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# Annual Performance Plan 2001

# Annual Performance Report 1999

Office of Surface Mining  
Reclamation and Enforcement

DEPARTMENT OF THE INTERIOR





**Office of Surface Mining**  
Annual Performance Plan FY 2001  
Annual Performance Report FY 1999



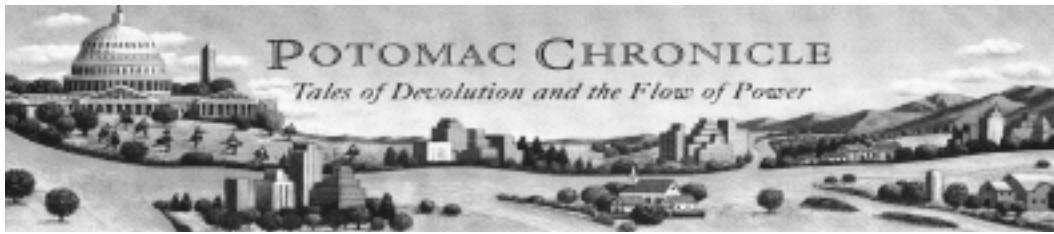
DEPARTMENT OF THE INTERIOR  
OFFICE OF SURFACE MINING RECLAMATION AND ENFORCEMENT

The employees of the Office of Surface Mining embrace the worthy objectives of the Government Performance and Results Act and, with pride, present our first consolidated FY 2001 Performance Plan and FY 1999 Performance Report.

Environmental protection remains our top priority. We are convinced that we can strengthen environmental protection by streamlining programs and emphasizing performance. In my administration, I have said that we want to accomplish things that provide a better value to you for the dollars we receive. Our goal is to increase the effectiveness of the Surface Mining Program by lifting people's skills through better training and educational opportunities and thereby becoming a technical and scientific resource for States and Tribes which resolve on-the-ground problems. We are the "Feds Who Get It" (please see article on facing page). In the new century, I think our role will be consultants in trying to grapple with problems. We should not be saying "That is a problem! Write the ticket!" Nor should we be saying "That is a problem! The state should write the ticket". What we should be saying is "We have a problem. Let's see what we can do to solve it."

As I have said in the past, we welcome your help, comments, or suggestions for continued improvement.

Kathy Karpan  
Director



Over the years, this column has used up thousands of words castigating federal officials for their failure to work constructively with their state and local partners in making government succeed. Specifically, the feds have come in for regular criticism for their depressingly predictable preoccupation with rules and regulations at the expense of getting real work done.

Washington's fixation on process in an emerging era of performance is particularly vexing when the feds themselves have proclaimed this to be the time for results-based government. Congress did that by passing the Governmental Performance and Results Act in 1993. Ever since, state and local officials have been waiting impatiently for trickle-down evidence that federal agencies actually understand what results-based government is, and that to achieve it might require a more expansive, creative and cooperative approach to intergovernmental action.

So it is heartening to report that in at least one small corner of the intergovernmental relations world, there is a group of feds who get it; a group involved in the notoriously hidebound and process-addled world of regulatory affairs, no less.

That group resides in the Interior Department's Office of Surface Mining Reclamation and Enforcement, which oversees state programs aimed at ensuring that surface mines--coal mines, mostly--are sited and operated in ways sensitive to community and environmental needs. This is the office charged with making sure that when a company is done extracting the coal, the mines are properly reclaimed, usually through backfilling, re-grading and replanting of trees and grass.

For several years now, the OSM has been engaged in a running conversation with the states about this program and its results. The conversation is aimed at producing a mutually agreed-upon set of performance measures that will accurately capture what both parties want to accomplish through a regulatory and reclamation scheme.

At a meeting in Scottsdale, Arizona, a few months ago, the OSM and state officials actually sat together (intermingled, in fact, not just huddled against the walls on their respective sides of the room) and argued in a civil fashion about which measures made sense and which didn't when it came to figuring out if the job was being done. Not surprisingly, the feds were in some instances a little more hung up on process than state officials. But they were more than willing to listen.

For example, some of the OSM people were of the opinion that a mine site ought to be proclaimed restored only when the mining company's reclamation bond has been released. At first glance that makes sense, because the bond isn't supposed to be released until the reclamation work has been satisfactorily completed. The

problem is that the bond-release process is paper-heavy and bureaucratic, and it can drag on for months, even years, after the reclamation work has been finished, leaving some reclaimed mines in a kind of bureaucratic limbo and leaving states with reclamation cases that remain open even though no more work is needed. State officials argued at the meeting that there is a simpler and better way to close out these cases: have a bunch of regulators--federal and state--drive out to the mine site, walk around to see if it has been properly backfilled and replanted, and perhaps do some surface and groundwater testing, if that's necessary. If the site passes muster, call it reclaimed, close the case and worry about the bond-release paperwork later.

While the example may be esoteric, it is a good metaphor for the difference in the way states and feds traditionally think about achieving results. Federal officials

are used to dealing in the realm of process and procedure, where milestones are built on filling out the right forms in the right way and fil-

ing them in the right place. State officials, on the other hand, operate (literally, in this case) at ground level, where results pretty much have to be measured by what's actually being accomplished--in this case, did the hole get filled right? And the metaphor is just as relevant in housing and urban development, human services, environmental protection, education and criminal justice: It is the tug and pull of paper and process versus real performance.

Maybe it is because the difference between the two is so stark in a field such as mining--it is the difference between shuffling paper and making the earth move--that state and federal mining regulators have been able to come together and work cooperatively in pursuing results-based governance. Maybe it's just that OSM has been blessed with enlightened leadership over the past few years; the current director, Kathy Karpan, who is four-square behind the cooperative approach to regulation, was secretary of state in Wyoming before moving to OSM.

Whatever the reason, federal officials from other agencies might want to take advantage of an upcoming opportunity. Next spring, OSM will be having a meeting in Cincinnati with its

eastern regional partners in mining regulation, similar to the one it held in Scottsdale with western states last summer. There, the intergovernmental conversation about results will continue. It is an exercise well worth witnessing. Officials from the U.S. Environmental Protection Agency, the Department of Housing and Urban Development, the Department of Agriculture and any other agency whose success depends on the success of states and localities would do well to consider a field trip to Cincinnati. There they will see what mutual trust and respect focused on results actually look like. It could be an eye-opener.

## Feds Who Get It

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BY JONATHAN WALTERS

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# Office of Surface Mining Reclamation and Enforcement

## Senior Management Commitment

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The management of the Office of Surface Mining (OSM) supports the goals and objectives of the Government Performance and Results Act (GPRA) and is committed to transforming OSM into a performance based agency. In accordance with GPRA guidance, this consolidated report has been prepared to show FY 1999 results and FY 2000 and 2001 planned activities, strategies, and outcomes. OSM's senior management responsible for preparing this report and for assuring its integrity and objectivity are:

Kathy Karpan  
Director

Margy White  
Chief of Staff

Mary Josie Blanchard  
Assistant Director for Program Support

Bob Ewing  
Assistant Director for Finance and Administration

Al Klein  
Regional Director for Appalachian Region

Rick Seibel  
Regional Director for Mid-Continent Region

Brent Wahlquist  
Regional Director for Western Region

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# Executive Summary

THE OFFICE OF SURFACE MINING (OSM) IS THE LEAD FEDERAL AGENCY FOR CARRYING OUT THE MANDATES OF THE SURFACE MINING CONTROL AND RECLAMATION ACT (SMCRA). THE GOAL OF SMCRA IS TO PROTECT SOCIETY AND THE ENVIRONMENT FROM THE ADVERSE EFFECTS OF SURFACE COAL MINING OPERATIONS.

Protection of society focuses on preventing fatalities or injuries by eliminating hazards such as highwalls and dangerous water bodies created by past mining, and preventing off-site accidents from current mining activities. Protection of the environment focuses primarily on water pollution caused by either soil erosion or Acid Mine Drainage (AMD) and the restoration of marred lands. OSM's mission goal of "Environmental Restoration" addresses past mining that occurred prior to the passage of SMCRA in 1977, and "Environmental Protection" addresses current mining since 1977.

## ENVIRONMENTAL RESTORATION

Environmental Restoration is accomplished through the Abandoned Mine Land (AML) Program, the major component being State and Tribal Programs that are funded through grants. The Federal Program focuses on the emergency program and coordinating special focus initiatives such as the Appalachian Clean Streams Initiative.

Measuring the final results of the AML Program, the aim of which is to restore a safe and clean environment, is a difficult task. OSM uses intermediate measures, such as the number of acres reclaimed, as an indicator of success. In 1999, 10,949 acres were reclaimed. Since 1977,

over 140,000 acres of health and safety coal related problems, such as underground fires, subsidence, landslides, open shafts, and unstable man-made cliffs (highwalls), have been reclaimed. Although not a goal or measured result, the AML Program helps stimulate the coal mining region economies in two ways. First, restoration work provides an immediate economic stimulus, creating 17 jobs for every \$1 million spent. Second, by restoring a quality environment, the AML Program helps prepare communities for new economic development. The AML Program is simply one of the most effective reclamation programs in history. Yet, much remains to be done.

It is estimated that over 1.5 million acres of land had been disturbed and over 11,500 miles of streams polluted by coal mining. AML coal problems are classified into five priorities, with the vast majority of restoration efforts addressing priority 1 and 2 problems. More than 138,000 acres of priority 1 (extreme danger to public health, safety, and general welfare) and priority 2 (adverse effects to public health, safety, and general welfare) sites remain unreclaimed, and over 100,000 acres of unreclaimed priority 3 (environmental hazards) sites are included in the AML inventory.

## ENVIRONMENTAL PROTECTION

The Surface Mining Program oversees 4.4 million acres in 26 States and on lands of three Indian Tribes. The principal means of delivering environmental protection within the framework of SMCRA is through “primacy” States that receive Federal grant funding.

The extent to which the environment, people, and property is protected is measured by the number of incidents that occur outside the boundaries of the permitted areas being mined. These are known as off-site impacts. In 1999, 94 percent of the mine sites were free of off-site impacts. Of the remaining 6 percent that did have off-site incidents, only 7 percent were in the major severity category. Recognizing that water issues account for 44 percent of off-site impacts, OSM is implementing a “National Hydrology/AMD Plan” as one of its FY2000-2001 priorities.

The indicator of currently mined land being restored that meets the criteria of contour, topsoil, and revegetation success is the number of acres released from Phase III bonds. In 1999, 72,749 acres were released from Phase III bonds.

## BETTER SERVICE AND ASSISTANCE

OSM is embracing the following overarching strategies to give better service and assistance (fiscal, technical, and informational) to improve the States’ and Tribes’ capabilities to achieve SMCRA compliance.

- Provide services that **add value** and are **uniquely Federal**, supporting the States and Tribes as the primary achievers of SMCRA’s goals and objectives.
- **Establish rules and policies that enable** more efficient and effective reclamation and also raise the environmental bar. Initiatives include the AML Enhancement Rule, National Hydrology/Acid Mine Drainage Plan, Virginia Remining Experimental Practice, revision of the AOC formula, and Mountaintop Mining review.

- Continue to encourage **partnership participation** by working with States and Tribes through their reclamation and regulatory agencies, and associations such as the National Association of AML Programs. OSM encourages reclamation partnerships such as the Clean Streams Initiative. This strategy, in addition to lowering Federal Surface Mining Program costs by using other sources of funds, involves grassroots interest and direction, which often leads to innovative approaches to resolve problems and reduce costs.

## FY 2000 AND FY 2001 PRIORITIES

### Improve the quality of our natural land and water resources through reclamation - AML and current mining

- Prepare an Environmental Impact Statement (EIS) on the effects of **mountaintop mining** in conjunction with the Environmental Protection Agency, Corps of Engineers, and the U.S. Fish and Wildlife Service.
- Review, as part of OSM’s evaluation process, the AML Program with the objective of **maximizing AML resources**. Two areas of emphasis will be assessing the AML problems that still need to be abated and reauthorizing the AML reclamation fee.
- Address water-related issues in the AML and Regulatory Programs as outlined in OSM’s **National Hydrology/AMD Plan**. Prevention of acid and toxic discharges from coal mining operations into surface and ground waters, and the remediation of mining-related pollutant discharges are among OSM’s highest priorities. OSM has developed a comprehensive outline for ongoing and planned endeavors to strengthen its efforts to prevent and control AMD and to address water-related issues in the Regulatory and AML Programs.
- Address issues involving bonding, blasting, and post-mining land uses as identified by **OSM’s High Priority Issue Initiative**.

## Improve the Surface Mining Program

- Within the strategic planning process, focus on **succession planning**. Since 50 percent of OSM employees are eligible to retire in the next 10 years, OSM has begun to identify potential vacancies and resource needs in advance, and plan accordingly.
- Focus on being **problem solvers through increased technical knowledge and technology**. One of OSM's most visible programs is the National Technical Training Program, a cooperative effort with the States and Tribes that addresses regulatory and reclamation requirements. In 1999, 49 sessions were offered, including several new customized courses to address specific State needs. Course topics include acid forming materials, water sampling, Indian trust responsibilities, evidence handling, and expert witness requirements.

OSM is also sponsoring a series of technical and policy interactive forums on **successful reforestation efforts and technologies**. Reforesting mined land provides multiple benefits including restoration of clean water and air resources, erosion prevention, wildlife habitat, recreational opportunities, and economic opportunities based on forest use and products.

# About This Document

The Government Performance and Results Act (GPRA) requires agencies to submit annual performance plans to Congress with their fiscal year budget request, and to prepare an annual performance report at the end of each fiscal year (FY) on how well they met their goals. The FY 1999 Annual Performance Plan was the Office of Surface Mining's first official plan submitted to Congress, and the FY 1999 Annual Performance Report is OSM's first opportunity to report on our accomplishments.

This document combines the 2001 Annual Performance Plan with the 1999 Annual Performance Report and is organized to provide information on three elements of OSM's performance planning and accomplishments. They are:

- (1) the annual report on performance and accomplishments FY 1999;
- (2) a revised annual operating plan for FY 2000, resulting from final budget appropriations and/or recent issues or priorities that would require a revision to that plan; and

- (3) the FY 2001 annual performance plan, which describes the major initiatives and anticipated accomplishments for OSM.

The advantage to this combined document is that its display of multiple prior year data will show long-term trends in performance and help clarify and support management choices on resource allocation. This single document also affords readers a comprehensive perspective on OSM's past accomplishments and future objectives, and portrays the Office's accountability for the taxpayer's dollars received from Congress.

Through this presentation, a trend can begin to emerge portraying success, failure, or maintenance of goals and measures. This trend will be indicative of the need to continue doing the right things that are successful and allow for adjustments to those that need to be revised or revisited.

# Section I

## *Introduction and Overview*

### 1.1 INTRODUCTION

#### **The Office of Surface Mining**

Protecting the environment during coal mining and making sure the land is reclaimed afterward have been national requirements since 1977, when the Surface Mining Law was signed. Making sure those requirements are met is the responsibility of the Interior Department's Office of Surface Mining (OSM).

#### **Partnerships with the States**

How can an agency as small as the Office of Surface Mining (approximately 650 employees nationwide) succeed in such a challenging responsibility? Only by partnerships with the governments of the States where coal is mined. The Surface Mining Law gives primary responsibility for regulating surface coal mining reclamation to the States themselves, a responsibility that 24 coal States have chosen to exercise. On Federal lands and Indian Reservations (Navajo, Hopi, Crow), and in the coal States that have not set up regulatory programs of their own (Tennessee and Washington), the Office of Surface Mining issues the coal mine permits, conducts the inspections, and handles the enforcement responsibilities.

#### **Funds for Mine Reclamation**

The Office of Surface Mining's annual budget enables it to support the States' Surface Mining Programs by matching their regulation and enforcement costs dollar for dollar. It also pays 100 percent of the costs for restoring abandoned mine lands that were left unreclaimed before the Surface Mining Law was signed. Funds for reclaiming abandoned mines come from tonnage-based reclamation fees paid by active coal mines.

#### **Results**

Past coal mining abuses have been halted. Coal mine operators now reclaim the land and protect water resources as they work. Mined lands are no longer abandoned without proper reclamation. More than 19,000 acres of pre-1977 dangerous abandoned mine waste piles have been restored to productive use. Over 2.7 million linear feet of dangerous cliff-like highwalls have been eliminated. More than 20,000 dangerous abandoned portals and hazardous vertical openings have been sealed.

#### **The 24 "Primacy States"**

The 24 States, which are OSM's partners, that have implemented their own Surface Mining Programs are: Alabama, Alaska, Arkansas, Colorado, Illinois, Indiana, Iowa, Kansas, Kentucky, Louisiana, Maryland, Mississippi, Missouri, Montana, New Mexico, North Dakota, Ohio, Oklahoma, Pennsylvania, Texas, Utah, Virginia, West Virginia, and Wyoming.

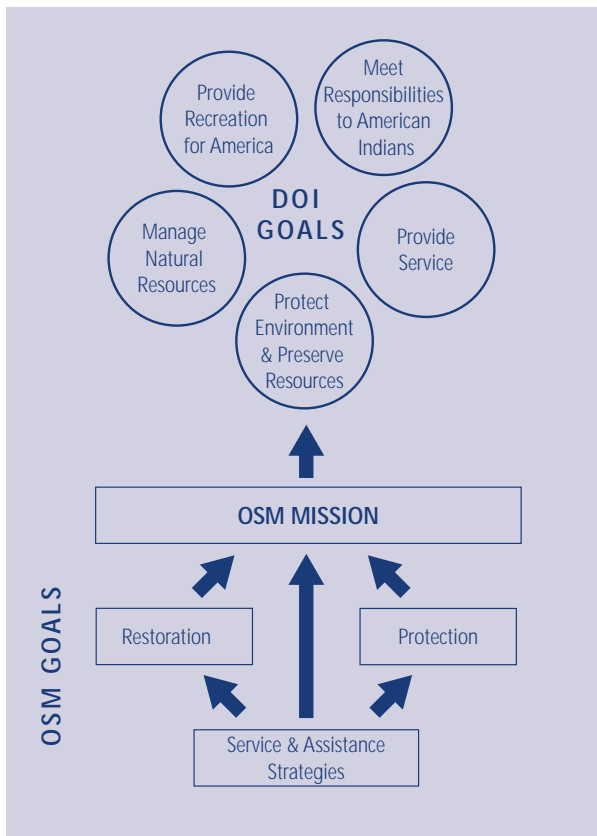
## 1.2 MISSION STATEMENT

OSM's mission is to carry out the requirements of the Surface Mining Control and Reclamation Act in cooperation with States and Tribes. Our primary objectives are to:

- ensure that coal mines are operated in a manner that protects citizens and the environment during mining,
- assure that the land is restored to beneficial use following mining, and
- mitigate the effects of past mining by aggressively pursuing reclamation of abandoned mines.

## 1.3 RELATIONSHIP TO DEPARTMENTAL GOALS

This performance plan is OSM's annual effort to satisfy, on a continuing basis, its comprehensive strategic plan. The plan consists of two mission goals and a number of strategies associated with accomplishing the mission of the Office and supporting the Department of the Interior's goal to "Protect the Environment and Preserve Our Nation's Natural and Cultural Resources."



## 1.4 LINKAGE TO BUDGET

OSM's "Performance Efforts" are operationally linked to the budget. Beginning in FY 1997, OSM's budget activities were restructured around five business lines that show clear support for accomplishing the mission goals. Resources are allocated to program offices through an organization-wide system that annually assesses goals, priorities, strategies, and targets.



## 1.5 ADJUSTMENTS TO THE STRATEGIC PLAN

This FY 2001 Annual Performance Plan is the first annual performance plan from the revised Strategic Plan, which covers the years 2000 through 2005. Therefore, there are no adjustments reflected.

1.6 FY 2001 ANNUAL PERFORMANCE PLAN "AT-A-GLANCE"

DOE Goal	OSM Mission Goals	Long-Term Goals	FY 2001 Annual Goals
<p>Protect the Environment and Preserve Our Nation's Natural and Cultural Resources</p>	<p>Environmental Restoration - Repair, reclaim and restore as much land and water as possible that was degraded by past mining - in order to provide America with cleaner and safer land and water.</p>	<p>By FY 2005, the Surface Mining Program will reclaim 17,000 acres annually.</p>	<p>The Surface Mining Program will reclaim 9,100 acres annually.</p> <p>The Office of Surface Mining will provide funding for 46 new cooperative Acid Mine Drainage Projects under the Clean Streams Initiative.</p>
	<p>Environmental Protection - Improve OSM's Regulatory Program for protecting the environment, people and property during current mining operations and subsequent reclamation through cooperative results-oriented oversight and evaluation of State programs and in carrying out OSM's regulatory responsibilities - in order to safeguard people and the environment.</p>	<p>By FY 2005, the Surface Mining Program will protect the environment as indicated by the percentage of sites being free of off-site impacts and by the number of acres released annually from Phase III Performance Bonds.</p>	<p>The Surface Mining Program OSM will increase the percentage of sites that are free of off-site impacts to 95%.</p> <p>The Surface Mining Program OSM will release 110,000 acres annually from Phase III Performance Bonds.</p>

# Section II

## *GPRRA Program Activities and Goals*

### 2.1 ENVIRONMENTAL RESTORATION (ABANDONED MINE LAND RECLAMATION)

#### **Description**

Environmental Restoration addresses the enhancement of public health, safety, and general welfare by correcting problems caused by past mining practices. The OSM maintains a national inventory that contains information on over 13,700 problem areas associated with abandoned mine lands. A problem area is a geographical area, such as a watershed, that contains one or more problems. The more serious problem areas are classified as priority 1 (threats to public health and safety), priority 2 (general welfare problems), or priority 3 (environmental hazards).

Problem areas are addressed through the Abandoned Mine Land (AML) Program. AML Program components include:

- Twenty-three State and three Tribal programs, which are funded through Federal grants, undertake the majority of reclamation projects.
- State and Federal emergency programs address unforeseen problems that require immediate action to safeguard people and property. Emergencies are generally the result of either subsidence, the caving in of old underground mines which impacts surface structures or leaves dangerous depressions, or landslides.
- Federal non-emergency programs address problems in States without an approved reclamation program.
- Appalachian Clean Streams Initiative focuses on efforts to clean-up AMD through partnerships with local grassroots organizations and other interested parties.

- Civil Penalties, Bond Forfeitures, and Outcrop and Underground Fire Control Projects address restoration projects not eligible for AML funding. Civil penalty and bond forfeiture projects address post-1977 abandoned mine sites where operators failed to adequately reclaim the land. Coal outcrop fires are ignited by forest fires and are a long-term threat to public safety and property.
- Financial Management includes the Fee Compliance Program and Grants Financial Management.

#### **FY 2001 GOAL**

- 01.01 In FY 2001, the Surface Mining Program will reclaim 9,100 acres annually.
- 01.02 In FY 2001, the Office of Surface Mining will provide funding for 46 new cooperative Acid Mine Drainage Projects under the Clean Streams Initiative.



**GPRA MISSION GOAL - BUDGET ACTIVITY TABLE**

<b>Environmental Restoration Mission Goal</b>						
<b>Budget Activity/ Subactivity (\$000)</b>	<b>FY 1999 Enacted</b>		<b>FY 2000 Enacted</b>		<b>FY 2001 Pres. Budget</b>	
	<b>Budget Activity</b>	<b>Goal</b>	<b>Budget Activity</b>	<b>Goal</b>	<b>Budget Activity</b>	<b>Goal</b>
Environmental Restoration - AML (Grants, Federal Prog.)	170,140	170,140	181,019	181,019	195,785	195,785
Environmental Restoration - R&T (Bond Forfeitures, Outcrop Fires, & Civil Penalty Projects)	419	419	425	425	432	432
Environmental Protection -R&T	70,018	0	72,049	0	73,408	0
Technology Dev. & Transfer - AML (Tech Asst, Training, Tech Trans -Goal excludes SOAP)	3,473	1,958	3,536	2,036	3,599	2,099
Technology Dev. & Transfer - R&T (Tech Asst, Training, Tech Trans)	11,300	0	11,491	0	11,846	0
Financial Management - AML (Fee Compliance, Grants Fin Mgt.)	5,860	5,860	5,205	5,205	5,414	5,414
Financial Management - R&T (Grants Fin Mgt.)	511	0	521	0	537	0
Executive Dir. & Admin - AML	5,919	5,919	6,113	6,113	6,360	6,360
Executive Dir. & Admin - R&T	11,059	0	11,374	0	11,853	0
<b>TOTAL</b>	<b>278,699</b>	<b>184,296</b>	<b>291,733</b>	<b>194,798</b>	<b>309,234</b>	<b>210,090</b>

**ENVIRONMENTAL RESTORATION MISSION GOAL: REPAIR, RECLAIM, AND RESTORE AS MUCH LAND AND WATER AS POSSIBLE THAT WAS DEGRADED BY PAST MINING, IN ORDER TO PROVIDE AMERICA WITH CLEANER AND SAFER LAND AND WATER.**

**GPRA Program Activity – Environmental Restoration**

**Long-Term Goal: By FY 2005 – The Surface Mining Program will reclaim 17,000 acres annually.**

**ANNUAL PERFORMANCE MEASURE: IN FY 2001**

<b>Performance Measure</b>	<b>1997 Actual</b>	<b>1998 Actual</b>	<b>1999 Plan</b>	<b>1999 Actual</b>	<b>2000 Plan</b>	<b>2001 Plan</b>
<b>01.01</b> The Surface Mining Program will reclaim 9,100 acres annually.	6,727 acres	7,201 acres	7,400 acres	10,949 acres <sup>1</sup>	8,100 acres	9,100 acres
<b>01.02</b> The Office of Surface Mining will provide funding for 46 new cooperative Acid Mine Drainage Projects under the Clean Streams Initiative.	16 projects	9 projects	37 projects	29 projects	42 projects	46 projects

<sup>1</sup> The accomplishments reported by States and Tribes for FY 1999 included more than one fiscal year. Actual project completion may occur one to three years after funding. OSM's calculated estimate for FY 1999 actual is 7,400 acres. FY 2000 and FY 2001 planned results used 7,400 acres as the baseline.

**Goal Description**

Measuring the final results of the AML Program, the aim of which is to restore a safe and clean environment, is a difficult task. OSM uses the intermediate measure of "acres reclaimed" as an indicator of success.

Reclamation problems can involve 17 different types of hazards using five different units of measure: miles, acres, feet, counts, and gallons per minute. For GPRA purposes, all reclamation efforts are converted to "acres reclaimed" based on standardized conversion factors (see Table 1).

To provide a truer picture of OSM's restoration efforts, Figures 1a through 1d show the annual, cumulative accomplishments by units of measure (i.e., miles reclaimed, acres reclaimed, feet reclaimed, and number of units reclaimed).

**FY99 Annual Performance Report for Mission Goal # 1 - Environmental Restoration**

Acid mine drainage (AMD) is the number one water pollutant in the coal fields of the Appalachian area causing major environmental and public health problems. OSM's emphasis on the Appalachian Clean Streams Initiative, combined with increasing watershed stewardship at the community level and more sophisticated and cost-effective treatment technology, has promoted increased water restoration projects. OSM has partnered with over 100 government agencies, private watershed groups, environmental groups, private foundations, coal producers, and private individuals on these projects. To further these types of projects, in 1999 OSM implemented the Watershed Cooperative Agreement Program. The program allows OSM to award money directly to private not-for-profit agencies, such as small watershed organi-

## ENVIRONMENTAL RESTORATION WORKLOAD AND OTHER PERFORMANCE STATISTICS

	1997 Actual	1998 Actual	1999 Actual
Percent increase of funded AML high priority coal sites to total AML inventory	0.3%	0.5%	0.8%
Number of emergency hazards abated	402	406	308
Percent of non-Surface Mining Program funds for Clean Streams Initiative	56%	50%	55%
Customer Satisfaction Index (based on surveys covering both mission goals)	85%	88%	94%
Process Efficiency Index (covers grants processing, fee compliance and debt collection)	97%	96%	98%
Budgetary Index - Total goal funding per acre reclaimed. (For trend illustration only - does not necessary reflect actual cost data as defined by Federal Financial Accounting Standard No.4. All problem types have been converted to a calculated acre equivalent and after funding, reclamation may not occur until 3 years later.)	\$26,176/acre	\$22,948/acre	\$16,832/acre

zations, to undertake local AMD reclamation projects. This program is intended to provide “finishing” money, i.e., the final amount necessary to complement the contributions of other supporting partners so that actual construction can proceed. Eleven cooperative agreements were awarded, ranging from \$22,000 to \$80,000, totaling \$750,000.

On February 12, 1999, OSM issued its final “AML Enhancement Rule” that allows more AML sites to be reclaimed without significant additional cost to the government. The intent of the rule is to achieve more reclamation by allowing contractors to sell the incidental coal found during reclamation, in order to offset reclamation costs.. Three States have taken steps to use the new rule. Pennsylvania has identified 25 projects under this “enabling” regulation.

**TABLE 1**

**AML RECLAMATION ACCOMPLISHMENTS THROUGH SEPTEMBER 30, 1999**  
**PRIORITY 1 AND 2 COAL & NON-COAL PROBLEMS**

<b>PROBLEM TYPE</b>	<b>MEASURES</b>	<b>COAL UNITS</b>	<b>NON-COAL UNITS</b>	<b>GPRA ACRES</b>
Clogged Streams	Miles	319	145	2,196
Clogged Stream Lands	Acres	21,889	2,764	24,653
Dangerous Highwalls	Feet	2,469,909	374,598	40,724
Dangerous Impoundments	Count	487	8	3,233
Dangerous Piles & Embankments	Acres	18,588	2,133	20,721
Dangerous Slides	Acres	3,615	32	3,676
Gases: Hazardous Explosive	Count	30	1	31
Hazardous Equipment & Facilities	Count	2,897	40	301
Hazardous Water Body	Count	743	286	5,277
Industrial/Residential Waste	Acres	930	99	1,029
Polluted Water: Agricultural & Industrial	Count	185	9	927
Polluted Water: Human Consumption	Count	8,966	-	45,472
Portals	Count	9,785	3,568	1,419
Subsidence	Acres	5,975	176	6,135
Surface Burning	Acres	1,477	-	1,477
Underground Mine Fire	Acres	1,616	-	1,616
Vertical Opening	Count	4,755	4,557	992
<b>Total GPRA Acres</b>				<b>159,879</b>

*Note: GPRA Acres are non-acre measures (feet of highwalls or number of portals that are converted by formula to acres). GPRA acres are used to measure program performance.*

*Source: Abandoned Mine Land Inventory System (AMLIS).*

Figure 1a represents AML projects that are measured in acres. The hazards included in this category are: waste sites, slides, subsidence, surface and underground fires piles, and embankments.

**AML Hazards in Acres**

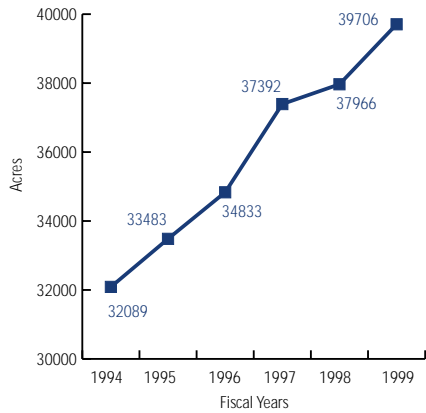


Figure 1c represents AML projects that are measured in number of hazards reclaimed. The hazards included in this category are: equipment and facilities, gases, impoundments, polluted water, portals, vertical openings, and water bodies

**AML Hazards in Numbers**

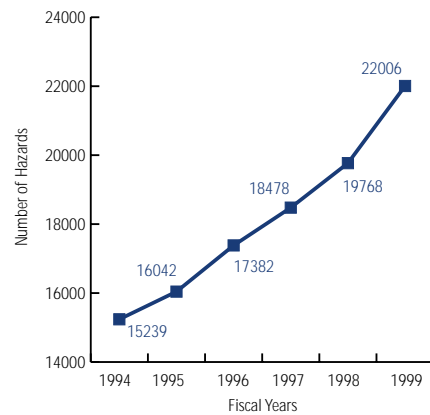


Figure 1b represents AML projects that are measured in miles. The hazard included in this category is clogged streams.

**AML Hazards in Miles**

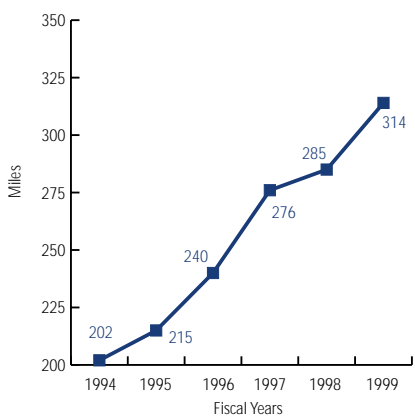
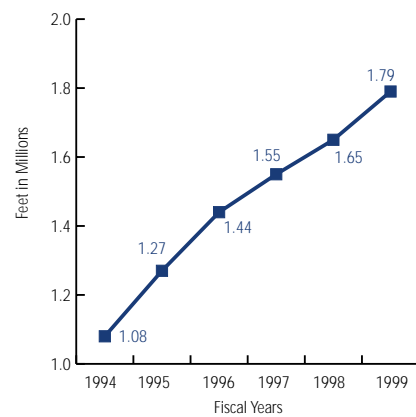


Figure 1d represents AML projects that are measured in feet. The hazard included in this category is highwalls.

**AML Hazards in Feet**



### FY 2001 Changes

An increase of \$15.3 million is being requested for the Environmental Restoration Goal, which will result in an additional 1,000 acres being reclaimed, and 46 new cooperative AMD projects started under the Clean Streams Initiative.

### DATA VERIFICATION AND VALIDATION

Data Collection Methodology, Sources, and Limitations	Data collected from internal OSM operations and externally from 23 State and 3 Tribal programs through an automated system - Abandoned Mine Land Information System (AMLIS). All hazard measurement units are converted to acres based on standardized conversion factors.
Validation	OSM will use the following three prong approach for verifying and validating performance measure data: 1) a self-assessment by program managers conducted annually for all performance measures; 2) periodic reviews coordinated by the Office of Strategic Planning and Evaluation; 3) audits by external staff from such agencies as the Office of the Inspector General or GAO. Data is reviewed before it is entered into the system and is automatically reviewed through a variety of internal controls. During program evaluation activities, OSM spot checks documentation related to State/Tribal site priority settings to ensure that the on-the-ground conditions are being classified properly in the inventory.

## 2.2 ENVIRONMENTAL PROTECTION (ACTIVE COAL MINING)

### Description

Regulatory programs under SMCRA ensure that the environment is protected during coal mining and that the land is adequately reclaimed during and following the mining process. During 1999, coal mining activities occurred in 26 States and on lands of three Tribes.

Twenty-four States have approval to administer State Regulatory Programs. OSM administers Federal Programs in Washington and Tennessee. OSM also administers the Indian Lands Program for mining on Navajo, Hopi, and Crow Tribal lands. States assist OSM through cooperative agreements to regulate mining on Federal lands. OSM supports State programs with grants and technical assistance. Program components include:

- State and Tribal Regulatory Programs, which are partially funded through Federal grants, are the primary regulators of current mining;
- Federal Programs that regulate current mining in States without approved programs and provide oversight assistance in States with approved regulatory programs;
- Technology Development and Transfer Programs that support the States, Tribes, Federal agencies, the coal industry, and citizens by providing technical information and tools for carrying out the requirements of SMCRA;
- The National Technical Training Program, a cooperative effort with States and Tribes that provides instruction on such subjects as acid mine drainage, blasting, hydrology, and revegetation; and
- The Small Operator Assistance Program (SOAP), which provides for State grants to help small mine operators obtain technical data required for permitting, engineering analyses for hydrologic impact determination, and fish and wildlife protection plans.

## FY 2001 GOALS

- 02.01 In FY 2001, the Surface Mining Program will increase the percentage of sites that are free of off-site impacts to 95 percent.
- 02.02 In FY 2001, the Surface Mining Program will release 110,000 acres annually from Phase III Performance Bonds.

**GPRA MISSION GOAL - BUDGET ACTIVITY TABLE**

<b>Environmental Protection Mission Goal</b>						
<b>Budget Activity/ Subactivity (subactivity linked to goal) (\$000)</b>	<b>FY 1999 Enacted</b>		<b>FY 2000 Enacted</b>		<b>FY 2001 Pres. Budget</b>	
	<b>Budget Activity</b>	<b>Goal</b>	<b>Budget Activity</b>	<b>Goal</b>	<b>Budget Activity</b>	<b>Goal</b>
Environmental Restoration (AML)	170,140	0	181,019	0	195,785	0
Environmental Restoration (R&T)	419	0	425	0	432	0
Environmental Protection (R&T- Grants, Fed Prog, Fed Lands, Indian Lands)	70,018	70,018	72,049	72,049	73,408	73,408
Technology Dev. & Transfer (AML- SOAP; Goal excludes Tech Asst, Training, Tech Trans)	3,473	1,515	3,536	1,500	3,599	1,500
Technology Dev. & Transfer (R&T- Tech Asst, Training, Tech Trans)	11,300	11,300	11,491	11,491	11,846	11,846
Financial Management (AML)	5,860	0	5,205	0	5,414	0
Financial Management (R&T- Revenue Mgt, Grants Fin Mgt)	511	511	521	521	537	537
Executive Dir. & Admin (AML)	5,919	0	6,113	0	6,360	0
Executive Dir. & Admin (R&T)	11,059	11,059	11,374	11,374	11,853	11,853
<b>TOTAL</b>	<b>278,699</b>	<b>94,403</b>	<b>291,733</b>	<b>96,935</b>	<b>309,234</b>	<b>99,144</b>



**ENVIRONMENTAL PROTECTION MISSION GOAL: IMPROVE OSM'S REGULATORY PROGRAM FOR PROTECTING THE ENVIRONMENT, PEOPLE, AND PROPERTY DURING CURRENT MINING OPERATIONS AND SUBSEQUENT RECLAMATION THROUGH COOPERATIVE, RESULTS-ORIENTED OVERSIGHT AND EVALUATION OF STATE PROGRAMS AND IN CARRYING OUT OSM'S REGULATORY RESPONSIBILITIES, IN ORDER TO SAFEGUARD PEOPLE AND THE ENVIRONMENT.**

**GPRA Program Activity – Environmental Protection**

**Long-Term Goal: By FY 2005** – The Surface Mining Program will protect the environment better as indicated by the percentage of sites that are free of off-site impacts and returning the land to productive use as indicated by the number of acres released annually from Phase III Performance Bonds.

**ANNUAL PERFORMANCE MEASURE: IN FY 2001**

<b>Performance Measure</b>	<b>1997 Actual</b>	<b>1998 Actual</b>	<b>1999 Plan</b>	<b>1999 Actual</b>	<b>2000 Plan</b>	<b>2001 Plan</b>
<b>02.01</b> The Surface Mining Program will increase the percentage of sites that are free of off-site impacts to 95%.	88%	93%	94%	94%	94%	95%
<b>02.02</b> The Surface Mining Program will release 110,000 acres annually from Phase III Performance Bonds.	82,000 acres	85,301 acres	90,000 acres	72,749 acres	100,000 acres	110,000 acres

**ENVIRONMENTAL PROTECTION WORKLOAD AND OTHER PERFORMANCE STATISTICS**

	<b>1997 Actual</b>	<b>1998 Actual</b>	<b>1999 Actual</b>
The number of acres released from Phase I & II Performance Bonds	115,000 acres	144,829 acres	102,820 acres
Customer Satisfaction Index (based on surveys covering both mission goals)	85%	88%	94%
Process Efficiency Index (covers grant processing and debt collection)	97%	94%	97%
Budgetary Index - Total goal funding per acre under permit ( For trend illustration only - does not necessary reflect actual cost data as defined by Federal Financial Accounting Standard No.4)	\$29.00/acre	\$20.94/acre	\$19.92/acre

Since 1980 the funding per acre of protection has steadily declined. In 1980 the 3-year average protection funding was \$154.10 per acre permitted, in 1990 the 5-year average funding had dropped to \$37.72, and in 2000 the 5-year projected average is less than \$24.00 per acre. This reflects increased efficiency of both the States and OSM in carrying out the mandates and mission of the Surface Mining Program.

### Goal Description

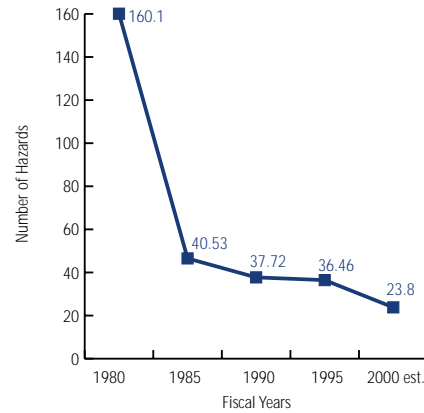
As with the Environmental Restoration Goal, Environmental Protection results are also difficult to measure. OSM uses two intermediate indicators: off-site impacts and acres released from Phase III bonds.

During active mining, the potential risk from safety and environmental hazards increases within the permitted site. However, because of required precautions, long-term effects are minimized. Off-site impacts indicate events that are not expected and may cause problems that are more difficult to correct. It is the ultimate goal of the Surface Mining Program to have 100 percent of mine sites free of off-site impacts. Acres released from Phase III bonds indicate that after mining, the permitted mine sites have been returned to a productive state that no longer poses safety or environmental threats. Taken together, these two measures provide an indication of the safety and environmental status of mine sites both during and after mining.

OSM has taken the most important step towards this goal by evaluating off-site impacts where it has regulatory authority and through the oversight process in States with primacy. The results have been tabulated for all mine sites nationwide for two consecutive years. To continue improving or reducing the number of off-site impacts, OSM needs to review and evaluate the location, numbers, and types of off-site impacts being encountered and prescribe program improvements. This may include making permit adjustments, targeting inspections, etc.

The use of analytical software in making permitting decisions will help to achieve on-the-ground compliance and lessen the chance of off-site damage. Trend analysis of monitoring data will help focus attention on prob-

**Environmental Protection  
Five-Year Funding Average per Acre**



lematic areas before violations occur. Use of Geographic Information Systems (GIS) to map various layers of a mine permit will assist in visualizing the plans and data available. It will also afford the permitting and inspection staff the ability to categorize land areas and keep better track of the status of reclamation.

OSM is exploring strategies to improve performance in the area of bond releases by working with the operators and States to develop mechanisms by which disturbed and reclaimed lands can be better and consistently identified. Through the technology transfer business line, OSM is providing training and technical assistance and conducting workshops and interactive forums on topics dealing directly with bond-release issues. Bond release depends on successful achievement of the performance standards and success criteria in SMCRA, regulations, and the reclamation plan contained in a specific permit. Understanding the yardstick used to measure success is an important factor in achieving bond release. Also, continued inspection of sites provides assurances that reclamation is progressing as scheduled and in accordance with plans. Technology such as Global Positioning System (GPS) units, analytical software, use of geo-statistics, and other predictive techniques will help in the effort. Training courses and workshops will help by sharing experiences in conducting bond releases and cross training on techniques applied successfully in State and Federal programs. Use of geographic information systems (GIS) technology will

allow regulators to better track each permit's bond-release status.

OSM will continue to raise awareness among OSM staff, the States, and the coal industry of the importance and meaning of this goal and its related measures through continually improving policy guidelines, expanding understanding of GPRA, and educating those most responsible for achieving the goal.

**FY 99 Annual Performance Report for Mission Goal # 2 - Environmental Protection**

To measure the outcomes of this goal - protecting the environment, people, and property during and subsequent to current mining- the Surface Mining Program looked at the two outputs that would indicate attainment of these desired results. They are:

1. The number of off-site impacts that occur. These are damaging effects that occur as a result of blasting, land stability, hydrology, encroachment, etc., which affect people, land, water, or structures outside the permitted area of mining operations. In addition, analysis was conducted on the three categories of impact (minor, moderate, or major) in relation to the severity of any impacts.
2. Phase III bond release. These are the number of acres that have been fully reclaimed from current mining operations, have met the performance standards, and have been released as useful and productive restored land. The performance measure is the acreage of land that is released every year by

active coal mine operators (and is dependent on the operator to file application for the release). This is done through a series of bond releases. The bonds are required to assure that funds are available for reclamation in case the operator fails to reclaim the mined land. OSM is also reporting the acreage of Phase I and Phase II bond releases in order to show the progression of reclamation toward Phase III in the reporting year. OSM's annual goal for FY 1999 was the release of 90,000 acres from Phase III.

In FY 1999, OSM, along with its partners the States and Indian Tribes, conducted an analysis of the indicators, the results of which follow.

- (1) Off-site Impacts - Protecting the environment, people, and property is measured by the number of incidents that occur outside the boundaries of the permitted areas being mined. These are known as off-site impacts and the goal is to not have any incidents occur. It is inevitable that some impacts will occur - 100 percent compliance is not realistic. In 1999, the Surface Mining Program's goal was to have 94 percent of the mines free of off-site impacts and that goal was realized. Of the 6 percent that had off-site incidents, only 7 percent were in the category of major severity. There was a 21 percent decrease in the number of impacts and resources affected from 1998. This decrease from 1998 breaks down to a decrease of 21 percent in minor severity; 18 percent in moderate severity; and 30% in major severity. (See Table 2.)

**TABLE 2: ENVIRONMENTAL PROTECTION WORKLOAD AND OTHER PERFORMANCE STATISTICS**

Resources Affected	People			Land			Water			Structures				
	Degree	Tot	Min	Mod	Maj	Min	Mod	Maj	Min	Mod	Maj	Min	Mod	Maj
1999		100	6%	2%	2%	28%	8%	3%	34%	9%	1%	4%	1%	1%

	1999 of Total		1998 of total		
Minor	705	73%	892	72%	→ 21% fewer in 1999
Moderate	196	20%	238	20%	→ 18% fewer in 1999
Major	71	7%	102	8%	→ 30% fewer in 1999
Total	972		123		→ 21% fewer in 1999

In the future, OSM will be working with States, Tribes, and the coal industry to strive for and maintain a minimum number of occurrences.

- (2) Bond Release - A total of 72,749 acres were released from Phase III performance bonds and our goal was 90,000 acres. The shortfall may be attributed to the lack of administrative processing of bond releases rather than land not being reclaimed adequately and promptly. With bond release a major focus of oversight, OSM is exploring strate-

gies to improve performance in this area by working with the operators and States to develop mechanisms by which disturbed and reclaimed lands can be better and consistently identified.

**FY 2001 Changes**

For this goal, only minor funding changes for uncontrollable costs are proposed. The percentage of sites that are free of off-site impacts will increase to 95 percent and the number of acres released annually from Phase III Performance Bonds will increase to 110,000 acres.

**DATA VERIFICATION AND VALIDATION**

Data Collection Methodology, Sources, and Limitations	Data collected from internal OSM operations and externally from 24 State and 4 Tribal programs through a manual system. OSM Directive REG-8 establishes procedures for conducting oversight of State regulatory programs and the reporting of data.
Validation	OSM is using the following three prong approach for verifying and validating performance measure data: 1) a self-assessment by program managers conducted annually for all performance measures; 2) periodic reviews coordinated by the Office of Strategic Planning and Evaluation; 3) audits by external staff from such agencies as the Office of the Inspector General or GAO.

## Section III

### *Additional Annual Performance Plan Requirements*

#### 3.1 CUSTOMER SERVICE STANDARDS

OSM's customer service statistics for FY 1999 reflect the commitment to provide better service. They are:

- 91 percent customer satisfaction rate in the quality of our technical training.
- 98 percent customer service rate for technical assistance activities.
- 88 percent customer satisfaction rate for technical training/assistance of the Technical Information Processing System (TIPS).
- 93 percent customer satisfaction rate for our technical transfer activities.
- 96 percent customer satisfaction rate in the quality and timeliness of Applicant Violator System provided services.
- 100 percent customer service rate in the accuracy, timeliness, and overall satisfaction of the grants financial management function.

#### 3.2 CROSSCUTTING ISSUES

OSM programs are focused on two areas — the coal mining industry and environmental protection — both of which involve a variety of crosscutting issues with other Federal agencies.

As the two primary Federal regulators of the coal industry, OSM (environmental regulations) and the Mine Safety and Health Administration (MSHA) (safety and health regulations) coordinate activities, primarily those involving blasting and dam construction. In addition, because coal mining sometimes involves waterways, regulatory coordination with the Environmental Protection Administration (EPA) and the U.S. Corps of Engineers (Corps) is also required. OSM is working with EPA and the Corps on an Environmental Impact Statement (EIS) concerning mountaintop mining practices involving the placement of "fill" in stream beds.

OSM's environmental responsibilities focus on reclaiming abandoned mine lands with its primary partners, the States. However, some abandoned mines are found on Federal lands administered by the National Park Service, the Bureau of Land Management, and the U.S. Forest Service. Reclamation activities on these Federal lands are being coordinated and technical expertise and resources are shared among the agencies.

OSM participates, along with a number of other natural resources agencies, in the Natural Resource Performance Management Forum (Forum). The Forum was established in 1995 to discuss strategic goals and to coordinate agency planning activities. The Forum includes 15 Federal natural resource agencies. As the first phase of coordinating crosscutting issues, the Forum concentrated on the "convergence" of water quality management issues. Convergence is defined as when agencies' goals and activities overlap, conflict, or interact in other ways. Preliminary analysis of OSM's water quality management activities has not identified any "key areas" of convergence with other agencies.

#### 3.3 MANAGEMENT ISSUES

Currently, neither the General Accounting Office (GAO) nor Interior's Office of Inspector General has identified any major performance or management challenges that limit OSM's effectiveness in carrying out its mission.

OSM's internal High Priority Issues Initiative (see section 3.5 Program Evaluations) identified the following areas as potential issues: hydrology, bonding, blasting, and post-mining land uses.

### 3.4 DATA VERIFICATION AND VALIDATION

Program managers tend to manage their programs by tracking outputs. Tracking outputs is a vital and necessary part of running a program. However, to truly evaluate the success of a program, outcomes or results must be measured. The “GPRA community” recognizes that results are often hard to identify and even harder to measure. OSM has chosen to focus on the more difficult path of measuring results rather than simply reporting outputs. OSM realizes that no data collection and reporting efforts result in “perfect” data and choosing the more difficult path of focusing on results opens the door to data verification and validation problems.

Increasing the potential for data problems is OSM’s reliance on collecting performance data from multiple internal operations and from 24 States and four Indian Tribes. Efforts have been made to coordinate and standardize data definitions and collection procedures to strengthen data validity. OSM uses a three-prong approach for verifying and validating performance measure data: 1) an annual self-assessment by program managers; 2) periodic reviews coordinated by the Office of Strategic Planning and Evaluation; 3) audits by external staff from such agencies as the Office of the Inspector General or General Accounting Office (GAO).

OSM is confident that the data presented in this report are reasonably reliable for the intended purpose of showing program results over time. Although committed to improving its data, OSM recognizes that increased efforts to obtain data must be balanced with the resources necessary to obtain that data. In many cases the cost of obtaining better data may be unreasonable compared to the value of the data itself.

### 3.5 PROGRAM EVALUATIONS

In 1999, OSM initiated an employee survey to identify High Priority Issues for the agency. This resulted in management’s prioritizing program issues and identifying new goals and objectives for future performance planning. This will have a significant impact on the Annual Performance Plan for 2001. In addition to identifying high priority issues, this initiative focused and estab-

lished the agency’s formal program evaluation effort. In compliance with the Financial Managers Integrity Act (FMFIA), OMB Circular A-123, and Departmental Guidance, OSM completed the reviews, indicated in Table 3, to ensure that existing management controls provide assurance information and that financial resources are protected from waste, fraud, and abuse. OSM’s ability to provide reliable Information Technology to employees and customers is critical for OSM’s strategy of better service and assistance. For instance, the GIFTS system processes grant awards that directly impact the ability of States/Tribes to carry out the mandates of the SMCRA to reclaim AML sites and protect people and the environment from current mining operations.

### 3.6 CAPITAL ASSETS/CAPITAL PROGRAMMING

OSM has no capital assets and therefore there is no need for any capital programming in FY 2001.

### 3.7 USE OF NON-FEDERAL PARTIES IN PREPARING THIS ANNUAL PLAN

The staff and management of OSM, with input from representatives from the Surface Mining Program States, prepared this plan in conformance with Section 220.7 of OMB Circular A-11. Additional assistance was provided by PricewaterhouseCoopers for the editing and aesthetic layout of the document.

### 3.8 WAIVERS FOR MANAGERIAL ACCOUNTABILITY AND FLEXIBILITY

This Plan requests no waivers of administrative requirements to provide managerial accountability and flexibility.

**TABLE 3: PROGRAM EVALUATION, SCOPE, METHODOLOGY, BUREAU GOALS**

<b>Program Evaluation</b>	<b>Scope</b>	<b>Methodology</b>	<b>Bureau Goals</b>
High Priority Issues Initiative - FY 1999	OSM Regional and field employees.	Written survey and on-site interactive field meetings.	Environmental Restoration and Environmental Protection
Federal Reclamation Program - FY 1999 AMCR	Reviewed complaint investigation policy and procedures of the Federal Reclamation Program and used findings to determine whether a potential project is an emergency.	Reviewed complaint investigation files and interviewed employees responsible for conducting AML emergency complaint investigations.	Environmental Restoration
Sensitive Information Systems - FY 1999 AMCR	Grants Information Financial Tracking System (GIFTS) and Abandoned Mine Land Inventory System (AMLIS).	Interview, observation, examination of system documentation, and review of FY '98 and '99 financial statement audits.	Environmental Restoration and Environmental Protection
Computer Centers - FY 1998 AMCR	Evaluated processes at the Computer Operations Center, Division of Financial Management (DFM), the Applicant Violator System (AVS), and the Fee Billing and Collection System (FEEBACS) to determine adequate controls are in place and to prevent mismanagement of Federal funds.	Review was conducted through interviews, observations and physical examinations.	Environmental Restoration and Environmental Protection
Small Operator Assistance Program (SOAP) - FY 1998 AMCR	To determine if recommendations made in the 1994 SOAP AMCR were properly resolved and administered. One of the recommendations from 1994 was to develop performance measure(s), consistent with GPRA.	Questionnaire was developed and administered to personnel at Field and Regional Offices covering States which have received SOAP grants since 1994.	Environmental Protection
Cash Management - FY 1998 AMCR	Review of cash management processes for 1) billings and collections, 2) deposits, 3) disbursements, 4) policy development, review, and monitoring of agency cash management, Division of Finance.  Review of debt collection processes for the AML trust fund.	Interviewed employees to determine policy and procedures; reviewed written policy and procedures; observed actual processes and compared the two.	Environmental Restoration and Environmental Protection
Grants Program - FY 1997 AMCR	Evaluated the impact of reorganization and downsizing on the grants program since the last AMCR in 1994.	Questionnaires, interviews, and document review was used to test the impacts.	Environmental Restoration and Environmental Protection
State Program Amendment Process - FY 1997 AMCR	Reviewed program amendments submitted to OSM from 1992 through 1995 in terms of policy Directives REG-5 and AML-20.	Internal and external customers were surveyed, and legal review of the processing system was conducted.	Environmental Restoration and Environmental Protection

# Appendix I

## *FY 1999 Annual Performance Report At-a-Glance Table*

GPRA Program Activity/Mission Goal	Long-Term Goal By FY 2005	FY1999 Annual Goals
<b>Improved Environmental Restoration</b>	<ul style="list-style-type: none"> <li>Percent of instances where OSM awards AML grants within 60 days.</li> </ul>	<ul style="list-style-type: none"> <li>Percent of instances where OSM awards AML grants within 60 days.</li> </ul>
	<ul style="list-style-type: none"> <li>Percent increase of reclaimed/funded pre-SMCRA coal high priority - abandoned sites to total AML sites.</li> </ul>	<ul style="list-style-type: none"> <li>Percent increase of reclaimed/funded pre-SMCRA coal high priority abandoned sites to total AML sites.</li> </ul>
	<ul style="list-style-type: none"> <li>Number of acres reclaimed annually by the Surface Mining Program.</li> </ul>	<ul style="list-style-type: none"> <li>Number of acres reclaimed annually by the Surface Mining Program.</li> </ul>
	<ul style="list-style-type: none"> <li>Number of emergency hazards abated annually by the Surface Mining Program.</li> </ul>	<ul style="list-style-type: none"> <li>Number of emergency hazards abated annually by the Surface Mining Program.</li> </ul>
	<ul style="list-style-type: none"> <li>Number of new cooperative Acid Mine Drainage projects under its Clean Streams Initiative.</li> </ul>	<ul style="list-style-type: none"> <li>Number of new cooperative Acid Mine Drainage projects under its Clean Streams Initiative.</li> </ul>
	<ul style="list-style-type: none"> <li>Percent of non-Surface Mining Program funds for the Clean Stream Initiative.</li> </ul>	<ul style="list-style-type: none"> <li>Percent of non-Surface Mining Program funds for the Clean Stream Initiative.</li> </ul>
<b>Improved Environmental Protection</b>	<ul style="list-style-type: none"> <li>Percent of instances where OSM awards regulatory grants within 60 days.</li> </ul>	<ul style="list-style-type: none"> <li>Percent of instances where OSM awards regulatory grants within 60 days.</li> </ul>
	<ul style="list-style-type: none"> <li>Customer service rate for accuracy, timeliness, and overall satisfaction of grants financial management.</li> </ul>	<ul style="list-style-type: none"> <li>Customer service rate for accuracy, timeliness, and overall satisfaction of grants financial management.</li> </ul>
	<ul style="list-style-type: none"> <li>The number of acres released from Phase I &amp; II Performance Bonds as reported through the Surface Mining Program.</li> </ul>	<ul style="list-style-type: none"> <li>The number of acres released from Phase I &amp; II Performance Bonds as reported through the Surface Mining Program.</li> </ul>
	<ul style="list-style-type: none"> <li>The number of acres released from Phase III Performance Bonds as reported through the Surface Mining Program.</li> </ul>	<ul style="list-style-type: none"> <li>The number of acres released from Phase III Performance Bonds as reported through the Surface Mining Program.</li> </ul>



Long-Term By FY 2005	99 Target	99 Actual	Comments
100%	93%	93%	For FY 2000, this goal is being incorporated into the process efficiency index.
55%	0.6%	0.8%	For FY 2000, this goal is shown as a performance statistic.
40,000	7,400	10,949	FY 1999 increase attributed to prior year results being recorded late. Adjusted result is 7,400 acres.
400	390	308	Actual results dependent on external conditions causing emergencies to occur.
50 projects	37 projects	29 projects	Not all local groups were prepared to initiate projects as planned.
63%	58%	55%	For FY 2000, this goal is shown as a performance statistic.
100%	93%	85%	Adm. actions taken to improve process. For FY 2000, this goal being incorporated into the process efficiency index.
96%	94%	94%	For FY 2000, this goal being incorporated into the customer satisfaction index.
350,000 acres	150,000 acres	102,820 acres	Target and processes being reviewed. Bonding issues are agency priority. For FY 2000, this goal is shown as a performance statistic.
120,000 acres	90,000 acres	75,532 acres	Target and processes being reviewed. Bonding issues are agency priority.

## *FY 1999 Annual Performance Report At-a-Glance Table*

GPRA Program Activity/Mission Goal	Long-Term Goal By FY 2005	FY1999 Annual Goals
<b>Improved Service and Assistance</b>	• Customer satisfaction rate in the quality of OSM's technical training.	• Customer satisfaction rate in the quality of OSM's technical training.
	• Customer satisfaction rate in the quality of OSM's technical assistance activities.	• Customer satisfaction rate in the quality of OSM's technical assistance activities.
	• Customer satisfaction rate in the use of TIPS.	• Customer satisfaction rate in the use of TIPS.
	• Customer satisfaction rate in the quality of OSM's technology transfer.	• Customer satisfaction rate in the quality of OSM's technology transfer.
	• Number of students trained annually by OSM.	• Number of students trained annually by OSM.
	• Customer satisfaction rate in the quality and timeliness of Applicant Violator System (AVS) services.	• Customer satisfaction rate in the quality and timeliness of Applicant Violator System (AVS) services.
<b>Improved Operations</b>	• Number of material weaknesses regarding fee compliance, revenue, and grants financial services in OSM's annual financial statements as determined by the OIG.	• Number of material weaknesses regarding fee compliance, revenue, and grants financial services in OSM's annual financial statements as determined by the OIG.
	• OSM will maintain a 90% AML reclamation fee compliance rate as measured by: percent of permits reporting compared to the number of permits; and percent of audited tons divided by total tons audited.	• OSM will maintain a 90% AML reclamation fee compliance rate as measured by: percent of permits reporting compared to the number of permits; and percent of audited tons divided by total tons audited.
	• Percent of instances where OSM processes requests for grant payments within one day.	• Percent of instances where OSM processes requests for grant payments within one day.
	• Customer service rate for accuracy, timeliness, and overall satisfaction of grants financial management.	• Customer service rate for accuracy, timeliness, and overall satisfaction of grants financial management.
	• Percent reduction old "debt delinquent over 180 days".	• Percent reduction old "debt delinquent over 180 days".
	• Debt processing rate within the first 180 days.	• Debt processing rate within the first 180 days.

Long-Term By FY 2005	99 Target	99 Actual	Comments
90%	89%	91.4%	For FY 2000, this goal is being incorporated into the customer satisfaction index.
90%	86%	97.6%	For FY 2000, this goal is being incorporated into the customer satisfaction index.
90%	86%	88%	For FY 2000, this goal is being incorporated into the customer satisfaction index.
90%	86%	93%	For FY 2000, this goal is being incorporated into the customer satisfaction index.
4,500	900	997	For FY 2000, this goal is being shown as a workload statistic.
90%	86%	96%	For FY 2000, this goal is being incorporated into the customer satisfaction index.
0	0	NA	This goal will not be shown in FY 2000 report.
99%	99%	99.6%	For FY 2000, this goal is being incorporated into the process efficiency index.
99%	99%	99.1%	For FY 2000, this goal is being incorporated into the process efficiency index.
99%	99%	99.7%	For FY 2000, this goal is being incorporated into the process efficiency index.
95%	90%	100%	For FY 2000, this goal is being incorporated into the process efficiency index.
100%	65%	57%	For FY 2000, this goal is being incorporated into the process efficiency index.
99%	98%	97%	For FY 2000, this goal is being incorporated into the process efficiency index.

## Appendix II

### *FY 2000 Annual Performance Plan (Revised) At-a-Glance Table*

The following table shows final FY 2000 goals reflecting the new FY 2000-2005 Strategic Plan and the enacted FY 2000 budget.

Mission Goal	Long-Term Goal	FY 2000 Annual Goal	FY 2000 Funding
Environmental Restoration	By FY 2005, the Surface Mining Program will reclaim 17,000 acres annually.	In FY 2000, the Surface Mining Program will reclaim 8,100 acres.  In FY 2001, The Office of Surface Mining will provide funding for 42 new cooperative Acid Mine Drainage Projects under the Clean Streams Initiative.	\$194,798,000
Environmental Protection	By FY 2005, the Surface Mining Program will protect the environment as indicated by the percentage of sites that are free of off-site impacts and by the number of acres released annually from Phase III Performance Bonds.	In FY 2000, 94% of mining sites will be free of off-site impacts.  In FY 2000, 100,000 acres will be released from Phase III Performance Bonds.	\$ 96,935,000

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