

The U.S. Occupational Safety and Health Review Commission

OSHRC

FISCAL YEAR 2024

PERFORMANCE BUDGET AND JUSTIFICATION



March 2023

Table of Contents

Fiscal Year 2024

Performance Budget and Justification

I. INTRODUCTION – MISSION, VISION, AND STRATEGIC GOALS	
Our Mission.....	1
Functions and Procedures.....	1
Vision Statement	1
Strategic Goals	2
II. BUDGET REQUEST SUMMARY	
Budget Request Summary	3
E-Filing System.....	4
Language Access Plan.....	4
Advancing Racial Equity and Support for Underserved Communities and Diversity, Equity, Inclusion, and Accessibility.....	5
III. APPROPRIATIONS LANGUAGE	
Appropriations Language.....	6
IV. PERFORMANCE BUDGET JUSTIFICATION BY ORGANIZATIONAL UNIT	
Performance Budget Justification.....	7
Administrative Law Judge Function	8
Commission-Review Level Function	19
Office of the Executive Director Function	27
V. BUDGET BY OBJECT CLASSIFICATION CATEGORY	
Object Classification Table	45
Budget Object Classification Detail	46
VI. OTHER TABLES	
Appropriation History	50
Authorized Full Time Positions by Function	51

I. INTRODUCTION – MISSION, VISION, AND STRATEGIC GOALS

The U.S. Occupational Safety and Health Review Commission

Our Mission

The U.S. Occupational Safety and Health Review Commission (OSHRC or Review Commission) is an independent adjudicatory agency created by the Occupational Safety and Health Act of 1970 (the Act). The sole statutory mandate is to serve as an administrative court providing fair and expeditious resolution of disputes involving the Occupational Safety and Health Administration (OSHA), employers charged with violations of the Occupational Safety and Health Act, and employees and/or their representatives. The Review Commission was created by Congress as an agency completely independent of the Department of Labor to ensure that OSHA's enforcement actions are carried out in accordance with the law and that parties are accorded due process.

Functions and Procedures

The Act and the Review Commission's Rules of Procedure provide two levels of adjudication when an employer or an employee (and/or their representative) timely contests an OSHA citation. The first level affords an employer and/or affected employee who files a timely notice of contest the opportunity for a hearing before a Review Commission Administrative Law Judge (ALJ). The ALJ's decision becomes a final order under the Act unless a member of the three-member Commission exercises their discretion to direct the case for review. The second level involves the Commission's review of an ALJ decision. The Commission's three members, appointed by the President and subject to Senate confirmation, serve six-year terms. The principal (National) office of the Review Commission is located in Washington, DC. The Commission also has regional offices in Atlanta and Denver, where additional Review Commission ALJs and staff are assigned. Before both its ALJs and the Commission members, the agency seeks to provide fair, impartial, and timely adjudication of cases concerning employee safety and health.

Vision Statement

The Review Commission strives to be:

1. An adjudicative body that is—and is recognized for being—objective, fair, prompt, professional, and respected.
2. An agency that creates a body of law through its decisions that defines and clarifies the rights and responsibilities of employers and employees under the Act.
3. A model federal agency with highly effective processes; a highly motivated, qualified, and diverse workforce; and modern information management, communications, and administrative systems.
4. An agency that values teamwork, develops its employees, and strives to improve its performance, service, and value to the American people.

Strategic Goals

The Review Commission has set measurable, outcome-oriented objectives that advance the agency's ability to meet its strategic goals. The agency has included its strategic goals and objectives and their associated measures in its Strategic Plan (fiscal years 2022 through 2026) and as part of its performance budget. OSHRC has four overarching strategic goals:

1. Promptly and fairly resolving the cases before it, including reducing the average age of all pending cases.
2. To the extent consistent with the agency's statutory authority and responsibilities, and consistent with due process requirements, seeking to enhance the transparency of its operations;
3. Promoting diversity, equity, inclusion, accessibility, and organizational excellence, including a culture of professionalism, mutual respect, and organizational pride, and ensuring that staff members are adequately trained and developed; and
4. Managing agency resources in a manner that instills public trust, including using information and technology to monitor, evaluate, and improve programs and processes in order to better accomplish the agency's mission.

II. BUDGET REQUEST SUMMARY

Budget Request Summary

The Review Commission requests an appropriation of \$16,179,000 to continue its mission of adjudicating OSHA-issued workplace safety and health citations, fund essential agency programs, support 63 full-time equivalent (FTE) positions, and maintain our electronic filing (e-filing) system in fiscal year (FY) 2024. This request supports the goal in the Review Commission's Strategic Plan to improve service to the public.

This funding request would also allow us to fulfill our statutory mandate to serve as an administrative court providing fair and prompt resolution of disputes involving OSHA, employers charged with violations of federal safety and health standards, and employees and/or their representatives. The requested level of FTE positions will assist the Review Commission with handling an increased caseload resulting from OSHA's Coronavirus Disease 2019 (COVID-19) enforcement activity and its enforcement guidance on "instance-by-instance" citations.

OSHA updated its Revised National Emphasis Program (NEP) related to the COVID-19 pandemic on June 30, 2022, extending it until further notice. The purpose of the NEP is to ensure that "employees in high-hazard industries are protected from the hazard of contracting SARS-CoV-2." The NEP directs OSHA to target worksites that have workers with increased potential exposure to this hazard. The updated NEP also temporarily increases the inspection goal requiring that 10% (up from 5%) of each OSHA region's total inspections relate to COVID-19 (OSHA-wide this is approximately 3,619 total inspections in FY 2023). The rise in inspections is expected to elevate the number of contested cases docketed with the Review Commission and result in an increased workload.

In addition, on January 26, 2023, OSHA issued new enforcement guidance "to make its penalties more effective in stopping employers from repeatedly exposing workers to life-threatening hazards or failing to comply with certain workplace safety and health requirements." Under the new guidance, OSHA Regional Administrators and Area Office Directors are authorized to cite "instance-by-instance citations" for certain types of "high-gravity" serious violations where the standard supports such a citation. This new guidance will also likely result in more contested cases with the Review Commission.

Our FY 2024 estimated costs, which combined total \$16,179,000 include:

- \$12,309,500 to support direct payroll and related costs for 63 FTE positions. These costs are approximately 76 percent of the Review Commission's budget request;
- \$1,851,000 for office space rent;
- \$475,500 for services provided by other federal agencies, such as support for financial and administrative services provided by the Bureau of the Fiscal Service (BFS) and personnel and payroll services provided by the National Finance Center (NFC);
- \$95,000 to support and maintain OSHRC's e-filing system; and

- \$1,448,000 the remaining amount, to be used for travel expenses for ALJs to hold hearings, court reporting services, management of the language access plan, the annual financial audit, the Federal Information Security Management Act (FISMA) audit, employee training and development, the maintenance and purchase of equipment, to enable the Review Commission to complete its annual performance plan goals and targets, and to implement government-wide and Review Commission specific transparency initiatives.

E-Filing System

The Review Commission maintains an e-filing system that permits the electronic filing and service of litigation documents. The e-filing system supports both the complainant and the respondents as well as agency staff. It also directly supports our annual performance plan's goals and targets, promotes transparency, supports technology improvements, and integrates business process automation to improve accuracy and efficiency in case management practices. This budget request includes \$55,000 for licensing and \$40,000 for customized reporting and continued enhancements to the e-filing system.

Language Access Plan

On February 17, 2011, the U.S. Attorney General issued a Memorandum for Heads of Federal Agencies, among others, regarding the Federal Government's Renewed Commitment to Language Access Obligations Under Executive Order (EO) 13166 (AG Memo). The AG Memo requested that each agency join the Department of Justice (DOJ) in recommitting to the implementation of EO 13166 by: (1) establishing a Language Access Working Group (LAWG) to be responsible for implementing the Executive Order; (2) evaluating and/or updating its Limited English Proficiency (LEP) Plan; (3) establishing a schedule to periodically evaluate and update its LEP services, policies, plans, and protocols; (4) ensuring agency staff can competently identify LEP contact situations and take the necessary steps to provide meaningful access; (5) notifying the public of its LEP policies, plans, and procedures; (6) assessing non-English language proficiency when considering hiring criteria; and (7) collaborating with other agencies for written translations intended for mass distribution.

The Review Commission has made significant progress in the development and implementation of a Language Access Plan (LAP) to fulfill its obligation under EO 13166. In 2011, OSHRC revised its LAP to more efficiently implement key actions required by EO 13166 and Title VI of the Civil Rights Act of 1964. In May 2014, responsibility for the LAP was transferred to the Office of the Chief Administrative Law Judge (OCALJ). A draft updated plan was developed and circulated to all judges and key Review Commission staff members for review and feedback. The Review Commission implemented the revised and updated plan in August 2014. Based on feedback received from the Department of Justice, the LAP was revised again in November 2015. The current LAP has been implemented by OSHRC and a copy was forwarded to DOJ.

The Review Commission's goal is to ameliorate LEP as a barrier to accessing its programs and activities; consequently, the agency is committed to taking reasonable steps through which LEP persons can meaningfully access its services consistent with its fundamental mission and existing

law. To accomplish this important goal, the FY 2024 budget request includes \$10,000 to cover services for translation of documents and interpreters for individuals with LEP. The successful implementation of the Review Commission's Language Access Plan also eliminates barriers for LEP individuals and underrepresented communities to access court proceedings.

Advancing Racial Equity and Support for Underserved Communities and Diversity, Equity, Inclusion, and Accessibility

The Review Commission is committed to ensuring compliance at all levels with orders and memoranda from the Executive Office of the President. Furthermore, the Chairman is dedicated to promoting equity both within the agency and at all points of interaction with the public we serve. The Chairman delegated authority and responsibility to internal leadership to undertake a thorough equity assessment as was directed under EO 13985. Internal leadership is a part of the Equity Team and reports to the Chairman on progress being made to further advance equity within the Review Commission. Although the agency does not have a mandate for producing policy or assistance initiatives for public consumption, the Review Commission has identified opportunities to bolster affirmative equity-enhancing policies in the areas in which the agency interfaces with external and internal stakeholders.

The key areas we identified for our assessment of equitable access and treatment included procurement, internal policy/directives/rules, electronic case management system, language access, adjudication process, and equity training.

Designated senior agency leadership identified opportunities to further equitable treatment in agency programs and actions. Agency leadership seeks to build an iterative system that ensures the Commission equitably implements current agency programs and policies and all future agency endeavors. Additionally, the agency formed a multi-level Equity Team to ensure the equity assessment addressed all agency programs and activities. Consequently, the Review Commission developed an Equity Action Plan and has implemented policies and process improvements in accordance with EO 13985. The Review Commission's Equity Action Plan can be accessed at the following link: [EQUITY - About | OSHRC](#).

The Review Commission is committed to engaging with any underserved community that fits within the scope of the agency's operations. Although the Commission is not primarily public facing, we have identified some external opportunities to promote equity.

In addition, the Review Commission strives to be an agency with a highly motivated, qualified, and diverse workforce. We advance diversity, equity, inclusion, and accessibility (DEIA) within our workforce through our culture, policies, and procedures and are committed to building an inclusive, varied workplace that welcomes all people. In response to EO 14035, we issued a DEIA Strategic Plan which outlines actions we are taking to ensure employees of the Review Commission are treated equitably in all respects of employment. Agency leadership is committed to engaging in interagency initiatives to advance DEIA within our workforce and the federal government.

III. APPROPRIATIONS

FY 2024

Appropriations Language

U.S. OCCUPATIONAL SAFETY AND HEALTH REVIEW COMMISSION

SALARIES AND EXPENSES

*For expenses necessary for the U.S. Occupational Safety and Health Review Commission,
\$16,179,000.*

*(Departments of Labor, Health and Human Services, and Education, and Related Agencies
Appropriations Act, 2023.)*

**IV. PERFORMANCE
BUDGET JUSTIFICATION
BY ORGANIZATIONAL
UNIT**

Performance Budget Justification

The Review Commission has three main functions that operate in concert to achieve the agency’s overarching mission:

1. The Administrative Law Judge function;
2. The Commission-review level function; and
3. The Office of the Executive Director function.

Each unit has staff and resources assigned exclusively to it, but all three units work collaboratively to meet or exceed the Review Commission’s strategic goals. This separation of staff between the ALJs and Commissioners stems principally from the nature of their functions, so that each review level is, in fact and in appearance, independent of the other. The Office of the Executive Director (OEXD) function supports the ALJ and Commission functions, as well as the agency’s strategic planning efforts.

Funding and staffing by function are as follows:

<u>FUNDING (IN MILLIONS) AND FTE POSITIONS BY FUNCTION</u>						
	<u>FY 2022</u>		<u>FY 2023</u>		<u>FY 2024</u>	
	<u>Actual</u>		<u>Enacted</u>		<u>Request</u>	
	<u>\$</u>	<u>FTE</u>	<u>\$</u>	<u>FTE</u>	<u>\$</u>	<u>FTE</u>
Administrative Law Judge	6.7	25	6.7	27	7.0	27
Commission-Review Level	5.0	19	6.8	28	7.2	28
Executive Director	<u>1.9</u>	<u>7</u>	<u>1.9</u>	<u>8</u>	<u>2.0</u>	<u>8</u>
Total	13.6	51	15.4	63	16.2	63

Administrative Law Judge Function

The front line of our agency's delivery of services to the American public rests with the Administrative Law Judges (ALJs). Our ALJs travel around the country to conduct formal hearings and related proceedings in a fair, just, and expeditious manner. This function is directly related to achieving the public service goal of fair, just, and expeditious adjudication of disputes brought before the Review Commission and its ALJs.

The ALJs report through the Chief ALJ to the Chairman of the agency. However, they act independently when arriving at case decisions. The Review Commission's procedural rules are similar to the Federal Rules of Civil Procedure and are designed and administered to secure the just and timely determination of every contested case. In the absence of a specific Review Commission rule, the Federal Rules apply.

Proceedings Before the Review Commission's ALJs

Presentation of an OSHA case before a Review Commission ALJ follows an established procedure designed to provide all parties with a fair hearing and swift adjudication of their case. To contest all or part of a citation, penalty, or abatement period, an employer must file a notice of contest with the Secretary of Labor within 15 working days of receipt of the citation issued by OSHA. An employee and/or employee representative may challenge the abatement period by filing a notice of contest with the Secretary of Labor within 15 working days of receipt of the citation issued by OSHA. The Secretary of Labor transmits the notice of contest and all relevant documents to the Review Commission's Executive Secretary for filing and docketing. After the case is docketed, it is forwarded to the OCALJ for assignment to an ALJ. The case is generally assigned to an ALJ in the Review Commission office closest to where the alleged violation occurred. Thereafter, the ALJ has full responsibility for all pre-hearing and pre-trial procedures and is charged with providing a fair and impartial hearing in an expeditious manner and rendering a decision promptly.

ALJ Operations

The Review Commission strives to expedite the judicial process in a fair and impartial manner and to strengthen its settlement procedures and case management responsibilities by constantly monitoring its Simplified Proceedings and Mandatory Settlement Part programs. The ALJ function handles a caseload that continues to grow in complexity as reflected by the increased number and complexity of OSHA citations over the last several years.

OSHA completed 31,400 inspections in FY 2022 and estimates it will complete 33,790 inspections in FY 2023, and 36,036 inspections in FY 2024. Of particular from the Review Commission's resources perspective, the number of citations contested resulting in docketing is expected to be high compared to historical averages.

While there was a decrease in the number of docketed cases for fiscal years 2020, 2021, and 2022, due to disruptions from the COVID-19 pandemic, as more workers returned to worksites, in-person inspections increased in 2022. This will affect the Review Commission's workload

over the next few years. On June 21, 2021, OSHA issued an emergency temporary standard (ETS) to address healthcare workers' exposure to COVID-19. The healthcare ETS has expired, and OSHA is continuing to work on promulgating a permanent standard and additional enforcement activity is likely. This, in turn, will likely lead to more contested cases docketed with the Review Commission. We expect this rise in inspections to elevate the number of contested cases docketed with the Review Commission and result in an increased workload. Furthermore, because of the disruption caused by the pandemic, docketed cases have remained active at the ALJ level for a longer period of time. OSHA also updated its Revised National Emphasis Program (NEP) related to the COVID-19 pandemic on June 30, 2022, extending it until further notice. The NEP directs OSHA to target worksites that have workers with increased potential exposure to this hazard. The updated NEP also temporarily increases the inspection goal requiring that 10% (up from 5%) of each OSHA region's total inspections relate to COVID-19 (OSHA-wide this is approximately 3,619 total inspections in FY 2023). The rise in inspections is expected to elevate the number of contested cases docketed with the Review Commission and result in an increased workload.

Additionally, on January 26, 2023, OSHA issued new enforcement guidance authorizing OSHA Regional Administrators and Area Office Directors to cite "instance-by-instance citations" for certain types of "high-gravity" serious violations where the standard supports such a citation. The Commission expects that this new guidance will likely result in more contested cases.

Further, OSHA's emphasis in recent years on serious workplace hazards has translated into more complicated cases and more costly trials (e.g., cases involving heat stress, lock-out/tag-out, workplace violence, confined spaces, health care hazards, asbestos, process safety management, construction industry hazards, etc.). Accordingly, over the past few years, the Review Commission has noted an increase in the complexity of cases handled by ALJs. We attribute this trend to two factors. First, as noted above, OSHA has increasingly focused its attention on encouraging more resource and time-intensive high-impact inspections focused on serious workplace hazards. Second, the Department of Labor's Office of the Solicitor is leveraging litigation resources and focusing less on high volume in favor of high-impact strategic cases. The increase in the complexity of cases requires additional Review Commission resources because ALJs must invest a greater amount of time in handling those matters.

The complexity of these cases is the result of the existence of one or a combination of the following:

- Intricacies of the law (complex questions of law);
- Volume of documents, including transcripts;
- Large number of witnesses (including expert witnesses in fields such as engineering, architecture, construction, soil, physics, epidemiology, pathology, neurology, and infectious diseases);
- Number of alleged violations, items, and affirmative defenses (including distinct and separate items); or

- Technical, novel, difficult, or new issues raised, such as cases involving workplace violence, heat stress, asbestos, ergonomics, process safety management, and/or confined spaces.

The Review Commission continues to improve the efficiency of case processing by moving a selected number of cases into Mandatory Settlement Part and Simplified Proceedings programs, both of which are innovative methodologies to speed the settlement or adjudication of pending cases. Our Mandatory Settlement Part was deemed a success by Indiana University in 2013. See https://www.oshrc.gov/assets/1/6/IU_Final_Report.pdf - “*Dispute Resolution in the Administrative Process: Evaluation of the Occupational Safety and Health Review Commission Settlement Part Program*.” The Mandatory Settlement Part has been an important tool in avoiding a backlog of cases at the ALJ level. Furthermore, the Review Commission has ensured that training and regular continuing legal education in mediation and dispute resolution is provided to every ALJ who is expected to serve as a Settlement Judge as reflected in our performance goal in our Strategic Plan for FYs 2022 – 2026.

Under Commission Rule 120, 29 Code of Federal Regulations (CFR) § 2200.120, and where the parties consent, the Chief ALJ may assign a Settlement Judge to a pending proceeding to aid the parties in disposing of the case. Where the aggregate amount of the penalty sought by the Secretary of Labor is \$205,000 or greater, the Mandatory Settlement Part procedure goes into effect. The Settlement Judge appointed by the Chief ALJ has full control of the proceeding and may require that the parties’ representatives be accompanied at the settlement conference by officials having full settlement authority. This procedure has aided the Commission in disposing of some extremely complex cases, with the approval of all parties (if settlement efforts are not successful, the case is assigned to a different ALJ for trial).

The Simplified Proceedings process includes cases in which the total proposed penalty is not more than \$20,000, or up to \$30,000 when found eligible by the Chief ALJ. The process allows parties with relatively simple cases to have their “day in court” unencumbered by formal procedural and evidentiary rules, while ensuring that due process requirements are maintained. Under this process, a business, with or without counsel, can present its case before an ALJ and receive a prompt decision. Most paperwork, including legal filings, is eliminated so that justice can be rendered swiftly and inexpensively. The process reduces the time and legal expenses to employers contesting relatively small penalty cases.

Twenty-one percent of new cases were assigned to Simplified Proceedings in FY 2022. The Review Commission projects that approximately 29 percent of new cases will be assigned to the Simplified Proceedings process in FYs 2023 and 2024.

Simplified Proceedings Case Activity

FYs 2019 through 2024

	FY 2019 <u>Actual</u>	FY 2020 <u>Actual</u>	FY 2021 <u>Actual</u>	FY 2022 <u>Actual</u>	FY 2023 <u>Estimate</u>	FY 2024 <u>Estimate</u>
New Cases	2,017	1,845	1,365	1,510	2,020	2,100
Cases Assigned to Simplified Proceedings	550	470	178	318	600	600

Anticipated ALJ Workload for FY 2024

Four major factors impact the ALJs’ workload: (1) the quantity, magnitude, and nature of the cases; (2) the utilization of the Simplified Proceedings process; (3) the time and effort required, and complexity of cases assigned to the Mandatory Settlement Part process; and (4) the number of trials held and their length and complexity.

The number of OSHA inspections and their focus also affects the Review Commission’s caseload. In particular, high hazard workplace inspections – especially those with high injury and illness rates, fatalities, repeat offenders, and egregious violations – tend to result in more complex and contentious cases, which consume extensive time. The discovery process is lengthy and time-consuming, motion practice is expanded, legal research and decision-writing time is protracted, and, of necessity, the trial process is elongated and complicated. Additionally, these cases tend to result in larger contestable proposed penalties, which leads to more cases being contested. Moreover, OSHA’s emphasis on COVID-19 related inspections will likely lead to additional cases raising complex and novel issues.

ALJ Workloads

The following table provides actual ALJ workloads for FYs 2019 through 2022 and estimated workloads for FYs 2023 and 2024.

	FY 2019 <u>Actual</u>	FY 2020 <u>Actual</u>	FY 2021 <u>Actual</u>	FY 2022 <u>Actual</u>	FY 2023 <u>Estimate</u>	FY 2024 <u>Estimate</u>
OSHA Inspections¹:	33,401	21,674	24,355	31,400	33,790	36,036
Administrative Law Judge Workload:						
A. Case Inventory, Start of Year	1,064	1,248	1,259	1,201	1,165	1,290
B. New Cases	2,017	1,845	1,365	1,510	2,020	2,100
C. Total Caseload	3,081	3,093	2,624	2,711	3,185	3,390
D. Disposals						
(1) With Hearing	35	44	14	24	35	45
(2) Mandatory Settlement Conferences	35	28	59	31	60*	60*
(3) Without Hearing	1,763	1,762	1,350	1,491	1,800	1,950
E. Total Dispositions	1,833	1,834	1,423	1,546	1,895	2,055
Total Case Inventory, End of Year	1,248	1,259	1,201	1,165	1,290	1,335

*This number anticipates an increase due to COVID-19 cases.

¹Provided by OSHA

Staffing

The OCALJ requires 27 FTE positions in FY 2024 to support the workload based on OSHA’s planned inspections and contest rates in the coming years and to meet performance targets, given the number and complexity of the cases anticipated.

The complexity of cases increases the time required to resolve cases at the ALJ level. Factors leading to the increased complexity of cases include the Office of the Solicitor’s decision to leverage litigation resources and focus away from high-volume cases in favor of high-impact strategic cases. Processing complex cases requires the ALJs to invest a greater amount of time in handling the matters and places an increased demand on the FTE positions assigned to handle the cases. This request supports the goal in the Review Commission’s Strategic Plan for FYs 2022 – 2026 to improve service to the public.

The Chief ALJ manages the effort to meet the agency’s goals at the ALJ level including:

- Reviews and screens all docketed cases, determines their level of complexity, and assigns each case to an ALJ;
- Exercises strong management and monitors the progress of cases in order to ensure that performance goals are met;
- Supervises judicial and administrative staff and ensures that they receive appropriate training to perform their responsibilities; and
- Examines judicial case management practices of other entities to ensure that OSHRC’s procedures are as efficient as possible.

<u>FUNDING (IN MILLIONS) AND FTE POSITIONS</u>						
	<u>FY 2022 Actual</u>		<u>FY 2023 Enacted</u>		<u>FY 2024 Request</u>	
	<u>\$</u>	<u>FTE</u>	<u>\$</u>	<u>FTE</u>	<u>\$</u>	<u>FTE</u>
Administrative Law Judge Function	6.7	25	6.7	27	7.0	27

Strategic Plan and Outcome Goals

In accordance with Public Law 111-352, the Government Performance and Results Modernization Act of 2010 (GPRA Modernization Act of 2010) and Public Law 103-62, the Government Performance and Results Act (GPRA) of 1993, the Review Commission revised its Strategic Plan for FYs 2022 – 2026. The revised plan focuses on four goals: (1) Promptly and fairly resolving the cases before it, including reducing the average age of all pending cases; (2) To the extent consistent with the agency’s statutory authority and responsibilities, and consistent with due process requirements, seeking to enhance the transparency of its operations; (3) Promoting diversity, equity, inclusion, accessibility, and organizational excellence, including a culture of professionalism, mutual respect, and organizational pride, and ensuring that staff members are adequately trained and developed; and (4) Managing agency resources in a manner that instills public trust, including using information and technology to monitor, evaluate, and improve programs and processes in order to better accomplish the agency’s mission. It also identifies innovative and comprehensive strategies to achieve strategic goals and objectives. The Strategic Plan includes the following goals and outcomes related to this function:

<u>Public Service Goal</u>	<u>Outcome Goals</u>
<p><i>Promptly and fairly resolving the cases before it, including reducing the average age of all pending cases.</i></p>	<ul style="list-style-type: none"> • Develop and implement case management practices that will minimize the average age of all pending ALJ-level cases. • Ensure that a significant proportion of both complex and non-complex cases at the ALJ level are resolved within one year to 20 months from docketing.² • Provide training for all agency personnel, including ALJs and Commission members, on diversity, equity, inclusion, and accessibility considerations in the workplace and in interacting with and serving the public.

OCALJ will advance this strategic goal through the following strategies:

1. Expedite the assignment of cases to ALJs.
2. Use objective criteria to designate complex cases and track the processing of these cases.

²Complex cases have one or more of the following characteristics: various intricacies of the law; more than two parties; violations characterized as willful and/or repeat; high volume of documents, including transcripts; large number of witnesses (including expert witnesses in such fields as engineering, architecture, construction, soil, physics, epidemiology, pathology, neurology, and infectious diseases); multiple days of hearing; high number of alleged violations, citation items (including distinct and separate items), and affirmative defenses; technical, difficult or new standards raised; novel issues or issues of first impression; or extensive pre-trial discovery.

3. Closely monitor the management of cases and improve case management information systems and reports.
4. Conduct early review and screening of potentially complex cases to expedite the disposition of such cases.
5. Provide training to all ALJs on a variety of subjects, including technical and legal issues, legal writing, case management, and ADR to help them develop services and processes equal to the very best in judicial arenas. In addition, provide ALJs and support staff with training on diversity, equity, inclusion, and accessibility considerations in the workplace and in interacting with and serving the public.
6. Continue to use a team of ALJs to handle, on a rotational basis, extremely complex cases and assign appropriate staff to timely process and monitor such cases, including settlement discussions.

The following are the performance goals for the OCALJ for FYs 2020 through 2024:

<u>Outcome Goals</u>	<u>Performance Measures</u>	FY 2020 Actual (Target)	FY 2021 Actual (Target)	FY 2022 Actual (Target)	FY 2023 (Target)	FY 2024 (Target)
Develop and implement case management practices that will minimize the average age of all pending ALJ level cases.	Whether new case management practices have been developed and implemented.	98% of cases received in our e-file system as a result of scheduling orders directing e-filing and the implementation of mandatory e-filing in June 2019. Target not met (100% of all pleadings received in our electronic filing system would have been initiated electronically)	98% of cases received in our e-file system as a result of scheduling orders directing e-filing and the implementation of mandatory e-filing in June 2019. Target not met (100% of all pleadings received in our electronic filing system would have been initiated electronically)	98% of cases received in our electronic filing system as a result of scheduling orders directing e-filing and the implementation of mandatory e-filing in June 2019. Target not met (100% of all pleadings received in our electronic filing system would have been initiated electronically.)	100% of all pleadings received in our electronic filing system would have been initiated electronically.	100% of all pleadings received in our electronic filing system would have been initiated electronically.

<u>Outcome Goals</u>	<u>Performance Measures</u>	FY 2020 Actual (Target)	FY 2021 Actual (Target)	FY 2022 Actual (Target)	FY 2023 (Target)	FY 2024 (Target)
Ensure that a significant proportion of both complex and non-complex cases at the ALJ level are resolved within one year to 20 months from docketing. ³	-Percent of simplified cases disposed of within one year at ALJ level.	97% Target met (Dispose of 95% of simplified cases within one year.)	94% Target not met (Dispose of 95% of simplified cases within one year.)	New targets developed to support the Strategic Plan for FYs 2022 – 2026.	New targets developed to support the Strategic Plan for FYs 2022 – 2026.	New targets developed to support the Strategic Plan for FYs 2022 – 2026.
	-Percent of conventional cases disposed of within 17 months at ALJ level.	96% Target met (Dispose of 90% of conventional cases within 17 months.)	93% Target met (Dispose of 90% of conventional cases within 17 months.)			
	-Percent of settlement part cases disposed of within 19 months at ALJ level.	96% Target met (Dispose of 95% of settlement part cases within 19 months.)	95% Target met (Dispose of 95% of settlement part cases within 19 months.)			
	-Percent of complex cases disposed of within 20 months at ALJ level.	94% Target not met (Dispose of 95% of complex cases within 20 months.)	89% Target not met (Dispose of 95% of complex cases within 20 months.)			

³Except for mandatory settlement cases, which are assigned by the Chief ALJ upon receipt from the Office of the Executive Secretary, ALJs are not assigned cases until initial pleadings have been filed. This assignment generally occurs approximately 60 days after the case has been docketed due to the parties' frequent requests for extensions of time for filing initial pleadings.

<u>Outcome Goals</u>	<u>Performance Measures</u>	FY 2020 Actual (Target)	FY 2021 Actual (Target)	FY 2022 Actual (Target)	FY 2023 (Target)	FY 2024 (Target)
Ensure that a significant proportion of both complex and non-complex cases at the ALJ level are resolved within one year to 20 months from docketing. ⁴	<p>-Percent of simplified cases disposed of within one year at the ALJ level.</p> <p>-Percent of non-complex conventional cases disposed of within 17 months at the ALJ level.</p> <p>-Percent of settlement part cases disposed of within 19 months.</p> <p>-Percent of complex cases disposed of within 20 months at the ALJ level.</p>	New targets developed to support the Strategic Plan for FYs 2022 – 2026.	New targets developed to support the Strategic Plan for FYs 2022 – 2026.	<p>94% Target met (Dispose of 90 percent of simplified cases within one year.)</p> <p>89% Target not met (Dispose of 95 percent of conventional cases within 17 months.)</p> <p>91% Target not met (Dispose of 95 percent of settlement part cases within 19 months.)</p> <p>87% Target met (-Dispose of 85 percent of complex cases within 20 months.)</p>	<p>-Dispose of 90 percent of simplified cases within one year.</p> <p>-Dispose of 95 percent of conventional cases within 17 months.</p> <p>-Dispose of 95 percent of settlement part cases within 19 months.</p> <p>-Dispose of 90 percent of complex cases within 20 months.</p>	<p>-Dispose of 90 percent of simplified cases within one year.</p> <p>-Dispose of 95 percent of conventional cases within 17 months.</p> <p>-Dispose of 95 percent of settlement part cases within 19 months.</p> <p>-Dispose of 90 percent of complex cases within 20 months.</p>

⁴Except for mandatory settlement cases, which are assigned by the Chief Judge upon receipt from the Office of the Executive Secretary, judges are not assigned cases until initial pleadings have been filed. This assignment generally occurs approximately 60 days after the case has been docketed due to the parties' frequent requests for extensions of time for filing initial pleadings.

<u>Outcome Goals</u>	<u>Performance Measures</u>	FY 2020 Actual (Target)	FY 2021 Actual (Target)	FY 2022 Actual (Target)	FY 2023 (Target)	FY 2024 (Target)
Provide training opportunities to (1) ALJs and (2) all attorneys and support staff, in order to enhance their capabilities on technical and legal issues, legal writing, ethics, and technology and case management.	Increased attendance and participation in training opportunities, internal and/or external, for ALJs and all attorneys and support staff.	Training opportunities were provided to all ALJs, attorneys, and support staff. Target met (Attendance and participation in at least one training opportunity devoted to management of electronic documents prior to and during hearings (i.e., e-filing, electronic discovery, or electronic exhibits.))	Training opportunities were provided to all ALJs, attorneys, and support staff. Target met (Attendance and participation in at least one training opportunity devoted to management of electronic documents prior to and during hearings (i.e., e-filing, electronic discovery, or electronic exhibits.))	Training opportunities were provided to all ALJs, attorneys, and support staff. Target met (Attendance and participation in at least one training opportunity devoted to management of electronic documents prior to and during hearings (i.e., e-filing, electronic discovery, or electronic exhibits.))	Attendance and participation in at least one training opportunity devoted to management of electronic documents prior to and during hearings (i.e., e-filing, electronic discovery, or electronic exhibits).	Attendance and participation in at least one training opportunity devoted to management of electronic documents prior to and during hearings (i.e., e-filing, electronic discovery, or electronic exhibits).

Commission-Review Level Function

OSHRC's three Commission members are appointed by the President and confirmed by the Senate, and they serve as an appellate level of review. The Commission members review and decide cases contested under the Act, following an initial decision by an ALJ. This appellate level of review must be prompt, fair, and protective of the parties' rights.

Proceedings Before the Commission

Disputed enforcement proceedings are tried initially before the Review Commission's ALJs. The Commission members may then review an ALJ's decision. Each Commission member has the discretionary authority to direct for review by the full Commission any case decided by any ALJ. Absent such a direction for review, the ALJ's decision becomes a final order of the Review Commission by operation of law. Once a case is directed for review, the Commission members have the authority to review all aspects of a case, including the ALJ's findings of fact, conclusions of law, penalty assessments, and abatement orders.

Each Commissioner has a counsel who is responsible for assisting and providing advice on all pending matters, determining whether cases are appropriate for Commission review, and the proper disposition of motions and cases. The counsel also aids the Commissioner in researching, drafting, and editing opinions after the Commission votes on how to decide a case.

The Office of the General Counsel (OGC) provides legal advice and assists the Review Commission in complying with the various laws, regulations, and executive orders governing its operations. OGC has primary responsibility for preparing and presenting factual and legal analyses to assist Commission members in adjudicating appeals and in their issuance of opinions; it also provides legal advice on ethics, the Freedom of Information Act, Equal Employment Opportunity (EEO), procurement, appropriations, the Privacy Act, and other matters.

The Commission function also includes the work of the Commission's Office of the Executive Secretary, which is responsible for docketing cases at both the ALJ and Commission levels. The Executive Secretary serves as the Records Management Officer for the agency in coordination with the National Archives and Records Administration (NARA).

Commission-Review Level Operations

The Commissioners strive to minimize the time expended for deciding cases. Aided by improved case management technology, the Commission seeks to strengthen the internal processes by which a case is prepared for decision. Two external factors that have a major impact on the operations of the Commission are: (1) the presence of a quorum; and (2) the size and complexity of cases, including the novelty of the issues presented for review.

The Act requires a quorum of two Commissioners to take official action, therefore decisions require the affirmative vote of two Commissioners. During periods when the Commission lacks a quorum, no cases can be decided. If there are only two Commissioners, it may be more difficult

to reach agreement sufficient to dispose of some cases. In cases in which such an agreement cannot be reached, deadlocks may result, and action on important issues and issuance of some pending decisions may be delayed.

The Commission-review level operated without a full complement of Commissioners for all of FY 2022. Nevertheless, the Commission-review level resolved 12 cases and met all of its GPRA goal targets by the end of FY 2022. The Commission-review level is continuing to operate with only two Commissioners into FY 2023.

Historically, the number of safety and health inspections carried out by OSHA each year, the nature of those inspections, and the rate at which employers choose to contest the citations issued and penalties proposed by OSHA all have an impact on the number of cases before the Review Commission. And more cases before the ALJs can translate into more cases at the Commission review-level. In addition, OSHA's emphasis during recent years on more serious workplace hazards as well as the increase in proposed penalties has translated to more contested cases, more complex cases and longer, more costly trials. Consequently, the complexity and size of the cases at the ALJ and Commission-review levels have increased significantly in recent years.

Anticipated Commission-Review Level Workload for FY 2024

The Commission is focused on solid case production, including deciding and issuing decisions in older cases to reduce case inventory. However, because of an increase in the number and complexity of cases that go to hearings before the Review Commission's ALJs (e.g., imposition of higher penalties, and/or more complex technical issues), the result may be that parties petition for review in a higher percentage of cases.

In FY 2022, the Commission had 16 cases pending on its docket at the beginning of the year. It received 15 new cases and resolved 12 cases by year-end. Thus, the Commission entered FY 2023 with 19 cases pending review. During FY 2023, the Commission estimates receiving 15 new cases and resolving 15 cases, ending FY 2023 with 19 cases pending review. For FY 2024, the Commission anticipates receiving 12 new cases and disposing of 13 cases, ending that year with an inventory of 18 cases.

Commission-Review Level Case Activity

	FY 2019 <u>Actual</u>	FY 2020 <u>Actual</u>	FY 2021 <u>Actual</u>	FY 2022 <u>Actual</u>	FY 2023 <u>Estimate</u>	FY 2024 <u>Estimate</u>
New Cases:						
Cases Directed for Review:	8	22	8	14	13	10
Other New Cases:						
Interlocutory Appeals:	0	2	0	0	0	0
Remands:	2	5	0	1	2	2
Other:	0	0	0	0	0	0
Total Other New Cases:	2	7	0	1	2	2
Total New Cases:	10	29	8	15	15	12
Case Inventory from Prior Year:	22	19	23	16	19	19
Total Caseload:	32	48	31	31	34	31
Dispositions:	13	25	15	12	15	13
Case Inventory, End of Year:	19	23	16	19	19	18

Staffing

The Commission-review function requires 28 FTE positions in FY 2024. This includes 9 FTE positions for the three Commissioners and their immediate staff, 14 FTE positions for the Office of General Counsel, and 5 FTE positions for the Office of the Executive Secretary.

<u>FUNDING (IN MILLIONS) AND FTE POSITIONS</u>						
	<u>FY 2022 Actual</u>		<u>FY 2023 Enacted</u>		<u>FY 2024 Request</u>	
	<u>\$</u>	<u>FTE</u>	<u>\$</u>	<u>FTE</u>	<u>\$</u>	<u>FTE</u>
Commission Review Level Function	5.0	19	6.8	28	7.2	28

Strategic Plan and Outcome Goals

In accordance with Public Law 111-352, the Government Performance and Results Modernization Act of 2010 (GPRA Modernization Act of 2010) and Public Law 103-62, the Government Performance and Results Act (GPRA) of 1993, the Review Commission revised its Strategic Plan for FY 2022 through FY 2026. The revised plan focuses on four goals: (1) Promptly and fairly resolving the cases before it, including reducing the average age of all pending cases; (2) To the extent consistent with the agency’s statutory authority and responsibilities, and consistent with due process requirements, seeking to enhance the transparency of its operations; (3) Promoting diversity, equity, inclusion, accessibility, and organizational excellence, including a culture of professionalism, mutual respect, and organizational pride, and ensuring that staff members are adequately trained and developed; and (4) Managing agency resources in a manner that instills public trust, including using information and technology to monitor, evaluate, and improve programs and processes in order to better accomplish the agency’s mission. It also identifies innovative and comprehensive strategies to achieve strategic goals and objectives. The Review Commission’s Strategic Plan for FYs 2022 – 2026 includes the following goals and outcomes related to this function:

<u>Public Service Goal</u>	<u>Outcome Goals</u> ⁵
<i>Promptly and fairly resolving the cases before it, including reducing the average age of all pending cases.</i>	<ul style="list-style-type: none"> • Resolve all priority cases at the agency in a timely manner.⁶ • Develop and implement case management practices that will minimize the average age of all pending Commission review-level cases. • Reduce the average age of all Commission review-level cases to 18 months from direction for review.⁷ • Ensure that no more than 20 percent of Commission review-level cases are older than two years and ensure that no cases are older than three years in age from direction for review.

The Commission will advance its strategic goal through the following strategies:

1. Focus on reducing the average age of the oldest pending cases and of all pending cases, with the immediate aim of developing and implementing improvements in case management.
2. Expedite the disposition of priority cases that are designated as requiring rapid action (e.g., court remands, interlocutory reviews, and certain FRCP 60(b) cases), such that they are disposed of within six months of designation.
3. Expand knowledge management and research tools to accelerate the preparation of cases and issuance of decisions.
4. Identify and provide training opportunities to all agency attorneys and support staff that will enhance their capabilities, such as training on technical and legal issues, legal writing, ethics, technology and case management, diversity, equity, inclusion, and accessibility considerations in the workplace, and in interacting with and serving the public.
5. Use individual performance standards that support priorities in the Review Commission’s strategic and annual performance plans.

⁵These goals will not apply to cases that are stayed at the Review Commission because criminal law investigations or prosecutions are being pursued.

⁶Priority cases include Federal Rule of Civil Procedure (FRCP) 60(b) cases, Commission Rule (CR) 101(a) defaults, court remands, and interlocutory reviews. However, some FRCP 60(b) and CR 101(a) cases – those with significant threshold issues, for instance – are not treated as priority cases because of the complexity of those issues. Also, where the parties have indicated intent to settle a priority case, the time frame will be tolled.

⁷External factors, such as lack of a quorum or recusal of a Commissioner, may adversely affect the Review Commission’s ability to meet these goals. See additional “External Factors” on page 13 of the Strategic Plan.

6. Implement appropriate changes to the agency’s procedures to expedite case processing.

The following are the performance goals for the Commission-Review Level for FYs 2020 through 2024:

<u>Outcome Goals</u>	<u>Performance Measures</u>	FY 2020 Actual (Target)	FY 2021 Actual (Target)	FY 2022 Actual (Target)	FY 2023 (Target)	FY 2024 (Target)
Resolve all priority cases at the agency in a timely manner.	Percent of priority cases disposed of within 6 months.	100% Target met (100%)	100% Target met (100%)	100% Target met (Dispose of 100 percent of all priority cases within 6 months of designation.)	Dispose of 100 percent of all priority cases within 6 months of designation.	Dispose of 100 percent of all priority cases within 6 months of designation.
Develop and implement case management practices that will minimize the average age of all pending Commission review-level cases.	Whether case management practices have been developed and implemented.	New case management practices were implemented. Target met (Implement new case management practices.)	Implementation of case management practices were evaluated. Target met (Evaluate implementation of case management practices.)	Case management practices were fully implemented. Target met (Full implementation of case management practices.)	Full implementation of case management practices.	Full implementation of case management practices.
Reduce the average age of all pending Review-level cases to 20 months from direction for review.	Average age of all pending Review-level cases.	Average age of all Review-level cases reduced to 14 months. Target met (Average age of all Review-level cases reduced to 22 months.)	Average age of all Review-level cases reduced to 15 months. Target met (Average age of all Review-level cases reduced to 20 months.)	New goal developed to support the Strategic Plan for FYs 2022 – 2026.	New goal developed to support the Strategic Plan for FYs 2022 – 2026.	New goal developed to support the Strategic Plan for FYs 2022 – 2026.

<u>Outcome Goals</u>	<u>Performance Measures</u>	FY 2020 Actual (Target)	FY 2021 Actual (Target)	FY 2022 Actual (Target)	FY 2023 (Target)	FY 2024 (Target)
Ensure that the average age of all Commission review-level cases is no greater than 18 months from direction for review.	Average age of all pending Commission review-level cases.	New goal developed to support the FY 2022 – FY 2026 Strategic Plan.	New goal developed to support the FY 2022 – FY 2026 Strategic Plan.	The average age of all Commission-review level cases was reduced to 12 months. Target met (Average age of all pending Commission review-level cases reduced to 22 months.)	Average age of all pending Commission review-level cases reduced to 21 months.	Average age of all pending Commission review-level cases reduced to 20 months.
Reduce the number of Review-level cases over two years in age.	Percent reduction in the number of Review-level cases over two years in age.	Share of Review-level cases over two years in age was 25% of all cases. Target met (Reduce the share of Review-level cases over two years in age as follows: No greater than 25% of all cases.)	Share of Review-level cases over two years in age was 19% of all cases. Target met (Reduce the share of Review-level cases over two years in age as follows: No greater than 20% of all cases.)	New goal developed to support the Strategic Plan for FYs 2022 – 2026.	New goal developed to support the Strategic Plan for FYs 2022 – 2026.	New goal developed to support the Strategic Plan for FYs 2022 – 2026.

<u>Outcome Goals</u>	<u>Performance Measures</u>	FY 2020 Actual (Target)	FY 2021 Actual (Target)	FY 2022 Actual (Target)	FY 2023 (Target)	FY 2024 (Target)
Ensure that no more than 20 percent of Commission review-level cases are older than two years and ensure that no cases are older than three years from direction for review	Percentage of Commission review-level cases that are older than two years and percentage of cases older than three years.	New goal developed to support the Strategic Plan for FYs 2022 – 2026.	New goal developed to support the Strategic Plan for FYs 2022 – 2026.	<p>The share of Commission-review-level cases over two years in age was 19% of all cases.</p> <p>Target met (Reduce the percent of Review-level cases over two years in age as follows: No greater than 20% of all cases.)</p> <p>Number of Commission Review-level cases exceeding three years was zero.)</p> <p>Target met (Reduce the number of Commission review-level cases exceeding three years to zero.)</p>	<p>-Reduce the percent of Commission review-level cases over two years in age as follows: No greater than 20% of all cases.</p> <p>-Reduce the number of Commission review-level cases exceeding three years to zero.</p>	<p>-Reduce the percent of Commission review-level cases over two years in age as follows: No greater than 20% of all cases.</p> <p>-Reduce the number of Commission review-level cases exceeding three years to zero.</p>

Office of the Executive Director Function

The Office of the Executive Director (OEXD) provides administrative support services for the entire Review Commission to assure success in fulfilling its mission.

Administrative Operations

The Executive Director function provides operational management for the agency, including procurement, information technology (IT) management, human resources management, budget and financial management, and administrative services. The day-to-day tasks of this office are led by the Executive Director and include:

- Supporting the development and implementation of the agency's strategic goals;
- Maintaining and enhancing a website to provide the public with greater access to Review Commission information;
- Providing agency-wide support in the areas of finance, budget, procurement and contracting, human resources, equal opportunity, and general administrative services;
- Providing personnel, payroll, benefits, reproduction, mail services, and travel assistance to agency employees;
- Procuring goods and services, maintenance and needed repairs of equipment, training, reference materials, supplies, and office space;
- Implementing case management and administrative systems through IT hardware and software;
- Developing and maintaining computer systems and information security enhancements; and
- Enhancing telecommunications and improving technology efficiency and effectiveness.

Anticipated OEXD Workload for FY 2024

During FY 2024, OEXD staff will:

- Implement the Administration's government-wide performance initiatives;
- Improve financial and administrative services and enhance integrity and efficiency of the agency's financial management and human resources programs;
- Provide greater online access to information generated by OSHRC to citizens and other interested parties as a part of the Review Commission's transparency initiatives;

- Provide faster and better public access to, and dissemination of, Review Commission information and decisions through the use of modern automated technology and techniques, including the agency's website;
- Improve computer information security based on an evaluation of the Review Commission's computer security, compliance with the various security acts, and the implementation of corrections or improvements in any weaknesses found as a result of evaluations;
- Execute the Continuity of Operations Plan (COOP) including maintenance, testing, and (if needed) implementation of the COOP for the National office, and the regional offices in Denver and Atlanta;
- Make use of Knowledge Management practices to ensure that employees are better prepared to perform their work and to provide for continuity and succession planning; and
- Review IT programs to determine ways to achieve cost savings.

During the past few fiscal years, the Review Commission has made great strides with improving the quality of its web-based transparency initiatives, including enhancing its website to make more information available to internal and external stakeholders, and undertaking other activities in support of our mission. We will continue these efforts in FYs 2023 and 2024.

The e-filing system was deployed and fully implemented several years ago. Since being deployed, we have continued to enhance and customize the e-filing system to better support the user community. This budget request includes \$95,000 for continued support (\$55,000 for licensing/hosting and \$40,000 for enhancements) of the e-filing system. Effective management of this e-filing system is demonstrative proof of the agency's commitment to using technology to improve accuracy and efficiency in its case management practices.

Staffing

The Executive Director function requires 8 FTE positions in FY 2024. The Office has responsibility for implementing the Administration's performance improvement efforts, including implementing and monitoring strategic and performance plans and reports, budget, and performance integration, human capital development, and E-government.

FUNDING (IN MILLIONS) AND FTE POSITIONS BY FUNCTION

	<u>FY 2022</u>		<u>FY 2023</u>		<u>FY 2024</u>	
	<u>Actual</u>		<u>Enacted</u>		<u>Request</u>	
	<u>\$</u>	<u>FTE</u>	<u>\$</u>	<u>FTE</u>	<u>\$</u>	<u>FTE</u>
Executive Director Function	1.9	7	1.9	8	2.0	8

Strategic Plan and Outcome Goals

In accordance with Public Law 111-352, the Government Performance and Results Modernization Act of 2010 (GPRA Modernization Act of 2010) and Public Law 103-62, the Government Performance and Results Act (GPRA) of 1993, the Review Commission revised its Strategic Plan for FY 2022 through FY 2026. The revised plan focuses on four goals: (1) Promptly and fairly resolving the cases before it, including reducing the average age of all pending cases; (2) To the extent consistent with the agency’s statutory authority and responsibilities, and consistent with due process requirements, seeking to enhance the transparency of its operations; (3) Promoting diversity, equity, inclusion, accessibility, and organizational excellence, including a culture of professionalism, mutual respect, and organizational pride, and ensuring that staff members are adequately trained and developed; and (4) Managing agency resources in a manner that instills public trust, including using information and technology to monitor, evaluate, and improve programs and processes in order to better accomplish the agency’s mission. It also identifies innovative and comprehensive strategies to achieve strategic goals and objectives. The Review Commission’s Strategic Plan for FYs 2022 – 2026 includes the following goals and outcomes related to this function:

<u>Public Service Goal</u>	<u>Outcome Goals</u>
<i>To the extent consistent with the agency’s statutory authority and responsibilities, and consistent with due process requirements, seeking to enhance the transparency of its operations.</i>	<ul style="list-style-type: none"> • Ensure that the agency’s website provides equitable access to all users and serves as a useful repository for information about the agency and its adjudicatory activities. • Broaden the agency’s outreach activities to the regulated community. • Ensure that the agency’s electronic filing (e-filing) system provides equitable access to all users.

<p><i>Promoting diversity, equity, inclusion, accessibility, and organizational excellence, including a culture of professionalism, mutual respect, and organizational pride, and ensuring that staff members are adequately trained.</i></p>	<ul style="list-style-type: none"> • Recruit, invest in, and value all employees through professional development, workplace flexibilities, fair treatment, and recognition. • Provide training for all agency personnel, including ALJs and Commission members, on diversity, equity, inclusion, and accessibility considerations in the workplace and in interacting with and serving the public. • Ensure that all agency personnel are aware of the agency’s mission and how they contribute to its accomplishments. • Provide training opportunities to all agency personnel, including ALJs and Commission members. In particular, provide training to all attorneys and support staff in order to enhance their capabilities on technical and legal issues, legal writing, ethics, and technology and case management. • Integrate knowledge management processes into a plan to capture, share, and generate knowledge that establishes a unified network of personnel, processes, and technology to enhance all aspects of essential agency operations.
<p><i>Managing agency resources in a manner that instills public trust, including using information and technology to monitor, evaluate, and improve programs and processes in order to better accomplish the agency’s mission.</i></p>	<ul style="list-style-type: none"> • Develop and present an annual budget and performance plan that clearly establishes how the agency will accomplish government-wide management priorities, agency-wide goals, and organizational goals. • Improve technology infrastructure through efficiencies and investments (e.g., training, equipment, services) to support the effective use of broadband, cyber security, and energy efficiency. • Maintain and enhance secure electronic information systems for case management, legal research, public access to data through the internet, and continuity of the agency’s operations at all times. • Conduct all internal and external agency business in an ethical and timely manner.

The OEXD will advance its strategic goals through the following strategies:

1. Develop and present an annual budget and performance plan that clearly presents how the agency will accomplish government-wide management priorities, agency-wide goals, and organizational goals.
2. Provide greater public access to Review Commission activities, information, and decisions, including education and outreach for Limited English Proficiency (LEP) individuals and posting procedural decisions and non-dispositive orders on the agency's website.
3. Create a culture that incorporates core values and provides a work environment that encourages diversity and workplace policies and programs that enable employees to excel, including special emphasis programs (e.g., People with Disabilities, Federal Women's Program, Hispanic Employment Program), telework policies, family-friendly policies, and wellness programs.
4. Develop and implement recruitment strategies to ensure a highly qualified, diverse, and inclusive workforce.
5. Enhance employee development and learning opportunities by devoting available budgetary resources to staff training including courses on diversity, equity, inclusion, and accessibility considerations in the workplace and in interacting with and serving the public.
6. Streamline IT operations, simplify day-to-day management and maintenance, and create a more stable operating environment by eliminating duplication, investing in standardized platforms, realizing cloud first opportunities, and minimizing storage and application sprawl and locally housed servers.
7. Improve network/communications performance to ensure all personnel have seamless access to systems necessary to perform their work in a timely fashion.
8. Maintain an information security and privacy management program through acceptance and deployment of appropriate federally mandated guidelines and enforcing active policies. Ensure that FISMA audits are performed annually.
9. Implement knowledge management practices to ensure that knowledge affecting essential agency programs and operations is captured, shared, and generated on a continuous basis.

The following are the OEXD performance goals for FYs 2020 through 2024:

<u>Outcome Goals</u>	<u>Performance Measures</u>	FY 2020 Actual (Target)	FY 2021 Actual (Target)	FY 2022 Actual (Target)	FY 2023 (Target)	FY 2024 (Target)
Ensure that the Review Commission’s website is accessible to people with disabilities and serves as a useful repository for information about the agency and its adjudicatory activities.	Timeliness of postings to agency website.	Materials were posted to the agency’s website within one day after issuance. Target met (All material posted no later than 4 days after issuance.)	Materials were posted to the agency’s website within one day after issuance. Target met (All material posted no later than 4 days after issuance.)	New goal developed to support the Strategic Plan for FYs 2022 – 2026.	New goal developed to support the Strategic Plan for FYs 2022 – 2026.	New goal developed to support the Strategic Plan for FYs 2022 – 2026.
Ensure that the agency’s website provides equitable access to all users and serves as a useful repository for information about the agency and its adjudicatory activities.	-Timeliness of postings to agency website. -Perform annual vendor-initiated review of the agency’s webpage for compliance with Section 508 of the Americans with Disabilities Act.	New goal developed to support the Strategic Plan for FYs 2022 – 2026.	New goal developed to support the Strategic Plan for FYs 2022 – 2026.	-Materials were posted to the agency’s website within 2 days after issuance. -Accessibility information and guidelines were posted on the agency’s website. Target met (-All material to be posted no later than 4 days after issuance.) -Conduct periodic reviews of the agency’s website to seek alternative methods for ensuring equitable access to all users.)	-All material to be posted no later than 3 days after issuance. -Research opportunities for developing a mobile version of the agency’s website to optimize access using smartphones or similar mobile devices.	-All material to be posted no later than 2 days after issuance. -Conduct periodic reviews of the agency’s website to seek alternative methods for ensuring equitable access to all users.

<u>Outcome Goals</u>	<u>Performance Measures</u>	FY 2020 Actual (Target)	FY 2021 Actual (Target)	FY 2022 Actual (Target)	FY 2023 (Target)	FY 2024 (Target)
Broaden the agency’s outreach activities to the regulated community.	<p>-Participation in professional conferences and meetings and strategic engagement with the regulated community.</p> <p>-Expand electronic notification services information for internal and external users.</p>	<p>Continued to utilize and monitor the alert service on the agency’s website to engage the public.</p> <p>Target met (-Increased participation in at least two activities or meetings that promote strategic engagement to disseminate information including trends and services (e.g., LEP) provided by the agency.</p> <p>-Monitor the use of alert service used to engage the public.)</p>	<p>Continued to utilize and monitor the alert service on the agency’s website to engage the public.</p> <p>Target met (-Increased participation in at least two activities or meetings that promote strategic engagement to disseminate information including trends and services (e.g., LEP) provided by the agency.</p> <p>-Monitor the use of alert service used to engage the public.)</p>	<p>Social media outlets (e.g., alert service on the agency’s website) were used to engage the public.</p> <p>Target met (-Increased participation in at least one activity or meeting that promotes strategic engagement to disseminate information including trends and services (e.g., LEP) provided by the agency.</p> <p>-Research additional social media outlets to notify and engage with internal and external users.)</p>	<p>-Increased participation in at least two activities or meetings that promote strategic engagement to disseminate information including trends and services (e.g., LEP) provided by the agency.</p> <p>-Utilize social media outlets to notify and engage with internal and external users.</p>	<p>-Increased participation in at least two activities or meetings that promote strategic engagement to disseminate information including trends and services (e.g., LEP) provided by the agency.</p> <p>-Utilize social media outlets to notify and engage with internal and external users.</p>

<u>Outcome Goals</u>	<u>Performance Measures</u>	FY 2020 Actual (Target)	FY 2021 Actual (Target)	FY 2022 Actual (Target)	FY 2023 (Target)	FY 2024 (Target)
Ensure that the agency’s electronic filing (e-filing) system provides equitable access to all users.	Monitor monthly maintenance activities performed by application host.	New goal developed to support the Strategic Plan for FYs 2022 – 2026.	New goal developed to support the Strategic Plan for FYs 2022 – 2026.	-Enhancements were made to the agency’s e-filing system. -Informal training on the e-filing system was provided to internal users. Target met (-Make needed enhancements to the e-filing system based on feedback received from users. -Provide annual training for internal users.)	Conduct an annual audit of the agency’s e-filing system to ensure compliance with Section 508 of the Americans with Disabilities Act.	Perform routine audits of the agency’s e-filing system to ensure continued compliance with Section 508 of the Americans with Disabilities Act.

<u>Outcome Goals</u>	<u>Performance Measures</u>	FY 2020 Actual (Target)	FY 2021 Actual (Target)	FY 2022 Actual (Target)	FY 2023 (Target)	FY 2024 (Target)
Recruit, invest in, and value all employees through professional development, workplace flexibilities, fair treatment, and recognition.	<p>-Recruit, develop, and retain a highly motivated, talented, and diverse workforce to accomplish its mission.</p> <p>-Identify areas in which the agency can enhance diversity and talent through annual analysis of the MD-715⁸ guidance.</p>	<p>-Agency directives pertaining to workplace flexibilities were updated.</p> <p>-Devoted budgetary resources to training.</p> <p>-Reviewed performance management directives.</p> <p>Target met (-Ensure that the agency's performance management system(s) are aligned with its goals and objectives.</p> <p>-Enhance employee development and learning opportunities by making budgetary resources available for staff training.</p>	<p>-Agency directives pertaining to workplace flexibilities were updated.</p> <p>-Devoted budgetary resources to training.</p> <p>-Reviewed performance management directives.</p> <p>Target met (-Ensure that the agency's performance management system(s) are aligned with its goals and objectives.</p> <p>-Enhance employee development and learning opportunities by making budgetary resources available for staff training.</p>	<p>-The agency's performance management systems were evaluated to ensure alignment with the revised strategic plan.</p> <p>-Budgetary resources were devoted to employee training and development.</p> <p>-The agency's telework and hours of work directives were reviewed and updated to enhance workplace flexibilities.</p> <p>Target met (-Conduct an annual review of the agency's performance management systems to ensure they align with the agency's revised strategic plan.</p>	<p>-Ensure that the agency's performance management system(s) are aligned with its goals and objectives.</p> <p>-Enhance employee development and learning opportunities by increasing budgetary resources for training.</p> <p>-Annually review and/or update agency directives pertaining to workplace flexibilities (e.g., hours of work, telework.)</p>	<p>-Ensure that the agency's performance management system(s) are aligned with its goals and objectives.</p> <p>-Enhance employee development and learning opportunities by increasing budgetary resources for training.</p> <p>-Annually review and/or update agency directives pertaining to workplace flexibilities (e.g., hours of work, telework.)</p>

⁸Equal Employment Opportunity (EEO) Management Directive 715 – Reporting Requirement for Federal Agencies.

<u>Outcome Goals</u>	<u>Performance Measures</u>	FY 2020 Actual (Target)	FY 2021 Actual (Target)	FY 2022 Actual (Target)	FY 2023 (Target)	FY 2024 (Target)
		-Annually review and/or update agency directives pertaining to workplace flexibilities (e.g., hours of work, telework.))	-Annually review and/or update agency directives pertaining to workplace flexibilities (e.g., hours of work, telework.))	-Enhance employee development and learning opportunities by making budgetary resources available for staff training. -Annually review and/or update agency directives pertaining to workplace flexibilities (e.g., hours of work, telework.))		
Provide training for all agency personnel, including ALJs and Commission members, on diversity, equity, inclusion, and accessibility considerations in the workplace and in interacting with and serving the public.	Develop, review, and update training materials to educate staff on diversity, equity, inclusion, and accessibility considerations both in the workplace and while interacting with and serving the public.	New goal developed to support the Strategic Plan for FYs 2022 – 2026.	New goal developed to support the Strategic Plan for FYs 2022 – 2026.	Training on diversity, equity, inclusion, and accessibility was provided to all staff. Target met (Identify training opportunities for staff that promote diversity, equity, inclusion, and accessibility considerations in the workplace and in interacting with and serving the public.)	Provide annual training for all staff to advance diversity, equity, inclusion, and accessibility.	Provide annual training for all staff to advance diversity, equity, inclusion, and accessibility.

<u>Outcome Goals</u>	<u>Performance Measures</u>	FY 2020 Actual (Target)	FY 2021 Actual (Target)	FY 2022 Actual (Target)	FY 2023 (Target)	FY 2024 (Target)
Integrate knowledge management processes into a plan to capture, share, and generate knowledge that establishes a unified network of personnel, processes, and technology to enhance all aspects of essential agency operations.	<p>-Conduct periodic knowledge management audits to identify sources of knowledge and “at risk” knowledge gaps.⁹</p> <p>-Tailor IT infrastructure to support the effortless sharing and transfer of knowledge.</p> <p>-Degree to which best practices and lessons learned are integrated into the performance management system.</p>	New goal developed to support the Strategic Plan for FYs 2022 – 2026.	New goal developed to support the Strategic Plan for FYs 2022 – 2026.	<p>A knowledge management subject matter index list was developed and disseminated to staff to identify gaps in essential agency programs.</p> <p>Target met (-Identify gaps in essential agency programs.</p> <p>-Develop a knowledge management subject matter index list to serve as a resource to staff.</p> <p>-Use the performance planning process to reflect the value of rewarding employees for creating, using, and sharing knowledge.)</p>	<p>-Knowledge gaps in essential agency programs are identified and addressed through an on-going annual evaluation.</p> <p>-Perform an annual audit to ensure that IT is aligned with the needs of the agency’s personnel and processes.</p> <p>-Use of the performance planning process to reflect the value of rewarding employees for creating, using, and sharing knowledge.</p>	<p>-Knowledge gaps in essential agency programs are identified and addressed through an on-going annual evaluation.</p> <p>-Perform an annual audit to ensure that IT is aligned with the needs of the agency’s personnel and processes.</p> <p>-Use of the performance planning process to reflect the value of rewarding employees for creating, using, and sharing knowledge.</p>

⁹Areas identified as potential “at risk” knowledge gaps include programs and functions where a subject matter expert is eligible to leave the agency (through retirement or career transition) in one to three years and no backup expert has been identified to assume the duties and responsibilities vacated.

<u>Outcome Goals</u>	<u>Performance Measures</u>	FY 2020 Actual (Target)	FY 2021 Actual (Target)	FY 2022 Actual (Target)	FY 2023 (Target)	FY 2024 (Target)
Develop and present an annual budget and performance plan that clearly represents how the organization will accomplish government-wide management priorities, agency-wide goals, and organizational goals.	System that links resources to specific activities that support measurable programmatic outcomes and objectives.	Aligned budget with agency program goals to efficiently accomplish mission. Target met (Align budget with agency program goals to efficiently accomplish mission (e.g., program, human capital, procurement, IT infrastructure, space, and facilities.))	Aligned budget with agency program goals to efficiently accomplish mission. Target met (Align budget with agency program goals to efficiently accomplish mission (e.g., program, human capital, procurement, IT infrastructure, space, and facilities.))	Developed an annual budget that was aligned with the agency’s revised strategic plan. Target met (Align the budget with agency program goals to efficiently accomplish its mission (e.g., program, human capital, procurement, IT infrastructure, space, and facilities.))	Implementation of a measurement system to assess and report on progress of financial management improvements and budget integration management reforms.	Implementation of a measurement system to assess and report on progress of financial management improvements and budget integration management reforms.

<u>Outcome Goals</u>	<u>Performance Measures</u>	FY 2020 Actual (Target)	FY 2021 Actual (Target)	FY 2022 Actual (Target)	FY 2023 (Target)	FY 2024 (Target)
Ensure that all agency personnel are aware of the agency's mission and how they contribute to its accomplishments.	Communicate significant organizational accomplishments with staff.	<p>-Routine staff meetings were conducted.</p> <p>-Annual Federal Employee Viewpoint Survey results were analyzed.</p> <p>Target met (-Communicate significant organizational accomplishments with staff during all-hands staff meetings and during supervisory/employee meetings.</p> <p>-Use results of the annual Federal Employee Viewpoint Survey to assess managers and supervisor's communication with employees about the agency's goals and priorities.)</p>	<p>-Routine staff meetings were conducted.</p> <p>-Annual Federal Employee Viewpoint Survey results were analyzed.</p> <p>Target met (-Communicate significant organizational accomplishments with staff during all-hands staff meetings and during supervisory/employee meetings.</p> <p>-Use results of the annual Federal Employee Viewpoint Survey to assess managers and supervisor's communication with employees about the agency's goals and priorities.)</p>	<p>-Staff meetings were held to discuss agency activities and accomplishments.</p> <p>-The Federal Employee Viewpoint Survey was distributed to staff and results were analyzed to determine if adjustments should be made to certain agency activities.</p> <p>Target met (-Communicate significant organizational accomplishments with staff during all-hands staff meetings and during supervisory/employee meetings.</p> <p>-Use results of the annual Federal Employee Viewpoint Survey to assess managers and supervisor's communication with employees about the agency's goals and priorities.)</p>	<p>-Communicate significant organizational accomplishments with staff during all-hands staff meetings and during supervisory/employee meetings.</p> <p>-Enhance the agency's orientation program for new employees to provide materials about the agency's mission and how individuals can contribute to its accomplishments.</p> <p>-Use results of the annual Federal Employee Viewpoint Survey to assess managers and supervisor's communication with employees about the agency's goals and priorities.</p>	<p>-Communicate significant organizational accomplishments with staff during all-hands staff meetings and during supervisory/employee meetings.</p> <p>-Enhance the agency's orientation program for new employees to provide materials about the agency's mission and how individuals can contribute to its accomplishments.</p> <p>-Use results of the annual Federal Employee Viewpoint Survey to assess managers and supervisor's communication with employees about the agency's goals and priorities.</p>

<u>Outcome Goals</u>	<u>Performance Measures</u>	FY 2020 Actual (Target)	FY 2021 Actual (Target)	FY 2022 (Target)	FY 2023 (Target)	FY 2024 (Target)
Improve technology infrastructure through efficiencies and investments (e.g., training, equipment, and services) to support the effective use of broadband, cyber security, and energy efficiency.	<ul style="list-style-type: none"> -Streamline operations and infrastructure to eliminate duplication; minimize servers, storage, and application sprawl. -Maintain standardized platforms including hardware and software. -Improve network/communications to ensure customers can access necessary information without delay. 	<ul style="list-style-type: none"> -Updated existing server infrastructure. -Began moving server systems to the cloud and expanding existing data circuits to accommodate increased bandwidth usage. <p>Target met (-Reduce physical servers through virtualization.</p> <ul style="list-style-type: none"> -Reduce the number of operating systems in use. -Increase bandwidth for migration to cloud efficiencies.) 	<ul style="list-style-type: none"> -Reduced the number of physical servers and operating systems in use by agency personnel. -Explored and implemented measures to expand bandwidth for the agency. <p>Target met (-Reduce physical servers through virtualization.</p> <ul style="list-style-type: none"> -Reduce the number of operating systems in use. -Increase bandwidth for migration to cloud efficiencies.) 	New goal developed to support the Strategic Plan for FYs 2022 – 2026.	New goal developed to support the Strategic Plan for FYs 2022 – 2026.	New goal developed to support the Strategic Plan for FYs 2022 – 2026.
Improve technology infrastructure through efficiencies and investments (e.g., training, equipment, services) to support the effective use of broadband, cyber security, and energy efficiency.	<ul style="list-style-type: none"> -Streamline operations and infrastructure to eliminate duplication; minimize servers, storage, and application sprawl. -Consolidation of technological services and move from an “on premise” 	New goal developed to support the Strategic Plan for FYs 2022 – 2026.	New goal developed to support the Strategic Plan for FYs 2022 – 2026.	<ul style="list-style-type: none"> -Researched resources and features available for migration associated with Cloud Services. -Trained staff on the use of Office 365, SharePoint, OneDrive, and Teams and Zoom platforms. 	<ul style="list-style-type: none"> -Reduce physical servers through virtualization. -Provide annual IT training to all users. -Implement ways to improve bandwidth utilization for the agency. 	<ul style="list-style-type: none"> -Reduce physical servers through virtualization. -Provide annual IT training to all users. -Implement ways to improve bandwidth utilization for the agency.

<u>Outcome Goals</u>	<u>Performance Measures</u>	FY 2020 Actual (Target)	FY 2021 Actual (Target)	FY 2022 (Target)	FY 2023 (Target)	FY 2024 (Target)
	<p>infrastructure to a modern “cloud” based system to promote efficiencies in systems management, remote accessibility, continuity of operations, and budget savings.</p> <p>-Maintain standardized platforms, including hardware and software.</p> <p>-Partner with Federal agencies that monitor network traffic and isolate potential risks.</p>			<p>-Reported compliance with executive orders and/or binding operational directives.</p> <p>Target met (-Reduce physical servers through virtualization.</p> <p>-Provide training for users to educate them on IT efficiencies (e.g., working in a cloud environment).</p> <p>-Evaluate bandwidth utilization to accommodate an expected need for additional resources as a result of cloud computing.</p> <p>-Report annual compliance with applicable executive orders and/or binding operational directives.)</p>	<p>-Report annual compliance with applicable executive orders and/or binding operational directives.</p>	<p>-Report annual compliance with applicable executive orders and/or binding operational directives.</p>

<u>Outcome Goals</u>	<u>Performance Measures</u>	FY 2020 Actual (Target)	FY 2021 Actual (Target)	FY 2022 (Target)	FY 2023 (Target)	FY 2024 (Target)
Maintain and enhance secure electronic information systems for case management, legal research, public access to data through the internet, and continuity of the agency's operations at all times.	Conduct periodic audits of information systems to verify systems availability are at acceptable levels.	New goal developed to support the Strategic Plan for FYs 2022 – 2026.	New goal developed to support the Strategic Plan for FYs 2022 – 2026.	-Users were educated on proper data storage procedures. -Performed routine software updates and security patches. Target met (-Communicate with users on proper network usage and system recommendations. -Perform routine updates and upgrades to stay relevant and more productive.)	-Improve network communications to ensure stakeholders can access necessary information without delay. -Maintain hardware platforms at proficient levels.	-Improve network communications to ensure stakeholders can access necessary information without delay. -Maintain hardware platforms at proficient levels.
Conduct all internal and external agency business in an ethical and timely manner.	Promote an ethical culture within the Review Commission through leadership, awareness, resources, and oversight.	-Provided live virtual ethics training to agency filers in accordance with training flexibilities allowed by Office of Government Ethics (OGE) due to the coronavirus pandemic. -(1) Promptly conducted internal discussions of ethics inquiries as they arose; (2) gathered	-Provided live virtual training to all agency personnel and contractors. -Continued to decrease response time to ethics inquiries by accomplishing the following: (1) promptly conducted internal discussions of ethics inquiries as they arose; (2) gathered information needed from	Data was gathered throughout the FY from ethics inquiries to identify areas in need of targeted ethics training. Almost all ethics inquiries were responded to within one week from receipt. Continued to decrease response time to ethics inquiries by (1) promptly conducting internal	-Seek opportunities to obtain information for the development of ethics-related training resources. -Respond to 60 percent of ethics inquiries within two weeks of receipt.	-Seek opportunities to obtain information for the development of ethics-related training resources. -Respond to 60 percent of ethics inquiries within two weeks of receipt.

<u>Outcome Goals</u>	<u>Performance Measures</u>	FY 2020 Actual (Target)	FY 2021 Actual (Target)	FY 2022 (Target)	FY 2023 (Target)	FY 2024 (Target)
		<p>information needed from inquirer to respond as soon as the need for additional information arose; and (3) timely consulted OGE regulations and guidance, past advice, and additional resources.</p> <p>Target met (-Provide in-person ethics training to all agency filers.</p> <p>-Implement a plan to decrease response time to ethics inquiries.)</p>	<p>inquirer to respond as soon as the need for additional information arose; and (3) timely consulted OGE regulations and guidance, past advice, and additional resources.</p> <p>Target met (-Provide annual and more frequent ethics training to all agency filers.</p> <p>-Implement a plan to decrease response time to ethics inquiries.)</p>	<p>discussions of ethics inquires as they arose; (2) gathered information needed from inquirer to respond as soon as the need for additional information arose; and (3) timely consulted OGE regulations and guidance, past advice, and any additional resources.</p> <p>Target met (-Gather data to identify areas in need of targeted ethics training.</p> <p>-Respond to 50 percent of ethics inquiries within two weeks of receipt.)</p>		

<u>Outcome Goals</u>	<u>Performance Measures</u>	FY 2020 Actual (Target)	FY 2021 Actual (Target)	FY 2022 (Target)	FY 2023 (Target)	FY 2024 (Target)
Provide training opportunities to all agency personnel, including ALJs and Commission members. In particular, provide training to all attorneys and support staff in order to enhance their capabilities on technical and legal issues, legal writing, ethics, and technology and case management.	Increased opportunities for attendance and participation in training, internal and/or external, for ALJs and all attorneys and support staff.	New goal developed to support the Strategic Plan for FYs 2022 – 2026.	New goal developed to support the Strategic Plan for FYs 2022 – 2026.	Training opportunities were provided to all ALJs, attorneys, and support staff. Target met (Attendance and participation in at least one training opportunity devoted to management of electronic documents prior to and during hearings (i.e., e-filing, electronic discovery, or electronic exhibits.))	-Attendance and participation in at least one training opportunity devoted to management of electronic documents prior to and during hearings (i.e., e-filing, electronic discovery, or electronic exhibits.)	-Attendance and participation in at least one training opportunity devoted to management of electronic documents prior to and during hearings (i.e., e-filing, electronic discovery, or electronic exhibits.)

**V. BUDGET BY OBJECT
CLASSIFICATION
CATEGORY**

Budget by Object Classification (BOC) Category

The Review Commission requests an appropriation of \$16,179,000 to continue our mission of timely adjudicating OSHA-issued workplace safety and health citations, particularly in light of COVID-19 enforcement activity. The requested amount would support 63 FTE positions, an increase of 8 FTEs relative to the FY 2022 enacted levels, as well as funding for other expenses.

The proposed budget for FY 2024 is shown in the table below, along with the FY 2023 enacted amount and the FY 2022 actual amounts. A narrative explanation of the amount requested for each object classification follows the table.

Object Classification Table

FYs 2022, 2023 and 2024
(Dollars in Thousands)

		Change FY 2023 Enacted – FY 2024 Request				
Budget Object Class		FY 2022 Actuals	FY 2023 Enacted	FY 2024 Request	\$	%
11.0	Personnel Compensation	\$7,048	\$8,741	\$9,171	+430	+4.92
12.0	Personnel Benefits	2,377	3,001	3,138	+137	+4.57
Subtotal Personnel Services		9,425	11,742	12,309	+567	+4.83
21.0	Travel	72	185	185	-0-	-0-
22.0	Transportation of Things	5	10	10	-0-	-0-
23.1	Space Rental Payments (GSA)	1,705	1,770	1,851	+81	+4.58
23.3	Communications, Utilities and Misc.	140	272	272	-0-	-0-
24.0	Printing and Reproduction	10	10	10	-0-	-0-
25.0	Other Services	1,372	1,048	1,130	+82	+7.82
26.0	Supplies and Materials	49	43	43	-0-	-0-
31.0	Equipment	390	369	369	-0-	-0-
Unobligated Balance		454	0	0	-0-	-0-
Grand Total		\$13,622	\$15,449	\$16,179	+730	+4.73

Budget Object Classification Detail

11.0 Personnel Compensation

Change FY 2023 Enacted – FY 2024 Request

FY 2023 Enacted	FY 2024 Request	Amount	Percent
\$8,741,000	\$9,171,000	+430,000	+4.92

The Review Commission requests \$9,171,000 to fund direct payroll in FY 2024. This amount will fund 63 FTE positions.

This object class also supports awards to recognize those employees whose performance is superior and who perform special acts or services, which assists in recruiting and retaining talented employees. The Review Commission’s monetary awards program for General Schedule employees’ rewards and recognizes high-performing individuals in accordance with 5 CFR § 451. The performance-based awards program is designed to reflect meaningful distinctions based on levels of performance to ensure employees with higher ratings of record receive larger cash awards. Performance plans and critical elements are developed to align with the Review Commission’s strategic goals and to support organizational values (e.g., interpersonal skills, team participation and relationships, innovation), and to focus on specific, measurable, attainable, relevant, and timely results. Recommendations for awards (i.e., rating-based, superior accomplishment, productivity gain, or personal effort that contributes to the efficiency, economy, or other improvements of agency operations) are thoroughly reviewed to determine if they are supportive of the goals and objectives of the Review Commission as expressed in its Strategic Plan for FY 2022 - FY 2026.

In FY 2022, the Review Commission spent 2.5 percent of aggregate salaries for all General Schedule employees for the combination of individual performance awards and individual contribution awards (e.g., special act awards). The total spending for General Schedule and Senior Executive Service awards was \$137,748. The Review Commission’s performance management programs are reviewed annually by senior management officials to determine its continued effectiveness and/or the need to make adjustments for future fiscal years.

12.0 Personnel Benefits

Change FY 2023 Enacted – FY 2024 Request

FY 2023 Enacted	FY 2024 Request	Amount	Percent
\$3,001,000	\$3,138,000	+137,000	+4.57

The requested amount for employee benefits in FY 2024 is \$3,138,000. These benefits principally consist of the government’s contributions to the Civil Service Retirement System and the Federal Employees Retirement System, life and health insurance programs, the Transportation Subsidy Program, and the Thrift Savings Plan.

21.0 Travel

Change FY 2023 Enacted – FY 2024 Request

FY 2023 Enacted	FY 2024 Request	Amount	Percent
\$185,000	\$185,000	-0-	-0-

The requested amount for travel in FY 2024 is \$185,000. The travel of ALJs to conduct hearings accounts for approximately 90 percent of this request. The remaining 10 percent of these funds is for travel associated with training, necessary travel to the regional offices, and other requirements.

22.0 Transportation of Things

Change FY 2023 Enacted – FY 2024 Request

FY 2023 Enacted	FY 2024 Request	Amount	Percent
\$10,000	\$10,000	-0-	-0-

An amount of \$10,000 is requested to fund the cost of shipping materials between Review Commission offices and other locations.

23.1 Rental Payments to GSA

Change FY 2023 Enacted – FY 2024 Request

FY 2023 Enacted	FY 2024 Request	Amount	Percent
\$1,770,000	\$1,851,000	+81,000	+4.58

The requested amount includes \$1,851,000 for office space rental for the National and Regional Offices. These projected rent costs are based on FY 2024 estimates provided by GSA to the Review Commission.

23.3 Communications, Utilities, and Miscellaneous Charges

Change FY 2023 Enacted – FY 2024 Request

FY 2023 Enacted	FY 2024 Request	Amount	Percent
\$272,000	\$272,000	-0-	-0-

The Review Commission requests \$272,000 for communication costs in FY 2024. This amount will allow the Review Commission to continue to support the e-filing system. The e-filing system directly supports our annual performance plan's goals and targets, promotes transparency, supports technology improvements, allows us to continue our cloud initiative with increased security and bandwidth requirements, and paves the way for future cloud initiatives.

The Review Commission maintains an e-filing system with a hosted internet-based interface that accommodates the electronic filing of litigation documents. This budget request includes telecommunication costs to continue our cloud initiative with increased security and bandwidth requirements and paves the way for future cloud initiatives.

Local telephone service and telecommunication expenses are projected to be \$252,000. Postage for the required mailing of letters, case files, and other materials is expected to be \$20,000.

24.0 Printing and Reproduction

Change FY 2023 Enacted – FY 2024 Request

FY 2023 Enacted	FY 2024 Request	Amount	Percent
\$10,000	\$10,000	-0-	-0-

The requested amount for printing in FY 2024 is \$10,000. Printing costs consist mainly of the charges for publishing rules, proposed rules, and other announcements in the CFR and/or the Federal Register, and for purchasing copies of the CFR and other GPO publications. Together, these printing/publishing costs are expected to approximate \$5,000 in FY 2024. The balance of the budget – \$5,000 – is needed for printing the Rules of Procedure and Guide to the Review Commission pamphlets, which are provided to parties to Review Commission proceedings.

25.0 Other Services

Change FY 2023 Enacted – FY 2024 Request

FY 2023 Enacted	FY 2024 Request	Amount	Percent
\$1,048,000	\$1,130,000	+82,000	+7.82

The requested amount for other services in FY 2024 is \$1,130,000. Requirements in this area fall into two basic categories: Interagency Agreements for services provided by other federal agencies and contractual services provided by non-federal vendors. Additional information on each of these is provided in the following paragraphs.

Services Provided by Other Federal Agencies. A total of \$475,500 is requested for services provided by other federal agencies. Our costs have increased in this category as a result of additional service costs associated with a new time and attendance system provided by the NFC, along with higher costs for our Interagency Agreements with the Office of Personnel Management (OPM) and NARA. This area includes \$14,000 for personnel and payroll services provided by NFC, \$375,000 for financial and administrative services provided by BFS, and \$60,000 for building security (estimated). The remaining amount will be used to fund other Interagency Agreements such as with the U.S. Department of Health and Human Services (Federal Occupational Health), GSA, OPM, and NARA.

Other Contractual Services. OSHRC procures a variety of services to support us in carrying out our mission. These include court reporting (\$150,000); maintenance/incremental

enhancements including security of the Review Commission’s information technology system, and for continued enhancements and customized reporting of the e-filing system (\$40,000); services for translation of documents and interpreters for individuals LEP (\$10,000); independent evaluation of IT security under the FISMA (\$30,000); and on-line legal research (\$48,000). This category also includes funding for other contractual services such as the annual audit of our financial statements (\$35,000), library operations (\$90,000), training, and other requirements to support the agency’s mission. This category also includes funds needed for continuing maintenance of the Review Commission’s website (\$30,000).

26.0 Supplies and Materials

Change FY 2023 Enacted – FY 2024 Request

FY 2023 Enacted	FY 2024 Request	Amount	Percent
\$43,000	\$43,000	-0-	-0-

The requested amount for supplies and materials in FY 2024 is \$43,000. This amount includes general office supplies (\$22,000) and IT supplies and software (\$21,000).

31.0 Equipment

Change FY 2023 Enacted – FY 2024 Request

FY 2023 Enacted	FY 2024 Request	Amount	Percent
\$369,000	\$369,000	-0-	-0-

The requested amount for equipment in FY 2024 is \$369,000. The Review Commission deployed an e-filing system in FY 2016 with a hosted internet-based interface that accommodates the electronic filing of litigation documents. As a result, our IT infrastructure was upgraded, and licensing and hosting costs are required to maintain the system. We estimate that the licensing costs will be \$55,000. Subscriptions and other publications necessary to maintain our legal libraries are included in this object class. The remainder is required for new and/or replacement of computers and other IT requirements and to enable us to comply with government-wide mandates such as the FISMA. Our IT equipment includes personal computers, printers, a local area network, and associated peripherals. Finally, a small portion of this funding will be used to purchase any office furniture that may be needed.

VI. OTHER TABLES

The U.S. Occupational Safety and Health Review Commission Appropriation History

<u>FY</u> <u>Year</u>	<u>Request to</u> <u>Congress</u>	<u>House</u> <u>Allowance</u>	<u>Senate</u> <u>Allowance</u>	<u>Appropriation</u>
2001	\$8,720,000	\$8,600,000	\$8,720,000	\$8,720,000
2002	\$8,964,000	\$8,964,000	\$8,964,000	\$8,958,000
2003	\$9,577,000	\$9,577,000	\$9,577,000	\$9,673,000 ¹⁰
2004	\$10,115,000	\$10,115,000	\$9,610,000	\$9,863,000
2005	\$10,516,000	\$10,595,000	\$10,595,000	\$10,510,240
2006	\$10,510,000	\$10,510,000	\$10,510,000	\$10,404,900
2007	\$10,346,000	\$10,510,000	\$10,346,000	\$10,470,779
2008	\$10,696,000	\$10,696,000	\$10,696,000	\$10,696,000 ¹¹
2009	\$11,186,000	\$11,186,000	\$11,186,000	\$11,186,000
2010	\$11,712,000	\$11,712,000	\$11,712,000	\$11,712,000
2011	\$12,051,000	\$11,712,000	\$12,051,000	\$11,712,000 ¹²
2012	\$12,773,000	\$11,689,000	\$11,689,000	\$11,689,000
2013	\$11,965,000	\$11,667,000	\$11,667,000	\$11,666,908 ¹³
2014	\$12,634,830			\$11,411,000
2015	\$12,651,000	\$12,651,000	\$12,651,000	\$11,639,000
2016	\$13,212,000	\$12,639,000	\$11,100,000	\$12,639,000
2017	\$13,411,000	\$12,975,000	\$13,411,000	\$13,225,000
2018	\$12,615,000	\$12,875,000	\$13,225,000	\$13,225,000
2019	\$12,615,000	\$12,975,000	\$13,225,000	\$13,225,000
2020	\$13,225,000	\$13,225,000		\$13,225,000
2021	\$13,721,000	\$13,225,000		\$13,225,000
2022	\$15,028,000	\$15,028,000	\$15,028,000	\$13,622,000
2023	\$15,449,000	\$15,449,000		\$15,449,000
2024	\$16,179,000			

¹⁰ Reduced to \$9,610,125 by P.L. 108-7.

¹¹ Reduced to \$10,509,141 by P.L. 110-161.

¹² Reduced to \$11,688,576 by P.L. 112-10.

¹³ Reduced to \$11,056,659 by P.L. 113-6 and Sequestration Order issued March 1, 2013.

Authorized Full Time Positions by Function

	<u>FY 2022</u> Actual	<u>FY 2023</u> Enacted	<u>FY 2024</u> Request
Administrative Law Judge:			
AL-II	1	1	1
AL-III	11	11	11
GS-14	7	6	7
GS-13	0	1	0
GS-12	1	1	1
GS-11	0	0	0
GS-10	0	0	0
GS-9	2	2	2
GS-8	<u>3</u>	<u>5</u>	<u>5</u>
<i>Sub-total</i>	25	27	27
Commission-Review Level:			
Executive Level III	1	1	1
Executive Level IV	1	2	2
ES-00	2	2	2
GS-15	4	5	5
GS-14	6	6	6
GS-13	0	2	2
GS-12	2	3	4
GS-11	1	4	3
GS-9	1	1	1
GS-8	1	2	2
GS-7	<u>0</u>	<u>0</u>	<u>0</u>
<i>Sub-total</i>	19	28	28
Office of the Executive Director:			
ES-00	1	1	1
GS-15	1	1	1
GS-14	1	1	1
GS-13	0	0	0
GS-12	3	3	3
GS-11	0	1	1
GS-9	1	0	0
GS-7	<u>0</u>	<u>1</u>	<u>1</u>
<i>Sub-total</i>	7	8	8
Total positions:	51	63	63