

# Fiscal Year 2021

## Performance Budget Request to Congress



February 10, 2020

**Our Mission:** *Keeping Consumers Safe*



## About the Consumer Product Safety Commission (CPSC)

The Commission consists of five members appointed by the President with the advice and consent of the Senate. The Chairman is the head of the Commission and principal executive officer of the CPSC.

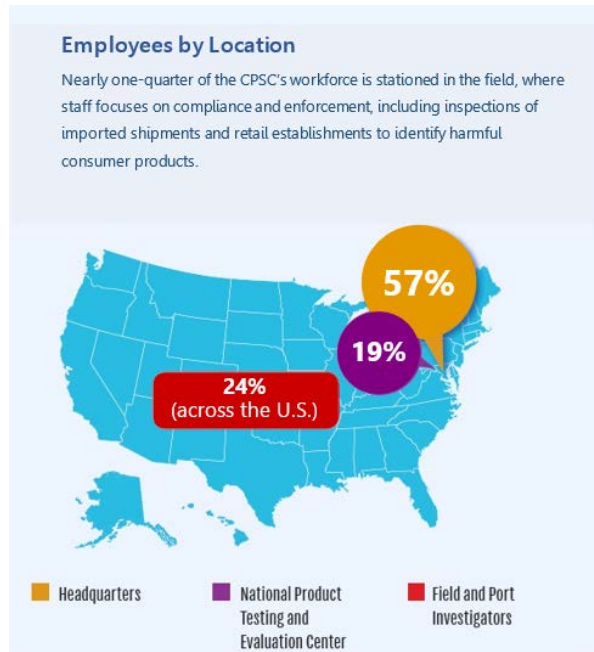
The CPSC is an independent federal regulatory agency with a public health and safety mission to protect the public from unreasonable risks of injury and death from consumer products.

The Consumer Product Safety Act (CPSA) created the CPSC in 1972. In addition to the CPSA, as amended by the Consumer Product Safety Improvement Act of 2008 (CPSIA), and Pub. L. No. 112-28, the CPSC administers 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, the Labeling of Hazardous Art Materials Act, the Drywall Safety Act of 2012, and the Child Nicotine Poisoning Prevention Act.

The CPSC has jurisdiction over thousands of 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 our regulatory purview is quite broad, a number of product categories fall outside the CPSC's jurisdiction.<sup>1</sup>

The CPSC accomplishes its mission to protect consumers against the unreasonable risk of injury and death associated with consumer products by using analysis, regulatory policy, compliance and enforcement, and education to identify and address product safety hazards. This important work includes:

- **Hazard Identification and Assessment**—collecting information and developing injury and death statistics regarding the use of products under the CPSC's jurisdiction;
- **Voluntary Standards<sup>2</sup> and Mandatory Regulations<sup>3</sup>**—participating in the development and strengthening of voluntary standards and developing mandatory regulations;
- **Import Surveillance**—using a risk assessment methodology (RAM) to analyze import data to identify and interdict violative consumer products before they enter commerce in the United States;
- **Compliance and Enforcement**—enforcing compliance with mandatory regulations and removing defective products through compliance activities, such as recalls or other corrective actions, and litigating, when necessary;
- **Public Outreach**—educating consumers, families, industry, and state, local, and foreign governments about safety programs, alerts and recalls, emerging hazards, mandatory regulations, voluntary standards, and product safety requirements in the United States;
- **Intergovernmental Coordination**—coordinating work on product safety issues with other federal government stakeholders; and
- **Cooperation with Foreign Governments**—leveraging work with foreign government safety agencies, bilaterally and multilaterally, to improve safety for U.S. consumers.



<sup>1</sup> Different federal agencies regulate other product categories, such as automobiles; boats; alcohol, tobacco, and firearms; foods, drugs, cosmetics, and medical devices; and pesticides.

<sup>2</sup> A "voluntary standard" is a consensus product standard and/or safety standard. See: [www.cpsc.gov/Regulations-Laws-Standards/Voluntary-Standards](http://www.cpsc.gov/Regulations-Laws-Standards/Voluntary-Standards) for a description of CPSC Voluntary standards activities.

<sup>3</sup> A "mandatory regulation" is a mandatory standard and called a technical regulation.

# Table of Contents

## Budget Discussion

### Summary of Changes

FY 2021 Budget Adjustments .....	1
Table 1 – Summary of Changes from the FY 2020 <i>Request</i> .....	1
Proposed Appropriations Language .....	3

### Executive Summary

Budget Priorities .....	4
-------------------------	---

### Budget Discussion by Strategic Goal

Strategic Plan .....	5
Table 2 – FY 2021 <i>Request</i> by Strategic Goal and Program Component .....	5
Strategic Goal 1 .....	6
Strategic Goal 2 .....	8
Strategic Goal 3 .....	12
Strategic Goal 4 .....	14

Strategic Crosscutting Priorities and Risks .....	17
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## Standards and Rulemakings

Voluntary Standards Summary .....	20
Mandatory Standards Summary .....	23

## Annual Performance Plan

2018–2022 Strategic Plan Summary .....	25
Key Performance Measure Summary .....	26
Annual Performance Plan Details .....	28

## Appendices

<b>Appendix A</b> – Unfunded Priorities previously submitted by the Commission .....	39
<b>Appendix B</b> – Technical Budget Tables	
Table 3 – Program and Financing Schedule .....	41
Table 4 – Object Classification Schedule and Personnel Summary .....	42
Table 5 – CPSC FTEs by Organization .....	43
Table 6 – Inspector General Budget Request .....	44
<b>Appendix C</b> – Acronyms .....	45
<b>Appendix D</b> – Organizational Structure .....	46

## Summary of Changes

### FY 2021 Budget Adjustments

#### Maintain Current Levels

- **Pay (+\$0.9 million):** The CPSC requests \$0.9 million for personnel salary and benefits for 539 full-time equivalents (FTEs), consistent with the FY 2020 enacted staffing level. This request will cover the 1% pay raise in FY 2021 directed by the Office of Management and Budget (OMB), and other increases in payroll costs, such as within-grade increases, earned promotions, and locality pay adjustments.
- **Non-Pay (+\$0.5 million):** The CPSC requests an additional \$0.5 million for non-pay inflation items to maintain current levels. This amount funds known escalation amounts for existing recurring contracts and agreements for collecting hospital emergency department data, IT audits, and increased lease costs.

**Table 1: Summary of Changes from the FY 2020 Enacted**  
(Dollars in millions)

	Dollars
<b>FY 2020 Enacted</b>	<b>\$132.5</b>
<b>Maintain Current Levels:</b>	
➤ Pay	\$0.9
➤ Non-Pay	\$0.5
<b>Changes to Program:</b>	
➤ VGB Grants	-\$1.3
➤ Enterprise Data Analytics	\$0.9
➤ OFR Chemicals Assessment	\$1.5
<b>Proposed FY 2021 CPSC Budget</b>	<b>\$135.0</b>

#### Changes to Program

- **Future Virginia Graeme Baker Pool and Spa Safety Act (VGB Act) Grants (-\$1.3 million):** The CPSC will continue to award VGB Act grants using the available no-year appropriation balances provided in the FY 2020 and prior enacted appropriations. No additional grants awards are planned after the current unobligated balances are exhausted.
- **Enterprise Data Analytics (+\$0.9 million):** The CPSC requests additional funding to begin implementing a multiyear Enterprise Data Analytics capability. In FY 2019, the CPSC partnered with the General Services Administration's (GSA) IT Modernization Centers of Excellence (CoE) to formulate a next-generation Enterprise Data Analytics Strategy for consumer product safety. In business and technical terms, the strategy will define (a) the current and future data sources used to identify and address safety incidents; (b) the data ingestion and matching tools to automatically organize incoming data for analysis (*e.g.*, machine learning, artificial intelligence); (c) an enterprise data storage capability to make data and analysis available across agency programs (*e.g.*, Hazard Identification, Compliance, Import Surveillance); (d) the data analysis tool sets that best meet the agency's analysis requirements; and (e) the use cases to improve hazard and compliance detection outcomes (*e.g.*, improved anomaly identification). In addition, the CPSC is pursuing a pilot initiative to test and evaluate a limited number of use cases, using advanced analytic tools to inform the enterprise strategy. This funding request is to initiate implementation of the Enterprise Data Analytics Strategy in FY 2021, with priority toward deploying an enterprise data management controls and common storage capabilities for analytics that will be the backbone of the overall strategy. The strategy, completed during FY 2020, will inform a follow-on funding request as part of the FY 2022 budget process.
- **Organohalogen Flame Retardant (OFR) Chemicals Assessment (+\$1.5 million):** The agency requests additional funding to implement the research recommendations proposed by the National Academy of Sciences (NAS) in their 2019 report, "A Class Approach to Hazard Assessment of Organohalogen Flame Retardants." This project is to assess toxicity of the first of the 14 identified subclasses of OFRs, to be followed by toxicity assessment of the remaining subclasses over multiple years. The estimated cost to

complete toxicity assessment for the first 10 subclasses is \$13 million. An additional \$5.6 million is required for the final four subclasses; however, the NAS believes the data is likely insufficient for the four remaining subclasses. Additional research of similar scope, beyond toxicity assessment of the 14 subclasses, would be needed to determine exposure and risk assessment; that research for the exposure and risk assessment would require additional funding beyond the \$18.6 million for the toxicity assessment.

## Proposed Appropriations Language

### **U.S. Consumer Product Safety Commission Salaries and Expenses**

For necessary expenses of the U.S. Consumer Product Safety Commission, including hire of passenger motor vehicles, services as authorized by 5 U.S.C. 3109, but at rates for individuals not to exceed the per diem rate equivalent to the maximum rate payable under 5 U.S.C. 5376, purchase of nominal awards to recognize non-federal officials' contributions to Commission activities, and not to exceed \$4,000 for official reception and representation expenses, \$135,000,000.

## Executive Summary

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Acting Chairman Robert S. Adler

### CPSC Budget Priorities

The U.S. Consumer Product Safety Commission requests \$135 million for FY 2021. The FY 2021 Performance Budget Request (*Request*) is \$2.5 million above the FY 2020 Enacted level of \$132.5 million. The FY 2021 *Request* supports the CPSC's mission of "Keeping Consumers Safe."

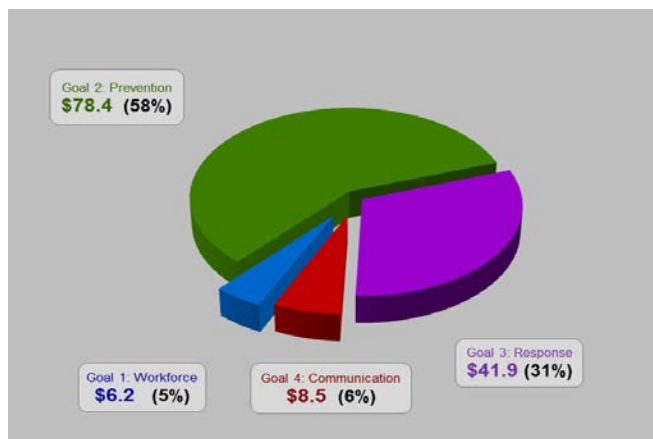
The CPSC is committed to working within the resources provided by Congress and is mindful of the fiscal constraints government-wide. To accomplish the CPSC's mission, and to achieve the agency's Strategic Goals, the CPSC bases this *Request* on four priorities:

- **Focus on Risk:** The CPSC will prioritize its resources on the products with the highest consumer product safety risks. The CPSC will accomplish this by using data to guide decisions and policy; working with standards development organizations to develop voluntary standards; assessing mandatory standard-setting activities; and revisiting the efficacy of existing regulations, when necessary. To advance data-based decision-making, the CPSC will invest in analytical tools and technology and expand its data sources.
- **Import Surveillance:** The CPSC will continue to support import surveillance by operating, maintaining, and developing the Risk Assessment Methodology (RAM) system to identify and stop noncompliant imported products from entering the U.S. marketplace. The CPSC will accomplish this by allocating and expanding full-time staff to conduct inspections and clear compliant cargo quickly at the highest-volume ports of entry and by analyzing the ways in which e-commerce is evolving the global supply chain.
- **Collaboration, Education, and Outreach:** The CPSC will emphasize collaboration, education, and outreach by engaging all stakeholders through forums, advisory groups, seminars, webinars, technical stakeholder-to-government discussions, and workshops. In addition, the CPSC will continue to emphasize and expand the work of the agency's Small Business Ombudsman (SBO), use information and insight gained from workshops (e.g., Internet of Things [IoT]), proactively engage industry and international stakeholders at all levels, and provide information and education to consumers to enable informed decision-making. The CPSC will collaborate with other federal agencies and industry through research and sharing data to leverage the broader stakeholder community to advance consumer product safety.
- **Data-Driven:** The CPSC will seek to expand the utility of its data assets, data analysis tools, sources, and types of analysis used to identify and assess hazards and inform solutions to address them. The CPSC will accomplish this by augmenting analytical and trend-assessment protocols and pursuing an integrated data management and analytics strategy. These efforts will expand and improve the CPSC's capabilities to identify and analyze emerging hazards and reinforce the data-driven nature of the agency's work.

## Budget Discussion by Strategic Goal

### CPSC Strategic Plan

The CPSC’s grounds its mission of “Keeping Consumers Safe” in the statutes that authorize the work of the agency. The agency’s overarching vision is “A nation free from unreasonable risks of injury and death from consumer products.” The CPSC has four Strategic Goals designed to realize the agency’s vision and achieve its mission. The CPSC’s programs align with these Strategic Goals, and the agency implements them to achieve the goals outlined in the CPSC’s *2018–2022 Strategic Plan*. The Strategic Goals are:



Above: CPSC FY 2021 Request by Strategic Goal (in millions)

- **Workforce**—Cultivate the most effective consumer product safety workforce
- **Prevention**—Prevent hazardous products from reaching consumers
- **Response**—Respond quickly to address hazardous consumer products both in the marketplace and with consumers
- **Communication**—Communicate relevant information quickly and effectively to better inform decisions

The CPSC requests \$135 million for FY 2021.

**Table 2:** FY 2021 *Request* by Strategic Goal and Program Component

(Dollars in thousands)

Agency Total	FY 2021 Request	=	Goal 1 Workforce	+	Goal 2 Prevention	+	Goal 3 Response	+	Goal 4 Communication
	\$135,000		\$6,201		\$78,376		\$41,957		\$8,466
Commissioners	\$3,543		\$213		\$2,090		\$992		\$248
Hazard Identification	\$34,816		\$0		\$28,318		\$6,498		\$0
Compliance & Field	\$25,199		\$0		\$6,264		\$18,935		\$0
Import Surveillance	\$7,129		\$0		\$7,129		\$0		\$0
International Programs	\$1,845		\$0		\$1,845		\$0		\$0
Communications	\$4,336		\$0		\$0		\$0		\$4,336
Cross-Cutting	\$58,132		\$5,988		\$32,730		\$15,532		\$3,882





## Strategic Goal 1: Workforce (\$6.2 million)

The FY 2021 *Request* allocates \$6.2 million for Strategic Goal 1 —**Workforce**— focused on cultivating the most effective consumer product safety workforce. The CPSC’s approach to **Workforce** involves enhancing human capital planning and alignment, increasing opportunities for professional development, and improving recruitment strategies to attract talented, diverse, and committed staff. The strategy also emphasizes increasing employee engagement by promoting and rewarding staff innovation and creativity, strengthening leadership competencies, and increasing managers’ commitment to fostering employee engagement in the workplace.

### Mission Delivery for **Workforce**

The CPSC *cultivates the most effective consumer product safety workforce* through the following:

		2019 Actual	2020 Estimate	2021 Estimate
<b>Human Capital Planning &amp; Alignment</b>	Percentage of full-time equivalents (FTEs) utilized	98%	96%	96%
<b>Recruiting a talented &amp; diverse workforce</b>	Percentage of hiring managers trained on recruitment	85.5%	80%	80%

## Workforce Challenges

**Skills Gaps:** The CPSC faces potential skills gaps resulting from the use of new and emerging technologies in the design, manufacture, and operation of consumer products, as well as in mission-support functions, including IT, Procurement, and Human Resources.

- **New/Emerging Technologies Skills Gaps:** To address the increasing use of emerging technologies in consumer products, the CPSC will need access to expertise in new technical areas and specializations. The consumer product marketplace is evolving rapidly with the development, application, and availability of products involving new technologies, such as the Internet of Things (IoT), smart technology, robotics, artificial intelligence (AI), and high-energy density power supplies (*e.g.*, lithium-ion batteries). The CPSC needs to expand staff expertise to build on initial efforts in these difficult-to-recruit technical areas and fulfill the agency’s mission to protect consumers from potential hazards in products that involve emerging technologies.
- **Mission-Support Skills Gaps:** A shortage of talent in mission-support areas, particularly IT, Procurement, and Human Resources, is recognized across the federal government. The CPSC will look for creative ways to create a pipeline of highly skilled professionals to fill these positions. Through targeted recruitment, career paths, developmental and training opportunities, and special hiring authorities, the CPSC will establish and grow the resources needed to support the mission. In FY 2021, the CPSC will continue its ongoing efforts to improve data literacy and analytics skills consistent with the agency-wide data management and analytics strategy to support CPSC’s mission.

## FY 2021 Budget Initiatives and Activities

The CPSC is a workforce-driven agency that relies on professional and technical expertise to accomplish the breadth of the agency's mission. The FY 2021 *Request* supports the CPSC's efforts to address many workforce challenges. The CPSC will work toward enhancing effective strategic human capital planning and alignment by continuing to implement its human capital strategic plan. This will help align skills and competencies of the CPSC's workforce with the agency's evolving mission-related needs, enabling performance at higher levels. The agency will also train managers and administrative personnel on human capital reporting. To attract and recruit a talented and diverse workforce, the agency will work on improving targeted recruitment and providing hiring managers with a diverse pool of highly qualified applicants. The agency will train 80 percent of managers responsible for hiring on recruitment techniques. The agency will also continue using the Pathways recent graduate program to establish and grow technical professional staff.

In working toward its objective of fostering a culture of continuous development, the CPSC will continue developing Individual Development Plans (IDPs) for employees and will continue the agency's mentoring program, which it launched in FY 2018. For FY 2021, the CPSC will work to achieve a 70 percent score for employee satisfaction with professional development opportunities. As reported by the Federal Employee Viewpoint Survey (FEVS), the CPSC's FY 2019 score was 65.8 percent, falling short of its target of 74 percent score for employee satisfaction with opportunities to improve their skills. The agency was impacted by the 5-week government shutdown in FY 2019, and nearly all CPSC employees were furloughed. The lengthy furlough likely affected the FY 2019 FEVS responses. Although the CPSC did not meet the FY 2019 target, according to other FEVS data, 80.2 percent of employees agreed that their work unit has the job-relevant knowledge and skills necessary to accomplish organizational goals. The CPSC also made progress in FY 2019 by surveying employees on training needs and conducting more than 40 on-site training opportunities. Additionally, in FY 2019, nine percent of employees participated in the agency Coaching Program, and 23 percent of employees have IDPs. To improve future performance, the CPSC will solicit input for future trainings of its employees by



*The CPSC recruits college students for summer internships to build a future generation of safety professionals.*

requesting training participants to complete course surveys after each training session. Starting in FY 2020, the CPSC plans to ensure that every employee has at least one developmental activity identified.

The agency will work toward its objective of increasing employee engagement through enhanced recognition programs and improved work-life balance flexibilities. For example, in FY 2019, the agency updated its telework policy, incorporating recommendations from the Telework Working Group, made up of employees from across the agency. For FY 2021, the CPSC will work to achieve a 70 percent score for the Employee Engagement Index (EEI), as reported by the FEVS. The CPSC's EEI score for FY 2019 was 66 percent, falling short of the target of 75 percent. It is challenging to meet the target because the FEVS is a voluntary survey. For each year, new approaches are needed to encourage employees to participate in the survey. Specific challenges that may have impacted FY 2019 FEVS results include the absence of a permanent agency head and the extended furlough just prior to the administration of the survey. The agency plans to improve its performance by implementing the President's Management Agenda (PMA) Agency Improvement Plan, focusing on the *Leaders Lead* portion of the EEI. The agency will execute an initiative developed from the survey results with employee focus group, Union, and Management feedback. The agency will continue providing informational opportunities on work-life balance, offering wellness programs, and focusing on performance improvement and career development, including supervisory skills training to help CPSC's managers become effective leaders.



## Strategic Goal 2: Prevention (\$78.4 million)

The FY 2021 *Request* allocates \$78.4 million to Strategic Goal 2 —**Prevention**— focused on stopping hazardous products from reaching consumers. The agency educates manufacturers on safety requirements and works with foreign counterparts to help build safety into consumer products. The CPSC collaborates with standards development organizations (SDOs) to create and strengthen voluntary standards for consumer products. This involves building consensus through engagement among relevant stakeholders outside the agency. The CPSC develops new mandatory regulations, when necessary, and consistent with statutory authority, in response to identified product hazards.

Another major component of the CPSC's prevention approach is identifying and intercepting hazardous consumer products through import surveillance and inspection programs. The agency conducts establishment inspections of manufacturers, importers, and retailers; monitors Internet and resale markets; responds to industry-generated reports about potentially unsafe products; and tests products for compliance with specific voluntary and mandatory standards.

Mission Delivery for <i>Prevention</i>				
The CPSC <i>prevents hazardous products from reaching consumers</i> through the following activities:				
		2019 Actual	2020 Estimate	2021 Estimate
<b>Data Analysis &amp; Statistics</b>	Incident data cases received from Hospitals	355,000	403,000	411,000
<b>Laboratory</b>	Potentially hazardous products tested	24,127	29,000	30,000
<b>Voluntary Standards Activities</b>	Number of voluntary standards in which CPSC actively participates, in collaboration with SDOs	74	78	79
<b>Import Surveillance</b>	Number of ports with CPSC presence	19	20	20

### Safety Standards: Voluntary & Mandatory

In many cases, the CPSC's statutory authority requires the agency to rely on voluntary standards, rather than promulgate mandatory regulations, if compliance with a voluntary standard is likely to eliminate or adequately reduce the risk of injury identified, and it is likely that there will be substantial compliance with the voluntary standard.

The CPSC devotes significant resources under the *Prevention* Strategic Goal to work on voluntary standards. This effort helps to minimize consumer product hazards by integrating safety into the product design and manufacturing stages.

The agency collaborates with SDOs to develop voluntary consensus standards among relevant external stakeholders. The CPSC develops new mandatory regulations only when necessary and when consistent with statutory authority.

### Import Surveillance

Two key elements of the CPSC's Import Surveillance program are:

- **CPSC port investigators** are co-located with U.S. Customs and Border Protection (CBP) at U.S. ports of entry. Port investigators identify and interdict noncompliant consumer products from entering the United States.
- **Risk Assessment Methodology (RAM)**, required by Section 222 of the CPSIA, enables the CPSC to identify products imported into the United States that are most likely to violate consumer product mandatory regulations.

Given that imports represent slightly more than half of available consumer products in the United States and three-quarters of consumer products identified as noncompliant, import surveillance is a crucial part of the CPSC's *Prevention* work.

## FY 2021 Budget Initiatives and Activities

The FY 2021 budget initiatives and activities that contribute to effective *Prevention* funded by this *Request* include:

### Data Collection and Analysis

The CPSC is a data-driven agency. The CPSC collects and analyzes a wide range of data from multiple sources and uses that information to provide a factual basis for identifying emerging hazards, characterizing the number and types of hazards presented by a consumer product or product class, developing voluntary and mandatory standards, and testing products to evaluate safety and compliance with established standards.

The CPSC has partnered with the General Services Administration's (GSA) IT Modernization Centers of Excellence (CoE) to formulate a next generation Enterprise Data Analytics Strategy for consumer product safety. The strategy will describe and inform future agency direction for data management and analytics in business and technical terms, including:

- methods and technology to improve the collection, availability, and use of current and future data sources used to identify and address safety incidents;
- standardized data ingestion and matching tools to automatically organize incoming data for analysis (*e.g.*, machine learning, artificial intelligence);
- enterprise data storage and access capability to enable enhanced control and expand data availability for analysis across agency programs (*e.g.*, Hazard Identification, Compliance, Import Surveillance);
- improve and expand data analysis tool sets that best meet the agency's analysis requirements; and
- implement mission focused use cases to improve hazard and compliance detection outcomes (*e.g.*, improved anomaly identification).

In addition, the CPSC has begun work on a pilot initiative to test and evaluate artificial intelligence and machine learning methods and technologies

## National Electronic Injury Surveillance System

The CPSC collects information on product-related injuries treated in hospital emergency departments (EDs) through the NEISS. This system provides statistically valid national estimates of product-related injuries from a probability sample of hospital EDs and identifies safety issues that may require additional analysis or corrective action. The CPSC collects NEISS data through a national network of healthcare providers under contract with the CPSC and uses the data to identify safety issues that may require additional analysis or corrective action. Other government agencies, consumer advocate organizations, and medical journals also use NEISS data. In FY 2019, the CPSC collected and reviewed 718,000 NEISS cases, 8,400 death certificates, and 3,300 medical examiner and coroner reports.

to streamline and improve the ability to identify products and injury severity.

In this FY 2021 budget request, the agency is requesting funding to initiate implementation of the Enterprise Data Analytics Strategy, with priority toward improving data management and deploying an enterprise data storage capability to increase availability and usefulness of agency data assets. This effort will be the backbone of the overall enterprise strategy. The strategy, to be completed in FY 2020, will inform a follow-on funding request as part of the FY 2022 budget process. This project supports the agency's efforts to implement applicable provisions of the Foundations for Evidence-Based Policymaking Act of 2018 and the PMA's Data, Accountability, and Transparency Priority.

### Port Presence

Currently, the CPSC staffs approximately 6 percent of U.S. ports, covering about 68 percent of all risk-scored consumer product import entry lines. In FY 2021, the CPSC will continue co-locating staff with CBP officers at ports to identify and take action on noncompliant consumer product imports. Staff at the ports will expedite clearance and entry of compliant consumer product cargo, benefiting compliant industry groups. (See Appendix A on

page 39 for an Unfunded Priority to increase CPSC's port coverage.)

### **Risk Assessment Methodology (RAM)/Import Surveillance**

The agency will continue to emphasize import surveillance by operating the RAM targeting system to identify and stop noncompliant imported products from entering the U.S. marketplace. The FY 2021 *Request* level includes baseline funding to operate, maintain, and incrementally develop the RAM by adding functionality to: (1) share forms electronically with the trade through the Automated Commercial Environment; and (2) software to provide improved efficiency and automated reporting.

### **Informed Compliance Inspection (ICI) Education and Outreach**

Providing outreach and education to the trade community continues to be an important part of CPSC's FY 2021 strategy in working toward preventing hazardous products from reaching consumers. As part of this work, the CPSC conducts ICIs with first-time violators to provide information and resources so that future importations comply with U.S. consumer product laws and regulations.

### **International Outreach and Education**

The CPSC works to improve compliance with U.S. voluntary and mandatory standards through outreach and education aimed at foreign manufacturers and regulators. The agency provides education and exchange of best practices to help ensure that foreign suppliers meet U.S. safety requirements. This reduces the need for remedial action or recalls later, benefiting both the U.S. consumer and the foreign manufacturer. In addition, the CPSC maintains a full-time presence in China, with one employee stationed in Beijing.

### **Hazards Research Collaborations and Testing**

The CPSC's National Product Testing and Evaluation Center (NPTEC) provides the technical capability to test and analyze consumer product samples the agency collects to determine whether risks exist from defects or the presence of regulatory violations. In FY 2021, a number of key analytical capital equipment items are due for life-cycle replacement. These items include X-Ray Fluorescence (XRF) spectrometry equipment, deployed at the NPTEC and at ports. The CPSC uses

XRF spectrometry to screen and determine levels of lead and other metals in children's products. The CPSC must also replace its Direct Analysis in Real Time Mass Spectrometry (DART-MS) device for the chemistry laboratory. The CPSC uses DART-MS to screen products for chemicals. The CPSC will also replace Multi-Component Gas Analyzers in the flammability and combustion laboratories; the agency uses this equipment to measure combustion emissions (*e.g.*, carbon monoxide) from fossil fuel-powered appliances.

The agency requests \$1.5 million in additional funding as part of the FY 2021 *Request* to initiate new research recommended by the National Academy of Sciences (NAS). Specifically, the agency proposes additional funding to implement the research recommendations proposed by the NAS in its 2019 report, "A Class Approach to Hazard Assessment of Organohalogen Flame Retardants." This project is to assess toxicity of the first of 14 identified subclasses of OFRs, followed by a toxicity assessment of the remaining subclasses over multiple years. The estimate cost to complete the first 10 subclasses is \$13 million. An additional \$5.6 million is required for the final four subclasses; however, the NAS believes the data are likely insufficient. Additional research of similar scope, beyond toxicity assessment of the 14 subclasses, would be needed to determine exposure and risk assessment; that research for the exposure and risk assessment would require additional funding beyond the \$18.6 million for the toxicity assessment. (See Appendix A on page 39 for an Unfunded Priority for \$3.0 million to close identified shortfalls in ongoing applied research.)

### **Voluntary Standards**

The CPSC participates in the voluntary standards process to reduce the risks associated with hazardous consumer products. In many cases, the CPSC's statutory authority requires the agency to rely on voluntary standards, rather than promulgate mandatory standards, if compliance with a voluntary standard is likely to eliminate or adequately reduce the risk of injury identified, and it is likely that there will be substantial compliance with the voluntary standard. The agency details its proposed voluntary standards participation work on pages 20-22.

**Mandatory Standards**

Absent the criteria described above requiring the agency to rely on voluntary standards, the agency has the authority to promulgate mandatory standards. The CPSC will continually evaluate the rulemaking agenda and focus the agency's

resources on the products presenting the highest consumer product safety risks. The agency details its proposed mandatory standards work on pages 23-24.



## Strategic Goal 3: Response (\$41.9 million)

The FY 2021 *Request* allocates \$41.9 million in support of Strategic Goal 3—**Response**—focused on timely investigation of reports of hazardous consumer products, both in the marketplace and with consumers.

The CPSC's *Office of Compliance and Field Operations* ("Compliance & Field") is CPSC's Goal Leader for Strategic Goal 3—**Response**. The Compliance & Field office has field investigators located across the country; the office is responsible for enforcing rules and conducting surveillance to ensure that hazardous products do not enter or remain in the distribution chain.

Essential elements under **Response** that are led by the Office of Compliance and Field Operations are: (1) identifying hazardous products that are in the marketplace and consumers' hands by investigating reported incidents and conducting establishment inspections; (2) removing the identified hazardous products by working with firms to negotiate corrective actions, including a voluntary recalls, and working with firms to improve consumer response to consumer product recalls.

### Mission Delivery for **Response**

The CPSC *responds quickly to address hazardous consumer products* through the following:

	2019 Actual	2020 Estimate	2021 Estimate
Fast-Track Recalls	193	190	190
Regulatory Recalls	44	40	40
Defect Recalls	24	25	35
Investigations/Inspections	4,132	4,400	4,900

## Identify Hazardous Products

CPSC field investigators identify hazardous consumer products through:

- **Investigating reported incidents and injuries:** To pursue possible defective product leads, CPSC field investigators analyze various incident and injury reports made by medical examiners, fire/police officials, consumers, and state and local governments.
- **Conducting inspections of establishments:** To identify potential regulatory violations of products under CPSC's jurisdiction, as well as product defects that could be harmful, CPSC field investigators conduct inspections of various marketplace establishments, including manufacturers, importers, and retailers and distributors.

One-fourth of CPSC's workforce is stationed in the field, where field staff focuses on *identifying hazardous consumer products*.

*A hazardous consumer product is a consumer product that could harm the public and is defective or not compliant with CPSC's regulations.*

## Remove Hazardous Products *to Protect Consumers*

Once field staff has identified a hazardous product, the CPSC takes action to protect consumers by working with the recalling firm in devising a corrective action plan (CAP).<sup>\*</sup> Typically, the CPSC negotiates a CAP with a firm before a recall notice is published.

<sup>\*</sup>*Example of a CAP: CPSC's Fast-Track Program - Allows an eligible firm to implement a consumer-level voluntary recall within 20 business days of submitting an initial report to the CPSC. The firm would immediately stop sale and distribution of the potentially hazardous product.*

After identifying a hazardous product, the CPSC works to protect consumers by collaborating with firms to remove the harmful product from the marketplace and consumers' hands.

- **Removing harmful products from the *Marketplace*:** Once the CPSC issues a recall, the recalling firm implements its CAP, which involves removing as many harmful products as possible from the distribution chain.
- **Removing harmful products from *Consumers' Hands*:** In addition to removing products from the marketplace, and as part of a corrective action, the recalling firm also collaborates with CPSC to retrieve the harmful products from consumers' possession by notifying consumers of the recall and providing information on specific remedies that consumers may pursue. The success of this remedial action is dependent on consumer response rates to recalls, and the CPSC strives to achieve its strategic objective of improving consumer response to consumer product recalls.

**Consumer Response to Recall:** The CPSC's Strategic Plan outlines performance goals and initiatives to focus on improving consumer response to recalls. Examples include:

- Requesting firms to Tweet a recall notice, as a way to enhance the recall notice
- Increasing the number of consumers who could receive recall updates through retailer loyalty membership contact information

## FY 2021 Budget Initiatives and Activities

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The FY 2021 budget initiatives and activities that contribute to effective *Response* funded by this *Request* include:

### Outreach

Communicating safety responsibilities and educating industry on its safety obligations are cost-effective methods of achieving compliance and reducing injuries and deaths. The CPSC will prioritize outreach and education by engaging industry stakeholders through events such as forums and workshops to listen to concerns and collaborate on solutions.

### Field Investigator Responsibilities

Currently, the CPSC has field investigators and other field staff located in 33 states (not including port investigators). The field staff is responsible for carrying out investigative, compliance, consumer information, and marketplace surveillance activities across the country. Field staff conducts inspections of manufacturers, importers, wholesalers, and retailers and is a key industry outreach conduit to encourage compliance with laws and regulations administered by the CPSC. Field staff coordinates with federal, state, and local government offices to identify consumer product-related incidents, conducts on-site investigations of incidents involving serious injuries or deaths, and routinely screens the retail marketplace and Internet websites for dangerous products, new and used. In addition, field investigators provide support by intermittently covering ports of entry, as resources permit, where the CPSC does not have a permanent physical presence.

Field investigators work with state and local governments nationwide through compliance, outreach, and education activities to increase dissemination of consumer product safety information and improve consumer response to product recalls. The CPSC helps states build capacity in adopting safety initiatives and routinely checking for recall notifications to keep consumers safe from dangerous or defective products.

### In-Depth Incident (IDI) Reports

A critical function of CPSC's Field Investigations team involves performing comprehensive reviews

of incidents, including evaluating human and environmental incident factors and reporting on specific details required for evaluating product risks. These investigative data provide the evidentiary foundation for regulations, standards, educational programs, corrective actions, and recommended programs for state and local governments.

### Recall Effectiveness

To remove hazardous products quickly from the marketplace, the CPSC seeks to reduce the time needed for conducting investigations and negotiating corrective actions and for notifying firms of violative or potentially hazardous products. Firms that conduct recalls submit Monthly Progress Reports to notify the CPSC on the impact of the messaging sent to consumers and provide information on any additional incidents or injuries identified after the firm issued the recall. The CPSC recently developed the capability for firms to file these reports electronically in lieu of paper and email. This enables the CPSC to collect better data for evaluating the effectiveness of recalls.

### VGB Act Grant Program

Through the VGB Act Grant Program, the CPSC provides eligible state and local governments that meet certain requirements with assistance for education, training, and enforcement of certain pool safety requirements (having proper suction outlet covers and back-up anti-entrapment systems and fencing for public and residential pools and spas). The CPSC's *Request* level for FY 2021 does not include *new* funds for VGB grants and associated administrative costs. However, the CPSC will continue to award VGB Act grants using the *existing* unobligated no-year appropriations provided in the FY 2020 and prior appropriations and will communicate if additional funding is required in future budget cycles.

### Child Nicotine Poisoning Prevention Act Enforcement

Under the Child Nicotine Poisoning Prevention Act of 2015 (CNPPA), Pub. L. No. 114-116, the CPSC is charged with enforcing regulations that require "special packaging" for liquid nicotine containers that are being sold, offered for sale, manufactured for sale, distributed in commerce, or imported into the United States. The CPSC will support identification and removal of hazardous products that do not comply with the special packaging requirements of 16 CFR §1700.15, as appropriate.





## Strategic Goal 4: Communication (\$8.5 million)

The FY 2021 *Request* allocates \$8.5 million in support of Strategic Goal 4—**Communication**—focused on communicating useful information quickly and effectively to inform better decision making. The CPSC uses a wide array of communication channels and strategies to provide timely, targeted information about consumer product safety to the public, industry, and other stakeholders.

### Mission Delivery for **Communication**

The CPSC *communicates with consumers quickly and effectively* through the following:

		2019 Actual	2020 Estimate	2021 Estimate
<b>Campaigns</b>	Focused public information campaigns	2	2	2
<b>Social Media</b>	Engagements with the public on social media	1,468,000	840,000	1,000,000
<b>Small Business Ombudsman</b>	Inquiries from industry stakeholders	2,328	2,500	2,500

### Serving as the go-to source of life-saving consumer product safety information *for the public and business education*

The CPSC strives to be the primary source of consumer product safety information for consumers, businesses, and fellow regulators.

Parents concerned about the safety of a product, small business owners looking for guidance on safety regulations, and large-scale manufacturers navigating the complexities of international trade all benefit from the CPSC's outreach and education resources.

The agency strives to improve the usefulness and availability of safety messages through critical assessment of the CPSC's outreach efforts and investment in new and innovative tools. For instance, the agency is continuously evaluating its website infrastructure to identify areas for improvement and optimizing its digital content in an attempt to reach a broader audience with accurate and actionable information.

The CPSC measures the usefulness of its messaging through evaluative tools. Examples include tracking visits to CPSC websites and downloads of CPSC safety information, and monitoring social media engagement and public sentiment toward CPSC messages through public relations monitoring services.

### Disseminating information *through targeted approaches*

The CPSC works to increase dissemination of consumer product information through targeted approaches, including:

- **Leveraging technology to enhance and expedite the agency's communication of safety information.** Examples: Keeping the CPSC's website infrastructure updated to reflect best practices and implementing data visualization software to improve communication of CPSC's injury data to the public.
- **Conducting outreach campaigns on priority hazards.** Examples: Conducting the *Pool Safely* campaign to reduce childhood drownings, and the *Anchor It!* campaign for furniture tip-overs.
- **Strategically expanding communications.** Example: Micro-targeting for vulnerable and at-risk communities, (such as minority groups, low-income families, children, and the elderly), and for communities in areas affected by natural disasters (*e.g.*, hurricanes, flooding, and tornados).

The agency has diverse audiences that have different information needs and respond to different methods of communication. The CPSC enhances dissemination of safety information by tailoring its messaging to specific audiences. The agency uses a wide range of methods to disseminate safety information, including:

- Website content for product safety information and business education, available in multiple languages
- Printed safety education materials, some of which are available in Spanish
- Tweets in English and Spanish languages
- Videos on safety tips
- Webinar videos for small businesses

## FY 2021 Budget Initiatives and Activities

The FY 2021 budget initiatives and activities that contribute to effective *Communication* funded by this *Request* include:

### Public Information and Education Campaigns

Consumers, safety advocates, industry, and state and local government agencies need high-quality information about consumer product safety. Consumers need safety information to make informed decisions for themselves and their families. Safety advocates rely on accurate data to shape their policy recommendations. Industry needs information to stay in compliance with safety requirements. State and local government agencies need high-quality information to establish new safety requirements that advance consumer safety. In FY 2021, the CPSC will strive to provide its stakeholders with high-quality information and accurate data.



*"Anchor It!" is the CPSC's national public education campaign aimed at preventing furniture and TV tip-overs from killing and seriously injuring children*

### Small Business Ombudsman (SBO)

In FY 2021, the CPSC will continue its outreach to small businesses to help guide them through federal consumer product safety laws and rules. These outreach efforts are an important component of the agency's education and compliance strategy. The CPSC's SBO is the dedicated contact for small businesses and

provides information and guidance tailored to small businesses. The SBO continues to develop "plain English" regulatory guidance, webinar series, in-person presentations, and technology enhancements, using easy-to-understand formats for manufacturers and retailers.

### Burden Reduction

In FY 2019, the SBO partnered with the Office of Import Surveillance to offer collaborative training to customs brokers, importers, manufacturers, safety professionals, and other stakeholders on-site, near U.S. port locations. The training occurred in June 2019 in Chicago, IL, and included presentation on CPSC's product safety requirements and processing imports by CPSC investigators co-located at U.S. ports of entry. In addition, the agency offered hands-on demonstrations of how the CPSC screens products when they enter the United States. The SBO highlighted business resources available to stakeholders, and attendees were able to speak directly with port investigators who inspect their products entering the ports (sea, air, and rail) of Chicago.

For the regulated community, especially small businesses, ensuring compliance with CPSC's requirements and practices requires both administrative time and expense to complete applicable third party testing. The CPSC received stakeholder input through a Request for Information (RFI), reviewed the responses, and identified actions to reduce burden. The CPSC will continue to consider ways to adopt burden reduction measures in FY 2021.

### Internet and Social Media

The CPSC uses a variety of platforms to reach the public, including websites (e.g., [cpsc.gov](http://cpsc.gov), [SaferProducts.gov](http://SaferProducts.gov), [PoolSafely.gov](http://PoolSafely.gov), and [AnchorIt.gov](http://AnchorIt.gov)); social media; email alerts; and videos. The CPSC posts recalls and press releases in an RSS news feed format, which enables users to access updates to online content in a standardized, computer-readable format. This enables blogs, TV stations, and other media to obtain information from CPSC websites and, in seconds, have the

information posted on their websites. In FY 2021, the CPSC will continue to have a strong social media and Web presence as a key component of achieving its safety mission.

### Media

In FY 2021, the CPSC will continue working to engage the media to generate coverage for major recalls and safety campaigns, including furniture and TV tip-over prevention, drowning prevention, fireworks injury prevention, holiday toy and decoration safety, and residential fires, among others.

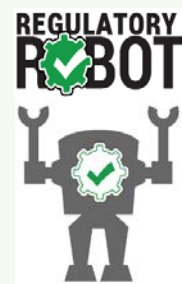
### Consumer Hotline

The CPSC's Consumer Hotline (1-800-638-2772) provides a much relied-upon service to the public, businesses, and consumers. In FY 2019, the CPSC's Hotline services received more than 35,000 calls and processed nearly 3,800 emails. Nearly 1,200 consumer product incident reports were collected in phone calls and emails and resulted in processing of more than 63,200 units of safety materials. In May 2018, the CPSC streamlined its telephone communication with the public and other stakeholders, by consolidating calls to a single toll-free number for the Hotline, which was renamed "Consumer Hotline and General Information." The CPSC will continue to operate the

Consumer Hotline and General Information number in FY 2021. The CPSC encourages consumers to contact the Hotline for information and assistance on product safety issues and to file incident reports. As of FY 2020, the CPSC streamlined its publication ordering process; the Hotline is no longer processing orders for safety materials and publications. Consumers are placing their own orders directly with the CPSC's new publication distribution contractor—the U.S. Government Publishing Office (GPO).

### About the "Regulatory Robot"

The CPSC designed the Regulatory Robot as an online, interactive, free resource for small businesses that manufacture or import consumer products into the United States. The Web-based Robot asks the user a series of questions to determine requirements that may apply to the user's inquiry on a product.



In FY 2019, the SBO demonstrated the new Robot to large groups of industry stakeholders at several events to inform them of this valuable resource. Thanks to those outreach events, the number of users of the Robot exceeded 21,000 in FY 2019.

Additionally, in FY 2019, the CPSC refined the Robot and improved its functionality for users navigating in English and six foreign languages too – Chinese (simplified), Chinese (traditional), Spanish, Vietnamese, Bahasa Indonesian, and Korean.

## Strategic Crosscutting Priorities and Risks

### Crosscutting Priorities

The CPSC's 2018–2022 *Strategic Plan* identified four crosscutting strategic priorities that are integral to enabling the mission: Operational Excellence, Data Collection and Analysis, Information Technology (IT), and Internal and External Collaboration. These priorities are fundamental to the agency's achievement of the Strategic Plan goals.

Crosscutting Priorities Summary	
	FY 2021
<b>Information Technology</b>	
Mission Applications	\$ 7.5
Network Management & Infrastructure	\$ 2.6
User Support	\$ 2.3
Capital Replacement	\$ 1.5
IT Security	\$ 1.2
Communications (Voice & Data)	\$ 1.1
Website Management	\$ 0.8
<b>Other Administrative Functions</b>	
Financial Management Shared Service	\$ 2.0
Rent, Security, & Utilities	\$ -
CPSC Headquarters	\$ 5.2
NPTEC	\$ 4.2
Warehouse	\$ 0.6
<b>Cross-Cutting Priorities Total</b>	<b>\$ 29.0</b>

### FY 2021 Budget Initiatives and Activities

#### Information Technology

The agency supports the operations, maintenance, and development of mission delivery IT systems. This includes the Consumer Product Safety Risk Management System (CPSRMS), the import surveillance RAM system, and the Dynamic Case Management system (DCM), among others. These mission applications are the backbone of the CPSC's data and analytical capabilities. The CPSC categorizes its IT functions as follows:

- **Mission Applications:** Providing programming support for the agency's IT applications and

administering databases. These include, but are not limited to, the Integrated Field System (IFS), the PC-NEISS application, the CPSRMS, the RAM system, the DCM, SaferProducts.gov, and the Sample Tracking application. The agency will continue to maintain and support these applications in FY 2021, but the CPSC will not be able to incrementally modernize the IFS or legacy platform applications without additional funding. This is an operational risk identified by the CPSC's Enterprise Risk Management (ERM) process and will require remediation in the near-term. (See Appendix A on page 39 for an Unfunded Priority for incremental modernization under Information Technology.)

- **Network Management and Infrastructure:** Supporting management of the agency's IT infrastructure, which includes the operation and maintenance of networks, servers, and other IT equipment and systems. The agency requires additional funding to begin migrating the agency's core technology services to the cloud, including e-mail, file storage, desktop services and collaboration platforms. Transition of core technology services would significantly improve systems availability and resiliency. (See Appendix A on page 39 for an Unfunded Priority for cloud migration under Information Technology.)
- **User Support:** Supporting end users of the agency's equipment, software, systems, and services (*e.g.*, Help Desk support, software licensing, and printer maintenance). In FY 2021, the agency will support users by provisioning hardware and software, and by maintaining laptops, printers, telephones, and other devices.
- **IT Security:** Maintaining a secure information environment throughout the CPSC and ensuring information systems confidentiality, integrity, and availability. In FY 2020, with additional funds received in the FY 2020 enacted appropriation, the agency will address internal control deficiencies and upgrade security systems to better detect cyber security threats. This will mitigate known and urgent IT security risks.
- **Capital Replacement:** Upgrading hardware and software assets and replacing aging systems,

such as user laptops and computer monitors, server hardware, routers, switches, and Network Attached Storage systems. In FY 2021, CPSC's Office of Information & Technology Services will replace the most critical equipment at or approaching end of life.

- **Voice/Data Telecommunications:** Providing voice (telephonic), cellular, wide area network (WAN), local dedicated data lines, domain, and Web streaming services; telecommunications equipment; and maintenance and repairs. In FY 2021, the CPSC will complete the transition to the U.S. General Services Administration's (GSA) new enterprise telecommunications and networking solution.
- **Website Management:** Operating and maintaining CPSC's websites to meet the needs of the agency, consumers, businesses, and other stakeholders who seek relevant information about CPSC activities. For FY 2021, the agency has requested additional funding to modernize agency systems, including upgrading CPSC.gov to the latest software version.

#### Other Administrative Functions

- **Financial Management Shared Services:** The CPSC has been leveraging administrative shared services that deliver financial management reporting and systems, travel, human resources systems, payroll, and overflow acquisition support services. In FY 2019, the agency

transitioned its financial management systems and services to the Department of Treasury's Administrative Resource Center (ARC) within the Bureau of the Fiscal Service, and ended its shared services agreement with Department of Transportation (DOT). Transitioning to the new provider enabled the CPSC to retire the legacy contracting system, implement electronic invoicing, and integrate budget, accounting, and procurement data across core systems and reports. The CPSC expects this new, shared-services agreement to result in cost savings totaling more than \$3 million over 5 years. The CPSC incorporated the expected cost savings in the FY 2021 *Request* level to offset some anticipated cost growth in non-pay inflation.

- **Rent, Security, and Utilities:** In FY 2021, the CPSC will operate in three GSA-leased facilities: CPSC Headquarters, the National Product Testing and Evaluation Center (NPTEC), and the Sample Storage Warehouse facility. The CPSC expects rent, security, and utility expenses at the three locations to be \$10 million. The lease for NPTEC will expire in FY 2021; consequently, the new lease will increase NPTEC's rent costs by \$0.3 million, or 8 percent. The \$10 million reflects this increase. The CPSC does not contemplate any additional leases for FY 2021.

## Enterprise Risk Management

The CPSC develops the agency's Annual Performance Plan (APP) within a broader Enterprise Risk Management (ERM) framework, in accordance with OMB Circular No. A-123, *Management's Responsibility for Enterprise Risk Management and Internal Control*. ERM is an effective, agency-wide approach to addressing an organization's significant risks, by considering the impact of risks on the entire enterprise rather than risks existing within silos. This approach provides insight on optimal resource allocations to ensure mission delivery. The CPSC develops the APP within the agency's broader ERM framework because ERM improves agency capacity to make risk-aware decisions that have an impact on agency priorities, resource allocation, and performance. This approach also enhances CPSC's ability to manage risks and challenges related to delivering the organization's mission and achieving strategic objectives.

Risks	
<b>Data</b>	<ul style="list-style-type: none"> <li>Changes in consumer behavior or evolving healthcare services delivery could diminish CPSC's capability in identifying consumer product hazards.</li> </ul>
<b>New/Emerging Technology</b>	<ul style="list-style-type: none"> <li>Evolving marketplace and advancement in technology associated with consumer products could impede the agency's ability to assess and respond quickly to product hazards.</li> </ul>
<b>Supply Chain</b>	<ul style="list-style-type: none"> <li>Evolving manufacturer-to-consumer supply chain could make CPSC's existing tools for mitigating product hazards (<i>e.g.</i>, recalls) less effective and limit CPSC's data analysis capability to identify hazards.</li> </ul>
<b>Unidentified Hazards</b>	<ul style="list-style-type: none"> <li>Significant product safety hazards may not be identified by the agency, resulting in significant risk of injury to consumers.</li> </ul>
<b>IT Systems Failures</b>	<ul style="list-style-type: none"> <li>IT systems or applications failures, including cyber security-related failures or breaches, could materially impede agency functions.</li> </ul>
<b>External Influence</b>	<ul style="list-style-type: none"> <li>Misperception by the public or stakeholders could distract the agency from working on actual high-priority consumer product hazards.</li> </ul>
<b>Staffing Levels</b>	<ul style="list-style-type: none"> <li>Insufficient numbers of qualified staff, subject matter experts, and managers available to manage effectively, oversee programs, inform decisions, or implement mitigations, results in failure to meet program objectives.</li> </ul>
<b>Inadequate Resources</b>	<ul style="list-style-type: none"> <li>Insufficient appropriations materially constrain mission accomplishment, undermine CPSC's effectiveness, and result in increased risk of injury to consumers.</li> </ul>

## Voluntary Standards Summary

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### Definition

A voluntary standard is a set of requirements arrived at through a consensus process among a variety of stakeholders including industry, consumer groups, and other interested parties.

### CPSC's Statutory Requirement

In many cases, the CPSC's statutory authority requires the agency to rely on voluntary standards rather than promulgate mandatory regulations, if compliance with a voluntary standard is likely to eliminate or adequately reduce the risk of injury identified, and it is likely that there will be substantial compliance with the voluntary standard.

### Voluntary Standards Process & CPSC Participation

CPSC staff works with organizations that coordinate the development of voluntary standards. Voluntary standards activity is an

ongoing process that may involve multiple revisions to a standard within 1 year or over multiple years; and staff participation may continue in subsequent years, depending on the activities of the voluntary standards committees and priorities of the Commission.

CPSC staff participates actively in voluntary standards activities for identified products. Active participation extends beyond attendance at meetings and may include, among other activities, providing injury data and hazard analyses; encouraging development or revision of voluntary standards; identifying specific risks of injury; performing research; developing health science data; performing laboratory technical assistance; and/or taking other actions that the Commission, in a particular situation, determines may be appropriate.

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### FY 2021 Activities

The table on the next page lists voluntary standards activities for FY 2021.

**Voluntary Standards Table**

Product		FY 2020 Op Plan	FY 2021 Request
<b>Voluntary Standards Activities Related to Existing CPSC Regulations</b>			
1	ATVs (All-Terrain Vehicles)	•	•
2	Bassinets/Cradles	•	•
3	Bedside Sleepers	•	•
4	Bicycles	•	•
5	Booster Seats	•	•
6	Carriages and Strollers	•	•
7	Changing Products	•	•
8	Child-Resistant Packages	•	•
9	Children's Folding Chairs and Stools	•	•
10	Commercial Cribs	•	•
11	Fireworks	•	•
12	Frame Child Carriers	•	•
13	Full-Size Cribs	•	•
14	Gasoline Containers, Child Resistance	•	•
15	Handheld Infant Carriers	•	•
16	High Chairs	•	•
17	Infant Bath Seats	•	•
18	Infant Bath Tubs	•	•
19	Infant Bouncer Seats	•	•
20	Infant Swings	•	•
21	Infant Walkers	•	•
22	Non-Full-Size Cribs and Play Yards	•	•
23	Portable Bed Rails (Children's)	•	•
24	Portable Hook-on Chairs	•	•
25	Sling Carriers (Infant and Toddler)	•	•
26	Soft Infant and Toddler Carriers	•	•
27	Stationary Activity Centers	•	•
28	Swimming Pools/Spas Drain Entrapment	•	•
29	Swimming Pools/Spas Safety Vacuum Relief System	•	•
30	Toddler Beds	•	•
31	Toys	•	•
<b>Voluntary Standards Activities Related to Petitions</b>			
32	Adult Portable Bed Rails	•	•
33	Candles and Candle Accessories	•	•
34	Flooring (Slips, Trips and Falls)	•	•
35	Magnet Sets	•	•
36	Torch Fuel and Lamp Oil	•	•
<b>Voluntary Standards Activities Related to Ongoing or Potential Rulemaking Activities</b>			
37	Clothing Storage Units Tip-overs	•	•
38	Crib Bumpers (Infant Bedding)	•	•
39	Crib Mattresses (include Supplemental and Aftermarket Mattresses)	•	•
40	Flame Mitigation Devices (FMDs) on Disposable Fuel Containers	•	•
41	Gas Appliances – CO Sensors	•	•
42	Gates and Expandable Enclosures	•	•
43	Infant Inclined Sleep Products	•	•
44	Portable Generators	•	•
45	Recreational Off-Highway Vehicles (ROVs)	•	•
46	Table Saws	•	•



Product		FY 2020 Op Plan	FY 2021 Request
47	Upholstered Furniture	•	•
48	Window Coverings	•	•
<b>Other Planned Voluntary Standards Activities</b>			
49	Additive Manufacturing/3D Printing	•	•
50	Amusement Rides, Trampoline Parks, and Adventure Attractions	•	•
51	Artificial Intelligence (AI)		•
52	Bath Tubs (Adult)	•	•
53	Batteries, Fire (High-Energy Density)	•	•
54	Batteries, Ingestion (Button)	•	•
55	Carbon Monoxide (CO) Alarms	•	•
56	Clothes Dryers	•	•
57	Flammable Refrigerants	•	•
58	Gas Grills	•	•
59	Gasoline Containers FMDs	•	•
60	Internet of Things (IoT) / Connected Products	•	•
61	Liquid Laundry Packets	•	•
62	LP Gas Outdoor Fire Pit	•	•
63	Mowers	•	•
64	Nanotechnology	•	•
65	National Electrical Code	•	•
66	Playground Equipment (Home)	•	•
67	Playground Equipment (Public)	•	•
68	Playground Surfacing	•	•
69	Pools, Portable Unprotected (Child Drowning)	•	•
70	Pressure Cookers	•	•
71	Recreational Headgear Sensors	•	•
72	Safety Locks and Other Household Child-Inaccessibility Devices	•	•
73	Self-balancing Scooters and Light Electric Vehicles / Micromobility Devices	•	•
74	Smoke Alarms	•	•
75	Sports Protective Gear/Football Helmets	•	•
76	Spray Polyurethane Foam Insulation	•	•
77	Tents	•	•
78	Washing Machines	•	•
79	Wearables	•	•
<b>Grand Total</b>		<b>78</b>	<b>79</b>

#### Key to Table

- Denotes active participation in related voluntary standards activities.

## Mandatory Standards Summary

### Definition

Mandatory regulations, established by statute or promulgated by the Commission, set forth requirements for consumer products. The requirements typically take the form of performance requirements that consumer products must meet or warnings they must display to import, distribute, or sell these products in the United States.

### CPSC's Statutory Requirement

When CPSC can make the required statutory determinations, mandatory regulations may be adopted. The Commission may also ban a hazardous product when it determines that no feasible mandatory standard would adequately protect the public from an unreasonable risk of injury.

### FY 2021 Activities

CPSC staff plans to work on the projects listed in the table on the next page. This work will involve continuation of rulemaking activities related to the CPSIA, as well as other laws, and it will include data analysis and technical activities supporting ongoing or potential future rulemaking activities.

Note: The terms ANPR, NPR, FR, and DFR indicate submission of a briefing package with a draft ANPR, draft NPR, draft FR, or draft DFR to the Commission. It does not indicate the final action of the Commission.

Key to Table	
ANPR	Advance Notice of Proposed Rulemaking
NPR	Notice of Proposed Rulemaking
SNPR	Supplemental Notice of Proposed Rulemaking
FR	Final Rule
DFR	Direct Final Rule
BP	Briefing Package
DA/TR	Data Analysis and/or Technical Review

\*The CPSIA requires the Commission to promulgate mandatory regulations by adopting existing voluntary standards (in whole or in part) for some products, such as durable infant or toddler products, children's toys, and all-terrain vehicles. For additional information, please refer to the CPSIA at: [www.cpsc.gov/regulations-laws--standards/statutes/the-consumer-product-safety-improvement-act](http://www.cpsc.gov/regulations-laws--standards/statutes/the-consumer-product-safety-improvement-act).

**Mandatory Standards Table**

Items by Major Categories		FY 2020 Op Plan	FY 2021 Request
<b>CPSIA, as amended by Pub. L. No. 112-28, and including Section 104 of the CPSIA</b>			
	ATVs (All-Terrain Vehicles) – Other	DA/TR	DA/TR
	Crib Bumpers	DA/TR	
	Crib Mattresses (include Supplemental and Aftermarket)	NPR	FR
	Gates and Other Enclosures	FR	
	Infant Sleep Products	SNPR	FR
	Non-Full Size Cribs and Play Yards 112-28 Update	DFR	
	Toddler Beds 112-28 Update	DFR	
<b>Rule Review</b>			
	Full Size and Non-Full Size Cribs Regulatory Flexibility Act 10-Year Rule Review	BP	DA/TR
	Lead	DA/TR	DA/TR
	Mattress 16 CFR 1632, ANPR Follow-up Rule Review (Ticking Substitution, Recordkeeping)	DA/TR	DA/TR
	Mattress 16 CFR Part 1632 Surface Testing Exemptions and SRM Cigarette Reference Update	NPR	FR
<b>Burden Reduction</b>			
	Burden Reduction Manufactured Fibers	FR	
	General Wearing Apparel 16 CFR Part 1610 Burden Reduction/Review	BP	DA/TR
<b>Other Ongoing or Potential Rulemaking-Related Activities</b>			
	Adjudicative Rules	FR	
	Adult Portable Bed Rails Petition	BP	DA/TR
	Clothing Storage Units Tip-Over	NPR	FR
	FOIA Fee Update	FR	
	Furnaces (CO Hazards)	DA/TR	NPR
	Lab Accreditation IBR Update	DFR	
	Magnet Sets Petition	DA/TR	DA/TR
	Organohalogenes Petition	DA/TR	DA/TR
	Portable Generators	DA/TR	DA/TR
	ROV Rulemaking Termination Package	BP	
	Recreational Off-Highway Vehicles (ROVs)		DA/TR
	Table Saws	FR	DA/TR
	Upholstered Furniture	DA/TR	DA/TR
	Walk-behind Power Lawn Mowers Petition	BP	DA/TR
	Window Coverings	DA/TR	DA/TR
<b>Number of candidates for rulemaking (ANPR, NPR, SNPR, DFR, and FR)</b>		<b>12</b>	<b>5</b>

# Annual Performance Plan

## 2018–2022 Strategic Plan Summary

The CPSC’s FY 2021 Performance Budget Request and the included FY 2021 Annual Performance Plan (APP) align with the *2018-2022 Strategic Plan*. The CPSC’s *2018–2022 Strategic Plan* sets the framework for all subsequent agency planning, communication, management, and reporting. The Strategic Plan provides direction for resource allocation, program design, and management decisions. The Strategic Plan defines the evidence and performance data used to monitor and assess program effectiveness.

The CPSC has formulated strategic objectives within each Strategic Goal, and these objectives reflect the key component outcomes necessary to achieve each of the Strategic Goals. Performance goals and strategic initiatives underpin the strategic objectives. The goals and initiatives define additional outcomes, outputs, and activities that the CPSC will implement and pursue within each strategic objective. The CPSC has identified the FY 2021 key performance measures for monitoring and reporting on progress toward achieving the strategic objectives. We list an overview of the key measures on pages 26–27. We describe APP details by Strategic Goal on pages 28–38. Included is a discussion of agency strategies and approaches for achieving strategic objectives; FY 2020 and FY 2021 annual targets for each key measure, where applicable; actual data for FY 2016, FY 2017, FY 2018, and FY 2019 for each key measure, where applicable; and FY 2021 priority activity alignment to CPSC’s strategic objectives.

**Mission: Keeping Consumers Safe**  
**Vision: A nation free from unreasonable risks of injury and death from consumer products**



## Key Performance Measure Summary

Below is an overview of the CPSC's key performance measures for FY 2021.

Strategic Objective (SO)	Key Performance Measure (KM)	Lead Office	FY 2020 Target	FY 2021 Target
<b>Goal 1: Workforce</b> Cultivate the most effective consumer product safety workforce				
<b>SO 1.1</b> Enhance effective strategic human capital planning and alignment	<b>2021KM1.1.02</b> Percentage of full-time equivalents (FTEs) utilized	Human Resource	96%	96%
<b>SO 1.2</b> Foster a culture of continuous development	<b>2021KM1.2.01</b> Percentage of employees satisfied with opportunities to improve their skills (as reported in the Federal Employee Viewpoint Survey)		70%	70%
<b>SO 1.3</b> Attract and recruit a talented and diverse workforce	<b>2021KM1.3.01</b> Percentage of hiring managers trained on recruitment		80%	80%
<b>SO 1.4</b> Increase employee engagement	<b>2021KM1.4.01</b> High-performing Federal Workforce - Employee Engagement Index Score		70%	70%
<b>Goal 2: Prevention</b> Prevent hazardous products from reaching consumers				
<b>SO 2.1</b> Improve identification and assessment of hazards to consumers	<b>2021KM2.1.01</b> Percentage of consumer product-related incident reports warranting follow-up actions	Hazard Identification	25%	25%
	<b>2021KM2.1.02</b> Number of hazard characterization annual reports completed on consumer product-related fatalities, injuries, and/or losses for specific hazards		11	11
	<b>2021KM2.1.03</b> Percentage of consumer product-related injury cases correctly captured at NEISS hospitals		90%	90%
<b>SO 2.2</b> Lead efforts to improve the safety of consumer products before they reach the marketplace	<b>2021KM2.2.01</b> Number of voluntary standards activities in which CPSC actively participates	Hazard Identification	78	79
	<b>2021KM2.2.02</b> Number of candidates for rulemaking prepared for Commission consideration		12	5
	<b>2021KM2.2.07</b> Percentage of firms that are engaged with a timely establishment inspection after being identified as a repeat offender	Import	75%	75%
	<b>2021KM2.2.08</b> Recalls per Billion Dollars in Consumer Product Imports for Top 50 Import Sources Nations	International	0.33	0.33
<b>SO 2.3</b> Increase capability to identify and stop imported hazardous consumer products	<b>2021KM2.3.01</b> Percentage of consumer product imports, identified as high-risk, examined at import	Import	80%	80%
	<b>2021KM2.3.02</b> Percentage of import shipments processed through the Risk Assessment Methodology (RAM) system that are cleared within 1 business day		99%	99%
	<b>2021KM2.3.04</b> Number of import examinations completed		32,000	32,000

Strategic Objective (SO)	Key Performance Measure (KM)	Lead Office	FY 2020 Target	FY 2021 Target
<b>Goal 3: Response</b> Respond quickly to address hazardous consumer products both in the marketplace and with consumers				
<b>SO 3.1</b> Rapidly identify hazardous consumer products for enforcement action	<b>2021KM3.1.01</b> Percentage of cases for which a preliminary determination is made within 85 business days of the case opening	Compliance	65%	65%
	<b>2021KM3.1.02</b> Percentage of cases for which a compliance determination of a regulatory violation is made within 35 business days of sample collection (excludes fireworks)		85%	85%
	<b>2020KM3.1.03</b> Percentage of fireworks cases for which a compliance determination of a regulatory violation is made within 70 business days of sample collection		85%	85%
<b>SO 3.2</b> Minimize further exposure to hazardous consumer products	<b>2021KM3.2.02</b> Percentage of cases for which a firm is notified of a regulatory violation within 40 business days from sample collection (excludes fireworks)	Compliance	85%	85%
	<b>2021KM3.2.03</b> Percentage of Fast-Track cases with corrective actions initiated within 20 business days		90%	90%
	<b>2021KM3.2.04</b> Percentage of cases for which a corrective action is accepted within 90 business days of preliminary determination		60%	60%
	<b>2020KM3.2.05</b> Percentage of fireworks cases for which a firm is notified of a regulatory violation within 75 business days from sample collection		85%	85%
<b>SO 3.3</b> Improve consumer response to consumer product recalls	<b>2021KM3.3.01</b> Recall effectiveness rate for all consumer product recalls	Compliance	25%	25%
<b>Goal 4: Communication</b> Communicate useful information quickly and effectively to better inform decisions				
<b>SO 4.1</b> Improve usefulness and availability of consumer product safety information	<b>2021KM4.1.02</b> Number of engagements with CPSC safety messaging on social media channels by stakeholders <sup>4</sup> (in thousands)	Communications	840	860
<b>SO 4.2</b> Increase dissemination of useful consumer product safety information	<b>2021KM4.2.04</b> Number of national media placements of CPSC stories	Communications	6	6
	<b>2021KM4.2.05</b> Percentage of recall press releases issued in 22 days or less from first draft		60%	60%
<b>SO 4.3<sup>5</sup></b> Increase and enhance collaboration with stakeholders				

<sup>4</sup> "Engagements" refer to the number of interactions (likes, shares, comments) with CPSC social media content.

<sup>5</sup> In October 2019, the Commission voted to exclude Key Measure 4.3.01—Number of collaboration activities initiated with stakeholder groups—from the FY 2020 Operating Plan. For FY 2020, Key Measure 4.3.01 was originally included as the only key measure under SO 4.3 in the FY 2020 Performance Budget Request (PBR), which was submitted to Congress in March 2019. Because of the vote, the CPSC has discontinued Key Measure 4.3.01, and there are no key measures listed under SO 4.3 in this document.

# Annual Performance Plan Details

## Agency Strategy, Performance Measures, and Targets

### Strategic Goal 1: Workforce

*Cultivate the most effective consumer product safety workforce*

#### Agency Strategy

A highly trained, diverse, and engaged workforce is critical to meeting the dynamic challenges of the consumer product safety landscape and to achieving the CPSC’s life-saving mission. CPSC staff’s knowledge about product safety, its commitment to the agency’s mission, and a proactive attitude make achieving the mission possible. The FY 2021 APP will address the following key *Workforce* challenges:

- Recruiting and retaining a workforce with the knowledge, skills, and abilities to meet new, innovative, and emerging product safety challenges;
- Aligning personnel resources with agency priorities;
- Maintaining a global presence to address worldwide marketplace issues;
- Increasing employee engagement; and
- Strengthening knowledge transfer through succession planning.

**STRATEGIC OBJECTIVE 1.1**  
Enhance effective strategic human capital planning and alignment

**STRATEGIC OBJECTIVE 1.2**  
Foster a culture of continuous development

**STRATEGIC OBJECTIVE 1.3**  
Attract and recruit a talented and diverse workforce

**STRATEGIC OBJECTIVE 1.4**  
Increase employee engagement

Strategic Objective (SO)	Key Performance Measure (KM)	FY 2016 Actual	FY 2017 Actual	FY 2018 Actual	FY 2019 Actual	FY 2020 Target	FY 2021 Target
<b>Goal 1: Workforce</b> Cultivate the most effective consumer product safety workforce							
<b>SO 1.1</b> Enhance effective strategic human capital planning and alignment <b>Lead Office:</b> Human Resource	<b>2021KM1.1.02</b> Percentage of full-time equivalents (FTEs) utilized			97%	98%	96%	96%
<b>SO 1.2</b> Foster a culture of continuous development <b>Lead Office:</b> Human Resource	<b>2021KM1.2.01</b> Percentage of employees satisfied with opportunities to improve their skills (as reported in the Federal Employee Viewpoint Survey)		72.5%	68.1%	65.8%	70%	70%
<b>SO 1.3</b> Attract and recruit a talented and diverse workforce <b>Lead Office:</b> Human Resource	<b>2021KM1.3.01</b> Percentage of hiring managers trained on recruitment		56.1%	82.6%	85.5%	80%	80%
<b>SO 1.4</b> Increase employee engagement <b>Lead Office:</b> Human Resource	<b>2021KM1.4.01</b> High-Performing Federal Workforce - Employee Engagement Index Score	70%	73%	69%	66%	70%	70%

## CPSC's Approach to *Workforce*

The CPSC's approach to cultivating an effective workforce involves enhancing human capital planning and alignment, increasing opportunities for professional development, and improving recruitment strategies to attract talented, diverse, and committed staff. The strategy also emphasizes increasing employee engagement by promoting and rewarding staff innovation and creativity, increasing managers' commitment to fostering employee engagement in the workplace, and promoting a healthy work-life balance.

### Performance Goals (PG), Strategic Initiatives (SI), and FY 2021 Priority Activities

#### Strategic Objective 1.1

Enhance effective strategic human capital planning and alignment

<b>PG1.1.1</b> Improve human capital infrastructure	<b>SI1:</b> Implement change management in human capital infrastructure	<b>FY 2021 Priority Activities</b>  <b>Human Resources</b> <ul style="list-style-type: none"> <li>Implement the human capital strategic plan</li> <li>Coordinate a human capital reporting users group for best practices</li> <li>Train managers and administrative personnel on human capital reporting</li> </ul>
<b>PG1.1.2</b> Enhance human capital resource allocation reporting	<b>SI2:</b> Train supervisors on making a business case for position management	
	<b>SI3:</b> Improve human capital resource tracking and reporting	

#### Strategic Objective 1.2

Foster a culture of continuous development

<b>PG1.2.1</b> Encourage and support professional development	<b>SI4:</b> Implement individual development plans	<b>FY 2021 Priority Activities</b>  <b>Human Resources</b> <ul style="list-style-type: none"> <li>Execute agency-wide training plan based on assessment and focus groups</li> <li>Continue implementation of Individual Development Plans (IDPs) for employees</li> <li>Continue agency mentoring program</li> </ul>
	<b>SI5:</b> Implement coaching and mentoring programs	
<b>PG1.2.2</b> Deliver high-quality, targeted development opportunities	<b>SI6:</b> Conduct training needs assessment	
	<b>SI7:</b> Develop and implement agency-wide training plan	
	<b>SI8:</b> Develop and implement plan to strengthen leadership competencies through training on accountability, decision making, and maximizing workforce performance	

#### Strategic Objective 1.3

Attract and recruit a talented and diverse workforce

<b>PG1.3.1</b> Improve targeted assessments to recruit talent	<b>SI9:</b> Establish a manager training program on developing and utilizing assessment tools	<b>FY 2021 Priority Activities</b>  <b>Human Resources</b> <ul style="list-style-type: none"> <li>Increase hiring managers' participation in hiring process</li> <li>Provide hiring managers with highly qualified applicants</li> <li>Provide hiring managers with a diverse applicant pool</li> <li>Provide successful Pathways Recent Graduates Program</li> <li>Improve targeted recruitment</li> </ul>
<b>PG1.3.2</b> Increase targeted outreach to increase diversity	<b>SI10:</b> Implement a new and enhanced marketing/outreach strategy	
	<b>SI11:</b> Advance relationships with colleges and universities and other recruitment sources	

#### Strategic Objective 1.4

Increase employee engagement

<b>PG1.4.1</b> Promote and recognize performance excellence	<b>SI12:</b> Research, develop, and implement a performance management policy that encourages and recognizes excellence	<b>FY 2021 Priority Activities</b>  <b>Human Resources</b> <ul style="list-style-type: none"> <li>Maintain effective performance management by supervisors</li> <li>Train employees to be knowledgeable and proactive on performance management principles</li> <li>Increase work-life employee satisfaction</li> <li>Provide a robust agency wellness program</li> <li>Assess performance management results</li> <li>Implement the agency's FEVS Actions Plan to improve the bottom 20%</li> </ul> <b>Equal Employment Opportunity</b> <ul style="list-style-type: none"> <li>Continue providing opportunities for training on diversity and inclusion</li> </ul>
	<b>SI13:</b> Train supervisors and Human Resources staff on managing employee performance and conduct	
<b>PG1.4.2</b> Build commitment to employee engagement	<b>SI16:</b> Implement agency employee engagement initiative	
	<b>SI17:</b> Provide diversity and inclusion training to the workforce	
<b>PG1.4.3</b> Promote work-life balance	<b>SI18:</b> Develop and provide training and informational opportunities on work-life balance to the workforce	
	<b>SI19:</b> Provide wellness and safety activities for the workforce	



## Strategic Goal 2: Prevention

*Prevent hazardous products from reaching consumers*

### Agency Strategy

The CPSC's charge is to protect the public from unreasonable risks of injury and death from a vast array of consumer products increasingly supplied through expanding global markets. Efforts to ensure the manufacture of safe consumer products, combined with improved mechanisms to identify hazardous products before they enter the marketplace, are the most effective ways to prevent hazardous products from reaching consumers. The FY 2021 APP will address key challenges to *Prevention* of consumer product-related injuries, including:

- Providing surveillance of the myriad consumer products under the CPSC's jurisdiction;
- Advancing data analysis and research capabilities to identify existing and potential emerging consumer product hazards that pose the greatest risks;
- Addressing changes in traditional manufacturing methods, such as additive manufacturing using 3-D printers;
- Evaluating implications of e-commerce sales and evolving distribution methods;
- Working with affected stakeholders to address product hazards;
- Helping develop voluntary standards and adopting mandatory regulations; and
- Identifying, researching, and informing the public about chemical or chronic hazards in consumer products.



Strategic Objective (SO)	Key Performance Measure (KM)	FY 2016 Actual	FY 2017 Actual	FY 2018 Actual	FY 2019 Actual	FY 2020 Target	FY 2021 Target
<b>Goal 2: Prevention</b> Prevent hazardous products from reaching consumers							
<b>SO 2.1</b> Improve identification and assessment of hazards to consumers  <b>Lead Office:</b> Hazard Identification	<b>2021KM2.1.01</b> Percentage of consumer product-related incident reports warranting follow-up actions		25%	26%	23%	25%	25%
	<b>2021KM2.1.02</b> Number of hazard characterization annual reports completed on consumer product-related fatalities, injuries, and/or losses for specific hazards	11	11	10	11	11	11
	<b>2021KM2.1.03</b> Percentage of consumer product-related injury cases correctly captured at NEISS hospitals	91%	92.4%	93%	89.5%	90%	90%
<b>SO 2.2</b> Lead efforts to improve the safety of consumer products before they reach the marketplace  <b>Lead Offices:</b> Hazard Identification, Import Surveillance	<b>2021KM2.2.01</b> Number of voluntary standards activities in which CPSC actively participates	71	76	77	74	78	79
	<b>2021KM2.2.02</b> Number of candidates for rulemaking prepared for Commission consideration	10	18	19	14 <sup>6</sup>	12	5
	<b>2021KM2.2.07</b> Percentage of firms that are engaged with a timely establishment inspection after being identified as a repeat offender			73%	90%	75%	75%
	<b>2021KM2.2.08</b> Recalls per Billion Dollars in Consumer Product Imports for Top 50 Import Sources Nations					0.33	0.33
<b>SO 2.3</b> Increase capability to identify and stop imported hazardous consumer products  <b>Lead Office:</b> Import Surveillance	<b>2021KM2.3.01</b> Percentage of consumer product imports, identified as high-risk, examined at import		88.5%	89%	86%	80%	80%
	<b>2021KM2.3.02</b> Percentage of import shipments processed through the Risk Assessment Methodology (RAM) system that are cleared within 1 business day	99.8%	99.8%	99.8%	99.8%	99%	99%
	<b>2021KM2.3.04</b> Number of import examinations completed	36,523	38,726	41,117	39,010	32,000	32,000

<sup>6</sup> In FY 2019, CPSC staff prepared 14 rulemaking packages for Commission consideration—seven were from the original 12 planned candidates for rulemaking, and the other seven are in response to emerging requirements. The remaining five planned rulemaking candidates that were not completed in FY 2019 are NPR-Crib Mattresses, NPR-Adjudicative Rules, DFR-F963 Toys, FR-Freedom of Information Act Fee Update, and DFR-Lab Accreditation IBR Update.

## CPSC's Approach to *Prevention*

The CPSC uses several means to try to prevent injury or harm from consumer products. The overall approach is to prevent hazardous products from reaching consumers by: (1) working at the national and international level to appropriately address hazards by voluntary standards or mandatory regulations; (2) providing technical information to industry to support voluntary standards development; and (3) allocating inspection, surveillance, and enforcement resources effectively to identify and remove hazardous products from the marketplace.

The CPSC educates manufacturers on safety requirements and works with foreign regulatory counterparts to help build safety into consumer products. The agency also collaborates with standards development organizations to create and strengthen voluntary standards for consumer products, which involves building consensus among relevant stakeholders. The CPSC develops new mandatory regulations when necessary and consistent with statutory authority, in response to identified product hazards. Another major component of the CPSC's prevention approach is identification and interception of hazardous consumer products through import surveillance and inspection programs. The agency conducts establishment inspections of manufacturers, importers, and retailers; monitors Internet and resale markets; responds to industry-generated reports about potentially unsafe products; and tests products for compliance with specific standards and mandatory regulations.

## Performance Goals (PG), Strategic Initiatives (SI), and FY 2021 Priority Activities

### Strategic Objective 2.1

Improve identification and assessment of hazards to consumers

<p><b>PG2.1.1</b> Increase agency capacity to analyze hazard data</p>	<p><b>SI1:</b> Enhance IT solutions and data-mining techniques to improve data collection and analysis</p>	<p><b>FY 2021 Priority Activities</b></p> <p><b>Hazard Identification</b></p> <ul style="list-style-type: none"> <li>Continue to improve CPSC's Office of Hazard Identification &amp; Reduction's data analytic capabilities by identifying and executing use cases for applying machine learning techniques to unstructured data (automated data classification and anomaly detection)</li> <li>Monitor and continue reviewing and refining internal controls and related processes and procedures</li> </ul> <p><b>Information Technology</b></p> <ul style="list-style-type: none"> <li>Continue meeting with partner organizations to support the Data Management Working Group (DMWG) and address agency data challenges and needs. Coordinate the execution of the Data Analytics Strategy and Priority Activities identified in the implementation plan with the involvement and participation of agency data owners and users</li> <li>Evaluate the outcome of FY 2020 efforts and continue the implementation of the Data Analytics Strategy</li> </ul>
<p><b>PG2.1.2</b> Improve quality and specificity of hazard information</p>	<p><b>SI2:</b> Identify alternative sources of data that will assist in hazard analysis and monitoring</p> <p><b>SI3:</b> Research and implement methods for improving completeness of data submitted to the CPSC</p> <p><b>SI4:</b> Research and implement methods to increase the number of incident samples available for analysis</p>	
<p><b>PG2.1.3</b> Improve agency capacity to identify and assess emerging hazards</p>	<p><b>SI5:</b> Promote a universal product identifier to improve product traceability</p>	
<p><b>PG2.1.4</b> Improve agency capacity to identify and assess chronic hazards</p>	<p><b>SI6:</b> Develop a plan to enhance the identification and characterization of emerging hazards</p> <p><b>SI7:</b> Enhance coordination with relevant federal agencies, standards development organizations, and other stakeholders working on emerging hazards</p>	

## Strategic Objective 2.2

Lead efforts to improve the safety of consumer products before they reach the marketplace

<p><b>PG2.2.1</b> Increase manufacturers', importers', and retailers' use of consumer product safety best practices</p>	<p><b>SI8:</b> Work to align CPSC's Trusted Trader Program with CBP's One U.S. Government Trusted Trader Program</p>	<p><b>FY 2021 Priority Activities</b></p> <p><b>Hazard Identification</b></p> <ul style="list-style-type: none"> <li>• Continue CPSC's focus on hazards to children by completing an FR on clothing storage unit tip-overs, infant sleep products, and crib mattresses</li> <li>• Continue to drive for changes to standards and policy associated with consumer use of smoke and CO alarms by executing action plan elements on CO and smoke alarms in consumer homes and presenting the results to smoke and CO alarm organizations, associations, and/or advocacies</li> <li>• Submit for Commission consideration rulemaking packages approved in the mandatory standards table.</li> <li>• Continue focus on potential safety issues with Internet of Things (IoT)/Connected Products, Wearable-related products, rechargeable high-energy density batteries, electric scooters, other micromobility devices, Artificial Intelligence (AI), and 3-D printing</li> <li>• Identify and implement burden reduction measures that decrease costs without adversely impacting safety</li> <li>• Initiate recommendations of NAS to assess toxicity of OFRs</li> </ul> <p><b>Import Surveillance</b></p> <ul style="list-style-type: none"> <li>• Engage import community, including training of first-time violators</li> <li>• Collaborate with and train partner federal agencies</li> </ul> <p><b>International Programs</b></p> <ul style="list-style-type: none"> <li>• Train foreign-based industry representatives on U.S. product safety requirements and train foreign government product safety officials on CPSC policies, procedures, and best practices based on priority topics, as indicated by annual data analysis</li> <li>• Improve cooperation with international partners on product safety policy to reduce the manufacture and international trade in hazardous products</li> <li>• Support activities of CPSC Beijing Office in providing a full program of product safety training for industry, based on annual data analysis, and effective coordination with Chinese government product safety authorities via the Beijing office, with the aim of reducing the manufacture and international trade in hazardous products</li> <li>• Present the agency's product safety messaging at international forums in which the CPSC represents the U.S. government, with the aim of reducing the manufacture and international trade in hazardous products (e.g., OECD, ICPHSO, OAS, UN, and others, as appropriate)</li> <li>• Continue production of the product safety video series for Chinese manufacturers – Topics selected through annual data analysis</li> </ul>
<p><b>PG2.2.2</b> Participate actively in the development of consumer product voluntary standards and develop mandatory regulations for products that pose an unreasonable risk of injury</p>	<p><b>SI9:</b> Deliver training events and collaborate on consumer product safety best practices with foreign manufacturers and domestic manufacturers, importers, and retailers</p>	
<p><b>PG2.2.3</b> Engage federal, state and foreign governments on product safety</p>	<p><b>SI10:</b> Identify and target top consumer product hazards, based on risk and addressability</p>	
<p><b>PG2.2.4</b> Increase efforts to drive the discovery and innovation of safety solutions</p>	<p><b>SI11:</b> Develop a process to facilitate the frequent monitoring and assessment of the effectiveness of standards and mandatory regulations</p> <p><b>SI12:</b> Conduct research, as appropriate, to enable development and improvement of consumer product voluntary standards and mandatory regulations</p> <p><b>SI13:</b> Enhance training and internal operations to improve the voluntary consensus standards development process</p> <p><b>SI14:</b> Deliver targeted federal, state, and foreign government outreach, (e.g., summits, trainings, staff exchanges, and best practice exchanges)</p> <p><b>SI15:</b> Improve international information-sharing capability</p> <p><b>SI16:</b> Develop initiatives to drive the discovery and innovation of safety solutions for hazards, emerging technologies, and product trends with potential to affect consumer product safety</p>	

**Strategic Objective 2.3**

Increase capability to identify and stop imported hazardous consumer products

<p><b>PG2.3.1</b> Fully implement the CPSC's risk assessment methodology</p>	<p><b>SI17:</b> Incrementally develop the RAM surveillance system to align with the U.S. government's "Single Window" initiative</p>	<p><b>FY 2021 Priority Activities</b></p> <p><b>Import Surveillance</b></p> <ul style="list-style-type: none"> <li>Expand port presence to augment existing presence at large ports and expand presence to presently unstaffed ports</li> <li>Identify and examine shipments likely to contain consumer products in violation of CPSC's requirements through maximization of port presence</li> <li>With respect to e-commerce, assess the findings outlined in the e-commerce implementation plan developed in FY 2020 and provide recommendations related to execution of the plan. Recommendations will include: data sources needed to risk-assess large volume of small shipments; any modifications needed for RAM 2.0 to accommodate e-commerce data; additional inspection, targeting, and supervisory staffing required to support exams of e-commerce shipments at their corresponding ports of entry; and potential partnership opportunities with the trade and other government entities to facilitate e-commerce enforcement.</li> <li>Support ongoing activities that contribute to the "Single Window" platform by:                         <ul style="list-style-type: none"> <li>Continuing to provide support to CBP's Automated Commercial Environment (ACE), which is an interface connecting CBP, the trade community, and other federal government agencies to manage the admissibility of goods entering the country</li> <li>Maintaining existing functionality in RAM 2.0, as well as expanding incrementally RAM functionality</li> <li>Supporting the Border Interagency Executive Council (BIEC) in implementing the International Trade Data System (ITDS)</li> </ul> </li> <li>Implement the Trade Facilitation and Trade Enforcement Act (TFTEA) via the established Import Safety Working Group</li> <li>Adapt to the reorganization of CBP's new business processing and targeting functionality, including coordination with CBP's Centers of Excellence and Expertise (CEE)</li> </ul> <p><b>Information Technology</b></p> <ul style="list-style-type: none"> <li>Continue to operate and maintain RAM 2.0</li> </ul>
	<p><b>SI18:</b> Incrementally develop and improve the RAM targeting system to identify noncompliant and defective products at ports of entry</p>	
<p><b>PG2.3.2</b> Decrease time required to process imported products subject to inspection</p>	<p><b>SI19:</b> Develop and uniformly implement enforcement guidelines for admissibility determinations for imported products</p>	
	<p><b>SI20:</b> Streamline compliance notification to importers of noncompliant products</p>	

## Strategic Goal 3: Response

*Respond quickly to address hazardous consumer products both in the marketplace and with consumers*

### Agency Strategy

The CPSC learns about potential consumer product hazards from many sources, including incident reports, consumer complaints, the agency’s Hotline (1-800-638-2772), [www.SaferProducts.gov](http://www.SaferProducts.gov), Internet reports, and firm reports. Additionally, field staff investigates reports of incidents and injuries; conducts inspections of manufacturers, importers, and retailers; and identifies potential regulatory violations and product hazards. When staff identifies potential product defects, the CPSC must act quickly to address the most hazardous consumer products that have entered the marketplace or gotten into the hands of consumers. The FY 2021 APP will address the following key *Response* challenges:

- Addressing trends in retailing and e-commerce, such as the prevalence of online sellers or other direct manufacturer-to-consumer marketing and sales, as well as sales through third party platform providers;
- Working within a global supply chain, which creates complex monitoring challenges;
- Collecting, integrating, and analyzing data to identify high-risk hazards for appropriate action; and
- Improving the monitoring and effectiveness of consumer product recalls

**STRATEGIC OBJECTIVE 3.1**  
Rapidly identify hazardous consumer products for enforcement action

**STRATEGIC OBJECTIVE 3.2**  
Minimize further exposure to hazardous consumer products

**STRATEGIC OBJECTIVE 3.3**  
Improve consumer response to consumer product recalls

Strategic Objective (SO)	Key Performance Measure (KM)	FY 2016 Actual	FY 2017 Actual	FY 2018 Actual	FY 2019 Actual	FY 2020 Target	FY 2021 Target
<b>Goal 3: Response</b> Respond quickly to address hazardous consumer products both in the marketplace and with consumers							
<b>SO 3.1</b> Rapidly identify hazardous consumer products for enforcement action  <b>Lead Office:</b> Compliance	<b>2021KM3.1.01</b> Percentage of cases for which a preliminary determination is made within 85 business days of the case opening		74%	75%	12.5%	65%	65%
	<b>2021KM3.1.02</b> Percentage of cases for which a compliance determination of a regulatory violation is made within 35 business days of sample collection (excludes fireworks)		87%	88.8%	85.1%	85%	85%
	<b>2021KM3.1.03</b> Percentage of fireworks cases for which a compliance determination of a regulatory violation is made within 70 business days of sample collection					85%	85%
<b>SO 3.2</b> Minimize further exposure to hazardous consumer products  <b>Lead Office:</b> Compliance	<b>2021KM3.2.02</b> Percentage of cases for which a firm is notified of a regulatory violation within 40 business days from sample collection (excludes fireworks)		86%	87.2%	85.5%	85%	85%
	<b>2021KM3.2.03</b> Percentage of Fast-Track cases with corrective actions initiated within 20 business days	99.1%	98%	95.9%	97.4%	90%	90%
	<b>2021KM3.2.04</b> Percentage of cases for which a corrective action is accepted within 90 business days of preliminary determination			92.7%	76.9%	60%	60%
	<b>2021KM3.2.05</b> Percentage of fireworks cases for which a firm is notified of a regulatory violation within 75 business days from sample collection					85%	85%
<b>SO 3.3</b> Improve consumer response to consumer product recalls  <b>Lead Office:</b> Compliance	<b>2021KM3.3.01</b> Recall effectiveness rate for all consumer product recalls		41%	17.4%	21.4%	25%	25%

## CPSC's Approach to *Response*

To decrease the time required to identify and remove potentially hazardous products from the marketplace, the CPSC will redesign the procedures used to process and analyze incoming product hazard-related data. The CPSC strives to improve its ability to act upon information and quickly remove potentially hazardous products from the marketplace. The CPSC will improve its recall monitoring process and work with industry to increase consumer awareness of product recalls as they occur. Improving the consumer response to consumer product recalls is critical to success in achieving this Strategic Goal. The CPSC will work with consumers and other interested parties to increase the number of consumers receiving recall notices directly from the CPSC and recalling firms and retailers. CPSC will seek to improve the effectiveness of product recalls include tools such as expanding the CPSC's and firms' use of social media to broaden the notice of recalls and conducting consumer focus group research on why and when consumers respond to recalls.

## Performance Goals (PG), Strategic Initiatives (SI), and FY 2021 Priority Activities

### Strategic Objective 3.1

Rapidly identify hazardous consumer products for enforcement action

<b>PG3.1.1</b> Improve collection, prioritization, and assessment of data on potential consumer product hazards	<b>SI1:</b> Review current processes and identify opportunities to refine sample analysis priorities and reduce processing time	<b>FY 2021 Priority Activities</b> <b>Compliance &amp; Field</b> <ul style="list-style-type: none"> <li>Develop two additional internal enforcement guides</li> <li>Issue a Request for Information (RFI), Request for Quotation (RFQ), or Request for Proposal (RFP), based on FY 2020 results of evaluating the BPR for IT modernization of the Integrated Field System (IFS)</li> </ul> <b>Hazard Identification</b> <ul style="list-style-type: none"> <li>Support priority Compliance &amp; Field program activities, including liquid nicotine enforcement efforts</li> </ul>
	<b>SI2:</b> Determine the feasibility of implementing an e-filing process for manufacturers, importers, retailers, distributors, and third party platform providers to submit incident data and/or Section 15(b) reports	

### Strategic Objective 3.2

Minimize further exposure to hazardous consumer products

<b>PG3.2.1</b> Increase speed of corrective actions	<b>SI3:</b> Explore the feasibility of an expedited approach to CAPs for lower-level consumer product hazards	<b>FY 2021 Priority Activities</b> <b>Compliance &amp; Field</b> <ul style="list-style-type: none"> <li>Evaluate the current process of triaging low-level hazards and other Section 15 reports to identify impact on resources and consideration for permanent implementation</li> </ul>
<b>PG3.2.2</b> Improve effectiveness of corrective actions	<b>SI4:</b> Regularly publish electronic submissions of progress reports from recalling firms	
	<b>SI5:</b> Review the CPSC corrective action monitoring process to address priority recalls and achieve operational efficiencies	
	<b>SI6:</b> To the limits of the CPSC's authorities, inform foreign product safety regulators about interventions undertaken in the United States and encourage them to take appropriate steps	

### Strategic Objective 3.3

Improve consumer response to consumer product recalls

<b>PG3.3.1</b> Increase consumer motivation	<b>SI7:</b> Request firms to use enhanced notices and an effectiveness evaluation as part of a CAP	<b>FY 2021 Priority Activities</b> <b>International Programs</b> <ul style="list-style-type: none"> <li>Provide timely information about recalls directly to foreign regulators and other stakeholders via the Organisation for Economic Cooperation and Development's (OECD's) <i>Global Recalls</i> portal</li> </ul>
<b>PG3.3.2</b> Improve direct contact with consumers	<b>SI8:</b> Increase the number of consumers signed up for recall updates via email	
<b>PG3.3.3</b> Improve understanding of consumer response	<b>SI9:</b> Meet with industry, consumer groups, and other government agency stakeholders to discuss how to increase response rates	
	<b>SI10:</b> Enhance domestic interagency collaboration on best practices to increase consumer response	

## Strategic Goal 4: Communication

*Communicate useful information quickly and effectively to better inform decisions*

### Agency Strategy

Consumers, safety advocates, industry, and government regulators need high-quality information about consumer product safety. Consumers need safety information to make informed decisions for themselves and their families. Safety advocates rely on accurate data to shape their policy recommendations. The regulated community needs information to stay in compliance with safety requirements. Foreign regulators and state and local government agencies also need high-quality information to establish new safety requirements that advance consumer safety. These diverse audiences have different information needs and respond to different methods of communication. The FY 2021 APP will address key challenges to the agency's *Communication* strategy, which include:

- Strengthening the CPSC's collaboration with all stakeholders to improve communication;
- Updating knowledge management strategies and adopting advanced communication tools and channels to improve consistency, reliability, accessibility, and timeliness of information provided to stakeholders and internally among CPSC staff; and
- Improving CPSC messaging and outreach to affected populations, including underserved, low-income, and minority communities and families.

**STRATEGIC OBJECTIVE 4.1**  
Improve usefulness and availability of consumer product safety information

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**STRATEGIC OBJECTIVE 4.2**  
Increase dissemination of useful consumer product safety information

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**STRATEGIC OBJECTIVE 4.3**  
Increase and enhance collaboration with stakeholders

Strategic Objective (SO)	Key Performance Measure (KM)	FY 2016 Actual	FY 2017 Actual	FY 2018 Actual	FY 2019 Actual	FY 2020 Target	FY 2021 Target
<b>Goal 4: Communication</b> Communicate useful information quickly and effectively to better inform decisions							
<b>SO 4.1</b> Improve usefulness and availability of consumer product safety information <b>Lead Office:</b> Communications	<b>2021KM4.1.02</b> Number of engagements with CPSC safety messaging on social media channels by stakeholders <sup>7</sup> (in thousands)		285	831	1,468	840	860
<b>SO 4.2</b> Increase dissemination of useful consumer product safety information <b>Lead Office:</b> Communications	<b>2020KM4.2.04</b> Number of national media placements of CPSC stories					6	6
	<b>2020KM4.2.05</b> Percentage of recall press releases issued in 22 days or less from first draft					60%	60%
<b>SO 4.3<sup>8</sup></b> Increase and enhance collaboration with stakeholders <b>Lead Office:</b> Communications							

<sup>7</sup> "Engagements" refer to the number of interactions (likes, shares, comments) with CPSC social media content.

<sup>8</sup> In October 2019, the Commission voted to exclude Key Measure 4.3.01—Number of collaboration activities initiated with stakeholder groups—from the FY 2020 Operating Plan. For FY 2020, Key Measure 4.3.01 was originally included as the only key measure under SO 4.3 in the FY 2020 Performance Budget Request (PBR), which was submitted to Congress in March 2019. Because of the vote, the CPSC has discontinued Key Measure 4.3.01, and there are no key measures listed under SO 4.3 in this document.



## CPSC's Approach to *Communication*

The CPSC uses a wide array of communication channels and strategies to provide timely, targeted information about consumer product safety to the public, industry, and other stakeholders. The agency disseminates safety messages through workshops and training sessions; listserv messages; press releases; public service announcements and video news releases; newspaper, radio, and TV interviews; and, increasingly, social media adhering to disclosure protocols. The CPSC will work to improve the usefulness and availability of safety messages by collecting and analyzing data, and designing and applying new and innovative communication tools. Dissemination of more useful and timely consumer product safety information will strengthen agency brand, enable communication in mobile environments, and aid micro-targeting to reach the most at-risk populations. An additional element of the CPSC's strategy involves strengthening collaborations with stakeholder groups, including other government agencies and nonprofit organizations. This may include collaboration on information and education campaigns on product safety.

### Performance Goals (PG), Strategic Initiatives (SI), and FY 2021 Priority Activities

#### Strategic Objective 4.1

Improve usefulness and availability of consumer product safety information

<b>PG4.1.1</b> Implement evaluation tools to measure message usefulness	<b>SI1:</b> Identify best practices from federal and private sectors for assessing the utility of safety information	<b>FY 2021 Priority Activities</b> <b>Communications</b> <ul style="list-style-type: none"> <li>Implement results of the Anchor It! effectiveness survey to improve the campaign's messaging</li> <li>Design and develop new online and social media communication</li> </ul> <b>Information Technology</b> <ul style="list-style-type: none"> <li>Operate and maintain agency websites; upgrade CPSC.gov to improve usability and update the aging underlying content management system to avoid operation on an unsupported platform</li> </ul>
<b>PG4.1.2</b> Implement enhanced tools to increase availability of safety information	<b>SI2:</b> Assess the utility of CPSC safety messages using best practices from federal and private sectors	
<b>PG4.1.2</b> Implement enhanced tools to increase availability of safety information	<b>SI3:</b> Design and develop new communication materials	

#### Strategic Objective 4.2

Increase dissemination of useful consumer product safety information

<b>PG4.2.1</b> Expand and enhance the CPSC "brand"	<b>SI4:</b> Identify and implement specific strategies to enhance the CPSC "brand"	<b>FY 2021 Priority Activities</b> <b>Communications</b> <ul style="list-style-type: none"> <li>Conduct outreach campaigns in six categories to prevent injuries and deaths with consumer products: pool safety, furniture and TV tip-over prevention (Anchor It!), baby safety, fire, carbon monoxide, and community outreach</li> <li>Expand social media engagement with CPSC safety messages and recalls</li> <li>Continue implementation of new branding for CPSC's publications, documents, and alerts</li> <li>Conduct community outreach events to reach at-risk consumers aimed at raising awareness and preventing injuries from four priority hazard areas—furniture/TV tip-overs, Safe to Sleep®, child drownings, and child poisonings</li> <li>Track percentage of recall press releases completed in 22 days or less from first draft</li> <li>Develop one communications activity on a major emerging hazard</li> </ul> <b>International Programs</b> <ul style="list-style-type: none"> <li>Participate in the annual OECD global consumer information campaigns</li> </ul> <b>Information Technology</b> <ul style="list-style-type: none"> <li>Implement Phase 1 Plan of CPSC.gov Redesign: Plan for the redesign, cleanup, remove old content, and create archive website for old material to improve overall customer experience in compliance with the 21<sup>st</sup> Century IDEA</li> </ul>
<b>PG4.2.2</b> Expand communications with targeted audiences	<b>SI5:</b> Explore strategies to communicate and interact directly with the most at-risk consumers (micro-targeting strategies)	
<b>PG4.2.3</b> Increase use of enhanced communication technology to advance consumer safety	<b>SI6:</b> Enhance CPSC websites to maintain online best practices	
<b>PG4.2.4</b> Increase timeliness of CPSC information dissemination	<b>SI7:</b> Develop new and enhanced safety alerts, posters, blogs, and toolkits that can be disseminated quickly to respond to known and emerging consumer product hazards	

#### Strategic Objective 4.3

Increase and enhance collaborations with stakeholders

<b>PG4.3.1</b> Increase agency-wide collaboration capacity	<b>SI8:</b> Increase the number of collaborations	<b>FY 2021 Priority Activities</b> <b>International Programs</b> <ul style="list-style-type: none"> <li>Administer International Training Exchange Program with foreign counterpart regulators</li> </ul> <b>Communications</b> <ul style="list-style-type: none"> <li>Continue with CPSC-wide collaboration plan across agency divisions to increase and enhance collaborations with stakeholders</li> </ul>
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## Appendix A: Unfunded Priorities previously submitted by the Commission

### ➤ Information Technology (\$4.0 million):

The CPSC's FY 2021 *Request* does not fully fund the agency's information technology priorities of \$7 million. While the CPSC is able to fund \$3 million of these priorities because of the increase in the *President's FY 2021 Request* for Enterprise Data Analytics and IT

Unfunded Priorities	in \$M
➤ Information Technology	\$4.0
➤ Applied Research	\$3.0
➤ Import Surveillance Port Coverage	\$4.0
➤ Non-Pay Inflation	\$1.0
<b>Total Unfunded Priorities</b>	<b>\$12.0</b>

modernization, without this additional \$4.0 million in baseline funding, the CPSC will not be able to complete modernization of many of the mission-facing IT systems. The agency requires additional baseline funding to enable a multiyear effort to implement a number of incremental improvements to the agency's existing mission systems. Near-term improvements required for existing systems include modernization of the Integrated Field System (IFS) and updating obsolete and no-longer-supported legacy platform applications that support important mission functions. The CPSC will not be able to address all of the funding shortfalls in the operation of existing systems, including SAS administration, SharePoint development, and the license and operation of other smaller administrative agency systems. Consistent with OMB direction and industry best practices, the CPSC has adopted a cloud smart approach to modernizing its systems to improve manageability, position systems for longer term viability, and enable otherwise infeasible benefits including timely system failover and disaster recovery. Migrating agency e-mail, file storage, desktop services, and collaboration platforms to the cloud will support the agency's ability to meet the mandate to implement the electronic records management mandate while increasing the resiliency and reliability of these functions that are critical to day-to-day operations. The agency's migration plans include updates to those services to provide improved end-user tools and the application of additional security capabilities. This work supports future migration of other systems through the establishment of cloud-based directory services and prepares the agency for transitioning and modernizing applications in a cloud services environment.

➤ **Applied Research (\$3.0 million):** The CPSC's FY 2021 *Request* does not fully fund applied research requirements in hazard identification. Applied research is a central element of the agency's approach to protect consumers from unreasonable risks of harm. Staff at CPSC's National Product Testing and Evaluation Center (NPTEC) manages the majority of applied research. Specific priority research includes investigation of hazards associated with additive manufacturing (*e.g.*, 3-D printing), analysis on the impact of smart technologies and Internet connectivity to improve product safety, research on home fire hazard mitigation, including flame suppression and flame jetting, and senior safety. This *Request* also does not fully fund the requirements to manage and oversee OFR Chemicals research.

➤ **Import Surveillance Port Coverage (\$4.0 million):** The FY 2021 *Request* does not fund 16 additional FTEs and associated equipment to increase the agency's physical presence to 24 ports of entry that receive consumer products imported into the United States. The CPSC proposes to allocate five FTEs to five ports of entry where the CPSC currently has **no physical staff presence**. In addition, six FTEs would augment physical coverage at six of the largest ports of entry (*e.g.*, Los Angeles) where the number of consumer product imports significantly exceeds the agency's physical capacity to analyze them. The *Request* also does not include five FTEs to increase the CPSC's data analysis capabilities and necessary oversight commensurate with the port coverage expansion. These additional FTEs would be responsible for inspecting and taking appropriate action on violative imports identified by the Risk Assessment

Methodology (RAM), thereby protecting consumers in furtherance of the agency's mission. This increase in staff would enable the CPSC to have staff coverage at 7 percent of U.S. ports, comprising a CPSC physical presence at ports receiving 72 percent of all consumer product import entry lines. The identified funding would support incremental salary costs to the agency for the additional FTEs, field equipment those employees will need to perform their surveillance duties, and associated support costs.

- **Non-Pay Inflation (\$1.0 million):** The FY 2021 *Request* does not fully fund the CPSC non-pay costs of \$1.5 million. The FY 2021 *Request* only funds \$0.5 million for the known escalation costs for collecting hospital emergency department data, audits, and increased lease costs. The remaining \$1.0 million is for escalation costs of all other non-pay items associated with the standard inflation rate of 2 percent, as specified by OMB.

## Appendix B: Technical Budget Tables

### Table 3

#### Program and Financing Schedule

(Dollars in millions)

	<b>FY 2019</b> <b><u>Actual</u></b>	<b>FY 2020</b> <b><u>Enacted</u></b>	<b>FY 2021</b> <b><u>Request</u></b>
<b>Obligations by Program Activity:</b>			
Consumer Product Safety Commission	\$128	\$133	\$135
Direct program activities, subtotal	\$128	\$133	\$135
Reimbursable program	\$3	\$3	\$3
<i>Total new obligations</i>	\$131	\$136	\$138
<b>Budgetary Resources:</b>			
Unobligated balance:			
Unobligated balance brought forward, Oct 1	\$2	\$1	\$1
Budget authority:			
Appropriations, discretionary:			
Appropriation	\$127	\$133	\$135
Spending authority from offsetting collections, discretionary:			
Collected	\$3	\$3	\$3
Budget authority (total)	\$130	\$136	\$138
<i>Total budgetary resources available</i>	\$132	\$137	\$139
<b>Change in Obligated Balance:</b>			
Obligated balance, start of year (net):			
Unpaid obligations, brought forward, Oct 1 (gross)	\$33	\$38	\$37
Obligations incurred, unexpired accounts	\$131	\$136	\$138
Obligations incurred, expired accounts			
Outlays (gross)	-\$124	-\$137	-\$138
Recoveries of prior year unpaid obligations, expired			
Obligated balance, end of year (net):			
<i>Unpaid obligations, end of year (gross)</i>	\$38	\$37	\$37
<b>Budget Authority and Outlays, net:</b>			
Discretionary:			
Budget authority, gross	\$130	\$136	\$138
Outlays, gross:			
Outlays from new discretionary authority	\$99	\$109	\$110
Outlays from discretionary balances	\$25	\$28	\$28
Outlays, gross (total)	\$127	\$137	\$138
Offsets against gross budget authority and outlays:			
Offsetting collections (collected) from:			
Federal sources	-\$3	-\$3	-\$3
<i>Budget authority, net (total)</i>	\$127	\$133	\$135
<i>Outlays, net (total)</i>	\$121	\$134	\$135

## Table 4 Object Classification Schedule and Personnel Summary

(Dollars in millions)

	<b>FY 2019 <u>Actual</u></b>	<b>FY 2020 <u>Enacted</u></b>	<b>FY 2021 <u>Request</u></b>	
<b>Direct Obligations:</b>				
11	Personnel Compensation	\$61	\$67	\$68
12	Personnel Benefits	19	19	19
21	Travel and Transportation of Persons	1	1	1
23	Rent, Communications, and Utilities	10	10	10
24	Printing and Reproduction	0	0	0
25	Other Services	33	32	34
26	Supplies and Materials	1	1	1
31	Equipment	2	2	2
41	Grants	1	1	0
99	<i>Subtotal, Direct Obligations</i>	\$128	\$133	\$135
<b>Reimbursable Obligations:</b>				
		\$3	\$3	\$3
<b>Total Obligations:</b>				
99.9	Total Obligations	\$131	\$136	\$138
<b>Personnel Summary:</b>				
Total Direct Compensable Work Years:				
	Full-Time Equivalent Employment	520	539	539

**Table 5**  
CPSC FTEs by Organization

	<b>FY 2019 <u>Actual</u></b>	<b>FY 2020 <u>Enacted</u></b>	<b>FY 2021 <u>Request</u></b>
Chairman & Commissioners	17	21	21
Hazard Identification and Reduction	160	160	160
Compliance and Field Operations	130	154	154
Import Surveillance	42	42	42
International Programs	7	7	7
Communications	10	10	10
Information Technology	38	40	40
General Counsel	44	37	37
Agency Management and Support *	60	61	61
Inspector General	7	7	7
<b>Total</b>	<b>520</b>	<b>539</b>	<b>539</b>

\* Agency Management includes Financial Management, Planning, and Evaluation; Facilities Services; Human Resources Management; EEO & Minority Enterprise; Executive Director; and Legislative Affairs.

## Table 6

### Inspector General Budget Request

(Dollars in thousands)

The information presented below complies with the Inspector General Act, as amended:

<b><u>Resource</u></b>	<b><u>FY 2019 Actual</u></b>	<b><u>FY 2020 Enacted</u></b>	<b><u>FY 2021 Request</u></b>
FTEs	7	7	7
Salaries & Expenses	\$1,085	\$1,113	\$1,127
Contracts & Operating Expenses	\$173	\$405	\$498
Training	\$11	\$15	\$15
Total Amount	\$1,269	\$1,533	\$1,640

The CPSC's Inspector General (IG) certifies that the amount requested for training satisfies all known IG training requirements for FY 2021. The IG further certifies that in accordance with procedures developed by the Council of the Inspectors General on Integrity and Efficiency (CIGIE), the sum of \$5,000.00 will be set aside out of "Contracts and Operating Expenses" to provide the resources necessary to support CIGIE through the annual dues-paying process.

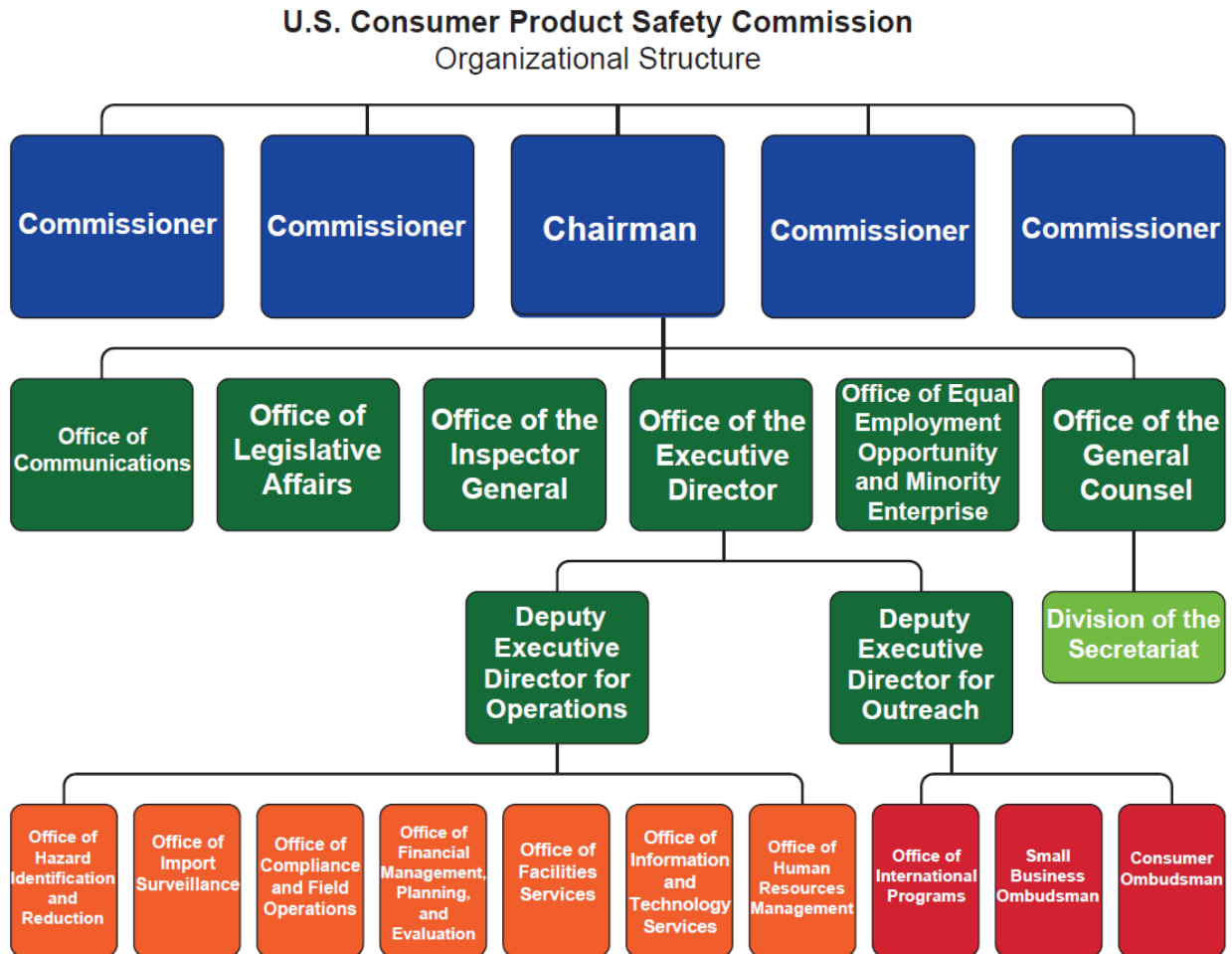
## Appendix C: Acronyms

APP	Annual Performance Plan
CBP	U.S. Customs and Border Protection
CPSC	U.S. Consumer Product Safety Commission
CPSIA	Consumer Product Safety Improvement Act
CPSRMS	Consumer Product Safety Risk Management System
EEI	Employee Engagement Index
ERM	Enterprise Risk Management
FEVS	Federal Employee Viewpoint Survey
FTE	Full-time Equivalent
FY	Fiscal Year
IT	Information Technology
IoT	Internet of Things
KM	Key Performance Measure
NAS	National Academy of Sciences
NEISS	National Electronic Injury Surveillance System
NIST	National Institute of Standards and Technology
NPTEC	National Product Testing and Evaluation Center
OECD	Organisation for Economic Cooperation and Developments
PG	Performance Goal
PMA	President's Management Agenda
RAM	Risk Assessment Methodology
ROV	Recreational Off-Highway Vehicle
SBO	Small Business Ombudsman
SDO	Standards Development Organization
SI	Strategic Initiative
SO	Strategic Objective
VGB Act	Virginia Graeme Baker Pool and Spa Safety Act



## Appendix D: Organizational Structure

This chart depicts the organizational structure of the CPSC:



**U.S. Consumer Product Safety Commission**  
Bethesda, Maryland 20814