

United States Department of Labor

EMPLOYMENT
STANDARDS
ADMINISTRATION

STRATEGIC PLAN

FY 1999 - FY 2004

September 29, 2000

Preface

The Employment Standards Administration (ESA) is an enforcement and benefit delivery agency in the U.S. Department of Labor. With the passage of the Government Performance and Results Act (GPRA), the Department of Labor and its Agencies began to look at strategic planning in a new way. Passage of GPRA motivated us to view our strategic planning presentation with more of an eye toward the perspective of the American public and the workers that we serve.

ESA's previous strategic plan was developed to cover fiscal years 1997 through 2002 and to support the goals of the Secretary of Labor. It is important that the Strategic Plan clearly delineate, for every reader, how ESA's goals directly support those of the Secretary and link program activities at all levels to the broader goals of the Department. To that end, work on the refinement of ESA's goals, measures and strategies and the development of the systems that support them continues.

In developing this Strategic Plan, which covers fiscal years 1999 through 2004, we have considered comments made by our reviewers and stakeholders in the Department and from external reviewers such as OMB, GAO, the Congress and those of our program stakeholders. Progress on the initial goals informed our planning as we developed goals for FY 2004.

ESA's previous three strategic goals have been replaced with two new strategic goals supported by a series of outcome goals more directly reflecting the format used by the Department and better delineating the work of the four major Program Offices in ESA. This document presents our new and revised goals for fiscal years 1999 through 2004.

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U.S. DEPARTMENT OF LABOR

Employment Standards Administration

FY 1999 – FY 2004 Strategic Plan

SECTION 1:

INTRODUCTION

The Employment Standards Administration (ESA) administers programs to implement over 100 laws that protect the basic rights of workers, including minimum wage, child labor, and overtime pay standards, equal employment opportunities for employees of Federal contractors and subcontractors, workers' compensation benefits, as well as workers' rights as union members. As the largest agency within the Department of Labor, over 4000 employees carry out ESA's mission from regional, district, area, and field offices throughout the country to ensure that the enforcement and benefit delivery programs are accessible to the American public. Nearly every worker in America is protected by laws and regulations administered by ESA programs.

MISSION

The mission of ESA is to enhance the welfare and protect the rights of American workers.

As an enforcement and a benefit delivery Agency, the Employment Standards Administration (ESA) includes four major programs: Wage and Hour Division (WHD); Office of Federal Contract Compliance Programs (OFCCP); Office of Workers' Compensation Programs (OWCP); and Office of Labor-Management Standards (OLMS).

- The Wage and Hour Division enhances the welfare and protects the rights of the nation's workers through enforcement of several Acts: the Federal minimum wage, overtime pay, recordkeeping, and child labor requirements of the Fair Labor Standards Act; the Family and Medical Leave Act; the Migrant and Seasonal Agricultural Worker Protection Act; the Employee Polygraph Protection Act; field sanitation and housing standards in the Occupational Safety and Health Act; and, a number of employment standards and worker protections provided in the Immigration and Nationality Act.

Additionally, WHD administers and enforces the prevailing wage requirements of the Davis-Bacon Act and the McNamara-O'Hara Service Contract Act and other statutes applicable to Federal contracts for construction and for the provision of goods and services.

- OFCCP increases equal employment opportunities (EEO) for employees of Federal contractors and subcontractors. Through Executive Order 11246, the Rehabilitation Act of 1973, the Vietnam Era Veterans Readjustment Assistance Act of 1974, the Immigration and Nationality Act, and the Americans with Disabilities Act, OFCCP enforces equal opportunity standards and affirmative action for women, minorities, Vietnam era veterans, and persons with disabilities employed by the more than 200,000 contractors that participate in the Federal procurement process.
- OWCP mitigates the financial burden on certain workers, or their dependents or survivors, resulting from work-related injury, disease, or death, through the provision of wage replacement and cash benefits, medical treatment, vocational rehabilitation, and other benefits. The Federal Employees' Compensation Act (FECA) program provides income and medical cost protection, and return-to-work services to civilian employees of the Federal Government injured at work, and to certain other designated groups. The Longshore and Harbor Workers' Compensation Act (LHWCA) program provides similar protection to private sector workers engaged in certain maritime and related employment. The Black Lung Benefits program provides protection to the nation's coal miners totally disabled by pneumoconiosis or to their survivors.
- OLMS promotes internal union democracy and financial integrity and protects certain rights of union members in administering and enforcing provisions of the Labor-Management Reporting and Disclosure Act (LMRDA) and related laws. Under the LMRDA, OLMS resolves union member complaints concerning union officer elections, union trusteeships, and other matters pertaining to safeguards for union democracy; administers statutory safeguards for union funds and assets; and makes reports required of labor unions and others available for public disclosure. The Division of Statutory Programs assures that appropriate arrangements are in place to protect the rights of affected mass transit workers when federal funds are used to acquire, improve, or operate a transit system. These statutory requirements are set forth in section 5333(b) of Title 49 U.S. Code (formerly section 13(c) of the Federal Transit Act).

VISION

The vision of the ESA is to achieve universally applied fair practices in the American workplace.

ESA will work to protect the rights of American workers and achieve compliance with the workplace laws it administers. We will work in partnership with leaders in business, industry, unions, city, State and local governments, public and non-profit interest groups, and other Federal agencies to increase the effectiveness of our enforcement and outreach efforts, to encourage voluntary compliance, and to assure equitable and fair workplaces. We will address customer and stakeholder interests and concerns by emphasizing quality in program administration and customer service, and will provide covered individuals who experience work-related injuries the best and most cost-effective assistance and services possible. ESA will also make effective, prudent use of available technology to accomplish program work and advance the statutory mandates of our programs.

EMPLOYMENT STANDARDS ADMINISTRATION ORGANIZATION

The Agency is organized into four major program components: the Wage and Hour Division, the Office of Federal Contract Compliance Programs, the Office of Workers' Compensation Programs, and the Office of Labor-Management Standards. ESA is headed by an Assistant Secretary and each program is headed by a Deputy Assistant Secretary or, in the case of the Wage and Hour Division, an Administrator.

The Department of Labor takes the Government Performance and Results Act (GPRA) very seriously and, as noted by the Government Accounting Office (GAO), our objective, measurable performance goals provide a clear picture of intended performance across the agency. The framework and principles of GPRA, which guide the Departmental performance team, are integral to our management of ESA's programs, beginning with the strategic plan for improving core program results. To execute this plan, we set ambitious goals each year, regularly evaluate our programs against these goals, and make improvements based on performance results.

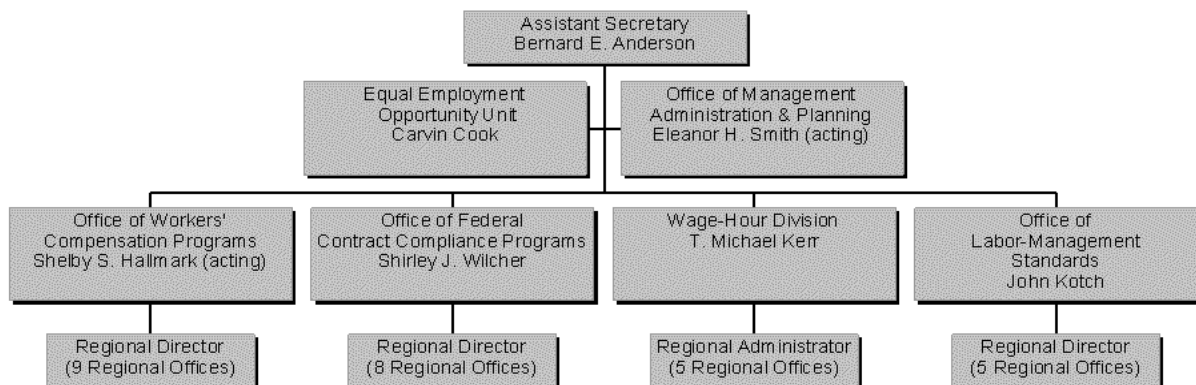
To stay abreast of our programs, we conduct quarterly reviews on the status of each program's performance in goal attainment. This is an opportunity not only to monitor and review progress but also to discuss the effectiveness of the strategies for goal achievement and evaluation of necessary corrections or interventions. To emphasize the importance of achieving ESA's strategic and performance goals, the performance appraisals of all senior managers include elements for rating the manager's contribution to the achievement of the strategic and annual performance goals. ESA Program Directors, in turn, specify performance expectations related to goal accomplishment for the Regional Directors who manage our program operations in the field. At every level, ESA demonstrates the importance of GPRA as a management tool that is useful for helping the agency to accomplish its goals.

The Department and ESA have worked closely with the Office of Management and Budget (OMB) and the DOL Office of Inspector General (OIG) to develop and revise our goals and measures. We have also made considerable refinements in our plans and strategies based on recommendations from the GAO. Each of these organizations has provided valuable input and guidance through the GPRA

process. GPRA has helped us not only to focus our efforts on the accomplishment of long-term outcomes but also to express them more clearly to our program and Congressional stakeholders, and to the American public. We work continuously to refine our goals, measures and strategies for achieving favorable results.

An ESA organizational chart follows:

Employment Standards Administration



SECTION 2:

THE CHANGING WORKFORCE AND WORKPLACE

The American economy is in better health than it has been in three decades. Twenty-two million new jobs have been created since 1993, and the unemployment rate fell to 3.9% in April 2000 (the lowest rate in 30 years), yet inflation remains moderate. Real median weekly earnings for both men and women rose during the last three years. Further, the Bureau of Labor Statistics (BLS) reports that 81% of the new jobs created from 1993 to late-1999 were in categories paying above-median wages, and 65% were in job categories with wages in the highest-paying third of industry/occupation categories. The overall level of occupational injuries and illness is at an all time low. The number of welfare recipients has declined by 49% since August 1996.

This record of achievement has occurred while the American work force has undergone a dramatic transformation. It has become increasingly dominated by service and white-collar occupations. Manufacturing employment as a share of our total workforce is projected to continue to decline in the 21st century. Small business also has become an ever more vital engine of job creation; in 1998, small firms with fewer than 500 workers employed 58% of private sector workers.

The labor force will expand, albeit more slowly, but minorities and women will continue to represent an ever increasing share. Sixty percent of women 16 years and over are now in the labor force and account for 47% of America's 140 million workers. Three-fifths of women with children under age 3 were in the labor force in 1999. While nearly three-fourths of the labor force will remain non-Hispanic white by 2008, African Americans, Hispanics, Asians and other minorities are projected to account for 59% of new workers between 1998 and 2008. As indicated by the above statistics, the labor force is becoming diverse, with the greatest percent increases in the Asian and Hispanic labor force. The age distribution of the labor force is also changing; demonstrating that the labor force is increasingly becoming older.

The nature of work is also changing. Since the late 1960's, we have seen a slight increase in the proportion of jobs that are part-time. Also, a growing portion of the workforce is paid for work done at home; in 1997, 3.6 million wage and salary workers – about 3.3 percent of all wage and salary workers – were paid for the work they did at home, up from 1.9 million workers in 1991.

Technology will continue to transform jobs and require better skills to do them. Wages and employment opportunities will favor those who get higher levels of education and training. For example, a Princeton University study found that workers who use computers earn 10-15% more than those whose jobs do not require them. Workers with college degrees have higher earnings today than in the

early 1980s, while the earnings of those with only a high school education or less have stayed the same or fallen.

The result is that while the real earnings of college graduates has increased 16%, the real earnings of high school graduates fell 8%. High school dropouts are also nearly four times more likely to be unemployed than college graduates. The percentage of workers with private pension coverage remained static at just below 50% from the mid-1970s to the mid-1990s. The most recent survey data (Current Population Survey) indicate that the proportion with pensions has increased by nearly 3 percentage points since then. The fraction of workers with employer-sponsored health insurance declined from 76% in 1987 to 72% in 1993. Since then it has been increasing marginally each year, reaching 73% in 1998. BLS data suggest that this adverse trend in total compensation (wages, fringes, and nonpecuniary factors such as health and safety) has been particularly acute for low-skilled workers. The evidence shows that the gap between lower-paid employees and those in more highly-paid positions has widened dramatically in terms of these non-wage indices.

Technological change is likely to continue to increase the demand for skilled workers. The majority of jobs will continue to need workers who have acquired knowledge and skills via two-year colleges, vocational training, moderate to long-term on-the-job training and real work experience. While overall employment is projected to rise by 14% during the period 1998-2008, the fastest growing broad occupational category will be professional occupations (27%), followed by technical occupations, such as health and engineering technicians (22%). Occupations requiring a bachelor's degree are expected to grow by 24%, while those requiring an associate's degree will grow by 31%.

The Department's programs focus on enhancing the opportunities for America's workforce, promoting the economic security of workers and families, and fostering quality workplaces that are safe, healthy, and fair. ESA's efforts focus on two of the Secretary's crosscutting strategic goals discussed throughout this Plan.

ESA's Strategic Planning

ESA's challenge is to support the Department's goals and to enhance our efforts for all workers. It was the first Secretary of Labor, Frances Perkins, who put it all in perspective when she said, "The problems we face are not the problems of the worker alone, not of the employer alone, nor of the consumer alone. They are the problems of each one of us. The labor problem is a human problem."

These social and economic trends provide the basis for our decisions about business and workers in the development of new and continuing programs for ESA's labor standards enforcement and benefit delivery responsibilities. Our emphasis is on minimum wage and overtime pay, domestic child labor, low-wage workers, immigration, workers' compensation benefits, job discrimination, pay equity and

affirmative action, and labor union integrity. Our goals around each of these issues have been evaluated and fine-tuned with input from stakeholders in each of our four major program areas.

Wage and Hour

Wage and Hour's overall compliance program balances public education and outreach with enforcement efforts using a variety of enforcement techniques. The program targets low-wage industries to increase compliance, with particular emphasis on child labor, and remedy of violations. In low-wage industries violations are more often egregious and complaints less common. Many of these industries, such as agriculture, garment, health care, guard and janitorial services, restaurants, hotels/motels and day-haul continue to offer a source of employment for vulnerable workers including many immigrants – both legal and undocumented – who are commonly exploited but unlikely to complain.

Global competition, and, in certain sectors, domestic competition from the underground economy continue to challenge the achievement of labor standards compliance. Wage and Hour partners with Federal agencies such as the Department of Justice and the Internal Revenue Service, state departments of labor and licensing boards, and local law enforcement agencies to strengthen compliance efforts.

Office of Federal Contract Compliance Programs

Women and minority group members are projected to make up 65 percent of the workforce in the year 2006. Business executives increasingly recognize that workforce diversity is in their economic self-interest. The ability to choose from a wide range of talent to get the best available help improves productivity, broadens the base of the middle class, and secures support for the market system. To be globally competitive, workforce diversity is a necessity.

Nearly a quarter of the civilian workforce – about 26 million workers – is employed by Federal contractors or subcontractors. To increase the number of contractors brought into compliance with the Equal Employment Opportunity provisions of their contracts, OFCCP is advancing its compliance assistance efforts including technical assistance, information technology capabilities, outreach, education, and reduced paperwork associated with written affirmative action plans. Streamlined affirmative action plans include wider use of Alternative Dispute Resolution (ADR) to allow a more flexible, conciliatory and expeditious strategy of compliance assistance that is less costly and time-consuming.

OFCCP also partners with several Departmental agencies in cross-cutting initiatives designed to reach a greater number of employees and employers. Examples of these initiatives include activities on equal employment opportunities for persons with disabilities and veterans. OFCCP plans additional emphasis in these areas over the next several years.

An area of particular concern is the pay gap. In spite of great progress over the last several decades, women still do not receive the pay they deserve. On average, women who work full-time earn only about 75 cents for every dollar that a man earns. The gap is even larger for African American women who earn just 64 cents and Hispanic women who earn just 55 cents for each dollar that white men earn (white women earn 76 cents for each dollar that white men earn). There is also a corresponding gap in non-wage compensation, such as pensions. Over the next several years, OFCCP will include a focus on equal pay issues as part of their reviews with Federal contractors and subcontractors.

Office of Workers' Compensation Programs

Part of OWCP's mission is the restoration of injured workers' productivity through medical care and rehabilitation. As service and white-collar jobs replace manual and blue-collar jobs, part-time and telecommuting opportunities increase, and adaptive technology for workers with disabilities improves, OWCP gains additional flexibility by developing return-to-work programs for injured workers and improving reemployment potential.

Office of Labor-Management Standards

OLMS secures protections for workers as union members in administering safeguards for union democracy and financial integrity established under federal laws. OLMS resolves union officer election complaints filed by union members, enforces standards for the handling of union funds, and secures reports required of unions and others. Public disclosure access to those reports is central to the objective of promoting and assisting union democracy and financial integrity. Agency strategic planning includes an extensive Internet-based modernization of the reporting and public disclosure program that will immeasurably enhance access to reported information.

Department of Labor and ESA Strategic Goals

ESA has developed new strategic and outcome goals to advance the goals and priorities the Department has established to assist workers with the challenges they face in the new millennium. The Departmental and ESA goals follow.

SECTION 3:

DOL STRATEGIC AND OUTCOME GOALS

The Secretary developed three strategic goals, further delineated by a series of outcome goals, to serve as the basis for the Department's ongoing strategic planning process. ESA's goals were developed to support these goals and to delineate how ESA promotes the Department's goals. The following are the strategic and outcome goals for the Department.

U.S. DOL STRATEGIC AND OUTCOME GOALS

Strategic Goal One: A Prepared Workforce – *Enhance opportunities for America's workforce*

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

Strategic Goal Two: A Secure Workforce - *Promote the economic security of workers and families*

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

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

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

ESA STRATEGIC AND OUTCOME GOALS

ESA will continue efforts to preserve and enhance the integrity and effectiveness of its programs by providing firm, impartial, and professional enforcement and compliance assistance through the Wage and Hour Division, the Office of Federal Contract Compliance Programs, and the Office of Labor-Management Standards. We will also continue to provide timely, high quality services to the public in all of the Office of Workers' Compensation Programs.

In considering the Strategic Plan through FY 2004, and to support the Secretary's Strategic and Outcome goals, ESA established two new strategic goals to replace its previous goals. Each of the new strategic goals is supported by five outcome goals to guide the development of programs and activities for the Agency. ESA is focused on its vision of achieving universally applied fair practices in the American workplace. To that end, each of ESA's four major Program Offices, directed by legislative mandates, target resources to achieve the most effective results for the available resources.

Through the collective efforts of each of ESA's four major Program Offices, workers and employers are better informed of their rights and responsibilities. Better and more readily available information generally results in behavior changes which improve compliance with the Fair Labor Standards Act, Equal Opportunity laws, the safeguarding of union democracy and the minimization of the impact of work-related injuries. For employers who are not voluntarily complying, however, enforcement is the result. Either way, change occurs in workplaces as a result of these efforts. Whether this workplace change is driven by compliance assistance, partnership, education, recognition or enforcement activities, the ultimate result is to *create better workplaces*, ESA's first strategic goal.

ESA and its major Program Offices are responsible for the stewardship of resources, trust funds, and the management of programs and services. To support the Program Offices in achieving their goals, ESA's strategic planning establishes a management framework which links the program, administrative and management operations of the agency. This helps ensure that the Program Offices in ESA work together to achieve the Agency's overall goals and that they are supported by the administrative and management systems and operations necessary for their goal accomplishment. Through effective management and integrated delivery of its various programs and services, ESA will demonstrate a positive impact on the welfare and rights of American workers which will *secure public confidence*, ESA's second strategic goal.

The following strategic and outcome goals demonstrate a unified purpose and direction for all of the programs within ESA.

EMPLOYMENT STANDARDS ADMINISTRATION STRATEGIC AND OUTCOME GOALS

Goal One: Create better workplaces *by increasing employer and employee awareness of, commitment to, and involvement in assuring fair wages and equal employment opportunity, minimizing the impact of work-related injuries, and safeguarding union democracy.*

- Promote compliance with employment standards and worker protection laws
- Safeguard union democracy and financial integrity
- Minimize the human, social, and financial impact of work-related injuries
- Protect the rights of affected mass transit workers when federal grant funds are used to acquire, improve, or operate a transit system
- Reduce the incidence of federal contractors out of compliance with their contractual Equal Employment Opportunity obligations (FY 1999 - FY 2000)
- Federal contractors achieve equal opportunity workplaces (FY 2001- FY 2004)

Goal Two: Secure public confidence *through excellence in the management and delivery of ESA's programs and services.*

- Respond effectively to legal mandates
- Improve performance in the delivery of services to injured workers and in the administration of FECA
- Enhance the fiscal integrity of managed public trust funds
- Foster organizational excellence and increase collaboration
- Design and implement management systems and procedures to support ESA goals and objectives

ALIGNMENT WITH DOL – ESA PERFORMANCE GOALS AND STRATEGIES

The strategic, outcome, and performance goals discussed below will provide the information to assess ESA's performance over the next six years. ESA strategic and outcome goals integrate all ESA Programs. This integration of goals overlaps DOL Strategic Goals Two and Three. The following presentation of each of the ESA Outcome Goals is preceded by a table that shows the direct alignment to the DOL Strategic and Outcome Goals. A listing of the ESA Performance Goals and the accompanying strategies will follow the presentation of each of the ESA Outcome Goals.

At the end of this document, there are four Appendices included to enhance the information provided in the Strategic Plan.

- Appendix A, Acronyms, provides acronyms used throughout this document.
- Appendix B, Data Capacity, provides information, by goal, on the indicators and data sources used to determine baselines and to measure performance.
- Appendix C, Relationship of ESA Goals to Secretary's Goals, lists the ESA Performance Goals arrayed with an alignment to the DOL and ESA strategic and outcome goals.
- Appendix D, Performance Goals, Baselines and Targets, provides by ESA Performance Goal, the alignment with the DOL and ESA strategic and outcome goals and provides the planned annual performance *targets* for each year of this Strategic Plan, FY 1999 through FY 2004. The planned annual performance *targets* will be reevaluated each year using various data and information sources from which we will establish annual performance *goals*. Over the term of the Strategic Plan, accomplishment of the annual performance goals will satisfy the multi-year performance goals of the Strategic Plan.

An important feature of Appendix D is that it indicates the year(s) in which some goals are completed and those in which others begin, and it indicates the year(s) in which a baseline will be established for the new goal(s).

In addition, the twelve ESA Performance Goals that appear in the DOL Strategic Plan are identified in italics, by the DOL Performance Goal number, located under the ESA Performance Goal number in the table. This provides a crosswalk to the DOL Strategic Plan.

Alignment with the Departmental Goals:

DOL Strategic Goal 2	A Secure Workforce – Promote the economic security of workers and families
DOL Outcome Goal 2.1	<i>Increase Compliance with Worker Protection Laws</i>
ESA Strategic Goal 1	Create better workplaces by increasing employer and employee awareness of, commitment to, and involvement in assuring fair wages and equal employment opportunity, minimizing the impact of work-related injuries, and safeguarding union democracy.

ESA OUTCOME GOAL 1.1

Promote compliance with employment standards and worker protection laws.

The Wage and Hour Division is responsible for administering and enforcing a number of laws that establish the minimally acceptable standards for wages and working conditions in this country. These labor standards statutes, including the Fair Labor Standards Act (FLSA), which establishes the minimum wage, overtime standards and child labor restrictions, protect the most vulnerable in the workplace – young workers, low-wage workers, and the working poor.

To meet the challenges of diminishing budgets and increasing responsibilities, we began to rethink compliance priorities. We recognized that the traditional complaint-based interventions were not effective in securing widespread substantial labor law compliance with the minimum wage, overtime, recordkeeping and child labor provisions of the FLSA. Only those employers investigated by Wage and Hour would change their violative behavior, at least in most cases. Our interventions may have changed the behavior of an individual employer, but they were not changing patterns of compliance in an industry. We concluded that Wage and Hour needed to impact or change the behavior and practices of whole industries, particularly those in which violations are most likely to occur – the low-wage industries. These industries were also most likely to employ vulnerable workers who often won't complain about violations or are less informed about their workplace rights.

Domestic child labor is an area of special focus and one of the Secretary's priorities. While young workers can benefit greatly from positive work experiences that complement their education and that are safe, the number of working children who are seriously injured or killed on-the-job is unacceptable. Tough, fair enforcement, compliance education, effective partnerships and elevated public awareness will help to increase compliance with child labor standards, which will reduce injuries and fatalities to

young workers and help ensure that their early work experience enhances rather than competes with their education.

The following Performance Goals focus every level of the Wage and Hour Division on developing common compliance strategies that balance a multi-pronged approach of education and enforcement in partnership with industry stakeholders.

ESA PERFORMANCE GOALS:

- 1.1a Increase compliance with labor standards laws and regulations including young workers in nationally targeted industries.
- 1.1b Goal number reserved.
- 1.1c Goal number reserved.
- 1.1d Increase *child labor* compliance (by __percentage points over established baselines) in those selected industries where data indicate that the risk of serious injury of young workers is greatest.
- 1.1e Achieve *child labor* compliance by __% of the employers previously investigated in those selected industries where the data indicate that the risk of serious injury to young workers is greatest.
- 1.1f Increase compliance by 15 percentage points (10-15 percentage points based on years surveys are conducted) among employers, which were previous violators, and the subject of repeat investigations in nationally targeted industries.

STRATEGIES TO ACHIEVE GOALS:

ESA will conduct targeted strike force investigations in low-wage industries where enforcement data and history demonstrate high rates of violations or egregious violations, workforce demographics show a high concentration of low-wage workers, or there are changes, either growth or decline, in an industry. Based on this information, the WHD will determine the most effective interventions to use with repeat violators. (1.1a, d, e, f)

ESA will conduct industry investigation-based compliance surveys to measure the change in repeat violators' compliance rates, including with child labor. Based on this information, the agency will determine the most effective interventions to use with repeat violators. (1.1a, e, f)

ESA will continue to develop and refer to the Solicitor of Labor investigations for civil and criminal action, and make referrals to the Worker Exploitation Task Force. (1.1a, d, e, f)

ESA will use available data to determine those industries where the risk of serious injury of young workers is greatest to target for enforcement and outreach to increase child labor compliance. (1.1d)

ESA will implement a multi-prong strategy of effective enforcement to remove young workers from dangerous situations and target the most vulnerable workers, promote voluntary compliance by providing compliance educators, and create a “multiplier” effect by creating partnerships with employers, young workers, parents, educators, unions, advocates, and other governmental agencies. (1.1a, d, e, f)

ESA will reach out to employees, worker advocacy groups, community organizations, employers, and employer associations to educate them about the provisions of the laws enforced by Wage and Hour. (1.1a, d, e, f)

ESA will continue specific child labor outreach programs, “Work Safe This Summer,” and “Fair Harvest/Safe Harvest.” (1.1d, e)

ESA will seek and enhance partnerships with other Federal, State, and local law enforcement agencies to leverage our enforcement and outreach efforts and develop corporate partnerships in compliance. (1.1a, d, e, f)

ESA will strengthen processes for assessment and collection of back wages owed to employees of firms found not in compliance with labor standards, including the redesign of the information systems in this area. (1.1a, d)

ESA OUTCOME GOAL 1.2

Safeguard union democracy and financial integrity.

The Office of Labor-Management Standards (OLMS) enforces safeguards for union democracy and financial integrity under the Labor-Management Reporting and Disclosure Act (LMRDA) and related laws. The Agency has a legal obligation to investigate all union officer election complaints filed by members in accordance with the LMRDA and initiate enforcement action when warranted within statutory time limits. The timely resolution of union officer election complaints is a critical responsibility of the OLMS and an important safeguard for union democracy of direct benefit to union members.

OLMS conducts investigative audits and criminal investigations and refers findings of union funds embezzlement and other criminal violations for appropriate enforcement action. The resulting enforcement actions are important safeguards for union democracy and financial integrity. A significant indicator of program impact on union financial integrity is that individuals convicted of union funds embezzlement and other crimes are barred from union office holding and employment.

Under the LMRDA statutory scheme, union democracy and financial integrity are promoted through union reporting and public disclosure, through the Department of Labor, of the information reported. Timely reporting is essential to attaining that objective, and an important agency goal is to increase the rate of timely reporting compliance of unions with annual receipts greater than \$200,000, which command the greatest public disclosure interest.

The accuracy and completeness of union annual financial reports is critical to objectives of the LMRDA to promote union democracy and financial integrity through the public disclosure of filed information. New electronic reporting formats and computer-based report audit programs will promote improved reporting compliance. Improvements in the number of reports that meet standards of acceptability will be monitored beginning in FY 2001 following the establishment of baseline information in FY 2000.

ESA PERFORMANCE GOALS:

- 1.2a Protect standards for democratic union officer elections for union members by resolving 100% of election complaints filed under LMRDA and related laws.
- 1.2b Protect union financial integrity through appropriate enforcement action.
- 1.2c Achieve 90% timely union reporting compliance by unions with annual receipts greater than \$200,000 that timely file union annual financial reports for public disclosure access.
- 1.2d Increase to __% (over the FY 2000 baseline) the number of union annual financial reports filed for public disclosure access that meet standards of acceptability.

STRATEGIES TO ACHIEVE GOALS:

ESA will conduct investigations to resolve union member complaints concerning union officer elections and supervise remedial union officer elections, as required by law. (1.2a)

ESA will conduct union audits and criminal investigations to enforce the LMRDA. (1.2b)

ESA will secure reports required from unions and others under the LMRDA and make them available for public disclosure. ESA will administer programs to secure timely, accurate, and complete LMRDA reports. (1.2c, d)

ESA will implement a system for electronic submission of union financial disclosure reports under the LMRDA. The system will facilitate filing and provide easy access to a searchable database of reported information that is accessible through the Internet. (1.2c, d)

ESA will foster partnerships with international unions to promote voluntary compliance by affiliates with LMRDA reporting, fiduciary, and union officer election requirements. ESA will also provide compliance assistance to all union officials and outreach to union members. (1.2a, b, c, d)

Alignment with the Departmental Goals:

DOL Strategic Goal 2	A Secure Workforce – Promote the economic security of workers and families
DOL Outcome Goal 2.2	<i>Protect Worker Benefits</i>
ESA Strategic Goal 1	Create better workplaces by increasing employer and employee awareness of, commitment to, and involvement in assuring fair wages and equal employment opportunity, minimizing the impact of work-related injuries, and safeguarding union democracy.

ESA OUTCOME GOAL 1.3

Minimize the human, social, and financial impact of work-related injuries.

A major focus of the Federal Employees' Compensation Act (FECA) program continues to be working in partnership with agencies and unions to improve benefit delivery. Agencies and unions can play a role in relaying accurate, timely information between injured workers and FECA and making all employees aware of safety and compensation issues. FECA can also help agencies provide appropriate light duty job opportunities, and effectively manage compensation costs. The Federal Worker 2000 Presidential initiative commits Federal agencies to lowering on-the-job injury rates and average production days lost (the length of time a worker remains off the job) due to disability.

ESA PERFORMANCE GOAL:

- 1.3a Return Federal employees to work following an injury as early as appropriate indicated by an 8% reduction from the FY 2000 baseline in the average number of production days lost due to disability.
- 1.3b Increase employing agency timeliness in submitting notices of injury to 67% within 14 days.

STRATEGIES TO ACHIEVE GOALS:

ESA will target training and outreach efforts to increase agency and union awareness of their roles in the administration of FECA; and will encourage prompter, better submissions by employers of injury notices and compensation claims, through training and wider use of electronic filing capabilities. (1.3a)

ESA will educate agencies in good program management and the cost implications of their return-to-work efforts; provide basic and advanced training in FECA requirements and procedures for interested union representatives, to reduce misunderstanding of FECA benefits, improve assistance to injured workers, and reduce conflict between stakeholders. (1.3a, b)

ESA will use regular meetings with stakeholders at the national level as a vehicle for program improvement; and will work with agencies to achieve the goals of Federal Worker 2000. (1.3a)

ESA will expand electronic filing of injury notices and claims for wage loss to all agencies, to permit earlier intervention in disability cases; improve the medical authorization process, so that injured employees get appropriate and needed medical treatment as soon as practicable; and use “intelligent software” to prompt earlier adjudication and case management of selected injury cases. (1.3a, b)

ESA will facilitate returns to work through better oversight of medical treatment by actively managing disability cases to include intervention in the early (Continuation of Pay) period of disability and improved access to expert medical evaluation; communicating more effectively with medical providers, through better technology and interaction between treating physicians and nurse case managers; and screening treatment and pharmacological case histories against established norms, identifying treatment outside those norms for directed review, in the context of speedy return to work. (1.3a)

ESA will streamline the vocational rehabilitation process and make it more effective; and work with agencies to achieve reasonable accommodation for disabled employees in light of the goals of the Presidential Task Force for accommodation of adults with disabilities. (1.3a)

ESA OUTCOME GOAL 1.4

Protect the rights of affected mass transit workers when Federal grant funds are used to acquire, improve, or operate a transit system.

Under Federal transit law, the agency certifies that fair and equitable protective arrangements are in place for transit employees when Federal grant funds are used to acquire, improve, or operate a transit system. The issuance of these certifications within established timeframes is critical to protecting the rights of mass transit workers affected by these projects.

ESA PERFORMANCE GOAL:

1.4a Issue 100% of transit employee protection certifications within established timeframes.

STRATEGIES TO ACHIEVE GOAL:

ESA will issue employee protection certifications in a streamlined manner to ensure the timely release of Federal transit funds by the Department of Transportation. (1.4a)

Alignment with the Departmental Goals:

DOL Strategic Goal 3	Quality Workplaces – Foster quality workplaces that are safe, healthy, and fair.
DOL Outcome Goal 3.2	<i>Foster Equal Opportunity Workplaces</i>
ESA Strategic Goal 1	Create better workplaces by increasing employer and employee awareness of, commitment to, and involvement in assuring fair wages and equal employment opportunity, minimizing the impact of work-related injuries, and safeguarding union democracy.

ESA OUTCOME GOAL 1.5

Reduce the incidence of federal contractors out of compliance with their contractual Equal Employment Opportunity (EEO) obligations. (FY 1999 - FY2000)

Federal contractors achieve equal opportunity workplaces. (FY 2001-FY 2004)

Protection of civil rights and assurance of quality workplaces should not be dependent upon finding violations. Excellent quality and readily available public education, outreach, and technical assistance result in an increased number of contractors and subcontractors found in compliance. This helps prevent discrimination in the workplace. Interactive technical assistance web applications, town hall meetings, quality and relevant outreach and public education are deterrents to discrimination. A Secretarial priority and a special focus for ESA are issues involving equal pay.

ESA PERFORMANCE GOALS:

- 1.5a Increase by 30% the number of Federal contractors brought into compliance with the EEO provisions of federal contracts via OFCCP's compliance evaluation procedures. (Note: Goal and methodology were reevaluated/revised in FY 2000.)
- 1.5b To increase compliance with the EEO requirements among Federal contractors, measure the effectiveness of OFCCP's education, technical assistance and outreach efforts. (Note: Goal and methodology were reevaluated/revised in FY 2000.)
- 1.5c Narrow the wage gap for protected groups within the Federal contractor reporting community. (Note: Goal and methodology were reevaluated/revised in FY 2000.)

Previous goals 1.5a - 1.5c revised and combined for FY 2001 - FY 2004

- 1.5a Federal contractors achieve EEO workplaces as demonstrated by:

Improving the EEO performance of federal contractors and subcontractors within industries where data indicate the likelihood of equal employment opportunity problems is greatest;

Improving the EEO performance of federal contractors and subcontractors that have had prior contact with OFCCP through evaluations, outreach, or technical assistance; and,

Reducing compensation discrimination by federal contractors and subcontractors.

STRATEGIES TO ACHIEVE GOALS:

As part of the DOL equal pay initiative, ESA will review compensation issues in all OFCCP supply and service evaluations. (1.5a)

ESA will fully implement a tiered compliance evaluation strategy with respect to the Executive Order, disability, and veterans programs to increase the number of contacts with federal contractors and subcontractors, reduce the paperwork burden on federal contractors and subcontractors, and allow flexibility for tailored evaluations without conducting a full inquiry in every case. (1.5 a)

ESA will provide information such as publications and Internet communications on key equal employment opportunity and affirmative action issues. (1.5 a)

ESA will promote “best practices” by federal contractors and subcontractors that have exceptional affirmative action and nondiscrimination programs by recognizing their efforts with the Exemplary Voluntary Efforts (EVE) Award, the Secretary's Opportunity Award, the Exemplary Public Interest Contribution (EPIC) Award, and the Industry Liaison Group Award. As part of the DOL Equal Pay Initiative, ESA will consider compensation issues when evaluating eligibility for these awards. (1.5a)

ESA will implement the 60-2 regulations, including the Equal Opportunity Survey that will help develop indicators to focus compliance and technical assistance efforts. (1.5a)

Alignment with the Departmental Goals:

DOL Strategic Goal 2	A Secure Workforce – Promote the economic security of workers and families
DOL Outcome Goal 2.2	<i>Protect Worker Benefits</i>
ESA Strategic Goal 2	Secure public confidence through excellence in the management and delivery of ESA’s programs and services.

ESA OUTCOME GOAL 2.1

Respond effectively to legal mandates.

The Davis-Bacon Act provides important labor standards protection for construction workers employed on Federally-financed construction projects. Because the construction sector is labor-intensive, one of the easiest ways to lower bid prices is to cut labor costs. The primary purpose of the Davis-Bacon Act is to assure, by requiring the payment of locally prevailing wages, that Federal contracting practices do not undercut workers' wages in the community and do not place local contractors, and local workers, in an unfair competitive situation.

The underlying purpose of the Davis-Bacon Act can be accomplished only to the extent that timely and accurate determinations of prevailing wages are developed and issued. Over the past three years, ESA has been developing two possible alternatives for improving the wage survey/determination process. A recent report by the General Accounting Office concluded that these two alternatives have the potential for improving the accuracy and timeliness of Davis-Bacon wage determinations.

Because both approaches, reengineering and reinvention, are still being developed. ESA will not be in a position to fully evaluate these two approaches until the end of FY 2000. At that point, ESA will be in a position to assess the relative merits of the two alternatives based on established performance criteria of accuracy, timeliness, reliability, administrability, continuity and cost.

The Service Contract Act (SCA) provides labor standards protection for service employees working on Federal service contracts. On most service contracts, labor costs are the primary cost component. The competition for Federal service contracts is often fierce and without the labor standards protections afforded by SCA, bidders for federal service contracts might be enticed to cut contract costs simply by cutting employee wages. Without SCA, many basic service contracts, e.g., janitorial, guard and food service, involving unskilled, low-paid workers, would be particularly susceptible to such wage cutting practices. In this environment, timely and accurate SCA wage determinations are important for ensuring that service employees are fairly compensated without disrupting the orderly functioning of the Federal procurement process.

ESA PERFORMANCE GOALS:

- 2.1a Each area of the country will be surveyed for all four types of construction at least every three years, and the resulting Davis-Bacon wage determinations validly represent locally prevailing wages/benefits.
- 2.1b Update 90% of SCA and DBA wage determinations within 60 days of receipt of underlying survey data.

STRATEGIES TO ACHIEVE GOALS:

ESA will re-engineer/“reinvent” the Davis-Bacon wage survey/determination system, and, as part of a reengineering/“reinvention” initiative, determine appropriate source(s) for wage data. It will also establish baselines to evaluate the results of the reengineering/“reinvention” effort in areas such as response time on calls and letters, customer satisfaction, valid complaints of the wage determination rates, and accuracy of the wage rates. (2.1a, b)

ESA will implement a new Service Contract Act wage determination methodology and revise automated systems to accommodate the new methodology to enable meeting the goal. (2.1b)

ESA OUTCOME GOAL 2.2

Improve performance in the delivery of services to injured workers and in the administration of FECA.

The service delivery focus of ESA’s OWCP Federal Employees’ Compensation (FEC) program continues to be on early case management and return to work, claims and benefit processing, and customer relations. Goals and strategies in this plan commit FEC to supporting claims and benefit processing quality, and improving communications efficiency and responsiveness.

ESA PERFORMANCE GOALS:

- 2.2a Improve customer satisfaction with FECA services by 10 percentage points (from the FY 2000 baseline) as measured by an index of customer survey scores and other indicators.
- 2.2b Improve the quality of claims actions as measured by average accountability review Quality Index scores to 82.

STRATEGIES TO ACHIEVE GOALS:

ESA will intervene in lost time cases and provide case management during the continuation of pay period; and work with employers to meet Federal Worker 2000 goals. (2.2a)

ESA will retool staff through training to accomplish return to work goals and promote excellent customer service. (2.2a, b)

ESA will establish a baseline measurement of customer survey scores and other indicators of customer satisfaction with program services; improve telephone service equipment and software; establish “800” number access for injured workers; and establish accurate measure of telephone calls answered at once and use new automated tools to increase the number. (2.2a)

ESA will implement electronic submission of forms via secure internet, immediate notification of case numbers, enhanced web sites, and other improved channels of communication; and improve timeliness of wage loss claim submission by agencies, and establish a baseline measurement of average time from beginning of wage loss to check date. (2.2a)

ESA will streamline and accelerate medical authorizations. (2.2a)

ESA will address quality issues identified in the accountability review of critical items. (2.2b)

ESA will review all public documents for Plain Language; review written communications for clarity; make a broad effort to educate and inform all parties about benefits and services; and equip agencies and union representatives to better assist injured workers to obtain benefits and return to work. (2.2a)

ESA OUTCOME GOAL 2.3

Enhance the fiscal integrity of managed public trust funds.

In carrying out its fiduciary responsibilities, OWCP has extended its ability to contain costs and enhance the security and integrity of its benefit funds. The FECA program provides the most cost-effective non-adversarial services in the nation.

ESA PERFORMANCE GOALS:

- 2.3a Produce \$165 million in cumulative first-year savings in the FECA program through Periodic Roll Management.
- 2.3b In the FECA program, reduce the overall average medical service cost per case by 2% (adjusted for inflation).

STRATEGIES TO ACHIEVE GOALS:

ESA will maximize staff efficiency through “paperless” technology and electronic data interchange and use redesigned automated tools to support continuous disability management of all cases – from early intervention through long-term disability. (2.3a, b)

ESA will improve internal medical authorization and medical oversight to ensure the appropriateness of treatments; expand the use of commercial software to screen incoming medical bills for duplicate services and abusive billing practices; evaluate and resolve questionable billings; and apply fee schedules to ensure appropriate payment for medical services. (2.3a, b)

ESA will establish a trained staff in each office to carry out a regular quality bill review program and eliminate payment errors as measured by annual audits. (2.3b)

ESA will review internal processes to ensure compliance with proper procedures and will establish a Medical Quality Index (MQI) baseline to measure medical processing payment quality. (2.3b)

ESA will examine utilization of services through Focus Reviews of selected medical conditions. (2.3b)

ESA will improve the model for forecasting future benefit costs for Federal agencies. (2.3a, b)

ESA will automate most accounting transactions; modernize compensation payment programs to accurately handle new legislation, such as FERS offsets, calculate and track overpayments, and so on. (2.3a, b)

Alignment with the Departmental Goals:

DOL Strategic Goal 2	A Secure Workforce – Promote the economic security of workers and families
DOL Outcome Goal 2.1	<i>Increase Compliance with Worker Protection Laws</i>
ESA Strategic Goal 2	Secure public confidence through excellence in the management and delivery of ESA’s programs and services.

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ESA OUTCOME GOAL 2.4

Foster organizational excellence and increase collaboration.

Customer surveys are used by ESA's programs to survey their customers' expectations and experiences and analyze the effectiveness of their programs. This information assists with efforts to more effectively target resources and program services.

ESA PERFORMANCE GOALS:

- 2.4a Increase customer satisfaction by 5% among employers subject to Wage and Hour enforcement intervention.
- 2.4b Maintain a high level of customer satisfaction with LMRDA public disclosure services such that 97% or more of customers surveyed rate the services "good" to "excellent." (Note: This goal was completed in FY 1999.)

STRATEGIES TO ACHIEVE GOALS:

ESA will use feedback on the effectiveness, timeliness and quality of Wage and Hour's service to enable the agency to make informal decisions about enforcement and education/outreach activities and strategies. (2.4a)

ESA will implement an Internet-based public disclosure system that improves access to public access to reports filed under the LMRDA; and will monitor the quality and responsiveness of LMRDA public disclosure services by customer survey. (2.4b) (Note: This goal was completed in FY 1999.)

Alignment with the Departmental Goals:

DOL Strategic Goal 2	A Secure Workforce – Promote the economic security of workers and families
DOL Outcome Goal 2.2	<i>Protect Worker Benefits</i>

ESA Strategic Goal 2	Secure public confidence through excellence in the management and delivery of ESA's programs and services.

ESA OUTCOME GOAL 2.4

Foster organizational excellence and increase collaboration.

The Black Lung and Longshore programs are striving to foster the kind of cooperative spirit and open communication among the parties to a disputed claim that results in a smoother process and quicker, more substantial resolutions. With this end in mind, they have set performance targets that focus on disputed claims and capture the success of their efforts.

ESA PERFORMANCE GOALS:

- 2.4c Reduce the average time required to revolve disputed issues in Longshore and Harbor Workers' Compensation Program contested cases by 8% when compared to an established baseline.
- 2.4d Increase by 6% 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.

STRATEGIES TO ACHIEVE GOALS:

Seek input from stakeholders on improving dispute resolution and case management. (2.4c)

Streamline Longshore district office dispute resolution process; improve management and tracking; exercise prompt and effective case management. (2.4c)

Reach out to employers and insurers to encourage voluntary compliance with the provisions of the LHWCA; assist employers and insurers to report injuries on time; provide required filings in compliance with statutory requirements; and provide evidence that will reduce the time to decision. (2.4c)

Develop a relationship with the claimant community based on confidence and trust; promote voluntary compliance with the LHWCA through such means as periodic industry notices regarding significant

LHWCA concerns and enforcement investigations into reports of employer non-compliance with self-insured/carrier requirements. (2.4c)

Implement the new Black Lung regulations, which provide for an improved and streamlined process. (2.4d)

Reengineer the Black Lung initial finding process to more effectively provide all parties with information about the claims process and the decisions made on individual claims. (2.4d)

Use outreach and technical assistance efforts with all stakeholder communities to promote an atmosphere of understanding and constructive cooperation. (2.4c, d)

Work with the Black Lung diagnostic provider community to emphasize the need for complete and accurate medical reports that satisfy program requirements. (2.4d)

Alignment with the Departmental Goals:

DOL Strategic Goal 3	Quality Workplaces – Foster quality workplaces that are safe, healthy, and fair
DOL Outcome Goal 3.2	<i>Foster equal opportunity workplaces</i>
ESA Strategic Goal 2	Secure public confidence through excellence in the management and delivery of ESA's programs and services.

ESA OUTCOME GOAL 2.4

Foster organizational excellence and increase collaboration.

To aid in the development of equal opportunity workplaces, ESA has developed a goal that acknowledges the importance of customer satisfaction.

ESA PERFORMANCE GOAL:

2.4e Increase customer satisfaction with OFCCP services by a minimum of 5% over the FY 1998 baseline. (*Note: Goal revised and combined with Goal 1.5a for FY 2001 - FY 2004*)

STRATEGIES TO ACHIEVE GOAL:

ESA will explore the use of Alternative Dispute Resolution (ADR) to reduce the time and expense of negotiation and administrative litigation. (2.4e)

ESA will foster increased partnerships with contractor organizations, and especially with new and small contractor groups and organizations, to provide detailed guidance on developing Affirmative Action Programs, including written plans. (2.4e)

Alignment with the Departmental Goals:

DOL Strategic Goals: 2 3	A Secure Workforce – Enhance opportunities for America’s workforce
	Quality Workplaces – Foster quality workplaces that are safe, healthy, and fair
DOL Outcome Goals: 2.1 2.2 3.2	<i>Increase compliance with worker protection laws</i> <i>Protect worker benefits</i> <i>Foster equal opportunity workplaces</i>
ESA Strategic Goal 2	Secure public confidence through excellence in the management and delivery of ESA’s programs and services.

ESA OUTCOME GOAL 2.5

Design and implement management systems and procedures to support ESA goals and objectives.

To align management systems and organizational initiatives with the Strategic Plan, to support ESA’s four major Program Offices in the accomplishment of their goals, and to achieve organizational

excellence, ESA has developed goals in three key administrative management areas: financial management, information technology, and human resources.

ESA PERFORMANCE GOALS:

- 2.5a Maintain compliance with all applicable accounting and financial system standards.
- 2.5b Revise and maintain ESA's Information Technology (IT) infrastructure.
- 2.5c Revise and maintain ESA's IT security controls, policies and procedures.
- 2.5d Develop Human Resources (DHRM) staff to provide computer-based training in support of ESA's program training needs.
- 2.5e Develop and deliver quality training for the Federal Employees' Compensation (FEC) program's "imaged" environment.

STRATEGIES TO ACHIEVE GOALS:

Implement systems and procedures to comply with the Chief Financial Officers Act, the Federal Financial Management Improvement Act, and the Debt Collection Improvement Act. (2.5a)

Strengthen and modernize ESA financial systems to keep pace with new and emerging financial requirements; maintain a strong and positive working relationship among ESA's financial community and with the DOL OCFO to address any internal control and weaknesses identified. (2.5a)

Develop a cost accounting approach and system to respond to Departmental requirements to allocate program costs at the Secretary's strategic and outcome goal levels. (2.5a)

Enhance the overall capacity of the ESA IT infrastructure in order to support more services and information to ESA employees and their customers by expanding the ESA Wide Area Network and taking advantage of newer technical services provided by the FTS2001 contract. (2.5b)

Research, review and select emerging web-based technologies that will provide architecture to support the Program's Internet and Intranet initiatives. This includes publishing, forms creation, and JAVA development software tools as well as Public Key Infrastructure (PKI), web server, and application server infrastructure technology. (2.5b)

Perform a vulnerability assessment to determine weaknesses in the ESA IT environment. Develop mitigation plans to reduce or eliminate weaknesses found as a result of the assessment. Research, review and select up-to-date tools and services that address vulnerabilities and allow ESA to develop processes and procedures to minimize risk. (2.5c)

Continue to work closely with ESA Programs to assess ongoing and future needs and capabilities. Continue to work closely with the Department on the development of overall IT strategic plans, IT security, IT policy, and IT architecture. (2.5b, c)

Continue to develop employees' skills to ensure that ESA staff are well-trained and knowledgeable in delivering technical training courses in a computer-based training environment. (2.5d, e)

Attend annual seminars presented by the authoring software company on best practices and on the latest techniques/uses to develop computer-based training materials. (2.5d, e)

Continue to conduct pilot tests of the training materials to improve the course materials and develop systems for trainees and their supervisors to provide evaluation/feedback on the effectiveness of the training. (2.5d, e)

KEY EXTERNAL FACTORS THAT MAY AFFECT PERFORMANCE

Some of the trends likely to change the complexion of the U.S. economy, workplace and workforce in the 21st century were discussed earlier in this document. Consideration of those trends inform and focus our strategic and contingency planning. The following are real world variables -- beyond the obvious need to receive adequate funding -- which may have an impact on our ability to achieve our goals for American workers and their families.

The Changing Economy

Attaining jobs with good wages may become more difficult, especially where individuals experience significant skills gaps or where there is an inability to meet skills shortages. Mitigating strategies include increased compliance assistance, outreach, education, and training with a greater focus on federal contractors and subcontractors.

Changes in Legislation and Regulations

Congressional riders prohibiting the issuance of rules and Congressional restrictions on issuing regulations or overturning regulations could potentially affect ESA's implementation of any of the laws

and regulations it administers. Additional responsibilities could result from amendments to or newly enacted legislation.

Changes in Public Attitudes on Race, Gender, and Disability

The success in advancing strategies will be affected by current debates regarding race, immigration and gender discrimination. Where the public accepts the need to address discrimination and its consequences, ESA will be successful at advancing programs and eliciting support for proactive measures to prevent discrimination and rectify harm caused by discrimination. Absent public support and in an environment that does not recognize these problems, ESA will function in a way that is not as supportive of race-gender initiatives.

Partnerships

Cooperation with the private sector, interest groups, and other agencies at the federal, state and local level in establishing linkages and complementary services is essential in many program areas. Several examples follow:

- 1) Expedited injury claims processing and the accommodation of injured workers' return to duty depend upon the active cooperation of the federal employing agencies.
- 2) In difficult cases, some employers' litigation strategy is to appeal every case, regardless of the merits. That approach can slow ESA enforcement processes considerably.
- 3) Cooperation with employers is paramount to goal attainment for all ESA programs. ESA encourages federal contractors and subcontractors to voluntarily develop and promote "best practices" for affirmative action and nondiscrimination programs and to demonstrate with practical, real-world examples how compliance benefits a company. In addition, ESA makes a particular effort during its education and outreach efforts to assist employers/companies in complying with ESA program or regulatory requirements using these real world examples.

Data

Strategic planning is dependent on accurate information about measures, outputs, and outcomes to monitor progress and to decide on future direction for all ESA programs.

A rapidly changing economy means more data demands from decision-makers.

Changing Demographics

The changing demographics of America affect goal attainment. The population is becoming older, more diverse, with a net increase in foreign-born persons. Different approaches are needed to service this

changing customer group. For example, information must be available in various mediums and multiple languages so prospective workers can easily discover what job opportunities are available, the rights to which they are entitled and where these jobs are located.

SECTION 4:

RELATIONSHIP BETWEEN GOALS IN THE ANNUAL PERFORMANCE PLAN AND THE STRATEGIC PLAN

ESA's Strategic Plan includes strategic, outcome, and multi-year performance goals that support two of the overarching strategic goals established by the Department — A Secure Workforce and Quality Workplaces. The Strategic Plan is the context for ESA's Annual Performance Plans. Each performance goal was developed with planned annual performance targets covering the period of the FY 1999 – FY 2004 Strategic Plan. These planned annual performance targets will be reevaluated each year using various data and information sources from which we will establish annual performance goals. Over the term of the Strategic Plan, accomplishment of the annual performance goals will satisfy the multi-year performance goals of the Strategic Plan.

Key performance goals and measures from each ESA program component are included in the Annual Performance Plan. These goals and measures reflect program contributions toward achieving ESA's and the Department's goals. Each ESA Annual Performance Plan will accompany and be linked to each year's budget submission and will be tracked internally to monitor progress toward achievement of goals and ultimately, results.

In providing the detail linking specific program activities and initiatives to the strategic and outcome goals listed in this plan, the ESA Annual Performance Plan, with the performance measures/indicators, will recognize the broad outcomes of our programs while setting objective and measurable targets that stretch us each year as we reach for our strategic goals.

Annual performance indicators and goals will account for the span of time between intervention and results. By the nature of our programs, many outcomes occur beyond the year of our effort. For example, many regulations reach into the future. Our measures will balance a near term and long term view, while reflecting to the greatest extent possible resources expended. System-building measures recognize the contribution of earlier investments.

ESA's performance goals will be developed with an appreciation for our partners – other federal agencies, states and localities, businesses, community-based organizations and public interest groups. ESA performance indicators and goals will reflect a high-level, cross-cutting view of the agency. The

approach to collecting data needed to measure our performance against our strategic goals is described in Section 8, Data Capacity.

SECTION 5:

CONSULTATION WITH STAKEHOLDERS

ESA's work affects a wide range and number of stakeholders because our mission affects the lives of so many working Americans. The major stakeholders include working men and women and those employee organizations that support the workplace and workforce activities that benefit this population, employers and employer groups, other Federal and State agencies, professional organizations, public interest groups, and the Congress. Each of ESA's major Program Offices works with the stakeholders most interested in their program activities. They are included, as appropriate, in the following discussion.

Wage and Hour Division

At the national, and particularly at the local level, WHD regularly consults with and involves both external and internal stakeholders in establishing priorities and assessing accomplishments. As needs and requirements change, WHD adjusts its programs to more effectively serve its customers and partners.

Internally, WHD relies on strong union-management partnerships and continuing efforts to build a culture of employee empowerment and involvement to implement its programs and strategies. The strategic planning process is an inclusive process, including an internal Quality Self-Assessment, that has been refined over several years to ensure ongoing identification of all internal and external stakeholders, encourage input and feedback from stakeholders, and promote continuous improvement.

WHD also actively involves other ESA, DOL, State and Federal agencies in its planning process through partnerships, joint enforcement efforts and Memoranda of Understanding (MOU).

In addition, WHD has institutionalized for external stakeholders several strategies to obtain input and feedback from both employers and workers in setting priorities and assessing the effectiveness of its programs, including:

- An active program of education and outreach for employers to increase the level of compliance where violations may result from ignorance or misunderstanding of the law, especially in low-wage industries or in small businesses just starting up;

- Seminars and speeches to a wide variety of stakeholder groups including other government agencies, unions and associations;
- A Home Page on the Internet that includes regulations, press releases, and other information of interest to employers, employees and their representatives;
- The Department has developed an interactive labor law advisor (e-laws) designed to help employers and employees learn more about the requirements of the Family and Medical Leave Act, and the Fair Labor Standards Act's coverage and child labor provisions; and,
- Regular customer surveys of key stakeholder groups.

In September 1997, WHD held its first-ever National Stakeholders Forum in Washington, D.C. to discuss our strategic goals and the results the agency was seeking to achieve.

In June 1998, 1999 and 2000, WHD again held its National Stakeholders Forum in Washington, D.C. to discuss our goals and the results we hoped to achieve. These Forums were expanded to include several individual break-out groups for particular subject areas such as garment and agriculture and two of our nationally targeted industries, to allow the stakeholders to facilitate feedback.

In May and June 1998, WHD held the first-ever Garment Stakeholder Forums in Los Angeles and New York City, respectively, to more fully involve the stakeholders and gain input for the strategic plan in those two cities.

At the conclusion of the poultry processing and health care compliance surveys, WHD conducted meetings with the stakeholders to announce the results of the surveys and sought their input for the next steps to improve the level of compliance in these industries.

For the past four years, prior to the June Executive Team Meeting to develop the framework for the FY 1999 through FY 2002 Performance Plans, regional staff were encouraged to seek input both internally from their staffs and externally from their local stakeholders.

Internally, WHD received input about other compliance challenges that need to be addressed, balancing enforcement and education/outreach initiatives, and effectively addressing employee complaints.

Externally, stakeholders generally expressed support for continuation of our education/outreach activities and concern about their confidence in the results of our investigation-based compliance surveys. They requested continued involvement in the input/feedback process and conveyed some skepticism about our ability to accomplish the stated long term compliance goals.

At the national level, some modifications were made to the overall goals to reflect the Secretary's domestic child labor initiative, "Safe Work/Safe Kids." An FY 2000 goal was added to, "establish a baseline in those selected industries where the data indicate that the risk of serious injury to young workers is greatest." Another FY 2000 goal was added to, "establish a baseline of child labor compliance by employers previously investigated in selected industries where the data indicate that the risk of serious injury to young workers is greatest."

At the local level, plans are being developed to accommodate the input and concerns raised by the stakeholders. For example, the overall garment compliance strategy has been modified to focus more education on new garment shops in Los Angeles in light of the results of the latest compliance survey which disclosed that new businesses had a much lower level of compliance than those businesses that had been in operation longer. And, in New York and San Francisco we have broadened our outreach to community-based and worker organizations to build trust and improve communications, including developing a "rapid-response" capability to follow-up on complaints received from these organizations.

Although we have discussed our strategic plan at Congressional hearings involving the garment program and have done Congressional briefings for the garment and poultry processing initiatives and our activities to reengineer the Davis-Bacon wage survey program, there have not been meetings with Congressional offices to date specifically on our strategic plan.

Given the number of laws administered by WHD, it is not feasible to enumerate all of our stakeholders; however, we have included lists of the more significant ones.

*Examples of the more significant national **external** stakeholders:*

Associations (Employer and Advocacy Organizations)

American Farm Bureau Federation
Association of Farmworker Opportunity Programs
Child Labor Coalition
Farm Labor Organizing Committee
Farmworker Justice Fund
Food Marketing Institute
National Council of Agricultural Employers
National Child Labor Committee
National Consumers League
National Education Association
National Grocers Association
National Parents Teachers Association
National Restaurant Association

National Federation of Independent Business, Inc.
National Institute for Severely Handicapped
Society for Human Resources Management
National Partnership of Women and Families
American Apparel Manufacturers Association
National Association of Manufacturers
Businesses for Social Responsibility
National Retail Federation
International Mass Retail Association
Associated Builders and Contractors of America
Associated General Contractors of America
Contract Services Association
American Association of Homes and Services for the Aging
American Association of Retired Persons
American Health Care Association
Assisted Living Facilities Association of America

Unions

AFL-CIO (including the Building and Construction Trades Council and signatory unions)
Service Employees International Union
UNITE
Nine to Five
United Food and Commercial Workers
United Farm Workers
American Federation of State, County and Municipal Employees

Congressmen and Senators

State and Local Government

National Association of State Government Labor Officials
Interstate Labor Standards Association
National Association of Counties
National Conference of State Legislators
National Governors Association
National League of Cities
U.S. Conference of Mayors

U. S. Government

All of the Federal Contracting Agencies (e.g. DOD, HUD, GSA, U.S. Postal Service)
U.S. General Accounting Office
U.S. Department of Justice (e.g. FBI, INS)
U.S. Office of Personnel Management
U.S. Department of Treasury (e.g. IRS, U.S. Customs Service)
Committee for Purchase from People Who are Blind or Severely Disabled
U.S. Equal Employment Opportunity Commission
National Institute for Occupational Safety and Health

Examples of the more significant **internal** stakeholders:

AFGE – Local 12
National Council of Field Labor Locals
Federal Managers Association
Bureau of Labor Statistics
Occupational Safety and Health Administration
Employment Standards Administration
Office of Federal Contract Compliance Programs
Office of the Solicitor
Office of Public Affairs
Office of Congressional and Intergovernmental Affairs
Women's Bureau

Office of Federal Contract Compliance Programs

OFCCP's proactive program strategy includes ongoing consultation with and involvement of all stakeholders in developmental phases of OFCCP's strategic plan and performance goals. OFCCP's vital mission includes stakeholders at grassroots, small business, industry, federal, state, and local levels.

At the outset, grass root partnerships were established by OFCCP's meeting with representatives from community, small business, and other interest groups to foster their input. This was done at national, regional and district office levels at meetings dealing with OFCCP revisions of regulations 41 CFR 60-1 and 41 CFR 60-2. Great strides in communicating our tiered review process, and other program initiatives were made by national and regional staff through the cooperative agreement between OFCCP and the National Council of Negro Women (NCNW). We have worked with Hispanic organizations such as The National Council of LaRaza and the League of United Latin American Citizens (LULAC),

also in this regard. One of our most active stakeholders has been the Leadership Conference on Civil Rights. Women's groups are included through such organizations as the Chicago Women in Trades and Women Employed. Another important stakeholder is the Disabled American Veterans. Additionally, the OFCCP Deputy Assistant Secretary serves on the board of the President's Committee on the Employment of People with Disabilities. Staff members meet with the US Architectural Barriers Compliance and Transportation Board (ACCESS) in order to discuss policies and initiatives which will be used by federal contractors and subcontractors to increase access to buildings and worksites for the disabled. OFCCP has also been heavily involved with Tribal Employment Rights Offices (TEROs) and other Native American organizations through the appointment of TERO coordinators. Asian stakeholders are represented through such groups as Chinese for Affirmative Action and the Philippine American Foundation.

Industry Liaison Groups (ILGs) have been utilized to obtain contractor input and annual customer surveys have provided valuable feedback. OFCCP has often discussed strategic ideas with Congressional leadership such as the House Appropriations Subcommittee, the Congressional Black Caucus, the Women's Caucus, and with concerned organizations at the state and local level. All of the stakeholders mentioned above have been made aware of and have commented upon OFCCP's strategic goal of increasing by 30% the number of contractors brought into compliance.

As part of OFCCP's public education outreach initiative, workshops and seminars for both federal contractor and constituency groups have been held across the nation to apprise them of revised regulations regarding nondiscrimination and affirmative action obligations under Executive Order 11246, as amended, and our strategic goals. We have done this by distributing over 5,000 "Palm cards." These cards provide OFCCP's strategic goals in conjunction with the Department's goals. Each card is equipped with the OFCCP Deputy Assistant Secretary's telephone number. Additionally, this information is disseminated through briefings, internal communications and workshops.

OFCCP also disseminates an annual customer survey to measure program effectiveness. This survey addresses not only specific strategic goals, but also overall program goals, vision, and outreach and education measures. OFCCP's Town Hall meetings held throughout the nation continue to educate employers regarding compliance measures and voluntary compliance issues.

To date we have utilized customer feedback in order to improve customer service to constituents and reduce burden on Federal contractors and subcontractors. For example, we have streamlined requirements for Affirmative Action Programs by creating the tiered compliance review initiative, increasing OFCCP's efficiency and effectiveness in monitoring Federal contractors and subcontractors. Feedback has been considered by OFCCP in order to enhance efforts to meet our strategic goals, but has not been incorporated such that any of our quantitative goals have been changed. A detailed list of 294 OFCCP stakeholders is available upon request from the program.

OFCCP's internal planning process consists of quarterly meetings with senior managers where progress towards annual and strategic goals is reviewed. Staff involvement is incorporated into the planning process with strategies to obtain input from front-line employees on an ongoing basis. Similarly, OFCCP's commitment to "Partnering" this process with other related DOL stakeholder agencies such as the Women's Bureau, the Employment and Training Administration, OASVETS, the Office of the Solicitor, and ILAB, is reflected as a formal objective for OFCCP.

Interagency coordination through cross-cutting programs with the Equal Employment Opportunity Commission, the Departments of Justice, Transportation, Health and Human Services, Housing and Urban Development, Education, Department of Transportation, and Agriculture have amplified OFCCP's effectiveness in securing equal employment opportunity and decreasing workplace compensation inequities and occupational segregation. OFCCP has also worked closely with all contracting agencies such as GSA and DoD.

The OFCCP Ombuds Program, supported by stakeholder input and the first such program within DOL, serves the public as an additional customer service resource. An 800 number allows any employee, applicant, or other member of the public to voice an anonymous opinion or complaint regarding OFCCP's programs directly with the regional Ombud person. The program continuously monitors direct customer service to protected groups, the contractor community, as well as indirectly servicing congressional field offices and constituency groups.

Office of Workers' Compensation Programs

OWCP has conducted annual customer surveys since FY 1994. These surveys have included Federal civilian employees, longshore and harbor workers and coal miners who are/were disabled by on-the-job injury or illness as well as Congressional offices, claimant attorneys, insurance carriers, coal mine operators, and longshore employers.

In response to the first set of survey results, each program developed a Customer Service Plan. As a result of subsequent survey results, the programs have developed corrective action plans to deal with their customer service shortcomings. Survey results, for example, communications and timeliness issues identified by FECA stakeholders, were shared with program strategic planning teams and used by them in the development of each program's strategic plan.

Federal Employees' Compensation Program (FECA)

Stakeholders of the FECA program include: injured workers and survivors, Federal employing agencies, Federal employee unions, and national associations representing various medical specialties and the compensation insurance industry.

The FECA strategic plan has been available to the public on OWCP's Internet site since early 1996. Since that time, subsequent revisions have been shared with the stakeholder groups. We have distributed copies of the plan to each of OWCP's union/management partners and have also sent letters to Federal employee unions and Federal agency managers enclosing the strategic plan and asking for comment.

FECA periodically holds interagency meetings with employing agencies at the National Office level in order to provide a mutual exchange of ideas, provide the agencies with information on FECA claims handling and ADP initiatives, and to respond to their concerns. These interagency meetings serve to provide a means for frank discussions thereby reducing communication problems and frustrations between FECA and its stakeholders. FECA has made a point of routinely distributing its strategic plan at these meetings and has encouraged feedback from the employing agencies. The same strategy has been carried out with employee union representatives at the national level. Similar regional meetings with employing agencies, key employee unions, and Congressional offices provide the means for the wide dissemination of the strategic plan.

Discussion of FECA strategic planning also has been included in the program's ongoing meetings with employing agencies in the field, as part of 3-day training workshops for new agency workers' compensation staff, and in presentations to employing agency managers' groups.

Comments have been received from OMB, GAO, and Congress as part of their high-level review of agency strategic plans. The Department of Labor has also provided FECA with additional guidance regarding plan development and content.

FECA's Technical Assistance Branch has been organized to receive stakeholder comments. In considering these comments, the program has sought to preserve the basic themes of the 1996 plan while sharpening goals and strategies. For example, in response to comments from the Postal Service, the program has established a quality review of bills for medical service as a strategy to strengthen program integrity. In response to union interest, the plan places more emphasis on educating employee representatives as conveyors of information to injured Federal workers. Other plan changes have organized the plan in the framework of the broader ESA and DOL strategic plans.

Black Lung Program

Stakeholders for the Black Lung program include: the National Black Lung Association and its state and local affiliates, the United Mine Workers of America, the National Coalition of Black Lung and

Respiratory Disease Clinics, Physicians, Clinics and Hospitals which provide treatment and diagnostic services to Black Lung beneficiaries and claimants, the National Mining Association and its state and local affiliates in the coal industry, the American Insurance Association, the National Council on Compensation Insurance, the National Workers Compensation Reinsurance Pool, the Alliance of American Insurers, the American Iron and Steel Institute, the Edison Electric Institute, Third Party Claims Administrators, and Attorneys and law firms representing all of the above groups.

The future strategic plans of the Division of Coal Mine Workers Compensation are dependent upon changes now under consideration in the program's regulations. The Division last revised its regulations in 1983 as part of implementing amendments to the Black Lung Benefits Act, which became effective in 1982. Experience gained in fifteen years of implementing those regulations, plus the need to incorporate changes produced by intervening caselaw and improvements in medical technology and knowledge led to a plan to totally review and revise the existing regulations. The revisions include ideas developed by the Division's Strategic Planning and Reinvention Teams as well as addressing concerns raised in Congressional oversight hearings and legislative proposals.

Although the proposed changes were published in the Federal Register in 1997 and available on the Internet, those media do not effectively reach large parts of the program's stakeholder community who are located in rural Appalachia. Prior to publication, the planned project was announced at a conference in Beckley, West Virginia, at the National Mine Safety Academy. Names and addresses of groups and individuals interested in receiving printed copies of the published proposal were mailed to groups and individuals who otherwise would not have had access to it or the opportunity to meaningfully comment on the proposed changes.

In addition to providing a seven month period for the submission of written comments which resulted in the receipt of several thousand pages of written comments and accompanying exhibits, public hearings were held in Charlestown, West Virginia, and Washington, D.C., at which a total of sixty-six witnesses testified concerning the proposed changes. Representatives of all of the stakeholder groups listed above participated in these input processes.

Claimant and labor group representatives generally supported the overall direction of proposed changes while often contending that they did not go far enough to address their concerns. Employer-insurer representatives tended to generally support the current arrangements and to regard the proposed changes as unnecessary or undesirable.

Several meetings have taken place with Members of Congress and Congressional staff. Several members have relayed concerns raised by their constituents about the proposals and one Member of Congress did testify in support of the proposals at the Washington, D.C., public hearing.

After careful review of the comments and testimony received, a revised proposal accompanied by an expanded analysis of its possible impact on various sectors of the coal industry was published for a 90-

day period in the Federal Register in October 1999. A proposed final rule has been submitted to OMB for review prior to implementation.

Longshore Program

Longshore program stakeholders are self-insured employers, insurance carriers and employee unions, including the following: Maher Terminals, Inc., International Terminals Operating Co., Inc., Ceres Terminals, Inc., Army Central Insurance Fund, Bethlehem Steel Corporation, Cooper T. Smith Corporation, Midland Enterprises, Sea-Land Services, Inc., Shippers Stevedoring Co., Worldwide Management Group Trust Fund, Homeport Insurance Company, Majestic Insurance Company, American Home Assurance Company, Eagle Pacific Insurance Company, Fidelity and Casualty Company of New York, and the International Longshoremen's Association.

Over the past two years elements of the Longshore program's strategic plan were disseminated to stakeholders through posting on the internet and in various meetings and seminars with the program's constituents. The Longshore division's strategic plan, which was incorporated into the OWCP strategic plan, received wide dissemination through posting on the World Wide Web on November 22, 1996. This posting made the plan available to the widest possible range of stakeholders and encouraged those with a stake in the program to provide their input for consideration by the program. An updated version of the plan is in the process of being posted on the World Wide Web.

Elements of the plan have also been presented at meetings and seminars involving the stakeholders. These include the following organizations and meetings: Meetings of the National Association of Waterfront Employers which have been held on a quarterly basis. This organization consists of a nationwide membership of stevedore companies. A presentation of the plan was also made before the annual Loyola University Longshore Conference in March 1998. A national audience of Longshore program stakeholders were represented at this meeting including longshore and harbor worker union representatives, attorneys representing stevedoring, shipbuilding and offshore drilling companies, insurance company representatives, attorneys representing injured workers under the Longshore Act, and administrative law judges.

Although we have received no formal feedback or input from stakeholders as a result of these consultations on the Longshore Strategic Plan, the program has continued to analyze stakeholder interests through a customer survey process. In addition we have recently solicited comments on the most currently revised draft of our Strategic Plan through a mailing to various employers, carriers and union representatives.

Office of Labor-Management Standards

Stakeholders in the Labor-Management Reporting and Disclosure Act (LMRDA) program administered by OLMS principally include unions regulated by the LMRDA, union members, and public disclosure customers. OLMS has conducted and continues stakeholder consultation regarding the development and implementation of a new system for the electronic filing of reports required under the LMRDA and for a computer database of reported information that is accessible through the Internet. Implementation of this new system is a multi-year project and a major strategic plan component. From the outset, OLMS has consulted with stakeholders to ensure full consideration of issues and public concerns at the initial planning stages. Consultation has included discussion with Congressional representatives. An implementation plan developed following these initial consultations has been provided to the Congress.

Additionally, agency public disclosure customers are being surveyed to assess the level of satisfaction with and the quality of agency public disclosure services. The survey and other stakeholder consultations will help in shaping the new Internet public disclosure system.

Regarding other program matters, OLMS initiates consultation and partnership with international union officials to seek their assistance in securing voluntary compliance with the LMRDA by affiliates, particularly in regard to the filing of LM-2/3/4 reports. U.S. Attorneys and Solicitor of Labor (SOL) staff are also stakeholders in the OLMS program and are regularly consulted to ensure the quality of OLMS investigations and prosecutive support and effective program administration and statutory enforcement.

SECTION 6:

CROSS-CUTTING COORDINATION

This section highlights the Employment Standards Administration's efforts to establish and maintain links between agencies – both within and beyond the Department – that administer similar or complementary programs. ESA places a high priority on ensuring that the agency operates its programs in a coordinated, efficient, and effective way. ESA's efforts in this sphere are key to accomplishing the FY 1999 – 2004 strategic goals, supporting complementary goals and strategies of its many partners, and mitigating the key external factors discussed earlier.

An important ESA objective is to ensure that cross-cutting efforts lead to program goals that are complementary, not redundant. This is accomplished through collaboration with other DOL agencies and helps to identify issues and problems that must be addressed. The collaboration leads to the development of mutual strategies for attaining goals and other appropriate measures that can be used to gauge program success.

Because it is the Departmental Strategic and Outcome goals that all DOL Agencies have in common, this section is presented by the two DOL Strategic and three DOL Outcome goals supported by ESA's four major Program Offices.

DOL Strategic Goal 2 – A Secure Workforce

Outcome goal: Increase compliance with worker protection laws

To carry out its several enforcement responsibilities, ESA cooperates with the DOJ, Immigration and Naturalization Service (INS), Department of Defense (DOD), General Services Administration (GSA), Health and Human Services (HHS), United States Department of Agriculture (USDA), and others, as well as coordinates with other internal DOL agencies such as the Employment and Training Administration (ETA) and the Solicitor of Labor. Cooperative efforts include coordination between the Wage and Hour Division and ETA relating to migrant and seasonal labor issues, and programs designed to increase compliance in the "Salad Bowl" agricultural commodities. ESA works with DOD and the GSA with respect to applicable wage determinations for government contracts. ESA's WHD works closely with ETA, USDA, and the states to explore the interaction of workplace laws and welfare reform. WHD is a key player on the Worker Exploitation Task Force, co chaired by the Solicitor of Labor and the Assistant Attorney General for Civil Rights (DOJ). This task force facilitates criminal investigations and prosecutions involving slavery and abuse of workers, including undocumented foreign nationals who are lured into this country and then exploited.

ESA's Wage and Hour Division is the lead agency in the Department coordinating among virtually all agencies in the Department the Secretary's domestic child labor initiative, "Safe Work/Safe Kids." This is a multi-prong strategy of enforcement, education, and partnerships to ensure that young people have opportunities for legal, constructive early work experience which is safe and enhances, rather than competes with, their education. Two multi-year performance goals have been added to reflect this Secretarial priority.

To leverage its impact – both with respect to enforcement and the dissemination of information ultimately leading to increased compliance – Wage and Hour seeks to enter into partnerships with industry leaders, employers, employer associations, commercial consumers and the States. For example, the Department has supported the work of the Fair Labor Association, the organization established by the Apparel Industry Partnership to oversee implementation of its Workplace Code of Conduct and monitoring principles. Subsequent to the discovery in 1998 of very young children working illegally in the onion harvest, four producers in the Texas Rio Grande Valley signed a compliance monitoring agreement with Wage and Hour committing to check for child labor compliance at least twice a day when crews are planting or harvesting; prescreen farm labor contractors before entering into contractual agreements; notify Wage and Hour immediately upon finding a child labor

violation, and cooperate or take appropriate steps to remedy the violation; train employees and farm labor contractors about the child labor requirements before each planting or harvesting season; and, report semiannually to Wage and Hour the results of their monitoring activities. Investigations during the area's 1999 harvest found no children illegally employed. Now compliance agreements with producers, processors and packers are routinely encouraged. In 1999, Sears, Roebuck and Company entered into a corporate-wide program to help ensure compliance by conducting self-audits, enhancing training for store managers and young workers and providing informational material to the parents of all young workers under 18 years of age. At the end of the year, Toys R' Us entered into a similar agreement. These agreements are being used as models for other corporations, especially in industries such as retail where youth are frequently employed. In addition to partnering with K-Mart, the American Academy of Pediatrics, the National Consumers League and the National Institute for Occupational Safety and Health to promote its annual "Work Safe This Summer" educational campaign, in 1999 the Department added new partners – The National Association of Theater Owners, National Recreation and Parks Association, and the International Association of Amusement Parks and Recreation. Consistent with the "Safe Work/Safe Kids" initiative, the Secretary announced a partnership with the States, the Federal/State Child Labor Task Force, to improve coordination of child labor enforcement and outreach activities and enhance communication including the sharing of data about the employment of youth and strategies about their safe employment.

In accordance with the Small Business Regulatory Enforcement Fairness Act (SBREFA), the Office of Small Business Programs (OSBP) provides one-stop service as a clearinghouse for ESA's WHD/OFCCP compliance assistance information, inquiries and comments on enforcement activity. OSBP serves a cross-cutting function by coordinating with ESA and other DOL enforcement agencies on customer/stakeholder feedback to resolve problems and improve agency operations.

ESA's enforcement programs maintain close ties and share information with other law enforcement agencies. In Labor-Management Reporting and Disclosure Act (LMRDA) criminal enforcement matters, cooperation may extend, as appropriate, to participation in joint investigations with other federal agencies, including the Federal Bureau of Investigation (FBI) and Internal Revenue Service (IRS) as well as other DOL agencies. The DOL-OIG coordinates its investigations into organized crime/labor racketeering activity in internal union affairs with the DOJ and pertinent law enforcement entities. The OLMS Division of Statutory Programs enables the timely release of federal transit grants by the Department of Transportation by certifying protective arrangements for transit employees within established time frames.

Each initiative to coordinate with other agencies is designed to increase compliance with worker protection laws leveraging resources, reducing overlapping activity, and utilizing the strengths of each entity.

Outcome goal: Protect worker benefits

ESA's Federal Employees' Compensation Act (FECA) program involves every federal agency in the filing and management of injury compensation claims. The FECA program coordinates with the Office of Personnel Management on matters of benefit elections, and in some specialized claims, with state and local police agencies on matters of entitlement and benefits. Federal agencies which undertake special initiatives work closely with FECA program offices at the national and regional levels to evaluate best practices. Other efforts also improve communication and cooperation. Through the Agency Query System (AQS), ESA provides secure, on-line information to enable agencies to provide better service to their injured employees and assist in FECA claims processing and case management. In new injury cases, ESA assigns nurses to coordinate among injured workers, agencies, and medical providers to resolve issues and facilitate recovery and return to work.

ESA's OWCP is working in partnership with all federal agencies in two key performance areas: the improvement in the timeliness of injury claims submissions – in part through expansion of electronic links for claims submission – and an increase in re-employment opportunities. ESA has been using, and plans to expand, its Internet site to post agency performance results related to these activities.

On July 2, 1999 the President signed the Federal Worker 2000 Initiative, which requires Federal agencies to reduce new workplace accident/illness rates, speed the timeliness of reporting new injuries to the Department of Labor, and reduce lost production days rates. ESA's OWCP will work with federal agencies to meet these goals by intervening in lost time cases, providing case management, and tracking disability time lost during the Continuation of Pay period immediately following an injury. OWCP will measure agencies' performance against the baseline for the Lost Production Days goal, and will post agencies' quarterly performance on its Federal Worker 2000 website. OWCP will continue to track and post detailed agency (and sub-agency) performance in terms of timely injury notice submission, another of its Federal Worker 2000 goals. ESA's OWCP will work in tandem with OSHA to help agencies reduce accidents/illnesses as well as speed return to work.

The Part B and Part C Black Lung programs have undergone partial consolidation within ESA. Under a Memorandum of Agreement with the Social Security Administration (SSA), ESA administers a major part of the "Part B" program for the SSA as a means of reducing duplication and confusion for the clientele they serve.

DOL Strategic Goal 3 – Quality Workplaces

Outcome goal: Foster equal opportunity workplaces

The Office of Federal Contract Compliance Programs (OFCCP) supports the Departmental commitment to internal and external cooperative efforts. In FY 1999, OFCCP hosted a conference

with the Solicitor of Labor to share information about issues affecting the program's enforcement posture. In addition, OFCCP is a key player on a team assembled by the Secretary to develop innovative, cooperative programs and policies to foster and implement the Administration and Secretary's Equal Pay initiative. The interagency team unites OFCCP with the Women's Bureau, the Employment and Training Administration, the Mine Safety and Health Administration, the Office of Small Business Programs, the Pension and Welfare Benefits Administration, and other agencies in this effort. OFCCP's ongoing use of the Memorandum of Understanding (MOU) is another reflection of the Departmental commitment to formalize complementary efforts between Federal agencies. For example, an internal MOU with the ESA Wage and Hour Division provides for information exchange and effective enforcement of the Family and Medical Leave Act. An MOU with the DOL Veterans' Employment and Training Service allows for coordinated public outreach efforts and information sharing regarding covered veterans. Outside the Department, OFCCP's MOU with the Department of Justice's (DOJ) Office of Special Counsel provides for referral of complaints involving national origin discrimination, information sharing, and coordinated public outreach efforts. An MOU with DOJ's Immigration and Naturalization Service (INS) allows for prompt referral to INS of all suspected violations against employment of unauthorized workers. OFCCP's MOU with the Equal Employment Opportunity Commission (EEOC) provides procedures for the coordinated collection, sharing, and analysis of data regarding individual or class complaints of discrimination on the basis of race, gender, national origin, or disability status. OFCCP coordinated and finalized another MOU with EEOC and initiated other MOUs with the Department of Transportation and the General Services Administration. Also, OFCCP participates in meetings convened by the White House and the Civil Rights Working Group to discuss implementation of OMB guidance on how race and ethnicity data are to be submitted for the 2000 Census. OFCCP has been tracking this issue and examining the impact on its enforcement efforts. In addition, OFCCP is an active member of the executive board of the President's Committee on the Employment of People with Disabilities.

The Department and ESA are proud to honor organizations for their exemplary affirmative action efforts to ensure that all individuals have an equal opportunity for employment. During the month of September each year, the Secretary presents awards at ceremonies specifically designed to honor the recipients of the Exemplary Voluntary Effort (EVE) awards, the Exemplary Public Interest Contribution (EPIC) awards, and the Secretary's Opportunity Awards. The ceremonies also provide the honorees an opportunity to showcase the activities for which these employers and interest groups are being honored.

Since 1982, local Industry Liaison Groups (ILGs) have emerged as an effective way of strengthening relationships between federal contractors and subcontractors and the OFCCP. Local ILGs offer a forum that encourages open communication between the two groups as they work together towards equality in the workplace.

SECTION 7:

PROGRAM EVALUATION

The Government Performance and Results Act (GPRA) requires federal agencies to evaluate performance in terms of program results and to associate costs with results. All Federal agencies are expected to have begun program evaluation to determine how well they're meeting their Strategic and Annual Performance Plan goals and what impact they are having on the outcome goals. GPRA requires agencies to evaluate performance against the goals and objectives set by Strategic and Annual Performance Plans and to use those results in updating the Strategic and Performance Plan goals.

Internal Evaluation

ESA does not possess the technical expertise to conduct formal evaluations or impact analysis. In lieu of formal program evaluations, a variety of methods were used to develop and have been used to modify ESA's strategic plan.

The Wage and Hour Division's (WHD) program performance evaluation process consists of two major components, both essential to the overall strategic planning process.

First, WHD prepares quarterly "report cards" which provide summary data regarding accomplishments compared to the annual performance plan, as well as additional information describing related activities and other measures of operational performance (including, for example, measures tracked by DOL's Chief Financial Officer (CFO)). This quarterly report is shared throughout the organization.

Second, as part of its strategic planning process, WHD's executive leadership team conducts an annual "diagnosis" of program performance. This undertaking is intended to serve to identify what worked and what didn't work, and what WHD learned and failed to learn over the last four-to-six quarters, and begin the performance planning process by considering potential "treatments" for the operational challenges facing the organization. This analysis is fed back through the program as part of the strategic planning process as it encompasses all levels of the organization. WHD also uses nationwide Quality Self-Assessments for its annual and long-range planning program.

OFCCP's program performance is evaluated in part by means of its quality management system, whereby the program assesses consistency and quality in meeting its performance goals. The system is not a conventional "checklist" type of audit system designed to measure quality at the end of the process, but is instead an interwoven series of quality checks throughout the operation of OFCCP, to assess quality on a regular and ongoing basis. The elements of OFCCP's quality management system include the following actions:

- Enhanced automated systems.

- Feedback received from Federal contractors and subcontractors during and after compliance evaluations regarding the outcomes and the process.
- Feedback from complainants during the appeals process regarding the handling of complaints.
- Congressional inquiries serve as a continuous check on whether OFCCP is providing the expected level of customer service.
- Customer surveys are utilized as a means to gauge the impact of the service OFCCP is providing.
- Annual accountability reviews and assessments of regional operations are conducted to determine whether the programs are being administered in accordance with OFCCP regulations and policies. Detailed program performance evaluations and recommendations are provided to managers upon completion of these assessments.
- The OFCCP Ombuds program, the first such program in the Department, constantly monitors direct customer service to minorities, women, veterans, persons with disabilities and the contractor community, as well as indirect servicing of Congressional field offices, constituency groups and contractor groups, etc.

OWCP has been unable in recent years to conduct significant program evaluations related to strategic planning which was industry-level in scope. Despite this, OWCP has continued to build upon a long history of performance measurement and program evaluation. The Union/Management partnership that developed the OWCP Strategic Plan did have benefit of the program's history of annual operational goals, quarterly district office performance reviews, annual quality reviews of workload processing, and a knowledge of management practices and familiarity with program initiatives. The strategic planning group also drew on the products of OWCP reinvention teams who were reengineering workload processes and rethinking program capabilities.

As a result of their review, the FECA group highlighted as the cornerstone goal FECA's role in lessening the effects of disability and assisting recovery and return to work. Other objectives for OWCP programs were to improve administrative cost-effectiveness, control benefit expenditures, address customer service shortfalls, streamline inefficient operations, create incentives for innovation, and involve employing agencies and employees to ensure achievement of goals.

OWCP will continue to evaluate performance and adjust plans for the future based on outcomes and changing circumstances as it has always done. Using a newly developed FECA future benefit liability model, ESA will begin analyzing claims histories to provide employing agencies with injury profiles and cost forecasts to better assist in the management of their safety and workers' compensation programs. At least annually it will reevaluate its strategic goals, and ensure that Performance Plans and managers' annual performance agreements support the accomplishment of the evolving Strategic Plan. The evaluation will consider stakeholder input, analyze diagnostic measuring tools, and consider whether the

strategies identified to achieve goals are appropriate and producing results, revising the Strategic Plan where necessary and appropriate.

For the Office of Labor-Management Standards assessment of program performance is ongoing with an emphasis on quality. OLMS will emphasize quality in the performance of its program mission by conducting regular reviews of program procedures and results. A revised case data system that was implemented in FY 1998 will enhance the ability of the agency to evaluate program results.

A number of the program strategies within each of the goals include the direct delivery of services to ESA's customers – the American public. Thus, the quality of ESA employees' interaction with their customers is an important element in measuring program success. As a result, any assessment of ESA programs must focus not only on performance results data, but also address how well customers' needs are being met. The reliability, responsiveness, and the soundness of technical assistance provided will be measured, for example, as ESA employees process and pay claims for workers' compensation programs, respond to worker complaints, assist employers in meeting workplace standards, issue "plain English" regulations, or provide technical assistance. Customer surveys are used by ESA's programs to survey their customers' expectations and experiences and analyze the effectiveness of their programs.

External Evaluation

Independent third party organizations have provided evaluations to the Department and its programs for many years. Program and management analysis is provided by the General Accounting Office (GAO) which has, over the years, conducted a number of audits of ESA programs. The Department of Labor's Office of the Inspector General (OIG) has conducted financial and program audits and reviews of ESA's activities. The findings contained in these reports were major considerations in the formulation of ESA's strategic plan.

Plans for Future Evaluation

In order to use the various types of program evaluations as a means for ensuring the validity and reasonableness of goals and strategies and to identify factors likely to affect performance, the Secretary of Labor established the Department of Labor Management Council, chaired by the Deputy Secretary with the assistant secretaries and agency heads as members. Part of the mandate of the Management Council is to ensure that strategic and performance goals are being accomplished according to plan. The Management Council established a review and analysis process to assess DOL performance. They are considering whether changes are needed in the way DOL does business or whether goals and objectives need to be adjusted. In addition, the Management Council will consider the establishment of a process that integrates DOL's many measurement systems.

There are no formal regularly scheduled evaluations in ESA. Informal, internal analyses, often under the rubric of reengineering, have been the more common approach to this integral part of the strategic planning process. The DOL Management Council will address itself to the need to more thoroughly institutionalize the evaluation process throughout the Department, and will ensure that a regular evaluative process is implemented such that all DOL goals and strategies, and key agency level strategies are continually assessed.

ESA had begun planning for the development of a process of ongoing program evaluations as required by the GPRA but decided to wait for the lead of the Management Council in establishing a process for the Department.

SECTION 8:

DATA CAPACITY

The Employment Standards Administration recognizes the need for an information technology (IT) infrastructure that meets its daily operational requirements and satisfies the data collection, validation, analysis, and information dissemination that is central to GPRA.

We have made significant progress in improving our performance measurement. The challenge of lack of data in those program areas where we had not traditionally collected data in the manner required for GPRA and where new goals and performance measures required that we establish new or revised collection systems has been resolved. For example, OWCP had to establish a new case tracking database to measure its reduction of lost production days for serious injuries and needed to greatly expand this database to support the goal of measuring lost days in all federal employee injuries.

Current Program Information Systems

ESA has several performance measurement systems in place that provide reliable data that are used to: 1) establish baseline performance, 2) evaluate current performance, and 3) set goals for future performance. These include the following:

- 1) Because there is no unbiased database on labor standards violations or compliance, Wage and Hour faces a major challenge in determining industry-wide levels of compliance and measuring changes in that compliance. To meet this challenge, Wage and Hour's newly implemented Wage and Hour Investigative Support and Reporting Database (WHISARD) system records data about the results of investigations and provides information about levels of compliance.

To determine the impact of its efforts, Wage and Hour has developed a statistically sound method for establishing baselines and measuring compliance that uses investigation-based compliance surveys of targeted industries and areas. WHISARD provides the capability to electronically (1) track these surveys or other strategic initiatives and (2) report their findings. Data on the outcomes of repeat investigations will also be used to evaluate the relative effectiveness, or return on investment, of the various types of interventions.

The new WHISARD system provides many advantages when compared to the former Wage and Hour Management Information System (WHMIS). For example, data is entered into the system directly at the source (by Wage and Hour investigators) rather than manually batched and mailed to a central source for data entry later. As a result, data is much more current, which facilitates tracking the progress of investigative activity. Information on a complainant's case is readily available which enhances customer service and satisfaction. All users of the WHISARD system have direct access which was not possible with WHMIS which enhances efficiency and enforcement effectiveness. In addition, WHISARD can produce data on a much broader range of activities such as local enforcement initiatives which was not possible with WHMIS and assists in the agency's strategic planning activities.

- 2) OFCCP's Case Management System (CMS) is used to measure program performance. Through software and hardware enhancements accomplished in FY 1999, the OFCCP Executive Information System (OEIS) allows field office managers to access CMS data to track the accomplishments of individual organizational units.

OFCCP will complete testing of its Equal Opportunity Survey by the end of FY 2000. Once the EO Survey is implemented, federal contractor response data will be input into a database and analyzed, with the results of data analysis to be used in making scheduling determinations for compliance evaluations. Development of the database structure, including the analytical model, will be implemented in FY 2001.

- 3) As it formulated new strategies for the FECA program, OWCP has developed increasingly sophisticated databases detailing the case histories of injured federal workers. These systems allow tracking of the goal of reducing lost production days, but also permit precise evaluation of various program initiatives such as the impact of alternative return to work techniques on various groupings of employees or injury categories.

The FEC ADP system is undergoing a complete redesign covering every major DFEC staff function. The redesign will replace a patchwork of loosely-linked programs, each with its own database and rules, and provide a single ADP system that will make data accessible to all users. This redesign will allow FEC claims staff to work more efficiently while providing improved customer service to injured workers, medical providers, and employing Federal agencies.

- 4) The Labor Organization Reporting System documents report filing by labor organizations under the Labor-Management Reporting and Disclosure Act (LMRDA) and related laws. Data in the system is used in monitoring compliance with reporting requirements and administering public disclosure responsibilities. The OLMS Case Data System documents case status activity and results. Both systems are used for overall LMRDA program administration and enforcement.

Data Validation

Validation of performance measures and indicators will be addressed through a variety of means. Each of ESA's programs will assure that their performance goals and indicators are valid and complete.

ESA has developed measurement systems to track performance against the goals and objectives in the Strategic and Annual Performance Plans, and will be responsible for ensuring that the measures meet appropriate statistical requirements (i.e., the measures are reliable and valid). By the beginning of FY 1999, ESA had developed measurement systems for strategic and performance planning purposes, including defining measures and establishing baselines.

As noted in the Program Evaluations section above, the Department's Management Council has established a review process to monitor performance against goals, and to assure that each of its performance goals and strategies are regularly evaluated. ESA's Assistant Secretary monitors performance against goals on a regular basis.

The Office of Inspector General will conduct audits under the Chief Financial Officer's Act and the Government Performance and Results Act (GPRA) to verify measured values of actual performance by all agencies of the Department. This strategy will include conducting, at various points during the course of the fiscal year, quality reviews of databases that capture performance data, and inspections of regional, area, and field offices to ensure the integrity and completeness of reported data.

ESA's Program Offices include the integration of customer service concerns into their day-to-day operations. ESA customers' feedback is instructive in measuring how well services are provided, identifying how services might be better delivered, and determining whether ESA's program goals effectively address customers' needs. ESA Program Offices, as part of their service delivery initiatives, conduct customer surveys, using appropriate sampling techniques, to obtain feedback at a reasonable cost. Thus, the quality of ESA employees' interaction with their customers is an important element in measuring program success. As a result, any assessment of ESA programs must focus not only on performance results data, but also address how well customers' needs are being met. The reliability, responsiveness, and the soundness of technical assistance provided will be measured, for example, as ESA employees process and pay claims for workers' compensation programs, respond to worker complaints, assist employers in meeting workplace standards, issue "plain English" regulations, or

provide technical assistance. Customer surveys are used by ESA's programs to survey their customers' expectations and experiences and analyze the effectiveness of their programs.

Linking Costs to Performance

GAO has reported to Congress on the need for Federal agencies to apply cost accounting standards to program measures. The Department of Labor has a reliable, established accounting system titled the Department of Labor Accounting and Related Systems (DOLAR\$). The system has the flexibility to capture, aggregate, and report costs within DOL agencies at the full range of cost accounting level.

ESA participated with the Department's Office of the Chief Financial Officer (OCFO) in an internal work group effort to implement the accounting provisions of GPRA and the Federal Financial Management Improvement Act (FFMIA). Modifications to DOLAR\$ are being made to allow aggregation of costs across agency lines and to allocate indirect costs. The allocation of indirect costs at the major program level began with FY 1998 cost data. Modifications to enable the aggregation of cost data across agencies were implemented for FY 1999 accounting purposes. In addition, DOL is developing the capability to link financial data to the performance reporting required under GPRA. For example, DOL's proposed cost accounting implementation plan would accumulate all costs associated with each outcome goal and report the full cost of activity under that goal.

SECTION 9:

MAINTAINING A STRATEGIC MANAGEMENT FOCUS

ESA's Strategic Plan and Annual Performance Plan(s) establish a management framework for linking the program, administrative and management operations of the agency's four major programs.

Information Technology Strategy

During FY 1999, the Department developed a new, enhanced Strategic Information Technology Plan covering FY 2000 – FY 2004 as required by the Information Technology Management Reform Act (ITMRA). The Plan supports DOL business and performance planning needs and establishes a framework to align information technology resources with the Department's missions, goals, and objectives. In addition to defining IT strategic focus areas and implementation strategies, the Plan identifies the need for complete, accurate and timely management information at the Program level needed to support the Department's implementation of GPRA and related program measurement and

evaluation activities. ESA participated in a Department-wide effort to develop the Department's IT Plan and used that participation to assure consistency with ESA's GPRA and IT planning.

ESA's future Information Technology (IT) environment will require expansion and growth with minimal disruption and alteration to existing systems. Whenever practical, ESA Programs will share IT resources and systems to increase efficiency and minimize costs. Expanded IT services and access will be driven by the demands of both internal and external ESA customers. Having technology in place ultimately allows better delivery of services to the employers and employees served by ESA Programs. ESA employees at all levels and locations will have the tools and technology to more effectively carry out the goals of their Programs. For example, cooperative efforts are enhanced as investigators and compliance officers are able to access the latest databases for information while on-site with an employer. This ready access enables staff to quickly access data or provide other information while conducting an investigation or compliance visit. Such timely information will also help employers to meet the requirements of the laws and regulations ESA enforces.

To accomplish this, ESA must extend capabilities and services to the front-line workers which currently are only available within the large ESA offices (Regions and National Office) today. In addition, we anticipate more administrative and Program-specific applications to be deployed to the ESA user base and must plan for this growth now to be able to accommodate those services in the future. The primary enhancement which will build the infrastructure to support these services is the enhancement of the Wide Area Network (WAN) connectivity at the ESA field offices and the deployment of the most up-to-date Remote Access Services (RAS) technology.

In addition, ESA will ramp up its efforts to utilize the Internet and web-based technologies to increase public service to its customers. For example, the Internet can be used to provide up-to-date information to all ESA customers that have access to the Internet. Services such as outreach and education, help desks, and customer self-service centers can be provided through this technology. This technology can also be used to intake data from external ESA customers to reduce the burden of having customers fill out and mail in paper forms. The key in providing more sophisticated Internet-based applications and ultimately self-service centers will be to develop the web-based infrastructure within ESA as well as to provide web-based development tools to ESA's application developers.

Over the planning horizon, ESA will also focus on enhancing its IT security and reducing the inherent risks associated with Information Technology by developing and revising a set of industry standard plans. These revisions will be driven by a vulnerability assessment on the ESA IT environment as well as on a set of Program-specific applications which fall under the Presidential Decision Directive (PDD) 63 – Critical Infrastructure Protection Plan (CIPP) definition for critical infrastructure. Once vulnerabilities are documented, plans will be developed to implement revised security controls and measures. Some level of additional personnel resources, hardware and software will be required to implement the revisions. ESA will seek the most modern technology and processes to reduce risks and protect ESA's systems and information.

Year 2000 Readiness

In 1997, ESA developed its strategy for ensuring ESA IT and non-IT infrastructure readiness for the Year 2000. Comprehensive assessments of ESA's IT and non-IT infrastructures were made and action taken to ensure ESA's readiness for the turn of the century. GAO's program and project management model (awareness, assessment, renovation, validation, and implementation) was adopted for repairing and replacing the agency's mission critical systems

All ESA mission critical systems were Year 2000 compliant within the time frame specified by OMB. The Department's independent verification and validation vendor rated ESA systems low for experiencing potential Year 2000 related system failure based on their review of these systems. ESA successfully achieved Year 2000 compliance.

Management Controls and Systems

The Department maintains a pro-active management system that is responsive to audit recommendations identified by the General Accounting Office (GAO) and the Department's Office of the Inspector General (OIG). The OCFO, DOL Agencies, the OIG and the GAO continue to jointly maintain a system for tracking audit recommendations to resolution and closure. This system provides source data from periodic reports to the Department's senior management on the status of corrective actions responsive to audit recommendations, and serves the Department well in maintaining a results-oriented approach to audit resolution. The Department's Management Control Policy Board, consisting of senior managers from each Agency of the Department, including the OIG, will continue to identify material weaknesses that need to be corrected and reported to the President and the Congress as prescribed in the Federal Managers' Financial Integrity Act.

None of the Department or ESA's programs are the subject of management weaknesses reported in the current GAO high risk audit series. This strategic plan addresses ESA's handling of the Year 2000 Information Technology compliance issue, which was the subject of a government-wide GAO audit in its high risk series.

ESA ensures the adequacy of management controls by combining elements of internal systemic checks and centralized oversight. The Program offices conduct schedules of internal review which include systems of annual planning, management reports, case quality analyses, surveys, and formalized accountability reviews designed to ensure that programs are achieving planned results and to identify and rectify the causes of any failures. The focus of these activities also includes proper use of resources

and prevention of waste, fraud and mismanagement. The results of the individual Program surveys and reviews are tracked by the Division of Financial Management with particular respect to the provisions of OMB Circular No. A-123, Management Accountability and Control. The objective is to ensure that the system of management controls is working effectively in each of the Programs to achieve the intended results – to protect resources from waste, fraud and mismanagement; to conform to laws and regulations; and to obtain information for decision-making.

Financial Management Strategy

ESA will focus on obtaining a clean audit opinion in the Department's Annual Financial Statements Audit. This will ensure that ESA's financial systems are free from any material non-conformance with applicable laws, regulations or accounting policy and procedure standards. This will be accomplished by working collaboratively with the OCFO and the OIG to implement new standards and requirements, as well as a preventive strategy to correct both internal control problems and compliance issues with financial laws and regulations that may be identified in the audits. By correcting these problems as they are being identified in each annual audit, our financial management can be continually enhanced.

The Federal Financial Management Improvement Act (FFMIA) requires federal agencies to identify and report to Congress on weaknesses in their financial systems. The OIG has identified some compliance issues relating to ESA financial systems during their annual audit. Two of ESA's systems (the Child Labor Civil Money Penalty System and the Backwage Collection and Disbursement System) were determined not to be in substantial compliance with FFMIA in that the systems did not process financial information effectively and efficiently and did not provide complete, timely, reliable and consistent information. Specific corrective action plans have been developed to bring these systems into compliance by the end of FY 2000. A management control process has been established within ESA to address and manage corrective actions relating to material and non-material weaknesses identified. In addition, ESA is enhancing the internal financial management system(s) review process within ESA by utilizing OMB, GAO, JFMIP and OIG financial guidance in the form of compliance review guides, checklists and specific audit recommendations. These steps will improve ESA's compliance with financial laws and regulations and enhance financial stewardship within ESA.

The Government Management Reform Act (GMRA) and the Government Performance and Results Act (GPRA) require the implementation of managerial cost accounting and performance reporting. ESA will work collaboratively with Departmental Offices to develop systems and management processes within ESA to more accurately track program costs against program activities.

Human Resources Strategy

The Employment Standards Administration will continue to enhance the agency's enforcement and compliance assistance efforts by expanding initiatives in specified targeted industries, successfully implementing newly enacted legislation, and providing timely high quality services to the public. Efforts to consolidate regional and field offices, reduce levels of management, establish a better alignment of staff, and increase the proficiency and productivity of staff within available resources will continue.

In addition, the Division of Human Resources (DHRM) participates on the Departmental People Power Project in the development, design and implementation of further enhancements for a fully integrated on-line system in the budget, training and payroll functions. The system will incorporate the recruitment process, labor relations, health/safety, payroll, time and labor, benefits administrations, and succession and career planning. DHRM will participate in the planning and requirements sessions to provide input in the development of the future applications – how they should operate and how they can best serve the system's clients: the employees, and all the administrative communities that will utilize this Departmental system.

A key focus of ESA's human resource strategy is to support the major Program Offices as they work to achieve their Strategic, Outcome and Performance Goals. Technology and new systems enhance the capability of the Program Offices to more effectively serve American employers and workers. DHRM has mounted a two-pronged effort to continually upgrade the skills of its Branch of Training and Development staff in the face of the movement of ESA's employees into a fast evolving, performance-centered, and often computer-based work world.

In the first instance, DHRM has purchased an authoring software package and begun to build computer-based training that can be delivered via the Intranet and Internet. The Division has also begun equipping staff with substantial skills in building computer-based learning sequences and has produced several computer-based training modules for use by ESA operating units. The Division will incrementally continue to purchase this authoring software until all of its professional training staff has developed the array of skills to respond to predictable operating program requests for computer-based training and performance support systems. These skills are formidable, will take several years to develop and staff will need refresher training to keep current with upgrades in the authoring software.

In a second instance, DHRM is engaged in reorienting the general approach of the Training Division. The most frequent approach for an operating performance problem is training; however, DHRM staff is being trained to determine the source of operating problems and opportunities in client organizations and then to work in the job setting to select the best intervention(s). This may simply involve removing an obstacle or may be a matter of providing performance support that often does not include training. The professional skills associated with the sound application of performance technology to client operating problems require at least five years to develop to the desired levels.

SECTION 10:

CONCLUSION

One of the aims of the strategic planning process is to advance ESA's major program components toward achieving the Secretary of Labor's vision of an integrated Department, one in which DOL's agencies work together to achieve common goals. This plan presents the programs, activities, and achievements that ESA will work to accomplish through FY 2004, the means by which its performance will be evaluated, and the standards to which it will be held accountable by the Department, the Congress and the American public.

As the strategic planning and management processes within the Department continue to evolve, ESA has further developed its own planning and management processes. GPRA has proven a major asset in focusing ESA's daily management efforts on the achievement of our core responsibilities to improve the security of America's workforce and to enhance the quality of the Nation's workplaces. We have made significant strides, but we also recognize the additional challenges that remain to fully implement the legislation and transform all corners of our agency into a performance-based organization. ESA is committed to meeting those challenges and continuing to improve the results of the programs and services we deliver to America's working families.

Appendix A

Acronyms

AA	Affirmative Action
AAP	Affirmative Action Plan
ACCESS	Architectural Barriers Compliance and Transportation Board
ADA	Americans with Disabilities Act
ADP	Automated Data Processing
ADR	Alternative Dispute Resolution
APP	Annual Performance Plan
AQS	Agency Query System
ASDS	Automated Survey Determination System
ASP	Assistant Secretary for Policy
BAT	Bureau of Apprenticeship and Training
BCDS	Backwage Collection and Disbursement System
BL	Black Lung
BLDTF	Black Lung Disability Trust Fund
BLS	Bureau of Labor Statistics
BTD	Branch of Training and Development
CARS	Computer Assisted Research System
CAS	Complaint Administration System
CBT	Computer Based Training
CCI	Correct Coding Initiative
CE	Claims Examiner
CFO	Chief Financial Officer
CFR	Code of Federal Regulations
CIPP	Critical Infrastructure Protection Plan
CMP	Civil Money Penalties
CMS	Case Management System
CNMI	Commonwealth of the Northern Mariana Islands
COBOL	Common Oriented Business Operating Language
COP	Continuation of Pay
CRA	Construction Resource Analysis
CRIS	Compliance Review Information System
CTIS	Case Tracking Information System
DBA	Davis-Bacon Act
DBMS	Database Management System
DFEC	Division of Federal Employees' Compensation
DHRM	Division of Human Resources Management
DLHWC	Division of Longshore and Harbor Workers' Compensation
DOD	Department of Defense
DOEd	Department of Education

Appendix A

Acronyms

DOI	Department of Interior
DOJ	Department of Justice
DOL	Department of Labor
DOLAR\$	Department of Labor Accounting and Related Systems
DOT	Department of Transportation
DSS	Decision Support Systems
ED	Education Department
EDI	Electronic Data Interchange
EEO	Equal Employment Opportunity
EEOC	Equal Employment Opportunity Commission
EFT	Electronic Fund Transfer
ELAWS	Employment Laws Assistance for Workers and Small Businesses
EO	Equal Opportunity
EPIC	Exemplary Public Interest Contribution
ES	Expert Systems
ESA	Employment Standards Administration
ETA	Employment and Training Administration
EVE	Exemplary Voluntary Effort
FASAB	Federal Accounting Standards Advisory Board
FBI	Federal Bureau of Investigation
FEC	Federal Employees' Compensation
FECA	Federal Employees' Compensation Act
FERS	Federal Employees Retirement System
FFMIA	Federal Financial Management Improvement Act
FLC	Foreign Labor Certification
FLSA	Fair Labor Standards Act
FMLA	Family and Medical Leave Act
FOIA	Freedom of Information Act
FTE	Full Time Equivalent
FY	Fiscal Year
GAO	General Accounting Office
GMRA	Government Management Reform Act
GPRA	Government Performance and Results Act
GSA	General Services Administration
GSS	General Support System
HCFA	Healthcare Financing Administration
HHS	Health and Human Services
HUD	Housing and Urban Development
IBT	International Brotherhood of Teamsters
I-CAP	International Compliance Audit Program
ILAB	Bureau of International Labor Affairs

Appendix A

Acronyms

ILGs	Industry Liaison Groups
INS	Immigration and Naturalization Service
IRS	Internal Revenue Service
IT	Information Technology
ITMRA	Information Technology Management Reform Act
IVR	Interactive Voice Response
JFMIP	Joint Financial Management Improvement Program
LAN	Local Area Network
LHWCA	Longshore and Harbor Workers' Compensation Act
LMRDA	Labor-Management Reporting and Disclosure Act
LS	Longshore
LULAC	League of United Latin American Citizens
MA	Major Application
MOU	Memorandum of Understanding
MQI	Medical Quality Index
MSAs	Metropolitan Statistical Areas
MSHA	Mine Safety and Health Administration
NAIC	Northern American Industry Classification
NCNW	National Council of Negro Women
NCS	National Compensation Survey
NO	National Office
NSOL	National Solicitor of Labor
OASAM	Office of the Assistant Secretary for Administration
OASIS	OWCP Automated System for Imaging Services
OCFO	Office of the Chief Financial Officer
OCIA	Office of Congressional and Intergovernmental Affairs
OEIS	Office of Executive Information Systems
OES	Occupational Employment Statistics
OFCCP	Office of Federal Contract Compliance Programs
OIG	Office of the Inspector General
OLMS	Office of Labor-Management Standards
OMB	Office of Management and Budget
OPA	Office of Public Affairs
OSBP	Office of Small Business Programs
OSC	Office of Special Counsel
OSEC	Office of the Secretary
OSHA	Occupational Safety and Health Administration
OWCP	Office of Workers' Compensation Programs
P&F	Program and Financing
PAR	Pre-award registry
PDD	Presidential Decision Directive

Appendix A

Acronyms

PKI	Private Key Infrastructure
PRM	Periodic Roll Management
PWBA	Pension and Welfare Benefits Administration
QCM	Quality Case Management
RAS	Remote Access Services
SBREFA	Small Business Regulatory Enforcement Fairness Act
S&E	Salaries and Expenses
SCA	Service Contract Acct
SIC	Standard Industrial Classification
SOL	Solicitor of Labor
SSA	Social Security Administration
TBD	To Be Determined
TEA 21	Transportation Equity Act for the 21 st Century
TECS	Technology for Excellent Customer Services
TEROs	Tribal Employment Rights Offices
USDA	United States Department of Agriculture
VETS	Veterans Employment and Training Service
VEVRAA	Vietnam Era Veterans Readjustment Assistance Act
WAN	Wide Area Network
WD-10	Report of Construction Contractors Wage Rates
WHD	Wage and Hour Division
WHISARD	Wage Hour Investigator Support and Reporting Database
WHMIS	Wage Hour Management Information System
Y2K	Year 2000

Appendix B Data Capacity

DOL Strategic Goal 2: A Secure Workforce – Promote the Economic Security of Workers and Families			
DOL Outcome Goal 2.1: Increase Compliance with Worker Protection Laws			
ESA Strategic Goal 1: Create better workplaces by increasing employer and employee awareness of, commitment to, and involvement in assuring fair wages and equal employment opportunity, minimizing the impact of work-related injuries, and safeguarding union democracy.			
ESA Outcome Goal 1.1: Promote compliance with employment standards and worker protection laws.			
Performance Goal	Indicator	Data Source	Comment
ESA Performance Goal 1.1a <i>(DOL Strategic Plan PG 2.1A)</i>	Trends in compliance/violation rates by Northern American Industry Classification (NAIC) Code; changes in results of compliance surveys in targeted industries.	Wage Hour Investigator Support and Reporting Database (WHISARD); results of compliance surveys. Baseline: varied	Because there is no unbiased industry-wide database on labor standards violations or compliance, Wage and Hour faces a challenge in determining industry-wide levels of compliance, measuring changes in compliance and attributing causality for any changes. To determine the impact of Wage and Hour efforts, a statistically sound method for establishing baselines and measuring compliance was developed using investigation-based compliance surveys of targeted industries and areas. Based on results, specific industries and/or industry sectors will be resurveyed every 2 to 3 years.

Note: Goal numbers 1.1b and 1.1c are reserved.

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ESA Outcome Goal 1.1: Promote compliance with employment standards and worker protection laws.			
Performance Goal	Indicator	Data Source	Comment
ESA Performance Goal 1.1d <i>(DOL Strategic Plan PG 2.1B)</i>	<p>Trends in compliance rates in those selected industries (NAIC code) where data indicate risk of serious injury to young workers is greatest.</p> <p>Specific program interventions to be completed during FY 2001 will be determined based on assessment of the results of the FY 2000 compliance survey.</p> <p>Targeted percentage of program improvement will be set following assessment of the results of the FY 2000 compliance survey.</p> <p>Accomplishment of targeted improvement will be measured by the FY 2002 compliance survey.</p>	<p>Wage Hour Investigator Support and Reporting Database (WHISARD); results of compliance surveys; industry data indicating serious injuries of young workers.</p> <p>Baselines for the restaurant and grocery industries to be established in FY 2000.</p>	<p>Because there is no unbiased industry-wide database on labor standards violations or compliance, Wage and Hour faces a challenge in determining industry-wide levels of compliance, measuring changes in compliance and attributing causality for any changes. To determine the impact of Wage and Hour efforts, a statistically sound method for establishing baselines and measuring compliance was developed using investigation-based compliance surveys of targeted industries and areas.</p> <p>Based on results, specific industries and/or industry sectors will be resurveyed every 2 to 3 years.</p>

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ESA Outcome Goal 1.1: Promote compliance with employment standards and worker protection laws.			
Performance Goal	Indicator	Data Source	Comment
ESA Performance Goal 1.1e <i>(DOL Strategic Plan PG 2.1C)</i>	<p>Trends in compliance rates in those selected industries (NAIC code) where data indicate risk of serious injury to young workers is greatest.</p> <p>Specific program interventions to be completed during FY 2001 will be determined based on assessment of the results of the FY 2000 compliance survey.</p> <p>Targeted percentage of program improvement will be set following assessment of the results of the FY 2000 compliance survey. Accomplishment of targeted improvement will be measured by the FY 2002 compliance survey.</p>	<p>Wage Hour Investigator Support and Reporting Database (WHISARD); results of compliance surveys; industry data indicating serious injuries of young workers.</p> <p>Baselines for restaurant and grocery industries to be established in FY 2000.</p>	<p>This goal is to increase the level of compliance as a result of a Wage and Hour enforcement intervention. Data on entities covered in an investigation-based compliance survey that have previously been investigated by Wage and Hour will be analyzed to compare those entities' compliance to the rest of the survey universe and to the entities prior compliance history. Data on the outcomes or repeat investigations will also be used to evaluate the relative effectiveness, or return on investment, of the various types of interventions.</p> <p>Based on results, specific industries and/or industry sectors will be resurveyed every 2 to 3 years.</p>

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ESA Outcome Goal 1.1: Promote compliance with employment standards and worker protection laws.			
Performance Goal	Indicator	Data Source	Comment
ESA Performance Goal 1.1f <i>(DOL Strategic Plan PG 2.1D)</i>	Trends in compliance/violation rates by industry (NAIC code); changes in results in compliance surveys in targeted industries.	Wage Hour Investigator Support and Reporting Database (WHISARD); results of compliance surveys. Baseline: varied	This goal is to increase the level of compliance as a result of a Wage and Hour enforcement intervention. Data on entities covered in an investigation-based compliance survey that have previously been investigated by Wage and Hour will be analyzed to compare those entities' compliance to the rest of the survey universe and to the entities prior compliance history. Data on the outcomes or repeat investigations will also be used to evaluate the relative effectiveness, or return on investment, of the various types of interventions. Based on results, specific industries and/or industry sectors will be resurveyed every 2 to 3 years.

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ESA Outcome Goal 1.2: Safeguard union democracy and financial integrity.			
Performance Goal	Indicator	Data Source	Comment
ESA Performance Goal 1.2a	Percentage of union member complaints timely investigated and resolved by appropriate dispositive action.	OLMS Case Data System. Baseline: 100%.	The timely resolution of union officer election complaints is an important safeguard for union democracy of direct benefit to union members. All such complaints filed under the LMRDA must be investigated and enforcement action, when warranted, must be filed within statutory time limits. Note: The agency has a legal obligation to investigate all union officer election complaints filed by members in accordance with the LMRDA and to initiate enforcement action when warranted within statutory time limits. Therefore, the annual target is 100%.

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ESA Outcome Goal 1.2: Safeguard union democracy and financial integrity.			
Performance Goal	Indicator	Data Source	Comment
ESA Performance Goal 1.2b	Performance indicators demonstrating protection of union assets and financial integrity include individuals barred from union office-holding and employment due to convictions resulting from agency investigation.	OLMS Case Data System. Baseline: No performance target is suitable for this goal; therefore, no baseline data is provided.	Union protections resulting from criminal enforcement action are important safeguards for union democracy and financial integrity. Note: Significant indicators of program impact on union financial integrity include the number of individuals convicted of embezzlement and other crimes that are barred from union office and employment as a result of OLMS enforcement actions. These can only be determined at the end of a given fiscal year; therefore, targets have not been included for this goal.
ESA Performance Goal 1.2c (DOL Strategic Plan PG 2.1E)	Percentage of financial reports filed timely for public disclosure availability.	Labor Organization Reporting System. Baseline: Timely filing of annual financial reports required of unions with annual receipts over \$200,000: 79% in FY 1997.	The indicators reflect union compliance with laws established to ensure democratic practices and financial integrity in unions in the American workforce.

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ESA Outcome Goal 1.2: Safeguard union democracy and financial integrity.			
Performance Goal	Indicator	Data Source	Comment
ESA Performance Goal 1.2d	Percentage of filed union reports that meet established agency standards of acceptability.	Labor Organization Reporting System. Baseline: To be established in FY 2000.	The accuracy and completeness of statutorily required union financial reports is critical to objectives of the LMRDA to promote union democracy and financial integrity through the public disclosure of reported information.

Appendix B Data Capacity

DOL Strategic Goal 2: A Secure Workforce – Promote the Economic Security of Workers and Families			
DOL Outcome Goal 2.2: Protect Worker Benefits			
ESA Strategic Goal 1: Create better workplaces by increasing employer and employee awareness of, commitment to, and involvement in assuring fair wages and equal employment opportunity, minimizing the impact of work-related injuries, and safeguarding union democracy.			
ESA Outcome Goal 1.3: Minimize the human, social, and financial impact of work-related injuries.			
Performance Goal	Indicator	Data Source	Comment
ESA Performance Goal 1.3a <i>(DOL Strategic Plan PG 2.2D)</i>	Average number of days lost due to disability for all cases.	Federal Employees Compensation Act (FECA) data systems. Baseline: Interim baseline for Quality Case Management (QCM) cases only is the FY 1997 actual – 189 workdays. The baseline for all cases will be established in FY 2000.	In FY 2000 DOL established a new baseline covering all federal employee injuries. Data for this much larger cohort requires that federal agencies capture and report “Continuation of Pay” data. The Presidential Initiative “Federal Worker 2000” sets a goal for agencies to reduce disability days, and will give impetus to data collection.
ESA Performance Goal 1.3b	Average time between agency supervisors’ authorization and receipt of claim forms by FECA.	FECA data systems. Baseline: FY 1997 average: 41%.	This goal focuses on FECA’s partnership relationship with the Federal employers and their role in providing services to their injured employees. Agencies’ prompt injury reporting supports FECA program goals to intervene earlier in new injury cases to speed recovery and return to work and, overall, to provide better services to injured workers. The Presidential initiative Federal Worker 2000 will focus Federal employers on achieving this goal.

Appendix B Data Capacity

DOL Strategic Goal 2: A Secure Workforce – Promote the Economic Security of Workers and Families			
DOL Outcome Goal 2.1: Increase Compliance with Worker Protection Laws			
ESA Strategic Goal 1: Create better workplaces by increasing employer and employee awareness of, commitment to, and involvement in assuring fair wages and equal employment opportunity, minimizing the impact of work-related injuries, and safeguarding union democracy.			
ESA Outcome Goal 1.4 Protect the rights of affected mass transit workers when Federal grant funds are used to acquire, improve, or operate a transit system.			
Performance Goal	Indicator	Data Source	Comment
ESA Performance Goal 1.4a	Number of employee protection certifications completed within 60 days.	Employee Certification Tracking System. Baseline: 1997: 96%.	The timely issuance of employee protection arrangement certifications is critical to protecting the rights of mass transit workers when Federal funds are used to acquire, improve, or operate a system.

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DOL Strategic Goal 3: Quality Workplaces – Foster Quality Workplaces That are Safe, Healthy and Fair			
DOL Outcome Goal 3.2: Foster Equal Opportunity Workplaces ⁰			
ESA Strategic Goal 1: Create better workplaces by increasing employer and employee awareness of, commitment to, and involvement in assuring fair wages and equal employment opportunity, minimizing the impact of work-related injuries, and safeguarding union democracy.			
<p>ESA Outcome Goal 1.5: Reduce the incidence of federal contractors out of compliance with their contractual Equal Employment Opportunity (EEO) obligations. (FY 1999 - FY 2000)</p> <p>Federal contractors achieve equal opportunity workplaces. (FY 2001 - FY 2004)</p>			
Performance Goal	Indicator	Data Source	Comment
<p>ESA Performance Goal 1.5a</p> <p><i>(DOL Strategic Plan PG 3.2A)</i></p>	<p>Number of Federal contractors brought into compliance following a compliance evaluation, a compliance check, or a compliant investigation conducted by the Office of Federal Contract Compliance Programs (OFCCP). (FY 1999 - FY 2004)</p> <p>Trends/changes in compliance and violation rates, EO Survey Data, and EEO-1 data. Trends/Changes in compensation and other data gathered from evaluations and from EO Surveys. Trends/changes in data gathered from customer satisfaction surveys. (FY 2001 - FY 2004)</p>	<p>Case Management System.</p> <p>Baseline: FY 1999 actual: 2,648</p> <p><i>Revised data sources for FY 2001 - FY 2004:</i></p> <p>EEO-1 data file; Case Management System; Equal Opportunity Survey; customer satisfaction survey; compliance reviews within industries.</p> <p>Baselines will be established by the end of FY 2001.</p>	

Appendix B Data Capacity

DOL Strategic Goal 3: Quality Workplaces – Foster Quality Workplaces That are Safe, Healthy and Fair			
DOL Outcome Goal 3.2: Foster Equal Opportunity Workplaces ⁰			
ESA Strategic Goal 1: Create better workplaces by increasing employer and employee awareness of, commitment to, and involvement in assuring fair wages and equal employment opportunity, minimizing the impact of work-related injuries, and safeguarding union democracy.			
ESA Outcome Goal 1.5: Reduce the incidence of federal contractors out of compliance with their contractual Equal Employment Opportunity (EEO) obligations.			
Performance Goal	Indicator	Data Source	Comment
ESA Performance Goal 1.5b <i>(DOL Strategic Plan PG 3.2B)</i>	Number of Federal contractors brought into compliance following education, technical assistance and outreach efforts by the Office of Federal Contract Compliance Programs (OFCCP).	Case file information; weekly reports; Case Management System. Baseline: To be established in FY 2001.	Note: Reevaluated/revised goal and methodology in FY 2000. Reference Goal 1.5a.
ESA Performance Goal 1.5c <i>(DOL Strategic Plan PG 3.2C)</i>	Narrow the wage gap between men and women within the federal contractor reporting community.	To be determined by the end of FY 2000. Probable sources will be data from EO Survey, case file information, and BLS data. Baseline: To be established in FY 2001.	Note: Reevaluated/revised goal and methodology in FY 2000. Reference Goal 1.5a.

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DOL Strategic Goal 2 <i>A Secure Workforce – Promote the economic security of workers and families</i>			
DOL Outcome Goal 2.2: Protect Worker Benefits			
ESA Strategic Goal 2 Secure public confidence through excellence in the management and delivery of ESA's programs and services			
ESA Outcome Goal 2.1: Respond effectively to legal mandates.			
Performance Goal	Indicator	Data Source	Comment
ESA Performance Goal 2.1a (DOL Strategic Plan PG 2.2G)	Survey Planning Data Base maintained by Construction Resource Analysis (CRA) measures the length of time since the last survey in every county.	Survey Planning DataBase. Baseline: Baseline to be determined and goal achieved in FY 2002.	Although some incremental improvements may be realized and conceptual changes validated, almost all of the improvement will be accomplished at the end of the process when either a reengineered system is fully implemented or a BLS approach is adopted.
ESA Performance Goal 2.1b	Length of time from receipt of survey data to issuance of wage determination.	Service Contract Act (SCA) and Davis-Bacon Act (DBA) Wage Determination Data Bases. Baseline: Baseline to be determined and goal achieved in FY 2002.	The goal is currently being met; however, as new survey data are phased in under SCA and more surveys are completed under DBA, achieving this goal will be extremely challenging.

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DOL Strategic Goal 2 A Secure Workforce – Promote the economic security of workers and families			
DOL Outcome Goal 2.2: Protect Worker Benefits			
ESA Strategic Goal 2: Secure public confidence through excellence in the management and delivery of ESA's programs and services			
ESA Outcome Goal 2.2: Improve performance in the delivery of services to injured workers and in the administration of FECA			
Performance Goal	Indicator	Data Source	Comment
ESA Performance Goal 2.2a	Index of customer survey results (and other measures as developed) indicating satisfaction.	Compilation of results from questionnaires (and other survey and measurement tools as developed). Baseline: FY 1997 (54%); new baseline to be established in FY 2001.	An index comprised of several, rather than the previous single, indicators will increase the validity and reliability of findings and will sharpen the analysis, enabling OWCP to make specific improvements. Note: Reevaluate/revise goal and methodology and establish baseline by the end of FY 2001 for a customer service index
ESA Performance Goal 2.2b	Nationwide average of Quality Index scores, consisting of the average of twelve individual district office index scores from accountability reviews conducted over a two-year period.	Findings of accountability reviews of FECA district offices. Baseline: Quality Index results for FY 1997/1998: 72.5.	The indicator measures the accuracy of claims decisions affecting base entitlement to benefits. The goal strengthens program integrity and service delivery.

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DOL Strategic Goal 2 A Secure Workforce – Promote the economic security of workers and families			
DOL Outcome Goal 2.2: Protect Worker Benefits			
ESA Strategic Goal 2: Secure public confidence through excellence in the management and delivery of ESA's programs and services			
ESA Outcome Goal 2.3: Enhance the fiscal integrity of managed public trust funds.			
Performance Goal	Indicator	Data Source	Comment
ESA Performance Goal 2.3a <i>(DOL Strategic Plan PG 2.2E)</i>	The fiscal year amount of total periodic payment (compensation benefit) reductions in PRM universe cases.	<p>Periodic Roll Management System; Automated Compensation Payment System.</p> <p>Baseline: For all cases with benefit actions in the measurement year, the periodic payment amount paid at time of their entry into the PRM universe, compared to the periodic payment amount after benefit reduction.</p> <p>The methodology for measuring savings from compensation benefit adjustments and terminations was revised to coincide with PRM's integration into permanent operations.</p> <p>PRM savings for performance reporting were previously derived by comparing total FECA program benefit reductions in all cases, including PRM cases, in the measurement year, to total reductions produced in the baseline year <u>but not counting PRM case reductions</u>.</p>	<p>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.</p> <p>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 savings for the year. The cumulative sum of first-year savings is matched against the goal as stated for each measurement year.</p>

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DOL Strategic Goal 2 A Secure Workforce – Promote the economic security of workers and families			
DOL Outcome Goal 2.2: Protect Worker Benefits			
ESA Strategic Goal 2: Secure public confidence through excellence in the management and delivery of ESA's programs and services			
ESA Outcome Goal 2.3: Enhance the fiscal integrity of managed public trust funds.			
Performance Goal	Indicator	Data Source	Comment
ESA Performance Goal 2.3b (DOL Strategic Plan PG 2.2F)	For Fee Schedules, Correct Coding Initiative, and Focus Reviews, savings are calculated by comparing amounts paid to amounts billed for drugs, hospital, and physician services in each performance year (e.g., paid versus billed in FY 2001.)	Source: FECA Medical Bill Pay System.	The FECA program uses 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. Focus Reviews identify proper treatment or payments for selected medical conditions.
	Average case costs for all cases receiving medical services after adjustment for inflation.	Fee Schedule and Correct Coding Initiative Baselines: Amounts charged for medical services in each fiscal year that performance will be measured.	
	Average case costs for services paid for selected medical conditions adjusted for inflation and changes in industry practices.	Fee Schedule Baseline: Amounts billed for drugs, hospital and physician services in the measurement year. Overall Average Medical Cost Baseline; Average annual cost per case in FY 2000 for each medical condition selected for review.	

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DOL Strategic Goal 2: A Secure Workforce – Promote the economic security of workers and families			
DOL Outcome Goal 2.1: Increase Compliance with Worker Protection Laws			
ESA Strategic Goal G 2: Secure public confidence through excellence in the management and delivery of ESA's programs and services			
ESA Outcome Goal 2.4: Foster organizational excellence and increase collaboration			
Performance Goal	Indicator	Data Source	Comment
ESA Performance Goal 2.4a	Customer survey.	Customer survey responses. Baseline: To be established in FY 2000.	Customer feedback on the effectiveness and quality of Wage and Hour's enforcement interventions is important data for enabling the agency to make informed decisions about how to modify interventions to further improve employers' compliance.
ESA Performance Goal 2.4b	Customer survey responses indicating satisfaction levels of "good" to "excellent."	Customer survey Baseline: 96.8% in FY 1998.	OLMS achieved a 97.9% customer satisfaction rate in FY 1999. The customer survey initiative has been discontinued, although efforts to maintain this high level of customer service are ongoing. The survey may be reinstituted periodically to monitor levels of customer satisfaction with public disclosure services.

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DOL Strategic Goal 2: A Secure Workforce – Promote the economic security of workers and families			
DOL Outcome Goal 2.2: Protect Worker Benefits			
ESA Strategic Goal 2: Secure public confidence through excellence in the management and delivery of ESA's programs and services			
ESA Outcome Goal 2.4: Foster organizational excellence and increase collaboration			
Performance Goal	Indicator	Data Source	Comment
ESA Performance Goal 2.4c	The average number of days elapsed between the date a dispute is received in a Longshore case from any party and the date that the dispute is resolved.	Longshore Case Management System. Baseline: An average of <u>x</u> days elapsed nationwide between the dispute receipt date and the dispute resolution date.	Reducing the average time required to resolve disputed issues reflects increased cooperation among the parties and increased voluntary compliance with Longshore statutes and procedures.
ESA Performance Goal 2.4d	Percentage of claims filed which are subject to the new Black Lung regulations on which no requests for further proceedings (reconsideration, modification, informal conference, formal hearing) are pending one year after receipt of the claim by the program.	Black Lung Automated Support Package. Baseline: <u>x</u> % of claims filed by 9/30/2000 subject to the new regulations for which there are no pending requests for further action one year after date of filing.	This performance target will capture the results of program efforts to minimize adversity and maximize cooperation among the parties to cases with disputed issues.

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DOL Strategic Goal 3 Quality Workplaces – Foster quality workplaces that are safe, healthy, and fair			
DOL Outcome Goal 3.2: Foster Equal Opportunity Workplaces			
ESA Strategic Goal 2: Secure public confidence through excellence in the management an delivery of ESA's programs and services			
ESA Outcome Goal 2.4: Foster organizational and excellence and increase collaboration			
Performance Goal	Indicator	Data Source	Comment
ESA Performance Goal 2.4e	Customer survey results.	Compilation of results from questionnaires. Baseline: FY 1998: Communication -- 7.9 out of 10 Cooperation -- 7.8 out of 10 Consistency -- 6.3 out of 10	Goal revised and combined with Goal 1.5a for FY 2001 - FY 2004.

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DOL Strategic Goal 2: A Secure Workforce – Promote the economic security of workers and families 3: Quality Workplaces – Foster quality workplaces that are safe, healthy, and fair			
DOL Outcome Goal 2.1: <i>Increase Compliance with Worker Protection Laws</i> 2.2: <i>Protect Worker Benefits</i> 3.2: <i>Foster Equal Opportunity Workplaces</i>			
ESA Strategic Goal 2: Secure public confidence through excellence in the management and delivery of ESA's programs and services			
ESA Outcome Goal 2.5: Design and implement management systems and procedures to support ESA goals and objectives			
Performance Goal	Indicator	Data Source	Comment
ESA Performance Goal 2.5a	Annual Department of Labor Financial Statement Audit reporting all ESA systems free from material non-conformance under FFMIA.	OIG audits, A-127 reviews, JFMIP Financial Management Systems Compliance Reviews. Baseline: FY 1999: 3 of the 5 ESA financial systems reported in the Annual DOL Financial Statement Audit are free from FFMIA material non-conformance.	

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DOL Strategic Goal 2: A Secure Workforce – Promote the economic security of workers and families 3: Quality Workplaces – Foster quality workplaces that are safe, healthy, and fair			
DOL Outcome Goal 2.1: <i>Increase Compliance with Worker Protection Laws</i> 2.2: <i>Protect Worker Benefits</i> 3.2: <i>Foster Equal Opportunity Workplaces</i>			
ESA Strategic Goal 2: Secure public confidence through excellence in the management and delivery of ESA's programs and services			
ESA Outcome Goal 2.5: Design and implement management systems and procedures to support ESA goals and objectives			
Performance Goal	Indicator	Data Source	Comment
ESA Performance Goal 2.5b	An increase in the number of program Internet-based self-services provided to the public and other government agencies and the utilization of those services. An increase in the number of administrative and program-specific applications and services provided to the ESA field office employees and the utilization of those services.	<p>Collection of applications and services housed on the ESA Internet which provide self-service capabilities to the public and other government agencies. Collection of applications and services provided to the ESA field office employees.</p> <p>Baseline: In FY 1999, ESA housed two self-service applications on the ESA Internet, OWCP/DFEC's AQS and OFCCP's Preaward Registry. Both applications are unsophisticated and only <i>distribute</i> information as opposed to <i>collecting</i> information.</p> <p>In FY 1999, ESA provided e-mail, limited Intranet and Internet services (informational only), approximately one (1) program-specific application per program (WH, OFCCP, OLMS), and no administrative applications to the ESA field office employees.</p>	<p>Over the course of the planning horizon, ESA will ramp up its efforts to utilize the Internet and Internet capabilities to its customers. The key in providing more sophisticated Internet-based applications and ultimately self-service centers will be to develop the web-based infrastructure within ESA as well as to provide web-based development tools to ESA's application developers.</p> <p>ESA must also extend capabilities and services to the front-line workers which currently are only available within the large ESA offices (Regions and NO). In addition, we anticipate more administrative and program-specific applications to be deployed to the ESA user base and must plan for this growth now to be able to accommodate those services in the future. The primary enhancement, which will build the infrastructure to support these services, is the enhancement of the Wide Area Network (WAN) connectivity at the ESA field offices.</p>

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DOL Strategic Goal 2: A Secure Workforce – Promote the economic security of workers and families			
3: Quality Workplaces – Foster quality workplaces that are safe, healthy, and fair			
DOL Outcome Goal 2.1: <i>Increase Compliance with Worker Protection Laws</i>			
2.2: <i>Protect Worker Benefits</i>			
3.2: <i>Foster Equal Opportunity Workplaces</i>			
ESA Strategic Goal 2: Secure public confidence through excellence in the management and delivery of ESA's programs and services			
ESA Outcome Goal 2.5: Design and implement management systems and procedures to support ESA goals and objectives			
Performance Goal	Indicator	Data Source	Comment
ESA Performance Goal 2.5c	The incorporation of vulnerabilities discovered during the vulnerability assessment into the ESA IT Security Plan and ESA IT Disaster Recovery Plan as well as the existence of mitigation and contingency plans resulting from the assessment.	ESA IT Security Plan, ESA IT Disaster Recovery Plan, Vulnerability Assessment, contingency plans, mitigation plan. Baseline: ESA IT Security Plan.	Over the planning horizon, ESA will focus on enhancing its IT security and reducing the inherent risks associated with Information Technology by developing and revising a set of industry standard plans. These revisions will be driven by a vulnerability assessment on the ESA IT environment as well as on a set of program-specific applications which fall under the PDD 63 CIPP definition for critical infrastructure and OMB Circular A-130 as Major Applications. Once vulnerabilities are documented, plans will be developed to implement revised security controls and measures. Some level of additional personnel resources, hardware and software, will be required to implement the revisions.

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DOL Strategic Goal 2: A Secure Workforce – Promote the economic security of workers and families			
DOL Strategic Goal 3 Quality Workplaces – Foster quality workplaces that are safe, healthy, and fair			
DOL Outcome Goal 2.1: <i>Increase Compliance with Worker Protection Laws</i> 2.2: <i>Protect Worker Benefits</i> 3.2: <i>Foster Equal Opportunity Workplaces</i>			
ESA Strategic Goal: Secure public confidence through excellence in the management and delivery of ESA's programs and services			
ESA Outcome Goal 2.5: Design and implement management systems and procedures to support ESA goals and objectives			
Performance Goal	Indicator	Data Source	Comment
ESA Performance Goal 2.5d	All DHRM training specialists trained in the use of authoring software. Training courses are designed using computer-based technology.	<p>Published computer-based training (CBT) courses for use by ESA programs in training front-line employees. Intranet Link to "Getting Training in ESA" continuously updated with training course availability.</p> <p>Baseline: One training specialist trained in computer-based technology.</p>	

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DOL Strategic Goal 2: A Secure Workforce – Promote the economic security of workers and families 3: Quality Workplaces – Foster quality workplaces that are safe, healthy, and fair			
DOL Outcome Goal 2.1: <i>Increase Compliance with Worker Protection Laws</i> 2.2: <i>Protect Worker Benefits</i> 3.2: <i>Foster Equal Opportunity Workplaces</i>			
ESA Strategic Goal 2: Secure public confidence through excellence in the management and delivery of ESA's programs and services			
ESA Outcome Goal 2.5: Design and implement management systems and procedures to support ESA goals and objectives			
Performance Goal	Indicator	Data Source	Comment
ESA Performance Goal 2.5e	Training modules developed and delivered. Participant performance on end of course test will average at least 75%.	Records of task analyses related to development of imaging applications, claims processing and computer-based training, the CD that contains the introductory courses, and end of course performance test scores. Baseline: The number of FEC offices trained in the use of imaging software by the end of FY 2000. In FY 1999, no offices operated in an imaged environment.	DHRM will work in conjunction with claims examiners and claims supervisors to build training modules and to keep abreast of claims processes being developed by the FEC program. DHRM projects in this area are highly dependent on the program imaging software schedule established and revised, as necessary, by the FEC program.

Appendix C

Relationship of ESA Goals to Secretary's Goals

DOL Strategic Goal 2:	A Secure Workforce – Promote the economic security of workers and families	
DOL Outcome Goal 2.1:	Increase Compliance with Worker Protection Laws	
ESA Strategic Goal 1:	Create better workplaces by increasing employer and employee awareness of, commitment to, and involvement in assuring fair wages and equal employment opportunity, minimizing the impact of work-related injuries, and safeguarding union democracy.	
ESA Outcome Goal 1.1:	Promote compliance with employment standards and worker protection laws.	<p>Performance Goals:</p> <p>1.1a: Increase compliance with labor standards laws and regulations including young workers in nationally targeted industries.</p> <p>1.1b: Goal number reserved.</p> <p>1.1c: Goal number reserved.</p> <p>1.1d: Increase child labor compliance (by __ percentage points over established baselines) in those selected industries where data indicate that the risk of serious injury of young workers is greatest.</p> <p>1.1e: Achieve child labor compliance by __% of the employers previously investigated in those selected industries where the data indicate that the risk of serious injury to young workers is greatest.</p> <p>1.1f: Increase compliance by 15 percentage points (10-15 percentage points based on years surveys are conducted) among employers, who were previous violators, and the subject of repeat investigations in nationally targeted industries.</p>

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Relationship of ESA Goals to Secretary's Goals

DOL Strategic Goal 2:	A Secure Workforce –Promote the economic security of workers and families	
DOL Outcome Goal 2.1:	Increase Compliance with Worker Protection Laws	
ESA Strategic Goal 1:	Create better workplaces by increasing employer and employee awareness of, commitment to, and involvement in assuring fair wages and equal employment opportunity, minimizing the impact of work-related injuries, and safeguarding union democracy.	
ESA Outcome Goal 1.2:	Safeguard union democracy and financial integrity.	<p>1.2a: Protect standards for democratic union officer elections for union members by resolving 100% of election complaints filed under LMRDA and related laws.</p> <p>1.2b: Protect union financial integrity through appropriate enforcement action.</p> <p>1.2c: Achieve 90% timely union reporting compliance by unions with annual receipts greater than \$200,000 that timely file union annual financial reports for public disclosure access.</p> <p>1.2d: Increase to __% (over the FY 2000 baseline) the number of union annual financial reports filed for public disclosure access that meet standards of acceptability.</p>

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Relationship of ESA Goals to Secretary's Goals

DOL Strategic Goal 2:	A Secure Workforce –Promote the economic security of workers and families	
DOL Outcome Goal 2.2:	Protect Worker Benefits	
ESA Strategic Goal 1:	Create better workplaces by increasing employer and employee awareness of, commitment to, and involvement in assuring fair wages and equal employment opportunity, minimizing the impact of work-related injuries, and safeguarding union democracy.	
ESA Outcome Goal 1.3:	Minimize the human, social, and financial impact of work-related injuries.	<p>Performance Goal:</p> <p>1.3a: Return Federal employees to work following in injury as early as appropriate indicated by an 8% reduction from the FY 2000 baseline in the average number of production days lost due to disability.</p> <p>1.3b: Increase employing agency timeliness in submitting notices of injury to 67% within 14 days.</p>

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Relationship of ESA Goals to Secretary's Goals

DOL Strategic Goal 2:	A Secure Workforce –Promote the economic security of workers and families	
DOL Outcome Goal 2.2:	Protect Worker Benefits	
ESA Strategic Goal 1:	Create better workplaces by increasing employer and employee awareness of, commitment to, and involvement in assuring fair wages and equal employment opportunity, minimizing the impact of work-related injuries, and safeguarding union democracy.	
ESA Outcome Goal 1.4	Protect the rights of affected mass transit workers when Federal grant funds are used to acquire improve, or operate a transit system.	<p>Performance Goals:</p> <p>1.4a Issue 100% of transit employee protection certifications within established timeframes.</p>

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Relationship of ESA Goals to Secretary's Goals

DOL Strategic Goal 3:	Quality Workplaces – Foster quality workplaces that are safe, healthy, and fair	
DOL Outcome Goal 3.2:	Foster Equal Opportunity Workplaces	
ESA Strategic Goal 1:	Create better workplaces by increasing employer and employee awareness of, commitment to, and involvement in assuring fair wages and equal employment opportunity, minimizing the impact of work-related injuries, and safeguarding union democracy.	
ESA Outcome Goal 1.5:	<p>Reduce the incidence of federal contractors out of compliance with their contractual Equal Employment Opportunity (EEO) obligations. FY 1999 - FY 2000)</p> <p>Federal contractors achieve equal opportunity workplaces. (FY 2001 - FY 2004</p>	<p>Performance Goals:</p> <p>1.5a: Increase by 30% the number of Federal contractors brought into compliance with the EEO provisions of federal contracts via OFCCP's compliance evaluation procedures.</p> <p>1.5b: To increase compliance with the EEO requirements among Federal contractors, measure the effectiveness of OFCCP's education, technical assistance and outreach efforts.</p> <p>1.5c: Narrow the wage gap for protected groups within the Federal contractor reporting community</p> <p><i>Goals 1.5a - 1.5c were revised and combined for FY 2001 - FY 2004. Revised goal follows.</i></p> <p>1.5a: Federal contractors achieve EEO workplaces as demonstrated by:</p> <ul style="list-style-type: none"> –Improving the EEO performance of federal contractors and subcontractors within industries where data indicate the likelihood of equal employment opportunity problems is greatest; –Improving the EEO performance of federal contractors and subcontractors that have had prior contact with OFCCP through evaluations, outreach, or technical assistance; and, –Reducing compensation discrimination by federal contractors and subcontractors.

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Relationship of ESA Goals to Secretary's Goals

DOL Strategic Goal 2:	A Secure Workforce – Promote the economic security of workers and families	
DOL Outcome Goal: 2.2:	Protect Worker Benefits	
ESA Strategic Goal 2:	Secure public confidence through excellence in the management and delivery of ESA's programs and services.	
ESA Outcome Goal 2.1:	Respond effectively to legal mandates.	<p>Performance Goals:</p> <p>2.1a: Each area of the country will be surveyed for all four types of construction at least every three years, and the resulting Davis-Bacon wage determinations validly represent locally prevailing wages/benefits.</p> <p>2.1b: Update 90% of SCA and DBA wage determinations within 60 days of receipt of underlying survey data.</p>

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Relationship of ESA Goals to Secretary's Goals

DOL Strategic Goal 2:	A Secure Workforce – Promote the economic security of workers and families	
DOL Outcome Goal 2.2:	Protect Worker Benefits	
ESA Strategic Goal 2:	Secure public confidence through excellence in the management and delivery of ESA's programs and services.	
ESA Outcome Goal 2.2:	Improve performance in the delivery of services to injured workers and in the administration of FECA.	<p>Performance Goals:</p> <p>2.2a: Improve customer satisfaction with FECA services by __ percentage points (from the FY 2001 baseline) as measured by an index of customer survey scores and other indicators.</p> <p>2.2b: Improve the quality of claims actions as measured by average accountability review Quality Index scores to 82.</p>

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Relationship of ESA Goals to Secretary's Goals

DOL Strategic Goal 2:	A Secure Workforce – Promote the economic security of workers and families	
DOL Outcome Goal 2.2:	Protect Worker Benefits	
ESA Strategic Goal 2:	Secure public confidence through excellence in the management and delivery of ESA's programs and services.	
ESA Outcome Goal 2.3:	Enhance the fiscal integrity of managed public trust funds.	<p>Performance Goals:</p> <p>2.3a: Produce \$165 million in cumulative first-year savings in the FECA program through Periodic Roll Management.</p> <p>2.3b: In the FECA program, reduce the overall average medical service cost per case by 2% (adjusted for inflation).</p>

Appendix C

Relationship of ESA Goals to Secretary's Goals

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Appendix C

Relationship of ESA Goals to Secretary's Goals

DOL Strategic Goal 2: 3:	A Secure Workforce – Promote the economic security of workers and families Quality Workplaces – Foster quality workplaces that are safe, healthy, and fair	
DOL Outcome Goal 2.1 2.2: 3.2:	Increase Compliance with Worker Protection Laws Protect Worker Benefits Foster Equal Opportunity Workplaces	
ESA Strategic Goal 2:	Secure public confidence through excellence in the management and delivery of ESA’s programs and services.	
ESA Outcome Goal 2.5: <i>(DOL OGs 2.1, 2.2, and 3.2)</i>	Design and implement management systems and procedures to support ESA goals and objectives.	Performance Goals: 2.5a: Maintain compliance with all applicable accounting and financial system standards. 2.5b: Revise and maintain ESA’s Information Technology (IT) infrastructure. 2.5c: Revise and maintain ESA’s IT security controls, policies and procedures. 2.5d: Develop DHRM staff to provide computer-based training in support of ESA’s program training needs. 2.5e: Develop and deliver quality training for the Federal Employees’ Compensation (FEC) program’s “imaged environment.

Appendix D
Performance Goals, Baselines and Targets

DOL SG 2:	A Secure Workforce – Promote the economic security of workers and families	
DOL OG 2.1:	Increase Compliance with Worker Protection Laws	
ESA SG 1:	Create better workplaces by increasing employer and employee awareness of, commitment to, and involvement in assuring fair wages and equal employment opportunity, minimizing the impact of work-related injuries, and safeguarding union democracy.	
ESA OG 1.1:	Promote compliance with employment standards and worker protection laws.	
ESA PG 1.1a: <i>(DOL Strategic Plan PG 2.1A)</i> <u>Garment Industry:</u>	<p>Increase compliance with labor standards laws and regulations including young workers in nationally targeted industries.</p> <ul style="list-style-type: none"> • By the end of FY 1999 • By the end of FY 2000 • By the end of FY 2001 	<ul style="list-style-type: none"> • Increase compliance by 5% in the San Francisco garment industry. (FY 1999 actual: 74%) • No compliance survey in the Los Angeles garment industry • Increase compliance by 5% in the New York City garment industry (FY 1999 actual: 35%) • No compliance survey in the San Francisco garment industry • Increase compliance in the Los Angeles garment industry to 45% • No compliance survey in the New York City garment industry • Increase compliance in the San Francisco garment industry to 85%. • No compliance survey in the Los Angeles garment industry • Increase compliance in the New York City garment industry to 42%

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Performance Goals, Baselines and Targets

DOL SG 2:	A Secure Workforce – Promote the economic security of workers and families	
DOL OG 2.1:	Increase Compliance with Worker Protection Laws	
ESA SG 1:	Create better workplaces by increasing employer and employee awareness of, commitment to, and involvement in assuring fair wages and equal employment opportunity, minimizing the impact of work-related injuries, and safeguarding union democracy.	
ESA OG 1.1:	Promote compliance with employment standards and worker protection laws.	
ESA PG 1.1a: Continued Garment Industry:	<p>Increase compliance with labor standards laws and regulations including young workers in nationally targeted industries.</p> <ul style="list-style-type: none"> By the end of FY 2002 By the end of FY 2003 By the end of FY 2004 	<ul style="list-style-type: none"> Increase compliance in the Los Angeles garment industry to 45%. Note: Preliminary data indicated that the FY 2000 45% compliance rate would not be met. Strategies were revised to reverse the compliance trend. No compliance survey in the New York City garment industry. No compliance survey in the Los Angeles garment industry. Increase compliance in the New York City garment industry to 50%. Increase compliance in the Los Angeles garment industry to 50%. No compliance survey in the New York City garment industry.

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Performance Goals, Baselines and Targets

DOL SG 2:	A Secure Workforce – Promote the economic security of workers and families	
DOL OG 2.1:	Increase Compliance with Worker Protection Laws	
ESA SG 1:	Create better workplaces by increasing employer and employee awareness of, commitment to, and involvement in assuring fair wages and equal employment opportunity, minimizing the impact of work-related injuries, and safeguarding union democracy.	
ESA OG 1.1:	Promote compliance with employment standards and worker protection laws.	
ESA PG 1.1a: Continued <u>Selected Agricultural commodities:</u>	Increase compliance with labor standards laws and regulations including young workers in nationally targeted industries. <ul style="list-style-type: none"> • By the end of FY 1999 • By the end of FY 2000 • By the end of FY 2001 • By the end of FY 2002 • By the end of FY 2003 • By the end of FY 2004 	<ul style="list-style-type: none"> • Established baselines for the agricultural commodities of onion (at 42%), lettuce (at 65%), and cucumber (at 49%). (Tomato baseline established in FY 1996 at 75%.) • Baseline year for the agricultural commodity of garlic. No compliance surveys for onions, lettuce, cucumbers, and tomatoes. • Increase compliance in the agricultural commodities of onion (to 47%), tomato (to 80%), and lettuce (to 70%). No compliance survey for garlic and cucumbers. • Increase compliance in the agricultural commodities of cucumber (to 54%) and garlic (to ___% over the FY 2000 established baseline). No compliance surveys in the tomato, lettuce, and onion commodities. • Achieve substantial compliance (90%) in the agricultural commodities of lettuce, onions, and tomatoes. No compliance survey in the cucumber and garlic commodities. • Achieve substantial compliance (90%) in the cucumber and garlic commodities.

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Performance Goals, Baselines and Targets

DOL SG 2:	A Secure Workforce – Promote the economic security of workers and families	
DOL OG 2.1:	Increase Compliance with Worker Protection Laws	
ESA SG 1:	Create better workplaces by increasing employer and employee awareness of, commitment to, and involvement in assuring fair wages and equal employment opportunity, minimizing the impact of work-related injuries, and safeguarding union democracy.	
ESA OG 1.1:	Promote compliance with employment standards and worker protection laws.	
ESA PG 1.1a: Continued <u>Poultry Processing:</u>	Increase compliance with labor standards laws and regulations including young workers in nationally targeted industries. <ul style="list-style-type: none"> • By the end of FY 1999 • By the end of FY 2000 • By the end of FY 2001 • By the end of FY 2002 • By the end of FY 2003 • By the end of FY 2004 	<ul style="list-style-type: none"> • No compliance survey in Poultry. • Increase compliance in Poultry to 45%. • No compliance survey in Poultry. • No compliance survey in Poultry. • Increase compliance in Poultry to 70%. • No compliance survey in Poultry.

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Performance Goals, Baselines and Targets

DOL SG 2:	A Secure Workforce – Promote the economic security of workers and families	
DOL OG 2.1:	Increase Compliance with Worker Protection Laws	
ESA SG 1:	Create better workplaces by increasing employer and employee awareness of, commitment to, and involvement in assuring fair wages and equal employment opportunity, minimizing the impact of work-related injuries, and safeguarding union democracy.	
ESA OG 1.1:	Promote compliance with employment standards and worker protection laws.	
ESA PG 1.1a: Continued	Increase compliance with labor standards laws and regulations including young workers in nationally targeted industries.	
<u>Forestry:</u>	<ul style="list-style-type: none"> • By the end of FY 1999 • By the end of FY 2000 • By the end of FY 2001 • By the end of FY 2002 • By the end of FY 2003 • By the end of FY 2004 	<ul style="list-style-type: none"> • No activity. Baseline year is FY 2000. • Baseline established. • No compliance survey in Forestry. • Increase compliance in Forestry by __ percentage points over FY 2000 baseline. • No compliance survey in Forestry. • Achieve substantial compliance (90%) in Forestry.

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Performance Goals, Baselines and Targets

DOL SG 2:	A Secure Workforce – Promote the economic security of workers and families	
DOL OG 2.1:	Increase Compliance with Worker Protection Laws	
ESA SG 1:	Create better workplaces by increasing employer and employee awareness of, commitment to, and involvement in assuring fair wages and equal employment opportunity, minimizing the impact of work-related injuries, and safeguarding union democracy.	
ESA OG 1.1:	Promote compliance with employment standards and worker protection laws.	
ESA PG 1.1a: Continued <u>Meatpacking:</u>	Increase compliance with labor standards laws and regulations including young workers in nationally targeted industries. <ul style="list-style-type: none"> • By the end of FY 1999 • By the end of FY 2000 • By the end of FY 2001 • By the end of FY 2002 • By the end of FY 2003 • By the end of FY 2004 	<ul style="list-style-type: none"> • No activity. Baseline year is FY 2003. • No activity. Baseline year is FY 2003. • No activity. Baseline year is FY 2003. • No activity. Baseline year is FY 2003. • Baseline established. • No compliance survey.

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Performance Goals, Baselines and Targets

DOL SG 2:	A Secure Workforce – Promote the economic security of workers and families	
DOL OG 2.1:	Increase Compliance with Worker Protection Laws	
ESA SG 1:	Create better workplaces by increasing employer and employee awareness of, commitment to, and involvement in assuring fair wages and equal employment opportunity, minimizing the impact of work-related injuries, and safeguarding union democracy.	
ESA OG 1.1:	Promote compliance with employment standards and worker protection laws.	
ESA PG 1.1a: Continued <u>Health Care Industries:</u>	<p>Increase compliance with labor standards laws and regulations including young workers in nationally targeted industries.</p> <ul style="list-style-type: none"> • By the end of FY 1999 • By the end of FY 2000 • By the end of FY 2001 • By the end of FY 2002 • By the end of FY 2003 	<ul style="list-style-type: none"> • No compliance survey in the nursing home industry. (Baseline established in FY 1998 at 70%.) • Established baseline for residential health care (assisted living facilities) at 57%. • Increase compliance in nursing homes to 75%. • No compliance survey in residential health care (assisted living facilities). • No compliance survey in nursing home industry. • Increase compliance in residential health care (assisted living facilities) to 62%. • No compliance survey in nursing home industry. • No compliance survey in residential health care (assisted living facilities). • Establish baseline for home health care. • Increase compliance in the nursing home industry to 80%. • No compliance survey in residential health care (assisted living facilities). • No compliance survey in home health care.

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Performance Goals, Baselines and Targets

DOL SG 2:	A Secure Workforce – Promote the economic security of workers and families	
DOL OG 2.1:	Increase Compliance with Worker Protection Laws	
ESA SG 1:	Create better workplaces by increasing employer and employee awareness of, commitment to, and involvement in assuring fair wages and equal employment opportunity, minimizing the impact of work-related injuries, and safeguarding union democracy.	
ESA OG 1.1:	Promote compliance with employment standards and worker protection laws.	
ESA PG 1.1a: Continued Health Care Industries:	Increase compliance with labor standards laws and regulations including young workers in nationally targeted industries. <ul style="list-style-type: none"> • By the end of FY 2004 	<ul style="list-style-type: none"> • No compliance survey in the nursing home industry. • Increase compliance in residential health care (assisted living facilities) to 70%. • No compliance survey in home health care.

Note: Goal numbers 1.1b and 1.1c are reserved.

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Performance Goals, Baselines and Targets

DOL SG 2:	A Secure Workforce – Promote the economic security of workers and families	
DOL OG 2.1:	Increase Compliance with Worker Protection Laws	
ESA SG 1:	Create better workplaces by increasing employer and employee awareness of, commitment to, and involvement in assuring fair wages and equal employment opportunity, minimizing the impact of work-related injuries, and safeguarding union democracy.	
ESA OG 1.1:	Promote compliance with employment standards and worker protection laws.	
ESA PG 1.1d: <i>(DOL Strategic Plan PG 2.1B)</i>	<p>Increase child labor compliance (by __ percentage points over established baselines) in those selected industries where data indicate that the risk of serious injury of young workers is greatest.</p> <ul style="list-style-type: none"> • By the end of FY 1999 • By the end of FY 2000 • By the end of FY 2001 • By the end of FY 2002 • By the end of FY 2003 • By the end of FY 2004 	<ul style="list-style-type: none"> • No activity. Baseline year is FY 2000. • Baselines established in the restaurant and grocery industries. • No compliance survey. • Increase compliance by __ percentage points over baselines established in the restaurant and grocery industries. • No compliance survey. • Increase compliance by __ percentage points over the baselines established in the restaurant and grocery industries.

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Performance Goals, Baselines and Targets

DOL SG 2:	A Secure Workforce – Promote the economic security of workers and families	
DOL OG 2.1:	Increase Compliance with Worker Protection Laws	
ESA SG 1:	Create better workplaces by increasing employer and employee awareness of, commitment to, and involvement in assuring fair wages and equal employment opportunity, minimizing the impact of work-related injuries, and safeguarding union democracy.	
ESA OG 1.1:	Promote compliance with employment standards and worker protection laws.	
ESA PG 1.1e: (<i>DOL Strategic Plan PG 2.1C</i>)	<p>Achieve child labor compliance by __% of the employers previously investigated in those selected industries where the data indicate that the risk of serious injury to young workers is greatest.</p> <ul style="list-style-type: none"> • By the end of FY 1999 • By the end of FY 2000 • By the end of FY 2001 • By the end of FY 2002 • By the end of FY 2003 • By the end of FY 2004 	<ul style="list-style-type: none"> • No activity. Baseline year is FY 2000. • Baselines established in the restaurant and grocery industries. • No compliance survey. • Increase compliance by __ percentage points over the baselines established in the restaurant and grocery industries. • No compliance survey. • Achieve compliance by __% of the restaurant and grocery employers previously investigated.

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Performance Goals, Baselines and Targets

DOL SG 2:	A Secure Workforce – Promote the economic security of workers and families	
DOL OG 2.1:	Increase Compliance with Worker Protection Laws	
ESA SG 1:	Create better workplaces by increasing employer and employee awareness of, commitment to, and involvement in assuring fair wages and equal employment opportunity, minimizing the impact of work-related injuries, and safeguarding union democracy.	
ESA OG 1.1:	Promote compliance with employment standards and worker protection laws.	
ESA PG 1.1f: <i>(DOL Strategic Plan PG 2.1D)</i> <u>Garment Industry:</u>	<p>Increase compliance by 15 percentage points (10-15 percentage points based on years surveys are conducted) among employers, which were previous violators, and the subject of repeat investigations in nationally targeted industries.</p> <ul style="list-style-type: none"> • By the end of FY 1999 • By the end of FY 2000 	<ul style="list-style-type: none"> • Baseline for San Francisco garment industry established at 86%. • No compliance survey in Los Angeles garment industry. (Baseline established at 25% in FY 1998; see FY 2000 note below.) • Baseline for New York City garment industry established at 52%. • No compliance survey in San Francisco garment industry. • Improve compliance by 5% in Los Angeles garment industry. <p>Note: A new baseline for the LA garment industry is being established in FY 2000. The previous sample may not have been large enough to yield a statistically valid result.</p> <ul style="list-style-type: none"> • No compliance survey in New York City garment industry.

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Performance Goals, Baselines and Targets

DOL SG 2:	A Secure Workforce – Promote the economic security of workers and families	
DOL OG 2.1:	Increase Compliance with Worker Protection Laws	
ESA SG 1:	Create better workplaces by increasing employer and employee awareness of, commitment to, and involvement in assuring fair wages and equal employment opportunity, minimizing the impact of work-related injuries, and safeguarding union democracy.	
ESA OG 1.1:	Promote compliance with employment standards and worker protection laws.	
ESA PG 1.1f: Continued Garment Industry: Continued	<p>Increase compliance by 15 percentage points (10-15 percentage points based on years surveys are conducted) among employers, which were previous violators, and the subject of repeat investigations in nationally targeted industries.</p> <ul style="list-style-type: none"> By the end of FY 2001 By the end of FY 2002 By the end of FY 2003 By the end of FY 2004 	<ul style="list-style-type: none"> Improve compliance in San Francisco garment industry to 90%. No compliance survey in Los Angeles garment industry. Improve compliance in New York City garment industry to 57%. Improve compliance by __ percentage points (over FY 2000 reestablished baseline) in the Los Angeles garment industry. No compliance survey in New York City garment industry. No compliance survey in Los Angeles garment industry. Improve compliance in New York City garment industry to 62%. Improve compliance by __ percentage points (over reestablished baseline) in the Los Angeles garment industry No compliance survey in New York City garment industry.

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Performance Goals, Baselines and Targets

DOL SG 2:	A Secure Workforce – Promote the economic security of workers and families	
DOL OG 2.1:	Increase Compliance with Worker Protection Laws	
ESA SG 1:	Create better workplaces by increasing employer and employee awareness of, commitment to, and involvement in assuring fair wages and equal employment opportunity, minimizing the impact of work-related injuries, and safeguarding union democracy.	
ESA OG 1.1:	Promote compliance with employment standards and worker protection laws.	
ESA PG 1.1f: Continued Selected Agricultural Commodities:	<p>Increase compliance by 15 percentage points (10-15 percentage points based on years surveys are conducted) among employers, which were previous violators, and the subject of repeat investigations in nationally targeted industries.</p> <ul style="list-style-type: none"> • By the end of FY 1999 • By the end of FY 2000 • By the end of FY 2001 • By the end of FY 2002 • By the end of FY 2003 • By the end of FY 2004 	<ul style="list-style-type: none"> • Established baselines for the agricultural commodities of lettuce (43%), cucumbers (37%) and onions (42%). (Tomato baseline established in FY 1998 at 59%.) • Establish baseline for garlic. No compliance surveys in the cucumber, onion, lettuce and tomato commodities. • Improve compliance in the commodities of tomato (to 64%), onion (to 47%), and lettuce (to 48%). No compliance survey in garlic and cucumbers. • Improve compliance in the commodities of cucumber (to 44%) and garlic (to __ percentage points over the established baseline). No compliance survey in the tomato, lettuce and onion commodities. • Improve compliance in the commodities of tomato (to 69%), onion (to 52%) and lettuce (to 55%). No compliance survey in cucumber and garlic commodities. <p>Improve compliance in the commodities of cucumber (to 50%) and garlic (by __ percentage points over the established baseline).</p>

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Performance Goals, Baselines and Targets

DOL SG 2:	A Secure Workforce – Promote the economic security of workers and families	
DOL OG 2.1:	Increase Compliance with Worker Protection Laws	
ESA SG 1:	Create better workplaces by increasing employer and employee awareness of, commitment to, and involvement in assuring fair wages and equal employment opportunity, minimizing the impact of work-related injuries, and safeguarding union democracy.	
ESA OG 1.1:	Promote compliance with employment standards and worker protection laws.	
ESA PG 1.1f: Continued	<p>Increase compliance by 15 percentage points (10-15 percentage points based on years surveys are conducted) among employers, which were previous violators, and the subject of repeat investigations in nationally targeted industries.</p>	
Poultry Processing:	<ul style="list-style-type: none"> • By the end of FY 1999 • By the end of FY 2000 • By the end of FY 2001 • By the end of FY 2002 • By the end of FY 2003 • By the end of FY 2004 	<ul style="list-style-type: none"> • No compliance survey in Poultry. • Increase compliance in Poultry to 45%. • No compliance survey in Poultry. • No compliance survey in Poultry. • Increase compliance rate in Poultry to 70%. • No survey in Poultry.

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Performance Goals, Baselines and Targets

DOL SG 2:	A Secure Workforce – Promote the economic security of workers and families	
DOL OG 2.1:	Increase Compliance with Worker Protection Laws	
ESA SG 1:	Create better workplaces by increasing employer and employee awareness of, commitment to, and involvement in assuring fair wages and equal employment opportunity, minimizing the impact of work-related injuries, and safeguarding union democracy.	
ESA OG 1.1:	Promote compliance with employment standards and worker protection laws.	
ESA PG 1.1f: Continued	<p>Increase compliance by 15 percentage points (10-15 percentage points based on years surveys are conducted) among employers, which were previous violators, and the subject of repeat investigations in nationally targeted industries.</p>	
Forestry:	<ul style="list-style-type: none"> • By the end of FY 1999 • By the end of FY 2000 • By the end of FY 2001 • By the end of FY 2002 • By the end of FY 2003 • By the end of FY 2004 	<ul style="list-style-type: none"> • No activity. Baseline year is FY 2000. • Baseline established. • No compliance survey in Forestry. • Increase compliance rate by __ percentage points over baseline. • No compliance survey in Forestry. • Achieve substantial compliance (90%) in Forestry.

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Performance Goals, Baselines and Targets

DOL SG 2:	A Secure Workforce – Promote the economic security of workers and families
DOL OG 2.1:	Increase Compliance with Worker Protection Laws
ESA SG 1:	Create better workplaces by increasing employer and employee awareness of, commitment to, and involvement in assuring fair wages and equal employment opportunity, minimizing the impact of work-related injuries, and safeguarding union democracy.
ESA OG 1.1:	Promote compliance with employment standards and worker protection laws.
ESA PG 1.1f: Continued Meatpacking: <ul style="list-style-type: none"> • By the end of FY 1999 • By the end of FY 2000 • By the end of FY 2001 • By the end of FY 2002 • By the end of FY 2003 • By the end of FY 2004 	<p>Increase compliance by 15 percentage points (10-15 percentage points based on years surveys are conducted) among employers, which were previous violators, and the subject of repeat investigations in nationally targeted industries.</p> <ul style="list-style-type: none"> • No activity. Baseline year is FY 2003. • No activity. Baseline year is FY 2003. • No activity. Baseline year is FY 2003. • No activity. Baseline year is FY 2003. • Baseline established. • No compliance survey.

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Performance Goals, Baselines and Targets

DOL SG 2:	A Secure Workforce – Promote the economic security of workers and families	
DOL OG 2.1:	Increase Compliance with Worker Protection Laws	
ESA SG 1:	Create better workplaces by increasing employer and employee awareness of, commitment to, and involvement in assuring fair wages and equal employment opportunity, minimizing the impact of work-related injuries, and safeguarding union democracy.	
ESA OG 1.1:	Promote compliance with employment standards and worker protection laws.	
ESA PG 1.1f: Continued	<p>Increase compliance by 15 percentage points (10 -15 percentage points based on years surveys are conducted) among employers, which were previous violators, and the subject of repeat investigations in nationally targeted industries.</p>	
Health Care Industries:	<ul style="list-style-type: none"> • By the end of FY 1999 • By the end of FY 2000 • By the end of FY 2001 • By the end of FY 2002 • By the end of FY 2003 • By the end of FY 2004 	<ul style="list-style-type: none"> • Baseline established for residential health care (assisted living facilities) at 55%. • Improve compliance in nursing homes to 80%. • Improve compliance in residential health care (assisted living facilities) to 60%. • Establish baseline in home health care. • Improve compliance in nursing homes to 85%. • Improve compliance in residential health care (assisted living facilities) to 65%.

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DOL SG 2:	A Secure Workforce – Promote the economic security of workers and families	
DOL OG 2.1:	Increase Compliance with Worker Protection Laws	
ESA SG 1:	Create better workplaces by increasing employer and employee awareness of, commitment to, and involvement in assuring fair wages and equal employment opportunity, minimizing the impact of work-related injuries, and safeguarding union democracy.	
ESA OG 1.2:	Safeguard union democracy and financial integrity.	
ESA PG 1.2a:	<p>Protect standards for democratic union officer elections for union members by resolving 100% of election complaints filed under LMRDA and related laws.</p> <ul style="list-style-type: none"> • By the end of FY 1999 • By the end of FY 2000 • By the end of FY 2001 • By the end of FY 2002 • By the end of FY 2003 • By the end of FY 2004 	<ul style="list-style-type: none"> • New goal for FY 2000. • Resolve 100% of election complaints. • Resolve 100% of election complaints. • Resolve 100% of election complaints. • Resolve 100% of election complaints. • Resolve 100% of election complaints. <p>Note: The agency has a legal obligation to investigate all union officer election complaints filed by members in accordance with the LMRDA and to initiate enforcement action when warranted within statutory time limits. Therefore, the annual target is 100%.</p>

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DOL SG 2:	A Secure Workforce – Promote the economic security of workers and families	
DOL OG 2.1:	Increase Compliance with Worker Protection Laws	
ESA SG 1:	Create better workplaces by increasing employer and employee awareness of, commitment to, and involvement in assuring fair wages and equal employment opportunity, minimizing the impact of work-related injuries, and safeguarding union democracy.	
ESA OG 1.2:	Safeguard union democracy and financial integrity.	
ESA PG 1.2b:	<p>Protect union financial integrity through appropriate enforcement action.</p> <ul style="list-style-type: none"> • By the end of FY 1999 • By the end of FY 2000 • By the end of FY 2001 • By the end of FY 2002 • By the end of FY 2003 • By the end of FY 2004 	<ul style="list-style-type: none"> • New goal for FY 2000. • Xxx • Xxx • Xxx • Xxx • Xxx <p>Note: Significant indicators of program impact on union financial integrity include the number of individuals convicted of embezzlement and other crimes that are barred from union office and employment as a result of OLMS enforcement actions. These can only be determined at the end of a given fiscal year, therefore, targets have not been included for this goal.</p>

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DOL SG 2:	A Secure Workforce – Promote the economic security of workers and families	
DOL OG 2.1:	Increase Compliance with Worker Protection Laws	
ESA SG 1:	Create better workplaces by increasing employer and employee awareness of, commitment to, and involvement in assuring fair wages and equal employment opportunity, minimizing the impact of work-related injuries, and safeguarding union democracy.	
ESA OG 1.2:	Safeguard union democracy and financial integrity.	
ESA PG 1.2c: <i>(DOL Strategic Plan PG 2.1E)</i>	<p>Achieve 90% timely union reporting compliance by unions with annual receipts greater than \$200,000 that timely file union annual financial reports for public disclosure access.</p> <ul style="list-style-type: none"> • By the end of FY 1999 • By the end of FY 2000 • By the end of FY 2001 • By the end of FY 2002 • By the end of FY 2003 • By the end of FY 2004 	<ul style="list-style-type: none"> • Increased to 89.8%. • Minimum of 87%. • Minimum of 88%. • Minimum of 89% • Increase to 90%. • Maintain at 90%. <p>Note: In FY 1999, the timely filing rate increased to 89.8 percent, a substantial improvement over timely filing rates of 83% in FY 1998 and 79% in FY 1997. The FY 1999 performance results exceeded the goal for FY 2000 as well as that for FY 1999. Performance results will be monitored in FY 2000 to determine whether performance targets should be adjusted.</p>

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Performance Goals, Baselines and Targets

DOL SG 2:	A Secure Workforce – Promote the economic security of workers and families	
DOL OG 2.1:	Increase Compliance with Worker Protection Laws	
ESA SG 1:	Create better workplaces by increasing employer and employee awareness of, commitment to, and involvement in assuring fair wages and equal employment opportunity, minimizing the impact of work-related injuries, and safeguarding union democracy.	
ESA OG 1.2:	Safeguard union democracy and financial integrity.	
ESA PG 1.2d:	<p>Increase to __% (over the FY 2000 baseline) the number of union annual financial reports filed for public disclosure access that meet standards of acceptability.</p> <ul style="list-style-type: none"> • By the end of FY 1999 • By the end of FY 2000 • By the end of FY 2001 • By the end of FY 2002 • By the end of FY 2003 • By the end of FY 2004 	<ul style="list-style-type: none"> • No activity. New goal for FY 2000. • Establish baseline. • Increase to __% over FY 2000 baseline. • Increase to __% over FY 2000 baseline. • Increase to __% over FY 2000 baseline. • Increase to __% over FY 2000 baseline.

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Performance Goals, Baselines and Targets

DOL SG 2:	A Secure Workforce – Promote the economic security of workers and families.	
DOL OG 2.2:	<i>Protect Worker Benefits</i>	
ESA SG 1:	Create better workplaces by increasing employer and employee awareness of, commitment to, and involvement in assuring fair wages and equal employment opportunity, minimizing the impact of work-related injuries, and safeguarding union democracy.	
ESA OG 1.3:	Minimize the human, social, and financial impact of work-related injuries.	
ESA PG 1.3a: <i>(DOL Strategic Plan PG 2.2D)</i>	<p>Return Federal employees to work following an injury as early as appropriate indicated by an 8% reduction from the FY 2000 baseline in the average number of production days lost due to disability.</p> <ul style="list-style-type: none"> • By the end of FY 1999 • By the end of FY 2000 • By the end of FY 2001 • By the end of FY 2002 • By the end of FY 2003 • By the end of FY 2004 	<ul style="list-style-type: none"> • Average lost product days were reduced to 173 days for QCM cases only. • Reduce to 173 days (QCM cases). Establish baseline for all cases. • Reduce by 2% from FY 2000 baseline. • Reduce by 4% from FY 2000 baseline. • Reduce by 6% from FY 2000 baseline. • Reduce by 8% from FY 2000 baseline.

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DOL SG 2:	A Secure Workforce – Promote the economic security of workers and families	
DOL OG 2.2:	Protect Worker Benefits	
ESA SG 1:	Create better workplaces by increasing employer and employee awareness of, commitment to, and involvement in assuring fair wages and equal employment opportunity, minimizing the impact of work-related injuries, and safeguarding union democracy.	
ESA OG 1.3:	Minimize the human, social, and financial impact of work-related injuries.	
ESA PG 1.3b:	<p>Increase employing agency timeliness in submitting notices of injury to 67% within 14 days.</p> <ul style="list-style-type: none"> • By the end of FY 1999 • By the end of FY 2000 • By the end of FY 2001 • By the end of FY 2002 • By the end of FY 2003 • By the end of FY 2004 	<ul style="list-style-type: none"> • Timeliness was increased to 52.7%. • Increase to 53%. • Increase to 55%. • Increase to 59%. • Increase to 63%. • Increase to 67%.

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Performance Goals, Baselines and Targets

DOL SG 2:	A Secure Workforce – Promote the economic security of workers and families	
DOL OG 2.2:	Protect Worker Benefits	
ESA SG 1:	Create better workplaces by increasing employer and employee awareness of, commitment to, and involvement in assuring fair wages and equal employment opportunity, minimizing the impact of work-related injuries, and safeguarding union democracy.	
ESA OG 1.4:	Protect the rights of affected mass transit workers when Federal grant funds are used to acquire, improve, or operate a transit system.	
ESA PG 1.4a:	<p>Issue 100% of transit employee protection certifications within established timeframes.</p> <ul style="list-style-type: none"> • By the end of FY 1999 • By the end of FY 2000 • By the end of FY 2001 • By the end of FY 2002 • By the end of FY 2003 • By the end of FY 2004 	<ul style="list-style-type: none"> • 98% issued within established timeframes. • Issue 100% within timeframes. • Issue 100% within timeframes. • Issue 100% within timeframes. • Issue 100% within timeframes. • Issue 100% within timeframes. • Issue 100% within timeframes. <p>Note: Federal guidelines provide for the issuance of certifications within specified time frames which ensures protections for transit employees and the timely release of Federal transit grant funds. Therefore, the annual target for this goal is set at 100%.</p>

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Performance Goals, Baselines and Targets

DOL SG 3:	Quality Workplaces – Foster quality workplaces that are safe, healthy, and fair.	
DOL OG 3.2:	Foster Equal Opportunity Workplaces	
ESA SG 1:	Create better workplaces by increasing employer and employee awareness of, commitment to, and involvement in assuring fair wages and equal employment opportunity, minimizing the impact of work-related injuries, and safeguarding union democracy.	
ESA OG 1.5:	<p>Reduce the incidence of federal contractors out of compliance with their contractual Equal Employment Opportunity (EEO) obligations. (FY 1999 - FY 2000)</p> <p>Federal contractors achieve equal opportunity workplaces. (FY 2001 - FY 2004)</p>	
ESA PG 1.5a: <i>(DOL Strategic Plan PG 3.2A)</i>	<p>Increase by 30% the number of Federal contractors brought into compliance with the EEO provisions of federal contracts via OFCCP's compliance evaluation procedures.</p> <ul style="list-style-type: none"> • By the end of FY 1999 • By the end of FY 2000 <p><i>New Goal:</i> Federal contractors achieve equal opportunity workplaces as demonstrated by:</p> <ul style="list-style-type: none"> – Improving the equal employment opportunity performance of federal contractors and subcontractors within industries where data indicate the likelihood of equal employment opportunity problems is greatest. <ul style="list-style-type: none"> • By the end of FY 2001 • By the end of FY 2002 • By the end of FY 2003 • By the end of FY 2004 	<ul style="list-style-type: none"> • Established new baseline at 2,648. • Increase by 5% over FY 99 performance. <p>Note: Reevaluated/revised goal and methodology in FY 2000.</p> <ul style="list-style-type: none"> • Identify those industries where data indicate the likelihood of equal employment opportunity problems is greatest, and establish baselines. • Achieve x% improvement over the baselines. • Achieve x% improvement over the baselines. • Achieve x% improvement over the baselines.

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Performance Goals, Baselines and Targets

DOL SG 3:	Quality Workplaces – Foster quality workplaces that are safe, healthy, and fair.	
DOL OG 3.2:	Foster Equal Opportunity Workplaces	
ESA SG 1:	Create better workplaces by increasing employer and employee awareness of, commitment to, and involvement in assuring fair wages and equal employment opportunity, minimizing the impact of work-related injuries, and safeguarding union democracy.	
ESA OG 1.5:	<p>Reduce the incidence of federal contractors out of compliance with their contractual Equal Employment Opportunity (EEO) obligations. (FY 1999 - FY 2000)</p> <p>Federal contractors achieve equal opportunity workplaces. (FY 2001 - FY 2004)</p>	
ESA PG 1.5a Continued: <i>(DOL Strategic Plan PG 3.2A)</i>	<p>Federal contractors achieve equal opportunity workplaces as demonstrated by:</p> <ul style="list-style-type: none"> -- Improving the equal employment opportunity performance of federal contractors and subcontractors that have had prior contact with OFCCP through evaluations, outreach, or technical assistance. • By the end of FY 2001 • By the end of FY 2002 • By the end of FY 2003 • By the end of FY 2004 -- Reducing compensation discrimination by federal contractors and subcontractors. • By the end of FY 2001 • By the end of FY 2002 • By the end of FY 2003 • By the end of FY 2004 	<ul style="list-style-type: none"> • Establish baselines of equal employment opportunity performance. • Achieve x% performance over the baselines. • Achieve x% performance over the baselines. • Achieve x% performance over the baselines. • Using EO Survey data, establish compensation baselines. • Achieve x% improvement over the baselines. • Achieve x% improvement over the baselines. • Achieve x% improvement over the baselines.

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Performance Goals, Baselines and Targets

DOL SG 3:	Quality Workplaces – Foster quality workplaces that are safe, healthy, and fair.	
DOL OG 3.2:	Foster Equal Opportunity Workplaces	
ESA SG 1:	Create better workplaces by increasing employer and employee awareness of, commitment to, and involvement in assuring fair wages and equal employment opportunity, minimizing the impact of work-related injuries, and safeguarding union democracy.	
ESA OG 1.5:	Reduce the incidence of federal contractors out of compliance with their contractual Equal Employment Opportunity (EEO) obligations.	
ESA PG 1.5b: <i>(DOL Strategic Plan PG 3.2B)</i>	<p>To increase compliance with the EEO requirements among Federal contractors, measure the effectiveness of OFCCP's education, technical assistance and outreach efforts.</p> <ul style="list-style-type: none"> • By the end of FY 1999 • By the end of FY 2000 	<ul style="list-style-type: none"> • No activity. New goal for FY 2000. • Establish methodology to measure the effectiveness of OFCCP's education, technical assistance and outreach efforts. <p>Note: Reevaluated/revised goal and methodology in FY 2000. Reference Goal 1.5a.</p>

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Performance Goals, Baselines and Targets

DOL SG 3:	Quality Workplaces – Foster quality workplaces that are safe, healthy, and fair.	
DOL OG 3.2:	Foster Equal Opportunity Workplaces	
ESA SG 1:	Create better workplaces by increasing employer and employee awareness of, commitment to, and involvement in assuring fair wages and equal employment opportunity, minimizing the impact of work-related injuries, and safeguarding union democracy.	
ESA OG 1.5:	Reduce the incidence of federal contractors out of compliance with their contractual Equal Employment Opportunity (EEO) obligations.	
ESA PG 1.5c: <i>(DOL Strategic Plan PG 3.2C)</i>	<p>Narrow the wage gap for protected groups within the Federal contractor reporting community.</p> <ul style="list-style-type: none"> • By the end of FY 1999 • By the end of FY 2000 	<ul style="list-style-type: none"> • No activity. New goal for FY 2000. • Establish a methodology to identify wage disparities. <p>Note: Reevaluated/revised goal and methodology in FY 2000. Reference Goal 1.5a.</p>

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Performance Goals, Baselines and Targets

DOL SG 2: DOL SG 3:	A Secure Workforce – Promote the economic security of workers and families. Quality Workplaces – Foster quality workplaces that are safe, healthy, and fair.	
DOL OG 2.1: DOL OG 2.2: DOL OG 3.2:	Increase Compliance with Worker Protection Laws <i>Protect Worker Benefits</i> Foster Equal Opportunity Workplaces	
ESA SG 2:	Secure public confidence through excellence in the management and delivery of ESA's programs and services.	
ESA OG 2.1:	Respond effectively to legal mandates.	
ESA PG 2.1a: (<i>DOL Strategic Plan PG 2.2G</i>)	<p>Each area of the country will be surveyed for all four types of construction at least every three years, and the resulting Davis-Bacon wage determinations validly represent locally prevailing wages/benefits.</p> <ul style="list-style-type: none"> • By the end of FY 1999 • By the end of FY 2000 • By the end of FY 2001 • By the end of FY 2002 • By the end of FY 2003 • By the end of FY 2004 	<ul style="list-style-type: none"> • Implemented a new data collection form and automated printing and mailing process. • Implement scanning technology and develop knowledge management technology. • Complete analysis of BLS data and decide whether a reengineering or reinvention approach will be pursued in FY 2001. • If a reengineering approach is pursued, complete development of all aspects of a reengineered system. • If a reinvention approach is pursued, implement all necessary process changes. • Under selected approach, survey and establish prevailing wages for one-third of country. • Under selected approach, survey and establish prevailing wages for one-third of country. • Under selected approach, survey and establish prevailing wages for one-third of country. <p>Goal completed.</p>

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DOL SG 2: DOL SG 3:	A Secure Workforce – Promote the economic security of workers and families. Quality Workplaces – Foster quality workplaces that are safe, healthy, and fair.	
DOL OG 2.1: DOL OG 2.2: DOL OG 3.2:	Increase Compliance with Worker Protection Laws <i>Protect Worker Benefits</i> Foster Equal Opportunity Workplaces	
ESA SG 2:	Secure public confidence through excellence in the management and delivery of ESA's programs and services.	
ESA OG 2.1:	Respond effectively to legal mandates.	
ESA PG 2.1b:	<p>Update 90% of SCA and DBA wage determinations within 60 days of receipt of underlying survey data.</p> <ul style="list-style-type: none"> By the end of FY 1999 By the end of FY 2000 By the end of FY 2001 By the end of FY 2002 	<ul style="list-style-type: none"> SCA – evaluated new BLS survey data sources. DBA – ensure that wage determination issuance process keeps pace with wage survey process improvements. <p>Note: As improvements were made in the Davis-Bacon wage survey program, they were adopted for all new surveys (e.g., Census mailing and the revised WD-10 Form).</p> <ul style="list-style-type: none"> SCA – implement new wage determination methodology. DBA – Ensure that wage determination issuance process keeps pace with wage survey process improvements. SCA – revise automated systems to accommodate new wage determination methodology. DBA - implement wage determination issuance systems to integrate with the selected reengineering or reinvention approach. Achieve goal. <p>Goal completed.</p>

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DOL SG 2: DOL SG 3:	A Secure Workforce – Promote the economic security of workers and families. Quality Workplaces – Foster quality workplaces that are safe, healthy, and fair.	
DOL OG 2.1: DOL OG 2.2: DOL OG 3.2:	Increase Compliance with Worker Protection Laws <i>Protect Worker Benefits</i> Foster Equal Opportunity Workplaces	
ESA SG 2:	Secure public confidence through excellence in the management and delivery of ESA's programs and services.	
ESA OG 2.2:	Improve performance in the delivery of services to injured workers and in the administration of FECA	
ESA PG 2.2a:	<p>Improve customer satisfaction with FECA services by __ percentage points (from the FY 2001 baseline) as measured by an index of customer survey scores and other indicators.</p> <ul style="list-style-type: none"> By the end of FY 1999 By the end of FY 2000 By the end of FY 2001 By the end of FY 2002 By the end of FY 2003 By the end of FY 2004 	<ul style="list-style-type: none"> Improve by 4% from FY 1997 base. (No measurement was taken in FY 1999). <p>Note: In FY 2000, OWCP will construct an index of customer satisfaction measurement in a revised performance goal.</p> <ul style="list-style-type: none"> Improve by 6% from FY 1997 base. Establish new baseline. Reevaluate/revise goal and methodology. Establish baseline for a customer service index. Improve by __% from FY 2001 baseline. Improve by __% from FY 2001baseline. Improve by __% from FY 2001baseline.

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DOL SG 2: DOL SG 3:	A Secure Workforce – Promote the economic security of workers and families. Quality Workplaces – Foster quality workplaces that are safe, healthy, and fair.	
DOL OG 2.1: DOL OG 2.2: DOL OG 3.2:	Increase Compliance with Worker Protection Laws <i>Protect Worker Benefits</i> Foster Equal Opportunity Workplaces	
ESA SG 2:	Secure public confidence through excellence in the management and delivery of ESA's programs and services.	
ESA OG 2.2:	Improve performance in the delivery of services to injured workers and in the administration of FECA	
ESA PG 2.2b:	<p>Improve the quality of claims actions as measured by average accountability review Quality Index scores to 82.</p> <ul style="list-style-type: none"> • By the end of FY 1999 • By the end of FY 2000 • By the end of FY 2001 • By the end of FY 2002 • By the end of FY 2003 • By the end of FY 2004 	<ul style="list-style-type: none"> • Achieved 72.9% improvement. • Improve to 76.5. • Improve to 78.5. • Improve to 80.5. • Improve to 81. • Improve to 82.

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DOL SG 2: DOL SG 3:	A Secure Workforce – Promote the economic security of workers and families. Quality Workplaces – Foster quality workplaces that are safe, healthy, and fair.	
DOL OG 2.1: DOL OG 2.2: DOL OG 3.2:	Increase Compliance with Worker Protection Laws <i>Protect Worker Benefits</i> Foster Equal Opportunity Workplaces	
ESA SG 2:	Secure public confidence through excellence in the management and delivery of ESA’s programs and services.	
ESA OG 2.3:	Enhance the fiscal integrity of managed public trust funds.	
ESA PG 2.3a: (<i>DOL Strategic Plan PG 2.2E</i>)	<p>Produce \$165 million in cumulative first-year savings in the FECA program through Periodic Roll Management.</p> <ul style="list-style-type: none"> • By the end of FY 1999 • By the end of FY 2000 • By the end of FY 2001 • By the end of FY 2002 • By the end of FY 2003 • By the end of FY 2004 	<ul style="list-style-type: none"> • Produced \$20.8 million in first-year savings. • Produce \$66 million in cumulative first-year savings. • Produce \$95 million in cumulative first-year savings. • Produce \$122 million in cumulative first-year savings. • Produce \$145 million in cumulative first-year savings. • Produce \$165 million in cumulative first-year savings. <p>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 acted on 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.</p>

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DOL SG 2: DOL SG 3:	A Secure Workforce – Promote the economic security of workers and families. Quality Workplaces – Foster quality workplaces that are safe, healthy, and fair.	
DOL OG 2.1: DOL OG 2.2: DOL OG 3.2:	Increase Compliance with Worker Protection Laws <i>Protect Worker Benefits</i> Foster Equal Opportunity Workplaces	
ESA SG 2:	Secure public confidence through excellence in the management and delivery of ESA's programs and services.	
ESA OG 2.3:	Enhance the fiscal integrity of managed public trust funds.	
ESA PG 2.3b: (DOL Strategic Plan PG 2.2F)	<p>In the FECA program, reduce the overall average medical service cost per case by 2% (adjusted for inflation).</p> <ul style="list-style-type: none"> By the end of FY 1999 By the end of FY 2000 By the end of FY 2001 By the end of FY 2002 By the end of FY 2003 	<ul style="list-style-type: none"> Saved 22% versus amounts billed for FECA medical services through application of medical fee schedules. 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; save \$1.5 million compared to amounts charged for physician services through the Correct Coding Initiative. Reduce the average annual cost for (condition type) cases by __% 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 medical costs will be measured against a FY 2000 baseline.) Reduce the overall average medical service cost per case (adjusted for inflation) by .5% versus the FY 2000 baseline. Reduce the average annual cost for (condition type) cases by __% through focus reviews of services charged. Reduce the overall average medical service cost per case (adjusted for inflation) by 1% versus the FY 2000 baseline. Reduce the average annual cost for (condition type) cases by __% through focus reviews of services charged.

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DOL SG 2: DOL SG 3:	A Secure Workforce – Promote the economic security of workers and families. Quality Workplaces – Foster quality workplaces that are safe, healthy, and fair.	
DOL OG 2.1: DOL OG 2.2: DOL OG 3.2:	Increase Compliance with Worker Protection Laws <i>Protect Worker Benefits</i> Foster Equal Opportunity Workplaces	
ESA SG 2:	Secure public confidence through excellence in the management and delivery of ESA's programs and services.	
ESA OG 2.3:	Enhance the fiscal integrity of managed public trust funds.	
ESA PG 2.3b: Continued (DOL Strategic Plan PG 2.2F)	<p>In the FECA program, reduce the overall average medical service cost per case by 2% (adjusted for inflation).</p> <ul style="list-style-type: none"> By the end of FY 2004 	<ul style="list-style-type: none"> Reduce the overall average medical service cost per case (adjusted for inflation) by 2% versus the FY 2000 baseline. Reduce the average annual cost for (condition type) cases by __% through focus reviews of services charged.

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DOL SG 2: DOL SG 3:	A Secure Workforce – Promote the economic security of workers and families. Quality Workplaces – Foster quality workplaces that are safe, healthy, and fair.	
DOL OG 2.1: DOL OG 2.2: DOL OG 3.2:	<i>Increase Compliance with Worker Protection Laws</i> Protect Worker Benefits Foster Equal Opportunity Workplaces	
ESA SG 2:	Secure public confidence through excellence in the management and delivery of ESA's programs and services.	
ESA OG 2.4:	Foster organizational excellence and increase collaboration.	
ESA PG 2.4a:	<p>Increase customer satisfaction by 5% among employers subject to Wage and Hour enforcement intervention.</p> <ul style="list-style-type: none"> • By the end of FY 1999 • By the end of FY 2000 • By the end of FY 2001 • By the end of FY 2002 	<ul style="list-style-type: none"> • No goal. Baseline year is FY 2000. • Establish baseline. • No survey. • Achieve goal. <p>Goal completed.</p>

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DOL SG 2: DOL SG 3:	A Secure Workforce – Promote the economic security of workers and families. Quality Workplaces – Foster quality workplaces that are safe, healthy, and fair.	
DOL OG 2.1: DOL OG 2.2: DOL OG 3.2:	<i>Increase Compliance with Worker Protection Laws</i> Protect Worker Benefits Foster Equal Opportunity Workplaces	
ESA SG 2:	Secure public confidence through excellence in the management and delivery of ESA's programs and services.	
ESA OG 2.4:	Foster organizational excellence and increase collaboration.	
ESA PG 2.4b:	<p>Maintain a high level of customer satisfaction with LMRDA public disclosure services such that 97% or more of customers surveyed rate the services "good" to "excellent." (The customer satisfaction survey was initiated in FY 1998.)</p> <ul style="list-style-type: none"> By the end of FY 1999 	<ul style="list-style-type: none"> Achieved 97.9% customer satisfaction. <p>This goal was completed in FY 1999.</p> <p>Note: The customer survey initiative has been discontinued, although efforts to maintain this high level of customer service are ongoing. The survey may be reinstituted periodically to monitor levels of customer satisfaction with public disclosure services.</p>

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DOL SG 2: DOL SG 3:	A Secure Workforce – Promote the economic security of workers and families. Quality Workplaces – Foster quality workplaces that are safe, healthy, and fair.	
DOL OG 2.1: DOL OG 2.2: DOL OG 3.2:	Increase Compliance with Worker Protection Laws <i>Protect Worker Benefits</i> Foster Equal Opportunity Workplaces	
ESA SG 2:	Secure public confidence through excellence in the management and delivery of ESA's programs and services.	
ESA OG 2.4:	Foster organizational excellence and increase collaboration.	
ESA PG 2.4c:	<p>Reduce the average time required to resolve disputed issues in Longshore and Harbor Workers' Compensation Program contested cases by 8% when compared to an established baseline.</p> <ul style="list-style-type: none"> • By the end of FY 1999 • By the end of FY 2000 • By the end of FY 2001 • By the end of FY 2002 • By the end of FY 2003 • By the end of FY 2004 	<ul style="list-style-type: none"> • Completed the process of defining a case resolution for the purposes of the goal. • Complete system programming for entering and generating goal-related data. Establish a performance baseline after data analysis. • Establish a performance baseline and begin data collection for performance tracking. <p>Note: It has been determined that a full year of data is required to establish an adequate baseline. (FY 2000 data collection for this goal did not begin until May 2000.) Therefore, the target for establishing the performance baseline is May 2001.</p> <ul style="list-style-type: none"> • Achieve a 2% reduction over baseline. • Achieve a 3% reduction over baseline. • Achieve a 3% reduction over baseline.

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DOL SG 2: DOL SG 3:	A Secure Workforce – Promote the economic security of workers and families. Quality Workplaces – Foster quality workplaces that are safe, healthy, and fair.	
DOL OG 2.1: DOL OG 2.2: DOL OG 3.2:	<p><i>Increase Compliance with Worker Protection Laws</i></p> <p>Protect Worker Benefits</p> <p>Foster Equal Opportunity Workplaces</p>	
ESA SG 2:	Secure public confidence through excellence in the management and delivery of ESA’s programs and services.	
ESA OG 2.4:	Foster organizational excellence and increase collaboration.	
ESA PG 2.4d:	<p>Increase by 6% 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.</p> <ul style="list-style-type: none"> • By the end of FY 1999 • By the end of FY 2000 • By the end of FY 2001 • By the end of FY 2002 • By the end of FY 2003 • By the end of FY 2004 	<ul style="list-style-type: none"> • Implemented the initial findings package designed to more effectively provide all parties with information about the decisions made on individual claims. • Finalize and implement new regulations. Develop materials to provide all parties with information about the revised claims development and adjudication process. • Establish a baseline for 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. • Achieve a 2% increase over the baseline. • Achieve a 2% increase over the baseline. • Achieve a 2% increase over the baseline.

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DOL SG 2: DOL SG 3:	A Secure Workforce – Promote the economic security of workers and families. Quality Workplaces – Foster quality workplaces that are safe, healthy, and fair.	
DOL OG 2.1: DOL OG 2.2: DOL OG 3.2:	<i>Increase Compliance with Worker Protection Laws</i> <i>Protect Worker Benefits</i> Foster Equal Opportunity Workplaces	
ESA SG 2:	Secure public confidence through excellence in the management and delivery of ESA's programs and services.	
ESA OG 2.4:	Foster organizational excellence and increase collaboration.	
ESA PG 2.4e:	<p>Increase customer satisfaction with OFCCP services by a minimum of 5% over FY 1998 baseline.</p> <ul style="list-style-type: none"> • By the end of FY 1999 • By the end of FY 2000 • By the end of FY 2001 	<ul style="list-style-type: none"> • Increased by 2.4% over FY 1998 base of nearly 80%. • Increase by 1% over FY 1999 performance. • Increase by 1% over FY 2000 performance. <p>Note: Goal revised and combined with Goal 1.5a for FY 2001 - FY 2004.</p>

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DOL SG 2: DOL SG 3:	A Secure Workforce – Promote the economic security of workers and families. Quality Workplaces – Foster quality workplaces that are safe, healthy, and fair.	
DOL OG 2.1: DOL OG 2.2: DOL OG 3.2:	Increase Compliance with Worker Protection Laws Protect Worker Benefits Foster Equal Opportunity Workplaces	
ESA SG 2:	Secure public confidence through excellence in the management and delivery of ESA’s programs and services.	
ESA OG 2.5:	Design and implement management systems and procedures to support ESA goals and objectives.	
ESA PG 2.5a:	<p>Maintain compliance with all applicable accounting and financial system standards.</p> <ul style="list-style-type: none"> • By the end of FY 1999 • By the end of FY 2000 • By the end of FY 2001 • By the end of FY 2002 • By the end of FY 2003 • By the end of FY 2004 	<ul style="list-style-type: none"> • Baseline established: 3 of the 5 ESA systems reported in the Annual DOL Financial Statement Audit are free from FFMIA material non-conformance. • Assure ESA financial systems substantially comply with applicable Federal law, regulation and accounting standards and that 4 of 5 of ESA’s financial systems are free from material non-conformance. • Assure ESA financial systems substantially comply with applicable Federal law, regulation and accounting standards and that all 5 of ESA’s financial systems are free from material non-conformance. • Maintain ESA financial systems in substantial compliance with applicable Federal law, regulation and accounting standards and ensure that ESA’s financial systems are free from material non-conformances reportable under FFMIA. • Maintain ESA financial systems in substantial compliance with applicable Federal law, regulation and accounting standards and ensure that ESA’s financial systems are free from material non-conformances reportable under FFMIA. • Maintain ESA financial systems in substantial compliance with applicable Federal law, regulation and accounting standards and ensure that ESA’s financial systems are free from material non-conformances reportable under FFMIA.

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DOL SG 2: DOL SG 3:	A Secure Workforce – Promote the economic security of workers and families. Quality Workplaces – Foster quality workplaces that are safe, healthy, and fair.	
DOL OG 2.1: DOL OG 2.2: DOL OG 3.2:	Increase Compliance with Worker Protection Laws Protect Worker Benefits Foster Equal Opportunity Workplaces	
ESA SG 2:	Secure public confidence through excellence in the management and delivery of ESA’s programs and services.	
ESA OG 2.5:	Design and implement management systems and procedures to support ESA goals and objectives.	
ESA PG 2.5b:	<p>Revise and maintain ESA’s Information Technology (IT) infrastructure.</p> <ul style="list-style-type: none"> • By the end of FY 1999 • By the end of FY 2000 • By the end of FY 2001 	<ul style="list-style-type: none"> • Expanded web capabilities to support increased public information via the Internet in support of Agency public awareness and outreach efforts to the public. • Expand the ESA Wide Area Network (WAN) to provide increased performance and scalability of access to ESA Information Systems for ESA Regional staff. • Upgrade remote access technology to provide more services to flexiplace workers in support of an increasing number of participants. • Develop a “warm/hot” site capability for ESA IT applications and services. • Provide hardware and software design and maintenance support to ESA's IT infrastructure and support Program-related IT needs. • Define, design and begin implementation of modifications to ESA's IT architecture to support the development of external web-based Agency applications. • Expand the ESA WAN and deploy technologies to efficiently use telecommunications capabilities to provide increased performance and scalability of access to ESA Information Systems for ESA field staff.

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DOL SG 2: DOL SG 3:	A Secure Workforce – Promote the economic security of workers and families. Quality Workplaces – Foster quality workplaces that are safe, healthy, and fair.	
DOL OG 2.1: DOL OG 2.2: DOL OG 3.2:	Increase Compliance with Worker Protection Laws Protect Worker Benefits Foster Equal Opportunity Workplaces	
ESA SG 2:	Secure public confidence through excellence in the management and delivery of ESA's programs and services.	
ESA OG 2.5:	Design and implement management systems and procedures to support ESA goals and objectives.	
ESA PG 2.5b: Continued	<p>Revise and maintain ESA's Information Technology (IT) infrastructure.</p> <ul style="list-style-type: none"> By the end of FY 2002 By the end of FY 2003 	<ul style="list-style-type: none"> Enhance the capabilities of the "warm/hot" site. Provide continuing support for ESA's mission critical IT systems through the negotiation, purchase and installation of a new Database Management System licensing agreement. Develop Private Key Infrastructure (PKI) capabilities to support digital signatures required for electronic filing of government issued forms over the Internet. Ensure that ESA continues to leverage current and future COTS software capabilities, and remains in conformance with the Department's architecture, by negotiating a new licensing agreement for ESA's office automation software suite. Protect ESA's existing IT investment, in order to maintain productivity and accomplish strategic goals through the implementation of a three-tiered strategy for replenishment of ESA's IT infrastructure. Begin the first phase, microcomputer replacement. Develop architecture to support Decision Support Systems (DSS) and Expert Systems (ES) through the use of data warehousing and knowledge management tools. Continue with the second phase of ESA's three-tiered strategy for replenishment of ESA's IT infrastructure.

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DOL SG 2: DOL SG 3:	A Secure Workforce – Promote the economic security of workers and families. Quality Workplaces – Foster quality workplaces that are safe, healthy, and fair.	
DOL OG 2.1: DOL OG 2.2: DOL OG 3.2:	Increase Compliance with Worker Protection Laws Protect Worker Benefits Foster Equal Opportunity Workplaces	
ESA SG 2:	Secure public confidence through excellence in the management and delivery of ESA's programs and services.	
ESA OG 2.5:	Design and implement management systems and procedures to support ESA goals and objectives.	
ESA PG 2.5b: Continued	<p>Revise and maintain ESA's Information Technology (IT) infrastructure.</p> <ul style="list-style-type: none"> • By the end of FY 2004 	<ul style="list-style-type: none"> • Revise infrastructure to support expanded IT and Internet capabilities. • Continue with the final phase of ESA's three-tiered strategy for replenishment of ESA's IT infrastructure.

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DOL SG 2: DOL SG 3:	A Secure Workforce – Promote the economic security of workers and families. Quality Workplaces – Foster quality workplaces that are safe, healthy, and fair.	
DOL OG 2.1: DOL OG 2.2: DOL OG 3.2:	Increase Compliance with Worker Protection Laws Protect Worker Benefits Foster Equal Opportunity Workplaces	
ESA SG 2:	Secure public confidence through excellence in the management and delivery of ESA's programs and services.	
ESA OG 2.5:	Design and implement management systems and procedures to support ESA goals and objectives.	
ESA PG 2.5c:	<p>Revise and maintain ESA's IT security controls, policies and procedures.</p> <ul style="list-style-type: none"> • By the end of FY 1999 • By the end of FY 2000 • By the end of FY 2001 • By the end of FY 2002 	<ul style="list-style-type: none"> • Completed the ESA IT Security plan and began to implement additional security controls and measures as laid out in the plan in accordance with OMB Circular A-130. • Perform vulnerability assessment as required by the Presidential Decision Directive (PDD) 63 Critical Infrastructure Protection Plan (CIPP). • Revise ESA's IT Disaster Recovery Plan. • Develop and implement an action plan to mitigate vulnerabilities identified in risk assessments conducted in FY 2000. • Update ESA's System Security, Disaster Recovery and Contingency Plans, as necessary. • Develop and begin implementation of a comprehensive agency-wide Computer Security Awareness and Training Program. • Review and enhance ESA's infrastructure and related tools to ensure ESA's IT environment is secure. • Continue implementation of mitigation action plan and identify and put in place additional security controls as required by Federal laws, regulations and guidelines.

Appendix D
Performance Goals, Baselines and Targets

DOL SG 2: DOL SG 3:	A Secure Workforce – Promote the economic security of workers and families. Quality Workplaces – Foster quality workplaces that are safe, healthy, and fair.	
DOL OG 2.1: DOL OG 2.2: DOL OG 3.2:	Increase Compliance with Worker Protection Laws Protect Worker Benefits Foster Equal Opportunity Workplaces	
ESA SG 2:	Secure public confidence through excellence in the management and delivery of ESA's programs and services.	
ESA OG 2.5:	Design and implement management systems and procedures to support ESA goals and objectives.	
ESA PG 2.5c: Continued	<p>Revise and maintain ESA's IT security controls, policies and procedures.</p> <ul style="list-style-type: none"> By the end of FY 2003 By the end of FY 2004 	<ul style="list-style-type: none"> Continue implementation of ESA Computer Security Awareness and Training Program. Review and enhance ESA's infrastructure and related tools to ensure ESA's IT environment is secure. Identify requirements and begin implementation of modifications to IT infrastructure in preparation for the implementation of web-based customer self-service initiatives, including Public Key Infrastructure. Begin first phase of reviews of General Support System (GSS) and Major Application (MA) system security plans and risk assessments. Review and enhance ESA infrastructure and related tools to ensure ESA's IT environment is secure. Begin second phase reviews of GSS and MA system security plans and risk assessments. Review and enhance ESA's infrastructure and related tools to ensure ESA's IT environment is secure. Begin next phase of reviews of GSS and MA system security plans and risk assessments.

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ESA SG 2:	Secure public confidence through excellence in the management and delivery of ESA's programs and services.	
ESA OG 2.5:	Design and implement management systems and procedures to support ESA goals and objectives.	
ESA PG 2.5d:	<p>Develop DHRM staff to include computer-based training in support of ESA's program training needs.</p> <ul style="list-style-type: none"> By the end of FY 1999 By the end of FY 2000 By the end of FY 2001 By the end of FY 2002 By the end of FY 2003 By the end of FY 2004 	<ul style="list-style-type: none"> Tested/selected authoring software package and instruction manuals; equipped one training specialist with the skills/abilities to use software to produce computer-based training courses. Posted, via the ESA Intranet, information on how to get training (common needs and ESA provided technical training), what training is available, and the interactive forms for evaluation of the courses. Train 2 additional training specialists with the skills/abilities to produce computer-based training courses. Equip remaining training specialist with the skills/abilities to produce computer-based training courses. Update ESA Training Website with current course availability. All staff training specialists share experiences from computer-based training; apply experiences to training development and delivery for ESA programs. Provide refresher training to keep current in field. ESA Programs' technical training needs are supported by development/delivery of individual courses; development/delivery time of quality courses is reduced. Convert selected program technical training courses to computer-based training; keep staff updated on changing technology/software.

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ESA SG 2:	Secure public confidence through excellence in the management and delivery of ESA's programs and services.	
ESA OG 2.5:	Design and implement management systems and procedures to support ESA goals and objectives.	
ESA PG 2.5e:	<p>Develop and deliver quality training for the Federal Employees' Compensation (FEC) program's "imaged" environment.</p> <ul style="list-style-type: none"> • By the end of FY 1999 • By the end of FY 2000 • By the end of FY 2001 • By the end of FY 2002 • By the end of FY 2003 • By the end of FY 2004 	<ul style="list-style-type: none"> • Complete training of FEC Claims Examiners (CEs) in use of imaging applications that are available early. <p style="text-align: center;">Note: Goals for FY 2000 and FY 2001 were revised to incorporate training according to the OWCP/FEC implementation schedule.</p> <ul style="list-style-type: none"> • Begin training FEC CE's in use of imaging software. • Complete training of FEC CEs in the use of imaging software. • Begin diagnostic work prerequisite to building training for a revised FEC claims processing environment. • Build and start training on the revised FEC claims processing environment. • Continue training on the revised FEC claims processing environment.