

The Alpha Foundation for the Improvement of Mine Safety and Health, Inc.
- *Reaching the First Milestone*

The Alpha Foundation for the Improvement of Mine Safety and Health, Inc. (Foundation) is pleased to present its third semi-annual report, *Reaching the First Milestone*. This report marks the completion of the first solicitation and the announcement of the first set of funded projects, the announcement of the active solicitation of short-term innovative projects and the anticipated schedule for the second major solicitation. A number of administrative accomplishments during this reporting period are also discussed, as the Foundation progresses to its fully-funded stage.

Let me start with a review of the first solicitation cycle. As mentioned in previous reports, the original call was issued on January 18, 2013, when the Foundation requested concept papers in four broad areas: 1) Safety, 2) Health, 3) Safety and Health Management, and 4) Training. The Foundation was extremely pleased to receive 160 concept papers, addressing all major focus areas outlined in the call. The selection process involved 82 outside reviewers, forming independent review teams, who provided their recommendations and ranking to the Foundation Directors. On the basis of the review, organizations that submitted 33 promising concept papers were invited to submit full proposals, including a detailed technical approach and budget. These full proposals went through a rigorous review, again using outside reviewers, and finally the Directors approved 16 projects for funding.

The funding decisions from the first solicitation were made public on September 30, 2013. The [press announcement](#) provides details of funded projects and areas of research. The Foundation has been very pleased with the depth of innovation and quality of research evident in the proposals and the potential impact on the safety and health needs in the mining industry. The Directors also believe that the \$9.5 million allocated to these projects by the Foundation is an important first step towards fulfilling its vision of enabling miners to be free of work-related injury and disease in the near future. Finally, the Foundation is pleased to report that, following negotiations with the institutions and organizations which submitted the successful proposals, all 16 grant agreements have been signed by both parties. The effective starting date of all funded projects is November 1, 2013, and the first payments to the grantees have already been distributed.

A [synopsis](#) for each funded project is now available on the Foundation website. It is important to note the many impressive partnerships between research organizations and operating companies that were formed in order to achieve the proposed scope of work of these projects. The Foundation would like once again to thank all those who responded to this solicitation, for their interest and commitment to mine safety and health. Thanks are also due to all the reviewers, for their effort and dedication to assist the Directors in selecting the most promising projects for funding.

The Foundation also issued a call for proposals on October 24, 2013, to support **Short-Term Research Projects**. This category encourages new, exploratory and developmental research studies, by providing support for the early and conceptual stages

of project development. The detailed [solicitation](#) is posted on the website with a due date for proposal submission of December 15, 2013. After a review process, again involving independent outside reviewers, project selection is anticipated during the first quarter of 2014.

Finally, looking into the future, the Foundation plans to announce its second major grant cycle on April 1, 2014, with the expectation that awards will be announced in December of 2014.

During this reporting period, the Foundation also made significant administrative progress on a number of pending issues, towards accomplishing its goals. Notably:

- An investment policy for the endowment, proposed by Glenmede, the Foundation's financial advisor, was approved by the Directors.
- The audited 2012 Financial Statements and Management Letter were reviewed and accepted.
- Federal and State of Delaware 2012 tax returns for the Foundation were filed.
- All Foundation organizational insurance coverages were reviewed and renewed.
- An accounting system to track progress of the individual projects awarded, including payment and reporting deliverables, has been developed.
- An online review process is being developed to improve access and efficiency for processing future grant proposal assessments.

The Foundation continues to develop and update its website (www.alpha-foundation.org), which serves as the main medium for communication with the broader stakeholder community. Those interested in the Foundation and its programs are encouraged to visit the site to stay informed of solicitations, announcements and deadlines. The Directors continue to be active in outreach activities, in an effort to inform the community and the general public on the mission, goals and progress of the Foundation. Formal presentations made by the Directors are now available on the website.

Finally, the Directors are looking forward to the next six months, as the Foundation continues to pursue more awards in support of projects to improve the health and safety of the nation's miners.



Michael Karmis, President
Alpha Foundation for the Improvement of Mine Safety and Health, Inc.
November 1, 2013