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

Strategic Plan

Fiscal Years 2003 - 2008

Revised: December 2, 2002

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Section 1: Introduction

The first priority and concern of everyone in the mining community must be the safety and health of the miner. The Mine Safety and Health Administration (MSHA) is committed to working pro-actively with the mining community to find new ways to improve working conditions in the Nation's mines. MSHA was established in 1978 as a result of the Federal Mine Safety and Health Act of 1977 (Mine Act) which transferred the Federal enforcement program from the Department of the Interior to the Department of Labor and placed coal mines and metal and nonmetal mines under a single law. The Mine Act provides MSHA the tools to continue to improve miners' safety and health: enforcement, compliance assistance, and education and training and technical assistance. Our challenge is to go beyond traditional enforcement mechanisms and search for creative methods and technological innovations and find new ways to use these tools effectively to address the safety and health issues of today and tomorrow.

The 20th Century brought remarkable improvements in safety and health for miners in the United States. These safety and health achievements have helped make the mining industry a true American success story. Fatalities have dropped from 242 in calendar year (CY) 1978 to 72 in 2001. As we move into the 21st Century annual mining fatalities, once measured in the thousands, are now in the thirties.

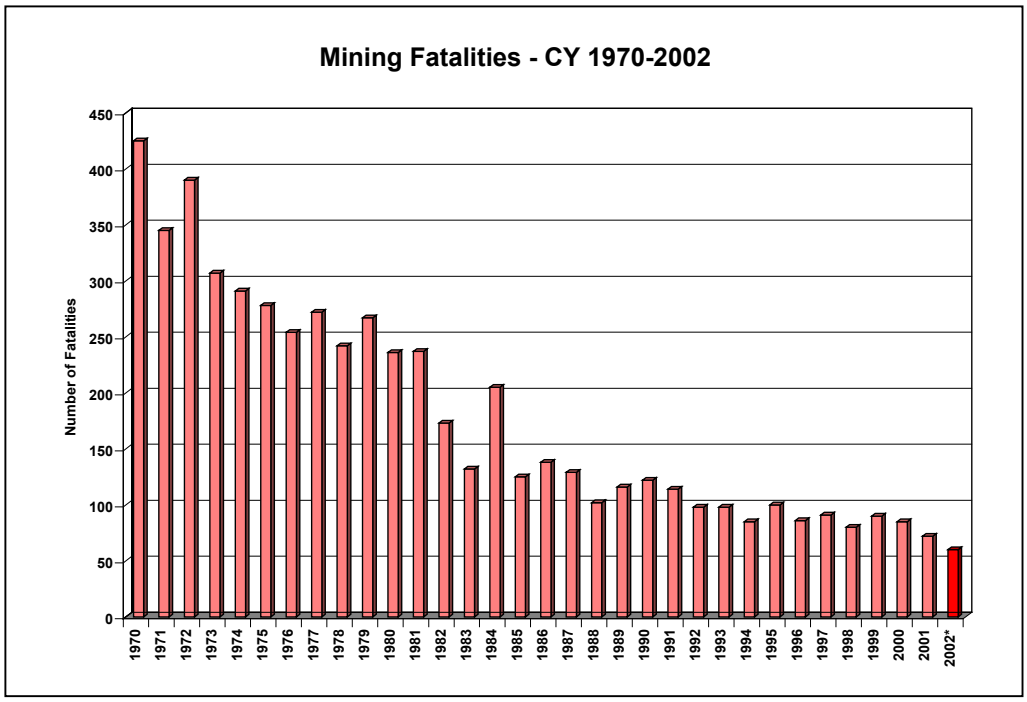


Chart figures are given in calendar years; for GPRA purposes, specific performance measures are in fiscal years (October 1 through September 30)

The mining community has made remarkable safety and health progress in every sector. Injury rates for all mines have decreased dramatically. Mines are better designed, better maintained, better operated, and more efficient. The workforce is better trained and more safety conscious.

The federal government for many decades has worked with the mining industry, labor organizations, other federal and state governmental agencies, and academia to help achieve safety improvements.

Ensuring the safety and health of our miners is MSHA's number one priority. To do this, MSHA is refocusing its regulatory philosophy and practice on compliance assistance initiatives such as expanding existing outreach efforts in the mining community, and shifting the emphasis of regulatory programs from after-the-fact enforcement to education and training and accident prevention activities. MSHA will strive to reach and maintain a healthy balance among enforcement, education and training, compliance assistance and technical support.

MSHA published its first strategic plan for FY 1997–FY 2002 in September 1997, as required by the Government Performance and Results Act (GPRA) of 1993. In September 1998, a revised FY 1997–2002 Strategic Plan was published in accordance with the new strategic goals and objectives of the Department of Labor. This current plan, FY 2003 - 2008, continues the process of identifying MSHA's results, goals and performance objectives of reducing fatalities, injuries, and illnesses, and laying out Agency strategies for achieving them. This requires a flexible and responsive organization with the capabilities to address constantly changing safety and health challenges efficiently and effectively.

Mission

The mission of the Mine Safety and Health Administration (MSHA) 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.

Vision

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

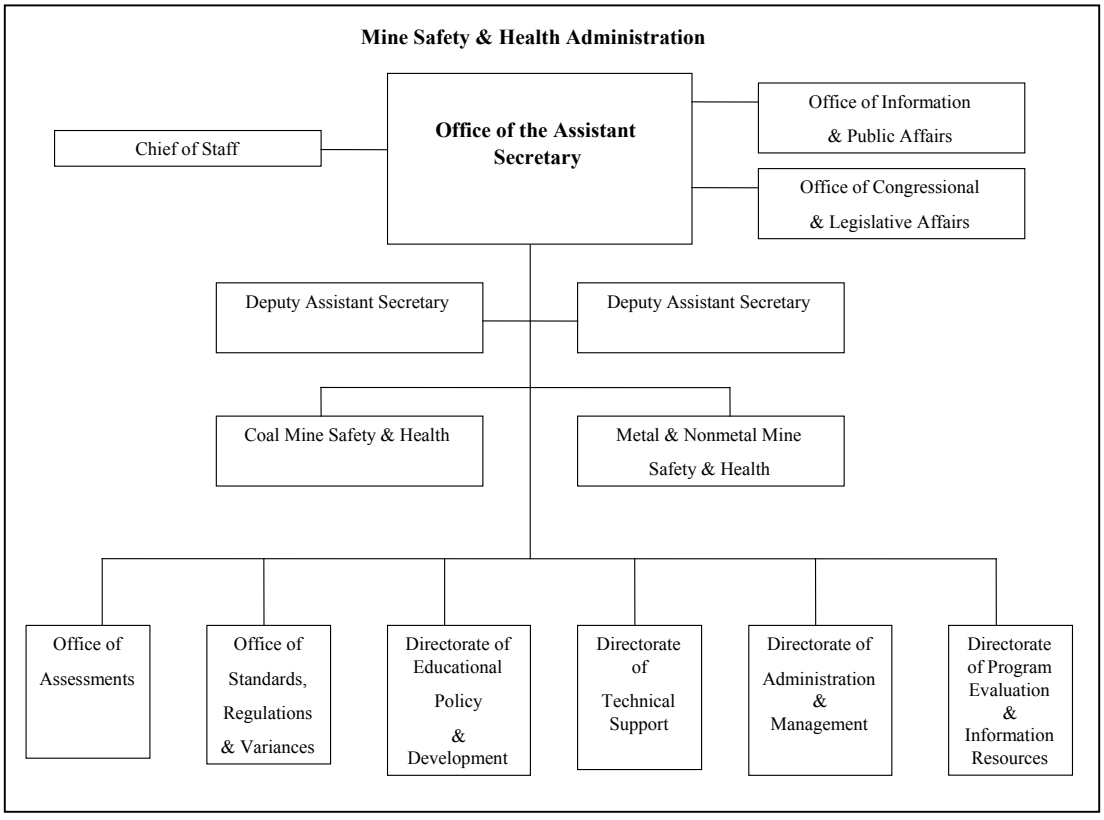
The Mine Safety and Health Administration

MSHA is headed by an Assistant Secretary of Labor for Mine Safety and Health. The Agency carries out its mission through its enforcement, compliance training, and support organizations in a synergistic effort. The Agency is headquartered 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 across the country. MSHA operates the National Mine Health and Safety Academy in Beckley, West Virginia—one of the seven permanent federal academies. The Agency also conducts specialized activities at the Pittsburgh Safety and Health Technology Center in Bruceton, Pennsylvania, the Approval and Certification Center in Triadelphia, West Virginia, and the Assessments Center in Wilkes-Barre, Pennsylvania.

The MSHA FY 2003 budget request is $254,323,000 with 2,264 Full-Time Equivalents (FTE).

MSHA has the following organizational components:

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



Section 2: The Changing Workforce and Workplace

Mining is now recognized as one of the safest industries, with a lower rate of injuries and illnesses per 100 employees than the agriculture, construction or retail trades. Nevertheless, the mining environment can be a hazardous workplace. Unseen geologic instabilities, constantly changing terrain, and the prevalence of large and complex haulage and mining equipment are a few of the factors that make maintaining mine safety a continuing challenge. Exposures to dust, noise, and diesel exhaust are recognized as pervasive health hazards to miners that can result in debilitating and fatal lung diseases, acute hearing loss, and other potentially damaging illnesses. Although coal workers' pneumoconiosis (black lung) and silicosis are preventable diseases, miners are still succumbing to them.

Mining is critical to the Nation and its economy. More than 300,000 people work directly in the mining industry throughout the United States. According to the National Mining Association, employment in the industries that support mining account for almost 5 million jobs. Metal and nonmetal products contribute substantially to the construction industry and support the building and maintenance of the Nation's physical infrastructure, while coal produces more than 51 percent of the electricity generated in the United States.

According to the Department of the Interior's U.S. Geological Survey (U.S.G.S.), the estimated annual production of crushed stone shipped for consumption in 2001 increased 5.8 percent above the 2000 production levels. There were production declines in the metals industry in 2001, especially for aluminum, copper, and steel producers who faced strong foreign competition, higher energy costs, and lower prices for their products. Homebuilding and other domestic construction sectors – major consumers of nonmetallic mineral products such as cement, brick, glass and stone - remained strong enough to help raise the total output of industrial mineral materials above previous year levels. The construction industry - accounting for most of the consumption of clay, cement, glass, sand, gravel and stone - benefited from declining mortgage rates for purchasers of residential housing units creating the increase in production of these materials above 2000 levels. Demand for these basic building materials is expected to continue to rise as a result of the Transportation Equity Act for the 21st Century (TEA 21) which earmarked more than $200 billion dollars for transportation projects, including unprecedented investments in highway, bridge, and mass transits construction and repair. There has been a 16.6 percent increase in the number of metal and nonmetal mines since FY 1997. Workplace safety and health will continue to compete for attention with burgeoning production at sites that produce these materials.

In addition to fueling over half of the electricity production in the United States, coal is also used for residential and commercial heating, the production of coke for the steel industry, and as a raw material in the chemical industry. According to the Energy Information Administration's Monthly Energy Review February 2002, preliminary estimates for coal production in 2001 was 4.2 percent above the nearly 1.074 billion tons produced in 2000. The coal mining industry is in the midst of transition— over the past several decades, coal production has shifted from primarily underground mines to large surface mines. Over those years, a gradual decline in demand for U.S. metallurgical coal resulted in closures of some metallurgical coal mines and led others to enter the market for premium low-sulfur steam coal which met environmental emissions regulations. Clean air regulations encouraged other dislocations in the coal industry as

production shifted from traditional Appalachian mining areas to multi-million-ton mines in the West. The coal resources of Wyoming and other areas west of the Mississippi River have undergone tremendous development. Technological improvements in mining and this shift toward more surface-mined coal, especially west of the Mississippi, have led to great improvements in coal mining productivity. Today, the rate of tons of coal produced per miner hour is 6.5 short tons compared to 0.7 in the 1950's. Coal production has increased at a steady rate of growth, based almost entirely on the heavy dependence of electric utilities on coal-fired plants for base-load generation.

Perhaps the biggest influence on the changing structure of the coal mining industry is that the twenty largest coal producing companies now control more than 70 percent of production. These companies have the capital required to finance a large, efficient mining operation and utilize ever larger, state-of-the-art earth moving, loading and haulage equipment. With greater reliance on computerized mine system and sophisticated operational technologies, the most valued miners are those with technical skills. The nature and extent of the changes are having an impact on the mining workforce and workplace.

Pennsylvania coal mine

South Dakota sandstone quarry

Colorado gold ore mine

Texas salt mine

Section 3: MSHA Strategic and Outcome Goals

Department of Labor Strategic and Outcome Goals

Goal 1*—A Prepared Workforce—Enhance opportunities for America's workforce*

- Increase employment, earnings, and assistance
- Increase the number of youth making a successful transition to work
- Improve the effectiveness of information and analysis on the U.S. economy

Goal 2—*A Secure Workforce—Promote the economic security of workers and families*

- Increase compliance with worker protection laws
- Protect worker benefits
- Increase employment and earnings for retrained workers

Goals 3—*Quality Workplaces— Foster quality workplaces that are safe, healthy, and fair*

- Reduce workplace injuries, illnesses, and fatalities
- Foster equal opportunity workplaces
- Increase availability and effectiveness of programs that support a greater balance between work and family
- Reduce exploitation of child labor and address core international labor standards issues

MSHA Strategic and Performance Goals Supporting DOL Goals

The strategic goals and performance objectives in this plan reflect a strategic direction and intent for MSHA to have a greater impact towards lowering fatalities and injuries and mitigating persistent safety and health problems that exist in the mining industry. The FY 2003 goals challenge the industry to reduce mine fatal injury incidence rate by 15 percent annually, and the ALL injury incidence rate 50% below the FY 2000 baseline by the end of FY 2005. MSHA works to accomplish these goals through strategic partnerships with the mining industry, strengthening existing programs, developing and implementing special emphasis initiatives, enhancing education and training outreach, revising and developing necessary regulations and enlisting the commitment from the mining community. These efforts form the basis for setting the performance objectives each year through FY 2008.

Coal Mine Safety and Health and Metal and Nonmetal Mine Safety and Health personnel conduct mandatory inspections to enforce compliance with mandatory safety and health standards. MSHA's mission is to administer the provisions of the Federal Mine Safety and Health Act of 1977 (Mine Act) which requires inspection of surface mines at least twice a year and underground mines at least four times a year. In enacting the Mine Act, Congress recognized that enforcement alone could not solve all safety and health problems. 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 problems.

MSHA is refocusing its regulatory philosophy and practice on compliance assistance initiatives such as expanding existing outreach efforts in the mining community, and shifting the emphasis from after-the-fact enforcement to education and training and accident prevention activities. Many mine operators would like MSHA to provide more advice and education on keeping the workforce safe and preventing violations. MSHA strives to reach and maintain a healthy balance among enforcement, education and training, compliance assistance and technical support.

The Office of Standards, Regulations, and Variances coordinates the development and issuance of safety and health standards to provide reliable, practical protection for the health and safety of all miners. Mandatory standards provide a benchmark for compliance and a legal basis for enforcement. The Agency processes 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 decrease of safety, or an alternative method is as effective as the standard. The procedure allows compliance flexibility to the mining community for unique conditions in a mine.

The Educational Policy and Development Directorate optimizes the Agency's resources for improving health and safety training to the mining industry by emphasizing the importance of education and training in reducing mining accidents and workplace illnesses. Only with effective training can miners recognize possible hazards and know safe procedures to follow. It works closely with mine management, miners and mine instructors to develop training methods to improve safety and health and coordinate agency resources to best meet each mine's individual needs; it approves and evaluates training plans, and qualifies and certifies miners and instructors; and, it works with mining associations, safety organizations, labor unions, and educational institutions to establish partnerships and network resources and manages the State Grants program. The division also operates the National Mine Health and Safety Academy to provide professional instruction in mine safety and health to MSHA personnel 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.

The Technical Support Directorate provides technical support to the Agency and mining industry. It approves and certifies equipment, instruments, materials, explosives, and personal protective apparatus that can be used in mines; provides specialized scientific and engineering expertise during forensic field and laboratory investigations; and conducts in-mine 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 by MSHA and the mining industry of solutions to compliance problems.

The Office of Assessments manages the assessment of civil penalties for violations of safety and health standards. Proposed assessments are issued to operators in order to create an incentive for the operator to comply with the regulations. MSHA assesses civil monetary penalties for all violations of the Mine Act consistently, and in accordance with statutory criteria. It assesses all penalties in a timely manner, and at a level that will encourage compliance, taking into account the mine's size and history, and collects and accounts for penalties paid. It accounts for all penalty cases litigated before the Federal Mine Safety and Health Review Commission. MSHA works to minimize the number of contested assessments through the continued use of district

conference officers trained in alternative dispute resolution techniques. The Office of Assessments also conducts outreach sessions to educate the mining industry on the civil penalty process.

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 policy support activities, and equal opportunity.

MSHA's EPD staff utilizing expertise of Naval Air Warfare Center to develop job skills training for miners

MSHA's personnel giving hearing protection talk in an underground mine

MSHA Educational Field Service personnel conferring with heavy equipment operator

MSHA personnel demonstrating use of the self-contained breathing apparatus at a recent mine safety demonstration

DOL Strategic Goal 3: Quality Workplaces – *Foster quality workplaces that are safe, healthy and fair*

DOL Outcome Goal 3.1: *Reduce workplace injuries, illnesses and fatalities*

MSHA Strategic Goal 1: *Reduce fatalities and injuries in the Nation's mines*

MSHA Strategic Goal 1: Reduce the fatalities and injuries rates in the Nation's mines

MSHA Performance Goals:

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

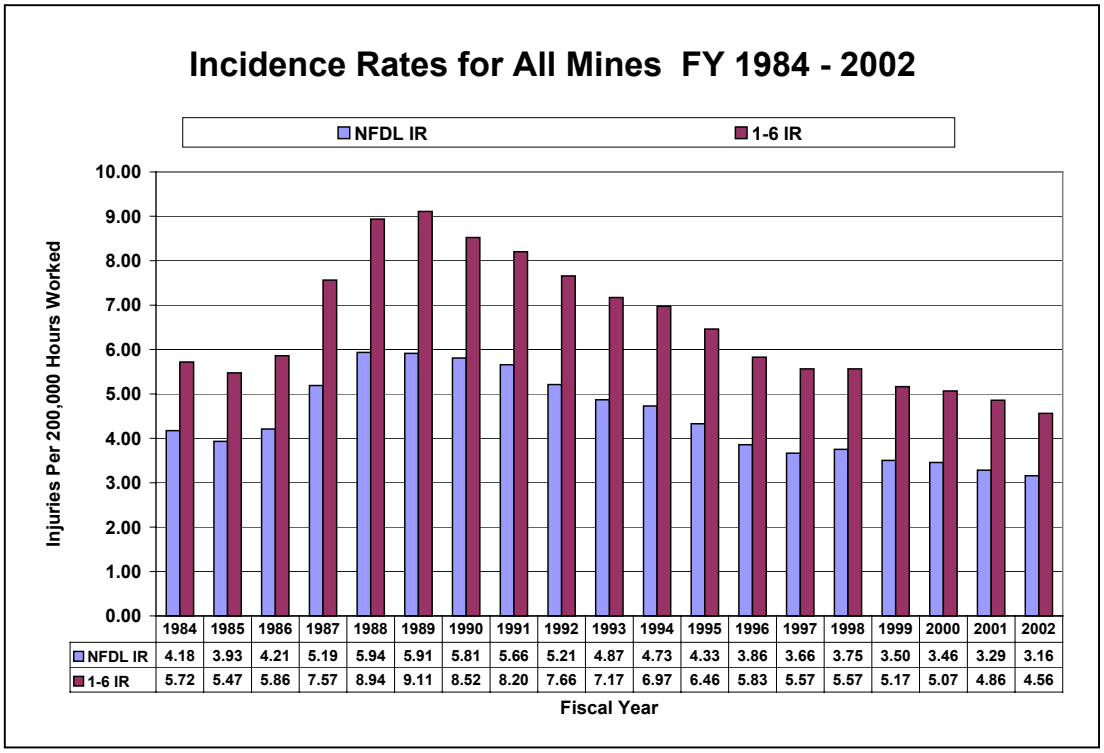
1.2 Reduce the ALL injury incidence rate 50% below the FY 2000 baseline by the end of FY 2005.

Fatality and injury rates for all mines decreased dramatically throughout the 20th century. Notwithstanding the successes of the past, the fatality and serious injury rates have reached a plateau. The Mine Act provides MSHA the tools to continue to improve miners' safety and health: enforcement, compliance assistance, education and training and technical assistance. MSHA's challenge is to go beyond traditional enforcement mechanisms and search for creative methods and technological innovations and find new ways to use these tools effectively to address the safety and health issues of today and tomorrow.

The FY 2001 total number of fatalities was 71, the lowest in the history of the mining industry. FY 2002 also had 71 fatalities. MSHA is changing its two safety goals in FY 2003 and 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.

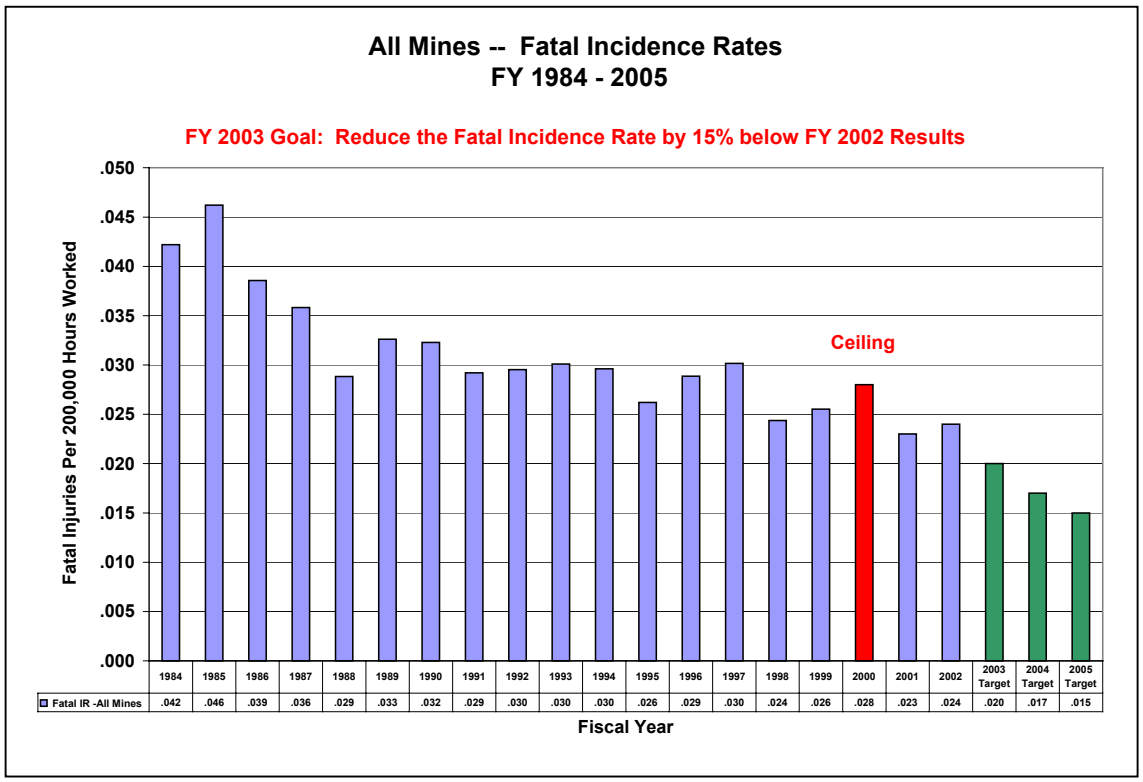
The following chart compares the former FY 2002 non-fatal-days-lost injury incidence rate data with the new FY 2003 ALL incidence rates. As the chart illustrates, by changing this goal, MSHA will impact a larger number of the mining population.

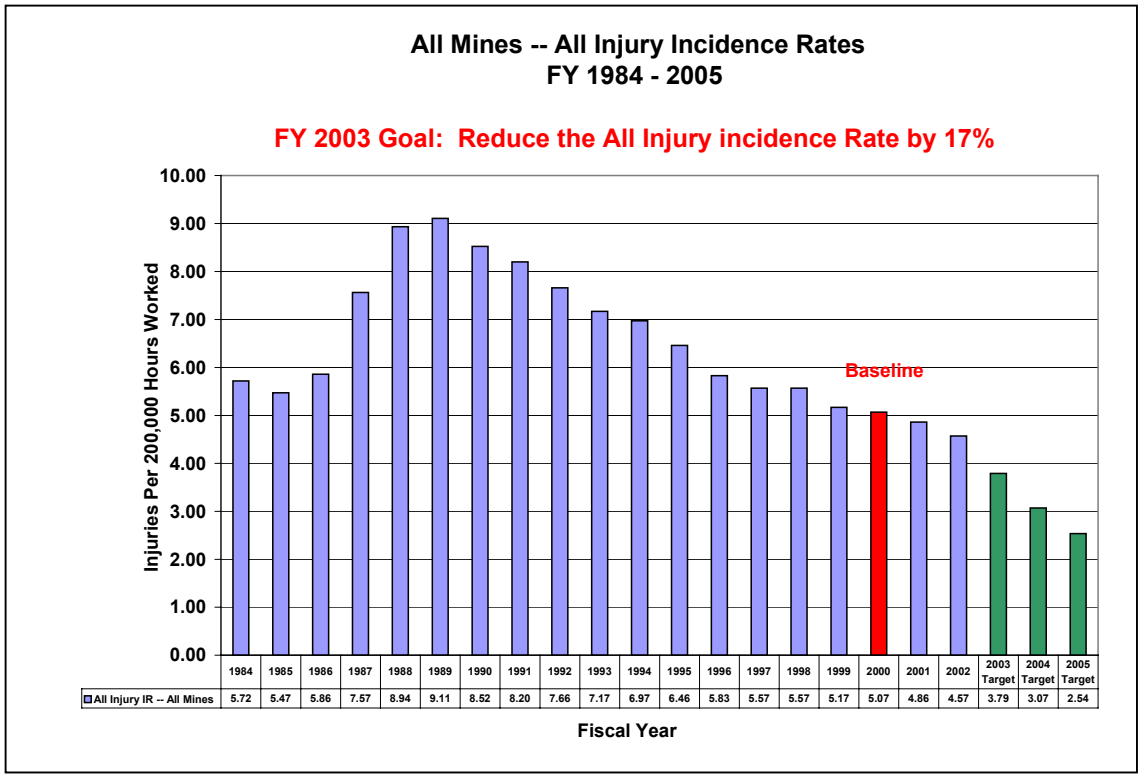
FY 2002 and FY 2003 goal comparison



	1984	1985	1986	1987	1988	1989	1990	1991	1992	1993	1994	1995	1996	1997	1998	1999	2000	2001	2002
NFDL IR	4.18	3.93	4.21	5.19	5.94	5.91	5.81	5.66	5.21	4.87	4.73	4.33	3.86	3.66	3.75	3.50	3.46	3.29	3.16
1-6 IR	5.72	5.47	5.86	7.57	8.94	9.11	8.52	8.20	7.66	7.17	6.97	6.46	5.83	5.57	5.57	5.17	5.07	4.86	4.56

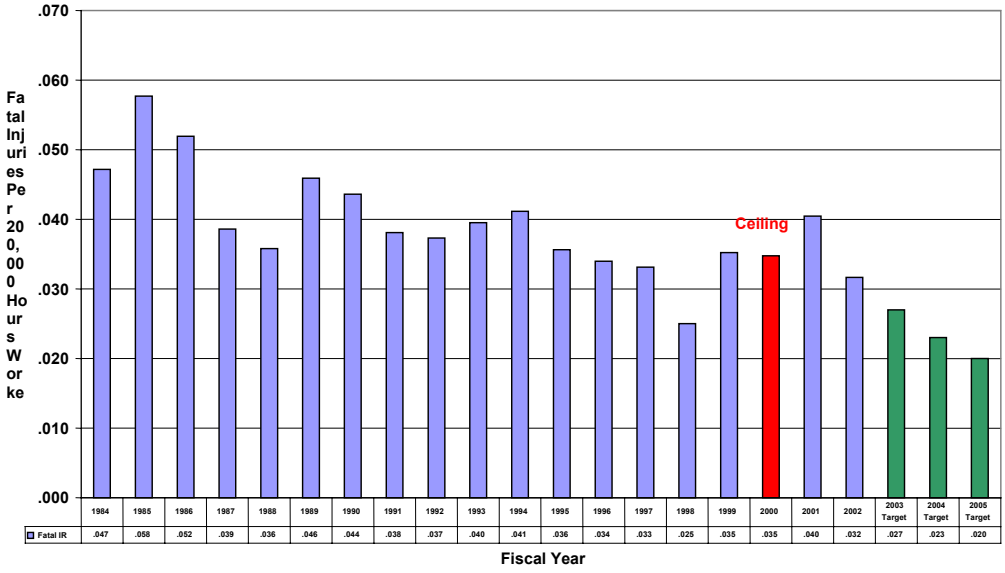
The following charts show the new FY 2003 safety goal targets, for all mines, as well as coal and metal and nonmetal mines individually.





Coal Mines -- Fatal Incidence
FY 1984 -

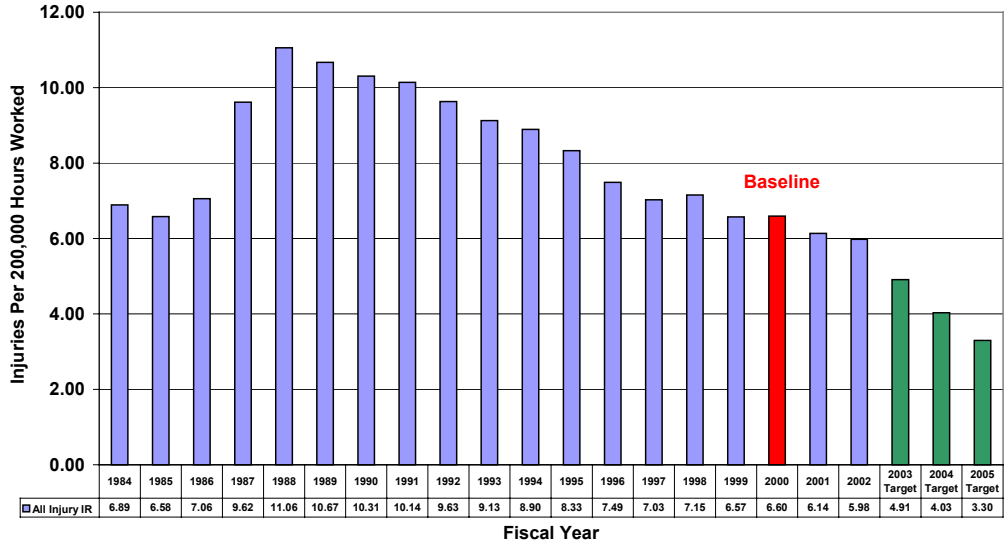
FY 2003 Goal: Reduce the Fatal Incidence Rate by 15% below FY 2002 Results



	1984	1985	1986	1987	1988	1989	1990	1991	1992	1993	1994	1995	1996	1997	1998	1999	2000	2001	2002	2003 Target	2004 Target	2005 Target
Fatal IR	.047	.058	.052	.039	.036	.046	.044	.038	.037	.040	.041	.036	.034	.033	.025	.035	.035	.040	.032	.027	.023	.020

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

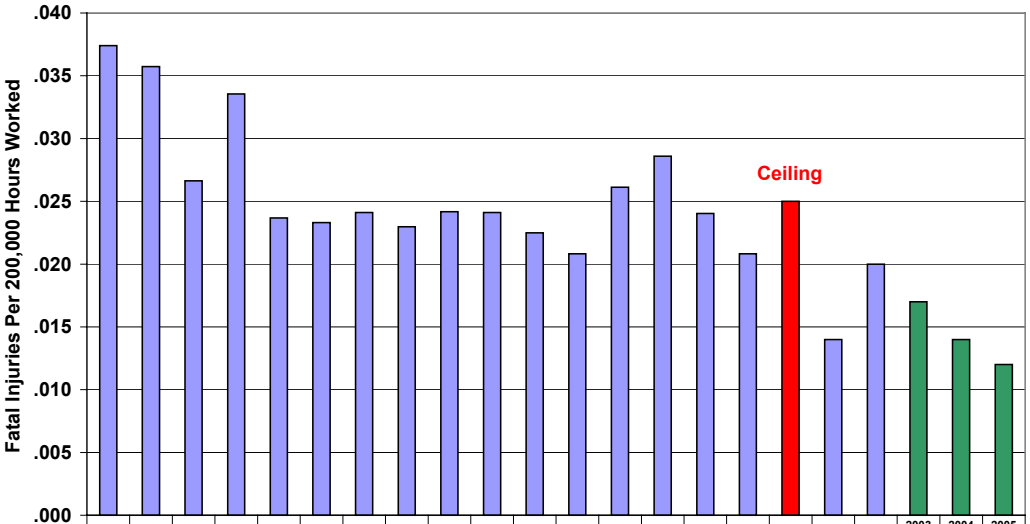
FY 2003 Goal: Reduce the All Injury Incidence Rate by 18%



	1984	1985	1986	1987	1988	1989	1990	1991	1992	1993	1994	1995	1996	1997	1998	1999	2000	2001	2002	2003 Target	2004 Target	2005 Target
All Injury IR	6.89	6.58	7.06	9.62	11.06	10.67	10.31	10.14	9.63	9.13	8.90	8.33	7.49	7.03	7.15	6.57	6.60	6.14	5.98	4.91	4.03	3.30

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

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

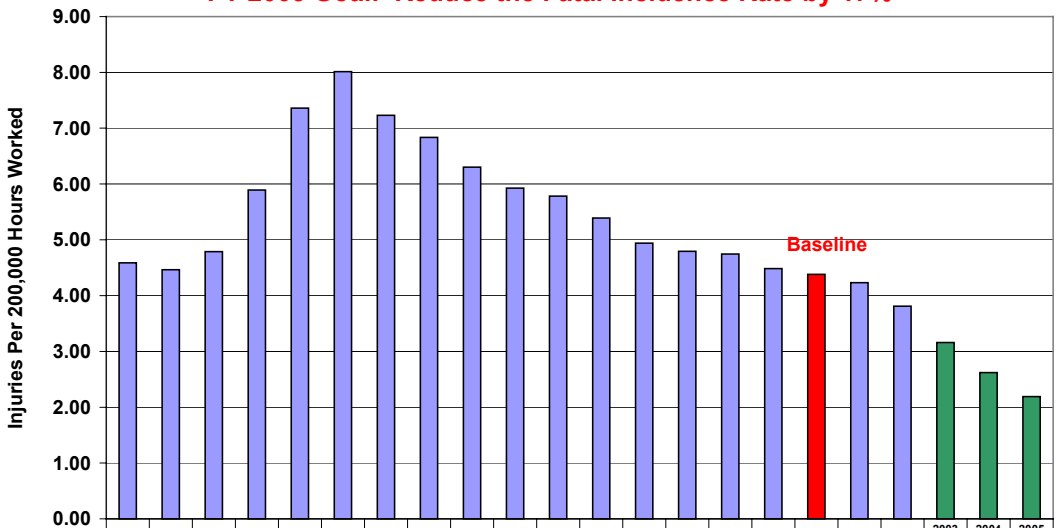


	1984	1985	1986	1987	1988	1989	1990	1991	1992	1993	1994	1995	1996	1997	1998	1999	2000	2001	2002	2003 Target	2004 Target	2005 Target
Fatal IR - MNM Mines	.037	.036	.027	.034	.024	.023	.024	.023	.024	.024	.022	.021	.026	.029	.024	.021	.025	.014	.020	.017	.014	.012

Fiscal Year

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

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



	1984	1985	1986	1987	1988	1989	1990	1991	1992	1993	1994	1995	1996	1997	1998	1999	2000	2001	2002	2003 Target	2004 Target	2005 Target
1-6 IR at MNM Mines	4.59	4.46	4.79	5.89	7.36	8.01	7.23	6.83	6.30	5.93	5.78	5.39	4.94	4.79	4.75	4.48	4.38	4.23	3.81	3.16	2.62	2.19

Fiscal Year

Strategies to achieve goals:

- Reach and maintain a healthy balance among enforcement, education and training, compliance assistance and technical support. Expand existing outreach efforts in the mining community shifting the emphasis of 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 MSHA health, safety and compliance 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 health, safety and compliance specialists in accident analysis and prevention, i.e. identifying those factors that are likely to lead to or cause accidents.

- Health, safety and compliance 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.

- Expand investigation of fatal and serious nonfatal accidents to include root cause analysis.

- 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 occupational 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 health, safety and compliance specialists to maintain a high level of proficiency. The Internet will be used to provide access to 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.

- 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.

- Provide more data analysis to the mining industry with comparative and descriptive statistical analysis. Continue to expand MSHA's Intranet Web site for sharing statistical information for analysis and decision making, and for distributing information and files to health and safety specialists in the field.

- 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 twenty" most frequently cited standards by mine commodity.

- Increase functionality for public access to provide accurate and timely information by linking MSHA's information systems to stakeholders through secure internet portals.

- Expand MSHA's WebPage to include data on equipment involved in accidents and identify possible design improvements.

- Develop quarterly mine profiles for health, safety and compliance specialists to use during inspection activities.

- Provide mine operators with summary data in a format that will allow them to compare their operations against regional and national norms for similar mines.

- Expand MSHA employee training in safety systems management and safety program management concepts to include: best management practices, behavior modification and employee involvement, ergonomics for new equipment, enhanced accident investigation techniques, and enhanced communication skills.

- Develop a small mine initiative to foster cooperation and consultation with small mine operators, and provide training and compliance assistance materials tailored specifically to small mines.

- Expand rulemaking-related materials on MSHA's WebPage to include all comments received and transcripts of all public hearings.

- Identify and recognize mines that make the greatest improvements in their incident and compliance rates.

- Provide greater recognition to successful Sentinels of Safety winners – encourage them to share their techniques for success.

- Conduct focused enforcement, increased compliance assistance, and increase interaction with miners and mine operators during the inspection process.

- Develop performance criteria for health, safety and compliance specialists that will evaluate the quality and consistency of their interpretation and application of program health and safety policy.

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

DOL Strategic Goal 3: Quality Workplaces—*Foster quality workplaces that are safe, healthy, and fair*

DOL Outcome Goal 3.1: *Reduce workplace injuries, illnesses, and fatalities*

MSHA Strategic Goal 2: *Reduce miners' exposure to health hazards*

MSHA Strategic Goal 2: Reduce miners' exposure to health hazards

MSHA Performance Goals:

2.1 Reduce the percentage of respirable dust samples in coal mines exceeding the applicable standards by 5 percent per year for designated occupations.

2.2 Reduce the percentage of silica samples in metal and nonmetal mines exceeding the applicable standards by 5 percent per year for high-risk occupations.

2.3 Reduce the percentage of noise exposures above the citation level in coal and metal and nonmetal mines by 5 percent.

Lung diseases among miners caused by respirable dust - coal dust and crystalline silica in particular - remain pervasive although preventable hazards. Elimination of black lung disease and silicosis is a continuing Agency priority.

MSHA is taking aggressive action to tackle the dust problem. Strategies 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. 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.*

In FY 2002, the goal to reduce miners exposure to health hazards was changed in order to achieve a greater impact on reducing the exposure to respirable dust in coal mines and silica in metal and nonmetal mines. The previous goals were to reduce the percentage of samples out of compliance with the respirable coal mine dust standard and reduce the percentage of samples in metal and nonmetal mines out of compliance with the silica standard in the highest risk occupations. The new goals are to: reduce respirable dust samples in coal mines exceeding the applicable standards, and silica dust samples in metal and nonmetal mines exceeding the applicable standards and are reflected in the charts below.

In FY 1999 through 2001 MSHA used the samples that exceeded the 2.0-mg/m^3 respirable coal mine dust standard to measure performance towards meeting this health goal. Starting in FY 2002, MSHA began utilizing samples that exceed the applicable standards that were based on the amount of silica present at each mine, as a measure of performance towards meeting this goal. This change allows MSHA to respond not only to respirable coal mine dust exposures but also to the silica dust that may be present.

The chart on the left reflects goals and baselines in effect through FY 2001 and the chart on the right shows the new goal.

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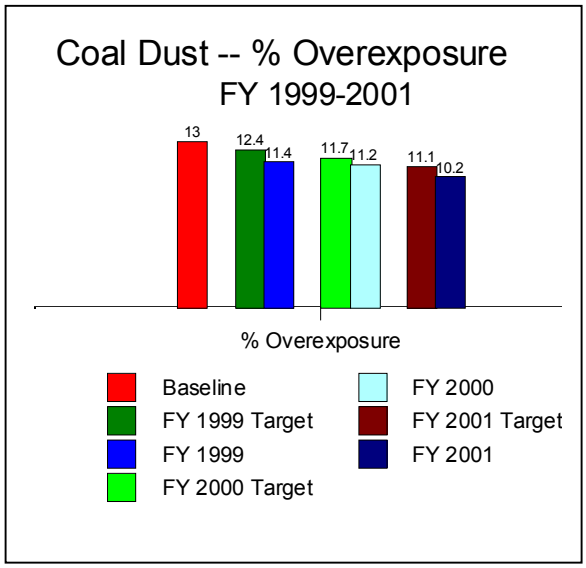
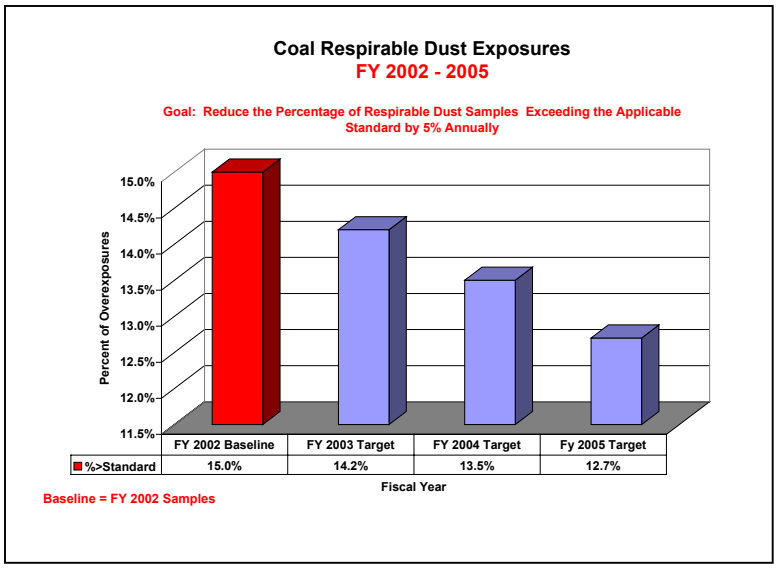
FY 1999 – 2001



Revised Coal Dust Goal

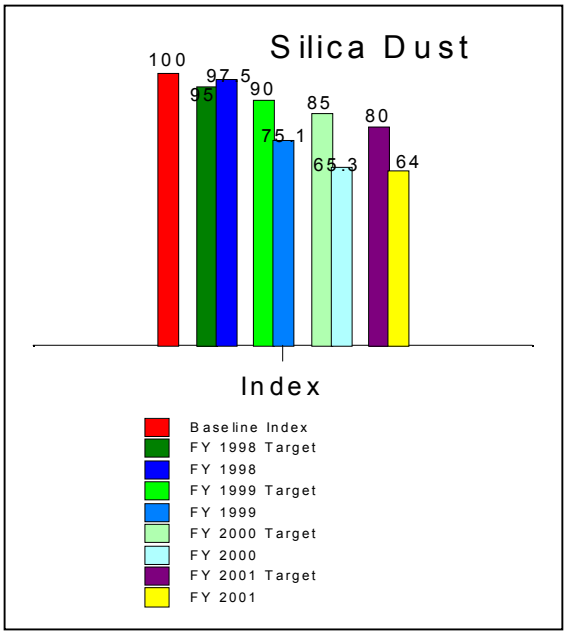


To tackle the silica dust hazard in metal and nonmetal mines, the Agency works with equipment manufacturers, mine operators and miners to address silica controls, and MSHA headquarters safety and health personnel work with enforcement personnel to identify mines with respirable silica dust control problems.

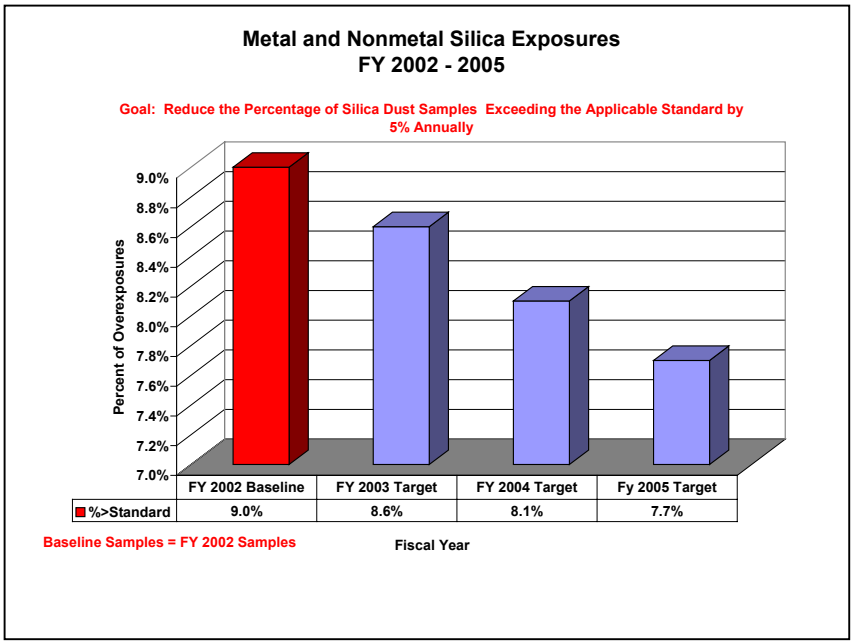
In FY 2002 MSHA changed this goal from the previously used indexing method which was based on a weighted number of citable samples out of samples taken. Now MSHA analyzes the percent of samples that are citable this year versus the prior year for *designated* high-risk occupations. This allows MSHA to focus resources on the occupations at the highest risk for occupational illness.

The chart on the left reflects the goals and baselines previously in effect. The chart on the right reflects the new goals.

FY 1998 – 2001



FY 2002 and beyond

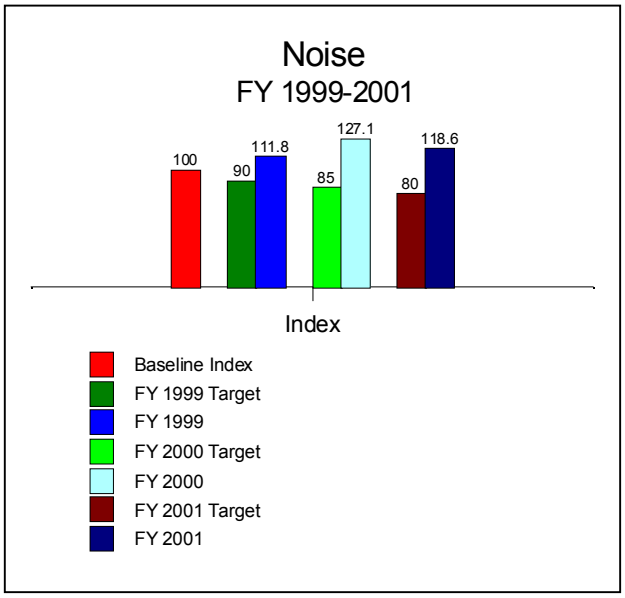


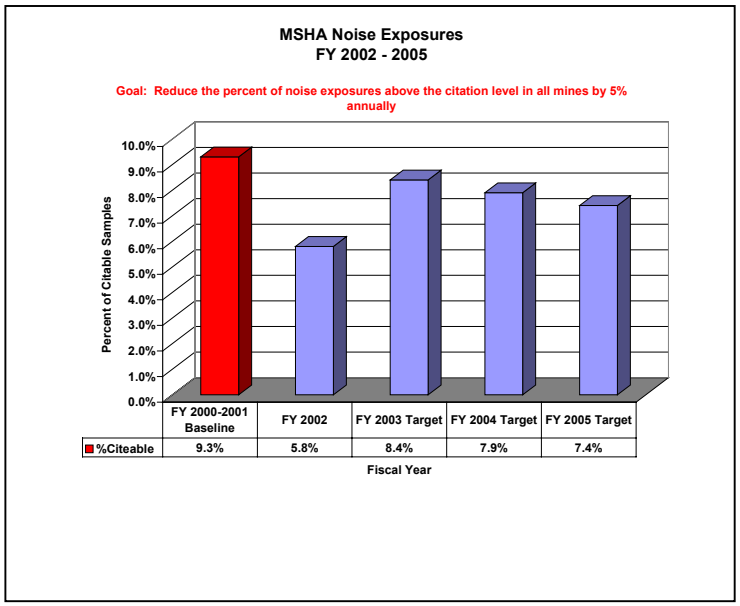
Hearing loss is one of the major health problems miners face. As a result, Health Standards for Occupational Noise Exposure were established and became effective September 13, 2000, for coal and metal and nonmetal mines. MSHA works cooperatively with the mining industry, labor and the states to improve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

Prior to the new noise regulations in FY 2000, this measurement was for metal and nonmetal mines only. The following chart reflects information used for the previous goals relating to metal and nonmetal mines. ***This baseline was used through FY 2001 only.*** Samples collected in FY 2000 and FY 2001 for all mines have been used to form a performance measure baseline

relating to the new goals for evaluation in FY 2002, and is reflected in the chart on the right below.

Metal & Nonmetal Mines Only **All Mines**





Strategies to achieve goals:

- Expand existing outreach efforts in the mining community shifting the emphasis of 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. Continue to work cooperatively with the mining industry, labor and the states to improve training programs aimed at preventing occupational illnesses.

- Develop injury rate information covering independent contractors.

- 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.

- Provide mine compliance history, accident, injury and illness statistics, assessment information, and other related data analysis to identify potential health problem areas.

- 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.

- Perform on-site evaluations of mine health training programs and use information identified to educate and inform the mining community on best practices to reduce health hazards.

- Prepare the mining industry to reduce health hazards associated with noise exposures. Continue to provide assistance through operator educational and training seminars, compliance assistance visits, additional sampling, and assist industry and labor in recognizing occupations with a high incidence of exposures and solving difficult noise compliance problems.

- Conduct focused inspections to create the capability by health, safety and compliance specialists to target activities and deficiencies that have the greatest need or potential for improvement.

- Develop a small mines initiative to foster cooperation and consultation with small mine operators to achieve a reduction in illnesses and injuries.

- Include an element that addresses management efforts toward accomplishing GPRA health goals in manager and supervisor's performance standards.

DOL Human Resources (HR) Outcome Goal: *Establish DOL as a Model Workplace*

MSHA Strategic Goal 3: *Establish MSHA as a Model Workplace*

MSHA Strategic Goal 3: Establish MSHA as a Model Workplace

MSHA Performance Goals:

3.1 Competitively source 5 percent of commercially competitive functions.

3.2 Convert 20 percent of service contracts above $25,000 to performance-based contracts.

3.3 Reduce MSHA employee injury and illness claims and incidence rate by 20 percent below the projected baseline.

3.4 Reduce MSHA employee injury incidence rate for lost time injuries by 5 percent.

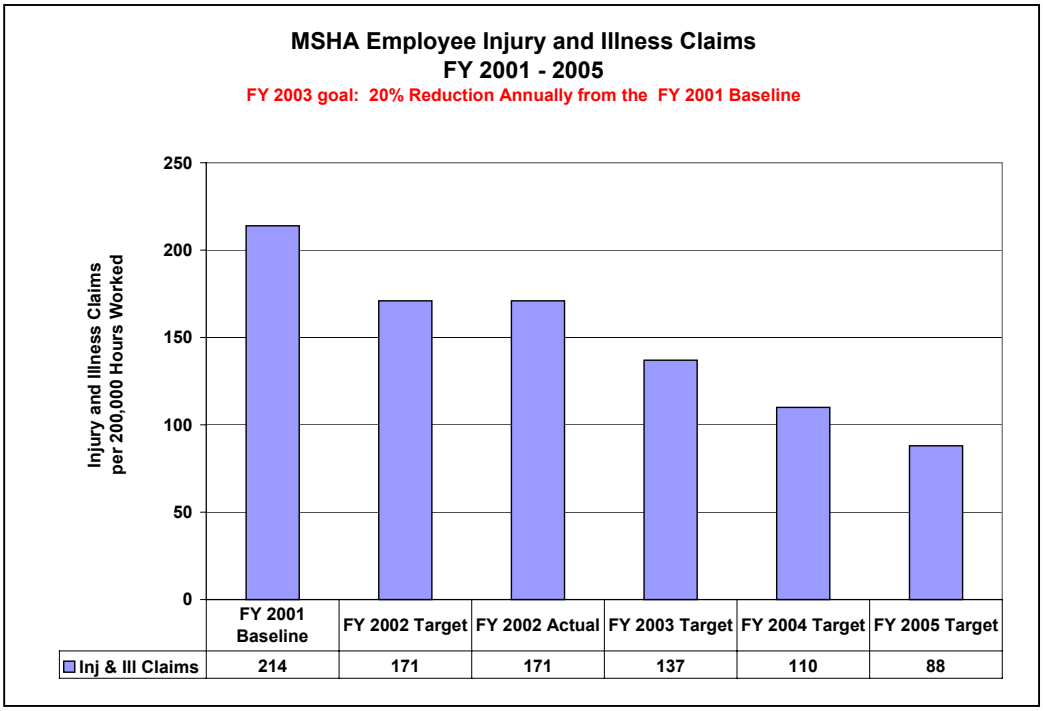
3.5 Reduce workers' compensation costs by 5 percent each year.

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.

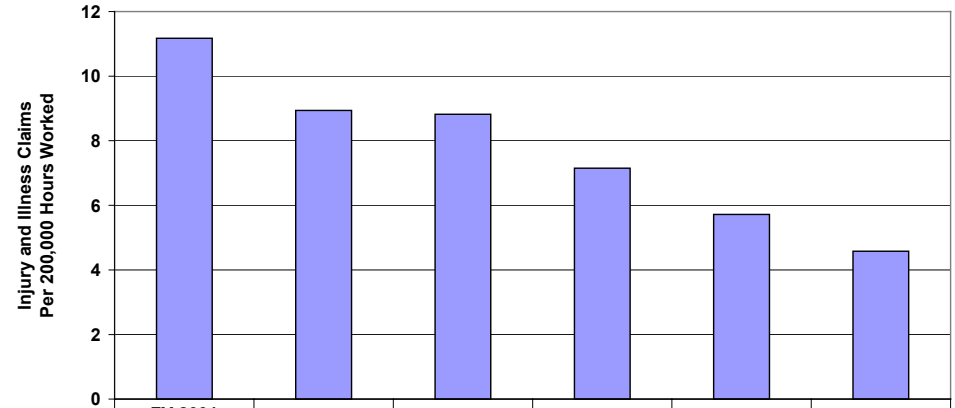
MSHA is taking action to reduce employee injuries and illnesses. Strategies include: review all accidents and analyze on-the-job injuries to identify those occurring most frequently and provide results of analysis to all program areas; workplace examinations for injury hazards and ensure prompt abatement 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 below chart and those on the following pages 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. Data for FY 2001 is used to calculate the baselines.



MSHA Employee Injury and Illness Incidence Rate
FY 2001 - 2005

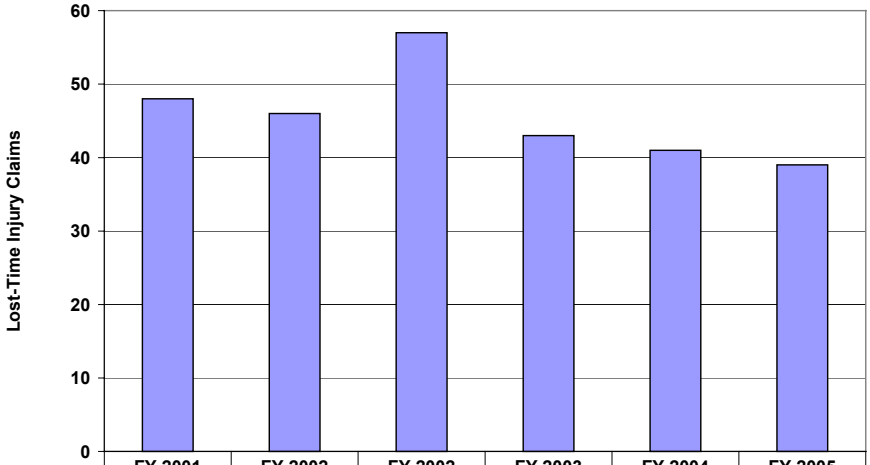
FY 2003 Goal: 20% Reduction Annually from the FY 2001 Baseline



	FY 2001 Baseline	FY 2002 Target	FY 2002 Actual	FY 2003 Target	FY 2004 Target	FY 2005 Target
Inj & Ill IR	11.17	8.94	8.82	7.15	5.72	4.58

MSHA Employee Lost-time Injury Claims
FY 2001 - 2005

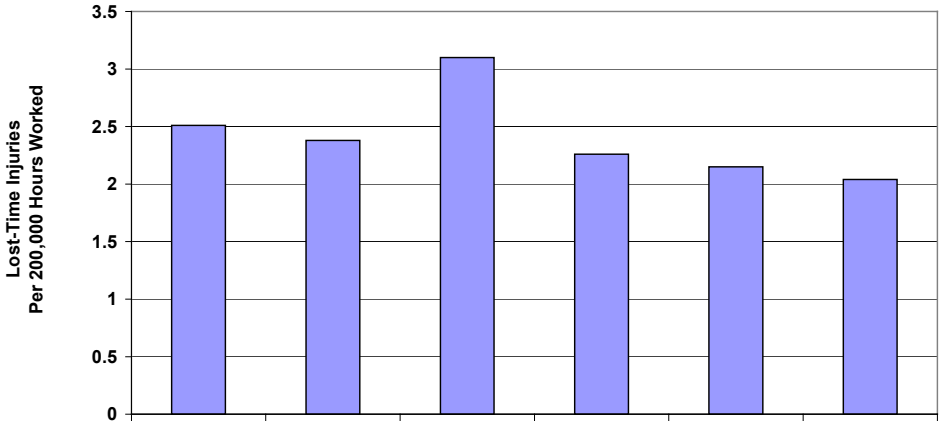
FY 2003 Goal: 5% Reduction Annually from the FY 2001 Baseline



	FY 2001 Baseline	FY 2002 Target	FY 2002 Actual	FY 2003 Target	FY 2004 Target	FY 2005 Target
Lost-Time Injury Claims	48	46	57	43	41	39

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

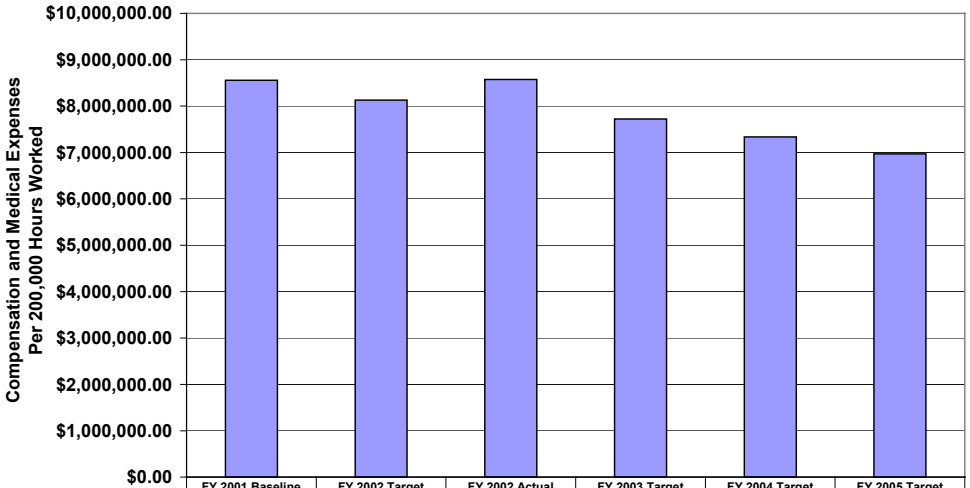
FY 2003 Goal: 5% Reduction Annually from the FY 2001 Baseline



	FY 2001 Baseline	FY 2002 Target	FY 2002 Actual	FY 2003 Target	FY 2004 Target	FY 2005 Target
Lost-Time Injury IR	2.51	2.38	3.10	2.26	2.15	2.04

MSHA Employee Compensation and Medical Expenses
FY 2001 - 2005

FY 2003 Goal: Reduce Medical and Compensation Costs by 5% annually



	FY 2001 Baseline	FY 2002 Target	FY 2002 Actual	FY 2003 Target	FY 2004 Target	FY 2005 Target
Compensation Expenses	$8,555,913.71	$8,128,118.02	$8,572,681.22	$7,721,712.12	$7,335,626.52	$6,968,845.19

Strategies to accomplish goals:

- 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 and create a safety and health awareness among all MSHA employees. Establish health and safety goals as a critical element in all managers' and supervisors' performance standards. Update and disseminate the Agency employee 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 personnel to share information.

- Ensure managers and supervisors fully understand OWCP rules and regulations that 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, or assistive technologies and provide technical assistance to all MSHA districts to manage workers compensation programs, and 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. Provide districts support, guidance and assistance to process claims and to bring employees back to work expediently.

- 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.

DOL Information Technology (IT) Outcome Goal: *Improve Organizational Performance and Communication through Effective Deployment of Information Technology Resources*

MSHA Strategic Goal 4: *Improve Organizational Performance and Communication 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.

MSHA Performance Goals:

4.1 Continue implementation of MSHA's Standardized Information Systems (MSIS).

4.2 Continue MSHA's network expansion.

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 its 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; migration of ten major mainframe-based computer applications and management information systems and several related non-mainframe database applications for conversion to a common platform in order to provide efficient and timely access to critical information.

Strategies to accomplish goals:

- Continue development of a single integrated database application system for managing and utilizing MSHA data in a web-based environment (MSIS).

- 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 personnel 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.

DOL Information Security (IS) Outcome Goal: *Improve Organizational Performance and Communication through Effective Deployment of Information Technology Resources*

MSHA 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

MSHA Performance Goal:

5.1 Implement security procedures and controls and communicate them to workforce.

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.

Strategies to achieve goals:

- Implement security policy, procedures and controls.

- Implement, maintain, and evaluate effective security awareness training program for all employees.

- Distribute security policies and procedures to all personnel, including system/application rules and expected behaviors. Require users to periodically sign a statement acknowledging their awareness and acceptance of responsibility for security.

- 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, 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, anti-virus programs, information security, auditing and software updates to include security-specific revisions to the Core Load.

- 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.

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.

Section 4: Relationship between Goals in the Annual Performance Plan and the Strategic Plan

MSHA's annual performance objectives are near-term statements of the strategic plan objectives. They are linked to each of the Agency's program activities in support of the MSHA strategic goals to assure safe and healthy working conditions in the Nation's mines. The chart below provides a summary of strategies and responsible program areas. The program areas are: Coal Mine Safety and Health (C), Metal and Nonmetal Safety and Health (M), Standards (S), Educational Policy and Development (E), Technical Support (T), and Assessments (A). The Program Administration program area provides overall support to the Agency.

Summary of Strategies	Program Areas					
	C	M	S	E	T	A
Conduct focused enforcement, increased compliance assistance, and increase interaction with miners and operators during the inspection process.	●	●				
Investigate fatal accidents and serious nonfatal accidents activities focusing on root causes of persistent safety problems and help mining community address these problems	●	●		●	●	
Assist industry and labor in solving safety and health problems, conduct accident prevention activities during inspection process, and focus on types of hazards associated with processes at each mine.	●	●		●	●	
Expand existing outreach efforts, shift emphasis from after-the-fact enforcement to compliance assistance and prevention - working proactively with mining community and sharing best practices information	●	●	●	●	●	●
Provide onsite individual mine safety training program evaluations, distribute safety training materials and provide best practices information tailored to individual mining operations				●		
Expand the State Grants Program and use it to continue to work cooperatively with the mining industry, labor and the states to improve training programs aimed at preventing accidents and occupational illnesses.				●		
Ensure that all miners are provided necessary training	●	●		●		
Provide training for MSHA safety and health personnel in safety systems management, awareness of state-of-the-art mining methods, and working knowledge of new mining equipment.	●	●		●	●	
Engage stakeholders in discussion of MSHA's regulatory plan/agenda with public hearings and comment period. Examine all regulations for effectiveness.	●	●	●	●	●	
Provide timely approval/certification of mining plans and equipment.	●				●	
Ensure new technologies are fully explored and expand strategic partnerships in research activities.					●	
Improve overall timeliness and effectiveness of debt collection activities and improve debt collection for delinquent operators.						●
Help improve understanding of the civil penalty assessment process including appeals procedures.				●		●

Section 5: Consultation with Stakeholders

MSHA's external stakeholders include: Congress, miners and labor organizations, mine operators and trade associations, independent contractors who perform work on mine property, manufacturers who sell equipment and products for use in mines, persons who provide services such as training for miners or emergency rescue capabilities to mines, States that participate in MSHA's State Grant program, and other Federal agencies.

MSHA stays in constant contact with its stakeholders through meetings with interest groups in the mining community to clearly identify their expectations and concerns and implement changes that will result in positive measurable outcomes. Other avenues of stakeholder feedback are regional and national forums, as well as rulemaking hearings in the mining community.

MSHA held dozens of outreach meetings with stakeholders in 2002, in order to obtain input on how to improve safety and health conditions of our nation's miners. Twenty-four stakeholders meetings were held by Coal Mine Safety and Health districts. Metal and Nonmetal management officials attended over thirty major stakeholder meetings and Metal and Nonmetal field offices held several hundred additional stakeholder meetings at individual mine sites. Hundreds of stakeholders including miners, mine operators, educators, labor unions, trade associations, equipment manufacturers and others attended these meetings. MSHA is developing an action plan that will implement certain of the suggestions received during these meetings.

The MSHA Strategic and Annual Performance Plans are placed on the MSHA website. The Internet is used as a feedback mechanism with the mining community—including direct e-mail access to the Assistant Secretary.

As a means to encourage feedback and gather input from the mining community concerning the manner in which MSHA conducts its core operations and establishes goals and objectives, district offices convene "problem solving" meetings with representatives from labor and management. The purpose of these meetings is to identify issues affecting the safety and health of miners and develop a consensus strategy for satisfactorily addressing these issues.

In a like manner, MSHA senior staff meets with representatives from industry trade associations, officials from labor organizations and corporate officials from mining companies to discuss safety and health issues which are national in scope. Often the feedback from these meetings provides MSHA with additional information and recommendations that can be incorporated in Agency enforcement training, or research strategies. MSHA expanded existing outreach efforts to identify and to communicate with historically nonparticipating audiences. Four discrete target audiences where increased communication can have a significant impact are new operators, new miners, non-participatory operators, and contractors.

Section 6: Cross-Cutting Coordination

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, U.S. Geological Survey, and the Department of Energy are some of the federal agencies with whom MSHA shares data.

The Mine Act calls for coordination on research between MSHA and NIOSH. MSHA provides NIOSH with its research needs. There is an MSHA–NIOSH Memorandum of Understanding for the joint approval of respirators. NIOSH evaluates a respirator's performance while MSHA evaluates its mine-worthiness. Because NIOSH has facilities for explosives research, MSHA evaluates NIOSH test results as part of MSHA's approval process for equipment and materials used in mines. 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. 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 Department of Treasury's Bureau of Alcohol, Tobacco, and Firearms (ATF) have a Memorandum of Understanding regarding inspections of explosive magazines at mines. MSHA safety and health compliance personnel not only conduct MSHA inspections, but also conduct ATF inspections according to that Agency's regulations requiring safe, theft-resistant storage of explosives. MSHA also coordinates with other agencies on enforcement issues; e.g.

the EPA, 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 mine safety and health personnel.

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.

MSHA coordinates with other agencies on regulatory issues (OSHA, NIOSH, and EPA).

MSHA coordinates with the Bureau of Land Management and the U.S. Forest Service on environmental and safety aspects of horizontal and vertical methane drainage holes in coal mines.

Section 7: Program Evaluation

MSHA has an extensive database of information that is available to mine operators, miners, trade associations, labor representatives, and the public. The database includes information on fatalities and injuries and is broken down for each state by type of mine and cause for each incident. This information is constantly examined for trends, especially high incidence type injuries, illnesses, or hazardous conditions where MSHA needs to dedicate its resources.

In preparation for the GPRA Annual Report, and as input to the quarterly departmental reviews, MSHA prepares a quarterly review and analysis of performance objective measures. Each review consists of data by quarter for each performance measure v. data for comparable timeframes from previous fiscal years and other data identified throughout the year that may be of interest to the Assistant Secretary. Additional information includes a review of MSHA resources, review of outputs (e.g., number of inspections), and a review of industry data. Quarterly meetings are held with the administrators for each of the program areas to discuss the goals and performance measures.

MSHA conducts periodic enforcement Accountability Reviews of district organizations. The primary purpose of these reviews is to determine if Coal Mine Safety and Health and Metal and Nonmetal Mine Safety and Health are meeting the statutorily-mandated responsibilities in accordance with Agency policies and directives. Evaluators who conduct reviews use a set of core questions that focus on functional responsibilities encompassing enforcement, training, and special investigation activities, as well as resource utilization and budgetary accountability. The results of the review are used to assess how well a district is fulfilling mandated responsibilities and effectively using resources to accomplish Agency goals and objectives. The results also are used to initiate corrective actions in district activities.

MSHA convenes periodic meetings with district managers, education and training and headquarters senior staff to identify and discuss local, regional, or national issues that impact the safety and health of miners and to recommend and/or develop strategies to address these issues.

Section 8: Data Capacity

MSHA has a significant database and collection system that captures most of the information necessary to track the goals in its Strategic Plan. These databases are the Coal Mine Safety and Health Management Information System, Metal and Nonmetal Mine Safety and Health Management Information System, Mine Accident, Injury, Illness, Employment, and Coal Production System, Educational Policy and Development System, and Assessments System. The Coal and Metal and Nonmetal Management Information Systems capture data directly from MSHA mine safety and health compliance personnel reports. The Mine Accident, Injury, Illness, Employment, and Coal Production System data is reported directly from mine operators in accordance with 30 CFR Part 50. Fatalities are an absolute measure and MSHA is alerted on a daily basis. The nonfatal-days-lost incidence rate has been collected for many years and the database is well established. For the second strategic goal, related to the health of miners, the compliance rates of metal and nonmetal mines and coal mines with the current health standards for exposures for noise, dust, and silica are 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.

- For performance measures under the strategic goal *Reduce fatalities and injuries in the Nation's mines:*

Reduce the fatal injury incidence rate by 15% per year and reduce the ALL injury incidence rate 50% below the FY 2000 baseline by the end of FY 2005; MSHA relies on mine operators and contractors to comply with legal requirements to accurately report injuries and accidents. The Code of Federal Regulations, Part 50 requires operators to mail a completed Accident, Injury, and Illness Report to MSHA within ten working days after an accident occurs or an occupation illness is diagnosed. The number of audits conducted by MSHA safety and health compliance personnel may influence the degree of compliance.

- For performance measures under the strategic goal *Reduce miners' exposure to health hazards:*

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 high-risk occupations; reduce the percentage of noise exposures above the citation level in coal and metal and nonmetal mines by 5%; MSHA's system for determining 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. Automated devices are used to weigh the safety and health compliance personnel dust samples and automatically enter 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. Metal and Nonmetal health policies, sampling procedures, and management information system are well established and reliable. Automated devices are used to weigh safety and health compliance personnel dust samples at MSHA's analytical laboratory, which has American

Industrial Hygiene Association accreditation. Computer edits assure the accuracy of management information system data input.

C For performance measures under the strategic goal *Establish MSHA as a model workplace:*

MSHA's 2002 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.

- For performance measures under the strategic goals *Improve organizational performance and enhance services provided to the public through effective deployment of information technology resources; and secure and protect information technology resources through a highly available and secure processing environment:*

MSHA is undertaking significant efforts to provide faster, more reliable information technology services, and the security program is being integrated into the business practices and ongoing programs of the Agency to provide a secure environment and ensure that information will be readily available to the public and MSHA personnel. Measures 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.

Section 9: Maintaining an Agency Strategic Management Focus

MSHA Strategic and Performance Plans

MSHA has established a framework that links program initiatives and budget requirements to achievement of strategic goals. The need to establish baselines for performance measurement has given greater focus to annual operating objectives.

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. Currently, MSHA is working with the Department of Labor's Office of the Inspector General on a pilot project, "MSHA Managerial Cost Accounting," to begin the process of linking GPRA goals to program activity costs.

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 will review 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.

In response to the rapid growth in the metal and nonmetal mining industry, additional safety and health compliance personnel are being hired to focus on accident prevention efforts to reduce workplace injuries and fatalities.

MSHA will encourage strategic planning and performance measurement by tying the Agency goals to MSHA management and employee 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.

Section 10: Conclusion

The FY 2003-2008 Strategic Plan represents an ongoing process to ensure integration of Departmental strategic priorities with Agency goals, gain greater insights into the long-term issues facing the Agency, tying them to near-term operations, and using them as a basis in budget formulation. The strategic planning process has provided the Agency a tool to turn trends and challenges in the mining environment into specific actions in protecting miner safety and health. The strategic goals and performance objectives provide employees with highly visible, tangible targets that bring a heightened sense of mission accomplishment.

MSHA has a well-defined mission. This strategic plan is evidence that the Agency has moved from an output-oriented scorecard—e.g., number of inspections, number of samples—to outcome measures that reflect the results of important safety and health initiatives that have a true impact on the Nation's miners.

Appendix A: List of Acronyms

CY = Calendar Year
CFR = Code of Federal Regulations
FY = Fiscal Year
GPRA = Government Performance and Results Act
IT = Information Technology
MSHA = Mine Safety and Health Administration
NIST = National Institute of Standards and Technologies
NIOSH = National Institute for Occupational Safety and Health
OSHA = Occupational Safety and Health Administration

Appendix B: Performance Goals and Baselines

Strategic Goal 1: Reduce fatalities and injuries in the Nation's mines	
Desired Performance Level by FY 2005	**Baseline**
1.1 Reduce the fatal injury incidence rate by 15% per year.	**1.1** FY 2003 performance evaluation will be based on the FY 2000 fatal incidence rate = .028.
1.2 Reduce the ALL injury incidence rate 50% below the FY 2000 baseline by the end of FY 2005.	**1.2** FY 2003 performance evaluation will be based on FY 2000 ALL Injury Incidence Rate = 5.07.
Strategic Goal 2: Reduce miners' exposure to health hazards	
Desired Performance Level by FY 2005	**Baseline**
2.1 Reduce the percentage of respirable dust samples in coal mines exceeding the applicable standards by 5% per year for designated occupations.	**2.1** Samples collected in FY 2002: 4,530 valid samples, 679 over the applicable standard, baseline = 15.0%
2.2 Reduce the percentage of silica samples in metal and nonmetal mines exceeding the applicable standards by 5% per year for designated high-risk occupations.	**2.2** Samples collected in FY 2001: 1,391 valid samples, 125 over the applicable standard, baseline = 9.0%
2.3 Reduce the percentage of noise exposures above the citation level in coal and metal and nonmetal mines by 5%.	**2.3** Samples collected in FY 2000 and FY 2001: 37,190 valid samples, 3,449 not in compliance, baseline = 9.3%

Strategic Goal 3: Establish MSHA as a Model Workplace	
Desired Performance Level by FY 2005	**Baseline**
3.1 Competitively source 5% of commercially competitive functions.	**3.1** FY 2000 FTE lists 452 identified positions.
3.2 Convert 20% of service contracts over $25,000 to performance-based contracts.	**3.2** FY 2002 amount eligible - $14.9M.
3.3 Reduce MSHA employee injury and illness claims and incidence rate by 20% below the projected baseline.	**3.3** MSHA employee injury and illness claims = 214, injury and illness rate = 11.17.
3.4 Reduce MSHA employee injury incidence rate for lost time injuries by 5% per year.	**3.4** MSHA employee lost-time injuries = 48; MSHA employee lost-time injury incidence rate = 2.51.
3.5 Reduce workers' compensation costs by 5% per year.	**3.5** MSHA Workers' Compensation costs in FY 2001 = $8,555,913.

Strategic Goal 4: Improve Organizational Performance and Enhance Services Provided to the Public through Effective Deployment of Information Technology Resources	
Desired Performance Level by FY 2005	**Baseline**
4.1 Continue implementation of MSHA's Standardized Information System (MSIS).	**4.1** Baseline is releases #1 and #2 scheduled for completion FY 2002.
4.2 Continue MSHA's network expansion.	**4.2** In FY 2002 – 35 field offices connected.

Strategic Goal 5: Secure and Protect Information Technology Resources though a Highly Available and Secure Processing Environment	
Desired Performance Level by FY 2005	**Baseline**
5.1 Implement security procedures and controls and communicate to the workforce.	**5.1** Security deficiencies as identified in security self-assessment and internal and external audit results.

Appendix C: Data Capacity

Strategic Goal 1: Reduce fatal injury incidence rate and ALL injury incidence rate in the Nation's mines			
Performance Goal	**Indicator**	**Data Source**	**Comment**
1.1 Reduce the fatal incidence rate 15% annually.	Number of mining fatalities.	Mine Accident, Injury, Illness, Employment, and Coal Production System (30 CFR Part 50)	For FY 2003, the goals, indicators and baselines have been revised in accordance with a new strategic intent and challenge to create a greater impact towards lowering fatalities and injuries through partnerships with the mining community, states and MSHA.
1.2 Reduce the ALL injury incidence rate 50% below the FY 2000 baseline by the end of FY 2005.	The mine industry nonfatal-injury incidence rate.	Mine Accident, Injury, Illness, Employment, and Coal Production System (30 CFR Part 50)	MSHA has a significant database and collection system. MSHA relies on mine operators and contractors to comply with legal requirements to accurately and timely report injuries and accidents.
Strategic Goal 2: Reduce miners' exposure to health hazards			
Desired Performance Level by FY 2005	**Indicator**	**Data Source**	**Comment**
2.1 Reduce the percentage of respirable dust samples exceeding the applicable standards by 5% per year for designated occupations in coal mines.	Compliance with the coal mine dust standard.	Coal Mine Safety and Health Management Information System.	Respirable dust is one of the three major health hazards to miners. Prevention of black lung disease is a priority health initiative.

2.2 Reduce the percentage of silica samples exceeding the applicable standards by 5% per year for high-risk occupations in metal and nonmetal mines.	Compliance with the permissible level for silica exposure in metal and nonmetal mines.	Metal and Nonmetal Mine Safety and Health Management Information System.	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.
2.3 Reduce the percentage of noise exposures above the citation level in coal and metal and nonmetal mines by 5%.	Compliance with permissible level for noise in all mines.	Coal and Metal and Nonmetal Mine Safety and Health Management Information System.	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.

Strategic Goal 3: Establish MSHA as a Model Workplace

Performance Goal	Indicator	Data Source	Comment
3.1 Competitively source 5% of commercially competitive functions.	Percentage of MSHA commercial competitive or commercial exempt FTE on DOL's FAIR inventory included in completed competitions or direct conversions.	DOL's Federal Activities Inventory Reform (FAIR) Act inventory, completed A-76 studies, and completed direct conversions to private sector.	Competitive sourcing is one of the President's Management Agenda initiatives.
3.2 Convert 20% of service contracts over $25,000 to performance-based contracts.	Number of performance-based contracts awarded above $25,000.	Federal Procurement Data System.	MSHA is improving procurement management in line with government-wide reform initiatives.
3.3 Reduce MSHA employee injury and illness claims and incidence rate by 20% below the projected baseline.	MSHA employee injuries, employee injury incidence rate (IR= number of injuries x 200,000 / hours worked).	OWCP database, injuries received by OWCP in FY 2000, and employee work hours provided by DOL CFO.	Ensuring internal employee safety ad health is a major concern of the Agency.
3.4 Reduce MSHA employee injury incidence rate for lost time injuries by 5% per year.	MSHA employee lost time injury incidence rate (IR= number of injuries x 200,000 / hours worked).	OWCP database, injuries and illnesses resulting in lost time as reported by OWCP in FY 2000.	Ensuring internal employee safety ad health is a major concern of the Agency.

3.5 Reduce workers' compensation costs by 5% per year.	Compliance with OWCP regulations.	OWCP database – compensation costs incurred in fiscal year 2001.	Increasing compensation costs are a major concern of the Agency.
Strategic Goal 4: Improve Organizational Performance and Enhance Services Provided to the Public through Effective Deployment of Information Technology			
Desired Performance Level by FY 2005	**Indicator**	**Data Source**	**Comment**
4.1 Continue implementation of MSHA's Standardized Information System (MSIS).	Deployment of releases.	Certification and accreditation documentation.	MSHA is undertaking significant efforts to provide faster, more reliable information technology services.
4.2 Continue MSHA's network expansion.	Number of offices connected.	Feedback from program areas, internal and external system audits.	Improved access to information will improve mission performance.
Strategic Goal 5: Secure and Protect Information Technology Resources through a Highly Available and Secure Processing Environment			
Desired Performance Level by FY 2005	**Indicator**	**Data Source**	**Comment**
5.1 Implement security procedures and controls and communicate them to the workforce. (Attain Chief Information Officer (CIO) Council's Security Assessment Framework – Level 4).	Compliance with Security Assessment Framework – Level 4.	Federal Information Security Self-Assessment, internal and external audits.	This is a major initiative being undertaken by DOL. MSHA is working aggressively to assure data and systems are not vulnerable to security threat.