

Fiscal Year 2016 Annual Performance Report



May 23, 2017

CPSC Stands for Safety



An electronic version of this document is available at:
www.cpsc.gov/about-cpsc/agency-reports/performance-and-budget

About this Report

This document is the U.S. Consumer Product Safety Commission's (CPSC's) FY 2016 Annual Performance Report (APR). It is submitted in conjunction with the CPSC's FY 2018 Performance Budget Request (PBR) to Congress. An electronic version of this report is available on the agency's website at: www.cpsc.gov/about-cpsc/agency-reports/performance-and-budget.

The FY 2016 APR satisfies the annual performance reporting requirements of the GPRA Modernization Act of 2010, as well as the Office of Management and Budget (OMB) Circular No. A-11 (Preparation, Submission, and Execution of the Budget).

The FY 2016 APR provides information on results achieved by CPSC programs during FY 2016 and progress made toward performance targets established for key performance measures. The performance measures indicate progress toward Strategic Goals and Strategic Objectives contained in the CPSC's FY 2011–FY 2016 Strategic Plan. Highlights of performance, as well as challenges, are presented.

The FY 2016 APR concludes CPSC reporting on performance under the agency's FY 2011–FY 2016 Strategic Plan. A new FY 2016–FY 2020 Strategic Plan was approved in April 2016.¹

Overview of the Agency

The U.S. Consumer Product Safety Commission (CPSC) is an independent federal regulatory agency, created in 1972 by the Consumer Product Safety Act (CPSA). In addition to the CPSA, as amended by the Consumer Product Safety Improvement Act of 2008 (CPSIA), and Public Law No. 112-28, the CPSC also administers other laws, such as the Federal Hazardous Substances Act, the Flammable Fabrics Act, the Poison Prevention Packaging Act, the Refrigerator Safety Act, the Virginia Graeme Baker Pool and Spa Safety Act, the Children's Gasoline Burn Prevention Act, and the Child Nicotine Poisoning Prevention Act.

The CPSC has jurisdiction over more than 10,000 types of consumer products used in and around the home, in recreation, and in schools, from children's toys to portable gas generators and toasters. Although the CPSC's regulatory purview is quite broad, a number of product categories fall outside the CPSC's jurisdiction.²

¹ The CPSC's FY 2016-FY 2020 Strategic Plan is available at: www.cpsc.gov/about-cpsc/agency-reports/performance-and-budget.

² Product categories, such as automobiles and boats; alcohol, tobacco, and firearms; foods, drugs, cosmetics, and medical devices; and pesticides, are regulated by other federal agencies.

Message from the Acting Chairman



The U.S. Consumer Product Safety Commission's (CPSC) FY 2016 Annual Performance Report (APR) is a comprehensive report on performance results achieved by CPSC programs during the FY 2016 reporting period of October 1, 2015 through September 30, 2016. The agency's mission to protect the public against unreasonable risks of injury associated with consumer products is carried out by the dedication of CPSC staff. I am pleased to have the opportunity to report the results and our staff's accomplishments in FY 2016.

I assumed my duties as Acting Chairman on February 9, 2017. I want to thank Commissioner Elliot F. Kaye for his service as our Chairman. As Acting Chair, I plan to further the agency's mission, operations, and policy by collaborating with our stakeholders, taking a reasonable approach to regulations, and increasing outreach, awareness, and education for consumers as well as businesses.

I can provide reasonable assurance that the performance data contained in this report are accurate and reliable. In FY 2016, the CPSC implemented processes, procedures, and systems for verifying and validating the completeness, accuracy, and reliability of performance information. A review of the performance results found that FY 2016 reported data for the performance measures were reasonable, complete, accurate, and reliable.

I look forward to continuing to work with my fellow Commissioners and the dedicated staff in setting agency priorities and achieving meaningful results in the year ahead.

Sincerely,

A handwritten signature in blue ink that reads "Ann Marie Buerkle". The signature is fluid and cursive.

Ann Marie Buerkle
Acting Chairman
May 23, 2017

Table of Contents

Agency and Mission Information

| | |
|--|---|
| CPSC Organizational Structure..... | 1 |
| FY 2011–FY 2016 Strategic Plan Summary | 2 |

Performance Results

| | |
|--|----|
| Performance Summary: An Overview..... | 4 |
| CPSC Key Performance Measures: Summary Table | 5 |
| Performance Summary by Strategic Goal | |
| Strategic Goal 1: Leadership in Safety..... | 7 |
| Strategic Goal 2: Commitment to Prevention | 9 |
| Strategic Goal 3: Rigorous Hazard Identification | 11 |
| Strategic Goal 4: Decisive Response | 15 |
| Strategic Goal 5: Raising Awareness | 17 |

Other Information

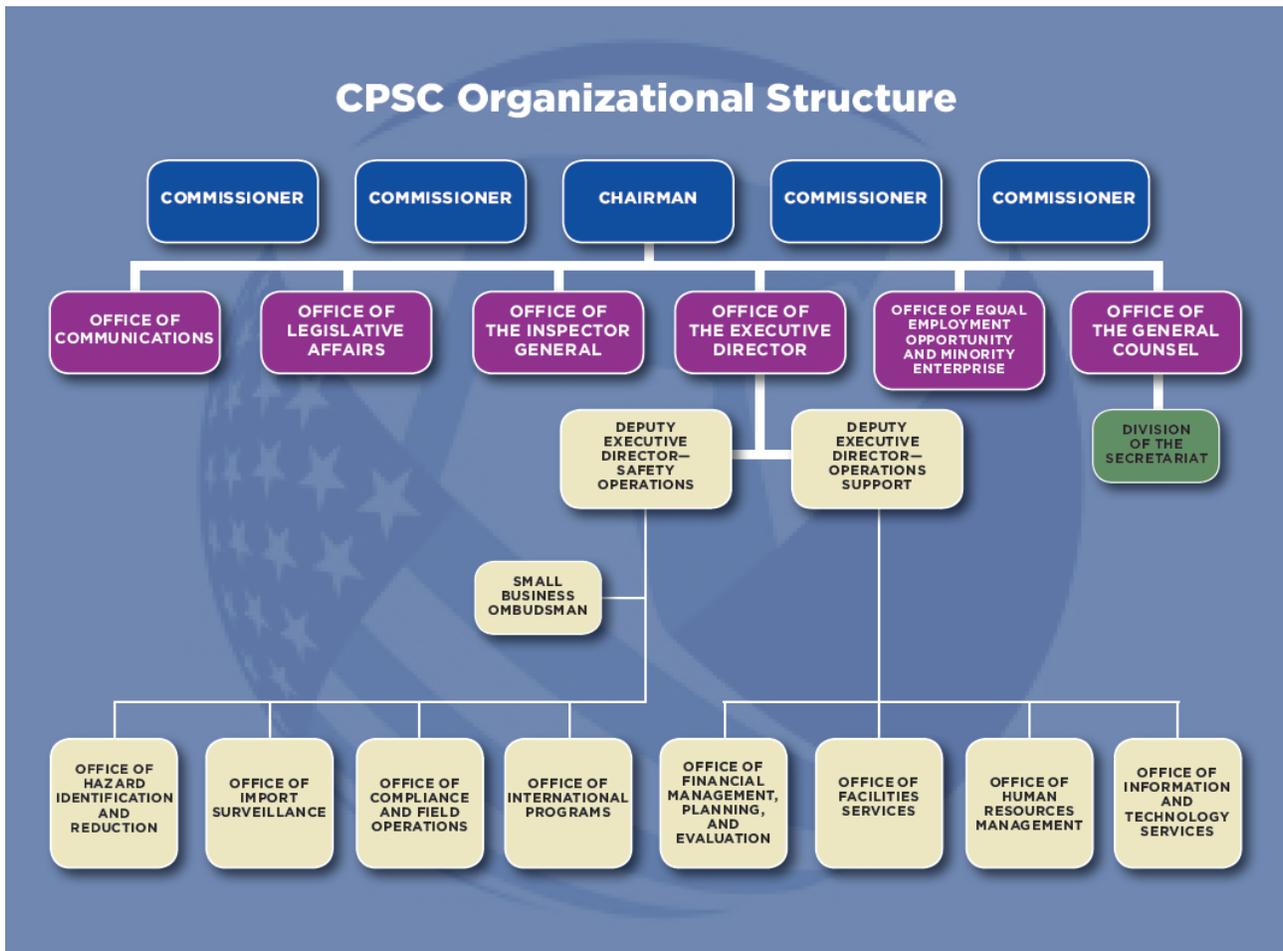
| | |
|--|----|
| Agency Priorities and Management Challenges..... | 19 |
| Cross-Agency Collaborations..... | 20 |
| Evaluation and Research | 22 |

Appendices

| | |
|--|----|
| Appendix A: CPSC Performance: Data Limitations, Validation, and Verification..... | 24 |
| Appendix B: Changes to the FY 2016 Performance Measures | 25 |
| Appendix C: Detailed Information on Performance Measures..... | 27 |
| Appendix D: Acronyms | 65 |

CPSC Organizational Structure

The CPSC is a bipartisan commission that consists of five members appointed by the President with the advice and consent of the Senate. The Chairman is the principal executive officer of the Commission, which convenes at meetings that are open to the public. The following depicts the current organizational structure of the CPSC:



FY 2011–FY 2016 Strategic Plan Summary

The FY 2016 APR concludes CPSC reporting on performance under the agency’s FY 2011–FY 2016 Strategic Plan, which is summarized below. The plan lays out the CPSC’s approach to achieving the mission of protecting the public against unreasonable risks of injury from consumer products. Each of the five Strategic Goals is supported by Strategic Objectives. A suite of performance measures with annual targets is used to monitor progress toward the Strategic Objectives and Strategic Goals.

A new, FY 2016–FY 2020 Strategic Plan was approved in April 2016 and sets the framework for future CPSC planning, management, and performance reporting. It provides direction for resource allocation, program design, and management decisions. The new Strategic Plan also includes performance measures that will be used to monitor and assess program effectiveness and progress toward the new Strategic Objectives and Strategic Goals. The new Strategic Plan is available at: www.cpsc.gov/about-cpsc/agency-reports/performance-and-budget.

Mission

Protecting the public against unreasonable risks of injury from consumer products through education, safety standards activities, regulations, and enforcement.

Vision

The CPSC is the recognized global leader in consumer product safety.

Goals and Objectives

Strategic Goal 1: Leadership in Safety

Strategic Objectives

- 1.1 Determine the most critical consumer product hazards and issues to define the Commission’s annual priorities consistent with the agency’s regulatory requirements.
- 1.2 Create and strengthen partnerships with stakeholders aimed at improving product safety throughout the supply chain.
- 1.3 Collaborate with partners ranging from state and federal authorities, colleges and universities, and other stakeholders to expand the CPSC’s effectiveness and reach.
- 1.4 Work towards harmonizing global consumer product standards or developing similar mechanisms to enhance product safety.
- 1.5 Promote and recognize innovation and advancements in consumer product safety.
- 1.6 Attract, retain, and collaborate with leading experts to address consumer product hazards.

Strategic Goal 2: Commitment to Prevention

Strategic Objectives

- 2.1 Minimize hazardous defects early in the manufacturing process through increased participation in voluntary standards activities.
- 2.2 Improve the safety of consumer products by issuing mandatory standards, where necessary and consistent with statutory authority, in response to identified product hazards.
- 2.3 Facilitate the development of safer products by training industry stakeholders on the CPSC’s regulatory requirements and hazard identification best practices.
- 2.4 Develop programs that provide incentives for manufacturers and importers to implement preventive actions that enable the safety of their products.
- 2.5 Engage foreign product safety regulators and foreign manufacturers to reduce the production of unsafe consumer products that may enter the U.S. market.

Strategic Goal 3: Rigorous Hazard Identification

Strategic Objectives

- 3.1 Improve the quality and comprehensiveness of crucial product hazard data.
- 3.2 Reduce the time it takes to identify hazard trends by improving the collection and assessment of hazard data.
- 3.3 Establish a transparent, risk-based methodology to consistently identify and prioritize hazards to be addressed.
- 3.4 Expand import surveillance efforts to reduce entry of unsafe products at U.S. ports.
- 3.5 Scan the marketplace regularly to determine whether previously identified significant hazards exist in similar products.
- 3.6 Increase surveillance of used and resale consumer products to identify and remove recalled products and substantial product hazards.

Strategic Goal 4: Decisive Response

Strategic Objectives

- 4.1 Expand the CPSC’s ability to conduct a full range of inspections to monitor for noncompliant and defective products.
- 4.2 Use a risk-based methodology to prioritize the CPSC’s targeted response to addressable product hazards.
- 4.3 Increase the effectiveness and speed of recalls of noncompliant and defective products.
- 4.4 Reduce the time it takes to inform consumers and other stakeholders of newly identified hazards and the appropriate actions to take.
- 4.5 Hold violators accountable for hazardous consumer products on the market by utilizing enforcement authorities.

Strategic Goal 5: Raising Awareness

Strategic Objectives

- 5.1 Increase awareness of the CPSC to ensure the public knows where to turn for information on consumer product safety, where to report hazardous incidents, and knows about the enforcement capabilities used to address product dangers.
- 5.2 Provide stakeholders with easily accessible, timely, and useful safety information on consumer product hazards.
- 5.3 Deploy targeted outreach campaigns for priority hazards and vulnerable communities.
- 5.4 Increase access to consumer product safety information for industry and small businesses.

This page intentionally left blank.

Performance Summary: An Overview

During FY 2016, the CPSC tracked 36 performance measures. The CPSC met performance targets for 92 percent of performance measures (33 of the 36 measures) and did not meet performance targets for 8 percent (3 performance measures). Overall, these results indicate progress toward achieving the CPSC's Strategic Goals.

The FY 2016 results for the key performance measures are organized by Strategic Goal (Figure 2) and also categorized by the responsible CPSC organization (Figure 3).

Figure 1: A snapshot of the CPSC's FY 2016 key performance measures

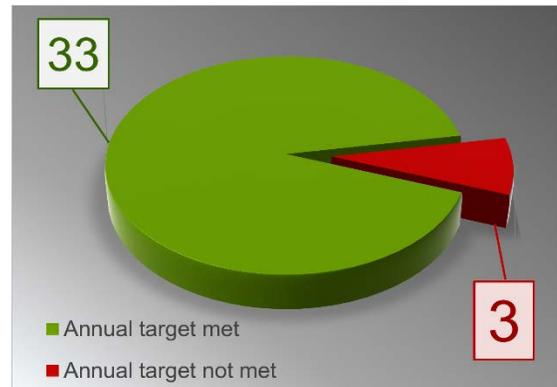


Figure 2 (below): Summary of FY 2016 Results

Key Performance Measures by Strategic Goal

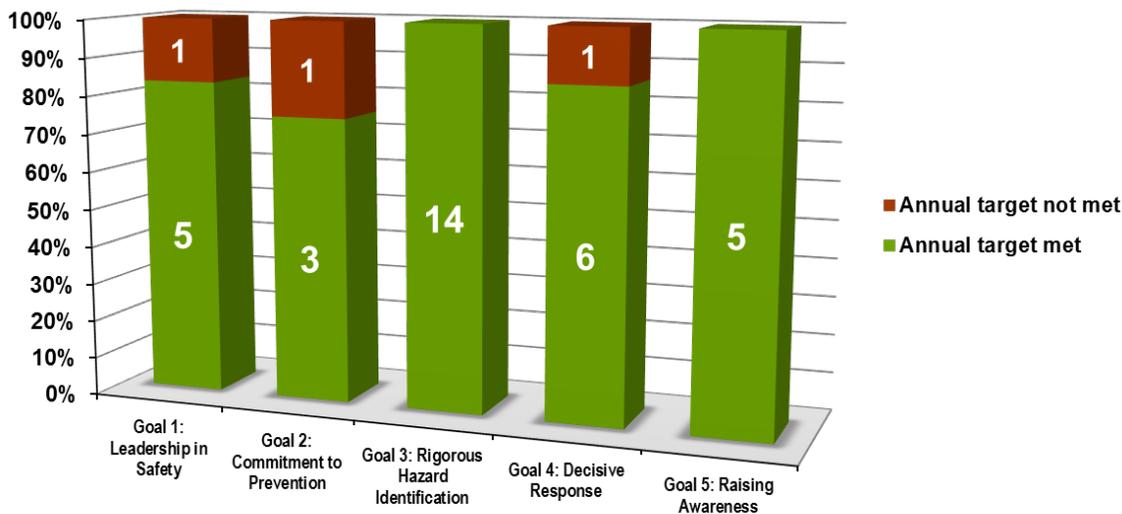
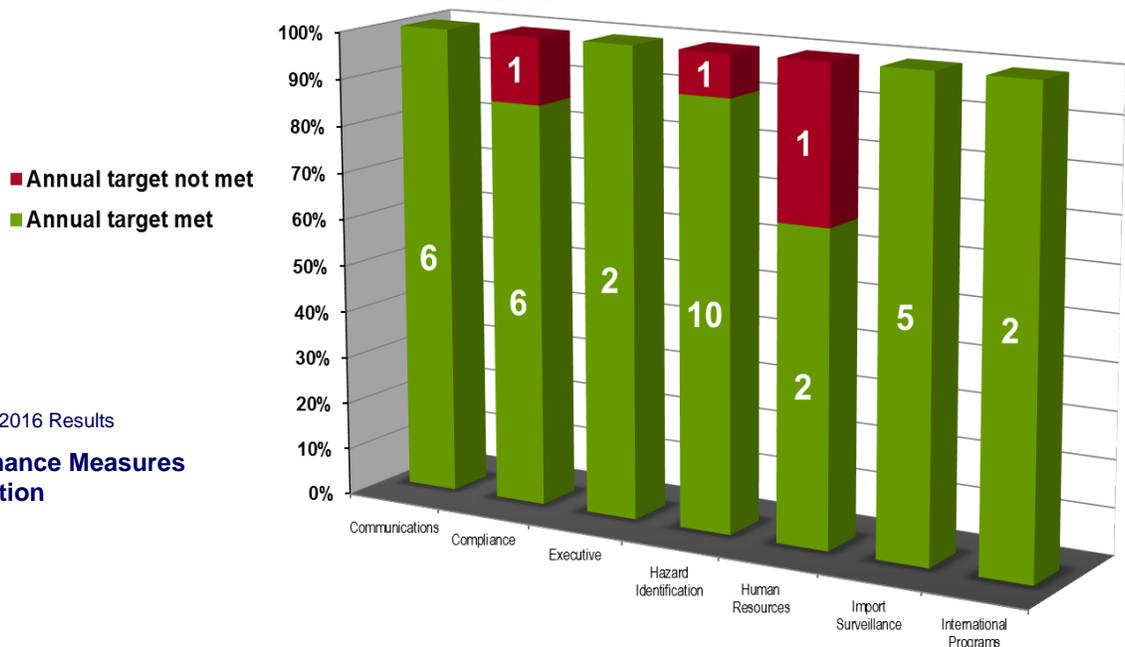


Figure 3 (right): Summary of FY 2016 Results

Key Performance Measures by Organization



CPSC Key Performance Measures: Summary Table

The table below provides summary information for the CPSC's FY 2016 key performance measures.

| Measure ID | Program | Performance Measure Statement | 2012 Actual | 2013 Actual | 2014 Actual | 2015 Actual | 2016 Target | 2016 Actual | 2016 Target Met? |
|---|---------------|---|-------------|-------------|-------------|------------------|-------------|------------------|------------------|
| Strategic Goal 1: Leadership in Safety | | | | | | | | | |
| 2016BK1.2.2 | International | Number of staff exchanges with foreign counterparts undertaken as part of the Extended Training Exchange Program | 2 | 2 | 2 | 2 | 2 | 2 | ✓ |
| 2016BK1.2.4 | Executive | Number of collaborations undertaken with domestic nongovernment organizations such as trade associations, universities, or federations | -- | -- | -- | 2 | 2 | 3 | ✓ |
| 2016BK1.2.5 | International | Number of training or outreach seminars for foreign manufacturers and overseas U.S. importer representatives conducted by CPSC staff | -- | -- | -- | -- | 13 | 25 ³ | ✓ |
| 2016BK1.6.1 | Personnel | Employee retention rate | -- | -- | -- | 85% ⁴ | 85% | 70% | ✗ |
| 2016BK1.6.2 | Personnel | Average hiring time (recruitment time using U.S. Office of Personnel Management's (OPM) End-to-End hiring process) (days) | 75 | 73 | 78 | 74 | 80 | 76 | ✓ |
| 2016BK1.6.3 | Personnel | Training participation rate | 73.6% | 83% | 93% | 90% | 90% | 92.8% | ✓ |
| Strategic Goal 2: Commitment to Prevention | | | | | | | | | |
| 2016BK2.1.3 | Hazard | Number of reports produced on the results of collaboration on nanotechnology issues affecting consumer products | 9 | 11 | 11 | 10 | 5 | 7 | ✓ |
| 2016BK2.1.4 | Hazard | Number of voluntary standards activities in which CPSC staff actively participates | -- | -- | -- | 81 | 71 | 71 | ✓ |
| 2016BK2.2.1 | Hazard | Number of candidates for rulemaking prepared for Commission consideration | 28 | 14 | 10 | 20 | 22 | 10 | ✗ |
| 2016BK2.3.1 | Executive | Number of domestic training activities made available to industry stakeholders | -- | 14 | 23 | 7 | 7 | 10 | ✓ |
| Strategic Goal 3: Rigorous Hazard Identification | | | | | | | | | |
| 2016BK3.1.1 | Hazard | Percentage of National Electronic Injury Surveillance System (NEISS) member hospitals evaluated at least once a year | 98% | 99% | 100% | 100% | 98% | 100% | ✓ |
| 2016BK3.1.2 | Hazard | Percentage of consumer product-related injury cases correctly captured at NEISS hospitals | 92% | 92% | 91% | 91.6% | 90% | 91% | ✓ |
| 2016BK3.2.1 | Hazard | Time from incident received to integrated team adjudication of incident report (business days) | -- | 6.5 | 3.4 | 6.4 | 10 | 7.4 | ✓ |
| 2016BK3.2.2 | Hazard | Percentage of priority import regulated samples (excluding fireworks) tested within 30 days of collection | 85% | 92% | 98.8% | 98.6% | 85% | 99.6% | ✓ |
| 2016BK3.2.3 | Hazard | Percentage of priority import fireworks samples tested within 60 days of collection | 99.7% | 100% | 100% | 98.6% | 90% | 95.8% | ✓ |
| 2016BK3.2.5 | Hazard | Percentage of Section 15 Product Safety Assessment requests that are completed within the Hazard Level Completion time assigned | -- | -- | -- | 92% | 90% | 96% ⁵ | ✓ |
| 2016BK3.2.6 | Hazard | Percentage of all domestic and non-priority imported regulated product samples (excluding fireworks) that are tested within 60 days of receipt at NPTEC | -- | -- | -- | -- | 85% | 100% | ✓ |
| 2016BK3.4.1 | Import | Number of import examinations | 18,131 | 26,523 | 28,007 | 35,122 | 30,000 | 36,523 | ✓ |
| 2016BK3.4.3 | Import | Percentage of import shipments processed through the Risk Assessment Methodology (RAM) pilot system that are cleared within one business day | -- | 99.5% | 99.7% | 99.6% | 99% | 99.8% | ✓ |
| 2016BK3.4.4 | Import | Percentage of CPSC import entry hold requests acted on by U.S. Customs and Border Protection (CBP) | -- | 86% | 87.2% | 91.3% | 86% | 91.5% | ✓ |

³ Correction: The FY 2016 Actual has been corrected to 25 from 22, which was initially reported on p. 5 of the FY 2016 Agency Financial Report (AFR) (November 2016).

⁴ Correction: The FY 2015 Actual has been corrected to 85 percent from 87 percent, which was previously reported in the FY 2015 AFR (November 2015) and FY 2015 APR (February 2016).

⁵ Correction: The FY 2016 Actual has been corrected to 96 percent from 94.3 percent, which was initially reported on p. 5 of the FY 2016 AFR (November 2016).

2016 APR | May 2017
Performance Results

| Measure ID | Program | Performance Measure Statement | 2012 Actual | 2013 Actual | 2014 Actual | 2015 Actual | 2016 Target | 2016 Actual | 2016 Target Met? |
|--|----------------|---|-------------|-------------|-------------|-------------|-------------|-------------|------------------|
| 2016BK3.4.7 | Import | Percentage of entries sampled as identified through the Risk Assessment Methodology (RAM) pilot system | -- | -- | -- | 12.1% | 11% | 11.1% | ✓ |
| 2016BK3.4.8 | Import | Percentage of first-time violators who are engaged with a timely informed compliance inspection after violation determination | -- | -- | -- | -- | 80% | 86% | ✓ |
| 2016BK3.5.3 | Hazard | Number of hazard characterization annual reports completed on consumer product-related fatalities, injuries, and/or losses for specific hazards | 11 | 11 | 10 | 10 | 11 | 11 | ✓ |
| 2016BK3.5.4 | Compliance | Total number of products screened by CPSC field staff (excluding imports) | -- | -- | -- | 211,364 | 180,000 | 188,361 | ✓ |
| Strategic Goal 4: Decisive Response | | | | | | | | | |
| 2016BK4.1.1 | Compliance | Number of establishment inspections conducted by CPSC field staff | 1,184 | 3,680 | 3,672 | 3,839 | 3,000 | 3,224 | ✓ |
| 2016BK4.3.1 | Compliance | Percentage of all cases for which the preliminary determination is made within 85 business days of the case opening | -- | 84% | 60.6% | 65.8% | 70% | 69.1% | ✗ |
| 2016BK4.3.2 | Compliance | Percentage of cases for which the corrective action is accepted within 60 business days of the preliminary determination | 98% | 88% | 80.9% | 85.8% | 80% | 87% | ✓ |
| 2016BK4.3.3 | Compliance | Percentage of cases in which the firm is notified of a violation in a timely manner | -- | 94% | 97.1% | 96.9% | 90% | 95.9% | ✓ |
| 2016BK4.3.4 | Compliance | Percentage of Fast-Track cases with corrective actions initiated within 20 business days | 99% | 98% | 100% | 97.3% | 90% | 99.1% | ✓ |
| 2016BK4.4.2 | Communications | Average number of business days between establishment of first draft and issuance of recall press release for the most timely 90 percent of all recall press releases | -- | -- | -- | 16 | 19 | 17.8 | ✓ |
| 2016BK4.5.2 | Compliance | Percentage of compliance defect investigation cases referred within 20 business days to Office of the General Counsel (OGC) for review of firms' timely reporting pursuant to Section 15(b) | -- | -- | -- | 90% | 75% | 87.5% | ✓ |
| Strategic Goal 5: Raising Awareness | | | | | | | | | |
| 2016BK5.2.1 | Communications | Number of public information campaigns conducted by the CPSC on targeted consumer product safety hazards | 23 | 24 | 24 | 24 | 24 | 24 | ✓ |
| 2016BK5.2.2 | Communications | Number of impressions of CPSC safety messages received by consumers on targeted consumer product safety hazards, excluding recalls (in millions) | -- | -- | -- | -- | 8,500 | 9,479 | ✓ |
| 2016BK5.2.3 | Communications | Number of media or social media events involving collaborations with other federal, state, or local governments; consumer advocacy organizations; medical or industry groups; or other stakeholders that focus on a targeted hazard with high public concern | -- | -- | -- | 8 | 5 | 7 | ✓ |
| 2016BK5.3.1 | Communications | Number of impressions of CPSC safety messages received by consumers on priority hazards in vulnerable communities, excluding recalls (in millions) | -- | -- | -- | -- | 2,750 | 3,382 | ✓ |
| 2016BK5.3.4 | Communications | Number of media or social media events involving collaborations with other federal, state, or local governments; consumer advocacy organizations; medical or industry groups; or other stakeholders that focus on a priority hazard in vulnerable communities | -- | -- | -- | 15 | 15 | 20 | ✓ |

Performance Summary by Strategic Goal

Strategic Goal 1: Leadership in Safety

Take a leadership role in identifying and addressing the most pressing consumer product safety priorities and mobilizing action by our partners.

Challenges

Expansion of international trade, increasingly global supply chains, and technological advances have increased the spectrum of consumer products available to U.S. consumers. This has made the challenge more complex for the CPSC to oversee and regulate thousands of product types. The value of U.S. imports under CPSC jurisdiction has increased significantly in recent years. Product safety can suffer in countries where domestic regulation is not effective and quality control systems are lacking. The CPSC, other regulatory agencies,

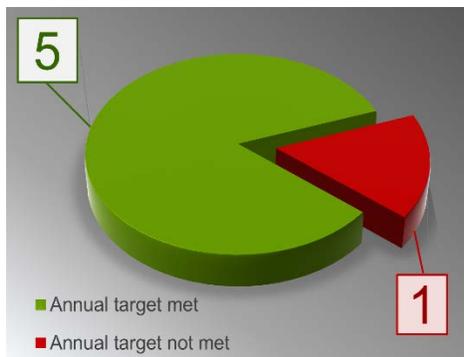


Figure 3: A snapshot of Strategic Goal 1 performance measures (6 total)

standards organizations, and consumer and industry groups worldwide are working to address consumer product safety across multiple geographies and priorities.

Strategies

The CPSC is at the forefront of advancing the agenda for consumer product safety globally and seeks to mitigate the most pressing product safety hazards by establishing a clearly defined leadership agenda and by working with key global and domestic stakeholders. The CPSC trains and collaborates with domestic and international stakeholders, including manufacturers and regulators, effectively leveraging its resources to improve product safety. The agency provides education and outreach activities to manufacturers, retailers, resellers, small businesses, and foreign governments. The CPSC also works to align global consumer product standards as a way to improve consumer product safety, and collaborates with leading experts to help accomplish its mission.

Table 1 Strategic Goal 1 Key Performance Measures

| Performance Measure | Actuals / Trend line | | | | | 2016 Target | |
|---|----------------------|------|------|------|-----------------|-------------|-------------|
| | 2012 | 2013 | 2014 | 2015 | 2016 | 2016 Target | Target Met? |
| 1.2.2 Number of staff exchanges with foreign counterparts undertaken as part of the Extended Training Exchange Program | 2 | 2 | 2 | 2 | 2 | 2 | ✓ |
| 1.2.4 Number of collaborations undertaken with domestic nongovernment organizations such as trade associations, universities, or federations | -- | -- | -- | 2 | 3 | 2 | ✓ |
| 1.2.5 Number of training or outreach seminars for foreign manufacturers and overseas U.S. importer representatives conducted by CPSC staff | -- | -- | -- | -- | 25 ⁶ | 13 | ✓ |

⁶ Correction: The FY 2016 Actual has been corrected to 25 from 22, which was initially reported on p. 5 of the FY 2016 Agency Financial Report (AFR) (November 2016).

Table 1 (continued)

| Performance Measure | Actuals / Trend line | | | | | 2016 Target | |
|--|----------------------|------|------|------------------|-------|-------------|-------------|
| | 2012 | 2013 | 2014 | 2015 | 2016 | 2016 Target | Target met? |
| 1.6.1 Employee retention rate | -- | -- | -- | 85% ⁷ | 70% | 85% | ✗ |
| 1.6.2 Average hiring time (recruitment time using U.S. Office of Personnel Management's (OPM) End-to-End hiring process) (days) | 75 | 73 | 78 | 74 | 76 | 80 | ✓ |
| | | | | | | | |
| 1.6.3 Training participation rate | 73.6% | 83% | 93% | 90% | 92.8% | 90% | ✓ |
| | | | | | | | |

Results

The CPSC met or exceeded FY 2016 targets for five of the six key performance measures for Strategic Goal 1. Selected FY 2016 achievements under Strategic Goal 1 include:

- Provided product safety training and in-depth briefings to product safety officials and industries from 25 foreign jurisdictions.
- Conducted international training exchanges with the consumer product safety authorities of Taiwan, the United Kingdom, and the European Union (EU).
- Participated in the Organization for Economic Cooperation and Development (OECD) *Working Party on Consumer Product Safety's* June 2016 consumer outreach project that involved an international campaign to alert consumers about the dangers of exposed window covering cords, which may cause strangulation of small children.

The agency did not meet the FY 2016 target for one of the six key performance measures for Strategic Goal 1 – 1.6.1: Employee Retention Rate. The CPSC's employee retention metric only measures retention of new employees. Analysis of employee retention data showed that in 2016, 11 of 37 new permanent employees left the agency within their first two years at CPSC. Analysis of employee exit interviews did not identify significant common factors. The results are indicative of a workforce that is increasingly mobile possessing in-demand skills. CPSC plans several new programs to try to improve employee retention, including an employee engagement initiative, improvements to the on-boarding process, expanded training and development programs, and a new employee sponsorship program.

Additional analysis and explanation for each performance measure is included in Appendix C.

⁷ Correction: The FY 2015 Actual has been corrected to 85 percent from 87 percent, which was previously reported in the FY 2015 AFR (November 2015) and FY 2015 APR (February 2016).

Strategic Goal 2: Commitment to Prevention

Engage public and private sector stakeholders to build safety into consumer products.

Challenges

Many consumer product hazards and safety defects arise in the very early stages of the supply chain, including product design and the selection and use of raw materials. Given the large volume and diversity of products under the jurisdiction of domestic and foreign regulatory agencies, enforcement activities alone are unlikely to succeed in preventing product hazards from occurring. Moreover, the CPSC has to determine which addressable hazards present the greatest risk to the consumer to focus the agency's limited resources.

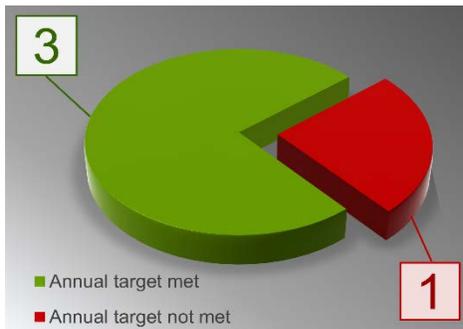


Figure 4: A snapshot of Strategic Goal 2 performance measures (4 total)

Strategies

Preventing hazards from entering the marketplace is one of the most effective ways the CPSC can protect consumers. The CPSC participates in the development of new safety standards, creates regulations, and educates manufacturers about safety requirements in an effort to build safety into consumer products. The CPSC has made significant progress toward creating stronger mandatory standards under the CPSIA. CPSC staff provides guidance and educational materials to explain federal safety regulations and conducts training and outreach events. The CPSC develops incentive programs to encourage industry to build safer consumer products

and engages with foreign product safety regulators and foreign manufacturers to reduce the production of unsafe consumer products that may enter the U.S. market. By encouraging industry leaders and foreign safety agencies to focus on safety early in the global supply chain, the CPSC helps prevent hazardous products from entering consumer markets.

Table 2 Strategic Goal 2 Key Performance Measures

| Performance Measure | Actuals / Trend line | | | | | 2016 Target | |
|---|----------------------|------|------|------|------|-------------|-------------|
| | 2012 | 2013 | 2014 | 2015 | 2016 | 2016 Target | Target Met? |
| 2.1.3 Number of reports produced on the results of collaboration on nanotechnology issues affecting consumer products | 9 | 11 | 11 | 10 | 7 | 5 | ✓ |
| | | | | | | | |
| 2.1.4 Number of voluntary standards activities in which CPSC staff actively participates | -- | -- | -- | 81 | 71 | 71 | ✓ |

Table 2 (continued)

| Performance Measure | Actuals / Trend line | | | | | 2016 Target | |
|--|----------------------|------|------|------|------|-------------|-------------|
| | 2012 | 2013 | 2014 | 2015 | 2016 | 2016 Target | Target met? |
| 2.2.1 Number of candidates for rulemaking prepared for Commission consideration | 28 | 14 | 10 | 20 | 10 | 22 | ✗ |
| | | | | | | | |
| 2.3.1 Number of domestic training activities made available to industry stakeholders | -- | 14 | 23 | 7 | 10 | 7 | ✓ |
| | | | | | | | |

Results

The CPSC met or exceeded FY 2016 targets for three of the four key performance measures for Strategic Goal 2. Selected FY 2016 achievements under Strategic Goal 2 include:

- Completed four final CPSIA-related rules during FY 2016, which contributed to a cumulative total of 58 final CPSIA-related rules completed between the passage of the CPSIA in 2008 and the end of FY 2016.
- Collaborated with the National Nanotechnology Coordination Office (NNCO), the Nanoscale Science, Engineering, and Technology (NSET) Interagency Subcommittee, the Nanotechnology Environmental and Health Implications (NEHI) working groups, and the European Union on multiple topics associated with nanotechnology safety.
- Actively engaged in 71 voluntary standard activities, collaborating with industry leaders, consumer advocates, and other stakeholders to improve consensus voluntary standards across a wide range of consumer products.

The agency did not meet the FY 2016 target for one of the four key performance measures for Strategic Goal 2 – 2.2.1: Number of candidates for rulemaking prepared for Commission consideration. Delays and shifting priorities resulted in only 10 of the initially planned 22 rulemaking candidates being prepared for Commission consideration during 2016. While the CPSC cannot control all factors affecting rulemaking preparation, steps are being taken to adapt internal planning processes to provide greater certainty in planning timeframes and expectations for completing future rulemaking work.

Additional analysis and explanation for each performance measure is included in Appendix C.

Strategic Goal 3: Rigorous Hazard Identification

Ensure timely and accurate detection of consumer product safety risks to inform agency priorities.

Challenges

The value of consumer product imports under CPSC jurisdiction grew in real dollars⁸ from \$419 billion in 2002 to \$754 billion in calendar year 2015, an increase of 80 percent over the period. The CPSC must determine quickly and accurately which product hazards represent the greatest risks to consumer safety. Information on injuries, deaths, and other consumer product safety incidents comes from a wide range of sources, including consumers and consumer groups, hospitals and clinics, industry, and the press. The CPSC uses a risk assessment tool to determine the most critical consumer product hazards and suggest priorities for agency work on hazard reduction. Used and resale consumer products must also be monitored to prevent previously identified hazardous products from re-entering the marketplace. A large volume of data must be analyzed to identify patterns and trends that reflect potential emerging hazards.

Strategies

The CPSC uses a systematic approach to enhance the quality of crucial product hazard data and reduce the time needed to identify trends. The agency's approach includes systematic collection and assessment of hazard data, scanning the marketplace regularly, expanding import surveillance efforts, and increasing surveillance of used consumer products offered for resale.

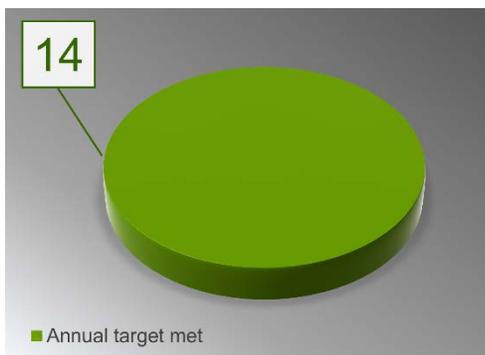


Figure 5: A snapshot of Strategic Goal 3 performance measures (14 total)

The CPSC has made significant investments in information technology to enhance and streamline hazard detection processes and improve analytic capabilities. This includes development and operation of the CPSIA-mandated public database (www.SaferProducts.gov), which enables consumers and others to submit reports of harm and view publicly reported incident information in a web-based, searchable format. The CPSC collaborates with U.S. Customs and Border Protection (CBP) to improve import surveillance at ports; and the CPSC developed a pilot Risk Assessment Methodology (RAM) surveillance system that enables the CPSC to analyze

systematically imported line entries to identify the highest risk shipments. The CPSC also monitors the marketplace, including brick and mortar and web-based businesses, for potentially hazardous consumer products.

⁸ The figures for 2002 and 2015 are expressed in 2015 dollars. The 2002 figure was adjusted using the Consumer Price Index (CPI) for commodities, less food, energy, and used cars and trucks.

Table 3 Strategic Goal 3 Key Performance Measures

| Performance Measure | Actuals / Trend line | | | | | 2016 Target | |
|--|----------------------|--------|--------|--------|------------------|-------------|-------------|
| | 2012 | 2013 | 2014 | 2015 | 2016 | 2016 Target | Target met? |
| 3.1.1 Percentage of National Electronic Injury Surveillance System (NEISS) member hospitals evaluated at least once a year | 98% | 99% | 100% | 100% | 100% | 98% | ✓ |
| | | | | | | | |
| 3.1.2 Percentage of consumer product-related injury cases correctly captured at NEISS hospitals | 92% | 92% | 91% | 91.6% | 91% | 90% | ✓ |
| | | | | | | | |
| 3.2.1 Time from incident received to integrated team adjudication of incident report (business days) | -- | 6.5 | 3.4 | 6.4 | 7.4 | 10 | ✓ |
| | | | | | | | |
| 3.2.2 Percentage of priority import regulated samples (excluding fireworks) tested within 30 days of collection | 85% | 92% | 98.8% | 98.6% | 99.6% | 85% | ✓ |
| | | | | | | | |
| 3.2.3 Percentage of priority import fireworks samples tested within 60 days of collection | 99.7% | 100% | 100% | 98.6% | 95.8% | 90% | ✓ |
| | | | | | | | |
| 3.2.5 Percentage of Section 15 Product Safety Assessment requests that are completed within the Hazard Level Completion time assigned | -- | -- | -- | 92% | 96% ⁹ | 90% | ✓ |
| | | | | | | | |
| 3.2.6 Percentage of all domestic and non-priority import regulated product samples (excluding fireworks) that are tested within 60 days of receipt at NPTEC | -- | -- | -- | -- | 100% | 85% | ✓ |
| | | | | | | | |
| 3.4.1 Number of import examinations | 18,131 | 26,523 | 28,007 | 35,122 | 36,523 | 30,000 | ✓ |
| | | | | | | | |

(Table 3 continues on next page)

⁹ Correction: The FY 2016 Actual has been corrected to 96 percent from 94.3 percent, which was initially reported on p. 5 of the FY 2016 AFR (November 2016).

Table 3 (continued)

| Performance Measure | Actuals / Trend line | | | | | 2016 Target | |
|--|----------------------|-------|-------|---------|----------------|----------------|-------------|
| | 2012 | 2013 | 2014 | 2015 | 2016 | 2016 Target | Target met? |
| 3.4.3 Percentage of import shipments processed through the Risk Assessment Methodology (RAM) pilot system that are cleared within one business day | -- | 99.5% | 99.7% | 99.6% | 99.8% | 99% | ✓ |
| | | | | | | | |
| 3.4.4 Percentage of CPSC import entry hold requests acted on by U.S. Customs and Border Protection (CBP) | -- | 86% | 87.2% | 91.3% | 91.5% | 86% | ✓ |
| | | | | | | | |
| 3.4.7 Percentage of entries sampled as identified through the Risk Assessment Methodology (RAM) pilot system | -- | -- | -- | 12.1% | 11.1% | 11% | ✓ |
| | | | | | | | |
| 3.4.8 Percentage of first-time violators who are engaged with a timely informed compliance inspection after violation determination | -- | -- | -- | -- | 86% | 80% | ✓ |
| | | | | | | | |
| 3.5.3 Number of hazard characterization annual reports completed on consumer product-related fatalities, injuries, and/or losses for specific hazards | 11 | 11 | 10 | 10 | 11 | 11 | ✓ |
| | | | | | | | |
| 3.5.4 Total number of products screened by CPSC field staff (excluding imports) | -- | -- | -- | 211,364 | 188,361 | 180,000 | ✓ |
| | | | | | | | |

Results

The CPSC met or exceeded FY 2016 targets for all 14 key performance measures for Strategic Goal 3. Selected FY 2016 achievements under Strategic Goal 3 include:

- Screened more than 36,000 different imported consumer products at U.S. ports of entry.
- 99.8 percent of import shipments under CPSC jurisdiction were cleared within one business day.
- The CPSC's Internet Surveillance Unit contacted approximately 8,700 firms and individuals who were offering for sale banned or previously recalled consumer products via Internet websites, causing the removal of 53,330 recalled or banned product units from being re-sold.
- Received approximately 74,200 calls to the CPSC Hotline (1-800-638-2772), where consumers can contact the agency directly with product safety hazard information or concerns. The CPSC distributed more than one million safety publications to consumers.

Additional analysis and explanation for each performance measure is included in Appendix C.

Strategic Goal 4: Decisive Response

Use the CPSC’s full range of authorities to quickly remove hazards from the marketplace.

Challenges

The longer a known hazardous consumer product remains on store shelves or in homes, the greater the potential for that consumer product to cause injuries and deaths. Once hazardous products have been identified, the CPSC takes action to protect consumers, remove the products from the marketplace, and hold violators accountable. Industry and consumer groups demand that the agency’s response and enforcement efforts be predictable and carried out in a consistent manner.

Strategies

The CPSC takes a multifaceted approach to responding to incidents and injuries. The CPSC’s field staff investigates reports of incidents and injuries; conducts inspections of manufacturers, importers, and retailers; and identifies potential regulatory violations and product defects that could harm the public. CPSC field staff conducts hundreds of establishment inspections every year and screens many consumer products. The CPSC

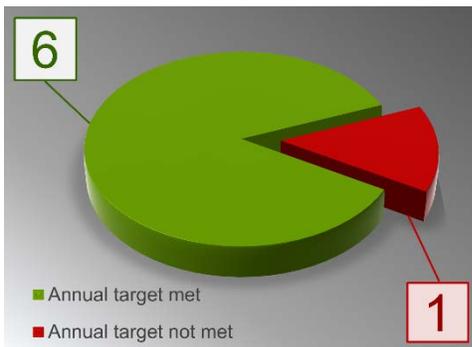


Figure 6 (above): A snapshot of Strategic Goal 4 performance measures (7 total)

also responds to industry-generated reports. The agency tests products and component parts for compliance with specific standards and regulations at the National Product Testing and Evaluation Center (NPTEC); and technical staff supports determination of violations and defects that warrant corrective action. When a recall is necessary, Compliance staff negotiates with the responsible firm to seek a voluntary recall, whenever possible. CPSC staff strives to reduce the time needed to conduct investigations and negotiate corrective actions, as well as to notify firms about violative or potentially hazardous products. Industry can participate in a streamlined recall process through

the CPSC’s Fast-Track Recall Program. This expedited recall process aims to remove potentially dangerous products from the marketplace more quickly, saving the company and the CPSC time and resources. The CPSC holds violators accountable for hazardous consumer products. When companies fail to report potentially hazardous products, as required, the CPSC uses its enforcement authority to seek civil, and in some cases, criminal penalties, as appropriate.

Table 4 Strategic Goal 4 Key Performance Measures

| Performance Measure | Actuals / Trend line | | | | | 2016 Target | |
|---|----------------------|-------|-------|-------|-------|-------------|-------------|
| | 2012 | 2013 | 2014 | 2015 | 2016 | 2016 Target | Target met? |
| 4.1.1 Number of establishment inspections conducted by the CPSC field staff | 1,184 | 3,680 | 3,672 | 3,839 | 3,224 | 3,000 | ✓ |
| 4.3.1 Percentage of all cases for which the preliminary determination is made within 85 business days of the case opening | -- | 84% | 60.6% | 65.8% | 69.1% | 70% | ✗ |

Table 4 (continued)

| Performance Measure | Actuals / Trend line | | | | | 2016 Target | |
|---|----------------------|------|-------|-------|--------------|-------------|-------------|
| | 2012 | 2013 | 2014 | 2015 | 2016 | 2016 Target | Target met? |
| 4.3.2 Percentage of cases for which the corrective action is accepted within 60 business days of the preliminary determination | 98% | 88% | 80.9% | 85.8% | 87% | 80% | ✓ |
| | | | | | | | |
| 4.3.3 Percentage of cases in which the firm is notified of a violation in a timely manner | -- | 94% | 97.1% | 96.9% | 95.9% | 90% | ✓ |
| | | | | | | | |
| 4.3.4 Percentage of Fast-Track cases with corrective actions initiated within 20 business days | 99% | 98% | 100% | 97.3% | 99.1% | 90% | ✓ |
| | | | | | | | |
| 4.4.2 Average number of business days between establishment of first draft and issuance of recall press release for the most timely 90 percent of all recall press releases | -- | -- | -- | 16 | 17.8 | 19 | ✓ |
| | | | | | | | |
| 4.5.2 Percentage of compliance defect investigation cases referred within 20 business days to Office of the General Counsel (OGC) for review of firms' timely reporting pursuant to Section 15(b) | -- | -- | -- | 90% | 87.5% | 75% | ✓ |
| | | | | | | | |

Results

The CPSC met or exceeded FY 2016 targets for six of the seven key performance measures for Strategic Goal 4. Selected FY 2016 achievements under Strategic Goal 4 include:

- Completed approximately 3,200 establishment inspections of firms for compliance with the CPSC's laws and regulations.
- Sent approximately 2,500 Notices of Non-Compliance and negotiated nearly 365 corrective action plans (CAPs) to address safety in consumer products.
- Conducted 428 recalls, involving approximately 211 million units.
- Negotiated nearly \$29 million in civil penalties through out-of-court settlements.

The agency missed the FY 2016 target for one of the seven key performance measures for Strategic Goal 4 - 4.3.1 (Percentage of all cases for which the preliminary determination is made within 85 business days of the case opening), by less than 1%. This measure tracks the timeliness of CPSC casework, since making preliminary determinations more quickly contributes to greater efficiency and speed of recalls for noncompliant and defective products. CPSC staff has continued to monitor this performance measure to try to identify areas for improvement. In the future, the measure will be modified to exclusively focus on higher priority cases, and resources will be reallocated to achieve targets.

Additional analysis and explanation for each performance measure is included in Appendix C.

Strategic Goal 5: Raising Awareness

Promote a public understanding of product risks and CPSC capabilities.

Challenges

Along with having safe products in the marketplace, raising awareness of product risks is crucial to empowering consumers to make informed safety choices. Useful, timely information helps make consumers aware of hazardous products in the marketplace and can instruct them to act quickly if they own recalled products. Minority, vulnerable, and underserved groups who might not otherwise receive safety messages, or who may be affected disproportionately by particular product-related hazards, need to be reached. Industry, safety advocates, and partner government agencies also need high-quality information about consumer product safety issues. However, diverse audiences have different information needs and respond best to different methods of communicating information.

Strategies

The CPSC uses a wide array of communication channels and strategies to provide the public with timely and targeted information about safety issues and CPSC capabilities. The CPSC disseminates safety messages through press releases, social media, satellite and radio media tours, TV appearances, public

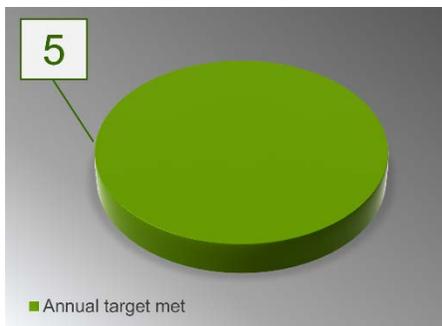


Figure 7: A snapshot of Strategic Goal 5 performance measures (5 total)

appearances, and videos. The CPSC has significantly increased its presence on the Internet and uses a variety of social media platforms to disseminate information, including an *OnSafety* blog, Twitter, Google+, YouTube, Flickr, and Widgets. The CPSC conducts public information campaigns on a wide variety of consumer product-related hazards, as well as outreach on specific high-profile topics, such as drowning and drain entrapment prevention, and Safe to Sleep® environments for babies. CPSC public information efforts entail working with a variety of partners, including collaborations with other government agencies and advocacy organizations.

Table 5 Strategic Goal 5 Key Performance Measures

| Performance Measure | Actuals / Trend line | | | | | 2016 Target | |
|--|----------------------|------|------|------|-------|-------------|-------------|
| | 2012 | 2013 | 2014 | 2015 | 2016 | 2016 Target | Target met? |
| 5.2.1 Number of public information campaigns conducted by the CPSC on targeted consumer product safety hazards | 23 | 24 | 24 | 24 | 24 | 24 | ✓ |
| 5.2.2 Number of impressions of CPSC safety messages received by consumers on targeted consumer product safety hazards, excluding recalls (in millions) | -- | -- | -- | -- | 9,479 | 8,500 | ✓ |

Table 5 (continued)

| Performance Measure | Actuals / Trend line | | | | | 2016 Target | |
|---|----------------------|------|------|------|-------|-------------|-------------|
| | 2012 | 2013 | 2014 | 2015 | 2016 | 2016 Target | Target met? |
| 5.2.3 Number of media or social media events involving collaborations with other federal, state, or local governments; consumer advocacy organizations; medical or industry groups; or other stakeholders that focus on a targeted hazard with high public concern | -- | -- | -- | 8 | 7 | 5 | ✓ |
| 5.3.1 Number of impressions of CPSC safety messages received by consumers on priority hazards in vulnerable communities, excluding recalls (in millions) | -- | -- | -- | -- | 3,382 | 2,750 | ✓ |
| 5.3.4 Number of media or social media events involving collaborations with other federal, state, or local governments; consumer advocacy organizations; medical or industry groups; or other stakeholders that focus on a priority hazard in vulnerable communities | -- | -- | -- | 15 | 20 | 15 | ✓ |

Results

The CPSC met or exceeded FY 2016 targets for all five key performance measures for Strategic Goal 5. Selected FY 2016 achievements under Strategic Goal 5 include:

- Nearly 9.5 billion impressions of CPSC safety messages were received by consumers, including more than 3.3 billion audience impressions for priority hazards in vulnerable communities, about 84 million impressions for the CPSC’s Safe to Sleep® program; about 1.16 billion impressions for the CPSC’s Anchor It! Furniture and television tip-over prevention outreach; more than 1.5 billion impressions for the pool drowning and drain entrapment prevention program; and approximately 565 million impressions for minority outreach.
- The number of members of the Neighborhood Safety Network (NSN) increased from approximately 3,000 in 2009 to 8,400 in FY 2016. The NSN is a grassroots outreach program that provides timely information to member organizations and individuals, who in turn, share CPSC safety messages with underserved consumers who might otherwise never hear of or receive information from the CPSC.
- Nearly 45,000 followers received CPSC safety messages on Twitter in FY 2016.

Additional analysis and explanation for each performance measure is included in Appendix C.

Agency Priorities & Management Challenges

Priority 1: Improving U.S. effectiveness at ports of entry in identifying and interdicting products that do not meet U.S. laws.

Import Surveillance: The Consumer Product Safety Improvement Act of 2008 (CPSIA) was enacted, in part, in reaction to identification of a large number of noncompliant imported consumer products targeted at children. One of CPSIA's congressional requirements for the CPSC was to develop a Risk Assessment Methodology (RAM) to address these products. During 2015, more than 192,000 importers brought into the United States imports of consumer products under CPSC jurisdiction having a total estimated value of approximately \$754 billion. That averages to more than \$2 billion per day in imports of consumer products under CPSC jurisdiction. Nearly 80 percent of consumer product recalls in FY 2015 involved an imported product.

Priority 2: Identifying emerging technology and consumer safety issues in nanotechnology.

Nanotechnology: Nanotechnology research and development is rapidly being commercialized into consumer products, including products for children. In 2014, a National Science Foundation (NSF) and National Nanotechnology Coordination Office (NNCO)-funded study estimated a \$4.4 trillion worldwide market for final products incorporating nanotechnology by the year 2018. More than a third of that total is expected to be contributed by the United States; this represents an increase of 13 times the level reported in 2010. Global trading partners are investing in manufacturing infrastructure to produce and export new products to the United States, including the Chinese nanotechnology commercialization hub called Nanopolis Suzhou.

To help facilitate the safe commercialization of this game-changing technology, it is important that the requisite testing methods for characterizing and quantifying nanotechnology materials in consumer products, identifying and quantifying consumer exposures, and assessing potential health risks are developed.

Priority 3: Empowering stakeholders and the public through education and information.

Public Outreach: Communicating safety responsibilities to industry and educating the public on best safety practices and recalled products continue to be regarded as cost-effective methods of reducing injuries and deaths. Useful, timely information helps make consumers aware of hazardous products in the marketplace and can instruct consumers to act quickly if they own recalled products. Continuing to reach consumers and businesses, including at-risk communities and constituents, is an ongoing priority.

Priority 4: Implementing congressional requirements in a prudent and timely manner.

CPSIA: The CPSIA increased the mission requirements of the CPSC, requiring new regulations and mandates to improve consumer product safety. The Danny Keysar Child Product Safety Notification Act (Section 104 of the CPSIA) requires the Commission to study and develop safety standards for at least two durable infant or toddler products every six months.

Management Challenges

Management challenges identified by the CPSC's Inspector General are found on pp. 52-55 of the *FY 2016 Agency Financial Report* (AFR), which can be found at: www.cpsc.gov/about-cpsc/agency-reports/performance-and-budget.

Cross-Agency Collaborations

Collaboration with CBP on Import Surveillance

The CPSIA directed the CPSC to create a RAM to identify products imported into the United States that are most likely to violate consumer product safety statutes and regulations or contain a defect which constitutes a substantial product hazard. In October 2011, the CPSC launched a pilot RAM system, which integrates data collected by CBP with data used in CPSC systems to identify high-risk imports that might violate a CPSC statute or regulation.

E.O. 13659 - Streamlining the Export/Import Process for America's Businesses: The CPSC has proposed a full-scale national program to address the risks posed by noncompliant imports. The CPSC program is aligned with the International Trade Data System (ITDS) Single Window, and the fully-implemented RAM system would rely upon data collected within ITDS by CBP. The OMB-directed "Shared-First" approach increases communication among partnering government agencies and the trade community to avoid unnecessary entry delays for compliant cargo. In addition, this approach is designed to improve notification of responsible agencies when noncompliant cargo is identified. The CPSC is a member of the 10-agency Border Interagency Executive Council (BIEC) led by the Department of Homeland Security (DHS), the parent agency of CBP.

Collaboration with the National Institute of Standards and Technology (NIST) and the National Institute of Occupational Safety and Health (NIOSH)

Nanotechnology research and development (R&D) is rapidly being commercialized into consumer products, including products for children. Global trading partners are investing in the manufacturing infrastructure to produce and export these new products to the United States. To help advance Nanotechnology R&D, the CPSC

established Interagency Agreements (IAAs) with NIST and NIOSH during FY 2016:

- **CPSC's Collaboration with NIST:** As articulated in the IAA between CPSC and NIST, NIST will: (1) Identify physical models of airborne nanoparticle transport; (2) Implement airborne nanoparticle transport models in computer modeling tool (3) Document protocols for measuring of airborne nanoparticles released by abrasion; (4) Document protocols for characterization of nanoparticles released by abrasion; and (5) Collaborate with other federal agencies on improving particle transport dynamics and other factors in the new CPSC-NIST nano-specific model.
- **CPSC's Collaboration with NIOSH:** As articulated in the IAA between CPSC and NIOSH, NIOSH will conduct research on the following aspects of nanoparticles: particle generation, characterization and fractionation, *in vitro* dosimetric determination, *in vitro* toxicity investigation in multiple cell lines, *in vivo* evaluation of Positive Expiratory Pressure- (PEP-) induced cardiovascular effects via inhalation.

Expected Outcome from Collaboration with

NIHES: The research will enable the safe commercialization of consumer products containing nanomaterials by developing testing methods to quantify exposures and assess health risks.

Collaboration with the Centers for Disease Control and Prevention (CDC) on Data Collection through the National Electronic Injury Surveillance System (NEISS)

Overview: The CPSC collects information about consumer product-related injuries treated in hospital emergency rooms. This unique system provides statistically valid national estimates of product-related injuries from a probability sample of hospital emergency rooms. NEISS data are available to anyone with an Internet connection

at: www.cpsc.gov/en/research--statistics/NEISS-injury-data.

CDC: The CDC provides funding to the CPSC to support the collection of additional, CDC-defined data through the NEISS system on non-consumer product-related injuries. These comprehensive data on all trauma-related injuries, (not just consumer product-related injuries) make up CDC's nonfatal injury data component of the CDC's web-based Injury Statistics Query and Reporting System (WISQARS)TM, which is CDC's interactive, online database used by researchers, public health professionals, and the public.

Uses of NEISS Data: The NEISS data are a critically important component of the CPSC's data-driven approach to identifying emerging trends and consumer product hazards. Additionally, the NEISS data are used by other government agencies, consumer advocate organizations, and medical journals. Examples include:

- Bureau of Justice Statistics' (BJS) and CDC's use of the NEISS data as source of data on injuries related to domestic violence, sexual violence, and/or child abuse;
- U.S. Department of Veterans Affairs' use of the data to help inform decisions for its Pharmacy Benefits Management (PBM) Services;
- National Highway Traffic Safety Administration's (NHTSA) use of the data to help improve transportation safety;
- Occupational Safety and Health Administration's (OSHA) use of the data to help inform rulemaking; and
- National Fire Protection Association's (NFPA) use of the data for analysis of fireworks-related injuries.

Collaborations with Federal Agencies on Shared Services

Shared Services: The CPSC supports, and has designed its operating model around, the use of shared services to lower costs, improve service

delivery, and benefit from economies of scale not necessarily available to a small agency. The CPSC already leverages shared services for the following:

- **Financial Management System and Operations:** Financial Accounting System (Oracle) and Accounting Services provided by the Enterprise Service Center (ESC), Department of Transportation (DOT).
- **Payroll:** Payroll and related human resource (HR) system services provided through the U.S. Department of Interior (DOI).
- **Acquisition:** Supplementary procurement operating capacity provided by the Program Support Center (PSC) of the U.S. Department of Health and Human Services (HHS).
- **www.GrantSolutions.gov:** Data capture and workflow capabilities provided through the Grants Center of Excellence (COE) of HHS to support the CPSC's Virginia Graeme Baker (VGB) Act grant program.
- **Information Systems Security Line of Business (ISSLoB) Services:** ISSLoB services leveraged as part of continued implementation of OMB's 2005 ISSLoB initiative from the Department of Justice (DOJ), which is one of OMB's designated Shared Services Centers (SSC).
- **Federal Information Security Management Act (FISMA) Requirements:** Continuous Monitoring Assessment (CMA) services leveraged from ESC for CPSC's information systems, as part of compliance with FISMA.
- **eRulemaking:** The agency leverages shared services from the U.S. Environmental Protection Agency (EPA) for maintenance and operation of the Federal Docket Management System (FDMA), which is a centralized docket management system that provides federal agencies and citizens the ability to search, view, download, and submit comments on federal notices and rules.

Evaluation and Research

Key Performance Measures

The CPSC has identified a core set of 36 key performance measures that quantitatively describe progress in 2016 in implementing the FY 2011–FY 2016 Strategic Plan. The key performance measures form a manageable set of tools for monitoring and reporting progress toward the agency’s strategic goals and strategic objectives and facilitates using evidence in agency management and resource decisions. The key performance measures are supplemented by additional operating performance measures, which track lower-level project and program outcomes and outputs, and are used for internal management and decision-making. Additional internal milestones are set and monitored to track implementation progress.

Strategic Data Review Meetings

The CPSC implements a number of different mechanisms to review financial and performance data and manage programs during the course of the fiscal year. The Chief Financial Officer’s (CFO) office produces a monthly Resource Summary Report (RSR) for senior managers’ use, which summarizes the status of the agency’s financial resources and human capital. Financial data presented in the report include the current fiscal year’s annual funding level, cumulative allowances, cumulative funds obligated, and expended obligations, as well as information on onboard staffing levels. Another helpful agency practice has been conducting a midyear review process, during which the operating budget and program plans are reviewed for potential adjustments based on new information or emerging priorities of the agency. The agency also conducts periodic Strategic Data Reviews (SDRs). The SDRs are data-driven interim progress reviews that monitor and assess the status of performance measures and progress toward meeting the strategic objectives and priorities of

the agency. Performance information is analyzed in the meeting, and senior managers report on progress toward goals, objectives, milestones, and spending priorities. Managers also identify constraints or problems for discussion by the group, and follow-up actions are assigned.

Evaluation and Research

The CPSC evaluates its research outcomes in order to make informed management decisions, drive improvements in program delivery and effectiveness, and update future strategies and program formulation. The CPSC’s Office of the Inspector General (OIG) conducts audits, evaluations, reviews, and investigations relating to the agency’s programs and operations. The U.S. Government Accountability Office (GAO) also conducts performance audits and analyses, and makes recommendations to help improve the CPSC’s practices, policies, and programs. In addition, the CPSC performs targeted reviews of internal controls to determine if processes should be modified to strengthen and improve operations. Finally, the CPSC undertakes reviews or evaluations of specific programs as needed and supports research on the effectiveness of strategies and programs supporting the strategic goals in the Strategic Plan. When appropriate, the CPSC conducts research on how consumers actually use or interact with specific products, to better understand exposure to safety hazards. Information from these research efforts, which can include consumer surveys, contributes to work on development of product safety standards. A recent example is a survey on table saws conducted to help understand consumer use of a specific blade guard safety feature. Over the next year, the CPSC plans to conduct a nationally-representative survey to learn more about young children’s potential exposure to chemical and mechanical safety hazards related to playgrounds with surfacing material based on recycled tires.

Another national survey will be conducted on the consumer usage patterns and the functionality of installed smoke and carbon monoxide alarms in households. The CPSC is committed to using the findings from research and evaluation to improve programs, strategies, and progress toward Strategic Goals and Strategic Objectives.

Importance of Data and Evidence in Determining Program Priorities

The CPSC is a data-driven agency. The agency regularly collects and analyzes a wide range of

data from multiple sources that are relevant to its mission and uses that information to shape program strategies and select priorities. For example, the CPSC systematically reviews and analyzes data on injury and death incidents related to consumer products to develop the CPSC's hazard mitigation strategies. The CPSC receives data from NEISS, as well as from death certificates, Medical Examiner and Coroners Alert Project (MECAP) reports, incident reports, and www.SaferProducts.gov.

Appendix A

CPSC Performance: Data Limitations, Validation & Verification

Verification & Validation of Performance Data

The CPSC requires accurate data to assess agency progress toward its strategic and performance goals, and to make good management decisions. The CPSC's approach to verification and validation (V&V) of performance data, intended to improve the accuracy and reliability of reported performance data, is based upon the following:

- (1) The agency develops performance measures through its strategic planning and annual performance planning processes.
- (2) The CPSC's component organizations follow a standard reporting procedure to document detailed information for each performance measure in an internal agency database. The information includes, but is not limited to:
 - the performance measure definition
 - the rationale for the performance measure
 - the source of the data
 - the data collection and computation methods
 - data limitations
- (3) The CPSC's component organizations calculate and report data for the performance measures on a quarterly basis to the Office of Financial Management, Planning, and Evaluation (EXFM). Senior management analyzes and discusses the results at the agency's SDR meetings, which are held twice a year. The annual performance results are reviewed and approved by management before being published in agency documents, including the annual performance report.
- (4) In FY 2016, the CPSC implemented a verification and validation (V&V) process using established operating procedures with the goal of assessing every key performance measure within a two-year cycle. Program officials conducted an assessment on the completeness, consistency, timeliness, and quality of performance data for which they are

responsible, and identified data limitations for each key performance measure. EXFM then independently selected a sample of 15 key performance measures from across the agency's component organizations for testing and verification of the reported FY 2015 and FY 2016 performance data. EXFM used the supporting raw data, and, in some instances, the summation results provided by program officials, to independently check the reported FY 2015 and FY 2016 performance results. Based on the verification and validation procedures, FY 2016 data for key performance measures were determined to be reasonably accurate and reliable for the agency's intended use in performance management decisions. Two measures tracking media impressions were found to overestimate results. The agency has taken steps to correct this in future performance reporting. Detailed information on each of the key performance measures can be found in Appendix C, pp. 27 - 64.

- (5) Managers of major organizational units within the CPSC submit annual statements of assurance on the operating effectiveness of general- and program-level internal controls for their areas of responsibility. Those statements of assurance identify any known deficiencies or weaknesses in program-level internal controls where they exist, including any issues with the quality of program performance-data.

Data Limitations

While the agency does have reasonably reliable processes, procedures, and systems for collecting data for its performance measures, there are inherent limitations to the accuracy and reliability of reported performance information. Appendix C of this report describes the known data limitations, where applicable, for each key performance measure.

Appendix B

Changes to FY 2016 Performance Measures

In accordance with OMB Circular A-11 guidance, this section of the FY 2016 APR summarizes changes to the FY 2016 key performance measures that occurred between the publication of the FY 2016 PBR (February 2015) and this document, the FY 2016 APR (May 2017). The changes consist of: (1) FY 2016 performance measures that were discontinued or were newly added after the FY 2016 PBR publication; and (2) Revisions made to FY 2016 performance measures since the FY 2016 PBR publication. Changes to the performance measures resulted from the enactment of the CPSC FY 2016 annual appropriations and approval of the FY 2016 CPSC Operating Plan.

In the table below, the left-most column indicates whether the FY 2016 measure was discontinued, newly added, or revised after the FY 2016 PBR publication. For FY 2016 performance measures that were revised, the table shows changes that occurred after the FY 2016 PBR publication for the performance measure statement and/or the annual target.

| FY 2016 Measure Status | Measure ID | FY 2016 Performance Measure Statement (from FY 2016 PBR to FY 2016 APR) | FY 2016 Target | |
|------------------------|-------------|--|------------------|----------------|
| | | | FY 2016 PBR | FY 2016 APR |
| Discontinued | 2016BK1.2.1 | <u>PBR</u> : Number of training or outreach seminars for foreign manufacturers conducted by CPSC staff | 13 | (Discontinued) |
| Revised | 2016BK1.2.2 | Number of staff exchanges with foreign counterparts undertaken as part of the Extended Training Exchange Program | 3 | 2 |
| Revised | 2016BK1.2.4 | Number of collaborations undertaken with domestic nongovernment organizations such as trade associations, universities, or federations | 3 | 2 |
| New | 2016BK1.2.5 | <u>APR (newly added)</u> : Number of training or outreach seminars for foreign manufacturers and overseas U.S. importer representatives conducted by CPSC staff | | 13 |
| Discontinued | 2016BK2.1.2 | <u>PBR</u> : Number of collaborations established or maintained with other organizations to work on nanotechnology research or issues affecting consumer products | 5 | (Discontinued) |
| Revised | 2016BK2.1.4 | <u>PBR</u> : Number of voluntary standards activities that are actively participated in by CPSC staff | 77 | 71 |
| | | <u>APR (revised)</u> : Number of voluntary standards activities in which CPSC staff actively participates | | |
| Discontinued | 2016BK2.1.5 | <u>PBR</u> : Establish CPSC's Center for Consumer Product Applications and Safety Implications of Nanotechnology (CPASION) to develop robust methods in identifying and characterizing nanomaterials in consumer products; to understand their effects on human exposure; and to develop scientists to advance nanomaterials in consumer product safety research | Establish Center | (Discontinued) |
| Revised | 2015BK2.2.1 | Number of candidates for rulemaking prepared for Commission consideration | 19 | 22 |
| Discontinued | 2016BK3.2.4 | <u>PBR</u> : Percentage of all regulated non-import product samples that are tested within 90 days of receipt at NPTEC | TBD | (Discontinued) |
| Revised | 2016BK3.2.5 | Percentage of Section 15 Product Safety Assessment requests that are completed within the Hazard Level Completion time assigned | TBD | 90% |
| New | 2016BK3.2.6 | <u>APR (newly added)</u> : Percentage of all domestic and non-priority imported regulated product samples (excluding fireworks) that are tested within 60 days of receipt at NPTEC | | 85% |

| FY 2016 Measure Status | Measure ID | FY 2016 Performance Measure Statement (from FY 2016 PBR to FY 2016 APR) | FY 2016 Target | |
|------------------------|-------------|--|----------------|----------------|
| | | | FY 2016 PBR | FY 2016 APR |
| Discontinued | 2016BK3.4.6 | <u>PBR</u> : Percentage of first-time violators who are engaged with an informed compliance inspection within 30 days of violation determination | TBD | (Discontinued) |
| Revised | 2016BK3.4.7 | Percentage of entries sampled as identified through the Risk Assessment Methodology (RAM) pilot system | TBD | 11% |
| New | 2016BK3.4.8 | <u>APR (newly added)</u> : Percentage of first-time violators who are engaged with a timely informed compliance inspection after violation determination | | 80% |
| Revised | 2016BK3.5.3 | Number of hazard characterization annual reports completed on consumer product-related fatalities, injuries, and/or losses for specific hazards | 10 | 11 |
| Revised | 2016BK3.5.4 | Total number of products screened by CPSC field staff (excluding imports) | 200,000 | 180,000 |
| Revised | 2016BK4.4.2 | Average number of business days between establishment of first draft and issuance of recall press release for the most timely 90 percent of all recall press releases | 20 | 19 |
| Revised | 2016BK5.2.2 | <u>PBR</u> : Number of impressions of CPSC safety messages received by consumers on targeted consumer product safety hazards (in millions) | 6,500 | 8,500 |
| | | <u>APR (revised)</u> : Number of impressions of CPSC safety messages received by consumers on targeted consumer product safety hazards, excluding recalls (in millions) | | |
| Revised | 2016BK5.2.3 | <u>PBR</u> : Number of media events involving collaborations with other federal, state or local governments; consumer advocacy organizations; medical or industry groups; or other stakeholders that focus on a targeted hazard with high public concern | 5 | |
| | | <u>APR (revised)</u> : Number of media or social media events involving collaborations with other federal, state or local governments; consumer advocacy organizations; medical or industry groups; or other stakeholders that focus on a targeted hazard with high public concern | | |
| Revised | 2016BK5.3.1 | <u>PBR</u> : Number of impressions of CPSC safety messages received by consumers on priority hazards in vulnerable communities (in millions) | 1,795 | 2,750 |
| | | <u>APR (revised)</u> : Number of impressions of CPSC safety messages received by consumers on priority hazards in vulnerable communities, excluding recalls (in millions) | | |
| Revised | 2016BK5.3.4 | <u>PBR</u> : Number of media events involving collaborations with other federal, state or local governments; consumer advocacy organizations; medical or industry groups; or other stakeholders that focus on a priority hazard in vulnerable communities <u>APR (revised)</u> : Number of media or social media events involving collaborations with other federal, state or local governments; consumer advocacy organizations; medical or industry groups; or other stakeholders that focus on a priority hazard in vulnerable communities | 15 | |

Appendix C

Detailed Information on Performance Measures

Presented in this section is detailed information on all 36 of the CPSC’s FY 2016 key performance measures.¹⁰ The FY 2016 Annual Performance Plan (APP), which was approved by the Commission, includes FY 2016 performance measures and annual targets, used for tracking progress toward achieving the strategic goals and strategic objectives from the agency’s FY 2011–FY 2016 Strategic Plan.

Navigation: The performance measures are organized by Strategic Goal. For each performance measure, this appendix shows key information from the data fields listed in the CPSC’s centralized Performance Management Database (PMD). Each quarter, the CPSC’s component organizations are responsible for reporting actual progress for each performance measure in the PMD. The following are the data fields listed in this appendix for each performance measure:

| Name of Data Field | Description |
|-----------------------------------|---|
| Control ID | A unique identifier assigned to each performance measure. |
| Program | The CPSC’s component organization that is responsible for the performance measure. |
| Strategic Goal | The strategic goal from the CPSC’s FY 2011–FY 2016 Strategic Plan with which this performance measure is associated. |
| Strategic Objective | The strategic objective from the CPSC’s FY 2011–FY 2016 Strategic Plan with which this performance measure is associated. |
| Goal Statement | A performance result or outcome (this performance measure tracks progress toward the goal). |
| Performance Measure Statement: | A measurable value that indicates the state or level of the targeted result. |
| Definition of Performance Measure | A clear description of the indicator, with enough specificity so that different individuals would collect and report the same information for the measure. |
| Rationale for Performance Measure | A description of why the performance measure was selected; how it tracks progress toward the associated goal statement or strategic objective; and how the information will be useful for management. |

¹⁰ The FY 2016 APR, which reports on the results of FY 2016 performance measures, concludes reporting on the agency’s FY 2011–FY 2016 Strategic Plan.

| Name of Data Field | Description |
|--|--|
| 2012–2016 Actuals; Target met? | FY 2016 Target and historical actual values for the performance measure and indication of whether the FY 2016 Target was met. |
| Analysis | This field may include: <ul style="list-style-type: none"> • An explanation of how progress toward meeting the annual target for this performance measure contributes to progress toward meeting the strategic objective; • Annual Target: <ul style="list-style-type: none"> ○ If the FY 2016 target was met, a description of the key elements that contributed to success in meeting the target; ○ If the FY 2016 target was not met, a description of the issues/obstacles that impeded success in meeting the target; ○ If data from FY 2016 results are not available, the reason(s) for the unavailability and the expected date that the data will become available; • Trend discussion of the results: positive, negative, or steady; expectations for trends over time. |
| Plan(s) for Improving Performance Measure | If applicable, a description of actions to be implemented to improve performance and achieve the result in future years. |
| Data Source | Identification of data source(s) with enough specificity, so that the same source can be used for the performance measure over time. |
| Data Collection Method and Computation | Detailed description of the collection and computation method, so that it can be replicated consistently over time and by different staff. |
| Data Limitations & Implications of the Reported Results | Identification of any known data limitations, including a description of the limitations, the impact limitations may have on measuring progress toward the annual target and/or the related performance goal, and the actions that will be taken to correct the limitations. |

| | | | | | | |
|---|--------------------|--------------------|--------------------|--------------------|--------------------|--------------------|
| Control ID | | Program | | | | |
| 2016BK1.2.2 | | International | | | | |
| Strategic Goal | | | | | | |
| Goal 1: Leadership in Safety | | | | | | |
| Strategic Objective | | | | | | |
| 1.2: Create and strengthen partnerships with stakeholders aimed at improving product safety throughout the supply chain. | | | | | | |
| Goal Statement | | | | | | |
| Increase training aimed at improving consumer product safety | | | | | | |
| Performance Measure Statement | | | | | | |
| Number of staff exchanges with foreign counterparts undertaken as part of the Extended Training Exchange Program | | | | | | |
| Definition of Performance Measure | | | | | | |
| Number of staff exchanges with foreign consumer product safety regulatory agencies undertaken as part of CPSC's extended Training Exchange Program | | | | | | |
| Rationale for Performance Measure | | | | | | |
| Foreign regulators are key stakeholders because they regulate manufacturers in their jurisdictions. Exchange programs with foreign officials contribute to improved product safety. To the extent that unsafe products are not manufactured anywhere in the world, they will not find their way into the hands of U.S. consumers. | | | | | | |
| 2012 Actual | 2013 Actual | 2014 Actual | 2015 Actual | 2016 Target | 2016 Actual | Target Met? |
| 2 | 2 | 2 | 2 | 2 | 2 | ✓ |
| Analysis | | | | | | |
| The CPSC's International Training Exchange Program completed two exchanges for FY 2016. An outbound exchange to the European Commission and to the United Kingdom (same travel divided between two locations) and an inbound exchange from Taiwan. Both exchanges strengthened the safety of Consumer Products in the United States through the sharing of best practices with other regulators. | | | | | | |
| Plan(s) for Improving Performance | | | | | | |
| The inbound exchange participant will be asked to gauge increased understanding of CPSC best practices after having completed the training. | | | | | | |
| Data Source | | | | | | |
| EXIP annual report on exchange program accomplishments | | | | | | |
| Data Collection Method and Computation | | | | | | |
| Count the number of inbound and outbound foreign exchanges. | | | | | | |
| Data Limitations and Implications of the Reported Results | | | | | | |
| Planned exchange programs are based on CPSC International's Programs' annual program plans. At the conclusion of each exchange, trained officials share firsthand knowledge on similarities and differences among respective organizations via webinars. These planned programs with foreign officials for the fiscal year may change as policies and circumstances change. The consequential behavior of a foreign regulator after an exchange is beyond our ability to measure. Because staff exchanges are implemented with a small subset of international partners, the impact on the global marketplace is limited. | | | | | | |

| | | | | | | |
|---|--------------------|--------------------|--------------------|--------------------|--------------------|--------------------|
| Control ID | | | | Program | | |
| 2016BK1.2.4 | | | | Executive | | |
| Strategic Goal | | | | | | |
| Goal 1: Leadership in Safety | | | | | | |
| Strategic Objective | | | | | | |
| 1.2: Create and strengthen partnerships with stakeholders aimed at improving product safety throughout the supply chain. | | | | | | |
| Goal Statement | | | | | | |
| Create and strengthen collaborations aimed at improving consumer product safety | | | | | | |
| Performance Measure Statement | | | | | | |
| Number of collaborations undertaken with domestic nongovernment organizations such as trade associations, universities, or federations | | | | | | |
| Definition of Performance Measure | | | | | | |
| A collaboration is counted when a working relationship has been established with a domestic nongovernment organization, such as a trade association, university, federation or other organization involved in consumer product safety activities. This can be in the form of public/private partnerships. | | | | | | |
| Rationale for Performance Measure | | | | | | |
| Increased collaboration with domestic nongovernment organizations, such as trade associations, universities, federations, or other organizations that are involved in consumer product safety activities, will contribute to improvements in product quality, safety design, and overall consumer safety. | | | | | | |
| 2012 Actual | 2013 Actual | 2014 Actual | 2015 Actual | 2016 Target | 2016 Actual | Target Met? |
| -- | -- | -- | 2 | 2 | 3 | ✓ |
| Analysis | | | | | | |
| The CPSC exceeded its FY 2016 target of two collaborations by establishing three collaborations. Positive relationships were secured with three trade associations: (1) Women in Toys, a non-profit that promotes women entrepreneurs in the toy industry; (2) All Baby & Child Corporation, a partnership of juvenile industry manufacturers and retailers organized to promote children's product safety; and (3) the Customs Brokers & International Freight Forwarders Association of Washington State. The relationships allowed CPSC staff to share information about regulatory requirements and learn about a regulated industry that the CPSC had not collaborated with in the past. These relationships also enable the CPSC to identify emerging technologies and incorporate those changes into future CPSC trainings and collaborations. | | | | | | |
| Plan(s) for Improving Performance | | | | | | |
| Starting in FY 2017, this measure will be monitored and reported internally. | | | | | | |
| Data Source | | | | | | |
| Deputy Executive Director for Safety Operations' list of those with whom CPSC has established working relationships, which are supported by trip reports and relevant Small Business Ombudsman (SBO) documentation | | | | | | |
| Data Collection Method and Computation | | | | | | |
| Count of the number of organizations listed in the Office of Executive Director's file for "Stakeholder List" associated with the fiscal year. | | | | | | |
| Data Limitations and Implications of the Reported Results | | | | | | |
| The extent of and definition of what constitutes a collaboration or working relationship with an organization vary, and each organization is counted as one for this measure. Because of the relatively modest number of CPSC collaborations, the impact on the global marketplace is limited. | | | | | | |

| | | | | | | |
|--|--------------------|--------------------|--------------------|--------------------|--------------------|--------------------|
| Control ID | | | | Program | | |
| 2016BK1.2.5 | | | | International | | |
| Strategic Goal | | | | | | |
| Goal 1: Leadership in Safety | | | | | | |
| Strategic Objective | | | | | | |
| 1.2: Create and strengthen partnerships with stakeholders aimed at improving product safety throughout the supply chain. | | | | | | |
| Goal Statement | | | | | | |
| Create and strengthen collaborations aimed at improving consumer product safety | | | | | | |
| Performance Measure Statement | | | | | | |
| Number of training or outreach seminars for foreign manufacturers and overseas U.S. importer representatives conducted by CPSC staff | | | | | | |
| Definition of Performance Measure | | | | | | |
| Events conducted by CPSC staff for foreign manufacturers and overseas U.S. importer representatives on selected consumer product safety topics | | | | | | |
| Rationale for Performance Measure | | | | | | |
| The CPSC conducts training and outreach seminars for foreign manufacturers of imported consumer products and overseas U.S. importer representatives to help them comply with U.S. safety requirements. This approach is intended to reduce the need for subsequent remedial action or recalls. | | | | | | |
| 2012 Actual | 2013 Actual | 2014 Actual | 2015 Actual | 2016 Target | 2016 Actual | Target Met? |
| -- | -- | -- | -- | 13 | 25 ¹¹ | ✓ |
| Analysis | | | | | | |
| Experience has shown that it is difficult to predict the number of training events that will take place since many result from opportunities that the CPSC learns about on short notice. CPSC staff has a high level of confidence that the target can be met and works hard to exceed the target as opportunities arise. | | | | | | |
| Plan(s) for Improving Performance | | | | | | |
| None | | | | | | |
| Data Source | | | | | | |
| EXIP International Training Log | | | | | | |
| Data Collection Method and Computation | | | | | | |
| As each training event is accomplished, entries will be made in a spreadsheet noting the event number, type of event, visitor/audience jurisdiction, date of event, visitor/audience organization, and location of event. The number of events conducted for foreign manufacturers and overseas U.S. importer representatives is counted. | | | | | | |
| Data Limitations and Implications of the Reported Results | | | | | | |
| CPSC staff independently assessed the FY 2016 data for this performance measure as part of a Verification and Validation exercise, and found that the FY 2016 result needed to be corrected to 25 from 22 (as was previously reported in the FY 2016 AFR). The corrected result is accurate and exceeds the 2016 target by an even greater amount. Surveys conducted by the host at the end of the training indicate value and relevance for the participants and help improve the quality of future training. However, the consequential behavior of any single participant is beyond our ability to measure. The data are limited to the attendees whose participation was self-selected, which limits the agency's ability to extrapolate the data to the global scale. | | | | | | |

¹¹ Correction: The FY 2016 Actual has been corrected to 25 from 22, which was initially reported on p. 5 of the FY 2016 Agency Financial Report (AFR) (November 2016).

| | | | | | | |
|--|--------------------|--------------------|--------------------|--------------------|--------------------|--------------------|
| Control ID | | Program | | | | |
| 2016BK1.6.1 | | Personnel | | | | |
| Strategic Goal | | | | | | |
| Goal 1: Leadership in Safety | | | | | | |
| Strategic Objective | | | | | | |
| 1.6: Attract, retain, and collaborate with leading experts to address consumer product hazards. | | | | | | |
| Goal Statement | | | | | | |
| Recruit, retain, and develop a high-performing workforce | | | | | | |
| Performance Measure Statement | | | | | | |
| Employee retention rate | | | | | | |
| Definition of Performance Measure | | | | | | |
| Number of new, permanent employees who are still employed by the agency 2 years after being hired, divided by total number of employees who were hired 2 years ago (excluding any employee whose departure was initiated by the agency) | | | | | | |
| Rationale for Performance Measure | | | | | | |
| This is a direct measure of workforce retention, which contributes to achieving the goal of having a high-performance workforce. Research shows that employees who are retained for at least 2 years have completed agency orientation and basic training, fully understand the agency environment, and are vested, engaged employees. | | | | | | |
| 2012 Actual | 2013 Actual | 2014 Actual | 2015 Actual | 2016 Target | 2016 Actual | Target Met? |
| -- | -- | -- | 85% ¹² | 85% | 70% | X |
| Analysis | | | | | | |
| The CPSC's employee retention rate was 70 percent, falling short of the target of 85 percent. The CPSC's employee retention metric only measures retention of new employees. The agency hired 37 permanent employees in FY 2014. Of those 37, 11 left the agency before their 2-year mark with the agency; all 11 were Operations Support employees. The results are indicative of a workforce that is increasingly mobile with in-demand skills. | | | | | | |
| Plan(s) for Improving Performance Measure | | | | | | |
| Since this measure reports on the FY 2014 cohort of new hires, improved performance measures are developed to replace this. This include implementing the Employee Engagement Initiative, making Onboarding improvements, and establishing expanded training and development programs (Individual Development Plans [IDPs] for new employees), and new employee Sponsorship program. | | | | | | |
| Data Source | | | | | | |
| Employment records | | | | | | |
| Data Collection Method and Computation | | | | | | |
| Reports on permanent hires and separations are from the Federal Personnel Payroll System (FPPS). The new hire employee retention rate for the current fiscal year is computed as follows: total number of new, permanent hires in FY(Y-2) minus departures by this cohort from the agency, divided by total number of new, permanent hires in FY(Y-2), where YY is the current fiscal year (excluding departures initiated by the agency). | | | | | | |
| Data Limitations and Implications of the Reported Results | | | | | | |
| CPSC staff independently assessed the accuracy and reliability of the FY 2015 and FY 2016 data for this performance measure as part of a verification and validation exercise, and found that the FY 2015 result needed to be corrected to account for the calculation of involuntary separations. The agency is committed to our most valuable resource, our workforce, which is why it is our first strategic goal: <i>Cultivate the Most Effective Consumer Product Safety Workforce</i> in the 2016–2020 Strategic Plan. A limitation of this measure is that it does not capture reasons for which employees separate. Additional information was collected and found that employees separated for a variety of personal reasons (e.g., higher pay, shorter commute, advancement potential, personal preference, etc.). | | | | | | |

¹² Correction: The FY 2015 Actual has been corrected to 85 percent from 87 percent, which was previously reported in the FY 2015 AFR (November 2015) and FY 2015 APR (February 2016).

| | | | | | | |
|--|--------------------|--------------------|--------------------|--------------------|--------------------|--------------------|
| Control ID | | Program | | | | |
| 2016BK1.6.2 | | Personnel | | | | |
| Strategic Goal | | | | | | |
| Goal 1: Leadership in Safety | | | | | | |
| Strategic Objective | | | | | | |
| 1.6: Attract, retain, and collaborate with leading experts to address consumer product hazards. | | | | | | |
| Goal Statement | | | | | | |
| Recruit, retain, and develop a high performing workforce | | | | | | |
| Performance Measure Statement | | | | | | |
| Average hiring time (recruitment time using U.S. Office of Personnel Management's (OPM's) End-to-End hiring process) (days) | | | | | | |
| Definition of Performance Measure | | | | | | |
| Hiring time is defined by OPM in its End-to-End Hiring Plan as the time (in calendar days) from the date a manager identifies the need for a new hire (as indicated by submission of an SF-52 classified position description and necessary information to begin the recruitment process) to the employee's first day on the job. | | | | | | |
| Rationale for Performance Measure | | | | | | |
| Average hiring time is a measure of how quickly the agency recruits its workforce, which contributes to achieving the goal of having a high performing workforce. | | | | | | |
| 2012 Actual | 2013 Actual | 2014 Actual | 2015 Actual | 2016 Target | 2016 Actual | Target Met? |
| 75 | 73 | 78 | 74 | 80 | 76 | ✓ |
| Analysis | | | | | | |
| The CPSC continues to outperform the target of 80 calendar days since 2012. Successful recruitment of highly qualified applicants in a timely manner enables the agency to have the human capital it needs to accomplish the mission. The agency was successful in reducing the number of days because selecting officials took to less time making final selection and had fewer extensions in the 4 th quarter. | | | | | | |
| Plan(s) for Improving Performance Measure | | | | | | |
| Program office strives to outperform the OPM's government-wide target of 80 days. | | | | | | |
| Data Source | | | | | | |
| Career Connection, Federal Personnel Payroll System (FPPS) | | | | | | |
| Data Collection Method and Computation | | | | | | |
| EXRM E2E Spreadsheet, which pulls data from Career Connection and e2, computes the performance measure. Sum of hiring times for all new employees brought on board in a fiscal year, divided by number of new employees brought on board in a fiscal year. | | | | | | |
| Data Limitations and Implications of the Reported Results | | | | | | |
| CPSC staff independently assessed the accuracy and reliability of the FY 2015 and FY 2016 data for this performance measure as part of a validation and verification exercise. No significant limitations were found, based on the data provided by the office. | | | | | | |

| | | | | | | |
|---|--------------------|--------------------|--------------------|--------------------|--------------------|--------------------|
| Control ID | | Program | | | | |
| 2016BK1.6.3 | | Personnel | | | | |
| Strategic Goal | | | | | | |
| Goal 1: Leadership in Safety | | | | | | |
| Strategic Objective | | | | | | |
| 1.6: Attract, retain, and collaborate with leading experts to address consumer product hazards. | | | | | | |
| Goal Statement | | | | | | |
| Recruit, retain, and develop a high-performing workforce | | | | | | |
| Performance Measure Statement | | | | | | |
| Training participation rate | | | | | | |
| Definition of Performance Measure | | | | | | |
| Number of employees who attend at least one discretionary training during the fiscal year, divided by total number of employees on board at the end of the fiscal year | | | | | | |
| Rationale for Performance Measure | | | | | | |
| The training participation rate is a measure of the goal of developing a high-performing workforce. | | | | | | |
| 2012 Actual | 2013 Actual | 2014 Actual | 2015 Actual | 2016 Target | 2016 Actual | Target Met? |
| 73.6% | 83% | 93% | 90% | 90% | 92.8% | ✓ |
| Analysis | | | | | | |
| The CPSC achieved a 92.8 percent training participation rate, and has maintained performance at or above the 90 percent rate since 2014. Two years in a row, a training needs assessment was conducted prior to the start of fiscal year to ensure that the agency training and developmental sessions being offered were targeted to employees' needs. | | | | | | |
| Plan(s) for Improving Performance Measure | | | | | | |
| Starting in FY 2017, this measure will be discontinued. Program office will begin developing Individual Development Plans (IDPs) for employees as well as other wellness programs. | | | | | | |
| Data Source | | | | | | |
| Training records from Talent Management System (TMS), which includes online or web-based courses, on-site courses, and off-site courses. | | | | | | |
| Data Collection Method and Computation | | | | | | |
| Data are extracted from TMS records for employees who have one or more trainings (excluding mandatory trainings). Calculate the number of employees in TMS as of fiscal year end whose attendance at one or more trainings is reflected in TMS, divided by the total number of employees as of fiscal year end. | | | | | | |
| Data Limitations and Implications of the Reported Results | | | | | | |
| The accuracy of the data reported for this measure is highly dependent on the extent to which all employees voluntarily enter their training data into TMS. | | | | | | |

| | | | | | | |
|---|--------------------|--------------------|--------------------|--------------------|--------------------|--------------------|
| Control ID | | Program | | | | |
| 2016BK2.1.3 | | Hazard | | | | |
| Strategic Goal | | | | | | |
| Goal 2: Commitment to Prevention | | | | | | |
| Strategic Objective | | | | | | |
| 2.1: Minimize hazardous defects early in the manufacturing process through increased participation in voluntary standards activities. | | | | | | |
| Goal Statement | | | | | | |
| Increase collaboration on nanotechnology issues affecting consumer products | | | | | | |
| Performance Measure Statement | | | | | | |
| Number of reports produced on the results of collaboration on nanotechnology issues affecting consumer products | | | | | | |
| Definition of Performance Measure | | | | | | |
| Nanotechnology reports can focus on detection, development of methods to quantify releases of, and/or determination of potential human exposure to specific nanomaterials in consumer products. A collaboration may result in more than one report. This measure tracks both interim and final reports, manuscripts, or formal presentations at scientific meetings. Final reports, which are often peer reviewed and/or published, are issued at the conclusion of a collaborative activity. Interim reports, which contain substantive data sufficient for presentation at a scientific meeting, are produced before the conclusion of the collaborative activity. | | | | | | |
| Rationale for Performance Measure | | | | | | |
| The purpose of the CPSC's collaborative efforts on nanotechnology issues is to produce reports and manuscripts that provide data on nanomaterials used in or released from consumer products. The data should be made available, when appropriate, to assist stakeholders in addressing nanomaterial safety and ultimately should contribute to improved safety of nanomaterial use in consumer products. | | | | | | |
| 2012 Actual | 2013 Actual | 2014 Actual | 2015 Actual | 2016 Target | 2016 Actual | Target Met? |
| 9 | 11 | 11 | 10 | 5 | 7 | ✓ |
| Analysis | | | | | | |
| <p>The CPSC exceeded the FY 2016 target of five reports; seven reports were produced on the results of interagency research collaborations. The level of strategic funding of nanotechnology research in FY 2016 has resulted in scientific reports that provide a basis for the CPSC to assess exposure and the risks from consumer products that contain nanomaterials. Some of these reports are:</p> <ul style="list-style-type: none"> • Pirela et.al. "Effects of intratracheally instilled laser printer-emitted engineered nanoparticles in a mouse model: A case study of toxicological implications from nanomaterials released during consumer use," <i>NanoImpact</i> 1, January 2016, pp. 1–8. • Pirela et.al. "Effects of laser printer-emitted engineered nanoparticles on cytotoxicity, chemokine expression, reactive oxygen species, DNA methylation, and DNA damage: a comprehensive in vitro analysis in human small airway epithelial cells, macrophages, and lymphoblasts," <i>Environmental Health Perspectives</i> 124(2), February 2016, pp. 210-218. • "Quantifying Exposure to Engineered Nanomaterials (QEEN) from Manufactured Products: Addressing Environmental, Health, and Safety Implications," released March 28, 2016. • Platten et.al. "Estimating dermal transfer of copper particles from the surfaces of pressure-treated lumber and implications for exposure," <i>Science of the Total Environment</i> 548-549, April 1, 2016, pp. 441-449. | | | | | | |
| Plan(s) for Improving Performance Measure | | | | | | |
| Building upon the relationships and understanding from past years, the CPSC will continue to identify key research needs and partners to advance the understanding of nanotechnology issues affecting consumer products, with particular focus on developing methods for consumer exposures and publishing results of agency-sponsored research, and incorporating results from the agency-sponsored research into planning for future research on nanomaterials. | | | | | | |
| Data Source | | | | | | |
| CPSC Nanotechnology Team Intranet Site | | | | | | |
| Data Collection Method and Computation | | | | | | |
| Count of the number of reports/manuscripts collected and posted to CPSC Nanotechnology Team site. | | | | | | |
| Data Limitations and Implications of the Reported Results | | | | | | |
| The number of reports issued are not indicative of any resulting actions that may be taken to address the risks associated with nanotechnology. | | | | | | |

| | | | | | | |
|---|--------------------|--------------------|--------------------|--------------------|--------------------|--------------------|
| Control ID | | | | Program | | |
| 2016BK2.1.4 | | | | Hazard | | |
| Strategic Goal | | | | | | |
| Goal 2: Commitment to Prevention | | | | | | |
| Strategic Objective | | | | | | |
| 2.1: Minimize hazardous defects early in the manufacturing process through increased participation in voluntary standards activities. | | | | | | |
| Goal Statement | | | | | | |
| Increase technical support or monitoring for voluntary standards activities | | | | | | |
| Performance Measure Statement | | | | | | |
| Number of voluntary standards activities in which CPSC staff actively participates | | | | | | |
| Definition of Performance Measure | | | | | | |
| <p>A voluntary standard is defined as a consensus product standard and is also called a safety standard. It is a prescribed set of rules, conditions, or requirements concerning definitions of product-related items; classification of components; specification of materials, performance or operations; delineation of procedures; or measurement of quantity and quality in describing products, materials, systems, services, or practices relating to the safety of consumer products found in the home, schools, and/or recreation areas, which, by itself, imposes no obligation regarding use.</p> <p>CPSC staff expects to participate actively in voluntary standards activities. Active participation extends beyond attendance at meetings and may include, among other things, any one or more of the following: providing injury data and hazard analyses, encouraging the development of a voluntary safety standard, identifying specific risks of injury, performing research, developing health science data, performing laboratory technical assistance, and taking other actions that the Commission, in a particular situation, feels appropriate. A listing of these activities can be found at 16 CFR §1031.7.</p> <p>Voluntary standards activities are tracked in the Voluntary Standards Tracking and Access Report (V-STAR).</p> | | | | | | |
| Rationale for Performance Measure | | | | | | |
| The CPSC works to minimize hazardous defects through increased participation in voluntary standards activities. The CPSC's statutory authority requires the agency to rely on voluntary standards rather than promulgate mandatory standards, if compliance with a voluntary standard would eliminate or adequately reduce the risk of injury identified and it is likely that there will be substantial compliance with the voluntary standards. | | | | | | |
| 2012 Actual | 2013 Actual | 2014 Actual | 2015 Actual | 2016 Target | 2016 Actual | Target Met? |
| -- | -- | -- | 81 | 71 | 71 | ✓ |
| Analysis | | | | | | |
| The CPSC was active in all of the planned 71 voluntary standards during FY 2016. By participating in voluntary standards activities, including both new standards development and revisions to existing standards, manufacturers can avoid potential product safety issues before products enter the marketplace. | | | | | | |
| Plan(s) for Improving Performance Measure | | | | | | |
| CPSC staff plans to continue to suggest revisions to voluntary standards, participate in the development of new standards, and to a limited extent, lead standards development activities as allowed by FY 2016 revisions to 16 CFR §1031. | | | | | | |
| Data Source | | | | | | |
| Voluntary Standards Tracking and Access Report (V-STAR) | | | | | | |
| Data Collection Method and Computation | | | | | | |
| The data are collected biannually by the Voluntary Standards Coordinator from the responsible individuals participating in the standards work. It is a simple count of standards activities. | | | | | | |
| Data Limitations and Implications of the Reported Results | | | | | | |
| This measure is effective at measuring activity, but is an indirect indicator of success in achieving the overall strategic objective of minimizing hazardous defects early in the process. | | | | | | |

| | | | | | | |
|---|--------------------|--------------------|--------------------|--------------------|--------------------|--------------------|
| Control ID | | Program | | | | |
| 2016BK2.2.1 | | Hazard | | | | |
| Strategic Goal | | | | | | |
| Goal 2: Commitment to Prevention | | | | | | |
| Strategic Objective | | | | | | |
| 2.2: Improve the safety of consumer products by issuing mandatory standards, where necessary and consistent with statutory authority, in response to identified product hazards. | | | | | | |
| Goal Statement | | | | | | |
| Prepare rulemaking candidates for Commission consideration, as required | | | | | | |
| Performance Measure Statement | | | | | | |
| Number of candidates for rulemaking prepared for Commission consideration | | | | | | |
| Definition of Performance Measure | | | | | | |
| The number of rulemaking briefing packages submitted by CPSC staff for the Commission's consideration | | | | | | |
| Rationale for Performance Measure | | | | | | |
| Safety standards address hazards associated with the use of consumer products. Consumer products that have been designed and manufactured to mandatory safety standards help prevent future hazards from occurring. | | | | | | |
| 2012 Actual | 2013 Actual | 2014 Actual | 2015 Actual | 2016 Target | 2016 Actual | Target Met? |
| 28 | 14 | 10 | 20 | 22 | 10 | x |
| Analysis | | | | | | |
| The FY 2016 target was 22; the FY 2016 actual result was 10. The CPSC did not meet the target. During FY 2016, CPSC staff prepared 10 rulemaking packages for Commission consideration. Nine of these were in the original target; one package (Stroller Direct Final Rule [DFR]) emerged due to American Section of the International Association for Testing Materials (ASTM) action. Of the remaining 13 from the original planned list of 22, 5 were submitted for the CPSC's Section 6(b)(6) clearance but not delivered to the Commission by September 30, 2016; 5 were CPSIA Section 104 rulemakings that were delayed due to ASTM's pending critical work on the associated voluntary standards; 1 (Phthalates Final Rule [FR]) required more extensive work than planned; 1 (6[b] FR) was not completed by the Office of General Counsel (OGC), due to other higher priority work; and 1 (Voluntary Recall FR) was not completed by the Office of Compliance and Field Operations (EXC), also due to other higher priority work. | | | | | | |
| Plan(s) for Improving Performance Measure | | | | | | |
| EXHR has refined planning processes to provide greater certainty on milestones being met. | | | | | | |
| Data Source | | | | | | |
| Postings on www.cpsc.gov at: www.cpsc.gov/newsroom/FOIA/commission-briefing-packages . | | | | | | |
| Data Collection Method and Computation | | | | | | |
| Count the number of rulemaking briefing packages (Advance Notices of Proposed Rulemaking [ANPR], Notices of Proposed Rulemaking [NPR], and final rules) that are posted on www.cpsc.gov . | | | | | | |
| Data Limitations and Implications of the Reported Results | | | | | | |
| The data show the number of rulemaking candidates prepared by staff for the Commission, and not necessarily whether they have been approved or not by the Commission. | | | | | | |

| | | | | | | |
|--|--------------------|--------------------|--------------------|--------------------|--------------------|--------------------|
| Control ID | | | | Program | | |
| 2016BK2.3.1 | | | | Executive | | |
| Strategic Goal | | | | | | |
| Goal 2: Commitment to Prevention | | | | | | |
| Strategic Objective | | | | | | |
| 2.3: Facilitate the development of safer products by training industry stakeholders on the CPSC regulatory requirements and hazard identification best practices. | | | | | | |
| Goal Statement | | | | | | |
| Improve availability of training and guidance for industry stakeholders (domestic and foreign) | | | | | | |
| Performance Measure Statement | | | | | | |
| Number of domestic training activities made available to industry stakeholders | | | | | | |
| Definition of Performance Measure | | | | | | |
| Industry stakeholders are domestic and foreign manufacturers of consumer products. A training activity is described as an in-person training, onsite session, webinar, or live or archived webcast to groups that is offered by CPSC staff. It excludes individual communication. | | | | | | |
| Rationale for Performance Measure | | | | | | |
| Increasing the number of training activities made available to industry stakeholders on CPSC regulatory requirements and hazard identification best practices will ultimately facilitate development of safer products. | | | | | | |
| 2012 Actual | 2013 Actual | 2014 Actual | 2015 Actual | 2016 Target | 2016 Actual | Target Met? |
| -- | 14 | 23 | 7 | 7 | 10 | ✓ |
| Analysis | | | | | | |
| The CPSC conducted 10 domestic training activities, exceeding the target of seven. The target was met in FY 2016 despite reduced staff availability and the need to complete an additional long-term project, the Regulatory Robot, (an interactive tool providing on-demand information for small businesses) in FY 2016. | | | | | | |
| Plan(s) for Improving Performance Measure | | | | | | |
| Starting in FY 2017, this measure will be monitored and reported internally. | | | | | | |
| Data Source | | | | | | |
| Small Business Ombudsman Outreach, Presentation, and Training Log in Excel | | | | | | |
| Data Collection Method and Computation | | | | | | |
| Count the number of training activities from the spreadsheet used for tracking the number of trainings to external stakeholders on CPSC regulatory requirements and hazard identification best practices | | | | | | |
| Data Limitations and Implications of the Reported Results | | | | | | |
| No known data limitations; however, this does involve manual tracking of training records. A limitation of the measure is that the number of trainings does not indicate the extent to which participants' found the training to be useful. | | | | | | |

| | | | | | | |
|--|--------------------|--------------------|--------------------|--------------------|--------------------|--------------------|
| Control ID | | | | Program | | |
| 2016BK3.1.1 | | | | Hazard | | |
| Strategic Goal | | | | | | |
| Goal 3: Rigorous Hazard Identification | | | | | | |
| Strategic Objective | | | | | | |
| 3.1: Improve the quality and comprehensiveness of crucial product hazard data. | | | | | | |
| Goal Statement | | | | | | |
| Ensure range and quality of consumer product-related incident data | | | | | | |
| Performance Measure Statement | | | | | | |
| Percentage of National Electronic Injury Surveillance System (NEISS) member hospitals evaluated at least once a year | | | | | | |
| Definition of Performance Measure | | | | | | |
| The number of NEISS hospitals with at least one evaluation visit in a fiscal year divided by the total number of NEISS hospitals in that fiscal year | | | | | | |
| Rationale for Performance Measure | | | | | | |
| Evaluation visits are conducted at most NEISS hospitals every year to provide CPSC staff the opportunity to review hospital records and to ensure that hospital coders are capturing and correctly coding reportable cases, thus improving the comprehensiveness and quality of data. | | | | | | |
| 2012 Actual | 2013 Actual | 2014 Actual | 2015 Actual | 2016 Target | 2016 Actual | Target Met? |
| 98% | 99% | 100% | 100% | 98% | 100% | ✓ |
| Analysis | | | | | | |
| The CPSC exceeded the FY 2016 target of 98 percent; 100 percent of the NEISS hospitals were evaluated. NEISS hospital visits allow capture rate estimates to be assessed during each visit to ensure that consumer product-related Emergency Department (ED) visits are captured from medical records. This efforts ensures the quality of national consumer product-related injury estimates. | | | | | | |
| Plan(s) for Improving Performance Measure | | | | | | |
| The CPSC will continue to maintain focus on the importance of NEISS hospital visits and maintain accountability within the Directorate for Epidemiology. The FY 2017 hospital visit schedule has been drafted. | | | | | | |
| Data Source | | | | | | |
| NEISS Administrative Records System (NARS) | | | | | | |
| Data Collection Method and Computation | | | | | | |
| Data from each hospital visit is captured in NARS. Calculate percentage of NEISS hospitals with at least one evaluation visit in the fiscal year based on the total number of all the NEISS hospitals in that fiscal year. The percentage is calculated once at the end of the fiscal year. | | | | | | |
| Data Limitations and Implications of the Reported Results | | | | | | |
| Data show CPSC visits to and reviews of NEISS hospitals to ensure quality, but do not address quality of coding itself, which is captured in BK3.1.2. | | | | | | |

| | | | | | | |
|--|--------------------|--------------------|--------------------|--------------------|--------------------|--------------------|
| Control ID | | | | Program | | |
| 2016BK3.1.2 | | | | Hazard | | |
| Strategic Goal | | | | | | |
| Goal 3: Rigorous Hazard Identification | | | | | | |
| Strategic Objective | | | | | | |
| 3.1: Improve the quality and comprehensiveness of crucial product hazard data. | | | | | | |
| Goal Statement | | | | | | |
| Ensure range and quality of consumer product-related incident data | | | | | | |
| Performance Measure Statement | | | | | | |
| Percentage of consumer product-related injury cases correctly captured at NEISS hospitals | | | | | | |
| Definition of Performance Measure | | | | | | |
| A weighted average of the percentage of consumer product-related injury cases correctly captured at a sample of hospitals participating in the National Electronic Injury Surveillance System (NEISS), where the percentage at each sampled hospital is calculated as: the number of product-related injury cases captured by the NEISS coder, divided by the number of product-related cases captured by a CPSC auditor. | | | | | | |
| Rationale for Performance Measure | | | | | | |
| Evaluation visits are conducted at NEISS hospitals to determine the percentage of reported consumer product-related cases captured correctly by hospital coders, indicating the quality of consumer product-related incident data from the hospitals. | | | | | | |
| 2012 Actual | 2013 Actual | 2014 Actual | 2015 Actual | 2016 Target | 2016 Actual | Target Met? |
| 92% | 92% | 91% | 91.6% | 90% | 91% | ✓ |
| Analysis | | | | | | |
| The CPSC exceeded the FY 2016 target of 90 percent; 91 percent of product-related injury cases at NEISS hospitals were captured correctly. The target was achieved through a combination of efforts, including a NEISS Coder meeting, outreach and training, and NEISS reviews. | | | | | | |
| Plan(s) for Improving Performance Measure | | | | | | |
| The CPSC will continue vigilance in quality control checks, messaging to the hospitals, and hospital evaluations. | | | | | | |
| Data Source | | | | | | |
| NEISS Administrative Records System (NARS) | | | | | | |
| Data Collection Method and Computation | | | | | | |
| <p>Calculate one percentage (p) across all the NEISS hospitals that were evaluated during the fiscal year as: $p = \frac{\sum_i (N_i * (n_i(\text{coder}) / (s_i)))}{\sum_i (N_i * (n_i(\text{cpsc}) / (s_i)))}$ where N_i is the annual number of emergency department treated cases at the ith NEISS hospital; (s_i) is the number of cases in sample drawn by the CPSC auditor at the ith NEISS hospital and $n_i(\text{coder})$ and $n_i(\text{cpsc})$ are as defined below.</p> <p>During a hospital audit, CPSC staff sample between 200 and 300 emergency department records and determine the number of product-related cases in the sample. These cases are then compared to the number of product-related cases in the sample as captured by the NEISS coder. The hospital's capture metric is estimated as:</p> $\frac{n_i(\text{coder})}{n_i(\text{cpsc})}$ <p>where $n_i(\text{coder})$ is the number of product-related cases in the sample of cases (s_i) as determined by the coder for the ith NEISS hospital; and $n_i(\text{cpsc})$ is the number of product-related cases in the sample (s_i), as determined by the CPSC auditor. The performance metric is then estimated across audited NEISS hospitals as a weighted estimate of the individual hospital metrics.</p> | | | | | | |
| Data Limitations and Implications of the Reported Results | | | | | | |
| Results represent an estimate as described above. | | | | | | |

| | | | | | | |
|--|--------------------|--------------------|--------------------|--------------------|--------------------|--------------------|
| Control ID | | Program | | | | |
| 2016BK3.2.1 | | Hazard | | | | |
| Strategic Goal | | | | | | |
| Goal 3: Rigorous Hazard Identification | | | | | | |
| Strategic Objective | | | | | | |
| 3.2: Reduce the time it takes to identify hazard trends by improving the collection and assessment of hazard data. | | | | | | |
| Goal Statement | | | | | | |
| Reduce time to identify consumer product hazard trends by improving the collection and assessment of hazard data | | | | | | |
| Performance Measure Statement | | | | | | |
| Time from incident received to integrated team adjudication of incident report (business days) | | | | | | |
| Definition of Performance Measure | | | | | | |
| The average time it takes from receipt of an incident report to review and determine whether the incident report is actionable (adjudication). This is computed as the sum of the number of business days between receipt in CPSC's Consumer Product Safety Risk Management System (CPSRMS) and adjudication for all incident reports divided by the total number of incident reports received in CPSRMS during the fiscal year. | | | | | | |
| Rationale for Performance Measure | | | | | | |
| Timely review of incoming incident reports is critical to identification of emerging hazards associated with the use of consumer products. The CPSC measures the average number of business days from receipt of an incident report to determination of whether the incident report is actionable. | | | | | | |
| 2012 Actual | 2013 Actual | 2014 Actual | 2015 Actual | 2016 Target | 2016 Actual | Target Met? |
| -- | 6.5 | 3.4 | 6.4 | 10 | 7.4 | ✓ |
| Analysis | | | | | | |
| The CPSC exceeded the FY 2016 target of 10 business days by taking an average of 7.4 business days from incident report receipt to adjudication. Integrated teams focused on meeting the time to adjudication by reviewing the receipt data from CPSRMS as quickly as possible in order to spot trends. | | | | | | |
| Plan(s) for Improving Performance Measure | | | | | | |
| Starting in FY 2017, this measure will be monitored and reported internally. Integrated teams will continue working together to meet annual targets. | | | | | | |
| Data Source | | | | | | |
| Date of incident receipt is electronically generated by CPSRMS and date of staff's determinations regarding whether action is required is entered into CPSRMS by the integrated teams. | | | | | | |
| Data Collection Method and Computation | | | | | | |
| Sum of (terminal status date minus start date) in CPSRMS, with correction for weekends and days the government is closed, across incident reports received during a specified time interval, divided by the number of incident reports received during the time interval. | | | | | | |
| Data Limitations and Implications of the Reported Results | | | | | | |
| CPSC staff independently assessed the accuracy and reliability of the FY 2015 and FY 2016 data for this performance measure as part of a verification and validation exercise and found no known data limitations based on the data provided by the program. The performance measure is effective at measuring the timeliness of hazard identification as actions determined by the integrated teams, but not necessarily the accuracy of hazard identification. | | | | | | |

| | | | | | | |
|---|--------------------|--------------------|--------------------|--------------------|--------------------|--------------------|
| Control IDs | | Program | | | | |
| 2016BK3.2.2 | | Hazard | | | | |
| Strategic Goal | | | | | | |
| Goal 3: Rigorous Hazard Identification | | | | | | |
| Strategic Objective | | | | | | |
| 3.2: Reduce the time it takes to identify hazard trends by improving the collection and assessment of hazard data. | | | | | | |
| Goal Statement | | | | | | |
| Improve sample processing throughout the CPSC | | | | | | |
| Performance Measure Statement | | | | | | |
| Percentage of priority import regulated samples (excluding fireworks) tested within 30 days of collection | | | | | | |
| Definition of Performance Measure | | | | | | |
| Priority imports are samples collected at ports of entry by CPSC import surveillance and field staff working in concert with U.S. Customs and Border Protection (CBP) staff. Such products include children's products, toys, household chemical products, cigarette lighters, mattresses, children's sleepwear, and general wearing apparel. A regulated product is one that is covered by a federal rule that CPSC administers. Number of priority import regulated samples (excluding fireworks) that have been tested within 30 calendar days of collection divided by the total number of priority import regulated samples (excluding fireworks) collected. | | | | | | |
| Rationale for Performance Measure | | | | | | |
| This performance measure tracks the timeliness with which CPSC staff processes imported non-fireworks samples, from initial collection at U.S. ports, through processing and testing of samples, until the National Product Testing and Evaluation Center (NPTEC) report is available for case compliance staff action. Processing and testing samples are critical to the compliance and hazard identification process. | | | | | | |
| 2012 Actual | 2013 Actual | 2014 Actual | 2015 Actual | 2016 Target | 2016 Actual | Target Met? |
| 85% | 92% | 98.8% | 98.6% | 85% | 99.6% | ✓ |
| Analysis | | | | | | |
| The CPSC exceeded its FY 2016 target of 85 percent, and tested 99.6 percent of priority import regulated samples within 30 days of collection in FY 2016, outperforming its FY 2015 result of 98.6 percent. These results are a reflection of the high priority placed by EXHR staff and management on this program. | | | | | | |
| Plan(s) for Improving Performance Measure | | | | | | |
| Program office will continue with the existing processes. Starting in FY 2017, this measure will be monitored and reported internally. | | | | | | |
| Data Source | | | | | | |
| Sample Tracking database, Test reporting databases, Integrated Field System (IFS), Product Testing Database (PRODTEST), and LSC FHSA Access Database | | | | | | |
| Data Collection Method and Computation | | | | | | |
| As samples are collected by port and field staff and tested at the lab, staff enters the collection dates and testing dates, respectively, into IFS. The denominator includes all samples (excluding fireworks) collected during the reporting period. The numerator includes those samples from the denominator that were tested within 30 calendar days of the date of collection. | | | | | | |
| Data Limitations and Implications of the Reported Results | | | | | | |
| CPSC staff independently assessed the accuracy and reliability of the FY 2015 and FY 2016 data for this performance measure as part of a verification and validation exercise, and found no significant data limitations based on the data provided by the program. However, potential for error may arise from manual processing from different divisions under laboratory sciences using different independent systems. | | | | | | |

| | | | | | | |
|---|--------------------|--------------------|--------------------|--------------------|--------------------|--------------------|
| Control ID | | Program | | | | |
| 2016BK3.2.3 | | Hazard | | | | |
| Strategic Goal | | | | | | |
| Goal 3: Rigorous Hazard Identification | | | | | | |
| Strategic Objective | | | | | | |
| 3.2: Reduce the time it takes to identify hazard trends by improving the collection and assessment of hazard data. | | | | | | |
| Goal Statement | | | | | | |
| Improve sample processing throughout the CPSC | | | | | | |
| Performance Measure Statement | | | | | | |
| Percentage of import and domestic fireworks samples tested within 60 days of collection | | | | | | |
| Definition of Performance Measure | | | | | | |
| Priority import fireworks are samples collected at ports of entry by CPSC import surveillance and field staff working in concert with U.S. Customs and Border Protection (CBP) staff. Fireworks are covered through CPSC's administration of the Federal Hazardous Substances Act. Number of priority import fireworks samples that have been tested within 60 calendar days of collection, divided by the total number of priority import fireworks samples collected. | | | | | | |
| Rationale for Performance Measure | | | | | | |
| This performance measure tracks the timeliness with which CPSC staff processes imported fireworks samples, from initial collection at U.S. ports, through processing and testing of samples until the NPTEC report is available for case compliance staff action. Processing and testing fireworks samples are critical to the compliance and hazard identification process. | | | | | | |
| 2012 Actual | 2013 Actual | 2014 Actual | 2015 Actual | 2016 Target | 2016 Actual | Target Met? |
| 99.7% | 100% | 100% | 98.6% | 90% | 95.8% | ✓ |
| Analysis | | | | | | |
| The CPSC exceeded its FY 2016 target of 90 percent by testing 95.8 percent priority import fireworks samples within 60 days of collection. These results are a reflection of the high priority placed by EXHR staff and management on this program. | | | | | | |
| Plan(s) for Improving Performance Measure | | | | | | |
| Program office will continue with the existing processes. Starting in FY 2017, this measure will be monitored and reported internally. | | | | | | |
| Data Source | | | | | | |
| Fireworks report in Integrated Field System (IFS), which also pulls report dates out of the Product Testing Database (PRODTEST) Fireworks database. | | | | | | |
| Data Collection Method and Computation | | | | | | |
| As samples are collected by port and field staff and then tested at the lab, staff enters the collection dates and testing dates, respectively, into IFS. The denominator includes all firework samples collected during the reporting period. The numerator includes those samples from the denominator that were tested within 60 calendar days of the date of collection. | | | | | | |
| Data Limitations and Implications of the Reported Results | | | | | | |
| Manual processing of data may introduce some potential for error. | | | | | | |

| | | | | | | |
|---|--------------------|--------------------|--------------------|--------------------|--------------------|--------------------|
| Control ID | | | | Program | | |
| 2016BK3.2.5 | | | | Hazard | | |
| Strategic Goal | | | | | | |
| Goal 3: Rigorous Hazard Identification | | | | | | |
| Strategic Objective | | | | | | |
| 3.2: Reduce the time it takes to identify hazard trends by improving the collection and assessment of hazard data. | | | | | | |
| Goal Statement | | | | | | |
| Provide timely Product Safety Assessment reports to the Office of Compliance | | | | | | |
| Performance Measure Statement | | | | | | |
| Percentage of Section 15 Product Safety Assessment requests that are completed within the Hazard Level Completion time assigned | | | | | | |
| Definition of Performance Measure | | | | | | |
| The percentage of Product Safety Assessment (PSA) reports completed by the due date established jointly by CPSC's Office of Compliance (EXC) and Office of Hazard Identification and Reduction (EXHR) based upon the Hazard Level Completion time assigned. This is computed by totaling the number of completed PSA reports submitted for approval on or before the due date and dividing by the total number of completed reports. | | | | | | |
| Rationale for Performance Measure | | | | | | |
| Providing timely PSA reports to the EXC shortens the time between being notified of a potentially hazardous product and having that product removed from the market, if necessary. | | | | | | |
| 2012 Actual | 2013 Actual | 2014 Actual | 2015 Actual | 2016 Target | 2016 Actual | Target Met? |
| -- | -- | -- | 92% | 90% | 96% ¹³ | ✓ |
| Analysis | | | | | | |
| The CPSC exceeded its FY 2016 target of 90 percent and continued to improve with an actual result of 96 percent in FY 2016, compared an actual result of 92 percent in FY 2015. | | | | | | |
| Plan(s) for Improving Performance Measure | | | | | | |
| Program office will continue to reinforce timeliness, and monitor and manage execution. Starting in FY 2017, this measure will be monitored and reported internally. | | | | | | |
| Data Source | | | | | | |
| PSA report due dates and completion dates are electronically stored in CPSC's Dynamic Case Management system (DCM) | | | | | | |
| Data Collection Method and Computation | | | | | | |
| Sum of reports submitted for approval on or before the due date, divided by the total number of reports completed. | | | | | | |
| Data Limitations and Implications of the Reported Results | | | | | | |
| CPSC staff independently assessed the accuracy and reliability of the FY 2015 and FY 2016 data for this performance measure as part of a verification and validation exercise, and found that the FY 2016 result needed to be corrected to 96 percent from 94.3 percent (as was previously reported in the FY 2016 AFR). Staff determined that some of the completion dates were incorrect because the DCM records the next day for items completed after a certain time in the evening, making several completion dates off by one day. Note the due date, established jointly by CPSC's EXC and EXHR based upon the Hazard Level Completion time assigned, may be pushed back with a new due date, depending on the individual PSA. The corrected result is accurate and exceeds the 2016 target by an even greater amount. | | | | | | |

¹³ Correction: The FY 2016 Actual has been corrected to 96 percent from 94.3 percent, as reported initially on p. 5 of the FY 2016 AFR (November 2016).

| | | | | | | |
|--|--------------------|--------------------|--------------------|--------------------|--------------------|--------------------|
| Control ID | | | | Program | | |
| 2016BK3.2.6 | | | | Hazard | | |
| Strategic Goal | | | | | | |
| Goal 3: Rigorous Hazard Identification | | | | | | |
| Strategic Objective | | | | | | |
| 3.2: Reduce the time it takes to identify hazard trends by improving the collection and assessment of hazard data. | | | | | | |
| Goal Statement | | | | | | |
| Provide timely Product Safety Assessment reports to the Office of Compliance | | | | | | |
| Performance Measure Statement | | | | | | |
| Percentage of all domestic and non-priority import regulated product samples (excluding fireworks) that are tested within 60 days of receipt at NPTEC | | | | | | |
| Definition of Performance Measure | | | | | | |
| A regulated product is one that is covered by a federal rule that CPSC administers. This metric is the number of domestic and non-priority import samples (excluding fireworks) that have been tested within 60 calendar days of collection, divided by the total number of domestic and non-priority import samples (excluding fireworks) collected. | | | | | | |
| Rationale for Performance Measure | | | | | | |
| This performance measure was created to complement BK3.2.2 and BK3.2.3 to help ensure domestic and non-priority import samples are tested in a timely manner. This performance measure tracks the timeliness with which CPSC staff processes regulated domestic and non-priority import product samples, from receipt at NPTEC, until the NPTEC report is available for case compliance staff action. Processing and testing samples are critical to the compliance and hazard identification process. | | | | | | |
| 2012 Actual | 2013 Actual | 2014 Actual | 2015 Actual | 2016 Target | 2016 Actual | Target Met? |
| -- | -- | -- | -- | 85% | 100% | ✓ |
| Analysis | | | | | | |
| The CPSC exceeded its FY 2016 target of 85 percent by testing 100 percent of all domestic and non-priority import regulated product samples (excluding fireworks) within 60 days of collection. These results are a reflection of the high priority placed by Office of Hazard Identification and Reduction (EXHR) staff and management on this program. | | | | | | |
| Plan(s) for Improving Performance Measure | | | | | | |
| Starting in FY 2017, this measure will be monitored and reported internally. The program office will continue with the existing processes. | | | | | | |
| Data Source | | | | | | |
| Sample Tracking database, Integrated Field System (IFS), Product Testing Database (PRODTEST), and Division of Laboratory Sciences – Chemistry (LSC), Division of Laboratory Sciences – Engineering (LSE), and Division of Laboratory Sciences – Mechanical Engineering (LSM) Databases for non-import regulated product samples | | | | | | |
| Data Collection Method and Computation | | | | | | |
| As samples are collected by port and field staff and tested at the lab, staff enters the collection dates and testing dates, respectively, into IFS. The denominator includes all samples (excluding fireworks) collected during the reporting period. The numerator includes those samples from the denominator that were tested within 30 calendar days of the date of collection. | | | | | | |
| Data Limitations and Implications of the Reported Results | | | | | | |
| Manual processing of data may introduce some potential for error. | | | | | | |

| | | | | | | |
|---|--------------------|--------------------|--------------------|--------------------|--------------------|--------------------|
| Control ID | | | | Program | | |
| 2016BK3.4.1 | | | | Import | | |
| Strategic Goal | | | | | | |
| Goal 3: Rigorous Hazard Identification | | | | | | |
| Strategic Objective | | | | | | |
| 3.4: Expand import surveillance efforts to reduce entry of unsafe products at U.S. ports. | | | | | | |
| Goal Statement | | | | | | |
| Improved surveillance at ports | | | | | | |
| Performance Measure Statement | | | | | | |
| Number of import examinations | | | | | | |
| Definition of Performance Measure | | | | | | |
| Number of examinations conducted by CPSC staff on imported consumer products to verify compliance with CPSC rules, regulations, and bans. Each exam is for one product. | | | | | | |
| Rationale for Performance Measure | | | | | | |
| The total number of import examinations performed by CPSC staff is a measure of surveillance at U.S. ports to reduce entry of unsafe consumer products. | | | | | | |
| 2012 Actual | 2013 Actual | 2014 Actual | 2015 Actual | 2016 Target | 2016 Actual | Target Met? |
| 18,131 | 26,523 | 28,007 | 35,122 | 30,000 | 36,523 | ✓ |
| Analysis | | | | | | |
| In FY 2016, the CPSC screened more than 36,500 imported products, exceeding the target of 30,000 screenings. | | | | | | |
| Plan(s) for Improving Performance Measure | | | | | | |
| The CPSC plans to increase the FY 2017 target to 40,000 examinations. | | | | | | |
| Data Source | | | | | | |
| Import Exam Logbook | | | | | | |
| Data Collection Method and Computation | | | | | | |
| The Import Exam Logbook, integrated into the Risk Assessment Methodology (RAM) application, utilizes data feed received from U.S. Customs and Border Protection (CBP) when completing an exam logbook entry. All import examinations performed by CPSC staff are recorded in the Import Exam Logbook. The computation is captured in an Excel file. | | | | | | |
| Data Limitations and Implications of the Reported Results | | | | | | |
| CPSC staff independently assessed the accuracy and reliability of the FY 2015 and FY 2016 data for this performance measure as part of a verification and validation exercise, and no significant data limitations were found based on the data provided by the program. Data entries recorded in the Import Exam Logbook are self-reported by investigators and there may be manual errors when entering data. However, Office of Import Surveillance (EXIS) staff conduct data quality checks to ensure import exams are recorded in the Import Exam Logbook, and is developing additional data quality checks to ensure completeness and accuracy of the data. There may be a lag in the reporting of data. Year-end results may be impacted because of real-time updates. | | | | | | |

| | | | | | | |
|---|--------------------|--------------------|--------------------|--------------------|--------------------|--------------------|
| Control ID | | Program | | | | |
| 2016BK3.4.3 | | Import | | | | |
| Strategic Goal | | | | | | |
| Goal 3: Rigorous Hazard Identification | | | | | | |
| Strategic Objective | | | | | | |
| 3.4: Expand import surveillance efforts to reduce entry of unsafe products at U.S. ports. | | | | | | |
| Goal Statement | | | | | | |
| Facilitate legitimate trade | | | | | | |
| Performance Measure Statement | | | | | | |
| Percentage of import shipments processed through the Risk Assessment Methodology (RAM) pilot system that are cleared within one business day | | | | | | |
| Definition of Performance Measure | | | | | | |
| Import shipments processed through the RAM are received at all ports and are scored electronically by the rules engine automatically into the International Trade and Data System (ITDS)/RAM pilot system. Number of shipments (entry lines) cleared within one business day, divided by the total number of shipments (entry lines) processed through the RAM pilot system | | | | | | |
| Rationale for Performance Measure | | | | | | |
| The percentage of import shipments that are cleared within one business day is a measure of how successful the CPSC is at expeditiously processing compliant imports of consumer products and facilitating legitimate trade. | | | | | | |
| 2012 Actual | 2013 Actual | 2014 Actual | 2015 Actual | 2016 Target | 2016 Actual | Target Met? |
| -- | 99.5% | 99.7% | 99.6% | 99% | 99.8% | ✓ |
| Analysis | | | | | | |
| The FY 2016 target of 99 percent was exceeded; the actual result was 99.8 percent of import shipments cleared within one business day. This indicates that the CPSC's import surveillance work is conducted efficiently and compliant imports are released quickly. | | | | | | |
| Plan(s) for Improving Performance Measure | | | | | | |
| None | | | | | | |
| Data Source | | | | | | |
| ITDS/RAM | | | | | | |
| Data Collection Method and Computation | | | | | | |
| The workflow status of each entry acted upon by CPSC is recorded in the pilot system by investigators. Initially, the system values each entry, and "scored" shipments for which CPSC staff took no action to stop the cargo from entering commerce are considered cleared within one business day. The percentage is calculated by the number of shipments (entry lines) during the applicable time period cleared within one business day, divided by the total number of shipments (entry lines) processed through the RAM pilot system. | | | | | | |
| Data Limitations and Implications of the Reported Results | | | | | | |
| CPSC staff independently assessed the accuracy and reliability of the FY 2015 and FY 2016 data for this performance measure as part of a verification and validation exercise, and found no known limitations based on the data provided by the office. Those shipments that are considered low risk often remain in "Scored" status, which indicates no action was taken and hence no delay entry of those shipments. | | | | | | |

| | | | | | | |
|--|--------------------|--------------------|--------------------|--------------------|--------------------|--------------------|
| Control ID | | | | Program | | |
| 2016BK3.4.4 | | | | Import | | |
| Strategic Goal | | | | | | |
| Goal 3: Rigorous Hazard Identification | | | | | | |
| Strategic Objective | | | | | | |
| 3.4: Expand import surveillance efforts to reduce entry of unsafe products at U.S. ports. | | | | | | |
| Goal Statement | | | | | | |
| Improve working effectiveness with U.S. Customs and Border Protection (CBP) to harness existing federal port resources in the interdiction of noncompliant consumer product imports | | | | | | |
| Performance Measure Statement | | | | | | |
| Percentage of CPSC import entry hold requests acted on by CBP | | | | | | |
| Definition of Performance Measure | | | | | | |
| Number of CPSC entry hold requests acted on by CBP, divided by number of CPSC entry hold requests made to CBP | | | | | | |
| Rationale for Performance Measure | | | | | | |
| The percentage of CPSC import entry hold requests on which CBP acts reflects CBP cooperation with the CPSC's targeting of specific import entries likely to contain noncompliant products. The percentage is expected to increase with implementation of the Risk Assessment Methodology (RAM). | | | | | | |
| 2012 Actual | 2013 Actual | 2014 Actual | 2015 Actual | 2016 Target | 2016 Actual | Target Met? |
| -- | 86% | 87.2% | 91.3% | 86% | 91.5% | ✓ |
| Analysis | | | | | | |
| In FY 2016, the agency exceeded the target with a result of 91.5 percent of CPSC import entry hold requests acted on by CBP. | | | | | | |
| Plan(s) for Improving Performance Measure | | | | | | |
| Starting in FY 2017, this measure will be monitored and reported internally. | | | | | | |
| Data Source | | | | | | |
| International Trade and Data System (ITDS)/RAM | | | | | | |
| Data Collection Method and Computation | | | | | | |
| Hold requests and hold acceptances are currently tracked in the workflow of the pilot ITDS/RAM system. The percentage is calculated as hold acceptance volume for the period, divided by hold requested volume for the period. | | | | | | |
| Data Limitations and Implications of the Reported Results | | | | | | |
| CPSC staff independently assessed the accuracy and reliability of the FY 2015 and FY 2016 data for this performance measure as part of a verification and validation exercise, and found no known limitations based on the data provided by the office. The basis for hold requests and acceptances are workflow actions inputted into the system. | | | | | | |

| | | | | | | |
|---|--------------------|--------------------|--------------------|--------------------|--------------------|--------------------|
| Control ID | | Program | | | | |
| 2016BK3.4.7 | | Import | | | | |
| Strategic Goal | | | | | | |
| Goal 3: Rigorous Hazard Identification | | | | | | |
| Strategic Objective | | | | | | |
| 3.4: Expand import surveillance efforts to reduce entry of unsafe products at U.S. ports. | | | | | | |
| Goal Statement | | | | | | |
| Improve import surveillance targeting effectiveness | | | | | | |
| Performance Measure Statement | | | | | | |
| Percentage of entries sampled as identified through the Risk Assessment Methodology (RAM) pilot system | | | | | | |
| Definition of Performance Measure | | | | | | |
| Total number of entries that resulted in at least one sample, divided by the total number of entries examined, multiplied by 100. | | | | | | |
| Rationale for Performance Measure | | | | | | |
| This measure is an indicator of the effectiveness of import surveillance targeting efforts using the pilot RAM surveillance system. If an entry is examined and suspected of containing a hazard, a sample is taken. The pilot system, which involves risk analysis, is expected to result in more violative samples being collected per entry examined, which in turn, measures the effectiveness of the targeting system. | | | | | | |
| 2012 Actual | 2013 Actual | 2014 Actual | 2015 Actual | 2016 Target | 2016 Actual | Target Met? |
| -- | -- | -- | 12.1% | 11% | 11.1% | ✓ |
| Analysis | | | | | | |
| The CPSC slightly exceeded the FY 2016 target of 11 percent with the FY 2016 result of 11.1 percent. | | | | | | |
| Plan(s) for Improving Performance Measure | | | | | | |
| Starting in FY 2017, this measure will be discontinued. | | | | | | |
| Data Source | | | | | | |
| Import Exam Logbook and IFS | | | | | | |
| Data Collection Method and Computation | | | | | | |
| Determine the distinct list of entries examined and determine the number of exams in the logbook corresponding to the entries. Determine the distinct number of entries with samples collected. The percentage is calculated by dividing the number of entries sampled by number of entries examined. | | | | | | |
| Data Limitations and Implications of the Reported Results | | | | | | |
| CPSC staff independently assessed the accuracy and reliability of the FY 2015 and FY 2016 data for this performance measure as part of a verification and validation exercise, and found no known limitations based on the data provided by the office. The basis for inclusion is an exam record in the Import Exam Logbook. Data entries are self-reported by investigators and there may be manual errors when entering data into the logbook. Office of Important Surveillance (EXIS) staff conduct data quality checks to ensure import exams are recorded in the Import Exam Logbook, and is developing additional data quality checks to ensure completeness and accuracy of the data. There may be a lag in the reporting of data. Year-end results may be impacted because of real-time updates. | | | | | | |

| | | | | | | |
|--|--------------------|--------------------|--------------------|--------------------|--------------------|--------------------|
| Control ID | | | | Program | | |
| 2016BK3.4.8 | | | | Import | | |
| Strategic Goal | | | | | | |
| Goal 3: Rigorous Hazard Identification | | | | | | |
| Strategic Objective | | | | | | |
| 3.4: Expand import surveillance efforts to reduce entry of unsafe products at U.S. ports. | | | | | | |
| Goal Statement | | | | | | |
| Strengthen first-time Importer compliance | | | | | | |
| Performance Measure Statement | | | | | | |
| Percentage of first-time violators who are engaged with timely informed compliance inspection after violation determination | | | | | | |
| Definition of Performance Measure | | | | | | |
| Periodic determination of firms with a first-time violation are identified as candidates for Informed Compliance Inspection assignments. | | | | | | |
| Rationale for Performance Measure | | | | | | |
| Engaging first time violators includes importers/brokers that are in the process of importing compliant cargo by informing them of why the violations occurred. Entities engaged have less probability to have future violations. Efforts to identify hazardous or non compliant imports can then be concentrated elsewhere. | | | | | | |
| 2012 Actual | 2013 Actual | 2014 Actual | 2015 Actual | 2016 Target | 2016 Actual | Target Met? |
| -- | -- | -- | -- | 80% | 86% | ✓ |
| Analysis | | | | | | |
| The CPSC exceeded the FY 2016 target with a result of 86 percent of first-time violators who are engaged with timely informed compliance inspection after violation determination. | | | | | | |
| Plan(s) for Improving Performance Measure | | | | | | |
| Starting in FY 2017, this measure will be monitored and reported internally. | | | | | | |
| Data Source | | | | | | |
| Integrated Field System (IFS) Comply and Assignment tables | | | | | | |
| Data Collection Method and Computation | | | | | | |
| Firms with compliance violations within each fiscal year are identified for inclusion. They need to be screened for prior violations in past fiscal years. Due to analysis required to identify and disseminate candidates, the violation determination date is set to the date the analysis is completed, currently once a week. The reference table of candidates is disseminated for informed compliance inspections to be assigned within IFS. Data from IFS is joined with the candidate list to track assignment completion date, as indicated by the actual inspection date entered into the assignment record. This date is compared to the dissemination date and those inspections that take place within 60 days are considered complete. | | | | | | |
| Data Limitations and Implications of the Reported Results | | | | | | |
| Firm names are alpha numeric, which is subject to data issues. | | | | | | |

| | | | | | | |
|---|--------------------|--------------------|--------------------|--------------------|---------------------|--------------------|
| Control ID | | Program | | | | |
| 2016BK3.5.3 | | Hazard | | | | |
| Strategic Goal | | | | | | |
| Goal 3: Rigorous Hazard Identification | | | | | | |
| Strategic Objective | | | | | | |
| 3.5: Scan the marketplace regularly to determine whether previously identified significant hazards exist in similar products. | | | | | | |
| Goal Statement | | | | | | |
| Complete annual statistical reports characterizing injuries and fatalities associated with specific consumer product categories or hazards | | | | | | |
| Performance Measure Statement | | | | | | |
| Number of hazard characterization annual reports completed on consumer product-related fatalities, injuries, and/or losses for specific hazards | | | | | | |
| Definition of Performance Measure | | | | | | |
| The number of milestone hazard characterization statistical reports produced for specified product-related hazards or categories is defined as part of the budget development process. These reports characterize the number of reported fatalities and estimated injuries and trends for the respective hazard. | | | | | | |
| Rationale for Performance Measure | | | | | | |
| This key measure is an element of the CPSC's strategy for hazard identification by scanning the marketplace to determine whether previously identified significant hazards exist in similar products. Annual hazard presenting statistics on the numbers of reported deaths and estimates of emergency department-treated, product-related injuries for specific product-related hazards or categories allow for trend assessments and inform management decisions and information and education campaigns. | | | | | | |
| 2012 Actual | 2013 Actual | 2014 Actual | 2015 Actual | 2016 Target | 2016 Actuals | Target Met? |
| 11 | 11 | 10 | 10 | 11 | 11 | ✓ |
| Analysis | | | | | | |
| The CPSC met its FY 2016 target of 11 annual reports. These reports are comprised of components of the rigorous identification of hazards, as they help inform CPSC staff and external stakeholders of the numbers/types of consumer product-related injuries/fatalities. The reports help supplement NEISS data, which informs progress and planning. | | | | | | |
| Plan(s) for Improving Performance Measure | | | | | | |
| Reports are scheduled based on availability of data. Standard operating procedures ensure that subject matter experts review and concur with hazard characterizations to ensure technically sound and reproducible statistics. | | | | | | |
| Data Source | | | | | | |
| Report postings for Assistant Executive Director (AED) review (Form 122) on SharePoint. | | | | | | |
| Data Collection Method and Computation | | | | | | |
| Staff prepares reports on consumer product-related fatalities, injuries, and/or losses for specific hazardson an annual basis. Count of the number of hazard characterization reports posted for AED review (Form 122) on SharePoint during the fiscal year. | | | | | | |
| Data Limitations and Implications of the Reported Results | | | | | | |
| No known data limitations as performance results can be verified by counting the number of hazard characterization reports posted for management review (AED review - Form 122) on the agency's SharePoint system. | | | | | | |

| | | | | | | |
|--|--------------------|--------------------|--------------------|--------------------|--------------------|--------------------|
| Control ID | | | | Program | | |
| 2016BK3.5.4 | | | | Compliance | | |
| Strategic Goal | | | | | | |
| Goal 3: Rigorous Hazard Identification | | | | | | |
| Strategic Objective | | | | | | |
| 3.5: Scan the marketplace regularly to determine whether previously identified significant hazards exist in similar products. | | | | | | |
| Goal Statement | | | | | | |
| Increase market surveillance throughout the consumer product supply chain | | | | | | |
| Performance Measure Statement | | | | | | |
| Total number of products screened by CPSC field staff (excluding imports) | | | | | | |
| Definition of Performance Measure | | | | | | |
| This performance measure includes the total number of consumer products screened by CPSC field staff through surveillance activities at traditional retail, secondhand stores, and over the Internet. A product is counted as "screened" when it has been examined by a field staff person. | | | | | | |
| Rationale for Performance Measure | | | | | | |
| The CPSC tracks the total number of product units screened to measure the extent of CPSC field staff surveillance activities at traditional retail and secondhand stores, and over the Internet to verify compliance with CPSC rules, regulations, and bans. | | | | | | |
| 2012 Actual | 2013 Actual | 2014 Actual | 2015 Actual | 2016 Target | 2016 Actual | Target Met? |
| -- | -- | -- | 211,364 | 180,000 | 188,361 | ✓ |
| Analysis | | | | | | |
| The CPSC screened approximately 188,000 consumer products, exceeding its FY 2016 target of screening 180,000 consumer products. This positive result was attributed to steady emphasis on marketplace surveillance. | | | | | | |
| Plan(s) for Improving Performance Measure | | | | | | |
| Starting in FY 2017, this measure will be discontinued as a key measure. However, marketplace surveillance will continue because it is an integral part of compliance and enforcement, and data will continue to be collected by the program office. | | | | | | |
| Data Source | | | | | | |
| Integrated Field System (IFS) | | | | | | |
| Data Collection Method and Computation | | | | | | |
| Data are extracted from IFS for the product units screened at traditional retail stores, secondhand stores, and over the Internet that were completed within the fiscal year. Count of the total number of consumer products units screened by field staff as identified in the assignments. | | | | | | |
| Data Limitations and Implications of the Reported Results | | | | | | |
| CPSC staff independently assessed the accuracy and reliability of the FY 2015 and FY 2016 data for this performance measure as part of a verification and validation exercise, and found no significant limitations based on the data provided by the office. Data are regularly reviewed during various stages of the case; however, results may differ slightly due to updates, edits, or corrections to case data that may occur after the fiscal year end run of data has been completed and results reported. | | | | | | |

| | | | | | | |
|---|--------------------|--------------------|--------------------|--------------------|--------------------|--------------------|
| Control ID | | | | Program | | |
| 2016BK4.1.1 | | | | Compliance | | |
| Strategic Goal | | | | | | |
| Goal 4: Decisive Response | | | | | | |
| Strategic Objective | | | | | | |
| 4.1: Expand the CPSC's ability to conduct a full range of inspections to monitor for noncompliant and defective products. | | | | | | |
| Goal Statement | | | | | | |
| Increase market surveillance throughout the consumer product supply chain | | | | | | |
| Performance Measure Statement | | | | | | |
| Number of establishment inspections conducted by CPSC field staff | | | | | | |
| Definition of Performance Measure | | | | | | |
| The total number of establishment inspections, including inspections of importers, manufacturers, wholesalers, and retailers, conducted by CPSC field staff. Each inspection is documented as a separate assignment in Integrated Field System (IFS). | | | | | | |
| Rationale for Performance Measure | | | | | | |
| The number of establishment inspections conducted is a measure of CPSC surveillance of the domestic consumer product supply chain to verify firms' compliance with CPSC rules, regulations, and bans. Establishment inspections are one of the key enforcement tools used by the CPSC to ensure industry is manufacturing, importing, and distributing consumer products that meet federal regulations. Inspections are also the primary method the CPSC uses to conduct defect investigations involving products that may pose an unreasonable risk of serious injury or death to consumers. | | | | | | |
| 2012 Actual | 2013 Actual | 2014 Actual | 2015 Actual | 2016 Target | 2016 Actual | Target Met? |
| 1,184 | 3,680 | 3,672 | 3,839 | 3,000 | 3,224 | ✓ |
| Analysis | | | | | | |
| The FY 2016 target was 3,000 establishment inspections. The CPSC conducted over 3,200 establishment inspections. Inspection activity can vary based on the types of compliance enforcement programs introduced during the fiscal year. | | | | | | |
| Plan(s) for Improving Performance Measure | | | | | | |
| Starting in FY 2017, this measure will be discontinued. However, inspections will continue because they are an integral part of compliance and enforcement, and data will continue to be collected by the program office. | | | | | | |
| Data Source | | | | | | |
| Integrated Field System (IFS) | | | | | | |
| Data Collection Method and Computation | | | | | | |
| Data are extracted from IFS on establishment inspections that were completed within the fiscal year from. Count the total number of establishment inspections. | | | | | | |
| Data Limitations and Implications of the Reported Results | | | | | | |
| Data are regularly reviewed during various stages of the case; however, results may differ slightly due to any updates, edits, or corrections to case data that occur after the fiscal year end run of data has been completed and results reported. | | | | | | |

| | | | | | | |
|---|--------------------|--------------------|--------------------|--------------------|--------------------|--------------------|
| Control ID | | | | Program | | |
| 2016BK4.3.1 | | | | Compliance | | |
| Strategic Goal | | | | | | |
| Goal 4: Decisive Response | | | | | | |
| Strategic Objective | | | | | | |
| 4.3: Increase the efficiency and speed of recalls of noncompliant and defective products. | | | | | | |
| Goal Statement | | | | | | |
| Improve timeliness of investigating potential unregulated hazards and negotiating corrective actions | | | | | | |
| Performance Measure Statement | | | | | | |
| Percentage of all cases for which the preliminary determination is made within 85 business days of the case opening | | | | | | |
| Definition of Performance Measure | | | | | | |
| The number of cases for which the preliminary determination (PD) has been made within the fiscal year and it was made within 85 business days of the full report receipt, divided by the number of cases for which a PD has been made within the fiscal year. PD is the determination made by a panel of management staff as to whether there is enough evidence to determine a pattern of defect, whether a potential hazard exists, and whether corrective action is recommended. A case opening is when a case is entered into DCM, which then generates a Case Creation date. | | | | | | |
| Rationale for Performance Measure | | | | | | |
| This performance measure is an indicator of the timeliness of CPSC case work (excludes Fast-Track cases). Making preliminary determinations more quickly contributes to the efficiency and speed of recalls for noncompliant and defective products. | | | | | | |
| 2012 Actual | 2013 Actual | 2014 Actual | 2015 Actual | 2016 Target | 2016 Actual | Target Met? |
| -- | 84% | 60.6% | 65.8% | 70% | 69.1% | X |
| Analysis | | | | | | |
| The CPSC did not meet the FY 2016 target of 70 percent because of external factors beyond its control. The FY 2016 actual result was 69.1 percent, compared to the FY 2015 actual result of 65.8 percent. The increase from 2015 was due to continued process improvements by CPSC staff. | | | | | | |
| Plan(s) for Improving Performance Measure | | | | | | |
| As part of the CPSC's 2016–2020 Strategic Plan implementation, this key measure will be revised to focus on high-priority cases. | | | | | | |
| Data Source | | | | | | |
| Dynamic Case Management (DCM) | | | | | | |
| Data Collection Method and Computation | | | | | | |
| Data are extracted from the Data Repository (DR), where data are fed from DCM into the spreadsheet of all cases where the PD date is within the fiscal year. Calculate the number of business days between the Case Creation date and the PD date for each case. Calculate the total number of cases where the PD date is made within 85 business days of the Case Creation date, divided by the total number cases where the PD date is within the fiscal year. | | | | | | |
| Data Limitations and Implications of the Reported Results | | | | | | |
| CPSC staff independently assessed the accuracy and reliability of the FY 2015 and FY 2016 data for this performance measure as part of a verification and validation exercise, and found no significant limitations based on the data provided by the office. All cases are reviewed by Team Lead to ensure accuracy of available information. DCM has built-in validation checks. However, results may differ slightly due to updates, edits, or corrections to case data that may occur after the fiscal year end run of data has been completed and results reported. | | | | | | |

| | | | | | | |
|---|--------------------|--------------------|--------------------|--------------------|--------------------|--------------------|
| Control ID | | | | Program | | |
| 2016BK4.3.2 | | | | Compliance | | |
| Strategic Goal | | | | | | |
| Goal 4: Decisive Response | | | | | | |
| Strategic Objective | | | | | | |
| 4.3: Increase the efficiency and speed of recalls of noncompliant and defective products. | | | | | | |
| Goal Statement | | | | | | |
| Improve timeliness of investigating potential unregulated hazards and negotiating corrective actions | | | | | | |
| Performance Measure Statement | | | | | | |
| Percentage of cases for which the corrective action is accepted within 60 business days of the preliminary determination | | | | | | |
| Definition of Performance Measure | | | | | | |
| The number of cases where a Corrective Action Plan (CAP) was made during the fiscal year and was accepted within 60 business days of the Preliminary Determination (PD) date, divided by the number of cases for which a CAP has been accepted within the fiscal year where a PD is made. PD is the determination made by a panel of management staff as to whether there is enough evidence to determine a pattern of defect, whether a potential hazard exists, and whether corrective action is recommended. | | | | | | |
| Rationale for Performance Measure | | | | | | |
| This performance measure tracks the timeliness of the CPSC's negotiations of Corrective Action Plans (CAPs) with companies (excludes Fast-Track cases). More timely negotiations of CAPs contribute to the efficiency and speed of recalls for noncompliant and defective products. | | | | | | |
| 2012 Actual | 2013 Actual | 2014 Actual | 2015 Actual | 2016 Target | 2016 Actual | Target Met? |
| 98% | 88% | 80.9% | 85.8% | 80% | 87% | ✓ |
| Analysis | | | | | | |
| The CPSC exceeded its annual target of 80 percent by completing 87 percent of the cases within the defined business days. CPSC staff obtained the best recall results for consumers through cooperation with recalling firms. | | | | | | |
| Plan(s) for Improving Performance Measure | | | | | | |
| As part of the CPSC's 2016–2020 Strategic Plan implementation, this key measure will be revised to focus on high-priority cases, and resources will shift accordingly. | | | | | | |
| Data Source | | | | | | |
| Dynamic Case Management (DCM) | | | | | | |
| Data Collection Method and Computation | | | | | | |
| Data are extracted from the Data Repository (DR), where data are fed from DCM into spreadsheet of all cases where the CAP date is within the fiscal year. Calculate the number of business days between the PD date and CAP date for each case. Calculate the total number of cases where the CAP date is made within 60 business days of the PD date, divided by the total number of cases where the CAP date is within the fiscal year. | | | | | | |
| Data Limitations and Implications of the Reported Results | | | | | | |
| CPSC staff independently assessed the accuracy and reliability of the FY 2015 and FY 2016 data for this performance measure as part of a verification and validation exercise, and found the data to be reasonably accurate. All cases are reviewed by a Team Lead to ensure accuracy of available information. DCM has built in validation checks. However, results may differ slightly due to updates, edits, or corrections to case data that may occur after the fiscal year end run of data has been completed and results reported. | | | | | | |

| | | | | | | |
|---|--------------------|--------------------|--------------------|--------------------|--------------------|--------------------|
| Control ID | | | | Program | | |
| 2016BK4.3.3 | | | | Compliance | | |
| Strategic Goal | | | | | | |
| Goal 4: Decisive Response | | | | | | |
| Strategic Objective | | | | | | |
| 4.3: Increase the efficiency and speed of recalls of noncompliant and defective products. | | | | | | |
| Goal Statement | | | | | | |
| Improve timeliness of notifying firms of violative products | | | | | | |
| Performance Measure Statement | | | | | | |
| Percentage of cases in which the firm is notified of a violation in a timely manner | | | | | | |
| Definition of Performance Measure | | | | | | |
| Violative cases where the firm was notified within 30 calendar days, divided by the total number of violative cases where the firm was notified within the fiscal year. The date of violation is the compliance decision date. The firm is initially notified via phone or email and written confirmation is obtained and the date is entered into IFS under Notify date. However, if written confirmation is not obtained, the Letter of Advice (LOA) date will serve as the first form of notification. | | | | | | |
| Rationale for Performance Measure | | | | | | |
| This performance measure is an indicator of the timeliness of CPSC notice to firms of violations. "Timely" is defined as notification occurring within 30 business days after the violation was determined. | | | | | | |
| 2012 Actual | 2013 Actual | 2014 Actual | 2015 Actual | 2016 Target | 2016 Actual | Target Met? |
| -- | 94% | 97.1% | 96.9% | 90% | 95.9% | ✓ |
| Analysis | | | | | | |
| The CPSC exceeded its annual target of 90 percent; the result was 95.9 percent. The positive result is attributed to staff's ability to quickly contact the firm after assessing the violation. | | | | | | |
| Plan(s) for Improving Performance Measure | | | | | | |
| Starting in FY 2017, this performance measure will be monitored and reported internally. | | | | | | |
| Data Source | | | | | | |
| Integrated Field System (IFS) | | | | | | |
| Data Collection Method and Computation | | | | | | |
| Data are extracted from Comply table into spreadsheet for calculations. The number of cases for which a firm was first notified of a violation within the fiscal year and was notified within 30 business days of the date a violation was determined, divided by the number of cases for which a firm was first notified of a violation within the fiscal year. | | | | | | |
| Data Limitations and Implications of the Reported Results | | | | | | |
| All cases are reviewed by the Team Lead to ensure accuracy of information available. Additional data checks are conducted to ensure the counts are accurate. However, results may differ slightly due to updates, edits, or corrections to case data that may occur after the fiscal year end run of data has been completed and results reported. | | | | | | |

| | | | | | | |
|---|--------------------|--------------------|--------------------|--------------------|--------------------|--------------------|
| Control ID | | Program | | | | |
| 2016BK4.3.4 | | Compliance | | | | |
| Strategic Goal | | | | | | |
| Goal 4: Decisive Response | | | | | | |
| Strategic Objective | | | | | | |
| 4.3: Increase the efficiency and speed of recalls of noncompliant and defective products. | | | | | | |
| Goal Statement | | | | | | |
| Reduce time to initiate Fast-Track recalls | | | | | | |
| Performance Measure Statement | | | | | | |
| Percentage of Fast-Track cases with corrective actions initiated within 20 business days | | | | | | |
| Definition of Performance Measure | | | | | | |
| The number of Fast-Track cases opened during the fiscal year for which the firm initiated a Correction Action Plan (CAP) within 20 business day of the case opening, divided by the number of Fast-Track cases opened within the fiscal year. A case opening is when a case is entered into the Dynamic Case Management (DCM), which then generates a Case Creation date. A Stop Sale date is the date when notice was given to stop sale/distribution of affected products. | | | | | | |
| Rationale for Performance Measure | | | | | | |
| Industry has an opportunity to participate in a streamlined recall process through the Fast-Track Product Recall Program, which is designed to remove potentially dangerous products from the marketplace more quickly and save the company and the CPSC time and resources. To potentially take advantage of the Fast-Track program, a firm must, among other steps, commit to implementing a sufficient consumer-level voluntary recall within 20 business days of the case opening. The percentage of Fast-Track cases opened that result in a CAP within 20 business days of the case opening is a measure of the timeliness with which these expedited cases move from report to resolution. Increased timeliness of processing these cases contributes to the efficiency and speed of recalls for noncompliant and defective consumer products. | | | | | | |
| 2012 Actual | 2013 Actual | 2014 Actual | 2015 Actual | 2016 Target | 2016 Actual | Target Met? |
| 99% | 98% | 100% | 97.3% | 90% | 99.1% | ✓ |
| Analysis | | | | | | |
| The CPSC exceeded the target of 90 percent; the actual result was 99.1 percent. Clear understanding of the Fast-Track program and expectations for participation in the program contribute to its success. | | | | | | |
| Plan(s) for Improving Performance Measure | | | | | | |
| Results are as expected; target will be evaluated as to whether it should be changed. | | | | | | |
| Data Source | | | | | | |
| Dynamic Case Management (DCM) | | | | | | |
| Data Collection Method and Computation | | | | | | |
| Data are extracted from the Data Repository (DR), where data are fed from DCM into a spreadsheet of all cases where the Stop Sale date is within the fiscal year. Calculate the number of business days between the Case Creation date and the Stop Sale date for each case. Calculate the total number of cases where the Stop Sale date is made within 20 business days of the Case Creation date, divided by the total number cases where the Stop Sale date is within the fiscal year. | | | | | | |
| Data Limitations and Implications of the Reported Results | | | | | | |
| All cases are reviewed by the Team Lead to ensure accuracy of available information. DCM has built in validation checks. However, results may differ slightly due to updates, edits, or corrections to case data that may occur after the fiscal year end run of data has been completed and results reported. | | | | | | |

| | | | | | | |
|---|--------------------|--------------------|--------------------|--------------------|--------------------|--------------------|
| Control ID | | | | Program | | |
| 2016BK4.4.2 | | | | Communications | | |
| Strategic Goal | | | | | | |
| Goal 4: Decisive Response | | | | | | |
| Strategic Objective | | | | | | |
| 4.4: Reduce the time it takes to inform consumers and other stakeholders of newly identified hazards and the appropriate actions to take. | | | | | | |
| Goal Statement | | | | | | |
| Timely release of press releases announcing product recalls | | | | | | |
| Performance Measure Statement | | | | | | |
| Average number of business days between establishment of first draft and issuance of recall press release for the most timely 90 percent of all recall press releases | | | | | | |
| Definition of Performance Measure | | | | | | |
| The total number of business days between establishment of first draft and issuance of recall press release for the most timely 90 percent of all recall press releases, divided by the total number of those recall press releases. | | | | | | |
| Rationale for Performance Measure | | | | | | |
| This performance measure monitors progress toward reducing the time it takes to inform consumers and stakeholders of product-specific hazards and the actions consumers should take to receive a free remedy. Reducing the average time it takes the CPSC to issue press releases announcing product recalls will get product hazard information to consumers more quickly and reduce the risk of harm. | | | | | | |
| 2012 Actual | 2013 Actual | 2014 Actual | 2015 Actual | 2016 Target | 2016 Actual | Target Met? |
| -- | -- | -- | 16 | 19 | 17.8 | ✓ |
| Analysis | | | | | | |
| The FY 2016 target was 19 business days and the actual result was 17.8 business days. The CPSC exceeded the target by reducing the average number of business days it takes to issue a recall press release by a little over one business day from its target. | | | | | | |
| Plan(s) for Improving Performance Measure | | | | | | |
| OCM will continue working with EXC and recalling firms to reach consensus in a timely manner on recall notices, while adhering to our principles for effective consumer-level communication. Also, the CPSC is committed to reducing the FY 2017 target to 18 business days. | | | | | | |
| Data Source | | | | | | |
| News Release Update (Tracking) Log | | | | | | |
| Data Collection Method and Computation | | | | | | |
| Data on the recall announcements are tracked and transferred to a Performance Log that compiles OCM's dates for First Draft and Date Issued for a recall and calculates the average number of business days for all releases, Fast-Track, and Non-Fast-Track. | | | | | | |
| Data Limitations and Implications of the Reported Results | | | | | | |
| CPSC staff independently assessed the accuracy and reliability of the FY 2016 data for this performance measure as part of a verification and validation exercise, and found the data to be reasonably accurate.. Note there is high variability in the determination of the first draft date due to logistical challenges that recalling firms may face prior to the announcement of the recall. | | | | | | |

| | | | | | | |
|---|--------------------|--------------------|--------------------|--------------------|--------------------|--------------------|
| Control ID | | | | Program | | |
| 2016BK4.5.2 | | | | Compliance | | |
| Strategic Goal | | | | | | |
| Goal 4: Decisive Response | | | | | | |
| Strategic Objective | | | | | | |
| 4.5: Hold violators accountable for hazardous consumer products on the market by utilizing enforcement authorities. | | | | | | |
| Goal Statement | | | | | | |
| Improve timeliness of referral to the CPSC's Office of General Counsel (OGC) for review of firm's timely reporting pursuant to Section 15 (b) | | | | | | |
| Performance Measure Statement | | | | | | |
| Percentage of compliance defect investigation cases referred within 20 business days to the Office of General Counsel (OGC) for review of firms' timely reporting pursuant to §15(b) | | | | | | |
| Definition of Performance Measure | | | | | | |
| The number of Compliance Defect Investigation cases that are referred to the OGC within 20 business days of acceptance of an adequate Corrective Action Plan (CAP), divided by the total number of Compliance Defect Investigation cases referred to the OGC for review. The CAP date is the date that terms are agreed to with a firm on a recall. This measure tracks data on Compliance Defect Investigation cases only, and not Compliance Regulatory Enforcement cases. | | | | | | |
| Rationale for Performance Measure | | | | | | |
| Under the Consumer Product Safety Act, stakeholders have statutory reporting obligations that include when a product they produce or distribute contains a defect that presents or could present a significant risk of injury. CPSC Compliance Officers, during the investigation of a reports, as well as during investigations initiated by staff where there is no report, review the firm's report or failure to report. When a CAP is negotiated and accepted, Compliance Officers formally refer the case to the OGC, when there is reason to believe that a stakeholder has failed to report in a timely manner. Compliance Officers refer a Compliance Defect Investigation (CDI) case to the OGC so that OGC can review the file and determine whether the firm reported under Section 15(b), as required. Referring cases to the OGC for follow-up review in a timely manner contributes to the CPSC's ability to hold violators accountable for hazardous consumer products in the market. | | | | | | |
| 2012 Actual | 2013 Actual | 2014 Actual | 2015 Actual | 2016 Target | 2016 Actual | Target Met? |
| -- | -- | -- | 90% | 75% | 87.5% | ✓ |
| Analysis | | | | | | |
| The CPSC exceeded its FY 2016 target of 75 percent; the actual result was 87.5 percent. Continued coordination with OGC contributed to the success of exceeding the annual target. | | | | | | |
| Plan(s) for Improving Performance Measure | | | | | | |
| Starting in FY 2017, this measure will be discontinued as a key measure. Starting in FY 2017, this measure will be monitored and reported internally. However, referrals to OGC will continue and data will continue to be collected by program office. | | | | | | |
| Data Source | | | | | | |
| Dynamic Case Management (DCM) | | | | | | |
| Data Collection Method and Computation | | | | | | |
| Data are extracted from the Data Depository (DR), where data are fed from the DCM into spreadsheet for all timeliness cases where the Refer to Legal date is within the fiscal year. Calculate the number of business days between the CAP date and the Refer to Legal date for each case. Calculate the total number of cases where the Refer to Legal date is made within 20 business days of the CAP date, divided by the total number cases where the Refer to Legal date is within the fiscal year. | | | | | | |
| Data Limitations and Implications of the Reported Results | | | | | | |
| All cases are reviewed by Team Lead to ensure accuracy of available information. DCM has built-in validation checks. However, results may differ slightly due to updates, edits, or corrections to case data that may occur after fiscal year end run. | | | | | | |

| | | | | | | |
|--|--------------------|--------------------|--------------------|--------------------|--------------------|--------------------|
| Control ID | | | | Program | | |
| 2016BK5.2.1 | | | | Communications | | |
| Strategic Goal | | | | | | |
| Goal 5: Raising Awareness | | | | | | |
| Strategic Objective | | | | | | |
| 5.2: Provide stakeholders with easily accessible, timely, and useful safety information on consumer product hazards. | | | | | | |
| Goal Statement | | | | | | |
| Increase access to timely, useful safety information on consumer product hazards | | | | | | |
| Performance Measure Statement | | | | | | |
| Number of public information campaigns conducted by CPSC on targeted consumer product safety hazards | | | | | | |
| Definition of Performance Measure | | | | | | |
| Number of public information campaigns conducted by the CPSC on high-concern product safety hazards. Awareness is raised on these issues with either a singular effort or a campaign involving partnerships. "Campaign" refers to multiple communications products distributed to various audiences using an assortment of media on a single issue. Collaborations at this level involve no-cost, coordinated efforts with other agencies, nonprofit organizations, and/or associations to increase awareness and impressions. | | | | | | |
| Rationale for Performance Measure | | | | | | |
| The CPSC conducts public information campaigns on high-concern consumer product safety issues. A campaign, which may be conducted by the CPSC alone, or may involve collaborations, consists of multiple communications products on a single issue that are distributed to audiences using an assortment of traditional and new media. | | | | | | |
| 2012 Actual | 2013 Actual | 2014 Actual | 2015 Actual | 2016 Target | 2016 Actual | Target Met? |
| 23 | 24 | 24 | 24 | 24 | 24 | ✓ |
| Analysis | | | | | | |
| These ongoing campaigns keep current product hazards visible to consumers with current information from the CPSC. We received significant coverage for holiday decorating-related and Christmas tree fires when we added a special media event for this hazard. CPSC also conducted major outreach campaigns involving: the recalls of hoverboards and the Samsung Note7 smart phone, issues of off-campus housing fire prevention, and in home drowning (with the production of a new public service announcement). Success in this objective results from consistency of addressing chronic hazards annually, which gives OCM the capability of ramping up existing, planned efforts when conditions call for it. Also, the ability to address emerging hazards (e.g., hoverboard fires and the Samsung Note7 recall) quickly when they happen, while managing the necessary resources for the unplanned effort, contributes to success. | | | | | | |
| Plan(s) for Improving Performance Measure | | | | | | |
| Consistent success in meeting this goal leaves few opportunities for improvement. Embedding each of the 24 campaigns into our annual calendar allows better advance planning without overlap or rush to complete all campaigns by the end of the year. | | | | | | |
| Data Source | | | | | | |
| Targeted hazards addressed using a variety of communications products, events and activities that raise awareness of the hazard. | | | | | | |
| Data Collection Method and Computation | | | | | | |
| Communications products, events and activities are planned and produced, and media impressions are counted for all campaigns. | | | | | | |
| Data Limitations and Implications of the Reported Results | | | | | | |
| Consistent success in meeting this measure year after year; however, it does not measure the effectiveness of the campaigns. The list of "high concern" product safety hazards may be subject to change from year to year. | | | | | | |

| | | | | | | |
|---|--------------------|--------------------|--------------------|--------------------|--------------------|--------------------|
| Control ID | | Program | | | | |
| 2016BK5.2.2 | | Communications | | | | |
| Strategic Goal | | | | | | |
| Goal 5: Raising Awareness | | | | | | |
| Strategic Objective | | | | | | |
| 5.2: Provide stakeholders with easily accessible, timely, and useful safety information on consumer product hazards. | | | | | | |
| Goal Statement | | | | | | |
| Increase access to timely, useful safety information on consumer product hazards | | | | | | |
| Performance Measure Statement | | | | | | |
| Number of impressions of CPSC safety messages received by consumers on targeted consumer product safety hazards, excluding recalls (in millions) | | | | | | |
| Definition of Performance Measure | | | | | | |
| The number of impressions is an estimate of the number of times the public is exposed to a particular CPSC safety message. This is tracked for TV viewers, newspaper readers, online and social media viewers, as well as radio listeners, billboards, and other media. CPSC safety messages are statements in traditional and new media about CPSC product safety efforts. | | | | | | |
| Rationale for Performance Measure | | | | | | |
| This performance indicator tracks the number of impressions received by consumers of CPSC safety messages. The number of impressions is an estimate of the number of times people have been exposed to particular safety messages from CPSC. There is a direct relationship between the number of times people are exposed to a safety message and the level of awareness of the message in the general population. The number of impressions may provide a benchmark of the extent of consumer awareness. | | | | | | |
| 2012 Actual | 2013 Actual | 2014 Actual | 2015 Actual | 2016 Target | 2016 Actual | Target Met? |
| -- | -- | -- | -- | 8,500 | 9,479 | ✓ |
| Analysis | | | | | | |
| In FY 2016, there were nearly 9.5 billion audience impressions of targeted CPSC safety messages, exceeding the target of 8.5 billion impressions. Targeted campaigns included carbon monoxide, fire, children & other, and imports impressions, excluding recalls involving those topics. This enabled OCM to better gauge the effectiveness of its information campaigns directly. | | | | | | |
| Plan(s) for Improving Performance Measure | | | | | | |
| The performance measure will change again in FY 2017 in the way total impressions are compiled, counting impression numbers only once despite messages that cross multiple categories (e.g., a single communications message that is relevant to two different topics, such as Safe to Sleep® and fire hazard). CPSC will continue to isolate the number of impressions for recalls vs. non-recalls. The goal is to avoid double counting impressions and get more precise data on outreach campaigns by topic. | | | | | | |
| Data Source | | | | | | |
| A variety of contracted and respected media measurement tools are used by OCM to compile impressions on specified CPSC messages. | | | | | | |
| Data Collection Method and Computation | | | | | | |
| Data provided by contracted media monitoring companies that subscribe to media measurement tools are used by a broad spectrum of companies, such as advertisers, agencies, and research firms that need reliable audience data. Sum the number of views, reads, and listens of CPSC communications related to consumer product hazards of high concern during the fiscal year. | | | | | | |
| Data Limitations and Implications of the Reported Results | | | | | | |
| CPSC staff independently assessed the accuracy and reliability of the FY 2015 and FY 2016 data for this performance measure as part of a verification and validation exercise. The review found that results for this measure are overstated due to double counting. This happens when a single safety message crosses multiple categories (e.g., imported toy, Safe to Sleep®, fire hazard), and impressions from each category are aggregated together. The performance measure will be revised for next year to eliminate double counting. Impressions are reasonable estimates of the size of a medium's audience when the message was delivered, but not necessarily an indicator of how effective the message was at influencing audience behavior. | | | | | | |

| | | | | | | |
|--|--------------------|--------------------|--------------------|--------------------|--------------------|--------------------|
| Control ID | | | | Program | | |
| 2016BK5.2.3 | | | | Communications | | |
| Strategic Goal | | | | | | |
| Goal 5: Raising Awareness | | | | | | |
| Strategic Objective | | | | | | |
| 5.2: Provide stakeholders with easily accessible, timely, and useful safety information on consumer product hazards. | | | | | | |
| Goal Statement | | | | | | |
| Increase access to timely, useful safety information on consumer product hazards | | | | | | |
| Performance Measure Statement | | | | | | |
| Number of media events involving collaborations with other federal, state or local governments; consumer advocacy organizations; medical or industry groups; or other stakeholders that focus on a targeted hazard with high public concern | | | | | | |
| Definition of Performance Measure | | | | | | |
| This measure tracks the number of media or social media events conducted by CPSC as part of the agency's 24 targeted safety campaigns. An event can include a press conference, media availability, Twitter chat, Google+ hangout, and more. | | | | | | |
| Rationale for Performance Measure | | | | | | |
| These events often provide exposure for the agency that contributes to increased awareness of what CPSC does and what consumers can do to protect against a particular hazard. | | | | | | |
| 2012 Actual | 2013 Actual | 2014 Actual | 2015 Actual | 2016 Target | 2016 Actual | Target Met? |
| -- | -- | -- | 8 | 5 | 7 | ✓ |
| Analysis | | | | | | |
| The FY 2016 actual result was seven events. The CPSC exceeded the FY 2016 target of five media or social media events involving collaborations with other federal, state or local governments; consumer advocacy organizations; medical or industry groups; or other stakeholders that focus on a targeted hazard with high public concern. Events included a holiday decorating safety press conference, the Trilateral Summit on Toy Safety, a media availability on window covering safety featuring CPSC Chairman Elliot Kaye and Health Canada at International Consumer Product Health and Safety Organization (ICPHSO), a hoverboard recall press conference, a fireworks safety public service announcement with injured National Football League (NFL) player Jason Pierre-Paul, and CPSC's annual fireworks safety press conference. | | | | | | |
| Plan(s) for Improving Performance Measure | | | | | | |
| CPSC will continue exploring opportunities to conduct a greater number of social media-based events. | | | | | | |
| Data Source | | | | | | |
| An Office of Communications' (OCM) developed and managed spreadsheet of events and activities. | | | | | | |
| Data Collection Method and Computation | | | | | | |
| Aggregate count of events conducted by OCM staff involved in targeted campaigns. | | | | | | |
| Data Limitations and Implications of the Reported Results | | | | | | |
| No known limitations on the count for this measure. | | | | | | |

| | | | | | | |
|--|--------------------|--------------------|--------------------|--------------------|--------------------|--------------------|
| Control ID | | | | Program | | |
| 2016BK5.3.1 | | | | Communications | | |
| Strategic Goal | | | | | | |
| Goal 5: Raising Awareness | | | | | | |
| Strategic Objective | | | | | | |
| 5.3: Deploy targeted outreach campaigns for priority hazards and vulnerable communities. | | | | | | |
| Goal Statement | | | | | | |
| Improve targeted outreach campaigns conducted for priority hazards and/or vulnerable population groups | | | | | | |
| Performance Measure Statement | | | | | | |
| Number of impressions of CPSC safety messages received by consumers on priority hazards in vulnerable communities, excluding recalls (in millions) | | | | | | |
| Definition of Performance Measure | | | | | | |
| The number of impressions is an estimate of the number of times the public is exposed to a particular CPSC safety message. This is tracked for TV viewers, newspaper readers, online and social media viewers, as well as radio listeners, billboards, and other media. "Priority hazards" that the agency is working to address in vulnerable communities include pool and spa safety, Safe to Sleep®, TV/furniture tip overs, and poison prevention. "Vulnerable communities" include minority and underrepresented population groups, such as low-income, and limited English-speaking audiences, and "vulnerable groups" such as children. | | | | | | |
| Rationale for Performance Measure | | | | | | |
| The CPSC's communications strategy includes a focus on deploying targeted outreach campaigns that aim to prevent deaths and injuries from hazards that disproportionately impact vulnerable communities. | | | | | | |
| 2012 Actual | 2013 Actual | 2014 Actual | 2015 Actual | 2016 Target | 2016 Actual | Target Met? |
| -- | -- | -- | -- | 2,750 | 3,382 | ✓ |
| Analysis | | | | | | |
| In FY 2016, there were more than 3.38 billion impressions for this measure, which significantly exceeded the target of 2.75 billion impressions. Priority hazards include Drowning/Pool Safety, Safe to Sleep®, TV and furniture tip-overs and poison prevention. The largest number of impressions were related to CPSC's Pool Safety and TV and furniture tip-over outreach campaigns. | | | | | | |
| Plan(s) for Improving Performance Measure | | | | | | |
| Performance measure will change again in FY 2017 in the way total impressions are compiled, counting impression numbers only once despite messages that cross multiple categories (e.g., Safe to Sleep®, fire hazard). OCM will continue to measure priority hazards, excluding recalls, to gauge outreach and reduce injuries and deaths in vulnerable communities. | | | | | | |
| Data Source | | | | | | |
| A variety of media measurement tools are available that media monitoring companies under contract can use to compile impressions on specified CPSC messages. | | | | | | |
| Data Collection Method and Computation | | | | | | |
| Data are provided by contracted media monitoring companies that subscribe to media measurement tools used by a broad spectrum of companies such as advertisers, agencies and research firms that need reliable audience data. Sum the number of views, reads, and listens of activities carried out by the agency's Community Outreach Team that generated media coverage. | | | | | | |
| Data Limitations and Implications of the Reported Results | | | | | | |
| CPSC staff independently assessed the accuracy and reliability of the FY 2015 and FY 2016 data for this performance measure as part of a verification and validation exercise. The review found that results for this measure are overstated due to double counting. This happens when a single safety message cross multiple categories (e.g., Safe to Sleep®, Pool & Spa, minority), and impressions from each category are aggregated together. The performance measure will be revised for next year to eliminate double counting. Impressions are reasonable estimates of the size of a medium's audience when the message was delivered, but not necessarily an indicator of how effective the message was at influencing audience behavior. | | | | | | |

| | | | | | | |
|--|--------------------|--------------------|--------------------|--------------------|--------------------|--------------------|
| Control ID | | | | Program | | |
| 2016BK5.3.4 | | | | Communications | | |
| Strategic Goal | | | | | | |
| Goal 5: Raising Awareness | | | | | | |
| Strategic Objective | | | | | | |
| 5.3: Deploy targeted outreach campaigns for priority hazards and vulnerable communities. | | | | | | |
| Goal Statement | | | | | | |
| Improve targeted outreach campaigns conducted for priority hazards and/or vulnerable population groups | | | | | | |
| Performance Measure Statement | | | | | | |
| Number of media events involving collaborations with other federal, state or local governments; consumer advocacy organizations; medical or industry groups; or other stakeholders that focus on a priority hazard in vulnerable communities. | | | | | | |
| Definition of Performance Measure | | | | | | |
| "Priority hazards" that the agency is working to address in vulnerable communities include pool and spa safety, Safe to Sleep®, TV/furniture tip overs, and poison prevention. "Vulnerable communities" include minority and underrepresented population groups, such as low-income, and limited English-speaking audiences, and "vulnerable groups" such as children. | | | | | | |
| Rationale for Performance Measure | | | | | | |
| These events often provide exposure for the agency that contributes to increased awareness of what CPSC does and what consumers can do to protect against a particular priority hazard. | | | | | | |
| 2012 Actual | 2013 Actual | 2014 Actual | 2015 Actual | 2015 Target | 2016 Actual | Target Met? |
| -- | -- | -- | 15 | 15 | 20 | ✓ |
| Analysis | | | | | | |
| The FY 2016 actual result was 20. The CPSC exceeded the FY 2016 target of 15 media events involving collaborations with other federal, state or local governments; consumer advocacy organizations; medical or industry groups; or other stakeholders that focus on a priority hazard in vulnerable communities. Events included a "10 Tips for Baby Safety" video, a radio satellite media tour/interviews on tip-over prevention, a Twitter chat and a webinar with the Young Invincibles group, and attending and exhibiting at the Tom Joyner Family Expo, the National Association of Black Journalists/National Association of Hispanic Journalists Convention & Expo and at the League of United Latin American Citizens (LULAC). | | | | | | |
| Plan(s) for Improving Performance Measure | | | | | | |
| CPSC will continue exploring opportunities to conduct even more social media-based events. | | | | | | |
| Data Source | | | | | | |
| An Office of Communications' (OCM) developed and managed spreadsheet of events and activities. | | | | | | |
| Data Collection Method and Computation | | | | | | |
| Aggregate count of events conducted by OCM staff involved in priority campaigns. | | | | | | |
| Data Limitations and Implications of the Reported Results | | | | | | |
| No known limitations on the count for this measure. | | | | | | |

Appendix D Acronyms

| | |
|--------|---|
| AED | Assistant Executive Director |
| AFR | Agency Financial Report |
| ANPR | Advance Notice of Proposed Rulemaking |
| APR | Annual Performance Report |
| ASTM | American Society for Testing and Materials |
| CAP | Corrective Action Plan |
| CBP | U.S. Customs and Border Protection |
| CDC | U.S. Centers for Disease Control and Prevention |
| CFR | Code of Federal Regulations |
| CO | Carbon Monoxide |
| CPSA | Consumer Product Safety Act |
| CPSC | U.S. Consumer Product Safety Commission |
| CPSIA | Consumer Product Safety Improvement Act |
| CPSRMS | Consumer Product Safety Risk Assessment Management System |
| DCM | Dynamic Case Management System |
| DFR | Direct Final Rule |
| DR | Data Repository |
| ED | Emergency Department |
| ESC | Enterprise Services Center |
| EXC | Office of Compliance |
| EXFM | Office of Financial Management, Planning, and Evaluation |
| EXHR | Office of Hazard Identification |
| EXIS | Office of Import Surveillance |
| FHSA | Federal Hazardous Substances Act |
| FPPS | Federal Personnel Payroll System |
| FR | Final Rule |
| FY | Fiscal Year |
| GPRA | Government Performance and Results Act of 1993 |
| HHS | U.S. Department of Health and Human Services |
| IDP | Individual Development Plan |
| IFS | Integrated Field System |
| ISSLoB | Information Systems Security Line of Business |
| ITDS | International Trade Data System |
| LOA | Letter of Advice |
| LS | Directorate of Laboratory Sciences |
| NARS | NEISS Administrative Records System |
| NEISS | National Electronic Injury Surveillance System |
| NIEHS | National Institute of Environmental Health Sciences |
| NNI | National Nanotechnology Initiative |
| NPR | Notice of Proposed Rulemaking |
| NPTEC | National Product Testing and Evaluation Center |

| | |
|----------|--|
| NSN | Neighborhood Safety Network |
| OCM | Office of Communications |
| OGC | Office of the General Counsel |
| OMB | Office of Management and Budget |
| OPM | U.S. Office of Personnel Management |
| PBR | Performance Budget Request |
| PD | Preliminary Determination |
| PMD | Performance Management Database |
| PRODTEST | Product Testing Database |
| PSA | Product Safety Assessment |
| R&D | Research & Development |
| RAM | Risk Assessment Methodology |
| SDR | Strategic Data Review |
| TMS | Talent Management System |
| V-STAR | Voluntary Standards Tracking and Access Report |

U.S. Consumer Product Safety Commission
Bethesda, MD 20814