

## Appendix 4 Performance Goal Details

### Performance Goal 1.1A (ETA) – PY 2002

Increase the employment, retention, and earnings of individuals registered under the WIA Adult program.

PY 2000 – 2001: Same as PY 2002

#### Results

**PY 2002:** The goal was not achieved. 74% of those registered for the WIA Adult program were employed in the first quarter after program exit; 84% of those employed in the first quarter after program exit were still employed in the third quarter after program exit. The average earnings increase was \$2,900 for those employed in the third quarter after program exit.

**PY 2001:** The goal was achieved. Of those registered and employed in the first quarter after program exit, 79% were employed in the third quarter after program exit, with increased average earnings of \$3,555.

**PY 2000:** The goal was achieved. Of those registered under the WIA adult program and employed in the first quarter after exit, 78% were employed in the third quarter after program exit, with increased average earnings of \$3,684.

#### Indicator

**PY 2002:**

- 70% will be employed in the first quarter after program exit;
- 80% of those employed in the first quarter after program exit will be employed in the third quarter after program exit; and
- The average earnings change will be \$3,423 for those who are employed in the first quarter after program exit and are still employed in the third quarter after program exit.

**PY 2001:**

- 68% will be employed in the first quarter after program exit;
- 78% of those employed in the first quarter after program exit will be employed in the third quarter after program exit; and
- The average earnings change will be \$3,361 for those who are employed in the first quarter after program exit and are still employed in the third quarter after program exit.

**PY 2000:**

- 67% will be employed in the first quarter after program exit;
- 77% of those employed in the first quarter after program exit will be employed in the third quarter after program exit; and
- The average earnings change will be \$3,264 for those who are employed in the first quarter after program exit and are still employed in the third quarter after program exit.

#### Data Source

Quarterly State WIA reports in the Enterprise Information Management System and Unemployment Insurance Wage Records.

#### Baseline

PY 2000, the first full year of WIA implementation, constitutes the baseline year at this time. Targets are derived from the agreed upon levels of performance for all States, and will be regularly reviewed for appropriateness and rigor as performance data using the new source of UI wage records becomes available.

#### Comment

Beginning in PY 2004, the Department will implement the common measures for Federal job training and employment programs. For adult programs, these measures are entered employment, retention, earnings increase, and efficiency. With WIA reauthorization, the common measures for the WIA adult program, the WIA dislocated worker program, and the labor exchange activity, will be applied on a consolidated basis, measuring in the aggregate the overall performance of the workforce system, rather than the performance of these three individual programs.

## Performance Goal 1.1B (ETA) – PY 2002

## Improve the outcomes for job seekers and employers who receive public labor exchange services.

PY 1999 – 2001: Same as PY 2002

## Results

PY 2002: The goal was not achieved.

- Due to the transition to a new measurement and reporting system, ETA will not have a full set of nation-wide employment and retention data until next year. Beginning in FY 2004, States will begin reporting to DOL the entered employment data for registrants served in the first quarter of PY 2002. Outcome data for registrants served in the other quarters of PY 2002 will be reported in subsequent quarterly reports.
- 10.2 million openings were listed with the public labor exchange: 6.1 million job openings were listed with the State Workforce Agencies and 4.1 million job openings were posted directly on America's Job Bank.

PY 2001: The goal was not achieved.

- There is no prior Employment Service experience in the use of the employment retention indicator for the labor exchange. Beginning in PY 2002, States will use Unemployment wage record data to measure employment retention for the new performance measures.
- The number of job openings listed increased by eight percent as opposed to the target of 10%; 11.8 million openings were listed with the public employment service in Program Year 2001; 7.2 million job openings were listed with the State Workforce Agencies and 4.6 million job openings were posted directly on America's Job Bank.

PY 2000: The goal was achieved.

- 3.9 million (25%) of job seekers who received labor exchange services entered employment;
- The number of job openings listed increased by 26.5% over PY 1999, including 6.9 million with State Workforce Agencies and 5.4 million with America's Job Bank; and
- 66,563 new employers registered with America's Job Bank.

PY 1999: The goal was achieved (all targets reached).

## Indicator

PY 2002:

- 55% of job seekers registered with the public labor exchange will enter employment with a new employer by the end of the second quarter following registration;
- 70% of job seekers will continue to be employed two quarters after initial entry into employment with a new employer; and
- The number of job openings listed with the public labor exchange (both SWAs and AJB) will be at least the number obtained in PY 2001.

PY 2001:

- 76% of job seekers will have unsubsidized jobs six months after initial entry into employment; and
- The total number of job openings listed with the public employment service, including both those listed with State Workforce Agencies and those listed directly with America's Job Bank via the Internet, will increase by 10 %.

PY 2000:

- Increase by one percentage point the share of applicants who receive labor exchange services that enter employment, resulting in more than 3.2 million Employment Service applicants entering employment;
- Increase by 15%, the total number of job openings listed with the public employment service, including both those listed with State Employment Security Agencies (SESAs) and those listed directly with America's Job Bank (AJB) via the Internet; and
- Increase the number of new employers registered with America's Job Bank from 51,000 to 60,000.

PY 1999:

- Increase by one percentage point the share of applicants who receive labor exchange services that enter employment; and
- Increase by 20%, the total number of job openings listed with the public employment service, including both those listed with State Employment Security Agencies (SESAs) and those listed directly with America's Job Bank (AJB) via the Internet.

## Data Source

State reports, UI wage records, and AJB Center Reports.

## Baseline

New labor exchange performance measures and revised reporting requirements were fully implemented effective July 1, 2002. As part of the transition to a new labor exchange performance measurement system, DOL set PY 2002 performance targets for the retention and entered employment indicators as estimates that were based on studies conducted by the Department using PY 1999 and PY 2000 data to simulate the new measures. The Department plans to establish baselines for the entered employment and retention rates for the labor exchange program using outcomes for participants served during PY 2002, but reported to DOL by States during PY 2003.

Comment

Beginning in PY 2004, the Department will implement the common measures for Federal job training and employment programs. For adult programs, these measures are entered employment, retention, earnings increase, and efficiency. With WIA reauthorization, the common measures for the WIA adult program, the WIA dislocated worker program, and the labor exchange activity, will be applied on a consolidated basis, measuring in the aggregate the overall performance of the workforce system, rather than the performance of these three individual programs.

Performance Goal 1.1C (ETA) – FY 2003

Strengthen the registered apprenticeship system to meet the training needs of business and workers in the 21st Century.

FY 2002: Same as FY 2003

Results

FY 2003: The goal was substantially achieved.

- Number of new apprentices: 130,615
- Number of new programs in new and emerging industries: 359

FY 2002: The goal was achieved.

- The number of new registered apprenticeship programs increased to 2,952, an increase of 75% over the established baseline.
- The number of new businesses involved in apprenticeship increased to 5,883, an increase of 99% over the established baseline.
- The number of new apprentices increased to 129,388, an increase of 64% over the baseline.
- The number of new programs in new and emerging industries – at a minimum Information Technology, Health Care and Social Services – increased to 326, an increase of 23% over the baseline.

Indicator

FY 2003:

- Increase the number of new apprentices over the established baseline from 78,770 to 133,909; and
- Increase the number of new programs in new and emerging industries – at minimum Information Technology, Health Care and Social Services – over the established baseline from 266 to 359.

FY 2002:

- Increase the number of new apprenticeship programs over the established baseline by 10%;
- Increase the number of new businesses involved in apprenticeship over the established baseline by 10%;
- Increase the number of new apprentices over the established baseline by 10%; and
- Increase the number of new programs in new and emerging industries – at minimum Information Technology, Health Care and Social Services – over the established baseline by 10%.

Data Source

Registered Apprenticeship Information System (RAIS) established in February 2002, and Apprenticeship Information Management System (AIMS)

Baseline

DOL established the baseline for each of the following indicators using the average of FYs 1999, 2000 and 2001 data:

- New apprenticeship programs: 1,685
- New businesses involved in apprenticeship: 2,953
- New apprentices: 78,770
- New programs in new and emerging industries: 266

Comment

Performance Goal 1.1D (ODEP) – FY 2003

FY 2003: Implement new demonstration programs, through grants, designed to develop and test strategies to address the special needs of persons with significant disabilities.

FY 2002: Implement 12 demonstration programs, through grants, designed to develop and test strategies and techniques that need to be implemented in order for One-Stop Centers and WIA youth programs to effectively serve persons with significant disabilities.

Results	<p>FY 2003: The goal was not achieved. A total of 42 pilot projects were initiated. Sixteen pilot projects focus on Olmstead populations, while 21 focus on Youth (seven of these are new technology skills projects) and five focus on Customized Employment.</p> <p>FY 2002: The goal was achieved. Sixteen demonstration programs for One-Stop Centers and WIA Youth programs were implemented. Additionally, 22 demonstration programs in other areas related to employment of adults and youth with disabilities were implemented.</p>
Indicator	<p>FY 2003: The number of pilot projects initiated and the program areas.</p> <ul style="list-style-type: none"> <li>● Implement 30 new Olmstead grant projects, targeted at persons with significant disabilities who are institutionalized.</li> <li>● Implement 12 youth grant projects (six of which are new technology skills projects) to assist youth through the One-Stop Centers and the WIA youth programs.</li> </ul> <p>FY 2002: The number of pilot projects initiated and the program areas.</p>
Data Source	ODEP Program Management Division.
Baseline	Available at the close of FY 2004.
Comment	ODEP expanded the focus of its 2003 performance goal beyond initiating projects focused on Olmstead populations and Youth.

### Performance Goal 1.1E (VETS) – FY 2003

#### Increase the employment and retention rate of veteran job seekers registering for public labor exchange services.

FY 2002: 34% of veteran job seekers registering for public labor exchange services will be employed in the first or second quarter following registration.

FY 2001: 27% of those veterans and other eligible persons registering for public labor exchange services will enter employment each year through assistance provided by VETS' funded staff and the Wagner-Peyser funded systems.

FY 2000: 27% of veterans that register with the Public Employment Service will enter employment and for DVOP and LVER staff the ratio will be 30%.

Results	<p>FY 2003: The goal was not measured. A major transition was underway during FY 2003 to a new system of measuring and reporting the outcomes of labor exchange services for veterans. Performance in response to the FY 2003 goal will be treated in the FY 2004 Annual Performance and Accountability Report.</p> <p>FY 2002: The goal was achieved. The entered employment rate for veterans assisted by the public employment service system was 42.84%.</p> <p>FY 2001: The goal was achieved. The entered employment rate for veterans assisted by the public employment service system was 33%.</p> <p>FY 2000: The goal was achieved. For DVOP and LVER staff, the entered employment rate was 32%. The entered employment rate for veterans helped by the public employment service system was 32%.</p>
Indicator	<p>FY 2003:</p> <ul style="list-style-type: none"> <li>● 58% of veteran job seekers will be employed in the first or second quarter following registration.</li> <li>● 72% of veteran job seekers will continue to be employed two quarters after initial entry into employment with a new employer.</li> </ul> <p>FY 2000-2002: Percent of veterans and other eligible persons served by DVOP and LVER specialists who enter employment.</p>
Data Source	State Workforce Agency administrative data and State UI wage record information.
Baseline	PY 2003
Comment	<p>During FY 2003, a major transition was underway within the Department to a new system for measuring and reporting the outcomes of public labor exchange services. This new system is based on a revised version of the ETA 9002 information collection, designed to be consistent with the common measures. Due to this transition, the historic results reported previously no longer provide comparable data on outcomes. Accordingly, the data to be reported during FY 2004 will establish new baseline performance levels. In addition, those results will be collected, compiled, and reported on a program year basis, rather than the fiscal year basis applicable to historic results. Therefore, the results to be included in the FY 2004 Annual Performance and Accountability Report will reflect those outcomes reported during PY 2003 that respond to the performance goal cited above, which was established in the FY 2003 Annual Performance plan.</p> <p>Because of the lack of nationwide performance results for FY 2003, ETA and VETS jointly sponsored a pilot data collection initiative in seven states. This pilot applied the new method of measuring outcomes to a cohort of registrants served previously by the public labor exchange. The average rate of entry to employment in the sampled states among the veteran registrants 57.4% and their average rate of retention in employment was 75.4%. These sample results are not statistically representative of the nationwide outcomes experienced by veterans served by the public labor exchange. However, these results indicate that the goal levels established for FY 2003 and future fiscal years are attainable.</p>

Performance Goal 1.1F (VETS) – FY 2003

At least 54.5% of veterans enrolled in Homeless Veterans Reintegration Project (HVRP) grants enter employment.

FY 2002: At least 54% of veterans enrolled in Homeless Veterans Reintegration Project grants enter employment. A baseline retention rate will be established.

FY 2001: At least 50% of veterans enrolled in Homeless Veterans Reintegration Project grants enter employment.

Results

FY 2003: The goal was achieved. During FY 2003, 60.3% of the homeless veteran participants served by HVRP grantees successfully entered employment.

FY 2002: The goal was not achieved. The FY 2002 entered employment rate was 54.4%, exceeding the target of 54%. However, the baseline for retention was not established.

FY 2001: The goal was achieved. The entered employment rate was 54%

Indicator

Percentage of veterans enrolled in Homeless Veterans Reintegration Projects entering employment.

Data Source

Reports submitted by VETS grantees.

Baseline

FY 1999: 54%

Comment

During FY 2003, the Department implemented a policy of awarding HVRP grants on the basis of a twelve-month performance period that begins each year on July 1 and ends the following year on June 30. Performance achieved during this transition year (July 1, 2003 - June 30, 2004) will be included in the FY 2004 Annual Performance and Accountability Report.

Performance Goal 1.2A (ETA) – PY 2002

Increase entrance and retention of youth registered under the WIA youth program in education or employment.

PY 2000 – 2001: Same as PY 2002

Results

PY 2002: This goal was achieved. 55% of the 14-18 year-old youth who entered the program without a diploma or equivalent attained a secondary school diploma or equivalent by the first quarter after exit; 67% of the 19–21 year-old youth were employed in the first quarter after exit; and 80% of the 19–21 year-old youth employed in the first quarter after exit were employed in the third quarter after program exit.

PY 2001: The goal was achieved. Of the 14-18 year-old youth, 50.2% were either employed, in advanced training, post-secondary education, military service or apprenticeships in the third quarter after program exit. Of the 19-21 year-old youth, 75% were employed in the third quarter after program exit.

PY 2000: The goal was substantially achieved (according to preliminary data). Of the 14–18 year-old youth, 47.4% were either employed, in advanced training, post-secondary education, military service, or apprenticeships in the third quarter after program exit. Of the 19–21 year-old youth, 74.4% were employed in the third quarter after program exit.

Indicator

PY 2002:

- 51% of the 14-18 year-old youth who enter the program without a diploma or equivalent, will attain a secondary school diploma or equivalent by the first quarter after exit;
- 63% of the 19–21 year-old youth will be employed in the first quarter after exit; and
- 77% of the 19–21 year-old youth employed in the first quarter after exit will be employed in the third quarter after program exit.

PY 2001:

- 50% of the 14–18 year-old youth will be either employed, in advanced training, post-secondary education, military service, or apprenticeships in the third quarter after program exit; and
- 75% of the 19–21 year-old youth employed in the first quarter after exit will be employed in the third quarter after program exit.

PY 2000:

- 50% of the 14–18 year-old youth will be either employed, in advanced training, post-secondary education, military service, or apprenticeships in the third quarter after program exit; and
- 70% of the 19–21 year-old youth employed in the first quarter after exit will be employed in the third quarter after program exit.

Data Source

Quarterly State WIA reports included in the Enterprise Information System (EIMS) and Unemployment Insurance wage records.

<b>Baseline</b>	<p>Annual report data from PY 2000 and PY 2001 were averaged in order to establish the baseline for each of these measures. Using this methodology the baselines are as follows:</p> <ul style="list-style-type: none"> <li>● Younger youth diploma attainment rate: 47%</li> <li>● Older youth employment rate: 66%</li> <li>● Older youth retention rate: 78%</li> </ul>
<b>Comment</b>	<p>Beginning in PY 2004, the Department will implement the common measures for Federal job training and employment programs. For youth programs, these measures are placement in employment or education, attainment of a degree or certificate, and literacy and numeracy gains. Upon implementation of the common measures, proposed performance targets will be reviewed and may be revised for the WIA youth program.</p>

### Performance Goal 1.2B (ETA) – PY 2002

#### Increase participation, retention, and earnings of Job Corps graduates in employment and education.

PY 2000 – 2001: Same as PY 2002

PY 1999: Increase participation and earnings of Job Corps graduates in employment and education.

<b>Results</b>	<p><b>PY 2002:</b> This goal was not achieved, although two of the four targets were substantially reached. 87% of Job Corps graduates entered employment or enrolled in education; Graduates with jobs were employed at average hourly wages of \$8.03; 63% continued to be employed or enrolled in education six months after their initial placement date; and the number of students who attained high school diplomas while enrolled in Job Corps increased by 96% (6,381) from PY 2001.</p> <p><b>PY 2001:</b> The goal was substantially achieved. 90% of Job Corps graduates got jobs or were enrolled in education at an average hourly wage of \$7.96. 64% of graduates continued to be placed six months after their initial placement date.</p> <p><b>PY 2000:</b> The goal was substantially achieved. 91% of Job Corps graduates got jobs or pursued education at an average hourly wage of \$7.97. 67% still had a job or were pursuing education after 90 days.</p> <p><b>PY 1999:</b> The goal was achieved. 88.3% of Job Corps graduates entered employment or enrolled in education. For those placed in jobs, the average hourly wage was \$7.49. 71.3% of graduates continued to be employed or enrolled in education 90 days after their initial placement date.</p>
<b>Indicator</b>	<p><b>PY 2002:</b></p> <ul style="list-style-type: none"> <li>● 90% of Job Corps graduates will enter employment or be enrolled in education;</li> <li>● 65% will continue to be employed or enrolled in education six months after their initial placement date;</li> <li>● Graduates with jobs will be employed at average hourly wages of \$8.20; and</li> <li>● The number of students who attain high school diplomas while enrolled in Job Corps will increase by 20% from PY 2001.</li> </ul> <p><b>PY 2001:</b></p> <ul style="list-style-type: none"> <li>● 85% of Job Corps graduates will get jobs with entry average hourly wages of \$7.25 or be enrolled in education;</li> <li>● 70% will continue to be employed or enrolled in education six months after their initial placement date.</li> </ul> <p><b>PY 2000:</b></p> <ul style="list-style-type: none"> <li>● Increase the percent of Job Corps graduates who get jobs or pursue education to 85%;</li> <li>● Those who get jobs will have an average entry wage increase from the previous year and 70% will still have a job or will be pursuing education after 90 days.</li> </ul> <p><b>PY 1999:</b></p> <ul style="list-style-type: none"> <li>● 75% of Job Corps trainees will get jobs or pursue further education, with those obtaining jobs having an average starting wage of \$6.50 per hour.</li> </ul>
<b>Data Source</b>	<p>Job Corps Management Information System.</p>
<b>Baseline</b>	<p>Baseline data for the four Program Year 2000 indicators are derived from PY 2001 performance results; as follows:</p> <ul style="list-style-type: none"> <li>● Graduate employment rate: 89%</li> <li>● Graduate average hourly wage at entered employment: \$7.96</li> <li>● Employment/education retention rate: 64%</li> <li>● Number of high school diplomas: 3,260</li> </ul>

Comment

Job Corps targets severely disadvantaged youth with a variety of barriers to self-sufficiency, including deficiencies in education and job skills. To achieve the enhanced quality of placement and job retention required by the Workforce Investment Act, in PY 2005, Job Corps will focus resources on program improvements that enhance the full Job Corps experience for students, from reinforced outreach and admission strategies and center program effectiveness to intensified center and post-center career development support.

Beginning in PY 2004, the Job Corps will implement the common measures for Federal job training and employment programs. For youth programs, these measures are placement in employment or education, attainment of a degree or certificate, and literacy and numeracy gains. Upon implementation of common measure, proposed performance targets will be reviewed and may be revised.

Performance Goal 1.2C (ETA) – PY 2002

Increase retention of Youth Opportunity Grant participants in education, training, or employment.

PY 2001: Same as PY 2002.

Results

PY 2002: This goal was not achieved.

- Younger Youth diploma attainment rate: 46%
- Older youth entered employment rate: 50%
- Older youth employment retention rate: 78%

PY 2001: Not measured.

Indicator

PY 2002:

- 51% of the 14-18 year-old youth who enter the program without a diploma or equivalent will attain a secondary school diploma or equivalent by the first quarter after exit;
- 63% of the 19–21 year-old youth will be employed in the first quarter after exit; and
- 77% of the 19–21 year-old youth employed in the first quarter after exit will be employed in the third quarter after program exit.

PY 2001:

- 50% of the 14–18 year-old participants placed in employment, the military, advanced training, post-secondary education, or apprenticeships will be retained at six months.
- 70% of the 19–21 year-old participants employed in the first quarter after exit will be employed in the third quarter after program exit.

Data Source

Youth Opportunity Grant program grantee reports and Unemployment Insurance wage records.

Baseline

PY 2002 is the first year in which DOL is reporting against the indicators for Youth Opportunity Grants. With DOL's limited experience serving a largely out-of-school youth population, the Department used baselines from the WIA youth formula-funded program to set performance targets for the Youth Opportunity Grant program.

Comment

The final year of funding for the Youth Opportunity Grant Program will be FY 2005.

Data for the younger youth diploma rate represents complete data from all youth opportunity grantees. However, data for the older youth entered employment rate and older youth employment retention rate does not include data from all youth opportunity grantees. Due to problems with local grantees obtaining access to State Unemployment Insurance (UI) wage records, many of the youth opportunity grantees are unable to report on the UI-based measures. Grantees continue to work with States to access the wage records, and as more data becomes available DOL will update the status of these two measures.

Performance Goal 1.3A (BLS) – FY 2003

Produce and disseminate timely, accurate, and relevant economic information.

FY 1999-2002: Same as FY 2003.

Results

FY 2003: The goal was achieved. See table below for detailed results.

FY 2001-FY 2002: The goal was achieved.

FY 2000: The goal was substantially achieved. BLS missed the timeliness target for the Employment Cost Index and the accuracy target for the Producer Price Index.

FY 1999: The goal was not achieved. BLS missed the timeliness targets for the National Labor Force; Employment, Hours, and Earnings; and Producer Price Index; and the accuracy target for the Producer Price Index.

Program Area	Dimension	Indicator	Target	Result
National Labor Force	Timeliness	Percentage of releases that was prepared on time.	100%	100%
	Accuracy	Number of months that a change of at least 0.25 percentage point in the monthly national unemployment rate was statistically significant at the 90% confidence level.	12	12
Employment, Hours, and Earnings	Timeliness	Percentage of releases that was prepared on time.	100%	100%
	Accuracy	Root mean square error of total nonfarm employment (a measure of the amount of revision).	< 70,000	47,000 <sup>1</sup>
Consumer Price Index	Timeliness	Percentage of releases that was prepared on time.	100%	100%
	Accuracy	Number of months that the standard error on the 12-month change in the U.S. City Average All Items CPI-U Index was 0.25 percentage point or less.	12	12
Producer Price Index	Timeliness	Percentage of releases that was prepared on time.	100%	100%
	Accuracy	Percent of domestic output, within the scope of the PPI, which the PPI covers: Goods Produced	85.1%	85.1%
		Services Produced	54.0%	54.0%
Total Production		63.3%	63.3%	
U.S. Import and Export Price Indexes	Timeliness	Percentage of releases that was prepared on time.	100%	100%
	Accuracy	Percent of months that the change in the one-month Import Price Index between the first-published and final release was in the range of plus or minus 0.4 percentage point.	100%	100%
		Percent of months that the change in the one-month Export Price Index between the first-published and final release was in the range of plus or minus 0.2 percentage point	100%	100%
Employment Cost Index	Timeliness	Percentage of releases that was prepared on time.	100%	100%
	Accuracy	Number of quarters the change in the civilian compensation less sales index was within plus or minus 0.5% at the 90% confidence level.	4	4
Internet Usage	Access	Improve the BLS Internet site, to include (1) providing access to interactive maps that improve user understanding of geographically-based data series, and (2) expanding access to National Labor Force statistics by building a new interactive query tool tailored to the program's wealth of demographic information.	N/A	Completed

## Indicator

Percentage of releases of National Labor Force; Employment, Hours, and Earnings; Consumer Price Index; Producer Price Index; U.S. Import and Export Price Indexes; and Employment Cost Index that are prepared on time; measures of accuracy for each Principal Federal Economic Indicator; and BLS Internet site improvement initiative.

## Data Source

Office of Publications and Special Studies report of release dates against release schedule of BLS Principal Federal Economic Indicators; News releases for each Principal Federal Economic Indicator; Announcement of new Internet functionality on BLS "What's New" page.



## Baseline

Timeliness measures of 100% for each economic indicator. (Baseline is FY 1997 for National Labor Force statistics; Employment, Hours, and Earnings; Consumer Price Index; Producer Price Index; and Employment Cost Index. Baseline is FY 2001 for U.S. Import and Export Price Indexes.)

## Quality measures:

National Labor Force: Number of months that a change of at least 0.25 percentage point in the monthly national unemployment rate was statistically significant at the 90% confidence level = 12. (Baseline is FY 1997.)

Employment, Hours, and Earnings: Root mean square error of total nonfarm employment (a measure of the amount of revision) is less than 70,000. (Baseline is FY 2000.)

Consumer Price Index: Number of months that the standard error on the 12-month change in the U.S. City Average All Items CPI-U Index was 0.25 percentage point or less = 12. (Baseline is FY 2000.)

Producer Price Index: Percent of domestic output, within the scope of the PPI, which the PPI covers: goods produced = 85.1%; services produced = 38.8%; total production = 52.6%. (Baseline is FY 1997.)

U.S. Import and Export Price Indexes: (1) Percent of months that the change in the one-month Import Price Index between the first-published and final release was in the range of plus or minus 0.4 percentage point. (2) Percent of months that the change in the one-month Export Price Index between the first-published and final release was in the range of plus or minus 0.2 percentage point. (Baseline will be FY 2003.)

Employment Cost Index: Number of quarters the change in the civilian compensation less sales index was within plus or minus 0.5% at the 90% confidence level = 4. (Baseline is FY 1997.)

Internet access: Improve the BLS Internet site, to include (1) providing access to interactive maps that improve user understanding of geographically-based data series, and (2) expanding access to National Labor Force statistics by building a new interactive query tool tailored to the program's wealth of demographic information.

## Comment

In order to increase the relevance of BLS information, BLS consults with advisory councils and other researchers. The Federal Economic Statistics Advisory Committee (FESAC) was continued in FY 2003 as were the BLS Business and Labor Research Advisory Councils. BLS and the Employment and Training Administration also continued to meet on a quarterly basis with State Labor Market Information Directors from each of the ten DOL regions to explore ways to improve the relevancy of our products for State and local (or subnational) data users.

<sup>1</sup> Root mean square error (RMSE) calculated using the most recent revised information available, August 2003 data.

## Performance Goal 1.3B (BLS) – FY 2003

## Improve the accuracy, efficiency, and relevancy of economic measures.

FY 1999-2002: Same as FY 2003.

## Results

**FY 2003:** The goal was achieved. See detailed results below. Since the performance indicators are the accomplishment of milestones that are specific to the fiscal year, there is no continuity in indicators from year to year, even though the performance goal remained the same.

**FY 2002:** The goal was achieved.

**FY 2001:** The goal was not achieved. Four of the six milestones were achieved. The milestones for the American Time Use Survey and the Producer Price Index warehouse construction industry project were not met.

**FY 1999-FY 2000:** The goal was achieved.

## Milestones for Significant New or Enhanced Efforts in FY 2003

1. **NAICS Conversion:** Achieved. Conversion to the North American Industry Classification System (NAICS) for the National Labor Force data series was completed with the release of January data in February 2003. Conversion for Employment, Hours, and Earnings was completed. The new series was introduced in March 2003 for State and Metropolitan Area series; conversion of national series was completed in June 2003. Conversion for the Job Openings and Labor Turnover Survey was completed with the release of May 2003 data in August 2003. In addition, conversion for the industry labor productivity series was completed in September 2003.

2. **CPI, Item Sample Update:** Achieved. Selection of Consumer Price Index (CPI) item categories for resampling in 2003 was completed. A continuing evaluation of the new item samples relative to the old item samples will be conducted to determine if the objective of keeping samples more in line with current conditions is being achieved with the two-year item rotation process.

3. **CPI, Electronic Data Collection:** Achieved. A staged deployment began in September 2002, and was completed with all 87 CPI pricing areas in April 2003. Printing of paper pricing schedules ceased in August 2003.
4. **U.S. Import and Export Price Indexes:** Achieved. The system components of the modifications necessary to support the 2004 introduction of annually weighted U.S. Import and Export Price Indexes was completed. This project is on schedule for publishing annually weighted indexes in February 2004 with the release of January 2004 data.
5. **Industry Productivity:** Achieved. Labor productivity and unit labor cost measures for six new service-producing industries were published in January 2003. Multifactor productivity and related cost measures for the airline transportation industry were published in September 2003.
6. **BLS IDCF:** Achieved. The Internet Data Collection Facility (IDCF) is currently being used to collect respondent information for the Employment, Hours, and Earnings program and the Survey of Occupational Injuries and Illnesses.

## Indicator

## Milestones for Significant New or Enhanced Efforts in FY 2003

1. Complete conversion of Employment, Hours, and Earnings; Job Openings and Labor Turnover Survey; and National Labor Force data series to the North American Industry Classification System.
2. Begin implementation of a two-year rotation process to update item samples within existing establishments for the Consumer Price Index.
3. Complete a staged implementation of electronic data collection for Consumer Price Index items other than rent.
4. Complete all the system components of the modifications necessary to support the 2004 introduction of annually weighted U.S. Import and Export Price Indexes.
5. Produce measures of labor productivity and unit labor costs for two additional service-producing industries and multifactor productivity and related cost measures for one additional service-producing industry.
6. Implement the use of the BLS Internet Data Collection Facility in at least two surveys.

## Data Source

BLS Quarterly Review and Analysis System.

## Baseline

Since the performance indicators are the accomplishment of milestones, baselines are not applicable.

## Comment

Indicators for goal 1.3B reflect the BLS commitment to continuous improvement of its statistical processes and products. These indicators are significant milestones towards the accomplishment of this improvement goal.

## Performance Goal 2.1A (ESA) – FY 2003

Covered American workplaces legally, fairly, and safely employ and compensate their workers.

FY 2002: Same as FY 2003.

## Results

FY 2003: The goal was substantially achieved; 12 of 13 targets were reached.

1. The average number of days to conclude a complaint declined to 108 days – a 16% decline.
2. Both performance targets were reached.
  - a. 37% of reinvestigations were without violations – a three percentage point increase.
  - b. 17% of reinvestigations (prior violators) had identical violations – a two percentage point decrease.
- 3.a. All five targets were reached.
  - i. 91% of employees in Southern California were paid “on the payroll.”
  - ii. 715 manufacturers in Southern California monitor their contractor shops for compliance (including unannounced visits and payroll reviews) – a 2.1% increase.
  - iii. 73 new contractors in New York City participate in the “Compliance Assistance Program for New Contractors” – a 5.8% increase.
  - iv. 158 manufacturers in New York City monitor their contractor shops for compliance – a 5.3% increase.
  - v. 33% of employees in New York City are paid “on the payroll.”
- 3.b. One of two targets was reached.
  - i. 77% of employees in residential living establishments with overtime violations were themselves the subject of an overtime violation – a decline of six percentage points.
  - ii. 48% of nursing home complaint cases were concluded within 180 days – and increase of six percentage points.
- 3.c. All three targets were reached.
  - i. Measurement will take place in FY 2004.
  - ii. 256 agricultural housing providers corrected violations following an investigation – a 53% increase.
  - iii. 133 agricultural housing providers corrected violations following a first investigation – a 37% increase.

## Indicator

FY 2002: The goal was substantially achieved.

1. All three targets were reached:
  - a. 34% of reinvestigations were without violations.
  - b. 25% of reinvestigations (prior violators) had any violation.
  - c. 19% of reinvestigations (prior violators) had identical violations.
- 2a. Three of five targets were reached:
  - i. 53% of manufacturers monitor their contractor shops for compliance in southern California – a 12 percentage point increase.
  - ii. The average number of monitoring components used by manufacturers in monitoring their contractors for compliance in southern California in FY 2002 is 6.37 – a 15% increase.
  - iii. 92% of contractors in southern California pay all employees on the payroll – a 29 percentage point increase.
  - iv. 43% of new contractors in New York City participating in the NYC Compliance Assistance Program were in compliance – a decline of eight percentage points.
  - v. 42% of contractors in New York City pay all employees on the payroll – a nine percentage point decline.
- 2b. All three targets were reached:
  - i. 16,426 additional employees of multi-establishment nursing home corporations impacted by corporate proactive steps such as training and self-audit.
  - ii. 7,681 employers (nursing homes) were provided compliance assistance information through seminars and other outreach efforts – and increase of 216%
  - iii. 77% of employers (residential living) were in compliance with the recordkeeping requirements of the Fair Labor Standards Act.
- 2c. All targets were reached:
  - i. 61% of employers were in compliance with the MSPA disclosure provisions.
  - ii. 91% of employers were in compliance with the MSPA wage provisions.
  - iii. 74% of employers were in compliance with the MSPA housing safety and health provision.
  - iv. 88% of employers were in compliance with the MSPA vehicle safety provisions (transportation).
  - v. 90% of employers were in compliance with the MSPA drivers license provisions (transportation).
  - vi. 85% of employers were in compliance with the MSPA vehicle insurance provisions (transportation).
  - vii. 98% of investigated employers were in compliance with child labor provisions.

FY 2003:

1. Reducing employer recidivism.
  - a. Decreasing the average number of days to conclude a complaint by two percent over the FY 2002 baseline.
  - b. Increase the percent of reinvestigations without any violations by two percentage points
  - c. Decrease the percent of reinvestigations with identical violations by two percentage points.
2. Increasing compliance in industries with chronic violations.
  - a. As indicated in the garment manufacturing industry by:
    - i. Establish a baseline of the percent of employees in southern California paid “on the payroll.”
    - ii. Increase by two percent the number of manufacturers that monitor their contractor shops for compliance in southern California (including conducting unannounced visits and payroll reviews).
    - iii. Increase by five percent the number of new contractors in New York City participating in the “Compliance Assistance Program for New Contractors.”
    - iv. Increase by two percent the number of manufacturers in New York City that monitor their shops for compliance.
    - v. Establish a baseline of the percent of employees in New York City paid “on the payroll.”
  - b. As indicated in the long-term health care industry by:
    - i. Increase by two percent the percent of employees in the residential living (group home) segment of health care industry paid in compliance with the overtime requirements of the Fair Labor Standards Act.
    - ii. Increase by one percent the percent of nursing home complaint cases concluded in 180 days.
  - c. As indicated in agricultural commodities by:
    - i. Increase compliance among agricultural employers subject to the DWHaT provisions of MSPA through targeted compliance assistance programs; to be measured in FY 2004.
    - ii. Increase by two percent the number of agricultural housing providers who corrected violations following an investigation.
    - iii. Increase by one percent the number of agricultural housing providers who corrected violations following a first investigation.

FY 2002:

1. Reducing employer violation recidivism. In FY 2002, establish baselines for:
  - a. Percentage of reinvestigations without violations.
  - b. Percentage of reinvestigations with any violation.
  - c. Percentage of reinvestigations with identical violations.

## 2. Increasing compliance in industries with chronic violations.

## a. As indicated in the garment manufacturing industry by:

- i. Increase by two percentage points the number of manufacturers that monitor their contractor shops for compliance in southern California.
- ii. Increase by two percent the average number of monitoring components used by manufacturers in monitoring their contractors for compliance in southern California.
- iii. Increase by two percentage points the number of contractors in southern California that pay all employees on the payroll.
- iv. Increase by four percentage points the level of compliance of new contractors in New York City through compliance education.
- v. Increase by two percentage points the percentage of contractors in New York City that pay all employees on the payroll.

## b. As indicated in the long-term health care industry by:

- i. Increase by 6,000 the number of employees of multi-establishment nursing home corporations impacted by corporate proactive steps, such as training and self-audit.
- ii. Increase by five percent the number of employers (nursing homes) that were provided compliance assistance information through seminars and other outreach efforts.
- iii. Establish a baseline of the number of employers in compliance with the recordkeeping requirements of the Fair Labor Standards Act.

## c. As indicated in agricultural commodities by:

In FY 2002, establish baselines of compliance with the Migrant and Season Agricultural Worker Protection Act (MSPA) provisions of disclosure, wages, housing and transportation and with the child labor provisions of the Fair Labor Standards Act relative to selected agricultural commodities in various locations in the U.S.

## Data Source

## FY 2003:

Wage and Hour Investigator Support and Reporting Database (WHISARD); WHD significant activity reports; regional logs and reports on local initiatives; and statistically valid investigation-based surveys.

## FY 2002:

1. Wage and Hour Investigator Support and Reporting Database (WHISARD).
2. Wage and Hour Investigator Support and Reporting Database (WHISARD) data for garment manufacturer investigations; WHD significant activity reports on health care activities; WHISARD data and regional logs on agricultural activities; statistically valid investigation-based compliance surveys in defined industries.

## Baseline

## FY 2003:

1. The average number of days to conclude a complaint is 129.
- 2.a. 34% of reinvestigations are without violations.
- 2.b. The percent of reinvestigations with identical violations is 19%.
- 3.a.i. TBD in FY 2003.
- 3.a.ii. Of the 1,700 manufacturers in southern California, 41% (700) monitor their contractor shops and 21.3% (362) conduct both unannounced visits and payroll reviews.
- 3.a.iii. 69 contractors participate in the "Compliance Assistance Program for New Contractors."
- 3.a.iv. Of the 1,358 manufacturers in NYC, 11% (150) monitor their contractor shops.
- 3.a.v. TBD, baseline being established in FY 2003.
- 3.b.i. 83% of residential living employees are paid in compliance with the FLSA overtime provisions.
- 3.b.ii. 42% of nursing homes complaint-based full investigations are concluded in 180 days.
- 3.c.i. TBD in FY 2003.
- 3.c.ii. 167 housing providers corrected housing violations following an investigation.
- 3.c.iii. 97 housing providers investigated for the first time corrected housing violations following an investigation.

## FY 2002:

1. Baselines to be determined in FY 2002.
- 2a. i. 41%.
- 2a.ii. 5.5 (of a total of seven).
- 2a.iii. 63%.
- 2a.iv. 51%.
- 2a.v. 52%.
- 2b.i. 48,000 employees.
- 2b.ii. 2,437 employers.
- 2b.iii. Baselines to be determined in FY 2002.
- 2c. Baselines to be determined in FY 2002.

Comment

- 3.b.i. The decline in the percent of residential living employees paid in compliance with the overtime standards is in large part a reflection of the differences in the average size of residential living facilities with overtime violations between the two years. The data for this indicator are taken from the agency's database of directed investigations concluded during the fiscal year where overtime violations were found. While the percentages provide trend data on employees affected by overtime violations, they do not represent a statistically valid assessment of the percent of employees in this industry who were the subject of an overtime violation. Rather, the data provide an indication of the severity of overtime violations when an employer is not in compliance with the overtime standards. The measure is not adjusted to account for size differences among the employers in the database. Targeting criteria in fiscal year 2003 may have introduced some bias in the database universe. For example, in fiscal year 2002, residential living facilities with overtime violations on average had 77 employees as compared to 47 employees in 2003. In fiscal year 2003, the smaller establishments tended to have overtime violations. As a result, the percent of employees that were subject to an overtime violation in the smaller facilities tended to be higher. To account for a more accurate measurement of the number of employees paid in compliance with the overtime provisions, WHD will be conducting a statistically valid investigation-based survey of the health care industry in fiscal year 2004.
- 3.c.i. In fiscal year 2002, WHD entered into targeted compliance assistance programs with three employer associations. These associations represent over 300 agricultural employers. Next fiscal year, WHD will seek to increase compliance among agricultural employers through these targeted assistance programs.

Performance Goal 2.1B (ESA) – FY 2003

Advance safeguards for union financial integrity and democracy and the transparency of union operations.

FY 2002: Same as FY 2003

Results

- FY 2003: The goal was not achieved; two of three targets were reached.
- 1. a. The timely filing of union annual financial reports by unions with annual receipts over \$200,000 was 64%.
    - b. A baseline was established for the percentage of filed reports determined to be sufficient for public disclosure: 73%.
  - 2. The percentage of investigative resources applied to criminal investigation that result in convictions is increased to 63%.
- FY 2002: The goal was achieved.
- 1. DOL initiated the internet-based public disclosure system in June 2002. A baseline for the timely filing of union reports was established at 44%.
  - 2. A baseline of 50% was established for the percentage of investigative resources applied to criminal cases that result in conviction.

Indicator

- FY 2003:
- 1. Improving timely filing of union annual financial reports that contain information sufficient for public disclosure. In FY 2003:
    - a. The timely filing of union annual financial reports by unions with annual receipts over \$200,000 will increase to 85% .
    - b. A baseline for the percentage of filed reports determined to be sufficient for public disclosure will be established in FY 2003.
  - 2. Extending Labor-Management Reporting and Disclosure Act protections for union financial integrity to a greater number of labor organizations through a more effective use of investigative resources. In FY 2003 the percentage of investigative resources applied to criminal investigation that result in convictions is increased to 53%.
- FY 2002:
- 1. Improvement in the timely filing of union annual financial reports that contain information sufficient for public disclosure. In FY 2002, initiate a new electronic forms application and electronic submission process and establish a baseline for timely filing under the new process.
  - 2. Extending Labor-Management Reporting and Disclosure Act protections for union financial integrity to a greater number of labor organizations through the more effective use of investigative resources. In FY 2002, establish a baseline of the percentage of investigative resources applied to criminal investigations that result in convictions.

Data Source

- 1. Labor Organization Reporting System.
- 2. OLMS Case Data System.

Baseline

- 1. a. 44%;
  - b. 73%
- 2. 50%

Comment

Indicator 1a: Timely and accurate reporting by unions is critical to the LMRDA objectives for union transparency, financial integrity, and democracy. The timely filing rate of 63% falls significantly short of the 85% goal. In FY 2002, the 85% mark was achieved. However, in FY 2003 OLMS established more stringent guidelines for determining timeliness, allowing no more than three days beyond the statutory due date as a benchmark for timely filing. In FY 2002, a 14-day grace period had been allowed. OLMS imposed the stricter standard for timeliness to achieve better results and will continue to focus efforts to achieve that end.

2. Union financial integrity is also essential to a competitive workforce. To ensure effective use of resources applied to criminal investigations, OLMS established the indicator to increase the percentage of resources applied to criminal investigations that result in convictions. As that percentage increases, greater direct benefit is provided to the American workforce through enforcement of union financial integrity protections. The performance result in FY 2003 demonstrates an increase in this benefit.

### Performance Goal 2.2A (ETA) – FY 2003

Make timely and accurate benefit payments to unemployed workers, facilitate the reemployment of Unemployment Insurance claimants, and set up Unemployment tax accounts promptly for new employers.

FY 2002: Same as above.

FY 2000 – 2001: Unemployed workers receive fair Unemployment Insurance benefit eligibility determinations and timely benefit payments.

#### Results

FY 2003: This goal was substantially achieved.

- Percent of intrastate payments made timely: 89%
- Benefit payment accuracy rate: 56.1%
- Percent of employer tax liability determinations made timely: 83.7%
- Entered employment: This target was reached. DOL developed a measure and a method to obtain entered employment information on UI claimants. Six States are pilot testing the method, and their results will be used to establish a baseline in early FY 2004.

FY 2002: The goal was not achieved.

- Timely benefit payments: 88.7% of first payments were made within three weeks, versus a target of 91% and a baseline of 90.3%.
- Prompt set-up of tax accounts: 81.7% of new status determinations were made within 90 days of the end of the quarter the employers became liable for UI taxes and reports, versus a target of 80%.
- Accurate benefit payments. After consultation with the system on alternatives, a measure of integrity was selected, and a baseline and FY 2003 target were set.
- Alternative measures for the rate UI claimants have entered into employment were developed and have been presented to the Assistant Secretary. Discussion with States may follow. No data will probably be available to produce baseline estimates before early FY 2004.

FY 2001: The goal was not achieved.

- Twenty-five States met or exceeded the minimum performance criterion for benefit adjudication quality (nationwide, 71.1% of all non-monetary determinations were adequate) against the FY 2001 target of 26; and
- Forty-two states met or exceeded the Secretary's Standard for intrastate payment timeliness against a target of 48 states (nationally, 90.3% of all intrastate first payments were made within 14/21 days).

FY 2000: The goal was substantially achieved.

- 23 States met or exceeded the minimum performance criterion for benefit adjudication quality against the FY 2000 target of 24 states (nationally, 70.3% of all non-monetary determinations were adequate, the same as in FY 1999)
- 47 States met or exceeded the Secretary's Standard for intrastate payment timeliness against a target of 47 states (nationally, 89.9% of all intrastate first payments were made within 14/21 days, up from 89.6% in FY 2000).

#### Indicator

FY 2003:

- Payment Timeliness: 91% of all intrastate first payments will be made within 14/21 days;
- Payment Accuracy: Establish for recovery at least 59% of all estimated detectable overpayments.
- Facilitate Reemployment: A data source will be selected and baseline for the entered employment rate of Unemployment Insurance claimants will be established during early FY 2004 (earlier if data are available); and
- Establish Tax Accounts Promptly: 80% of new employer status determinations will be made within 90 days of the end of the first quarter in which liability occurred.

FY 2002:

- Payment Timeliness: 91% of all intrastate first payments will be made within 14/21 days;
- Payment Accuracy: In FY 2002, a measure of payment accuracy will be established after consultation with system partners and stakeholders, and a baseline set, to improve Unemployment Insurance Payment Accuracy nationwide. A target for FY 2003 will be set based on that baseline;
- Facilitate Reemployment: Define a measure of entered employment of Unemployment Insurance claimants and establish a baseline; and
- Establish Tax Accounts Promptly: 80% of new employers will receive a determination about their Unemployment Insurance tax liability within 90 days of the end of the first quarter they become liable for the tax.

	<p><b>FY 2001:</b></p> <ul style="list-style-type: none"> <li>● Eligibility Determinations Fairness: Increase to 26 the number of States meeting or exceeding the minimum performance criterion for benefit adjudication quality; and</li> <li>● Payment Timeliness: Increase to 48 the number of States meeting or exceeding the Secretary's Standard (minimum performance criterion) for intrastate payment timeliness.</li> </ul> <p><b>FY 2000:</b></p> <ul style="list-style-type: none"> <li>● Eligibility Determinations Fairness: Increase to 24 the number of States meeting or exceeding the minimum performance criterion for benefit adjudication quality</li> <li>● Payment Timeliness: Increase to 47 States the number of States meeting or exceeding the Secretary's Standard (minimum performance criterion) for intrastate payment timeliness.</li> </ul>
<p><b>Data Source</b></p>	<p>Eligibility Determinations Quality: ETA 9056                  Payment Timeliness: 9050 Report                  Payment Accuracy: Benefit Accuracy Measurement program or ETA 227 report Entered Employment: UI wage records                  New Status Determinations Timeliness: ETA 581 report</p>
<p><b>Baseline</b></p>	<p>Payment Timeliness: 89.9% of all intrastate first payments were made within 14/21 days                  Payment Accuracy: 57.9% of estimated recoverable overpayments most readily detectable by State Benefit Payment Control operations were established for recovery                  Entered Employment: N/A                  Establish Tax Accounts Promptly: 79.1% of new employers received a determination about their UI tax liability within 90 days of the end of the first quarter they became liable for the tax</p>
<p><b>Comment</b></p>	<p>Continued development and evaluation performance goals and indicators may affect the targets and measures for FY 2005 to better reflect the level of customer service, program integrity, and the extent Unemployment Insurance claimants become reemployed.</p>

**Performance Goal 2.2B (EBSA) – FY 2003**

**Enhance Pension and Health Benefits Security**

<p><b>Results</b></p>	<p><b>FY 2003:</b> This goal was achieved. 69 percent of closed civil cases resulted in corrected violations. 40 percent of criminal cases resulted in referral for prosecution. EBSA's Customer Satisfaction Index score was 59.</p>
<p><b>Indicator</b></p>	<p><b>Enforcement:</b></p> <ul style="list-style-type: none"> <li>● Achieve greater than a 50% ratio of closed civil cases with corrected violations to civil closed cases.</li> <li>● Achieve greater than a 25% ratio of criminal cases referred for prosecution to total criminal cases.</li> </ul> <p><b>Participant Assistance:</b></p> <ul style="list-style-type: none"> <li>● Achieve a Customer Satisfaction Index of 59, or comparable measurement, for Participants and Beneficiaries who have contacted EBSA for assistance.</li> </ul>
<p><b>Data Source</b></p>	<ul style="list-style-type: none"> <li>● EBSA's Enforcement Management System</li> <li>● The Gallup Organization</li> </ul>
<p><b>Baseline</b></p>	<ul style="list-style-type: none"> <li>● 46.04% (FY 1999-FY 2001 Average)</li> <li>● 23.45% (FY 1999-FY 2001 Average)</li> <li>● 53 (FY 2001) [0-100 scale]</li> </ul>
<p><b>Comment</b></p>	<p>Developing a quantifiable, pure outcome goal to measure EBSA's success is extremely challenging. Externalities, such as the economy and tax policy, have a significant impact on whether employers opt to offer benefits and whether employees choose to participate and to what extent. In addition, EBSA oversees benefit security for approximately 6 million plans, 150 million participants and beneficiaries, and approximately \$4.8 trillion in assets. Therefore, EBSA strives to ensure that stakeholders (plan professionals and participants) are empowered with knowledge to comply with the law and to make informed personal choices. In the absence of having a pure, outcome measure, describing success in enhancing the security of retirement benefits in this complex environment involves selecting key measures that provide an indication of or reasonable connection to our success. It is within this context that the Department will continue to utilize the performance indices we developed and implemented for the first time in FY 2003 to better communicate its performance. With respect to the customer satisfaction target, EBSA will work with Gallup to refine its long-term target consistent with other industry standards and experience. In developing these measurements, EBSA intends to: (1) maintain</p>

maximum flexibility for the Secretary to make policy judgments regarding enforcement, compliance assistance, outreach and education; (2) reflect effectiveness in achieving these policy choices; (3) avoid creating unintended incentives (i.e. selecting monetary measures that might lead the Department to select investigations based on potential recovery alone and thus ignore small plans or health plan violations); and (4) measure a multitude of diverse activities (e.g. education/outreach, technical assistance, enforcement). By measuring these indices, coupled with additional statistical and internal management information, the effectiveness of our program can be determined and more importantly, we can develop strategies to more effectively enhance benefit and retirement security.

## Performance Goal 2.2C (ESA) – FY 2003

### Minimize the human, social, and financial impact of work-related injuries for workers and their families.

FY 1999-2002: Same as above.

#### Results

**FY 2003:** The goal was substantially achieved. Of the ten performance indicators included under this goal, targets were reached for eight.

1. The goal of 129.7 lost production days for Postal Service cases was not achieved. LPD for USPS rose by nine percent to 143.3 days.
2. This goal was not achieved. LPD for All Other Government Agencies rose in FY 2003 by 2.6 percent over FY 2002 to 55.2 days.
3. This goal was achieved. Placements increased by 14% – 56 USPS employees were placed with new employers.
4. This goal was achieved. Periodic Roll Management (PRM) produced an additional \$24.6 million in first-year compensation benefit savings in FY 2003
5. This goal was achieved. In the last 12 months, FECA average medical treatment case costs remained stable with last year at approximately \$2,500 per case, while the Milliman Health Cost Index rose by 10 percent.
6. This goal was achieved. DOL established baselines using FY 2003 results for five communications performance indicators.
7. As of the end of August FY 2003, this goal had been achieved. The average number of days to resolve disputed issues for FY 2003 was 266 days, thirteen days below the goal of 279 days.
8. This goal has been achieved. 86.6 % of claims subject to the new regulations on which district director decisions were based had no pending requests for further action one year after receipt of the claim.
9. This goal was achieved. 79 percent of Initial Claims for benefits in the Energy Program were processed within standard timeframes.
10. This goal was achieved. The overall performance result was 76.9 percent within standard timeframes for Final Decisions.

**FY 2002:** The goal was not achieved. Of the seven performance indicators included under this goal the targets were reached for two, substantially reached for one, and not reached for four.

1. This target was not reached. While LPD for injury cases of the United States Postal Service rose by 11.6% to 131 days, LPD for the All Other Government Agencies was reduced by 4.6% to 53.8 days.
2. This target was not reached. Resolving disputed issues required an average of 285 days.
3. This target was reached. 89.9 % of claims subject to the new regulations on which district director decisions were based had no pending requests for further action one year after receipt of the claim.
  - The extraordinary results achieved were due mostly to cohorts of re-filed and marginal cases that were subsequently withdrawn during the initial processing period under the revised regulations.
  - These cohorts should decrease or disappear during FY 2003 and beyond.
  - The program expects the reduction or elimination of these cohorts to bring performance more into line with projected targets.
4. This target was not reached. Results from year-end totals showed that 48% of claims of Department of Energy (DOE) employees, or of contractors employed at DOE Facilities, were processed within 120 days, and that 48% of claims of employees of Atomic Weapons Employers and Beryllium Vendors were processed within 180 days.
5. This target was substantially achieved. Results from year-end totals showed that 76% of final decisions in approved claims or no-contest denials were issued within 75 days from issuance of the recommended decision, 74% of final decisions in reviews of the written record were issued within 75 days of the request for review of written record, and 100% of final decisions in formal hearings were issued within 250 days of the request for hearing.
6. This target was reached. Periodic Roll Management (PRM) produced an additional \$25.6 million in first-year compensation benefit savings in FY 2002, bringing cumulative total first-year savings to \$122 million.
7. This target was not reached. Average overall FECA medical cost per case in FY 2002 was \$2,604. After adjusting for inflation using the Consumer Price Index for Medical Care, this represents a 6.8% increase compared to the average of \$2,230 in FY 2000.

**FY 2001:** The goal was not achieved.

1. This target was reached. The FY 2000 baseline is 68.1, and the FY 2001 target was 66.7. The overall government-wide LPD was 76.9, a 15.3% increase.
2. N/A



3. N/A

4. N/A

5. N/A

6. This target was reached. PRM produced an additional \$31 million in first-year savings in FY 2001, bringing cumulative total first-year savings to \$103 million.

7. The target was not reached. Average cost per case for Psychiatric services was reduced by nearly three percent over FY 2000; for Physical Therapy services, however, average cost increased by 4.5% (adjusted for inflation).

- For Psychiatric cases, the decline in average case costs was due, in part, to application of stricter guidelines over approval of services in the FECA district offices;
- Despite an increase in average costs for Physical Therapy cases, Focus Reviews conducted in late FY 2001 demonstrated the potential for savings in this service category: 121 of 842 high-cost cases were identified for adjustment of service limits.

FY 2000: The goal was achieved.

1. This target was reached. Average lost production days (LPD) measured for Quality Case Management cases in FY 2000 was 164 days. This represented a shortening of the average time away from work of 25 days when compared to the FY 1997 baseline year. The reduction also equated to a \$17.7 million savings in compensation costs.

2. This target was substantially reached. System programming was completed and data collection started. However, goal refinement at mid-year required extending the data collection period to a full year to ensure an inclusive baseline. The target for establishing a baseline was extended to May 2001.

3. This target was substantially reached.

4. - 5. N/A.

6. This target was reached. Cumulative first-year savings for FY 1999-2000 were \$72 million. PRM productivity remained higher than expected. One-half of all reviews in FY 2000 resulted in either an adjustment to continuing benefit amounts or a termination of benefits.

7. This target was reached. The FECA program saved \$34.5 million (61% over target) using fee schedules for Inpatient and Pharmacy services. The result was due, in large part, to a 37% increase in charges for these services. This was consistent with the 32% overall increase in charges subject to fee schedules (including Outpatient Hospital and Physician charges) in FY 2000.

FY 1999: The goal was achieved.

1. This target was reached. Average lost production days 173 days against a target of 178 days. This was nearly a nine percent reduction compared to the FY 1997 baseline. The 16-day reduction compared to the FY 1997 baseline represented a savings in compensation benefits of \$9.6 million for the cases measured.

2. By September 30, a definition of "case resolution" was developed and distributed to program district directors and OWCP regional directors.

3. The program implemented part of its revised initial findings package in July 1999. The remainder of the findings package was awaiting finalization of the new regulations.

4. - 5. N/A

6. This target was reached. PRM case review actions produced an additional \$20.8 million in FECA compensation benefit savings.

7. This target was reached. The new fee exceeded the target by 54%, and produced \$16.5 million in savings. Implementation of medical bill review was delayed and the full complement of Medical Coding Specialists was not brought on board and trained until September 1999. No savings resulted from bill review.

## Indicator

FY 2003:

1. For FECA cases of the United States Postal Service, reduce the lost production days rate (LPD per 100 employees) by one percent from the FY 2002 baseline.

2. For FECA cases of All Other Governmental Agencies, reduce the lost production days rate (LPD per 100 employees) by three percent from the FY 2001 baseline.

3. Increase FECA Vocational Rehabilitation placements with new employers for injured USPS employees by five percent over FY 2002.

4. Through use of Periodic Roll Management, produce \$20 million in first-year savings in the FECA program.

5. The trend in the indexed cost per case of FECA cases receiving medical treatment will remain below the comparable measure for nationwide health care costs.

6. Establish or complete baselines in key FECA customer service areas.

7. Reduce by two percent over the FY 2002 baseline the average time required to resolve disputed issues in Longshore and Harbor Worker's Compensation Program contested cases.

8. Increase by four percent over the FY 2001 established baseline the percentage of Black Lung benefit claims filed under the revised regulations for which, following an eligibility decision by the district director, there are no requests for further action from any party pending one year after receipt of the claim.

9. 75 percent of Initial Claims for benefits in the Energy Program are processed within standard timeframes.

10. 75 percent of Final Decisions in the Energy Program are processed within standard timeframes

FY 2002:

1. Decrease by two percent from the FY 2001 baseline the average number of production days lost due to disability in the FECA program for

- United States Postal Service (USPS) cases
- All other Government cases.

2. Reduce by two percent over the baseline the average time required to resolve disputed issues in Longshore and Harbor Worker's Compensation Program contested cases.

3. Increase by two percent over the FY 2001 established baseline the percentage of Black Lung benefit claims for which, following an eligibility decision by the district director, there are no requests for further action from any party pending one year after receipt of the claim.

4. For Initial Processing of claims for benefits in the Energy Program:
  - 75% of claims of Department of Energy (DOE) employees, or of contractors employed at DOE facilities, are processed within 120 days.
  - 75% of claims of employees of Atomic Weapons Employers (AME) and Beryllium Vendors are processed within 180 days.
5. For processing of Requests for Hearings in the Energy Program:
  - 75% of Final Decisions in Approved Claims or No-Contest Denials are issued within 75 days from issuance of the Recommended Decision.
  - 75% of Final Decisions in Reviews of the Written Record are issued within 75 days of the Request for Review of Written Record.
  - 75% of Final Decisions in Formal Hearings are issued within 250 days of the Request for Hearing.
6. Through use of Periodic Roll Management, produce \$122 million in cumulative first-year savings (FY 1999 -2002) in the FECA program.
7. Reduce the overall average medical service costs per case (adjusted for inflation) in the FECA program by .5% versus the FY 2000 baseline.

#### FY 2001:

1. Two percent reduction from the FY 2000 baseline in the average number of production days lost due to disability.
2. Establish performance baseline and begin data collection for performance tracking.
3. Establish a baseline by the end of FY 2001.
4. - 5. N/A.
6. Produce \$95 million in cumulative first-year savings.
7. Reduction in the average annual cost for physical therapy and psychiatric services by one percent through focus reviews of services charged. (Note: This intermediate goal will assist the agency in developing strategies to reach the overall cost reduction goal. Reduction of overall average medical costs will be measured against a FY 2000 baseline.)

#### FY 2000:

1. Reduce to 173 days (OCM cases only); establish baseline for all cases.
2. Complete system programming for entering and generating goal-related data and establish a baseline against which to measure performance.
3. Finalize and implement new regulations. Develop materials to provide all parties with information about the revised claims development and adjudication process.
4. - 5. N/A
6. Produce \$66 million in cumulative first-year savings.
7. Save an additional \$5 million over FY 1999 compared to amounts charged through full-year implementation of fee schedules for inpatient hospital and pharmacy services.

#### FY 1999:

1. Reduce to 178 days (OCM cases only).
2. Complete the process of defining a case resolution.
3. Implement initial findings package designed to more effectively provide all parties with information about decisions made on individual claims.
4. -5. N/A
6. \$19 million in first-year savings.
7. Save 19% versus amounts billed for FECA medical service subject to fee schedules.

#### Data Source

1. Federal Employees' Compensation Act (FECA) data systems; Federal agency payroll offices; Office of Personnel Management employment statistics.
2. Federal Employees' Compensation Act (FECA) data systems; Federal agency payroll offices; Office of Personnel Management employment statistics.
3. Nurse/Rehabilitation Tracking System.
4. Periodic Roll Management System; FECA Automated Compensation Payment System.
5. FECA Medical Bill Pay System; Milliman USA, Health Cost Index Report.
6. Telecommunications system standard reports; FECA district office and national MIS reports; customer surveys; focus group records; and other customer service performance data sources.
7. Longshore Case Management System.
8. Black Lung Automated Support Package.
9. Energy Program Case Management System.
10. Energy Program Case Management System.

#### Baseline

1. The number of days lost due to workplace injuries in FY 2002 per 100 employed Federal civilian workers by the USPS.
2. The number of days lost due to workplace injuries in FY 2001 per 100 employed Federal civilian workers by All Other Government agencies.
3. The number of vocational rehabilitation placements with new employer in FY 2002.
4. The sum of periodic (28-day cycle) payments, on a case-by-case basis, made prior to reduction in benefits due to terminations or adjustments by PRM action in the fiscal year.
5. U.S. health care costs as measured by the Milliman Health Cost Index.
6. TBD, baselines for key service areas being established in FY 2003.
7. An average of 285 days elapsed nationwide between the dispute receipt date and the dispute resolution date.\*

8. FY 2001: 66.5% of Black Lung benefit claims, following an eligibility decision by the district director, had no requests for further action from any party pending one year after receipt of the claim: developed using data collected over the past decade from claims subject to the old regulations.
9. 75 percent of Initial Claims processed are timely.
10. 75 percent of Final Decisions are timely.

## Comment

- 1, 2. LPD is one of several goals within the joint, OSHA/ESA safety & health and return to work (SHARE) initiative to increase Federal workplace safety rates and speed recovery and return to work. In light of widespread public health incidents subsequent to the anthrax events involving postal workers, and because USPS is excluded from OSHA's Federal safety initiative since it is regulated as a private sector entity, we have created two LPD goals to measure LPD for USPS cases and for all other Federal agencies separately. Post September 11, 2001, impacts on the USPS, including overall reductions in mail volume, resulted in higher LPD during FY 2001 and 2002, and that trend is expected to be difficult to reverse. Accordingly, we believe FY 2002 is a more appropriate baseline against which to measure future performance for USPS.
4. Periodic Roll Management has proven highly successful in identifying potential for return to work and resolving cases leading to greater savings in benefit compensation (an additional \$317 million between 1992 and 1998). In FY 1999, Congress appropriated resources to fully staff all offices and integrate PRM into FECA program operations. This is accelerating savings in Federal workers' compensation costs, and increasing the potential for returning workers to employment after recovery from an injury. Note: decisions on cases under PRM review often result in adjustment or termination of benefits. On a case-by-case basis, and beginning with the first payment cycle after the benefit action, savings are scored for the remainder of the measurement (fiscal) year, producing the first-year savings for the case. First-year savings for all cases in the measurement year are then combined producing the total first-year savings. The cumulative sum of first-year savings is matched against the goal as stated for each measurement year.
4. 5. The objective of the FECA Medical Savings goal is to maintain control over costs at a level comparable to nationwide health care cost trends as measured by the Milliman Health Cost Index. This index measures the change in non-Medicare health care costs per capita for the overall national population. In the early 1990's FECA medical cost increases were typically lower than the Milliman Health Cost Index, but in 1998 and throughout 2000 the FECA rolling 12 month average exceeded the Milliman Index's rate of increase. The implementation of various cost containment strategies has had significant impact in moving FECA's cost curve well below the average Milliman Index since early 2001, and this new, long-term goal of maintaining that positive relationship to the Milliman Index over time is appropriate given the progress to date.  
  
FECA continues to use fee schedules to set payment levels for standard categories of billed medical services. A special automated bill review, the Corrective Coding Initiative (CCI) identifies medical providers' duplicate and abusive billing practices, and facilitates evaluation and resolution of questionable bills before payment is authorized. FECA has begun a medical services contract that centralizes and standardizes the processing of FECA medical bills. Focus reviews identify proper treatment or payments for selected medical services provided and matched to medical condition. Utilization review will focus on the appropriateness and duration of medical treatment.
6. Customer service improvements are focused on communications performance in five key areas: availability and access to electronic information services; telephone responsiveness; call handling accuracy and assistance effectiveness; and call handling quality.
7. Reducing the average time required to resolve disputed issues reflects increased cooperation among the parties and increased voluntary compliance with Longshore statutes and procedures. This performance target will capture the results of program efforts to reduce utilization of the extended hearings and appeals processes by raising the quality of medical evidence and clarity of decisions in the initial stages of the decision making process under the revised regulations.
8. The results achieved were again influenced by factors whose impact will be greatly diminished or no longer felt in FY 2004.
  - Most significantly, cohorts of re-filed and marginal cases that were subsequently withdrawn during the initial processing period under the revised regulations should decrease or disappear during FY 2004 and beyond.
  - The program expects the reduction or elimination of these cohorts to bring performance into line with projected targets.
  - Results have trended downward since mid-year toward the performance target as expected.
  - Mid-year performance indicated that 88.7% of claims subject to the new regulations on which district director decisions were based had no pending requests for further action one year after receipt of the claim. By year's end, the result was reduced by over two full percentage points.
  - The program will continue to carefully monitor quarterly results. If performance continues to greatly exceed target levels, the targets will be reviewed and adjusted where appropriate.
9. OWCP refers non-Special Exposure Cohort (SEC) cancer claims to the National Institute for Occupational Safety and Health (NIOSH) to document radiation exposure histories and dosage levels. Upon completion of the dose reconstruction, OWCP continues adjudication of the claim. "Completion of initial processing" indicates a point common to all claim categories at which the Energy program has made a determination of covered employment and covered illness. For claims other than non-SEC cancers, this determination results in a decision to award or deny claims. Beyond completion of initial processing, additional decision points reside with the claimant or NIOSH prerequisite to issuance of a formal Recommended Decision.

9,10. These timeframes and target levels may be adjusted as the Energy program builds a more complete understanding of potential workload volumes and characteristics, better assesses work flow and resource requirements, tests work processes, and determines optimal performance standards. This analysis includes understanding uncontrollable factors, such as decision points dependent upon claimant action (e.g., "no contest denials" cannot be completed until the claimant's 60-day response period has passed).

### Performance Goal 2.2D (PBGC) FY 2003

PBGC will provide accurate and timely payments to the beneficiaries and businesses it serves.

FY 1999 – 2002: Same as above.

#### Results

FY 2003: This goal was substantially achieved. While targets for indicators one and two were reached, the target for indicator three was substantially reached. PBGC refunded 82 % of pension fund overpayments within 90 days.

FY 2002: This goal was not achieved. The average processing time was 3.3 years

FY 2001: This goal was achieved.

FY 2000: This goal was achieved.

FY 1999: This goal was achieved.

#### Indicator

FY 2003:

1. Reduce to 3 years the average timeframe to send benefit determinations to participants in defined benefit pension plans taken over by PBGC;
2. Minimize the number of erroneous benefit payments; and
3. Refund 85% of pension fund overpayments to businesses within 90 days of a request.

FY 2002: Reducing to three years the average timeframe to send benefit determinations to participants in defined benefit pension plans taken over by PBGC

FY 2001: Reducing to three to four years the average timeframe to send benefit determinations to participants in defined benefit pension plans taken over by PBGC

FY 2000: Reducing to four to five years the average timeframe to send benefit determinations to participants in defined benefit pension plans taken over by PBGC

FY 1999: Send final, accurate benefit determinations to participants within five to six years of plan trusteeship

#### Data Source

Participant Record Information System Manager  
Premium Accounting System

#### Baseline

#### Comment

### Performance Goal 2.3A (ETA) – PY 2002

Increase the employment, retention, and earnings replacement of individuals registered under the WIA dislocated worker program.

PY 2000 – 2001: Same as PY 2002.

#### Results

PY 2002: This goal was not achieved.

- Entered employment rate: 82%
- Employment retention rate: 90%
- Earnings replacement rate: 90%

PY 2001: The goal was achieved.

- Entered employment rate: 79.2%
- Employment retention rate: 87%
- Earnings replacement rate: 101.3%

PY 2000: The goal was achieved.

- Entered employment rate: 75%
- Employment retention rate: 83%
- Earnings replacement rate: 95%

Indicator	<p>PY 2002:</p> <ul style="list-style-type: none"> <li>● 78% will be employed in the first quarter after program exit.</li> <li>● 88% of those employed in the first quarter after program exit will be employed in the third quarter after program exit; and</li> <li>● Those who are employed in the first quarter after program exit and are still employed in the third quarter after program exit will have 98% of their pre-dislocation earnings.</li> </ul> <p>PY 2001:</p> <ul style="list-style-type: none"> <li>● 73% will be employed in the first quarter after program exit.</li> <li>● 83% of those employed in the first quarter after program exit will be employed in the third quarter after program exit; and</li> <li>● Those who are employed in the first quarter after program exit and are still employed in the third quarter after program exit will have 91% of their pre-dislocation earnings.</li> </ul> <p>PY 2000:</p> <ul style="list-style-type: none"> <li>● 71% will be employed in the first quarter after program exit.</li> <li>● 82% of those employed in the first quarter after program exit will be employed in the third quarter after program exit; and</li> <li>● Those who are employed in the first quarter after program exit and are still employed in the third quarter after program exit will have 90% of their pre-dislocation earnings.</li> </ul>
Data Source	Quarterly State WIA reports included in the Enterprise Information Management System (EIMS); UI Wage Records
Baseline	PY 2000, the first full year of WIA implementation, constitutes the baseline year for this measure. The performance measure is derived from the agreed upon levels of performance from all States. These measures will be regularly reviewed for appropriateness and rigor as performance data becomes available.
Comment	Beginning in PY 2004, the Department will implement the common measures for Federal job training and employment programs. For adult programs, these measures are entered employment, retention, earnings increase, and efficiency. With WIA reauthorization, the common measures for the WIA adult program, the WIA dislocated worker program, and the labor exchange activity, will be applied on a consolidated basis, measuring in the aggregate the overall performance of the workforce system, rather than these performance of these three individual programs.

Performance Goal 2.3B (ETA) – FY 2003

Increase the employment, retention, and earnings replacement of workers dislocated in important part because of trade and who receive trade adjustment assistance benefits.

FY 2001 – 2002: Same as FY 2003.

Results	<p>FY 2003: The goal was not achieved.</p> <ul style="list-style-type: none"> <li>● 62% employed in the first quarter after exit;</li> <li>● 84% of those still employed in the third quarter after exit; and</li> <li>● 75% wage replacement for the second and third quarters after exit.</li> </ul> <p>FY 2002: The goal was not achieved.</p> <ul style="list-style-type: none"> <li>● 66% employed in the first quarter after exit;</li> <li>● 89% of those still employed in the third quarter after exit; and</li> <li>● 80% wage replacement for the second and third quarters after exit.</li> </ul> <p>FY 2001: The goal was substantially achieved.</p> <ul style="list-style-type: none"> <li>● 65% employed in the first quarter after exit;</li> <li>● 90% of those still employed in the third quarter after exit; and</li> <li>● 85% pre-dislocation wages.</li> </ul>
Indicator	<p>FY 2003:</p> <ul style="list-style-type: none"> <li>● 78% will be employed in the first quarter after program exit;</li> <li>● 90% of those employed in the first quarter after program exit will be employed in the third quarter after program exit; and</li> <li>● Those who are employed in the third quarter after program exit will earn, on average, 90% of their pre-separation earnings.</li> </ul>

## FY 2002:

- 78% will be employed in the first quarter after program exit;
- 88% of those employed in the first quarter after program exit will be employed in the third quarter after program exit; and
- Those who are employed in the third quarter after program exit will earn, on average, 90% of their pre-separation earnings.

## FY 2001:

- 73% will be employed in the first quarter after program exit;
- 80% of those employed in the first quarter after program exit will be employed in the third quarter after program exit; and
- Those who are employed in the first quarter after program exit and are still employed in the third quarter after program exit will earn, on average, 82% of their pre-separation earnings.

## Data Source

TAPR (Trade Act Participant Report) included in the Enterprise Information Management System (EIMS)

## Baseline

FY 2004 will constitute the new baseline year for this measure as a result of reforms under the new TAA program and implementation of the common measures. Because there are no comparable baselines, these measures will be regularly reviewed for appropriateness and rigor as performance data becomes available.

## Comment

In 2004, the Department will implement the common measures for Federal job training and employment programs for employment, retention, earnings increase, and efficiency.

## Performance Goal 3.1A (MSHA) – FY 2003

Reduce the mine industry fatal injury incidence by 15% annually, and reduce the all-injury incidence rate 50% below the FY 2000 baseline by the end of FY 2005. For FY 2003 this equates to a 17% reduction.

FY 2002: Reduce the number of mine fatalities by 15% and non-fatal injury incidence rate by 17% below the projected baseline.

FY 1999 – 2001: Reduce the number of mine fatalities and the non-fatal injury rate to below the average for the previous five years.

## Results

FY 2003: The goal was not achieved.

- Fatalities: Baseline incidence rate is .024; Target incidence rate = .020; actual = .022 (9.6 percent reduction)
- All-injury: Baseline incidence rate (FY 2000) is 5.07; Target incidence rate = 3.79; actual = 4.27 (7.8 percent reduction)

FY 2002: The goal was not achieved.

- Fatalities: Baseline is 88 fatalities; Target = 64; Fatalities in FY 2002 = 71
- Nonfatal-days-lost incidence rate: Baseline is 3.46 NFDL incidence rate; Target = 2.87; NFDL incidence rate FY 2002 = 3.15

FY 2001: The goal was achieved.

- Fatalities: Average FY 1996-2000 = 89; FY 2001 = 71
- Nonfatal-days-lost incidence rate: Average FY 1996-2000 = 3.65; FY 2001 = 3.29

FY 2000: The goal was substantially achieved.

- Fatalities: Average FY 1995-1999 = 89; FY 2000 = 88
- Nonfatal-days-lost incidence rate: Average FY 1995 – 1999 = 3.83; FY 2000 = 3.46

FY 1999: The goal was achieved.

- Fatalities: FY 1994–1998: Average = 92; FY 1999 = 82
- Nonfatal-days-lost incidence rate: Average FY 1994 – 1998 = 4.07; FY 1999 = 3.51

## Indicator

The mining industry fatal injury incidence rate and the all-injury incidence rate.

## Data Source

Mine Accident, Injury, and Employment information mine operators and contractors report to MSHA under Title 30 Code of Federal Regulations Part 50.

## Baseline

FY 2003 performance evaluation based on the fatal incidence rate in FY 2002 = 0.024; and the all-injury incidence rate in FY 2000 = 5.07.

## Comment

Performance Goal 3.1B (MSHA) – FY 2003

Reduce the percentage of respirable coal dust samples exceeding the applicable standards by five percent for designated occupations in coal mines and reduce the percentage of silica dust samples in metal and nonmetal mines exceeding the applicable standards by five percent for designated high risk occupations; and reduce the percentage of noise exposures above the citation level in all mines by five percent.

FY 2002: Same as FY 2003

FY 1999 – 2001: Reduce by five percent the percentage of coal dust and silica dust samples that are out of compliance for coal mines and metal and nonmetal high risk mining occupations, respectively.

Results

FY 2003: The goal was achieved.

- Coal Dust – Baseline: percent of samples over the applicable standard = 15%; Target = 14.2%; Actual = 11.0% of samples were over the applicable standard
- Silica Dust – Baseline: percent of samples exceeding the applicable standards = 9.0%; Target = 8.6%; Actual = 6.4% samples were over the applicable standard
- Noise: 5.2 percent of samples exceeded the regulatory standard, compared against a baseline of 9.3 percent determined from samples collected in FY 2000-2001. The rate of improvement from the baseline is 44.09 percent – including the 10.34 improvement from FY 2002

FY 2002: The goal was not achieved.

- Coal Dust Goal – Baseline: percent of samples over the applicable standard = 15%; Target = 14.2%; Actual = 15.0% of samples were over the applicable standard
- Silica Dust Goal – Baseline: percent of samples exceeding the applicable standards = 9.3%; Target = 8.8%; Actual = 6.6% samples were over the applicable standard
- Noise Exposure Goal – Baseline: percent of samples above the citation level = 9.0%; Target = 8.6%; Actual = 5.8% of samples were over the citation level

FY 2001: The goal was achieved.

- Coal Dust goal: 5% reduction; Target: 11.1%; Actual: 10.2% reduction
- Silica Dust goal: < 80% index points: Actual 64% index points

FY 2000: The goal was achieved.

- Coal dust goal: 5% reduction; Target: 11.7%; Actual: 11.2% reduction
- Silica dust goal: < 85 index points; Actual: 65.3 index points

FY 1999: The goal was achieved.

- Coal dust goal: 5% reduction; actual: 11.6% reduction
- Silica dust goal < 90 index points; actual: 75.1 index points

Indicator

Percent samples out of compliance with the respirable coal mine dust standard for designated occupations and the percent of silica dust samples for high risk occupations that are out of compliance with the metal and nonmetal mines standard.

Data Source

Dust samples collected by MSHA inspectors. Coal Mine Safety and Health Management Information System and Metal and Nonmetal Mine Safety and Health Management Information System

Baseline

Coal and Silica: Samples collected in FY 2002. Noise: samples collected in FY 2000-2001

Comment

Performance Goal 3.1C (OSHA) – FY 2003

Reduce the rate of workplace fatalities by two percent from baseline.

Results

FY 2003: The goal was not achieved. The fatality rate declined to 1.61.\*

Indicator

Percent change in the rate of fatalities per 100,000 workers\*

Data Sources

OSHA Integrated Management Information System (IMIS)  
Bureau of Labor Statistics (BLS) Current Employment Statistics (CES)

Baseline	FY 2000 – FY 2002: 1.62 fatalities per 100,000 workers.
Comment	* The strategic goal is to reduce the rate of OSHA-inspected fatalities by a total of 15 percent over the life of this plan. A three-year moving average is used to reduce fluctuations and highlight trends in the performance measures. Rate is calculated using the number of OSHA-inspected fatalities in private industry divided by non-farm private employment per 100,000 workers.

### Performance Goal 3.1D (OSHA) – FY 2001

Reduce injuries/illnesses by 11% [from baseline] in five industries characterized by high-hazard workplaces.\*

FY 2000: Reduce injuries/illnesses by 7% [from baseline] in five industries characterized by high-hazard workplaces.

FY 1999: Reduce injuries/illnesses by 3% [from baseline] in five industries characterized by high-hazard workplaces.

Results	<p>FY 2001: The goal was achieved.</p> <ul style="list-style-type: none"> <li>● Shipyard industry: Decreased by 44%</li> <li>● Food processing industry: Decreased by 29%</li> <li>● Nursing home industry: Decreased by 16%</li> <li>● Logging industry: Decreased by 51%</li> <li>● Construction industry: Decreased by 25%**</li> </ul> <p>FY 2000: The goal was achieved.</p> <ul style="list-style-type: none"> <li>● Shipyard industry: Decreased by 26 %</li> <li>● Food processing industry: Decreased by 18%</li> <li>● Nursing home industry: Decreased by 9%</li> <li>● Logging industry: Decreased by 36%</li> <li>● Construction industry: Decreased by 23%**</li> </ul> <p>FY 1999: The goal was achieved.***</p> <ul style="list-style-type: none"> <li>● Shipyard industry: Decreased by 28%</li> <li>● Food processing industry: Decreased by 15%</li> <li>● Nursing home industry: Decreased by 6%</li> <li>● Logging industry: Decreased by 26%</li> <li>● Construction industry: Decreased by 19%**</li> </ul>
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Indicator	Percent change in the lost workday case rate per 100 workers.
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Data Source	Bureau of Labor Statistics (BLS) Annual Survey of Occupational Injuries and Illnesses (ASOII).
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Baseline	<ul style="list-style-type: none"> <li>● Shipyards: 13.4 average lost workday injury and illness rate per 100 full-time workers for CY 1993-1995</li> <li>● Food processing: 8.9 average lost workday injury and illness rate per 100 full-time workers for CY 1993-1995</li> <li>● Nursing homes: 8.7 average lost workday injury and illness rate per 100 full-time workers for CY 1993-1995</li> <li>● Logging: 7.2 average lost workday injury and illness rate per 100 full-time workers for CY 1993-1995</li> <li>● Construction: 5.2 average lost workday injury rate per 100 full-time workers for CY 1993-1995</li> </ul>
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Comment	<p>*This is the goal as it appeared in the FY 2001 Annual Performance Plan. It was revised in FY 2002 and again in FY 2003. Results for CY 2002 and CY 2003 will be reported in the FY 2004 and FY 2005 reports, respectively. This goal will be subsumed into the overall injury and illness reduction goal.</p>
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\*\*Construction industry rate is injuries only.

\*\*\*CY 1997-1999 data.



Performance Goal 3.1F (OSHA) – FY 2002

Decrease fatalities in the construction industry by 15% [from baseline], by focusing on four leading causes of fatalities (falls, struck-by, crushed-by, and electrocutions and electrical injuries).

FY 2001: 11% [from baseline]

FY 2000: 7% [from baseline]

FY 1999: 3% [from baseline]

Results

FY 2002: The goal was achieved. The fatality rate declined by 17% from the baseline. (CY 2002).

FY 2001: The goal was substantially achieved. Fatalities decreased by 9.5% (CY 2001).

FY 2000: The goal was achieved. Fatalities decreased by 11% (CY 2000).

FY 1999: The goal was not achieved. Fatalities decreased by 2% (CY 1997–1999).

Indicator

Percent change in the rate of fatalities per 100,000 workers.

Data Source

Bureau of Labor Statistics Census of Fatal Occupational Injuries.

Baseline

FY 2001-2002: 14.7 deaths per 100,000 workers (CY 1995)

FY 1999-2000: 14.5 deaths per 100,000 workers (CY 1993-1995)

Comment

This goal will be subsumed into the overall fatality reduction goal.

Performance Goal 3.2A (ESA) – FY 2003

Federal contractors achieve equal opportunity workplaces.

FY 2002: Same as above

FY 2001: Identify those industries where data indicate the likelihood of equal employment opportunity problems is greatest and establish baselines; establish baselines for contractors and subcontractors that have had prior contact with DOL/OFCCP through evaluations, outreach, or technical assistance; and establish baselines for reducing compensation discrimination by Federal contractors and subcontractors.

Results

FY 2003: The goal was achieved. The incidence of discrimination among evaluated contractors fell 7.8 percentage points below the FY 2003 goal of nine percent. Evaluated contractors' compliance with all other equal opportunity workplace standards increased 13.4 percentage points above the FY 2003 goal to 72.4 percent.

FY 2002: The goal was achieved. The Department fully achieved all six indicators measuring improvements in the industries with the greatest likelihood of equal opportunity problems, and the three indicators measuring improvements by contractors and subcontractors previously contacted.

FY 2001: The goal was not achieved.

For the first indicator, two industries were identified where the data indicate the likelihood of equal employment opportunity problems is greatest, and baselines indicating the extent of problems previously found were established. With regard to the second indicator, OFCCP established a baseline for Federal contractors and subcontractors that had failed previous compliance evaluations, but not for those contacted only through outreach or technical assistance. OFCCP did not develop a separate baseline for compensation discrimination, but included this issue in the baselines created for the preceding two indicators.

Indicator

FY 2003:

- Reduce the incidence of discrimination among Federal contractors to nine percent.
- Increase compliance among Federal contractors in all other respects of equal opportunity workplace standards to 59 percent.

FY 2002:

1. Improve the equal employment opportunity performance of Federal contractors and subcontractors within industries where data indicate the likelihood of equal employment opportunity problems is greatest. In FY 2002, contractors in SIC Group 50 and SIC Group 87 that participate in specified DOL/OFCCP compliance assistance activities and are subsequently evaluated will have:

- a. Better EEO performance in selection system evaluations as indicated by less severe Case Management Systems (CMS) closure types than contractors in SIC Groups 50 and 87 that did not participate in specified DOL/OFCCP compliance assistance activities. In FY 2002, DOL/OFCCP will improve by one percent the rate of compliance findings over the baseline for SIC 50 and SIC 87.
  - b. Better EEO performance in selection system evaluations as indicated by less severe violations or deficiencies than contractors in SIC Groups 50 and 87 that did not participate in specified DOL/OFCCP compliance assistance activities. In FY 2002, DOL/OFCCP will reduce by one percent the rate of findings of severe violations from the baseline for SIC 50 and SIC 87.
  - c. Better EEO performance in selection system evaluations as indicated by evaluation type than contractors in SIC Groups 50 and 87 that did not participate in specified DOL/OFCCP compliance assistance activities. In FY 2002, DOL/OFCCP will increase by one percent the rate of focused and offsite compliance evaluation types over the baseline for SIC 50 and SIC 87.
2. Improving the equal employment opportunity performance of Federal contractors and subcontractors that have had prior contact with DOL/OFCCP through evaluations, outreach, or technical assistance. In FY 2002, contractors and subcontractors that are selected for evaluation, outreach, or compliance assistance activities will have:
- a. Better EEO performance in selection system evaluations as indicated by less severe CMS closure types than contractors that did not have prior contact with DOL/OFCCP. In FY 2002 DOL/OFCCP will improve by one percent the rate of compliance findings over the baseline for all supply and service closures.
  - b. Better EEO performance in selection system evaluations as indicated by less severe violations or deficiencies than contractors that did not have prior contact with DOL/OFCCP. In FY 2002 DOL/OFCCP will reduce by one percent the rate of findings of severe violations from the baseline.
  - c. Better EEO performance in selection system evaluations as indicated by evaluation type than contractors that did not have prior contact with DOL/OFCCP. In FY 2002 DOL/OFCCP will increase by one percent the rate of focused and offsite compliance evaluation types over the baseline.

#### Data Source

EEO-1 data file; Case Management System; Federal contractors' data; and compliance evaluations as scheduled.

#### Baseline

FY 2002:

1. In FY 2001, the incidence of serious violations indicating discrimination among evaluated contractors reported in CMS measured 12.5 percent.
2. In FY 2001, compliance among evaluated contractors in all other respects of equal opportunity workplace standards (i.e., performance under plan, EEO policies, recordkeeping and support data, and failure to develop AAP) reported in CMS measured 57 percent.

FY 2001:

1. a. SIC 50 - 50.9 percent rate of compliance findings; SIC 87 - 49.6 percent.
  - b. Violation severity - 7.69 percent for SIC 50 and 9.02 percent for SIC 87.
  - c. Focused and offsite evaluations - 36.5 percent for SIC 50 and 27.8 percent for SIC 87.
2. a. Compliance for all supply and service closures - 52.9 percent.
  - b. Violation severity - 9.8 percent.
  - c. Focused and offsite evaluation types - 34.1 percent.

#### Comment

Performance indicators were achieved because of the agency's emphasis on encouraging and educating Federal contractors to examine closely their employment processes and practices. Violations that were found during the evaluation process reflected a lack of knowledge on the part of contractors rather than intentional disregard of EEO laws. OFCCP recognizes that the current contractor selection methodology for targeting contractors for compliance reviews produces discrimination findings in less than two percent of case closures. As a result, in FY 2003, OFCCP commissioned external independent studies to improve selection procedures to more efficiently identify contractors that are engaging in systemic discrimination.

### Performance Goal 3.2B (OASAM) – FY 2003

States that receive DOL financial assistance under the Workforce Investment Act provide benefits and services in a non-discriminatory manner, as evidenced by:

- Positive changes in access to benefits and services for persons with disabilities.
- Increased use of techniques for voluntary resolution of complaints to achieve prompt results.

FY 1999-2002: Same as above.

#### Results

FY 2003: The goal was achieved. All three targets were reached:

1. Starting in FY 2002 a Section 188 Disability Checklist was developed that served as the review guide during FY 2003 in conducting technical assistance reviews of the One-Stop Centers in New York, NY and Miami, FL. In New York, 100% or all three One-Stop Career Centers were reviewed. In Miami, 13 of the 23 (57%) One-Stop Career Centers were reviewed. The reviews in both cities identified areas of non-compliance and existence of barriers that limit service to persons with disabilities.

2. Discrimination complaint logs were submitted by all WIA, SESA, and Job Corps recipients, which enable the establishment of a baseline of complaints filed at the State-level nationwide. A substantial number of States were not compliant and submitted complaint logs that under reported complaints filed or were incomplete by not including the bases/protected grounds. Because of the under reporting of complaints the baseline will be moved from FY 2002 to FY 2003.
3. ADR training was provided in three separate sessions (Albany, Buffalo, and New York City) to all 112 New York State designated mediators. The mediators were familiarized with equal opportunity requirements under WIA to better equip them to carryout their responsibilities in mediating complaints of discrimination in the WIA One-Stop Career system.

FY 2002: The goal was achieved. The Department issued timely compliance determinations or entered into conciliation agreements within 180 days, and also strengthened working relationships with State agencies.

FY 2001: The goal was not achieved.

FY 2000: The goal was not achieved.

FY 1999: The goal was not achieved.

Indicator

FY 2003:

1. Conduct technical assistance reviews of a representative sample of One-Stop Centers in New York City and Miami. The focus of the technical assistance reviews will be to set a baseline of compliance with Federal programmatic and physical accessibility requirements for persons with disabilities for these two Local Workforce Investment Areas (LWIA) One-Stop systems.
2. Initiate a longitudinal study of the resolution of complaints filed under State administered Workforce Investment Act programs. Beginning with FY 2002, examine States' complaint logs to determine the number and proportion of complaints resolved through the customary investigation process versus alternative dispute resolution (ADR). The longitudinal study will span FY 2002 thru FY 2004.
3. Provide alternative dispute resolution training for the staff of New York City and Miami responsible for carrying out the ADR program for their LWIA.

FY 2002:

- The issuance, within 180 days of the initial\* submission of a State's Methods of Administration (MOA), of a compliance determination or a conciliation\*\* agreement which indicates that the MOA gives reasonable guarantee that benefits and services are provided in a nondiscriminatory manner.
- A strengthening of working relationships with State agencies, through their participation in a strategy of improving compliance assistance for One Stop Centers, and assessing the effectiveness of that strategy.

FY 2001:

- Timely submission as required by 29 CFR 37 of 30 Methods of Administration (MOA) or in the absence of timely submissions, the issuance of a "Show Cause Notice" within 15 days of a non-timely submission.
- Issuance of compliance determinations or conciliation agreements within 180 days for those States submitting timely MOAs.

FY 1999-2000:

Issue final regulations implementing the nondiscrimination provisions of Section 188 of WIA.

Data Source

- Review results from One-Stop Centers in New York City and Miami.
- FY 2002 State and Job Corps Center Complaint Resolution logs.

Baseline

- Level of accessibility for persons with disabilities in the One-Stop system in the cities of New York and Miami.
- The quantity and type of discrimination complaints filed nationwide in FY 2002.

Comment

Performance Goal 3.3A (ILAB) – FY 2003

Reduce exploitative child labor by promoting international efforts and targeting focused initiatives in selected countries.

FY 2001 - 2002: Same as FY 2003.

FY 2000: Progressively reduce exploitative child labor worldwide by increasing international support and funding the most promising programs and projects in targeted countries.

Results

FY 2003: The goal was achieved.

1. 83,682 children were targeted for prevention or removal from child labor, particularly its worst forms, through the provision of education or training opportunities in new DOL-funded programs.
2. 79,769 children have been prevented or removed from child labor, particularly its worst forms, through the provision of education or training opportunities in on-going DOL-funded programs.
3. 19 action plans, policies, or programs were established that combat child labor and/or promote access to education for child laborers or children at-risk.
4. Eight Child Labor Education Initiative projects have established a baseline for education targets (enrollment and retention rates).
5. Child Labor Education Initiative projects have begun in 10 new countries.

FY 2002: The goal was achieved.

1. 29 countries have ratified Convention No. 182 on the Worst Forms of Child Labor, of which 10 are participating in DOL funded IPEC projects.
2. 13 countries have adopted 15 action plans to combat child labor and/or promote access to basic education for child laborers or children at risk.
3. 103,772 children were targeted for prevention and removal of exploitative work through the funding on new DOL-IPEC programs.
4. 51,297 children have been prevented or removed from exploitative work through the provision of education or training opportunities in ongoing DOL-IPEC programs.
5. Education projects were funded in nine countries, through DOL's Child Labor Education Initiative.

FY 2001: The goal was not achieved. Of the four supporting indicators, two were exceeded, one was substantially achieved and one was not met.

1. 63 countries ratified ILO Convention 182 on the Worst Forms of Child Labor.
2. 13 countries established a total of 15 new national action plans to eliminate child labor.
3. Approximately 200,000 children were targeted for prevention or removal from exploitative work.
4. More than 25,800 children were actually prevented or removed from exploitative work through DOL-funded ILO/IPEC projects.

FY 2000: The goal was achieved as reflected in the following supporting indicators:

1. A total of 37 countries (36 in FY 2000) ratified ILO Convention 182 on the Worst Forms of Child Labor. This Convention was unanimously adopted by the delegates to the International Labor Conference in June 1999.
2. DOL funded two additional IPEC National Action Plans in FY2000.
3. DOL increased awareness of exploitative child labor:
  - ILAB published its sixth report on international child labor, *By the Sweat & Toil of Children: An Economic Consideration of Child Labor*.
  - ILAB's International Child Labor Program's website provides information on child labor issues.
  - ILAB funded a Global Campaign/Best Practices Conference to help raise awareness about child labor.
4. ILAB targeted over 100,000 children for prevention and/or removal from exploitative work.

## Indicator

FY 2003:

1. 60,000 children prevented or removed from child labor, particularly its worst forms, through the provision of education or training opportunities in on-going DOL-funded programs.
2. 15 action plans, policies or programs established that combat child labor and/or promote access to education for child laborers or children at-risk.
3. Six Child Labor Education Initiative projects establish a baseline for education targets (enrollment and retention rates).
4. 40,000 children targeted for prevention or removal from child labor, particularly its worst forms, through the provision of education or training opportunities in new DOL-funded programs.
5. Child Labor Education Initiative projects begin in nine new countries.

FY 2002:

1. 15 countries will ratify International Labor Organization (ILO) Convention 182 on Worst Forms of Child Labor.
2. 10 countries will establish action plans to combat child labor and/or promote access to basic education for child laborers and children at risk.
3. 90,000 children in developing countries will be targeted for prevention and removal from exploitative work through the funding of new DOL-IPEC programs.
4. 50,000 children in developing countries will be actually prevented and removed from exploitative work.
5. Education projects for child laborers through the Education Initiative will begin in eight countries.

FY 2001:

1. 25 countries will ratify International Labor Organization (ILO) Convention 182 on Worst Forms of Child Labor.
2. 15 countries will establish new national plans to eliminate child labor.
3. 100,000 children in developing countries will be targeted for prevention and removal from exploitative work.
4. 50,000 children will be prevented from starting and removed from exploitative work.

## Data Source

DOL/ILAB, ILO-IPEC and Child Labor Education Initiative Grantees.

## Baseline

1. Between 2001-2002, 77,182 children were prevented or removed from child labor, particularly through the provision of education or training opportunities in on-going DOL-funded programs. Between 1995-2000 approximately 40,000 children benefited from DOL-funded programs.
2. Between 2001-2002, 26 action plans, policies or programs were established that combat child labor and/or promote access to education for child laborers or children at-risk.
3. Child Labor Education Initiative projects establish a baseline for education targets (enrollment and retention rates). This is a new indicator and, as such, the baseline for this was zero.
4. Between 2001-2002, more than 300,000 children were targeted for prevention or removal from child labor in new DOL-funded programs. In total, since 1995, DOL-funded programs have targeted more than 500,000 children as beneficiaries.
5. In FY 2002, Child Labor Education Initiative projects began in nine new countries.

## Comment

Results reported for FY 2003 are for the period September 1, 2002 - August 31, 2003.

## Performance Goal 3.3B (ILAB) – FY 2003

## Improve living standards and conditions of work for workers in developing and transition countries.

FY 2002: Advance workers' protections and economic status in developing countries.

FY 2000-2001: Raise workers' protection and the safety of workplaces in selected countries by improving core labor standards and social safety net programs.

## Results

FY 2003: The goal was achieved. The Department established baselines for all four indicators in areas that will help measure the impact of DOL-funded projects.

1. The FY2002 baseline, conducted by an independent contractor, surveyed seven projects for this indicator. The contractor chose three regional projects (Caribbean, Central America, and Eastern Africa) and four country level projects (East Timor, Indonesia, Nigeria, Ukraine) to survey a total of 14 countries. A total of 483 stakeholders participated in the survey. Results of this survey show that 63.3% of stakeholders, including government officials, officials of workers' and employers' organizations, and their members participating in the survey consider the project to have strengthened their capacity to improve conditions of work.
2. The FY 2002 baseline surveyed nine projects in one region and six different countries (Bulgaria, Caribbean, El Salvador, Nigeria, Romania, Tanzania, Ukraine) for this indicator. According to the data, ILAB successfully assisted 39% of project participants in obtaining employment or retaining a threatened job.
3. According to the FY 2002 baseline, 10 percent of workplaces exposed to DOL project assistance (in Bangladesh, Central America, Ukraine) implemented new measures to prevent workplace accidents and illnesses. The data strongly varied from region to region surveyed.
4. According to the FY 2002 baseline, ILAB assisted three governmental agencies (in Hungary and Poland) in providing 3,545,008 workers with private or voluntary pension funds.

FY 2002: The goal was achieved.

- Stakeholders in approximately 41 countries and territories made commitments to implement new projects designed to promote and implement core labor standards or to expand already-existing ones.
- Stakeholders in approximately 49 countries and territories made commitments to implement new projects designed to improve economic opportunities and income security for workers or to expand already-existing ones.

FY 2001: The goal was achieved.

- DOL launched 13 country-specific projects and two worldwide projects, reaching over 40 countries.
- 10 countries committed, with DOL assistance, to improving economic opportunities and income security for workers.

FY 2000: The goal was substantially achieved (three of four performance targets reached):

- The target was reached. A total of 12 projects in 35 countries to improve the protection of workers' basic rights were established.
- The target was reached. A total of 11 projects to economically empower workers were implemented in 34 countries.
- The target was not reached, because projects to improve social safety net programs that protect workers and develop markets were not funded until September 2000.
- The target was reached. In Mexico, core labor standards have been improved with these actions: The Mexican Department of Labor signed a Joint Declaration with the United States and Canada, committing to promote that workers be provided information pertaining to collective bargaining agreements existing in their place of employment and to promote the use of eligible voters lists and secret ballot elections in disputes over the right to administer the collective bargaining contract.

## Indicator

FY 2003: Establish baselines for

1. Number and percent of relevant government officials and members and officials of workers' and employers' organizations who are influential in determining living standards and working conditions and participating in DOL project activities, who consider the project to have improved their conditions of work.

2. Number and percent of individuals whose economic situation has benefited from DOL project assistance.
3. Number and percent of workplaces exposed to DOL project assistance that have implemented new measures to prevent workplace accidents and illnesses.
4. Number of workers participating in pension funds that are government regulated by project partner agencies.

## FY 2002:

- Seven countries commit to undertake improvements in assuring compliance and implementation of core labor standards.
- Six project countries will commit with DOL assistance to make substantive improvements in raising income levels of working families.

## FY 2001:

- 15 countries receive US financial support and commit to core labor standards.
- Two initiatives to effect policy changes in other nations will yield judicial, legal, or significant policy decisions which improve core labor standards.
- Eight project countries commit with DOL assistance make substantive improvements in social safety programs that protect workers and develop labor markets.

## Data Source

ILO Reports; reports by government, contractors, grantees, and nongovernmental organizations; surveys.

## Baseline

Baseline data was set in FY 2003.

## Comment

At the end of FY 2003, DOL initiated a second global survey to assess progress made against Indicator one and received sufficient data from PMPs to assess progress against the other three indicators. Analysis of these data will enable the Department to set realistic but challenging annual goals and indicators to measure improvement over the baseline.

## Performance Goal HR1 (OASAM) – FY 2003

The right people are in the right place at the right time to carry out the mission of the Department.

FY 2002: Same as FY 2003

## Results

FY 2003: The goal was achieved. Targets for all three indicators were reached.

A. The DOL workforce is a prepared and competent workforce. The competency inventory was completed.

B. The DOL workforce is a diverse workforce.

1. Representation rates improved in 38% of the 69 “pockets of under representation” in professional and mission critical administrative occupations where under representation existed.
2. Representation rates improved for Hispanics, Asian American/Pacific Islanders, persons with disabilities, and persons with targeted disabilities. The representation rate for Women and Native Americans was about unchanged.
  - Women: 50.3%
  - Hispanics: 7.0%
  - Asian/Pacific Islanders: 4.0%
  - Native Americans: 0.7%
  - Disabilities: 8.07%
  - Targeted disabilities: 1.3%

FY 2002: The goal was not achieved. Performance reached or exceeded targeted levels for four of six performance indicators, one target was substantially reached and one was not reached.

A. The DOL workforce is a prepared and competent workforce.

1. 94% of selecting officials indicated satisfaction with the quality of job applicants.
2. Baselines for key professional occupations identified in agency restructuring plans with retention problems were established.
3. Competency models were established for 10 of 27 mission critical occupations, and additional models are being developed for another eight occupations.

B. The DOL workforce is a diverse workforce.

1. In professional and technical occupations, representation improved in about 30% of the 34 under-represented occupational-ethnic groupings, and two achieve the goal of meeting their representation in the civilian labor force.
  2. Representation also improved overall for women and Asian and Pacific Islanders, while remaining steady for blacks and Hispanics.
- C. Human capital policies and plans promote a citizen-centered and results-oriented government consistent with the President’s Management Agenda.

1. Out of 10 program agencies rated in FY 2001, six (60%) showed improvement for FY 2002. Two agencies received green ratings, while the remaining eight all received yellow ratings.

Indicator	<p><b>FY 2003:</b></p> <p>A. The DOL workforce is a prepared and competent workforce. Employee competencies and skill sets for mission critical occupations are assessed and gaps identified.</p> <p>B. The DOL workforce is a diverse workforce.</p> <ol style="list-style-type: none"> <li>1. Improvement will be realized in 30% of diversity indicators for professional and administrative occupations exhibiting under-representation in FY 2001.</li> <li>2. Continued improvement is realized in the extent to which diversity in the DOL workforce reflects the civilian labor force.</li> </ol> <p><b>FY 2002:</b></p> <p>A. The DOL workforce is a prepared and competent workforce.</p> <ol style="list-style-type: none"> <li>1. 90% of managers indicate satisfaction with the quality of applicants referred for their vacancies.</li> <li>2. Baselines for key professional occupations identified in agency restructuring plans with retention problems are established.</li> <li>3. Core competencies for DOL mission critical occupations are established.</li> </ol> <p>B. The DOL workforce is a diverse workforce.</p> <ol style="list-style-type: none"> <li>1. Improvement will be realized in 30% of diversity indicators for professional occupations exhibiting under-representation in FY 2001.</li> <li>2. Continued improvement is realized in the extent to which diversity in the DOL workforce reflects the civilian labor force.</li> </ol> <p>C. Human capital policies and plans promote a citizen-centered and results-oriented government consistent with the President's Management Agenda.</p> <ol style="list-style-type: none"> <li>1. Improve Human Capital Standards scores for at least 20% of DOL agencies, above baseline established in FY 2001.</li> </ol>
Data Source	<p>A. Agency strategic, workforce and recruitment plans; Employee performance and development plans.</p> <p>B. 1. DOL HR Information System and AEP reports.</p> <p>2. DOL HR Information System and/or CPDF Data aligned with Census Data to reflect overall DOL representation rates for the six protected groups.</p>
Baseline	<p>A. To be established in FY 2003.</p> <p>B. 1. Data from FY 2002 AEP Report.</p> <p>2. In FY 2000, 49.7% of workforce were women, 24.2% black, 6.9% Hispanic, 3.3% Asian/PI, and 0.7% Native American, 6.4% persons with disabilities, and 1.2% persons with targeted disabilities.</p>
Comment	

Performance Goal HR2 (OASAM) — FY 2003

Reduce the rate of lost production days by two percent (i.e., number of days employees spend away from work due to injuries and illnesses).

FY 2000-2002: Same as FY 2003

Results	<p><b>FY 2003:</b> The goal was achieved. DOL improved safety with a rate of 46.9 lost days per 100 employees against a target of 52.6.</p> <p><b>FY 2002:</b> This goal was achieved. The rate of lost production days due to work related accidents and injuries decreased by 22.7 percent.</p> <p><b>FY 2001:</b> The goal was not achieved. The Department's rate of lost production days increased by 8.65 percent.</p> <p><b>FY 2000:</b> This goal was not achieved. The rate of lost production days was reduced by .05% to 57.1 days per 100 employees.</p>
Indicator	Percent decrease in rate of lost production days (target is two percent).
Data Source	OWCP Table 2 Reports and personnel data from DOL's Office of Budget. OWCP Charge Back System data.
Baseline	Initial baseline for lost production days was officially set by OWCP at 56 days per 100 employees in FY 2001 (based on FY 2000 data).
Comment	Factors that will influence achieving the above goal: DOL resources for workers' compensation coordinators (number of and training); DOL agencies' commitment to using flexibilities available to return injured employees to work; OWCP caseload.

## Performance Goal HR3 (OASAM) – FY 2003

Reduce the overall occurrence of injuries and illnesses for DOL employees by three percent, and improve the timeliness of filing injury/illness claims by five percent.

FY 2000-2002: Same as FY 2003

<b>Results</b>	<p><b>FY 2003:</b> The goal was achieved. DOL achieved an injury/illness rate of 2.5 against the FY 2003 injury/illness rate reduction goal of 3.29 injuries/illnesses per 100 employees. The timeliness of filing workers' compensation claims was 83.6 % on time exceeding its timeliness goal of 78% for FY 2003.</p> <p><b>FY 2002:</b> This goal was achieved. DOL targeted reducing injuries and illnesses to 3.38 cases per 100 employees while filing 62.4% of claims with OWCP in a timely manner. The Department met the injury/illness target with a rate of 2.98 per 100 employees, and filed 77.2% of claims on time, exceeding the target by 14.8 percentage points. This performance represents a significant turn-around for the Department in providing a safer, healthier work environment for employees (seven percent improvement over FY 2001) and securing medical and income replacement benefits in a timely manner (40% improvement compared to FY 2001 performance).</p> <p><b>FY 2001:</b> This goal was not achieved. The injury/illness rate for DOL employees increased to 4.01 cases per 100 employees (preliminary data) while the timeliness of filing injury claim forms decreased by 2.1%.</p> <p><b>FY 2000:</b> Results for this goal have changed. The Annual Report indicated that this goal (3.6 cases per 100 employees) had not been achieved. More current and accurate data indicates that this goal was achieved and the FY 2000 injury and illness rate was 3.5 cases per 100 employees, a reduction of 5.7%. The Department also significantly improved the timeliness of filing injury claims, improving to 57.3% from the previous baseline of 47.4%.</p>
<b>Indicator</b>	<p>Percent decrease in total case rate of illnesses and injuries reported to OWCP (target is three percent).</p> <p>Increase in timeliness of reporting new injuries/illnesses. Target has been changed from five percent to "achieve 78% of cases reported on time." This is a more stringent target than the original five percent.</p>
<b>Data Source</b>	<p>OWCP time-lag reports for federal agencies for submission of claims forms CA-1 and CA-2 within 10 working days or 14 calendar days.</p> <p>OWCP Table 2 Reports and personnel data from DOL's Office of Budget.</p>
<b>Baseline</b>	<p>Initial baseline injury and illness rate is 3.71 cases per 100 employees based on 1997 data.</p> <p>Initial baseline for timeliness of filing is 47.4% based on 1998 data.</p>
<b>Comment</b>	<p>Factors that will influence achieving the injury/illness rate goal: maintaining continued focus of DOL agency managers on actions to reduce injury/illness rates; DOL resources for training managers, supervisors, and employees how to identify, avoid, and correct/minimize hazards in the workplace. Factors that influenced exceeding the timeliness goal: instituting electronic workers' compensation claims filing.</p>

## Performance Goal PR1 (OASAM) – FY 2003

Complete public-private or direct conversion competitions on not less than 10 percent of the FTE listed on the DOL's FY 2000 Federal Activities Inventory Reform Act (FAIR) inventory.

FY 2002: Complete public-private or direct conversion competitions on not less than five percent of the FTE listed on the DOL's Federal Activities Inventory Reform Act (FAIR) listings.

<b>Results</b>	<p><b>FY 2003:</b> The goal was not achieved. DOL directly converted to contract, the commercial work performed by the equivalent 168 full-time employees (FTE), which included 12 FTE carry-overs from FY 2002, against a target of 280 FTE.</p> <p><b>FY 2002:</b> The goal was achieved. DOL directly converted 152 FTE.</p>
<b>Indicator</b>	<ul style="list-style-type: none"> <li>● Percentage of commercial competitive or commercial exempt FTE on the Department's FAIR inventory included in completed competitions or direct conversions.</li> <li>● Percentage of Direct Conversions.</li> <li>● Percentage of Completed A-76 Competitions.</li> </ul>
<b>Data Source</b>	<p>DOL Federal Activities Inventory Reform Act inventory.</p> <p>Completed A-76 competitions.</p> <p>Completed direct conversion competitions for DOL commercial exempt FTE.</p>



Baseline	2000 FAIR Act Inventory commercial FTE (2802) FTE
Comment	The Revised Circular A-76 eliminated direct conversions as an option for agencies to satisfy their competitive sourcing goals. Because DOL had used direct conversions as the exclusive means of meeting competitive sourcing goals in the past, DOL has had to redirect its focus towards public-private competitions. DOL plans to conduct several competitions in FY 2004.

Performance Goal PR2 (OASAM) – FY 2003

Award contracts over \$25,000 using Performance-Based Contracting Services (PBSC) techniques for not less than 30 percent of total eligible service contracting dollars.

FY 2002: Award contracts over \$25,000 using Performance-Based Contracting (PBC) techniques for not less than 20 percent of total eligible service contracting dollars.

Results	<p>FY 2003: The goal was achieved. As of the end of the third quarter FY 2003, DOL had used performance-based service contracting techniques for 42% of total eligible service contracting dollars. Obligations totalling \$788 million were performance-based.</p> <p>FY 2002: This goal was substantially achieved. DOL used performance-based service contracting techniques for 18% of total eligible service contracting dollars.</p>
Indicator	Dollar Value of Performance-Based Contracts awarded.
Data Source	Federal Procurement Data System.
Baseline	DOL Annual Acquisition Plan.
Comment	DOL exceeded the goal by 12%.

Performance Goal FM1 (OCFO) – FY 2003

Improve the accuracy and timeliness of financial information.

Results	FY 2003: The goal was achieved. DOL received an unqualified opinion on its FY 2003 Annual Financial Statements. All 17 DOL financial systems are found to be in substantial compliance with the FFMA.
Indicator	<p>FY 2003:</p> <ul style="list-style-type: none"> <li>● Maintain an unqualified (clean) audit opinion with no material internal control weaknesses.</li> <li>● Meet new requirements and standards in accordance with the Federal Financial Management Improvement Act (FFMIA) and Federal Managers' Financial Integrity Act (FMFIA).</li> <li>● Issue FY 2002 consolidated financial statements one month earlier than the FY 2001 statements - February 1, 2003.</li> <li>● Increase financial statement reporting from semi-annually to quarterly, and deliver by 45 days after the close of the period instead of 60 days.</li> <li>● Determine the nature and extent of erroneous payments within DOL and set baselines and priorities for their reduction.</li> </ul>
Data Source	OIG audit opinion in Annual Report to be issued in December 2003; President's Management Agenda Scorecard.
Baseline	FY 1998: nine of 14 systems in substantial compliance; FY 1999: 17 of 22 systems in substantial compliance; FY 2000: 15 of 17 systems in substantial compliance; FY 2001: 17 of 17 systems in substantial compliance; FY 2002: 17 of 17 systems in substantial compliance; FY 2003: 17 of 17 systems in substantial compliance
Comment	None

## Performance Goal FM2 (OCFO) – FY 2003

Integrate financial and performance information to support day-to-day operations across DOL.

Results	FY 2003: The goal was achieved. Major outputs were defined for the five largest DOL agencies. OCFO conducted managerial cost accounting training to approximately 130 individuals throughout the Department.
Indicator	<ul style="list-style-type: none"> <li>● Assess program agencies to determine the level of integration of financial and performance information. Prioritize areas for improvement.</li> <li>● Complete documentation with and for agency managers in order for them to access and utilize cost accounting information.</li> <li>● Survey program managers for actual use of cost accounting information in program management decision-making processes.</li> </ul>
Data Source	Annual Performance Report and the Administration's Financial Management Scorecard.
Baseline	The standard has been met in each year since FY 1997.
Comment	None.

## Performance Goal IT (OASAM) – FY 2003

Improve organizational performance and communication through effective information management and deployment of IT resources.

FY 2002: Improve automated access to administrative and program systems, services, and information.

FY 2000–2001: Increase integration of DOL IT systems and extend access to automated services.

Results	<p>FY 2003: The goal was not achieved. Only three of five targets were reached; a fourth was substantially achieved.</p> <ol style="list-style-type: none"> <li>1. Over 90% of designated electronic transactions are compliant with the Government Paperwork Elimination Act (GPEA).</li> <li>2. The Department piloted a web-based electronic procurement solution that allows users to initiate a purchase request, electronically route for approvals, and submit for final processing.</li> <li>3. Improved security measures have helped to facilitate a secure computing environment that provides confidentiality, integrity, and availability of DOL information and systems, resulting in 50% reduction of severe unauthorized instructions from FY 2002 baseline. Continued effective management of information technologies was accomplished by linking IT investments to Departmental missions, priorities, and strategies.</li> <li>4. Progress monitored through quarterly reviews indicate that 94% of IT initiatives delivered intended benefits, and</li> <li>5. 84% of major IT projects fit within 10% cost/schedule/performance objectives.</li> </ol> <p>FY 2002: The goal was substantially achieved with five of six targets reached. DOL:</p> <ol style="list-style-type: none"> <li>1. Successfully implemented a common office automation suite of software DOL-wide.</li> <li>2. Successfully replaced remote terminal network interfaces with integrated DOL-wide interfaces.</li> <li>3. Successfully implemented 27 DOL Public Web Site topical and client-targeted web interfaces.</li> <li>4. Increased the number of DOL Public Web Site users by 24.15%.</li> <li>5. Did not reduce the number of page hits users traversed to obtain the information they sought by five percent. Page views per session decreased by 1.83%.</li> <li>6. Improved user satisfaction results from the Internet Customer Satisfaction Survey from the previous year for an average score of three or better.</li> </ol> <p>FY 2001: The goal was achieved. The first phase of the Department's common office automation software was completed, and additional electronic services were made available to employees and managers to enhance hiring, communications, and other services.</p> <p>FY 2000: The goal was achieved. Information Technology (IT) architecture for DOL was developed and the 96 percent of all documents relating to family friendly and lifelong learning programs were published on the DOL intranet.</p>
Indicator	<p>FY 2003:</p> <ol style="list-style-type: none"> <li>a. Improve customer access to DOL information and services by automating 90% of the manual processes designated under GPEA by September 30, 2003.</li> <li>b. Streamline acquisition management and facilitate vendor and grantee access to DOL opportunities by completing 90% of the Department wide E-Procurement system.</li> <li>c. Reduce severe unauthorized intrusions by 50% from the baseline.</li> </ol>

- d. 95% of IT initiatives completed during FY 2003 deliver intended benefits.
- e. 80% of in-process IT initiatives operate within 10% cost, schedule, and technical performance parameters.

FY 2002:

1. Common office automation suite of software DOL-wide (ITC).
2. The Remote Terminal Network (RTN) replaced (ITC).
3. Implement 15 DOL Public Web Site topical and client-targeted web interfaces. (ASP).
4. Increase the number of DOL Public Web Site users by five percent. (ASP)
5. Reduce the number of page hits users must traverse to obtain the information they seek by five percent. (ASP)
6. Improve the user satisfaction results from the Internet Customer Satisfaction Survey to average score of three or better. (ASP)

FY 2001: Implement the first phase of the common office automation suite DOL-wide crosscut initiative and increase electronic services provided via LaborNet and assess customer feedback (target includes QuickHire implementation; employee access to DOL Locator; and establishment of a baseline for customer feedback).

FY 2000: Develop an IT architecture for the Department of Labor and publish 95% of documents on the LaborNet related to family friendly and lifelong learning programs and services providing a one-stop shop for employee information.

Data Source

- a, b, d. GPEA Progress Reports and other internal reports.
- a, b, d, e. Internal tracking activities for progress on E-government initiatives, E-Procurement implementation, and E-Government Workforce efforts.
- c. Annual Security Report.
- c. OIG Audits and Incident Reports.
- a,b,c,d,e. Phase II Enterprise Architecture documentation.
- a,d,e Post implementation review reports/Quarterly IT Reviews.

Baseline

- 26% of GPEA transactions implemented as of October 30, 2002.
- Current paper-based procurement operations at each agency.
- FY2002, four significant incidents reported to FEDCIRC (based on FY 2002 Annual Security Report).
- FY 2002, 77% initiatives completed delivered intended benefits.
- FY 2002, 70% of initiatives reviewed through the Department's IT Capital Planning Process operated within 10% cost/schedule/performance objectives.

Comment