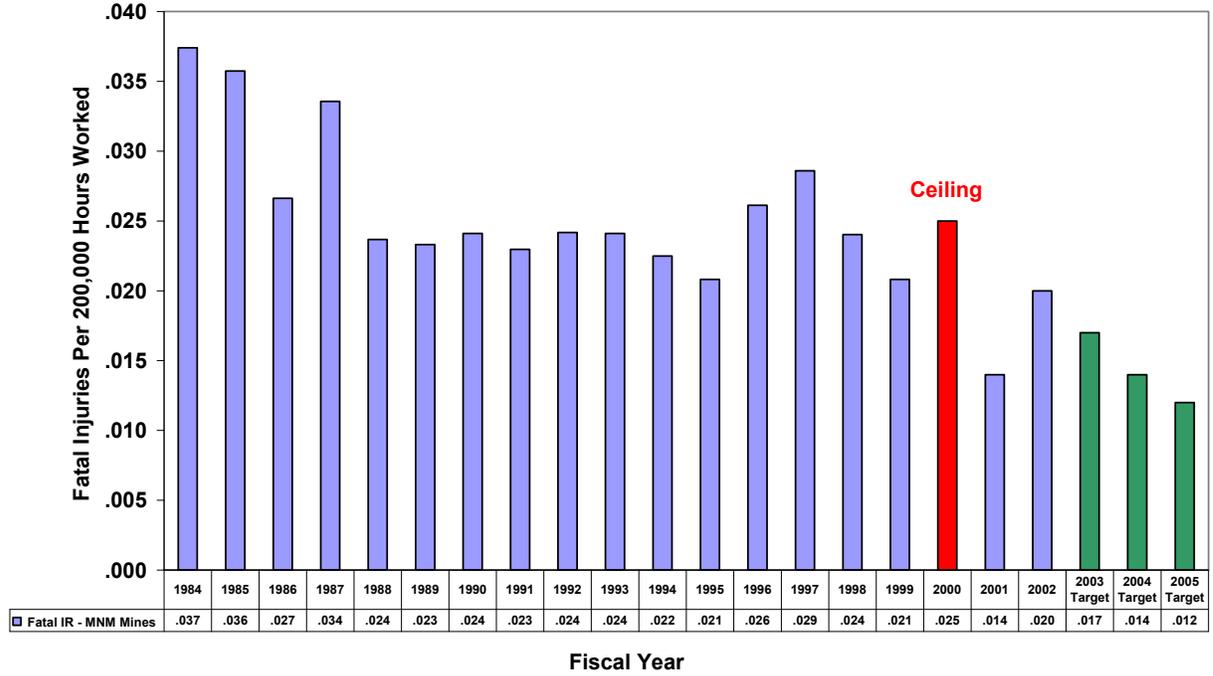
Coal Mines -- All injury Incidence Rates FY 1984 - 2005

FY 2003 Goal: Reduce the All Injury Incidence Rate by 18%



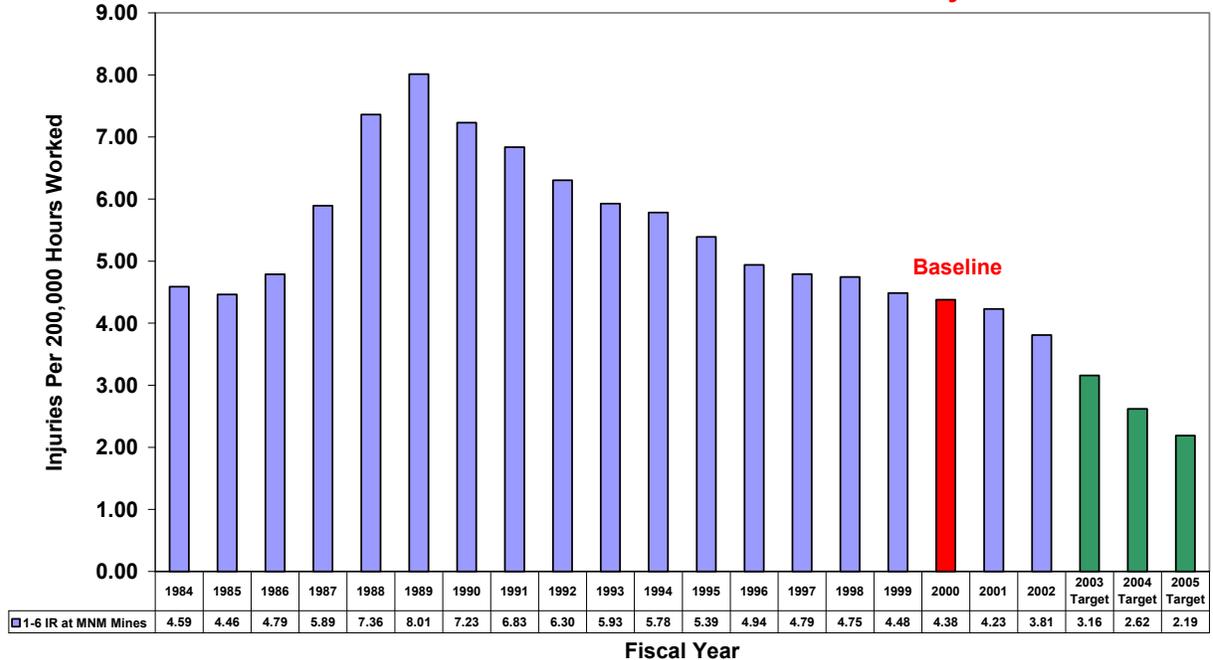
Metal and Nonmetal Mines -- Fatal Incidence Rates FY 1984 - 2005

FY 2003 Goal: Reduce the Fatal Incidence Rate by 15% below FY 2002 Results



Metal and Nonmetal Mines -- All Injury Incidence Rates FY 1984 - 2005

FY 2003 Goal: Reduce the Fatal Incidence Rate by 17%



MSHA must remain vigilant in its safety programs. The experienced coal mining workforce is aging, to be replaced by younger miners entering an industry in transition and facing enormous competitive pressures to increase production while containing costs. Increased production demands, in both coal and metal and nonmetal mining, have given rise to many new (and generally small) mining operations and an influx of new and inexperienced miners.

Means and Strategies to accomplish goals

Sustained efforts in FY 2003

- Refocus MSHA's regulatory philosophy and practice to place additional emphasis on accident prevention. Expand existing outreach efforts in the mining community shifting the emphasis of regulatory programs from after-the-fact enforcement to compliance assistance and prevention, focusing attention on root causes of persistent safety problems and helping mine workers and operators address these problems by working proactively and sharing best practices information. Technical assistance efforts will include analysis of accidents and proposed preventive strategies where specific equipment is involved, seeking both high and low technology solutions. Work with equipment manufacturers, mine operators and miners to address safety hazard controls. Education and training efforts will be enhanced through the use of the State Grants Program. MSHA will strengthen its efforts in working cooperatively with the mining industry, labor and the states to improve training programs aimed at preventing accidents and injuries.
- Provide additional metal and nonmetal safety and health compliance assistance specialists to be responsive to the growth in the metal and nonmetal mining industry and to focus on accident prevention efforts to reduce workplace injuries and fatalities.
- Provide MSHA safety and health compliance assistance specialists and mine operators with more comprehensive mine information including compliance history, accident and injury statistics, assessment information, and violation and accident trends. Analyze "near misses" to identify underlying factors that set in motion events that cause accidents. Train MSHA safety and health compliance assistance specialists in accident analysis and prevention, i.e. identifying those factors that are likely to lead to or cause accidents.
- Safety and health compliance assistance specialists will conduct accident prevention activities during each regular mine inspection and hold discussions with miners focusing on types of hazards associated with the processes at each mine.
- Through our computer infrastructure, create Internet portals to provide miners, mine operators and our state partners with mine specific accident, injury, illness and compliance information. Through this system, mine operators will only be able to access data related to their particular mining operations. Improved access to MSHA's data will facilitate the timely development of measures to prevent conditions that cause hazardous and unhealthy situations.
- Expand the State Grants Program to increase the number of state participants to 47 and the Navajo Nation. Use the State Grants Program to continue to work cooperatively with the

mining industry, labor and the states to improve training programs aimed at preventing accidents and occupationally caused illnesses.

- Provide onsite individual mine safety training program evaluations. Distribute safety training materials and provide “best practices” information tailored to individual mining operations.
- Provide training for MSHA safety and health compliance assistance specialists to maintain a high level of professionalism and proficiency. The Internet will be used to provide information to access Automated Distributed Learning (ADL) programs that are under development. Examples of ADL programs being developed are: use of military computer training centers throughout the country; use of CD and DVD programs at mine sites that provide self-paced interactive programs with enhanced visual capabilities; and use of Web-based programs containing schedules, sources of assistance, catalogues and notices of training related events and programs. This training includes safety systems management, awareness of state-of-the-art mining methods and working knowledge of new mining equipment and will enhance MSHA’s ability to effectively enforce the safety standards and advise mine operators in ways to improve safety conditions.
- Develop a “risk assessment” strategy training to incorporate into all levels of a miner’s and supervisor’s training with aim of having them conduct risk assessment before beginning a task, especially when the task may be new or conducted on a non-routine basis.
- Work to increase the number of repair facilities participating in the Voluntary Compliance Assistance Partnership (V/CAP) Program. This program enlists repair facilities for specific training on compliance audit checklists, audits, and the verification of critical characteristics in products they repair or rebuild.
- Continue to expand the user-friendly public database that contains information needed by the mining industry and other interest groups, such as statistical data on fatalities, accidents, and injuries. This information is available through the MSHA Internet site.
- Make MSHA information systems more user-friendly in order to share data with state agencies.
- Develop and make available on MSHA’s WebPage, safety and health information for mine operators with comparative and descriptive statistical data analysis such as a “top ten” violation list by commodity and mine size.
- Train health, safety and compliance specialists and technical staff in human factor considerations and other safety management tools that will enable them to creatively participate with stakeholders and miners in safety and health enhancement activities.
- Through MSHA’s e-government initiative, enhance the collection of injury, illness information, operator filing of employment and production information, the plan approval process, and equipment certification through on-line filings.

- Include in manager and supervisor’s performance standards, an element that addresses management efforts toward accomplishing Government Performance & Results Act (GPRA) safety goals.

The following tables provide detailed information on the performance goals under Strategic Goal 1—Reducing fatalities and injuries in the Nation’s mines.

MSHA Strategic Goal 1—Reduce fatalities and injuries in the Nation’s mines

1.1	<p>Cross-Cutting Strategic Goal: Quality Workplaces—Foster quality workplaces that are safe, healthy, and fair.</p>
	<p>DOL Outcome Goal: Reduce workplace injuries, illnesses, and fatalities.</p>
	<p>Supporting Budget Activity/Decision Unit Titles and P&F Schedules: Coal Mine Safety and Health (16-1200-01-554.01) Metal and Nonmetal Mine Safety and Health (16-1200-01-554.02) Standards Development (16-1200-01-554.03) Assessments (16-1200-01-554.04) Educational Policy and Development (16-1200-01-554.05) Technical Support (16-1200-01-554.06) Program Administration (16-1200-01-554.07)</p>
	<p>MSHA FY 2003 Performance Goal: Reduce the fatal injury incidence rate by 15% per year.</p>
	<p>Indicator: The number of mining fatalities and hours worked.</p>
	<p>Source of Data: Mine Accident, Injury, Illness, Employment, and Coal Production System (30 CFR Part 50)</p>
	<p>Baseline: FY 2000 fatal injury incidence rate .028 and actual yearly result.</p>
	<p>Comment: For FY 2003, the goals are being changed to reflect a more statistically accurate measurement than the previous measurement of the number of fatalities. This measurement will more accurately measure annual changes in mine safety levels.</p>

1.2	<p>Cross-Cutting Strategic Goal: Quality Workplaces—Foster quality workplaces that are safe, healthy, and fair.</p>
	<p>DOL Outcome Goal: Reduce workplace injuries, illnesses, and fatalities.</p>
	<p>Supporting Budget Activity/Decision Unit Titles and P&F Schedules: Coal Mine Safety and Health (16-1200-01-554.01) Metal and Nonmetal Mine Safety and Health (16-1200-01-554.02) Standards Development (16-1200-01-554.03) Assessments (16-1200-01-554.04) Educational Policy and Development (16-1200-01-554.05) Technical Support (16-1200-01-554.06) Program Administration (16-1200-01-554.07)</p>
	<p>MSHA FY 2003 Performance Goal: Reduce the all-injury incidence rate 50% below the FY 2000 baseline by the end of FY 2005.</p>
	<p>Indicator: The mine industry all-injury incidences.</p>
	<p>Source of Data Mine Accident, Injury, Illness, Employment, and Coal Production System (30 CFR Part 50)</p>
	<p>Baseline: FY 2000 All injury incidence rate: 5.07</p>
	<p>Comment: For FY 2003, the goals are being changed to reflect a more statistically accurate measurement than the previous measurement of the non-fatal-days-lost injury incidence rate. This measurement will more accurately measure annual changes in mine safety levels.</p>

4.2.2 MSHA Strategic Goal 2—Reduce miners’ exposure to health hazards

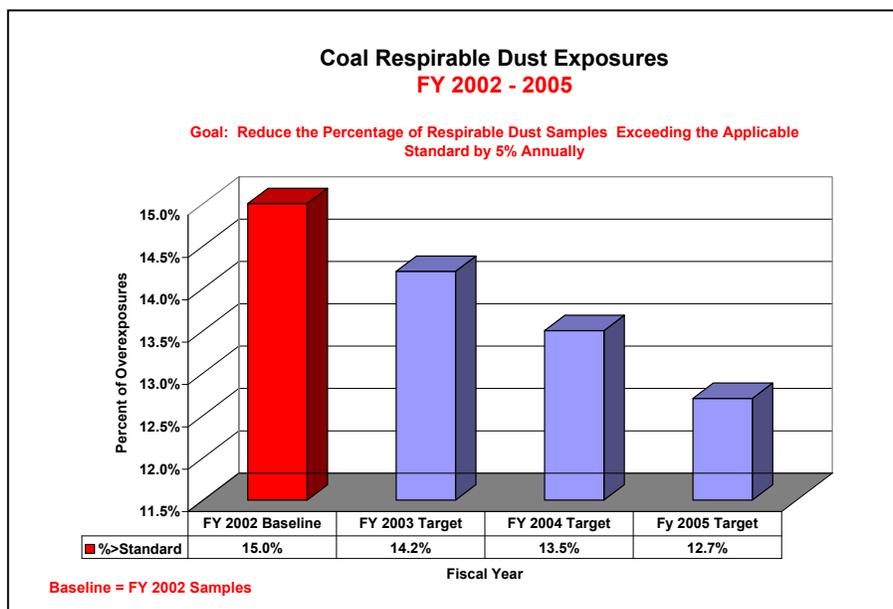
This strategic goal has three performance goals:

- Reduce the percentage of respirable dust samples in coal mines exceeding the applicable standards by 5% per year for designated occupations.
- Reduce the percentage of silica samples in metal and nonmetal mines exceeding the applicable standards by 5% per year for designated high-risk occupations.
- Reduce the percentage of noise exposures above the citation level in all mines by 5%.

Lung diseases among miners caused by respirable dust—coal dust and crystalline silica in particular— are pervasive, though preventable diseases. Elimination of black lung disease and silicosis is an Agency priority.

MSHA is taking aggressive action to tackle the dust problem by targeting compliance assistance efforts at mines with a recurrence of dust exposures above the standard. These efforts include onsite monitoring, raising awareness of the hazards associated with exposure to excessive levels of respirable coal dust, silica dust and assisting operators in improving their dust control practices. To reach the coal miner with information on this hazard, MSHA produced and distributed the publication *Practical Ways to Reduce Exposure to Coal Dust in Longwall Mining – A Toolbox*.

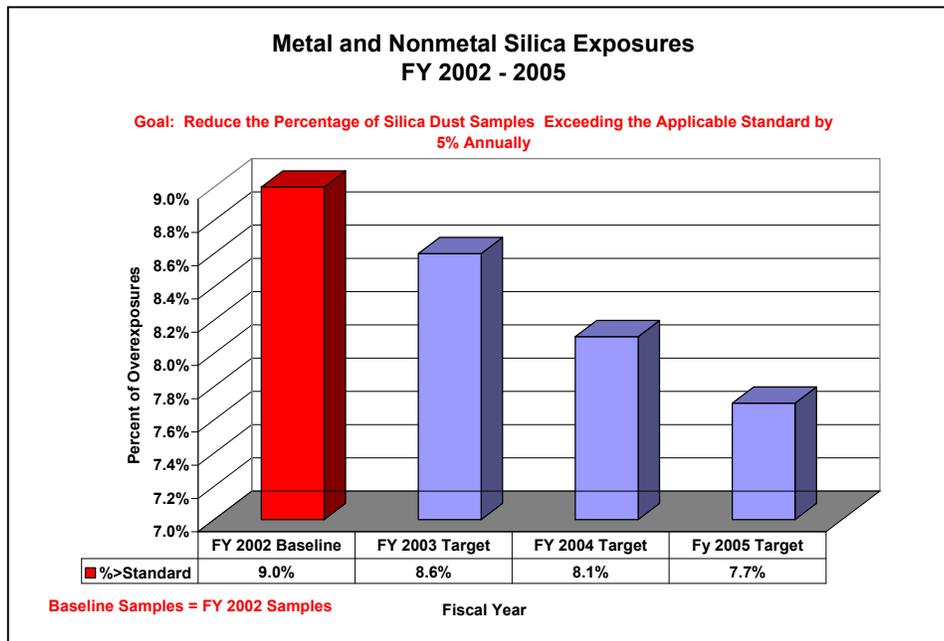
Strategies also include use of personal protection devices such as the powered air purifying respirators, increasing identification of mines with respirable dust control problems, posting of samples on the Internet, and encouraging x-ray screening of coal miners.



MSHA will focus attention on metal and nonmetal mines where a reasonable likelihood that dust exposures exist. These include a history of overexposure, an operation that produces ground silica and other contaminants that require proper work practices and controls, and visual observations that indicate the absence of engineering controls or conditions such as visible suspended dust.

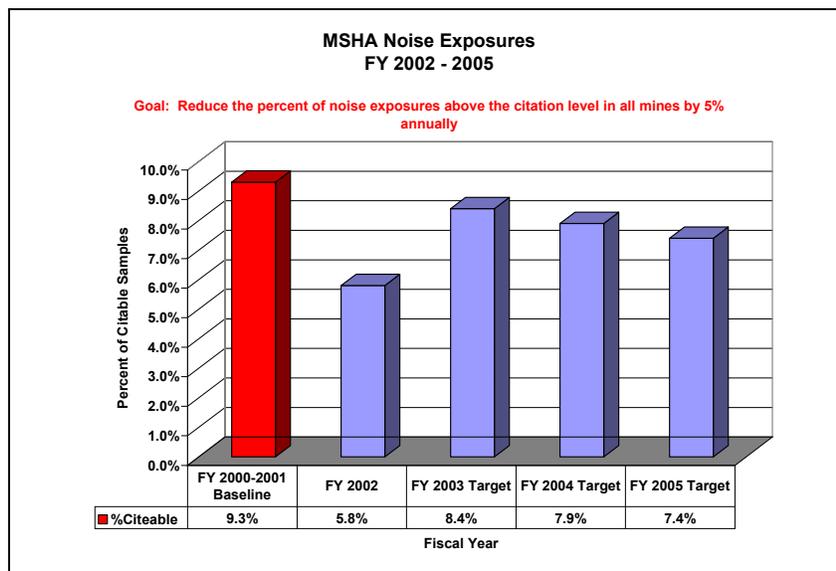
To tackle the silica dust hazard in metal and nonmetal mines, the Agency works with equipment manufacturers, mine operators and miners to address silica controls, and MSHA headquarters safety and health compliance assistance specialists work with enforcement personnel to identify mines with respirable silica dust control problems. MSHA published an information report for metal and nonmetal operators, *Introduction to Operator Air Sampling Programs*, to assist operators in battling silica and other air-borne hazards.

In FY 2002 this goal was changed. Previously an indexing method was used which was based a weighted number of citable samples out of samples taken for non-designated high-risk occupations. The method statistically compared an occupation, mine type and commodity code for one year against the same occupation, and mine type and commodity code for the next year. Now, MSHA analyzes the percent of samples that are citable this year versus the prior year for *designated* high-risk occupations. Using the new designated high-risk occupations, samples collected in FY 2002 establish a new baseline that will be used for the silica dust performance measures.



Hearing loss is one of the major health problems miners face. As a result, Health Standards for Occupational Noise Exposure were established and became effective September 13, 2000, for coal and metal and nonmetal mines. MSHA works cooperatively with the mining industry, labor and the states to improve training programs aimed at preventing such occupational illnesses. MSHA assists industry and labor in recognizing occupations with a high incidence of exposures and solving difficult noise compliance problems by providing assistance through operator educational and training seminars, compliance assistance visits, and additional sampling.

Samples collected in FY 2000 and 2001 for all mines were used to form a performance measure baseline relating to the FY 2003 evaluation.



Means and Strategies to accomplish goals

Sustained efforts in FY 2003

- Refocus MSHA’s regulatory philosophy and practice to place additional emphasis on accident prevention. Expand existing outreach efforts in the mining community shifting the emphasis of regulatory programs from after the fact enforcement to compliance assistance and prevention, focusing attention on root causes of persistent health problems and helping mine workers and operators address these problems. Direct informational outreach programs to occupations with a high incidence of exposures to airborne contaminants and physical agents, with particular attention to dust, noise and diesel particulate. Focus attention on areas where sampling indicates excessive dust and noise levels and work with operators who are having high exposure problems. Provide timely approval/certification of mining plans and equipment. Pursue development of technological advances such as real-time respirable dust monitors. Work with equipment manufacturers, mine operators and miners to address health hazard controls. Enhance education and training efforts through the use of the State Grants Program. Continue to work cooperatively with the mining industry, labor and the states to improve training programs aimed at preventing occupational illnesses.

- Increase metal and nonmetal personnel conduct of focused compliance assistance and sampling.
- Provide mine compliance history, accident, injury and illness statistics, assessment information, and other related data analysis to identify potential health problem areas.
- Make information systems more user-friendly in order to share health data with state agencies.
- Continue use of sampling results to focus operator attention on increased dust control measures through the ventilation plan approval process.
- Expand the State Grants Program to increase the number of state participants. Using the State Grants Program, continue to work cooperatively with the mining industry, labor and the states to improve training programs aimed at preventing accidents and occupationally caused illnesses.
- Identify and recognize mines with exemplary health and safety processes, and share ‘best practices’ methods to address the needs of those mining operations with the poorest performance and perhaps the least resources.
- Prepare the mining industry to reduce health hazards associated with noise exposures and to comply with the new noise regulations. Continue to provide assistance through operator educational and training seminars, compliance assistance visits and additional sampling, and assist industry and labor in recognizing occupations with a high incidence of exposures and solving difficult noise compliance problems.
- Through our computer infrastructure create Internet portals to provide miners, mine operators and our state partners with mine specific accident, injury, illness and compliance information. Improved access to MSHA’s data will facilitate the timely development of measures to prevent conditions that cause hazardous and unhealthy situations.
- Include an element that addresses management efforts toward accomplishing GPRA health goals in manager and supervisor’s performance standards.

The following tables provide detailed information on the performance goals under Strategic Goal 2—Reduce miners’ exposures to health hazards.

MSHA Strategic Goal 2—Reduce miners’ exposure to health hazards
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2.1	<p>Cross-Cutting Strategic Goal: Quality Workplaces—Foster quality workplaces that are safe, healthy, and fair.</p>
	<p>DOL Outcome Goal: Reduce workplace injuries, illnesses, and fatalities.</p>
	<p>Supporting Budget Activity/Decision Unit Titles and P&F Schedules: Coal Mine Safety and Health (16-1200-01-554.01) Metal and Nonmetal Mine Safety and Health (16-1200-01-554.02) Standards Development (16-1200-01-554.03) Assessments (16-1200-01-554.04) Educational Policy and Development (16-1200-01-554.05) Technical Support (16-1200-01-554.06) Program Administration (16-1200-01-554.07)</p>
	<p>MSHA FY 2003 Performance Goal: Reduce the percentage of respirable dust samples exceeding the applicable standards by 5% per year for designated occupations in coal mines.</p>
	<p>Indicator: Compliance with the coal mine dust standard.</p>
	<p>Source of Data: Coal Mine Safety and Health Management Information System.</p>
	<p>Baseline: FY 2002: 4,530 valid samples, 679 over the applicable standard, Baseline = 15.0%</p>
	<p>Comment: Respirable dust is one of the three major health hazards to miners. Prevention of black lung disease is a priority health initiative.</p>

	<p>Cross-Cutting Strategic Goal: Quality Workplaces—Foster quality workplaces that are safe, healthy, and fair.</p>
	<p>DOL Outcome Goal: Reduce workplace injuries, illnesses, and fatalities.</p>
	<p>Supporting Budget Activity/Decision Unit Titles and P&F Schedules: Coal Mine Safety and Health (16-1200-01-554.01) Metal and Nonmetal Mine Safety and Health (16-1200-01-554.02) Standards Development (16-1200-01-554.03) Assessments (16-1200-01-554.04) Educational Policy and Development (16-1200-01-554.05) Technical Support (16-1200-01-554.06) Program Administration (16-1200-01-554.07)</p>
2.2	<p>MSHA FY 2003 Performance Goal: Reduce the percentage of silica samples exceeding the applicable standards by 5% per year for designated high-risk occupations in metal and nonmetal mines.</p>
	<p>Indicator: Compliance with the permissible level for silica exposure in metal/nonmetal mines.</p>
	<p>Source of Data: Metal and Nonmetal Mine Safety and Health Management Information System.</p>
	<p>Baseline: FY 2002: 1,391 valid samples, 125 over the applicable standard, Baseline = 9.0%</p>
	<p>Comment: Respirable silica dust is one of the three major health hazards to miners and is prevalent in metal and nonmetal mining operations. Prevention of silicosis is a priority health initiative.</p>

2.3	<p>Cross-Cutting Strategic Goal: Quality Workplaces—Foster quality workplaces that are safe, healthy, and fair.</p>
	<p>DOL Outcome Goal: Reduce workplace injuries, illnesses, and fatalities.</p>
	<p>Supporting Budget Activity/Decision Unit Titles and P&F Schedules: Coal Mine Safety and Health (16-1200-01-554.01) Metal and Nonmetal Mine Safety and Health (16-1200-01-554.02) Standards Development (16-1200-01-554.03) Assessments (16-1200-01-554.04) Educational Policy and Development (16-1200-01-554.05) Technical Support (16-1200-01-554.06) Program Administration (16-1200-01-554.07)</p>
	<p>MSHA FY 2003 Performance Goal: Reduce the percentage of noise exposures above the citation level in all mines by 5%.</p>
	<p>Indicator: Compliance with the permissible level for noise in all mines.</p>
	<p>Source of Data: Coal Mine Safety and Health Management Information System and the Metal and Nonmetal Mine Safety and Health Management Information System.</p>
	<p>Baseline: FY 2000 and 2001: 37,190 valid samples, 3,449 not in compliance, Baseline = 9.3%.</p>
	<p>Comment: Noise is one of the three major health hazards to mine workers. Prevention of hearing loss is one of the major health problems miners face.</p>

4.2.3 MSHA's Strategic Goal 3 - Establish MSHA as a Model Workplace

This strategic goal has five performance goals:

- Competitively source 10% of commercially competitive functions
- Convert 30% of service contracts above \$25,000 to performance-based contracts
- Reduce MSHA employee injury and illness claims and incidence rate by 20% below the baseline
- Reduce MSHA employee injury incidence rate for lost time injuries by 5% below the baseline
- Reduce workers' compensation costs by 5% each year.

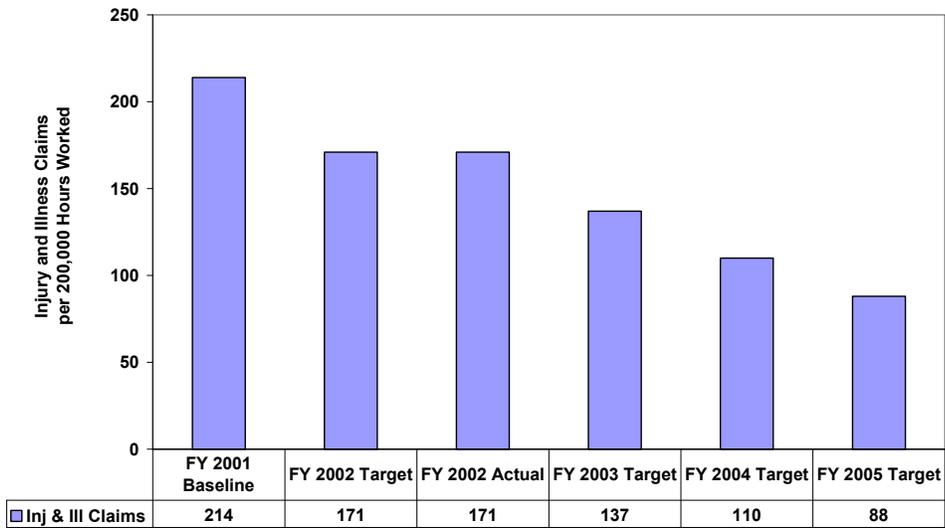
In line with government-wide reforms in the area of procurement management, MSHA will take a results-oriented market-based approach to procurement and is actively promoting innovation through competition. MSHA is streamlining and flattening organizational layers, reducing the number of layers in the upper echelons and using workforce planning and restructuring to help redistribute higher level positions to front-line, service-delivery positions that interact with citizens. This is in line with ongoing government reform initiatives to make government more citizen-centered and ensure as little distance as possible between citizens and decision makers. To the maximum extent possible, retraining and/or redeployment of employees will be a part of these restructuring efforts. The acquisition of needed new skills, and ongoing skills improvement among MSHA's workforce will be facilitated through focused training for job skills and lifelong learning initiatives.

MSHA will take aggressive action to reduce employee injuries. Strategies include: a review all accidents and analyze on-the-job injuries to identify those occurring most frequently and provide results of analysis to all program areas; workplace examinations for injury hazards and ensure prompt abatement of safety hazards; workplace assessments for ergonomic environments and conduct prevention training through ergonomic awareness; identification of best practices used to reduce the rate of incidents and injuries to manage lost time cases; and prompt intervention to assess employee limitations and reasonable accommodations to reduce lost days.

The following charts show the number of MSHA employee injury and illness claims and injury incidence rates, employee lost time injuries and the lost time injury incidence rate as well as MSHA's workers' compensation costs for FY 2001 - FY 2005. Projections are shown for FY 2003 and beyond in order to calculate targets to obtain the 20% reduction goal in the injury incidence rate, and the 5% reduction for employee lost time injury incidence rate, and a reduction in MSHA's workers' compensation costs. Data for FY 2001 is used to calculate the baselines.

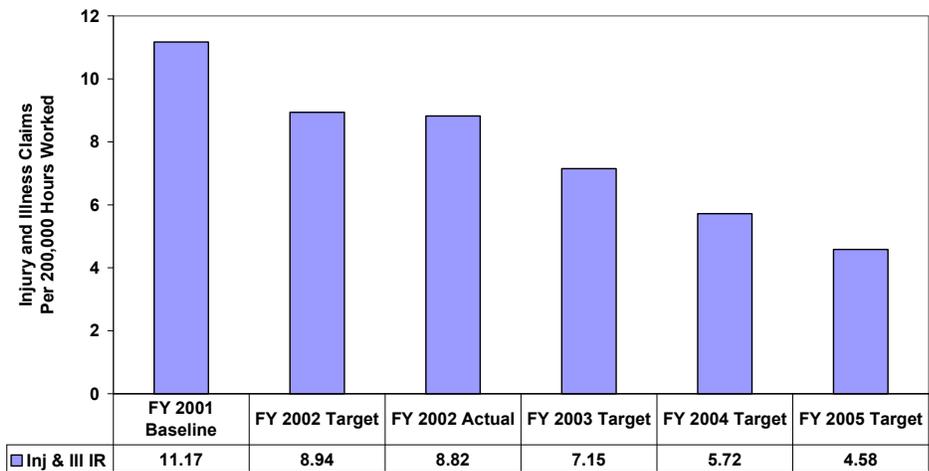
**MSHA Employee Injury and Illness Claims
FY 2001 - 2005**

FY 2003 goal: 20% Reduction Annually from the FY 2001 Baseline



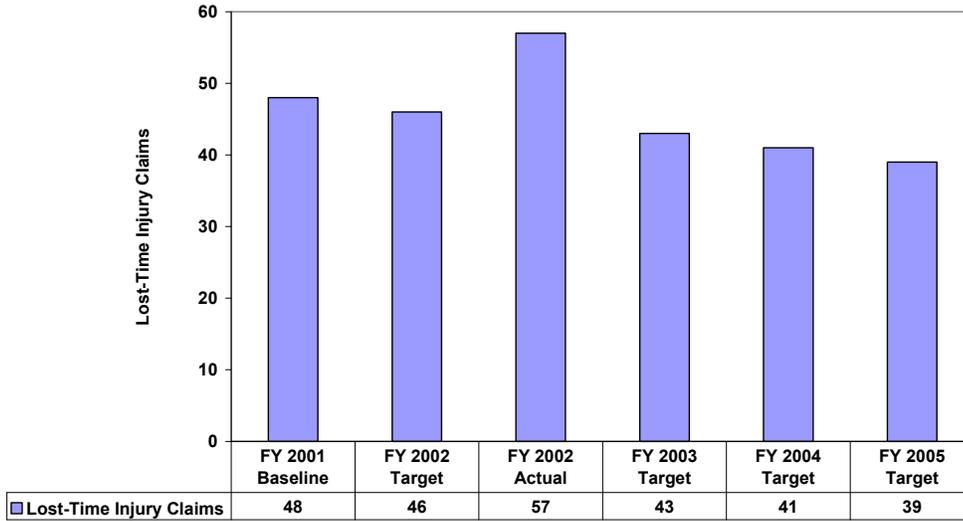
**MSHA Employee Injury and Illness Incidence Rate
FY 2001 - 2005**

FY 2003 Goal: 20% Reduction Annually from the FY 2001 Baseline



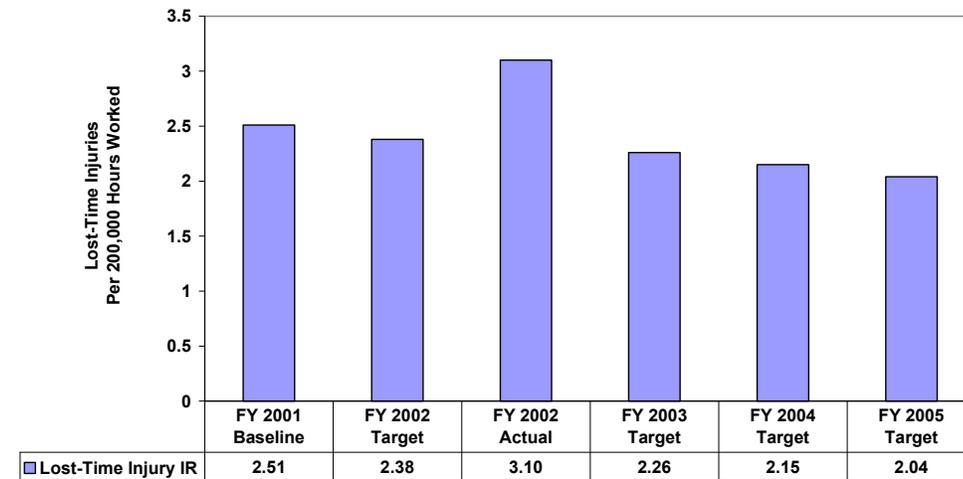
**MSHA Employee Lost-time Injury Claims
FY 2001 - 2005**

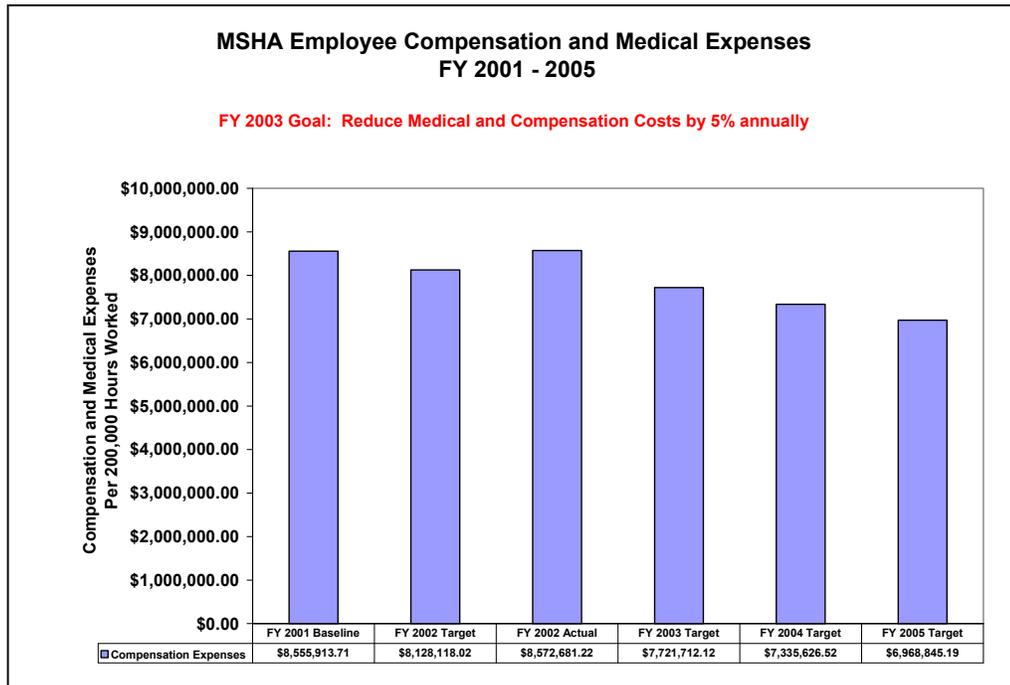
FY 2003 Goal: 5% Reduction Annually from the FY 2001 Baseline



**MSHA Employee Lost-Time Injury Incidence Rate
FY 2001 - 2005**

FY 2003 Goal: 5% Reduction Annually from the FY 2001 Baseline





Means and Strategies to accomplish goals

Sustained efforts in FY 2003

- Review MSHA's Commercial Activities functions on the FAIR Act Inventory to determine candidates for competitive sourcing studies and/or direct conversion to private contractors. Initiate public-private competitions or direct conversions.
- Award service contracts above \$25,000 using performance-based contracting services (PBSC) techniques.
- Conduct workplace examinations for injury and illness hazards and ensure prompt abatement of hazards; review all accidents for applicable program area at employee safety and health meetings and maintain an injury and illness log; ensure that Accident Review Boards examine circumstances of accidents to prevent recurrences and develop a plan to support injured employees and their return to work as soon as possible.
- Make safety and health an overarching priority for MSHA by the promotion of health and safety goals as a critical element in all managers' and supervisors' performance standards. Update and disseminate the Safety and Health Policy, analyze on-the-job injuries and identify targets for improvement areas with high injury rates. Promote the Wellness Program, and conduct workplace examinations for injury and illness hazards to ensure prompt abatement of hazards.

- Post quarterly reports on Intranet showing current statistics relating to employee injury and illness numbers and incidence rates by office.
- Provide managers access to secure listing of possible jobs and locations where employees can be accommodated for both temporary and long-term disabilities.
- Ensure expeditious processing of injury and illness claims.
- Identify best practices used to reduce the rate of incidents and injuries to manage lost time cases and schedule meetings with district compensation specialists to share information.
- Ensure managers and supervisors fully understand OWCP rules and regulations to include processing of claims, analysis of injuries, procedures to controvert claims and policy regarding reasonable accommodation and return to work.
- Work with DOL to identify candidates eligible to return to duty through workplace accommodations, flexiplace or assistive technologies and provide technical assistance to all MSHA districts to manage workers compensation programs, including assistance for districts in their efforts to identify candidates eligible to return to duty.
- Establish key Headquarters OWCP contacts to serve as advocates for the field to intervene with the Kansas City OWCP on their behalf and to provide support, guidance and assistance to process claims and to bring employees back to work expeditiously.
- Develop programs and use facilities at the Beckley Mine Health and Safety Academy to rehabilitate and train permanently disabled employees for other jobs.
- Utilize outside education and training resources such as the National Safety Council, American Society of Safety Engineers, and other independent consultants and contractors, to enhance professional development opportunities for MSHA employees.

The following tables provide detailed information on performance goals under Strategic Goal 3—Establish MSHA as a Model Workplace.

MSHA Internal Strategic Goal 3 - Establish MSHA as a Model Workplace.	
3.1	<p>Cross-Cutting Strategic Goal: Quality Workplaces - Foster quality workplaces that are safe, healthy, and fair.</p>
	<p>DOL Outcome Goal: Establish DOL as a Model Workplace.</p>
	<p>Supporting Budget Activity/Decision Unit Titles and P&F Schedules: Coal Mine Safety and Health (16-1200-01-554.01) Metal and Nonmetal Mine Safety and Health (16-1200-01-554.02) Standards Development (16-1200-01-554.03) Assessments (16-1200-01-554.04) Educational Policy and Development (16-1200-01-554.05) Technical Support (16-1200-01-554.06) Program Administration (16-1200-01-554.07)</p>
	<p>MSHA FY 2003 Performance Goal: Competitively source 10% of commercially competitive functions.</p>
	<p>Indicator: Percentage of MSHA commercial competitive or commercial exempt FTE on the Department's FAIR inventory included in completed competitions or direct conversions.</p>
	<p>Source of Data: DOL's Federal Activities Inventory Reform (FAIR) Act inventory, completed A-76 studies, and completed direct conversions to private contractor.</p>
	<p>Baseline: FY 2000 - 452 FTE identified positions on Fair Act Inventory = 45.</p>
	<p>Comment: Competitive sourcing is one of the President's Management Agenda initiatives.</p>

	<p>Cross-Cutting Strategic Goal: Quality Workplaces - Foster quality workplaces that are safe, healthy, and fair.</p>
	<p>DOL Outcome Goal: Establish DOL as a Model Workplace.</p>
	<p>Supporting Budget Activity/Decision Unit Titles and P&F Schedules: Coal Mine Safety and Health (16-1200-01-554.01) Metal and Nonmetal Mine Safety and Health (16-1200-01-554.02) Standards Development (16-1200-01-554.03) Assessments (16-1200-01-554.04) Educational Policy and Development (16-1200-01-554.05) Technical Support (16-1200-01-554.06) Program Administration (16-1200-01-554.07)</p>
3.2	<p>MSHA FY 2003 Performance Goal: Convert 30% of service contracts over \$25,000 to performance-based contracts.</p>
	<p>Indicator: Total dollars eligible for performance based service contracting.</p>
	<p>Source of Data: Federal Procurement Data System.</p>
	<p>Baseline: FY 2002 - \$14.9 M eligible - \$2.9 M target for conversion to performance based service contracts. *</p>
	<p>Comment: *The total dollar amount eligible and the target for conversion were changed by DOL in FY 2002. Previously this goal was \$6.9 M eligible and \$2 M target.</p>

	<p>Cross-Cutting Strategic Goal: Quality Workplaces - Foster quality workplaces that are safe, healthy, and fair.</p>
	<p>DOL Outcome Goal: Establish DOL as a Model Workplace.</p>
	<p>Supporting Budget Activity/Decision Unit Titles and P&F Schedules: Coal Mine Safety and Health (16-1200-01-554.01) Metal and Nonmetal Mine Safety and Health (16-1200-01-554.02) Standards Development (16-1200-01-554.03) Assessments (16-1200-01-554.04) Educational Policy and Development (16-1200-01-554.05) Technical Support (16-1200-01-554.06) Program Administration (16-1200-01-554.07)</p>
3.3	<p>MSHA FY 2003 Performance Goal: Reduce MSHA employee injury and illness claims and incidence rate by 20% below the projected baseline.</p>
	<p>Indicator: MSHA employee injuries; employee injury incidence rate (Incidence Rate = number of injuries x 200,000 / hours worked).</p>
	<p>Source of Data: OWCP database, Employee injuries received by OWCP in FY 2001, and employee work hours provided by DOL Office of Chief Financial Officer.</p>
	<p>Baseline: FY 2001 MSHA employee injury and illness claims = 214; injury and illness incidence rate = 11.17.</p>
	<p>Comment: Ensuring employee safety and health is a major concern of the Agency.</p>

	<p>Cross-Cutting Strategic Goal: Quality Workplaces - Foster quality workplaces that are safe, healthy, and fair.</p>
	<p>DOL Outcome Goal: Establish DOL as a model workplace.</p>
	<p>Supporting Budget Activity/Decision Unit Titles and P&F Schedules: Coal Mine Safety and Health (16-1200-01-554.01) Metal and Nonmetal Mine Safety and Health (16-1200-01-554.02) Standards Development (16-1200-01-554.03) Assessments (16-1200-01-554.04) Educational Policy and Development (16-1200-01-554.05) Technical Support (16-1200-01-554.06) Program Administration (16-1200-01-554.07)</p>
3.4	<p>MSHA FY 2003 Performance Goal: Reduce MSHA employee injury incidence rate for lost time injuries by 5% per year.</p>
	<p>Indicator: MSHA Employee lost time injury incidence rate (Incidence Rate = number of injuries x 200,000 / hours worked).</p>
	<p>Source of Data: OWCP database - Employee injuries and illnesses resulting in lost time as reported by OWCP in FY 2001.</p>
	<p>Baseline: MSHA employee lost-time injuries = 48, MSHA employee lost-time injury incidence rate = 2.51</p>
	<p>Comment: Ensuring employee safety and health is a major concern of the Agency.</p>

3.5	<p>Cross-Cutting Strategic Goal: Quality Workplaces - Foster quality workplaces that are safe, healthy, and fair.</p>
	<p>DOL Outcome Goal: Establish DOL as a model workplace.</p>
	<p>Supporting Budget Activity/Decision Unit Titles and P&F Schedules: Coal Mine Safety and Health (16-1200-01-554.01) Metal and Nonmetal Mine Safety and Health (16-1200-01-554.02) Standards Development (16-1200-01-554.03) Assessments (16-1200-01-554.04) Educational Policy and Development (16-1200-01-554.05) Technical Support (16-1200-01-554.06) Program Administration (16-1200-01-554.07)</p>
	<p>MSHA FY 2003 Performance Goal: Reduce workers' compensation costs by 5% per year.</p>
	<p>Indicator: Compliance with the OWCP regulations.</p>
	<p>Source of Data: OWCP database - Compensation costs incurred in FY 2001.</p>
	<p>Baseline: MSHA Worker's Compensation costs in FY 2001 = \$8,555,913.</p>
	<p>Comment: Increases in compensation costs are a major concern of the Agency.</p>

4.2.4 MSHA's Strategic Goal 4 -Improve Organizational Performance and Enhance Services Provided to the Public through Effective Deployment of Information Technology Resources

This strategic goal has three performance goals:

- Continue implementation of MSHA's Standardized Information System (MSIS), and Shutdown 2 Legacy Mainframe Systems.
- Complete MSHA's network expansion.
- Continue implementation of E-Government (electronic document management, and electronic forms filing).

MSHA will improve mission performance, productivity and administrative processes to provide faster, more reliable information technology services. By focusing on reduction of risks, improvement efficiencies and containing costs through greater integration of information technology systems, MSHA will provide it's employees and stakeholders reliable, quality automated tools and improved access to information to ensure mission accomplishment. Strategies to accomplish this goal include improvement of network infrastructure in order to provide a communication platform that accommodates changes resulting from new technologies. MSHA will migrate ten major mainframe-based computer applications, management information systems and several related non-mainframe database applications, and convert to a common platform in order to provide efficient and timely access to critical information.

Means and Strategies to accomplish goals - Sustained efforts in FY 2003

- Continue development of a single integrated database application system for managing and utilizing MSHA data in a web-based environment (MSIS).
- Continue implementation of an Electronic Government initiative to reduce costly paper-based reporting by providing public access to online forms the public is required to complete for regulatory compliance and provide electronic forms submission and query capabilities for miners and the mining industry.
- Continue to expand accessibility to, and use of, information technology to disseminate information MSHA-wide to enhance employee's ability to perform administrative tasks.
- Continue to expand MSHA's Intranet website for sharing of statistical information for analysis and decision making, and for distribution of information and files to compliance specialists in the field.
- Increase functionality for public access to accurate and timely information by linking MSHA's information systems to customers' websites through secure Internet portals.

The following tables provide detailed information on performance goals under Strategic Goal 4 – Improve Organizational Performance and Enhance Services Provided to the Public through Effective Deployment of Information Technology Resources.

MSHA Strategic Goal 4 - Improve Organizational Performance and Enhance Services Provided to the Public through Effective Deployment of Information Technology Resources
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4.1	<p>Cross-Cutting Strategic Goal: Improve Organizational Performance and Enhance Services Provided to the Public through Effective Deployment of Information Technology Resources.</p>
	<p>DOL Outcome Goal: Improve Organizational Performance and Communication through Effective Deployment of IT Resources.</p>
	<p>Supporting Budget Activity/Decision Unit Titles and P&F Schedules: Coal Mine Safety and Health (16-1200-01-554.01) Metal and Nonmetal Mine Safety and Health (16-1200-01-554.02) Standards Development (16-1200-01-554.03) Assessments (16-1200-01-554.04) Educational Policy and Development (16-1200-01-554.05) Technical Support (16-1200-01-554.06) Program Administration (16-1200-01-554.07)</p>
	<p>MSHA FY 2003 Performance Goal: Continue implementation of MSHA’s Standardized Information System (MSIS), and Shutdown 2 Legacy Mainframe Systems.</p>
	<p>Indicator: Deployment of Iterations 2 & 3 MSIS (civil penalty assessments and qualification and certification systems), and shutdown of these two legacy mainframe systems.</p>
	<p>Source of Data: Certification and accreditation documentation (approval to process).</p>
	<p>Baseline: FY 2002 - release MSIS Iterations #1.0, 1.1 & 1.2, Baseline - 0 mainframe legacy systems shutdown.</p>
	<p>Comment: Implementation of the Standardized Information System will integrate all MSHA data into a single architecture. With this foundation, MSHA will use technology to improve service to the public, particularly mine operators and miners.</p>

	<p>Cross-Cutting Strategic Goal: Improve Organizational Performance and Enhance Services Provided to the Public through Effective Deployment of Information Technology Resources.</p>
	<p>DOL Outcome Goal: Improve Organizational Performance and Communication through Effective Deployment of IT Resources.</p>
	<p>Supporting Budget Activity/Decision Unit Titles and P&F Schedules: Coal Mine Safety and Health (16-1200-01-554.01) Metal and Nonmetal Mine Safety and Health (16-1200-01-554.02) Standards Development (16-1200-01-554.03) Assessments (16-1200-01-554.04) Educational Policy and Development (16-1200-01-554.05) Technical Support (16-1200-01-554.06) Program Administration (16-1200-01-554.07)</p>
4.2	<p>MSHA FY 2003 Performance Goal: Complete MSHA's network field expansion by networking the remaining 17 Coal and Metal/Nonmetal field offices.</p>
	<p>Indicator: Number of offices connected and network performance.</p>
	<p>Source of Data: Supervisory acceptance forms and pre-post installation IPAL test download times.</p>
	<p>Baseline: In FY 2001 & 2002 - 64 of 81 field offices connected.</p>
	<p>Comment: Improved access to information will improve mission performance.</p>

	<p>Cross-Cutting Strategic Goal: Improve Organizational Performance and Enhance Services Provided to the Public through Effective Deployment of Information Technology Resources.</p>
	<p>DOL Outcome Goal: Improve Organizational Performance and Communication through Effective Deployment of IT Resources.</p>
	<p>Supporting Budget Activity/Decision Unit Titles and P&F Schedules: Coal Mine Safety and Health (16-1200-01-554.01) Metal and Nonmetal Mine Safety and Health (16-1200-01-554.02) Standards Development (16-1200-01-554.03) Assessments (16-1200-01-554.04) Educational Policy and Development (16-1200-01-554.05) Technical Support (16-1200-01-554.06) Program Administration (16-1200-01-554.07)</p>
4.3	<p>MSHA FY 2003 Performance Goal: Continue implementation of E-Government by providing an electronic alternative for ten public-use transactions.</p>
	<p>Indicator: Number of forms on-line.</p>
	<p>Source of Data: Internal system audits.</p>
	<p>Baseline: Twenty of 45 transactions are currently considered compliant with GPEA & 16 are not considered practical for 2003 GPEA compliance. There are nine remaining transactions that remain that must be made available for electronic submission by October 2003 to meet the minimum requirements for 2003 GPEA compliance.</p>
	<p>Comment: This initiative will reduce costly paper-based reporting and will provide both MSHA and the mining community with the tools necessary for a more cooperative and safety-conscious environment.</p>

4.2.5 MSHA Strategic Goal 5 - Secure and Protect Information Technology Resources through a Highly Available and Secure Processing Environment

This strategic goal has one performance goal.

- Test and review security policy, procedures and controls.

The information security program meets the intent of the Government Information Security Reform Act (GISRA) under the Fiscal Year 2001 Defense Authorization Act and is consistent with the Department of Labor's Information Technology Architecture. The security program is being integrated into the business practices and ongoing programs of MSHA. This will strengthen cyber security, protect MSHA's data and systems, provide a secure environment to ensure that information on violations, accidents and injuries, hazardous materials, and unsafe conditions, as well as remedies for improvement of the mining work environment will be readily available to the public and MSHA personnel.

Means and Strategies to accomplish goal - Sustained efforts in FY 2003

- Conduct periodic tests and evaluate information security controls and techniques.
- Continue to implement, maintain, and evaluate effective security awareness training program for all employees.
- Ensure network security policies and procedures, by which the network will be operated on a day to day basis, are followed and routinely evaluate the adequacy and effectiveness of security policies, procedures, and controls.
- Conduct technical auditing assessments and risk assessments on a routine basis.
- Ensure security is considered in each of the life-cycle phases: initiation, development and acquisition, implementation, operation and disposal.
- Routinely analyze security incident records, including any records of anomalous or suspicious activity that may reveal security vulnerabilities and ensure effective corrective actions are taken to address identified weaknesses, including those identified as a result of potential or actual security incidents or security alerts.
- Ensure contingency plans are in place and updated as required.
- Provide continuous evaluation of updates and upgrades for software and security technology.
- Provide for Intrusion Detection, AntiVirus programs, Information Security, auditing and software updates to include security-specific revisions to the Core Load.

- Provide secure server operating systems to ensure security of electronic forms transmissions and digital signatures.
- Continue to implement information security plan to ensure the integrity, confidentiality, authenticity, availability and non-repudiation of information and information systems supporting MSHA operations and assets.

The following table provides detailed information on performance goals under Strategic Goal 5 – Secure and Protect Information Technology Resources through a Highly Available and Secure Processing Environment.

MSHA Strategic Goal 5 -Secure and Protect Information Technology Resources through a Highly Available and Secure Processing Environment
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5.1	Cross-Cutting Strategic Goal: Secure and Protect Information Technology Resources through a Highly Available and Secure Processing Environment.
	DOL Outcome Goal: Improve Organizational Performance and Communication through Effective Deployment of IT Resources.
	Supporting Budget Activity/Decision Unit Titles and P&F Schedules: Coal Mine Safety and Health (16-1200-01-554.01) Metal and Nonmetal Mine Safety and Health (16-1200-01-554.02) Standards Development (16-1200-01-554.03) Assessments (16-1200-01-554.04) Educational Policy and Development (16-1200-01-554.05) Technical Support (16-1200-01-554.06) Program Administration (16-1200-01-554.07)
	MSHA FY 2003 Performance Goal: Test and Review Security Procedures and Controls
	Indicator: Compliance with Security Assessment Framework - Level 4.
	Source of Data: Federal Information Security Self-Assessment, internal and external audits results.
	Baseline: FY 2002 – Security Assessment Framework – Level 3; Security deficiencies as identified in security self-assessment and internal and external audit results.
	Comment: Information technology security is a major initiative being undertaken by DOL. MSHA is working aggressively to assure data integrity, confidentiality and availability.

4.3 Key External Factors That May Affect Performance

We entered the 21st Century as the safest and healthiest mining industry in the world due, in large measure, to the joint efforts of industry, labor and government. Mining in America in this century presents challenges that will continue to require the commitment and cooperation of all. This century brings, unique challenges—some old, some new. The hazards that were present during the 1900s still challenge the mining community—methane gas, unstable rock strata, silica, and coal dust. New technologies hold the promise for improved production, yet often present new and unforeseen safety and health challenges.

The mining environment, whether underground or surface, is complex and ever changing. Geologic conditions are difficult to assess and can conceal unpredictable dangers. Hazardous conditions eliminated one day can reoccur the next, or where one hazard is corrected another may appear. This requires constant vigilance by MSHA in its education and training outreach to promote hazard awareness and hazard targeting activities.

Business decisions or product demand can adversely impact health and safety in the workplace. Transportation Equity Act for the 21st century (TEA 21) earmarked over \$200 billion over 6 years for transportation projects—highway, bridge, and mass transit construction and repair. The aggregates industry is expected to increase production to meet demand, resulting in expanded mining operations, additional work shifts, longer workdays, and an influx of both inexperienced miners and inexperienced owner-operators. Low unemployment rates may draw new miners from workforces that have less experience and training. To meet demand many operators will use contractors, many of whom are small in size and have limited resources for their health and safety programs.

Technology advances in mining equipment may also affect operations, productivity, and worker safety and health.

MSHA must remain flexible so that its plans are able to reflect more compliance assistance at mines experiencing increased production to ensure compliance with safety and health standards, including new miner training requirements and hazard awareness.

5. Cross-Cutting Issues

MSHA maintains a number of automated data systems which capture health and safety statistics: mine employment and coal production data, inspection and investigation information, civil penalty assessment data, mine ownership information, and mining equipment approval information. Data from these systems is provided to companies, organizations, and Federal and State agencies. The Bureau of Labor Statistics, National Institute for Occupational Safety and Health (NIOSH), Office of Surface Mining, National Geological Survey, and the Department of Energy are some of the federal agencies with which MSHA shares data.

The Mine Act calls for coordination on research between MSHA and NIOSH. MSHA provides NIOSH with its research needs. There is a MSHA–NIOSH Memorandum of Understanding for the joint approval of respirators. NIOSH evaluates respirator performance while MSHA evaluates the mine-worthiness. Because NIOSH has facilities for explosives research, MSHA evaluates NIOSH test results as part of MSHA’s approval process. MSHA and NIOSH also coordinate on educational activities and MSHA takes advantage of NIOSH medical expertise in enforcement and standards development.

MSHA is working with NIOSH on the development of a personal continuous monitoring device that can be worn by individual miners. This will allow users to see "real time" readouts of dust concentrations and allow miners and mine operators to take immediate corrective action.

MSHA interacts with OSHA on several fronts. MSHA provides expertise on evaluating laboratories under OSHA’s certification program of National Recognized Testing Laboratories. MSHA provides technical support assistance to OSHA in accident investigations where MSHA expertise can best be put to use. OSHA performs asbestos analysis for MSHA. MSHA and OSHA coordinate on equipment testing, standards, and jurisdictional referrals.

MSHA consults with other Agencies such as OSHA, NIOSH, and the Environmental Protection Agency during the rulemaking process. MSHA seeks peer review of regulations by these Agencies, as appropriate, and performs reciprocal reviews as requested.

MSHA evaluates and approves mine waste dam plans at coal mines. These evaluations are required by and used by many state offices of reclamation and by the Office of Surface Mining. MSHA is a contributor to the National Inventory of Dams and a member of the Interagency Committee on Dam Safety that is headed by the Federal Emergency Management Agency.

MSHA provides seismic location equipment to the Federal Emergency Management Agency for urban search and rescue operations.

MSHA and the Bureau of Alcohol, Tobacco, and Firearms have a Memorandum of Understanding regarding inspections of explosive magazines at mines. MSHA safety and health specialists not only conduct MSHA inspections, but also conduct Bureau of Alcohol, Tobacco, and Firearms inspections according to that Agency’s regulations requiring safe, theft-resistant storage of explosives.

Other agencies MSHA coordinates with on enforcement issues are the Environmental Protection Agency, Food and Drug Administration, and Nuclear Regulatory Commission (Memorandum of Understanding on uranium milling).

MSHA’s National Mine Health and Safety Academy provides training, such as fire-fighting and accident prevention, to other federal agencies. Other agencies, such as

OSHA and the Naval Air Warfare Systems Center for Training and Development, have reciprocated by providing training for MSHA's specialists.

MSHA refers certain delinquent civil penalties owed to Treasury or Justice for servicing as required by the Debt Collection Improvement Act of 1996.

MSHA refers contested civil penalty cases to the Federal Mine Safety and Health Review Commission as required by the Mine Act.

MSHA, in coordination with the Department's Office of the Solicitor, works closely with the Department of Justice through U.S. Attorney offices around the country to prosecute willful violations of mine safety and health laws.

6. Strategic Management Process and Management Issues

MSHA Strategic and Performance Plans. MSHA has established a framework that links program initiatives and budget requirements to achievement of strategic goals. Development of baselines for performance measurement has given greater focus to annual operating objectives. MSHA produces a quarterly performance report to meet its internal Agency needs for assessing GPRA goal attainment and to meet the requirement for performance reporting to the Department of Labor and the Annual Performance Report.

Information Resources. MSHA plans to continue its efforts to consolidate its various information systems on a common platform, extend electronic access to e-mail, Internet, and Agency LAN applications to all employees in order to meet Agency and Departmental goals, and implement the Departmental information technology capital investment process.

Government Performance and Results Act (GPRA). MSHA is preparing to enhance its ability to develop and implement the cost accounting systems that are a necessary component of measuring and reporting program effectiveness under GPRA. The FY 2004 Budget request document was fully integrated with the Agency's Performance Plan.

The Assessments Database Management System. MSHA's Assessments Database Management System for tracking civil penalties is in compliance with the Federal Management Improvement Act.

Human Resources. MSHA is evaluating and updating its management practices and program administration and is implementing a comprehensive management plan to meet the challenges of the 21st Century. MSHA is striving to develop a culture of continuous improvement and to create a paradigm shift away from a tradition of separate program area 'stovepipes' to a 'one MSHA' organizational structure. MSHA is reviewing the entire organizational structure to determine where there are overlapping responsibilities, redundant activities or poor organizational control. The organization structure will be streamlined and flattened by reducing the number of layers in the higher levels of

management and using workforce planning to help redistribute positions to front line, service delivery positions that interact directly with MSHA stakeholders. To the maximum extent possible, these restructuring efforts will consist of retraining and/or re-deploying employees.

MSHA will encourage strategic planning and performance measurement by tying the Agency goals to MSHA management and supervisors performance. This process will encourage performance reform within the Agency, and focus on results, service quality and stakeholder satisfaction, while providing a mechanism for the Agency to meet its established program goals.

Appendix A: List of Acronyms

CFR	Code of Federal Regulations
CIO	Chief Information Officer
FTE	Full Time Equivalent
FY	Fiscal Year
GISRA	Government Information Security Reform Act
GPRA	Government Performance and Results Act
MIS	Management Information System
MNM	Metal and Nonmetal
MSHA	Mine Safety and Health Administration
NIOSH	National Institute for Occupational Safety and Health
OSHA	Occupational Safety and Health Administration
TEA 21	Transportation Equity Act for the 21 st Century
OWCP	Office of Workers Compensation Programs

Appendix B: Relationship of MSHA Program Activities to Strategic Goals

Strategic Goal: Reduce injuries in the Nation's mines

- Coal Mine Safety and Health
- Metal and Nonmetal Mine Safety and Health
- Assessments
- Standards, Regulations, and Variances
- Educational Policy and Development
- Technical Support
- Program Administration

Strategic Goal: Reduce miners' exposure to health hazards

- Coal Mine Safety and Health
- Metal and Nonmetal Mine Safety and Health
- Assessments
- Standards, Regulations, and Variances
- Educational Policy and Development

- Technical Support
- Program Administration

Strategic Goal: Establish MSHA as a Model Workplace

- Coal Mine Safety and Health
- Metal and Nonmetal Mine Safety and Health
- Assessments
- Standards, Regulations, and Variances
- Educational Policy and Development
- Technical Support
- Program Administration

Strategic Goal: Improve Organizational Performance and Enhance Services Provided to the Public through Effective Deployment of Information Technology Resources

- Coal Mine Safety and Health
- Metal and Nonmetal Mine Safety and Health
- Assessments
- Standards, Regulations, and Variances
- Educational Policy and Development
- Technical Support
- Program Administration

Strategic Goal: Secure and Protect Information Technology Resources through a Highly Available and Secure Processing Environment.

- Coal Mine Safety and Health
- Metal and Nonmetal Mine Safety and Health
- Assessments
- Standards, Regulations, and Variances
- Educational Policy and Development
- Technical Support
- Program Administration